

# BUJANG RABA COMMUNITY PES PROJECT



## Validation to the Plan Vivo Carbon Standard

Prepared by Katja Pellini

Amended Report following amending of CARs and of  
carbon calculations

(version 1.2.; 27.07.2016)



## Summary

**Validation Opinion:** The Bujang Raba Community PES project is an excellent site for a community managed carbon project. The five village forest agreements, approved between 2009-2012, are already the first milestone to guard the Bujang Raba. Until now these agreements have provided an effective barrier to the encroachment from outside and now, to sustain the efforts of the community, the established institutions need funding to implement their own management plans, they need to learn from this implementation and ultimately to be able to demonstrate (both to all members of the community and to the local government) that conservation based village development is a viable option to rapid economic gains from oil palm, illegal logging and industrial scale rubber plantations.

The PDD of WARSI provides an accurate description on activities already undertaken, and gives a good background to community structure and project area in five hamlets/villages (*dusun*) covered by this project, it also has a detailed description on the planned activities and systems to monitor the results, which furthermore need to evolve and develop based on experience and learning. Intended project benefits are likely to be delivered and **with two minor corrective actions**, which are described below, the project is ready for certification.

**Table 1. Summary of Major and Minor Corrective Actions**

Theme	Major CARs	Minor CARs	Project Response	Observations	Status
Governance		The project needs to provide an example PES agreement (which can further be modified when discussed with the community). It is enough to develop this at the level of WARSI at the moment and discuss this with the community only after a potential buyer is identified to make sure that unrealistic expectations are not raised.	The project coordinator has agreed to draft and send a PES Agreement to the Plan Vivo Foundation as soon as a buyer is found. Also, the Foundation understands the need to discuss any benefit-sharing agreements directly with the community after the negotiations with the buyer have been concluded. An update on the status of the benefit-sharing agreement shall be included in the first annual report submitted after the first buyer is found.	<p><b>1<sup>st</sup> Observation:</b> It is recommended that as soon as potential buyer is identified each VFC will open an own bank account and guidelines on financial reporting required from the community are included in the monitoring plan/quarterly reporting format (see Minor CAR 1.4.E and Figure 2. in ANNEX 2.)</p> <p><b>2<sup>nd</sup> Observation:</b> All VFCs should have signed copies of all agreements and plans submitted to the government concerning the village forest management. It is recommended that WARSI will provide them folder of containing all documents in case they do not have them in file.</p>	Closed

				<p><b>3<sup>rd</sup> Observation:</b> Providing further training and capacity building in computer literacy, accounting, management of monitoring systems is likely to enhance the ability of community to take full responsibility on their existing village forest management plans.</p>	
		<p>It is recommended that as soon as potential buyer is identified each VFC will open an own bank account and guidelines on financial reporting required from the community are included in the monitoring plan/quarterly reporting format (see Minor CAR 1.4.E and Figure 2. in ANNEX 2.)</p>	<p>The Project Coordinator has agreed to inform the Plan Vivo Foundation as soon as the bank accounts will be opened and an update will be provided in the first annual report.</p>		Closed
Carbon		<p>The project needs to clarify how data from the proposed monitoring system is managed (data base and monitoring tools/formats used by the community and by WARSI). The example on form for community level reporting in quarterly basis and database</p>	<p>The Project Coordinator has agreed to provide proof of the actual implementation of the monitoring system in the second annual report (scheduled now for January 2017).</p>	<p><b>4<sup>th</sup> Observation:</b> Management of the area currently allocated as <i>production forest</i> in between the project area and the Kerinci Seblat National Park (Figure 4. Annex 2.) is critical for the protection of Bujang Raba. This area is currently allocated to concession company, but lacks permits (moratorium for issuing permits to forest area). Based on statements of the community forest is still same type of primary</p>	Closed

		<p>should be included in the PDD.</p> <p>It is proposed that WARSI will provide a proof of operational monitoring system and details of the database developed to store and analyse the data during the second annual reporting prepared to Plan Vivo (in the end of 2016).</p>		<p>forest as the one in Bujang Raba area.</p> <p>.</p>	
		<p>With same comments as above in effective and transparent project governance (1.4.E.) also see Figure 1. in Annex 2. for proposed reporting system.</p>	<p>The Project Coordinator has agreed to provide more details on how to operationalize the monitoring plan in the second annual report.</p>		Closed
Ecosystem	0	0			
Livelihoods		<p>The project needs to clarify how data from the proposed monitoring system is managed (data base and monitoring tools/formats used by the community and by WARSI). The example on form for community level reporting in quarterly basis and database should be included in the</p>	<p>The socio-economic monitoring plan will be finalised in 2016 as agreed with the Project Coordinator.</p>	<p><b>5<sup>th</sup> Observation:</b> Internalisation of the village forest management plans by the community is on-going, but the understanding of the content of these (technical plans conforming to government requirements) and role that they play in the village forest management is still limited. To enhance ownership of community and at the same time support ecotourism goals set for the village, the project could emphasise the value of traditional management practises and help collect local wisdom. Further</p>	Closed

	<p>PDD.</p> <p>It is proposed that WARSI will provide a proof of operational monitoring system and details of the database developed to store and analyse the data during the second annual reporting prepared to Plan Vivo (in the end of 2016).</p>		<p>documentation and dissemination both of formal plans and local wisdom together with the presentation of this through appropriate media that is approachable for all community members (songs, videos, stories, art etc.) could be encouraged to support awareness-raising efforts of local leaders and VFCs.</p> <p><b>6<sup>th</sup> Observation:</b> As community holds traditional space separating clearly the women's and men's role, women are currently not present in the VF committees. This should also not be required, but instead WARSI could think of other ways to better involve women in VF management (for example while women have a clear role in economic activities they could involve in financial management of the VF).</p> <p><b>7<sup>th</sup> Observation:</b> In the early stages of implementation role of WARSI is to ensure the village forest management benefits all members of the community. WARSI can help to voice out concerns of those who are not actively participating in planning and decision-making. Monitoring results are discussed with the VFC/VFF to ensure that importance of including these social indicators is gradually institutionalised in village</p>
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				forest management led by the community.	
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**Table 2 - Report Conformance**

Theme	Conformance of Draft Report	Conformance of Final Report
<b>Governance</b>	Yes	Yes
<b>Carbon</b>	Yes	Yes
<b>Ecosystem</b>	Yes	Yes
<b>Livelihoods</b>	Yes	Yes

**FINAL REPORT 17.11.2015**

**1. Name of Reviewer:** Katja Pellini

**2. Date of Review:** 22.10. - 3.11.2015

**3. Project Name:** The Bujang Raba Community Payment for Ecosystem Services Project

**4. Project Description:**

The project seeks to protect 5,336 ha of high biodiversity value primary forest, which will result in 498,818 tCO<sub>2</sub> of emissions reductions over ten years. The project will enhance the socio-economic conditions of five villages primarily by strengthening the institutions managing village forests, by supporting agroforestry systems and by developing ecotourism potential of the area.

The Bujang Raba landscape in Bathin III Ulu Sub-District (*kacamatan*), Bungo District (*kabupaten*), Jambi Province provides an important role in the hydrological systems and is one of the last remaining well-preserved tropical rainforest ecosystems in Sumatra. It has an extremely high biodiversity value and is crucial for the subsistence of indigenous populations as well as migrant community living in the five hamlets/villages covered by the project. The project is grounded on the existing Village Forest (*Hutan Desa*) management agreements (tenure issued by the government for the period of 35 years) and strengthens the management capacities of local community to take full responsibility in protecting the area.

The project is implemented by KKI-WARSI, which has been instrumental in forging the village forest agreements to secure management rights of the community. WARSI has been supporting communities in Bujang Raba since 2000.

**5. List of Documents Reviewed:**

- Project Design Document The Bujang Raba Community PES Project (version 1.1, 28.8.2015) and revised technical specifications (version 23.9.2015); revised PDD (version 1.2, 27.07.2016)
- Internal Plan Vivo Foundation Review (of the Bujang Raba PDD 03-05-2015)
- TAC member comments (on the Bujang Raba PDD July 2015)
- Examples of village forest agreements and plans: right to develop village forest (HPHD) long term management plans (RKHD) and annual management plans (RTHD)
- Report of PES trial (*Pengkayaan tanaman kehidupan melalui pembibitan serta penanaman tanaman oleh forum komunikasi masyarakat pengelola hutan di landscape Bukit Panjang Rantau Bayur*)
- Akefnawate et al. Stewardship agreemembt to reduce emissions from deforestation and degradation (REDD): Lubuk Beringin's *hutan desa* as the first village forest in Indonesia, Working Paper No. 102 ICRAF 2010 [http://www.worldagroforestry.org/publication?do=view\\_pub\\_detail&pub\\_no=WP0131-10](http://www.worldagroforestry.org/publication?do=view_pub_detail&pub_no=WP0131-10)
- Carbon Accounting The Bujang Raba Community PES Project KKI Warsi (September 2014); updated spreadsheets 27.07.2016

**Plan vivo guidance documents:**

- Terms of Reference for Project Validation
- Plan Vivo Standard 2013
- Plan Vivo Guidance Document for Reducing Locally-Driven Deforestation (updated July 2015)

- PDD template for Plan Vivo Projects

**Comparison to existing PINs/PDDs:**

- Two FFI PIN's Community Ecosystem Services, Indonesia Durian Rambun, Laman Satong (July 2012) and Community Based Agroforestry for Upper Watershed Rehabilitation, Lombok (2013)
- REDD and ANR Technical Specifications Khasi Hills Community REDD+ Project: Restoring and Conserving Meghalaya's Hills Forests through community action (updated version September 2015) *(for discussing leakage)*
- PDD Carbon Tanzania/Ecological Enterprises (February 2012) *(for discussing PES agreement template)*

**6. Description of field visits (including list of sites visited and individuals/groups interviewed):**

Five days field visit to WARSI main office in Jambi and Bujang Raba project area in the Bungo District was conducted October 26-30 2015. For details of this please refer to **Annex 1**.

**7. Validation Opinion:** The Bujang Raba Community PES project is an excellent site for a community managed carbon project. The five village forest agreements, approved between 2009-2012, are already the first milestone to guard the Bujang Raba. Until now these agreements have provided an effective barrier to the encroachment from outside and now, to sustain the efforts of the community, the established institutions need funding to implement their own management plans, they need to learn from this implementation and ultimately to be able to demonstrate (both to all members of the community and to the local government) that conservation based village development is a viable option to rapid economic gains from oil palm, illegal logging and industrial scale rubber plantations.

The PDD of WARSI provides an accurate description on activities already undertaken, and gives a good background to community structure and project area in five hamlets/villages (*dusun*) covered by this project, it also has a detailed description on the planned activities and systems to monitor the results, which furthermore need to evolve and develop based on experience and learning. Intended project benefits are likely to be delivered and **with two minor corrective actions**, which are described below, the project is ready for certification.

<b>8. Theme</b>	<b>1. Effective and Transparent Project Governance</b>
<i>Ensuring that the project meets requirements 3.1-3.16 of the Plan Vivo Standard (2013)</i>	
<b>A. Requirement</b>	<p><b>1.1 Administrative capabilities</b></p> <p>Is there a legal and organisational framework in place that has the sufficient capacity and a range of skills to implement all the administrative requirements of the project? Aspects of this framework may include:</p> <p>1.1.1 A legal entity (project coordinator) that is able to enter into sale agreements with multiple producers or producer groups for carbon</p>



	<p>services</p> <p>1.1.2 Standard sale agreement templates for the provision of carbon services</p> <p>1.1.3 Systems for maintaining transparent and audited financial accounts able to the secure receipt, holding and disbursement of payments to producers</p> <p>1.1.4 All necessary legal permissions to carry out the intended project activities</p> <p>1.1.5 Mechanisms for participants to discuss issues associated with the design and running of the project</p> <p>1.1.6 Procedures for addressing any conflicts that may arise</p> <p>1.1.7 Ability to produce reports required by Plan Vivo on a regular basis and communicate regularly with Plan Vivo</p>
<b>B. Guidance Notes for Validators</b>	<p>Organisational and administrative capacity may be demonstrated through:</p> <ul style="list-style-type: none"> <li>• A record of managing other projects - especially those involving the receipt, safeguarding and management of funds and disbursement of these to smallholders/community groups</li> <li>• Project staff who can explain the legal status of the organisation and its management and financial structure i.e. how funds will be held and transferred – backed up by evidence of setting up bank accounts and record-keeping systems etc.</li> <li>• The views of others who have worked with the organisation in the past (such as government, other project partners or other NGOs)</li> <li>• A visibly efficient and functioning office with all necessary staff</li> </ul>
<b>C. Findings (describe)</b>	<p>Indonesian Conservation Community - Kommunitas Conservation Indonesia (KKI) WARSI is a legal organisation with several past and on-going development project funded by local and international donors including the Rainforest Foundation Norway, Climate and Landuse Alliance (CLUA), Tropical Forest Conservation Action (TFCA), MacArthur Foundation, IUCN Netherlands and World Agroforestry Centre (ICRAF). In 1992 WARSI started as an alliance of 20 NGOs from four provinces (Jambi, South Sumatra, West Sumatra, Bengkulu) and was accredited as its own organisation in July 2002.</p> <p>The Rainforest Foundation Norway (RFN) has financially supported the preparation of the PDD, facilitation of the Village Forest Agreements and management plans and also currently provides salaries for the WARSI staff involved in project development. WARSI has been partner of the RFN since 2009 and it is likely that the support will continue at least up to 2020.</p> <p>The proposed PES Agreement template (Memorandum of Understanding (MoU) is missing from the PDD, but copies of the past MoUs between WARSI and community were provided for review (including benefit sharing schemes for management of village forest). The need to forge such an agreement is clear to WARSI and also community members confirmed that they are aware that they need to sign an agreement if funds are provided in the future.</p>

	<p>Discussing MoU / PES agreement with the community only after a potential buyer is identified is reasonable to make sure that unrealistic expectations are not raised.</p> <p>WARSI has a standard accounting and book keeping system. Currently there is no NGO-wide third party audit (although that has been discussed), and WARSI follows requirements of each donor for conducting a project based financial audit. Evidence of this was provided from other on-going projects.</p> <p>Each project managed by WARSI has an own bank account. Funds from carbon sales will be managed through a new bank account opened solely for this purpose. Third party audit of carbon account and community payments was discussed, and WARSI will discuss this with potential buyers.</p> <p>There is no regular reporting to government as of this time, but according to WARSI this is also not required.</p> <p>Government regulation (Attachment III Decree of Minister, Ministry of Forestry, P.36/Menhut-II/2009) provides distribution of benefits from carbon sales as of 20% government, 50% community, 30% developer). The same regulation also requires specific licence/permit (<i>izin usaha pemanfaat jasa lingkungan</i>) for sale of carbon.</p> <p>However, implementing rules and regulations for this decree have not been developed and it is not being implemented at the moment (cross-checked with other organisations). Therefore, it is reasonable to assume that proposed benefit sharing is in line with this (30% WARSI, 70% community) whereas percentage of the developer (WARSI) would remain the same in case this decree is being implemented in the future. Also it is likely that as of this moment the project can start without a specific permit from the government for carbon sales.</p> <p>According to community the government has not provided assistance for the preparation of village forest agreements, plans or monitoring systems, nevertheless if needed in the future the MoU/PES agreement (above) could be amended to include third party (government) and clarify the roles and responsibilities thereof.</p> <p>Regular meetings with the WARSI and the community are organised based on both written evidence and confirmed by the community.</p> <p>The Village Forest agreement provides basis for conflict resolution in case stipulations of the contract are being violated. However cancelling the existing tenure instrument is extremely rare and so far there is no clear monitoring requirements from the government. This means that MoU/PES agreement will need to clarify the conflict resolution mechanisms between community and WARSI and if this MoU is later updated to include also the role and responsibilities of the government it will eventually serve the needs</p>
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	<p>of all three parties in case of need for conflict resolution.</p> <p>WARSI is submitting regularly reports to donors and it is likely that there will not be a problem to follow the Plan Vivo template for reporting. Clarification on management of the monitoring system and data base will make this reporting easier in the future.</p>		
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<b>E. Corrective Actions</b>	<p><b>1<sup>st</sup> Minor CAR:</b> Project needs to provide an example PES agreement (which can further be modified when discussed with the community). It is enough to develop this at the level of WARSI at the moment and discuss this with the community only after a potential buyer is identified to make sure that unrealistic expectations are not raised.</p> <p><b>REPLY FROM WARSI:</b> We agree that the PES Agreement has not been settled yet with the community, because until now we have not found potential buyer for carbon credit derived from Bujang Raba. We will provide and communicate the PES agreement as soon as we got potential buyer. Despite of that, WARSI experienced working with local community for small agreement, such as try out benefit sharing distribution in 5 villages and also has collaboration with other 2 village councils in Bujang Raba, to support some activities on their village management plan. We firmly believe local community is trusted to run the project and responsible their progressive and financial report.</p> <p><b>VALIDATOR:</b> WARSI is preparing initial example PES Agreement, which they will send to Plan Vivo. See also suggested thresholds for payments and benefit sharing (<i>Table 22. and 23., page 57, PDD Sept 23 version</i>) these can be added as annex of the agreement, but should be further clarified and agreed with the community (modified if needed), after a potential buyer is identified.</p> <p><b>STATUS: Closed.</b> The project coordinator has agreed to draft and send a PES Agreement to the Plan Vivo Foundation as soon as a buyer is found. Also, the Foundation understands the need to discuss any benefit-sharing agreements directly with the community after the negotiations with the buyer have been concluded. An update on the status of the benefit-sharing agreement shall be included in the first annual report submitted after the first buyer is found.</p> <p><b>1<sup>st</sup> Observation:</b> It is recommended that as soon as potential buyer is identified each VFC will open an own bank account and guidelines on financial reporting required from the community are included in the monitoring plan/quarterly reporting format (see Minor CAR 1.4.E and Figure 2. in ANNEX 2.)</p> <p><b>STATUS: Closed.</b> The Project Coordinator has agreed to inform the Plan Vivo Foundation as soon as the bank accounts will be opened and an update will be provided in the first annual report.</p>		

<b>A. Requirement</b>	<b>1.2 Technical capabilities</b>  Is the project through its staff or partners able to provide timely and good quality technical assistance to producers and/or communities in planning and implementing the productive, sustainable and economically viable forest management, silvicultural and agroforestry actions proposed for the project and for any additional livelihoods activities that are also planned?		
<b>B. Guidance Notes for Validators</b>	Technical capabilities may be determined through: <ul style="list-style-type: none"> <li>• Discussions with project staff who should be able to define clearly who is responsible for the provision of technical support</li> <li>• Interviews with project staff to demonstrate that they are familiar with the content of project technical specifications e.g. species to be planted, spacing requirements, management systems and any potential issues</li> <li>• Feedback from farmers/communities who have been supported in the past</li> <li>• On-site evidence of project activities (possibly from other projects) that have benefited from technical support</li> </ul>		
<b>C. Findings (describe)</b>	<p>The roles and responsibilities of the staff managing the project are clear.</p> <p>WARSI has one full time facilitator (Dinaldi) based in Bungo District office to directly communicate with the communities on day-to-day basis. Based on field observations, he has excellent facilitation skills. He has been working five years with the community in Bujang Raba and has established close ties both with the community and the local government officials interviewed.</p> <p>Fredi Yusuf (carbon), Misawandi (biodiversity) and Emmy Primadona (social aspects/REDD program coordinator) support the project from the Jambi main office. They travel to project area approximately once a month.</p> <p>There is also full time Coordinator (Lenni Permata Sari) based in the Bungo Office who coordinates between the two main programs implemented in the district (Orang Rimba/indigenous people assistance and the Community Based Forest Management/village forests covered by this application).</p> <p>Based on field interviews community is very satisfied with the support and technical assistance provided by WARSI so far.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		

<p><b>A. Requirement</b></p>	<p><b>1.3 Social capabilities</b></p> <p>Is the project, through its staff or partners able to demonstrate an understanding of the social conditions of the target groups/communities and likely implications of the project for these? This might include:</p> <p>1.3.1 A demonstrated ability to select appropriate target groups through stakeholder analysis and to understand the implications of the project for specific groups e.g. poor, women, socially disadvantaged etc.</p> <p>1.3.2 Groups/communities that are well-informed about the Plan Vivo System and the nature of carbon and ecosystem services</p> <p>1.3.3 Local groups/communities that can demonstrate effective self-governance and decision-making</p> <p>1.3.4 Well-established and effective participatory relationships between producers and the project coordinator</p> <p>1.3.5 Demonstrated ability to establish land-tenure rights through engaging with producers/communities and other relevant organisations</p> <p>1.3.6 Ability to consult with and interact with producers/communities on a sustained basis through participatory ‘tools’ and methods</p> <p>1.3.7 Established system for conflict resolution</p>
<p><b>B. Guidance Notes for Validators</b></p>	<p>Social capabilities may be determined through:</p> <ul style="list-style-type: none"> <li>• Records/minutes/photographs of community meetings and training workshops etc.</li> <li>• Project staff able to explain (in line with PDD) how land tenure is checked by the project</li> <li>• Project staff and communities able to explain how communities/target groups were selected and involved in the development of the project and in the choice of activities</li> <li>• Project staff able to demonstrate that they are familiar with the communities/target groups and able to interact with them easily through meetings facilitated during the validation</li> <li>• Meetings held with specific target groups e.g. women, socially disadvantaged etc.</li> </ul>
<p><b>C. Findings (describe)</b></p>	<p>The project follows the official government procedure in the application and management of Village Forests (<i>Hutan Desa</i>) (Figure 3. Annex 2.). Without support from WARSI forging the agreements would not have been possible. It is evident that villagers are very proud of the village forest agreements, but at the same time they, with the exception of few key leaders, are unaware of the specific content of these written documents.</p> <p>Some of the community members interviewed expressed the difficulty to manage tasks that are now done by WARSI, particularly in fulfilling administrative requirements related to village forest agreements.</p> <p>This does not mean that community is not committed to sustainable</p>

	<p>management and forest protection, but merely shows the difficulty to stitch together the top down government led development planning (with rigid criteria for conformance) and bottom up process where existing and already well functioning practises can meet. Although the process is currently being simplified, up to date the government requirements for community based forest management follow the same level of scrutiny as the concession agreements forged between government and large corporations.</p> <p>The role of women and men in this traditional community is clearly divided. WARSI has until now worked with different set of activities for women and men which also follows the gender roles of the community. The experience of WARSI in supporting women saving groups and handicraft associations can provide an avenue to greater engagement of women in village forest management in the future (see also 4.1.C. below).</p> <p>Engagement of younger generation, particularly through carbon measurements by WARSI, has also built interest of the youth of the villages to support sustainable economic development based on protection of the natural forest.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<p>None.</p> <p><b>2<sup>nd</sup> Observation:</b> All VFCs should have signed copies of all agreements and plans submitted to the government concerning the village forest management. It is recommended that WARSI will provide them folder of containing all documents in case they do not have them in file.</p> <p><b><u>STATUS: Closed.</u></b> The Project Coordinator has agreed to provide all the VFCs with signed copies of the agreements.</p> <p><b>3<sup>rd</sup> Observation:</b> Providing further training and capacity building in computer literacy, accounting, management of monitoring systems is likely to enhance the ability of community to take full responsibility on their existing village forest management plans.</p> <p><b><u>STATUS: Closed.</u></b> A training session on accounting and computer literacy will be conducted by the Project Coordinator in May or June 2016 and it will involve both the VFCs and women's groups. In addition, in March or April 2016 another training session on monitoring systems will be organised for patrolling teams. The Project Coordinator has agreed to provide an update on the training sessions in the annual report.</p>		
<b>A. Requirement</b>	<p><b>1.4 Monitoring and Reporting capabilities</b></p> <p>Does the project have an effective monitoring and reporting system in place that can regularly monitor progress and provide annual reports to the Plan</p>		

	Vivo Foundation according to the reporting schedule outlined in the PDD?		
	<p>1.4.1 Accurately report progress, achievements and problems experienced</p> <p>1.4.2 Transparently report sales figures and demonstrate resource allocation in the interest of target groups</p>		
<b>B. Guidance Notes for Validators</b>	<p>Monitoring and reporting systems and capabilities may be determined through:</p> <ul style="list-style-type: none"> <li>• Staff and participating communities able to explain the monitoring system (how each of the indicators in the PDD will be monitored)</li> <li>• Records of any monitoring already undertaken e.g. baselines or other information</li> <li>• Project staff showing an understanding of the importance of annual reporting to Plan Vivo as a requirement for issuance of certificates</li> <li>• Demonstrated ability to produce simple reports (e.g. for other projects)</li> </ul>		
<b>C. Findings (describe)</b>	<p>Interviews with local forest office (<i>Dinas Kehutanan</i>) show that the local government is seeking support to develop monitoring system for the monitoring of village forest agreements. Based on existing regulations the Village Forests should be evaluated every five years but there are no existing guidelines to conduct monitoring or evaluations.</p> <p>This is an opportunity for WARSI to work together with the local government and the forest office to develop a clear system for monitoring and data management that meets the requirements for both. The PDD includes a detailed monitoring plan (Table 24. and 25. Pages 58-59 PDD version Sept 23.2015) but WARSI will need to clarify how the monitoring system is managed in practise (see Figure 2. Annex 2. of this report).</p> <p>The validator suggests that this system is further developed/tested together with the local government to make sure that it serves both the needs of the proposed project (monitoring plan of the PDD) and needs of the government for monitoring of the village forest agreements as well as overall management plans (RKHDs and RTHDs). This proposed system is then tested during the first year of implementation and results are reported in the second annual report (submitted to Plan Vivo in the end of 2016).</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions</b>	<p><b>2<sup>nd</sup> Minor CAR:</b> The project needs to clarify how data from the proposed monitoring system is managed (data base and monitoring tools/formats used by the community and by WARSI). The example on form for community level reporting in quarterly basis and database should be included in the PDD.</p> <p>It is proposed that WARSI will proved a proof of operational monitoring system and details of the database developed to store and analyse the date</p>		

	<p>during the second annual reporting prepared to Plan Vivo (in the end of 2016).</p> <p><b>REPLY FROM WARSI:</b> WARSI has been working on the monitoring system on the PDD. We agree that we need to make a proof of operational monitoring system and details of the database. Example of the database was sent November 11 2015.</p> <p><b>VALIDATOR:</b> Complied, also reporting sheet for the community was already discussed with WARSI connected to the database example provided. Monitoring system will be tested during 2016 and updates will be included in the second annual report 2016.</p> <p><b><u>STATUS: Closed.</u></b> The Project Coordinator has agreed to provide proof of the actual implementation of the monitoring system in the second annual report (scheduled now for January 2017).</p>
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<b>Theme</b>	<b>2. Carbon Benefits</b>		
<i>Ensuring that the project meets requirements 5.1-5.20 of the Plan Vivo Standard (2013)</i>			
<b>A. Requirement</b>	<b>2.1 Accounting methodology</b>		
	Have the carbon benefits been calculated using recognised carbon accounting methodologies and/or approved approaches and are the estimates of carbon uptake/storage conservative enough to take into account risks of leakage and reversibility?		
<b>B. Guidance Notes for Validators</b>	Check the carbon accounting methodology used including: <ul style="list-style-type: none"> <li>• The level of understanding of the methodology used amongst technical project staff</li> <li>• Whether all references and sources of information are available (include copies with the validation report if possible)</li> <li>• Whether the carbon accounting models are clear and transparent i.e. are the spreadsheets available and readily understandable? Can project staff answer and explain any technical questions about these?</li> <li>• Are local experts able to comment on the accounting methodology and on the sources of information used?</li> </ul>		
<b>C. Findings (describe)</b>	The methodology presented in the PDD follows that recommended by Plan Vivo ( <i>Plan Vivo Guidance Document for Reducing Locally-Driven Deforestation July 2015</i> ). Also the Plan Vivo TAC checked the technical specifications in detail and WARSI has complied with all suggested revisions (updated PDD version Sept 23 2015).  The methodology used was discussed in detail with Fredi Yusuf and he seems to have an excellent understanding on technical details required. He is also helping other organisations (including FFI) to define the appropriate carbon accounting methodology. He also operated GIS based (ArcWiev) spatial and geographical data with ease.		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		
<b>A. Requirement</b>	<b>2.2 Baseline</b>		
	Are the carbon benefits of the project measured against a clear and credible carbon baseline (for each project intervention)?		

<b>B. Guidance Notes for Validators</b>	<p>Check the baseline scenario in the technical specifications of the PDD:</p> <ul style="list-style-type: none"> <li>• Check that baseline measurements have been carried out and information properly recorded</li> <li>• Check that the information from the baseline matches that in the PDD/Technical specifications and corresponds to the situation on the ground (by discussing with local experts and others)</li> </ul>		
<b>C. Findings (describe)</b>	<p>Three allometric equations (Kettering (2001), Chave (2005), Basuki (2009)) were used to calculate the average carbon stock 287 (T/ha) based on measurements from 21 forest inventory plots. Based on the selected reference area and a 20-year reference period (1993-2013), after an initial revision of the reference area based on recommendations from the Plan Vivo TAC, the rate of deforestation was estimated as 1.6%/year.</p> <p>Forest areas visited are in very good condition (primary forest, well recovering secondary forest) and relatively high carbon value is likely to be accurate.</p> <p>The landscape around the Bujang Raba and in the Jambi Province as a whole has changed dramatically during the last decades. Oil palm plantations, rubber and acacia for pulp and paper (within concessions and also in private lands) are transforming the landscape. Rate of deforestation in surrounding areas is probably considerably higher than that 1.6%/year estimated for the project, this is therefore likely to be a conservative value.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		
<b>A. Requirement</b>	<p><b>2.3 Additionality</b></p> <p>Are the carbon benefits additional? Would they be generated in the absence of the project? Will activities supported by the project happen without the availability of carbon finance?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Assess whether the project simply owes its existence to legislative decrees or to commercial land-use initiatives that are likely to be economically viable in their own right i.e. without payments for ecosystem services.</p> <p>Also, assess whether without project funding there are social, cultural, technical, ecological or institutional barriers that would prevent project activities from taking place.</p>		

<b>C. Findings (describe)</b>	<p>At least temporarily the Village forest agreements (2009-2012) have effectively halted the deforestation in the project area. Based on narrative from community members prior to these agreements rubber gardens inside the forest area were increasing when community and outsiders made new claims within the forest area that was seen as a public resource.</p> <p>Now, to sustain this trend, it is clear that tangible benefits from conservation (PES) are needed and it is likely that in the absence of such incentives some community members could resort to fast cash available from conversion of forest, regardless of the existing village regulations.</p> <p>Until now VFCs have not received funding to support their own management plans (RKHD and RTHD/<i>plan vivos</i>) and some of the community members expressed their frustration for the long process of acquiring the management rights and current lack of funding to implement their approved plans.</p> <p>The VFCs are new organisations and presence of WARSI important to support capacity development of VFCs and institutional practises to ensure that benefits are shared with the entire community.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		
<b>A. Requirement</b>	<p><b>2.4 Permanence</b></p> <p>Are potential risks to the permanence of carbon stocks identified in the project technical specifications and are effective and feasible mitigation measures included in the project design?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Assess whether members of the community/producers are aware that they will enter into formal sale agreements with the project coordinator and that they therefore need to comply with the monitoring and mitigation requirements of the project.</p> <p>Check whether the risk buffer proposed in the PDD and technical specifications for each intervention (that will be deducted from the saleable carbon of each producer) conforms to the recommended percentages in the Plan Vivo Standard or other Plan Vivo documentation. Check with Plan Vivo if this is unclear.</p>		
<b>C. Findings (describe)</b>	<p>The sale of carbon is a new activity for WARSI. Until now community has been involved in conducting carbon measurements and is aware that sale of carbon, as one of the resources in protected forest, could be utilised to support conservation based village development.</p> <p>Nevertheless, also because as of today there is no certain buyer for carbon, WARSI has not raised unrealistic expectations on availability of funds and</p>		

	<p>carbon measurements have been conducted “to research and measure” the carbon resources rather than directly leading to a possible sale agreement.</p> <p>Because the community has earlier entered into contract (MoU) with WARSI, they are aware that disbursement of funds is dependent on the performance, which requires timely reporting and monitoring of progress. Details of this will still need to be discussed with the community.</p> <p>To protect that funds are disbursed based on performance, WARSI has a plan to apply three months reporting cycle where quarterly reports from VFCs are first approved by the Village Forest Forum VFF (representing the five VFCs involved in the project) and then submitted to WARSI (see Figure 1. and Figure 2. in the Annex 2. of this report).</p> <p>20% risk buffer is included in the proposal (as recommended by the Plan Vivo Guidelines). It is also likely that not all carbon is sold during the first years of implementation while the organisation will have to find possible buyers.</p> <p>Probably the main threat to the Bujang Raba as well as Kerinci Seblat National Park comes from the forest area now allocated as <i>production forest</i> in between of these two areas (for the location of this see Figure 4. In the Annex 2. of this report). This area is currently reserved to a concession company for pulp and paper production and two mining reservations are also located in the area. Up to date, these have not received permits, presumably because of the government moratorium in cutting of natural forests. Based on review of WARSI and remarks from the community, this area is still same quality primary forest as the forest in the project area.</p> <p>WARSI is advocating that this area should be reclassified as protection forest. In the past years the production forest areas both sides were already converted from natural forest to plantations, with permits. In case this remaining area is also converted, it will open up roads and the leakage belt area Map 11. Page 47 in the PDD) identified in the proposal will be threatened.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<p>None.</p> <p><b>4<sup>th</sup> Observation:</b> Management of the area currently allocated as <i>production forest</i> in between the project area and the Kerinci Seblat National Park (Figure 4. Annex 2.) is critical for the protection of Bujang Raba. This area is currently allocated to concession company, but lacks permits (moratorium for issuing permits to forest area). Based on statements of the community forest is still same type of primary forest as the one in Bujang Raba area.</p> <p><b><u>STATUS: Closed.</u></b> The observation mentioned by the validator has been noted by both the Plan Vivo Foundation and the Project Coordinator. The Foundation fully supports the Project Coordinator’s plan to potentially expand the project</p>		

	area to include the zone between the project and the Kerinci Seblat National Park in order to avert its conversion to commercial activities.		
<b>A. Requirement</b>	<b>2.5 Leakage</b>		
	Have potential sources of leakage been identified and are effective and feasible mitigation measures in place for implementation		
<b>B. Guidance Notes for Validators</b>	Check the sources of leakage and the effectiveness of mitigation measures: <ul style="list-style-type: none"> <li>• By discussions with local experts, the project coordinator and others.</li> <li>• Assess whether there is a good understanding of the importance of addressing leakage amongst project participants</li> <li>• Assess whether the mitigation measures proposed are really effective and likely to be implemented. Have they already started?</li> </ul>		
<b>C. Findings (describe)</b>	<p>Concept of leakage is understood by WARSI and by the community. Leakage is likely to be close to zero but, as recommended by the TAC, 5% leakage was included in the proposal to be on the safe side. The leakage belt was established in the north side of the project area (Map 11. Page 47 in the PDD). Threat to this area is relative to the access (could come from the Southwest instead of leakage from the project area see discussion above).</p> <p>The ‘jungle rubber gardens’ /agroforestry zone outside the project area is providing necessary wood for the community (firewood, timber needed for building houses etc.). This was also observed during the visit. Each family visited had still an ample area of at least one hectare of ‘jungle rubber gardens’ besides the rice paddies and other agricultural areas. The agroforestry measures supported by the project are implemented in this area (outside the VF) and are envisioned to increase biomass and enhance productivity.</p> <p>WARSI is currently supporting village based spatial planning (tata ruang micro). The aim is to map out entire village area including the village forest area (state-owned forest land) and privately-owned lands (rubber gardens, agricultural areas and settlement area). This will provide a good basis for a holistic village development planning while activities in conservation areas can clearly be linked to the activities in the production areas. Based on interviews, the Local Planning and Development Agency (BAPPEDA) and Sub-District Government (kacamatan) are involved in the process and are also very satisfied with the results so far.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		
<b>A. Requirement</b>	<b>2.6 Traceability and double-counting</b>		

	<p>Are carbon sales from the project traceable and recorded in a database?</p> <p>Are the project intervention areas covered by any other projects or initiatives (including regional or national initiatives)? Are there formal mechanisms in place to avoid double counting?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Check the possibility of double counting and whether the carbon sales are traceable by:</p> <ul style="list-style-type: none"> <li>• By discussions with local experts, the project coordinator and other projects (including any national or regional level GHG coordination unit)</li> <li>• Understanding the project system for maintaining records of carbon sales and keeping records and determining whether this is sufficiently robust and transparent (through discussions with project staff and local participants)</li> </ul>		
<b>C. Findings (describe)</b>	<p>There is no previous history of selling carbon in the area. The carbon credits will be entered into <b>Markit Environmental Registry</b>. No likelihood of double counting.</p>		
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p>None.</p>		
<b>A. Requirement</b>	<p><b>2.7 Monitoring</b></p> <p>Does the project have a monitoring plan in place? Is it being implemented and does it seem to be an effective system for monitoring the continued delivery of the ecosystem services?</p> <p>Does the project coordinator prescribe and record corrective actions where monitoring targets are not met and are these effectively followed up in subsequent monitoring?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Check whether the monitoring plan is effective and likely to be fully implemented:</p> <ul style="list-style-type: none"> <li>• Assess the level of understanding of project staff and participating communities of the monitoring system and ensure that there are responsibilities for monitoring are matched by sufficient capacity</li> <li>• Are the selected indicators (covering all aspects of monitoring) SMART? I.e. Specific, Measurable, Achievable, Relevant and Time-bound?</li> <li>• Do the selected indicators properly measure impacts of the project or are they only able to measure inputs/activities?</li> <li>• Are communities effectively involved in monitoring and do they understand their role?</li> </ul>		
<b>C. Findings</b>	<p>The DDP includes a very good monitoring plan (Tables 24. and 25. Pages 58-60) and WARSI clearly understands the indicators used. To operationalise this,</p>		

<b>(describe)</b>	there is a need to develop clear strategies on how this plan can be implemented in practise (monitoring formats/tools for community and data base to gather the data).		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<p><b>Minor CAR</b> (same as 1.4.E.) with same comments as above in effective and transparent project governance (1.4.E.) also see Figure 1. in Annex 2. for proposed reporting system.</p> <p><b>REPLY FROM WARSI:</b> see above 1.4.E</p> <p><b>STATUS: Closed.</b> The Project Coordinator has agreed to provide more details on how to operationalize the monitoring plan in the second annual report.</p>		
<b>A. Requirement</b>	<p><b>2.8 Plan Vivos</b></p> <p>Are the <i>plan vivos</i> (or land management plans) clear, appropriate and consistent with approved technical specifications for the project? Will implementation of the plans cause producers' overall agricultural production or revenue potential to become unsustainable or unviable?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Where small-holder farmers have prepared individual <i>plan vivos</i>, check a sample of these on the ground (in the company of the farmer) to determine whether they have really been prepared by the farmer and what the farmer expects to be the results of implementation.</p> <p>For community-projects managing a common (forest) resource, check the management plan for the forest area and assess the extent to which target groups within the community have been involved in preparing it (especially women and disadvantaged groups) and the extent to which its future impacts have been discussed and agreed.</p>		
<b>C. Findings (describe)</b>	<p>The village forest is communally managed so the <i>plan vivo</i> is equivalent to the 35 years management plan (<i>Rencana Kerja Hutan Desa HKHD</i>) and annual plan (<i>Rencana Tahunan Hutan Desa RTHD</i>) (see also Figure 3. Annex 2. for clarification). These plans were prepared between 2012-2015 for all villages included in the project.</p> <p>Examples of plans were provided, but not available in all villages visited (see observation in 1.3.E above).</p> <p>The annual plans lack a budget for implementation. While the Government requirements for Village Forest Management Plans are technically demanding, WARSI has extensively supported delivery of the plans. (see also comments in 1.3.C. and E.).</p> <p>Community members interviewed stated two main activities that they would like to support: one being the agroforestry development and second ecotourism. Besides this, current management plans include boundary demarcation and patrolling activities. (See comments in 4.1.E. for internalisation of these plans and ownership of the community to use these as a main guidance for the management of the area.)</p> <p>Furthermore, more recent village forest plans villages have also formulated</p>		

	<p>PERDUS (village regulations). These regulations were formulated during the ICDP-TKNS program in 1997-1999. The PERDUS of Lubuk Beringin village states that the village should conform with <i>maintaining forest areas, not cultivating areas more than 80% slope, planting bamboo along riverside to stop erosion and landslides.</i></p>		
<b>D. Conformance</b>	<p>Yes <input checked="" type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
<b>E. Corrective Actions (describe)</b>	<p>None.</p>		



<b>Theme</b>	<b>3. Ecosystem benefits</b>		
<i>Ensuring that the project meets requirements 2.1-2.4 of the Plan Vivo Standard (2013)</i>			
<b>A. Requirement</b>	<b>3.1 Planting native and naturalised species</b>		
	Are the planting activities of the project restricted to native and naturalised species? If naturalised species are being used are they invasive and what effects will they have on biodiversity? Have the species been selected because they will have clear livelihoods benefits?		
<b>B. Guidance Notes for Validators</b>	Check this using a number of sources: <ul style="list-style-type: none"> <li>• Visual observations of local tree-growing practices</li> <li>• Discussions with communities and project staff</li> <li>• Discussions with local experts (forestry and biodiversity experts)</li> <li>• Published information (refer to this in the validation report if used)</li> </ul>		
<b>C. Findings (describe)</b>	<p>Certification involves only prevention of ecosystem conversion or ecosystem degradation (2.1.3. in Plan Vivo Standard), and there is no planting of trees in this area.</p> <p>Funds from carbon sales will be used partly to develop agroforestry areas and to also increase the productivity of these areas (proposed companion plants to rubber are cacao, cardamom and dragon's blood). These species have livelihood benefits. Agroforestry areas (that could be certified in the future) are also managed to provide ecosystem services. Up to today, the community has discouraged industrial type rubber plantations and rubber is only grown in "jungle rubber gardens" mixed with natural vegetation and companion species.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		
<b>A. Requirement</b>	<b>3.2 Ecological impacts</b>		
	Have the wider ecological impacts of the project been identified and considered including impacts on local and regional biodiversity and impacts on watersheds?		
<b>B. Guidance Notes for Validators</b>	Check this using a number of sources: <ul style="list-style-type: none"> <li>• Visual observations of the environment in the project area</li> <li>• Discussions with communities and project staff</li> <li>• Discussions with local experts (environmental experts)</li> <li>• Published information (refer to this in the validation report if used)</li> </ul>		
<b>C. Findings</b>	The Bujang Raba lies within the upper watershed of the Batang Bungo, Batang		

<b>(describe)</b>	<p>Senamat and Pelepat Rivers, and part of the Trunk Tebo in Batang Hari River basin ecosystem providing water not only to the villages involved but also, thanks to the Batang Hari River, as far as to Jambi. The village forest areas were delineated based on catchment areas providing water for the agricultural zones of the villages. Up to date, the main tangible benefits from conservation are water shed services.</p> <p>In Senamat Ulu village, a mini hydropower (established two years ago and funded by the Government) is giving electricity to all 150 households in the village. This year, Indonesia as a whole has suffered from an unusually long dry season so that the hydropower station was not working during the visit, but it was well managed and probably will start operating again as soon as first rains will arrive.</p> <p>All the forest areas visited and observed from a distance are in good conditions and, based on community and baseline included in the long term management plans (RKHD), they host a diverse flora and fauna (for example 170 different tree species were identified in the RKHD of Lubuk Beringin). The 35-year management plan includes a biodiversity survey and this can be used as a baseline for the project.</p> <p>All villages see ecotourism development as one of the possible income sources. Villages are planning to expand ecotourism (<i>ecowisata</i>) and only by protecting the forests and environment can these plans be achieved.</p>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	None.		

<b>Theme</b>	<b>4. Livelihood Benefits</b>
<i>Ensuring that the project meets requirements 4.1-4.14, 7.1-7.5 and 8.1-8.10 of the Plan Vivo Standard (2013)</i>	
<b>A. Requirement</b>	<p><b>4.1 Community-led planning</b></p> <p>Has the project has undergone a producer/community-led planning process aimed at identifying and defining sustainable land-use activities that serve the community's needs and priorities?</p>
<b>B. Guidance Notes for Validators</b>	Assess this by discussions with project staff and communities and by looking at any records of the planning process. It may be useful to conduct a time-line exercise with communities to understand the planning process that has taken place.
<b>C. Findings (describe)</b>	<p>Few key leaders in the community initiated the village forest process almost 10 years ago and continue to act as an important bridge between WARSI and community members at large. By supporting their efforts, WARSI is best positioned to continue the community-led process.</p> <p>At the same time, WARSI has the important role to monitor that village forest benefits (and not only those who initiated the conservation). It is assumed that thanks to its clear monitoring plan, WARSI can help to voice out the concerns of the poor and marginalised if those groups seem to be left out from the planning process.</p> <p>Several research projects were already conducted and academic papers were written on experiences of Bujang Raba and particularly from the Lubuk Beringin (CIFOR, ICRAF etc.). At the same time, some of the community members expressed the need to have more approachable materials (rather than academic publications) that could help to preserve the traditional management practises and local wisdom.</p> <p>It is good that female facilitators will join to the field activities to work directly with women and, in addition, WARSI has already stated that they are planning to have a training activity on gender for facilitators.</p> <p>There are also other lessons learned that can be drawn and used to improve future planning:</p> <ul style="list-style-type: none"> <li>• The sale of rubber at the local market seems to be sufficient at the moment. Connecting community to Bridgestone Rubber factory through a certification of rubber (as envisioned during the RUPES program—with CIFOR and ICRAF in 2000-2004) is not pursued at the moment. The community states that they cannot produce the required quantities of rubber for Bridgestone.</li> <li>• Also, as opposed to the government advice to intensify the rubber production, the community has chosen a different development path. They prefer to increase productivity by planting companion species (and experimenting with new species such as dragon's blood). This</li> </ul>

	demonstrates that they have a clear vision to develop their agroforestry activities in line with the conservation goals in the future.		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<p>None.</p> <p><b>5<sup>th</sup> Observation:</b> Internalisation of the village forest management plans by the community is on-going, but the understanding of the content of these (technical plans conforming to government requirements) and role that they play in the village forest management is still limited. To enhance ownership of community and at the same time support ecotourism goals set for the village, the project could emphasise the value of traditional management practises and help collect local wisdom. Further documentation and dissemination both of formal plans and local wisdom together with the presentation of this through appropriate media that is approachable for all community members (songs, videos, stories, art etc.) could be encouraged to support awareness-raising efforts of local leaders and VFCs.</p> <p><b>STATUS: Closed.</b> Further training for participating members of local communities is on-going and is scheduled to be conducted by the Project Coordinator during the first half of 2016.</p> <p><b>6<sup>th</sup> Observation:</b> As community holds traditional space separating clearly the women's and men's role, women are currently not present in the VF committees. This should also not be required, but instead WARSI could think of other ways to better involve women in VF management (for example while women have a clear role in economic activities they could involve in financial management of the VF).</p> <p><b>STATUS: Closed.</b> The Project Coordinator is now implementing a new requirement throughout the different components of the project that states that any meeting involving decision-making activities should include at least 30% of women.</p>		
<b>A. Requirement</b>	<p><b>4.2 Socio-economic impact assessment/monitoring plan</b></p> <p>Is there a robust socio-economic impact assessment and monitoring plan in place that can measure changes against the baseline scenario?</p>		
<b>B. Guidance Notes for Validators</b>	<p>Discuss with project staff and communities to understand how the baseline assessment was conducted and how the socio-economic monitoring plan developed out of this. Assess in particular:</p> <ul style="list-style-type: none"> <li>• Whether the livelihoods indicators can effectively monitoring socio-economic changes taking place</li> <li>• The extent to which women, disadvantaged people and other social groups have been involved project processes and whether the selected indicators will enable impacts on them to be determined</li> </ul>		

	<ul style="list-style-type: none"> <li>Whether any groups in the community are likely to be adversely affected by the project and whether there are any mitigation measures in place to address this</li> </ul>			
<b>C. Findings (describe)</b>	<p>The socio-economic profile of the community is included in the 35 years village forest management plan. This serves as a baseline for the project.</p> <p>Women's groups have also developed their own monitoring systems and apply measures to make sure that those with economic difficulties have access to loans as well (for example based on discussion some members were not able to pay back their loans because of the low price of rubber and the association applied new payment schemes to ensure their participation).</p> <p>WARSI will have the main responsibility of making sure that socio-economic indicators included in PDD are followed up. The results of this should then be discussed with the community as a whole.</p>			
<b>D. Conformance</b>	<table border="1"> <tr> <td>Yes <input checked="" type="checkbox"/></td> <td>No <input type="checkbox"/></td> <td>N/A <input type="checkbox"/></td> </tr> </table>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
<b>E. Corrective Actions (describe)</b>	<p><b>Minor CAR</b> (same as 1.4.E)</p> <p><b>REPLY FROM WARSI:</b> see above 1.4.E</p> <p><b>STATUS: Closed.</b> The socio-economic monitoring plan will be finalised in 2016 as agreed with the Project Coordinator.</p>			
<b>A. Requirement</b>	<p><b>4.3 Sale agreements and payments</b></p> <p>Does the project have clear procedures for entering into sale agreements with producers/communities based on saleable carbon from <i>plan vivos</i>?</p> <p>Does the project have an effective and transparent process for the timely administration and recording of payments to producers?</p>			
<b>B. Guidance Notes for Validators</b>	<p>Check the systems that are being proposed by the project and make an assessment of whether these are fully functional already or whether they can be made functional when required? Are communities/producers aware of the system and do they understand it? Are documents and materials readily available to producers/communities?</p>			
<b>C. Findings (describe)</b>	<p>VFCs are registered organisations and can open their own bank account. Community representatives confirmed that they would do so as soon the village forest management plans would receive a budget.</p> <p>Based on annual management plans (RTHD), WARSI will ask the VFCs to develop a quarterly plan and further disbursements are dependent on the submission of the report confirming that the quarterly plan submitted has been implemented (including activities conducted, financial report and quarterly monitoring data). Before this report is submitted to WARSI, it is checked and approved by the village forest forum (VFF/FKPH) representing all</p>			

	<p>five-village forest councils (for details see Figure 1. and 2. Annex 2.).</p> <p>PES agreement /MoU between WARSI and the community (VFC and or VFF) will include roles and responsibilities of each (WARSI, VFC and VFF). It will also clarify the reporting requirements of the community and WARSI and how indicators included in the monitoring plan are monitored (who monitors, how and when). Conflict resolution mechanisms are included in the PES agreement.</p> <p>Forms for reporting and monitoring (particularly for the reporting of the community) could be included as annex of the PES agreement.</p>						
<b>D. Conformance</b>	<table border="1"> <tr> <td>Yes</td> <td><input checked="" type="checkbox"/></td> <td>No</td> <td><input type="checkbox"/></td> <td>N/A</td> <td><input type="checkbox"/></td> </tr> </table>	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>		
<b>E. Corrective Actions (describe)</b>	<p><b>Minor CAR</b> (same as 1.1.E.)</p> <p><b>REPLY FROM WARSI:</b> see above 1.1.E</p> <p><b><u>STATUS: Closed</u></b></p>						
<b>A. Requirement</b>	<p><b>4.4 Benefit sharing and equity</b></p> <p>Will the project have livelihoods benefits for the local community? Are these benefits likely to accrue to all community members and/or are benefits targeted at particular groups within the community? What other actions is the project taking to ensure that disadvantaged groups e.g. women, landless households, poor people will benefit from sales of Plan Vivo certificates?</p>						
<b>B. Guidance Notes for Validators</b>	<p>Whilst there may be livelihoods benefits resulting from the project aspects of benefit sharing are critical to ensure that benefits are equitably shared. This can be assessed by:</p> <ul style="list-style-type: none"> <li>• Checking whether a local stakeholder/well-being analysis has been conducted to identify socio-economic groupings in the community</li> <li>• Assessing the level of governance of local groups (are issues of equity and benefit sharing discussed during meetings?)</li> <li>• Discuss with a small sample of households from different socio-economic groups to determine their level of understanding of the benefits they are likely to get from the project.</li> </ul>						

<b>C. Findings (describe)</b>	<p>The village forest activities are based on annual plans and many activities that were mentioned by the members of the committee during the visit will definitely benefit the entire community including disadvantaged groups:</p> <ul style="list-style-type: none"> <li>• Repairing bridges and access path (possible to access with a motorbike) will benefit all community members while their individual agroforestry areas area located adjacent to the forest areas.</li> <li>• Based on the answers provided by some of the respondents, part of the funds should be reserved for social purposes (health, education) that will benefit the whole community.</li> <li>• The local elite does not usually conduct “forest patrolling” so this is likely to provide income for marginalised members of the community.</li> <li>• Agroforestry support is available for all community members.</li> </ul>		
<b>D. Conformance</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<b>E. Corrective Actions (describe)</b>	<p>None.</p> <p><b>7<sup>th</sup> Observation:</b> In the early stages of implementation role of WARSI is to ensure the village forest management benefits all members of the community. WARSI can help to voice out concerns of those who are not actively participating in planning and decision-making. Monitoring results are discussed with the VFC/VFF to ensure that importance of including these social indicators is gradually institutionalised in village forest management led by the community.</p> <p><b><u>STATUS: Closed.</u></b> The Project Coordinator has already elaborated a grievance mechanism that non-participating members of the community are able to use to channel their complaints about the projects. Moreover, the monitoring plan is deemed comprehensive enough that issues affecting non-participating members of the community would be identified at an early stage.</p>		

## ANNEX 1. Schedule of validation, people interviewed

### Field visit plan Bujang Raba validation

DATE	ACTIVITY	DETAILS AND PEOPLE INTERVIEWED
Thursday 22.10.	Review of documents	See No. 5. In the report Skype with <b>Matteo Bigoni, Plan Vivo</b>
Friday 23.10.	Review of documents	See No. 5. In the report
Sunday 25.10. <i>Overnight Jambi</i>	Travel Jakarta-Palembang-Jambi	Arrival to Palembang flight GA 104 10.40, travel by car to Jambi.
Monday 26.10 Warsi Office (Telainpura, Jambi)  <i>Overnight Jambi</i>	Meeting with the team involved in the PDD drafting  In depth discussion with key staff <ul style="list-style-type: none"> <li>• Monitoring</li> <li>• Finance</li> <li>• Admin</li> </ul> Discussion with director of Warsi	<b>Emmy Primadonna, Project Manager</b> <b>Fredi Yusuf, Business Manager for Carbon Sales</b> Introductions, main elements of the PDD, purpose and process of validation <b>Retty Fistiana, Finance Assistant</b> <b>Sri Hidayati, Office Manager</b> Review governance of the proposed project (particularly Warsi systems for admin, finance and monitoring). <b>Diki Kurniawan, Executive Director</b> History and future plans of the organisation, funding sources, challenges. Relation of the proposed activities and other on-going and planned projects of the organisation.
Tuesday 27.10 Warsi Office/ Jambi town (SSS office)	<ul style="list-style-type: none"> <li>• Meeting with SSS (NGO partner of Warsi)</li> </ul>	<b>Tono, Program Manager, Sumatra Sustainable Support (SSS Pundi Sumatera)</b> Explore relation of Warsi with the partners (government/other NGOs/donors etc.).
Bungo Warsi office <i>Overnight Bungo</i>	<b>Afternoon/Evening</b>	<b>Travel to Bungo (7 hours)</b> Discuss with Fredi (carbon monitoring) and Emmy (social aspects)
	Discussion with the team Emmy, Freddy, two facilitators	Clarification and preparation for the village visits
Wednesday 28.10.   Travel to Lubuk Beringin village 1.5 h	Meeting with Government Forest Office in Bungo ( <i>Dinas Kehutanan</i> )  Government Planning and Development Office in Bungo (BAPPEDA) Government Sub-District Office ( <i>Kacamatan</i> )	<b>Alif Tantun Hartana, Chief Social Forestry</b> <b>Tresno Putra Utana, Staff Social Forestry</b> <b>Ishak Rais, Head of the District Forest Office</b> Discussion on village forest/Hutan Desa management, governance, past and present activities, links to village governance (planning/budgeting), traditional/customary institutions/conflict resolution mechanisms etc. <i>Note: Bappeda representatives were on meeting in Jakarta could not meet them</i> <b>Zahari, (Mac), Head of Division, Sub-District Kacamatan Batihini Hulu II</b> (includes all five villages covered by the project) <b>Solihin, Village Leader Lubuk Beringin</b>
	Meeting with <ul style="list-style-type: none"> <li>• Village forest council representatives</li> <li>• Customary forest council representatives</li> </ul>	<b>Customary Leader: Pak Haji Danuri, VFC: Pak Tarmisi (Selamat Ulu), Pak Hadari (Lubuk Beringin), Pak Sam Suri (Dusum Buat), Pak Bakian (Lubuk Beringin), Pak Pahmi (Sungai Tnang), Pak Emraoit (Lubuk Beringin), Pak Fauson (Selamat Ulu), Pak Hadirin (Lubuk Beringin)</b> Discussion on village forest/Hutan Desa



<p><i>Overnight in the village</i></p>	<ul style="list-style-type: none"> <li>• Women cooperative, handicraft association</li> </ul>	<p>management, governance, past and present activities, links to village governance (planning/budgeting), traditional/customary institutions/conflict resolution mechanisms etc.</p> <p><b>Ibu Hadija (Menguang Lamang Panjang), Ibu Normiis (Selamat Ulu), Ibu Rani (Lubuk Beringin)</b> and discussion with the <b>women cooperative members</b> in Luubuk Beringin</p> <p>In the evening more in depth discussion with Pak Bakian</p> <p>Review of existing village forest/Hutan Desa management plans. How these are currently financed, governance arrangements, responsibilities and benefit sharing.</p>
<p><b>Thursday 29.10.</b></p> <p><i>Travel back to Bungo 1.5 h</i></p> <p><i>Overnight in Bungo</i></p>	<p><b>Meeting with the farmers / forest protection groups</b></p> <ul style="list-style-type: none"> <li>• visiting <b>forest areas</b></li> <li>• visiting rubber gardens</li> <li>• <b>agricultural/agroforestry</b> areas, farm households</li> </ul> <p>Discussion with the Head of Village Forest Forum</p> <p>Visiting Hydro Power Plant (pembangkit listrik Tenaga Mikro Hidro PLTMH) in Selamat Ulu</p> <p>Wrap up meeting in the Warsi office Bungo</p>	<p>Visits to agroforestry areas/jungle rubber gardens, forest areas, discussion with farmers/farmer hh along the way.</p> <p>Exploring context of forest protection, use of forest products by the community, systems for carbon/biodiversity monitoring (existing or planned), agroforestry systems, livelihood activities proposed in the PDD, current farming-land management practises, market linkages, rubber gardens and tourism potential.</p> <p><b>Pak Jeremi, Head of Village Forest Forum</b> (forum of all 5 village forests)</p> <p>-proposed activities, expected outcomes, PES agreements/benefit sharing</p> <p><b>Pak Bakian, Operator of the Hydro Power Plant</b> (also participating carbon monitoring and forest protection activities)</p> <p>Exploring potential for hydropower</p> <p>Discussion on main findings, follow up</p>
<p><b>Friday 30.10.</b> Bungo-Padang-Jakarta</p>	<p>Travel back to Padang-flight to Jakarta</p>	<p>Travel by car to Padang 6 hours</p> <p>Flight: GA0167 T 30Oct GARUDA INDONESIA 16.40 to Jakarta</p>
<p><b>Monday 2.10.</b></p> <p>Jakarta</p>	<p><b>Drafting report</b></p>	<p>Skype with</p> <p><b>Mark Poffenberger, Community Forest International</b></p>
<p><b>Tuesday 3.10.</b></p> <p>Jakarta</p>	<p><b>Drafting report</b></p>	<p>Meet with</p> <p><b>Arif Aliadi, Coordinator Indonesian PES consortium</b></p> <p><b>Hasbi Berliani, Program Manager, Kemitraan</b></p> <p><i>Submit draft report</i></p>
<p><b>Sunday 15.10.</b></p>	<p><b>Revisions if any</b></p>	<p>Submit final report</p>

## ANNEX 2. Figures referred in the text

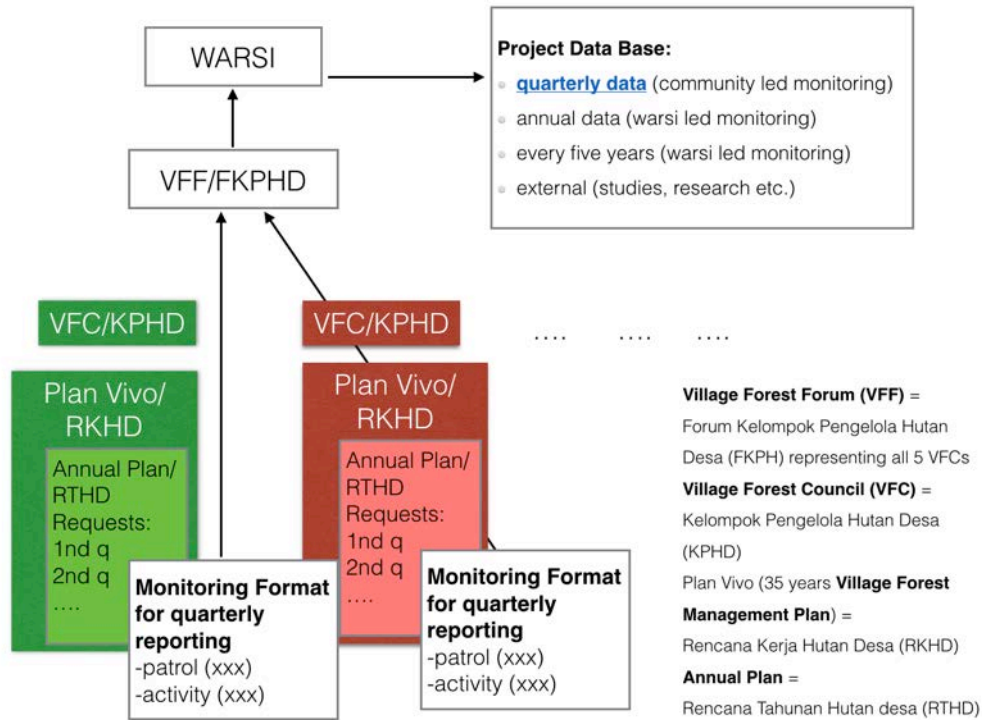


Figure 1. Quarterly reporting by the community will be channelled through village forest forum

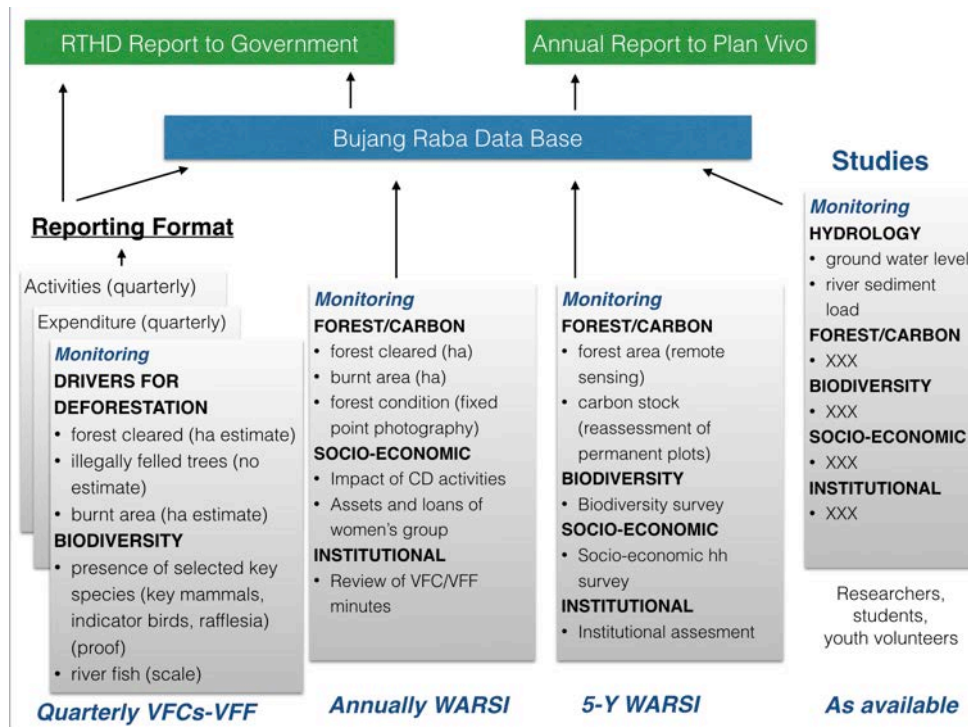


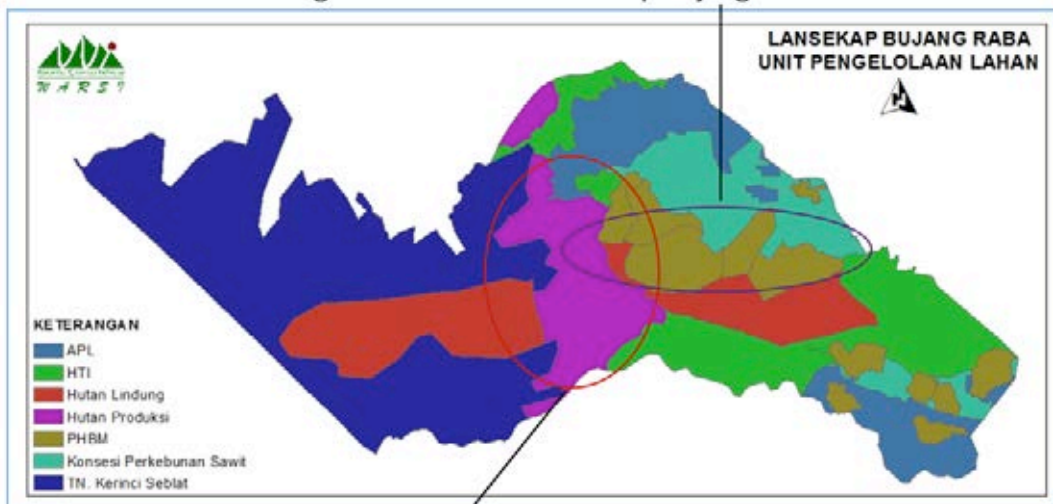
Figure 2. Monitoring data is entered into Bujang Raba data base shared with WARSI, community and the government

## Process of the Village Forest Management



Figure 3. Agreements and plans required by the government connected to the village forest management

Gambar 7. Peta Unit Pengelolaan Lahan di Lansekap Bujang Raba



*Production Forest south-west from project area that is critical for the protection of Bujang Raba (and also Kerinci Seblat National Park)*

**Figure 4.** Allocations around Bujang Raba village forest areas

### ANNEX 3. Pictures



WARSI Main Office in Jambi



NGO partner SSS Pundi Office in Jambi



Forest Office in Bungo District



Sub-District Office of Bathin III Ulu



WARSI sub-office in Bungo District



Meeting with VFC and village elders



Discussing with farmers



Discussing with farmers



Irrigated rice paddies



Fish pond



Visit to forest areas



Demo on carbon



Large tree in the forest



Visit to forest areas



Mini hydro power station



Leisurely fishing



Forest honey and traditional fishing gear



Map of customary forest



At home of Village Forest Forum leader

Forest team