Guidance on using the CCB Standards Third Edition

9.00-10.00 AM EDT
11th March 2014
Webinar

CCB Standards
The Climate, Community & Biodiversity Alliance
December 2013

Third Edition
Climate, Community & Biodiversity Standards

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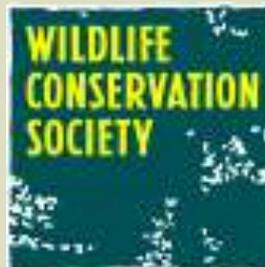
Webinar agenda

1. **Introduction to the CCB Standards and Guidance**
   - Joanna Durbin, CCBA

2. **Defining Boundaries**
   - Priti Narasimhan, CCBA

3. **Stakeholder Engagement and Free, Prior & Informed Consent**
   - Joanna Durbin, CCBA

4. **Net Climate Benefits**
   - Ian Starr, Rainforest Alliance

5. **Programmatic Approach**
   - Jeffrey Hayward, Rainforest Alliance

6. **Community Gold Level**
   - Priti Narasimhan, CCBA

7. **Feedback and questions**

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Alliance Members

The CCBA brings together diverse actors to develop global standards that drive creation of forest carbon policies, programs and projects to stabilize global climate change, benefit the world's poor and maintain biodiversity and healthy ecosystems.
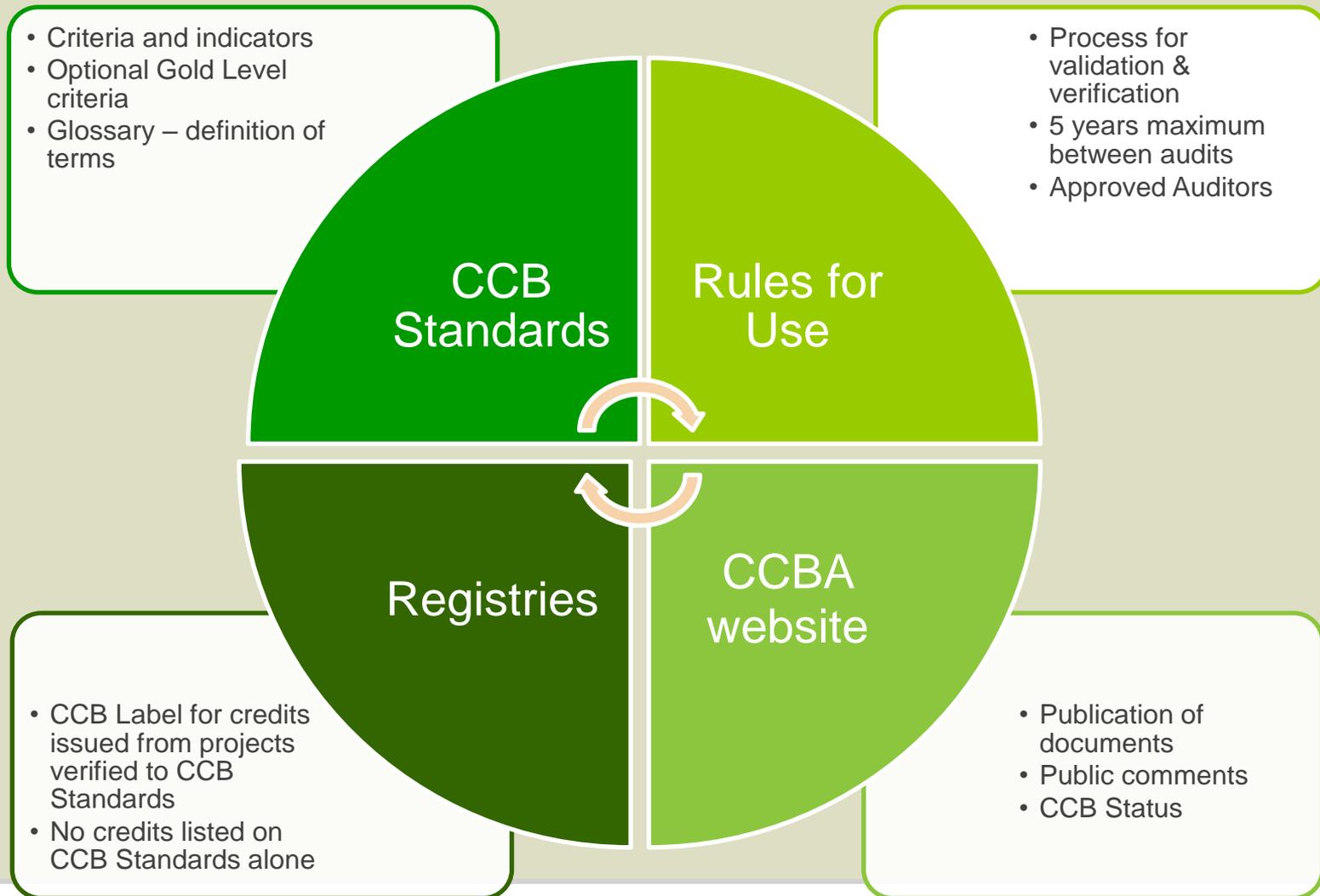
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The most widely used multiple-benefit standard

- 81 projects validated and 17 verified to CCB Standards in 34 countries

- 78% of forest carbon credits using a multiple benefit standard used CCB Standards
  - Ecosystem Marketplace 'State of Forest Carbon Market 2013'

CCB Standards system for quality assurance

- Criteria and indicators
- Optional Gold Level criteria
- Glossary – definition of terms

CCB Standards

Rules for Use

- Process for validation & verification
- 5 years maximum between audits
- Approved Auditors

- CCB Label for credits issued from projects verified to CCB Standards
- No credits listed on CCB Standards alone

Registries

CCBA website

- Publication of documents
- Public comments
- CCB Status

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Development of CCB Standards Third Edition and Guidance

2005: CCB Standards First Edition

2008: CCB Standards Second Edition

2012: CCB Standards for smallholder initiative

2013: Standards Committee, 2 public comment periods

December 2013: CCB Standards Third Edition and Rules

March 2014: Guidance

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Validity of versions

- Rules effective from release in December 2013

- CCB Standards Third Edition must be used for any project starting validation from 1st July 2014

- Projects are verified against validated project design, using the same version of CCB Standards

- Changes in project activities or impacts require a new or gap validation and upgrade to Third Edition

Main changes in Third Edition

- Supports smallholder- and community-led projects
  - Community Gold level
  - Programmatic approach

- Strengthens Gold Levels

- Strengthens gender

- Clarifies stakeholder engagement
  - Full and effective participation
  - Feedback and Grievance Redress Procedure
  - Free, Prior and Informed Consent

- Net positive climate benefits and climate section waiver

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Other Changes : indicators and definitions

- Boundaries of the project: Project Area, Project Zone
- Communities and Community Groups
- Theory of change
- New indicators
  - Anti-discrimination
  - Anti-corruption
  - Use of fertilizers, chemical pesticides and biological control agents
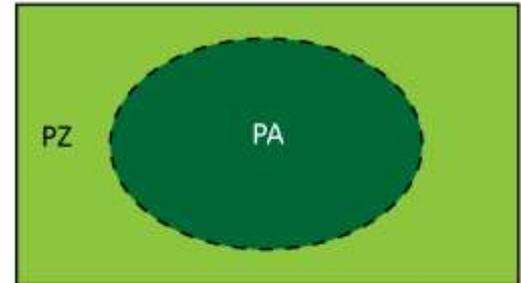 - Handling of waste from the project

Sections of the Guidance document

- **Underlying fundamentals of the project** (objectives, theory of change)
- **Description of the project** (physical and social parameters, Project zone and Project Area, map, financial health of implementing organization)
- **Without-project land-use scenario and additionality**
- **Programmatic approach**
- **Positive climate benefits**
- **Climate change adaptation benefits**
- **Positive community benefits** (Communities, Community Groups, Other Stakeholders, well-being, impact analysis)
- **Exceptional community benefits**
- **Positive biodiversity benefits**
- **Exceptional biodiversity benefits**
- **Stakeholder engagement and Free, Prior & Informed Consent**
- **Risk management**

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New terms and concepts in the Third Edition

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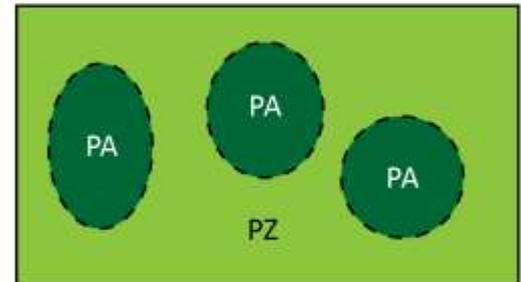
Spatial Boundaries

- Project Area

  - Used to demonstrate net climate benefits.

- Project Zone

  - Includes Project Area and a supplementary area.

  - Includes all potential Project Areas if using a programmatic approach.

  - Used to demonstrate net biodiversity benefits, no harm to high conservation values and mapping of property rights.
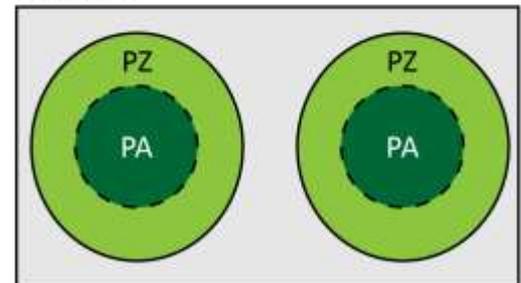
Stakeholders and stakeholder groups

Stakeholder Analysis

↓

Identify Communities and Other Stakeholders

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Identify Community Groups

Stakeholders to be identified

Purpose		CCB Standards	CCB Standards with Exceptional Community Benefits Gold Level
COMMUNITY BENEFITS	For demonstrating 'net positive benefits'	Communities, Community Groups (except those that are not significantly affected by or participating in the project)	Communities, Community Groups, including Community Groups that are marginalized and/or vulnerable and women.
	For demonstrating 'no harm'	Other Stakeholders, Community Groups that are that are not significantly affected by or participating in the project	Other Stakeholders, marginalized and/or vulnerable Smallholders/Community Members (households).
STAKEHOLDER ENGAGEMENT	For demonstrating full and effective participation	Communities, Community Groups, women, marginalized and vulnerable members, Other Stakeholders	Communities, Community Groups, women, marginalized and vulnerable members, Other Stakeholders

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Communities and Other Stakeholders

Communities: *'derive income, livelihood or cultural values and other contributions to well-being from the Project Area at the start of the project and/or under the with-project scenario'*

- May live in the Project Area, the Project Zone or beyond,
- Only consider with-project scenario,
- Do not consider interests and rights related to the role of Project Proponent',
- Illegal activities are not considered for identification Communities unless they result from 'customary rights'.

Other Stakeholders: *'can potentially affect or be affected by the project activities'*

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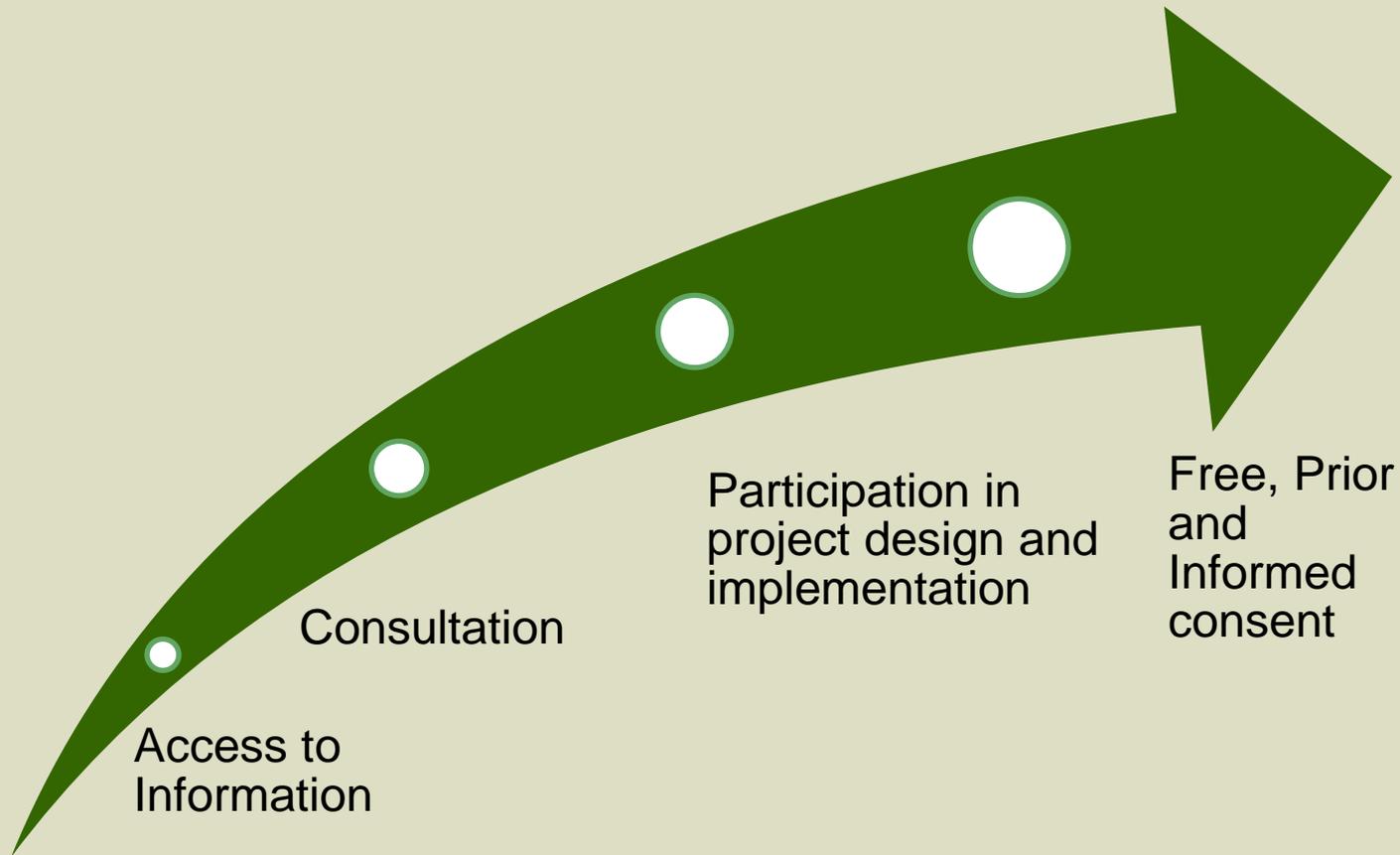
How are Community Groups identified?

"Sub-groups of Communities whose members derive similar income, livelihood and/or cultural values and other contributions to well-being from the Project Area and whose values are different from those of other groups"

- e.g. Indigenous Peoples, ethnicity, gender, age, household income, size of land-holding, levels of health, education, labor resources, vulnerability to risk, land use/livelihood interests - pastoralists, charcoal producers, etc.
- All Community members must belong to at least one of the Community Groups (could be more than one)

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Questions covered in the Guidance

- **New definition of Project Zone and delinking from Communities**
    - **Feedback:** Clarity on new definition of Project Zone and location of Communities?
- **Why is the Project Zone an important consideration in CCB Standards?**
- **What types of impacts are demonstrated using the Project Area and Project Zone as reference areas?**
- **What is the difference between the Project Zone and leakage area?**

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Full and effective participation

Free, Prior and Informed consent

Participation in project design and implementation

Consultation

Access to Information

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Gather information → **Enable full and effective participation in project design & implementation** → **Monitor throughout implementation**

Gather information

- Perform stakeholder analysis
- Map statutory and customary rights
- Identify traditional decision- making processes
- Identify legitimate representatives
- Identify local customs, values and institutions
- Analyze resources, needs, concerns and roles of the different Community Groups,
- For a Community Gold project, perform a gender analysis of the role of women

Enable full and effective participation in project design & implementation

- Provide access to information
- Conduct consultations
- Enable effective participation in design and implementation
- Obtain Free, Prior and Informed Consent
- For a Community Gold project, ensure that women influence decision making

Monitor throughout implementation

- Perform periodic evaluations to ensure that full and effective participation including Free ,Prior and Informed Consent is being respected throughout the life of the project and not merely at one point in time.

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Participatory analyses relating to ecosystem services

- Participatory assessment required:
  - Local scale benefits
  - Regional scale

- Participatory assessment recommended:
  - Global scale benefits

- Tools

Consultations on types and magnitude of impacts

- Explain the project and potential impacts

- Explain the concept of impact assessment - costs, benefits or risks

- Communities participate in compiling a comprehensive list of all types of impacts (negative - costs and risks - and positive - benefits)

- Communities participate in assessing the magnitude of identified impacts

- Net positive benefits assessed for the Communities considering type and magnitude of benefits from their perspective

Gender sensitive consultations

- Examine whether women have similar opportunity and time to participate in consultations as men

- Identify ways of obtaining their input and feedback

  - encouraging women to attend formal/informal meetings for example by addressing meeting invitations specifically to women

  - holding meetings with women only

  - providing child care during meetings

  - holding meetings at a time of the day or year when women are most free to participate

  - discussing with women and community leaders to find culturally and socially sensitive ways to include women in consultations

Free, Prior and Informed Consent

- Right to FPIC extends to Indigenous Peoples and others in the Communities who have statutory or customary tenure, use, access or management rights to lands, territories and resources (property rights) in the Project Zone and is required for both collective and individual rights

- The FPIC process, unlike consultation, gives the Communities the option to give or withhold their consent to the project activities

- FPIC is required

  – When property rights are potentially affected

  – When project activities may lead to the removal or relocation of habitation or activities important to their culture and livelihood (resettlement)

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Free, Prior and Informed Consent

- Participatory mapping
- Consent for activities to move forward
- Location specific- not a right of veto over whole project
- Carried out
  - At the level at which rights are held
  - Respect for traditional decision-making
- All relevant Community Groups included
- Format of consent recognized by both parties
- Decision to be documented
- Time-specific

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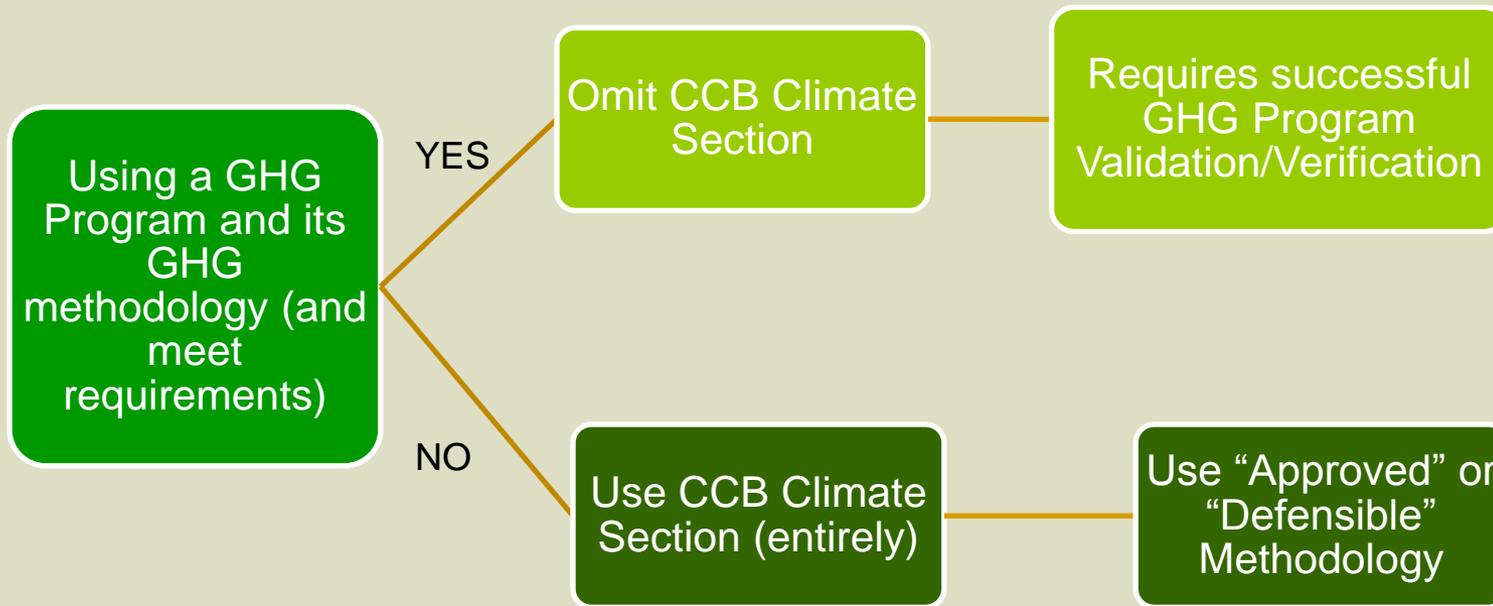The Climate, Community & Biodiversity Alliance

Questions covered in the Guidance

- **Free, Prior and Informed Consent**
  - **Feedback:** is the guidance clear?
- Consultation: ecosystem services, impact assessment and gender sensitivity
  - **Feedback:** is the guidance clear?
- Relationship between impact assessment and stakeholder engagement
- Inter-generationally sensitive consultation
- Inclusion of marginalized and vulnerable people and groups?
- Consultation with legitimate representatives
- Consultation on feedback and grievance redress procedure

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Climate Section - Key Changes

- Climate Section Waiver

- Guidance regarding "Approved" and "Defensible" Approaches

- Priority areas for feedback

Climate Section Waiver

Using a GHG Program and its GHG methodology (and meet requirements)

YES → Omit CCB Climate Section → Requires successful GHG Program Validation/Verification

NO → Use CCB Climate Section (entirely) → Use "Approved" or "Defensible" Methodology

Climate Section Waiver

- See CCB Rules for detailed explanation on procedures

- Still need to provide:

  - G2.1 – Description of baseline scenario (narrative)

  - G2.2 – Assessment of Additionality
    (narrative, can reference relevant tools/assessments)

Using the Climate Section

- Under what scenarios is the CCB Climate Section used?

- Only using the CCB Standard to demonstrate net-positive climate benefits:

  - Utilize "Approved" or "Defensible" methods

  - Approved methods - GHG program methodologies but using only the CCB standard

Using Defensible Methods

Examples

1.   Novel, clearly conservative, or simplified approaches to a particular land-use scenario where approved methodologies recognized by GHG programs do not yet exist.

2. "Expired" GHG program methodologies

Reasons

a. Project areas are outside the scope of eligible project types accepted by GHG-programs

b. Unfeasible to develop and approve a methodology to an existing GHG program

c. VER's not needed

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Defensible Methods

Good Practice Guidance Criteria

- Principles (Transparency, relevance, completeness, conservative)
- Good Practice
- Eligibility
- Carbon Pools
- Temporal Boundaries
- Benchmark Data
- Additionality
- Projections (Without + With Project)
- Uncertainty
- Leakage
- Monitoring

Questions covered in the Guidance

1. **What is the difference between an "Approved" and a "Defensible" methodological approach?**
   - **Feedback:** Clarity on application/documentation needed for Climate Section Waiver)

2. **What are some possible scenarios for using the Climate Section of the CCB Standards?**
   - **Feedback:** Examples of scenarios prompting use of only CCB Standards)

3. **What are the important elements of a Defensible methodological approach?**
   - **Feedback :** Conservative + simplified methods - GHG accounting.examples Uncertainty & Leakage)

4. **What are some recommended references regarding good practices, methods or tools that could be consulted to construct a Defensible methodological approach?**

Programmatic Approach

Programmatic Approach: projects can expand their land areas, and activities that aim to generate net climate benefits, after validation to the CCB Standards, subject to meeting established eligibility criteria.

Similar to:

- CDM Programme of Activities
- VCS Grouped Projects

Beneficial:

- useful for projects involving smallholders
- spread out project costs and lower them for each participant
- Start small, grow gradually or fast

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Requirements for a Programmatic Approach

SPECIFY:

- geographic area where future activities are planned over time.

- eligibility criteria for inclusion of new lands and Communities.

- scalability limits and measures to address any risks.

- monitor new land areas and Communities that are added.

Geographic area where future activities are planned

At validation:

- Identifies the geographic area(s) in which activities will be expanded
- Includes all potential Project Areas
- Does not need to be identified or described in detail
- Identifies the main Communities that may be included
- Completed biodiversity impact assessment for Project Zone

Note:

- A detailed Community analysis, including impact assessment, is not required at the time of project validation

Eligibility criteria for inclusion of new lands and Communities

CCB Standards	Verified Carbon Standard
• Adoption of project activities specified in the project design documentation and applied in the same manner as specified in the project design documentation;	• Meet the applicability conditions set out in the methodology applied to the project; • Use the technologies or measures specified in the project description; • Apply the technologies or measures in the same manner as specified in the project description;
• Are subject to the climate, community and biodiversity without-project scenarios as determined for the project;	• Are subject to the baseline scenario determined in the project description for the specified project activity and geographic area;
• Have similar characteristics with respect to additionality;	• Have characteristics with respect to additionality that are consistent with the initial instances for the specified project activity and geographic area.
• Subject to the same processes for stakeholder engagement described in G3 and respect for rights • to lands, territories and resources including free, prior and informed consent described in G5; and have similar monitoring elements	

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Scalability limits and measures to address risks

Scalability Limits: the scale beyond which the addition of new project activities may cause a project to not generate net positive climate, community or biodiversity benefits.

Including:

- **Capacity limits**
- **Economic and Managerial constraints**
- **Negative impacts on Communities and/or biodiversity**

Monitor new land areas and Communities added

- New Project Areas and Communities that have been included in the project since the last validation or verification against the CCB Standards must be identified in the Project Implementation Report (PIR)

- Conformance with the standards is assessed for new land areas and new Communities during the next verification of the project against the CCB Standards

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Questions covered in the Guidance

1. **What are the requirements of a Programmatic Approach?**
   - **Feedback:** Clarity on what is required for grouping new lands and activities after the first validation.

2. **What are some of the limitations to using this approach?**
   - **Feedback:** Setting thresholds for scalability limits. Examples of situations where size & growth of project could be negative, unmanageable.

3. **How are impact assessments for biodiversity and community handled differently?**
   - **Feedback:** Clarity on the implications from programmatic approaches and how CCB Standards treat analysis of impacts.

Exceptional Community Benefits

Eligibility criteria:

Smallholder- and community-led projects

(OR/AND)

Pro-poor projects explicitly target benefits to globally poor communities.

Requirements:

Equitable sharing of benefits **with** Smallholders / community members

(AND)

Equitable sharing of benefits **among** Smallholders /community members.

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Equitable sharing of benefits with Smallholders / Community members

Opportunity	Security	Empowerment

Opportunity

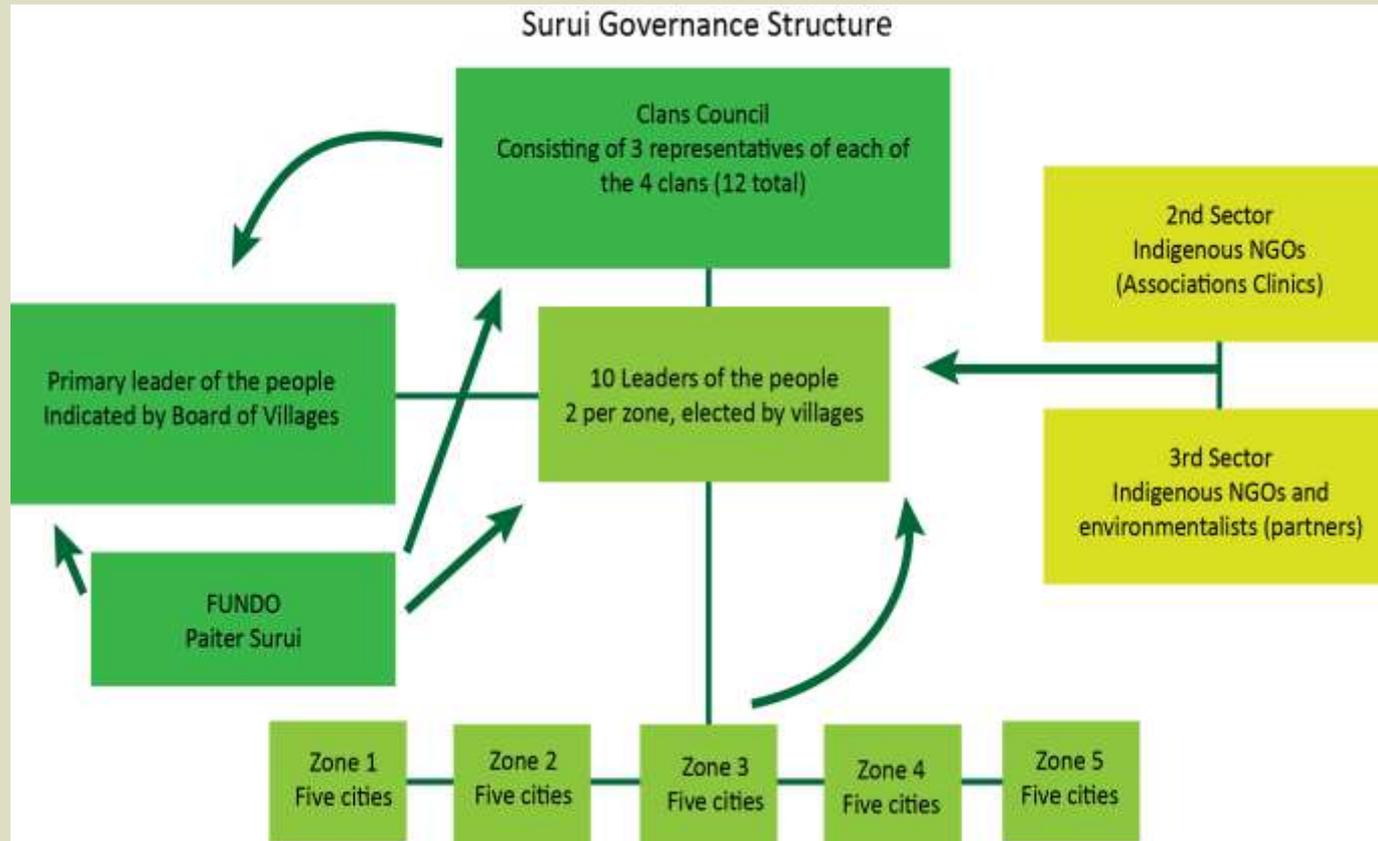- GL2.2: Generate short-term and long-term net positive well-being benefits

Security

- GL2.3: Identify risks to food security, land loss, loss of yields and climate change adaptation.

Empowerment

- GL2.6: Ensure full and effective participation in the benefit sharing mechanism,

- GL2.7: Communicate relevant and adequate information to Smallholders/Community Members and provide evidence that the information is understood.

- GL2.8: Describe the project's governance and implementation structures and any relevant self-governance structures used for aggregation of Smallholders/Community Members.

- GL2.9: Build capacity of Smallholders/Community Members to participate in project design, implementation and management.

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Surui Forest Carbon Project

Surui Governance Structure

Clans Council
Consisting of 3 representatives of each of the 4 clans (12 total)

2nd Sector
Indigenous NGOs
(Associations Clinics)

Primary leader of the people
Indicated by Board of Villages

10 Leaders of the people
2 per zone, elected by villages

3rd Sector
Indigenous NGOs and
environmentalists (partners)

FUNDO
Paiter Surui

Zone 1
Five cities

Zone 2
Five cities

Zone 3
Five cities

Zone 4
Five cities

Zone 5
Five cities

Equitable sharing of benefits among Smallholders/Community members

- GL 2.4: Net positive benefits to vulnerable and marginalized groups

- GL 2.5 : Gender dimension addressed
    - Net positive benefits to women.
    - Women influence decision making.

Gender Analysis

Develop project processes and activities

Develop indicators for inclusion in monitoring plan

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Questions covered in the Guidance

- **Requirements for Community Gold level**
  - **Feedback:** is the guidance clear; are the use of case studies helpful?
- Additional requirement in Community Gold compared to CM2.
- Managing risk in smallholder and community-led projects
- Main changes in the Community Gold level in Third Edition compared to the Second Edition.

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Questions and feedback

Feedback by email to
pnarasimhan@conservation.org
By **Tuesday, 18th of March 2014**

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