

## REDD+ in Keo Seima Wildlife Sanctuary, Cambodia



<b>Project Title</b>	Reduced Emissions from Deforestation and Degradation in Keo Seima Wildlife Sanctuary
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Region, Country	Project Start	First Verification
Monduliri Province, Cambodia	January 1 2010	2016

GHG Accounting Period
Project crediting period is 60 years, 1 January 2010 to 31 December 2069

Project Proponent and Contact	Auditor Contact Details
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Project Summary
<p>First CCB validation (full), validated using the Third Edition CCB Standards was completed November 2015 as Version 5.0. This version, Version 7.0 has been updated to reflect changes with the Project Proponent for a gap validation.</p> <p><b>Climate Benefits</b></p> <ul style="list-style-type: none"> <li>The project is expected to result in emission reductions of 14 million tCO<sub>2</sub>e from avoided unplanned deforestation over the next 10 years.</li> </ul> <p><b>Community Benefits</b></p> <ul style="list-style-type: none"> <li>Preserves forest areas that provide the basic needs and traditional cultural identity for over 2,500 households (approximately 12,500 people) within the 20 REDD+ participating villages.</li> <li>Strengthens tenure rights and reduces landlessness of Seima forest communities through legal and planning support for indigenous communal land titling (ICT), participatory land-use planning (PLUP), and land-use agreements.</li> <li>Supports alternative livelihoods that reduce deforestation providing income generation and skill development opportunities. This includes literacy and numeracy education for increased off farm livelihood options.</li> <li>Provides agricultural extension and infrastructure support increasing food security, incomes, and resilience to climate change</li> <li>Direct benefit sharing of carbon revenue supporting community investment priorities.</li> </ul> <p><b>Biodiversity Benefits</b></p> <ul style="list-style-type: none"> <li>In the first ten years the REDD+ project will prevent the destruction of nearly 30,000 ha of lowland southern Annamitic forest and deciduous dipterocarp forest. The 292,690 hectare Project Area contains some of the largest intact blocks of these important and threatened ecosystems.</li> <li>The project will ensure the persistence of a full range of intact, ecologically functional habitats that are minimally degraded and disturbed by humans. Likewise the project will ensure the persistence and recovery of numerous species of global conservation concern. Some notable species include the Asian Elephant, the largest remaining world population of Black-shanked Douc, Yellow-cheeked Crested Gibbon, Gaur, Banteng, and Green Peafowl.</li> </ul> <p><b>Biodiversity Gold</b></p> <ul style="list-style-type: none"> <li>The Seima REDD+ Project qualifies for CCB Biodiversity Gold for the following criteria:             <ol style="list-style-type: none"> <li>Vulnerability –over 40 confirmed Globally Threatened species occur in the Project Zone.</li> <li>Irreplaceability – the Project Zone holds significant populations of at least three restricted-range species and large proportions of the world's population of at least five other species.</li> </ol> </li> </ul>

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Cover Art: Fig tree with a selection of the animal diversity that makes Seima such an outstanding example of Cambodia's natural heritage. Created by Brendan Wenzel commissioned by Laura Watson.

## 1 SUMMARY DESCRIPTION OF THE PROJECT (G3)

The Seima Protection Forest (SPF) covers 292,690 ha. It is located in eastern Cambodia, mainly in Mondulkiri Province with a small area extending into Kratie Province. The REDD+ Project Area covers 166,983 ha of forest in the SPF Core Protection Area. The SPF was created by a Prime Ministerial Sub-decree in late 2009. This upgraded the conservation status of the former Seima Biodiversity Conservation Area, which operated during 2002-2009. Until 2016, the Seima Protection Forest (SPF) was reclassified by the Royal Government of Cambodia as the Keo Seima Wildlife Sanctuary (KSWS) under the Sub-Decree No. 83 dated 09 May, 2016 and managed by the Ministry of Environment. The site is part of the ancestral homeland of large number of ethnic Bunong people, for whom the forest is a key source of income and central to their spiritual beliefs. The area is also a meeting place for two important ecoregions – the Annamite Mountains (notable for high levels of local endemism among evergreen forest species) and the lower Mekong dry forests (which are crucial for the survival of many species typical of lowland deciduous forests). There are 41 Globally Threatened vertebrate species recorded in the Project Area (including 4 Critically Endangered and 14 Endangered). Many of these occur in globally or regionally outstanding populations, including Asian Elephants, primates, wild cattle, several carnivores and birds such as the Giant Ibis and Green Peafowl.

The KSWS is currently under threat from accelerating forest clearance for agriculture together with unsustainable resource extraction (including hunting, logging and fishing). These activities harm both biodiversity and local forest-dependent livelihoods. Current drivers of these direct threats include improved road access, population growth, weak law enforcement and governance frameworks, limited recognition of the value of biodiversity and environmental services and rising market demand for both wild products and agricultural produce. The development of mines and agro-industrial plantations could also become potential future deforestation drivers if the area lacked full protection by the government. The illegal selective harvesting of rare luxury-grade tree species is a serious law enforcement issue at the site, as elsewhere in Cambodia, but has negligible long-term effect on carbon stocks.

Since 2002, the Forestry Administration (FA) has collaborated with the Wildlife Conservation Society (WCS) and other local NGO partners to develop management systems for the KSWS, both to conserve and restore the biodiversity values and to protect the livelihoods of local people. The conservation project has a holistic approach with four direct interventions: strengthening legal mechanisms and political support, direct law enforcement, strengthening community natural resource management and developing alternative livelihoods. Effective law enforcement is essential as it underpins all other activities. The sustained investment in supporting land titling for all indigenous communities in the landscape is particularly notable as it protects livelihoods and land rights while also forming a strong basis for cooperation in project implementation. In 2016, the KSWS were transferred to the Ministry of Environment (MoE) to manage and continue to implement the project activities. WCS has a long term partnership with the Ministry of Environment (e.g. Prek Toal Conservation Project and Kulen Promtep Wildlife Sanctuary) and will continue to collaborate with the MoE and other stakeholders to implement the project.

Conservation interventions prior to the REDD+ project have been on a fairly limited scale. Law enforcement activities have been successful in moderating (but not preventing) major threats across some parts of the KSWS, moderating deforestation rates and allowing several key wildlife species to persist in large populations. This limited level of intervention has been assumed to continue as part of the future baseline scenario. However, it falls well below the level needed to match the scale of the threats. Most threats remain severe and are increasing in scale and diversity. Deforestation rates and logging have increased, at least one flagship species (Tiger) has been lost from the reserve and declines are suspected for other species. Boundary demarcation, effective patrolling, community outreach, alternative livelihoods activities etc. have been implemented in only a minority of the reserve. The effectiveness of conservation management is severely constrained by insufficient, irregular and declining funding and competition with other land-uses. Hence sustainable financing from carbon revenue for the site is essential to enable conservation action to be expanded and sustained in the long-term. It will allow the Royal Government of Cambodia and its NGO partners to expand activities to match the level of threat; ensure long-term support by covering operating costs; and generate financial incentives for conservation at local and national level.

The project benefits from strong, sustained political and donor support, a very open and collaborative, stable, long-term government/NGO partnership, the presence of highly committed individuals in leadership positions, recognition that effective, equitable law enforcement is the foundation for all other interventions and a willingness to try innovative techniques. Piloting of techniques since 2002 has identified successful approaches to many of the key challenges that the reserve faces, and with the addition of adequate financing, comprehensive and effective management can be put in place. A more detailed description of the project's objectives and activities can be found in Section 2.2. The project aims to achieve joint validation against the Verified Carbon Standard (VCS) and the Climate, Community and Biodiversity Alliance Standard (CCBA). The chosen VCS methodology (VM0015) is described in Section 4; for simplicity it is referred to throughout the text as 'the methodology'.

## 1.1 Project Location (G1 & G3)

The project takes place almost entirely within the Seima Protection Forest<sup>1</sup>, which lies mainly in Mondulakiri Province with some sections extending into Kratie Province. The site abuts the Vietnamese border and is bisected by Cambodian National Route 76. The KWS headquarters lie at the south-western entrance to the reserve in Keo Seima District at 106°55'15.7"E, 12°8'13.109"N<sup>2</sup>.

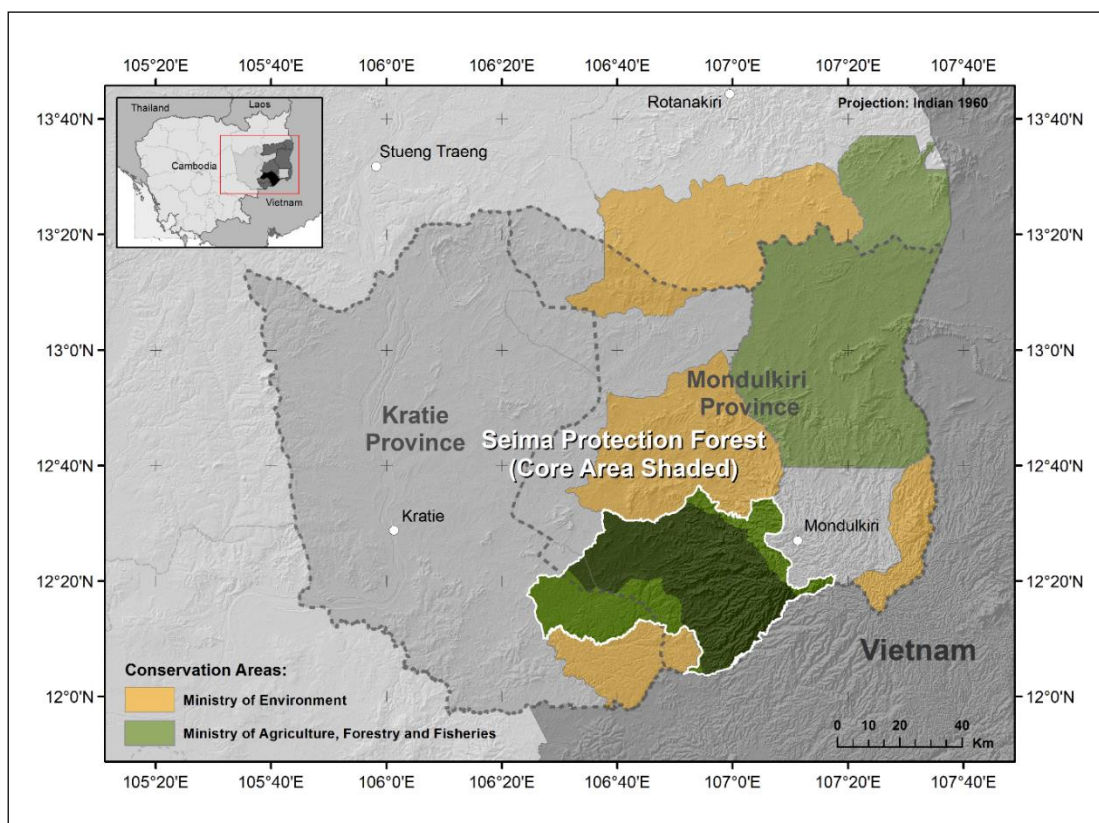


Figure 1.1.1. Project location showing adjoining provinces and protected areas.

The methodology requires the definition of several non-overlapping management zones, as described in detail in Section 4.4 and summarized here. The Project Area (which is the area from which credits will be generated), comprises those parts of the Core Protection Forest Area (as defined in Sub-decree 143; 2009) that were forested as of the project start date, with the exception of areas excluded because of issues relating to complex land tenure. The Leakage Belt encompasses adjacent areas of forest into

<sup>1</sup> The full legal name is *Seima Protection Forest and Biodiversity Conservation Area (now called Keo Seima Wildlife Sanctuary)*.

<sup>2</sup> The project uses the India-Thailand 1960 (also called Indian 1960) datum throughout. This datum has been a long-established standard for the SPF project, chosen for conformity with topographic maps widely used by the field teams.



which the project might risk displacing some deforestation activities. The Leakage Management Area where selected livelihood improvement activities will take place comprises the non-forest, agricultural areas used by the participating villages. Together these three areas constitute the basis of the Project Zone which must be defined under the CCB Standard. Figure 1.1.1 shows an overview of the location of the Project Area; for a detailed map of all areas please refer to Section 4.4. The location of specific activities is described in Annex 2.1.

### 1.1.1 Topography

The KSWS and its surroundings form a topographically diverse landscape ranging from 60-750 m asl. The lower parts in the north and west of the Project Area lie in the Eastern Plains. Further east, the area climbs in elevation to the Sen Monorom plateau, forming the south-western extremity of the Annamite mountain range, one of Asia's great centers of endemism.

### 1.1.2 Soils

Soils are of moderate to high potential fertility on the younger rocks associated with the plateau, while the lowlands are mostly of low to moderate fertility except for pockets of alluvial soil (SCW 2006).

### 1.1.3 Hydrology

Two medium-sized tributaries of the Mekong drain most of the area whilst the southernmost valleys drain into the Dong Nai river system in Vietnam. Many of the rivers cease to flow during the prolonged dry season. The plains are characterized by hundreds of small seasonal grassy wetlands and pools ('trapeang' in Khmer) dotted across the forest.

### 1.1.4 Climate

The climate is tropical monsoonal: the dry season from November to April with north easterly winds and the wet season from May to October with south-westerly winds (SCW 2006). Total annual rainfall is 2200–2800 mm at the SPF headquarters, higher on the plateau and probably lower in the plains<sup>3</sup>. Over 85% of rain at the headquarters falls during May–October; December–April typically record less than 100 mm of rain per month and hence there are typically 5 'dry' months.

## 1.2 Conditions Prior to Project Initiation (G1)

This section covers the following six topics:

- The vegetation of the Project Area.
- The communities present.
- Land use.
- Land tenure.
- The biodiversity of the Project Area.
- The presence of High Conservation Values (both biodiversity and social values).

A more detailed stakeholder analysis can be found in Section 2.7.

### 1.2.1 Vegetation in and around the Project Area

In KSWS studies have found a spectrum of forest types from fully deciduous to almost fully evergreen (e.g. Walston *et al.* 2001, Zimmermann and Clements 2003), broadly becoming more open and deciduous from southeast to northwest but with the types forming a complex mosaic believed to reflect climate, altitude, edaphic factors and varying history of human disturbance. Different typologies can be imposed on this variation for different purposes (e.g. Rundel 1999, Tani *et al.* 2007). Under one commonly used national system based on floristics, phenology and structure the Seima forests mostly

<sup>3</sup> Combined results from WCS/FA and Nomad RSI (unpublished).



fall within four broad classes: Deciduous, Semi-evergreen, Evergreen and Bamboo Forests (FA 2007), as shown in Figure 1.2.1. These broad types, and the rarer types also present, are described below. When the carbon stocks of these forests are analyzed it is found more efficient to group them into two broader forest classes with relatively uniform stocks as described in Section 5.3.

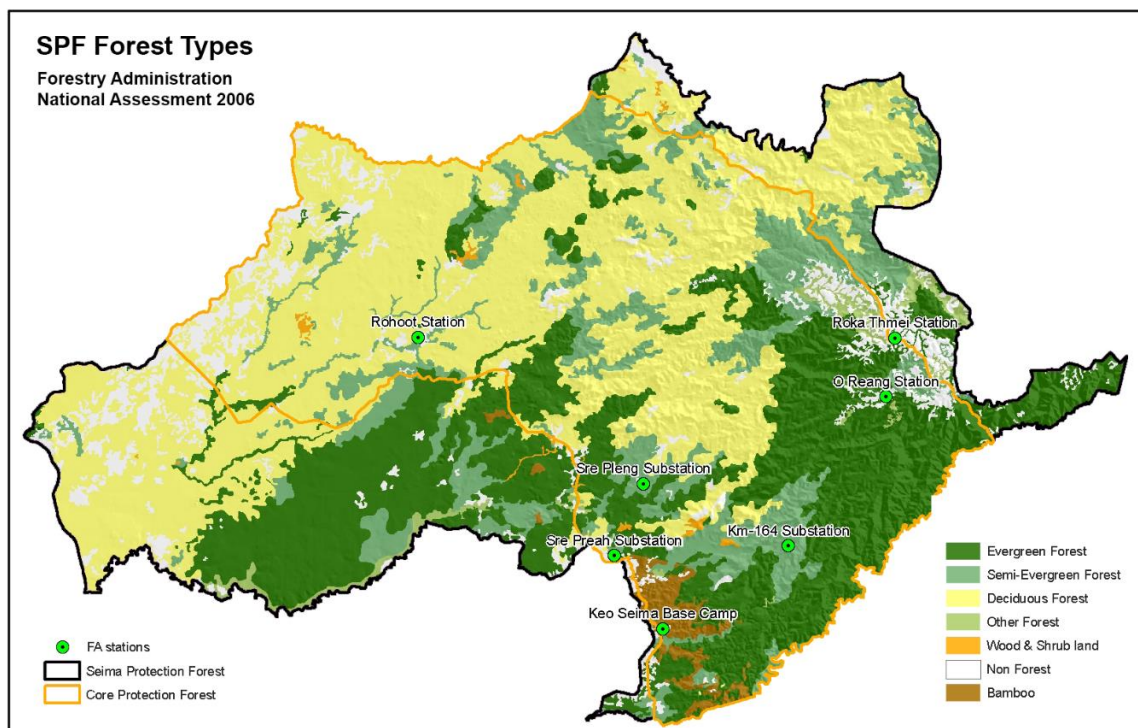


Figure 1.2.1. Vegetation types in the KSWS according to the Forest Cover Assessment (2006).

#### 1.2.1.1 Denser forest types

Overall, the Evergreen, Semi-evergreen and Bamboo forests (Figure 1.2.2) in KSWS each have high tree species diversity with a wide overlap in species lists and a generally similar range of tree forms, including many tall canopy and emergent species, often bearing buttresses. Trees heights of 35-55 m are common.



Figure 1.2.2. Denser forest types: Evergreen (A), Semi-evergreen (B), and Bamboo forest (C).

**Evergreen forest:** Evergreen forests are usually multi-storied forests where trees maintain their leaves during the whole year. They comprise the lowland tropical rain forests, the hill evergreen forests and the dry evergreen forest and along streams and rivers (gallery forests). Fires are very rare.

**Semi-evergreen forest:** Semi-evergreen forests contain variable percentages of evergreen and deciduous trees, the percentage of evergreen trees varying from 30% to 70%. Semi-evergreen forests

continue to appear evergreen throughout the year, even when the percentage of deciduous trees is high. In KSWs this type often has a high proportion of by the tall, pale-barked deciduous tree *Lagerstroemia calyculata* (Lythraceae). Another significant species is the massive evergreen emergent *Dipterocarpus alatus* (Dipterocarpaceae). Fires are very rare.

**Bamboo:** Areas dominated by tall tree bamboos, with or without trees. Bamboo areas taller than 5 m are included in the national definition of forest under the Marrakech Accords. In KSWs the bamboo forests often contain a significant number of large trees and have quite high carbon stocks. Some bamboo stands in KSWs are evidently signs of recent disturbance but others were already present on topographic maps from the 1960s and appear to represent long-term stable communities.

#### 1.2.1.2 More open forest types

**Deciduous Forest:** Deciduous forests comprise the Mixed Deciduous and Deciduous Dipterocarp forests (Figure 1.2.3 A & B). Deciduous forests drop their leaves more or less completely during the dry season and low-intensity understory fires are frequent. Mixed Deciduous forest are floristically a depauperate version of semi-evergreen forest, often dominated by *Lagerstroemia calyculata*, with an understory dominated by bamboo and some rattan but rarely much grass. Mixed Deciduous forests are sometimes of similar stature to semi-evergreen forest. Deciduous Dipterocarp forests naturally have an open character and are sometimes described as savannah forest. They have a small number of dominant species and tend to be of lower stature (typically 20–35 m). Individual stands usually have rather uniform structure dominated by just two to three species in any one location, but several different stand types can be found across the landscape. An undisturbed Deciduous Dipterocarp forests may have a crown cover of only 20–40%, an open understory dominated by grass or herbaceous bamboos and no middle-story except along drainage lines.

**'Other Forests':** In the Project Area and broader Reference Region this category mainly includes regrowth and stunted forests (Figure 1.2.3 C). Stunted forests grow very slowly because of poor site conditions on hydromorphic soils and rock outcrops. Heavily disturbed forest like mosaics of forest, regrowth, and cropping, corresponding to shifting agriculture in which the percentage of forest is more than 40%, and areas of old regrowth and young secondary forest in the process of regenerating after clear cutting, are also included in this category.



**Figure 1.2.3. Open forest types: Mixed Deciduous (A), Deciduous Dipterocarp (B), and Other Forests (C).**

**Wood and shrubland evergreen/dry:** Wood and shrubland is a mixture of shrubs, grass and trees, the trees cover remaining below 20%. As the national forest definition includes land with a crown cover above 10%, much land in this category must be classed as forest for purposes of a REDD+ project. This class can be found mainly on shallow soils, on the top of mountains under climax conditions or as a result of non-sustainable land use.

Most of the vegetation in the Project Area is in good or excellent condition, as shown by the assessment of carbon stocks (Section 5.3). However there have been some significant human impacts, as summarized here and discussed in more detail in Annex 3.3. Historically the landscape had low population densities (Evans *et al.* 2003), with near total depopulation during much of the 1970s and 1980s (Evans 2007) and poor road connections until the very recent past. There has thus been rather limited biomass harvesting by local communities, primarily for housing and firewood. This has only



affected forest structure very close to villages, often in areas that have subsequently been deforested anyway.

Long rotation swidden cultivation has converted some mature forest to fallow, especially in and before the 1960s when tiny settlements were widely scattered across the denser forest parts of the landscape. Many of those pre Khmer Rouge fallows have now reverted to tall forest with >50 years of growth. Relatively few new fallows were created between the reoccupation of the upland villages through the 1990s, the opening up of new fields and the arrival of cashew (a cash crop that can be grown in place of fallowing) after about 2002. Given the trends towards agricultural intensification these scattered new fallows are considered a transient element of the non-forest land cover class.

The most significant drivers of degradation have been episodes of larger scale mechanized logging (Walston *et al.* 2001). Local reports indicate that there was scattered, locally heavy logging during the 1960s (by Khmer forces) and 1980s (by Vietnamese-backed teams), targeting clumps of valuable species including koki Hopea odorata and beng Afzelia xylocarpa and leaving the landscape crisscrossed with old logging tracks that have facilitated subsequent illegal activity. In 1994 the area became part of the Samling International Chhlong logging concession. Organized commercial-scale operations took place in what is now the Project Area during only three dry seasons, 1997–1999, mainly in areas south of National Route 76, before the concession was mothballed as part of a national moratorium that has yet to be lifted. The scale of legal and illegal harvests during this period have not been well quantified, although Evans *et al.* (2003) made an estimate of losses for resin trees (mainly Dipterocarpus alatus) based on interviews with the traditional owners.

Densities of desirable species were apparently relatively low as a proportion of the total stand in many areas and this has protected large areas of forest from excessive damage. Significant regeneration has also taken place in the subsequent decade. Nonetheless the evidence of these logging activities is still visible in patches of partly-degraded forest, for example around the former logging road network south of the km 164 guard station. Since the end of the Samling operations the main form of logging has been the illegal selective harvest of a few species luxury-grade trees (Annex 3.3), all of which occur scattered at low density, usually as solitary trees. This logging has caused widespread slight degradation which usually appears to be made good by ingrowth of other species.

Understory fires affect a percentage of the deciduous forests each year. This is not believed to cause degradation of the vegetation, as it is a long-established feature practice and these forest types are considered highly fire-adapted (Rundel 1999, Stott 1984, 1988).

## **1.2.2 Participating communities**

### **1.2.2.1 Village selection process**

The 17 key villages and 3 other user villages were selected through a survey process. This process had three stages. In stage 1 a wide range of pre-existing information was collated to identify villages known to have agricultural or residential lands inside the KSWs Core Area, and/or to have mapped 'village boundaries' (one indicator of the locations of traditional use areas) overlapping with the Core Area. In stage 2 a list of 21 other candidate villages was determined by community team as needing assessment to determine whether they there were significant users of the Core Area. These 21 villages were chosen either because they appeared to be close to the Core Area, because they lay within the KSWs Buffer Zone or because they lay outside and further away but had no obvious settlement lying between them and the Core Area. For stage 3 the community team visited each village in turn and conducted consultations with focus groups including village chiefs and elders. In this process one additional village (Pu Ngaol) was identified that had agricultural lands in the Core Area (these had been overlooked in stage 1 as they were small, remote parcels with no associated settlement) bringing the total of villages with land in the Core Area to 17. These became the 17 key villages listed in the PD.

In addition, three villages were found to have significant numbers of families regularly using the Core Area, even though they had neither settlements nor farmland there. These became the three 'other user villages' listed in the PD. The main use these three communities make of the Core Area is the tapping of resin trees in traditional use areas, and the collection of other forest products in the areas that they tap resin.

The remaining villages were found to have no reported traditional use of the Core Area, and none of them were considered to qualify as a community that required detailed consultation or a role in giving consent. Most of them are far from the Core Area (generally 5–15 km), and many of them would have to cross the traditional use areas of other villages in order to reach the Core Area.

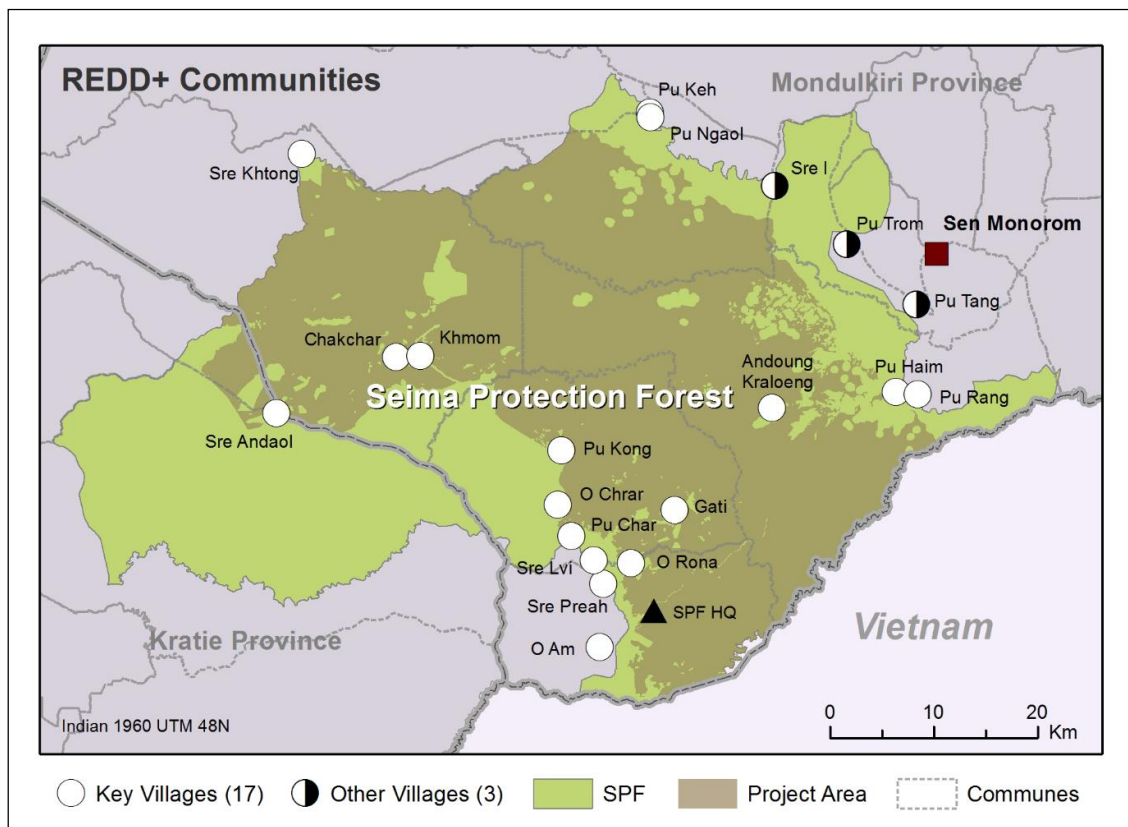
#### 1.2.2.2 Administrative units

Table 1.2.1 and Figure 1.2.4 summarizes the administrative units relevant to the project. Commune Councils are the lowest elected level of government in Cambodia; village chiefs are appointed by the Ministry of Interior. Surveys have determined that 20 villages are potentially affected by the project and are termed participating villages. They include 17 key villages (those with farmland or residential land inside the Core Protection Area) and 3 other user villages (those documented to have regular, significant forest use in the Core Protection Area but no agricultural or residential land inside). In the key villages, the whole village is involved in most aspects of the project, since most or all families are users; in the 3 other user villages project activities are focused more on those families identified as being regular users of the Project Area plus relevant village officials.

**Table 1.2.1. Administrative units relevant to the project.**

Province	District	Commune	Key villages	Other user villages
Monduliri	Keo Seima	Sre Khtum	O Am, O Rona, Sre Lvi	
		Sre Preah	Sre Preah, Gati, Pu Char, O Chrar, Pu Kong	
		Sre Chhuk	Chakchar, Kmom, Sre Andaol, Sre Khtong	
		Memong	Pu Keh, Pu Ngaol	
	O Rang	Sen Monorom	Andoung Kraloeng, Pu Haim, Pu Rang	
	Sen Monorom	Romonea		Sre I, Pu Trom, Pu Tang
1 province	3 districts	6 communes	17 key villages	3 other user villages





**Figure 1.2.4. Participating villages in the KSWS REDD+ project.**

The words 'village' and 'settlement' are given precise, distinct meanings in this project document. A village is an administrative village – that is, a settlement or group of settlements overseen by a single official village chief (in Khmer, phum). A settlement is a discrete cluster of houses within an administrative village - something that looks like 'a village' to the casual observer. In Monduliri the various settlements in one administrative village are often several km from one another. Settlements often but not always correspond to administrative sub-villages (in Khmer, krom). Communes, villages and settlements are often given the same name. In this document, it can be assumed the whole administrative village is implied unless specified otherwise.

Official village centers have been mapped by the Department of Geography in a nationally available dataset dated 1999. In and near the KSWS individual settlement locations have also been mapped and changes monitored (Evans and Delattre 2005, Evans 2007, Pollard and Evans 2009).

### 1.2.2.3 Ethnicity

The Project Zone is a traditional homeland for two indigenous ethnic groups and supports many people from Cambodia's dominant ethnic group, the Khmers. The main indigenous ethnic group is the Bunong (often spelt Phnong), who are members of the Mon-Khmer language group (Bourdier 2009). There are also a few Stieng households, who mix freely with Bunong families and have broadly similar appearance, customs, spiritual beliefs and traditional preferred livelihoods. Since the practical differences are so slight in most contexts the less numerous Stieng are grouped with the dominant Bunong in most project activities as 'indigenous people'; however when differences important to the communities are detected during field activities these are taken into account by the project team.

The languages of these groups are not traditionally written but a Bunong alphabet has recently been developed and is being taught in Monduliri. The Bunong are the largest ethnic group in Monduliri and also occur in small numbers in Ratanakiri and Kratie. The same group also occurs in neighboring Vietnam, where they are called the Mnong. The Stieng are found mainly in Kratie and marginally in

western Monduliri. They also occur in neighboring southern Vietnam, where they are called the Xtieng. Many officials in local government are Bunong.

Ethnic lowland Khmers are primarily recent migrants to the area (since 1998), although a few have been resident for much longer. Those arriving in the Project Area have come especially from Kampong Cham, Takeo, Prey Veng and Svay Rieng Provinces (Pollard and Evans 2009).

Other groups present in much smaller numbers include Raong and Kraol (both indigenous peoples from the Mon-Khmer group), Lao, and Vietnamese (many of them of the Kampuchea Kraom group from the Mekong delta, who are ethnically Khmer).

The approximate number of people in each ethnic group is shown in Table 1.2.2. Most Khmer people are in the village of O Am. When O Am is excluded the percentage of Bunong and Stieng in other villages is 87%.

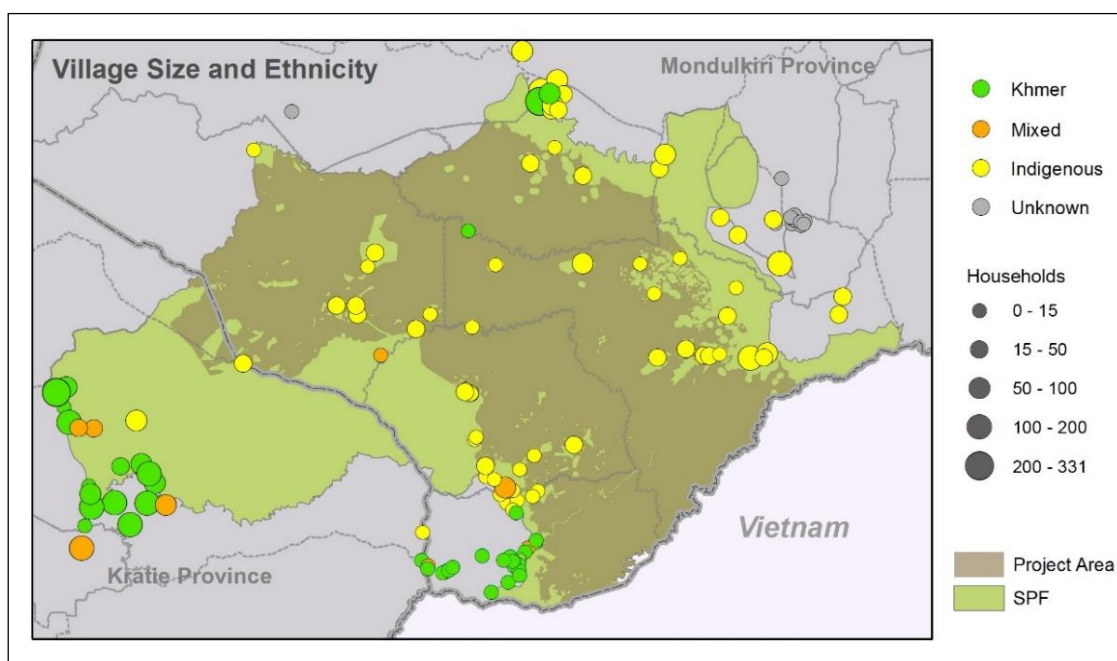
**Table 1.2.2. Populations according to ethnic group, 2008.**

Participating villages	Bunong or Stieng	Khmer	Other*	Total
Households	1,713	828	11	2,552
Percentage	67%	32%	<1%	100%

Source: reanalysis of data in Pollard and Evans (2009)

\*Lao, Vietnamese, Raong, Kraol etc.

Figure 1.2.5 shows the pattern of village sizes and dominant ethnic groups. Note that most of the Project Area is occupied by Bunong-dominated settlements (yellow circles), with Khmer-dominated settlements in or near the project (green circles) confined to the southwest margin. In typical, remote Bunong settlements almost everyone is ethnically Bunong except perhaps for one or two Khmer trading families running small shops. In contrast, Khmer-dominated villages tend to have grown up around existing Bunong settlements and so contain a minority of Bunong people intermixed.



**Figure 1.2.5. Settlement size and ethnicity in the KSWS.**

#### 1.2.2.4 Identifying community groups

The community groups, indigenous and Khmer, were defined along ethnic lines, using demographic surveys and consultation with community leaders from 15 of the 17 key villages (Sopha Sokhun Narong 2010c). The process of accessing community demographics was based on the long experience of the WCS community team of working in the area and the rich literature of reports by WCS/FA and other groups (see the many references in the Participating Communities section of the PD). Many of these reports contain participatory classifications of the community, such as ethnic group, livelihood mapping or wealth ranking that repeatedly converge on the same small group of key variables that are used by local informants to describe the main variations within their own communities. Given this convergence it was judged not necessary to do additional fieldwork and it was relatively straightforward to develop a preliminary classification combining location and ethnicity. The community group definition is been supported by a recent quantitative analysis of livelihood survey data (Travers and Evans 2013).

#### 1.2.2.5 Demography

Official figures for each village, cross-checked by other surveys, provide the best population estimates for the area (Evans and Delattre 2005, Evans 2006, Pollard and Evans 2009). Table 1.2.3 summarizes the estimated population as of 2010 and Table summarizes the age and gender profiles of these communities. Significant growth has occurred in these villages during the recent past, through a combination of migration and a surplus of births over death, as described by Pollard and Evans (2009).

**Table 1.2.3. Population sizes of the twenty participating villages.**

Commune	Village	Households (2010)	Population
Sre Khtum	O Am	733	3,338
	O Rona	178	769
	Sre Lvi	33	160
Sre Preah	Sre Preah	128	589
	Gati	45	250
	Pu Char	72	350
	O Chrar	28	129
	Pu Kong	62	310
Sre Chhuk	Chakchar	112	571
	Kmom	72	376
	Sre Andaul	52	252
	Sre Khtong	174	841
Memong	Pu Keh	118	541
	Pou Ngaol	84	372
Sen Monorom	And. Kraloeng	114	466
	Pu Haim/Rokathmei	316	1,327
	Pu Rang	94	414
Total	17 Villages	2,415	11,055
<b>Other User Villages</b>			
Romonea	Sre I	105	450
	Pu Trom	135	622
	Pu Tang	170	752
Total	3 Villages	410	1,824
<b>Grand total</b>	<b>20 Villages</b>	<b>2,825</b>	<b>12,879</b>

**Table 1.2.4. Population profiles of the twenty participating villages.**

Commune	Village	Male	Female	Age 0–6	Age 7–17	Age 18–35	Age 36–60	Age 60+
Sre Khtum	O Am	1,707	1,631	924	877	782	636	119
	O Rona	401	368	139	204	216	159	51
	Sre Lvi	102	58	41	43	44	27	5
Sre Preah	Sre Preah	290	299	122	165	159	122	21
	Gati	114	136	58	57	45	82	8
	Pu Char	177	173	101	88	91	61	9
	O Chrar	67	62	44	24	29	28	4
	Pu Kong	153	157	80	90	86	45	9
Sre Chhuk	Chakchar	293	278	118	186	151	100	16
	Kmom	178	198	72	108	125	60	11
	Sre Andaol	124	128	64	80	55	46	7
	Sre Khtong	432	409	224	221	231	147	18
Memang	Pu Keh	268	273	142	152	140	93	14
	Pu Ngaol	175	197	107	83	85	79	18
Sen Monorom	Andoung Kraloeng	259	207	136	97	83	113	37
	Pu Haim	658	669	245	267	394	366	55
	Pu Rang	203	211	73	147	116	64	14
Total		5,601	5,454	2,690	2,889	2,832	2,228	416
<b>Other User Villages</b>								
Romonea	Sre I	224	226	133	125	95	80	17
	Pu Trom	316	306	129	217	157	102	17
	Pu Tang	389	363	203	211	170	143	25
Total		929	895	465	553	422	325	59
Grand total		6,530	6,349	3,155	3,442	3,254	2,553	475
% of total		51%	49%	24%	27%	25%	20%	4%

In the early 1970s most of the population of the 20 villages (then almost entirely made up of Bunong families) was relocated out of the area during the Khmer Rouge regime, with survivors and their children returning progressively as security improved during 1979–1998 (Evans 2007). People moved to their original home settlements or others nearby, depending on local circumstances. Rokathmei (an outlying settlement of Pu Haim village) and the settlements in Sre Chhuk commune were eventually re-occupied only around 1998, after which no other major settlements were re-established, although movements between established villages continued, as did inward migration to the landscape. Sre Ambouy (part of Chak Char village) was set up around 1998 by ethnically Bunong demobilized Khmer Rouge soldiers.

The large Khmer population of O Am village is a more recent phenomenon, having grown up through in-migration, with the migrants illegally grabbing land inside Snoul Wildlife Sanctuary and KSWS<sup>4</sup>. A number of driving factors have been involved over time. Initially this included employment opportunities stemming from logging concession activities, and the demobilization of around 200 ex-Khmer Rouge families here in 1998 (Degen *et al.* 2004). Subsequently road improvements, ineffective enforcement of forest protection laws by the local authorities and other factors have promoted continued growth. Today settlements are mostly small, ranging in size from 12 to 1,598 people in 2006, median 161 or about 30 families (Evans 2007).

Most of the larger settlements are at the margins of the KSWS, in the Khsim, O Am-Chneng, and Memong-Chong Plas areas, and in these three areas neighboring settlements are close together or almost continuous. By contrast, most of the settlements in the interior of the Project Area have only 50–250 people (10–50 families), sometimes fewer, and are scattered 5–15 km from each other.

<sup>4</sup> See Table 1.2.6 for a discussion of the current status of illegally grabbed land.



#### 1.2.2.6 Social features of Bunong villages<sup>5</sup>

Many Bunong in the area continue to live a mainly traditional lifestyle as outlined below (Figure 1.2.6). Others, especially those near main roads or in close contact with Khmer settlers (especially in O am village), have altered parts of their lifestyle to more closely match lowland Khmer people. Some have converted to Christianity which has also reduced their adherence to their traditional culture.

A traditional Bunong household is typically made up of a couple, their children (including those who have married but not yet moved out) and any surviving parents who are too frail to live alone. Household members jointly farm their land and mostly share food and income. Many of the other households in a typical settlement are closely related by blood or marriage. There are strong traditions of sharing and interest-free loans between family and close neighbors, providing a key livelihood coping strategy and serving to reduce some of the apparent disparities in income and wealth between households. Households tend to have two houses, a permanent one in the main settlement and a smaller one at the fields, which may be a few km from the village, where people often sleep and eat in the farming season. Nowadays people rarely dress in traditional costumes but in remote areas some still build their traditional style of low-walled house (Figure 1.2.6 B).

Bunong people are mostly animist, believing in powerful spirits that inhabit a wide range of natural objects or sites. This, and the economic dependence on natural resources, has built strong cultural ties to the land and forest. Many ceremonies are observed to ensure good relationships with these spirits, including sacrifices and libations, and it is believed that they communicate with humans through dreams. Each settlement has a small number of respected men who are considered elders, including one or more who have particular expertise in linking to the spirit world and performing ceremonies. These elders traditionally had a strong role in maintaining customs, adjudicating conflicts, deciding farming sites and leading the community in other ways. This role, though still important, has greatly declined in many villages, due to the dominance of the national government structures (village chief etc.) and the social turmoil of past decades.



**Figure 1.2.6. In remote villages, traditional agricultural practices (A) and building styles (B) are still used.**

Formal, externally recognized community-based organizations have recently been set up in some villages, both indigenous and Khmer, sometimes building on traditional structures, and usually with the assistance of NGOs and/or government agencies (Pollard and Evans 2009, WCS 2009). There is generally very little formal organization or collective action at levels above the village, either traditional or modern, except for the government structures. However, some individuals are linked into national community forestry networks or human rights activist networks.

Even the most traditional village has many connections to the outside world. The history of displacement means that many adults have lived in other places, and some have travelled widely as members of the armed forces. There are generally friendly relationships between settlements, fostered by the extensive family connections and the low historical population densities leading to low resource competition. The

<sup>5</sup> This section is based mainly on studies by McAndrew et al. (2003), Evans et al. (2003), Richardson (2003), Ironside (2004), ICC (2003), Degen et al. (2004) and Drury (2005) which together cover a broad cross-section of villages in the Project Zone.

market economy reached every settlement long ago, as evidenced by the high, prolonged involvement in resin-tapping for trade. Many villagers are in debt to traders.

Fluency in the spoken Khmer language is variable, being higher amongst adult men and lower among women, children and the elderly. Literacy and school attendance are very low, even if the settlement is lucky enough to have a school. Traditional doctors provide some herbal and spiritual healthcare but for serious problems a person might try to reach a government health center or private clinic. Such treatment is poor and expensive and a serious illness can drive a family deeply into debt. Seasonal labor migration is rare among Bunong people in the Project Zone.

#### 1.2.2.7 Social features of the Khmer communities

The Khmer communities in O Am, O Rona and Sre Preah villages are typical of recently established forest frontier settlements across Cambodia. Most people are Buddhist, attend local pagodas where available and view monks as community spiritual leaders. Most people live in nuclear families on or close to their farmland. The villages are larger and have lower levels of community cohesion or collective action than in traditional Bunong villages, due in part to the recent arrival of these families from many different provinces. Cultural ties to the land and to forest are naturally less than in long established Bunong villages. The Khmer population is better connected to distant parts of Cambodia, increasing linkages to markets and opening social channels for further migration.

#### 1.2.2.8 Other stakeholders

In addition to the communities several groups are included under the 'Other Stakeholders' classification. The same research, demographic and social monitoring methods from which Communities and Community Groups were defined, described above, identified stakeholders with activities or interests within the Core Area (see Section 2.7). These fall into three general groups, (a) government, (b) non-government organizations, and (c) illegal actors (Table 1.2.5). Illegal actors are defined as outsiders whose only interest in the Project Area is to conduct illegal activities.

**Table 1.2.5. Other stakeholders.**

Type	Description	Project Interaction
Government	Provincial authorities	Active participation around land tenure and law enforcement issues
	District authorities	Active participation around law enforcement issues, District Integration Workshop
	Commune councils	Active participation through strong community membership, Commune Investment Program
NGOs	WCS	Active participation
	CRDT	Active participation
	ELIE	Activities with Project Zone communities
	Other NGOs and civil society	Potential future Project Zone activities, Mondulkiri NGO Network
Illegal Actors	Settlers	Law enforcement interventions
	Poachers	Law enforcement interventions
	Loggers	Law enforcement interventions

### 1.2.3 Land-use

#### 1.2.3.1 Overview of economic uses

Qualitative surveys reveal only a few common major livelihood activities across the KSWs: rainfed lowland rice farming, upland rice farming, cash crop farming and resin-tapping in mature forest. These currently occur in predictable combinations depending on the topography, accessibility and ethnicity of each settlement (Evans 2007, Pollard and Evans 2009). In remote and hilly indigenous-dominated areas upland rice is combined with resin-tapping and a little cash cropping. In remote indigenous-

dominated flat lowland areas lowland rice is combined with resin-tapping and a little cash cropping or upland rice. In more accessible lowland areas (especially those dominated by Khmers) cash crops tend to dominate, often in combination with lowland rice but little or no resin-tapping. Traditionally the lack of significant markets meant there was little interest in cash crop production before about 2002. As the road network has improved, some previously remote settlements have shifted recently to the cash-crop dominated model (Pollard and Evans 2009) and more, perhaps most, can be expected to do so in future.

A few settlements have reported other activities as being significant to many families in that location (Evans 2007, Pollard and Evans 2009) such as trading (in the central part of O Am), the production of bamboo incense sticks (near the main bamboo forest area; Mann Mouy 2010) and the collection of old military scrap metal (now ceased, but widespread briefly in 2005–2006). Many other smaller scale activities (handicrafts, labor, extraction/processing of other NTFPs, service industries) are also important at particular times or for particular families, but are not dominant in any one locality. Indigenous people in particular have a highly diversified range of smaller livelihood activities linked to collection of forest products for subsistence or sale and based on their detailed ecological knowledge of the area.

### 1.2.3.2 Farming

The farming systems include many crops, with each farmer typically specializing in one or two but also growing a range of others. Of cash crops, cashew is planted most widely, with cassava, soy, rambutan and others only popular near to the main roads, due to transport constraints. At the time of writing cassava is clearly the dominant cash crop by area planted. Few productivity data are available but grower enthusiasm suggests that yields are attractive. Some plots of rubber have been planted in some areas on a small scale since 2008. Various other crops are also grown as minority components of the cash-crop system. Upland and lowland rice productivity is low (typically around 1–1.5t/ha) with little or no irrigation and high losses in some years due to weather and insect pests. To cover annual rice shortfalls other starchy foods need to be bought, bartered or substituted by the collection of forest tubers. There are many other crops including cassava, yams, beans, corn, squashes and leaf vegetables, often inter-cropped with the upland rice or grown adjacent to lowland rice fields. Fruit trees are also increasingly grown.

Cash cropping can be very extensive or very small scale, depending on farmer preferences and population density. Upland and lowland rice fields tend to be scattered in small patches in the forest, sometimes several km from the nearest settlement, depending on availability of suitable soils. Historically upland rice fields were abandoned after 2–6 years and left fallow for 10–20 years before being cleared again, often but not always by the same family. Fewer and fewer fields are now fallowed, with most being converted to permanent crops, especially cashew, once rice production declines. Most households keep 5–20 chickens, 1–2 pigs and possibly some ducks. If wealthy enough they may have a few cattle, buffalos or even an elephant. Larger stock are rarely eaten or sold but are kept as a store of wealth for special occasions or emergencies (e.g. a wedding or a serious illness). Cattle, buffalo and elephants are also used as draught animals.

### 1.2.3.3 Forest use - NTFPs and timber

A high proportion of total livelihood is drawn from the forest. Many products are used in the household (e.g. wood, vines, bamboo, vegetables, fish, wild meat and medicinal plants). Some forest products can also be sold. By far the most important in this landscape is liquid resin tapped from forest trees (mostly from mature *Dipterocarpus alatus*, Figure 1.2.7 A) the sale of which is a vital source of cash income, second only to rice farming in many settlements (Evans *et al.* 2003). The traditional system of ownership of individual trees makes this a reliable and sustainable source of income for participating families. Under this system almost all households own some trees (typically 10–100 or more) which they tap on a weekly cycle. The resin is sold to a middleman (often a Khmer shopkeeper from the settlement) who trades it to the Vietnamese border. In most of the landscape this trade appears to have begun after 1979. Prices have risen steadily in recent years. Resin trade networks cover the whole area with traders exporting large quantities of resin to Vietnam or other parts of Cambodia. The resin transport network to remote villages is used for trading other products both legal (basic consumer goods) and illegal (e.g. wildlife).



Since 2006 the harvesting and home processing of large-stemmed bamboos has become important in some villages (e.g. O Am and O Rona), particularly amongst in-migrants from other parts of Cambodia who lack resin income as they do not own trees. The stems are split to form the core incense sticks (Figure 1.2.7 B), and are sold in large bundles to traders from Vietnam (Mann Mouy 2010). Trade in many other forest products tend to be driven by middlemen making specific orders on a sporadic basis – when there is a demand for rattan (Figure 1.2.7 C), live macaques, onkoit seeds (*Entada*), malva nuts (*Sterculia lychnophora*) and sleng fruit (*Strychnos* sp.) or some other product, villagers will typically go to collect as much as they can sell with little regard for sustainability.



**Figure 1.2.7. Important NTFPs include resin tapping tree (A), bamboo sticks for incense (B), and rattan (C).**

Some timber harvesting by local communities in the landscape is illegal and trade-driven but some is permitted by law for house construction.

#### 1.2.3.4 Fisheries

Fisheries in the KSWS are small-scale by Cambodian standards but critically important for local livelihoods as they apparently supply a high proportion of protein needs, rather than wild or domestic animals as might be expected. A 2003 study in the Core Area of the KSWS revealed that more than 50% of meals included fish, contrasting with less than 10% from other animal protein, most of that from domestic species (Richardson 2003). Most families in most settlements appear to fish regularly, usually catching fairly small amounts in ponds and streams. People sometimes go on long dry season fishing trips to productive locations. Fisheries are open access and declining partly due to destructive methods used by outsiders and a minority of local residents for trade.

#### 1.2.3.5 Hunting

Wildlife hunting is common but much harder to quantify than fishing since hunting of rare species and hunting for trade are both illegal. Various studies in KSWS have estimated that at least 20-70% of households engage in some hunting. Most of the hunting is for smaller species (e.g. monitor lizards, mouse-deer, porcupines) and are caught for consumption or trade, apparently in quite small quantities per family. Hunting of larger and high-value species (Red Muntjac, Sambar, wild cattle, pangolin, and turtles) also takes place. This typically is not for consumption, but to sell meat or parts. Many people trade small amounts of small-bodied wildlife species and a few are involved in trade in large, high value species. Hunting of larger-bodied species is usually done by or in cooperation with those with access to weapons, typically members of the armed forces.

### 1.2.4 Land tenure

Land in the Project Zone has varying legal status depending on its history and current use (Figure 1.2.8; Table 1.2.6; see also Oberndorf 2010). The Project Area is entirely Core Protection Forest which is a highly protected category within the Permanent Forest Estate, although the law still allows for a variety of customary economic uses. Areas of Indigenous Communal Title (ICT), existing or potential, are excluded as are areas that were transferred to private titles during a recent national land amnesty. In common with a high proportion of Cambodia's forest areas, parts of the Project Area are also overlain with mining exploration permits that do not in themselves confer ownership or use rights.



The Leakage Belt contains several other tenure categories, as set out in Table 1.2.6. The Project Area and most of the Leakage Belt also lie within the area of the Samling International Ltd Logging Concession, which was issued in 1994 (see 3.2.2 for a detailed discussion).

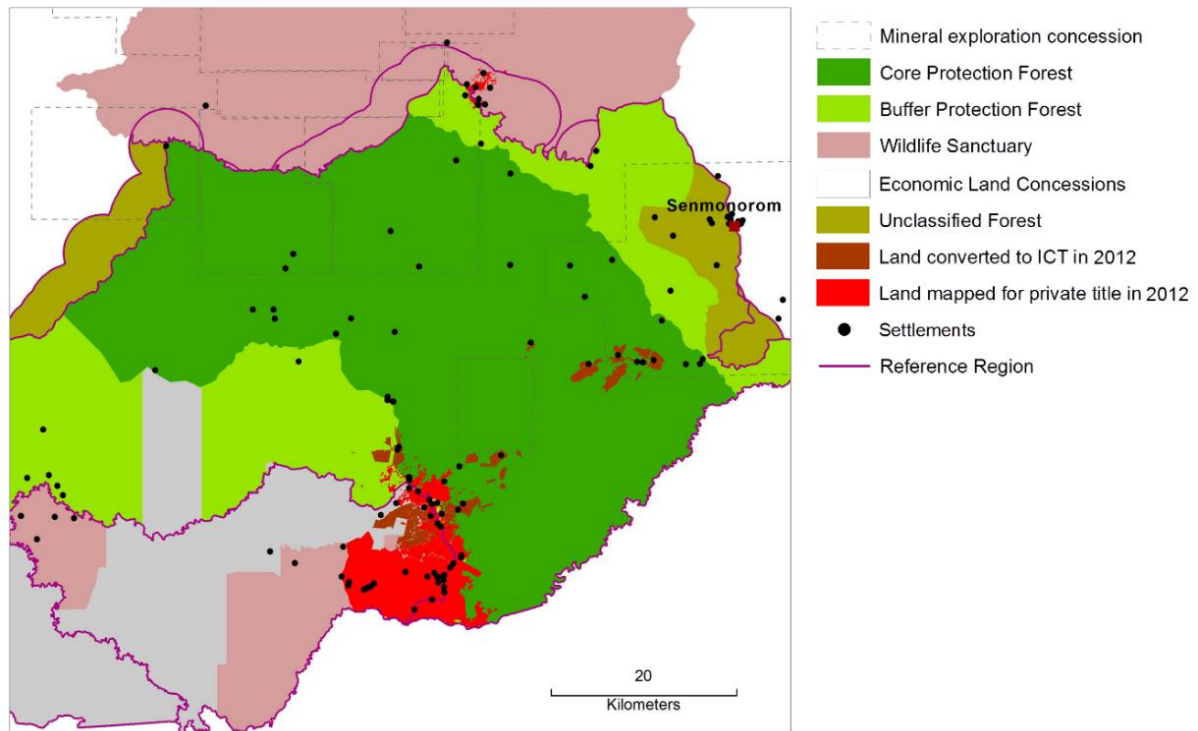


Figure 1.2.8. Land tenure categories in the Project Area and Leakage Belt (as of 2010).

**Table 1.2.6. Summary of legal categories of land tenure in the Project Zone.**

Category	Responsible <sup>^</sup>	Legal basis*	Project Area	Leakage Belt/Leakage Management Area (LB/LMA)
Protected Area	MoE	PAL Art. 7 and Sub-decree 83 (2016); see Notes 1 & 4 below.	The whole Project Area was classified as Core Project Area on the project start date and at the time of validation.	Areas that are currently Core Project Area but potentially eligible for conversion to ICT are excluded from the Project Area and included in the LB/LMA.
Mine exploration concessions	MIME + MAFF/MoE	ML Art. 11.5. Can co-exist with other legal designations; confers research rights and option to negotiate if a resource is found. No ownership/ management rights.	Five overlap the Project Area.	Four overlap the LB/LMA.
Indigenous Communal Title	Registered community	LL Arts 23–28. Owned by a community legal entity on behalf of the village; governed by traditional rules agreed during the titling process. Can include some forest (Note 2).	None.	Several villages issued titles or in process and some of the remainder likely to do so.
Wildlife Sanctuaries (State Public Land)	MoE	Defined by PAL 2008 (notably Arts 7, 11–14 & 25–28) (Note 1).	None	Small sections of Snoul WS and Phnom Prich WS. Neither has been fully zoned but several SUZs created to allow large-scale economic concessions.
Economic Land Concessions (State Private Land)	MAFF + Company	See Sub-decree 146 (2005) modified 2008. Essentially a long-term lease, does not confer ownership; requires conversion from State Public Land (Note 3).	None	None. Excluded once they are issued, as they exclude unplanned deforestation and cause planned deforestation that is not part of the business as usual projections and is not attributable to project leakage.
Private land	Private owners	Recently provided in this area under Prime Minister's Directive 001, 2012 (Note 4).	None	Present in the villages of O Am, O Ronaa, Sre Preah and Pu Char.

<sup>^</sup> MAFF – Ministry of Agriculture, Forestry and Fisheries; MoE – Ministry of Environment; MIME – Ministry of Industry, Mines and Energy

\* FL - Forestry Law 2002; LL Land Law 2001; ML - Law on Mineral Resource Management and Exploitation 2001; PAL - Protected Areas Law 2008

**Table 1.2.6 Notes**

Note 1. Under the Protected Areas Law 2008, the protected areas are categorized as follows: (1). National Park, (2). Wildlife sanctuary, (3). Protected landscape, (4). Multiple use area, (5). Ramsar site, (6). Biosphere reserve, (7). Natural heritage site and (8). Marine park. The protected areas above shall be defined by a sub-decree. The project area was classified as Keo Seima Wildlife Sanctuary (KSWS) under the Sub-decree 83 and it aims to (1) ensure the protection of wildlife habitats and ecosystem as well as provide necessary condition and habitats for wildlife, plants and biodiversity, (2) provide natural products and services for sustainable use and (3) promote local community participation as well as the public citizen to contribute to the management, protection and conservation of biodiversity and natural resources in the area. Wildlife Sanctuaries can be divided (by a decision of the Council of Ministers) into four zones: Core, Conservation, Community, and Sustainable Use (SUZ); SUZ can include Community Protected Areas (CPA) and also large-scale economic concessions. It is not clear if ICT can be issued but it is presumed so. Core Zones have essentially zero human use, Conservation Zones permit

limited extractive use, Sustainable Use zones permit more intensive use including certain kinds of commercial concessions and Community Zones permit agricultural and residential uses by community members, including the issuance of restricted forms of land title. Community Protected Areas are special management arrangements for sections of the Sustainable Use Zone that allow increased levels of extractive use based on approved management plans. Land disputes have arisen due to illegal land clearance by small holders, and also due to conflict between these smallholder farmers (both legal and illegal) and Economic Land Concessions that may be issued over the land they are using. Some of these disputes have been resolved by issuing title to the smallholder occupiers, and others by setting aside disputed areas within Economic Land Concessions, but other remain unresolved.

Note 2. ICT can include farmland, fallows, residential land, spirit and burial forests, according to the claims asserted by the community and the factual situation. This designation recognizes the traditional management systems of these villages, whereby land is considered to be communally owned, although the products of the land are privately owned, and the concept of selling individual parcels, or of keeping ownership after leaving the village, is relatively new. It also recognizes the vulnerability of this system to external pressures which can result in land alienation and serious livelihood impacts on weaker community members. These areas remain classified as PFR until community claims have been accepted by the MLMUPC, at which point they are reclassified to community ownership. Parts of the titled land are designated as State Private land whilst others are designated as State Public Land. The land cannot be sold in those parts registered as State Public Land and most communities set rules to forbid any sales. While the claims are being assessed, communities are permitted to continue with their traditional management systems in these areas. Some titled areas are now the subject of land dispute due to illegal land-grabbing or unauthorized sales. Direct interventions through project activities (see Section 2.2.2) support the establishment of community title and formal customary use of lands within the Project Zone. The project aims to assist some communities in resolving these disputes through technical support. Subsequent action regarding and resolution of resulting disputes is handled through the provincial legal system and operate 'without prejudice' as described under Note 1 above.

Note 3. Communities are generally prevented from using land within ELCs, although they may be allocated zones within the ELC boundary, for example to give access to established fields or spiritual sites. There have been many land disputes, locally and nationally, between occupiers of the land and ELCs. Some of these have been resolved by setting aside disputed areas within Economic Land Concessions.

Note 4. Land parcels that have been in uncontested use since before the passage of the 2001 Land Law are in most cases eligible to receive ordinary private land titles after adjudication, and this right may also seemingly be extended on a case-by-case basis to other parcels of land in use (e.g. those occupied after 2001, but uncontested). Prime Minister's Directive 001 (2012) led to implementation of this process on a large scale, and was intended to resolve many long running land disputes.

### 1.2.5 Biodiversity

The first known biological surveys of the Project Zone took place in 2000 (Walston *et al.* 2001) and covered the southern portions. At that time much of the Project Zone was managed as a logging concession by Samling International. The survey focused on large mammals and birds and revealed the importance of the area. Following the commencement of conservation activities in 2002 a more systematic survey of selected key species was carried out in order to develop a biodiversity monitoring plan (Clements 2002). Since 2004 systematic collection of data has taken place annually which has yielded a great deal of information on the biodiversity of the Project Zone, and in particular the Project Area (e.g. O'Kelly *et al.* 2012).

In addition to the annual monitoring, many other records of species have been collected by project staff, and by visiting researchers. These data are stored in a dedicated biodiversity database administered by WCS. Several taxon-specific surveys have also taken place in the Project Zone which have revealed more detailed information on the biodiversity of the area (see e.g. WCS/FA 2006a). As a result of these surveys the Project Zone is one of the best known areas in the country from a biological perspective.

KWSWS is unusual in Southeast Asia in that it conserves large areas of both Annamitic evergreen forest and deciduous dipterocarp forests of the eastern plains, and the transition between the different forest types (Rundell 1999, Baltzer *et al.* 2001). This mosaic of forest types probably contributes to the high species richness in the area. To the end of 2010 334 bird species, 93 mammal species and over 60 reptile and amphibian species had been recorded in KWSWS (e.g. WCS/FA 2006a, Stuart *et al.* 2005, WCS/FA unpublished data; full species lists available on request). There are likely to be many more reptiles, amphibians and small mammals that have not yet been recorded. A preliminary survey of fish, based on interviews, was conducted by Degen *et al.* (2004) and preliminary botanical studies were made by MacDonald (2004a & b).

#### 1.2.5.1 Species of global conservation concern

As of 2010, 61 vertebrate species that are Globally Threatened, Near-threatened or Data Deficient (IUCN 2010) had been recorded in KWSWS (Table 1.2.7).

**Table 1.2.7. Number of species of global conservation concern present in KWSWS.**

Class	Number of Species (number of species that are not yet confirmed, but suspected to occur, in brackets)					
	Critical	Endangered	Vulnerable	Near Threatened	Data Deficient	Total
Mammals		9 (2)	13	6	1	29 (2)
Birds	4 (1)	3	6	8 (1)		21 (2)
Reptiles	(1)	2	2 (2)	2		6 (3)
Amphibians			2	1	2	5
Fish		(1)			(2)	(3)
<b>Total</b>	<b>4 (2)</b>	<b>14 (3)</b>	<b>23 (2)</b>	<b>17 (1)</b>	<b>3 (2)</b>	<b>61 (10)</b>

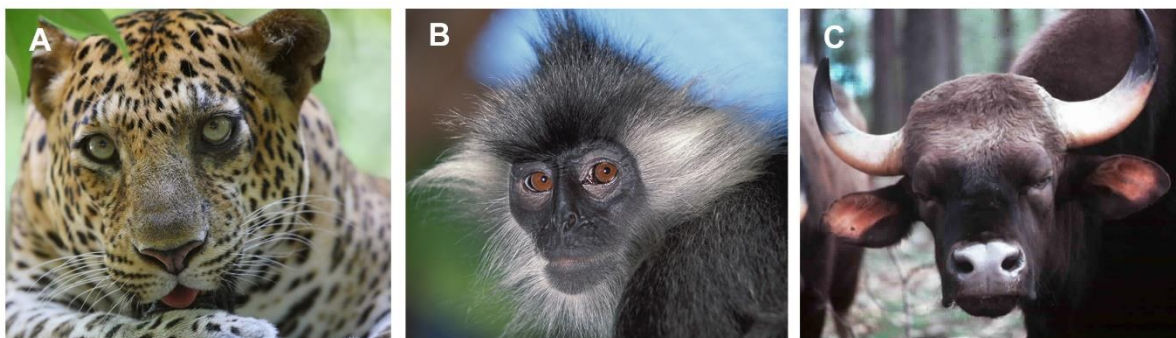
The KWSWS (in particular the Core Protection Area) is especially notable for the conservation of several species groups.

**Carnivores:** The KWSWS has an extraordinary richness of mammalian carnivores. To date 23 species have been recorded and several more are thought to be present. For example, the area is likely to have at least six species of wild cat (e.g. leopard Figure 1.2.9 A). In 2000 the first ever photo of a wild Cambodian Tiger was obtained from a camera-trap in the KWSWS.



**Primates:** The semi-evergreen and evergreen forests of southern Mondulkiri are internationally important for the conservation of primates. In 2010 the population of the Endangered Black-shanked Douc in the Project Area was estimated to be 15,100–35,300 individuals, probably the majority of the total world population (Rawson 2009). In addition an estimated 350–1700 Yellow-cheeked Crested Gibbons are present, a significant proportion of the world's population of this endangered ape (Pollard *et al.* 2007, Rawson *et al.* 2009, Nuttall *et al.* 2013). There are also notable populations of five other threatened primates including the Pygmy Loris (Starr *et al.* 2011) and Germain's Silvered Langur (Figure 1.2.9 B, Moody *et al.* 2011).

**Deer, wild cattle and Asian Elephants:** The diversity of forest types, permanent rivers and water sources, and large numbers of mineral licks provides a highly productive landscape which can support high numbers of large herbivores. A recent survey found the population of Asian Elephants in the KSWs to be 101–139 animals (Pollard *et al.* 2008). Together with groups in neighboring protected areas it is one of the most important Elephant populations in the Lower Mekong Region. Gaur (Figure 1.2.9 C), Banteng, Eld's Deer and Sambar are important in themselves, and are also key prey species for large carnivores such as Dhole and Tiger. Good numbers of Banteng are found in KSWs; photos of calves show that these are breeding successfully. Mondulkiri Province is thought to be home to one of the largest populations of Banteng in the world (IUCN 2010). Similarly it appears that Gaur numbers are stable and possibly recovering, and southern Mondulkiri may have one of the most important populations in Cambodia, and the region in general (IUCN 2010).



**Figure 1.2.9. Seima species groups include carnivores (e.g. Leopard, A), primates (e.g. Silvered Langur, B), and wild cattle (e.g. Gaur, C).**

**Galliforms:** KSWs hosts globally significant numbers of three galliform birds. The Endangered Green Peafowl (Figure 1.2.10 A) is seen regularly in most parts of the conservation area especially in open areas near to permanent water. The Project Area holds an estimated 150–700 individuals (O'Kelly and Nut Meng Hor 2010) and is part of what may be the last stronghold of this species in Cambodia (Goes 2010). The Orange-necked Partridge (Near threatened) was first recorded in the KSWs in 2003. This Restricted-Range species was previously only known from a few locations in southern Vietnam. Since then the bird has been seen and heard often. Although the size of the population is unknown it may be highly significant given the available area of its preferred habitat of bamboo-rich forest. The population of Germain's Peacock-pheasants in southern Mondulkiri is so large that it in 2005 it contributed to a change in the assessed status of the species from Endangered to Near-threatened (IUCN 2010).

**Vultures and large waterbirds:** Four Critically Endangered bird species have been recorded in the KSWs: Giant Ibis, White-shouldered Ibis, Red-headed Vulture (Figure 1.2.10 B) and White-backed Vulture (WCS/FA 2006a). These species have all been seen in recent years, mainly in the open forests in the west of the KSWs (Bird *et al.* 2006). Although this sector has had relatively little survey effort, there have been multiple records of these species, and so it may prove to be of global importance for all them, in particular Giant Ibis. This area is also known to have breeding populations of Sarus Crane and Lesser Adjutant (Figure 1.2.10 C) which are both Vulnerable. White-winged Duck has been recorded on one river system and is reported to occur on several others.



Figure 1.2.10. Other species groups include galliforms (e.g. Green Peafowl, A), vultures (e.g. Red-headed Vulture, B, and large waterbirds (e.g. Lesser Adjutant, C)

There has been little botanical work carried out in KSWs, but studies to date have shown that KSWs has at least ten tree species that are listed on the IUCN Red List as Vulnerable, Endangered or Critically Endangered (Table 1.2.8).

Table 1.2.8. Globally Threatened and Near-threatened plant species confirmed in the Project Zone.

Species	Local name	Conservation Status (IUCN 2010)
<i>Dipterocarpus turbinatus</i>		Critically Endangered (CR)
<i>Dipterocarpus costatus</i>		Endangered (EN)
<i>Dipterocarpus alatus</i>	Choeuteal tuk	Endangered (EN)
<i>Dipterocarpus costatus</i>	Choeuteal bangkouy	Endangered (EN)
<i>Anisoptera costata</i>	Phdiek	Endangered (EN)
<i>Hopea odorata</i>	Koki masao	Vulnerable (VU)
<i>Dalbergia bariensis</i>	Neang noun	Endangered (EN)
<i>Dalbergia oliveri</i>	Neang noun	Endangered (EN)
<i>Dalbergia cochinchinensis</i>	Kranhung	Vulnerable (VU)
<i>Dialium cochinchinense</i>	Kran lanh	Low Risk/Near-threatened (NT)
<i>Azelia xylocarpa</i>	Beng	Endangered (EN)
<i>Cycas siamensis</i>		Vulnerable (VU)

#### 1.2.5.2 Global assessment criteria

In recent years many conservation organizations have carried out global assessments of biodiversity. These exercises are designed to highlight areas of high biological diversity or regions that are highly threatened with destruction. KSWs overlaps several of these, reinforcing the conservation importance of the area:

- The KSWs overlaps with two 'Last of the Wild' areas identified in the Indo-Malayan Tropical & Subtropical Dry Broadleaf Forests biome. The Last of the Wild were identified by WCS in a global exercise that mapped the extent and intensity of human influence and then selected the ten least affected areas within each biome (Sanderson *et al.* 2002a).
- The southern, evergreen parts of KSWs lie within the South Vietnam / Cambodia Lowlands Endemic Bird Area (EBA) (Stattersfield *et al.* 1998). EBAs are defined as areas that contain a concentration of endemic bird species. This means areas that contain the entire breeding ranges of two or more restricted-range bird species (those with a breeding range less than 50,000 km<sup>2</sup>). KSWs has breeding populations of the 3 restricted-range bird species that

characterize this EBA: Germain's Peacock-pheasant, Orange-necked Partridge and Grey-faced Tit-babbler.

- The area also includes parts of two Important Bird Areas (IBAs) (Seng *et al.* 2003). These are identified as being areas of high bird diversity, or with concentrations of endangered bird species, that are of high conservation importance. The southern parts of KSWs are in IBA KH027 (Snoul / Keo Seima / O Reang) which is important for the conservation of Orange-necked Partridge, Siamese Fireback, Green Peafowl, White-winged Duck, and Great Hornbill, amongst other species. The northern deciduous dipterocarp sections of KSWs are part of IBA KH026 (the Kratie / Monduliri lowlands) which is important for vultures, ibises, Sarus Crane and Green Peafowl.
- The KSWs includes parts of two Global 200 Ecoregions: Annamite range moist forests, and Lower Mekong dry forests. Ecoregions are large areas with relatively uniform climate that harbor a characteristic set of species and ecological communities. The World Wildlife Fund (WWF) identified about 200 of the most threatened of these globally which are defined as "outstanding representatives of the world's terrestrial and marine ecosystems" (Olson & Dinerstein 2002, Baltzer *et al.* 2001). Selection has been based on parameters such as species richness, species endemism, higher taxonomic uniqueness, unusual ecological or evolutionary phenomena and keystone habitats.
- The conservation area lies within the Indo-Burma Hotspot (Myers *et al.* 2000, Tordoff *et al.* 2007). This is an area identified by Conservation International as a biodiversity hotspot with high levels of biodiversity and endemism and under high threat of destruction. Southern Monduliri, including the KSWs has been highlighted in two species level priority setting exercises.
- The area is part of the Southern-central Annamites Tiger Conservation Landscape. This area was classified as a Global Priority landscape offering the highest probability of persistence of Tigers over the long term (Dinerstein *et al.* 2006). More recent assessments (Walston *et al.* 2010a, Lynam 2010, O'Kelly *et al.* 2012) have however determined that Tigers are now extirpated from the landscape. The area is still considered of high importance for long-term Tiger conservation as it represents part of the largest remaining block of deciduous dipterocarp forest in the region and one of the largest protected areas networks in mainland south-east Asia. The landscape therefore has high potential as a possible reintroduction site and is identified by Walston *et al.* (2010b) as a Potential Source Site.
- The IUCN Asian Elephant specialist group is identifying range-wide priorities for elephants. The Project Area overlaps with a proposed Asian Elephant 'core population', one of the highest priority landscapes for the conservation of Asian Elephants globally (S. Hedges *in litt.* October 2010). The Asian Elephant population in the Project Area is one of only two in the lower Mekong for which there is a robust population estimate. In addition this population is thought to be part of a metapopulation with neighboring areas, and as such is of regionally very high importance.
- The importance of the KSWs for the conservation of plants can be inferred from studies of neighboring areas. Nearby Cat Tien National Park in Vietnam has been identified as a center of plant diversity, with an estimated 2,500 species of vascular plants, and has semi-evergreen and evergreen forest that is similar to those in the south of KSWs. Yok Don National Park in Vietnam is dominated by deciduous dipterocarp forest, with semi evergreen forest along river banks. This area is very similar to the northern and western parts of KSWs and has also been identified as a center of plant diversity. Yok Don has an estimated 1,500 species of vascular plants, many of which are unique to deciduous dipterocarp forest. Considering that KSWs has large areas of forest that are very similar to both Yok Don and Cat Tien it is likely that KSWs would also qualify as a Centre of Plant Diversity (WWF/IUCN 1995).



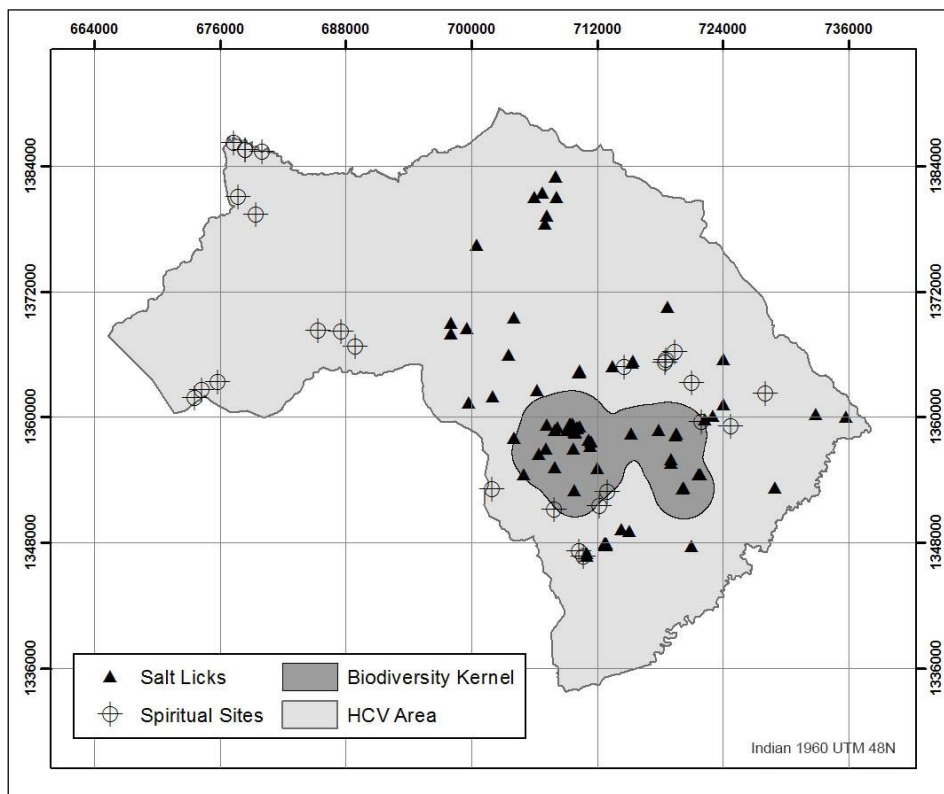
### 1.2.6 High Conservation Values

In the absence of a national interpretation the High Conservation Values of the project have been identified based on the Global HCV Toolkit (ProForest 2003). An assessment of which values are present in the Project Area was carried out by the project team (Pollard and Evans 2012). This assessment is based predominantly on existing studies and reports.



**Figure 1.2.11. The KSWS Core Area conserves what is probably the largest remaining block of lowland southern Annamitic forest and large areas of deciduous dipterocarp forest.**

In addition consultations with individual communities and multi-stakeholder discussions have been held to verify social values, and map their locations. The assessment revealed that several values are present throughout the KSWS Core Area (Figure 1.2.12, Table 1.2.9). Project activities have been developed to maintain or enhance these values (Section 2.4).



**Figure 1.2.12. The entirety of the KSWS Core Area qualifies under multiple HCV criteria.**



**Table 1.2.9. Summary of High Conservation Values identified in the Project Zone.**

High Conservation Value	Details	References
<i>HCV1: Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values</i>		
<i>HCV 1.1: Protected Areas</i>	<p>The KSWC Core Area is classified as a Protection Forest, a protected area managed by the Forestry Administration. Amongst the aims of the KSWC are:</p> <ol style="list-style-type: none"> <li>1. To protect, conserve and rehabilitate genetic resources of fauna and flora species which are globally threatened species;</li> <li>2. To maintain and rehabilitate important ecosystems for habitats and breeding of all species and biodiversity resources.</li> </ol>	Sub-decree 143 (2009)
<i>HCV 1.2: Threatened and Endangered Species</i>	41 Globally Threatened vertebrate and 10 Globally Threatened plant species have been confirmed from the KSWC Core Area.	IUCN 2010
<i>HCV 1.3: Endemic Species</i>	<ol style="list-style-type: none"> <li>1. Three restricted-range bird species are found in the KSWC Core Area, consequently the area is part of the southern Vietnam/Cambodia Lowlands Endemic Bird Area.</li> <li>2. Yellow-cheeked Crested Gibbon and Black-shanked Douc are restricted to southern Vietnam and eastern Cambodia. Both are found in large numbers in the KSWC Core Area</li> <li>3. One frog species currently known from only one river system in the KSWC Core Area.</li> <li>4. The rattan <i>Calamus lateralis</i> is known only from the KSWC Core Area and one other nearby site in Vietnam</li> </ol>	Stattersfield <i>et al.</i> 1998 Pollard <i>et al.</i> 2007 Stuart <i>et al.</i> 2006 Henderson 2009
<i>HCV2: Forest areas containing globally, regionally or nationally significant large landscape level forests</i>	The KSWC Core Area can itself be considered a large, landscape-level forest. The KSWC overlaps with two 'Last of the Wild' areas. In addition the KSWC is part of the Eastern Plains Landscape (16,800 km <sup>2</sup> of contiguous forest)	Sanderson <i>et al.</i> 2002a WWF/WCS 2008
<i>HCV3: Forest areas that are in or contain rare, threatened or endangered ecosystems.</i>	KSWC Core Area conserves what is probably the largest remaining block of lowland southern Annamitic forest and large areas of deciduous dipterocarp forest. Both of these forest types have suffered globally from extremely high levels of deforestation and conversion. The KSWC Core Area includes areas of the unique Sen Monorom grasslands. KSWC is one of only two protected areas to do so.	Olson & Dinerstein 2002 Baltzer <i>et al.</i> 2001 Tordoff <i>et al.</i> 2007
<i>HCV5: Forest areas fundamental to meeting basic needs of local communities</i>	Approximately 12,500 people live in 20 villages using the KSWC Core Area, of whom a large proportion are dependent on forest resources. Collection of liquid resin from forest trees, mainly <i>Dipterocarpus alatus</i> is the most important source of cash income for remote communities, providing income that is essential for purchasing rice and other basic needs. The fisheries of the rivers and pools of the KSWC Core Area are of fundamental importance as the main protein source for most households. Other important resources include rattan, bamboo, honey and medicinal plants.	Evans <i>et al.</i> 2003 Degen <i>et al.</i> 2004 Richardson 2003 Mann Mouy 2010 WCS/FA 2006b
<i>HCV6: Forest areas critical to local communities' traditional cultural identity</i>	19 of the 20 villages are predominately ethnic Bunong who are animist with very strong cultural links to the forest. Culturally important areas ('spirit forests', 'spirit pools' and grave forests) have been mapped for 9 villages and are known to exist for most other communities.	Evans 2007 Degen <i>et al.</i> 2004 WCS/FA data

### 1.3 Project Proponent (G4)

The project proponent is the Royal Government of Cambodia (RGC), represented by the Ministry of Environment (MoE). For contact information see Annex 1.1. The MoE is responsible for management of the site including, but not limited to, the following:

- Assignment of staff, including a Project Manager, or equivalent.
- Developing workplans and budgets.
- Implementation of activities such as law enforcement, community work and demarcation.
- Oversight of participation by other government agencies such as the armed forces.
- Coordination with other branches of government.
- Oversight of involvement of non-governmental organizations.

With regard to the REDD+ project, MoE is responsible for:

- Overall oversight and management (including benefit-sharing frameworks and coordination of partners).
- Assignment of key staff including team leaders and managers.
- Approval of the PD, workplans and monitoring reports.
- Implementation of activities in the workplan for which MoE is responsible.
- Coordination of the REDD+ work with other aspects of KSWS management.

The roles of other project participants are described in Section 1.5. The involvement of village-level community-based organizations is described in Section 7.

### 1.4 Other Entities Involved in the Project (G4)

For contact information for organizations listed in this section see Annex 1.1.

#### 1.4.1 Technical partners

The Wildlife Conservation Society Cambodia Program is the lead technical partner. WCS has cooperated with FA at the site since the first wildlife surveys in 2000. WCS works on the REDD+ project under the terms of a renewable 3-year Project Agreement with MAFF. Successive three year agreements have been in place since 1999 and are likely to continue being renewed into the foreseeable future, by mutual consent. Should this agreement be terminated, at the discretion of either party, FA will be responsible for making other arrangements to fill the role played by WCS in the REDD+ activities. In 2016, the KSWS was transferred to MoE to continue to implement REDD+ project and the project agreement between MoE and WCS was signed.

To the extent possible by available funding and other resources, WCS is responsible for:

- Provision of technical advice on all aspects of conservation at the site.
- Assisting in the drafting of certain project documents such as the PD, annual reports and verification reports.
- Management of their own non-governmental staff associated with the project.
- Coordination of the inputs of livelihood/development NGOs.
- Co-operating in efforts to secure non-REDD funding required for business as usual activities.

The other principal implementation partners are local and international development NGOs. The exact partners will depend on levels of funding and technical requirements of the project, and will vary over the course of the project on the basis of negotiated contracts for service provision. The key partner in the early years of the project is Cambodia Rural Development Team (CRDT). CRDT has cooperated with FA and WCS at the site since 2005 and during 2008–2010 worked there in part under direct contract to WCS. Other partners who cooperate on the project include, but are not limited to, the Sam Veasna Centre and World Education Inc.

CRDT, and other similar partners, will be responsible for implementing specific alternative livelihood activities, for example the development of sustainable agriculture projects, ecotourism and off-farm livelihood improvement projects. This mainly relates to actions under Sub-objective 4 of the workplan, although CRDT is also involved in some extension (Sub-objective 3, Action 5).

Three other organizations have participated in the development of the REDD+ project documentation. Winrock International assisted with initial conceptualization, staff training and technical review of sections of the PD. Forest Carbon assisted with PD drafting and technical review. The Community Legal Education Centre (CLEC) assisted extensively with the process of gaining Free, Prior and Informed Consent from local communities. Fixed term contracts will be issued to these or comparable organizations for similar services at intervals through the life of the project.

#### 1.4.2 Skills necessary for project implementation

The project activities listed in Section 2.2 require a broad range of skills, all of which can be provided by the project participants as set out in Table 1.4.1.

**Table 1.4.1. Key skills required to implement the project.**

Sub-objective	Key skills required	Main partners
#1: Key legal and planning documents for the Seima Protection Forest and surrounding landscape are approved and implemented	Protected area management planning, coordination with senior government officials, understanding of private sector	MoE, WCS
#2: To reduce forest and wildlife crime by direct law enforcement	Implementation of enforcement patrols, monitoring outcomes	MoE, WCS
#3: Land and resource use by all core zone communities is sustainable	Participatory land-use planning, implementation of Land Law and Forestry Law, design of natural resource management systems	MoE, WCS
#4: Support for alternative livelihoods that reduce deforestation	Promotion of alternative livelihoods (forestry, tourism, agriculture, savings groups, adult education etc.)	MoE, WCS, CRDT other NGOs
#5: Collect information on long-term ecological and social trends	Scientific monitoring (carbon measurement, remote sensing, wildlife and plant species, socio-economics)	MoE, WCS, and tech. partners
#6: Effective administrative, accounting and logistical procedures are in place	Administration and accounting systems	MoE, WCS
#7: Long-term financial security	Fund-raising from traditional donors, management of REDD+ activities	MoE, WCS, CRDT other NGOs and tech. partners

The implementing organization and several of the implementing partners had been active in conservation at the site for up to eight years prior to the project start date (Evans *et al.* 2013) and already had a well-established core team which will be expanded to achieve the additional activities required for the REDD+ project as resources become available. The team draws on the combined strengths of a government agency (MoE), an international conservation NGO (WCS) and a number of local and international development NGOs.

The MoE has the legal mandate to manage protected areas (PA) in Cambodia. It has over 1500 staff, including senior managers and core technical offices in Phnom Penh and a network of local offices extending out to every district (RGC 2010). Senior MoE management staff assigned to the KSWs REDD+ project vary over time. They are mainly drawn from the General Department of Administration for Nature Conservation and Protection (GDANCP) and the National Council for Sustainable Development (NCSD), with involvement of other technical offices as required. These managers have

extensive experience in protected area management, implementation of forestry law enforcement, design of community engagement programs, wildlife monitoring, coordination with other stakeholders and management of large budgets. They also provide training to and coordinate the involvement of officers from the provincial and district branches of the MoE, who have skills in matters such as forest estate demarcation, law enforcement, oversight of community forestry and forest tree nurseries, and members of the Royal Cambodian Armed Forces who participate in law enforcement patrols.

WCS has strong institutional capacity to support the work of the project proponent. WCS, founded in 1895 as the New York Zoological Society, is an internationally recognized organization dedicated to preserving the Earth's wildlife and wild landscapes and seascapes. WCS currently oversees a portfolio of more than 500 conservation projects in 60 countries in Asia, Africa, Latin America, and North America. WCS works with national governments, universities, non-governmental organizations (NGOs) and dedicated individuals to increase understanding and awareness of the importance of wildlife through the establishment and strengthening of protected areas, conducting scientific research, strengthening national governmental organizations and NGO capacity, and training the next generation of conservation professionals.

More recently, WCS has engaged in the development of its Carbon for Conservation initiative. Currently, WCS is working with communities and governments in 18 landscapes and 14 countries to develop sub-national REDD+ demonstration projects and support the development of national REDD+ strategies. WCS believes that work at sub-national and national levels should be linked in such a way that national REDD+ strategies are informed by on-the-ground experience obtained through demonstration projects. WCS only works on sub-national REDD+ demonstration projects in landscapes where they have or plan to have a long-term presence. This long-term presence is a prerequisite to success in order to understand the drivers of deforestation and implement activities that reduce deforestation effectively and ensure permanence with community consent and participation.

Specific REDD+ project management experience within the WCS Global Conservation Program includes three VCS and CCBA dually validated and verified Avoided Unplanned Deforestation projects. These projects are Makira REDD+ in Madagascar, Oddar Meanchey Community Forestry REDD+ in Cambodia, and Kulera Landscape REDD+ in Malawi. WCS has successfully managed the Makira REDD+ project, of similar scale and type as Seima REDD+, from inception through periodic verifications. This includes strong institutional capacity in technical aspects of carbon measurement and monitoring ranging from locating and applying IPCC Tier 1 defaults and Tier 2 data sources to conducting the Tier 3 GHG estimation procedures required by the Seima REDD+ methodological approach. Technical skills include carbon density estimations of forest strata from biomass plots, remote sensing monitoring and ex-ante modeling of activity data, calculation of change matrices and application of emission factors, application of leakage corrections, and uncertainty estimation and the calculation and application of deductions. The WCS Global Conservation program has foresters, modelers, remote sensing specialists, and REDD+ technical experts who are available to support Seima REDD+ activities. Additionally WCS maintains strong relationships with numerous technical partners and academic institutions who are available on a contractual basis if further technical support is required.

WCS Cambodia employs various non-government national project staff on the KSWs project including expatriate or national technical advisors, field team members, volunteers, and Phnom Penh based technical and administrative personnel. The technical advisors are often resident long term on-site and over the past few years as needed have included at various times Senior Natural Resources Management advisor, a Community and Civil Society Development advisor, a Wildlife and Threats Monitoring advisor and a Law Enforcement advisor. WCS Global Conservation Program also has a conservation support team based regionally and at the New York headquarters that provides technical assistance, analysis, training and capacity building to WCS field programs. The Conservation Support Unit, established over 10 years ago, provides direct technical support in the areas of conservation strategic development, status and impact monitoring, landscape and ecological modelling, education outreach and capacity building.

The mission of CRDT is to improve food security, incomes, and living standards of poor rural communities in support of environmental conservation in Cambodia. CRDT has been active in KSWs since 2005 through a small team of community extension workers supported by a core team of highly experienced development practitioners at their head office in adjacent Kratie Province. The team has



experience implementing a range of projects in KSWs including water/sanitation, agriculture/livestock, savings groups, environmental education and adult literacy.

### 1.5 Project Start Date (G3)

The project start date was 1 January 2010. Smaller-scale non-REDD-financed conservation activities had taken place prior to this date, which is chosen to mark the commencement of additional activities above and beyond these baseline levels. The creation of the Seima Protected Forest by sub-decree took place in August–September 2009. This was a major necessary condition to allow REDD-specific activities to commence. The detailed information was communicated to the site management team in late October 2009 and to the other government stakeholders over the following few weeks. 1 January 2010, as the beginning of the next administrative quarter after these steps were completed, marks a convenient point to use for accounting purposes. The early 2016, the Royal Government of Cambodia issued the Sub-Decree No. 83 to establish the Keo Seima Wildlife Sanctuary (KSWs) and transfer the management authority to the Ministry of Environment (MoE).

### 1.6 Project Crediting Period (G3)

The duration of the VCS project crediting period is 60 years, 1 January 2010–31 December 2069. In CCBA terminology, this is both the project lifetime and the GHG accounting period.

The methodology (page 8) requires that the baseline is fixed for periods of ten years and then adjusted as necessary. Each ten year period is called a fixed baseline period. The first fixed baseline period will run from 1 January 2010–31 December 2019.

## 2 DESIGN

### 2.1 Sectoral Scope and Project Type

This project is an Agriculture, Forestry and Other Land Use (AFOLU) project under the Reduced Emissions from Deforestation and Degradation (REDD+) project category. Specifically, the project is of the 'Avoiding unplanned deforestation and degradation' (AUD) type. This project is not a grouped project.

The project is only claiming credits generated from avoided unplanned deforestation. This is a conservative approach since the planned activities should also avoid the risk of future planned deforestation and avoid any future worsening of degradation (currently occurring at negligible levels from the perspective of GHG emissions).

Increased carbon sequestration from reforestation or assisted natural regeneration is not a major objective of the project. Some of the forest areas where deforestation is prevented may increase in carbon stock naturally due to recovery from past logging, and in theory this might be eligible for additional credits, but to reduce project complexity no credits will be claimed for this during the first fixed baseline period.

### 2.2 Description of the Project Activity (G3)

#### 2.2.1 Objectives and conceptual model

The objectives of the REDD+ project in the Core Area link directly to the over-arching management objectives of the KSWS. The original vision for the KSWS was developed at a multi-stakeholder workshop in July 2006 (WCS/FA 2006b). This consultation included representatives from all the relevant government agencies, local government, village leaders and civil society.

The agreed Vision for the site was: *"A well-managed forest landscape that supports increasing wildlife populations and improving livelihoods for the people who currently live there."*

At the same meeting a general conceptual model for the project was developed, linking the goal to four key measurable targets, a set of direct and indirect threats and a set of interventions. This was then used to develop the first three year strategic plan, 2008-2011, the annual workplans and the draft Sub-decree.

Figure 2.2.1 shows the current conceptual model, based on the 2006 results, which was revised and updated slightly during the design of the REDD+ project based on the analysis of threats set out in Section 4.5.

Sub-decree 143 (2009) lists nine management objectives for KSWS, which map closely to the four high level Targets in the conceptual model. These are listed below in relation to the three CCBA themes - climate, community and biodiversity. The activities are then discussed in more detail.

##### 2.2.1.1 Climate objectives

The KSWS Sub-decree contains the following two relevant objectives:

- Objective 3- To contribute to protection and conservation, to meet the goals of the National Millennium Development Plan of the Royal Government of Cambodia, and to maintain forest cover.
- Objective 7- To maintain carbon stored in vegetation in order to reduce carbon dioxide (CO<sub>2</sub>) emissions into the atmosphere.

The target in the revised conceptual model is: *'Maintain the variety, integrity and extent of all forest types'*.

### 2.2.1.2 Community objectives

The KSW Sub-decree contains the following four relevant objectives:

- Objective 4- To conserve the culture and tradition of indigenous communities and local communities where they are living within the Protection Forest area.
- Objective 5- To maintain the natural resources that these communities depend on for their livelihoods and to implement the program of poverty reduction of the Royal Government of Cambodia.
- Objective 6- To contribute to sustainable socio-economic development through participation in the management of harvesting forest resources by the local communities, development of ecotourism and other similar activities which have very small impact to biological resources, forest and wildlife.
- Objective 8- To prevent soil erosion, to protect soil fertility and to maintain the stability and quality of water sources.

The targets in the revised conceptual model are: *“Increase security and productivity of natural resources to support local livelihoods”* and *“Sufficient farmland to support the livelihoods of current residents”*. Livelihoods are defined to include cultural aspects.”

### 2.2.1.3 Biodiversity objectives

The KSW Sub-decree contains the following two relevant objectives:

- Objective 1- To protect, conserve and rehabilitate genetic resources of fauna and flora which are globally threatened.
- Objective 2- To maintain and rehabilitate important ecosystems as habitat for all forms of biodiversity.

The target in the revised conceptual model is: *“Increase populations of wildlife of conservation concern”*.

### 2.2.1.4 Cross-cutting objectives

The sub-decree also contains the following general objective. In practice this will be largely covered by activities addressing the other objectives listed above. Many of the activities listed are included in Sub-objective 5 (see next section).

- Objective 9- To support other activities including technical and scientific research, education, training, community development, and environmental studies which are related to sustainable development and conservation at local, national and international levels.

As shown in Figure 2.2.1, the conceptual model links the four targets to seven groups of interventions, four of them (1–4) direct and three (5–7) supporting. These groups are called Sub-objectives in KSW workplans. They are described below. More detail can be found in Annex 2.1 (the workplan, including an implementation schedule, indicating key dates and milestones in the project’s development), and Annex 2.5 (a fuller description of each action).

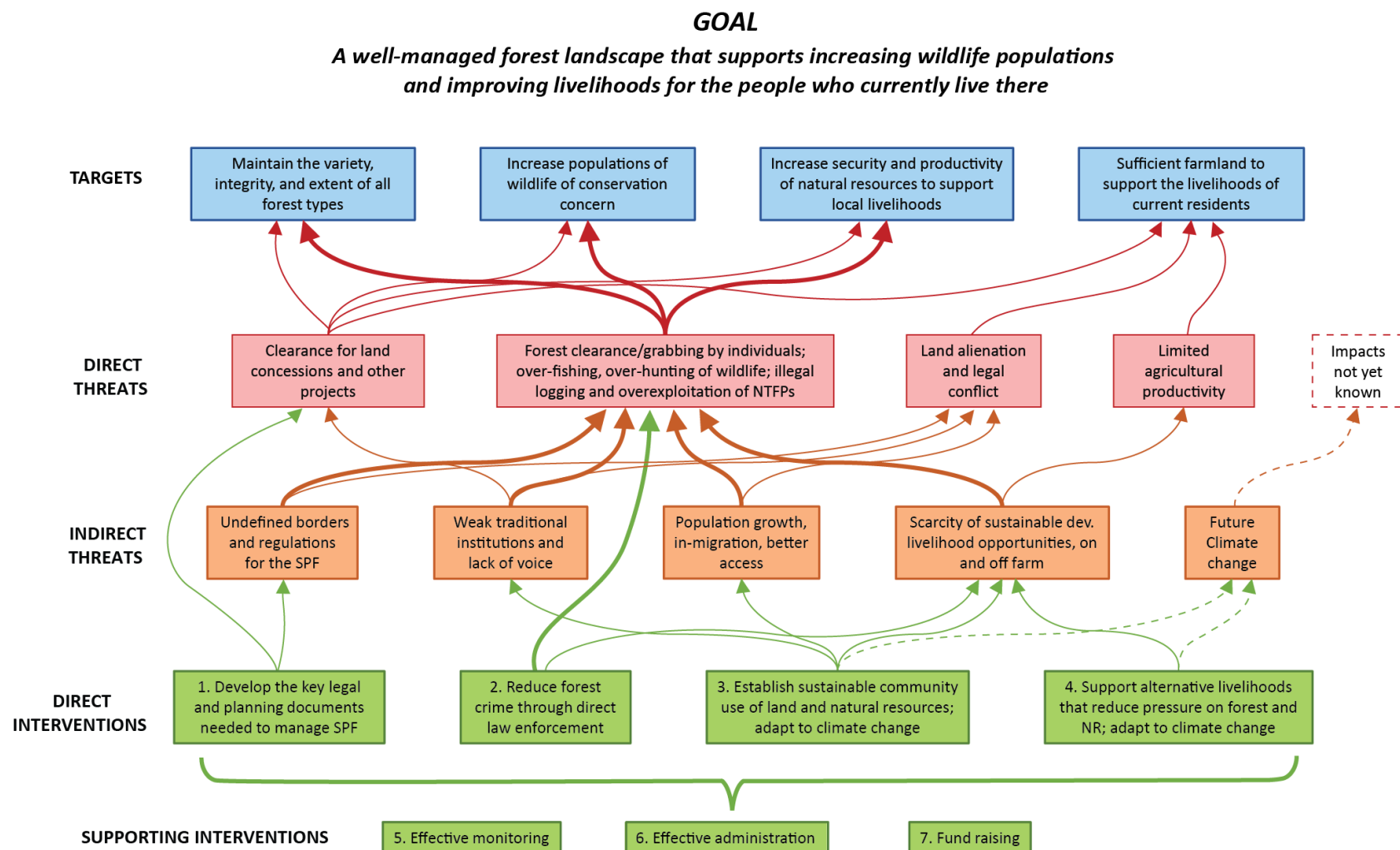


Figure 2.2.1. Conceptual model for the project. Links to the Forest Clearing key threat box have been emphasized, for clarity.



## 2.2.2 Direct interventions

### 2.2.2.1 *Sub-Objective #1: Key legal and planning documents for the Seima Protection Forest and surrounding landscape are approved and implemented*

- Action #1: Maintain support for sub-decree among senior government and general public
- Action #2: Approve and implement Management Plan
- Action #3: Implement Mondulkiri Provincial Corridors strategy
- Action #4: Develop partnerships with the private sector
- Action #5: Develop international cross-border dialogue
- Action #6: Implement adaptive management systems

As shown in Figure 2.2.1 this group of actions addresses the indirect threat of weak legal protection and undefined borders and regulations for the site. Overall legal protection for the site was enhanced early in the project, a management plan with detailed zoning and clear regulations will be consulted upon and approved, provincial-level planning will help maintain connectivity to other forest blocks (see WWF/WCS 2010), and dialogue will be maintained with the private sector and cross-border authorities to minimize certain classes of threat.

Annual public stakeholder meetings and the results of monitoring programs will provide inputs to the production of an annual report and workplan to ensure adaptive management and ensure on-going community consultation through the life of the project. This will help to reduce the direct threats that arise from forest clearance/grabbing by individuals, over-fishing, over-hunting of wildlife, illegal logging and overexploitation of NTFPs. It also addresses the direct threat from issuance of large scale land concessions within the Project Area. By addressing these threats, deforestation will be reduced as will pressure on wildlife populations and other natural resources, bringing benefits to climate, biodiversity and people with forest-dependent livelihoods. The actions also contribute to leakage management goals.

### 2.2.2.2 *Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement*

- Action #1: Enforce wildlife, forest and protected forest laws and sub-decree through patrols
- Action #2: Establish and implement law enforcement monitoring framework
- Action #3: Ensure sufficient patrol buildings, equipment and staffing
- Action #4: Ensure sufficient patrol personnel capacity
- Action #5: Liaise with Provincial, National and other authorities
- Action #6: Establish Community-based Patrolling and/or monitoring system

This group of actions centers on support to government-led law enforcement teams who conduct direct patrols, legal extension, stakeholder liaison and intelligence-gathering activities. Patrol activity and results are monitored with an advanced but user-friendly computerized system called SMART. Communities are also assisted to conduct some patrols themselves, although this can be challenging given the scale of the threats. As shown in Figure 2.2.1 this group of activities addresses the direct threats that arise from forest clearance/grabbing by individuals, over-fishing, over-hunting of wildlife, illegal logging and overexploitation of NTFPs as well as the indirect threat of illegal in-migration, which in turn will reduce the direct threat of land alienation and legal conflicts over land. Addressing these threats will bring benefits for all four of the project's targets, as well as contributing to leakage management goals.

### 2.2.2.3 *Sub-Objective #3: Land and resource use by all core zone communities is sustainable*

- Action #1: Form and maintain land-use agreements with communities
- Action #2: Legally register communities and users
- Action #3: Support indigenous communal land titling in appropriate communities
- Action #4: Demarcate the Forest Estate; reforest areas of recent clearance
- Action #5: Conduct extension and communication activities
- Action #6: Liaise with Commune Council and other agencies
- Action #7: Engage with civil society organizations operating in the Project Area
- Action #8: Ensure the capacity of Project staff is sufficient

This group of actions harnesses the motivation and capacity of community members to address three important indirect threats - weak traditional institutions and lack of voice; population growth, in-migration and better access; and scarcity of sustainable development livelihood opportunities, on and off farm. The activities center on the formation of community groups who are then assisted to develop systems for protection and sustainable use of the resources they depend upon, both forest and land. Some community groups, and some areas of land, can be legally registered to increase their level of protection. Communities are also encouraged to participate in government-led forest boundary demarcation activities.

Outreach activities are necessary to ensure the understanding and support of all community, local government and NGO stakeholders. Addressing these indirect threats will significantly reduce the four direct threats - forest clearance/grabbing by individuals, over-fishing, over-hunting of wildlife, illegal logging and overexploitation of NTFPs; land alienation and legal conflicts over land; issuance of large scale land concessions; and limited land productivity, supporting efforts to achieve all four of the project targets, as well as contributing to leakage management goals. The activities will also include climate change adaptation measures, in anticipation of a worsening climate over the longer-term.

#### *2.2.2.4 Sub-Objective #4: Support for alternative livelihoods that reduce deforestation*

- Action #1: Establish community-based ecotourism
- Action #2: Support agricultural extension activities
- Action #3: Provide infrastructure support linked to conservation activities
- Action #4: Develop NTFP-based livelihood projects
- Action #5: Develop and manage a system to share carbon benefits
- Action #6: Improve literacy and numeracy

This group of actions addresses the indirect threat of scarcity of sustainable development livelihood opportunities, on and off farm. Doing so will develop alternative livelihoods that are less dependent on deforestation and NR harvests, reduce two of the key direct threats, limited land productivity and forest clearance/grabbing by individuals, over-fishing, over-hunting of wildlife, illegal logging and overexploitation of NTFPs and hence provide benefits for all four of the project targets. The exact alternative livelihoods will vary from village to village depending on opportunities and on the preferences of the local people determined through participatory methods. Agricultural support (including savings groups/micro-credit), small infrastructure projects, literacy/numeracy and the development of benefit-share systems for carbon benefits will be relevant in most villages whereas ecotourism and NTFP-based projects will be more localized. The activities will also include climate change adaptation measures, in anticipation of a worsening climate over the longer-term. As new options for livelihood development arise through changing economic conditions over the life of the project these will be added to the list of actions.

### **2.2.3 Supporting interventions**

The remaining groups of actions do not relate directly to specific threats but rather create the enabling conditions for implementation of the four previous groups of actions. The monitoring programs are essential to enable project management to track success, identify weaknesses, take corrective action and communicate with stakeholders in-country; many are also necessary to ensure full reporting in accordance with VCS and CCB requirements. The importance of effective administration and staff capacity-building is self-evident. Effective fund-raising includes financial administration of the REDD+ project and is also important as the baseline scenario for the project assumes that donors will continue to support a certain level of activities through non-carbon funds.

#### *2.2.3.1 Sub-Objective #5: Collect information on long-term ecological and social trends*

- Action #1: Monitoring of trends in forest cover
- Action #2: Monitoring of key wildlife species and threats to them
- Action #3: Socio-economic and demography monitoring
- Action #4: Facilitate research that will benefit the management of the KSWs
- Action #5: Ensure sufficient staff capacity is available

**2.2.3.2 Sub-Objective #6: Effective administrative, accounting and logistical procedures are in place**

- Action #1: Evaluation and feedback on staff capacity, effectiveness and training needs  
 Action #2: Develop and maintain effective management, administrative and accounting systems

**2.2.3.3 Sub-Objective #7: Long-term financial security**

- Action #1: Develop and Implement REDD+ project  
 Action #2: Continued support of a wide range of donor partners  
 Action #3: Increase use of commune development funds for project activities

**2.2.4 Overview of project benefits for communities and biodiversity**

Table 2.2.1 summarizes the key expected benefits of the project in relation to the categories in the conceptual model above, and the core requirements of the CCB Standard. This table forms the basis for the description of benefits in Sections 6 and 7 and the monitoring approach described in Section 8.

**Table 2.2.1 Summary of key community and biodiversity benefits of the project.**

CCB Core Standards	Baseline Scenario	Comm.^	Biod.^	With Project Trends
Net positive benefit for social and economic well-being of communities; equitable distribution of costs/benefits	Static or decline for vulnerable stakeholders; improve for less vulnerable stakeholders	y		Improving for all stakeholder groups, including vulnerable groups
Net positive impacts on biodiversity	Severe declines with extinction of many vulnerable species		y	Biodiversity values increasing, return to natural levels
Conceptual Model Target				
Maintain the variety, integrity, and extent of all forest types	Declining extent and quality of all vegetation types	y	y	Stabilized cover of natural vegetation, improving quality
Increase populations of wildlife of conservation concern	Declines/extinctions of most globally threatened species	y	y	Populations increased to carrying capacity
Increase security and productivity of natural resources to support local livelihoods	Declining security, abundance and productivity of harvested natural resources and availability of clean water	y		Security, abundance and productivity of key resources maximized; clean water freely available to all communities
Sufficient farmland to support the livelihoods of current residents	Increase in landlessness, static or decreasing agricultural productivity	y		Landlessness among the poor low and stable; agricultural productivity and sustainability increasing
Conceptual Model Threat				
Clearance for land concessions and other projects	Increasing loss to concessions	y	y	Losses to concessions minimized/halted
Undefined borders and regulations for the KWS	Continuing weaknesses in protection	y	y	Borders, zones and regulations clearly defined and enforced
Population growth, in-migration, better access	Continued high in-migration, increased competition; increased conflict	y	y	Population growth lower than in reference area; net in-migration negligible; access to forest areas fully controlled

CCB Core Standards	Baseline Scenario	Comm.^	Biod.^	With Project Trends
Forest clearance/grabbing by individuals; over-fishing, over-hunting of wildlife; illegal logging and overexploitation of NTFPs	Widespread over-harvesting /clearance	y	y	Illegal activities (clearance, hunting, over-fishing, hunting, logging, NTFP harvest) at very low levels
Land alienation and legal conflict	Alienation, forced sales, Uncertain tenure due to expansion outside agreed land-use plans	y		Land alienation ceases, no land illegally occupied and subject to conflict
Weak traditional institutions and lack of voice	Seriously declined	y		Traditional and new community institutions effective, cultural cohesion improved
Limited agricultural productivity	Decline, stagnation or slow improvement	y		Agricultural productivity increasing
Scarcity of sustainable dev. livelihood opportunities, on and off farm	Continued dependence on limited number of often unsustainable livelihoods	y		Increasing diversity of viable, sustainable livelihood opportunities
Climate change	Difficulty adapting to changes in availability of wild-harvested resources and productivity of farming systems	y		Increased capacity to adapt to climate-driven changes

^ Comm. = Community impacts/benefits; Biod. = Biodiversity impacts/benefits

\* Social impacts/benefits are likely to be felt most strongly by the most vulnerable categories of stakeholder.

## 2.3 Management of Risks to Project Benefits (G3)

### 2.3.1 Measures to ensure permanence

The project incorporates a number of measures to ensure long-term sustainability of the outcomes. The key measures are:

1. Establishment of a strong legal basis, including the permanent declaration of the Protected Forest in the 2009 Sub-decree and the program to support permanent titling of eligible land to all relevant villages.
2. Investments in physical demarcation of boundaries and construction of key infrastructure for park management.
3. The inclusion of a permanence fund in the financial model, to ensure a proportion of early revenues is set aside to finance long-term recurrent management costs.
4. The use of adaptive management approaches to ensure work planning responds to changing conditions.
5. The establishment of mechanisms for long-term community involvement in management planning and implementation.
6. The focus of alternative livelihood work on establishing long-term alternatives to deforestation, unsustainable hunting etc., including both income generation activities and the development of fundamental, transferable skills through adult education.
7. The inclusion of environmental awareness activities in the community engagement program.
8. Measures to ensure an increasing proportion of staff are drawn from local communities and to develop staff capacity.



## 2.3.2 Risks to climate benefits from emissions reductions

A risk analysis was conducted in accordance with the VCS AFOLU Non-permanence Risk Tool v3.2. The full risk report is presented in Annex 2.2 and a summary is given here. The project has a calculated risk rating of 7%. The minimum risk rating for a VCS AFOLU project is 10%, so the KSWs project has a rating of 10%. This is equivalent to a 10% risk buffer set-aside at the time of each verification event. This risk analysis is holistic, covering climate, community and biodiversity benefits of the project.

### 2.3.2.1 Internal risks

Risks from weaknesses in project management are assessed as very low due to the high capacity of the implementing partners and the existence of a formal adaptive management system. The financial viability of the project is moderate, with a breakeven point very conservatively estimated as year 7, but limited callable resources or other funding streams prior to that. The high Net Present Value of alternative land uses relative to the income expected from the project also poses a risk, but this is largely offset by the strong legal basis for long-term protection at the site.

### 2.3.2.2 External risks

Though land tenure and use in the Reference Region in general is complex, the choice of Project Area avoids most forms of risk to be assessed in this section. The estimated risk scores are reduced somewhat by the clearly established legal basis for protection of the KSWs and the evidence of strong community agreements clarifying the status of overlapping use rights with respect to the REDD+ project. Cambodia's relatively low scores on the database of Worldwide Governance Indicators increase the assessed risk, although this is partly offset by the existence of a national REDD+ Readiness process.

### 2.3.2.3 Natural risks

The landscape is not prone to severe natural events. It is geologically stable and experiences only small flooding events that are part of the natural monsoonal cycle. Intact tropical forests of the types found in Seima or more broadly in Cambodia are not prone to catastrophic pest or disease outbreaks, due to the very high diversity of tree species present. The most likely natural risk is fire. However, the deciduous forests are well adapted to low intensity periodic understory fires (which can be considered a non-destructive part of the ecology of the habitat), whilst the denser forests are not prone to fire due to their evergreen nature and humid understory and there is no history of catastrophic fires in this habitat in the area. Only severe degradation of a kind that is not expected to occur (e.g. wide-scale industrial logging) is likely to make these denser forest prone to damaging fires.

## 2.4 Measures to Maintain High Conservation Values (G3)

The project activities outlined above will all contribute to maintaining or enhancing the HCVs of the Project Zone. As described above interventions are designed to mitigate both the direct and indirect threats to the project targets. These targets correspond closely to the identified HCVs and no additional activities are planned that manage HCVs alone. A summary of the HCVs and interventions is provided in Table 2.4.1. Greater detail on activities and interventions to manage HCVs are included in the HCV report (Pollard and Evans 2012).

**Table 2.4.1. Management interventions to maintain or enhance HCVs in the Project Zone.**

High Conservation Value	Corresponding project targets	Interventions
<i>HCV1: Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values.</i>	Increase populations of wildlife of conservation concern	Law enforcement activities to reduce hunting & trapping of Globally Threatened and endemic Species
		Law enforcement to reduce conversion of forest and wetland habitats
		Livelihood support activities to improve management for forest resources and reduce hunting pressure

High Conservation Value	Corresponding project targets	Interventions
<i>HCV2: Forest areas containing globally, regionally or nationally significant large landscape level forests.</i>	Maintain the variety, integrity, and extent of all forest types	Law enforcement to reduce conversion of forest and wetland habitats
		Land-use planning at village, Provincial and National level to reduce conversion and fragmentation of KSWs and wider landscape
<i>HCV3: Forest areas that are in or contain rare, threatened or endangered ecosystems.</i>	Maintain the variety, integrity, and extent of all forest types	Law enforcement to reduce conversion of forest and wetland habitats
		Land-use planning at village, Provincial and National level to reduce conversion and fragmentation of KSWs and wider landscape
<i>HCV5: Forest areas fundamental to meeting basic needs of local communities</i>	Increase security and productivity of natural resources to support local livelihoods	Land-use planning at a village level to protect forest resources
		Development of community natural resources management rules to encourage more sustainable use of resources
	Maintain the variety, integrity, and extent of all forest types	Livelihood support activities to reduce the pressure to harvest resources unsustainably.
		Law enforcement to protect forest and aquatic resources from external pressures
		Appropriate zoning of the KSWs that recognizes NTFP collection and compensates any unreasonable reductions in access
<i>HCV6: Forest areas critical to local communities' traditional cultural identity</i>	Increase security and productivity of natural resources to support local livelihoods	Village level land-use planning to map and protect spiritual sites
		Law enforcement to protect spiritual sites from outside threats
	Maintain the variety, integrity, and extent of all forest types	Appropriate zoning of the KSWs that recognizes spiritual sites

## 2.5 Project Financing (G3 & G4)

### 2.5.1 Financial health of the implementing organizations

The MoE is a legally constituted branch of the Royal Government of Cambodia and as such receives annual allocations from the national budget. Hence its basic financial health and long-term stability are good. The MoE lacks adequate operating budget for the maintenance of KSWs, and other protected forests under its mandate, and this is one of the key reasons that the KSWs REDD+ project has been developed.

The Wildlife Conservation Society (WCS) was founded in 1895 as the New York Zoological Society. WCS is an internationally recognized not-for profit conservation organization dedicated to preserving the Earth's wildlife and wild landscapes and seascapes. WCS currently oversees a portfolio of more than 500 conservation projects in 60 countries in Asia, Africa, Latin America, and North America. The WCS financial report ending fiscal year 2009 (WCS Annual Report, 2009) demonstrates the financial stability of the organization with operating revenue of USD\$205.4 million. These operating revenue and support exceeded expenditures by USD\$1.5 million, the sixth consecutive year of operating surpluses. The WCS Cambodia program has been operational since 1999 and has a strong record of financial health and effective financial management. It has maintained a broad base of donors that enables it to avoid an excessive reliance on any one source of funds.

## 2.5.2 Funds for project implementation

Annex 2.3 summarizes the financial model for the project, based upon the VCUs available for sale according to ex-ante projections (Section 9) and conservative estimates of sale prices. The projections show that the expected revenues will be sufficient to:

- Increase conservation effort to a much higher level than in the business as usual period.
- Set aside funds to support basic long-term operations and so ensure permanence of emission reductions beyond the project lifetime.
- Generate a significant operating surplus ('unassigned funds') that would provide funds for very significant benefit-sharing arrangements that will further motivate community participation in the project and increase development outcomes.
- The unassigned funds could also be used partly by the project proponent for other national development purposes off-site, and hence offset some of the broader opportunity costs of forest conservation.

The project is expected to break even and begin making payments in all three of these streams from the time of the first verification and sale. Given the very conservative leakage assumptions required by the methodology, the first net emission reductions, the first verification and financial break-even are expected by year 7. If leakage occurs at the expected levels, these milestones will be reached sooner.

## 2.5.3 Policies and procedures for anti-corruption

To strengthen good governance in Cambodia, fighting against corruption is one of the key programs to achieve social justice, sustainable and equitable social economic development in the country. The Royal Government of Cambodia (RGC) adopted an Anti-Corruption Law<sup>6</sup> in 2010 and the Anti-Corruption Unit (ACU)<sup>7</sup> was also established to fight against corruption for whole country. The ACU has set up a complaint mechanism for citizens to report corruption cases through: Hotline: 1282; Email: acu@acu.gov.kh and complaint@acu.gov.kh; Website: www.acu.gov.kh.

To enhance social accountability, reporting mechanisms have been put at provincial, district and commune offices in the country. Written complaints or requests can be anonymously put in locked boxes and they are designed to respond to the needs of citizens and ensure better governance, better public services, and more citizen participation. At the project level, all relevant stakeholders in the project can report or make a complaint on any corruption case via the hotline number (017 559 435) which is set to prevent and deal with possible corruption and misuse of funds. In the article 64 of the Protected Area Law, the Administration officer, an inspection or environment officer, for their negligence, carelessness or failure to abide by the order of the MoE, shall face administrative punishment or shall be prosecuted. The Administration officer, an inspection or environment officer, who conspires with the offender or facilitate the offences, shall receive the same punishment as the offender.

## 2.6 Employment Opportunities and Worker Safety (G4)

### 2.6.1 Staff training

The core MoE/WCS staff team is organized in four main groups, each with a distinct training plan, as shown in Table 2.6.1. In addition to the provision shown, all partner organizations also encourage staff with special potential to pursue further education through day-release or sabbatical arrangements. As shown, most training activities occur on an annual basis, or more frequently, so that new staff can rapidly be inducted. The project has a generally low level of staff turnover, reducing the need for retraining. These training plans are additional to risk management trainings.

<sup>6</sup> Anti-Corruption Law: <http://goo.gl/dkNDOI>

<sup>7</sup> ACU is a government body under the management of the Office of the Council of Ministers which has a role as the implementing agency in fighting against corruption in every aspect, level, and sectors in Cambodia nationwide.

**Table 2.6.1. Training provision plans for the main staff groups.**

Senior management and technical advisors	Topics - Conservation project design, project management and administration
<ul style="list-style-type: none"> <li>• External mentoring through existing WCS and MoE systems – ad hoc basis at least quarterly</li> <li>• Short professional training courses, exchange visits, attendance at conferences – ad hoc basis, at least annually</li> <li>• Training needs assessments of senior staff, with identified needs and opportunities for training and mentoring – annually</li> <li>• Annual appraisal process, including identified personal objectives on capacity building - annually</li> </ul>	
Law enforcement team	Topics - Patrol techniques, equipment and weapons handling; Outcome monitoring methods (e.g. SMART); Human rights and related issues
<ul style="list-style-type: none"> <li>• Induction and orientation for new staff – as needed</li> <li>• Intensive training courses (typically with other sites and agencies) – annual (8 days+)</li> <li>• On-the-job mentoring from technical advisors – monthly or more frequent contact</li> <li>• Refresher trainings in use of SMART monitoring system – quarterly or more frequent</li> <li>• Formal training courses through existing government systems – ad hoc.</li> </ul>	
Community engagement team	Topics - Legal systems, effective communication techniques, technical forestry, forest zoning and indigenous land titling, agricultural development skills
<ul style="list-style-type: none"> <li>• Nationally provided trainings on Indigenous Land Titling – semi-annual on average</li> <li>• Training and mentoring on facilitation techniques – annual or more frequent</li> <li>• Training on legal issues related to land and communities – annual or more frequent</li> <li>• Training on community outreach and consultation, in particular related to REDD+ – annual or more frequent</li> <li>• Involvement in adaptive management, including annual planning – monthly meetings</li> <li>• Other training and mentoring as relevant to the position, e.g. tourism development – ad hoc</li> <li>• Short professional training courses, exchange visits – ad hoc</li> </ul>	
Monitoring team	Topics - Technical and reporting skills relating to measurement of biodiversity, remote sensing and social factors
<ul style="list-style-type: none"> <li>• Intensive MoE/WCS joint wildlife monitoring training course – annual at start of field season</li> <li>• On-the-job training for GIS/RS officer – monthly during supervision visits</li> <li>• Intensive training courses on social survey methods – as needed prior to each survey</li> </ul>	

## 2.6.2 Training for community members and other stakeholders

Technical trainings for community members are used to build capacity, raise interest and promote informed participation. They are usually conducted on specific village-level activities, most notably those under Sub-Objectives 3 & 4 (sustainable land-use and alternative livelihoods). These are conducted on an as-needed basis by the community engagement team or the officers of local NGO partners. An exact timetable across the whole project lifetime cannot be given as these activities take place in different years/seasons in different villages. Table 2.6.2 gives examples of typical training plans for common village-level activities.



**Table 2.6.2. Typical village-level training plans for key activities.**

Sub-Objective 2 Action 5 Community-based patrolling	Legal framework; rights and responsibilities of communities; safety and security; patrolling strategies
<ul style="list-style-type: none"> <li>• Combined training course (2+ days) - annual</li> <li>• Regular village meetings, including local authorities – bimonthly or more frequent</li> <li>• Mentoring during patrolling events – bimonthly or more frequent</li> </ul>	
Sub-Objective 3 Actions 1, 2 and 3 Land-use agreements, legal registration of communities and titles	Community land rights; legal framework; procedural steps and documentation; mapping methods; community self-organization; conflict resolution
<ul style="list-style-type: none"> <li>• Regular capacity building and mentoring of indigenous community commissions – bimonthly or more frequent</li> <li>• Training on mapping or conflict resolution – as needed</li> <li>• Short training courses on relevant topics – annual or more frequent</li> </ul>	
Sub-objective 3 Action 4 Forest Estate Demarcation	Community land rights; legal framework; procedural steps and documentation; mapping methods; conflict resolution
<ul style="list-style-type: none"> <li>• Training on mapping and GPS use – as needed prior to mapping events</li> <li>• Training on legal aspects and conflict resolution – as needed</li> </ul>	
Sub-objective 4 Action 1 Ecotourism	Roles and responsibilities, legal framework, coordination with authorities, service provision and service standards,
<ul style="list-style-type: none"> <li>• Community organization, and coordination with authorities – annual or as needed</li> <li>• Training and mentoring on tourism service provision – at least monthly in target areas</li> <li>• Exposure visits to other tourism sites – as needed</li> </ul>	
Sub-objective 4 Action 2 Agricultural extension	Product identification and value-chain, sustainability, pest and disease management, post-harvest storage and value adding, product marketing
<ul style="list-style-type: none"> <li>• Introductory training – as needed prior to extension</li> <li>• Support to model farmers to demonstrate the relevant technique – as needed</li> <li>• Training on relevant techniques – as needed depending on commodity</li> </ul>	
Sub-objective 4 Action 3 NTFP-based livelihoods	Product identification and value chain, sustainability and harvest management, value-adding, product marketing.
<ul style="list-style-type: none"> <li>• Introductory training –as needed prior to extension and product development</li> <li>• Support to interested community members on product value chain, sustainability, value adding, and marketing – as needed</li> </ul>	

### 2.6.3 Equal opportunities

The Labor Law requires that all employers ‘not discriminate against any individual based on race, religion, sex, age, wealth, disability, marital status, parental status, or sexual orientation.’ This also makes sense for sound practical reasons, such as increasing the ability of the project workforce to communicate with local indigenous communities, and to deal with cultural gender barriers. Government staff assigned to the project are selected according to government procedures and policies, which can be assumed to be compliant with the law. Non-governmental positions with WCS are subject to an advertising and selection procedure that also aims to comply with the law, as follows:

- In general employment opportunities in the project are announced publicly at local and national level. Special effort is made to encourage applications from typically under-represented groups

- notably women and ethnic minority applicants. This is achieved particularly by advertising locally around Seima through posters, announcements through local networks and/or word of mouth as appropriate.
- Selection is conducted in each case by an ad hoc panel of at least two people, according to a pre-agreed set of criteria that includes an emphasis on increasing the diversity of the workforce. Interviews are conducted in such a way as to minimize language or gender barriers. Final approval is given by the Country Director who also gives attention to the issue of diversity. Other relevant employment policies are listed in the WCS Cambodia Policy Manual.

Given the difficulty of recruiting directly to more senior positions by local recruitment due to the low levels of formal education prevalent in Monduliri, project staff are committed to identifying local people with advancement potential, taking them on as junior staff, interns or volunteers and investing in their professional development, as outlined in Section G4.3. These staff will be promoted to more senior positions as their capacity grows. There is a high proportion of local staff in the more junior levels of the community team, wildlife monitoring team and ancillary support staff (cooks, drivers etc.).

Education and experience is steadily increasing in local communities as Cambodia develops, and the project regularly seeks staff from local communities who are fluent in Khmer and Bunong languages. During the past year three new indigenous Bunong field staff were employed who have all recently completed Bachelor's degrees; these are some of the first generation of indigenous people in Cambodia who have attained such a level of education.

#### **2.6.4 Health and safety**

All project staff and counterparts enjoy the protection of WCS Health and Safety policies. In the unlikely event of a work-related incident or illness, the project provides health and accident insurance to staff and all healthcare expenses will be covered. Health and safety in the workplace is both an individual and shared responsibility of staff and the employer. WCS is committed to providing a safe working environment for all employees, contractors, volunteers and visitors. Every effort is made to minimize work-related risks to the extent reasonably possible in a field setting. The risk minimization strategy is as follows:

##### *2.6.4.1 Risk Assessment*

- A risk assessment has been conducted for the project, and will be formally updated at appropriate intervals (at least every five years, or in the case of a major change to project design or risk levels).
- Project supervisors will monitor workplace risks, to identify any significant changes in the level of risk and to report them to their line managers.

##### *2.6.4.2 Standard Operating Procedures and instructions for special tasks*

- The site-specific guidelines (Standard Operating Procedures, SOPs) describe procedures that minimize work-related risks for staff. They will be formally updated at appropriate intervals (at least every five years or in the case of a major change to project design or risk levels).
- Occasional activities that fall outside the scope of the SOPs will be the subject of separate processes that assess and minimize work-related risks for staff.

##### *2.6.4.3 Communicating the Risk Management plan*

The risk assessments, SOPs and other risk-minimization procedures (together 'the risk management plan') will be communicated to all relevant staff following the communication plan, which is as follows:

- All new staff will be instructed in the risk management plan and their responsibilities under it, and be provided with a written copy in the most convenient language for them within three days of starting work.
- All staff will be provided with a written copy of the risk management plan annually, or when an update occurs.

- Reference copies of the risk management plan will be available to all staff in a public part of the headquarters.
- Periodic refresher training courses on the risk management plan will be conducted
- The Risk Management plan will be reviewed with senior staff during the annual planning meetings.
- Senior staff will highlight relevant sections of the risk management plan during staff briefings on new activities.

#### 2.6.4.4 *Staff responsibilities*

- Project staff are required to exercise due care at all times, to adhere to safe work practices and to follow the relevant SOPs, including the use of personal protection equipment provided by the project.
- As workplace health and safety is a shared responsibility, staff are required to inform project management of unsafe conditions or equipment, illness or injury, for prompt remedial action or treatment.

## 2.7 Stakeholders (G3)

### 2.7.1 Overview

The CCB Standards refer to the need to consult 'communities, community groups and other stakeholders' on several topics. The 20 communities participating in the project, comprising of an indigenous group and Khmer community groups, are set out in Section 1.3 and form the focus of the following analysis.

Other stakeholders include provincial government, district government, commune government, local NGOs, civil society groups and outside illegal actors. These groups and organizations have been included in the following analysis, according to a more inclusive, common-practice use of the term 'stakeholders', so as to ensure effective project management.

### 2.7.2 Stakeholder analysis

A community stakeholder analysis (summarized in Figure 2.7.1) was developed by the project team based on their experience and the large number of past studies in the landscape. This was validated during workshop with community leaders from 15 of the 17 key villages (Sopha Sokhun Narong 2010c). The stakeholder analysis methodology is based on Richards and Panfil (2011). This framework forms a basis for project planning, discussion of impacts and also for monitoring.

The most important community stakeholders in terms of numbers and level of contact with the project are the people in the 17 key villages. They are classified here by ethnic group and then by major livelihood indicators, which are expected to correlate both with wealth and with the type of benefits/negative impacts they are likely to experience from the project. The next most important group is the regular forest users in 3 other user villages. These are also classified, but are likely to be a more homogenous group since the great majority will be relatively poor resin-tappers who routinely make the long journey into the Core Area. Community members engaged in illegal forest-related activities are not identified as a separate category outside of the Community Groups, since there are few if any people who specialize in such activities long-term - they are best considered supplementary activities that may be conducted by many people to varying degrees at different times.

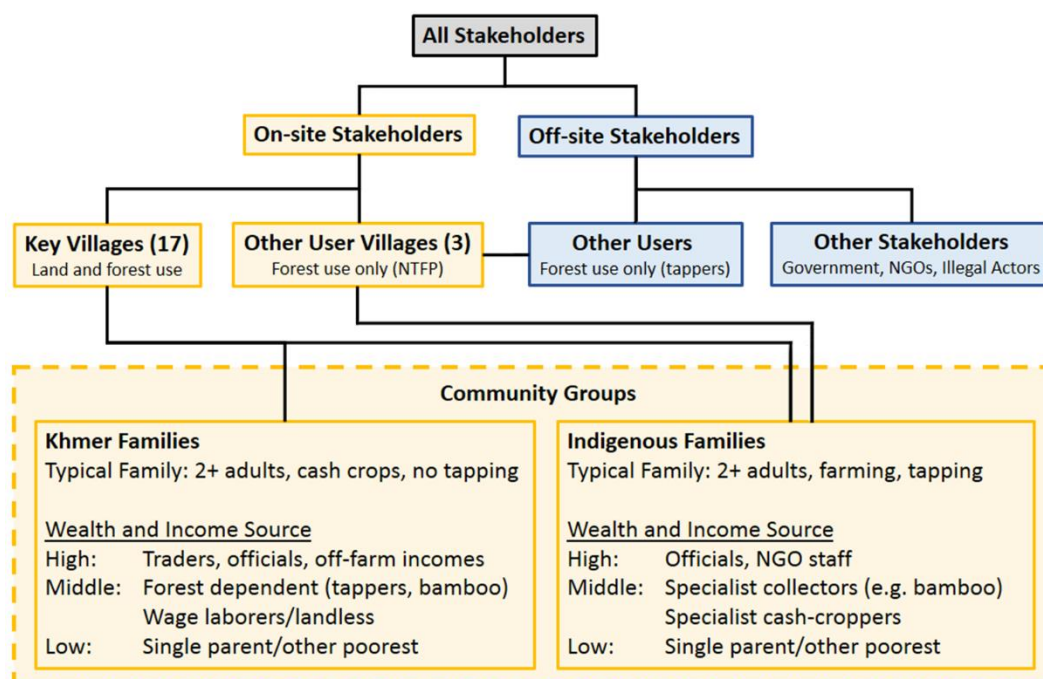


Figure 2.7.1. Stakeholder classification.

Social surveys indicate that there are a small number of legal, traditional users of the Core Area scattered across other villages more distant from the Core Area. Most are resin tappers. Estimated to total 82 households spread across 17 additional villages (data available on request). These small number of families, practicing livelihoods with KSWs who are outside of the 20 participating villages maintain close relationships, often familial, with members of the 20 participating villages and are considered by the project to belong to the same indigenous community group defined for the 20 participating villages. All activities targeting the community groups include these traditional users.

#### 2.7.2.1 Potential community stakeholders

Table 2.7.1 lists two other categories of people living off-site who might theoretically hope to gain benefits from the Seima area in the absence of a REDD+ project. They would be breaking the law if they did so and have no legal claim on the reserve and have been included as 'other stakeholders'.

Table 2.7.1. Off-site illegal actors potentially using the Project Area.

Stakeholder group/sub-group	Examples
People interested in settling in the area or selling land	Settlers, land speculators
People interested in harvesting resources in the area	Loggers, hunters, fishermen, harvesters of NTFPs

In common with other REDD+ projects wider society is not considered, that is the offsite beneficiaries of improved environmental services such as emission reductions, to constitute 'other stakeholders' as defined by CCBA.

#### 2.7.2.2 Other organization stakeholders

The classification of other organizations is shown in Table 2.7.2. Since the project proponent is the MoE on behalf of the Royal Government of Cambodia (RGC), in a sense other government agencies should not be considered distinct stakeholders, but rather as branches of the same organization. Nonetheless, for effective project implementation it is important to understand and allow for the different mandates and agendas of these agencies, to ensure cooperation, so key government agencies are listed here.



**Table 2.7.2. Other stakeholder organizations.**

Stakeholder group/sub-group	Examples
<b>Government</b>	
Technical line agencies	Provincial departments such as Land Management, Urban Planning and Construction; Forestry Administration; Tourism; Agriculture; and Rural Development, plus the relevant national ministries for major issues.
Local government	Provincial authorities, District authorities, Commune Councils
Armed Forces	Military, Military Police, Police
<b>Non-government</b>	
NGOs	Wildlife Conservation Society (wildlife conservation), World Wildlife Fund (wildlife conservation), Elephant Livelihood Initiative Environment (elephant conservation), Cambodia Rural Development Team (sustainable rural development), Development and Partnership in Action (integrated rural development), Nomad (health), World Education (literacy), Indigenous Community Support Organization (indigenous rights), Cambodian Human Rights and Development Association (civil rights)

### 2.7.3 Analysis of stakeholder interests

The next stage of a stakeholder analysis is to assess the legal interests of each group, and their relationships with other stakeholders. This analysis is presented in Annex 2.4, with a fuller assessment of expected positive and negative impacts in Sections 6.1 and 6.2. Based on these analyses, Table 2.7.3 classifies stakeholders according to their importance (degree to which achievement of project goals depends upon the involvement of a given stakeholder; a function of population size and impacts from current activities) and influence (degree to which a stakeholder has power over the project and can therefore facilitate or hinder project interventions; a function of collective political power and special status accorded by CCBS) following Richards and Panfil (2011). Project design needs to focus on the stakeholders in the top left quadrant of the diagram, since they have the greatest power to move the project forward and also the greatest influence to prevent project success.

**Table 2.7.3. Analysis of relative influence and importance of stakeholders.**

Influence of group	Importance to project achievement			
	Critical	Significant	Moderate	Low
Highly significant	Typical indig. families, offsite settlers, provincial authorities, armed forces	Elite indig. families	Khmer elite families	
Significant		Khmer typical families, offsite loggers, District Authorities, Commune Councils, line agencies		
Moderate			Indig cash-cropper, Khmer forest specialist, other user – resin, other user - non-resining	
Low		Indig. poorest, Khmer poorest, Khmer landless, indig. bamboo collector		

## **2.7.4 Stakeholder consultation during project design**

The existing conservation project has engaged in extensive consultation with community members and local officials since the project start in 2002. These consultations have informed the design of project interventions and ensured consent and participation in previously implemented activities. They have also built up a high level of community buy-in for many aspects of the project, raised awareness of the legal framework, delivered initial livelihood benefits and built a good level of trust between project staff and the communities.

An updated stakeholder consultation process was conducted to ensure full community understanding of and consent for the additional REDD-specific activities. This started with the project team going through the updated analysis described in the previous section, and the identification of the 20 participating villages.

A formal consultation process was then developed on the basis of a review of Cambodian law, best practice guidelines from the literature and comments from a range of stakeholders. The design of the process is set out in detail in WCS/FA (2011). The process began with a series of preparatory meetings and workshops at provincial, district and commune level before the main village consultations, as outlined below. Workshop reports are available on request.

## **2.7.5 Consultation with Other Stakeholders**

Other Stakeholders as defined in Section 1.2.2.

### *2.7.5.1 Provincial level government*

Provincial level officials and NGO staff met on 28–29 September 2010 in Sen Monorom town at the Forestry Administration Cantonment office to discuss the project. The major comments that came from this meeting were related to integrating ecotourism into the project and the need to collaborate with the Provincial Department of Tourism.

### *2.7.5.2 District level government*

A separate meeting was held for district and commune-level officials on 1 October 2010 in Keo Seima district at the FA's KWS Headquarters. Those attending the meeting included a total of 37 participants from all relevant district offices; two commune councilors from each commune of the Keo Seima District; representatives from district Police department; representatives of district Military Units; the Provincial Conservation Planning Unit; and staff of WCS. Stakeholders at the district level were supportive of the project and were pleased with the in depth consultation process with all stakeholders.

### *2.7.5.3 NGOs and civil society*

Active NGOs impacted by project activities (Table 1.2.5) were actively engaged through the stakeholder engagement process, either conducting workshops, meetings and outreach efforts (WCS, CRDT) or participated in the village level outreach, Elephant Livelihood Initiative Environment (ELIE). Broader awareness of the Seima REDD+ project through the Technical Working Group (TWG) sub-group Development Partners (DPs) receive frequent updates of the project status during DP meetings. Likewise local NGOs, DPA. Additionally a NGO consultation meeting, called by the Monduliri provincial government provided a forum in which including in-depth consultation regarding the Seima REDD+ project.

### *2.7.5.4 Commune council level*

As part of a program of events to raise awareness amongst local authorities of the REDD+ pilot project, the Forestry Administration, with support of WCS Cambodia, conducted two one day workshops on 15th November and 8 December 2010 for key community representatives from four of the six commune councils (Srae Khtum, Srae Preah, Srae Chhuk and Saen Monorom communes), six village Indigenous Community Commissions (Andoung Kraleung, Ou Rona and Srae Lve, Gati, Sre Khtum and Chhnaeng), three village Forest Management Committees (Pu Kong, Pu Char and Ou Chrar) and five other villages (Pu Hiem, Pu Rang, Srae Preah and Ou Am).

The meetings covered awareness of the REDD+ process and project design, a review of consultation awareness materials and a discussion of the likely environmental and social impacts of the project and ways to mitigate them. Similar meetings were held for the remaining two commune councils (Memong and Romonea) on 27 and 30 September 2011 respectively.

One of the major concerns from these meetings was related to the roles and responsibilities of the communities involved in the REDD+ project. In particular, some voiced concerns that they couldn't help stop illegal logging because it was being conducted by powerful entities within the region.

Another concern from indigenous communities was that they had very little power to stop Khmer migrants from entering the forest and clearing land for farming and bamboo harvesting. These comments and concerns were addressed through a presentation on the project's monitoring and policing activities that are led by the Forestry Administration.

The other major concern was related to farming activities. The communities raised their need to keep using their current farm lands. This concern was addressed by making it clear that they would be able to depend on their existing farm lands to plant a variety of crops.

#### 2.7.5.5 Outside illegal actors

The Other Stakeholder category of outside illegal actors (settlers, poachers, and loggers) are informed of the REDD+ program upon law enforcement intervention. These actors receive a first offense warning which includes an explanation of Project Area rules and regulations. Offenders are required to sign a document confirming their understanding of the rules and regulations and of legal consequences that may result if the illegal activities are repeated, they are also informed of grievance measures they can take regarding law enforcement actions. Consultation with this group outside of these law enforcement actions is not possible as they do not wish to be identified. Furthermore these illegal actors who are outside of the community group are frequently coming from long distances (e.g. Vietnam).

The Guidance for the Rules of the CCB Standards clarifies that full and effective participation means:

*"meaningful influence of all relevant rights holders and stakeholders groups who want to be involved throughout the process, and includes access to information, consultation, participation in design and implementation and Free, Prior and Informed Consent"* (p. 97).

Also, per the CCB Standards Third Edition, footnote 100, the evaluation of Well-being in CM3 should be restricted to "activities that comply with statutory or conform with customary rights" (p. 36).

Based on the above, the Outside Illegal Actors will be excluded from participatory consultation unless they choose to contact the project seeking consultation or choose to follow grievance procedures set out in Section 2.7.9.

### 2.7.6 Community consultations

#### 2.7.6.1 Village level

The main consultation process at village level used two linked approaches: engagement of committees or village representative groups in intensive small group sessions as well as contacting all villagers in larger plenary sessions. Facilitation teams were mostly led by government officials working together with NGO staff and a cadre of community representatives who received additional training. At least one speaker of Bunong, the local indigenous language, was included in each team.

The facilitation teams strongly encouraged participation from the village committee and women to make the process fair and transparent to all community members. The consultation was centered on a written Community Agreement to be signed by representatives of each community to demonstrate their Free, Prior and Informed Consent.

The agreement includes an Annex that describes the project. The consultation was structured in three phases as follows:

*Phase 1: Awareness raising and discussion of the draft social impacts assessment*

- Part 1 - Awareness raising and impacts assessment with village leaders/committee.
- Part 2 - Plenary discussions with all community members.

The initial consultations had several main objectives:

1. Raise awareness on the concept of climate change and REDD+ carbon financing.
2. Explain rights of indigenous people based on Cambodian land and forestry law.
3. Encourage stakeholders to be actively involved in project implementation.
4. Review the proposed project design, identify potential risks as perceived by the communities and take comments on potential improvements to the design.

During Phase 1, community members were provided information through specially designed posters, booklets, and question and answer sessions in large meetings, small groups and through one-on-one conversations.

*Phase 2: Discussions on consent and presentation of the community agreement*

- Part 1: Explanation and discussion of the draft community agreement.
- Part 2: Independent legal advice for communities regarding the agreement.

During Part 1 of Phase 2, the draft agreement was summarized by the project team in a series of meetings, copies were distributed to participants and question and answer sessions were held. During Part 2 the Community Legal Education Centre (CLEC), a specialist national NGO, held 2-day independent legal advice workshops for groups of 20–30 community leaders in each commune. WCS and FA were absent from these meetings to ensure community members felt free to raise sensitive questions.

*Phase 3: Finalization and signing of the community agreement*

Comments from the communities were sent back to senior decision-makers, any required changes to the agreement were made and both parties proceeded to sign it.

The schedule and dates of the community consultation process are listed in Table 2.7.4. All communities have signed the agreements. Detailed reports from the individual meetings during each phase are available on request.



**Figure 2.7.2. REDD+ consultation at Pu Trom village (A) and O Am village (B).**



**Table 2.7.4. Key dates in the village-level consultations [date format: day(s)/month/year].**

<b>Community Engagement – key meetings focused on REDD+ Key Villages with land in Core Area</b>					
Village Name	Commune	Phase 1 – Raise Awareness (dd/mm/yy)	Phase 2 Part 1 – Review Agreement (dd/mm/yy)	Phase 2 Part 2 – Independent Legal Counsel (dd/mm/yy)	Phase 3 - Agreement Signed (dd/mm/yy)
O Am	Sre Khtum	10–12/12/2011	12–18/12/2011	14–15/11/2011	15/1/2013*
O Rona	Sre Khtum	01–02/12/2010	25–28/10/2011	14–15/11/2011	15/1/2013*
Sre Lve	Sre Khtum	26–28/01/2011	28–29/10/2011	14–15/11/2011	15/1/2013*
Sre Preah	Sre Preah	14/12/2010	30–31/05/2011	13–14/6/2011	15/1/2013*
Gati	Sre Preah	01–02/01/2011	01–02/06/2011	13–14/6/2011	15/1/2013*
Pu Char	Sre Preah	27–28/12/2010	03–04/06/2011	13–14/6/2011	15/1/2013*
O Chrar	Sre Preah	28–29/12/2010	06–07/06/2011	13–14/6/2011	15/1/2013*
Pu Kong	Sre Preah	30–31/12/2010	09–10/06/2011	13–14/6/2011	15/1/2013*
Chakchar	Sre Chhuk	12–13/01/2011	11–13/07/2011	05–06/08/2011	15/1/2013*
Kmom	Sre Chhuk	14–15/01/2011	17–19/07/2011	05–06/08/2011	15/1/2013*
Sre Andaul	Sre Chhuk	16–17/01/2011	22–23/07/2011	05–06/08/2011	15/1/2013*
Sre Khtung	Sre Chhuk	18–20/01/2011	26–30/07/2011	05–06/08/2011	15/1/2013*
Andoung Kraleung	Sen Monorom	17–18,27/11/2010	13–16/06/2011	21–22/6/2011	15/1/2013*
Pu Hiem	Sen Monorom	27–30/11/2010	17–19/06/2011	21–22/6/2011	15/1/2013*
Pu Rang	Sen Monorom	30/11/2010	15–16/06/2011	21–22/6/2011	15/1/2013*
Pu Ngourl	Memong	01–03/10/2011	06–08/10/2011	21–22/10/2011	15/1/2013*

<b>Other User villages Extensive NTFP use but no land in Project Area</b>					
Village Name	Commune	Initial Consultation (dd/mm/yy)	Second Meeting (dd/mm/yy)	Independent Legal Counsel (dd/mm/yy)	Agreement Signed (dd/mm/yy)
Sre I	Romonea	06–07/10/2011	08–09/10/2011	21–22/10/2011	15/01/2013*
Pu Trom	Romonea	10–12/10/2011	15–17/10/2011	21–22/10/2011	15/01/2013*
Pu Tang	Romonea	13–14/10/2011	18–19/10/2011	21–22/10/2011	15/01/2013*

\*Approximate date, tbc.

#### 2.7.6.2 Comments received during the consultations

The communities consulted were supportive of developing a REDD+ project as they saw it as a way to protect their long term access to the forest and their farmland. One of their major concerns was that if the forest did not generate revenue for the government, that the government would give land concessions within the forest to private companies essentially blocking community access to important resources. Specifically, communities raised concerns over whether the REDD+ project would block their rights to non-timber forest products. This concern was addressed by presenting the management strategy of the REDD+ project which allows local communities to continue NTFP harvesting. Another concern was that the REDD+ project would prohibit community stakeholders from entering into ancestral and burial forests. It was then clarified that access to ancestral and burial grounds within the KSWs would be granted to all local and indigenous groups.

Community stakeholders were also concerned about losing their current agricultural lands. It was clearly presented that all current agricultural areas would be allowed to continue, where legally obtained. Furthermore, communities voiced the need to obtain secure agricultural land tenure. This concern was

addressed by the project's indigenous communal titling component that secures community land tenure on agricultural, fallow and residential lands. This process includes working with communities to map communal lands and developing the legal documents needed to request communal land titles from the government.

Many participants expressed concern that the government was not currently being effective in preventing land clearance, logging and many other crimes in the area, and that often powerful people in government were involved in the crimes. This is one of the key problems that the additional REDD+ funding is expected to reduce, by increasing the law enforcement effort and the level of political support that it receives.

Communities also expressed their desire that REDD+ provide them additional direct benefits. The project will achieve this through agricultural extension services that will help to increase farmer output and wages, and a range of other community development projects linked to community-identified priorities. These potentially include education, savings groups, community forestry, ecotourism and small-scale infrastructure projects. Also the project will formalize a system for sharing a proportion of the net revenues from the project with participating communities. The structure of this benefit-share system will be finalized, with community inputs, during the 12 –18 months after project validation. Many participants in the consultations stated that it was important that this system is perceived to be fair, so that the project proponent can maintain the support of the participating communities.

### 2.7.7 Plan for ongoing consultation

Throughout the project period a formal process of consultation will be maintained between the MoE, WCS and the 20 participating communities regarding the REDD+ project. Table 2.7.5 lists the planned activities.

**Table 2.7.5. Description of planned ongoing consultation activities.**

Event	Planned Frequency	Target	Participants
Community Forum (feedback on past activities and priorities for future)	Annual. Prior to annual planning workshop for SPF/KSWS.	All	Community representatives from all villages will be invited to attend at central location. Assistance will be provided for them to collect community views at village level prior to the Forum and to report back to their community members afterwards.
Formal monitoring of social benefits and impacts	At least every 3 –5 years – exact frequency to be determined within 12 months of validation	All	Sample households, community leaders, focus groups.
Consultations on design of benefit-sharing arrangements	Multiple meetings during 2015 –2017	All	Community representatives plus plenary discussions with all families invited. Central location and village-level meetings.
Consultations on implementation of benefit-sharing arrangements	At least annual once implementation has begun – exact schedule depends on benefit-sharing design adopted	All	Community representatives plus plenary discussions with all families invited. Central location and village-level meetings.
Consultations on specific SPF/KSWS policies as required	Single or multiple events for the design of Provincial Deika on Regulations, strictly Protected Zones, Management Plan, etc.	All those affected by the policy/ regulation	Community representatives plus plenary discussions with all affected families invited. Central location and village-level meetings.

Event	Planned Frequency	Target	Participants
Consultations on implementation of specific village level activities (e.g. demarcation, land titling, alternative livelihoods etc.)	Routine component of all activities – at the start, at the end and regularly during the period of implementation	Specific village(s) engaged in the activity	Community representatives plus plenary discussions with all affected families invited. Village-level meetings.
Participation in Commune Development Planning process	Annual	All relevant communes	Commune Councils, village representatives.
Participation in District Integration Workshop	Annual as necessary	All relevant communes and government agencies	Commune Councils, village representatives, NGOs
District Commission Meeting	Quarterly	District government	Department of Environment
Provincial Commission Meeting	As needed	Provincial government	Department of Environment
Participation with Mondulkiri NGO Network	Periodic as necessary	NGOs working in and around the Project Area	NGOs working in and around the Project Area
The Civil Society Organizations REDD+ Network	Annual	Civil society organizations working in and around the Project Area	Cambodia civil society involved in REDD+

In addition to these events, the grievance process set out below provides a further channel of consultation/communication between communities and the project team.

### 2.7.8 CCBA public comment period

The CCBA public comment period for the Seima Protection Forest REDD+ project ran from 1 to 30 October, 2014. During the CCBA public comment period, the Seima community teams, which consist of mixed WCS and FA personnel, visited all 20 villages involved in the project. All participants were requested to provide comment and feedback during the meetings. Community meetings were held with village leaders, village chiefs, local Forestry Administration (FA) officials and other community members. The following information and materials were shared:

- An educational video on climate change and REDD+, was shown preceding the consultation meetings in each village.
- An overview on climate change and REDD+, and a summary of the Seima Protection Forest (SPF)/KWS REDD+ project in both Khmer and Bunong was distributed to all participants.
- An update on the revised agreement (in which privately-owned, and indigenous-community-owned lands are excluded from the Project Area) between the local communities and the FA was presented to all participants.
- Explanation on the Climate, Community and Biodiversity Alliance (CCBA) and the public comment period for the SPF/KWS REDD+ project.
- Description of the grievance mechanism for the project, and including a hotline number where they can report any complaint or report illegal activities related to forest and wildlife. The grievance cards were distributed to all the participants.
- Key parts of the SPF/KWS REDD+ Project Design Document (PD) in Khmer language were provided to key persons such as community leaders, village chief, and other relevant members of the communities who requested them.

During these community meetings in the 20 villages the project teams informed all the participants that there would be independent auditors who come to visit their villages and interview some of them

regarding the project. It was explained that this was a part of the process for project validation/verification against CCB standards. During the visit of the auditors to the project sites, the local communities in the selected villages were informed in advance prior to the visit at least two days in advance so they could inform other community members to be available for the meeting with the auditors. The heads of the local communities were introduced to the auditors for further discussion and arrangement of the discussion and interview with community members.

### **2.7.9 Conflict resolution procedures**

The grievance process shall progress through three stages until a resolution is achieved. The progression will be defined by referrals from Stage 1 to Stage 2 and from Stage 2 to Stage 3. These referrals will be made within established time limits. The project implementation team will take, in good faith, all reasonable steps to meet these limits.

#### *2.7.9.1 Grievance resolution Stage 1*

Complaints and grievances submitted to the project implementation team will be assessed and, whenever possible, directly resolved amicably. A written response to all reasonable grievances will be provided within 30 days.

#### *2.7.9.2 Grievance resolution Stage 2*

Grievances not satisfied during Stage 1 will be referred to a neutral third party within 14 days of notification that the offered resolution is not acceptable.

One legally mandated role of the existing Commune Councils in the Project Zone is to receive complaints from their constituents on issues of any kind and either direct them to the appropriate place or seek to resolve them directly, often by mediating between the affected parties. Hence the Commune Councils in the Project Zone function as a third party grievance mechanism, and have done so implicitly since the beginning of conservation activities in 2002. The FA and MoE has committed to this as one element of the formal Community Agreements. A senior member of the management team will be responsible for overseeing the process, and ensuring that cases are documented and processed efficiently. Decisions will be made in consultation with, or under the mediation of, the relevant commune council, and all written documentation will be copied to them. The project is providing capacity-building to the Commune Councils and logistical support to increase their understanding of the REDD+ project and their role in performing this function.

This mechanism has the great advantage of using an existing, familiar and well-established system, increasing the likelihood that it will be accepted by all stakeholders and will be found to be sustainable and cost-effective. The perceived adequacy of the mechanism in receiving and resolving complaints will be assessed periodically during consultations with community representatives, and if judged necessary through periodic external evaluations.

If either party feel that the Commune Council is not a suitable, neutral third party, an alternate mediator will be engaged through mutual agreement. Options for alternate mediators may include, but are not limited to, NGO social rights proponents.

#### *2.7.9.3 Grievance resolution Stage 3*

For grievances not resolved by Stage 1 or Stage 2, (e.g. tenure disputes resulting from activities under Sub-Objective #3) a referral to court proceedings will be made, by either the project implementation team or the neutral third party, within 14 days of notification that the third party mediation was not successful. The resolution procedures for Stage 3 will proceed in accordance with Cambodia's legal framework. The project is careful to not prejudice the outcome of these disputes, for example with tenure disputes this is achieved through the systematic adherence to transparent land titling process which includes registration with the Ministry of Interior (MoI) as an indigenous community and the establishment of local commissions and a public village congress which hold a public consultation meeting. During this meeting they request official recognition from local authorities and allow for counter claims to be recorded. Resolution at this stage is facilitated by the Commune Council. This process is followed by community registration with the Department of Land Management, Urban Planning



Construction at the provincial level which evaluates all land claims, conducts official boundary mapping and publically releases the land identification and mapping for 30 days.

If disputes arise that cannot be settled through the Commune Council or the Department of Land Management, such as land disputes over legally titled land, they will be brought to the provincial court for settlement or appeal to a higher court (e.g. Cambodian Supreme Court).

#### **2.7.10 Anti-discrimination**

According to the Cambodian Constitution, all persons are equal before law without any discrimination on the basis of race, color, sex, language, beliefs, religions, political tendencies, birth origin, social status, wealth or other situations<sup>8</sup>. The Law on the Protection and Promotion of the Rights of Persons with Disabilities prohibits discrimination on the basis of disability to participate in the social, economic and cultural development plans that may affect the interests of persons<sup>9</sup>. Sexual harassment is strictly prohibited under the Labor Law<sup>10</sup>. The Criminal Code defines sexual harassment as an act when a person abuses the power which is vested to him/her in his/her functions in order to put pressure again and again on other persons for sexual favors. In addition, the sexual harassment is punishable by an imprisonment of between 6 (six) days to 3 (three) months and a fine of between 100,000 (one hundred thousand) Riels and 500,000 (five hundred thousand) Riels<sup>11</sup>.

All SPF/KSWS staff will annually attend staff training for anti-discrimination and gender sensitization. The project proponent and all other entities involved in project design and implementation comply with these laws.

## **2.8 Commercially Sensitive Information**

The following information is commercially sensitive and is not publicly available. This information will be made available to the validator.

- Detailed Financial Models
- VERPAs (Forward sales contracts)

<sup>8</sup> The Constitution of the Kingdom of Cambodia (1993), Art. 31

<sup>9</sup> The Law on the Protection and the Promotion of the Rights of Persons with Disabilities (2009), Art. 18

<sup>10</sup> The Labor Law (1997), Art. 172

<sup>11</sup> The Criminal Code (2009), Art. 250

### 3 LEGAL STATUS

#### 3.1 Compliance with Laws, Statutes, Property Rights etc. (G4 & G5)

##### 3.1.1 Evidence of approval for the project

The SPF/KSWS REDD+ project is one of the country's first REDD+ demonstration projects and is specifically listed as such in Cambodia's National REDD+ Readiness Roadmap (RGC 2010). This constitutes evidence of approval from the formal authorities. Evidence that the project has approval from the appropriate traditional authorities is set out in Section 3.7.

##### 3.1.2 List of relevant laws

The project is in compliance with the following relevant laws, policies and regulations.

###### 3.1.2.1 National laws

1. Constitution of Cambodia (1993).
2. Protected Area Law (2008)
3. Land Law (2001).
4. Forestry Law (2002).
5. Labor Law (1997).
6. Sub-decree #146 on Economic Land Concessions (2005).
7. Sub-decree # 118 on State land Management (2005).
8. Sub-decree #83 on Procedures for the Registration of Land of Indigenous Communities (2009).
9. Sub-decree #143 on Establishment of Seima Protected Forest and Biodiversity Conservation Area (2009).
10. Sub-decree # 83 on Establishment of Keo Seima Wildlife Sanctuary (2016).

###### 3.1.2.2 Local laws and regulations

1. Forest Policy (2002).
2. Declaration on the Establishment of Seima Biodiversity Conservation Area in Samling Forest Concession in Mondul Kiri and Kratie Provinces (2002).
3. Sar Chor Nor #699 on the designation of the Forestry Administration as the representative of Royal Government of Cambodia to execute the sale of Cambodia forest carbon with consultation within the TWG-F&E (2008).
4. Sor Chor Nor #606 on the approval to allow the Ministry of Environment to implement the Reducing Emissions Deforestation and Forest Degradation (REDD+) project in Seima Protected Forest and Biodiversity Area (Seima REDD+ Project) (2016).
5. National Forest Program 2010 –2029 (2010).
6. Cambodia REDD+ National Roadmap (2011).
7. Directive 001 (2012) on the Titling of Lands in Land-conflict Areas.

##### 3.1.3 Compliance with labor laws

Employees of government agencies including the FA are covered by the employment conditions of their host Ministries. These can be assumed to adhere to all relevant government law and policies, and government employees are informed of their rights and responsibilities through routine government employment procedures.

For NGO partner staff, employer-employee rights and responsibilities are governed by the above laws, and additionally by their Employment Contracts, and by WCS's Internal Policies and Regulations. These policies meet or exceed the requirements of the laws and regulations covering workers' rights and conditions. All staff are given a copy of their employment contracts, which outline their rights, and refer to other relevant documents. A policy manual, working regulations and Site Operating Procedures are routinely distributed to new staff on commencement, and relevant documents are available in Khmer language at project offices.

### 3.2 Evidence of Right of Use (G5)

The evidence for right of use arises under law (in accordance with VCS Standard Version 3.3. Section 3.11.1) for state-owned forest land.

#### 3.2.1 State-owned forest land

The Project Area that will generate credits was 100% State land at the project start date, under the territorial mandate of the Ministry of Agriculture, Forestry and Fisheries (MAFF) through the Forestry Administration (FA). It was first formally designated as Permanent Forest Estate in 1994, at which time it was implicitly classified as Production Forest.

It was first made a conservation area in 2002 by a government regulation ('prakas') that was signed by the Minister of Agriculture, Forestry and Fisheries. This status co-existed with its status as Production Forest. The land status of the area was reclassified to Protection Forest on September 4th, 2009 by the endorsement of a sub-decree (No. 143, 2009) by the Council of Ministers and Prime Minister Samdech Hun Sen, thus enhancing its conservation status. This legal action created the Seima Protection Forest and reaffirmed MAFF, through the FA, as the government body responsible for managing it. The sub-decree has nine objectives, which are listed below:

1. Protect, conserve and rehabilitate genetic resources of fauna and flora which are globally threatened.
2. Maintain and rehabilitate important ecosystems as habitat for all forms of biodiversity.
3. Contribute to protection and conservation, to meet the goals of the National Millennium Development Plan of the Royal Government of Cambodia, and to maintain forest cover.
4. Conserve the culture and tradition of indigenous communities and local communities where they are living within the Protection Forest area.
5. Maintain the natural resources that these communities depend on for their livelihoods and to implement the program of poverty reduction of the Royal Government of Cambodia.
6. Contribute to sustainable socio-economic development through participation in the management of harvesting forest resources by the local communities, development of ecotourism and other similar activities which have very small impact to biological resources, forest and wildlife.
7. Maintain carbon stored in vegetation in order to reduce carbon dioxide (CO<sub>2</sub>) emissions into the atmosphere.
8. Prevent soil erosion, to protect soil fertility and to maintain the stability and quality of water sources.
9. Support other activities including technical and scientific research, education, training, community development, and environmental studies, which are related to sustainable development and conservation at local, national and international levels.

This sub-decree is the necessary proof of title/right of use for the Forestry Administration to develop and manage a REDD+ project within the Seima Protection Forest on behalf of the RGC as the land is clearly government owned. Also objective seven gives the FA a clear mandate to implement policies to manage the area for avoidance of carbon emissions.

In April, 2016, the Project Area was transferred to under jurisdiction of Ministry of Environment by the Sub-Decree 69. The Seima Protection Forest was changed to Keo Seima Wildlife Sanctuary (KWS) by the Sub-Decree No. 83 in 09 May 2016. The sub-decree has three objectives:

1. Ensure the protection of wildlife habitat and ecosystems, and to ensure the necessary conditions for any type of fauna, flora and biodiversity
2. Provide natural products and services for sustainable uses of natural resources
3. Promote the participations of local communities as well as public in contribution to management and conservation of biodiversity and natural resources in the areas.

##### 3.2.1.1 Note on forest eligible to be transferred to Communal Land titles

Parts of SPF/KWS have been claimed as Indigenous Communal Title lands (ICT) under Land Law Articles 23 –28, or are potentially eligible. In such areas ownership is eventually transferred by process

of law to the communities and the land ceases to be part of the Permanent Forest Estate, although some parcels remain on the Land Register as State Land and the communities have no right of sale for these. Issuance of these titles is a core strategy of the project as it will help to stabilize permitted land-uses and protect community rights, and so most eligible areas will likely be titled during the first fixed baseline period. Around several villages such titles were issued during 2012 –2013.

Given uncertainty over the carbon rights in these areas, and the difficulties of establishing VCS-compliant, 60-year, ‘irrevocable’ agreements on rights of use for these areas before benefit-share arrangements and long-term income streams are secure, these areas have been excluded from the Project Area. They remain within the Leakage Belt of the project and will still be a focus of activities but will not contribute to the generation of credits.

### **3.2.2 Samling International logging concession**

As noted in Section 1.3, the Project Area lies within the Samling International Ltd Chhlong logging concession, issued in 1994. The concession ceased timber operations in 1999 as part of the national moratorium on logging concession operations which remains in place and is not expected to be lifted for any concession in the country (RGC 2010). Hence there is no plausible risk of resumed commercial logging by Samling at this site. This has been reinforced by the 2009 Sub-decree declaring the SPF which reassigns the whole area to Protection Forest, a land category that does not permit timber concession operations. The existence of the concession contract is not believed to entitle Samling International to any role in the management or benefit-sharing arrangements for the Seima REDD+ project.

### **3.3 Emissions Trading Programs and Other Binding Limits (CL1)**

Cambodia is a non-Annex I signatory of the Kyoto Protocol and hence it does not have binding limits on its GHG emissions.

### **3.4 Participation under Other GHG Programs (CL1)**

The project is only seeking registration under the VCS and CCB programs.

### **3.5 Other Forms of Environmental Credit (CL1)**

Carbon credits are currently the only environmental credit being generated from this project. There is no intent to generate other GHG-related environmental credits for reductions claimed under the VCS program.

### **3.6 Projects Rejected by Other GHG Programs (CL1)**

The project has not been rejected by any other GHG program.

### **3.7 Respect for Rights and No Involuntary Relocation (G5)**

#### **3.7.1 Free, Prior and Informed Consent (FPIC)**

Consent for REDD+ activities is required from the communities that use the land, if the activities affect them. Furthermore, under VCS and CCBA rules the owner of carbon rights for a piece of land must formally agree to the sales of credits derived from these rights. The Project Area is 100% State Public Land in the Permanent Forest Estate, leading to a simple situation where all carbon rights were the property of the state which was therefore the primary decision-maker. However, the communities do have customary rights, recognized in law, to use State Public Land. Therefore explicit written community consent was obtained from all 20 participating communities. This demonstrates government commitment to treating the communities as active project participants and rights holders.



Consent was obtained through a process starting in the early stages of the project, prior to any steps to validate the project or make sales of credits. The consent was freely given and based on extensive efforts to ensure signatories were well-informed, as described in Section 2.7. The design of the community consent agreement (available on request) aimed to follow best practice in all important aspects. Project staff believe that it meets the requirements of Cambodian national law, and conforms to VCS and CCB requirements and the UN Declaration on the Rights of Indigenous Peoples (UNDRIP; 2007). It describes in detail what is being consented to, the term of the agreement, the rights and liabilities it confers and so on. The consent agreements were signed by the most appropriate community representatives, as well as with a thumbprint from the great majority of families in each village. The process of obtaining this consent was part of the broader process of stakeholder consultations and so is described in Section 2.7.

### **3.7.2 Involuntary relocation**

The project anticipates no involuntary relocations of legitimate occupants of the area from either residential land or farmland. However, illegal settlers or land grabbers attempting to occupy state or community land may be arrested by the relevant authorities and removed without compensation, and possibly prosecuted, in accordance with the law.

In general the project will impose no restrictions on customary use of forest resources beyond the basic legal requirements for sustainable practices, and in many cases will improve security of access and the status of these resources. The one exception is that the project is expected to propose some restrictions on customary use rights in areas to be designated as Strict Protection Zones, SPZs, (a provisional term) which will be areas of zero or near zero human use, designed to improve the survival prospects of the most vulnerable wildlife species (part of Action 1.2, Section 2.2).

The size and location of the proposed SPZs has yet to be decided, but they will be placed to minimize the number of forest users affected. Restriction of use falls within the CCBS definition of 'relocation', but this will not be an involuntary process. Designation of such zones will be preceded by detailed consultations and consent process with potentially affected villages, identification of affected individuals/families and the negotiation of mutually acceptable compensation packages, which might include, but would not be limited to, employment opportunities, in-kind compensation (e.g. alternative livelihoods) or financial compensation (e.g. substituting the value of any resin tree income foregone). Confirmation that this process will entail consent is included in the text of the Community Consent Agreements.

Due to complex tenure boundaries within the project site, methods for referencing formal boundaries by patrol staff is requirement of the law enforcement monitoring framework. Field staff identify boundary areas in the field through (a) the use of boundary polygons loaded onto GPS units carried within the field and (b) site visits accompanied by on-site GIS coordinator. Regular training in the use of the GPS and recognition of the boundaries are provided to the patrol staff to the on-site GIS coordinator. These boundaries, including the formal delineation of Directive 001 (2012), are clearly visible in the GPS display. For patrol staff using paper maps, coordinates are checked with GIS officer prior to action taken. Additionally, a further check, in office, is conducted with field collected data. Any suspected encroachment is recorded by patrol staff and entered in the Spatial Monitoring and Reporting Tool (SMART) against which the formal boundaries (including Directive 001) can be checked.

## **3.8 Illegal Activities and Project Benefits (G5)**

Project activities combine efforts to prevent illegal activities (e.g. through planning and direct enforcement) and efforts to enhance livelihoods through interventions that are clearly legal (e.g. agricultural assistance on lands that are legally farmed, ecotourism in sites that have government approval etc.). Safeguards will be put in place to ensure that project funds are not used to promote illegal activities (e.g. by screening of grants for community projects).

Illegal activities drive many of the threats to climate, biodiversity and community well-being in the baseline scenario and so the project has been explicitly designed to address them (Section 2.2). Actions under Sub-objective 2 are all designed to enhance direct law enforcement, mainly by government-led

patrol teams but also by community-led patrols and other measures, including monthly and annual monitoring of the levels of illegal activity. Sub-objective 1 aims to put in place the legal and planning frameworks that deter illegal activity and Sub-objective 3 aims to establish legal land tenure and land management systems for community areas.

## 4 APPLICATION OF METHODOLOGY

### 4.1 Title and Reference of Methodology

This project is using the methodology entitled 'Methodology for avoided unplanned deforestation' which is the VCS's approved VM 0015, version 1.1 (December 2012).

### 4.2 Applicability of Methodology

The chosen methodology has no geographic restrictions and thus is applicable to a forest area located in Cambodia. The project also meets all of the following applicability conditions:

- a) Condition 1:** Baseline activities may include planned or unplanned logging for timber, fuel-wood collection, and charcoal production, agricultural and grazing activities as long as the category is unplanned deforestation according to the most recent VCS AFOLU requirements.

Project Condition: The baseline activities in the Project Area include unplanned expansion of agricultural activities.

- b) Condition 2:** Project activities may include one or a combination of the eligible categories defined in the description of the scope of the methodology.

Project Condition: The project activities consist of forest protection without logging or charcoal production.

- c) Condition 3:** The Project Area can include different types of forest, such as, but not limited to, old growth forest, degraded forest, secondary forests, planted forests and agro-forestry systems meeting the definition of 'forest'.

Project Condition: The Project Area consists of different types of forest including old growth, degraded, and secondary forest.

- d) Condition 4:** At project commencement, the Project Area shall include only land qualifying as 'forest' for a minimum of 10 years prior to the project start date.

Project Condition: The Project Area has all been forest land since at least 1998, as confirmed by the historical satellite analysis presented in this document.

- e) Condition 5:** The Project Area can include forested wetlands (such as bottomland forests, floodplain forests, mangrove forests) as long as they do not grow on peat. Peat shall be defined as organic soils with at least 65% organic matter and a minimum thickness of 50 cm. If the Project Area includes a forested wetlands growing on peat (e.g. peat swamp forests), the Methodology is not applicable.

Project Condition: The Project Area has small areas of seasonal wetlands located within deciduous forest. There is no known peat soil located within the forest area.

### 4.3 Methodology Deviations

The following methodology deviations are proposed.

#### 4.3.1 Deviation Request 1 – to support conservative treatment of leakage in the ex-ante case

The following methodology deviation is requested. The deviation request will result in an overly conservative ex-ante estimate of leakage. In addition, this deviation only applies to the ex-ante method to estimate leakage and therefore the ex-ante estimated emissions from leakage using this method will not impact actual verified emission reductions.

Section 8.2 “Ex ante estimation of the decrease in carbon stocks and increase in GHG emissions due to activity displacement leakage”

The text in Section 8.2 4th paragraph shall be replaced with the following text (note changes in footnote only):

“This shall be done by multiplying the estimated baseline carbon stock changes for the Project Area by a ‘Displacement Leakage Factor’ (DLF) representing the percentage of deforestation expected to be displaced outside the project boundary<sup>12</sup>.”

#### 4.3.2 Deviation Request 2 – to support conservative treatment of leakage in the ex-post case

The following methodology deviation is requested. The deviation request will result in a more conservative estimate of ex-post leakage. This deviation, although not required by the Methodology, will allow the project to conservatively account for any possible reduction in the local population, relative to the baseline scenario, as a result of the project activities.

Section 8.1 Task 1.2 “Monitoring of carbon stock decrease and increases in GHG emissions due to activity displacement leakage”

It is requested that the ex-post calculation of emissions due to activity displacement leakage also include an estimate of emissions due to any avoided (deterred) in-migration.

Thus, the Methodology will be followed, with the addition of the following text which could follow Section 8.1.2.2, Task 1.2, (*“where strong evidence can be collected that deforestation in the Leakage Belt...”*)

Where there is strong evidence that the population of villages using the REDD+ Project Area is below projected population levels (due to deterred arrival of new in-migrants who would otherwise have come) activity displacement leakage shall also incorporate leakage due to avoided migration. Using existing historical data the baseline trend in aggregate population in the relevant villages is modelled and projected over each year of the first fixed baseline period using good statistical practices. The ex-post aggregate population in the relevant villages is then monitored.

Where the observed aggregate village population (OP) is above baseline projected aggregate population (PP), then activity displacement attributable to avoided migration is assumed not to exist. However, where OP is smaller than PP for a given time period, it is conservatively assumed that a number of people equal to PP-OP has been deterred from arriving in the area. These deterred migrants, who would have caused a portion of the emissions estimated in the baseline case are assumed to

<sup>12</sup> If deforestation agents do not participate in leakage prevention activities and project activities, the Displacement Factor shall be 100%. Where leakage prevention activities are implemented the factor shall be equal to the proportion of the baseline agents estimated to be given the opportunity to participate in leakage prevention activities and project activities. Where leakage displacement may also be caused by avoided (deterred) in-migration, the DLF shall be calculated by summing the percent of deforestation attributable to (i) resident smallholders (including those who have settled in the participating villages since the start of the project crediting period) expected to be displaced outside the project boundary and (ii) the percentage of deforestation attributable to potential in-migrants who are expected to be deterred from settling due to the existence of the project and hence will be displaced outside the project boundary and leakage belt (relative to their location in the baseline scenario).



conduct deforestation and cause the same quantity of emissions at unknown locations beyond the Leakage Belt.

The number of emissions attributable to this avoided migration leakage is calculated as a percentage of the gross emission reductions:

$$CADLK-Mt = ((CBSLPAt + EBBBSLPAt) - (CPSPAt + EBBPSPAt)) * (PP-OP)/PP$$

CADLK-Mt = activity displacement leakage attributed to avoided migration at year t; tCO<sub>2</sub>e

ΔCBSLPAt = Sum of baseline carbon stock changes in the Project Area at year t; tCO<sub>2</sub>e

EBBBSLPAt = Sum of baseline emissions from biomass burning in the Project Area at year t; tCO<sub>2</sub>e

ΔCPSPAt = Sum of ex post actual carbon stock changes in the Project Area at year t; tCO<sub>2</sub>e

EBBPSPAt = Sum of ex post actual emissions from biomass burning in Project Area at year t; tCO<sub>2</sub>e

This leakage value is then added to leakage due to activity displacement of resident small-holders as laid out in the Methodology (ΔCADLKt).

#### **4.3.3 Deviation request 3 – to allow for the conservative omission of small areas of land from the area covered by spatially explicit deforestation projections for the first fixed baseline period**

In the case where a very small area cannot be included (for any reason) in the spatial extent covered by the deforestation projections developed in Step 4.2.4, this can be considered a conservative, and hence permissible, deviation under certain conditions. It would be permissible in this case to impute the land cover observed in the Forest Benchmark Map for each year of the first fixed baseline period.

Therefore the following methodology deviation is proposed.

VM0015 V1.1 Part 2 Step 4.2.4

In the case where a very small area cannot be included (for any reason) in the spatial extent covered by the deforestation projections developed in Step 4.2.4, this can be considered conservative, and hence permissible in the case where the following criteria are all met:

- The area represents <0.05% of the total Reference Region
- The area lies entirely within the Leakage Belt (so that the projection tends to underestimate the baseline activity in the Leakage Belt, increasing the potential for leakage-related deductions in the ex-post case).
- Inspection of the projections for nearby areas shows that this is an area where projected activity was likely to have been low or zero if the area had been included.

In this case the land cover classes found at the start of the Project Period in the Forest Benchmark Map should be assumed to be present, unchanged, through each year of the first fixed baseline period.

#### **4.3.4 Deviation request 4 - to allow a more conservative approach to estimating the long-term average carbon stocks of post-deforestation classes**

The Methodology (VM0015 V1.1, Part 2, Step 6.1.1f) requires the long-term (20 year) average carbon stock to be calculated using Table 16, which requires the calculation of the overall carbon stock for the class in each of 20 years, and then the calculation of the average. The aim is to capture the cyclical variation in stocks over time of some longer-lived crops such as rubber. To accurately estimate the stocks in each year for a complex mixed land use would require extensive field measurements. Therefore, for land cover types where yearly data does not exist, this deviation assigns the carbon stock of the mature stage of a crop to all years in the cycle.

Therefore, the following methodology deviation is proposed.

VM0015 V1.1, Part 2, Step 6.1.1f

Where a non-forest class does not have a stable carbon stock, as an alternative to calculating a specific carbon stock for each year of a 20 year period and then calculating the mean, it is permitted to select a carbon stock value for the peak year or years of a cycle. Conservatively apply that carbon stock value to all twenty years, such that the reported carbon stock of the class does not vary over time, and the 20 year average carbon stock is equal to the stock reported for any one year.

#### 4.3.5 Deviation request 5 – to allow use of an alternative, standard method to measure the density of dead wood

The following methodology deviation is requested for the estimation of dead wood density. The method used by the project is a commonly implemented approach<sup>13</sup> that estimates density based on estimates of volume and mass. In the section of the Methodology VM0015, V1.1 'Appendix 3: Methods to estimate carbon stock; Estimation of carbon stocks in the deadwood carbon pool (Cdwcl) – Lying deadwood (Cldwcl)' on page 148, the methods listing the approach to estimate dead wood density in bullets d-f was not used but instead the steps listed below are requested to be used:

- d) At least 10 random dead wood samples of each three density classes, representing a range of species present, should be collected for density determination. Using a chainsaw or a handsaw, cut a complete disc or a piece of reasonable size from the selected piece of dead wood and bring to the laboratory for wood density determination. Measure the diameter in two locations and thickness at two locations. Use these measurement to calculate the volume.
- e) Oven dry the disk to a constant weight. Weigh the disk with a laboratory scale. Then calculate the density (Dm) using the following formulas:

$$Density \left( \frac{g}{cm^3} \right) = \frac{dry\ mass\ (g)}{volume\ (cm^3)}$$

$$Volume = \pi * \frac{average\ diameter^2}{2} * average\ width$$

- f) f. Calculate the mean density for each density class to create an average density for sound, intermediate, and rotten samples.

#### 4.3.6 Deviation request 6 - to clarify when deforestation risk maps need to be explicitly presented as an intermediate step in calculations

Part 2, Step 4.2.2 of the Methodology states that a risk map “shows at each pixel location I the risk (or ‘probability’) of deforestation in a numerical scale (e.g., 0 = minimum risk; 255 = maximum risk)”. Part 2, Step 4.2.3 of the Methodology requires that, where the “calibration and confirmation using two historical sub-periods” approach is undertaken (as is the case here), the following task be completed: “Using only the data from the calibration period, prepare for each Risk Map a Prediction Map of the deforestation for the confirmation period. Overlay the predicted deforestation with locations that were actually deforested during the confirmation period. Select the Prediction Map with the best fit and identify the Risk Map that was used to produce it. Prepare the final Risk Map using the data from the calibration and the confirmation period.”

The wording could be taken to imply that the selection of the prediction map with the best fit must literally be done by overlaying one map with another. However, the essential statistical task is to compare and summarize the predicted and observed risk scores for each pixel. While this can be done by overlaying physical maps on one another it would be enormously time-consuming and prone to error. It is more

<sup>13</sup> Walker, SM, Pearson, TRH, Casarim, FM, Harris, N, Petrova, S, Graiss, A, Swails, E, Netzer, M, Goslee, KG and Brown, B. 2014 updated. Standard Operating Procedures for Terrestrial Carbon Measurement: V2012, V2014. Winrock International

efficient and less error-prone to make a comparison between mathematical representations of the two maps. The outputting of a physical map of the risk scores as an intermediate stage in this process is only needed if an analyst or validator wishes to visually confirm some aspect of the risk surface implied by the mathematical model.

Therefore, the following methodology deviation is proposed.

VM0015 V1.1, Part 2, Step 4.2.3

A section of the text of this step is proposed to be revised, as set out below.

Original text: “Using only the data from the calibration period, prepare for each Risk Map a Prediction Map of the deforestation for the confirmation period. Overlay the predicted deforestation with locations that were actually deforested during the confirmation period. Select the Prediction Map with the best fit and identify the Risk Map that was used to produce it. Prepare the final Risk Map using the data from the calibration and the confirmation period.”

Revised text: “Using only the data from the calibration period, prepare for each Risk Map a Prediction Map of the deforestation for the confirmation period, or a mathematical representation of such a map. Overlay the predicted deforestation with locations that were actually deforested during the confirmation period, or make an equivalent comparison using the mathematical representation of the Prediction Map and appropriate software. Select the Prediction Map (or mathematical representation) with the best fit and identify the Risk Map that was used to produce it. Prepare the final Risk Map (or a mathematical representation thereof) using the data from the calibration and the confirmation period. Explicit maps of any or all of the mathematical representations used should be available to the validator on request.”

#### **4.4 Project Boundary (G1)**

This project type has four categories of project boundaries listed below:

1. Spatial boundaries
2. Temporal Boundaries
3. Carbon Pools
4. Sources of emissions of greenhouse gases (other than carbon stock changes)

##### **4.4.1 Spatial boundaries (Step 1.1)**

With respect to the Methodology, the spatial boundaries consist of five categories namely:

1. Reference Region
2. Project Area
3. Leakage Belt
4. Leakage Management Areas
5. Forest definition

The Project Area, Leakage Belt and Leakage Management Areas are non-overlapping subsets of the Reference Region (Figure 4.4.1). Categories 2, 3 and 4 together constitute the basis of the Project Zone as defined under the CCB Standard (Figure 4.4.2). To ensure that the Project Zone is inclusive of all project activities, the boundary was expanded to include all participating villages within the entire core area and the full range of Leakage Belt criteria set out in Annex 3.2. The resulting Project Zone is 296,769 ha.



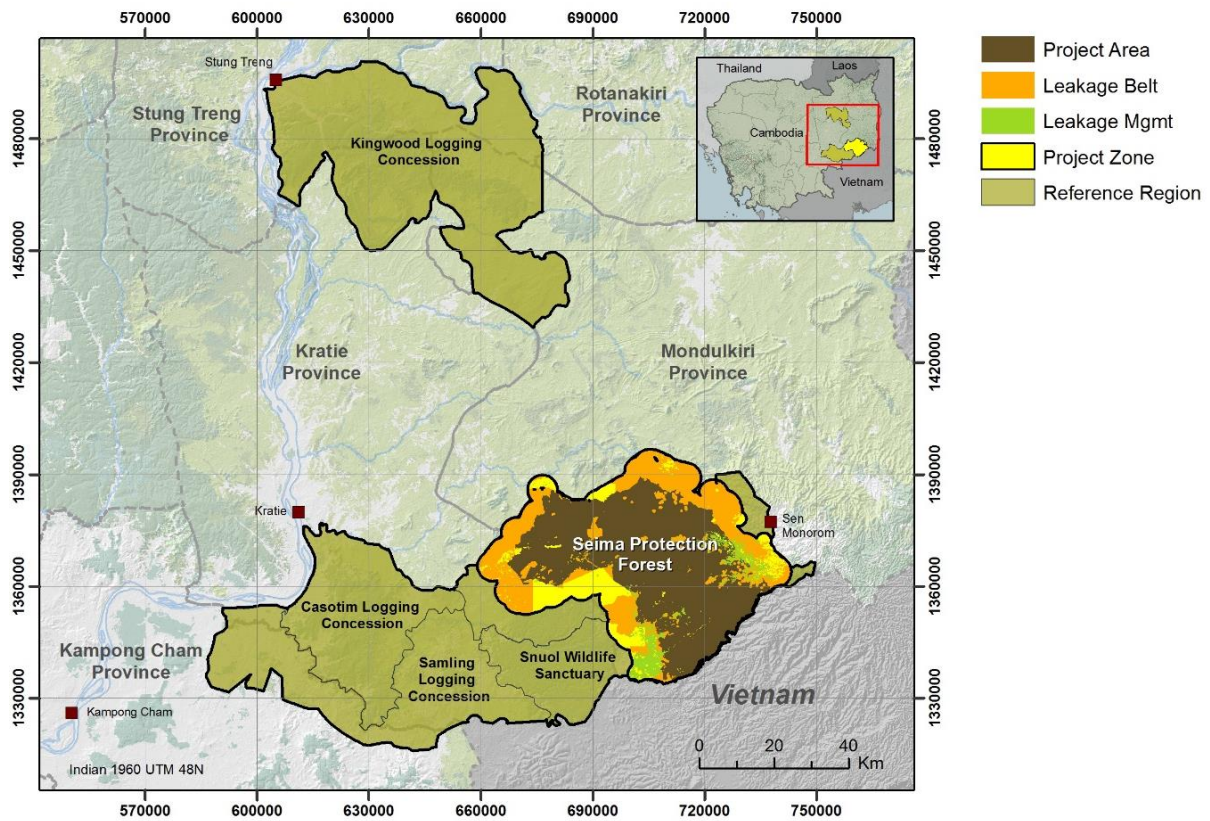


Figure 4.4.1. Spatial boundaries of the Project Area and Reference Region.

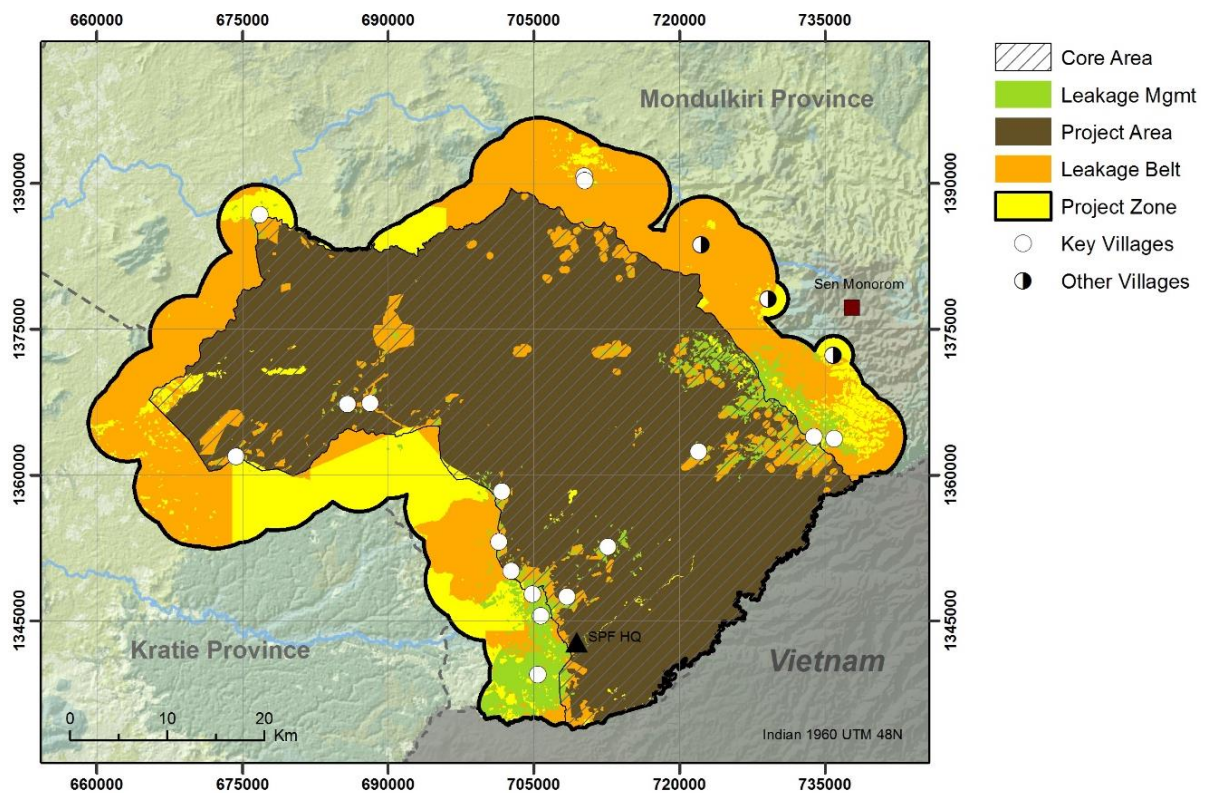


Figure 4.4.2. Spatial boundaries of the project.



#### 4.4.1.1 Reference Region (Step 1.1.1)

No sub-national or national baseline exists and the national government has not divided the country into sub-national spatial units for which deforestation baselines will be developed.<sup>14</sup> Therefore, a Reference Region specific to the project has been delineated. A set of criteria is provided by the Methodology, with the following guiding principle:

"A geographic area is relevant for determining the baseline of the Project Area when agents, drivers and overall deforestation patterns observed in this area during the 10-15 year period preceding the start date of the proposed REDD+ project activity represent a credible proxy for possible future deforestation patterns in the Project Area." [Methodology page 15]

The selected Reference Region covers a slightly discontinuous area including the Project Area, blocks adjacent to the Project Area and one other nearby block in north-east Cambodia. The southern block alone would not be sufficient to meet the minimum area requirement and expanding it to immediately adjacent areas would not have provided a good match on similar criteria. The two blocks have similar levels of legal protection, contain similar vegetation and landforms and face comparable deforestation threats. Intervening areas do not meet the criteria for similarity as closely (in particular because they have differing (lower) legal status, and a much lower proportion of dense evergreen forest or hilly terrain), and hence have been omitted. The northern portion of the Reference Region has other similarities to the main, southern portion, not least the fact that it is bisected by a trunk road that has been upgraded over time and is associated with an active deforestation frontier.

The following legally defined management units are included in the Reference Region:

- The entire KSWs, including the parts of the core area (Project Area) that will generate credits, and two Buffer Protection Forest Areas. The Reference Region also includes small areas that were excised from the Seima Biodiversity Conservation Area during the transition to Protection Forest status at the end of the historical reference period.
- Three dormant logging concessions (Casotim, Kingwood and that part of the Samling International Chhlong concession that is not now included in the KSWs). These concessions are under FA jurisdiction. Small parts on the southern fringe of the Samling concession were excluded as inspection of satellite imagery showed them to have different patterns of deforestation, with a highly complex mosaic of small patches that could not be adequately interpreted with medium resolution imagery.
- The Snoul Wildlife Sanctuary (SWS), an area managed by the Ministry of Environment (MoE). This area has been included since it has a legal conservation status similar to the Project Area.
- Small areas outside the other management units but inside the Leakage Belt. Some of these lie in Phnom Prich Wildlife Sanctuary and others in areas of unclassified forest estate. The Leakage Belt is defined below.

The Reference Region covers 996,951 ha of forest and non-forest land including the Project Area<sup>15</sup>. While the Methodology does not set a strict numerical area requirement for the Reference Region it suggests a figure of 5 –7 times the project size for Project Areas > 100,000 ha which would mean a range of approximately 902,000 –1,263,000 ha. Hence the Reference Region for this project is of appropriate size. The Reference Region represents a set of land areas with broadly similar legal status. All parts of the Reference Region are essentially following the same chrono-sequence of unplanned deforestation, but each sector has started at a different time in the past so some are more deforested than others. In the BAU case, each area progresses from remote seclusion with low deforestation rates through arrival of access routes and the deforestation frontier, followed by rapid deforestation and ending with a stabilized situation with very little forest remaining. The south-west of the Reference Region has nearly reached the end of this sequence, whilst the north-east has barely begun, and areas in between are at varying points in the sequence, depending on where they lie on the gradients of threat. Hence taken together the Reference Region is characterized by the full range of states of each of the drivers relevant to the Project Area now and in the next 10 years. It thus provides a suitable area in

<sup>14</sup> Cambodian National REDD+ Readiness Roadmap (2011)

<sup>15</sup> Historical deforestation analysis also covered a broader area around these units. This allowed for adjustments to the reference area during project development and enables a wider range of spatial statistics to be calculated for points within the reference region.

which to calibrate predictive models. The Project Area lies in the lower part of this gradient of threat and is just entering the phase of rapid deforestation. This is expected to progress rapidly unless REDD funding becomes available to alter the sequence of events.

The Reference Region is stratified according to the dominant agents of deforestation, as explained in detail in Annex 3.1. The first and most important group of deforestation agents in the Project Area is small-holder farmers who cause unplanned deforestation (see Section 4.5). Areas affected by small-holder farmers causing unplanned deforestation are placed in Stratum 1 for the purposes of historical deforestation analysis. Stratum 1 includes the whole of the Project Area and so it is patterns in this stratum that determine the projected baseline within the Project Area.

A second major agent group (companies with Economic Land Concessions) has increasingly caused deforestation in the Reference Region during the latter part of the historical reference period. This agent does not act in the Project Area and planned deforestation is not covered by the scope of the Methodology, so this source of deforestation has to be separated from that of the first agent group during analysis. This is done by placing land affected by this agent group in Stratum 2, which is dynamically defined and increases in size as more land concessions are issued over time. It is not necessary to make quantitative projections of future deforestation within Stratum 2 as it does not overlap with the Project Area. The Methodology requires that the Project Area and Reference Region have similar: 1) agents and drivers of deforestation, 2) Landscape configuration and ecological conditions, 3) Socio-economic and cultural conditions. These tests are applied below.

#### 4.4.1.2 Test 1: Agents and drivers of deforestation existing or expected to exist within the Project Area must exist elsewhere in the Reference Region.

Smallholder farmers are the dominant agent group both within the Project Area and across the broader Reference Region, and their activities are associated with the same infrastructure drivers and other spatial drivers across both areas. The same ranges of levels/classes of the predictor variables found within the Project Area are also observed in various parts of the broader reference area, together with a broader range of values that allows predictive models to be developed since in part they represent likely BAU conditions in the Project Area 5–10 years in the future.

#### 4.4.1.3 Test 2: Landscape configuration and ecological conditions

At least three of the four conditions listed in Table 4.4.1 must be satisfied. The project satisfies the first three conditions and so meets this test:

**Table 4.4.1. Ecological conditions in the Project Area and preliminary reference area.**

	Methodology Requirement	Project Area	Reference Region	Test
Forest classes (FCA 2007)	At least 90% of the Project Area must have forest classes or vegetation types that exist in at least 90% of the rest of the Reference Region.	94.6% falls in four vegetation classes of FCA 2007 (Deciduous, Evergreen, Semi-evergreen, Non-forest*)	93.9% is made up of the same four vegetation classes at similar proportions.	Pass
Elevation range	At least 90% of the Project Area must be within the elevation range of at least 90% of the rest of the Reference Region.	92.6% lies in the range 0–499 m	96.8% lies in the same range.	Pass
Slope	Average slope of at least 90% of the Project Area shall be within + 10% of the average slope of at least 90% of the rest of the Reference Region.	97.5% lies in the range 0–15 degrees	99.8% lies in the same range	Pass
Rainfall	Average annual rainfall in at least 90% of the Project Area shall be within + 10% of the average annual rainfall of at least 90% of the rest of the Reference Region.	the driest 90% has a mean rainfall of 3060 mm/year	the wettest 90% has a mean rainfall of 2446 mm/year (21% lower)	Fail

\* 'Non-forest' is listed here due to a slight difference in definitions - areas with 10–20% canopy cover are classed as forest by the definition used in this document but non-forest in the definition used by FCA (2007).

#### 4.4.1.4 Test 3 Socio-economic and cultural conditions:

##### Test 3.1 Legal status

Condition: The legal status of the land in the Project Area covered in the baseline case within the Project Area must exist elsewhere in the Reference Region.

Project Condition: Despite varying names, all the units in the Reference Region have similar levels of protection in law from unplanned deforestation by smallholder farmers, since in all cases the forest is state land and deforestation is essentially illegal except when it occurs on the basis of land-use allocation decisions by the Council of Ministers (e.g. excisions, ELCs, social land concessions). The legal status of the Project Area was Production Forest through the historical reference period (a status that existed in several other units of the Reference Region) and from 2002 onwards the area also had an overlying subsidiary designation as a 'Biodiversity Conservation Area' under a declaration issued by MAFF. This is also the status it would have in the business-as-usual scenario.

##### Test 3.2 Land tenure

Condition: The land-tenure system prevalent in the Project Area in the baseline case is found elsewhere in the Reference Region.

Project Condition: Please see Section 1.3 for an analysis of land tenure in the Project Zone, which is mostly State Public Land owned and administered by the government. Almost all land under forest in the Reference Region at the project start date was also State Public Land, as implicit in the land designations shown on Figure 4.4.1. At the project start date some relatively small areas of forest in the KWS Core area (approx. 3.8%, much of it already non-forest) were potentially eligible for registration as Communal Land of Indigenous Communities. Forest land eligible for communal titling also occurs widely in small pockets across the Reference Region.

##### Test 3.3 Land use

Condition: Current and projected classes of land-use in the Project Area are found elsewhere in the Reference Region.

Project Condition: All current and projected classes of land-use in the Project Area covering natural forest types and all major agronomic systems are also found widely throughout the Reference Region.

##### Test 3.4 Enforced policies and regulations

Condition: The Project Area shall be governed by the same policies, legislation and regulations that apply elsewhere in the Reference Region.

Project Condition: The enforced policies and regulations within the Project Area are the same as those applicable throughout the Reference Region and must adhere to all the same national laws. In Cambodia, there are no laws relating to land use that vary between provinces. The various forest management units are governed by different elements of the same body of national law.

One difference between the management units is in the exact extent to which these enforced policies and regulations are put into practice. Throughout Cambodia forest management units of all designations tend to be more actively protected when there is an NGO or private sector partner working with the government. This is largely a result of increased financial and technical resources. Hence in the BAU scenario, KWS (remaining under its previous designation as the SBCA) would receive somewhat higher levels of investment and active forest protection than the other four units due to the collaboration with WCS. This does not invalidate the use of the other units in the Reference Region, since it is evident that the same agents and drivers are prevalent in both cases and even the actively managed units face high and accelerating deforestation (Annex 3.5). However, it does require that the different levels of active management are taken into account during modelling and analysis of deforestation (Table 5.4). NGO support for the Seima area also occurred through much of the historical reference period, so the Reference Region represents the full range of values for the key variables expected during the period of the first fixed baseline, which enables suitable analyses to be conducted.

#### 4.4.1.5 Project Area (Step 1.1.2)

The Project Area comprises 166,983 ha of forested land located within the Core Protection Area of the Seima Protection Forest/KSWS (Figure 4.4.1). It excludes non-forest land within the boundary (Figure 4.4.2). It includes all forest in the Core Area as designated at the time of the 2009 Sub-decree except for areas with complex tenure arrangements, as follows:

1. Areas mapped for issuance of private titles during the national 2012 land amnesty.
2. Areas issued Indigenous Communal Land titles.
3. Areas mapped as proposed ICT by eligible villages.
4. Areas potentially eligible for ICT in villages that have not yet done mapping.
5. A small area along the western margin that has subsequently been reallocated to the Binh Phouc I rubber concession. This small area is now potentially subject to planned rather than unplanned deforestation and so is no longer covered by the scope of the Methodology.

Immediately before the project start date the Project Area became classified as Protection Forest (now Wildlife Sanctaury). The Project Area has the shape of a left leaning crescent that borders Vietnam to the south. The boundary of the Project Area was provided to the auditor in a GIS shape file. The project consists of one activity, as defined by the Methodology (Table 1, p. 10), namely Type A, protection without significant logging, fuelwood collection or charcoal making in the baseline case of old growth forest without significant logging. This activity covers the whole of the Project Area and Leakage Belt. The boundary of the area of the activity was provided to the auditor in a GIS shape file.

#### 4.4.1.6 Leakage Belt (Step 1.1.3)

The Leakage Belt (Figure 4.4.2) is the forest land surrounding or adjacent to the Project Area in which baseline activities could be displaced due to project activities implemented in the Project Area. The project has defined the Leakage Belt through a mobility analysis (Annex 3.2) by developing buffers around local community areas that are located within or adjacent to the park and around access routes near the boundaries along which new farming areas and settlements might develop. Some parts of the Leakage Belt applicable from 2010 became unavailable for unplanned deforestation from 2012 onwards due to the presence of active Economic Land Concessions. The Leakage Belt has been delineated in a GIS shape file and provided to the auditor.

#### 4.4.1.7 Leakage Management Area (Step 1.1.4)

Since the project seeks to prevent leakage partly through agricultural intensification, the Leakage Management Area includes all anthropogenic non-forest land that was located within the Project Zone at the project start date (Figure 4.4.2). This area is defined as all non-forest or recent deforestation (since 1998) as of 2010 within 3 km of a settlement (settlements are mapped by Pollard and Evans 2009). These areas were delineated using GIS software and will be provided to the auditor. Several leakage management activities (e.g. ecotourism and NTFP management) will also be conducted within forested parts of the Project Area and Leakage Belt, but are not included in the Leakage Management Area map since this is required to contain only non-forest land.

#### 4.4.1.8 Forest definition (Step 1.1.5)

The 'forest' definition used here follows Cambodia's national definition under the Kyoto Protocol<sup>16</sup> - namely an area of at least 0.5 ha with at least 10% crown cover of trees taller than 5 m. Cambodia includes bamboo in this definition. Within this definition, the KSWS has a spectrum of natural forest types from fully deciduous to almost fully evergreen<sup>17</sup>, with the types forming a complex mosaic believed to reflect climate, altitude, edaphic factors and varying history of human disturbance. The forests mostly fall within four of the broad classes used by the 2006 National Forest Cover Assessment, namely Deciduous, Semi-evergreen, Evergreen and Bamboo Forests.

The analysis of satellite imagery has been conducted at the resolution of the raw LANDSAT imagery (0.09 ha), but in post-processing stages the resolution has been reduced to eliminate clumps of pixels

<sup>16</sup> [cdm.unfccc.int/DNA/ARDNA.html?CID=37](http://cdm.unfccc.int/DNA/ARDNA.html?CID=37)

<sup>17</sup> (e.g. Walston *et al.* 2001, Zimmermann and Clements 2003)



<1 ha to eliminate noise. By doing so, the Minimum Mapping Unit has been set at 1 hectare to accord with the requirements of the Methodology. So, the operational forest definition used here is an area of at least 1 hectare with at least 10% crown cover of trees taller than 5 m.

#### 4.4.2 Temporal Boundaries (Step 1.2)

##### 4.4.2.1 Starting date and end date of the historical reference period (Step 1.2.1)

The historical reference period runs for twelve years from 1 January 1998 to 31 December 2009.

##### 4.4.2.2 Starting date of the project crediting period of the AUD project activity (Step 1.2.2)

The crediting period of the AUD project activity will start on 1 January 2010 and will run for 60 years.

##### 4.4.2.3 Starting date and end date of the first fixed baseline period (Step 1.2.3)

The first fixed baseline period is ten years and will start on 1 January 2010 and run until the end of December 2019.

##### 4.4.2.4 Monitoring period (Step 1.2.4)

Monitoring and verification will take place at three points, or more if market conditions require it:

- Verification 1 - during 2016 (covering 2010 –2015, years 1-6)
- Verification 2 - during 2018 (covering 2015 –2016, years 7-8)
- Verification 3 - during 2020 (covering 2017 –2019, years 9-10).

The revision of the baseline for the second fixed baseline period will take place during 2018 –2019, to come into force at the start of 2020.

#### 4.4.3 Carbon Pools (Step 1.3)

Table 4.4.2 shows which of the six carbon pools considered by the Methodology have been selected for measurement under this project. The project will measure above and below ground tree biomass and dead wood. Other pools are deemed insignificant. The data that support these decisions are presented in Section 5.6.

**Table 4.4.2. Carbon pools included or excluded within the boundary of the proposed project.**

Carbon Pools	Included/Excluded	Justification/Explanation of Choice
Above Ground	Tree: Included	Carbon stock change in this pool is always significant.
	Non-tree: Excluded	This pool will be larger in the with-project case and so it is conservative to omit it. It is also not of significant size.
Below Ground	Included	This pool represents roughly 9.1% of the emission reductions of the project making it significant.
Deadwood	Included	This pool represents about 2.5% of the emission reductions of the project in each forest class, making optional whether to include it.
Harvested Wood Products	Excluded	Not Significant
Litter	Excluded	Not Significant
Soil Organic Carbon	Excluded	Not to be measured in conversions which include perennial crops, as is the case in the current project.

#### 4.4.4 Sources of GHG Emissions other than CO<sub>2</sub> (Step 1.4)

The Methodology only considers non-CO<sub>2</sub> emissions from biomass burning and livestock as sources of GHG emissions. Sources of emissions must be determined for the baseline and project scenarios as well as for leakage prevention activities. Emissions included in the baseline scenario consist of CO<sub>2</sub> emissions from deforestation and degradation. In terms of project activities, the Methodology excludes GHG emissions from fossil fuel consumption. The Methodology excludes emissions from fertilizer use. Table 4.4.3 shows that all non-CO<sub>2</sub> emission sources have been excluded from the project design.

**Table 4.4.3. Sources of GHG included or excluded within the boundary of the project activity.**

Source		Gas	Included?	Justification/Explanation
Baseline Scenario	Biomass Burning	CO <sub>2</sub>	Excluded	Counted as carbon stock change
		CH <sub>4</sub>	Excluded	It is optional to include this source of emissions.
		N <sub>2</sub> O	Excluded	Considered Insignificant according to VCS program update of May 24th, 2010.
	Livestock Emissions	CO <sub>2</sub>	Excluded	Livestock are not found in significant numbers in the baseline or with project scenario, and emissions from them will be smaller in the with-project scenario so it is conservative to omit them
		CH <sub>4</sub>	Excluded	
		N <sub>2</sub> O	Excluded	
Project Scenario	Biomass Burning	CO <sub>2</sub>	Excluded	Counted as carbon stock change
		CH <sub>4</sub>	Included	It is mandatory to include this source if it is significant, so it must be monitored.
		N <sub>2</sub> O	Excluded	Considered Insignificant according to VCS program update of May 24th, 2010.

#### 4.5 Baseline Scenario (G2)

##### 4.5.1 Baseline scenario with respect to climate

The most plausible baseline scenario for the Project Area is accelerating unplanned deforestation from small holder farmers partly mitigated by continued grant-funded conservation activities at declining levels.

In this scenario the Project Area would continue to be managed as it was during 2002 –2010, as an area of Production Forest designated as a Biodiversity Conservation Area by Ministerial Decree. Management practices and outcomes during this historical period are described by Evans *et al.* (2013). This management approach would take place against a background of threats that are similar in nature but greater in intensity compared to the historical period, as demonstrated below.

In this baseline scenario operational funds would continue to derive from short-term grants that are raised by the Wildlife Conservation Society from a variety donors. Management effectiveness would decline under this baseline scenario due to declining availability of grant funds and probably also concomitant declines in political support. The funding history of the site and the reasons for projecting a decline in funding for core protection activities are set out in Annex 3.4. Past levels of funding have been enough to mitigate but not prevent the effects of these drivers on deforestation rates (see Step 2 below, Section 5.3, and Evans *et al.* 2013). Hence a decline in funding will exacerbate the impact of rising threats on rates of deforestation.

In the following sections this baseline scenario is described and justified in detail, including analysis of historical land-use and land-cover change and analysis of the agents, drivers and underlying causes of deforestation. In Section 4.6 the additionality of project activities is demonstrated relative to this baseline scenario, and to a set of other possible baseline scenarios.

#### 4.5.2 Analysis of historical land-use and land-cover change (Step 2)

The analysis is discussed in detail in Annex 3.5, which forms the Methodological Annex required by Section 2.6 of the Methodology. An outline is provided here.

##### 4.5.2.1 Collection of appropriate data sources (Step 2.1)

Medium resolution LANDSAT TM and ETM+ satellite images with a 30x30 m pixel resolution was assembled to map reductions in forest cover (deforestation). The LANDSAT imagery was acquired during the dry season (December-March) to minimize cloud cover. The image dates were chosen from available imagery to best represent the epochs of 1998, 2000, 2002, 2004, 2006, 2008 and 2010. To refine the classification and to improve interpretation of the land cover, two types of radar imagery were analyzed, ALOS PALSAR L-band and ERS C-band. This was used primarily to improve the discrimination between open forests and non-forest areas such as wetlands, grasslands, tarmacked areas, and paddy fields, because open forests can appear similar to non-forest areas on LANDSAT satellite acquired during the dry season. High-resolution 1m2 pixel IKONOS imagery from 2002 was selected for accuracy assessment. The images are listed in Annex 4.5 Table 5 (=Methodology Table 5).

##### 4.5.2.2 Definition of classes of land-use and land-cover (Step 2.2)

The definition of forest is given in Section 4.4 above. Four land use and land cover (LU/LC) classes were identified in the Reference Region (Table 4.5.1). Forest land was stratified in two broad classes having different average carbon densities (following Annex 4.3). These are 1) dense forest and 2) open forest. These two forest strata were mapped through the analysis of remote sensing data.

**Table 4.5.1. List of all land use and land cover classes existing at the project start date within the Reference Region (= Methodology Table 6).**

Class Identifier		Trend in Carbon stock	Presence in^	Baseline activity\$			Description (including criteria for unambiguous boundary definition)
IDcl	Name			LG	FW	CP	
Fd	Dense forest	Constant	RR, LK, PA	n*	n*	n	Areas of land meeting the definition of forest used in the project and meeting the definition of evergreen forest, semi-evergreen forest or bamboo forest used by FCA (2006).
Fo	Open forest	Constant	RR, LK, PA	n*	n*	n	Open forests are areas of land meeting the definition of forest used in the project and meeting the definition used by the FCA (2006) for deciduous forest, other forest (except plantations) and woodland (evergreen or deciduous).
Nf	Non-forest	Constant&	RR, LK, PA	n	n*	n	All areas not meeting the definition of forest (including cropland, grassland, settlements, roads, rubber plantations, etc.)
We	Wetland	Constant	RR, LK, PA	n	n	n	Land not meeting the definition of forest and typically covered by standing or flowing open water during the Cambodian dry season (e.g. rivers, lakes, ponds)

^ RR = Reference Region; LK = Leakage Belt; PA = Project Area

\$ LG = Logging FW = Firewood collection CP = Charcoal production

\* Occurs widely (and often illegally) but at negligible levels with respect to carbon stocks (Annex 3.3)

& Value used is a 20-year time-weighted average and so by definition constant

#### 4.5.2.3 Definition of categories of land-use and land-cover change (Step 2.3)

All LU/LC change categories that could occur in the Project Area and Leakage Belt are shown in Table 4.5.2 and Table 4.5.3. Permanent transitions from non-forest or wetland to either of the forest classes, or transitions between the two forest classes are so rare as to be negligible in the baseline case.

**Table 4.5.2. Potential land-use and land-cover change matrix [= Methodology Table 7.a].**

	IDcl	Initial LU/LC class			
		Dense Forest	Open Forest	Non-forest	Wetland
Final LU/LC Class	Dense Forest	Fd/Fd	x	x	x
	Open Forest	x	Fo/Fo	x	x
	Non-Forest	Fd/Nf	Fo/Nf	Nf/Nf	x
	Wetland	x	x	x	We/We

**Table 4.5.3. List of land-use and land-cover change categories [= Methodology Table 7.b].**

IDct	Initial Name	Trend in Carbon stock	Presence in	Activity in the baseline case^			Final Name	Trend in Carbon stock	Presence in	Activity in the project case^		
				LG	FW	CP				LG	FW	CP
Fd/Nf	Dense Forest	Constant	RR, LK, PA	n*	n*	n	Non-forest	Constant&	RR, LK, PA	n	n*	n
Fo/Nf	Open forest	Constant	RR, LK, PA	n*	n*	n	Non-forest	Constant&	RR, LK, PA	n	n*	n

#### 4.5.2.4 Analysis of historical land-use and land-cover change (Step 2.4)

Fourteen medium resolution LANDSAT TM and ETM+ satellite images between 1998 and 2010 were processed and analyzed, at roughly two year time intervals across the entire Reference Region and some adjacent areas. A multi-date composite stepwise pre-classification approach was adopted to map deforestation and remaining forest cover. Supplementary radar imagery was analyzed for large portions of the reference area in 1998, 2000, 2002, 2006, 2008 and 2010. As required by VM0015, a highly trained specialist led each phase of the interpretation work. All processing steps employed the remote sensing platform ERDAS IMAGINE v8.6 combined with a supervised tree-based classification algorithm. The decision-tree program used is called SEE5. It is a well-known program developed by Rulequest (<http://www.rulequest.com/see5-info.html>) for data mining and pattern recognition, and was coupled with ERDAS IMAGINE with a helpful interface called CART which was developed by EarthSat Corporation for the US Geologic Survey. These automated methods were supplemented by manual interpretation of some more difficult areas. A detailed description of the methods of interpretation can be found in Annex 3.5. Table 4.5.4 shows the quantity of land-use and land cover change in the most recent period (2008 –2009; Methodology Section 2.4.3 product e). Figures 4.5.1–4 form the four key benchmark maps (Methodology Section 2.4.3 products a–d).

**Table 4.5.4. Land-use and Land Cover Change Matrix for Stratum 1 (non ELCs).**

Initial LU/LC Class	Final LU/LC Class	2008 –2009 Activity (ha)
Dense Forest	Dense Forest	305,270
Dense Forest	Non-Forest	15,887
Open Forest	Open Forest	383,394
Open Forest	Non-Forest	9,746
No Data	No Data	4,325
Non-Forest	Non-Forest	194,341
Water	Water	723
	Total Land Area	914,685



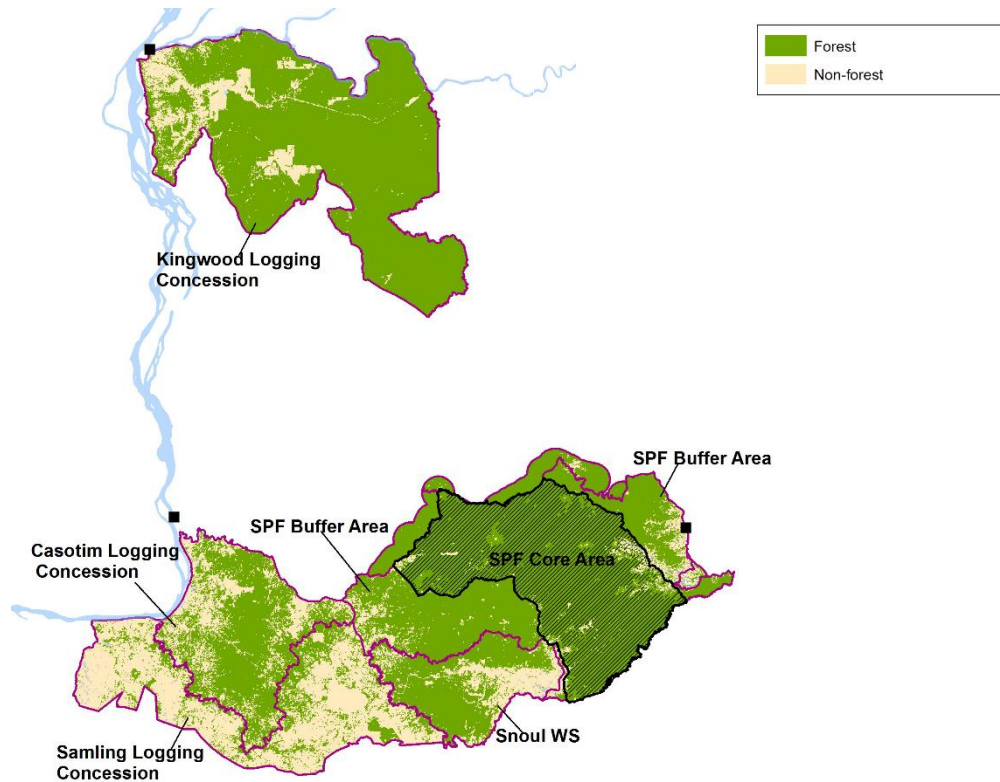


Figure 4.5.1. Forest cover benchmark at start of 2010.

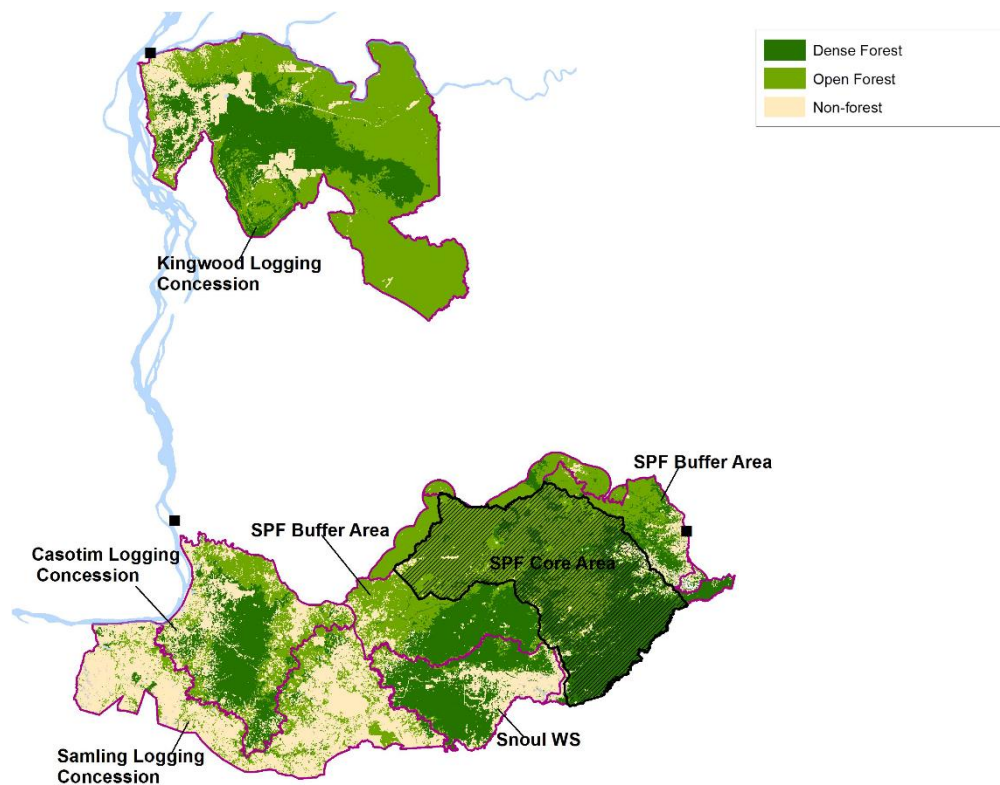


Figure 4.5.2. Forest cover of the reference region by type (2010).

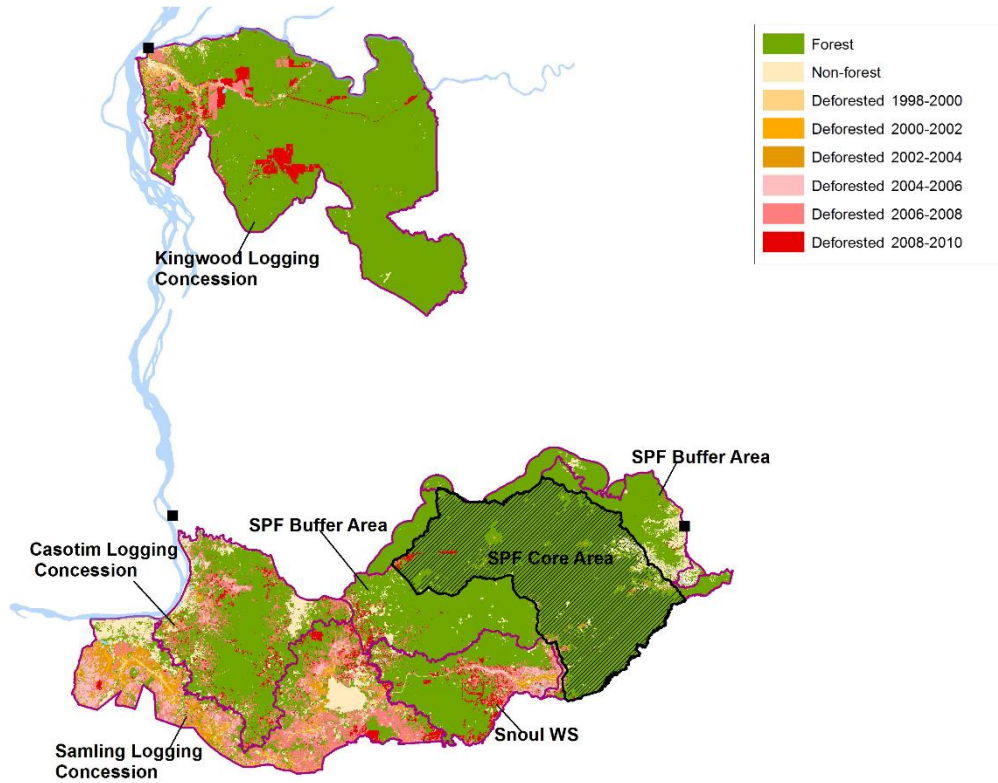


Figure 4.5.3. Deforestation over reference region from 1998 to 2010.

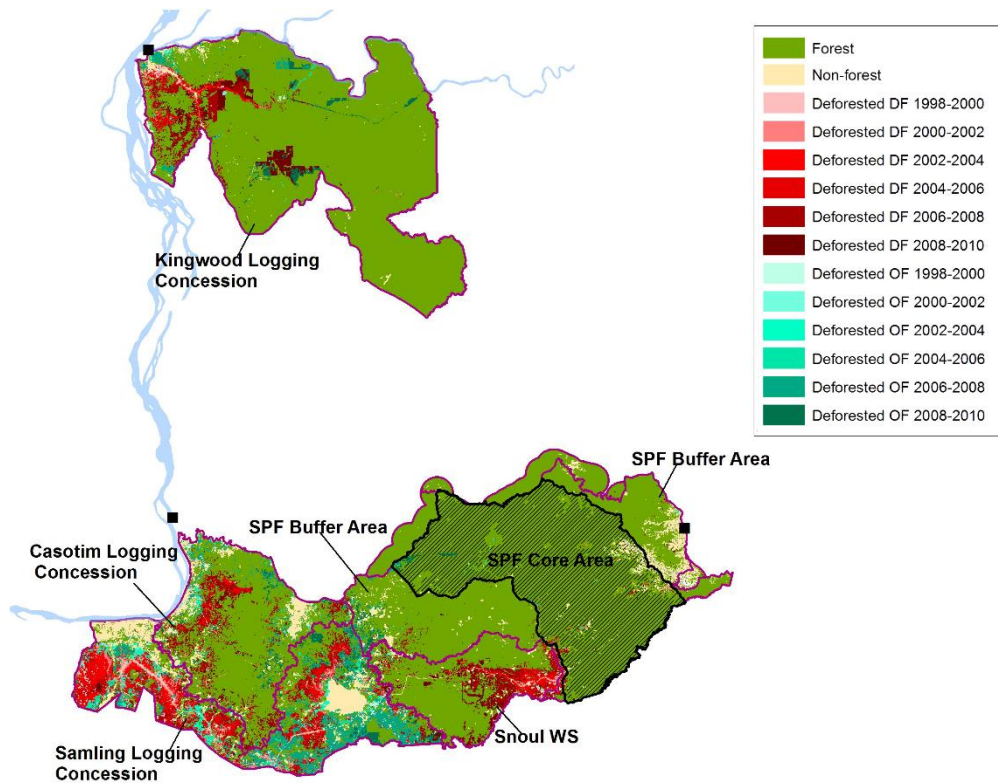


Figure 4.5.4. Deforestation by forest type from 1998 to 2010.

#### 4.5.2.5 Map accuracy assessment (Step 2.5)

The accuracy of the 2002 forest cover map was validated using IKONOS reference imagery that covered an area of 570 km<sup>2</sup> and was acquired on 28 February 2003, i.e. within 12 months of the 2002 LANDSAT imagery (13 February 2002) used for to classify 2002 forest cover. A total of 527 points were sampled within the reference imagery. An error matrix was generated by comparing the actual ground condition as determined by the high resolution imagery with the LANDSAT classification. This matrix was then used to calculate the producer's and user's class accuracies, omission and commission errors, the overall accuracy, po and the kappa coefficient, k.

The Producer's accuracy for the dense, and open forest classes was 91% and 94%, respectively. The producer's accuracy for the non-forest class was 94%. The user's accuracy for the evergreen, and deciduous forest classes was 93% and 94%, respectively. The producer's accuracy for the non-forest class was 90%. The overall accuracy for the 2002 forest/non-forest classification is po=93% with kappa statistics of k=0.88. The overall misclassification rate was 0.0683 (36/527). The overall omission error was 0.0683. The overall commission error was 0.0341. The classification accuracies for other years are expected to be as good as for 2002, given that the same sensors and processing methods were employed across each classification.

#### 4.5.2.6 Preparation of the Methodological Annex (Step 2.6)

Annex 3.5 forms the Methodological Annex.

### 4.5.3 Analysis of the causes of deforestation and their likely future development (Step 3)

#### 4.5.3.1 Identification of Agents of Deforestation (Step 3.1)

Two main groups of agents of deforestation have been identified in the Reference Region, as discussed below and summarized in Table 4.5.5. Insignificant agents/causes are listed in the following section.

**Table 4.5.5. Summary of the main agents of deforestation in the Reference Region.**

Agent group	Type of deforestation	Stratum (see Annex 3.1)	Occurs in Project Area	Comments
Smallholder farmers	Unplanned	1 (Non-ELC)	Yes	Active throughout the historical reference period
Economic Land Concessions	Planned	2 (ELC)	No	Very limited prior to 2008; greatly increased through 2008 –2012

Unplanned deforestation in the reference area during the historical reference period has been dominated by one main agent group, smallholder farmers. As defined here smallholder farmers are a broad group comprising people of any ethnicity (including Khmer, Cham and various indigenous groups) who plant annual or perennial crops for consumption or sale on a family scale (that is, on holdings of typically <20 ha, often <5 ha but occasionally up to 50 ha and using either family labor or a small number of hired laborers).

The remainder of deforestation in the Reference Region is attributable to planned deforestation conducted by large agro-industrial concessions. Such concessions are generically called Economic Land Concessions (ELCs) and most are governed by the Sub-decree on Economic Land Concessions (#146, 2005<sup>18</sup>). They can be issued to domestic or foreign companies and can legally be of any size up to 10,000 ha. In practice they are typically larger than 1000 ha. One of the key differences between smallholders and ELCS, which may grow the same crops, is that the smallholder farmers typically require no permits from central government, and so their expansion is consistent with the VCS concept of 'unplanned deforestation'.

ELCs do not occur in the Project Area but have progressively arisen elsewhere in the Reference Region during the historical period, mainly since 2008. They therefore need to be separated from the analysis

<sup>18</sup> <http://www.maff.gov.kh/elc/laws/sub-decree.html> <downloaded 18/2/2011>

of unplanned deforestation. Hence the Reference Region is divided into two strata (ELC and non ELC; see Annex 3.1) whose boundaries vary dynamically over time as more ELCs are issued.

### Smallholder farmers

Most deforestation for smallholder farmers is conducted by the farmers themselves, or by somebody intending to sell the land to farmers as soon as possible. The sequence of deforestation sometimes begins with middlemen clearing land for speculation and later onward sale. However, the proportion of land in this idle state at any one time is quite small, and it is only a transitional stage as almost all such areas become actively farmed within a few years at most. Hence whatever the initial sequence of events, the primary driver for this clearance is the demand from smallholder farmers for agricultural land. Long-term farming is the end-point in most locations; for example there is no significant observed trend of land degradation leading to abandonment and conversion to pasture; and no significant urbanization.

In the Reference Region smallholder farmers typically cultivate a high diversity of crop species at the scale of individual holdings (e.g. ICC 2003, Ironside 2004, Scally *et al.* 2007), although only a few crops are dominant across the landscape (e.g. Pollard and Evans 2009). Common staples for family consumption include paddy and hill-rice, corn, bananas and traditional cassava varieties. Dominant cash crops vary as farmers respond to varying market demand – for example in the Project Zone cashew became increasingly popular from about 2002 onwards, soy was briefly popular around 2004–2005 and high-yielding cassava varieties have been adopted widely since 2007.

Rubber is planted by some smallholders, but due to its long non-productive period prior to maturity is mainly the domain of large companies or investors and so is associated with planned deforestation. The exact mix of crops grown in a given location is determined by economic factors (such as market access and demand), soil/climate suitability and personal factors such as access to credit, knowledge and planting materials.

The population of the smallholder farmer agent group has increased in the Project Area and the remainder of the Reference Region over the course of the historical reference period (Table 4.5.6) and is predicted to increase further over the first fixed baseline period (Annex 3.2).

**Table 4.5.6. Observed population trends in each forest management unit of the Reference Region.**

Forest Management Unit	Population Growth						
	98	02	08	Net 98–02	Annual % 98–02	Net 02–08	Annual % 02–08
Snuol Wildlife Sanctuary	2,908	5,063	9,162	2,155	18.53%	4,099	13.49%
Seima Protection Forest*	14,999	18,341	25,628	3,342	5.57%	7,287	6.62%
Samling Logging Concession	68,576	79,488	105,819	10,912	3.98%	26,331	5.52%
Kingwood Logging Concession	29,907	34,027	36,380	4,120	3.44%	2,353	1.15%
Casotim Logging Concession	36,082	38,991	38,436	2,909	2.02%	(555)	-0.24%
Grand Total	152,472	175,910	215,425	23,438	3.84%	39,515	3.74%

Source: 1998 – National Census; 2002 & 2008 – Commune Database

\* Includes most but not all villages using the Project Area (some are cantered in adjacent units), some in Buffer Zones.

Overall growth has been high, with a sustained average of just under 4% per year during both the earlier and later parts of the historical reference period. The rank order of rates across the sites was consistent between the two time periods, with Snuol showing the highest rates in both periods and Casotim the lowest. This consistency over time and space shows that these are robust trends that are likely to be sustained into the future. Increases are caused by intrinsic growth (birth minus deaths) and net migration from other parts of Cambodia.

The national average population growth rate during 1998–2004 was 1.81% (NIH 2004) and since it can be assumed to be largely unaffected by net migration, it can be assumed to represent the national average intrinsic rate of growth. Since social conditions are broadly similar to the rest of Cambodia a



similar figure probably applies for the Reference Region and so one can assume that any growth greater than 1.81% was due to migration from elsewhere. This suggests that most parts of the Reference Region appear to have experienced moderately high and sustained rates of net in-migration throughout the historical period.

All unplanned deforestation in the historical reference period in Stratum 1 is attributable to this group of agents, with deforestation by other agents being negligible. This is evident from an inspection of the location and pattern of mapped deforestation during the period (see Step 2 above), combined with published accounts, extensive field inspections (including two overflights) and consultations with a range of key informants. Staff members from FA and WCS have been active widely across the reference area since 2000 and so have first-hand knowledge for almost the entire period in question.

### ELCs

Data on concession boundaries were compiled within the reference area from a variety of sources (data available to the auditor on request). The extent of issued ELCs in the Reference Region has increased significantly during the historical reference period, and is known to have increased further during the first three years of the fixed baseline period. The extent of land deforested within these issued concessions has also increased. Recent trends in the landscape and nationally suggest that further ELCs will probably be issued, and deforestation will continue in those that have been issued. However, considering the strict VCS rules on estimation of planned deforestation, the data available do not allow prediction of the future area to be deforested as a result of the issuance of ELCs. In any case, as long as ELCs are not issued in the Project Area there is no need to make quantitative predictions.

ELCS established to date have mostly been observed to begin operations within 0–2 years of receiving legal approval and then to begin clearance of existing natural vegetation in the allocated area, visible on satellite images as large homogeneous blocks with straight-line boundaries. The intended crops are not always stated in available documentation and cannot be determined from the available imagery, but from field observations and other data rubber is evidently one of the preferred ELC crops in the Reference Region. This may be inter-cropped with e.g. cassava in the early years. Other likely crops include sugar cane and jatropha at some locations.

Table 4.5.7 summarizes the deforestation attributed to each of the two agent groups during the historical period, derived from the historical analysis of land-use change described above.

**Table 4.5.7. Deforestation attributable to each of the main groups of agents.**

	Deforestation (ha) by Period					
Agent or Group	1998–1999	2000 –2001	2002 –2003	2004–2005	2006–2007	2008–2009
<b>Smallholder Farmers</b>						
Extent of forest at start of period	933,598	928,404	917,658	898,255	843,139	715,296
Deforestation during period	5,194	10,747	19,403	27,413	80,622	25,633
Cumulative deforestation	5,194	15,941	35,344	62,757	143,379	169,012
<b>Economic Land Concessions</b>						
Extent of forest at start of period	0	0	0	0	27,703	71,436
Deforestation during period	0	0	0	0	3,488	11,800
Cumulative deforestation	0	0	0	0	3,488	15,288
<b>All Agents</b>						
Extent of forest at start of period	933,598	928,404	917,658	898,255	870,841	786,732
Deforestation during period	5,194	10,747	19,403	27,413	84,110	37,433
Cumulative deforestation	5,194	15,941	35,344	62,757	146,867	184,300

#### Agents of deforestation found to be insignificant

Compared to smallholder farmers and ELCs, other agent groups were absent or had a negligible effect on forest cover in this landscape during the historical period.

Large logging concessions were active up to 2000 and directly caused extensive forest degradation in some locations, but relatively little deforestation as defined by VCS. Most of the direct deforestation caused by logging concessions was through road construction and creation of logging camps, which represent a negligible part of the overall forest loss during the period. No such activity happened after about 2000, due to a national moratorium on the concessions.

Indirect deforestation caused by logging concessions is mostly driven by their influence on factors such as accessibility (again, road construction) and population movements (settlements around active logging camps). The infrastructure and new settlements created prior to 1998 continued to have an effect through the historical reference period, as analyzed below.

Other forms of logging vary in intensity across the Reference Region and cause widespread degradation in some poorly protected areas but are not severe enough to qualify as deforestation (as defined here) on a significant scale.

Deforestation for mining was negligible during the historical baseline period. Many licenses have been issued for mineral exploration, notably for gold and bauxite (e.g. maps in Pollard and Evans 2009, Pollard *et al.* 2010 and updated information available to the auditor on request). These do not provide a right to exploit the resources found, and there is no evidence so far that they are associated with significant deforestation in the Reference Region.

Activities are mainly limited to exploratory drilling of trenches and small pits. There is a theoretical possibility that one or more of these licenses may eventually lead to an exploitation permit being issued for mine development. This would result in a centrally-issued license for planned deforestation, but the location and extent cannot be predicted at this stage. It was conservatively assumed that no such deforestation would occur in the Project Area in the baseline scenario during the first fixed baseline period and so no credits can be claimed for avoiding it. Nonetheless the slim risk that it may occur is accounted for in the Risk Buffer analysis.

Deforestation for hydropower schemes and expansion of pastureland was zero or negligible during the historical baseline period and is not expected to increase during the first fixed baseline period. There are no known hydropower schemes under active development in the Reference Region.

#### *4.5.3.2 Identification of deforestation drivers (Step 3.2)*

##### Driver Variables Explaining Quantity of Deforestation

The quantity of deforestation in the landscape is partly determined by various proximate driver variables within the landscape, which are in turn influenced by the underlying causes discussed in the next section

Table 4.5.8 summarizes key proximate driver variables which affect the rate of deforestation in the Reference Region. This list is based on unpublished statistical analyses supplemented by other sources. Some of the drivers can be partly mitigated by project activities, within the Project Area and Leakage Belt. The table below should be read in conjunction with the list of underlying drivers provided later in this section. No statistical model was developed for planned deforestation since no quantitative projection is required, so the conclusions in Table 4.5.8 in this case are based on qualitative sources and are provided mainly for illustration.

**Table 4.5.8. Proximate drivers of the rate of deforestation in the Reference Region as a whole.**

Factor	Relevance for smallholder farmers	Relevance for ELC	Likely trend in first fixed baseline period	Project measures to control drivers
Population size/density	More families interested in farm expansion; proxy for higher local market demand and reduced costs through access to local markets	Unknown. Implies better accessibility, available labor and lower input costs. It also implies higher risk of land conflict.	Likely to increase across the region, with rates varying from place to place.	Deterring in-migration. Decouple population density from forest pressure by facilitating move to off-farm/off-site livelihoods
Availability of fertile land to deforest	Areas with extensive fertile land are attractive	Companies are likely to prefer areas with a high % of forest, since they need large blocks of land for economies of scale	Likely to decline due to progressive forest loss and exclusion from land under ELCs but remain high relative to demand for land	No action possible.
Access to external markets	Regions closer to large centers have better market access and so higher returns of farming	Regions closer to large centers have better market access and so higher returns of farming	Increasing access as regional transport networks and infrastructure expand	No action possible.
Road density	Increases accessibility and lowers input costs; also a proxy for general levels of economic development	Increased accessibility and lowers input costs; also a proxy for general levels of economic development	Likely to increase significantly	Prevent the creation of unnecessary secondary roads in areas with high carbon density
Proportion of the region under effective protection	Deters deforestation	Reduces likelihood of permits being issued	Likely to decrease in the absence of REDD funding; government policies promote the region as a 'development pole'	Increase the extent of effectively protected areas; promote application of current environmental protection policies

*Driver variables explaining the location of deforestation*

The variation in the location of recent unplanned deforestation is evidently not random across the Reference Region. It is concentrated in certain areas from one time period to the next. Preliminary information (inspection of satellite images, field observations, law enforcement records, discussion with local farmers and development specialists and inspection of the broader literature on this topic) suggested that the following factors were likely to include most of the important drivers of the location of deforestation: accessibility by road, proximity to markets, proximity to settlements and/or the edges of recent clearance, soil fertility, slope and elevation, and protection status.

Table 4.5.9 summarizes the most important factors influencing the two main agents of deforestation and the likely trends in the drivers over time. For unplanned deforestation these conclusions are based on a formal statistical analysis (Annex 4.2). In general the importance of these variables can be explained using the framework of the Theory of Land Rents because they generally correlate with both the market value of the land and its productive potential. Other factors analyzed, such as soil fertility and slope, were not selected as significant additional predictors in this analysis, which may be because they correlate with other factors (e.g. vegetation, elevation or location of roads) or because they do not vary enough in this landscape to have a measurable additional influence on land quality. No statistical model was developed for planned deforestation since no quantitative projection is required, so the conclusions in Table 4.5.9 in this case are based on qualitative sources and are provided mainly for illustration.

Table 4.5.9. Factors correlated with location of deforestation during the historical reference period.

Factor	Relevance for small holders	Relevance for ELCs	Likely trend in first baseline period	Project measures to control drivers
Distance to recently deforested land	Economies of scale, minimized travel cost, preference to live near others, proven fertility of area	Probably not relevant (may even be a negative factor)	Increased relative risk - Declining distance to nearest recent deforestation as deforestation expands according to modelled trends	Reduce the total extent of deforestation and limit it to near existing locations where possible; decouple risk from this variable by improved demarcation, patrolling and community acceptance of forest boundaries
Travel time to nearest district town and distance to Mekong River	Proximity to markets/suppliers	Proximity to markets/ suppliers	Increased relative risk - reducing travel times to remote areas as road network improves	Prevent the creation/upgrading of unnecessary secondary roads; decouple risk from this variable by increased controls on freedom of movement along forest roads through better law enforcement and community-based management
Protection status (combination of legal status and level of investment/ technical support)	Ease of deforesting without intervention of the authorities	Difficulty of obtaining permits; risk of public criticism	Increased relative risk - flat or declining effectiveness, due to increasingly constrained funding opportunities	Enhance protection status and effectiveness
Vegetation type (dense vs. open forest)	Presumably an indicator of better soils for farming	Presumably an indicator of better soils for farming	No change	Not applicable
Elevation	Steep slopes are impractical to farm and often of lower fertility	Steep slopes are impractical to farm and often of lower fertility	No change	Not applicable

#### 4.5.3.3 Identification of underlying causes of deforestation (Step 3.3)

As elsewhere in the world the fundamental driving force for deforestation in the reference area by both smallholder farmers and large economic concessions is the general aspiration of people to improve their material standard of living. For the poorest this means attaining food security, for the less poor, middle-income and rich smallholders it means seeking increasing levels of wealth and for companies it means achieving a strong return on investments. Deforestation results when it is perceived as the easiest way of fulfilling these aspirations in a given location. Project interventions are aimed both at reducing the factors that encourage deforestation whilst strengthening some of the opportunities for people to follow other paths for improving their well-being.

In the Reference Region, as in most of Cambodia, agriculture is currently a dominant source of income, and one of a number of sectors where smallholders and large companies seek income growth. Several factors encourage a focus on agriculture rather than other sectors, in particular the rising prices of agricultural products, limited rural education levels that make it difficult to enter other sectors and the relatively limited availability of employment in other sectors in Cambodia. Within the agricultural sector, growth can come about through expansion or intensification. While intensification does not directly cause deforestation, expansion usually does (since most unfarmed land with agronomic potential in Cambodia is still forested). Several factors encourage people to expand the area of land they farm rather than intensifying or concentrating on other economic activities. Five of the dominant underlying factors are listed in Table 4.5.10. For some of these underlying drivers the trends are predicted to be either flat or rising. It should be noted that flat levels of underlying drivers (e.g. governance



effectiveness) combined with rising levels of proximate drivers (e.g. human population size) still combine to give a rising level of threat of deforestation.

**Table 4.5.10. Underlying causes encouraging expansion of agriculture into forest.**

Factor	Relevance for small holders	Relevance for ELCs	Likely trend in first baseline period	Project measures to control drivers
Barriers to farm intensification or moving into other sectors	y	y	Flat or rising (and hence an increasing driver)	Reduce barriers to intensification; promote access to other sectors (alternative livelihoods)
Weak governance and poor funding to enforce laws protecting forest	y		Rising (and hence an increasing driver)	Increase funding, strengthen governance
Limited ability of local stakeholders who value forest to prevent clearance	y	y	Flat, currently very low (and hence a steady driver)	Empower community approaches and increase formal land tenure
Low perceived value of standing forest by many stakeholders (costs of clearance externalized)	y	y	Flat currently very low (and hence a steady driver)	Increase value through environmental payments (REDD+ etc.)
High and rising prices for agricultural products, linked to national, regional and global demand trends	y	y	Rising (and hence an increasing driver)	Outside scope of project

#### 4.5.3.4 Analysis of chain of events leading to deforestation (Step 3.4)

Based on an analysis of the historical relationship between the main agent groups, key drivers and underlying causes, it has been found that the following two sequences of causative steps have typically led to and will lead to deforestation.

##### 1. Sequence for smallholder farmers:

- Small-holder farmers wish to achieve food security and improve their levels of income.
- Income growth is mainly dependent on agriculture as opportunities to move into other sectors are often limited.
- Opportunities to intensify agriculture are often limited. By contrast, expansion of farmland into forest areas is relatively easy under current conditions, despite the law.
- Weak forest governance, low investment in forest protection, poor recognition of non-monetary forest values, and limited opportunities for current forest-users to protect their resources all facilitate expansion of farmland into forest areas.
- This process is accelerated by rising commodity prices, improving road networks, rising populations and other economic development factors.

##### 2. Sequence for ELCs:

- Companies and investors increasingly wish to invest in profitable ventures in Cambodia.
- Rising regional and global demand creates strong markets for crops.
- Good soils, climate and access make the Reference Region potentially attractive and so companies propose projects.
- Rising availability of foreign direct investment and pro-business government policies interact with weak forest governance, low investment in forest protection, poor recognition of non-monetary forest values, and limited opportunities for current forest-users to protect their resources to facilitate issuance of concessions in forest areas.

#### 4.5.3.5 Deforestation analysis conclusion (Step 3.5)

Conclusive evidence has been presented above that many of the direct and underlying drivers of deforestation in the Reference Region (and specifically in the Project Area) are expected to increase

during the project crediting period compared to the historical reference period with respect to both smallholder farmers and ELCs, and, while some may remain stable none are likely to decline. This can be considered conclusive evidence that deforestation rates rise will across the Reference Region, and within the Project Area, through the first project crediting period. This provides a basis for the quantitative projection of the most credible baseline scenario in Section 5.

#### **4.5.4 Baseline scenario with respect to biodiversity**

This section describes the main known threats to biodiversity in the Project Zone. Combined with the business-as-usual levels of conservation action and the expected trends in drivers (Section G2.1). A without project scenario can be developed for biodiversity. Quantitative wildlife population trends are being developed and remain imprecise. Thus they cannot be modelled with current data and the scenario is qualitative. The drivers of threats to biodiversity overlap widely with those for deforestation so those are not repeated here; some additional drivers are highlighted where relevant.

##### *4.5.4.1 Threats to biodiversity*

The main threats to biodiversity in the Project Zone are similar to those familiar to conservationists throughout tropical Asia (e.g. Corlett 2009), most notably deforestation, illegal logging, unsustainable fishing and hunting. These threats were first documented for the site in 2000 (Walston *et al.* 2001) and have been systematically documented since 2005, providing an indication of historical baseline trends and informing predictions. The threats are grouped below into three major, widespread threats (hunting, habitat loss and selective logging/overharvest of NTFPs) which affect many species and are given full treatment in the project conceptual model (Section 2.2) plus several other threats which are less severe or affect only a subset of species. These smaller threats are addressed through specific actions in the workplan but not shown explicitly in the conceptual model, to improve clarity.

##### Major, widespread threats affecting many species

###### i) Hunting

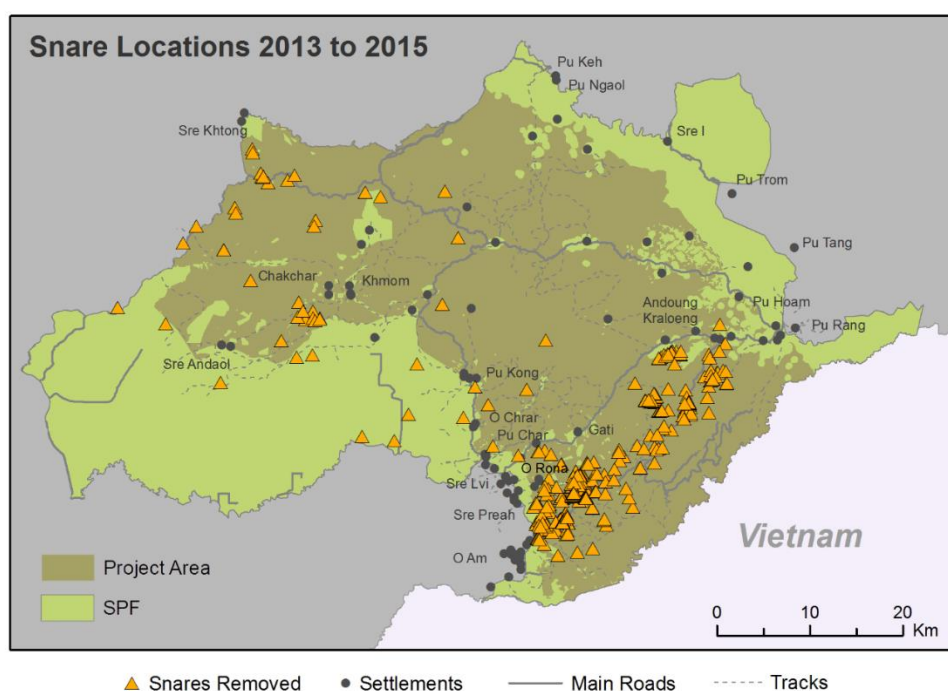
The most significant threat to key wildlife populations is over-hunting. This has already probably long ago eliminated several species from the Project Zone (e.g. Kouprey *Bos sauvelii* and Wild Water Buffalo *Bubalus arnee*<sup>19</sup>), and over recent decades has dramatically reduced populations of ungulates, Tigers, pangolins, turtles and other taxa. Tigers are now believed to have been extirpated from Mondulkiri Province as a whole, due to direct hunting and loss of prey species through hunting (O'Kelly *et al.* 2012). Hunting in SPF involves guns, snares, traps, dogs, poison baits and many other methods, targeting a wide range of species (Walston *et al.* 2001, Lynam and Men Soriyun 2004, Drury 2005, FAWCS unpublished law enforcement patrol monitoring data). Most hunting with serious conservation impacts is driven by trade and supplies markets locally and internationally with bushmeat, traditional medicinal products and trophies (Lynam and Men Soriyun 2004). Regional demand for wildlife products is rapidly increasing.

Most forms of hunting are difficult to detect, map or quantify (O'Kelly 2014). However, snares are one of the most prevalent methods and probably provide a useful proxy for hunting pressure in general. Figure 4.5.5 shows that the snaring pressure is very high. There are many records of snare lines of more than 100 snares, almost 13,000 snares were removed during the historic period, suspected to be a small proportion of the total in use. These snares capture large numbers of terrestrial mammals and birds from the size of mouse deer, civets and junglefowl up to Sambar, wild cattle, bears and big cats.

When compared to maps of patrol effort (WCS/FA unpublished data) it is evident that:

- a) Snaring (and hence other forms of hunting) are likely to be under-recorded in the north east and west of the KSWS due to lower patrol effort.
- b) The highest current levels of snaring (and hence presumably other forms of hunting too) appear to occur in those less heavily patrolled areas which are also more accessible from areas of dense human settlement.

<sup>19</sup> There are no confirmed records of these species from the site but its habitat and location make it very likely they were once present.



**Figure 4.5.5. Snare lines found and removed in and around KWS from 2013–2015.**

Comparison with similar areas elsewhere in Cambodia and adjacent countries shows that the level of enforcement effort achieved to date has partially reduced hunting compared to a 'no protection' scenario but has not brought it fully under control. Despite active enforcement, large numbers of snares continue to be found whenever systematic searches are made of vulnerable areas. Prices for the target species have increased dramatically in recent years, with increases ranging from 200 –1000% over a recent six year period (Table 4.5.11), as demand for wildlife and wildlife parts has grown in Cambodia and more widely across Asia, especially in China.

Apart from high snaring levels, recent examples of the continuing high level of threat include reports of over-hunting of Pygmy Loris (Starr *et al.* 2011), the documented killing of at least one Elephant and several wild cattle during 2008–2011 and frequent reports of gunshots heard at night during wildlife monitoring surveys.

**Table 4.5.11. Trends in prices of selected wildlife species in the Project Zone.**

Species	US Dollars/kg	US Dollars/kg
	2003	2009
Banteng	\$0.75	\$3.75
Sambar	\$1.00	\$3.75
Gaur	\$1.00	\$3.75
Pangolin	\$16.25	\$50.00
Wild Pig	\$0.60	\$3.75
Muntjac	\$0.75	\$3.75
Small Turtle	\$0.50	\$1.25
Monitor Lizard	\$1.25	\$2.50
Soft-shelled Turtle	\$1.50	\$10.00
Frog	\$0.50	\$2.50
Porcupine	\$0.50	\$5.00

Source: FAWCS unpublished surveys

Given these data, the without-project scenario is that snaring and other forms of hunting would greatly increase over large parts of the reserve, gradually overwhelming current enforcement efforts, due to increase in human pressure, accessibility and other factors. The outcome will eventually be the elimination of most large-bodied vertebrate species except for a few highly resilient species of low conservation concern, as has happened in many other forests in Indochina.

## ii) Habitat loss

Deforestation and other forms of habitat conversion have severe impacts on biodiversity. This usually leads to the total destruction of natural habitats and their replacement with farmland or residential areas. These habitats typically support very few of the species present in the original forest, and almost none of those are currently of conservation significance in Indochina. Some of the KSWs's threatened species (e.g. Eld's Deer, Asian Elephant, Green Peafowl) occasionally visit remote patches of agriculture in predominantly forest areas (Sally *et al.* 2007), but they do not occur regularly in areas dominated by such habitats (WCS/FA 2006a). Detailed data on deforestation trends are presented earlier in this section. Deforestation is expected to affect all main forest types, in particular the lower altitude evergreen, semi-evergreen and bamboo forests near to National Route 76. In addition to gross loss of habitat, fragmentation will result in smaller forest patches with a higher edge to core ratio. Such patches are typically less suitable for wide-ranging or forest interior species, many of which are among the most threatened in the landscape, and smaller patches are also more vulnerable to pressures such as logging, hunting and invasive alien species, leading to synergistic impacts.

Non-forested habitats are also at risk. In particular, lowland grasslands/wetlands are being converted to agriculture, mainly rice paddy. Since 2000 the loss of several important small wetlands in the reserve due to this cause has been documented (e.g. Trapeang Ronheav, Trapeang Khlong and Sre Traw). This is difficult to detect using remote sensing and is of course not represented in the deforestation models, but the rate of loss is believed to be higher than for deforestation since these rare alluvial soils are preferred for rice production and people will travel across several kilometers of forest to access wetland sites. The relative biodiversity impact may also be higher than for deforestation, since many of the more threatened species are highly dependent on these rare habitats including Giant and White-shouldered Ibis, Eld's Deer, White-winged Duck, Sarus Crane and Lesser Adjutant. In the without-project scenario a high proportion of the lowland grasslands and wetlands in the KSWs is likely to be converted in this way.

The distinctive upland grasslands of the Sen Monorom plateau are rapidly being converted to tree crops and cassava. In the without-project scenario it is predicted that a high proportion of this habitat will be converted, since it typically lacks even the weak protection afforded to forest and is seen as 'unused land' ripe for development. The direct biodiversity impacts of this are unknown. They may not be especially severe for threatened and endemic birds and mammals, since these habitats are relatively little used by such species (Walston *et al.* 2001, Sok Ko *et al.* 2004), but the value of these grasslands for other taxa such as amphibians, plants and invertebrates remains unstudied. Furthermore, the increased human activity in the grasslands will result in pressure from hunting, logging and fire in adjacent forest habitats.

An indirect impact of deforestation will be an increase in human-wildlife conflict, especially with elephants. Sally *et al.* (2007) found that although many human communities live in the forest, levels of human-wildlife conflict remained low compared to many other sites in tropical Asia. Since that time however there has been some increase in problems with human-elephant conflict near O Am village, linked to significant forest loss and planting of crops in former elephant range areas. This may lead to retaliatory killing of elephants, or increased exposure to poachers. The without project scenario predicts further encroachment leading to increased raiding of crops by elephants, and increased conflict with farmers, potentially leading to more elephant killings and declines in elephant numbers.

## iii) Selective logging and over-harvest of plant NTFPs

Unsustainable illegal logging of rare luxury class timber species takes place in almost any dense forest area across the Project Zone (see Annex 3.3), and indeed throughout Cambodia where such species persist. Several other plant resources are over-harvested as well, including the large bamboo species *russei* thngor (Mann Mouy 2010), several species of rattan and trees with valuable fruit such as *Strychnos nux-vomica* (sleng) and *Sterculia lychnophora* (samraong). This is both a direct threat to the



species concerned (some are Red Listed e.g. *Azelia xylocarpa*, *Dalbergia bariensis* and *D. cochinchinensis*<sup>20</sup> are all IUCN Endangered) and an indirect threat through degradation of habitat (e.g. loss of nest sites, fruit sources and the undisturbed shady understory required by certain forest species). Project observations suggest that in the past logging has been reduced somewhat in areas that are patrolled regularly. However, without a sharp increase in patrol effort, coverage and effectiveness, illegal logging will likely continue to be a serious threat in all parts of the reserve, even given current levels of the underlying drivers.

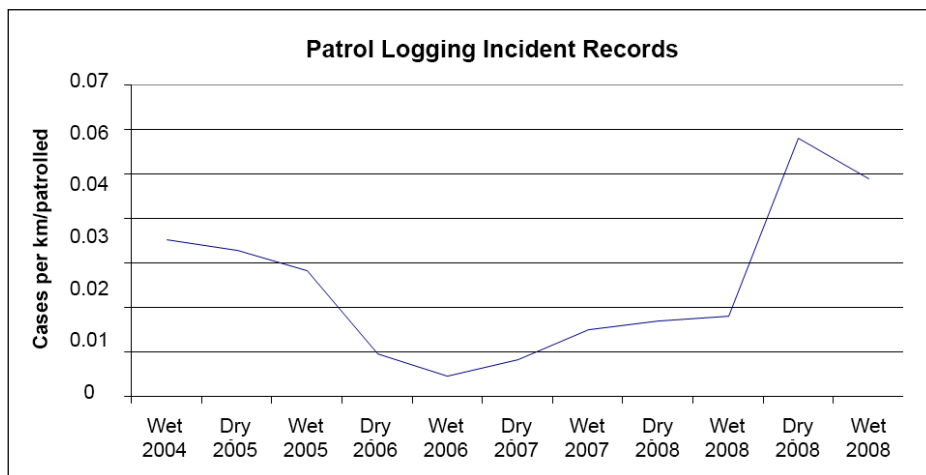


Figure 4.5.6. Trend in detection of logging cases (cases / km patrolled).

Figure 4.5.6 shows the increase in incidences of illegal logging as recorded by patrol teams. These suggest a decline during 2006 –2007 followed by a more recent increase. Ranger-based evidence is prone to many confounding factors but other evidence at the site points in the same direction, including the perceptions of law enforcement officers, observations by biological monitoring staff and market information. Staff believe that logging intensity declined in the early years of the project due to better law enforcement, but rising pressures have caused the intensity to rise again. Prices for the target species have increased dramatically in recent years, with increases ranging from 200 –600% over a recent four year period (Table 4.5.12), as demand has grown in Cambodia and Vietnam. The Cambodian economy continues to grow, and demand for furniture made from luxury wood is increasing, driving further increases in the levels of illegal logging. Hence the without-project scenario predicts that this increasing trend will continue.

Table 4.5.12. Trends in timber prices in the Project Zone.

Local Name	Scientific Name	2005	2009
		Price \$/m <sup>3</sup>	Price \$/m <sup>3</sup>
Beng	<i>Azelia cochinchinensis</i>	\$120.00	\$800.00
Neangnoun	<i>Dalbergia bariensis</i>	\$180.00	\$1,000.00
Koki	<i>Hopea odorata</i>	\$90.00	\$250.00
Choeutealtoeuk	<i>Dipterocarpus alatus</i>	\$80.00	\$250.00
Thnung	<i>Pterocarpus pedatus</i>	\$150.00	\$500.00
KraKah	<i>Sindora cochinchinensis</i>	\$90.00	\$250.00
SoKroam	<i>Xylia dolabriformis</i>	\$80.00	\$250.00
SroLao	<i>Lagerstroemia sp</i>	\$80.00	\$250.00
Doungcheam	<i>Tarrietia javanica</i>	\$100.00	\$250.00

Source: FAWCS unpublished data

<sup>20</sup> The Khmer names are beng, neang noun and kranhoung respectively.

Threats which are currently thought to be less severe or affect only a subset of species

i) Incidental disturbance

Incidental disturbance is quite high in many sectors of the reserve, due to the large number of people in the forest (conducting both legal and illegal activities) and their tendency to concentrate at scarce water sources which are also critical limiting resources for many wildlife species. This is thought to reduce the suitability of the habitat for shy species such as large carnivores and wild cattle (e.g. U. Karanth pers. comm.). This threat is believed to be increasing due to rising human populations using the Project Zone.

ii) Specific threats to vultures

The two Critically Endangered vultures face several very specific threats across their Cambodian range (Clements *et al.*, 2012). As an indirect impact of over-hunting of wild ungulates they are threatened by scarcity of naturally occurring carrion. As a result of that, most surviving populations in Indochina are now dependent on dying or specially provided domestic animals, and so changes in animal husbandry practices are also significant potential indirect threats. Another indirect threat to vultures is that they often eat poisoned animal carcasses (e.g. poisoned stray dogs, or incidental casualties from fishing with poison; Clements *et al.*, 2012). In the non-project scenario all three of these threats will worsen and vultures will almost certainly be lost from the area.

iii) Pollution

Water pollution is not currently known to be a problem in most of the Project Zone, but data are lacking. It may emerge as a problem, now or in the future, in the intensively farmed areas within and adjacent to Snoul Wildlife Sanctuary. Existing economic land concessions upstream of the KSWs may also be causing pollution unnoticed. In the without-project scenario it is predicted that levels of waterborne pollution will increase greatly, due to activities by small holders and concessionaires and upstream actors, and that this will have significant impacts on many aquatic species, most notably top predators such as otters, fish-eagles and predatory fish, as well as terrestrial species that drink from affected sources.

iv) Invasive species

Invasive species have not been identified as a threat to date, presumably because the area is remote and habitats are largely intact. However, in the without project scenario increased infrastructure development, human access, habitat degradation, fragmentation and other factors will expose the site to potentially damaging invasives. For example, Giant Mimosa pigra is a serious problem in the floodplains of the Tonle Sap Basin (van Zalinge 2006), has invaded remote areas of the Monduliri Protected Forest along river corridors (T. Evans pers. obs.), and requires expensive control operations in nearby Cat Tien National Park, Vietnam (G. Pollett, pers. comm.). The extent of this threat is hard to predict but it is likely to be significant, and to reduce habitat availability for riverine and static wetland species.

Conclusion - long term prospects for biodiversity in the without-project scenario

The above analysis indicates a worrying long-term future for biodiversity at the site. Threats are already severe and a worsening situation is predicted where threats continue to increase and current levels of conservation action cannot ultimately keep pace. This will lead to increased over-exploitation of forest products, wildlife and fish, increasing levels of deforestation, conversion of non-forest habitats, habitat degradation, and, over time also increasing pollution, human disturbance and competition with invasive species. Current levels of investment in law enforcement, infrastructure, demarcation and other key activities, can apparently prevent the declines of some species (e.g. some primates, Pollard *et al.* 2007, Rawson *et al.* 2009), at least over the area where activities can be funded, and can likely slow the declines of others, but in the without-project scenario eventually many of these species will be lost from the KSWs or very severely depleted. An important negative feedback to consider is that, as a reserve loses charismatic flagship species it becomes harder to attract traditional sources of funding and this may lead to accelerated losses. The absence of recent tiger records from the reserve has already been linked to the withdrawal of two key donors, whose funding for this flagship species supported conservation efforts benefiting many others, and the carbon stocks in tiger habitat.

Over the next 30 years, the without-project scenario predicts a mostly deforested landscape with the remaining forest fragmented, degraded, significantly disturbed by humans due to easier access and heavily over-hunted, leading to a depauperate fauna and flora lacking most of the species of conservation significance present today, with many of the other species surviving in severely reduced numbers. This results in the 'Empty Forest syndrome', with cascading effects on food webs, pollination, seed dispersal and many of the other ecological functions that maintain a healthy forest (Redford 1992, Corlett 2009). It cannot be predicted exactly which species will be lost or reduced, but it seems likely that all Critically Endangered and Endangered species will almost certainly be lost, along with many of the Vulnerable species. Some other Vulnerable and most Near-threatened species will probably survive in greatly reduced numbers. Some species will increase, but this will mainly be tolerant, open-country ('weedy') species of little conservation significance. These predictions are highly plausible since similar trends have been observed in many other forested landscapes with a longer history of high pressure across Indochina, including protected areas, especially in Thailand and Vietnam where threats became severe at an earlier date than in Cambodia.

#### **4.5.5 Baseline scenario with respect to communities**

##### *4.5.5.1 Analytical approach*

This section reviews key factors that will affect communities in the Project Zone in the baseline land-use scenario, without REDD+ project funding. Combined with the projected levels of conservation action and the expected trends in deforestation drivers a without project scenario can be developed for the communities.

Predictions of trends in community well-being are arguably harder than for biodiversity, as many more factors operate, not all in consistent directions. The CCB Standards require a prediction of changes attributable to project activities, whilst livelihood changes attributable to other factors are considered part of the baseline, without-project scenario. The social assessment manual developed by CCBA and partners (Richards and Panfil 2011) recommends that the no-project scenario 'should therefore focus on the outcomes of processes or conditions that are most likely to be affected by the project - these are often linked to project-related land uses.' This is a valuable distinction, as overall livelihood trends in the Project Zone will partly mirror a wide variety of changes in the broader Cambodian and regional economy that are difficult to predict, such as population growth, employment, commodity markets and the effects of globalization, levels of Foreign Direct Investment, the political and security situation, natural disasters, levels of corruption and so on. Expected future changes in the climate are also very hard to predict with enough accuracy to inform management decisions. Following the rationale above it can be assumed that for most or all of these factors the trajectory of change will be the same in the with-project and without-project scenarios, and so they are not directly relevant to identifying net project impacts. The conceptual model helped identify factors that may be able to change, relative to their baseline trajectories.

The widely used Sustainable Livelihoods Approach<sup>21</sup> (SLA) formed the basis for analysis. This conceptualizes wellbeing as the combination of family or personal assets in five broad classes (natural, physical, social, human, and financial) and predicts trends in assets on the basis of the immediate pressures families face ('the vulnerability context' such as health risks and crop failures) and a set of external 'transforming structures and processes' such as changing government policies and social norms. Since many factors cannot be modelled quantitatively with current data, especially over such a long period, the scenario is qualitative and focuses on those aspects which can confidently be predicted to improve or worsen significantly, and for which the project will attempt interventions. Most drivers overlap with those for deforestation (see above) so those are not repeated here, but some additional drivers are highlighted where relevant. Where relevant, trends are differentiated between the main stakeholder groups set out in Section 2.7

##### *4.5.5.2 Changes in the vulnerability context*

Under the SLA vulnerability is one of the over-arching factors that determines how families respond to other changes. Vulnerability is a key issue for the poorer communities in the Project Zone - here as in

<sup>21</sup> e.g. [http://poverty-wellbeing.net/en/Home/Livelihood\\_Approaches](http://poverty-wellbeing.net/en/Home/Livelihood_Approaches)

many parts of rural Cambodia families live close to the edge of economic viability and one severe financial shock (health crisis, crop failure, loss of land or resin trees) can push them into a downward spiral of indebtedness than can take years or even generations to escape from. The future potentially contains economic opportunities for many families in the landscape, due to increasing market access, better public services and a likely continuation of recent gradually improving trends in the overall Cambodian economy (e.g. World Bank 2006). However, in the baseline scenario many vulnerable stakeholders in this particular area may not see lasting improvements, and may face negative impacts or lower than possible net benefits from those trends.

To the extent that livelihoods improve and levels of capital increase in the communities, people will be more buffered against shocks and so less vulnerable, which is a positive trend. However, several competing factors may increase the vulnerability of many families and communities in the landscape:

1. The rapid arrival of modern Cambodian culture and economic forces in indigenous villages with inadequate safeguards is likely to lead to increased vulnerability due to pressures on social relationships, natural resources and existing economic systems.
2. The potential impacts of large economic concessions in the Project Zone, reducing the areas of forest available, potentially impacting on farmland and also bringing other threats such as pollution, social disruption and competition for remaining resources by migrant laborers.
3. Diversification of livelihoods tends to buffer against shocks; rural livelihoods in the landscape are currently highly diversified but may become less so if there is an increased dependence on a few cash crops or agricultural wage labor, or if some current resources (such as NTFPs and fish) decline without parallel increase in access to new opportunities.
4. Monduliri is predicted to be one of the most vulnerable provinces in South-east Asia to climate changes, due to a combination of biophysical and social factors (Yusuf and Francisco 2009).

#### 4.5.5.3 Predicted trends in livelihood assets

Table 4.5.13 lists selected key livelihood assets that are likely to change in the baseline scenario, arranged in the five categories of the SLA. It also notes changes in the factors that tend to increase or decrease these assets ('transforming structures and processes' in SLA terminology). The list is based on the results of a workshop held in SPF in 2006 (WCS/FA 2006b). At the workshop, the rural development NGO CEDAC, together with WCS and FA, asked community members to help select indicators to monitor livelihood trends in the SPF in relation to the conceptual model then in place.

**Table 4.5.13. Projected trends in key livelihood assets.**

Asset class	Trend without project	Mainly affects	Changes in transforming structures
<b>Natural Capital</b>			
Farmland/housing land	Alienation, forced sales	Indigenous	High levels of forest crime, weak enforcement, weak community control
	Uncertain tenure due to expansion outside agreed land-use plans	Khmer, offsite settlers, some indigenous	High levels of forest crime, weak enforcement, weak community control
	Loss to concessions	All communities	Concessions granted, mainly over land lacking clear title
Predictable climate for agriculture etc.	Decline	All communities	Climate change, lack of adaptation support
Soil fertility	Decline	All onsite communities	Insufficient tech. support, lack of tenure to encourage investment, frontier (short-term) attitude, 'hungry' crops esp. cassava, possibly also climate change
Water	Declining quality and quantity	All communities, offsite env. service users	Poor management of catchments, pollution from intensive agriculture and possibly also mines, poison fishing



Asset class	Trend without project	Mainly affects	Changes in transforming structures
Forest resources (NTFP, timber, fish, wildlife)	Brief increases in harvest followed by steep declines in all resources	All forest dependent on-site communities, off-site env. service users (fisheries)	Market-driven harvests without effective management, high levels of forest crime, declining forest cover, possibly also climate change
<b>Social Capital</b>			
Cultural identity	Seriously declined	Indigenous	Weakening of traditional structures; Khmer/Cham migration; loss of forest and land base
	Stable/improving?	Khmer	Stabilization of transient/settler communities?
Social relationships	Seriously declined	Indigenous	Breakdown of communal systems, conflict over resources
	Unknown	Khmer	Too many factors to predict; one issue is conflict over resources with neighbors and concessions
Labor rights	Remain poor or improve	All on and off site communities	Unpredictable political/cultural factors
Gender equity	Remain poor or improve	All onsite communities	Unpredictable political/cultural factors
<b>Human Capital</b>			
Education levels	Slowly improve for children, not improved for adults	All onsite communities (but vulnerable groups may decline)	Gradual increase in primary/secondary education, better road network, ?increasing purchasing power
Health levels	Slowly improve	All onsite communities (but vulnerable groups may decline)	Gradual increase in public services, better road network, ?increasing purchasing power
<b>Physical Capital</b>			
Household level	Improve	Families that benefit from new development activities, illegal land-grabbing etc. (mainly Khmer non forest-users)	
	Decline	Families that lose out from new development activities (mainly indigenous /Khmer forest users)	Loss of access to existing income sources, lack of replacements
Community level	Slowly improve	Mainly accessible communities	Gradual increase in public services, investments in better road network and water-sanitation projects
<b>Financial Capital</b>			
Savings	Improve	Families that benefit from new development activities, land-grabbing etc. (mainly Khmer)	
	Decline	Families that lose out from new development activities (mainly indigenous)	Loss of access to existing income sources, lack of replacements, competition
Low-cost community credit	Decline	Indigenous	Breakdown of social ties
Commercial credit	Improve	All communities (except vulnerable groups lacking collateral)	Arrival of banks, better roads

As a result of this analysis the following overall changes are expected in the major livelihood outcomes as defined by the SLA. Average income may increase or decrease overall, depending on the macro-economic situation. It is suspected that long-term it will tend to increase in most plausible scenarios, due to underlying national trends. However, it is noted that these average increases conceal differences between groups and some may become worse off. In particular, increasingly unsustainable use of the NR base (rattan, timber, bamboo, sleng fruits, fish, wildlife, etc.) is likely to produce brief income peaks as each resource is over-harvested, followed by a decline until the next resource is targeted, with an overall long-term decline in NR-based income. Dipterocarp resin is the most important harvested natural resource. Although resin harvests are thought to be sustainable (Evans *et al.* 2003), the trees themselves are at risk from deforestation and logging and so will decline. This will be true for both Khmer and indigenous families, but more significant for the latter due to their higher dependence on NR. Declines in water supply and quality are also predicted.

Some farmers will benefit from the expansion of their land holdings, but many others, especially weaker indigenous families, may experience land alienation and lose income or subsistence products from this source, increasing vulnerability and reducing food security. Many Khmer families may experience high insecurity due to insecure tenure on illegally grabbed land, and all families face the potential risk of dispossession and conflict due to problems with land concessions, which have been widely documented in Cambodia. Land fertility is likely to decline in many areas due to unsustainable practices made worse by insecure tenure, lowering farm-based incomes after brief peaks due to the exploitation of freshly exposed forest soils.

Indigenous communities are also likely to suffer declines in non-material aspects of well-being, due to weakening of cultural institutions, loss of access to spiritually important forest and land, the shift from farming to laboring and so on. Trends in labor rights and gender equality are hard to predict, and could improve or decline depending on many factors. Health and child education levels seem likely to improve with increasing public investment, but again there will be losers who cannot afford to buy into these services, and there is little prospect of non-formal education to address the persistent very low levels of adult literacy.

These various threats to livelihoods in the baseline scenario are represented in the project conceptual model (Section 2.2). The focus is on threats to land and natural resource capital, since this is the natural entry point for a project of this kind to have greatest impact. Threats to other kinds of capital, and the various transforming structures/processes are addressed through the design of the interventions (e.g. formation of community groups addresses social capital, while livelihood development activities address physical and financial capital).

## **4.6 Additionality (G2)**

Project additionality is demonstrated below following the Methodology, which requires use of the most recent approved VCS 'Tool for the Demonstration and Assessment of Additionality in VCS Agriculture, Forestry and Other land use (AFOLU) Project Activities', namely VCS Tool VT0001. The analysis is relevant to climate, community and biodiversity outcomes.

### **4.6.1 Preliminary screening based on the starting date of the AUD project activity (Step A0)**

The project passes this screening as the project start date is after 1 January 2002.

### **4.6.2 Identification of alternative land use scenarios to the proposed AUD project activity (Step A1)**

#### **4.6.2.1 Identify credible alternative land use scenarios to the proposed AUD project activity (Substep 1.a)**

Given the conclusive evidence in Section 4.5 the scenarios set out below assume an intensifying threat from unplanned deforestation from small holder farmers. This is combined with a continuation of the pre-REDD project model of management of the site, whereby MoE and WCS collaborate with other stakeholders to manage an area designated by Ministerial Declaration as the Seima Biodiversity Conservation Area. The scenarios vary in the level of conservation action which is feasible (determined

primarily by financial resources), and in the degree of threat within the Project Area from a second agent group, ELCs.

The first two land-use scenarios are considered to be genuinely credible alternatives to the with-project case. Scenario 2 results in higher project additionality than the chosen baseline scenario, and is arguably credible, but the available evidence is insufficient to document conclusively that it is more likely than Scenario 1 and so is conservatively rejected. Scenario 3 is mandatory for consideration here but is considered demonstrably not credible, for the reasons stated.

Scenario 1 - the chosen baseline scenario – Continued grant-funded conservation CREDIBLE: Escalating threats from residents and migrants due to improving road access and other drivers etc. combine with a decline of non-REDD funding for conservation action. This decline in funding is demonstrably plausible, based on funding trends over the past seven years and a donor-by-donor analysis of funding prospects in the future (Annex 3.4). This is equivalent to the 'continuation of existing land-use' scenario (scenario 1) required by Tool VT0001. The levels of ongoing donor-funded conservation investment achieved during the historical reference period become impossible to maintain and there is a proportionate decline in conservation effectiveness, leading to an increased relative risk of deforestation in the Project Area. Funding projections suggest a decline to just over 40% of past funding levels for core conservation activities such as law enforcement support.

Scenario 2 - Economic land concessions in parts of the Project Area, plus continued grant-funded conservation CREDIBLE: Threats and protection are generally as in Scenario 1 but in addition parts of the Project Area are excised from the SPF and re-issued as agro-industrial concessions; conservation activities are excluded from these areas and deforestation rates rise greatly. This scenario is plausible as it has already affected the Monduliri Protected Forest during 2007, when about 650 km<sup>2</sup> was excised to facilitate the issuance of land concessions, and is currently affecting large sections of nearby Wildlife Sanctuaries and the SPF Buffer Area. Specific current threats of this kind to the Project Area cannot be conclusively documented, and so it is not appropriate to apply methodologies for avoidance of planned deforestation, but there is good reason to believe that this is a plausible future threat.

Scenario 3 - Greatly increased expenditure on conservation and increased conservation effort without being registered as a VCS AFOLU Project NOT CREDIBLE: This scenario assumes a greatly increased level of long-term expenditure compared to baseline levels, combined with increased political support for conservation rather than other land uses. This scenario is consistent with the mandatory scenario (ii) according to VCS Tool VT0001 and is plausible in theory since some protected areas elsewhere in the tropics do receive adequate funding and very secure political support, but this cannot be said for any forest conservation area in Cambodia. It would be dependent on identifying a very large, novel source of revenues (e.g. watershed protection payments, large trust fund endowments or major budget allocations from central government) but there is no evidence that such payments are likely to be available for this site in the foreseeable future.

All the relevant land-uses and agents alluded to in scenarios 1, 2 and 3 exist commonly within the reference area and Project Area except for ELCs, which occur widely in the Reference Region but have not so far occurred within the Project Area. However, they have occurred right up to its margins and there is no agronomic reason why they should not be proposed inside the Project Area, especially if pressures continue to rise and the degree of protection for the reserve declines. All the trends postulated for the future have been observed to some degree in the recent past for Scenarios 1 and 2, and hence can be deemed realistic and credible.

Further improvements to roads in and around the Project Area are likely in the coming years and if included in projections would increase the baseline rates of deforestation in all scenarios, but have conservatively been omitted in the absence of conclusive documentation (following Methodology Section 4.2.1).

#### **4.6.2.2 Consistency of credible land use scenarios with enforced mandatory applicable laws and regulations (Substep 1.b)**

The two credible scenarios are credible under enforced laws and regulations. In circumstances where the scenarios are not consistent with national laws, the scenarios are consistent with local norms of non-compliance.

The construction of roads and the excision of areas from Protected Forests to permit their issuance as Economic Land Concessions or Mineral Exploitation Concessions are legal within certain constraints. The use of forest areas for farming by members of indigenous ethnic minority villages is also legal within certain constraints.

The majority of unplanned forest loss is technically illegal, but those legal requirements are weakly enforced for a variety of reasons and non-compliance is the norm across the majority of the reference area and the broader region of north-east Cambodia. This is evident from an inspection of deforestation data for the historical baseline period and from participatory rapid assessments conducted in many villages in the area. Strengthening law enforcement, boosting incentives for legal compliance and access to legal alternatives to deforestation as a livelihood strategy are among the key elements of the proposed project.

### **4.6.3 Investment analysis (Step A2)**

#### **4.6.3.1 Determine appropriate analysis method (Substep 2.a)**

Other than carbon market-related income the only part of the project that has any potential to generate financial or economic benefits to the project proponents is ecotourism. Conservatively, it has been assumed that this may produce revenues from entry fees and so on. Therefore option II (Investment Comparison Analysis) has been chosen. Scenarios 1 and 2 have the same financial returns, from the perspective of the Project Proponent, since revenues from ELCs would not accrue to the FA.

#### **4.6.3.2 Select the appropriate financial indicator (Substep 2.b)**

Net Present Value was selected as a straightforward indicator relevant to the context. A conservative and commonly used discount factor of 10% was selected (Hansen & Top 2006)

#### **4.6.3.3 Calculation and comparison of financial indicators (Substep 2.c)**

The analysis is set out in a spreadsheet provided to the validator and summarized in Appendix 1 of Annex 2.3 where detailed NPVs and comparisons between NPVs are tabulated. Under a wide range of reasonable assumptions the NPV of the with-project scenario (without VCS related revenue) is strongly negative (due to high implementation costs and only limited revenue from grants and tourism) and of the without-project scenario very slightly positive (as implementation costs are pegged to the level of grant funding, with tourism providing a trickle of positive benefits). This clearly demonstrates that the with-project scenario is not the most attractive scenario in the absence of VCS-related revenue.

#### **4.6.3.4 Sensitivity analysis (Substep 2.d)**

As shown in the spreadsheet mentioned above, and Annex 2.3, the financial advantage of the without-project scenario is robust over a wide range of values for the discount rate and the level of fees charged per tourist.

### **4.6.4 Barrier analysis (Step A3)**

Since the project is additional from a financial perspective, a barrier analysis is not necessary.

### **4.6.5 Common practice analysis (Step A4)**

Many forest areas in Cambodia, including large parts of the reference area, receive little or no active protection. However, forest conservation activities do take place at some locations in the reference area and more widely in Cambodia. These are often associated with the presence of a large NGO working



in partnership with government and are typically funded primarily by donor support. The pre-existing conservation project in Seima (FA/WCS) is a good example of this kind of project, as are the nearby projects conducted in Mondulkiri Protected Forest (FA/WWF) and Phnom Prich Wildlife Sanctuary (GDANCP/WWF).

However, there are essential differences between such activities and the KSWs REDD+ project in scope on spatial, temporal and financial scales. No existing projects achieve full spatial coverage and address all key threats with sustainable funding over a period of decades. The norm for conservation projects in the country is to achieve partial coverage with limited capacity to address only some key threats. Funding for these projects is dependent on short-term (1-3 year) donor funding cycles. Furthermore, none of the mentioned projects offers the possibility of covering any of the national-level opportunity costs of forest conservation<sup>22</sup>, which leaves them vulnerable to declining political support and formal transfer of the forest to other designated land uses. The REDD+ project is clearly distinct from these similar, ‘common practice’ conservation activities based on the following components:

1. Greatly increased, sustained financing, commensurate with the scale and duration of the threats facing the site, in particular for law enforcement activities.
2. Direct linkage of project success to further revenue, ensuring a sustained long term focus on achieving measurable emissions reductions.
3. Creation of a new conservation-based revenue stream for the RGC, increasing the level of long-term political support for protection of the reserve.
4. Resources available for large scale benefit-share arrangements structured to incentivize forest protection by local communities.

#### **4.6.6 Conclusion**

The conclusion of this analysis is that the climate, community and biodiversity benefits of the project can be considered additional in comparison to the most plausible yet conservative baseline Scenario (Scenario 1), since it would not happen in the absence of REDD+ finance.

<sup>22</sup> With the possible exception of those with potential for catchment protection payments from hydropower project developers. This option does not exist in Seima since no large dams are planned.

## 5 QUANTIFICATION OF GHG EMISSION REDUCTIONS AND REMOVALS

### 5.1 Project Scale and Estimated GHG Emission Reductions or Removals

This is a project of large scale. The projected emission reductions over the first fixed baseline period are summarized in Table 5.1.1. These figures do not include the deduction of a risk buffer. No projections have been attempted beyond this period, since the baseline must in any case be revised at the end of the first ten year crediting period.

Project Scale	
Project	
Large project	Y

**Table 5.1.1. Estimated emissions reductions for the first fixed baseline period.**

Estimated GHG emission reductions	
Years	tCO <sub>2</sub> e
2010	-
2011	-46,899
2012	-194,658
2013	286,974
2014	2,083,049
2015	2,743,753
2016	2,753,228
2017	2,267,670
2018	2,138,582
2019	2,234,785
Total estimated ERs	14,266,485
Total number of crediting years	10
Average annual ERs	1,426,648

### 5.2 Leakage Management (CL2)

The project will implement a series of activities that are designed to reduce the risk of deforestation in both the Project Area and Leakage Belt. These project activities are described in detail in Section 2.2 and Annex 2.1. Table 5.2.1 summarizes the planned activities relevant to leakage management.

**Table 5.2.1. Summary of leakage management activities.**

Sub-objective	Leakage management activities
1. Legal and planning	Maintain legal support for the whole SPF/KSWS (including Buffer Areas); SPF/KSWS Management plan covers Buffer Areas; Corridor activities address leakage risks (e.g. through liaison with Ministry of Environment)
2. Direct law enforcement	Law enforcement also covers areas of the Leakage Belt within FA mandate
3. Community land-use	Extend land-use agreements, titling and demarcation to sections of village land adjacent to Project Area (especially Leakage Belt and Leakage Management Areas); encourage parallel work by civil society organizations
4. Alternative livelihoods	Support a full range of alternative livelihood support activities in Leakage Belt and Leakage Management Area, including agricultural extension and NTFP-based livelihoods; include leakage management in REDD+ benefit-share criteria

## 5.3 Baseline Emissions (G2)

### 5.3.1 Projection of future deforestation (Step 4)

The objective of this step is to locate in space and time the baseline deforestation expected to occur within the Reference Region during the first fixed baseline period. It comprises two main parts – projection of the overall quantity of deforestation and projection of the locations where it occurs. The Reference Region has been divided into two strata to account for the spread of economic land concessions, as explained in Section 4.4 and Annex 3.1. Projection of the quantity and location of deforestation are only required for Stratum 1, since this is the only stratum that is present in the Project Area and the only stratum where unplanned deforestation occurs.

#### 5.3.1.1 Projection of the quantity of future deforestation (Step 4.1)

This substep is to determine the quantity of baseline unplanned deforestation for each future year within the Reference Region as a whole. The analysis is presented in Annex 4.1 and summarized here. Step 4.2 then goes on to predict the distribution of this unplanned deforestation within the Reference Region.

##### Step 4.1.1: Selection of the baseline approach

The Methodology provides a decision tree to assist in the selection of the most appropriate of the three possible baseline approaches (historical average, time function or socio-economic modelling). The tree draws on the conclusions of the agents and drivers analysis in Step 3 (Section 4.5 of the Project Document). Use of the tree identifies the time function approach as the preferred approach for the Seima project since:

- The deforestation rate measured in Stratum 1 in different historical time periods reveals a clear trend.
- This trend is increasing.
- Conclusive evidence emerges from the analysis of agents and drivers explaining the increased trend and making it likely that this trend will continue in the future.
- The future deforestation trend is not likely to be higher using a modelling approach.

The evidence for this sustained trend in deforestation rates is supported by the statistical analysis in Annex 5.1.

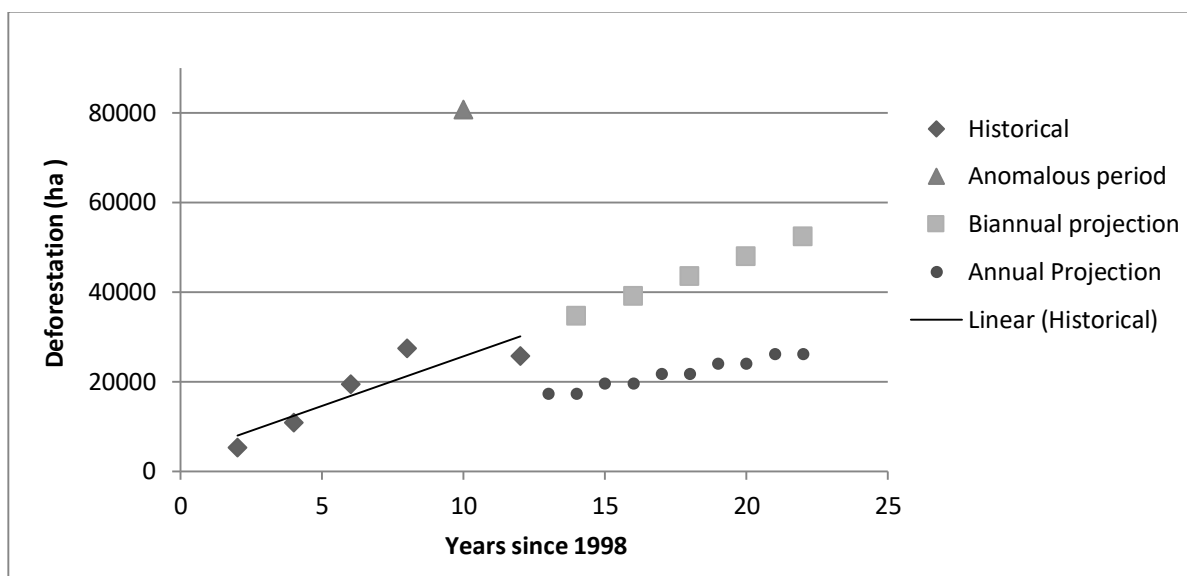
##### Step 4.1.2: Quantitative projection of future deforestation

###### Substep 4.1.2.1: Projection of the annual areas of baseline deforestation in the Reference Region

A linear regression was identified as the best time series function for projecting deforestation and a regression with good fit to the historical data was found (Figure 5.3.1)<sup>23</sup>. This regression also provides a very close fit to the first data point of the with-project period. As the regression projects an increase without limit the Methodology requires a cap to be set once a certain cumulative amount of deforestation has been predicted. This process is explained in Annex 4.1 - no modifications were required to the figures for the first fixed baseline period.

The quantities of predicted deforestation are shown in Table 5.3.1.

<sup>23</sup> With the conservative omission of one anomalously high data point near the end of the series.



**Figure 5.3.1. Modelled deforestation 2010–2019 in comparison to observations from the historical reference period.**

**Substep 4.1.2.2: Projection of the annual areas of baseline deforestation in the Project Area and Leakage Belt**

This step draws on the location analysis in the next section. The rate model selected above provides inputs at each time step for the location model, and the output maps of predicted deforestation are then analyzed to determine the amount predicted to occur in each landscape unit. The results are summarized in Table 5.3.1–Table 5.3.3 which correspond to Tables 9.a–c as required by the Methodology.

**Substep 4.1.2.3: Summary of Step 4.1.2**

**Table 5.3.1. Annual area of baseline deforestation in the Reference Region in Stratum 1.**

Project year [t]	Projected deforestation in stratum 1 of the Reference Region [ABSLRR1,t] ha	Cumulative total
	[= total ABSLRRt] ha	[ABSLRR] ha
1	17,165	17,165
2	17,179	34,344
3	19,405	53,749
4	19,433	73,182
5	21,641	94,823
6	21,647	116,470
7	23,853	140,323
8	23,848	164,171
9	26,069	190,240
10	26,059	216,299



**Table 5.3.2. Annual area of baseline deforestation in the Project Area.**

Project year [t]	Projected deforestation in the Project Area [ABSLPA1,t] ha	Cumulative total
	[= total ABSLPA <sub>t</sub> ]	[ABSLPA] ha
1	-	-
2	130	130
3	663	793
4	6,975	7,768
5	4,959	12,727
6	3,606	16,333
7	3,601	19,934
8	2,869	22,803
9	2,663	25,466
10	2,838	28,304

**Table 5.3.3. Annual area of baseline deforestation in the Leakage Belt.**

Project year [t]	Projected deforestation in the Leakage Belt [ABSLK1,t] ha	Cumulative total [ABSLK] ha
1	936	936
2	456	1,392
3	1,516	2,908
4	3,127	6,035
5	2,281	8,316
6	4,176	12,492
7	2,404	14,896
8	2,120	17,016
9	1,912	18,928
10	2,640	21,569

#### 5.3.1.2 Projection of the location of future deforestation (Step 4.2)

The aim of this step is to match the location of projected deforestation with carbon stocks. The analysis is presented in detail in Annex 4.2 and summarized here.

##### Step 4.2.1: Preparation of factor maps

Spatial data on variables that may explain the distribution of deforestation caused by each group of agents are referred to in the Methodology as 'factor maps'. The historical reference period runs from 1998 to the end of 2009. The boundaries of the two strata changed during this period, as did the spatial distribution of some of the key drivers (e.g. trunk roads, protected areas). This variation in spatial boundaries over time complicates analysis and risks obscuring the effects of the drivers of deforestation at any point in time. Therefore a subset of the reference period from 2002-end of 2007 was selected for the modelling of risk and developed factor maps for this period.

In general, smallholder farmers act to maximize profits by allocating any parcel of land to the use that earns the highest rent (Angelsen 1999; Mertens and Lambin 2000), which includes a calculation of relevant costs vs. benefits of forest conversion as perceived by the smallholder. Management category of the land (e.g. Protected Area, Logging Concession), agronomic potential (which varies with soil fertility etc.) and geographic accessibility determine to a large extent the spatial distribution of relative land value and therefore relative probability of deforestation. Based on the literature on deforestation in the tropics, the main variables that capture geographic accessibility include topography (slope and

elevation), distance to previously deforested areas, distance to roads, distance to main markets and distance to navigable rivers (Kaimowitz and Angelsen 1998, Vuohelainen *et al.* 2012). Slope and elevation have an effect on both agronomic potential and accessibility. As shown in Annex 4.2, Table 1, existing data was compiled on these potential explanatory factors (e.g. forest type or elevation) or derived the relevant variables ourselves from existing data products (e.g. by calculating slope, distance to roads, travel time etc.).

#### Step 4.2.2: Preparation of deforestation risk maps

The Methodology allows these explanatory variables to be related to deforestation risk using either an empirical (preferred) or a heuristic approach. An empirical approach was used. A logistic regression approach (i.e. Generalized Linear Model (GLM) analysis with binomial or quasibinomial errors was used). This is a widely-used method for depicting probability of change in a landscape based on a set of explanatory spatial variables (e.g. Mertens & Lambin 2000, Soares-Filho *et al.* 2001, Wilson *et al.* 2005, Gaveau *et al.* 2009; for theory see Grafen & Hails 2002, Gelman & Hill 2007, Crawley 2007, Burnham & Anderson 2010). We parameterized a spatially-explicit model of unplanned deforestation that occurred in Stratum 1 during 2002- end of 2007. The dependent variable was the occurrence or not of deforestation in each pixel, which was determined from the Landsat-derived historical land-use/land-use change analysis described in Section 4.5.

To allow calibration and confirmation from the same time period the Reference Region was divided into 38,540 500 m x 500 m tiles and randomly selected half of these (19,102 tiles) to parameterize the model (calibration) and the other half (19,438 tiles) for model confirmation. The value of the central point of each tile on each GIS data layer (if forested) was extracted and used in the GLM analysis so each data point was separated by >500 m distance on the ground (a sufficient distance to ensure that spatial autocorrelation effects will be minimal). The value of each variable was measured and calculated at each sample point and then analyzed this dataset using R statistical software (R Development Core Team 2012). In total 16 candidate GLMs were considered (specified in detail in Annex 4.2).

#### Step 4.2.3: Selection of the most accurate deforestation risk map

All candidate models were compared to identify the ones that best explained the spatial distribution of deforestation and to rank them in order of importance. An information theoretic selection process based on the Akaike Information Criterion (AIC, see e.g. Gelman & Hill 2007, Burnham & Anderson 2010) was used to determine the most parsimonious model of a suite of candidate models (i.e. the most plausible model that has the smallest number of explanatory locational driver variables).

The best fit to the deforestation map was found by first selecting the candidate models for which the AIC was in the lowest 50% (from the range of AIC across all candidate models) and then testing their performance against the confirmation dataset as described below. The model with the highest Figure of Merit (FOM) score was chosen. This is a statistical measure of model performance which ranges from 0% for no agreement between simulated parameters and reference data to 100% for perfect agreement (Pontius *et al.* 2008).

**Table 5.3.4. Parameter estimates of the best-fit model (Model #16).**

Model variables	Variable coefficients ( $\beta$ )	stderr	z value	(p-value)
Distance to deforestation patches >10 ha (km) (d2degt10)	-0.2290799	0.0101975	-22.46	<0.0001
Travel time to the nearest local town (h) (t2t)	-0.3191870	0.0159888	-19.96	<0.0001
Natural vegetation is Dense vs. Open forest (natveg)	1.1352346	0.0713631	15.91	<0.0001
Distance to Mekong River (km) (d2mekong)	0.0263701	0.0020293	12.99	<0.0001
Elevation above sea level (m asl) (elev)	-0.0112606	0.0009134	-12.33	<0.0001
Intercept (= constant value $\beta_0$ )	1.1170759	0.0909723	12.28	<0.0001
Snuol WS vs Logging Concession (lmc05)	-1.3952941	0.1321333	-10.56	<0.0001
SBCA Area vs Logging Concession (lmc05)	-2.6993849	0.1640929	-10.56	<0.0001

Model #16 (Table 5.3.4) had the best AIC and FOM score and so was unequivocally the best performing model by a small margin (Annex 4.2, Table 2). The FOM score was 50.03% compared to a required minimum figure of 13.6%. The accuracy of the model is good compared to most other studies that have employed deforestation models in a similar fashion.

Predictors are presented in order of their z values (ignoring sign), which are Wald test scores showing the degree of association between the predictor and deforestation probability (= square roots of  $\chi^2$  statistics).

#### Step 4.2.4: Mapping the location of deforestation

Having selected the best model fitted to historical data it is necessary to determine the predicted locations of future deforestation in the baseline scenario for each year of the first project crediting period (2010-2019 inclusive). In any given year it is necessary to calculate the overall risk map using the model identified above, then rank the pixels by their relative risk of deforestation and assign them to a deforested category in strict order of rank, highest first, until the quantity of deforestation shown in Table 5.3.3 for that year has been reached. The stratum boundaries and some of the risk factors in the chosen model are dynamic, that is they vary through the first fixed baseline period. Therefore the following sequence of steps was followed for the projections:

For 2010

- i. Determine distribution of driver variables at start of 2010 and any new stratum boundaries.
- ii. Calculate the first annual deforestation risk map for Stratum 1.
- iii. Assign the appropriate quantity of deforestation to the highest ranked pixels as described above.
- iv. Output the first annual map of predicted unplanned deforestation (for end of 2010).

For 2011

- v. Determine spatial distribution of driver variables at start of 2011 using the new predicted map of deforestation from end of 2010 combined with updated maps of any other dynamic variables such as road layers and any known changes in the stratum boundaries.
- vi. Calculate the second annual unplanned deforestation risk map.
- vii. Assign the appropriate quantity of deforestation to the highest ranked pixels as described above.
- viii. Output the second annual map of predicted deforestation (for end of 2011).

For subsequent years

- ix. This annual cycle is repeated until the end of 2019.

The spatial input data used for the projections and the way they vary over time are described in Annex 4.2 and will be provided to the auditor upon request. The resulting shapefiles were used to generate the estimates of deforestation for the Project Area and Leakage Belt in Annex 5.1. Figure 5.3.2 shows the predicted deforestation for the first year (2010) and fixed baseline period, and Figure 5.3.3 shows the expected total baseline deforestation in the Project Area for the fixed baseline period, as required by the Methodology. Figure 5.3.3 shows the Project Area in close-up, with the ten successive years of projected deforestation shown separately. Maps of the projected deforestation for each year across the whole Reference Region are available on request.

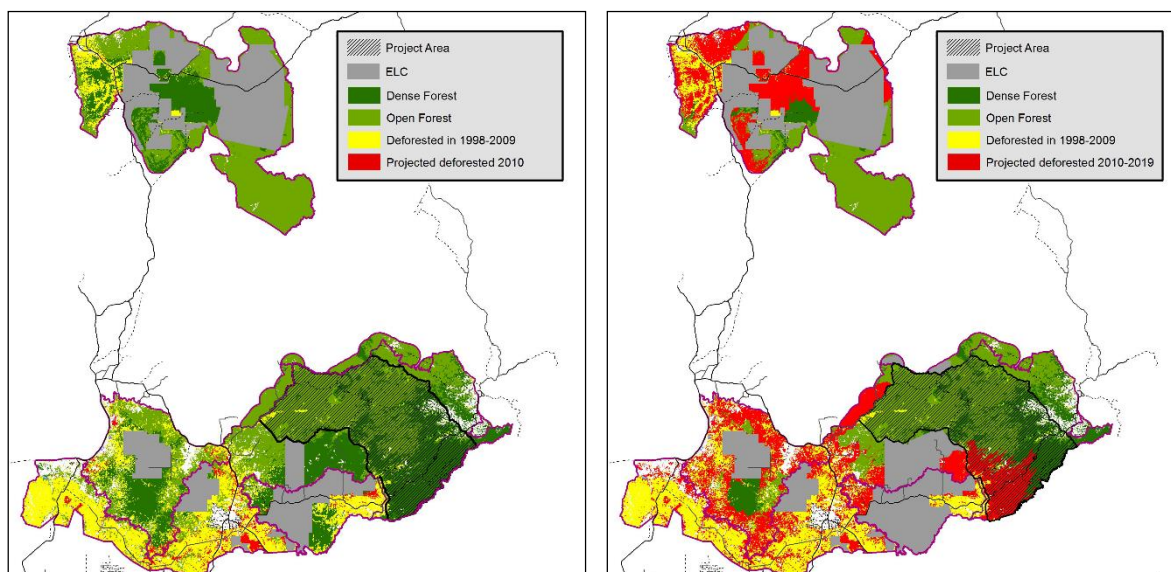


Figure 5.3.2. Projected deforestation in the Reference Region for 2010 (left) and projected deforestation from 2010 to 2019 (right).

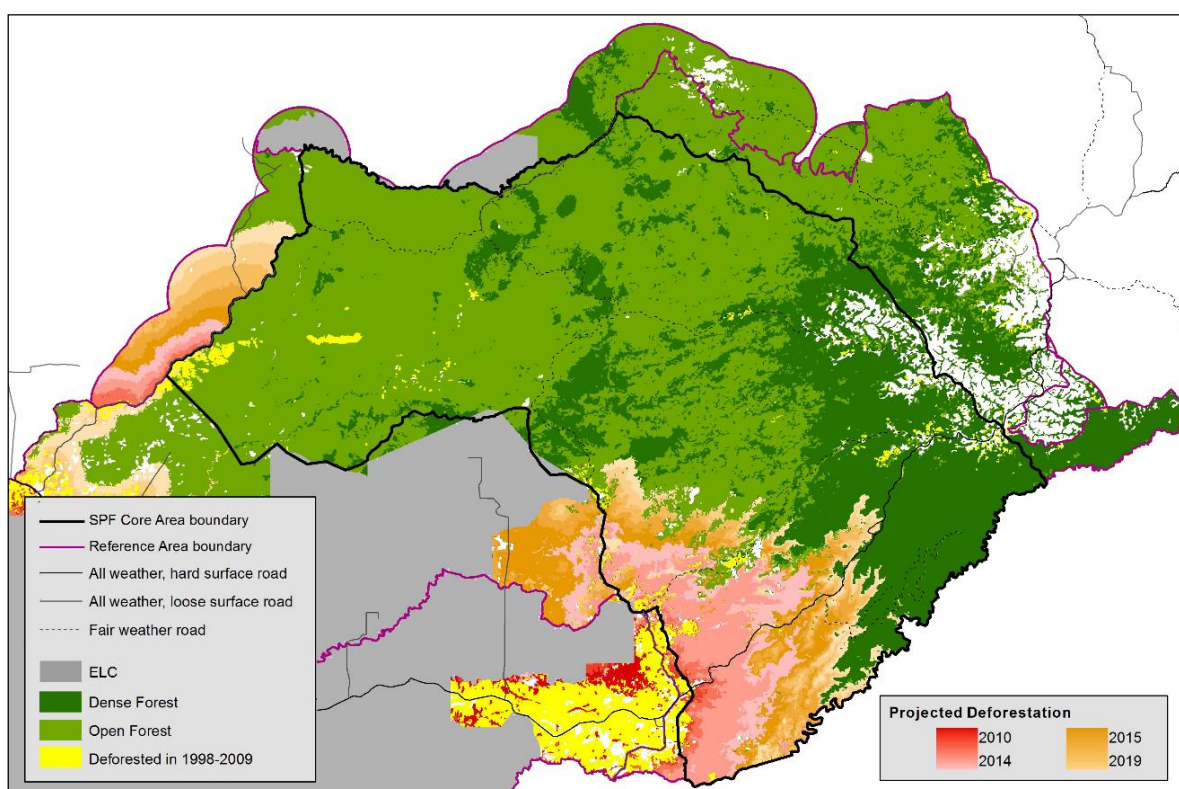


Figure 5.3.3. Total projected deforestation over the Project Area from 2010 – 2019.

### 5.3.2 Definition of the land-use and land-cover change component of the baseline (Step 5)

The goal of this step is to calculate the activity data of the initial forest classes that will be deforested and activity data of the post-deforestation classes that will replace them in the baseline case.

#### 5.3.2.1 Calculation of baseline activity data per forest class (Step 5.1)

A set of maps was produced showing for each forest class which polygons would be deforested each year in the absence of the Seima REDD+ project. An example for one year is shown below as Figure



5.3.4 and the other maps are available to the auditor on request. The number of hectares of each forest class that will be deforested in the Reference Region, the Project Area and the Leakage Belt was extracted from these maps (Table 5.3.5–7).

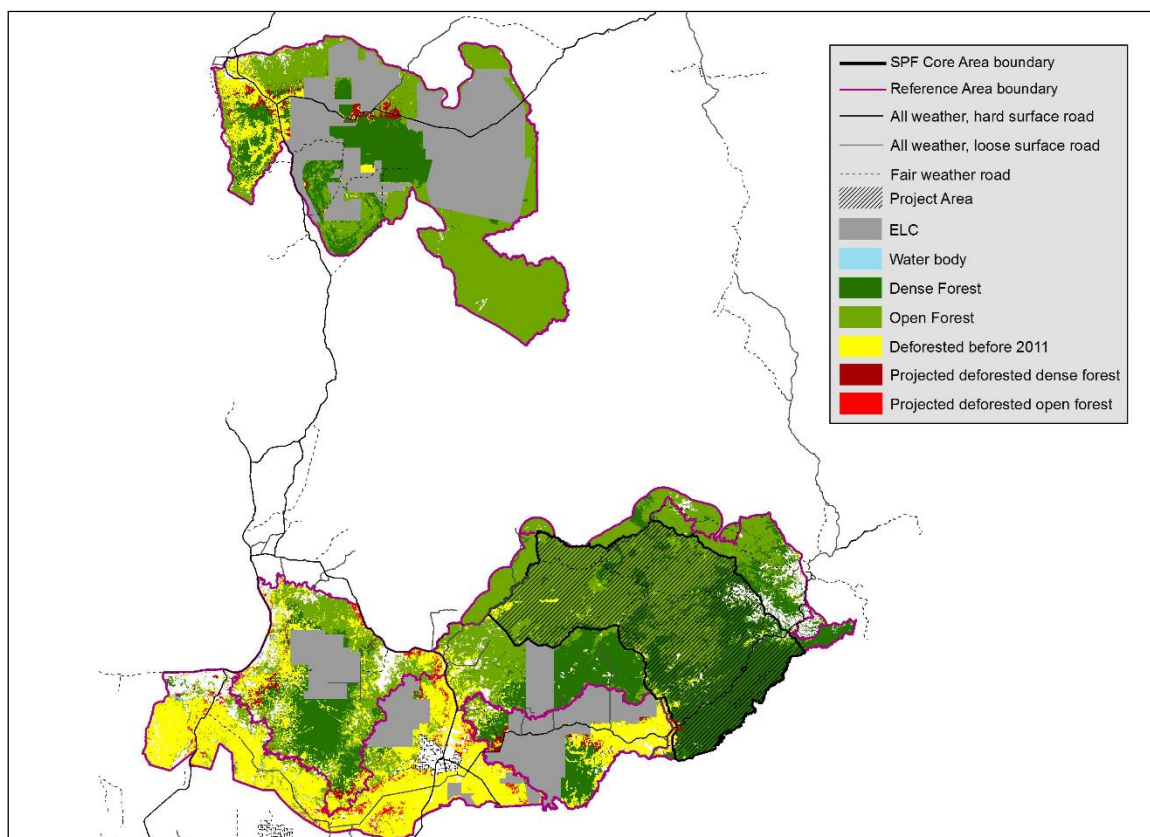


Figure 5.3.4. Projected baseline deforestation within each forest class of the Reference Region for 2011.

Table 5.3.5. Annual areas deforested per forest class icl within the Reference Region in the baseline case (baseline activity data per forest class) [= Table 11.a of the Methodology].

Project year [t]	Area deforested per class within the Reference Region		Total baseline deforestation in the Reference Region	
	Fd	Fo	ABSLRR1,t annual	ABSLRR cumulative
	Dense forest (ha)	Open forest (ha)	ha	ha
1	9,466	7,700	17,165	17,165
2	10,107	7,072	17,179	34,344
3	10,882	8,523	19,405	53,749
4	14,432	5,001	19,433	73,182
5	12,954	8,687	21,641	94,823
6	13,726	7,921	21,647	116,470
7	12,393	11,460	23,853	140,323
8	10,641	13,208	23,848	164,171
9	11,556	14,513	26,069	190,240
10	8,622	17,437	26,059	216,299



**Table 5.3.6. Annual areas deforested per forest class icl within the Project Area in the baseline case (baseline activity data per forest class) [= Table 11.b of the Methodology].**

Project year [t]	Area deforested per class within the Project Area		Total baseline deforestation in the Project Area	
	Fd	Fo	ABSLRR1,t annual	ABSLRR cumulative
	Dense forest (ha)	Open forest (ha)	ha	ha
1	-	-	-	-
2	130	-	130	130
3	663	-	663	793
4	6,956	18	6,975	7,768
5	4,897	63	4,959	12,727
6	3,477	129	3,606	16,333
7	3,432	168	3,601	19,934
8	2,721	148	2,869	22,803
9	2,500	163	2,663	25,466
10	2,546	291	2,838	28,304

**Table 5.3.7. Annual areas deforested per forest class icl within the Leakage Belt in the baseline case (baseline activity data per forest class) [= Table 11.c of the Methodology].**

Project year [t]	Area deforested per class within the Reference Region		Total baseline deforestation in the Reference Region	
	Fd	Fo	ABSLRR1,t annual	ABSLRR cumulative
	Dense forest (ha)	Open forest (ha)	ha	ha
1	935	1	936	936
2	452	4	456	1,392
3	698	818	1,516	2,908
4	2,094	1,033	3,127	6,035
5	1,118	1,163	2,281	8,316
6	3,071	1,105	4,176	12,492
7	891	1,513	2,404	14,896
8	323	1,797	2,120	17,016
9	148	1,764	1,912	18,928
10	174	2,466	2,640	21,569

#### 5.3.2.2 Calculation of baseline activity data per post-deforestation forest class (Step 5.2)

For this step post-deforestation land uses and carbon stocks for the Project Area and Leakage Belt were estimated alone, rather than for the whole Reference Region, as permitted by the Methodology (p57). As described in Section 4, all deforestation in Stratum 1 leads to a single broad non-forest land-use class, which contains a mosaic of smallholder agricultural crops. Hence all the deforestation listed in Table 5.3.6 – 7 above is considered to enter the same land-use class.

In the terms used by the Methodology, there is thus only one zone, 100% made up of a single post-deforestation land use. Table 5.3.8 sets this information out formally, for the project start date. As there is only one zone, no map is required.

**Table 5.3.8. Zones of the Project Area, Leakage Belt and Leakage Management Area encompassing different combinations of potential post-deforestation LU/LC classes [= Table 12 of the Methodology].**

Zone	Name	Name	Non-forest	Total of all other LU/LC classes present in the Zone		Total area of each Zone	
		ICfcl	1				
Idz		Area (ha)	% of Zone	Area (ha)	% of Zone	Area (ha)	% of Zone
1	Mixed croplands	7995.5	3.80%	200,308.30	96.20%	208,303.80	100%

The projected area to be deforested in the Project Area and Leakage Belt is set out in Table 5.3.9–10.

**Table 5.3.9. Annual areas deforested in each zone within the Project Area in the baseline case [= Table 13.b of the Methodology].**

Idz> 1	Total baseline deforestation in the Project Area*		
Name> Mixed croplands	ABSLPA1,t	ABSLPA	
Project year t	ha	Annual (ha)	Cumulative (ha)
1	-	-	-
2	130	130	130
3	663	663	793
4	6,975	6,975	7,768
5	4,959	4,959	12,727
6	3,606	3,606	16,333
7	3,601	3,601	19,934
8	2,869	2,869	22,803
9	2,663	2,663	25,466
10	2,838	2,838	28,304

\* The areas reported here are identical to those in Table 5.3.6.

**Table 5.3.10. Annual areas deforested in each zone within the Leakage Belt in the baseline case [= Table 13.c of the Methodology].**

Idz> 1	Total baseline deforestation in the Leakage Belt*		
Name> Mixed croplands	ABSLK1,t	ABSLK	
Project year t	ha	Annual (ha)	Cumulative (ha)
1	936	936	936
2	456	456	1,392
3	1,516	1,516	2,908
4	3,127	3,127	6,035
5	2,281	2,281	8,316
6	4,176	4,176	12,492
7	2,404	2,404	14,896
8	2,120	2,120	17,016
9	1,912	1,912	18,928
10	2,640	2,640	21,569

\* The areas reported here are identical to those in Table 5.3.7.

### 5.3.2.3 Calculation of baseline activity data per LU/LC change category (Step 5.3)

As no modelling is attempted, Step 5.3 of the Methodology is not required.

### 5.3.3 Estimation of baseline carbon stock changes and non-CO<sub>2</sub> emissions (Step 6)

The aim of this step is to finalize the baseline assessment by calculating the baseline carbon stock changes. It was chosen to estimate baseline non-CO<sub>2</sub> emissions from forest fires used to clear forests. Before estimating the baseline carbon stock changes it is necessary to estimate the average carbon stock of each land use/land cover class.

#### 5.3.3.1 Estimation of baseline carbon stock changes (Step 6.1)

Carbon stocks are estimated below for forest classes existing in the Project Area and Leakage Belt and for post-deforestation classes existing in the Project Area, Leakage Belt and Leakage Management Area in both the baseline and project cases.

##### Step 6.1.1: Estimation of the average carbon stocks of each LU/LC class

##### Forest classes within the Project Area

Suitable literature values were not available so an extensive field survey of forest carbon stocks in the Project Area was conducted during 2009-2011 (Annex 4.3). A systematic random sample of 104 plot clusters was enumerated across the whole Project Area, with a higher intensity of sampling in the dense forest, which has higher carbon stocks. As explained in Section 4.4, carbon pools measured were living trees (>5 cm diameter at breast height) and dead wood (including both standing and lying wood), whilst root biomass was estimated using standard conversion factors. Plot survey protocols follow the Standard Operating Procedures (SOPs) of Walker *et al.* (2009). The biomass equation for living trees (Chave *et al.* 2005; moist forest equation) was used after being validated by the destructive sampling of trees from both forest types at the site (Annex 4.4) and found to be conservative. Other relevant equations and conversion factors are listed in Annex 4.3. Formal quality control measurements on 10% of plots found only a 1% difference in above ground biomass stocks compared to the initial survey, indicating excellent data quality.

The two forest strata, dense and open, were mapped from satellite analysis (Section 4.5). The dense forest stratum comprises evergreen, semi-evergreen and bamboo stands and has a total average above and below ground carbon stock of 274.0 tC/ha (+/- 7.9% at the 90% confidence level). The open forest stratum comprises mixed deciduous forest, deciduous dipterocarp forest and open woodland and has a total stock of 156.3 tC/ha (+/- 13.3%). These values are set out in more detail in Table 5.3.12. These values are presumed to remain constant from the date of measurement until the year at which deforestation takes place, as degradation has been shown to be negligible (Annex 3.3). The harvested wood products, litter and soil organic carbon pools are not measured, for the reasons set out in Section 4.4, and so are not included in the tables.

An uncertainty analysis was conducted using standard error propagation techniques. For the dense forest stratum the uncertainty of the total carbon stock is less than 10% of the average value so following Methodology Section 6.1.1.f the average carbon stock value is used throughout (Table 5.3.13). This is presumed to apply also to the individual pools. For the open forest stratum the uncertainty exceeds 10% of the average stock and so the lower bound of the 90% confidence interval is used for the pre-deforestation stock in the Project Area (Table 5.3.14) and the upper bound is used in the Leakage Belt (Table 5.3.15). This is one of the first systematic landscape-scale surveys of carbon stock to have been completed in Cambodia. The results show high carbon stocks, well above IPCC Tier 1 median figures, but review of the literature shows that these results are fully consistent with other studies and with expected values in this particular location (Annex 4.3) and so confirm the great regional importance of the SPF/KSWS for carbon storage.

##### Forest classes existing within the Leakage Belt

Satellite analysis, national land cover assessments and field observations show that the same two forest strata exist in the Leakage Belt as are found in the Project Area. Conservatively it is assumed that the carbon stocks in these two classes are the same as are found in the Project Area. In practice they are likely to be somewhat lower, due to a different history of protective measures during the past 10 years, and so higher rates of degradation. Limited inventory data collected by another project from one section of the Leakage Belt in Sre Preah commune in 2011 support this by showing substantially lower mean

carbon stocks in the dense forest stratum there than the average for the Project Area. Carbon stocks for the forest classes are shown in Table 5.3.11–Table 5.3.15 for the following carbon pools:

- Cab[cl]: Average carbon stock per hectare in the above-ground biomass carbon pool of class cl
- Cbb[cl]: Average carbon stock per hectare in the below-ground biomass carbon pool of class cl
- Cdw[cl]: Average carbon stock per hectare in the dead wood biomass carbon pool of class cl
- Ctot[cl]: Average carbon stock per hectare in all accounted carbon pools cl

**Table 5.3.11. Carbon stocks per hectare of the initial forest class ‘dense forest’ existing in the Project Area and Leakage Belt [= part of Table 15.a of the Methodology].**

Initial forest class [icl]								
Name	Dense forest							
ID[icl]	Fd							
Project year	Cab[Fd]		Cbb[Fd]		Cdw[Fd]		Ctot[Fd]	
	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1
0	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
1	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
2	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
3	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
4	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
5	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
6	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
7	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
8	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
9	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*
10	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68*

**Table 5.3.12. Carbon stocks per hectare of the initial forest class ‘open forest’ existing in the Project Area and Leakage Belt [= part of Table 15.a of the Methodology].**

Initial forest class [icl]								
Name	Open forest							
ID[icl]	Fo							
Project year	Cab[Fo]		Cbb[Fo]		Cdw[Fo]		Ctot[Fo]	
	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1
0	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
1	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
2	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
3	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
4	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
5	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
6	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
7	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
8	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
9	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95
10	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95

**Table 5.3.13. Values to be used after discounts for uncertainties (dense forest) [= part of Table 15.b of the Methodology].**

Initial forest class [icl]								
Name	Dense forest							
ID[icl]	Fd							
Project year	Cab[Fd]		Cbb[Fd]		Cdw[Fd]		Ctot[Fd]	
	ave. stock	stock chg	ave. stock	stock chg	ave. stock	stock chg	ave. stock	stock chg
	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1
0	760.69	-	167.35	-	63.65	-	991.69	-
1	760.69	-	167.35	-	63.65	-	991.69	-
2	760.69	-	167.35	-	63.65	-	991.69	-
3	760.69	-	167.35	-	63.65	-	991.69	-
4	760.69	-	167.35	-	63.65	-	991.69	-
5	760.69	-	167.35	-	63.65	-	991.69	-
6	760.69	-	167.35	-	63.65	-	991.69	-
7	760.69	-	167.35	-	63.65	-	991.69	-
8	760.69	-	167.35	-	63.65	-	991.69	-
9	760.69	-	167.35	-	63.65	-	991.69	-
10	760.69	-	167.35	-	63.65	-	991.69	-

**Table 5.3.14. Values to be used after discounts for uncertainties (open forest, Project Area) [= part of Table 15.b of the Methodology].**

Initial forest class [icl]								
Name	Open forest							
ID[icl]	Fo							
Project year	Cab[Fo]		Cbb[Fo]		Cdw[Fo]		Ctot[Fo]	
	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1	tCO <sub>2</sub> e ha-1
0	365.00	-	80.26	-	29.16	-	497.30	-
1	365.00	-	80.26	-	29.16	-	497.30	-
2	365.00	-	80.26	-	29.16	-	497.30	-
3	365.00	-	80.26	-	29.16	-	497.30	-
4	365.00	-	80.26	-	29.16	-	497.30	-
5	365.00	-	80.26	-	29.16	-	497.30	-
6	365.00	-	80.26	-	29.16	-	497.30	-
7	365.00	-	80.26	-	29.16	-	497.30	-
8	365.00	-	80.26	-	29.16	-	497.30	-
9	365.00	-	80.26	-	29.16	-	497.30	-
10	365.00	-	80.26	-	29.16	-	497.30	-



**Table 5.3.15 Values to be used after discounts for uncertainties (Open Forest, Leakage Belt) [= Table 15.b of the Methodology].**

Initial forest class [icl]								
Name	Open forest							
ID[icl]	Fo							
Project year	Cab[Fo]		Cbb[Fo]		Cdw[Fo]		Ctot[Fo]	
	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1
0	512.29	-	112.75	-	47.04	-	649.20	-
1	512.29	-	112.75	-	47.04	-	649.20	-
2	512.29	-	112.75	-	47.04	-	649.20	-
3	512.29	-	112.75	-	47.04	-	649.20	-
4	512.29	-	112.75	-	47.04	-	649.20	-
5	512.29	-	112.75	-	47.04	-	649.20	-
6	512.29	-	112.75	-	47.04	-	649.20	-
7	512.29	-	112.75	-	47.04	-	649.20	-
8	512.29	-	112.75	-	47.04	-	649.20	-
9	512.29	-	112.75	-	47.04	-	649.20	-
10	512.29	-	112.75	-	47.04	-	649.20	-

Non-forest classes projected to exist in the Project Area in the baseline case

All non-forest land that is created in the Project Area after the project start date in the baseline case arises from deforestation. All of it is assigned to a single land use/land cover class, which is occupied by a mosaic of smallholder agriculture.

The Methodology requires that, rather than estimating current stocks, as for the forest classes, a long-term average carbon stock of this class is estimated, to allow for variations over time in the abundance and maturity of different crops. This was done using a historical area-weighted average approach. This approach is based on the assumption that land in and around the Project Area which has been deforested for a significant length of time already is representative of likely future land-use in areas yet to be deforested. A local study was conducted to provide data for analysis. The methods, assumptions and results are discussed in detail in Annex 4.5.

Sample sites were selected on the basis of land management practices identified as the most likely post-deforestation baseline scenario. Three agro-ecological sectors with slightly different expected stocks were sampled. The relative abundance of each vegetation/crop type by area was assessed using a point-sampling approach (n=258). The average stock of each vegetation/crop type was then estimated from field measurements on representative plots (n=20) combined with additional data obtained from credible literature sources. Weighted averages of these values provide conservative estimates of carbon stocks in the post-deforestation landscape (Table 5.3.16). The same carbon pools were measured as in the forest classes. As conservative figures were used for crops that vary over time, all years are assigned the same estimated stock.

**Table 5.3.16. Long-term (20 years) average carbon stocks per hectare of the post-deforestation LU/LC class present in the Project Area and Leakage Belt [= Table 16 of the Methodology].**

Post-deforestation class fcl								
Name	Non-forest							
ID[fcl]	Nf							
Project Year	Cab[cl]		Cbb[cl]		Cdw[cl]		Ctot[cl]	
	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1
t*	29.61	13.28	7.4	3.32	11.72	6.46	48.72	15.13
t*+1	29.61	13.28	7.4	3.32	11.72	6.46	48.72	15.13
t*+2	29.61	13.28	7.4	3.32	11.72	6.46	48.72	15.13
t*+3	29.61	13.28	7.4	3.32	11.72	6.46	48.72	15.13
t*+4	35.09	15.74	8.77	3.93	11.72	6.46	55.58	17.46
t*+5	35.09	15.74	8.77	3.93	11.72	6.46	55.58	17.46
t*+6	46.41	20.82	11.6	11.6	11.72	6.46	69.73	22.41
t*+7	46.41	20.82	11.6	11.6	11.72	6.46	69.73	22.41
t*+8	46.41	20.82	11.6	11.6	11.72	6.46	69.73	22.41
t*+9	46.41	20.82	11.6	11.6	11.72	6.46	69.73	22.41
t*+10	46.41	20.82	11.6	11.6	11.72	6.46	69.73	22.41
t*+11	60.07	26.94	15.02	15.02	11.72	6.46	86.81	28.51
t*+12	60.07	26.94	15.02	15.02	11.72	6.46	86.81	28.51
t*+13	60.07	26.94	15.02	15.02	11.72	6.46	86.81	28.51
t*+14	60.07	26.94	15.02	15.02	11.72	6.46	86.81	28.51
t*+15	60.07	26.94	15.02	15.02	11.72	6.46	86.81	28.51
t*+16	65.69	29.46	16.42	16.42	11.72	6.46	93.83	31.05
t*+17	65.69	29.46	16.42	16.42	11.72	6.46	93.83	31.05
t*+18	65.69	29.46	16.42	16.42	11.72	6.46	93.83	31.05
t*+19	65.69	29.46	16.42	16.42	11.72	6.46	93.83	31.05
Average	49.19	5.12	12.30	1.28	11.72	1.44	73.2	5.47

Used in calcs (Project Area)				
	Cab[cl] tCO <sub>2</sub> e/ha-1	Cbb[cl] tCO <sub>2</sub> e/ha-1	Cdw[cl] tCO <sub>2</sub> e/ha-1	Ctot[cl] tCO <sub>2</sub> e/ha-1
+ CI	54.31	13.58	13.16	81.04

Used in calcs (Leakage Belt)				
	Cab[cl] tCO <sub>2</sub> e/ha-1	Cbb[cl] tCO <sub>2</sub> e/ha-1	Cdw[cl] tCO <sub>2</sub> e/ha-1	Ctot[cl] tCO <sub>2</sub> e/ha-1
- CI	44.07	11.02	10.27	67.74

Average carbon stocks per zone are shown in Table 5.3.17 and Table 5.3.18. As there is only one Zone, mixed cropping (see Table 5.3.8), the values are the same as in Table 5.3.17.

**Table 5.3.17. Area-weighted 20 year carbon stock per zone (Project Area) [= Table 17 of the Methodology].**

Zone	Non-forest ID[tcl]=Nf	Post-deforestation class tcl				Area-weighted long-term (20 years average) carbon stocks per zone z			
		Cab[c]	Cbb[c]	Cdw[c]	Ctot[c]	Cab[1]	Cbb[1]	Cdw[1]	Ctot[1]
		ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock
Idz	Name	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1
1	Mixed cropping	54.31	13.58	13.16	81.04	54.31	13.58	13.16	81.04

**Table 5.3.18. Area-weighted 20 year carbon stock per zone (Leakage Belt) [= Table 17 of the Methodology].**

Zone	Non-forest ID[tcl]=Nf	Post-deforestation class tcl				Area-weighted long-term (20 years average) carbon stocks per zone z			
		Cab[c]	Cbb[c]	Cdw[c]	Ctot[c]	Cab[1]	Cbb[1]	Cdw[1]	Ctot[1]
		ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock	ave. stock
Idz	Name	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1
1	Mixed cropping	44.07	11.02	10.27	67.74	44.07	11.02	10.27	67.74

Step 6.1.2: Calculation of carbon stock change factors

Carbon stock changes do not all happen instantaneously during deforestation. In the Methodology linear functions are applied to account for the decay of some carbon stocks from initial forest classes and increases in some carbon stocks from post-deforestation classes, as follows:

Above ground biomass

- Initial forest classes – 100% release of carbon stock is assumed to occur in the end of the year when deforestation occurred, t\*
- Post-deforestation classes – a linear increase is assumed taking ten years (t\* through to t\*+9) to reach the eventual long-term average

Below ground biomass

- Initial forest classes—an annual release of 1/10 of the initial carbon stock (see Table 5.3.13–15) during each year t\* to t\*+9
- Post-deforestation classes—a linear increase is assumed taking ten years (t\* through to t\*+9) to reach the eventual long-term average

Dead wood

- Initial forest classes—an annual release of 1/10 of the initial carbon stock (see Table 5.3.13–15) during each year t\* to t\*+9
- Post-deforestation classes—a linear increase is assumed taking ten years (t\* through to t\*+9) to reach the eventual long-term average

In the following tables these rules were used and the stock estimate presented earlier in the section to calculate the carbon stock change factors for each category of change in LU/LC for the ten year period during and after deforestation occurs at a given location. Table 5.3.19 covers the change from dense forest to non-forest, Table 5.3.20 covers the change from open forest to non-forest in the Project Area and Table 5.3.21 covers the change from open forest to non-forest in the Leakage Belt.

**Table 5.3.19. C stock change factors, initial forest class 'Dense Forest' [= Table 20.a of the Methodology].**

Year after defor		$\Delta Cab[icl,t]$	$\Delta Cbb[icl,t]$	$\Delta Cdw[icl,t]$
1	$t^*$	-760.7	-16.7	-6.4
2	$t^*+1$	-	-16.7	-6.4
3	$t^*+2$	-	-16.7	-6.4
4	$t^*+3$	-	-16.7	-6.4
5	$t^*+4$	-	-16.7	-6.4
6	$t^*+5$	-	-16.7	-6.4
7	$t^*+6$	-	-16.7	-6.4
8	$t^*+7$	-	-16.7	-6.4
9	$t^*+8$	-	-16.7	-6.4
10	$t^*+9$	-	-16.7	-6.4
11	$t^*+10$	-	-	-
12	$t^*+11$	-	-	-
13	$t^*+12$	-	-	-
14	$t^*+13$	-	-	-
15	$t^*+14$	-	-	-
16	$t^*+15$	-	-	-
17	$t^*+16$	-	-	-
18	$t^*+17$	-	-	-
19	$t^*+18$	-	-	-
20	$t^*+19$	-	-	-

**Table 5.3.20. C stock change factors, initial forest class 'Open Forest', Project Area' [= Table 20.a of the Methodology].**

Year after defor		$\Delta Cab[icl,t]$	$\Delta Cbb[icl,t]$	$\Delta Cdw[icl,t]$
1	$t^*$	-365.0	-8.0	-2.9
2	$t^*+1$	-	-8.0	-2.9
3	$t^*+2$	-	-8.0	-2.9
4	$t^*+3$	-	-8.0	-2.9
5	$t^*+4$	-	-8.0	-2.9
6	$t^*+5$	-	-8.0	-2.9
7	$t^*+6$	-	-8.0	-2.9
8	$t^*+7$	-	-8.0	-2.9
9	$t^*+8$	-	-8.0	-2.9
10	$t^*+9$	-	-8.0	-2.9
11	$t^*+10$	-	-	-
12	$t^*+11$	-	-	-
13	$t^*+12$	-	-	-
14	$t^*+13$	-	-	-
15	$t^*+14$	-	-	-
16	$t^*+15$	-	-	-
17	$t^*+16$	-	-	-
18	$t^*+17$	-	-	-
19	$t^*+18$	-	-	-
20	$t^*+19$	-	-	-

**Table 5.3.21. C stock change factors, initial forest class ‘Open Forest, Leakage Belt’ [= Table 20.a of the Methodology].**

Year after defor		$\Delta C_{ab}[icl,t]$	$\Delta C_{bb}[icl,t]$	$\Delta C_{dw}[icl,t]$
1	$t^*$	-512.3	-11.3	-4.7
2	$t^*+1$	-	-11.3	-4.7
3	$t^*+2$	-	-11.3	-4.7
4	$t^*+3$	-	-11.3	-4.7
5	$t^*+4$	-	-11.3	-4.7
6	$t^*+5$	-	-11.3	-4.7
7	$t^*+6$	-	-11.3	-4.7
8	$t^*+7$	-	-11.3	-4.7
9	$t^*+8$	-	-11.3	-4.7
10	$t^*+9$	-	-11.3	-4.7
11	$t^*+10$	-	-	-
12	$t^*+11$	-	-	-
13	$t^*+12$	-	-	-
14	$t^*+13$	-	-	-
15	$t^*+14$	-	-	-
16	$t^*+15$	-	-	-
17	$t^*+16$	-	-	-
18	$t^*+17$	-	-	-
19	$t^*+18$	-	-	-
20	$t^*+19$	-	-	-

**Table 5.3.22. C stock change factors, final class ‘Non-forest’/Zone Mixed cropping, Project Area’ [= Table 20.b of the Methodology].**

Year after defor		$\Delta C_{ab}[icl,t]$	$\Delta C_{bb}[icl,t]$	$\Delta C_{dw}[icl,t]$
1	$t^*$	5.4	1.4	1.3
2	$t^*+1$	5.4	1.4	1.3
3	$t^*+2$	5.4	1.4	1.3
4	$t^*+3$	5.4	1.4	1.3
5	$t^*+4$	5.4	1.4	1.3
6	$t^*+5$	5.4	1.4	1.3
7	$t^*+6$	5.4	1.4	1.3
8	$t^*+7$	5.4	1.4	1.3
9	$t^*+8$	5.4	1.4	1.3
10	$t^*+9$	5.4	1.4	1.3
11	$t^*+10$	-	-	-
12	$t^*+11$	-	-	-
13	$t^*+12$	-	-	-
14	$t^*+13$	-	-	-
15	$t^*+14$	-	-	-
16	$t^*+15$	-	-	-
17	$t^*+16$	-	-	-
18	$t^*+17$	-	-	-
19	$t^*+18$	-	-	-
20	$t^*+19$	-	-	-



**Table 5.3.23. C stock change factors for final class 'Non-forest'/Zone Mixed cropping, Leakage Belt'**  
[= Table 20.b of the Methodology].

Year after defor		$\Delta C_{ab}[icl,t]$	$\Delta C_{bb}[icl,t]$	$\Delta C_{dw}[icl,t]$
1	$t^*$	4.4	1.1	1.0
2	$t^*+1$	4.4	1.1	1.0
3	$t^*+2$	4.4	1.1	1.0
4	$t^*+3$	4.4	1.1	1.0
5	$t^*+4$	4.4	1.1	1.0
6	$t^*+5$	4.4	1.1	1.0
7	$t^*+6$	4.4	1.1	1.0
8	$t^*+7$	4.4	1.1	1.0
9	$t^*+8$	4.4	1.1	1.0
10	$t^*+9$	4.4	1.1	1.0
11	$t^*+10$	-	-	-
12	$t^*+11$	-	-	-
13	$t^*+12$	-	-	-
14	$t^*+13$	-	-	-
15	$t^*+14$	-	-	-
16	$t^*+15$	-	-	-
17	$t^*+16$	-	-	-
18	$t^*+17$	-	-	-
19	$t^*+18$	-	-	-
20	$t^*+19$	-	-	-

Step 6.1.3: Calculation of baseline carbon stock changes

Baseline carbon stock changes were calculated according to Method 1, Equation 10 of the Methodology. The results are set out in Table 5.3.24–29 below for the Project Area and Leakage Belt. Calculations for the Reference Region are optional and have not been performed.

**5.3.4 Baseline non-CO<sub>2</sub> emissions from forest fires (Step 6.2)**

Since non-CO<sub>2</sub> emissions from forest fires are conservatively excluded, this section is not required.

Table 5.3.24. Baseline carbon stock change in the above-ground biomass in the Project Area [= Table 21.b.1 of the Methodology].

Carbon stock changes in the above-ground biomass per initial forest class icl				Total C stock change in the above-ground biomass of the initial forest classes in the Project Area		Carbon stock changes in the above-ground biomass per post defor zone z			Total C stock change in the above-ground biomass of post defor zones in the Project Area		Total net C stock change in the above-ground biomass of the Project Area	
	ID[cl]>	1	2	ΔCabBSLPA [icl,t]	ΔCabBSLPA icl,t]		ID[cl]>	1	ΔCabBSLPA [icl,t]	ΔCabBSLPA [icl,t]	ΔCabBSLPA t	ΔCabBSLPA
	Name>	Dense Forest	Open Forest	Annual	Cumulative		Name>	Mixed Crop	Annual	Cumulative	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-	0		-	-	-	-	-
1	t*	-	-	-	-	1	t*	-	-	-	-	-
2	t*+1	(98,683)	(13)	(98,696)	(98,696)	2	t*+1	705	705	705	(97,991)	(97,991)
3	t*+2	(504,363)	(81)	(504,445)	(603,141)	3	t*+2	4,307	4,307	5,011	(500,138)	(598,129)
4	t*+3	(5,291,640)	(6,704)	(5,298,344)	(5,901,485)	4	t*+3	42,184	42,184	47,195	(5,256,160)	(5,854,289)
5	t*+4	(3,724,999)	(22,845)	(3,747,844)	(9,649,329)	5	t*+4	69,117	69,117	116,313	(3,678,727)	(9,533,016)
6	t*+5	(2,645,165)	(46,953)	(2,692,118)	(12,341,447)	6	t*+5	88,700	88,700	205,013	(2,603,418)	(12,136,434)
7	t*+6	(2,611,043)	(61,470)	(2,672,513)	(15,013,959)	7	t*+6	108,255	108,255	313,268	(2,564,258)	(14,700,692)
8	t*+7	(2,070,119)	(53,837)	(2,123,956)	(17,137,916)	8	t*+7	123,835	123,835	437,103	(2,000,121)	(16,700,813)
9	t*+8	(1,901,824)	(59,364)	(1,961,189)	(19,099,104)	9	t*+8	138,296	138,296	575,398	(1,822,893)	(18,523,706)
10	t*+9	(1,936,896)	(106,394)	(2,043,290)	(21,142,394)	10	t*+9	153,706	153,706	729,105	(1,889,583)	(20,413,289)

Table 5.3.25. Baseline carbon stock change in the below-ground biomass in the Project Area [= Table 21.b.2 of the Methodology].

Carbon stock changes in the below-ground biomass per initial forest class icl				Total C stock change in the below-ground biomass of the initial forest classes in the Project Area		Carbon stock changes in the below-ground biomass per post defor zone z			Total C stock change in the below-ground biomass of post defor zones in the Project Area		Total net C stock change in the below-ground biomass of the Project Area	
	ID[cl]>	1	2	$\Delta C_{bbBSLPA}$ [icl,t]	$\Delta C_{bbBSLPA}$ [icl,t]		ID[cl]>	1	$\Delta C_{bbBSLPA}$ [icl,t]	$\Delta C_{bbBSLPA}$ [icl,t]	$\Delta C_{bbBSLPA_t}$	$\Delta C_{bbBSLPA}$
	Name>	Dense Forest	Open Forest	Annual	Cumulative		Name>	Mixed Crop	Annual	Cumulative	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-	0		-	-	-	-	-
1	t*	-	-	-	-	1	t*	-	-	-	-	-
2	t*+1	(2,171)	(0)	(2,171)	(2,171)	2	t*+1	176	176	176	(1,995)	(1,995)
3	t*+2	(13,267)	(2)	(13,269)	(15,440)	3	t*+2	1,077	1,077	1,253	(12,192)	(14,187)
4	t*+3	(129,680)	(149)	(129,829)	(145,269)	4	t*+3	10,546	10,546	11,799	(119,283)	(133,470)
5	t*+4	(211,628)	(652)	(212,279)	(357,549)	5	t*+4	17,279	17,279	29,078	(195,000)	(328,470)
6	t*+5	(269,820)	(1,684)	(271,504)	(629,053)	6	t*+5	22,175	22,175	51,253	(249,329)	(577,799)
7	t*+6	(327,261)	(3,036)	(330,297)	(959,350)	7	t*+6	27,064	27,064	78,317	(303,233)	(881,033)
8	t*+7	(372,802)	(4,220)	(377,022)	(1,336,372)	8	t*+7	30,959	30,959	109,276	(346,064)	(1,227,097)
9	t*+8	(414,641)	(5,525)	(420,167)	(1,756,539)	9	t*+8	34,574	34,574	143,850	(385,593)	(1,612,690)
10	t*+9	(457,252)	(7,865)	(465,117)	(2,221,656)	10	t*+9	38,427	38,427	182,276	(426,691)	(2,039,380)

Table 5.3.26. Baseline carbon stock change in the deadwood pool in the Project Area [= Table 21.b.3 of the Methodology].

Carbon stock changes in the deadwood pool per initial forest class icl				Total C stock change in the deadwood pool of the initial forest classes in the Project Area		Carbon stock changes in the deadwood pool per post defor zone z			Total C stock change in the deadwood pool of post defor zones in the Project Area		Total net C stock change in the deadwood pool of the Project Area	
	ID[cl]>	1	2	ΔCdwBSLPA [icl,t]	ΔCdwBSLPA [icl,t]		ID[cl]>	1	ΔCdwBSLPA [icl,t]	ΔCdwBSLPA [icl,t]	ΔCdwBSLPA <sub>t</sub>	ΔCdwBSLPA
	Name>	Dense Forest	Open Forest	Annual	Cumulative		Name>	Mixed Crop	Annual	Cumulative	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-	0		-	-	-	-	-
1	t*	-	-	-	-	1	t*	-	-	-	-	-
2	t*+1	(826)	-	(826)	(826)	2	t*+1	171	171	171	(655)	(655)
3	t*+2	(5,046)	(1)	(5,047)	(5,873)	3	t*+2	1,044	1,044	1,214	(4,003)	(4,658)
4	t*+3	(49,326)	(54)	(49,380)	(55,253)	4	t*+3	10,222	10,222	11,437	(39,158)	(43,816)
5	t*+4	(80,496)	(237)	(80,733)	(135,986)	5	t*+4	16,749	16,749	28,186	(63,984)	(107,801)
6	t*+5	(102,631)	(612)	(103,243)	(239,229)	6	t*+5	21,494	21,494	49,680	(81,748)	(189,549)
7	t*+6	(124,480)	(1,103)	(125,583)	(364,812)	7	t*+6	26,233	26,233	75,913	(99,349)	(288,898)
8	t*+7	(141,802)	(1,533)	(143,335)	(508,147)	8	t*+7	30,009	30,009	105,922	(113,327)	(402,225)
9	t*+8	(157,716)	(2,007)	(159,724)	(667,871)	9	t*+8	33,513	33,513	139,435	(126,211)	(528,436)
10	t*+9	(173,924)	(2,857)	(176,781)	(844,652)	10	t*+9	37,247	37,247	176,682	(139,534)	(667,970)

Table 5.3.27. Baseline carbon stock change in the above-ground biomass in the Leakage Belt [= Table 21.c.1 of the Methodology].

Carbon stock changes in the above-ground biomass per initial forest class icl				Total C stock change in the above-ground biomass of the initial forest classes in the Leakage Belt		Carbon stock changes in the above-ground biomass per post defor zone z			Total C stock change in the above-ground biomass of post defor zones in the Leakage Belt		Total net C stock change in the above-ground biomass of the Leakage Belt	
	ID[cl]>	1	2	ΔCabBSLLK [icl,t]	ΔCabBSLLK [icl,t]		ID[cl]>	1	ΔCabBSLLK [icl,t]	ΔCabBSLLK [icl,t]	ΔCabBSLLKt	ΔCabBSLLK
	Name>	Dense Forest	Open Forest	Annual	Cumulative		Name>	Mixed Crop	Annual	Cumulative	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-	0		-	-	-	-	-
1	t*	(711,231)	(474)	(711,705)	(711,705)	1	t*	4,125	4,125	4,125	(707,580)	(707,580)
2	t*+1	(343,500)	(2,293)	(345,793)	(1,057,498)	2	t*+1	6,135	6,135	10,260	(339,658)	(1,047,238)
3	t*+2	(530,601)	(419,134)	(949,736)	(2,007,234)	3	t*+2	12,815	12,815	23,075	(936,920)	(1,984,158)
4	t*+3	(1,593,043)	(529,220)	(2,122,264)	(4,129,497)	4	t*+3	26,599	26,599	49,674	(2,095,665)	(4,079,823)
5	t*+4	(850,154)	(596,030)	(1,446,184)	(5,575,681)	5	t*+4	36,652	36,652	86,326	(1,409,532)	(5,489,355)
6	t*+5	(2,336,224)	(566,074)	(2,902,298)	(8,477,979)	6	t*+5	55,059	55,059	141,385	(2,847,239)	(8,336,594)
7	t*+6	(677,579)	(775,025)	(1,452,605)	(9,930,584)	7	t*+6	65,653	65,653	207,038	(1,386,952)	(9,723,547)
8	t*+7	(245,975)	(920,600)	(1,166,575)	(11,097,159)	8	t*+7	74,998	74,998	282,036	(1,091,577)	(10,815,124)
9	t*+8	(112,278)	(903,912)	(1,016,191)	(12,113,350)	9	t*+8	83,425	83,425	365,461	(932,765)	(11,747,889)
10	t*+9	(132,375)	(1,263,546)	(1,395,922)	(13,509,272)	10	t*+9	95,063	95,063	460,525	(1,300,859)	(13,048,747)



Table 5.3.28. Baseline carbon stock change in the below-ground biomass in the Leakage Belt [= Table 21.c.2 of the Methodology].

Carbon stock changes in the below-ground biomass per initial forest class icl				Total C stock change in the below-ground biomass of the initial forest classes in the Leakage Belt	
	ID[cl]>	1	2	$\Delta\text{CbbBSLLK}$ [icl,t]	$\Delta\text{CbbBSLLK}$ [icl,t]
	Name>	Dense Forest	Open Forest	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-
1	t*	(15,647)	(10)	(15,657)	(15,657)
2	t*+1	(23,203)	(61)	(23,264)	(38,921)
3	t*+2	(34,876)	(9,286)	(44,162)	(83,083)
4	t*+3	(69,922)	(20,933)	(90,856)	(173,939)
5	t*+4	(88,625)	(34,051)	(122,677)	(296,616)
6	t*+5	(140,021)	(46,510)	(186,531)	(483,146)
7	t*+6	(154,927)	(63,567)	(218,495)	(701,641)
8	t*+7	(160,339)	(83,829)	(244,167)	(945,808)
9	t*+8	(162,809)	(103,723)	(266,532)	(1,212,340)
10	t*+9	(165,721)	(131,532)	(297,253)	(1,509,593)

Carbon stock changes in the below-ground biomass per post defor zone z			Total C stock change in the below-ground biomass of post defor zones in Leakage Belt	
	ID[cl]>	1	$\Delta\text{CbbBSLLK}$ [icl,t]	$\Delta\text{CbbBSLLK}$ [icl,t]
	Name>	Mixed Crop	Annual	Cumulative
Project Year t		tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-
1	t*	1,031	1,031	1,031
2	t*+1	1,534	1,534	2,565
3	t*+2	3,204	3,204	5,769
4	t*+3	6,650	6,650	12,418
5	t*+4	9,163	9,163	21,582
6	t*+5	13,765	13,765	35,346
7	t*+6	16,413	16,413	51,759
8	t*+7	18,750	18,750	70,509
9	t*+8	20,856	20,856	91,365
10	t*+9	23,766	23,766	115,131

Total net C stock change in the below-ground biomass of the Leakage Belt	
$\Delta\text{CbbBSLLKt}$	$\Delta\text{CbbBSLLK}$
Annual	Cumulative
tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
-	-
(14,626)	(14,626)
(21,731)	(36,356)
(40,958)	(77,315)
(84,206)	(161,521)
(113,513)	(275,034)
(172,766)	(447,800)
(202,081)	(649,882)
(225,418)	(875,299)
(245,675)	(1,120,975)
(273,487)	(1,394,462)

Table 5.3.29. Baseline carbon stock change in the deadwood pool in the Leakage Belt [= Table 21.c.3 of the Methodology].

Carbon stock changes in the deadwood pool per initial forest class icl				Total C stock change in the deadwood pool of the initial forest classes in the Leakage Belt		Carbon stock changes in the deadwood pool per post defor zone z			Total C stock change in the deadwood pool of post defor zones in the Leakage Belt		Total net C stock change in the deadwood pool of the Leakage Belt	
	ID[cl]>	1	2	ΔCdwBSLLK [icl,t]	ΔCdwBSLLK [icl,t]		ID[cl]>	1	ΔCdwBSLLK [icl,t]	ΔCdwBSLLK [icl,t]	ΔCdwBSLLKt	ΔCdwBSLLK
	Name>	Dense Forest	Open Forest	Annual	Cumulative		Name>	Mixed Crop	Annual	Cumulative	Annual	Cumulative
Project Year t	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	Project Year t	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1	tCO <sub>2</sub> eha-1
0		-	-	-	-	0		-	-	-	-	-
1	t*	-	-	-	-	1	t*	-	-	-	-	-
2	t*+1	(826)	-	(826)	(826)	2	t*+1	171	171	171	(655)	(655)
3	t*+2	(5,046)	(1)	(5,047)	(5,873)	3	t*+2	1,044	1,044	1,214	(4,003)	(4,658)
4	t*+3	(49,326)	(54)	(49,380)	(55,253)	4	t*+3	10,222	10,222	11,437	(39,158)	(43,816)
5	t*+4	(80,496)	(237)	(80,733)	(135,986)	5	t*+4	16,749	16,749	28,186	(63,984)	(107,801)
6	t*+5	(102,631)	(612)	(103,243)	(239,229)	6	t*+5	21,494	21,494	49,680	(81,748)	(189,549)
7	t*+6	(124,480)	(1,103)	(125,583)	(364,812)	7	t*+6	26,233	26,233	75,913	(99,349)	(288,898)
8	t*+7	(141,802)	(1,533)	(143,335)	(508,147)	8	t*+7	30,009	30,009	105,922	(113,327)	(402,225)
9	t*+8	(157,716)	(2,007)	(159,724)	(667,871)	9	t*+8	33,513	33,513	139,435	(126,211)	(528,436)
10	t*+9	(173,924)	(2,857)	(176,781)	(844,652)	10	t*+9	37,247	37,247	176,682	(139,534)	(667,970)

## 5.4 Project Emissions (CL1)

### 5.4.1 Ex-ante estimation of actual carbon stock changes and nonCO<sub>2</sub> emissions in the Project Area (Step 7)

The goal of this step is to provide an ex-ante estimate of the future carbon stock changes under the project scenario (i.e. what is expected to happen instead of the baseline scenario). Since actual carbon stock changes will be subject to Measurement, Reporting, Verification and Accounting, the rationale of these ex-ante estimates is to guide optimal implementation of emission reduction measures, and to allow reasonable projections of revenues to be made.

#### 5.4.1.1 Ex-ante estimation of actual carbon stock changes (Step 7.1)

##### Step 7.1.1: Ex-ante estimation of actual carbon stock changes due to planned activities

The project activities do not include any planned deforestation or harvesting above that existing in the baseline case. Furthermore, no carbon stock increases will be claimed for in areas that would be deforested in the baseline scenario. Therefore it is not necessary to complete Tables 25.a–d or 26.a–d of the Methodology.

##### Step 7.1.2/7.1.3: Ex-ante estimation of carbon stock changes due to unavoidable unplanned deforestation, total emissions within the Project Area

Some unplanned deforestation is likely to happen in the Project Areas despite the planned activities. The level at which deforestation will actually be reduced in the project case depends on the effectiveness of the proposed activities, which must be estimated ex-ante for the purposes of this section. This is done by developing an Effectiveness Index (EI) ranging from 0 (no effectiveness) to 1 (full effectiveness). The projected baseline emissions are multiplied by (1-EI) to give the estimated emissions from unavoidable unplanned deforestation.

For the Seima project Sub-objectives 1-4 involve direct contact with the agents of deforestation (see Section 2.2) so their coverage and effectiveness will ultimately determine the impact the project has on deforestation. The impacts of Sub-objectives 5-7 (finance, administration, monitoring etc.) are felt indirectly, by strengthening the implementation of Sub-objectives 1-4. Table 5.4.1 presents estimates of the level of effectiveness expected to be reached by each sub-objective during each year, with all four of them predicted to reach full effectiveness by 2015. Full effectiveness cannot be reached immediately, in part because no major additional REDD-related finance will likely become available until the time of the first credit sales (after the first verification report). The benefit-sharing system will also take some time to design and test before becoming fully operational, even given sufficient finance. Other important aspects that will take time to scale up or modify include:

- Staffing levels.
- Staff capacity.
- Infrastructure and other facilities.
- Community attitudes towards conservation.
- Responses by local authorities.
- Attitudes by legal violators.

Table 5.4.1 uses expert opinion to combine these factors into sub-objective effectiveness scores. It also provides an assessment of the relative weight of the four sub-objectives. Law enforcement will undoubtedly be the key factor in the first ten years of the project, since historical levels of law enforcement have been generally weak. Alternative livelihoods, in particular perhaps the benefit-share system, also have a key part to play in motivating changed behavior and reducing some of the underlying drivers of deforestation. Development of the legal framework and improvement of mechanisms for land tenure sustainable land use by communities have some direct impact and are crucial enabling conditions for other aspects of the project, but have less overall weight. Combining the individual effectiveness scores and weights gives the overall ex ante Effectiveness Index (EI) in the final column.

**Table 5.4.1. Calculation of the Effectiveness Index for the first fixed baseline period.**

	Impact of Sub-Objectives				Weighted Coverage [=EI]
	1. Legal Framework	2. Law Enforcement	3. Sustainable Land-use	4. Alternative Livelihoods	
	10%	60%	10%	20%	
Relative Importance	10%	60%	10%	20%	
Project Year t					
1	20%	20%	5%	0%	15%
2	20%	20%	10%	5%	16%
3	20%	30%	20%	20%	26%
4	30%	50%	50%	30%	44%
5	50%	75%	75%	50%	68%
6	100%	100%	100%	100%	100%
7	100%	100%	100%	100%	100%
8	100%	100%	100%	100%	100%
9	100%	100%	100%	100%	100%
10	100%	100%	100%	100%	100%

Table 5.4.2 uses the estimated EI from Table 5.4.1 to predict the actual emissions reductions that will be achieved. This is calculated as follows:

$$\Delta CUDdPA[t] = \Delta C_{totBSLPA}[t] * (1-EI)$$

Where:

$\Delta CUDdPA[t]$  = Total ex ante actual carbon stock changes due to unavoided unplanned deforestation at year t in the Project Area; tCO<sub>2e</sub>

EI = Ex ante estimated Effectiveness Index, %,  $\Delta C_{totBSLPA}[t]$  was defined earlier.

**Table 5.4.2. Ex-ante estimated net carbon stock change in the Project Area under the project scenario [= Table 27 of the Methodology].**

	Total baseline CO <sub>2</sub> emissions		Baseline emissions NOT affected by project activities	Residual total carbon stock decrease due to unavoided unplanned deforestation		Total carbon stock change in the project case		Gross ex ante reductions in emissions from carbon stocks due to project activities	
	Annual	Cumulative	Annual	Annual	Cumulative	Annual	Cumulative	Annual	Cumulative
Project Yr	ΔC <sub>tot</sub> BSLPA[t]	ΔC <sub>tot</sub> BSLPA	1-EI	ΔCUDdPA[t]	ΔCUDdPA	ΔCPSPA[t]	ΔCPSPA		
t	tCO <sub>2e</sub>	tCO <sub>2e</sub>		tCO <sub>2e</sub>	tCO <sub>2e</sub>	tCO <sub>2e</sub>	tCO <sub>2e</sub>	tCO <sub>2e</sub>	tCO <sub>2e</sub>
1	-		86%	-	-	-	-	-	-
2	(100,641.3)	(100,641.3)	84%	(84,538.7)	(84,538.7)	(84,538.7)	(84,538.7)	16,102.6	16,102.6
3	(516,333.6)	(616,974.9)	74%	(382,086.9)	(466,625.5)	(382,086.9)	(466,625.5)	134,246.7	150,349.3
4	(5,414,601.2)	(6,031,576.0)	56%	(3,032,176.7)	(3,498,802.2)	(3,032,176.7)	(3,498,802.2)	2,382,424.5	2,532,773.9
5	(3,937,711.1)	(9,969,287.1)	33%	(1,279,756.1)	(4,778,558.3)	(1,279,756.1)	(4,778,558.3)	2,657,955.0	5,190,728.8
6	(2,934,495.4)	(12,903,782.5)	0%	-	(4,778,558.3)	-	(4,778,558.3)	2,934,495.4	8,125,224.2
7	(2,966,840.5)	(15,870,623.0)	0%	-	(4,778,558.3)	-	(4,778,558.3)	2,966,840.5	11,092,064.7
8	(2,459,511.4)	(18,330,134.4)	0%	-	(4,778,558.3)	-	(4,778,558.3)	2,459,511.4	13,551,576.1
9	(2,334,697.0)	(20,664,831.4)	0%	-	(4,778,558.3)	-	(4,778,558.3)	2,334,697.0	15,886,273.1
10	(2,455,808.0)	(23,120,639.3)	0%	-	(4,778,558.3)	-	(4,778,558.3)	2,455,808.0	18,342,081.1



#### 5.4.1.2 Ex ante estimation of actual non-CO<sub>2</sub> emissions from forest fires (Step 7.2)

Since these emissions are conservatively omitted, this step is not required.

#### 5.4.1.3 Total ex ante estimations for the Project Area (Step 7.3)

Table 5.4.3 presents the total ex-ante emissions estimates, combining those due to carbon stock changes. For information, Table 5.4.4 also presents the gross estimated emission reductions, before the calculation of leakage, which is not a formally required step in the Methodology.

**Table 5.4.3. Total ex-ante estimated actual net carbon stock changes and emissions of non-CO<sub>2</sub> gasses in the Project Area [= Table 29 of the Methodology].**

Project Yr t	Total carbon stock decrease due to unavoided unplanned deforestation		Total carbon stock change in the project case	
	Annual	Cumulative	Annual	Cumulative
	ΔCUDdPA[t]	ΔCUDdPA	ΔCPSPA[t]	ΔCPSPA
	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e
1	-	-	-	-
2	(84,538.7)	(84,538.7)	(84,538.7)	(84,538.7)
3	(382,086.9)	(466,625.5)	(382,086.9)	(466,625.5)
4	(3,032,176.7)	(3,498,802.2)	(3,032,176.7)	(3,498,802.2)
5	(1,279,756.1)	(4,778,558.3)	(1,279,756.1)	(4,778,558.3)
6	-	(4,778,558.3)	-	(4,778,558.3)
7	-	(4,778,558.3)	-	(4,778,558.3)
8	-	(4,778,558.3)	-	(4,778,558.3)
9	-	(4,778,558.3)	-	(4,778,558.3)
10	-	(4,778,558.3)	-	(4,778,558.3)

**Table 5.4.4. Gross emissions reductions in the Project Area under the project scenario, prior to leakage estimation [not set out in the Methodology].**

Project Yr t	Gross ex ante reductions in emissions from carbon stocks due to project activities	
	Annual	Cumulative
	tCO <sub>2</sub> e	tCO <sub>2</sub> e
1	-	-
2	16,102.6	16,102.6
3	134,246.7	150,349.3
4	2,382,424.5	2,532,773.9
5	2,657,955.0	5,190,728.8
6	2,934,495.4	8,125,224.2
7	2,966,840.5	11,092,064.7
8	2,459,511.4	13,551,576.1
9	2,334,697.0	15,886,273.1
10	2,455,808.0	18,342,081.1

## 5.5 Leakage (CL2)

### 5.5.1 Ex-ante estimation of leakage (Step 8)

The goal of this step is to provide an ex-ante estimate of the possible decrease in carbon stock and increase in GHG emissions due to leakage (Table 5.5.1). This will assist in designing the optimal leakage prevention measures, identify sources of leakage that are potentially significant and therefore subject to MRV, and to allow making reasonable projections of revenues. Two sources of leakage are considered – that associated with leakage prevention measures, and that associated with activity displacement leakage.

**Table 5.5.1. Potential impacts of leakage management activities on carbon stocks.**

Sub-objective	Leakage Management Activities	Effect in Leakage Management Area
1. Legal and planning	Maintain legal support for SPF/KSWS (including Buffer Areas); SPF/KSWS Management plan covers Buffer Areas; Corridor activities address leakage risks (e.g. through liaison with Ministry of Environment)	None or positive
2. Direct law enforcement	Direct law enforcement, monitoring activities etc.	None or positive
3. Community land-use	Extend land-use agreements, titling and demarcation to sections of village land adjacent to Project Area (especially Leakage Belt and Leakage Management Areas)	None or positive
4. Alternative livelihoods	Action #1: Establish community-based ecotourism	None. Safeguards will ensure that no deforestation, significant tree felling, increased collection of firewood etc. result from any tourism activities.
	Action #2: Support agricultural extension activities	None. Safeguards will ensure no additional deforestation is encouraged by linking all activities to areas identified in official land-use plans. Carbon stocks on farmland itself are generally very low and extension activities are likely to improve this situation through promotion of mixed systems, agroforestry and on-farm production of firewood etc. Support for diversification through processing and marketing will include sustainable sourcing of all inputs.
	Action #3: Provide infrastructure support linked to conservation activities	None. Safeguards will ensure that no forest clearance or forest degradation takes place as part of any infrastructure project. These will typically be community-activities such as water/sanitation facilities and improvements to bridges, existing roads or public buildings.
	Action #4: Develop NTFP-based livelihood projects	None. All such projects will enhance sustainable management, so avoiding degradation of the forest either through direct harvesting or secondary activities.
	Action #5: Develop and manage a system to share carbon benefits	None. Benefits system will include safeguards to avoid increasing emissions (e.g. by excluding grants for certain types of community investment).
	Action #6: Improve literacy and numeracy	None.

#### **5.5.1.1 Ex ante estimation of the decrease in carbon stocks and increase in GHG emissions due to leakage prevention measures (Step 8.1)**

To reduce the risk of activity displacement leakage, baseline deforestation agents should be given the opportunity to participate in activities within the Project Area and in specially designated Leakage Management Areas (outside the Project Area) that together will replace baseline income, product generation and livelihood of the agents as much as possible, so that deforestation will be reduced and the risk of displacement minimized.

If leakage prevention measures include tree planting, agricultural intensification, fertilization, fodder production and/or other measures to enhance cropland and grazing land areas, a reduction in carbon stocks and/or an increase in GHG emissions may occur compared to the baseline case. If such decrease in carbon stock or increase in GHG emission is significant, it must be accounted and monitoring will be required. If it is not significant, it must not be accounted and ex post monitoring will not be necessary.

##### **Step 8.1.1: Carbon stock changes due to activities implemented in Leakage Management Areas**

The planned leakage management activities are summarized in Section 5.2 and Table 5.5.1. The likely impact of each activity on carbon stocks in the Leakage Management Areas. It is concluded that none of the planned activities is expected to have any net impact on carbon stocks.

Given that these activities are judged to pose no risk of carbon stock reductions, it is not deemed necessary to map them or make calculations of significance and Tables 30.a–c of the Methodology need not be completed.

##### **Step 8.1.2: Methane and nitrous oxide emissions from livestock intensification**

Whilst pigs and poultry are commonplace, grazing livestock are only kept in small numbers in the participating villages. This is partly for cultural reasons and partly due to the low demand for draft animals in some of the farming systems in place. For this reason leakage management activities will not focus on the promotion of grazing animals and the numbers of grazing animals in the project case will be fewer than in the baseline case, where the extent of cultivated land requiring draft animals is projected to be much larger.

Thus Tables 32 and 33 of the Methodology are not required, since expected ex-ante emissions above baseline from these sources will be zero.

#### **5.5.2 Ex ante estimation of the decrease in carbon stocks and increase in GHG emissions due to activity displacement leakage (Step 8.2)**

The framework for analysis of activity displacement leakage by smallholders in the project is set out in Annex 3.2, following the Methodology. To estimate this leakage ex-ante a Displacement Leakage Factor (DLF) must be calculated. Ex-post, this leakage is then monitored directly.

The approach described for assessing leakage in the Methodology for Step 8.2 omits one potential source of leakage — those potential future in-migrant smallholders who are deterred from moving to the site by project activities and who are therefore not spatially constrained in the same way as those who have already settled at the site. Therefore a conservative addition to the approach described was made to take account of this.

Leakage due to activity displacement was analyzed for smallholders who are either:

- i. Resident/newly settled at the site.
- ii. Those who are deterred from moving to the site by project activities.

Displacement of group (i) is analyzed within a spatially delimited Leakage Belt, defined in Section 4.4.1.6 following the procedure described in the Methodology Step 8.2.

Displacement of group (ii) is estimated in comparison to projected levels of business-as-usual in-migration extrapolated from the historical reference period. DLF is calculated as the sum of two components, as follows:

$$DLF = DLFr + DLFa$$

Where:

DLF = Displacement Leakage Factor, i.e. the percentage of deforestation expected to be displaced outside the project boundary, %

DLFr = Displacement Leakage Factor for Residents, i.e. the percentage of deforestation attributable to resident smallholders (including those who have settled in the participating villages since the start of the project crediting period) expected to be displaced outside the project boundary, %

DLFa = Displacement Leakage Factor for Avoided Migrants, i.e. the percentage of baseline deforestation attributable to potential in-migrants who were deterred from settling due to the existence of the project and have hence been displaced outside the project boundary, %

#### 5.5.2.1 Activity shifting by residents

Ex-ante, DLFr must be estimated from an analysis of the proportion of local residents engaged in leakage management activities, following page 101 of the Methodology. Annex 3.2 shows the % of families in each village who have an opportunity to participate in leakage management activities, and hence the proportion of the total population who have such opportunities, projected over the first ten year fixed baseline period. The results are summarized in Table 5.5.2. The ex-ante estimate of the proportion of the population not participating is equal to the factor DLFr, defined above.

**Table 5.5.2. Ex-ante estimated proportion of households able to participate in leakage management activities.**

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
% Participating	40%	40%	40%	66%	91%	100%	100%	100%	100%	100%
% Not participating (=DLFr)	60%	60%	60%	34%	9%	0%	0%	0%	0%	0%

#### 5.5.2.2 Activity shifting due to avoided in-migration

The baseline scenario assumes continuing in-migration to the site. However, a proportion of these expected migrants may not come to inhabit the area in the with-project scenario, because project activities are expected to reduce the attractiveness of the area for new migrants. By definition these people cannot participate in leakage management activities, and they may decide to settle (and perhaps deforest) at some distant location outside the monitored Leakage Belt. It is conservatively considered that any deforestation that is prevented by preventing this in-migration will leak to distant forested locations with comparable carbon stocks and so must be discounted at 100%.

Monitoring the movement of people who never even arrive in the landscape presents a conceptual challenge. We find that this displacement factor can be estimated conservatively by projecting the expected overall population growth of the participating villages through the first fixed baseline period and comparing it to the observed growth over the same period. During any given year it is conservative to ascribe the entire difference between the expected population size at the time and the true population size to avoided in-migration. This approach also has the advantage of accounting for any movements out of the area by existing residents that might be attributable to the project, removing the need to monitor these separately. It is assumed that on average any one migrant family is equally likely to cause deforestation as any resident family, and so the percentage of expected deforestation attributable to newly arrived smallholder migrants is equal to the percentage of the population in this sub-category.

Hence DLFa for a given one year period (as defined above) is calculated as the ratio of the cumulative avoided in-migration from the start of the project to the end of that year ('all missing families') to the expected population at the end of that year (see Annex 3.2 for details). To give a simple numerical example, if the expected population at the end of a given year was 10,000 families, including 2000 in-

migrant families (from baseline calculations) but only 9,000 families were actually observed to be present, then 1,000 families are assumed to have been deterred from migrating to the area by project activities up to that date. Therefore, 10% (1,000/10,000) of the expected business-as-usual agents of deforestation are not in practice able to participate in leakage management activities during that year and so 10% of any emissions avoided during that period should be assumed to have leaked for this reason.

Expected populations can easily be calculated since good historical information exists from government sources 2002-2009 and provides a very close statistical fit to an increasing linear trend (Annex 3.2). Table 5.5.3 summarizes the ex-ante estimated DLFa for the first fixed baseline period, assuming 50% effectiveness in deterring migration each year.

**Table 5.5.3. Ex-ante estimated activity displacement due to avoided in-migration.**

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Avoided in-migration (DLFa)	0.9%	2.6%	3.7%	4.7%	5.6%	6.5%	7.2%	7.8%	8.4%	9.0%

#### 5.5.2.3 Total expected displacement due to activity shifting

DLFa and DLFr can be added to give DLF (Table 5.5.4).

**Table 5.5.4. Ex-ante estimated activity displacement due to activity shifting by residents and avoided in-migration.**

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
DLF	60.9%	62.6%	63.7%	38.7%	14.6%	6.5%	7.2%	7.8%	8.4%	9.0%

These DLF values can be combined with the estimated gross emissions reductions in Table 5.4.4 to make an ex-ante estimate of leakage (Table 5.16).

### 5.5.3 Ex ante estimation of leakage (Step 8.3)

Please see

Table 5.5.5 below. The leakage estimates are high, because the Methodology requires that the DLF is multiplied by the entire amount of baseline emissions, rather than the ex-ante estimated emission reductions – and so in early years leakage due to displacement is estimated to be 3-5 times as large as the reduction that is achieved. It is arguably not plausible that deforestation displaced as a result of project activities will exceed the deforestation reduced on site, and so this calculation should be viewed as highly conservative.



**Table 5.5.5. Ex ante estimate leakage due to activity displacement [= Tables 34 and 35 of the Methodology].**

Project Year	Estimated baseline carbon stock change for the Project Area		Displacement leakage factor	Total ex ante estimated decrease in carbon stocks outside the Project Area due to displaced deforestation		Total net increase in emissions due to leakage	
	Annual	Cumulative	DLF	Annual	Cumulative	Annual	Cumulative
	$\Delta\text{CBSLPA}[\text{t}]$	$\Delta\text{CBSLPA}$		$\Delta\text{CADLK}[\text{t}] = \Delta\text{CLK}[\text{t}]$	$\Delta\text{CADLK} = \Delta\text{CLK}$	ELKt	ELK
t	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e
1	-	-	61%	-	-	-	-
2	(100,641.3)	(100,641.3)	63%	63,001.4	63,001.4	63,001.4	63,001.4
3	(516,333.6)	(616,974.9)	64%	328,904.5	391,905.9	328,904.5	391,905.9
4	(5,414,601.2)	(6,031,576.0)	39%	2,095,450.7	2,487,356.6	2,095,450.7	2,487,356.6
5	(3,937,711.1)	(9,969,287.1)	15%	574,905.8	3,062,262.4	574,905.8	3,062,262.4
6	(2,934,495.4)	(12,903,782.5)	7%	190,742.2	3,253,004.6	190,742.2	3,253,004.6
7	(2,966,840.5)	(15,870,623.0)	7%	213,612.5	3,466,617.1	213,612.5	3,466,617.1
8	(2,459,511.4)	(18,330,134.4)	8%	191,841.9	3,658,459.0	191,841.9	3,658,459.0
9	(2,334,697.0)	(20,664,831.4)	8%	196,114.5	3,854,573.6	196,114.5	3,854,573.6
10	(2,455,808.0)	(23,120,639.3)	9%	221,022.7	4,075,596.3	221,022.7	4,075,596.3

## 5.6 Summary of GHG Emission Reductions and Removals (CL1 & CL2)

### 5.6.1 Ex-ante total net anthropogenic GHG emission reductions (Step 9)

#### 5.6.1.1 Significance assessment (Step 9.1)

The six carbon pools were calculated to assess their significance using the latest EB-CDM approved 'Tool for testing significance of GHG emissions in A/R CDM project activities' (Version 01). Source of non-GHG emissions were not estimated as it has been shown that it conservative to exclude them in all cases.

The results of the analysis are shown in Table 5.6.1. Significance is assessed by ranking the pools in order of their percentage contribution to the total climate benefits of the project and summing the contributions, in order, until the threshold of 95% is reached, beyond which any remaining pools can be considered insignificant.

This analysis confirms the choice of carbon pools taken in Step 1.3. The data underlying this table are available to the auditor on request.

**Table 5.6.1. Analysis of significance of the six carbon pools.**

Pool	Net Benefit	% of total	Cumulative	Comments
<b>Significant</b>				
Avoided defor - above ground tree	12,596,544	87.4%	87.4%	
Avoided defor - below ground tree	1,258,390	8.7%	96.2%	First item to exceed 95%
Avoided defor - dead wood	412,168	2.9%	99.0%	Could optionally be deemed insignificant - but included
<b>Insignificant</b>				
Above ground non tree (see below)	258,897	1.8%		Disregarded despite highly conservative assumptions*
Avoided defor - litter	81,809	0.6%		Disregarded despite highly conservative assumptions*
Avoided defor HWP	(202,799)	-1.4%		Disregarded despite highly conservative assumptions
<b>non CO<sub>2</sub> GHGs</b>				
NH <sub>4</sub> from biomass burning				Conservative to omit
NH <sub>4</sub> from livestock				Conservative to omit
Grand total of emissions	14,405,010			

\*Since these two pools probably result in net benefits, it would in any case be conservative to omit them. Conservative assumptions, in the context of this table, maximize the size of the estimated benefits of the smaller pools so as to ensure they are not wrongly concluded to be insignificant.

### 5.6.1.2 Calculation of ex-ante estimation of total net GHG emissions (Step 9.2)

Since emissions from biomass burning have conservatively been excluded, the net anthropogenic GHG emission reduction of the proposed project in a given year is calculated as follows

$$\Delta REDDt = \Delta CBSLPAt - \Delta CPSPAt - \Delta CLKt$$

Where:

$\Delta REDDt$  = ex-ante estimated net anthropogenic greenhouse gas emission reduction attributable to the project activity at year t; tCO<sub>2</sub>e

$\Delta CBSLPAt$  = Sum of baseline carbon stock changes in the Project Area at year t; tCO<sub>2</sub>e [see Table 5.6.1]

$\Delta CPSPAt$  = Sum of ex ante estimated actual carbon stock changes in the Project Area at year t; tCO<sub>2</sub>e [see Table 5.4.3]

$\Delta CLKt$  = Sum of ex ante estimated leakage net carbon stock changes at year; tCO<sub>2</sub>e [see Table 5.5.5]. These values are collated in

Table 5.6.2, below. The very high ex-ante leakage estimates required by the Methodology (see Step 8.3) result in negative net estimated cumulative ex-ante emission reductions until year 4, with positive estimates in each year thereafter.

### 5.6.1.3 Calculation of ex-ante Verified Carbon Units (Step 9.3)

The number of Verified Carbon Units (VCUs) to be generated through the project in year t is calculated as:

$$VCUt = \Delta REDDt - VBCt$$

$$VBCt = (\Delta CBSLPAt - \Delta CPSPAt) * RFt$$

Where:

$VCUt$  = Number of Verified Carbon Units that can be traded at time t; tCO<sub>2</sub>e

$VBCt$  = Number of Buffer Credits deposited in the VCS Buffer at time t; tCO<sub>2</sub>e

$RFt$  = Risk factor used to calculate VCS buffer credits, % [see Section 2.3]

The other variables are defined in Step 9.2.

The results of these final calculations are also presented in Table 5.6.2.

**Table 5.6.2. Ex ante estimated net anthropogenic GHG emission reductions ( $\Delta\text{REDDt}$ ) and Verified Carbon Units (VCUt) [= Table 36 of the Methodology].**

Project Year	Baseline carbon stock changes		Ex ante project carbon stock changes		Ex ante leakage carbon stock changes		Ex ante net anthropogenic GHG emission reductions		Ex-ante VCUs tradable		Ex ante buffer credits		Rf[t]
	Annual	Cumulative	Annual	Cumulative	Annual	Cumulative	Annual	Cumulative	Annual	Cumulative	Annual	Cumulative	
	$\Delta\text{CBSLPA[t]}$	$\Delta\text{CBSLPA}$	$\Delta\text{CPSPA[t]}$	$\Delta\text{CPSPA}$	$\Delta\text{CLK[t]}$	$\Delta\text{CLK}$	$\Delta\text{REDDt}$	$\Delta\text{REDD}$	$\text{VCU[t]}$	$\text{VCU}$	$\text{VBC[t]}$	$\text{VBC}$	
t	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	tCO <sub>2</sub> e	%
1	-	-	-	-	-	-	-	-	-	-	-	-	10%
2	100,641	100,641	84,539	(84,539)	63,001	63,001	(46,899)	(46,899)	(48,509)	(48,509)	1,610	1,610	10%
3	516,334	616,975	382,087	(466,626)	328,905	391,906	(194,658)	(241,557)	(208,082)	(256,592)	13,425	15,035	10%
4	5,414,601	6,031,576	3,032,177	(3,498,802)	2,095,451	2,487,357	286,974	45,417	48,731	(207,860)	238,242	253,277	10%
5	3,937,711	9,969,287	1,279,756	(4,778,558)	574,906	3,062,262	2,083,049	2,128,466	1,817,254	1,609,394	265,795	519,073	10%
6	2,934,495	12,903,782	-	(4,778,558)	190,742	3,253,005	2,743,753	4,872,220	2,450,304	4,059,697	293,450	812,522	10%
7	2,966,841	15,870,623	-	(4,778,558)	213,613	3,466,617	2,753,228	7,625,448	2,456,544	6,516,241	296,684	1,109,206	10%
8	2,459,511	18,330,134	-	(4,778,558)	191,842	3,658,459	2,267,670	9,893,117	2,021,718	8,537,959	245,951	1,355,158	10%
9	2,334,697	20,664,831	-	(4,778,558)	196,115	3,854,574	2,138,582	12,031,700	1,905,113	10,443,072	233,470	1,588,627	10%
10	2,455,808	23,120,639	-	(4,778,558)	221,023	4,075,596	2,234,785	14,266,485	1,989,204	12,432,277	245,581	1,834,208	10%

## 5.7 Climate change adaptation benefits

The long-term effects of climate change in the landscape remain poorly understood. The key threat posed by climate change in the near future is believed to be impacts on agricultural productivity among smallholder farmers, with longer term threats to the productivity of forest resources and changes in water supply. Responses will be integrated with Sub-objective 4 Action 2 (Support agricultural extension activities) and Sub-objective 2 Action 1 (Form and maintain land-use agreements with communities). Communities will be assisted to understand and analyze the risks from climate change, develop simple monitoring approaches as early warning systems and promote climate-smart responses.



**Figure 5.7.1. Cistern installation for water storage (A) and irrigation (B). Water management is a key component of adaptation to irregular precipitation patterns.**



## 6 COMMUNITY

### 6.1 Net Positive Community Impacts (CM1)

#### 6.1.1 Impact of project activities on communities

The project has been designed so as to maximize the positive impacts on communities and minimize the negative ones, seeking to ensure a net positive impact for all stakeholder groups. Two main sources of guidance have been adopted for this process - the Convention on Biodiversity's Akwé:Kon guidelines and the Manual for Social Impact Assessment of Land-based Carbon Projects Version 2.0 (Richards and Panfil 2011). The latter source in particular provides a structured way to assess both positive and negative impacts in a format consistent with the CCB approach.

The key predictions for the business as usual scenario for communities (Section 4.5) were as follows:

- Average income is likely to increase for most social groups but some groups may become worse off as a result of increasingly unsustainable use of the NR base (rattan, timber, bamboo, sleng fruits, fish, wildlife, etc.) and an overall long-term decline in NR-based income. This will be true for both Khmer and indigenous families, but more significant for the latter due to their higher dependence on NR.
- Declines in water supply and quality will occur due to deforestation and intensive agriculture/mining in the Project Area and upstream.
- Some farmers will benefit from the expansion of their land holdings, but many others, especially weaker indigenous families, may experience land alienation and lose income or subsistence products from this source, increasing vulnerability and reducing food security. Many Khmer families may experience high insecurity due to insecure tenure on illegally grabbed land, and all families face the potential risk of dispossession and conflict due to problems with land concessions.
- Land fertility is likely to decline in many areas due to unsustainable practices made worse by insecure tenure.
- Indigenous communities are likely to suffer declines in non-material aspects of well-being, due to weakening of cultural institutions, loss of access to spiritually important forest and land, the shift from farming to laboring and so on.
- Very low levels of adult literacy will persist due to the lack of non-formal education.

It is not realistic to expect that all social problems will be avoided, but the with-project case is nonetheless expected to result in much better social situation for those community members affected by the issues listed above. In comparison to the business as usual scenario the main social benefits are listed below (and see also Table 2.2.1):

- Improving well-being for all social groups, including those vulnerable to declines in natural resources.
- Declines in security and productivity of natural resources minimized and where possible reversed.
- Declines in the quality of water sources prevented or minimized.
- Landlessness among the poor kept low and stable.
- Agricultural productivity and sustainability increasing.
- Losses to concessions minimized/halted.
- Land alienation and land illegally minimized or halted.
- Traditional and new community institutions effective, cultural cohesion improved and adult literacy increased.
- Diversity of viable, sustainable livelihood options increasing.

Table 6.1.1 lists the expected benefits in relation to the planned activities.

**Table 6.1.1 Positive community impacts of project activities.**

Project Action	Positive Impacts
<b>Sub-Objective #1: Key legal and planning documents for the Seima Protection Forest/KSWS and surrounding landscape are approved and implemented</b>	
Action #1: Support for sub-decree maintained among senior government and general public	Recognition of the importance of the SPF/KSWS for local communities
	Maintenance of natural resources
	Deterrence of large-scale external threats
Action #2: Management plan approved and implemented (including zonation and regulations)	Land-use zoning ensures long-term access for legitimate users
	Clarified regulations for forest use will ensure long-term access and deter damaging activities
Action #4: Develop partnerships with the private sector (to reduce impacts by companies)	Reduced impact from industrial activities in the landscape will minimize disturbance to the SPF/KSWS. Key aspects that will be controlled are land-grabbing by company staff, illegal logging, land pollution
Action #5: Develop international cross-border dialogue	Cross-border threats to natural resources reduced
Action #6: Apply adaptive management	Increased opportunities for participation and influence on reserve management
<b>Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement</b>	
Action #1: Enforce wildlife, forest and protected area laws and sub-decree through patrols	Reduced threats to natural resources, risk of land alienation etc.
Action #2: Establish and implement law enforcement monitoring framework	Monitoring of law enforcement impacts will enable the project to track effectiveness and improve practices as necessary.
Action #3: Ensure sufficient patrol buildings, equipment and staffing and Action #4: Ensure sufficient patrol personnel capacity	Sufficient staff and resources are available leading to improved effectiveness of enforcement efforts and increased protection of natural resources and land against all threats
Action #5: Liaise with Provincial, National and other authorities	Coordination will improve effectiveness, for example in processing criminal cases.
Action #6: Establish Community-based Patrolling and/or monitoring system	Community-based patrolling will increase social capital and increase protection efforts further, ensuring continued protection of species and habitat
<b>Sub-Objective #3: Land and resource use by all core zone communities is sustainable</b>	
Action #1: Form and maintain land-use agreements with communities	Agreements will strengthen tenure security and use rights
	Agreements allow for the improved management of forest resources thus controlling over-harvesting
Action #2: Legally register communities and users	Further strengthening of tenure security and use rights
Action #3: Support indigenous communal land titling in appropriate communities	Further strengthening of tenure security and use rights
Action #4: Demarcation of the Forest Estate	Clarification of the forest boundary will reduce forest conversion thus protecting natural habitats and reducing future conflict
Action #5: Conduct extension and communication activities	Increased awareness of rights and of the opportunities for better forest management
Action #7: Engage with civil society organizations operating in the Project Area	Organizations with specialist rural development skills can improve project services

Project Action	Positive Impacts
Sub-Objective #4: Support for alternative livelihoods that reduce deforestation	
Action #1: Establish community-based ecotourism	Income generation and livelihood diversification; opportunities for skill development
Action #2: Support agricultural extension activities	Improved agricultural productivity increases food security, incomes, resilience to shocks and climate change and livelihood diversity.
Action #3: Provide infrastructure support linked to conservation activities	Improved quality of life and/or income generating opportunities
Action #4: Develop NTFP-based livelihood projects	Improved NTFP marketing increases food security, incomes, resilience to shocks and climate change and livelihood diversity.
Action #5: Develop and manage a system to share carbon benefits	Benefit depends on type of benefits selected – in each community may increase incomes, development activities or both
Action #6: Improve literacy and numeracy	Increase adult literacy and numeracy, increasing off farm livelihood options

The expected overall positive impacts of the project on livelihoods are set out in Section 2.2 (especially Table 2.1) using a conceptual model ('theory of change') to make the links and assumptions clear, as recommended by Richards and Panfil (2011). These positive outcomes include improvements in overall livelihood measures, improved status of natural resources and agricultural productivity for participating communities and a reduction in the levels of several key threats to livelihoods. These net benefits will be positive for all community groups. Specific livelihood indicators and targets have not yet been set but will be developed within 12 months of validation (Section 8).

Potential negative impacts should also be considered but for these, instead of a theory of change approach, it is recommended to conduct multi-stakeholder assessments, reviewing each element of the project in turn and assessing its likely impacts on each stakeholder group (Richards and Panfil 2011). In the Seima REDD+ Project a preliminary impact assessment was developed within the project team, and then consulted widely on this with local stakeholders, incorporating most of these discussions into the awareness raising stage for the consultation described in this document and also holding a dedicated workshop for community leaders (Sopha Sokhun Narong 2010). The results are shown in Annex 6.1. The proposed mitigation measures were in most cases already a part of project design, and the remainder have now been incorporated. The Annex will be used as a tool to review the occurrence of negative impacts during project monitoring and adaptive management.

### 6.1.2 Impact on social High Conservation Values (HCVs 5 & 6)

As described in Section 1.3 the identified HCVs correspond closely to the overall project targets. Thus the interventions outlined in Sections 2.2 and 2.4, designed to have a net positive impact on local communities, will also benefit the social HCVs. The positive impacts of project activities on HCVs are detailed in the HCV assessment report (Pollard and Evans 2012) and are summarized in Table 6.1.2.

**Table 6.1.2. Positive impacts of project activities on social HCVs.**

High Conservation Value	Corresponding project targets	Positive impacts
HCV5: Forest areas fundamental to meeting basic needs of local communities	Increase security and productivity of natural resources to support local livelihoods, maintain the variety, integrity, and extent of all forest types	Productivity of critically important NTFPs (including fisheries) is maintained, security of resources and access to resources increased, extent of productive forest maintained
HCV6: Forest areas critical to local communities' traditional cultural identity	Increase security and productivity of natural resources to support local livelihoods, maintain the variety, integrity, and extent of all forest types	All spiritual sites protected

## 6.2 Negative Offsite Stakeholder impacts (CM2)

The stakeholder analysis (Section 2.7) shows that there are no negative offsite stakeholder impacts expected, as all significant legitimate user groups of the area have been included in the project design. A list of potential negative community, community group and HCV attribute impacts from project activities along with necessary measures needed and taken are found in Table 6.2.1.

**Table 6.2.1. Potential negative community impacts and measures needed.**

Project Action	Potential Negative Impacts	Assessment & Mitigation of Threats
Sub-Objective #1: Key legal and planning documents for the Keo Seima Wildlife Sanctuary and surrounding landscape are approved and implemented		
Action #1: Support for sub-decree maintained among senior levels of government and general public	Restriction of development options	There is no significant restriction on options for community development beyond those in national law
		Mitigation of any possible restriction of options comes from increased investment in alternative and improved livelihoods
Action #2: Management plan approved and implemented (including zonation and regulations)	Zonation will exclude traditional harvest activities in certain areas (to be defined through consultation)	This is best considered voluntary displacement of customary uses; further FPIC will be sought for this step, risks will be countered by careful design and piloting, compensation for resin tree users, targeted provision of alternative livelihoods
Action #6: Adaptive Management system (regular public reviews and workplans)	Undue representation of certain groups	Structured, balanced forum for participation
Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement		
Action #1: Enforce wildlife, forest and protected area laws and sub-decree through patrols	Inappropriate prevention of legal uses, selective enforcement, over-harsh punishment, unclear rules	Legal awareness, monitoring, training, enforcement strategies, demarcation/regulations, grievance system, regular staff reviews, strong responses to any corruption found
Action #2: Establish and implement law enforcement monitoring framework	Physical risks to informants from criminals	Voluntary participation, incentives not enough to motivate undue personal risk taking, confidentiality rules, adaptive management, grievance system
Action #3: Ensure sufficient patrol buildings, equipment and staffing	Buildings on community land	Obtain community approval before building or seek other locations
Action #6: Establish Community-based Patrolling and/or monitoring system	Risk from offenders; conflict within community; legal liability	Manage through community groups; voluntary participation, participatory approaches; coordinate with local government; adaptive management; develop cautiously to resolve legal issues
Sub-Objective #3: Land and resource use by all core zone communities is sustainable		
Action #1: Form and maintain land-use agreements with communities	Communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for	Participatory process, safeguards for all village members; grievance process; local gov. oversight

Project Action	Potential Negative Impacts	Assessment & Mitigation of Threats
Action #2: Legally register communities and users	CBO formation gives too much power to some groups; individual registration excludes some users unfairly	Participatory process (= national process for ICC, local process for user cards), safeguards for all village members; grievance process; local gov oversight
Action #3: Indigenous land titling in appropriate communities	Communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for	Participatory process, safeguards for all village members; grievance process; local gov oversight
Action #4: Demarcation of the Forest Estate; reforestation of recent clearance	Communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for; reforestation in wrong areas	Participatory process (see WCS/FA/MoE 2009), safeguards for all village members; grievance process; local gov oversight
<b>Sub-Objective #4: Support for alternative livelihoods that reduce deforestation</b>		
Action #1: Establish sustainable timber harvests in buffer zone areas	Damage from logging, corruption/social conflict, inequitable benefit-sharing; business liabilities	FA approval of management plan/ESIA; financial safeguards; participatory approach, oversight by local authorities
Action #2: Establish community-based ecotourism	Environmental and social impacts from tourists, corruption/social conflict, inequitable benefit-sharing; business liabilities	Environmental screening/monitoring; code of conduct for tourists and agents; participatory approach, oversight by local authorities
Action #3: Support agricultural extension activities	Inequitable benefit-sharing, corruption	Participatory approach, oversight by local authorities
Action #4: Provide infrastructure support linked to conservation activities	Inequitable benefit-sharing, corruption	Participatory approach, oversight by local authorities
Action #5: Develop NTFP-based livelihood projects	Over-harvest, corruption/social conflict, inequitable benefit-sharing; business liabilities	MoE approval of management plan/ESIA; participatory approach, oversight by local authorities
Action #6: Develop and manage a system to share carbon benefits	Corruption/social conflict, inequitable benefit-sharing	Participatory approach, oversight by local and national authorities
Action #7: Improve literacy and numeracy	Inequitable benefit-sharing	Participatory approach, oversight by local authorities
<b>Sub-Objective #5: Collect information on long-term ecological and social trends</b>		
Action #4: Facilitate research that will benefit the management of the SPF/KSWS	Unethical research	Ensure ethical review by source institution



## 7 BIODIVERSITY

### 7.1 Net Positive Biodiversity Impacts (B1)

#### 7.1.1 Impact of project activities on biodiversity

South-east Asia has seen major losses of biodiversity in the last 40 years (Sodhi *et al.* 2010) and this project aims to reverse that trend for a site of acknowledged international importance. The project aims to maintain the variety, integrity, and extent of all forest types and increase populations of wildlife of conservation concern.

The predicted net benefits for biodiversity will be:

- i. The persistence of a full range of intact, ecologically functional habitats which are minimally degraded and disturbed by humans.
- ii. The persistence and recovery of populations of some species of conservation concern. These populations should fulfil their full range of ecological functions and eventually grow to carrying capacity.

The fundamental assumption is that these biodiversity benefits will be achieved by reducing the threats outlined in Section 4.5. The key threats that can be addressed to bring net benefits for biodiversity are habitat loss (forest and lowland wetlands/grasslands), hunting in all its forms, and over-harvest of plant NTFPs. These, and other threats listed in Section 4.5, will be addressed by the suite of activities set out in Section 2.2. The conceptual model described in Section 2.2 further illustrates each of the assumptions underlying the implementation of each of these activities.

Absolute levels of biodiversity will vary across species during project implementation. Specific species populations will (a) continue at an unchanged pace, (b) decline at a slower rate, (c) stabilize, or (d) recover in the project area. For many of the threatened and endangered species it is expected that the populations will stabilize as a result of project activities, however it is anticipated that many will continue to decline due to small populations and/or high market value (see Table 4.5.11). Through expert consultation with regional biodiversity experts<sup>24</sup> a method for ex-ante qualitative assessment of population trends was developed. The assessment uses (1) historic trends from survey data between 2005 and 2010, (2) population threats (Section 4.5.4), (3) patrol information from law enforcement activities, and (4) an assessment of activity effectiveness.

These anticipated trends are displayed in Table 7.1.1 for the full list of threatened and endangered animal species present in the SPF along with the factors contributing to these anticipated trends. These factors use the following abbreviations:

RH	Reduced Hunting
RHL	Reduced Habitat Loss
RHV	Rare and/or High Value
VLP	Very Low Populations

For many of the rare species with high market value (RHV) a continued decline in populations is anticipated, albeit at a slowed rate. Absent of external changes (reduced market demand) hunting pressure is simply too high for these rare high value species to stabilize or recover. For the majority of the other species it is expect that the populations will stabilize or, in a few cases, recover as a result of reduced hunting (RH) and reduced habitat loss (RHL) from project activities. A number of the endangered species in the project area have observation occurrences too low due to very low populations (VLP) to anticipate the population impact of project activities. For species of low concern continued stable populations are anticipated.

<sup>24</sup> Correspondence with regional conservation biologists Hannah O'Kelley, PhD, Simon Mahood, MSc, Alex Diment PhD, and Mathew Nutall MSc.

**Table 7.1.1. Anticipated with-project population trends for Seima animal species.**

Species		Population Trends and Factors			
English Name	Scientific Name	No change	Decline Slowed	Stable	Recover
Malayan Pangolin	<i>Manis javanica</i>		RHV, RH, RHL		
Pygmy Loris	<i>Nycticebus pygmaeus</i>		RH, RHL		
Northern Pig-Tailed Macaque	<i>Macaca leonina</i>			RH, RHL	
Stump-Tailed Macaque	<i>Macaca arctoides</i>			RH, RHL	
Germain's Silvered Langur	<i>Trachypitecus germaini</i>			RH, RHL	
Black-Shanked Douc	<i>Pygathrix nigripes</i>			RH, RHL	
S. Yellow-Cheeked Cr. Gibbon	<i>Nomascus gabriellae</i>			RH, RHL	
Dhole	<i>Cuon alpinus</i>	VLP, UNK			
Asiatic Black Bear	<i>Ursus thibetanus</i>		RHV, RH, RHL		
Sun Bear	<i>Helarctos malayanus</i>		RHV, RH, RHL		
Smooth-Coated Otter	<i>Lutrogale perspicillata</i>			RH, RHL	
Asian Small-Clawed Otter	<i>Aonyx cinereus</i>			RH, RHL	
Binturong	<i>Arctictis binturong</i>			RH, RHL	
Large-spotted Civet	<i>Viverra zibetha</i>			RH, RHL	
Marbled Cat	<i>Pardofelis marmorata</i>			RH, RHL	
Clouded Leopard	<i>Neofelis nebulosa</i>		RHV, RH, RHL		
Asian Elephant	<i>Elephas maximus</i>		RHV, RH, RHL		
Sambar Deer	<i>Rusa unicolor</i>		RH, RHL		
Eld's Deer	<i>Rucervus eldii</i>		RH, RHL		
Banteng	<i>Bos javanicus</i>		RH, RHL		
Gaur	<i>Bos gaurus</i>		RH, RHL		
Green Peafowl	<i>Pavo muticus</i>			RH, RHL	
White-Winged Duck	<i>Cairina scutulata</i>	VLP			
Pale-Capped Pigeon	<i>Columba punicea</i>	VLP			
Sarus Crane	<i>Grus antigone</i>	VLP			
Masked Finfoot	<i>Heliopais personata</i>	VLP			
White-Rumped Vulture	<i>Gyps bengalensis</i>				RHL
Red-Headed Vulture	<i>Sarcogyps calvus</i>				RHL
White-Shouldered Ibis	<i>Pseudibis davisoni</i>				RHL
Giant Ibis	<i>Pseudibis gigantea</i>			RH	
Lesser Adjutant	<i>Leptoptilos javanicus</i>	VLP			
Manchurian Reed Warbler	<i>Acrocephalus tangorum</i>	VLP			
Yellow-breasted Bunting	<i>Emberiza aureola</i>			RH, RHL	
Great Slaty Woodpecker	<i>Mulleripicus pulverulentus</i>			RH, RHL	
Giant Asian Pond Turtle	<i>Heosemys grandis</i>			RH	
Yellow-Headed Temple Turtle	<i>Hieremys annandali</i>			RH	
Elongated Tortoise	<i>Indotestudo elongata</i>		RH, RHV		
Asiatic Softshell Turtle	<i>Amyda cartilaginea</i>		RH, RHV		
Marten's Floating Frog	<i>Occidozyga martensii</i>	VLP			
Annam Tree Frog	<i>Rhacophorus annamensis</i>	VLP			

It is assumed that project activities will have a positive impact to biodiversity relative to the baseline scenario through the reduction of hunting, habitat loss, and overharvest of forest and NTFPs. Table 7.1.2 outlines which activities mitigate which threats, and describes the positive impacts that will result from the successful implementation of each intervention. The following text provides more detail about efforts in relation to each of these threats. No negative effect on biodiversity in the Project Area is anticipated from any project activities.

**Table 7.1.2. Positive biodiversity impacts of project activities (in italics are the threats addressed with major threats underlined)**

Project Action	Positive impacts
Sub-Objective #1: Key legal and planning documents for the Seima Protection Forest and surrounding landscape are approved and implemented	
Action #1: Support for sub-decree maintained among senior government and general public	Recognition of the importance of the SPF/KSWS
<i>All threats, especially important in controlling <u>habitat loss</u>.</i>	Deterrence of large-scale external threats
Action #2: Management plan approved and implemented (including zonation and regulations)	Stabilized land-use by residents will protect natural habitats
<i>All threats.</i>	Clarified regulations for forest use will reduce damaging activities
	Areas of strict protection identified and managed appropriately, leading to reduced disturbance to wildlife populations and optimal hunting controls, creating demographic source areas
Action #3: Mondulkiri Provincial Corridors strategy implemented (maintain links to other forests)	Protection of the wider landscape will help conserve species that range widely through the area, for example Asian Elephants, large carnivores and vultures
<i><u>Habitat loss</u> and fragmentation in the wider landscape</i>	
Action #4: Develop partnerships with the private sector (to reduce impacts by companies)	Reduced impact from industrial activities in the landscape will minimize disturbance to the SPF/KSWS. Key aspects that will be controlled are hunting and trapping by company staff, illegal logging, and pollution
<i><u>Hunting</u>, <u>habitat loss</u>, incidental disturbance, pollution</i>	
Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement	
Action #1: Enforce wildlife, forest and protected area laws and sub-decree through patrols	This is the key strategy to protect biodiversity.
<i><u>Hunting</u>, <u>habitat loss</u>, and over-harvest of NTFPs</i>	Will protect biodiversity from direct exploitation and disturbance leading to increasing or stable populations of many species of conservation concern and protection of threatened ecosystems
Action #2: Establish and implement law enforcement monitoring framework	Monitoring of law enforcement impacts will enable the project to track effectiveness and improve practices if necessary. This will ensure that efforts adapt to changing threats, and protection of species and habitat is maintained
<i><u>Hunting</u>, <u>habitat loss</u>, and over-harvest of NTFPs</i>	
Action #3: Ensure sufficient patrol buildings, equipment and staffing and Action #4: Ensure sufficient patrol personnel capacity	Sufficient staff and resources are available leading to improved effectiveness of enforcement efforts and increased protection of species and habitat against all threats
<i><u>All threats</u></i>	
Action #5: Liaise with Provincial, National and other authorities	Coordination will improve effectiveness, for example in processing criminal cases and for addressing threats such as wildlife trade that extent beyond the borders of the project zone
<i><u>All threats</u></i>	

Project Action	Positive impacts
Action #6: Establish Community-based Patrolling and/or monitoring system  <u>Hunting, habitat loss, and over-harvest of NTFPs, incidental disturbance</u>	Community-based patrolling will increase community support for activities and increase protection efforts further, ensuring continued protection of species and habitat
Sub-Objective #3: Land and resource use by all core zone communities is sustainable	
Action #1: Form and maintain land-use agreements with communities  <u>Habitat loss, over harvesting of NTFPs, incidental disturbance</u>	Agreements will stabilize land-use and reduce conversion of natural habitats, especially critical areas such as grasslands and wetlands important to large waterbirds and Eld's Deer, bamboo groves used by elephants and salt-licks used by ungulates  Agreements allow for the improved management of forest resources thus controlling over-harvesting and minimizing habitat disturbance
Action #4: Demarcation of the Forest Estate; reforestation of recent clearance  <u>Habitat loss</u>	Clarification of the forest boundary will reduce forest conversion thus protecting natural habitats
Action #5: Conduct extension and communication activities  <u>All threats.</u>	Increased awareness of forest laws, and the impact of activities on the forest and wildlife will lead to changes in attitude and behavior. Increased compliance with the laws will reduce pressures on species and ecosystems
Sub-Objective #4: Support for alternative livelihoods that reduce deforestation	
Action #1: Establish community-based ecotourism  <u>Habitat loss, over harvesting of NTFPs</u>	Income generation from the legal activities will reduce the need for local communities to engage in destructive activities such as hunting, and the conversion of forest to cash crops  Tourism links income to forest and species conservation, providing a direct incentive for local residents to protect species and habitats
Action #2: Support agricultural extension activities  <u>Habitat loss</u>	Improved agricultural productivity and diversity will stabilize land-use, thus reducing habitat conversion  Cash income from farming will reduce the need for local communities to engage in destructive activities such as hunting
Action #3: Develop NTFP-based livelihood projects  <u>Over harvesting of NTFPs</u>	Improved NTFP management will lead to more sustainable harvesting and reduced habitat disturbance

The key activities and mitigation measures that will address deforestation are: the development of legal and policy documents for the Project Zone, including a comprehensive management plan and zonation and; and active enforcement of Cambodia's forestry and land laws. Forest habitats will be protected from illegal logging by law enforcement.

Wetland habitats are especially threatened throughout Asia (Bezuijen *et al.* 2008) and particular effort will be made to protect rivers and forest pools throughout the Project Area. Protecting such wetlands for conversion is vitally important for several highly threatened species including Giant and White-shouldered Ibis, White-winged Duck, and freshwater turtle species. Permanent pools also serve as vital dry season water sources for large mammals and their protection is essential for the recovery of a number of ungulates such as Banteng, Elephant and Eld's Deer. The enabling environment to support the application of these activities will be improved through community engagement to enhance land-use patterns and reduce pressures on forest resources.

Control of hunting will primarily be by patrolling of key habitats and areas known to be under threat from hunting and trapping. This will act as a deterrent to hunters who fear arrest or loss of equipment, and the confiscation and removal of snares, weapons and other hunting equipment will directly reduce

pressures on all species. Law enforcement activities will also target trade routes, markets and known middle-men. Illegal and unsustainable fishing will be controlled through enforcement of laws and SPF/KSWS regulations. Plant resources (e.g. housing timber and NTFPs) will be harvested sustainably and in accordance to Cambodian law and agreements between the SPF/KSWS management and local communities. Enforcement of these agreements will be by law enforcement teams and self-regulation by community institutions.

Several more minor threats have been identified (Section 4.5). These threats are currently having a relatively low impact on the biodiversity of the area, or only affect a few species. Incidental disturbance will be reduced as a secondary effect of other management activities. Livelihood support and law enforcement efforts will reduce the total number of people accessing the forest by excluding illegal users and increasing the amount of time people spend on non-forest livelihoods. In addition zonation will create strict protection areas where human disturbance will be minimized. This will reduce disturbance a key sites such as dry season water sources and mineral licks enabling key species such as ungulates to survive through seasonal stresses.

Specific threats to vultures from reduced food sources will be addressed through the use of 'vulture restaurants'. These provide supplementary food in the form of slaughtered domestic cattle and have proved to be a successful strategy in other parts of Cambodia. Accidental poisonings will be mitigated as part of a nationwide program to raise awareness on the appropriate use of agro-chemicals. These methods will increase the suitability of the Project Zone for vultures and should see their return to the area, and aid the recovery of the species globally.

The main project strategy to address the threat of increasing pollution, especially of freshwater ecosystems, is engaging with private sector developments as they arise in the landscape. Project staff and partners will engage with the private sector and relevant government line agencies to encourage leading-edge and best practices in plantation development and mining.

Key strategies that will be encouraged are the maintenance of riparian corridors of natural habitats and reduced use of agro-chemicals in plantations, and the application of the recommendations of the International Council on Mining and Metals and the Australian Enduring Values framework (ICMM 2006, MCA 2005). Agricultural assistance with local communities will also promote the minimization of pesticide use and adherence to good practices where use is unavoidable.

The two key predictions for the business as usual scenario for biodiversity (Section 4.5) were:

- i. Mostly-deforested landscape with the remaining forest fragmented, degraded, and significantly disturbed by humans due to easier access;
- ii. Landscape which has been heavily over-hunted and over-harvested, leading to a depauperate fauna and flora lacking most of the species of conservation significance present today, with many of the other species surviving in severely reduced numbers.

It is not realistic to expect that all threats to biodiversity can be prevented, but the with-project case is nonetheless expected to result in much richer biodiversity than the business-as-usual case. In comparison to the business-as-usual scenario the predicted net benefits for biodiversity in the with-project scenario will be:

- i. The survival of a greater extent of threatened habitats, which are also less fragmented, less degraded and less disturbed by humans
- ii. The survival and eventual recovery of populations of some species of conservation concern which would otherwise become severely depleted or wholly extinct in the landscape.

### **7.1.2 Impact of project activities on ecological High Conservation Values (HCV1-4)**

The identified HCVs correspond closely to the overall project targets (Section 1.3). The interventions outlined in Section 2.2 are designed to have a net positive impact on biodiversity (as described above and see also Section 2.4). The positive impacts of project activities are described in full in the HCV assessment report (Pollard and Evans 2012) and are summarized in Table 7.1.3.



Table 7.1.3. Positive impacts of project activities on ecological HCVs.

High Conservation Value	Corresponding targets	Positive impacts
HCV 1: Significant concentrations of biodiversity values	Increase populations of wildlife of conservation concern	Increasing or stable populations of many Globally Threatened and endemic species
HCV 2: Landscape level forests	Maintain the variety, integrity, and extent of all forest types	Maintenance of large intact forest areas.
		Maintained connectivity with wider forest landscape
HCV 3: Threatened ecosystems	Maintain the variety, integrity, and extent of all forest types	Deforestation rates reduced to 0%.
		Conversion of wetlands and natural grasslands halted

### 7.1.3 Project activities involving potentially harmful species

#### 7.1.3.1 Potentially invasive species

No project activities are planned that might increase the potential for problem invasive species. The project does not envisage any problems with invasive species if habitat protection measures are successful.

Some potentially invasive species are present in the Project Area but none appear to be impacting severely on natural ecosystems, and probably will not unless habitats become highly fragmented and degraded as in the without-project scenario. For example, various *Mimosa* species occur in anthropogenically disturbed sites such as farm and road edges, but have not spread into natural forest. *Chromolaena odorata* is found on road edges and in regenerating vegetation along old logging roads, however it also does not appear to be spreading into natural forest.

#### 7.1.3.2 Non-native species

The project will not involve the use of non-native species except possibly on a very small scale, for ornamental purposes. Some non-native tree species (notably *Acacia mangium*) were planted as ornamentals prior to the start of project activities, but none have been planted in the Project Area since 2010. Any assisted regeneration or re-forestation activities in the Project Area will use native species which are readily available from local FA nurseries (for example *Dipterocarpus alatus* and *Hopea odorata*) or from seeds collected in the Project Area.

#### 7.1.3.3 Genetically Modified Organisms

No Genetically Modified Organisms (GMOs) are currently used in the Project Zone, as far as is known. GMOs will not be used in any project activities. The use of GMOs on farms in the Project Zone will not be supported by REDD-funded agricultural assistance projects.

### 7.1.4 Other project activity impacts

#### 7.1.4.1 Fertilizer, Pesticides, and Biological Control

The main project strategy is to address the loss of forest from agricultural expansion. Most project activities, by definition, reduce the potential use of fertilizer, pesticides, or biological control agents since they reduce the conversion of forest to agricultural lands. In some limited cases, activities supporting indigenous communities within the Project Area include supporting sustainable agricultural practices as an economic alternative to timber harvest. These sustainable agricultural approaches include fertilizer and chemical pesticide alternatives such as compost and plant-based pest deterrents.

#### 7.1.4.2 Waste products

No large scale or particularly harmful wastes have resulted from project activities with waste management decisions typical of rural habitation. Waste products resulting from project activities are identified upon inception of each activity and plans for waste disposal determined at that time. To date, waste resulting from project activity have been handled as follows. Typical trash production of day to day living from ranger stations, ecotourism, and patrolling activities include small volume paper, plastics (e.g. beverage containers), and worn equipment (e.g. discarded shelter materials). All waste products are also stored onsite at the SPF/KSWS ranger stations and managed with methods typical of Cambodian rural lifestyle which includes composting of organic materials, burning combustibles and recycling reusable materials. Lavatory facilities use standard leach pit designs with the exception of the ecotourism camp site which uses a composting toilet design. Seized property from patrol activities, in addition to timber and wildlife, include vehicles, machines, and tools. These items are held on-site at SPF ranger stations during legal proceedings and may be auctioned off or used by rangers after conclusion of the court case.

## 7.2 Negative Offsite Biodiversity Impacts (B2)

### 7.2.1 Potential negative offsite biodiversity impacts

The project has identified potential negative offsite biodiversity impacts by reviewing the threats to biodiversity in Cambodia, and predicting how project activities may affect these outside the Project Zone. These issues have been discussed with stakeholders working in other parts of eastern Cambodia, including those working in areas that may potentially be affected.

Various offsite impacts could potentially occur. The most severe threat to the site is deforestation for small-holder farms or plantation development. Control of deforestation in the Project Zone could lead to deforestation elsewhere leading to negative impacts on forest biodiversity elsewhere. The issues of deforestation leakage are covered in Section 5.5, and will not be dealt with further in this section.

The control of the other threats to biodiversity listed in Section 4.5 could potentially lead to them being displaced to other parts of the Project Zone, or elsewhere in the country. Hunting and trapping of high value species, for example trophy species such as Banteng, Sambar and Eld's Deer, species for traditional medicine (e.g. Pygmy Loris) or bushmeat could all theoretically be displaced. Similarly illegal collection of forest resources (NTFPs, and fish) may be displaced. Finally, it is possible that illegal logging of high-value species, and for domestic use, could be displaced to other forest areas in Cambodia.

### 7.2.2 Mitigation of negative offsite biodiversity impacts

Most of the potential negative offsite impacts will be avoided or mitigated through several approaches at different scales. These are part of overall project activities as listed in Section 2.2. Some offsite impacts of hunting and logging will be managed by working with government and non-government partners across the landscape to support conservation activities beyond the Project Zone (Sub-objective #1: Actions #3, #4, #5; and Sub-objective #2: Action #5). Phnom Prich Wildlife Sanctuary (PPWS) and Monduliri Protection Forest (MPF) are the sites of long-running conservation programs by the World Wildlife Fund Cambodia program (WWF), in collaboration with Ministry of Environment and FA. WCS has collaborated with WWF in forming a Monduliri Provincial Conservation Planning Unit. This unit works with Provincial departments and Governors offices to improve land planning decisions and to support the management of protected areas. A coordinated approach at the provincial level will minimize the possibility that improved protection of the Project Area will simply displace pressures to neighboring protected areas. The KSWS project team also works closely with MoE, FA and WWF staff to share information on threats, and methods to mitigate them.

The project will work with local residents to improve natural-resource management patterns and alternative income sources (Sub-objectives #3 and #4). Therefore many practices that have negative impacts on biodiversity will not be displaced, but rather they will be replaced with alternative options. For example, in the bamboo-rich areas of Sre Khtum commune the project will work with village groups to develop bamboo management strategies to enhance the sustainability of harvesting and minimize

the pressure to over-harvest, or harvest bamboo in neighboring areas (Sub-objective #4: Action #5). Similar resource-use plans will be developed for all villages in the Project Area where key resources are being over-harvested. These will enhance the sustainability of vital subsistence activities such as collection of forest foods, and fishing and reduce the need to collect these commodities beyond the Project Zone. Similarly livelihood support work (Sub-objective #4: Action #1, 2, 3) will provide alternative sources of income and reduce levels of hunting for food or income, or the over-exploitation of other forest resources. Livelihood development is supported by a program in literacy and numeracy (Sub-objective #4: Action #7). Acquisition of functional literacy is a crucial step in the process of improved livelihoods and alleviation of poverty for the residents of the Project Zone. Without these basic, foundational skills, making any sustainable improvements in livelihood skills or attendant knowledge is far more difficult.

The project is not committing to achieve net conservation benefits for luxury-grade timber species at risk from illegal logging, other than protecting habitat in which future regeneration may be possible from the stock of immature trees. The with-project emissions scenario conservatively assumes that most stocks of these highly sought-after species in SPF/KSWS may eventually be cut, despite the best efforts of the project, because the level of pressure is so intense in relation to the law enforcement effort that is feasible. If some success is achieved in preventing cutting of these species, net benefits will probably occur since these species are now economically extirpated from many, perhaps most other areas in North-east Cambodia and so there is little scope for leakage.

### **7.2.3 Demonstration of net positive biodiversity impacts**

The predicted positive biodiversity impacts of the project will far outweigh any potential unmitigated negative offsite impacts. It may not be possible to control all offsite negative impacts. Within Cambodia and neighboring countries there continues to be high demand for wildlife products including meat, trophies and parts thought to have medicinal properties (Ashwell & Walston 2008). Control of hunting in the Project Zone cannot be accompanied by a nationwide reduction in demand given the resources of the proposed REDD+ project. It is also beyond the scope of the project to improve management and protection of conservation areas throughout Cambodia. Hence it is possible that cessation of hunting of high-value species in the Project Zone will lead to some increased pressure on other, less well protected populations.

Any unmitigated negative offsite impacts are however likely to be more than compensated for by the positive biodiversity benefits within the Project Zone. Most forest areas beyond the SPF/KSWS and neighboring protected areas have been heavily hunted and logged during the last few decades (Loucks *et al.* 2009). The biodiversity values of these areas are now severely degraded. Most of the threatened wildlife species (such as elephants, Sambar, large carnivores, large waterbirds) have been extirpated from these forests. Many of the high-value species (e.g. Sambar, Banteng, Gaur, and Serow) are now restricted to a few highly reduced populations in the most remote or well protected areas.

Any displacement of subsistence hunting and trapping activities from the SPF/KSWS will therefore largely be to areas of less value for biodiversity. The populations of key species, such as Banteng, Gaur, Elephant and Southern Yellow-cheeked Crested Gibbon, in the Project Zone are amongst the largest in the country, and are of regional or global importance. The successful protection of globally important populations of endangered species within the Project Zone will eventually lead to the recovery of these populations to much higher population levels, approaching carrying capacity for the habitat. These population recoveries, and their ability to seed the repopulation of neighboring areas (should management improve there) form a very significant positive biodiversity impact of the project.

Populations of these species beyond the Project Zone not in protected areas are generally already very small and likely to decline to extinction even in the baseline scenario. Therefore any marginal increase in threats to them caused by displacement due to project activities will have limited impact on long-term outcomes and will be more than outweighed by the positive impacts within the Project Area. The same general argument can be made for the protection of the rare non-forest habitats in the Project Area, and over-harvested rare NTFP species.

### 7.3 Exceptional Biodiversity Benefits (GL3)

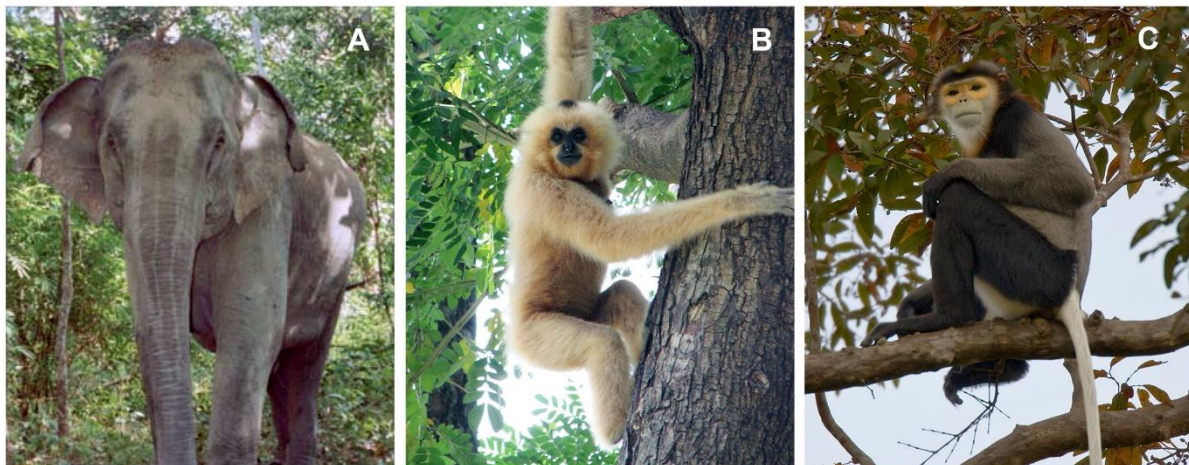
The project qualifies for Gold Level as it will have globally exceptional biodiversity benefits. The Project Zone meets both of the main criteria for Gold Level:

1. Vulnerability – many Globally Threatened species occur in the Project Zone
2. Irreplaceability – the Project Zone holds significant populations of at least three restricted-range species and large proportions of the world's population of at least five other species

The site has also been recognized as outstanding in many previous priority-setting exercises, as described in Section 1.3. The project goes beyond simply noting the presence of these key species. Project design aims to improve the population status of these key species through targeted measures, and a significant number of them are included among the species that are formally monitored to confirm that their status improves (e.g. Table 8.1.8).

Numerous species occurring in the Seima Protection Forest meet the qualifying conditions of vulnerability or irreplaceability. A subset of these were selected to demonstrate conservation importance of the Project Area. Asian Elephant, Southern Yellow-Cheeked Crested Gibbon, and Black-Shanked Douc, Table 7.3.1, were selected as three 'Trigger' species to illustrate the high conservation priority of the project site and success of conservation measures. These three species are threatened by habitat loss and by hunting for both consumption and trade.

Elephants are targeted by poachers due to the extremely high demand for ivory and other body parts. The primates are targeted to be eaten or to be sold as pets or for body parts. These species were selected due to their (1) endangered status, (2) globally significant populations, (3) risk of extirpation, and (4) management relevance other key species present in SPF/KSWS. For all of the Trigger species a rigorous monitoring system is in place that will provide precise population estimates that will for definitive identification of population trends (See Section 8 for more details).



**Figure 7.3.1.** SPF trigger species are Asian Elephants (A), Yellow-cheeked crested gibbon (B), and Black-shanked douc (C).

#### 7.3.1 Vulnerability

The Project Area is home to at least 41 Globally Threatened vertebrate species, as listed in Table 7.3.1. Population data are given for 2010 or the nearest available year following Pollard *et al.* (2008) and O Kelly *et al.* (2010, 2011, 2012). The site is also of exceptional importance for the conservation of threatened trees (Section 1.3).



Table 7.3.1. Globally threatened species recorded in the Project Zone, trigger species in bold text.

Class	English Name	Scientific Name	Status*	SPF importance^
Mammalia	Malayan Pangolin	<i>Manis javanica</i>	EN	Regional
Mammalia	Pygmy Loris	<i>Nycticebus pygmaeus</i>	VU	Global
Mammalia	Northern Pig-Tailed Macaque	<i>Macaca leonina</i>	VU	National
Mammalia	Stump-Tailed Macaque	<i>Macaca arctoides</i>	VU	Possibly regional
Mammalia	Germain's Silvered Langur	<i>Trachypithecus germaini</i>	EN	Possibly global
Mammalia	<b>Black-Shanked Douc</b>	<b><i>Pygathrix nigripes</i></b>	<b>EN</b>	<b>Global</b>
Mammalia	<b>S. Yellow-Cheeked Cr. Gibbon</b>	<b><i>Nomascus gabriellae</i></b>	<b>EN</b>	<b>Global</b>
Mammalia	Dhole	<i>Cuon alpinus</i>	EN	Possibly regional
Mammalia	Asiatic Black Bear	<i>Ursus thibetanus</i>	VU	Possibly regional
Mammalia	Sun Bear	<i>Helarctos malayanus</i>	VU	National
Mammalia	Smooth-Coated Otter	<i>Lutrogale perspicillata</i>	VU	Unknown
Mammalia	Asian Small-Clawed Otter	<i>Aonyx cinereus</i>	VU	Unknown
Mammalia	Binturong	<i>Arctictis binturong</i>	VU	Unknown
Mammalia	Large-spotted Civet	<i>Viverra megaspila</i>	VU	Unknown
Mammalia	Marbled Cat	<i>Pardofelis marmorata</i>	VU	Unknown
Mammalia	Clouded Leopard	<i>Neofelis nebulosa</i>	VU	Possibly regional
Mammalia	<b>Asian Elephant</b>	<b><i>Elephas maximus</i></b>	<b>EN</b>	<b>Regional</b>
Mammalia	Sambar Deer	<i>Rusa unicolor</i>	VU	Possibly regional
Mammalia	Eld's Deer	<i>Rucervus eldii</i>	EN	Regional
Mammalia	Banteng	<i>Bos javanicus</i>	EN	Global
Mammalia	Gaur	<i>Bos gaurus</i>	VU	Regional
Aves	Green Peafowl	<i>Pavo muticus</i>	EN	Global
Aves	White-Winged Duck	<i>Cairina scutulata</i>	EN	Regional
Aves	Pale-Capped Pigeon	<i>Columba punicea</i>	VU	Unknown
Aves	Sarus Crane	<i>Grus antigone</i>	VU	Unknown
Aves	Masked Finfoot	<i>Heliopais personata</i>	EN	Unknown
Aves	White-Rumped Vulture	<i>Gyps bengalensis</i>	CR	Possibly Global
Aves	Red-Headed Vulture	<i>Sarcogyps calvus</i>	CR	Possibly Global
Aves	White-Shouldered Ibis	<i>Pseudibis davisoni</i>	CR	Possibly Global
Aves	Giant Ibis	<i>Pseudibis gigantea</i>	CR	Possibly Global
Aves	Lesser Adjutant	<i>Leptoptilos javanicus</i>	VU	National
Aves	Manchurian Reed Warbler	<i>Acrocephalus tangorum</i>	VU	Unknown
Aves	Yellow-breasted Bunting	<i>Emberiza aureola</i>	VU	Unknown
Aves	Great Slaty Woodpecker	<i>Mulleripicus pulverulentus</i>	VU	Unknown
Reptilia	Giant Asian Pond Turtle	<i>Heosemys grandis</i>	VU	Regional
Reptilia	Yellow-Headed Temple Turtle	<i>Hieremys annandali</i>	EN	Global
Reptilia	Elongated Tortoise	<i>Indotestudo elongata</i>	EN	Global
Reptilia	Asiatic Softshell Turtle	<i>Amyda cartilaginea</i>	VU	Unknown
Amphibia	Marten's Floating Frog	<i>Occidozyga martensii</i>	VU	Unknown
Amphibia	Annam Tree Frog	<i>Rhacophorus annamensis</i>	VU	Unknown

\* 2010 IUCN Red List of Globally Threatened Species: Cr = Critically Endangered; En = Endangered; Vu = Vulnerable

^ Expert assessment of likely contribution of SPF to maintaining global population size and ancestral range



Table 7.3.1 includes 18 vertebrate species that are listed as either Critically Endangered or Endangered, each of which alone would qualify the site for Gold Level status. The Gold Level threshold for Vulnerable species is 30 individuals or ten pairs, a level that is likely to be met by almost all of the remaining species listed in the table.

### 7.3.2 Irreplaceability

#### 7.3.2.1 Endemic species

The southern part of the Project Zone which is dominated by evergreen and semi-evergreen forest formations is part of the Southern-Vietnam / Cambodia Endemic Bird Area (Stattersfield *et al.* 1998). This is in recognition of the presence of three restricted-range bird species: Germain's Peacock-pheasant, Orange-necked Partridge and Grey-faced Tit-babbler. It is not yet known whether the Project Zone support more than 5% of the global population of these species. The Orange-necked Partridge is known from only 17 disjunct forest patches in southern Vietnam, and the SPF in Cambodia (IUCN 2010). Given that the potential area in SPF of the species' preferred habitat of bamboo forest is large relative to many of the <20 Vietnamese sites, it seems likely that more than 5% of the global population of the species is found in the Project Zone. Further research is required to confirm this.

Two frog species new to science have been described from the Project Area (Figure 7.3.2; Stuart 2005), the O'Reang Horned Frog (*Ophryophryne synoria*) and Mouhot's Litter Frog (*Leptobrachium mouhoti*). The horned frog is still known globally from only one river system in the south of the SPF/KSWS, and Mouhot's Litter Frog is known from only a few locations (J Rowley pers comm.). The Project Area therefore contains the entire world's known population of O'Reang Horned Frog, and most likely has more than 5% of the world's population of Mouhot's Litter Frog.

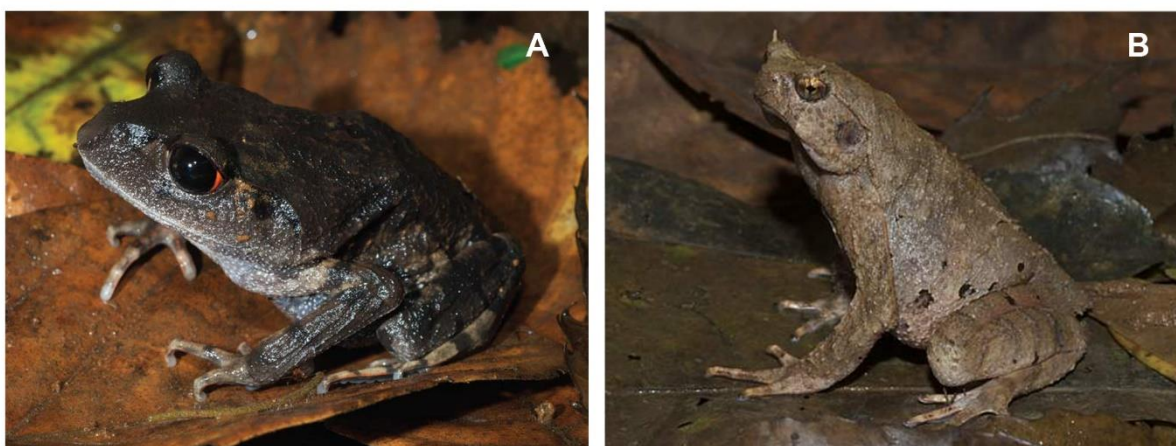


Figure 7.3.2. Two new species of frogs were discovered within the Project Area, Mouhot's Litter Frog (A) and O'Reang Horned Frog (B).

#### 7.3.2.2 Globally significant populations

Globally significant populations of several other species occur in the Project Zone. Lack of robust data on global population sizes or species ranges for these species makes assessment of whether they qualify under the irreplaceability criterion hard to judge but on current evidence it is reasonable to presume that, among others, some or all of the species listed below have globally significant populations (>1% of global population) in the Project Zone.

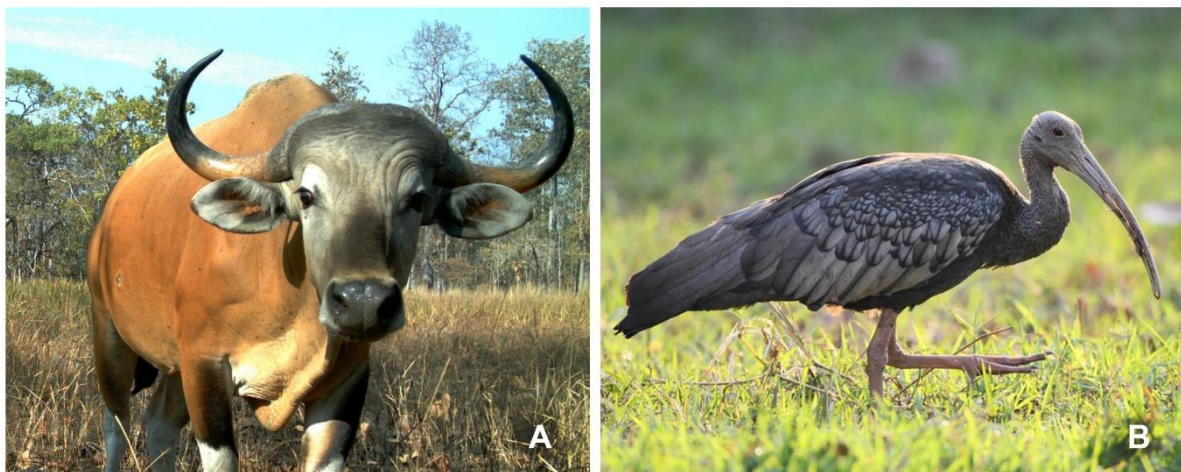
**Black-shanked Douc (Figure 7.3.1 C).** This monkey is restricted to southern Vietnam and eastern Cambodia. It is currently known from a few fragmented forest patches but the total area species' range is yet to be determined. The population of the species in the Project Area has been estimated (Nuttall *et al.* 2013) at 22,003 (range 14,518-33,347) individuals. This is the largest known population in the world, and significantly larger than the next largest reported population of an estimated 500-700 in Nui Chau National Park, Vietnam (Nader *et al.* 2003, Rawson 2009).

**Southern Yellow-cheeked Crested Gibbon (Figure 7.3.1 B).** This species is restricted to southern Vietnam and eastern Cambodia but the total range of the species is yet to be determined. The population of the species in the Project Area has been estimated (Nuttall *et al.* 2013) at around 891 (range 411-1933) individuals. This is the largest known population in the world. The next largest recorded populations are around 150 groups in Phnom Prich Wildlife Sanctuary (Phan Channa and Gray 2009), and around 150 groups in Cat Tien National Park, Vietnam (Hao *et al.* 2005 in IUCN 2010)

**Banteng (Figure 7.3.3 A).** This was historically a wide ranging species found in Java and Borneo, through peninsular Malaysia, Thailand, Myanmar, Cambodia, Vietnam and Laos. It is now restricted to a few scattered populations, none thought to be larger than 400-500 animals. The global wild populations is not known, but could be between 5,000 and 8,000 (IUCN 2010). The population of both wild cattle species in the Project Zone has been estimated as 1094 (range 352-3264), of which about half are Banteng (O'Kelly and Nut Meng Hor 2011). This may represent over 5% of the maximum estimated global population of 8,000 (IUCN 2010). The population in the SPF is part of a larger meta-population in neighboring protected areas (Gray *et al.* 2012). Such significant populations make SPF/KSWS and Mondulkiri as a whole of global importance for the species.

**Green Peafowl (Figure 1.2.10 A).** The range of this formerly widespread and abundant species covered parts of Java and peninsular Malaysia, Thailand, Myanmar, north-east India, Indochina and southern China. It is now restricted to a few small fragmented populations, with a global population estimated at 10,000-20,000 (IUCN 2010). The population in the Project Zone is estimated as 569 (range 271-1194), which is 2.5-5% of the global estimates. Birdlife International (2001), Brickle *et al.* (2008) suggested that Mondulkiri was a global stronghold of this Endangered species, with the SPF forming a core part of the population.

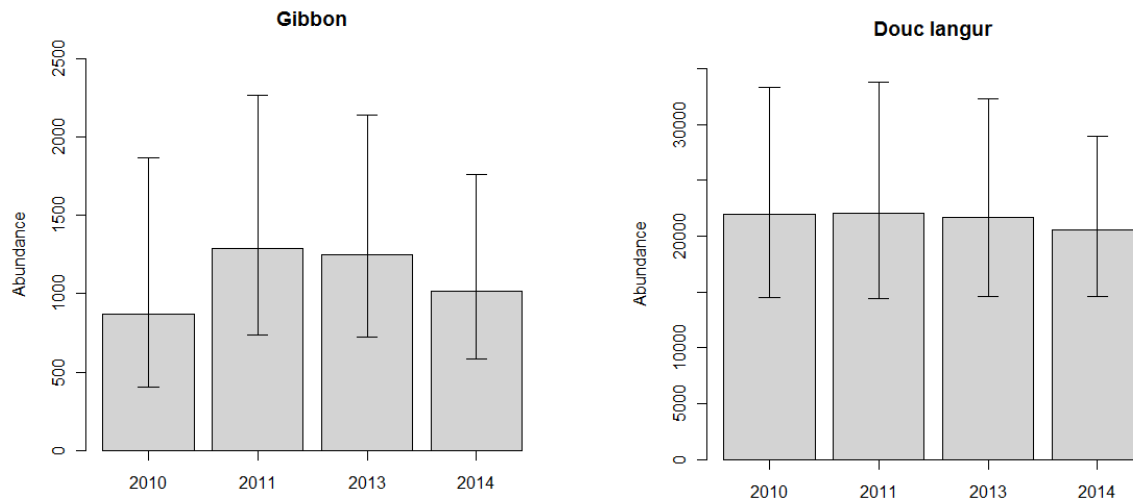
**Giant Ibis (Figure 7.3.3 B).** The largest ibis species in the world is restricted to the deciduous dipterocarp forests of the lower Mekong. It lives at low densities (IUCN 2010) and is dependent on areas of forest with very low levels of human disturbance. As a consequence of habitat loss and disturbance the global population of the species was estimated as a minimum of only 100 pairs (IUCN 2010), and is now found almost exclusively in northern and eastern Cambodia. Giant Ibis have been recorded in the Project Zone on several occasions (Bird *et al.* 2006, Claasen and Ou 2007, WCS data), and although no nests have yet been found it is highly likely that the species breeds there. Given the area of potential habitat, and the number and dispersal of records obtained, it seems likely that several pairs occur in which case the population would easily represent more than 1% of the estimated global population.



**Figure 7.3.3.** The Project Zone contains globally significant populations of both Banteng (A) and the Critically Endangered Giant Ibis (B).

### 7.3.3 Recent population trends of Trigger species

Both primates are monitored as part of multi-species line transect surveys that are carried out every year or every second year. The line transect system is a statistically robust and comprehensive biodiversity monitoring system, probably the best of its kind in Indochina. Below in Figure 7.3.4 are the results of the line transect surveys that were conducted in 2010, 2011, 2013, and 2014.



**Figure 7.3.4. Results of line transects between 2010 and 2014 for two of the three Trigger species. Estimates are absolute abundance for the Yellow-cheeked crested gibbon and Black-shanked douc.**

The results of the line transect surveys in Seima between 2010 and 2014 demonstrates that the populations of both primates are stable. It is unknown whether these populations have reached carrying capacity. If so, it is anticipated they will remain stable and if not they can be expected to increase under effective management.

Elephant populations throughout the region are known to be declining (Choudhury *et al.* 2008) and it is likely that they are also declining in the Mondulkiri landscape. Several confirmed poaching incidents have been documented in the last two years and demand for ivory and parts remains high. A precise population estimate for elephants was obtained through a dung DNA survey in 2006 (Pollard *et al.* 2007) and a second survey was carried out in 2015. When the results from the 2015 survey are available a trend in the elephant population will be confirmed. It is anticipated that increasing the effectiveness of management will reverse the assumed negative trend in the SPF elephant population.

The information for these three species obtained from the land transect surveys and the dung DNA surveys represent excellent indicators for trends in biodiversity over the life of the project.

Due to (a) the high market value of these species, (b) severe historic declines, and (c) dependence on intact habitat for survival it is anticipated that the likely trend without the project for the trigger species is rapid extirpation.

### 7.3.4 Protection measures and Indicators

The two primary threats to the Trigger species in SPF/KSWS are loss of habitat and poaching. Patrolling by rangers since the project inception have dissuaded poaching, illegal logging, and illegal forest conversion to agriculture within SPF/KSWS.



## 8 MONITORING

### 8.1 Description of the Monitoring Plan (CL3, CM3 & B3)

#### 8.1.1 Adaptive management system and the annual monitoring cycle

SPF/KSWS operates an adaptive management system which is informed by the quantitative monitoring programs for climate, community and biodiversity benefits, set out below, as well as a broad range of other qualitative information. Key outputs from this system form the basis of the periodic verification reports that are required to demonstrate project benefits.

Verification reports will be produced periodically but the adaptive management system itself is based on the annual work-planning cycle. A new annual plan is developed each year at a convenient time during the period June-August. The new plan is based on two main inputs – the strategic management plan and the results of implementing the previous year's plan.

- a) The first strategic management plan was developed in 2009 and is closely based on the structure of the conceptual model for the project (Section 2.2). It has now been updated to form the project workplan presented in Annex 2.1. This will be updated from time to time as required to take account of changing circumstances. Any significant changes will be mentioned in verification reports.
- b) Results from the previous year are collated during a 2-3 day annual planning workshop during which each of the seven sub-objectives is reviewed in turn. Most technical and managerial staff of the project participate, together with selected external stakeholders (e.g. MoE staff, local NGO team leaders). Team members and technical advisors make presentations on activities, monitoring results and other observations from the preceding year, outcomes are compared to targets from the previous workplan, and then a participatory process is followed to develop a new workplan and propose adjustments to the overall strategic plan.

The new workplan and a summary report against the previous workplan in tabular format are submitted to the REDD+ national focal-point at MoE and shared with component leaders on the SPF/KSWS team and partner organizations.

In order to increase the formal involvement of local communities in the adaptive management process as it relates to the REDD+ project, structured community consultations are being introduced in a step-wise fashion, beginning in June 2012 with a community leaders' feedback workshop held immediately before the annual planning workshop. The section on monitoring community benefits below explains how this system will be expanded step-by-step during the life of the project.

Responsibility for the adaptive management process rests with the National Project Manager, in collaboration with the SPF/KSWS Senior Technical Advisor.

The sections below describe in detail those elements of the monitoring program that are required for the verification reports. Verification reporting timetable is set out in Section 4.4, Step 1.2.

The monitoring includes four main tasks:

1. Monitoring of carbon stock changes and GHG emissions for periodical verifications within the fixed baseline period.
2. Monitoring of key baseline parameters for revisiting the baseline at the end of the fixed baseline period.
3. Monitoring community benefits.
4. Monitoring biodiversity benefits.

As required by the CCBA Standard (CL3.2) the project will disseminate the plan and the results of monitoring, ensuring that they are made publicly available on the internet and are communicated to the communities and other stakeholders.

## 8.1.2 Monitoring C-stock changes and GHG emissions for periodical verifications (Task 1)

There are three main monitoring tasks:

- Task 1.1 Monitoring of actual carbon stock changes and GHG emissions within the Project Area;
- Task 1.2 Monitoring of leakage; and
- Task 1.3 Ex post calculation of net anthropogenic GHG emission reduction.

For each of these a monitoring plan is set out below.

### 8.1.2.1 Monitoring actual C-stock changes and GHG emissions within the Project Area (Task 1.1)

Task 1.1 is divided into four components: monitoring of project implementation; monitoring of land-use and land-cover change (i.e. activity data), monitoring of carbon stock changes and non CO<sub>2</sub> emissions from forest fires (i.e. emission factors) and monitoring of impacts of natural disturbances and other unexpected events. Each of these is described in detail below, followed by the calculation of total ex-post estimated actual net changes in carbon stocks and emissions of GHG gases in the Project Area.

#### Monitoring of project implementation (Task 1.1.1)

##### a) Technical description of the monitoring tasks

Project implementation is based on the long-term workplan presented in Annex 2.1, with task lists for each year in annual workplans developed according to the adaptive management system described above. The monitoring task will collect data on whether these activities were conducted, to what level they were completed and if not completed, how the subsequent year's workplan will compensate for this.

##### b) Data to be collected

At the end of each year at minimum an annual report is completed in tabular format identifying the degree to which each action has been completed. The exact data to be collected depends on the specific action being reported on, but might for example include the number of law enforcement patrol days conducted, number of villages in which land titles were issued and number of kilometers of forest boundary demarcated.

##### c) Overview of data collection procedures

The data for each activity are provided by the responsible staff for that activity, supported by documentary information where appropriate (e.g. patrol records in the computerized SMART system, copies of new land titles). The data are collected at or around the time of the annual work-planning and reporting meeting.

##### d) Quality control and quality assurance procedures

The officers collating the report will cross-check a subset of the data and evidence reported under each Sub-objective to ensure that reporting is of acceptable quality.

##### e) Data archiving

Data will be archived at the MoE and at the WCS Country Program office, with a copy of key records also held at the SPF/KSWS HQ.

##### f) Organization and responsibilities of the parties involved in all the above

Responsibility for the monitoring of project implementation rests with the National Project Manager, in collaboration with the SPF/KSWS Senior Technical Advisor.



### Monitoring of land-use and land-cover change (Task 1.1.2)

#### a) Technical description of the monitoring tasks

The only mandatory category of change subject to MRV in the SPF/KSWS project is Category I, the area of forest land converted to non-forest land (Methodology Table 37). No existing national monitoring program exists that is comparable to those used to determine the project baseline, so data must be collected specifically for the project.

The monitoring task will be conducted in as similar a fashion as possible to the analysis of the historical baseline period (Annex 3.5). The task should be completed prior to each verification report. Interim analyses can be completed over shorter periods (e.g. annually), to inform adaptive management, but to maximize accuracy each analysis for verification purposes should span the full period since the project start date (in the first report) or the previous verification report (for subsequent reports) and not be the sum of several annual analyses.

#### b) Data to be collected

Methods used to monitor LU/LC change categories and to assess accuracy will be similar to those explained in Part 2, Step 2.4 and Part 2, Step 2.5, respectively of the Methodology. They will be consistent with the methods used to develop the historical baseline deforestation maps.

The area to be analyzed will include at a minimum the whole Project Zone at each verification event.

The result of this process will be estimates of the deforestation (ha) within each forest class for the Project Area and Leakage Belt as required to produce ex-post versions of Table 5.3.2 and Table 5.3.3 (Tables 9.b and 9.c of the Methodology) and Table 5.3.6 and Table 5.3.7 of the PD (Tables 11.b and 11.c of the Methodology).

In addition, the locations and areas of planned deforestation and planned harvest (logging, fuelwood, charcoal) will be monitored annually. No such activity is expected, but the adaptive management and monitoring system described above will be sufficient to detect reports of any cases that do occur. Where reports of planned harvests are confirmed, documentary information on the extent of the planned harvest will be collected and supplemented/ground-truthed with appropriate field data collection using GPS or similar technology to delineate in a conservative manner the affected parcels. The result of this process will be a set of polygons within a GIS that define the areas potentially affected by carbon stock changes to be assessed under Task 1.1.3.

Areas of catastrophic natural change are discussed under Task 1.1.4.

#### c) Overview of data collection procedures

Medium-resolution imagery will be obtained from two sources:

- i. Covering the whole area to be analyzed for the relevant dry season (ideally during December–March) from whichever Landsat sensor is most appropriate at the relevant time, if available, or the most similar alternative sensor if not.
- ii. Covering as much as possible of the Project Zone, especially the open forest areas, for the preceding rainy season (approx. June–October) from a relevant medium-resolution radar sensor.

The images should be co-registered to the 1998 Landsat images used in the historical period and, if required, subject to radiometric correction. Multi-date supervised classification should be conducted using the same land-use classes and definitions as in Annex 3.5, with training data derived from field observations. The same software, tools and analytical steps as in Phase 1 (Steps 1–5) of the analysis should be used, unless changes in software availability necessitate the use of a closely equivalent package or tool. The analyst(s) will also write a report in the format of Annex 3.5 detailing the steps followed, including any necessary tables (such as Table 5 of the Methodology). Locations and extent of any planned deforestation or harvest documented and mapped will be detailed in the same report, or a stand-alone document as appropriate.

d) Quality control and quality assurance procedures

The analyst will conduct an accuracy assessment comparable to that set out in Annex 3.5, using high resolution imagery or field ground truth collected according to a statistically robust sampling framework. Imagery or field data should relate to a date within 12 months +/- from the date of the main analysis. The required accuracy threshold will be as for the historical deforestation baseline.

e) Data archiving

All imagery, working data and final classifications will be archived with the MoE and at the WCS Country Program office.

f) Organization and responsibilities of the parties involved in all the above

Responsibility for organizing the analysis rests with the National Project Manager, in collaboration with the KSWs Senior Technical Advisor. The actual analysis should be conducted by one or more highly skilled analysts, either in-house or external as convenient, who have a proven track record of producing high quality land-cover change analyses in comparable vegetation types.

*Monitoring of carbon stock changes and non CO<sub>2</sub> emissions from forest fires (Task 1.1.3)*

a) Monitoring of carbon stock changes

Under current ex ante assessment, no areas will be subject to controlled deforestation and planned harvest. However, all activities taking place inside the Project Area will be monitored as described above. If any such activities are initiated, the management plan will include the monitoring of carbon stock changes following each harvest or deforestation event, following the procedures set out in the Methodology. Tables 25.a, b, c, and 27 of VM0015 will be used to estimate CO<sub>2</sub> emissions resulting from such harvesting. Monitoring due to unplanned and significant carbon stock decrease resulting from fires is described below under Task 1.1.4.

b) Monitoring of non-CO<sub>2</sub> emissions from forest fires

It is mandatory to monitor CH<sub>4</sub> emissions from forest fires and to include them if they are found to be significant. This will be done by collecting the variables required for Table 23 of the Methodology and reporting them in Table 24 of the Methodology. In essence one must estimate the average percentage of the deforested area in which fire was used, the average proportion of mass burnt in each carbon pool and the average combustion efficiency of each pool. The deforested area is already being monitored for the assessment of emissions from other pools and carbon stocks in each relevant burnt pool are presented in this PD. The remaining parameters (percentage of area affected by fire, proportion burnt and combustion efficiency), will be conservatively estimated as constants from the literature.

*Monitoring of impacts of natural disturbances and other catastrophic events (Task 1.1.4)*

a) Technical description of the monitoring tasks

According to VM0015, decreases in carbon stocks and increases in GHG emissions (e.g. in case of forest fires) due to natural disturbances (such as hurricanes, earthquakes, flooding, fires etc.) or man-made events, including those over which the project proponent has no control (such as acts of terrorism or war), are subject to monitoring and must be accounted under the project scenario, when significant. Catastrophic natural disturbances are not expected to occur in the area as there is no history of them occurring, but there is a theoretical possibility that they will. Annual monitoring will be conducted to detect whether such an event has occurred, and if it has then to trigger more detailed assessments of how significant it is. Any significant CH<sub>4</sub> emissions from natural fires will be reported as noted under Task 1.1.3.

b) Data to be collected

Table 27 of VM0015 will be used to estimate the CO<sub>2</sub> emissions resulting from such events and potentially Tables 26.a and d to report carbon stock increases during subsequent regrowth.

The carbon stock change ( $\Delta C_{total,t}$ ) will be calculated using one of the two below approaches. The locations of natural disturbances and other catastrophic events will be delineated in a GIS. Disturbances or events with an aggregate area of 10 ha or more will be considered potentially significant and subject to quantification of stock changes. Given carbon stocks reported in Annex 4.3 the total loss of above and below ground carbon stocks from 10 ha of dense forest would be unlikely to exceed 10,000 tCO<sub>2e</sub> which is most unlikely to result in stock changes which are significant in the overall context of the project (see below). This highly conservative threshold will ensure that no genuinely significant disturbances are overlooked.

According to VM0015, once the stock change has been quantified its significance will be determined in the context of the overall stock changes within the Project Area using the most recent CDM-approved and VCS-endorsed version of the 'Tool for testing significance of GHG emissions in A/R CDM project activities'. For areas judged potentially significant the emissions associated with each event and location will be determined in one of two ways at the discretion of the project management team:

- i. The carbon stock change ( $\Delta C_{total,t}$ ) will be assumed to equal the total carbon stock of each relevant forest class ( $C_{total,t}$ ) within the area delineated.
- ii. In cases where only a portion of the carbon stocks are believed to have been impacted by the event, field data collection can take place to estimate the carbon stocks remaining following the methods delineated in Section 5.3 of VM0015. The carbon stock change ( $\Delta C_{total,t}$ ) will be assumed to be the difference between the total carbon stock of the forest class prior to the event ( $C_{total,t}$ ) and the carbon stocks following the event.

If the event results in sufficiently large emissions, then it will be described as a loss event in accordance with the VCS Standard Definitions (p. 7) and the appropriate reports and other procedures will be completed. If substantial regrowth is judged to have occurred at subsequent verification events, the project management team may opt to measure and account for this regrowth using the same approach described in (ii) above. CH<sub>4</sub> emissions from natural fires will be quantified as noted under Task 1.1.3.

#### c) Overview of data collection procedures

The methods set out in Subtask 1.1.2 do not provide annual data and so are not suitable for monitoring catastrophic natural events. Medium resolution imagery (Landsat or similar) will be visually inspected on an annual basis by a trained analyst in combination with fire hotspot data from publicly available MODIS products. Verbal reports of catastrophic events will also be collated on a routine basis from project field staff. If either of these sources suggests a significant natural loss of carbon has occurred, a field inspection will be made to assess the site. Routine annual grass fires in the fire-adapted open forest are not considered to have any effect on the average carbon stocks of any pool and so will not be delineated in this way.

#### d) Quality control and quality assurance procedures

The satellite inspection and interviews with field staff will provide a cross-check on one another. Quality assurance for the field measurements will be conducted in accordance with the standard operating procedures listed in Annex 3.3.

#### e) Data archiving

All imagery, working data and final classifications will be archived with the MoE and at the WCS Country Program office.

#### f) Organization and responsibilities of the parties involved in all the above

Responsibility for the monitoring of such events rests with the National Project Manager, in collaboration with the KWS Senior Technical Advisor. Inspection of imagery will be conducted by a trained analyst.

*Total ex-post estimated actual net changes in carbon stocks and emissions of GHG gases in the Project Area (Task 1.1.5)*

The data gathered above are combined with the carbon stock change data for land-use/land cover change categories set out in Table 5.3.19–21 to calculate the actual ex-post net changes in each carbon pool, which can then be compared with the baseline changes (relevant sections = Tables 21.a–c of the Methodology) to calculate the ex-post emission reductions in the Project Area (Table 5.4.2 = Tables 27 and 29 of the Methodology). The same table format will be used as for the ex-ante assessment in the PD.

*8.1.2.2 Monitoring of leakage (Task 1.2)*

*Technical description of the monitoring tasks*

No significant decrease in carbon stocks or GHG emissions is expected due to leakage management activities so only activity displacement leakage needs to be measured. In accordance with the Methodology, where strong evidence can be collected that deforestation in the Leakage Belt is attributable to deforestation agents that are not linked to the Project Area, the detected deforestation need not be attributed to the project activity and considered leakage. This evidence will be collected by the project management team as appropriate to the agent encountered. With regard to deforestation that is believed to be attributable to the project, as described in Section 5 Step 8.2 above, activity displacement leakage is made up of two components – those due to smallholders who are:

- i. Resident/newly settled at the site.
- ii. Those who are deterred from moving to the site by project activities.

*Data to be collected*

Activity displacement leakage by smallholders in category (i) is detected by comparing deforestation in the Leakage Belt to baseline projections. Activity displacement leakage by smallholders in category (ii) is detected by comparing observed population trends with baseline projections.

*Overview of data collection procedures*

The extent of deforestation in the Leakage Belt is detected and reported during the analysis described above under Task 1.1, which will cover the Project Area and Leakage Belt simultaneously. The deforestation data per land-use/land cover category are then combined with the carbon stock change data for land-use/land cover change categories set out in Table 5.3.19–21 to calculate the actual ex-post net changes in each carbon pool, which can then be compared with the baseline changes (Table 5.3.24, relevant sections) to calculate the ex-post emission increases, if any.

Activity displacement leakage by smallholders in category (ii) is estimated by the calculation of the Displacement Leakage Factor for Avoided Migrants (DLFa), which is the percentage of avoided deforestation attributable to potential in-migrants who were deterred from settling due to the existence of the project and have hence been displaced outside the project boundary relative to the baseline scenario, %. The smallholders in this category cannot, by definition, participate in leakage management activities and so it is conservative to assume that the proportion of emission reductions attributable to their absence leaks with 100% effect.

DLFa was calculated ex-ante from a projection of population sizes in the 20 key villages, but ex-post is determined from actual population data. Village population sizes are determined for each village for the relevant year by collation of official government data (from the Commune Database or an equivalent source) after conducting basic quality control to identify and resolve any significant non-conformities in the way data are presented by the government in comparison to earlier periods. The total population of the 20 villages is then compared to the projected figures in Annex 3.2.

If the observed population is greater than or equal to the projected population then no leakage is attributed to this source.

If the observed population is smaller than projected then  $DLFa[observed]$  is calculated as:

$$DLFa[observed] = 1 - (observed\ population\ at\ time\ t / projected\ population\ at\ time\ t)$$

Where:

$DLFa[observed]$  = Observed Displacement Leakage Factor for Avoided Migrants i.e. is the percent of deforestation attributable to potential in-migrants who were deterred from settling due to the existence of the project and have hence been displaced outside the project boundary relative to the baseline scenario, %.

$DLFAa[observed]$  can be calculated annually, but where deforestation data are collected over periods of more than one year,  $DLFa[observed]$  should be calculated for the final year and then applied to all preceding years since the last verification event. This is conservative. The leakage attributable to this category of smallholders is then calculated by multiplying the gross emission reductions attributed to the project (before any deductions have been made for leakage) by  $DLFa[observed]$ . This leakage is added to the leakage calculated within the Leakage Belt to give the total leakage for the time period in question. This information is reported in the ex-post version of Table 5.5.5 (= Methodology Tables 34 and 35).

#### d) Quality control and quality assurance procedures

Quality control procedures for the analysis of land cover change are set out under Task 1.1. Quality control procedures for demographic data will use independently collected demographic data from social surveys to periodically (at least every 5 years) review the reliability of the official village population figures used above. When they match to within +/-5% across the Project Area, the official figures will be used. If the difference is greater, then the more conservative dataset will be used.

#### e) Data archiving

All relevant data will be archived with the MoE and at the WCS Country Program office.

#### f) Organization and responsibilities of the parties involved in all the above

Responsibility for organizing the analysis rests with the National Project Manager, in collaboration with the KSWs Senior Technical Advisor. Actual analysis can be conducted by a suitably qualified technical officer either in-house or externally.

### **8.1.2.3 Ex post calculation of net anthropogenic GHG emission reduction (Task 1.3)**

#### a) Technical description of the monitoring tasks

The final step is to calculate the ex-post net anthropogenic GHG emission reduction. This is calculated in a way analogous to the ex-ante emission reduction with the exception that the ex-post values for emissions in the Project Area and Leakage Belt are used instead of the ex-ante projections. The emissions reductions, VCU and buffer are calculated using ex-post versions of Table 5.6.2. The results are presented in a technical report. A map showing the cumulative areas credited should be updated and presented to the verifiers at each verification event.

#### b) Data to be collected

This step involves an analysis of data collected in the earlier monitoring steps described above. No further data are collected.

#### c) Overview of data collection procedures: NA

#### d) Quality control and quality assurance procedures

The officers managing the analysis and production of the report will cross-check a subset of the data to confirm that analysis and reporting are of acceptable quality.



*e) Data archiving*

Data will be archived at the MoE and at the WCS Country Program office, with a copy of key records also held at the KSWs HQ.

*f) Organization and responsibilities of the parties involved in all the above*

Responsibility for the management of the data analysis tasks rests with the National Project Manager, in collaboration with the KSWs Senior Technical Advisor. Depending on available staff capacity, the analysis may be conducted in-house by MoE and WCS staff, or may be conducted partially by one or more external consultants.

**8.1.3 Revisiting the baseline projections for future fixed baseline period (Task 2)**

To enable projections for the second fixed baseline period, years 11–20, the baseline must be reviewed at the end of year 10. It is anticipated that by this stage a national jurisdictional baseline will be in place, in line with the timetable of the ongoing national REDD+ Readiness process, but this is not yet certain.

*8.1.3.1 Update information on agents, drivers and underlying causes of deforestation*

Prior to updating the baseline Step 3 of the ex-ante Methodology should be completed, building on the previous analysis but taking full account of newly collated data. Furthermore, the analysis of the location of deforestation presented in Annex 3.5 should be revised using new datasets and an updated analysis of deforestation across the Reference Region.

*8.1.3.2 Adjustment of the land-use and land-cover change component of the baseline*

Assuming that a jurisdictional baseline has become available that meets the applicability requirements of the Methodology, this will (and must) be used in subsequent periods. If not, the baseline models should be reassessed following the guidance in the Methodology (p. 117). The carbon component of the baseline should only be updated if one of the triggers listed in the Methodology Part 3 Section 1.1.3 is activated.

**8.1.4 Task 3 Monitoring community impact (CM4)**

*8.1.4.1 Monitoring Targets*

The Communities, Community Groups, and Other Stakeholders, as defined in the CCB Standard Third Edition and identified in the stakeholder identification process (Section 2.7), are listed in Table 8.1.1.

**Table 8.1.1. Communities, Community Groups, and Other Stakeholders.**

Type	Description
Community	17 key villages (Section Table 1.2.2)
Community	3 Other villages (Section Table 1.2.2)
Community Group	Khmer residents of monitored villages
Community Group	Indigenous residents of monitored villages
Other Stakeholder	Local government
Other Stakeholder	NGOs active in Project Area
Other Stakeholder	Illegal actors (settlers, loggers, poachers)

*8.1.4.2 Community Impact Monitoring Plan*

A community impact monitoring plan (including social HCVs) has been developed (WCS 2013, WCS 2015) and is underway at the time of submission of the PD. A full monitoring program has been put in place. Furthermore, the project will disseminate the plan and the results of monitoring, ensuring that they are made publicly available on the internet and are communicated to the Community Groups and other stakeholders.

The program involves a combination of quantitative and qualitative measures for each of the indicators (Table 8.1.6), including an extensive, periodic questionnaire-based household survey and a range of qualitative, participatory approaches. Coupled with demographic identification of community member's ethnicity, all analyses will be conducted to assess Khmer and Indigenous Community Groups collectively and separately allowing for differentiation of impacts, benefits, costs and risks with results made available to Community Groups for evaluation.

#### 8.1.4.3 Household Survey (HHS) and Demographic Surveys

HHS were conducted in the villages in and around the Core Protection Area in SPF/KSWS. The surveys focused on household livelihoods in 20 villages with 622 households interviewed, which participate in the Seima REDD+ project. These HHS will be updated at least every five years. The baseline survey was conducted in 2012, the next is scheduled for 2016. The 2012 survey had sufficient overlap in the data collected to allow BNS comparisons with 2007 data, and hence generate the first statistically robust measures of livelihood trend in the landscape.

Respondents in the survey villages were asked to rank the importance of various livelihoods in their settlement: paddy rice, hill rice, cash crops, liquid resin, and others. This will form the basis for regular monitoring of social well-being indicators (Table 8.1.2), which will in turn allow for the assessment and monitoring of social impacts associated with conservation measures implemented as part of the project. This importance ranking is a key innovation method used by the Basic Necessities Surveys (BNS), which produces a participatory, locally appropriate measure of relative economic well-being that is cheap, simple, easy to analyze and avoids many of the data quality problems with income-based measures. It measures levels of household ownership of/access to a list of essential items/services. It is very good for comparisons over time, over space and between social groups.

**Table 8.1.2. Variables and indicators monitored through HHS.**

Variable	Indicator	Type
Economic Well-Being of Participant Communities	Average household BNS score	CCB Core Standard
Resin Tree Ownership	If and how many trees owned by household as well as resin trees lost	Project Target
NTFP Collectors/Harvests	Proportion of households involved and average harvest outtakes	Project Target
Wild Protein Consumption	The number of meals eaten per household in one week that include wild caught protein (fish and meat)	Project Target
Household Resource Security	Percentage of interview respondent households that report that they feel that their land, resin trees and other resources are secure	Project Target
Household Land Use	Average household land holdings	Project Target
Rice/land Sufficiency	Percentage of households with sufficient land to meet annual rice consumption needs	Project Target
Population growth and immigration	Overall average growth rate in the number of households	Threat
Land alienation and legal conflict	Percentage of households with no productive land, with a secondary indicator of the number of households that report losing land to concessions	Threat
Limited agricultural productivity	Average productivity of cassava and rice fields	Threat
Scarcity of sustainable development livelihood opportunities, on and off farm	Percentage of households involved in off farm livelihood activities	Threat

The demographic information collected during the HHS and will be updated during the periodic revisits. Data were collected using a short standard structured interview. Surveys were conducted by trained teams, each taking responsibility for different communes. Surveyors visited each settlement in turn, usually by motorbike. The interview was usually conducted with a village chief or sub-village chief to

ensure that reliable information was collected. The questions covered demography (including ethnicity), livelihood information, human-wildlife conflict, and information on existing community-based organizations (CBOs) and whether the village has received any NGO assistance.

A range of factors and indicators (Table 8.1.2) for assessing project performance and community wellbeing were established from the analysis of the 2012 survey.

#### 8.1.4.4 Annual meeting and Consultation Workshops

In order to rapidly identify and issues from project activates that may arise, formal annual meetings are held. An annual meeting will be held each year, involving the senior staff, team leaders, representatives of major partner organizations, and key technical advisors. The meeting will typically occur around June, to harmonize with the WCS financial year (1 July–30 June). The meeting typically spans several days. These meeting allow for the following monitoring and response activities:

- Annual project evaluation and adaptive project planning.
- Provide community forum for voicing grievances.
- Allow for monitoring participation of traditional institutions.
- Consultation on community perceptions of the condition of HCVs.

Community feedback on the REDD+ project will be opportunistically collected during periodic consultation workshops at village or landscape level (Table 2.7.5). These workshops will also allow a review of any negative impacts arising, including unexpected impacts. Wherever possible, these discussions will be combined with other project activities (e.g. consultations for the annual work planning process), so as to minimize the financial burden of monitoring. The consultation process is also expected to improve communication between stakeholders and therefore strengthen project implementation.

#### 8.1.4.5 Monitoring Community HCV

An HCV assessment was conducted in 2010 (Pollard and Evans 2012) and identified HCV5 and HCV6 community values (Table 8.1.3).

**Table 8.1.3 Summary of social HCVs identified in the SPF/KSWS Core Area.**

High Conservation Value	Details
HCV5: Forest areas fundamental to meeting basic needs of local communities	Approximately 12,500 people live in 20 villages using the SPF/KSWS Core Area, of whom a large proportion depend on forest resources. Collection of liquid resin from forest trees, mainly <i>Dipterocarpus alatus</i> is the most important source of cash income for remote communities, providing income that is essential for purchasing rice and other basic needs. The fisheries of the rivers and pools of the SPF/KSWS Core Area are of fundamental importance as the main protein source for most households. Other important resources include rattan, bamboo, honey and medicinal plants.
HCV6: Forest areas critical to local communities' traditional cultural identity	19 of the 20 villages are predominately ethnic Bunong who are animist with very strong cultural links to the forest. Culturally important areas ('spirit forests', 'spirit pools' and grave forests) have been mapped for 9 villages and are known to exist for most other communities.

The demographic component of the HHS collects basic data on the number of individuals and households in each village. The survey also collects information on dominant livelihoods and various NTFPs. These data can be used to track the status of critically important values (HCV5).

Remote sensing used primarily to monitor land use change will be used to monitor disturbance due to deforestation to spirit forest areas (HCV6). Rates and location of deforestation indicate the performance of protection measures. This information will be supplemented with data gathered by law enforcement teams, and managed by the SMART database. This system will provide information on disturbance to spiritual sites (HCV6), for example illegal fishing methods used in spirit pools, or logging of spirit forest (HCV6). Data from SMART will also be used to monitor illegal logging of resin trees, illegal fishing

methods and unsustainable harvesting of bamboo (HCV5). Frequency and location of observed incidents inform the effectiveness of protection measures.

Annual meetings will allow key community representatives to review project activities, impact and progress. The meetings will include consultation on community perceptions of the condition of HCVs, and potentially the identification of new HCVs or HCV areas. Table 8.1.4 summarizes the HCV indicators and monitoring methods.

**Table 8.1.4. Monitoring requirements for social HCVs.**

High Conservation Value	Indicators	Monitoring Method
<i>HCV 5: Basic needs</i>	Resin productivity, bamboo sustainability, fish catches	Demography monitoring, socio-economic monitoring protocol
<i>HCV 6: Cultural values</i>	Maintenance of spirit forest & pools; involvement of indigenous communities in management planning	Socio-economic monitoring, remote sensing, threats monitoring.

Table 8.1.6 provides a summary, against the conceptual model, of anticipated impacts and outcomes; types of measurements and sampling methods; and monitoring frequency.

#### 8.1.4.6 Monitoring Other Stakeholders

Monitoring impacts to local government and NGOs relies on frequent consultation with these institutions. The monitoring plan calls for continued consultation, both opportunistically during various meetings and shared activities, and formally through the consultation meetings (Table 8.1.5).

**Table 8.1.5. Consultations for monitoring project impacts to Other Stakeholders.**

Stakeholder	Consultation Meeting	Frequency
NGO/Civil Society	Mondulkiri NGO Network	Periodic as necessary
	The Civil Society Organizations REDD+ Network	Annual
Provincial Government	Provincial Commission Meeting	As needed (when SPF/KSWS related issues arise)
District Government	District Commission Meeting	Quarterly
	District Integration Workshop	Annual as needed
Commune Government	Commune Development Planning meeting	Annual

Illegal actors (settlers, loggers, and poachers) were also identified and included in the Other Stakeholder group (Section 2.7.2). However, since this group does not wish to be identified (see Section 2.7.5) monitoring only consists of records of law enforcement interventions, reported from the SMART database, and legal proceedings if the illegal actor is arrested and charged.

**Table 8.1.6. Monitoring impacts with and without project and qualitative and quantitative indicators and monitoring methods.**

	Without Project	Impacts on	With Project	Indicator Quant	Method*	Indicator Qual	Method*	Frequency
<b>CCB Core Standards</b>								
Social and economic well-being of communities; distribution of costs and benefits	Static or decline for vulnerable stakeholders; improve for less vulnerable stakeholders	Primary impact on vulnerable stakeholder groups	Improving for all stakeholder groups, including vulnerable groups	Basic Necessities Survey, basket of assets and income measures for each stakeholder group	HHS	Reported trends	Partic.SAM, LNGOs	5 to 6 years for HHS, opportunistically for Partic/LNGO, annually for SAM.
<b>Conceptual Model Target</b>								
Increase security and productivity of natural resources to support local livelihoods	Declining security, abundance and productivity of harvested natural resources and availability of clean water	Especially on vulnerable stakeholders	Security, abundance and productivity of key resources maximized; clean water freely available to all communities	Total resin tree ownership, reported harvest levels of other forest products and fish	HHS	Reported trends	Partic.SAM, LNGOs	5 to 6 years for HHS, opportunistically for Partic/LNGO, annually for SAM
Sufficient farmland to support the livelihoods of current residents	Increase in landlessness, static or decreasing agricultural productivity	Especially on vulnerable stakeholders	Landlessness among the poor low and stable; agricultural productivity and sustainability increasing	Land ownership measures (% landless, % long-term landless; ave holdings); rice sufficiency/crop sales	HHS	Reported trends	Partic, SAM, LNGOs	5 to 6 years for HHS, opportunistically for Partic/LNGO, annually for SAM
<b>Conceptual Model Threat</b>								
Clearance for land concessions and other projects	Increasing loss to concessions	Especially on vulnerable stakeholders	Losses to concessions minimized and halted	Mapping of affected areas	GIS, SMART	Reported trends	Partic, SAM, LNGOs	Annually for GIS, ongoing for SMART, opportunistically for Partic/LNGO, annually for SAM
Undefined borders and regulations for the SPF/KSWS	Continuing weaknesses in protection	Especially on vulnerable stakeholders	Borders, zones and regulations clearly defined and enforced	Mapping of demarcation, legal documentation	GIS, SMART	-	-	Ongoing for GIS and SMART



	Without Project	Impacts on	With Project	Indicator Quant	Method*	Indicator Qual	Method*	Frequency
Population growth, in-migration, better access	Continued high in-migration, increased competition; increased conflict	Especially on vulnerable stakeholders	Population growth lower than in reference area; net in-migration negligible; access to forest areas controlled	Net in-migration negligible; access system excludes non-legitimate users	HHS, Demog	Reported trends	Partic, SAM, LNGOs	5 to 6 years for HHS and Demog. Opportunistically for Partic/LNGO, annually for SAM.
Land alienation and legal conflict	Alienation, forced sales, Uncertain tenure due to expansion outside agreed land-use plans	Especially on vulnerable stakeholders	Land alienation ceases, no land illegally occupied and subject to conflict	# of reported incidents	HHS, systematic recording of conflicts and legal tenure	Reported trends	Partic. SAM, LNGOs	5 to 6 years for HHS, opportunistically for Partic/LNGO, annually for SAM
Weak traditional institutions and lack of voice	Seriously declined	Especially on vulnerable stakeholders	Traditional and new community institutions effective, cultural cohesion improved	Levels of involvement	HHS, committee records	CBO effectiveness self-assessment	SAM,	5 to 6 years for HHS, annually for committee records, annually for SAM
Limited agricultural productivity	Decline, stagnation or slow improvement	All onsite communities	Agricultural productivity increasing	Agricultural productivity indicators (e.g. t/ha)	HHS (all HH); LNGOs (target families)	Reported trends	Partic. SAM, LNGOs	5 to 6 years for HHS, opportunistically for Partic/LNGO
Scarcity of sustainable dev. livelihood opportunities, on and off farm	Continued dependence on limited number of often unsustainable livelihoods	All onsite communities	Increasing diversity of viable, sustainable livelihood opportunities	# of liv activities; size of reported income sources	HHS (all HH); LNGOs(target families)	Reported trends	Partic. SAM, LNGOs	5 to 6 years for HHS, LNGO income data when available (typically every 3 years)

\*Method: HHS = Household survey, Demog = Rapid demographic survey, SAM = Seima Annual Meeting, LNGOs = Local NGOs' own monitoring, Partic. = WCS/MoE-led consultation workshops, GIS = Mapping approaches such as remote sensing, SMART = Spatial Monitoring and Reporting Tool

## 8.1.5 Task 4 Monitoring biodiversity benefits (B4)

### 8.1.5.1 Biodiversity monitoring plan

Biodiversity monitoring here is defined as the process of periodically collecting information about specific ecologically relevant variables within a system of interest, such as a Project Area. Monitoring information is used to assess the system state at different points in time for the purpose of drawing inferences about changes in this state (Yoccoz *et al.*, 2001). Within protected area management a rigorous system of monitoring is crucially important for forewarning of impending species declines and extinctions, for creating triggers for management interventions and for assessing the effectiveness of management actions designed to preserve biodiversity (Lindenmayer *et al.*, 2012)

### 8.1.5.2 Linking biodiversity monitoring and management objectives

Monitoring for conservation management purposes is most useful when it provides information for decision-making (Nichols and Williams, 2006). Monitoring that does not provide relevant information for decision-making is inefficient because it uses human and financial resources that could be directed elsewhere. Results which are imprecise, inaccurate or from which trends cannot be definitively identified are of limited use to management and may even lead to mismanagement (Legg and Nagy, 2006; Nichols and Williams, 2006). Although there is sometimes a perception that monitoring which provides any additional information about a system is worthwhile, this approach has been heavily criticized (Legg and Nagy, 2006; Yoccoz *et al.*, 2001) and a more useful and cost-effective approach is to clearly specify the objectives of a monitoring program.

The objectives of a biodiversity monitoring program must closely reflect the stated management objectives for a given project, which in this case corresponds exactly to the predicted net benefits for biodiversity. These are:

- i. The persistence of a full range of intact, ecologically functional habitats which are minimally degraded and disturbed by humans.
- ii. The persistence and recovery of populations of some species of conservation concern. These populations should fulfil their full range of ecological functions and eventually grow to carrying capacity.

In order to assess whether the project is meeting these objectives the biodiversity monitoring strategy must be able to measure changes in the status of these populations and habitats. For wildlife populations this means that methods must be employed which provide reliable data on species distribution, abundance or other relevant biological parameters (Nichols and Williams, 2006). For key habitats, changes in status are in fact measured as part of the system for monitoring forest cover change as a factor in measuring climate change benefits from the project (see Table 8.1.2).

An additional threat monitoring component is included in the KSWs biodiversity monitoring plan. This is because measuring changes in biological populations is typically a long-term undertaking and more immediate measures of effectiveness are valuable, particularly in such dynamic environments. The threats detailed in Section 4.5.4 are identified as having a detrimental effect on key wildlife populations and hence must be eliminated or reduced in order to achieve the above objectives. Thus monitoring threats is a practicable additional means of tracking conservation progress over the short to medium term and can also provide an opportunity for interventions to be managed more adaptively (Kapos *et al.*, 2008; Salafsky *et al.*, 2002).

The conceptual model described in Section 2.2.1 maps the assumed causal linkages between SPF wildlife populations, specific threats such as hunting, and the interventions designed to abate these threats. The formulation of such models is vital, not only to make explicit the biodiversity objectives of the project, and the proposed means of achieving these objectives, but also to identify monitoring requirements at each level; from inputs, to intermediate outcomes, to eventual impacts (Margoluis *et al.*, 2013).

Development of the biological monitoring program in SPF/KSWS began in 2002 (Clements, 2002) and it has been extended and refined over time. It is now believed to be the most comprehensive and robust biodiversity monitoring program in the Lower Mekong Region (Evans *et al.*, 2012; Nuttall *et al.*, 2013; O’Kelly *et al.*, 2012). It is anticipated that it will continue to evolve adaptively in response to changes in management needs, changes in the ecological context, and the increased availability of resources.

#### 8.1.5.3 Technical approach

The design of any biodiversity monitoring strategy must consider two issues; appropriate spatial sampling and accounting for imperfect detection (Williams *et al.*, 2002; Yoccoz *et al.*, 2001). The issue of spatial sampling is important because areas of interest are frequently too large to be surveyed in their entirety and so a sample of smaller areas must be selected in which to focus survey effort. However, selection of sample locations must be conducted in a manner that permits inference about the entire area of interest. The issue of imperfect detectability relates to the fact most survey methods exclude the possibility that investigators will observe every animal (or sign etc.) within a given sample location and therefore the counts obtained represent an unknown fraction of the animals present in the sampled area (Pollock *et al.*, 2002; Yoccoz *et al.*, 2001). Ensuring that the spatial sampling is representative can be dealt with through the use of a probabilistic sampling scheme, i.e. randomized sampling or systematic sampling with a random start (Thompson *et al.*, 1998; Williams *et al.*, 2002). An array of methodologies has been developed to deal with imperfect detectability, and they can be divided into three main classes of methods:

- Distance-sampling
- Capture-recapture
- Occupancy-based

(Buckland *et al.*, 2001; Mackenzie, 2006; Williams *et al.*, 2002).

These approaches above can be used to obtain an unbiased estimate of any state variable of interest; i.e. population density/abundance or occupancy. Methodologies which account for imperfect detection are absolute methods, whereas those that do not are classed as relative or index-based methods. Absolute methods are robust and generate more reliable information for management but they are also more technically complex and generally require a far higher level of investment to implement (Danielsen *et al.*, 2003; Pollock *et al.*, 2002). Index-based methods are vulnerable to numerous sources of bias and must rely on standardization of data collection protocols to minimize this (McComb *et al.*, 2010; Yoccoz *et al.*, 2001). The data required for such methods are often obtained at a considerably lower cost when compared to absolute methods but the results from index-based methods allow for limited inference and must be interpreted with caution from a management perspective (McComb *et al.*, 2010).

The biodiversity monitoring strategy for KSWS balances the need for the plan to be scientifically defensible but also feasible to implement. Complex monitoring approaches that attempt to survey a large suite of wildlife species using a variety of absolute methods are likely to be prohibitively expensive and may exceed the capacities of project management units to implement. Conversely, too simplistic an approach and an overreliance on index-based methods is likely to produce unreliable or uninformative results which are not useful for management purposes. Thus, the biodiversity monitoring plan for SPF employs absolute methods where possible but also includes some index-based methods (See Table 8.1.8).

#### 8.1.5.4 Methodologies used within SPF/KSWS

Current biodiversity monitoring in SPF/KSWS is conducted using three broad methodologies, with an additional Methodology (occupancy surveys) still in development. Incidental records of rare or important species are also collected and the main monitoring program is complemented by various one-off studies conducted by independent researchers.

##### Distance-sampling methods

Distance sampling comprises a family of methods which are characterized by the measurement of distances between a fixed point or line and the location where an animal or animal sign is detected (Buckland *et al.*, 2001). If implemented appropriately distance-based methods are one of the most

robust methodologies available for population estimation (Williams *et al.* 2002). Line transect sampling is the preferred method of surveying large-bodied mammals and is widely acknowledged as being a 'gold-standard' approach in wildlife monitoring (Thomas *et al.*, 2010). This approach involves the placement of a fixed set of survey routes, or line transects, across the survey area, according to some probabilistic sampling design. In the case of SPF/KSWS, targets are individual or groups of animals and detections are visual observations of these animals (i.e. animal sounds or signs are not recorded). Multiple species are recorded during these surveys, including five ungulate species, six primates and one bird species (Table 8.1.7). The level of investment in these surveys, plus the quantity and quality of data yielded by them, make this component the main foundation of the SPF/KSWS biological monitoring program.

**Table 8.1.7. Species surveyed on the line transects.**

English Name	Scientific Name	Status*
Black-Shanked Douc	<i>Pygathrix nigripes</i>	EN
Yellow-cheeked Crested Gibbon	<i>Nomascus gabriellae</i>	EN
Banteng	<i>Bos javanicus</i>	EN
Gaur	<i>Bos gaurus</i>	VU
Sambar	<i>Rusa unicolor</i>	VU
Eld's Deer	<i>Rucervus eldii</i>	EN
Green Peafowl	<i>Pavo muticus</i>	EN
Northern Pig-Tailed Macaque	<i>Macaca leonina</i>	VU
Stump-Tailed Macaque	<i>Macaca arctoides</i>	VU
Long-Tailed Macaque	<i>Macaca fascicularis</i>	lc
Germain's Silvered Langur	<i>Trachypithecus germaini</i>	EN
Red Muntjac	<i>Muntiacus muntiacus</i>	lc
Wild Pig	<i>Sus scrofa</i>	lc

\* = Status from the 2013 IUCN Red List of Globally Threatened Species  
En = Endangered, VU = Vulnerable, lc = Least Concern (i.e. not Globally Threatened)

The line transects are surveyed repeatedly by teams of experienced observers who record all target species detected and take measurements to calculate the perpendicular distance of animals from the line. These measured perpendicular distances from the line are used to estimate a detection function which is then used to calculate what proportion of animals present within each distance category are detected. Ideally, 60 to 80 observations of each target species or group of target species are required to accurately estimate the shape of the detection function. However, it is sometime possible to pool data over several years or to 'borrow' detection functions from appropriate sources (e.g. similar species which occupy similar habitat) to use in analysis.

The detection function can effectively be used to estimate the area covered by the survey, which is combined with the encounter rates of animals to calculate the density of animals. For groups of animals the density of individuals is a function of the cluster encounter rate, the detection function for clusters and the mean cluster size. The analytical methods used to estimate model parameters and to calculate the standard error, coefficient of variation and 95% confidence intervals for each parameter are described in detail in Buckland *et al.*, (2001).

A permanent network of 40, 4 km square transects has been established across the entirety of the Project Area (Figure 8.1.1). At every iteration each transect is sampled multiple times, both at first light in the morning and again in the hours before dusk. Sampling takes place in the dry season, over a four to six month period. A total survey effort of approximately 1,500 km represents a reasonable

compromise between obtaining sufficient encounters with low density species, and the logistical constraints imposed by access to remote transects, the relatively small number of skilled staff and varying levels of funding. In the past, surveys have taken place every year or every other year, depending on available resources. In the future, surveys will be conducted every other year in order to accommodate other complementary biodiversity monitoring activities (Table 8.1.8).

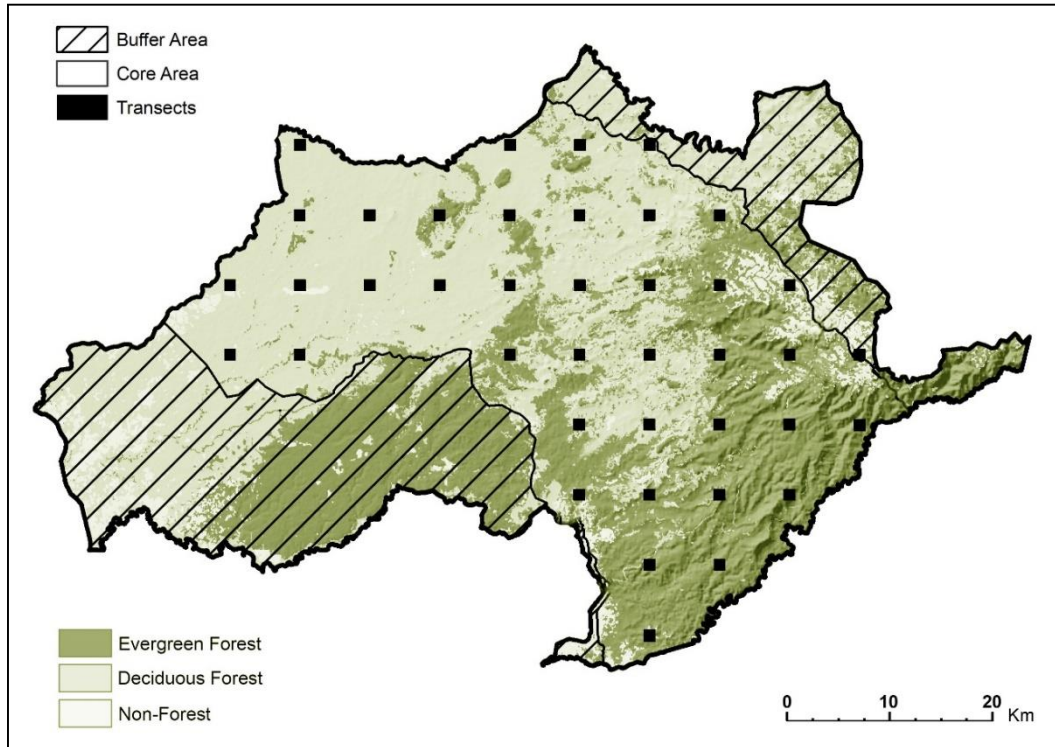


Figure 8.1.1. Survey design for line transects.

#### Capture-recapture methods

Capture-recapture methods are one of the oldest means of obtaining populations estimates for wildlife (Otis *et al.*, 1978; Pollock, 2000). This class of methods relies on individuals within a population being uniquely identifiable either by natural markings, by artificial tags or through microsatellite DNA. During repeated discrete sampling animals are 'captured' or 'detected' using live traps, camera-traps or some means of obtaining genetic material such as dung searches or hair snares. Multiple sampling occasions allows for the creation of 'capture-histories' for every individual caught at any time during the study. These histories are simply a vector of ones and zeros denoting whether a given animal was caught (1) or not caught (0) during each occasion. All capture-recapture estimators are based on probabilistic models of scenarios that could give rise to these capture-histories (Williams *et al.*, 2002). These probabilistic models are then used to develop corresponding estimates of abundance.

At the simplest level a target population is assumed to be closed during the survey period and a minimum of two sampling occasions are required. However, a vast array of extensions of the method have been devised and a large number of closed and open models are now available to deal with heterogeneity in detection probability across space and time, and between individuals (O'Connell *et al.*, 2010). Analytical approaches can be implemented in either a maximum likelihood or Bayesian framework (Royle and Dorazio, 2008; Williams *et al.*, 2002).

One issue with standard capture-recapture approaches is their inability to deal with 'edge-effects', meaning that the area actually used by the target population is unknown and may be larger than the area sampled. Typically, ad-hoc measures of effective sampling area used to produce density estimates (Karanth and Nichols, 1998). However, recent developments have formulated a solution to this issue with spatially explicit capture-recapture (SECR) approaches (Borchers and Efford, 2008; Efford and Fewster, 2013). SECR spatial detection histories are used to model the distribution of animals' home



range or activity centers. Like other absolute methods an additional model component is included to describe the observation process, in this case a spatial detection model. The resulting estimates of population density are unbiased by either edge effects or incomplete detection.

In the past in SPF/KSWS a camera-trap based capture-recapture survey was implemented for tiger but no captures were obtained (O'Kelly *et al.*, 2012). Fecal DNA based capture-recapture is currently used to monitor the population of Asian Elephants in the Project Area. This is the preferred method specified by the CITES MIKE monitoring protocols (Hedges and Lawson, 2006). Survey protocols involve firstly conducting a thorough reccie survey to identify and map known elephant hotspots (i.e. areas that elephants frequently visit and congregate at, such as around streams, saltlicks and wallows, and in bamboo forest patches) throughout the Project Area. This is done based on local expert knowledge and past records. Sampling involves repeated visits to these hotspots to collect samples of fresh dung from which microsatellite DNA is extracted. Survey teams visit each hotspot a number of times (>3), leaving sufficient time in-between visits for fresh dung to accumulate. Teams destroy dung piles after taking samples to ensure they cannot be mistakenly re-sampled. They also search for additional dung piles whilst traveling between hotspots. Samples are stored in buffer solution and sent to a specialized laboratory for DNA extraction, which allows for individual animals to be identified. Once individuals are identified capture histories can be produced and the data are analyzed using standard capture-recapture models.

A detailed description of the survey design, the data collection protocols, and the extraction and subsequent analytically processes can be found in Pollard *et al.* (2008). Data will also be analyzed using SERC models in the future. The first elephant dung survey was carried out in SPF in 2006 and a 2015 survey has just been completed. Results of this 2015 survey are expected to be available before the end of the calendar year. Capture-recapture approaches may be employed in the future for additional species in SPF/KSWS, either using camera-traps or fecal DNA surveys (Figure 8.1.2).

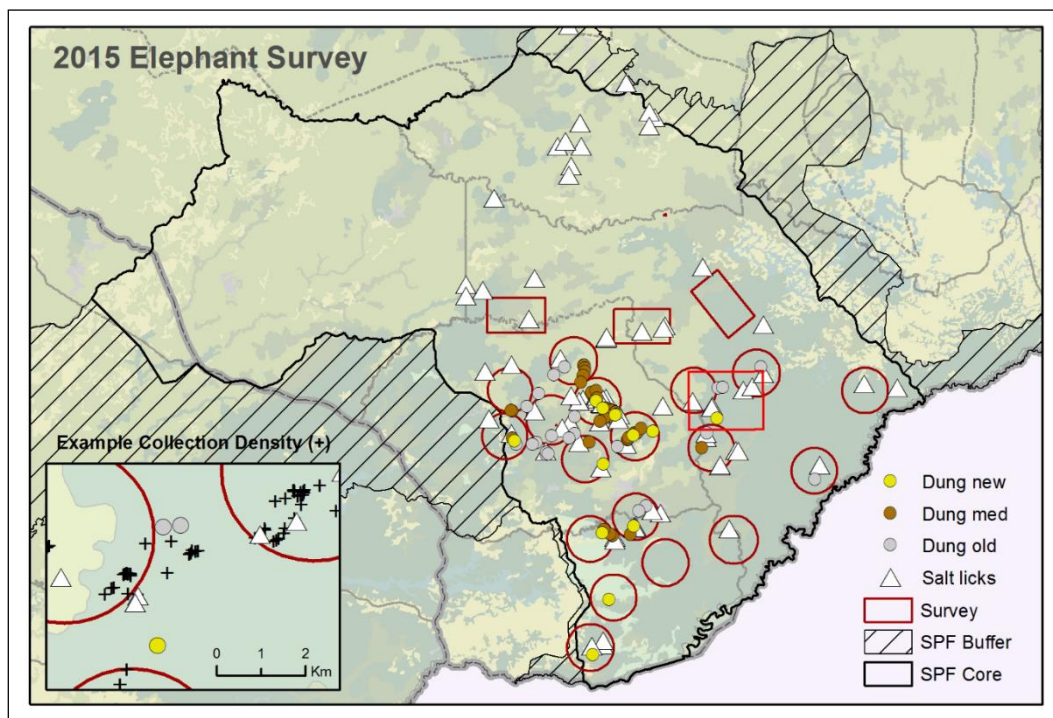


Figure 8.1.2. Elephant dung DNA sampling design.

#### Occupancy methods

Traditional wildlife monitoring techniques are generally concerned with estimating population size (i.e. density or abundance) but over the last 10-15 years the distribution or 'occupancy' of a population has been increasingly adopted as an alternative parameter of interest (MacKenzie *et al.*, 2005a). Occupancy is defined as the probability that a sampling unit is occupied by a species, or generalized to mean the

proportion of an area occupied by a species (MacKenzie *et al.*, 2005b). This has been found to be a relevant and useful measure when assessing the impact of management actions, especially in long-term monitoring programs, and a large body of research now exists surrounding occupancy-type approaches (Bailey *et al.*, 2014).

Like the other absolute methods described above occupancy approaches provide a means of clearly distinguishing 'true absence' of a target species from 'non-detection'. This is done through the explicit estimation of a detection probability associated with each sample unit. This approach is somewhat similar to traditional capture-recapture surveys in that capture histories are produced by repeated sampling and used to estimate a detection probability. However, whereas in capture-recapture surveys these capture histories relate to a specific, identifiable individual, in occupancy surveys they relate to the presence or absence of any individual of that species in a sample unit.

Occupancy-type surveys are appealing in that they are flexible enough to accommodate a wide range of survey designs and sampling protocols, and also can deal with low density scenarios (leading to many 0's in the data). Sample units might be discrete patches of habitat, artificially delineated grid cells, listening posts, point counts, transects or camera-traps. Evidence for presence might be anything from calls, to observations of animals or animal sign, to camera-trap images. Optimal sampling designs must be determined on a survey by survey basis, usually through pilot work and statistical simulation exercises.

Occupancy data are analyzed within a hierarchical modelling framework which employs a maximum likelihood-based approach and allows for the simultaneous estimation of both occurrence and detection probability. This kind of framework also readily allows for the incorporation within the model of covariates hypothesized to influence either occurrence or detection probability. The basic conceptual framework for this type of approach is described in detail in Mackenzie *et al.* (2005a). In certain circumstances, occupancy may be used as a surrogate for abundance and in some cases occupancy models may be extended to generate an actual estimate of abundance (see Royle, 2004; Royle and Nichols, 2003). Occupancy methods in SPF/KSWS are currently in development for otter, and will likely be based on surveys for sign within segments of rivers. Occupancy surveys may also be implemented for rarer ungulates such as banteng and Eld's deer and would likely utilize camera-traps and/or dung searches.

#### SMART data based CPUE indices

Ongoing law enforcement efforts both outside and inside the Project Area are based upon regular patrols. Whilst patrolling teams collect information on threats (e.g. snares, hunting camps, illegal hunters encountered, etc.). This information is entered into a SMART database that allows for subsequent analyses and tracking of threats through the use of catch-per-unit-effort (CPUE) indices. CPUE indices are a relative measure derived by dividing total 'catch' (in this case, observations of hunting, logging and other illegal activities) by some standard unit of the effort required to obtain this catch (e.g. days patrolled, kilometers patrolled or number of patrol visits to a grid cell). In this way, variable survey or search effort can be corrected for, and, by assuming that catch is proportional to both the number of ongoing infractions and the amount of search effort expended, CPUE can be used as an index of true levels of underlying illegal activity (Hilborn and Walters, 1992). When applied to the rate of encounters of infractions by patrol teams, this metric describes the relative frequency of occurrence of illegal activities.

Patrol teams also collect biological information (i.e. observations of animals or animal sign) which is recorded in the SMART database in exactly the same way and can be used to generate relative indices of abundance. It is important to recognize such data collection is a secondary function for patrol teams and this has implications in terms of data quality. Nevertheless, these data are used to supplement other sources of biological data. Such measures are especially useful for areas outside the Project Area, for which few other data are available. In addition, dedicated biological monitoring teams also collect SMART data on threats whilst they travel to and from survey locations throughout the Project Area. These CPUE indices can be generated frequently and repeatedly from routinely collected SMART data and will provide important information on trends in wildlife presence and threat levels in between the major biological monitoring events outlined above.

**Table 8.1.8. Summary of primary monitoring methodologies used in the Seima Protection Forest or Keo Seima Wildlife Sanctuary. Trigger species in bold text.**

Methodology	Species	State variable	Extent	Frequency
Fecal DNA based capture-recapture	<b>Asian Elephant</b>	Abundance/density	Entire Landscape Entirety of Project Area plus two adjacent PAs	Every 5-8 years
Line transect based Distance sampling	Banteng Gaur Sambar Eld's Deer Muntjac <b>Black-Shanked Douc</b> Germain's Silvered Langur <b>Yellow-cheeked Crested Gibbon</b> Green Peafowl	Abundance/density	Entirety of Project Area	Bi-annually
Sign based occupancy surveys	Smooth-coated Otter	Proportion of area occupied	Key watercourses within Project Area	Every 4 years
Camera-trap based occupancy surveys	Banteng, Eld's deer, carnivores (?)*	Proportion of area occupied	Salt licks, key migration routes	Every 4 years
SMART data based indices	Signs of hunting (camps, snares, gunshots etc.) Observations of humans Signs of habitat loss/degradation	CPUE index of threats	Inside and outside Project Area	Ongoing, summarized annually
SMART data based indices	Observations of key wildlife species Signs of key wildlife species	CPUE index of key wildlife	Inside and outside Project Area	Ongoing, summarized annually

\* May also be detected on line transects but to date insufficient encounters to estimate densities.

#### 8.1.5.5 Selection of monitoring targets

The concept of 'landscape species' (Sanderson *et al.*, 2002) featured strongly in the development of a biodiversity monitoring plan for KWS and a suite of six landscape species was selected to collectively represent the full range of habitats and threats within the site (WCS/FA 2010 and Section 7.1 of this document). However, as landscape species are typically rare and wide-ranging across diverse habitats, to satisfactorily monitor this entire suite requires multiple intensive survey methods. To date three of the six landscape species, are monitored quantitatively (Table 8.1.8).

- Asian Elephant
- Banteng
- Yellow-cheeked Crested Gibbon

Another useful approach can be to select more common species which may serve as 'indicator species'. In some contexts indicator species can be a useful means of monitoring changes in the level of a direct threat such as hunting, as their numbers correspond with the degree of threat and can be estimated more reliably and more cost-effectively than much rarer landscape species. In Cambodian PAs, even for relatively common species, densities remain far below carrying capacity and it is clear that there is therefore significant potential for recovery in response to effective interventions. Additional indicator species monitored in SPF are:

- Gaur
- Red Muntjac
- Wild Pig
- Long-tailed Macaque
- Stump-tailed Macaque
- Pig-tailed Macaque
- Green Peafowl

Finally, three 'trigger species' were selected for SPF/KWS on the basis of not just the global importance of the site for them, but also their suitability to be indicative of changing management effectiveness. Monitoring methods for the trigger species are outlined in Table 8.1.9.

Supplementary data on key threats other than deforestation (e.g. hunting) and opportunistic records of all key wildlife species are generated through the collection of SMART data by both the law enforcement teams and biological monitoring teams. Reducing hunting pressure is a critical intermediate outcome (see Sub-objective 2, Section 2.2) that must be met in order to gain the predicted biodiversity benefits. The CPUE indices obtained from SMART data allows project managers to monitor progress with respect to the control of hunting.

**Table 8.1.9. Trigger species selected for the Seima project.**

Species	Monitoring data source	Reference
Asian Elephant	Fecal DNA based capture-recapture	(Pollard <i>et al.</i> , 2008)
	CITES Monitoring of Illegal Killing of Elephants (MIKE) program	(Hedges and Lawson, 2006)
	SMART data based indices (from patrol teams and monitoring teams)	(Stokes, 2012)
	Incidental records from communities	
Black-Shanked Douc	Distance sampling based line transects	(Pollard <i>et al.</i> , 2007)
	SMART data based indices (from patrol teams and monitoring teams)	(Nuttall <i>et al.</i> , 2013)
	Tourism related records	(Stokes, 2012)
	Independent researcher data	(Rawson, 2009)
S. Yellow-cheeked Crested Gibbon	Distance sampling based line transects	(Pollard <i>et al.</i> , 2007)
	SMART data based indices (from patrol teams and monitoring teams)	(Nuttall <i>et al.</i> , 2013)
	Tourism related records	(Stokes, 2012)
	Independent researcher data	(Rawson, 2009)



#### 8.1.5.6 Opportunistic records and studies

Notable records of all species encountered in the Project Zone are documented, whether or not they were collected during formal structured surveys such as transects. Records of observations, signs (tracks and dung), and calls are collated from monitoring team members, project staff and visiting researchers and bird tour groups. For highly vocal species, such as gibbons, peafowl and Germain's Peacock Pheasant call records are a particularly important source of information (e.g. Bird *et al.* 2006).

These records supplement the routine quantitative methods and in particular enhance understanding of the presence and distribution of lesser-known species. They can help to alert project managers to possible changes in population size, ranging behavior, altered group sizes and other factors that may indicate changed threat levels and call for more detailed study. Although they do not provide absolute measures of varying population size over time, they do confirm the continued presence of target species in each sector and also help to identify areas of critical importance. For example records of tracks, and occasional observations of Eld's Deer reveal that they are currently to be found only in the far west of the Project Zone, in areas of very open deciduous dipterocarp forest with large natural grasslands.

From time to time selected species will also be the subject of focused studies by visiting researchers facilitated by the project (e.g. recent PhD studies on Green Peafowl and Germain's Silvered Langur). These are valuable in clarifying threats, identifying management priorities and informing design of future monitoring efforts.

#### 8.1.5.7 Monitoring impacts outside the Project Area

Impacts of project activities outside the Project Area are monitored in a number of ways (Table 8.1.10). Routine law enforcement patrols take place across the wider landscape outside the Project Area and forest cover monitoring extends beyond the boundaries of the Project Zone. Project staff are in regular communication with villages using the outer parts of the Project Zone and gain qualitative information from this. There is an ongoing system of collaboration between the SPF/KSWS management team and government agencies and NGOs working in neighboring areas (MoE, FA and WWF in Cambodia, Bu Gia Map NP in Vietnam; see workplan Sub-Objective 1, Annex 2.2). This has been further strengthened by the implementation of the 2015 elephant survey which spanned three PAs and involved WCS, WWF, MoE and FA. These agencies also carry out their own additional biodiversity and threats monitoring activities and data and results of biodiversity monitoring are shared by all of these partners. This information will indicate whether there is significant displaced negative impacts on the most important concentrations of biodiversity adjacent to the Project Zone.

**Table 8.1.10. Monitoring biodiversity outside the Project Area.**

Data source	Indicator	Extent	Frequency
Fecal DNA based capture-recapture surveys	Asian Elephant density/abundance	Entire Landscape	Every 8 years
CITES Monitoring of Illegal Killing of Elephants (MIKE) program	Asian Elephant mortalities	Entire Landscape	Ongoing (reported annually)
Line transect based Distance sampling surveys	Banteng density Gaur density Eld's Deer density Muntjac density	Adjacent PAs (PPWS & MPF)	Every 2 years
Remote sensing data	Forest cover loss %	Entire Landscape	Ongoing (reported annually)
SMART data	CPUE Indices threats	Inside and outside Project Area	Ongoing (reported monthly)
SMART data	CPUE Indices key wildlife species	Inside and outside Project Area	Ongoing (reported monthly)



#### 8.1.5.8 Responsibilities and logistics

The biodiversity monitoring team is led by staff from the Ministry of Environment (MoE). The current team leader has many years' experience and training in the field methods employed. The field team consists of team leaders employed by WCS who have been recruited from Cambodia's leading universities, and local high schools. The teams are assisted by local residents employed by WCS who are intimately familiar with the forest and its wildlife. The whole biodiversity monitoring program is assisted by a technical advisor from WCS and also draws on assistance from other highly experienced WCS scientists.

Refresher training courses on all monitoring methods are held annually before any field data collecting is carried out. All staff participate in the training, regardless of previous experience. Quantitative monitoring methods are carried out in the dry season (December to May) when access to all areas of the forest is possible. Qualitative data are collected on an as-needed basis. Camera-trapping efforts are highest in the dry season but also take place in the wet season. Incidental records of species are collated year-round and reviewed periodically, e.g. during production of the SPF/KSWS annual report.

#### 8.1.5.9 Data management, reporting and dissemination of results

All biodiversity data are stored in a dedicated MS Access database maintained by WCS. Data extracted from the database are used for Distance sampling, capture-recapture modelling, and mapping species presence.

Results of the biodiversity monitoring activities are documented in technical reports (e.g. Nuttall *et al.*, 2013; O'Kelly and Nut Meng Hor, 2012; Pollard *et al.*, 2008, 2007). These present the quantitative results for target species where possible, including population trends, as well as selected qualitative results obtained that year. These results are also included in the SPF/KSWS annual reports where they are reviewed against annual and longer-term project targets. The annual biodiversity monitoring and project reports are shared with all project partners, and posted on the WCS Cambodia website ([www.wcscambodia.org](http://www.wcscambodia.org)). In addition the annual results are presented to project staff and partners (local government, line agencies, and civil society) at annual planning meetings.

The most significant results are also prepared for presentation at conferences and in peer-reviewed journals (e.g. O'Kelly *et al.*, 2012; Rawson *et al.*, 2009).

#### 8.1.5.10 Monitoring of ecological High Conservation Values

The monitoring of HCVs is outlined in more detail in the HCV assessment report (Pollard and Evans 2012). Monitoring of ecological HCVs (HCV 1-3) is effectively covered by the overall project monitoring framework outlined above since the same methods are suitable for assessing whether the project activities maintain or enhance the HCVs. A summary of the methods used to monitor the values is provided in Table 8.1.11.

**Table 8.1.11. Methodologies used for monitoring High Conservation Values 1–3 in SPF.**

High Conservation Value	Indicators	Monitoring Method
HCV 1: Significant concentrations of biodiversity values	See Table 8.1.8.	Line transects, fecal DNA capture-recapture, occupancy surveys (see above)
HCV 2: Landscape level forests	Forest cover	Remote sensing forest cover assessments (see earlier in Section 8)
HCV 3: Threatened ecosystems	Forest cover & condition	Remote sensing forest cover assessments (see earlier in Section 8); measurements of forest condition during reassessment of the project baseline

## 8.2 Data and Parameters Available at Validation (CL3)

Data / Parameter	Forest cover maps for selected years of the historical reference period
Data unit	Pixels of 30-m resolution
Description	Land cover classes listed in Table 4.5.1. of the PD.
Source of data	Analysis of satellite imagery described in the PD.
Value applied:	Maps for each time point listed in PD 4.5.2.4 (Step 2.4 of the Methodology).
Justification of choice of data or description of measurement methods and procedures applied	The data and methods are justified in detail in the Methodological Annex to the PD.
Purpose of Data	<p>Determination of baseline scenario.</p> <p>To inform development of models of rate and location of deforestation to allow projections for the first fixed crediting period.</p> <p>The map for the year 2010 referred to as 'Forest Benchmark Map'.</p>

Data / Parameter	Reference region map
Data unit	Shapefile - no specific unit of measurement
Description	Outer boundary of Reference Region.
Source of data	Created by applying the definitions set out in PD 4.4.1 (Step 1.1 (1) of the Methodology).
Value applied:	Fixed boundaries for the whole historical reference period (Fig 4.4.1 of the PD).
Justification of choice of data or description of measurement methods and procedures applied	The choice of definition for the reference region is set out in detail in PD 4.4.1.1 (Step 1.1 (1) of the Methodology).
Purpose of Data	<p>Determination of baseline scenario, calculation of baseline emissions, project emissions and leakage.</p> <p>To define an area within which deforestation patterns and drivers in the past are comparable with those in the project area in the future and so allow the development of predictive models.</p>

Data / Parameter	Leakage belt map
Data unit	Shapefile - no specific unit of measurement
Description	Area within which spatially constrained agents of deforestation may conduct deforestation that has been displaced from within the project area by project activities.
Source of data	Created by applying the definitions set out in PD 4.4.1.6 (Step 1.1 (3) of the Methodology).
Value applied:	One boundary is applied during 2010-2011 and a second, slightly reduced one from 2012 onwards, as a result of parcels of land moving into Stratum 2 and becoming unavailable for unplanned deforestation (Fig 4.4.2 of the PD).
Justification of choice of data or description of measurement methods and procedures applied	The choice of definition for the leakage belt is set out in detail in PD 4.4.1.6 (Step 1.1 (3) of the Methodology).
Purpose of Data	Calculation of leakage.

Data / Parameter	Stratum boundaries map
Data unit	Shapefile - no specific unit of measurement
Description	Divides reference region into areas where unplanned deforestation takes place and areas where planned deforestation takes place.
Source of data	The choice of definition for the stratum boundaries is described in Annex 3.1 of the PD.
Value applied:	The strata are dynamically defined and so vary over time. Stratum boundaries were updated every two years during the historical reference period as shown by a set of shapefiles supplied to the validator. They were updated again in 2012 and can be updated again if new ELCs become active in the reference region.
Justification of choice of data or description of measurement methods and procedures applied	The choice of definition is set out in detail in Annex 3.1 of the PD.
Purpose of Data	<p>Determination of baseline scenario, calculation of baseline emissions, project emissions and leakage.</p> <p>To define the area within which unplanned deforestation takes place, to set a frame for deforestation modelling, projections and monitoring</p>

Data / Parameter	ABSLK1,t
Data unit	ha
Description	Area of Stratum 1 deforested at time t within the leakage belt in the baseline case.
Source of data	Raster files of annual deforestation projections conducted according to the methods set out in Step 4 of the PD, intersected with a shapefile of the Leakage Belt boundary.
Value applied:	See Table 5.3.3 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified in PD 5.3.1 (Step 4 of the Methodology).
Purpose of Data	Calculation of baseline emissions.

Data / Parameter	ABSLPA1,t
Data unit	ha
Description	Area of Stratum 1 deforested at time t within the project area in the baseline case.
Source of data	Raster files of annual deforestation projections conducted according to the methods set out in PD 5.3.1 (Step 4 of the Methodology). Intersected with a shapefile of the Project Area boundary.
Value applied:	See Table 5.3.2 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified in PD 5.3.1 (Step 4 of the Methodology).
Purpose of Data	Calculation of baseline emissions.

Data / Parameter	ABSLRR1,t
Data unit	ha
Description	Area of Stratum 1 deforested at time t within the reference region in the baseline case.
Source of data	Raster files of annual deforestation projections conducted according to the methods set out in Section 5.3.2 (Step 4) of the PD.
Value applied:	See Table 5.3.1 of the PD
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified Section 5.3.2 (Step 4) of the PD.
Purpose of Data	Calculation of baseline emissions

Data / Parameter	ABSLKct,t
Data unit	ha
Description	Area of forest type ct deforested at time t within the leakage belt in the baseline case
Source of data	Raster files of annual deforestation projections conducted according to the methods set out in Section 5.3.2 (Step 4) of the PD, intersected with a shapefile of the Leakage Belt boundary and with boundaries of land cover categories mapped at start of historical reference period.
Value applied:	See Table 5.3.7 of the PD
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified in Section 5.3.2 (Step 4) of the PD.
Purpose of Data	Calculation of baseline emissions

Data / Parameter	ABSLPAct,t
Data unit	ha
Description	Area of forest type ct deforested at time t within the project area in the baseline case
Source of data	Raster of annual deforestation projections created according to methods set out in Section 5.3.2 (Step 4) of the PD, intersected by a shapefile of the Project Area boundary and with boundaries of land cover categories mapped at start of the historical reference period.
Value applied:	See Table 5.3.6 of the PD
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified in Section 5.3.2 (Step 4) of the PD.

Purpose of Data	Calculation of baseline emissions
Data / Parameter	ABSLRRct,t
Data unit	ha
Description	Area of forest type ct deforested at time t within the reference region in the baseline case
Source of data	Raster files of annual deforestation projections conducted according to the methods set out in Step 4 of the PD intersected with the boundaries of the land cover categories mapped at the start of the historical reference period (1998).
Value applied:	See Table 5.3.5 of the PD
Justification of choice of data or description of measurement methods and procedures applied	The model used to develop the projections is justified in Section 5.3.2 (Step 4) of the PD.
Purpose of Data	Calculation of baseline emissions

Data / Parameter	AP
Data unit	m <sup>2</sup>
Description	Plot area
Source of data	Measured
Value applied:	Different plot sizes are applied to different size classes of tree and standing dead wood, and in forest versus non-forest vegetation types. The plot diameters are listed in the PD Annex 4.3 Table 1 and Annex 4.5 Table 2 - in each case the plot area is calculated as $AP = (\pi) (\text{Diameter}/2)^2$ .
Justification of choice of data or description of measurement methods and procedures applied	The diameter of the plot is measured as twice the radius, with the radius measured using standard forestry techniques such as a measuring tape or Digital Measuring Equipment. Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.  The plot area is used to convert the plot biomass to a biomass per unit area measure that can be used to calculate an average for the vegetation type being sampled.

Data / Parameter	CF <sub>dc</sub>
Data unit	tC/tDM
Description	Carbon fraction of the dead wood density class dc.
Source of data	IPCC 2003 Good Practice Guidance for Land Use, Chapter 3.2 Forest Land, page 3.25.
Value applied:	0.5
Justification of choice of data or description of measurement methods and procedures applied	IPCC default value, as allowed by the Methodology.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	CF <sub>j</sub>
Data unit	tC/tDM
Description	Carbon fraction of trees in forest type j.
Source of data	IPCC 2003 Good Practice Guidance for Land Use, Chapter 3.2 Forest Land, page 3.25.
Value applied:	0.5
Justification of choice of data or description of measurement methods and procedures applied	IPCC default value, as allowed by the Methodology.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	c/
Data unit	Dimensionless
Description	1, 2, 3 ... C/LU/LC classes.
Source of data	Measured
Value applied:	See Table 4.5.1 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	See 3 Annex 3.5 of the PD.
Purpose of Data	Calculation of baseline, project and leakage emissions.



Data / Parameter	$d_1, d_2, \dots, d_n$
Data unit	cm
Description	Diameters of intersecting pieces of dead wood.
Source of data	Measured
Value applied:	Different for each piece of wood. See supporting files to Annex 4.3 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>DBH</i>
Data unit	cm
Description	Diameter at Breast Height.
Source of data	Measured
Value applied:	Different for each tree. See supporting files to Annex 4.3 and 4.5 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>Ddc</i>
Data unit	tonnes d. m. m <sup>-3</sup>
Description	Dead wood density of class <i>dc</i> .
Source of data	Measured
Value applied:	See Annex 4.3 table 3 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed. A methodology deviation was proposed to allow this.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>No abbreviation given</i> [alternate parameter to <i>Dj</i> ]
Data unit	t d.m.m <sup>-3</sup> [=gcm <sup>-3</sup> ]
Description	Mean wood density of all tree species.
Source of data	Estimated from literature
Value applied:	0.57 (see Table 3, Annex 4.3 of the PD)
Justification of choice of data or description of measurement methods and procedures applied	Literature value was used, as permitted by the Methodology. The conservativeness of biomass estimates using this figure was confirmed in Annex 4.4 of the PD.
Purpose of Data	Calculation of baseline, project and leakage emissions

Data / Parameter	fcl
Data unit	Dimensionless
Description	Final (post deforestation) non-forest classes
Source of data	Measured
Value applied:	See PD Table 4.5.1.
Justification of choice of data or description of measurement methods and procedures applied	The selection of non-forest classes is justified in the PD Annex 4.5 Section 2.2
Purpose of Data	Calculation of baseline, project and leakage emissions

Data / Parameter	$f_j(DBH, H)_{ab}$
Data unit	Dimensionless
Description	An allometric equation for species, or group of species, or forest type $j$ , linking above- ground tree biomass (in kg tree <sup>-1</sup> ) to diameter at breast height ( $DBH$ ) and possibly tree height ( $H$ ).
Source of data	Estimated from literature
Value applied:	The chosen equation is set out in the PD Annex 4.3.
Justification of choice of data or description of measurement methods and procedures applied	The choice of equation is justified in PD Annex 4.4.
Purpose of Data	Calculation of baseline, project and leakage emissions

Data / Parameter	$H$
Data unit	m
Description	Height of the tree.
Source of data	Measured
Value applied:	Different for each tree. See supporting files to Annex 4.3 and 4.5 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	$icl$
Data unit	Dimensionless
Description	1, 2, 3 ... $icl$ initial (pre- deforestation) forest classes.
Source of data	Measured
Value applied:	See PD Table 4.5.1.
Justification of choice of data or description of measurement methods and procedures applied	The selection of forest classes is justified in the PD Annex 3.5 Section 2.2.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>L</i>
Data unit	m
Description	Length of the line.
Source of data	Measured
Value applied:	100 m
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>PP</i>
Data unit	Number of people
Description	Projected population size of the 20 participating villages in each year of the first fixed crediting period.
Source of data	Measured
Value applied:	See PD Annex 3.2 Appendix 3
Justification of choice of data or description of measurement methods and procedures applied	See Annex 3.2 and associated Methodology Deviations
Purpose of Data	Calculation of leakage emissions

Data / Parameter	<i>r1</i>
Data unit	m
Description	Radius at the base of the tree.
Source of data	Measured
Value applied:	Different for each tree. See supporting files to Annex 4.3 and 4.5 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	<i>r2</i>
Data unit	m
Description	Radius at the top of the tree.
Source of data	Measured
Value applied:	Different for each tree. See supporting files to Annex 4.3 and 4.5 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	$R_j$
Data unit	Dimensionless
Description	Root-shoot ratio appropriate for species, group of species or forest type $j$ .
Source of data	Estimated from literature.
Value applied:	0.22
Justification of choice of data or description of measurement methods and procedures applied	The choice of ratio is justified in PD Annex 4.3.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	$tr$
Data unit	Dimensionless
Description	1, 2, 3, ... $TRpl$ number of trees in plot $pl$ .
Source of data	Measured
Value applied:	Different for each plot See supporting files to Annex 4.3 and 4.5 of the PD.
Justification of choice of data or description of measurement methods and procedures applied	Winrock SOPs (supplied) were followed.
Purpose of Data	Calculation of baseline, project and leakage emissions.

Data / Parameter	$z$
Data unit	Dimensionless
Description	Post deforestation zones having a characteristic mix of final post deforestation classes.
Source of data	Measured
Value applied:	See PD 5.3.2.2 (Step 5.2).
Justification of choice of data or description of measurement methods and procedures applied	See PD 5.3.2.2 (Step 5.2).
Purpose of Data	Calculation of baseline, project and leakage emissions.

### 8.3 Data and Parameters Monitored (CL3, CM3 & B3)

Data / Parameter	Forest cover maps for each monitored year
Data unit	Pixels of 30-m resolution
Description	Land cover classes listed in Table 4.5.1 of the PD.
Source of data	Measured
Description of measurement methods and procedures to be applied	Analysis of satellite imagery. The data and methods are justified in detail in the Methodological Annex to the PD. Responsibility rests with the National Project Manager, in collaboration with the SPF/KSWS Senior Technical Advisor.
Frequency of monitoring/recording	At a minimum before each verification event, but more often if preferred.
Value applied:	No ex-ante maps are generated under the Methodology.
Monitoring equipment	n/a
QA/QC procedures to be applied	Accuracy assessment described in the Methodological Annex to the PD.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	n/a

Data / Parameter	Leakage belt map
Data unit	Shapefile - no specific unit of measurement
Description	Area within which spatially constrained agents of deforestation may conduct deforestation that has been displaced from within the project area by project activities.
Source of data	Measured
Description of measurement methods and procedures to be applied	Determined by intersecting the leakage belt boundary mapped for 2010 in the PD with the extent of Stratum 1.
Frequency of monitoring/recording	When establishing the second fixed baseline.
Value applied:	No ex-ante value can be presented other than those presented at validation.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	Stratum boundaries map
Data unit	Shapefile - no specific unit of measurement
Description	Divides reference region into areas where unplanned deforestation takes place and areas where planned deforestation takes place.
Source of data	Measured
Description of measurement methods and procedures to be applied	The procedure for defining the stratum boundaries is set out in PD Annex 3.1.
Frequency of monitoring/recording	When establishing the second fixed baseline.
Value applied:	No ex-ante value can be presented other than those at validation.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of project emissions and leakage
Calculation method	n/a



Data / Parameter	ACPA <sub>icl,t</sub>
Data unit	ha
Description	Annual area within the Project Area affected by catastrophic events in class icl at year t
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.4 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.4 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	Area of loss is estimated from boundaries using standard GIS tools.

Data / Parameter	AP
Data unit	m <sup>2</sup>
Description	Plot area
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Different plot sizes are applied to different size classes of tree and standing dead wood, and in forest versus non-forest vegetation types. The plot diameters are listed in the PD Annex 5.3 Table 1 and Annex 5.5 Table 2 - in each case the plot area is calculated as $AP = (\pi) (Diameter/2)^2$ .
Monitoring equipment	The diameter of the plot is measured as twice the radius, with the radius measured using standard forestry techniques such as a measuring tape or Digital Measuring Equipment as convenient.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	See SOPs.

Data / Parameter	APDPA <sub>icl,t</sub>
Data unit	ha
Description	Area of planned deforestation in forest class icl at year t in the project area
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	Area of loss is estimated from boundaries using standard GIS tools.

Data / Parameter	APFPAicl,t
Data unit	ha
Description	Area of planned fuelwood and charcoal activities in forest class icl at year t in the project area
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	Area of loss is estimated from boundaries using standard GIS tools.

Data / Parameter	APLPAicl,t
Data unit	ha
Description	Area of planned logging activities in forest class icl at year t in the project area
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	Area of loss is estimated from boundaries using standard GIS tools.

Data / Parameter	APNiPAicl,t
Data unit	ha
Description	Area of forest class icl with increasing carbon stock without harvest at year t in the project area.
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.2 & 4 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.2 & 4 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	Area affected is estimated from boundaries using standard GIS tools.

Data / Parameter	$APSLK_{fcl,t}$
Data unit	ha
Description	Annual area of class fcl with decreasing carbon stock in leakage management areas in the project case at year t
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.2 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	The area affected is estimated from mapped boundaries using standard GIS tools.

Data / Parameter	$AUFPA_{icl,t}$
Data unit	ha
Description	Areas affected by forest fires in class icl in which carbon stock recovery occurs at year t.
Source of data	Measured
Description of measurement methods and procedures to be applied	See PD Section 8.1 Task 1.1.4 for procedures for detecting and mapping such events.
Frequency of monitoring/recording	Annual
Value applied:	Ex ante estimate of zero in all years, as the risk of such events is low.
Monitoring equipment	n/a
QA/QC procedures to be applied	See PD Section 8.1 Task 1.1.4 for procedures for detecting and mapping such events.
Purpose of data	Calculation of project emissions and leakage.
Calculation method	The area affected is estimated from mapped boundaries using standard GIS tools.

Data / Parameter	CF <sub>dc</sub>
Data unit	tC/tDM
Description	Carbon fraction of the dead wood density class dc
Source of data	IPCC 2003 Good Practice Guidance for Land Use, Chapter 3.2 Forest Land, page 3.25
Description of measurement methods and procedures to be applied	n/a
Frequency of monitoring/recording	Whenever mandatory
Value applied:	0.5
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>cl</i>
Data unit	Dimensionless
Description	1, 2, 3 ... C/LU/LC classes
Source of data	Measured
Description of measurement methods and procedures to be applied	The Methodology specifies criteria for selection of these classes.
Frequency of monitoring/recording	Reassessed at baseline renewal.
Value applied:	See Table 4.5.1 of the PD for current values.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>d1, d2, ..., dn</i>
Data unit	cm
Description	Diameters of intersecting pieces of dead wood
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>DBH</i>
Data unit	cm
Description	Diameter at Breast Height
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>Ddc</i>
Data unit	tonnes d. m. m-3
Description	Dead wood density of class <i>dc</i>
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When establishing the second fixed baseline.
Value applied:	See Annex 5.3 table 3 of the PD for current values.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	See SOPs.
Comments	

Data / Parameter	<i>No abbreviation given</i> [alternate parameter to <i>Dj</i> ]
Data unit	t d.m.m-3 [=gcm <sup>-3</sup> ]
Description	Mean wood density of all tree species
Source of data	Estimated from literature
Description of measurement methods and procedures to be applied	n/a
Frequency of monitoring/recording	Reassess when establishing the second fixed baseline.
Value applied:	0.57
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>fcl</i>
Data unit	Dimensionless
Description	Final (post deforestation) non-forest classes
Source of data	Measured
Description of measurement methods and procedures to be applied	The Methodology specifies criteria for selection of these classes.
Frequency of monitoring/recording	Reassessed at baseline renewal.
Value applied:	See Table 4.5.1 of the PD for current values.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a



Data / Parameter	$f_j(DBH,H)ab$
Data unit	Dimensionless
Description	an allometric equation for species, or group of species, or forest type $j$ , linking above- ground tree biomass (in kg tree <sup>-1</sup> ) to diameter at breast height ( $DBH$ ) and possibly tree height ( $H$ ).
Source of data	Estimated from literature
Description of measurement methods and procedures to be applied	The Methodology sets out criteria for selection and validation of this equation.
Frequency of monitoring/recording	Reassessed at baseline renewal.
Value applied:	The current chosen equation is set out in the PD Annex 5.3.
Monitoring equipment	See Methodology.
QA/QC procedures to be applied	See Methodology.
Purpose of data	Calculation of baseline, project and leakage emissions
Calculation method	See Methodology.

Data / Parameter	$H$
Data unit	meters
Description	Height of the tree
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	$icI$
Data unit	Dimensionless
Description	1, 2, 3 ... $icI$ /initial (pre- deforestation) forest classes
Source of data	Measured
Description of measurement methods and procedures to be applied	The Methodology specifies criteria for selection of these classes.
Frequency of monitoring/recording	Reassessed at baseline renewal.
Value applied:	See Table 4.5.1 of the PD for current values.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>L</i>
Data unit	m
Description	Length of the line
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	100 m
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	<i>OP</i>
Data unit	number of people
Description	Observed population size of the 20 participating villages in each year of the first fixed crediting period
Source of data	Measured
Description of measurement methods and procedures to be applied	See Annex 4.2 and associated Methodology Deviations. Data derived from Commune Database or a directly comparable source.
Frequency of monitoring/recording	Required at each verification event; can be measured at higher frequency if preferred.
Value applied:	See PD Annex 4.2 Appendix 3 for ex ante estimates.
Monitoring equipment	n/a
QA/QC procedures to be applied	Expert inspection of the data and correction of any evident errors (with written justification). Periodic comparison with other datasets of comparable or better quality if available and selection of the most conservative.
Purpose of data	Calculation of leakage.
Calculation method	n/a

Data / Parameter	<i>r1</i>
Data unit	meters
Description	Radius at the base of the tree
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	$r_2$
Data unit	meters
Description	Radius at the top of the tree
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	$tr$
Data unit	Dimensionless
Description	1, 2, 3, ... $TR_{pI}$ number of trees in plot $pI$
Source of data	Measured
Description of measurement methods and procedures to be applied	Winrock SOPs (supplied) will be followed.
Frequency of monitoring/recording	When plots are required for assessing catastrophic losses and comparable unplanned events, and in establishing the second fixed baseline.
Value applied:	Cannot be estimated ex ante.
Monitoring equipment	Standard forestry equipment, according to SOPs.
QA/QC procedures to be applied	See SOPs.
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	$z$
Data unit	Dimensionless
Description	Post deforestation zones having a characteristic mix of final post deforestation classes
Source of data	Measured
Description of measurement methods and procedures to be applied	The Methodology specifies criteria for selection of these classes.
Frequency of monitoring/recording	Reassessed at baseline renewal.
Value applied:	See Table 4.5.1 of the PD for current values.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of baseline emissions, project emissions and leakage.
Calculation method	n/a

Data / Parameter	Fburnt[icl]
Data unit	%
Description	Proportion of forest area burned during the historical reference period in the forest class
Source of data	Estimated from the literature
Description of measurement methods and procedures to be applied	n/a
Frequency of monitoring/recording	Once at start of project
Value applied:	A conservative value of 100% is used both for forest converted to smallholder cropping mosaics and for deforestation resulting from catastrophic fires without conversion to agriculture.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of project emissions and leakage.
Calculation method	n/a

Data / Parameter	Pburnt[p,icl]
Data unit	%
Description	Average proportion of mass burnt in the carbon pool p in the forest class icl;
Source of data	Estimated from the literature
Description of measurement methods and procedures to be applied	n/a
Frequency of monitoring/recording	Once at start of project
Value applied:	A value of 0.50 is used for both open and dense forest classes. This is the value for 'primary tropical moist forest' listed in Table 2.6 of IPCC, 2006 (Annex 2) <a href="http://www.ipcc-nggip.iges.or.jp/public/2006gl/pdf/4_Volume4/V4_02_Ch2_Generic.pdf">http://www.ipcc-nggip.iges.or.jp/public/2006gl/pdf/4_Volume4/V4_02_Ch2_Generic.pdf</a> . This is consistent with the climate regime at the site and is also the most conservative option in the table.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of project emissions and leakage.
Calculation method	n/a

Data / Parameter	CE[p,icl]
Data unit	Dimensionless
Description	Average combustion efficiency of the carbon pool p in the forest class
Source of data	Estimated from the literature
Description of measurement methods and procedures to be applied	n/a
Frequency of monitoring/recording	Once at start of project
Value applied:	Value of 0.30 is used for both open and dense forest. This is the upper bound of the range for drying seasons <6 months (and also the value for drying seasons >6 months) for primary tropical forests in Table 3A.1.14 of the 2003 Good Practice Guidelines for LULULCF Chapter 3.
Monitoring equipment	n/a
QA/QC procedures to be applied	n/a
Purpose of data	Calculation of project emissions and leakage.
Calculation method	n/a

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## ANNEXES

### Annex 1.1 Contact Information for Project Proponent and Partners

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## Annex 2.1 Workplan

Sub-Objective #1: Key legal and planning documents for the SPF/KSWS and surrounding landscape are approved and implemented					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Support for sub-decree maintained among senior levels of government and general public	Maintain national level support and awareness	High level visits, annual reporting, national media visibility	as needed throughout project period	off-site	
	Maintain physical markers	Signboards etc	as needed throughout project period	main access points and junctions	
	Maintain provincial level support/awareness	Meetings held at Prov & Dist and comm & village level. Documents shared. MDK and KRT	as needed throughout project period	provincial/district capitals	
Action #2: Management plan approved and implemented (including zonation and regulations)	Provincial Deika on regulations	Community consent, provincial signature	2014-2015	all villages, provincial capital	Regulations will specify permitted activities for each zone in more detail than national law
	Agreement of Strictly Protected Zones	Community consent; physical demarcation	2014-2016	all villages, provincial capital	Acceptable zones will be identified through consultation; any displaced regular users will give consent and be compensated
	Management plan approved and implemented	Community consent, signed by minister, renewed as needed	2014-2015; renewed periodically	all villages, provincial capital	Specifies management objectives, zonation, regulations, staffing levels, workplan and monitoring
Action #3: Mondulkiri Provincial Corridors strategy implemented	Agreed strategy	Signed by MDK Gov'nor	2013-2015	provincial capital	Defines high priority areas for ecosystem protection and connectivity across whole province
Action #3: Mondulkiri Provincial Corridors strategy implemented	Implement and monitor strategy	Implementer id'd. Evidence of problems mitigated/avoided	as needed throughout period of strategy	whole site	
	Coordinate with WWF on Kratie PCPU	PCPU formed, and providing assistance for SPF/KSWS	as needed throughout period of strategy	Kratie town	

Sub-Objective #1: Key legal and planning documents for the SPF/KSWS and surrounding landscape are approved and implemented					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #4: Develop partnerships with the private sector in Mondulkiri (to reduce impacts by companies)	Coordinate with other NGOs working on mining and plantations	Effective joint NGO strategies	as needed throughout project period	as needed	
	Code of conduct for companies operating in SPF/KSWS	Code agreed by MoE and adherence monitored	to be determined	as needed	
Action #5: Develop international cross-border dialogue	Effective system in place to manage cross border issues	Reduced levels of cross-border threat	to be determined	as needed	System likely to include regular coordination meetings with 'opposite numbers' on Vietnamese side of border
Action #6: Adaptive Management (regular public reviews and workplans)	Project conceptual model in use and regularly updated	Conceptual model understood and used by all senior staff.	2011-2013	HQ	Miradi is a software package for managing the conceptual model and monitoring information
	Regular review of strategic plan	Plan remains relevant to current threats and opportunities	review every 3-5 years	HQ	
	Annual planning/reporting cycle with community involvement	Annual reporting by components and planning on time, widely shared; preparatory annual community workshop	annual	HQ	The process may eventually also lead to a formally recognized consultation committee made up of community reps
	Grievance procedures	Understood and used	as needed throughout period of strategy	all villages/communes	3rd- party system required - may be run by independent NGO or by Commune Councils

Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Enforce wildlife, forest and protected area laws and sub-decree through patrols	Regular Foot and vehicle patrols	Full spatial coverage. Highly targeted information-driven patrolling. Key threats reduced to near zero.	routine	whole Project Zone, mainly in Project Area	
	Ranger Stations Manned	All stations fully manned	routine	all stations in Project Area	
	Verify and respond to informant information	Most villages regularly sharing information	routine	all villages	
	Snare collection team	Snaring reduced to zero in all zones where forbidden	routine	whole Project Zone, mainly in Project Area	
Action #2: Establish and implement law enforcement monitoring framework	Monthly Patrol review and planning meetings	SMART report + summary report + snare team report + MIKE carcass reports	monthly	HQ	
	Quarterly evaluations against targets; annual reporting	Summary reports with recommendations + MIKE annual report	quarterly	HQ	
	Independent assessment of human activities from land-use mapping, monitoring team etc.	Deforestation reports. SMART data from monitoring teams. Targeted monitoring of hotspot villages.	annual	as needed	
Action #3: Ensure sufficient patrol buildings, equipment and staffing	New stations built, HQ rebuilt, all stations maintained and full fleet of vehicles	All necessary stations built, vehicles not limiting activities	building program complete by 2017; routine maintenance	whole site	
	Field teams fully equipped	Field teams able to patrol safely in all seasons	routine	whole site	
	Field teams fully staffed		routine	whole site	

Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #4: Ensure sufficient patrol personnel capacity	Patrol strategy, techniques and legal training	Training sessions, skill levels	every 1-2 years or more as needed	whole site	
	SMART training	Training sessions, skill levels	1-2 per year or as needed	whole site	SMART is the software used to handle patrol data, providing summary tables and maps of effort/results
	First Aid and health and safety	Training sessions, skill levels	annual	HQ	
Action #5: Liaise with Provincial, National and other authorities	Work more closely with judiciary and use outside legal assistance	# of successful prosecutions; training on wildlife laws	recurrent, as needed	off-site	
	Continue good collaboration with MDK Department of Environment; expand to Kratie	Quarterly reports from SPF/KSWS to DoE; case reports; share work plans; [cooperation on technical issues see below]	routine	off-site	
Action #6: Establish Community-based Patrolling and/or monitoring system	Put mechanism in place	All key communities engaged; regular reviews of effectiveness	Pilot 2012-2014, roll out behind land use agreements; all key villages by 2020	all relevant villages	

Sub-Objective #3: Land and resource use by all core zone communities is sustainable					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Form and maintain land-use agreements with communities	Monthly liaison with all villages	Regular meetings and follow-up	routine	all villages	
	Agreed land zonation for all villages	Approved by commune, included in management plan, physically demarcated, included in CLUPs (Commune Land-use Plans)	All relevant villages by 2019	all villages	Participatory mapping process; focus on near-village uses (residential, agriculture, fallow, spirit and burial sites)
	Zone management plans or resource management plans	Agreed in all villages where required to maximize carbon benefits or ensure sustainable harvests	All relevant villages by 2018	all villages	
	Participatory monitoring of agreements	All villages actively monitoring	routine monitoring, annual review	all villages	
Action #2: Legally registering communities and users	All eligible Indigenous Community Commissions (ICCs) registered		All relevant villages by 2019	all eligible and interested villages	Registration of the ICC is the first step to communal land registration
	All non ICC Community Based Organizations established		All relevant villages by 2019	all other villages wishing to form groups	
	Implement card system for forest users		All relevant villages by 2018	all villages	Formalizes Article 40 of the Forestry Law and helps to control non-legal users
Action #3: Indigenous land titling in appropriate communities	All ICT demarcated	Registered with MLMUPC	All relevant villages by 2019	all indigenous villages that choose communal land	
Action #4: Demarcation of the Forest Estate; recovery of unstocked areas	Demarcation of forest estate completed	Stakeholder agreement. Concrete posts in ground	All high priority boundaries by 2019	all forest boundaries, including indigenous land	



<b>Sub-Objective #3: Land and resource use by all core zone communities is sustainable</b>					
<b>Actions</b>	<b>Activities</b>	<b>Indicators</b>	<b>Timing</b>	<b>Location</b>	<b>Explanatory notes</b>
Action #4: Demarcation of the Forest Estate; recovery of unstocked areas	Recovery of forest in key areas	Assisted natural regeneration in all appropriate areas	routine, as needed	selected areas of recent deforestation vulnerable to land-grabbing	
Action #5: Conduct extension and communication activities	Awareness raised and maintained among local authorities and NGOs	Sub-decree and REDD+ project understood by key stakeholders	routine, with major campaigns as needed	all villages	
	Manage human-wildlife conflict	Conflicts minimized, local attitudes acceptable	routine, as needed	all villages with significant HWC	
Action #6: Liaise with Commune Council and other agencies	Make inputs to Commune Development Plan/ Commune Investment Plan to include SPF/KSWS priorities and prevent damaging activities	CDP/CIPs reflect SPF/KSWS priorities	annual	All relevant villages and communes	
	Regular meetings with Commune Councils to discuss issues arising	Meetings held and reported. Issues solved	routine	all communes	
	Regular meetings with PSDD advisors & Prov Govnr office	Meetings held and reported	routine	provincial capital	
Action #7: Engage with civil society organizations operating in the Project Area	Attend regular network meetings	NGOs have coordinated response to key issues	routine	as needed	
	Direct contracts or MoUs with key partners		as needed	as needed	
Action #7: Engage with civil society organizations operating in the Project Area	Engage other local NGOs in annual planning cycle	NGOs give input to SPF annual and strategic plans	annual	HQ or other locations	

Sub-Objective #3: Land and resource use by all core zone communities is sustainable					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #8: Ensure the capacity of Project staff is sufficient	Training for staff and local NGO partners on land management issues	Increased understanding of training in law, conservation, NRM, facilitation skills, health and safety	annual or as needed	as needed	
	Increase proportion of locally hired staff	Majority of staff are residents of the provinces; more than 25% are native Bunong speakers	routine	as needed	

Sub-Objective #4: Support for alternative livelihoods that reduce deforestation					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Establish tourism activities that benefit conservation	Wildlife-based tourism underway in all suitable villages	Financially and environmentally sustainable; target species stable/increasing	By 2019	to be determined (after feasibility studies)	
	Other forms of ecotourism active and well managed (e.g. waterfalls, resorts, trekking)	number of visitors, level of income to village and KSWs	By 2019	to be determined (after feasibility studies)	
Action #2: Support agricultural extension activities	Relevant NGO partners active in all villages	Reduced demand for fresh land, increased compliance with REDD+ targets due to incentives, enhanced climate change adaptation	All relevant villages by 2019	all villages	
Action #3: Provide infrastructure support linked to conservation activities	Infrastructure support as requested by target communities.	Increased compliance with REDD+ targets due to incentives	All relevant villages by 2019	all villages	

Sub-Objective #4: Support for alternative livelihoods that reduce deforestation					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #4: Develop NTFP-based livelihood projects	NTFP-linked livelihoods sustainable and profitable in all relevant villages	No NTFPs being over-harvested; improved incomes reduce pressure for deforestation	All relevant villages by 2019	to be determined (after feasibility studies)	
Action #5: Develop and manage a system to share carbon benefits	Create model for benefit sharing (direct and indirect)	model created and implemented	All relevant villages within 2 years of first carbon sale	all villages	
	Identify suitable forms of assistance		All relevant villages within 2 years of first carbon sale	all villages	
Action #6: Improve literacy/ numeracy	Literacy/numeracy campaign covers whole landscape.	High levels of functional literacy/numeracy in all villages; increased opportunities for off-farm employment	All relevant villages by 2019	all key villages	

Sub-Objective #5: Collect information on long-term ecological and social trends					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Monitoring of trends in forest cover	Regular deforestation monitoring reports, SPF/KSWS and surroundings	Reports distributed	internal assessments every 1-3 years; full assessments according to verification schedule	whole site	
Action #2: Monitoring of key wildlife species	Program of monitoring to be finalized within 12 months of validation.	To be finalized within 12 months of validation.	To be finalized within 12 months of validation.	Project Zone	
Action #3: Socio-economic and demography monitoring	Regular demographic surveys	demographic trends clearly understood; new threats detected	1-3 year cycle as feasible	all villages	
	Social benefit/impact monitoring consistent with CCBA	To be finalized within 12 months of validation	to be determined in design process	all villages	

<b>Sub-Objective #5: Collect information on long-term ecological and social trends</b>					
<b>Actions</b>	<b>Activities</b>	<b>Indicators</b>	<b>Timing</b>	<b>Location</b>	<b>Explanatory notes</b>
Action #4: Facilitate research that will benefit the management of the SPF	Maintain list of priority research topics	Researchers attracted to do research on SPF priority list	routine	HQ	
	Regular production of papers and reports in Khmer and English	Published research relevant to SPF profile or management planning	as needed	as needed	
	Oversee visiting researchers	Published research relevant to SPF profile or management planning	as needed	as needed	
Action #5: Ensure sufficient staff capacity is available	Training courses in social and biological monitoring techniques	number of people capable of carrying out social and biological monitoring	as needed	as needed	
	Recruit staff, where possible locally resident	# staff recruited	routine	as needed	

<b>Sub-Objective #6: Effective administrative, accounting and logistical procedures are in place</b>					
<b>Actions</b>	<b>Activities</b>	<b>Indicators</b>	<b>Timing</b>	<b>Location</b>	<b>Explanatory notes</b>
Action #1: Organize evaluation and feedback on staff capacity, effectiveness and training requirements	Staff reviews	Managers review team member performance	annual or as needed	as needed	
Action #2: Develop and maintain effective management, administrative and accounting systems	Hire and retain on-site admin staff		routine	as needed	
	Management team meet regularly	Weekly progress meetings; quarterly budget meetings	weekly and quarterly	as needed	

Sub-Objective #7: Long-term financial security					
Actions	Activities	Indicators	Timing	Location	Explanatory notes
Action #1: Develop and Implement REDD+ project	Gain and maintain community consent; impact assessments and HCV assessment	Agreements made and regularly renewed	before validation, plus reviews before 10-yearly revalidation	all villages	
	Initial validations and revalidation	Vallidations achieved and renewed	once per fixed baseline period	as needed	
	Reporting, verification, registration	Reports submitted, verified	2-3 yearly (see Section 8)	as needed	
	Marketing and sales		as needed	as needed	
Action #2: Establish financial mechanism for REDD+ revenues and other income	Finalize Business plan	finished and written up	2013	as needed	
	Prepare scoping paper on fund structure	Completed and distributed	2013	as needed	
	Consultations with legal & financial experts, and stakeholders	Agreed design for fund & launch	before first sales	as needed	
	Consultations with potential donors	Donor interest	routine	as needed	
Action #3: Obtain continued support of a wide range of donor partners	Continued fund raising from usual and new sources	\$ raised	routine	as needed	
	Facilitation of site visits	# visits	routine	as needed	
Action #4: Increase use of commune development funds for project activities	Proportion of locally administered investment funds spent on SPF/KSWS priorities		annual	all communes	



## Annex 2.2 Non-Permanence Risk Assessment

### Introduction

One of the main elements of the REDD+ concept is that emission reductions have to be permanent. In the case of AFOLU projects, permanence of emission reductions can be at risk due to various factors and has therefore to be assessed in order to determine the necessity and level of buffer credits to be set aside for mitigating the potential effects of non-permanence of generated emission reductions. In accordance with the applied Methodology, non-permanence risks have been determined using the most recent version (version 3.2) of the VCS AFOLU Non Permanence Risk Tool. Non-permanence risk assessment has been conducted in the following two steps:

- Step 1: Risk analysis (internal, external and natural risks);
- Step 2: Overall non-permanence risk rating and buffer determination.

Risk factors are classified into three categories: internal risks, external risks and natural risks, and further into sub-categories such as project management, financial viability and community engagement. The project has been evaluated against each of the risk factors in each category and sub-category as set out in the sections below. A risk score has been assigned to each risk factor, which was then used to determine the risk rating for each risk sub-category and category, based on the provided equations.

### Internal Risk

Internal risks are non-permanence risks related to the management of the emission reduction activities, the financial viability of the planned project, the opportunity costs of the implementation of the planned activities, as well as the expected duration of the project.

Risks from weaknesses in project management are assessed as very low due to the high capacity of the implementing partners and the existence of a formal adaptive management system. The financial viability of the project is good, with a rapid breakeven point once credit sales begin, but limited callable resources or other funding streams prior to that. The high Net Present Value of alternative land uses relative to the income expected from the project also poses a risk, but this is largely offset by the strong legal basis for long-term protection at the site. The detailed calculations are presented below.

Factor	Project Longevity	Rating
a)	Without legal agreement or requirement to continue the management practice. Not applicable.	NA
b)	With legal agreement or requirement to continue the management practice. Applicable. Legal status can be assumed to apply through to the 100 year time horizon cutoff. Therefore score is calculated as $30 - (100/2) = -20$ . Negative scores are not permitted so score = 0	0
Total Project Longevity (PL) May not be less than zero		0

Project Management		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	Species planted (where applicable) associated with more than 25% of stocks on which GHG credits have previously been issued are not native or proven to be adapted to the same or similar agro-ecological zones (s) in which the project is located. Not applicable.	NA
b)	Ongoing enforcement to prevent encroachment by outside actors is required to protect more than 50% of stocks on which GHG credits have previously been issued. Not Applicable. No GHG credits have previously been issued.	0
c)	Management team does not include individuals with significant experience in all skills necessary to successfully undertake all project activities (i.e., any area of required experience is not covered by at least one individual with at least 5 years experience in the area). Applicable. Mitigation: Section 1.5 shows the participating organizations have strong track records and a pool of suitably qualified staff. Qualifications of key staff currently involved in the project can be provided on request. Residual risk – nil.	0
d)	Management team does not maintain a presence in the country or is located more than a day of travel from the project site, considering all parcels or polygons in the Project Area. Applicable. Management team is based partly on site and partly in Phnom Penh, less than 5 hours travel from the site. Residual risk – nil.	0
e)	Mitigation: Management team includes individuals with significant experience in AFOLU project design and implementation, carbon accounting and reporting (e.g., individuals who have successfully managed projects through validation, verification and issuance of GHG credits) under the VCS Program or other approved GHG programs. Applicable. But the in-country management team does not currently include such individuals.	0
f)	Mitigation: Adaptive management plan in place. Applicable. Fully implemented. Since 2009 SPF/KSWS has operated under an adaptive management cycle involving systematic monitoring, annual participatory review of progress, drafting of workplans and updating strategic plans.	-2
Total Project Management (PM) [as applicable, (a + b + c + d + e + f)]		-2
Total may be less than zero.		

Financial Viability		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	Project cash flow breakeven point is greater than 10 years from current risk assessment Not applicable	NA
b)	Project cash flow breakeven point is between 7 up to 10 years from current risk assessment Not applicable	NA
c)	Project cash flow breakeven point is between 4 up to 7 years from current risk assessment Not applicable	NA
d)	Project cash flow breakeven point is less than 4 years from current risk assessment Applicable Breakeven point is predicted to be in year 7, only 2 years from current risk assessment (Year 5) as shown by the financial projections in Annex 2.3	0
e)	Project has secured less than 15% of funding needed to cover the total cash out before the project reaches breakeven Applicable Project is largely dependent on revenues from REDD+ sales to reach breakeven.	3
f)	Project has secured 15% to less than 40% of funding needed to cover the total cash out before the project reaches breakeven Not applicable	NA
g)	Project has secured 40% to less than 80% of funding needed to cover the total cash out before the project reaches breakeven Not applicable	NA
h)	Project has secured 80% or more of funding needed to cover the total cash out before the project reaches breakeven Not applicable	NA
i)	Mitigation: Project has available as callable financial resources at least 50% of total cash out before project reaches breakeven. Applicable But project lacks these callable resources.	0
Total Financial Viability (FV) [as applicable, ((a, b, c or d) + (e, f, g or h) + i)]		3
Total may not be less than zero.		

Opportunity Cost		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	NPV from the most profitable alternative land use activity is expected to be at least 100% more than that associated with project activities; or where baseline activities are subsistence driven, net positive community impacts are not demonstrated. Applicable.	8
b)	NPV from the most profitable alternative land use activity is expected to be between 50% and up to 100% more than from project activities	NA
c)	NPV from the most profitable alternative land use activity is expected to be between 20% and up to 50% more than from project activities	NA
d)	NPV from the most profitable alternative land use activity is expected to be between 20% more than and up to 20% less than from project activities; or where baseline activities are subsistence-driven, net positive community impacts are demonstrated.	NA
e)	NPV from project activities is expected to be between 20% and up to 50% more profitable than the most profitable alternative land use activity	NA
f)	NPV from project activities is expected to be at least 50% more profitable than the most profitable alternative land use activity.	NA
g)	Mitigation: Project proponent is a non-profit organization Not applicable Proponent is government agency.	NA
h)	Mitigation: Project is protected by legally binding commitment (see Section 2.2.4) to continue management practices that protect the credited carbon stocks over the length of the project crediting period. Applicable The Sub-decree creating the SPF/KSWS is indefinite in duration.	-2
i)	Mitigation: Project is protected by legally binding commitment (see Section 2.2.4) to continue management practices that protect the credited carbon stocks over at least 100 years. Applicable The Sub-decree creating the SPF/KSWS is indefinite in duration.	-8
Total Opportunity Cost (OC) [as applicable, (a, b, c, d, e or f) + (g or h)]		0
Total may not be less than 0.		

Internal Risk	
Total Internal Risk (PM + FV + OC + PL)	(-2)+ 3+0+0 = 1
Total may not be less than zero.	

## External Risks

Though land tenure and use in the Reference Region in general is complex, the choice of Project Area avoids most forms of risk to be assessed in this section. The estimated risk scores are reduced somewhat by the clearly established legal basis for protection of the SPF/KSWS and the evidence of strong community agreements clarifying the status of these overlapping claims with respect to the REDD+ project. Cambodia's relatively low scores on the database of Worldwide Governance Indicators increase the assessed risk, although this is partly offset by the existence of a national REDD+ Readiness process.

Land Ownership and Resource Access/Use Rights		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	Ownership and resource access/use rights are held by same entity(s) Applicable. The Forestry Administration holds these rights on behalf of the Cambodian government.	0
b)	Ownership and resource access/use rights are held by different entity(s) (e.g., land is government owned and the project proponent holds a lease or concession) Applicable. Whilst the Project Area is owned by the Royal Government of Cambodia as State Public Land, traditional users have some resource use rights in accordance with the Forestry Law.	2
c)	In more than 5% of the Project Area, there exist disputes over land tenure or ownership Not Applicable	0
d)	There exist disputes over access/use rights (or overlapping rights) Not Applicable	0
e)	WRC projects unable to demonstrate that potential upstream and sea impacts that could undermine issued credits in the next 10 years are irrelevant or expected to be insignificant, or that there is a plan in place for effectively mitigating such impacts. Not applicable	NA
f)	Mitigation: Project Area is protected by legally binding commitment (e.g., a conservation easement or protected area) to continue management practices that protect carbon stocks over the length of the project crediting period Applicable The Sub-decree creating the SPF is indefinite in duration.	-2
g)	Mitigation: Where disputes over land tenure, ownership or access/use rights exist, documented evidence is provided that projects have implemented activities to resolve the disputes or clarify overlapping claims Not Applicable	0
Total Land Tenure (LT) [as applicable, ((a or b) + c + d + e + f)], total may not be less than zero.		0

Community Engagement		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	Less than 50% of households living within the Project Area who are reliant on the Project Area, have been consulted. But far more than 50% of households have been consulted, see Sections 2.7 and 3.7.	0
b)	Less than 20% of households living within 2 km of the project boundary outside the Project Area, and who are reliant on the Project Area, have been consulted. Applicable The great majority of dependent households living outside the Project Area have also been consulted, see Sections 2.7 and 3.7.	0
c)	Mitigation: The project generates net positive impacts on the social economic well-being of the local communities who derive livelihoods from the Project Area	-5
Total Community Engagement (CE) [where applicable, (a+b+c)], total may be less than zero.		-5

Political Risk		
Factor	Risk Factor and/or Mitigation Description	Rating
a)	Governance Score of less than -0.79 Applicable. Cambodia has a score of -0.84 (calculations available on request).	6
b)	Governance Score of -0.79 to less than -0.32 Not applicable	NA
c)	Governance Score of -0.32 to less than -0.19 Not applicable	NA
d)	Governance Score of 0.19 to less than 0.82 Not applicable	NA
e)	Governance Score of 0.82 or higher Not applicable	NA
f)	Mitigation: Country is implementing REDD+ Readiness or other activities, as set out in Section 2.3.3. Applicable. Cambodia is conducting a REDD+ Readiness process with support from both FCPF and UN-REDD.	-2
Total Political (PC) [as applicable ((a, b, c, d or e) + f)], total may not be less than zero.		4

External Risk	
Total External Risk (LT + CE + PC) Total may not be less than zero.	0+(-5)+4 = 0

## Natural Risks

Fire (F)	
Significance	Insignificant/transient losses
Likelihood	Every less than 10 years.
Score (LS)	2
Mitigation	0

Pest and Disease Outbreaks (PD)	
Significance	Insignificant/transient losses
Likelihood	Every less than 10 years.
Score (LS)	2
Mitigation	NA

Extreme Weather (W)	
Significance	Insignificant/transient losses
Likelihood	Every less than 10 years.
Score (LS)	2
Mitigation	NA

Geological Risk (G)	
Significance	No loss
Likelihood	NA
Score (LS)	0
Mitigation	NA

Score for each natural risk applicable to the project - Determined by (LS × M)	
Fire (F)	2
Pest and Disease Outbreaks (PD)	2
Extreme Weather (W)	2
Geological Risk (G)	0
Other natural risk (ON)	NA
Total Natural Risk (as applicable, F + PD + W + G + ON)	6

## Overall Non-Permanence Risk Rating and Buffer Determination

### Overall Risk Rating

Risk Category	Rating
a) Internal Risk	1
b) External Risk	0
c) Natural Risk	6
Overall Risk Rating (a + b + c)	7

The project has a calculated risk rating of 7%. The minimum risk rating for a VCS AFOLU project is 10%, so the SPF/KSWS project has a rating of 10%. This is equivalent to a 10% risk buffer set-aside at the time of each verification event.

### Calculation of Total VCUs

The number of buffer credits is calculated in Step 9 of the Project Document.



### Annex 2.3 Financial Model

The project financial model is contained in a set of spreadsheets, which are available to the validator on request. It contains the following elements:

1. A cost model based on past operations at the site:
  - The cost model includes a worksheet for each of the main components of the project (site management, law enforcement, biological monitoring, community engagement and land tenure etc), a set of sheets collating subtotals and a master sheet summarizing the annual costs
  - The cost model also has a dashboard sheet containing a number of variables that the project planner can adjust to cost differing scenarios. These include three broad, user-defined scenarios regarding the overall level of ambition (default values being 1x, 2x and 3x the basic funding level) and a number of variables that can be adjusted independently (e.g. number of vehicles, number of sub-stations, tax and inflation rates).
2. A set of sample outputs from the cost model, embodying scenarios that are likely to be relevant to the project crediting period. Three sample scenarios are provided (H – High, M – medium and M2 lower medium) and others can be generated.
3. Revenue projections, based on the predicted VCU volumes in the PD and the proposed monitoring and verification schedule. The PD only predicts revenues for the first fixed baseline period. Revenues are conservatively assumed to be lower in subsequent periods – for 2020-2039 an arbitrary figure of 500,000 VCUs per year is assumed, less than half of the average for the first fixed baseline period, with zero thereafter.
4. A 30 year project budget, which is presented below as Tables 1 and 2. The main elements of this are
  - Annual operating costs based on the various scenarios mentioned above
  - Annual grant (non-REDD) revenues following Annex 3.4
  - REDD+ credit sale revenues, based on point 3 above
  - Expenditure from the sale revenues under three headings
    - annual operating costs net of grant revenues
    - deposits into a long term permanence fund
    - unassigned net revenues available for community benefit-sharing and for other expenditures

Since the benefit-sharing mechanism and division of funds have not yet been decided pending community consultations and governmental decisions, no effort is made here to estimate the amounts involved.

Appendix 1 summarizes the calculations required to demonstrate project additionality, in accordance with Section 4.6

**Table 1 Financial model, 2010-2019**

Revenue	Year									
	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Grant funding	399,241	329,703	320,355	195,042	195,042	195,042	195,042	195,042	195,042	195,042
Sales revenues (REDD)	0	0	0	0	0	0	17,788,152	0	19,953,331	0
Total revenue	399,241	329,703	320,355	195,042	195,042	195,042	17,983,194	195,042	20,148,373	195,042
Cumulative annual revenues (grants)	399,241	728,944	1,049,299	1,244,341	1,439,383	1,634,425	1,829,467	2,024,509	2,219,551	2,414,593
Cumulative annual revenues from REDD	0	0	0	0	0	0	17,788,152	17,788,152	37,741,483	37,741,483
Cumulative annual revenues (all sources)	399,241	728,944	1,049,299	1,244,341	1,439,383	1,634,425	19,617,619	19,812,661	39,961,034	40,156,076
<b>Expenditure for management of SPF</b>										
Budget level	a	a	a	a	a	a	H	H	H	H
<b>Annual expenditure for core management activities of SPF/KSWS</b>	399,241	329,703	320,355	195,042	195,042	195,042	1,816,196	1,816,196	1,816,196	1,816,196
<b>REDD valid./verif costs (annualized)</b>	0	0	0	0	0	0	46,168	46,168	46,168	46,168
<b>Total required expenditure</b>	399,241	329,703	320,355	195,042	195,042	195,042	1,862,364	1,862,364	1,862,364	1,862,364
Cumulative annual expenditures	399,241	728,944	1,049,299	1,244,341	1,439,383	1,634,425	3,496,789	5,359,153	7,221,517	9,083,881
<b>Cumulative revenue minus cumulative expenditures</b>	0	0	0	0	0	0	16,120,830	14,453,508	32,739,517	31,072,195

The net revenue in the last line forms the basis of any benefit-share arrangement and long-term financial mechanisms to ensure permanence.

Table 2 – Financial model, 2020-2029

	Year									
Revenue	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029
Grant funding	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042
Sales revenues (REDD)	17,648,853	0	4,800,000	0	4,800,000	0	4,800,000	0	4,800,000	0
Total revenue	17,843,895	195,042	4,995,042	195,042	4,995,042	195,042	4,995,042	195,042	4,995,042	195,042
Cumulative annual revenues (grants)	2,609,635	2,804,677	2,999,719	3,194,761	3,389,803	3,584,845	3,779,887	3,974,929	4,169,971	4,365,013
Cumulative annual revenues from REDD	55,390,336	55,390,336	60,190,336	60,190,336	64,990,336	64,990,336	69,790,336	69,790,336	74,590,336	74,590,336
Cumulative annual revenues (all sources)	57,999,971	58,195,013	63,190,055	63,385,097	68,380,139	68,575,181	73,570,223	73,765,265	78,760,307	78,955,349
<b>Expenditure for management of SPF</b>										
Budget level	M	M	M	M	M	M	M	M	M	M
Annual expenditure for core management activities of SPF/KSWS	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937	1,321,937
REDD valid./verif costs (annualized)	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168
Total required expenditure	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104	1,368,104
Cumulative annual expenditures	10,451,985	11,820,089	13,188,193	14,556,297	15,924,402	17,292,506	18,660,610	20,028,714	21,396,818	22,764,922
Cumulative revenue minus cumulative expenditures	47,547,986	46,374,923	50,001,861	48,828,799	52,455,737	51,282,675	54,909,613	53,736,551	57,363,488	56,190,426

Table 3 – Financial model, 2030-2039

Revenue	Year									
	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039
Grant funding	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042	195,042
Sales revenues (REDD)	4,800,000	0	4,800,000	0	4,800,000	0	4,800,000	0	0	9,600,000
Total revenue	4,995,042	195,042	4,995,042	195,042	4,995,042	195,042	4,995,042	195,042	195,042	9,795,042
Cumulative annual revenues (grants)	4,560,055	4,755,097	4,950,139	5,145,181	5,340,223	5,535,265	5,730,307	5,925,349	6,120,391	6,315,433
Cumulative annual revenues from REDD	79,390,336	79,390,336	84,190,336	84,190,336	88,990,336	88,990,336	93,790,336	93,790,336	93,790,336	103,390,336
Cumulative annual revenues (all sources)	83,950,391	84,145,433	89,140,475	89,335,517	94,330,559	94,525,601	99,520,643	99,715,685	99,910,727	109,705,769
<b>Expenditure for management of SPF/KSWS</b>										
Budget level	M2	M2	M2	M2	M2	M2	M2	M2	M2	M2
<b>Annual expenditure for core management activities of SPF/KSWS</b>	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695	1,124,695
<b>REDD valid./verif costs (annualized)</b>	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168	46,168
<b>Total required expenditure</b>	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863	1,170,863
Cumulative annual expenditures	23,935,785	25,106,648	26,277,511	27,448,374	28,619,237	29,790,100	30,960,963	32,131,826	33,302,689	34,473,551
<b>Cumulative revenue minus cumulative expenditures</b>	60,014,605	59,038,784	62,862,964	61,887,143	65,711,322	64,735,501	68,559,680	67,583,859	66,608,038	75,232,217

## Annex 2.3 Appendix 1

As explained in Section 4.6, to confirm the additionality of the project scenario a comparison was made of the Net Present Value of each alternative land use Scenario. The calculations are performed in a spreadsheet supplied to the validator and summarized, with the relevant assumptions, here. Scenarios 1 and 2 have the same value from the perspective of the proponent because any revenues from ELCs in Scenario 2 do not accrue to the project proponent.

Expenditures for each scenario are taken from the main with-project financial model (see Tables 1–3, above in this Annex). For Scenario 3 the values are taken from the row 'Total required expenditure'. For Scenarios 1 and 2 the values are taken from this row for 2010–2014 and then fixed at the 2014 rate for future years, since no increase in expenditure above available grant income is envisaged in these scenarios. Two revenue streams are considered, grants and tourism. Grant revenue estimates are taken from the main with-project financial model, row 'Grant funding', which in turn draws on the analysis in Annex 3.4. Grant revenue estimates are the same in all three scenarios.

Tourism revenues are not considered elsewhere in the PD so the assumptions are set out in detail here. Two classes of activity are considered.

- i. Sam Veasna Centre-led national wildlife/birdwatching tours visiting the site. This would occur in all scenarios. Tourist numbers 2010–2014 are based on observed numbers (Table 1), and three growth scenarios are modelled - low growth (based on the CAGR in Table A1 and a cap of 200/year to avoid environmental impacts), medium growth (100% annual growth in 2015 and 2016, 50% in 2017 and then a capped level of 350/year) and high growth (as medium but with a 500 persons/year cap). Modelled revenues per person to the proponent are \$5 entry fee (based on the level set by government in the legal document 'Visitation to National Parks and Wildlife Sanctuaries' issued in 2000) and \$30 'conservation contribution' collected by Sam Veasna Centre for on-site conservation activities.
- ii. In the With-project scenario community-based tourism is also modelled. It is expected to develop four of these, two wildlife-focused and two at other attractions. The first, in Andong Kralong village (wildlife-focused) began in 2013 and provides data to allow a projection of growth in the others, which are modelled to begin successively in 2015, 2017 and 2019. Again three growth scenarios are set out – low (based on the CAGR in Table 1 and a cap of 200/year) and medium and high (as above). In the wildlife-related cases only the government park fee is collected; in the other two a \$10/person conservation contribution is assumed – lower than the Sam Veasna Centre level because a different category of tourist is expected to visit.

**Table A1. Observed growth in tourist numbers at SPF**

Year	2009	2010	2011	2012	2013	2014
<b>SVC bird-watching trips</b>						
Number. of tourists	22	33	29	47	42	58
Change in tourist numbers		11	-4	18	-5	16
Growth per year (%)		33%	-14%	38%	-12%	28%
Compound annual growth rate (CAGR) (%)	21%					
CAGR	0.21					
CAGR check		27	32	39	48	58
<b>Andong Kralong nature-based tourism project</b>						
Number of tourists					39	59
Change in tourist numbers						20
Growth per year (%)						34%
Compound annual growth rate (CAGR) (%)	NA					



For each scenario the annual cost/benefit is calculated as the sum of grant and tourism revenues minus the anticipated expenditures. The NPV is then calculated using a standard Excel function and a discount rate of 10% following Hansen and Top (2006). NPV was calculated from a perspective of 2010 (project start date) and, as a double check, from the expected end of the validation process (2015 onwards). The results are shown in Table A2. In all cases with the project scenario, without VCS-related revenues, is not financially attractive compared to other credible land-use scenarios. Tables 2–4 all assume the ‘high’ visitor scenarios to be conservative.

**Table A2. Comparison of NPVs of different land use scenarios**

Scenario	2010 on	2015 on
NPV With project (but no VCS) Scenario 3	\$ (6,922,499)	\$ (11,148,754)
NPV Without project (Scenarios 1 & 2)	\$ 93,205	\$ 150,107
<b>NPV advantage of Scenarios 1 and 2</b>	<b>\$ 7,015,704</b>	<b>\$ 11,298,862</b>

Two sensitivity analyses were conducted – varying the discount rate (Table A3) and the size of the park fees/conservation contributions (Table A4). In a wide range of plausible cases, the NPV of the without project scenarios remains very much higher.

**Table A3. Effect of varying discount rate on difference in NPV between scenarios**

Discount rate	NPV advantage of Scenario 1 & 2 - 2015 onwards
4%	\$ 23,024,817
8%	\$ 13,436,339
10%	\$ 11,014,640
12%	\$ 9,305,781
16%	\$ 7,060,674

**Table A4. Effect of varying level of park fees and conservation contributions on difference in NPV between scenarios**

Entry Fee	SVC CC	Other CC	NPV advantage of Scenario 1 & 2 - 2015 onwards
5	30	10	\$ 11,014,640
10	60	20	\$ 10,881,829
20	100	40	\$ 10,616,206

## Annex 2.4 Analysis of Stakeholder Interests

**Table 1. Interests of on-site community stakeholders**

Stakeholder group/sub-group	Interests in the project	Effect on their interests*	Capacity and motivation	Relationship w other stakeholders
<b>Key villages: Indigenous families</b>				
typical families (2+ adults, usually both farming and tapping)	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive.	usually moderate capacity; motivation depends on perceived project benefits	some conflict/distrust with Khmer settlers, some mutual support to poorest indigenous families
wealthy families / officials/NGO staff	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive.	usually high capacity; motivation depends on perceived project benefits	
single parent/other poorest	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive, elevated risk of negative impacts due to high intrinsic vulnerability	low capacity; motivation depends on perceived project benefits	some dependence on other families
bamboo collectors	forest protection, freedom to develop, continued access, better governance, development assistance, jobs	positive in long term, could be negative in short term	variable capacity; motivation depends on perceived project benefits	
specialist cash-croppers (no tapping)	land protection, freedom to develop, better governance, development assistance, jobs	neutral or positive.	higher capacity?; motivation depends on perceived project benefits	
<b>Key villages: Khmer families</b>				
typical families – 2+ adults cash crops, no tapping	land protection, freedom to develop, better governance, development assistance, jobs	reduced scope for illegal land clearance	variable capacity; motivation depends on perceived project benefits	
forest dependent (tappers, bamboo collectors)	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive.	usually moderate capacity; motivation depends on perceived project benefits	
single parent/other poorest (forest or farm dependent)	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive, elevated risk of negative impacts	low capacity; motivation depends on perceived project benefits	
traders, officials, other off-farm incomes	better governance, development assistance, jobs	generally positive?; reduced scope for illegal land sales	high capacity, motivation to work on nat. resources often limited	

Stakeholder group/sub-group	Interests in the project	Effect on their interests*	Capacity and motivation	Relationship w other stakeholders
specialist wage laborers/ landless	better governance, development assistance, jobs, possibly allocation of land	?	variable capacity; motivation depends on perceived project benefits	
<b>Other user villages</b>				
Resin tappers	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive.	usually moderate capacity; motivation depends on perceived project benefits	links with local traders (resin, other products, credit/debt)
Non-resin tappers (fishing, other NTFPs)	land and forest protection, continued access, freedom to develop, better governance, development assistance, jobs	generally positive.	usually moderate capacity; motivation depends on perceived project benefits	

**Table 2. Interests of other organizations**

Stakeholder group	Interests in the project	Effect on their interests	Capacity and motivation	Relationship w other stakeholders
<b>Government</b>				
Provincial authorities	Improved governance, livelihoods, environmental services	potential conflicts with desire for rapid economic development projects	High capacity and high motivation	Position of high authority
District authorities	Improved governance, livelihoods, environmental services	potential conflicts with desire for rapid economic development projects	High capacity and high motivation	Position of high authority
Commune Councils	Improved governance, livelihoods, environmental services	potential conflicts with desire for rapid economic development projects	Low to moderate capacity, motivation depends on perceived benefits to themselves and constituents	Position of authority; also responsible for resolving disputes
Technical line agencies	Depends on specific technical mandate	Depends on specific technical mandate	Typically moderate to high capacity, esp at provincial level	Position of authority
Armed Forces	Cooperation to reach shared goals	Overlapping jurisdictions, challenges to informal business activities	Highly variable capacity and motivation	Position of authority; some conflict with FA over enforcement of forestry laws
<b>Non-government</b>				
NGOs	Cooperation, funding ensuring human rights	Largely or wholly positive.	High and high	Broadly cooperative; varying positions on illegal acts by community members

## Annex 2.5 Expanded Description of Project Actions

The following actions are also summarized in the workplan, Annex 2.1.

### **Sub-Objective #1: Key legal and planning documents for the Seima Protection Forest/Keo Seima Wildlife Sanctuary and surrounding landscape are approved and implemented**

#### *Action #1: Maintain support for sub-decree among senior government and general public*

Awareness and support at national level will be promoted through arranging high-level visits, making written annual reports to the relevant senior officials and ensuring visibility in the national media through news features etc. Support and awareness within the provincial government will be maintained through periodic awareness meetings held at provincial and local level, and the sharing of documents such as reports and brochures. Local awareness will also be promoted by the erection and maintenance of information boards at key entry points and major road junctions.

#### *Action #2: Approve and implement Management Plan*

A formal management plan will be produced, consulted on with local communities and approved at the ministerial level, as required by the Protected Area Law. It will specify management objectives, zonation, specific local regulations, staffing levels, indicative workplans and monitoring frameworks. Two key inputs to the plan will be (i) a set of regulations for activities permitted within each zone, approved by Provincial Declaration ('deika') and (ii) an agreement over the location of zones within the reserve, including Strict Protection Zones with minimal human access.

#### *Action #3: Implement Monduliri Provincial Corridors strategy*

A draft Provincial Corridors Strategy exists for Monduliri Province, produced through the Provincial Conservation Planning Unit. It defines high priority areas for ecosystem protection and connectivity across the province and outlines appropriate management approaches in the zones shown. In collaboration with other actors in the province this strategy (or a comparable instrument) will be further refined, formally adopted if possible, and implemented – that is, incorporated into provincial-level planning decisions.

#### *Action #4: Develop partnerships with the private sector*

WCS will work with other NGOs and community groups seeking to influence the way that the private sector operates in the environment sector in and around the Project Area. Appropriate strategies will be developed and implemented to address issues that arise, aiming to minimize negative impacts and maximize positive impacts on the environment. In addition, the FA will lead on developing and enforcing legally-based codes of conduct for companies operating within SPF/KSWS (for example mining companies with exploration licenses).

#### *Action #5: Develop international cross-border dialogue*

Levels of cross-border threat will be reduced by developing a cooperative program with government counterparts and civil society actors in Vietnam. This will be developed very gradually because of the high political sensitivities around this border. Activities may include information exchange, joint monitoring and, in time, exchange visits, possibly leading to joint enforcement, intelligence activities or formal agreements.

#### *Action #6: Implement adaptive management systems*

The core of the adaptive management system is annual review of the workplan, outcomes of activities and the documented results of monitoring in relation to the project conceptual model. This will be centered on a 2-3 day annual staff workshop during which the strategic plan and the model will be updated as necessary and a new annual plan developed. Monthly or quarterly review and planning meetings will also be held for individual Sub-objectives as appropriate. The annual planning meeting will be preceded by a Community Forum where input will be solicited from participating communities

through their chosen representatives. Problems reported through the grievance system will also be incorporated into adaptive management through the same mechanisms.

## **Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement**

### *Action #1: Enforce wildlife, forest and protected forest laws and sub-decree through patrols*

Support to improved patrolling is one of the key actions of the project. The MoE cooperates with units of the Royal Cambodian Armed Forces and Police, as appropriate, to conduct patrols throughout the reserve with a focus on the Core Area. These patrols aim to reduce levels of forest crime to very low levels by a combination of deterrence and active intervention. Patrols involve a mixture of short (day) patrols, long (multi-day) patrols, static interventions such as roadblocks and ambushes and the manning of patrol stations around the reserve. They are targeted towards locations with a higher risk of crime. Intelligence networks are used to improve the effectiveness of patrols. An additional team of non-government staff deals specifically with the collection of illegally placed wire snares.

### *Action #2: Establish and implement law enforcement monitoring framework*

Rapid and accurate monitoring and feedback is essential for patrol team managers. The SMART (Spatial Monitoring and Reporting Tool) computer package has been the core of this system for some years. Rangers collect observations and patrol tracks and download them to the system so that their managers can receive automated maps and reports on demand. These data are supplemented with other sources of information on threats, for example satellite images, observations from wildlife monitoring teams, and community reports.

### *Action #3: Ensure sufficient patrol buildings, equipment and staffing*

Additional patrol stations will be built as staffing levels increase and funds allow, to ensure efficient coverage of the remoter parts of the reserve. Additional vehicles will be bought, maintained and replaced as needed, and as funds allow. Necessary equipment will be provided to field teams and maintained/replaced as needed.

### *Action #4: Ensure sufficient patrol personnel capacity*

Patrol personnel will receive three main classes of training during periodic courses – (i) training in law enforcement itself - patrol strategy, legal issues etc. (ii) collection of monitoring data using the SMART system and (iii) First Aid and health and safety issues.

### *Action #5: Liaise with Provincial, National and other authorities*

Liaison will be enhanced with two key bodies – the provincial judiciary and the Department of Environment (i.e. Province-level). This will primarily involve frequent personal contacts (in person and by phone) between senior officers, supplemented by formal exchange of documents such as workplans, case reports and so on. DoE officers will be invited to project planning meetings and occasional joint trainings may include members of the judiciary.

### *Action #6: Establish Community-based Patrolling and/or monitoring system*

Communities will be assisted to conduct some patrols themselves, or jointly with MoE-led patrol teams. Procedures will be developed to ensure that this can be done safely, in a way consistent with the law, and that key monitoring data can be collected.

## **Sub-Objective #3: Land and resource use by all core zone communities is sustainable**

### *Action #1: Form and maintain land-use agreements with communities*

Maps of agreed land-use zones will be developed and agreed with each participating village. These maps will focus on near-village land uses such as residential and agricultural land, and the process will be aligned with the relevant land-titling procedures. After these zones have been agreed, management plans will be developed for selected zones and participatory monitoring plans will be developed to support implementation.



*Action #2: Legally register communities and users*

Villages that have elected to apply for Indigenous Communal Land Titles will be assisted to form and register their community representative groups (called Indigenous Community Commissions) through a process of legal education, facilitated decision-making, and documentation of customary community rules and completion of government-defined administrative steps. Villages not electing to apply for these titles will be assisted to develop other kinds of community-based organization to represent them in natural resource management issues. All households using the SPF/KSWS in the conservation zone under Articles 20 of the Protected Area Law (customary use of non-timber forest products etc.) will be registered and issued with registration cards, to assist with management and exclusion of illegal users (assuming that this remains consistent with official interpretation of the Protected Area Law), provided that they do not present serious adverse impacts on biodiversity within the zone.

*Action #3: Support indigenous communal land titling in appropriate communities*

Villages that have elected to apply for Indigenous Communal Land Titles will be assisted to apply for and obtain these titles from the Ministry of Land Management, Urban Planning and Construction, subject to availability of financing for the registration fees. This will include legal education, technical assistance to develop maps of community claims and help to complete the relevant administrative steps.

*Action #4: Demarcate the Forest Estate; reforest areas of recent clearance*

The MoE has a defined set of procedures for delineating and physically marking the boundaries of the Permanent Forest Estate, including a conflict resolution process. These procedures will be applied to mark high priority sections of the SPF/KSWS boundary, and so deter illegal encroachment and facilitate patrolling. The project will also facilitate efforts funded and led by the Mondulkiri DoE to reforest parcels of land that have been illegally cleared and then reclaimed by the FA during the demarcation process, in cases where natural regeneration is not likely to occur.

*Action #5: Conduct extension and communication activities*

Awareness raising will be conducted among local communities, local authorities and relevant NGOs. Awareness raising will cover two broad, linked topics – the legal basis and management system of the SPF/KSWS and the design and implementation of the REDD+ project. Approaches to awareness raising are covered in the consultation plan described elsewhere in this PD. This action also covers management of Human-Wildlife Conflict, which is currently at acceptably low levels. If it becomes a significant issue then a science-based program of action will be put in place to address it in hotspot villages.

*Action #6: Liaise with Commune Council and other agencies*

Key staff will attend relevant meetings of the annual Commune Development Planning Process and will also consult with community representatives that are planning to attend. This will help to ensure that SPF/KSWS management priorities are incorporated into the plans and potentially damaging activities are reconsidered. Key staff will also hold regular meetings with Commune Councilors, the District and Provincial Governors' offices and advisors from the National Committee for the Subnational Democratic Development on management issues or community concerns as they arise.

*Action #7: Engage with civil society organizations operating in the Project Area*

At times civil society organizations in Mondulkiri Province hold regular networking and coordination meetings, which a project representative will attend. Organizations active in natural resource management in SPF/KSWS will be invited to attend the project annual work planning meeting and/or Community Forum events. Where local NGOs become formal service providers (e.g. in rural development activities funded through the benefit-share program) contracts and/or Memoranda of Understanding will be signed.

*Action #8: Ensure the capacity of Project staff is sufficient*

A program of training for staff working on Sub-objectives 3 and 4 will be implemented. It will cover, among other topics, legal issues, conservation principles, natural resources management, rural development, community facilitation skills and health and safety. This is discussed in more detail in the capacity-building plan presented elsewhere in this PD.

**Sub-Objective #4: Support for alternative livelihoods that reduce deforestation**

The exact alternative livelihoods will vary from village to village depending on opportunities, on the scale of finance available, and on the preferences of the local people determined through participatory methods. Agricultural support (including savings groups/micro-credit), small infrastructure projects, literacy/numeracy and the development of benefit-share systems for carbon benefits are currently likely to be relevant in most villages whereas ecotourism and NTFP-based projects will be more localized. The activities will also include climate change adaptation measures, in anticipation of a worsening climate over the longer-term. As new options for livelihood development arise through changing economic conditions over the life of the project these will be added to the list of actions, and options judged to be lower priority will be scaled back or halted through the project's ongoing adaptive management process.

*Action #1: Establish community-based ecotourism*

Assessments will be made of the potential for sustainable nature tourism (wildlife-focused or general nature-based products) that can benefit conservation across the SPF/KSWS, including community-based and private sector-led approaches. Tourism products will be developed sequentially, starting with high priority products that are within available budgets. Products will only be developed with the full support of the communities involved and will build in part on successful WCS models from northern Cambodia.

*Action #2: Support agricultural extension activities*

Various forms of agricultural extension will be supported in villages where land titling or other participatory approaches have defined agricultural zones and forest boundaries. Extension will help communities to maximize their sustainable financial returns from existing farmland and so reduce pressure for expansion. Extension will include techniques for adapting to a changing climate. Extension will mostly be conducted by specialist partners such as local NGOs.

*Action #3: Provide infrastructure support linked to conservation activities*

Support for small-scale infrastructure (e.g. wells, school buildings and health posts, road repairs etc.) will be provided to establish a link between conservation and rural development. The exact projects chosen in supported villages will be identified by the communities through a participatory process. Construction will be undertaken by contractors or specialist NGOs.

*Action #4: Develop NTFP-based livelihood projects*

Opportunities to enhance livelihoods based on NTFPs (e.g. resin, rattan, bamboo, honey, medicinal plants) will be assessed across the Project Area and a selection of economically and ecologically feasible projects will be supported. The exact projects chosen in supported villages will be identified by the communities through a participatory process. The approach will vary in each case depending on e.g. market opportunities but is likely to involve a combination of enhanced management of the resource, improvements in processing technique/value added and assistance with improved marketing, for example through formation of cooperatives.

*Action #5: Develop and manage a system to share carbon benefits*

Consultations and desk studies will be undertaken to identify a widely acceptable benefit-sharing system, which will then be trialed, implemented in all villages and subject to careful monitoring and improvements as a result of feedback.

*Action #6: Improve literacy and numeracy*

A specialist partner organization or organizations will be identified to provide non-formal adult education (literacy and numeracy) in communities that express an interest. This education will increase the opportunities for people to protect existing sustainable livelihoods, and to move out of non-sustainable livelihoods into more secure occupations.

## **Supporting interventions**

### **Sub-Objective #5: Collect information on long-term ecological and social trends**

*Action #1: Monitoring of trends in forest cover*

Deforestation will be quantitatively monitored according to the monitoring program set out in the PD. Deforestation incidents will also be identified soon after they occur through inspection of satellite imagery and other techniques to permit preventative action.

*Action #2: Monitoring of key wildlife species and threats to them*

Key wildlife species and other indicators of biodiversity will be systematically monitored according to the monitoring program that will be developed in the 12 months after validation. This program is likely to be centered on the continuation of the existing program of line-transects for ungulates, primates etc., together with targeted surveys of other key species. These programs will be supplemented by collection of qualitative report data on key species and the level of human-wildlife conflict through discussion with key informants.

*Action #3: Socio-economic and demography monitoring*

Demographic surveys will be repeated periodically using similar techniques to those conducted in previous years. Detailed monitoring of social outcomes of the project will be conducted according to the monitoring program that will be developed in the 12 months after validation. This is likely to involve a quantitative element (household surveys) and a qualitative one (key informants, focus groups etc.).

*Action #4: Facilitate research that will benefit the management of the SPF/KSWS*

Research by external researchers will be facilitated where it contributes to the conservation goals of the SPF/KSWS and meets other requirements such as ethical standards, legal restrictions and health/safety constraints. Support will include identification of priority topics, sharing of information, co-authorship of papers/reports, logistical support, and access to facilities as appropriate.

*Action #5: Ensure sufficient staff capacity is available*

A program of training for staff working on Sub-objective 5 will be implemented. It will cover, among other topics, technical issues (such as survey techniques and GIS methods), conservation principles, natural resources management, and health and safety. This is discussed in more detail in the capacity-building plan presented elsewhere in this PD.

### **Sub-Objective #6: Effective administrative, accounting and logistical procedures are in place**

*Action #1: Evaluation and feedback on staff capacity, effectiveness and training needs*

Key staff will receive regular reviews and feedback on their performance and regular discussion of their training needs, led by senior staff (for example as part of the annual review process).

*Action #2: Develop and maintain effective management, administrative and accounting systems*

Administrative systems will be structured and staffed to ensure their smooth running. Appropriately skilled staff will be hired to work at the site, supported by specialist administrative staff in Phnom Penh.

Senior managers will establish clear mechanisms for coordination and communication, such as weekly meetings, as appropriate.

**Sub-Objective #7: Long-term financial security**

*Action #1: Develop and Implement REDD+ project*

All steps necessary to put into practice the REDD+ project described in this PD will be undertaken, including project consultation, design, validation, verification, marketing of credits and feeding funds back into operations.

*Action #2: Continued support of a wide range of donor partners*

Continued efforts will be made to raise grant funds by making applications to foundations and bilateral/multilateral sources, as this has been the main source of funding prior to the development of the REDD+ project.

*Action#3: Increase use of Commune Development Funds for project activities*

A proportion of the annual allocation of Commune Development Funds could be spent on activities that contribute to SPF/KSWS management priorities, if local communities put them forward as priorities. This may be particularly relevant to actions under Sub-objectives 3 and 4 above. Project staff participating in the Commune Development Planning process will seek opportunities to get such funds committed.

## Annex 3.1 Stratification of the Reference Region

### Introduction

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF)/Keo Seima Wildlife Sanctuary (KWS), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015 (hereafter 'the Methodology').

Where different agents of deforestation act within differing sections of the Reference Region the Methodology (p. 38) suggests that the region be stratified. This annex describes the process used to do this in the current project.

### Stratification approach

The region is stratified in accordance with the analysis of the agents of deforestation presented in the Project Document. There are two groups of agents, namely smallholder farmers and economic land concessions (ELCs: large agro-industrial plantations). All unplanned deforestation is attributed to smallholder farmers, and this is the focus of the analysis below. Areas affected by small-holder farmers causing unplanned deforestation are placed in Stratum 1. The whole Reference Region is potentially attractive to smallholder farmers from an agronomic viewpoint, and a similar broad mixture of perennial and annual crops is grown across the whole area. Therefore the whole region fell in this stratum at the start of the historical reference period. Over time, as ELCs were issued and became active, sections of the Reference Region moved into the second stratum.

This agent does not act in the Project Area and planned deforestation of this kind is also not covered by the scope of the Methodology, so this source of deforestation has to be separated from that of the first agent group during analysis. It is not necessary to make projections of deforestation within Stratum 2 as it does not overlap with the Project Zone. It is conservatively assumed here that once an ELC becomes active, no further unplanned deforestation is possible within it but that smallholders already farming land within the boundary are not displaced. In practice, smallholders reportedly are displaced in some cases, if the concessionaire can demonstrate that they are illegally occupying state land, and this could cause an increased level of unplanned deforestation in what remains of stratum 1.

### Evidence used to assign areas to Stratum 2

Information on whether a concession is active for the purposes of this analysis is drawn from legal documentation, information in the public domain and inspection of satellite images. A concession is assumed to be active during a given year if:

1. Key legal approvals have been granted and not subsequently cancelled AND
2. Evidence of company activities (e.g. large rectilinear areas of clearance and/or grids of roads) can be observed from satellite imagery during the relevant period.

Several stages of legal approvals are required in the process of issuing an ELC including reclassification of land on the state land register, investment contracts and approval of implementation plans. Given that it can be difficult to obtain evidence of these, confirmation of any one of these approvals being granted is considered sufficient, if it occurs in combination with the evidence of on-the-ground activities in point 2 above.

Analysis of deforestation is done for successive 2-year time periods (e.g. 1998-1999, 2000-2001 etc.). During a 2 year period when a given concession is deemed active, all deforestation is attributed to the concession. This is conservative as it probably disregards some areas of unplanned deforestation from the early part of the period in question, and if it was possible to identify and quantify these it would increase the overall level of unplanned deforestation used to calibrate the rate model for the project.



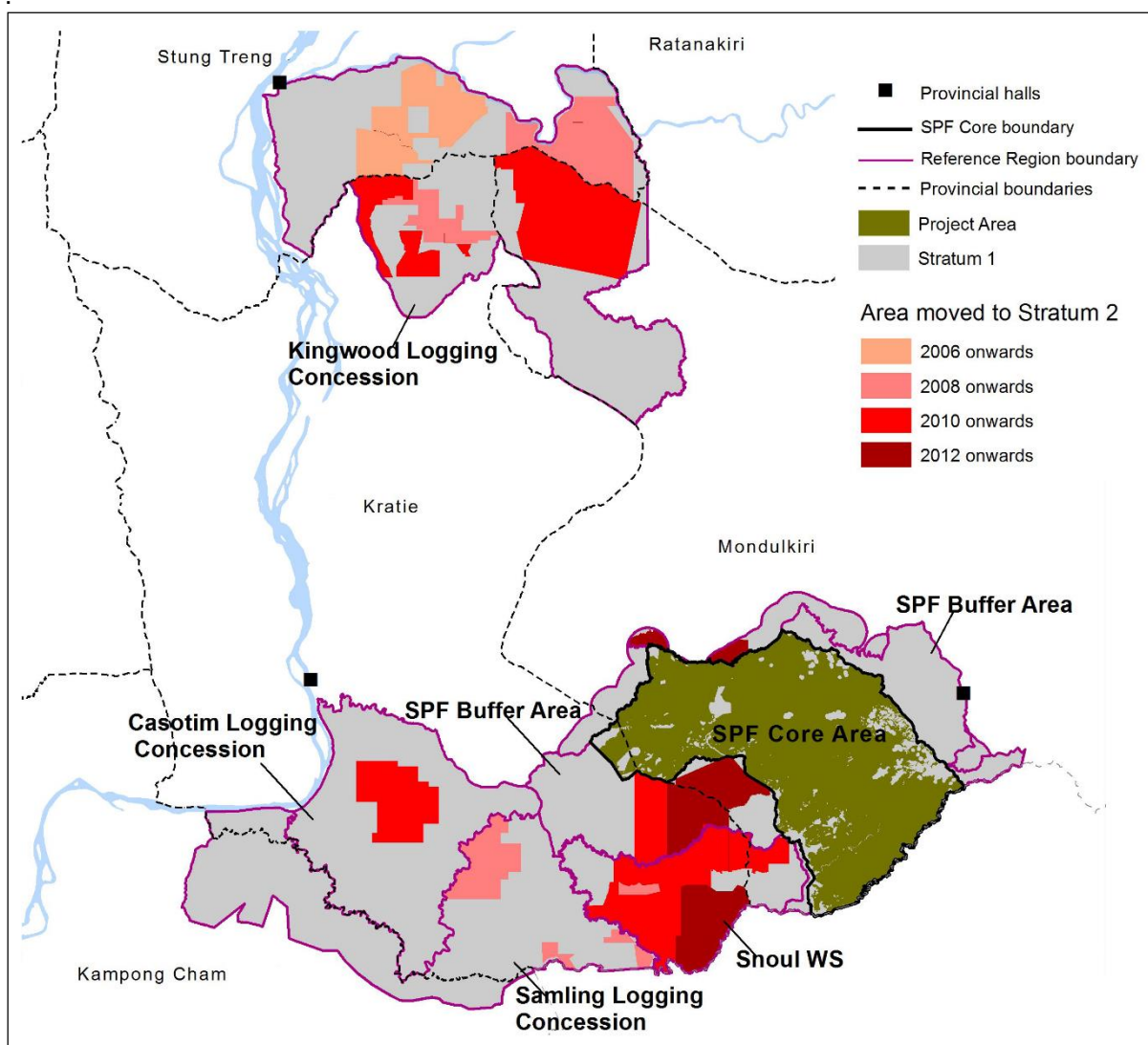


Figure 1. Varying locations of the two strata of the Reference Region over time.

Table 1 shows the area of each stratum during each period of analysis. The final periods, 2010-2011 and 2012 onwards, form part of the first fixed baseline period, and the data are presented here to support the development of a projected baseline. The locations of ELCs cannot be projected beyond 2012 as the relevant planning processes are confidential. This is conservative since if further concessions are issued they will cause the size of the No ELC stratum to decrease, concentrating the same amount of unplanned deforestation into smaller area of concession-free land and raising the % deforestation rate within it.

Table 1. Stratification of the Reference Region. This table fulfills the requirements of Table 8 in the Methodology.

		Area (ha)							
Description	Stratum	98-99	00-01	02-03	04-05	06-07	08-09	10-11	12 on
No known active ELC	1. No ELC	997,294	997,294	997,294	997,294	968,621	914,685	788,952	748,407
Active ELC known	2. ELC	-	-	-	-	28,673	82,609	208,342	248,887
	All strata	997,294	997,294	997,294	997,294	997,294	997,294	997,294	997,294
% in ELCs		0%	0%	0%	0%	3%	9%	26%	33%

## Annex 3.2 Framework for Analysis of Leakage in the Seima Protection Forest/Keo Seima Wildlife Sanctuary

### Summary

This Annex summarizes the framework for estimating activity displacement leakage from the REDD+ project in the Core Area of the SPF/KSWS. The analysis considers leakage due to activity displacement by smallholders, including those who are resident or move into the site and those who are deterred from moving to the site. Activity displacement leakage factors due to these two types of displacement are combined into a single ex-ante Leakage Displacement factor. A method is also described for calculating the actual Avoided Migration Displacement Factor during the project crediting period.

### Introduction

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF)/Keo Seima Wildlife Sanctuary (KSWS), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is the Unplanned Deforestation methodology (hereafter 'the Methodology'), which has been approved by VCS (VM0015).

Among other steps, the Methodology requires an estimation of the degree to which emissions reductions in the project are displaced ('leak') to other locations and so continue to cause damage to the atmosphere. To estimate this leakage ex-ante a Displacement Leakage Factor (DLF) must be calculated. Ex-post, this leakage is monitored directly.

This report explains the framework used to analyze leakage from the Project Area both for ex-ante calculations and for project monitoring. The analysis considers leakage due to activity displacement by smallholders, including those who are resident/newly settled at the site and those who are deterred from moving to the site by project activities. Displacement of the former group is analyzed within a spatially delimited Leakage Belt, defined below. Displacement of the latter group is estimated in comparison to projected levels of business-as-usual in-migration extrapolated from the historical reference period.

We calculate the DLF as the sum of two components, as follows:

$$DLF = DLFr + DLFa$$

Where:

DLF = Displacement Leakage Factor, i.e. the percent of deforestation expected to be displaced outside the project boundary, %

DLFr = Displacement Leakage Factor for Residents, i.e. the percent of deforestation attributable to resident smallholders (including those who have settled in the participating villages since the start of the project crediting period) expected to be displaced outside the project boundary, %

DLFa = Displacement Leakage Factor for Avoided Migrants, i.e. the percent of deforestation attributable to potential in-migrants who were deterred from settling due to the existence of the project and have hence been displaced outside the project boundary and Leakage Belt, relative to the baseline scenario, %

### Definition of the Leakage Belt for resident smallholders

#### *Selection of criteria*

In and around the Project Area smallholder farmers generally conduct their operations at the family scale, in locations accessible from the village where they live. Most families affected by the REDD+ project are expected to remain resident and in this case are spatially constrained in the locations that they can deforest. For these families a Leakage Belt has been defined according to a mobility analysis (Option II in the Methodology Section 1.1.3). At least one facilitating factor and at least one constraining factor must be identified, and their effects combined in a multi-criteria analysis.

**Facilitating factors.** As described in the PD section discussing patterns of deforestation at a landscape scale, deforestation leakage by smallholders is strongly facilitated by two factors - the widespread availability of suitable land and the limited enforcement of laws forbidding deforestation. Hence all forest areas can be considered agronomically suitable and de facto 'available'. As they act everywhere these two factors do not need to be formally mapped. The other key factor facilitating residents' choice of location is the location of access points - either from an existing settlement or by road. We consider all settlement centers (as mapped by the project team during targeted fieldwork over recent years) and not merely village centers as shown in national administrative datasets. This ensures that we take account of the dispersed nature of settlements in this landscape (Pollard and Evans 2009). In addition to access from established settlements, some people may choose to relocate or expand settlements just outside the Project Area and in so doing would use existing transport routes – mainly roads, but to be conservative we also include cart tracks. Therefore we also mapped all segments of road and cart track inside the Project Area or within 4 km inside or outside its boundary. The settlement centers and road segments together represent a map of 'access points' that facilitate clearance.

**Constraining factors.** The key factor constraining residents' choice of location to deforest is distance from access points. Smallholders are constrained by practicalities such as travel time, so most farming takes place within a certain distance of access points. We used empirical data to estimate a conservative threshold distance within which all forest clearance historically attributable to settlements has taken place. Using a GIS, a distance buffer was placed around the settlement centers within each of the 20 participating villages and the quantity of deforestation within each buffer was calculated. As shown in Table 1, deforestation drops off sharply with distance and the quantity of deforestation more than 3 km from the nearest settlement is negligible. This is evidence of a significant mobility constraint. Taking account of the fact that willingness to travel from the settlement center may increase in the future if land scarcity increases, and also taking account of the non-linear increase in area available as the radius of a circle increases, we take a conservative value of 4 km for the value of this mobility constraint. The same 4 km buffer was also used to map constraints to deforestation around roads and cart tracks, assuming that the same decision-making factors apply for any access point.

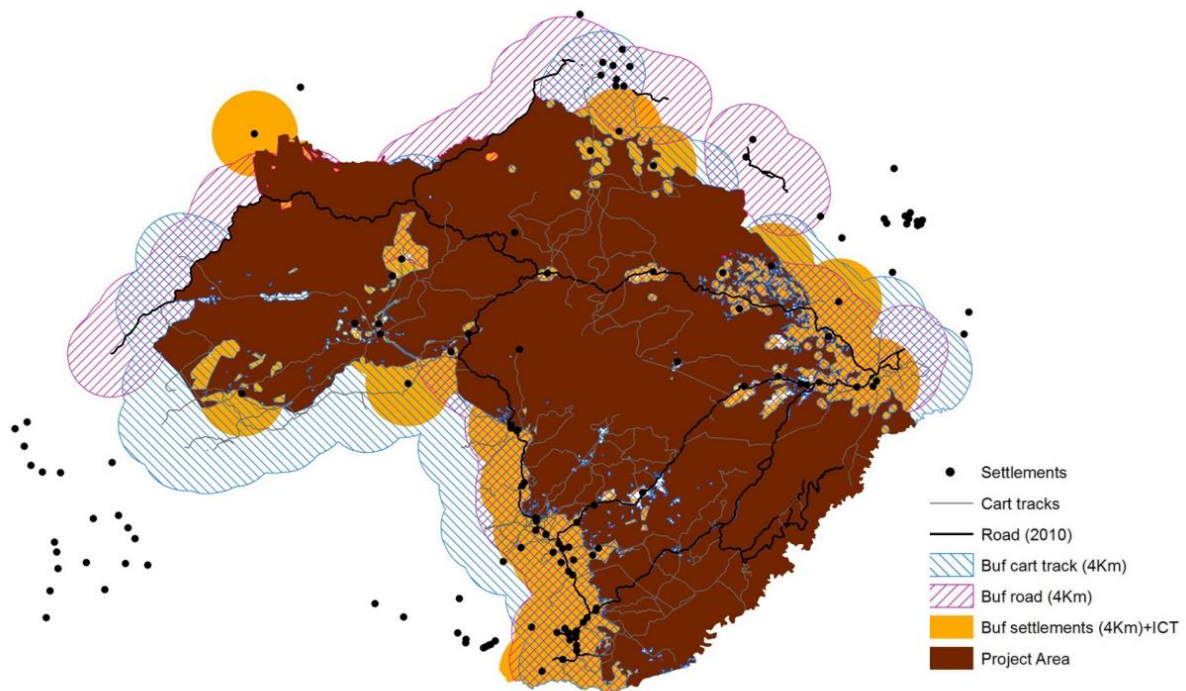
**Table 1. Relationship between historical deforestation and distance to settlement centers.**

Distance Buffer in GIS	Area of forest in 2002/ha	Area of forest in 2010/ha	Area deforested 2002-2010/ha	% deforested over 8 years
0-1 km from settlements	4,003.3	1,953.5	2,049.8	51%
1-2 km from settlements	7,358.7	5,490.5	1,868.3	25%
2-3 km from settlements	8,129.0	7,656.1	472.9	6%
3-4 km from settlements	7,202.3	7,165.4	36.9	1%
4-5 km from settlements	6,837.7	6,812.3	25.4	0%
5-6 km from settlements	6,295.0	6,283.9	11.0	0%

#### *Creation of a map for each criterion*

Figure 1 shows all the relevant criteria – settlements, road/cart segments and distance buffers around these. The settlements analyzed exclude the three relatively distant 'other user villages' that use the Project Area only for collection of forest products and not for farming. No restriction on these livelihood activities is envisaged under the project and it is not considered plausible that changes in deforestation close to these villages would be the result of any farming displaced from the Project Area.

Roads and cart tracks are shown separately, to show the significant additional area covered by including cart tracks).



**Figure 1. Locations of the areas relevant to the two criteria affecting risk of leakage.**

#### *Multi-criteria analysis*

The multi-criteria analysis approach was a simple and conservative one of assigning a score of 1 (= 'affected') to all areas at risk of activity displacement leakage due within at least one of the distance buffers mapped above (distance to settlement or distance to access route). Therefore the Leakage Belt was calculated as the union of all areas affected by at least one of these factors.

The resulting Leakage Belt as of 2010 is shown in Figure 2a. As in earlier versions of the PD, the Leakage Belt must lie entirely within Stratum 1 for it to be available to unplanned deforestation. Since new ELCs became active within the initial Leakage Belt in 2012, some areas were transferred to Stratum 2 and a slightly reduced Leakage Belt is mapped thereafter (Figure 2b).

The Leakage Belt comprised 100% forest as of 2010 – areas of non-forest within the belt mapped are treated as part of the Leakage Management Area. The Leakage Belt covered 99,723 ha in 2010 and was reduced to 84,774 from 2012 onwards.



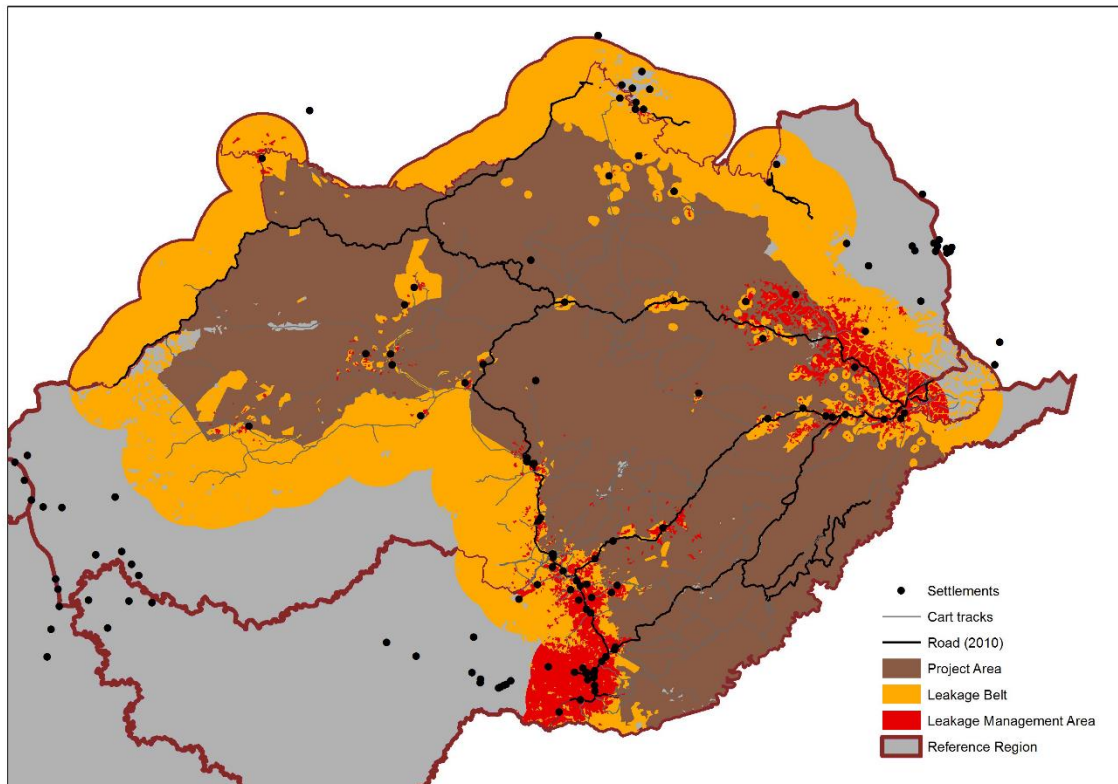


Figure 2a. Location of the Leakage Belt (2010 onwards).

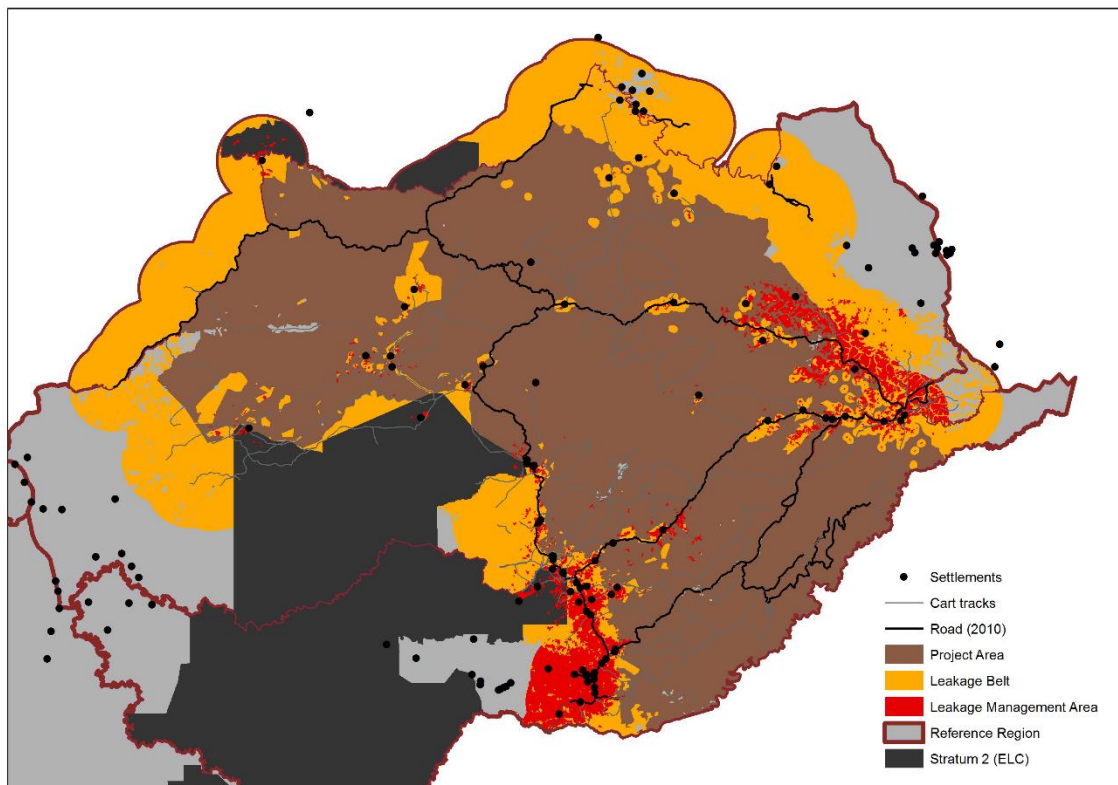


Figure 2b. Areas of the Leakage Belt transferred to Stratum 2 (2012 onwards).



## Ex-ante estimation of leakage into the Leakage Belt

Activity displacement into the Leakage Belt is monitored ex-post by comparing projected and actual deforestation in the belt. However, ex-ante, this leakage must be estimated from an analysis of the proportion of local residents engaged in leakage management activities, following page 101 of the Methodology. Appendices 1 and 2 show the % of families in each village who have an opportunity to participate in leakage management activities, and hence the proportion of the total population who have such opportunities, projected over the first ten year fixed baseline period. The results are summarized in Table 2. The ex-ante estimate of the proportion of the population not participating is equal to the factor DLF<sub>r</sub>, defined above.

**Table 2. Ex-ante estimated proportion of households able to participate in leakage management activities**

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
% participating	40%	40%	40%	66%	91%	100%	100%	100%	100%	100%
% not participating (=DLF <sub>r</sub> )	60%	60%	60%	34%	9%	0%	0%	0%	0%	0%

### *The proportion of leakage due to avoided in-migration*

A minority of the smallholder families expected to be resident at some stage in the baseline scenario may not come to inhabit the area in the with-project scenario, because project activities are expected to reduce the attractiveness of the area for these new migrants. By definition these people cannot participate in leakage management activities, and they may decide to settle (and perhaps deforest) at some distant location outside the monitored Leakage Belt. Conservatively we consider that any deforestation that is prevented by preventing this in-migration will leak to distant forested locations with comparable carbon stocks and so must be discounted at 100%. This is consistent with the analytical principles set out by the Methodology:

"If deforestation agents do not participate in leakage prevention activities and project activities, the Displacement Factor shall be 100%. Where leakage prevention activities are implemented the factor shall be equal to the proportion of the baseline agents estimated to be given the opportunity to participate in leakage prevention activities and project activities." (Footnote, page 101)

This displacement factor can be estimated conservatively for migrants by projecting the expected overall population growth of the participating villages through the first fixed baseline period and comparing it to the observed growth over the same period. During any given year it is conservative to ascribe the entire difference between the expected population size at the time and the true population size to avoided in-migration. This approach also has the advantage of accounting for any movements out of the area by existing residents that might be caused by the project, removing the need to monitor these separately.

It is assumed that on average any one migrant family is equally likely to cause deforestation as any resident family, and so the percentage of expected deforestation attributable to newly arrived smallholder migrants is equal to the percentage of the population in this sub-category. This is supported by the fact that many of the families already resident at the project start date are themselves recently arrived migrants (and so intrinsically likely to behave in a similar way), that migrants are drawn from all ethnic groups, arrive in all villages to some extent and typically plant the same crops as existing residents in the same villages. It is consistent with the Methodology requirement to calculate the DLF on the basis of the proportion of baseline agents participating in the leakage control measures.

Hence DLF<sub>a</sub> for a given one year period (as defined above) is calculated as the ratio of the cumulative avoided in-migration from the start of the project to the end of that year ('all missing families') to the expected population at the end of that year. To give a simple numerical example, if the expected population at the end of a given year was 10,000 families (from baseline calculations) but only 9,000 families were actually observed to be present, then 1,000 families are assumed to have been deterred from migrating to the area by project activities up to that date. Therefore, 10% (1,000/10,000) of the expected business-as-usual agents of deforestation are not in practice able to participate in leakage

management activities during that year and so 10% of any emissions avoided during that period should be assumed to have leaked for this reason.

#### *Predicted human populations in the Project Area in the baseline and project scenarios*

The expected growth of the human population in the business-as-usual case is predicted on the basis of observed historical trends. Good annual population data at village level exist for the historical reference period, contained within the Commune Database (CDB) which is available from the Ministry of Planning and begins in 2002. The pooled data for the 20 project villages conform closely to a straight line ( $y = 575.0x + 7805.1$ ,  $R^2 = 0.9763$ ,  $y$  = population in a given year,  $x$  = (year-2000)).

Figure 3 and Appendix 3 show the observed data for 2002-2010 plus three projected scenarios 2010-2019.

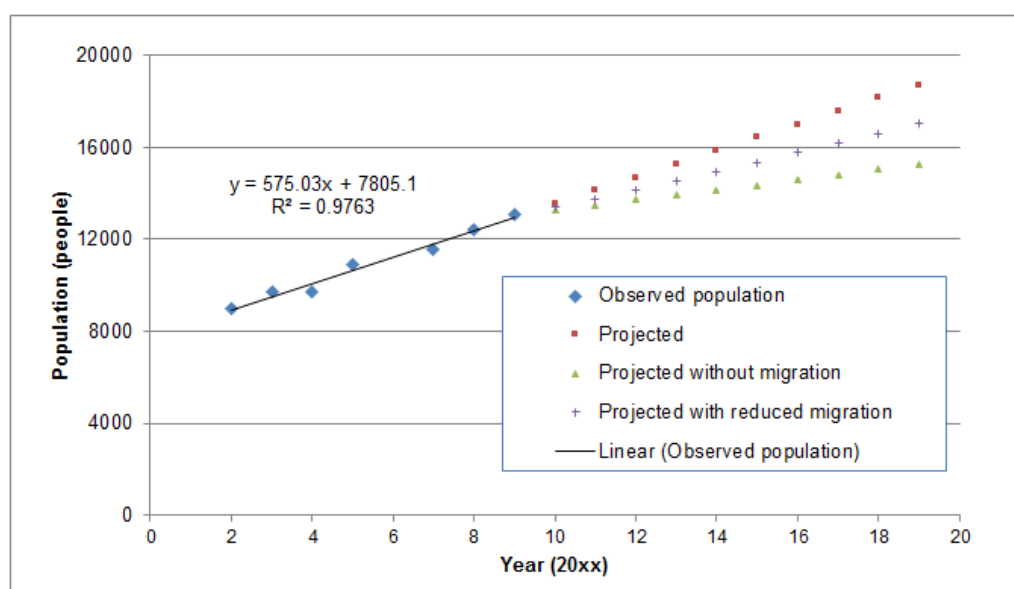
- The highest scenario shown is a projection of the historical growth rate, and shows business as usual with a combination of intrinsic local growth (births exceeding deaths) and net in-migration.
- The lowest scenario represents the estimated intrinsic growth in the absence of any further net in-migration<sup>25</sup>, which is a preferable outcome from a REDD+ perspective, but is likely not feasible. This is a useful step in the ex-ante calculation of with-project population growth.
- The intermediate scenario shows ex-ante estimates of population growth in the project case, assuming the project avoids 50% of the expected migration during each annual period.

Table 3 summarizes the ex-ante estimated DLFa for the first fixed baseline period. This is conservative; data for 2010 show that the observed factor was 0.2%, suggesting a lower than 50% reduction in net in-migration and so less leakage than might be expected from the ex-ante figures.

**Table 3. Ex-ante estimated Migration Displacement Factor\***

Year	10	11	12	13	14	15	16	17	18	19
DLFa	0.9%	2.6%	3.7%	4.7%	5.6%	6.5%	7.2%	7.8%	8.4%	9.0%

\* assuming 50% effectiveness in deterring migration



<sup>25</sup> This is derived from the average recent growth rate for Cambodia as a whole (1.54%), which is free from migration effects and hence is expected to represent quite accurately the intrinsic rate of increase (i.e. births minus deaths) of any broad subset of the Cambodian population.

**Figure 3. Observed and projected population trends in the Project Area under various scenarios**

*Total expected displacement due to activity shifting*

DLFa and DLFr can be added to give DLF (Table 4).

**Table 4. Ex-ante estimated activity displacement due to activity shifting by residents and avoided in-migration**

Year	10	11	12	13	14	15	16	17	18	19
DLF	60.9%	62.6%	63.7%	38.7%	14.6%	6.5%	7.2%	7.8%	8.4%	9.0%

### Monitoring considerations

In years when emissions reductions are achieved in the Project Area, a deduction may need to be made for leakage due to activity displacement, using data from monitoring activities. Two deductions are required.

*1) Deduction due to activity displacement by smallholders already resident in the project villages, including those who have arrived since the start of the project.*

Monitoring requirements are explained in Chapter 8 of the PD. This replaces the estimated figures for DLFr presented above.

*2) Deduction due to avoided migration*

To calculate the deduction due to actual avoided migration (DLFa) the following steps should be followed:

1. The total projected population (PP) at the end of each project year is estimated from Appendix 3 - figures for 'Historical Rate (Linear)'.
2. The total observed (monitored) population of the 20 participating villages (OP) must be determined for each year of the project crediting period based on figures in the Commune Database or a directly comparable source.
3. If  $OP > PP$ , no deduction for leakage due to avoided migration is required.
4. If  $PP > OP$ , the difference ( $PP - OP$ ) is calculated and referred to as the 'avoided migration' (AM) relevant to that year.
5. DLFa is calculated as  $DLFa = AM/PP$ .
6. The Gross Emissions Reductions (GER) for the year in question are known from the results of deforestation monitoring protocols in the project document.
7. The Leakage due to Avoided Migration (LAM) is calculated ( $LAM = GER * DLFa$ ).
8. The LAM is then added to leakage due to activity displacement of resident small-holders calculated under point 1 above to give the total emissions due to activity displacement.

### Reference

Pollard, E.H.B and Evans T.D. (2009). A survey of communities in and around the Seima Biodiversity Conservation area in 2008. Wildlife Conservation Society Cambodia Program, Phnom Penh.

**Annex 3.2: Appendix 1 Proportion of families in each village able to participate in leakage management activities**

Commune	Village	Households	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Sre Khtum	O Am	623	0%	0%	0%	50%	100%	100%	100%	100%	100%	100%
	O Rona	160	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Sre Lvi	28	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Sre Preah	Sre Preah	112	0%	0%	0%	100%	100%	100%	100%	100%	100%	100%
	Gati	54	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Pu Char	66	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	O Chrar	27	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Sre Chhuk	Pu Kong	62	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Chakchar	124	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Kmom	62	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Sre Andaol	50	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Sre Khtong	165	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Memong	Pu Keh	114	0%	0%	0%	0%	0%	100%	100%	100%	100%	100%
	Pou Ngaol	95	0%	0%	0%	0%	0%	100%	100%	100%	100%	100%
Sen Monorom	And. Kraloeng	107	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
	Pu Haim	303	0%	0%	0%	50%	100%	100%	100%	100%	100%	100%
	Pu Rang	91	0%	0%	0%	0%	100%	100%	100%	100%	100%	100%
Total	17	2243										

**Annex 3.2: Appendix 2 Number of families in each village able to participate in leakage management activities**

Commune	Village	Households	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Sre Khtum	O Am	623	0	0	0	311.5	623	623	623	623	623	623
	O Rona	160	160	160	160	160	160	160	160	160	160	160
	Sre Lvi	28	28	28	28	28	28	28	28	28	28	28
Sre Preah	Sre Preah	112	0	0	0	112	112	112	112	112	112	112
	Gati	54	54	54	54	54	54	54	54	54	54	54
	Pu Char	66	66	66	66	66	66	66	66	66	66	66
	O Chrar	27	27	27	27	27	27	27	27	27	27	27
Sre Chhuk	Pu Kong	62	62	62	62	62	62	62	62	62	62	62
	Chakchar	124	124	124	124	124	124	124	124	124	124	124
	Kmom	62	62	62	62	62	62	62	62	62	62	62
	Sre Andaul	50	50	50	50	50	50	50	50	50	50	50
	Sre Khtong	165	165	165	165	165	165	165	165	165	165	165
Memong	Pu Keh	114	0	0	0	0	0	114	114	114	114	114
	Pou Ngaol	95	0	0	0	0	0	95	95	95	95	95
Sen Monorom	And. Kraloeng	107	107	107	107	107	107	107	107	107	107	107
	Pu Haim	303	0	0	0	151.5	303	303	303	303	303	303
	Pu Rang	91	0	0	0	0	91	91	91	91	91	91
Total	17	2243	905	905	905	1480	2034	2243	2243	2243	2243	2243
% of Households participating			40%	40%	40%	66%	91%	100%	100%	100%	100%	100%
% of Households not participating			60%	60%	60%	34%	9%	0%	0%	0%	0%	0%



**Annex 3.2: Appendix 3 Calculations associated with estimation of the Migration Displacement Factor, ex-ante and ex-post**

Models		
	Coefficient	Constant
Historical rate (linear)	575	7805.1
	Rate of Growth	
Projected without migration	1.54%	
	Not Prevented	
Projected with reduced migration	50%	

Year*	2	3	4	5	7	8	9
Observed population	9003	9710	9711	10936	11582	12437	13108

\*complete data not available for 2006

	Initial	Projected									
Year	9	10	11	12	13	14	15	16	17	18	19
Historical rate (linear)		13555	14130	14705	15280	15855	16430	17005	17580	18155	18730
Projected without migration	13108	13310	13515	13723	13934	14149	14367	14588	14813	15041	15272
1 year growth with migration		447	447	575	575	575	575	575	575	575	575
1 year growth baseline, no migration		202	205	208	211	215	218	221	225	228	232
1 year growth imputed to migration		245	242	367	364	360	357	354	350	347	343
Cumulative growth from migration		245	487	854	1218	1578	1935	2289	2640	2986	3330
% of current population that are migrants since 2010			3.4%	5.8%	8.0%	10.0%	11.8%	13.5%	15.0%	16.4%	17.8%

Ex-ante estimates	9	10	11	12	13	14	15	16	17	18	19
Projected with reduced migration	13108	13432	13760	14156	14556	14960	15369	15782	16201	16624	17051
1 year growth baseline, reduced migration		202	207	212	218	224	230	237	243	249	256
Estimated migration		123	121	183	182	180	179	177	175	173	172
Total growth		324	328	395	400	404	409	414	418	423	428
Avoided Migration		123	370	549	725	895	1061	1223	1379	1532	1679
Annual Migration Displacement Factor		0.9%	2.6%	3.7%	4.7%	5.6%	6.5%	7.2%	7.8%	8.4%	9.0%

### Annex 3.3 Analysis of Degradation Pressures for Forest in the SPF/KSWS Core Area

#### Summary

This report assesses degradation rates in the carbon stocks of the forests of the Seima Protection Forest Core Area, the site of a REDD+ project<sup>26</sup>. It forms a methodological annex to the Seima REDD+ Project Document. The degradation is too limited to be detected by remote sensing so indirect methods are used. A review of published and unpublished data and expert knowledge amongst long-serving staff identified five drivers of degradation that required more detailed assessment. Of these four can easily be shown to be far below levels that would be considered significant. Using conservative estimates of offtake rates, subsistence logging for housing timber and collection of firewood were calculated to be far below the level that is likely to cause degradation. Understory grass/litter fires, while common in the open forest stratum, are also dismissed as a source of progressive degradation as the affected habitats are already highly fire-adapted, the fires are of low intensity and there is no trend of increasing frequency over a 9-year period. Wooded fallows are a small and declining part of the landscape and so for carbon accounting purposes are best treated within the context of the post-deforestation stratum rather than as a degraded forest stratum.

One category of driver, illegal logging of luxury-grade timber, required more detailed analysis, since it appears large in scale and extent. Only three species make up the vast majority of timber illegally cut at this site. Inventory data indicated average stocks of carbon within three species together of 10.9 tC/ha and 3.2 tC/ha respectively in the dense and open forest strata (conservatively taking the upper bound of the 90% CI in each case). The worst case scenario if law enforcement efforts fail is that this stock will be mostly logged out across the whole landscape during the first 10 year fixed baseline period, due to rising demand. Even if 100% of the biomass of these three species is lost (a conservative assumption), this will result in estimated biomass loss well below predicted natural increments for these forest types, and so is considered unlikely to result in any long-term degradation of the carbon stocks. However, illegal logging is a concern for other reasons than its effect on carbon stocks and remains a focus of enforcement activities.

#### Introduction

A conservation finance project is being developed in the Core Area of the SPF/KSWS, Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology (hereafter 'the Methodology'), which has been approved by VCS (VM0015).

Among other steps, the Methodology requires an estimation of the baseline rate of degradation of carbon stocks in standing forests in the Project Area. This report explains the calculations that contribute to the proposed baseline.

#### Overview - history of forest degradation

The landscape has historically has rather low population densities (Evans *et al.* 2003), with near total depopulation due to civil unrest during much of the 1970s and 1980s (Evans 2007) and poor road connections until the very recent past. There has thus been rather limited logging by local communities, primarily for housing and firewood. This is expected to have had negligible impacts on average carbon stocks. Traditional thatch-and-bamboo houses in this area used little sawn timber, although this has changed quite recently with the adoption of larger, more permanent wooden houses.

Long rotation swidden cultivation converted some mature forest to fallow, with brief periods of cultivation, especially in and before the 1960s, but relatively few new fallows were created between the reoccupation of the upland villages through the 1990s, the opening up of new fields and the widespread adoption of cashew (a cash crop that can be grown in place of fallowing) after about 2002.

<sup>26</sup> We acknowledge the assistance of Scott Stanley and Jeff Chatellier in compiling this Annex.

The most significant drivers of degradation have been episodes of intensive mechanized logging, which are unlikely to be repeated in the foreseeable future. Local reports indicate that there was scattered, locally heavy logging during the 1960s (by Khmer forces) and 1980s (by Vietnamese-backed teams), targeting clumps of valuable species including koki *Hopea odorata* and beng *Azelia xylocarpa* and leaving the landscape crisscrossed with old logging tracks that have facilitated subsequent illegal activity. In 1994 the area became part of the Samling International Chhlong logging concession. Operations took part in what is now the Core Area during only three seasons, 1997-1999, mainly in areas south of National Route 76 (Walston *et al.* 2001) before the concession was mothballed as part of a national moratorium that will not now be lifted (National Forestry Program 2010). The scale of legal and illegal harvests during this period have not been well quantified, although Evans *et al.* (2003) made an estimate of losses for resin trees (mainly *Dipterocarpus alatus*) based on interviews with the traditional owners. Densities of desirable species were apparently relatively low overall, and this has protected large areas of forest from excessive damage.

There has been a conservation project at the site since 2002 so there is an excellent body of knowledge on current activities that degrade forest, including publications, unpublished data and staff experience. From this basis we identified the following candidate sources of degradation:

- Trade-driven logging of high value timber species.
- Subsistence logging for housing timber.
- Collection of firewood.
- Forest fires.
- Swidden farming.

Each is analyzed in turn below. There is no commercial charcoal production in the landscape and negligible trade-driven harvest of other timber species. Bamboo harvest is very localized and conducted at a cottage industry scale (Pollard and Evans 2009, Mann Mouy 2010) and is also considered negligible in carbon terms.

There are three main options for measuring degradation in the landscape - remote sensing, monitoring of permanent plots and indirect approaches such as measuring off-take. Current degradation rates are generally low and damage is highly dispersed in small ephemeral patches, so it is most unlikely to be detectable using medium-resolution imagery. Estimation using permanent plots would also be unduly expensive. Therefore, the main sources of degradation are estimated below using indirect methods.

### **Trade-driven illegal logging of high value timber species**

A large amount of data exist on this, which is considered the largest potential baseline cause of forest degradation during the first 10 year fixed baseline period of the REDD+ project. Figure 1 and Table 1 show the total number of timber pieces, logs and stumps detected by law enforcement teams in SPF in recent years, and the proportions of luxury and non-luxury-grade timber. These do not allow an estimate of total off-take since they represent an unknown proportion of the total harvest, and the exact area of the harvest is also unknown, but they do indicate the general scale, the preferred species and the locations where logging occurs. As in the historical period, only a handful of species are preferred, and this appears to have been accentuated by recent price rises for three luxury-grade species, beng, neang nuon *Dalbergia bariensis* and thnung *Pterocarpus macrocarpus*. Forest-gate prices have soared from around \$120-180/m<sup>3</sup> in 2005 to \$1700/m<sup>3</sup> in mid-2011 (WCS/FA unpublished data), and there has been a corresponding increase in logging pressure, plus an increasing focus on these three species, as is evident from Figure 1. This is part of a nationwide trend, as evident from frequent articles in the national press.

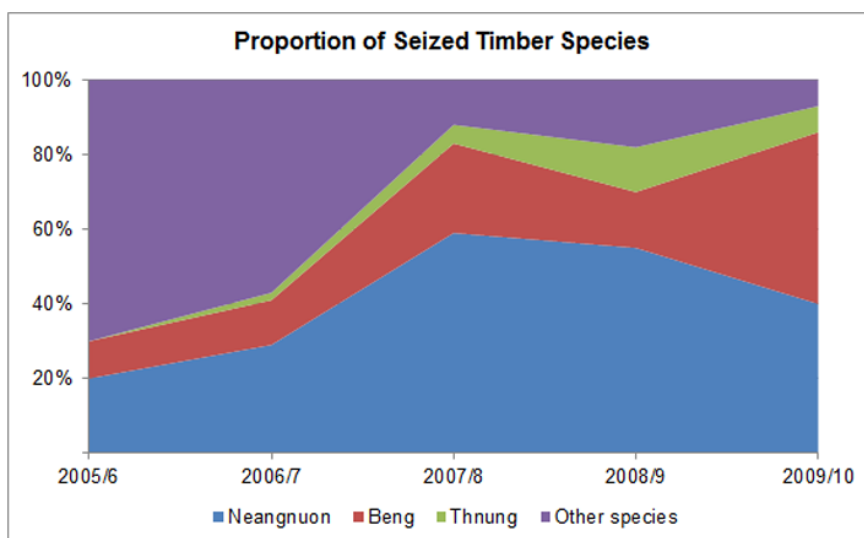


Figure 1 Proportion of seized timber in SPF identified as luxury Grade.

Table 1 Pieces of timber confiscated or observed during law enforcement activities.

Period	05/06	06/07	07/08	08/09	09/10
Neangnuon	20%	29%	59%	55%	40%
Beng	10%	12%	24%	15%	46%
Thnung	0%	2%	5%	12%	7%
% Luxury	30%	43%	88%	82%	93%
Other	51%	51%	10%	8%	4%
Sokram	0%	4%	0%	5%	0%
Koki	18%	2%	1%	4%	2%
Krakah	1%	0%	0%	1%	1%
Chheuteal	0%	0%	0%	0%	0%
<b>Total pieces</b>	<b>1011</b>	<b>685</b>	<b>553</b>	<b>1961</b>	<b>1990</b>

Source: SPF unpublished data held by WCS and FA

Hence neangnuon, beng and thnung made up 82-93% of the trade-driven illegal harvest of timber in and around SPF in the three years prior to the project start date, and the proportion is expected to remain at or above this level in the future, as prices continue to rise. Trade-driven harvest of other species is evidently negligible. It is believed that a substantial proportion of the remaining larger individuals of the three luxury species are being taken. Despite increasing law enforcement efforts, and soaring confiscations, it is clear that logging of these species is not currently under full control and will likely contribute to forest degradation to at least some extent. It is possible to make a conservative estimate of the level of degradation based on data from the forest carbon plots surveyed for this project.

Plot-derived carbon stock estimates for 2009 and 2011 for beng, neang nuon and thnung for the Project Area are shown in Table 2. No other luxury-grade species was found on the plots, indicating that these must occur at negligibly low densities across the Project Areas as a whole. The table estimates the gross degradation rate (i.e. excluding regrowth) that would result if the entire luxury stock was removed during the first ten year fixed baseline period. This is a conservative, worst case scenario if current efforts to control the logging are not effective. It is also conservative because in practice not all trees would be removed, since some will be overlooked, have stem defects or be too small, and no account is taken of partly compensatory increases in the dead wood pool. Secondary damage to other trees is limited in most cases, since new roads are rare and in general single, often quite moderately-sized luxury trees are felled leaving small, rapidly-filled canopy gaps.

Table 2 Carbon stocks in luxury timber species in the Project Area compared to total carbon stocks

Stratum	Mean above ground# (tC/ha)	Mean above and below ground (tC/ha) [90% CI]	Upper bound of 90% CI (tC/ha)^	Stratum total stock (tC/ha)	% of total stock	% gross degr. per year*
Dense	6.5	7.7 [2.5]	10.2	262.8	3.9%	0.39%
Open	1.7	2.0 [1.5]	3.6	135.1	2.6%	0.26%

Source: Evans *et al.* (2011) and unpublished WCS/FA data

#Beng, neangnuon and thnung combined

^The upper bound is taken to ensure that the estimate is conservative.

\* Assuming total loss over ten year period

The estimated gross offtake equates to 1.02 tC/ha/year (2.04 t/ha/year biomass) and 0.36 tC/ha/year (0.72 t/ha/year biomass) respectively for the dense and open strata. This is markedly less than the approximately 5t/ha/year biomass increment reported for slightly less well stocked forests in Kompong Thom Province (Top *et al.* 2006), and so is presumed to be well within the biomass regeneration capacity of the forest. Hence it is likely to have almost no long-term effect on the carbon stock of a given forest stand, since it will be made up by growth from other species, and it is therefore considered negligible for carbon calculations.

Conservatively, all parts of the Project Area can be considered more or less equally at risk over the period of the estimate. This is because at current prices it has been observed to be cost-effective to cut single trees anywhere in the reserve and transport the timber out by truck, car, ox-cart, motorbike or even reinforced push bikes. Although accessible areas might be assumed to be most at risk these are also often the areas with high patrol effort and observation by concerned villagers, making chainsaws and log transport harder to conceal, so in practice less-well protected areas in the north and west of the site have also been widely targeted by loggers. Figure 2 shows an example of relative patrol effort for 2009/10 whilst Figure 3 shows cases of logging detected during that year. A concentration of cases can be seen where access and patrol effort are highest, but there are also evidently cases detected wherever in the reserve patrols have taken place.

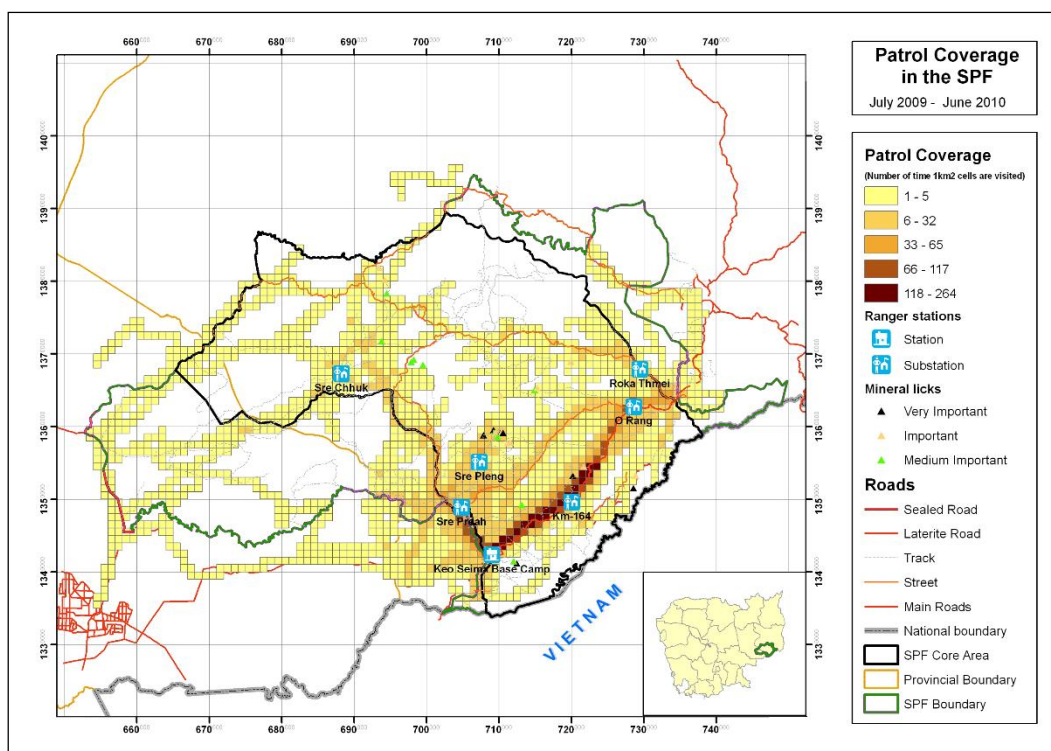
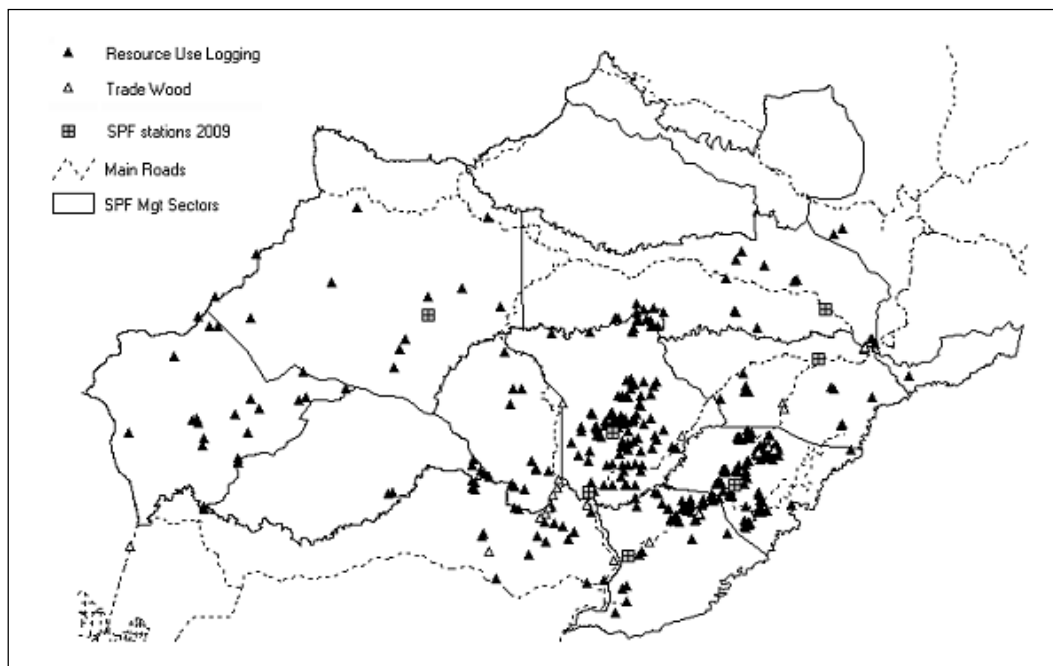


Figure 2 Patrol effort in SPF in a typical year (2009/10)





**Figure 3 Distribution of detected logging cases in SPF during 2009/10**

Although it is demonstrated to be negligible with regard to carbon stocks, this logging is an important management issue for other reasons - the loss of a valuable state timber asset, increased likelihood of associated illegal activities such as hunting and the loss of genetic diversity in three tree populations of high conservation significance. For these reasons prevention of illegal logging remains a key goal of the project.

Monitoring considerations: Detailed considerations for the monitoring of logging as a law enforcement issue are presented elsewhere. In terms of carbon accounting, it is necessary to monitor the preferred species, by annual analysis of confiscation records. If a broader range of species comes into trade at significant levels then the conclusion that illegal logging has negligible implications for carbon stocks will need to be reassessed. Future plot-based surveys of carbon stocks should incorporate a measure of logging prevalence, to assist with long-term quantification of this threat.

### **Subsistence logging for housing timber**

There is a local demand for timber for housing. Under the Forestry Law traditional forest users have the right to cut some wood for house construction, once they have been issued a permit by the local authorities. This offtake is estimated by local forestry officials (Pet Phaktra pers. comm. 2011) to amount to about 10m<sup>3</sup> of usable timber for each house, with houses replaced/upgraded about once every ten years, or about 1m<sup>3</sup>/family/year. To estimate an upper bound on the scale of this offtake, it can be assumed all 2243 families in the 20 villages using the Core Area draw all their housing wood requirements from the Core Area. This is a highly conservative assumption, since a significant part will be taken from other areas, or from land being deforested. Hence the offtake of usable timber is estimated to be about 0.012 m<sup>3</sup>/ha/year, which, at an approximate 25% conversion rate from total volume and 0.57 g/cm<sup>3</sup> default timber density (Reyes *et al.* 1992) would equate to 0.03 t biomass/ha/year total timber removals (ignoring compensatory increases in the dead wood pool). This is negligible compared to the regeneration capacity of these forests (see previous section) and hence is assumed to have no significant impact on long term carbon stocks. The contribution to the long-lived wood products pool can also be considered negligible given current building practices and the species of tree used.

Monitoring considerations: The level of timber harvest for housing construction should be monitored by qualitative means as the population and their housing expectations rise over time.

## Collection of firewood

Almost 100% of families in and around the Project Area cook over firewood, which is collected from nearby forest, and in many cases from the villagers' own agro-forestry lots. Top *et al.* (2006) estimated annual household consumption in another Cambodian lowland forest province as 137-178 kg/person per year, dry weight, or roughly 1t/household/year. Assuming similar rates apply in SPF, and that all user families draw their firewood from the Project Area (the latter an unlikely assumption), the average demand is approximately 2243t biomass/year. This equates to 1.2 t biomass/km<sup>2</sup>/year across the Project Area, which is clearly a negligible amount in comparison to the biomass increments reported by Top *et al.* (2006). Furthermore, local information shows that the great majority of firewood is collected from within existing or recently cleared farmland, not standing forest, since this requires the least labor. This is expected to remain true for the duration of the first ten-year fixed baseline period. Firewood from SPF is not traded on a significant scale in the local market (Keo Seima) or more widely.

**Monitoring considerations:** Firewood stocks in freshly opened fields are naturally higher than in old fields, due to the availability of freshly felled forest trees. Deforestation in the with-project scenario will slow to zero during later fixed baseline periods, so eventually the amount of firewood of this kind available within farmland will decline. The decline in supply from felled forest trees on farmland may or may not be compensated for by an increased supply from trees planted on farmland. This should be monitored during subsequent fixed baseline periods. If changes in supply are judged to place significant pressure on adjacent forests then alternative sources of firewood should be developed.

## Forest fires

### *Open forest*

Low-intensity understory fires are a very common part of the ecology of the open, deciduous forest stratum, especially in the deciduous dipterocarp forests, where a high proportion of the grassy understory burns every year, usually in the early-mid dry season (especially January-March). Most of these fires are set by humans (McInnes 2007), but they are nonetheless an established part of the ecology of the forest since humans have been a part of the system for hundreds, if not thousands of years. Such forests experience little or no negative impact from the annual fires, since they are usually low intensity grass/litter fires and the species that have come to predominate are highly fire tolerant due to a range of adaptations such as thick fire-resistant bark or underground storage organs (Stott 1984, 1988). Hence the fire regime is believed to have negligible effect on long term biomass stocks. Long-term average dead wood stocks can also be assumed to have achieved equilibrium between rates of production and rates of destruction.

There is no evidence of any trend in fire frequency over the past decade - fire location data from the MODIS satellite<sup>27</sup> show an average of 168 fires per year in the open forest stratum during 2001-2009, with no significant trend ( $r\text{-sq.} = 0.037$ ,  $p=0.619$ ). The same is true for the SPF Buffer Area (68 fires per year,  $r\text{-sq.} = 0.09$ ,  $p=0.431$ ).

### *Dense forest*

Catastrophic crown fires have not been reported from this vegetation type anywhere in Cambodia. Observations by the project team since 2002 show that forest fires of any kind are a very rare event in the dense forest stratum and can be considered a negligible potential cause of degradation. The forest is moist all year and usually only burns after it has been cleared for farmland and left to dry for several weeks. Analysis of MODIS data (Table 3) confirms that the frequency of fires in the dense forest stratum is very low, the fires are scattered and isolated and there is no increasing trend during 2001-2009. Points mapped within 100 m of the forest edge are likely to have only marginally entered dense forest or, given the data resolution, may well have occurred in adjacent open habitats. Therefore these two classes of point are analyzed separately. There are only 11 fires per year at or near the margins of the dense forest stratum and only 4 per year at any distance inside this stratum, none of them extending into a second pixel and all thus assumed to be very limited in extent. The same pattern is evident in

<sup>27</sup> Excluding locations reported with <30% confidence

other nearby dense forest areas. This is consistent with the reports of long-serving forestry officials working at the site.

**Table 3 Fire frequency in dense forest stratum in and around SPF**

Area	Fires/year	
	Interior: More than 100 m from forest edge	Edge: Within 100 m of dense forest edge
Project Area	4.4	11.3
SPF Buffer	4.0	7.0
Snoul WS	5.9	6.7

Monitoring considerations: In the dense forest stratum, surveillance for catastrophic fires should be conducted through routine patrol team activities and emergency reporting by community committees. In both dense and open forest strata, the annual frequency of fires should be monitored using MODIS data, triangulated through consultations with local communities. If an increasing trend occurs in either stratum, this should be investigated to identify the causes and any possible implications for carbon stocks.

### Swidden farming

Long rotation shifting cultivation in the past led to the formation of areas of tall fallow in SPF. These are secondary forest from an ecological/silvicultural perspective, but from a carbon accounting viewpoint can potentially be treated as a degraded forest class, assuming that forest cover is the dominant long-term land use. In such a case during the short cultivation period between periods of forest cover the land parcel would be classed as 'temporarily unstocked forest' for carbon accounting purposes. However, if cropping is the dominant use of the plot over time, with fallow periods being short or ceasing altogether, then it is more appropriate to classify this as a deforested area and include the fallow periods in an assessment of its long-term average carbon stock.

This form of farming is permitted by Cambodian law and can be sustainable under some circumstances, so there is no policy of stopping it within the Protection Forest, as long as it takes place within the areas registered for such activity. However, field observations and community discussions show that long-fallow rotational shifting cultivation has greatly declined in significance in the landscape through farmer preferences as people increasingly switch to growing cash crops on more permanent fields. Hence the current extent of such fallow in the landscape is rather limited and is likely to decline in the future, with most currently existing long fallows predicted to become non-forest in the medium to long term. It is therefore most appropriate to classify such areas as non-forest, rather than degraded forest, and to account for the carbon stocks of fallow patches within the average carbon stock of the post-deforestation land use class. Given this choice of classification, shifting cultivation in SPF does not result in the creation of degraded forest as defined for carbon accounting purposes.

Monitoring considerations: Since conservative assumptions have been made in estimating the contribution of fallows to the carbon stock of deforested areas, no further monitoring is required from that perspective. However, the effects of the decline of fallowing on soil quality should be monitored. It may be that fallows may need to be reintroduced on some soils in the SPF to ensure long-term sustainability of land use. In principle dramatic changes in the demand for cash crops could result in the reversion to a subsistence-based shifting cultivation farming system, in which case tall, long-term fallows may once again become a significant part of the landscape. This remote possibility should be monitored through periodic assessments.

## Annex 3.4 Funding History and Projections for the Seima Protection Forest

### Summary

The historical levels of non-REDD funding in SPF have been enough to achieve partially effective conservation, but fell well short of the level required for full protection. The aim of the REDD+ project is to increase funding to the level required for full protection, whilst at the same time putting in place various crucial enabling conditions. To quantify this additionality it is important to estimate future baseline funding levels accurately and conservatively.

This estimation has been done on the basis of two sources of evidence – (i) observed funding levels (over seven full years, including the first three years of the first fixed baseline period) and (ii) predictions regarding donor intentions in the future.

Funding was highest in 2008 and has declined since then. In particular funds for core activities that are most relevant to the prevention of deforestation have declined substantially since the start of the project crediting period. Projections show that this decline will worsen.

### Introduction

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology (hereafter ‘the Methodology’), which has been approved by VCS (VM0015).

To enable projection of the baseline scenario without a REDD+ project, business-as-usual funding trends need to be estimated for the existing conservation project at the site. This report explains the funding calculations that contribute to the proposed baseline.

### Overview

The Seima Protection Forest and its precursor, the Seima Biodiversity Conservation Area have been the site of conservation action throughout the historical reference period (Evans *et al.* 2013). This work has been supported almost entirely by international donors, including private foundations, bilateral aid agencies and multi-lateral institutions. Given this history it is necessary to assume that conservation action is also part of the future business-as-usual scenario at the site, with some level of continued funding by these traditional, non-REDD donors.

The level of funding of a protected area is a crucial determinant of its effectiveness. Full funding is a necessary but not sufficient condition for success. Other conditions include effective legal frameworks, public support, high quality technical inputs and good management of staff and personnel, but none of these have much effect in the absence of adequate funding for core activities.

The historical levels of non-REDD funding in SPF have been enough to achieve partially effective conservation, but fell well short of the level required for full protection (e.g. see Annex 2.5 of the PD, and Evans *et al.* 2013). Deforestation has continued, albeit at reduced levels, at least one key species (Tiger) has been lost from the site and many other impacts have been documented. In the future this funding will decline, as shown below, worsening the shortfall. The aim of the REDD+ project is to increase funding to the level required for full protection, whilst at the same time putting in place various crucial enabling conditions. To quantify this additionality it is important to estimate future baseline funding levels accurately and conservatively.

This estimation has been done on the basis of two sources of evidence – (i) observed funding levels (over seven full years, including the first three years of the first fixed baseline period) and (ii) predictions regarding donor intentions in the future. Each of these is supported by documented evidence, which is available to the auditor for inspection on request.

## Observed funding levels 2005-2012

In common with all Protected Forests, SPF receives only very limited operational funding from the Cambodian government. Almost all relevant funding in SPF has been raised by WCS from a wide variety of donors and is documented in the financial accounts of the WCS country program. Carbon accounting for the REDD+ project operates on a calendar year basis, but the WCS financial year runs from July to June, and is numbered according to the second calendar year of the period – e.g. Financial Year 2006 (FY6) runs from July 2005 to June 2006. However, this apparent mismatch is of little concern due to the annual cycle of deforestation pressures. Funds spent from e.g. July 2005 to June 2006 would have their most direct impacts on forest clearance during the January-May 2006 dry season (because less clearance happens during the rainy season), so it is appropriate to correlate expenditure in FY6 mainly with outcomes during calendar year 2006.

The accounts of the country program were fully computerized from the start of FY6 (i.e. July 2005) so this was taken as the starting point for this analysis. The analysis was conducted on the basis of the agreed budgets for each separate donor-funded project for each year. An MS Access database was created to manage the information. All the funding from 22 major donors during this period was incorporated, totaling \$5,099,049. Funds from 11 other minor donors (never more than \$10,000 from any of them in any one year) were excluded, as together they represented less than 2% of the total.

Each budget element was assigned by theme to one of ten activity types linked in some way to the overall SPF workplan (Table 1). An additional category ('0') was added for money that WCS was required to spend on activities unrelated to SPF (e.g. sub-grants to NGOs elsewhere in the province)<sup>28</sup>.

**Table 1 Activity categories for analysis of the SPF funding history.**

Activity	Grouping
1. Law enforcement and PA management	Core activity
2. Monitoring (bio/social/defor)	Core activity
3. Community work	Core activity
6. Construction	Non-core activity
7. LNGO Grants in Seima	Non-core activity
8. Community small grants in Seima	Non-core activity
11. REDD+ project development	Non-core activity
4. ICR (WCS overheads)	Non-core/offsite activity
5. Phnom Penh Admin costs	Non-core/offsite activity
9. Provincial planning Unit	Non-core/offsite activity
0. To be spent elsewhere in Mondulkiri	Non-core/offsite activity

The funding categories were also grouped into 3 core activities and 8 non-core activities, with four of the latter classified as offsite. Project effectiveness in controlling deforestation is expected to be highly correlated with the levels of onsite, core funding – the fundamental work of law enforcement and demarcation, community engagement and monitoring of key indicators. Non-core activities, on or offsite contribute indirectly or not at all to effective reduction in carbon emissions. Some of them are relevant to the enhancement of co-benefits, and so will be taken into account in the documentation of these co-benefits during parallel validation against the Climate, Community and Biodiversity Standard.

The results are summarized in Table 2 and Figure 1 and detailed in Appendix 1. The full database is also available for audit on request. Funding was highest in 2008 and has declined since then. Not all budgets were spent fully in the year they were allocated to, especially during the best-funded years, so the peaks were in practice slightly less abrupt than shown. The multi-year average total budget was higher in 2010-2012 than in 2006-2009, but this includes REDD+ start-up funds (clearly not part of the

<sup>28</sup> Two further categories were added for completeness, but not used: 'Earmarked funds for REDD+ additional protection activities' and 'Miscellaneous'.



business-as-usual scenario) and also disguises a dramatic and sustained decline in funding for core activities since 2008 (more than halving during 2008-2012).

Donor support for necessary, but relatively ‘unfashionable’ core activities of this kind has declined, outside a small group of consistent and reliable donors focused on biodiversity conservation discussed in the next section. The budget in most recent years has instead been dominated by non-core funding. A part of this has been for the development of the REDD+ project, which, while a valuable investment in long term sustainable finance, does not contribute to implementation costs such as patrolling, and is not likely to be continued past the point that the REDD+ project documents are validated. The other major part has been a series of investments by donors interested in improving livelihoods through setting up community-operated natural resource management activities. Again, these do not in themselves contribute significantly to the core costs of preventing deforestation and preventing emissions in SPF.

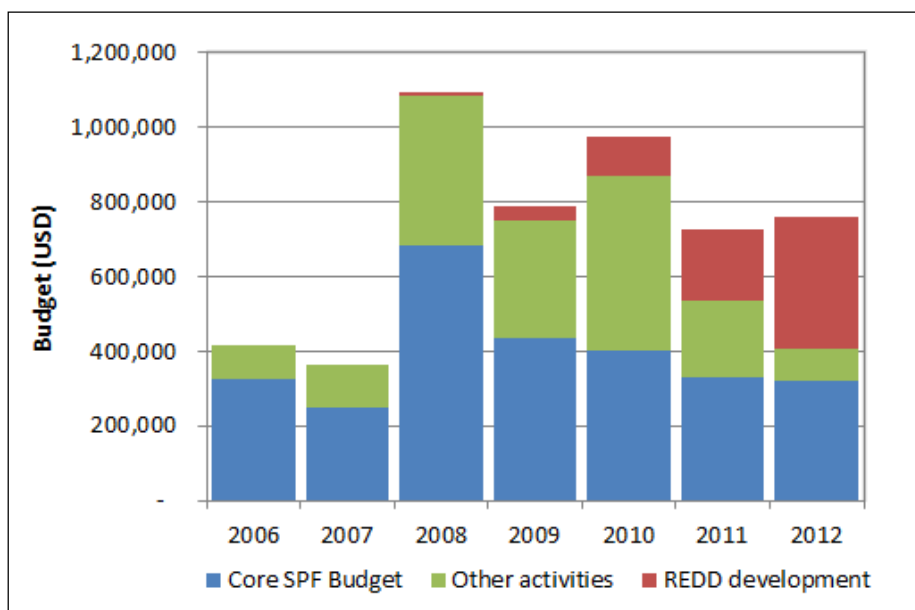


Figure 1. SPF funding history and projection, Core SPF Budget includes Activities 1, 2, and 3.

### Projected funding in and beyond 2013

Appendix 1 also includes the predicted grant budget for 2013 in the business-as-usual case. Just five donors are listed, all of them supporting core activities, and as a result the total budget is about \$195,000, representing only 46% of the 4-year average observed during the historical reference period for core activities.

We consider this a realistic level of funding to project through the remainder of the baseline period. It is lower than historical levels because many of those early grants were for start-up activities. As a newly established reserve within a newly established protected area system, SPF enjoyed relatively good start-up funding opportunities during 2002-2010, much of it framed in terms of training, capacity building, piloting new approaches and so on. Such opportunities have a finite lifespan, beyond which there is an expectation from donors that activities will be self-sustaining or supported by sustainable finance. It is highly unlikely that SPF will enjoy similar opportunities during the coming ten years.

Furthermore, many of the donors who provided this support have now ceased to invest in the forestry sector in Cambodia, or in SPF specifically, and seem highly unlikely to return. Table 2 reviews the funding prospects for each of the 22 donors who contributed significantly to the SPF budget during 2006-2012. For 18 of the 22 historical donors, there is no realistic prospect of further funding for activities that might reduce emissions at SPF. At least one of the four surviving donors had indicated that they are unlikely to renew in FY14, further reducing funds for core activities. In partial compensation, one small new donor was found for FY13.

**Table 2 Summary of funding history and 2013 projections.**

Financial year of budget	6	7	8	9	10	11	12	13 (est.)	4 year mean	3 year mean	FY 10-12 as % of 4 year mean	FY 13 est. as % of 4 year mean
Mainly affects deforestation in:	2006	2007	2008	2009	2010	2011	2012	2013	2006-2009	2010-2012	2010-2012	2013 on
Total in SPF (i.e. excl external grants, admin/ICR, prov planning)	366,150	283,482	837,168	561,671	674,721	581,663	693,885	195,042	512,118	650,090	127%	38%
Core SPF budget (activities 1, 2 &3)	325,650	250,432	680,518	433,271	399,241	329,703	320,355	195,042	422,468	349,766	83%	46%
<b>Breakdown by Activity</b>												
1. Law enforcement and PA management	97,000	152,217	218,678	230,888	197,487	150,396	154,181	89,974	174,696	167,355	96%	52%
2. Monitoring (bio/social/defor)	106,150	50,475	157,920	61,230	45,644	60,800	51,825	47,405	93,944	52,756	56%	50%
3. Community work	122,500	47,740	303,920	141,153	156,110	118,507	114,349	57,663	153,828	129,655	84%	37%

Please see the Excel detailed worksheets and MS Access database for a complete breakdown.

**Table 3. Prospects of further funding by each of the significant past donors in SPF.**

Donor	Notes
<b>Good prospects of support for core activities</b>	
Eleanor Briggs	Consistent donor [renewal not confirmed beyond 2013]; increased demands elsewhere in program reduce proportion available for Seima
USFWS-AsECF	Consistent donor [but future renewals not confirmed]
USFWS-GACF	Consistent donor [but renewals not confirmed]
Elephant Livelihood Initiative Environment (ELIE)	Small new donor in FY13. Commitment in principle to provide further support in FY14.
<b>Unlikely to support SPF again</b>	
McKnight	Have indicated that renewal in FY14 unlikely.
LCAOF	Tiger-focused - tigers extinct at site
Tigers Forever	Tiger-focused - tigers extinct at site
MacArthur	9 year start-up funding ended; other published geographical priorities in next phase
World Bank	No further support to Cambodian forestry sector envisaged
Anonymous donor	One-time top-up funding in 2012, not renewable
ADB-BCI	Future support in province directed towards poverty alleviation
<b>No longer operate in Cambodia</b>	
Elyssa Kellerman	Association with WCS ended
BHP Billiton	Exploration activities in Mondulkiri ended
CSPPM	Both Dfid and Danida are closing their country offices
TWG F&E	Danida are closing their country office
Royal Danish Embassy	Embassy is closing
<b>Support is REDD-focused, so not part of business-as-usual</b>	
JICA	Further support possible, but only for REDD
UN-REDD	Further support possible, but only for REDD
WCS Strategic Investment Fund	Further support possible, but only for REDD
SIF2	Further support possible, but only for REDD
IGES	Further support possible, but only for REDD
Winrock MacArthur	GASF regional project closing
Translinks	Program is completed

**Annex 3.4: Appendix 1 Historical breakdown of funding in SPF by activity and estimated funding for 2013.**

Financial year of budget	6	7	8	9	4-yr mean	10	11	12	3 yr mean	13 (proj)	% 4-yr mean	% 4-yr mean
Effects deforestation in:	2006	2007	2008	2009	2006-2009	2010	2011	2012	2010-2012	2013	2010-2012	2013 on
Total in SPF (i.e. excl external grants, admin/ICR, prov planning)	366,150	283,482	837,168	561,671	512,118	674,721	581,663	693,885	650,090	195,042	127%	38%
Core SPF budget (activities 1, 2 &3)	325,650	250,432	680,518	433,271	422,468	399,241	329,703	320,355	349,766	195,042	83%	46%
<b>1. Law enforcement and PA mgmt</b>	97,000	152,217	218,678	230,888	174,696	197,487	150,396	154,181	167,355	89,974	96%	52%
ADB-BCI		14,975	38,720	20,130						-		
Eleanor Briggs	50,000	25,000	25,000	25,000		25,000	20,000	20,000		20,000		
Elyssa Kellerman				3,287		21,711				-		
LCAOF		22,550	33,975	49,030		50,880				-		
MacArthur	47,000	54,000	44,000	43,000		74,750	36,500	35,500		-		
New York Grant								17,200		-		
Tigers Forever		15,000	14,500	15,600			21,000			-		
TWG F&E			51,183							-		
USFWS-AsECF			11,300			25,146	35,880	25,363		24,422		
USFWS-GACF		20,692		30,879			37,016	43,618		33,051		
World Bank				43,962						-		
ELIE								12,500		12,500		
<b>2. Monitoring (bio/social/defor)</b>	106,150	50,475	157,920	61,230	93,944	45,644	60,800	51,825	52,756	47,405	56%	50%
ADB-BCI		14,975	38,720	20,130						-		
BHP Billiton			13,500							-		
Eleanor Briggs	20,000	8,000	8,000	8,000		5,500	10,800	10,000		10,000		
MacArthur		7,500	7,500	7,500		16,750	19,750	18,750		-		
Royal Danish Embassy	32,500									-		
Tigers Forever		-	55,000	15,600		11,344	9,000			-		

Financial year of budget	6	7	8	9	4-yr mean	10	11	12	3 yr mean	13 (proj)	% 4-yr mean	% 4-yr mean
Effects deforestation in:	2006	2007	2008	2009	2006-2009	2010	2011	2012	2010-2012	2013	2010-2012	2013 on
USFWS-AsECF	53,650		35,200			12,050	13,250	13,875		25,605		
USFWS-GACF		20,000		10,000			8,000	9,200		11,800		
<b>3. Community work</b>	122,500	47,740	303,920	141,153	153,828	156,110	118,507	114,349	129,655	57,663	84%	37%
ADB-BCI		18,240	103,220	35,755						-		
CSPPM			73,700	78,898		119,110	43,844	37,686		-		
Eleanor Briggs	5,500	1,000		2,000		15,000	10,000	10,000		10,000		
MacArthur	35,500	28,500	29,500	24,500		22,000	22,000	24,000		-		
McKnight							42,663	42,663		47,663		
Royal Danish Embassy	81,500									-		
TWG F&E			97,500									
<b>4. REDD project development</b>			9,000	35,000	n/a	106480	186,960	348640	14,027	-		n/a
ADB-BCI			9,000							-		
IGES							24,900	45365		-		
JICA							30,000	79330		-		
SIF1				35,000						-		
SIF2						66,656				-		
Translinks						39,824	49,996			-		
UN-REDD								150,000		-		
Winrock MacArthur							82,064	73,945		-		
<b>5. Construction</b>	10,000	32,450	47,300						-	-		
BHP Billiton			24,000									
LCAOF		32,450	23,300									
MacArthur	10,000											
<b>6. LNGO Grants in Seima</b>	30,500	600	90,350	70,900	48,088	114,000	35,000			-		
ADB-BCI		600	40,350	25,400						-		
CSPPM			50,000	45,500		114,000	35,000			-		



Financial year of budget	6	7	8	9	4-yr mean	10	11	12	3 yr mean	13 (proj)	% 4-yr mean	% 4-yr mean
Effects deforestation in:	2006	2007	2008	2009	2006-2009	2010	2011	2012	2010-2012	2013	2010-2012	2013 on
Royal Danish Embassy	30,500									-		
<b>7. Community small grants in Seima</b>			10,000	22,500	16,250	55,000	30,000	24,890	36,630	-		
CSPPM			10,000	22,500		55,000	25,000	19,890		-		
McKnight							5,000	5,000		-		
<b>Costs outside SPF</b>												
<b>8. Provincial planning</b>		54,400	94,550	86,270	78,407	44,247	18,019	13,260	25,175	-		
ADB-BCI		54,400	67,250	54,500						-		
CSPPM			27,300	31,770		44,247	18,019	13,260		-		
5. PP Admin costs	16,000	5,000	5,000	5,000		5,000	5,000	11,564				
CSPPM								6,564		-		
MacArthur	16,000	5,000	5,000	5,000		5,000	5,000	5,000				
4. ICR	35,153	20,378	48,216	40,998		61,816	44,731	37,765		19,951		
CSPPM			17,325	18,911		36,412	13,685	5,417		-		
MacArthur	16,275	14,250	12,900	11,980		17,775	12,487	12,487		-		
McKnight							3,336	3,336		3,336		
Royal Danish Embassy	11,560											
TWG F&E			11,289									
USFWS-AsECF	7,318		6,702			7,629	7,944	7,957		7,957		
USFWS-GACF		6,128		6,814			7,279	8,568		8,658		
World Bank				3,293								
0. Outside Seima			107,500	91,500		187,811	73,631			n/a		
BHP Billiton			37,500									
CSPPM			70,000	91,500		187,811	73,631					

### Annex 3.5 Historical Deforestation Baseline for the SPF REDD+ Project

Section numbering follows the steps of the Methodology for convenience.<sup>29</sup>

#### Step 2: Analysis of historical land-use and land-cover change

##### 2.1 Collection of appropriate data sources

We processed and analyzed fourteen medium resolution LANDSAT TM and ETM+ satellite images with a 30x30 m pixel resolution to map reductions in forest cover (deforestation) between 1998 and 2010, at roughly two year time intervals across the entire Reference Region (RR) and some adjacent areas. The LANDSAT imagery was acquired during the dry season (December-March) to minimize cloud cover (Table 1).

To refine our classification and to improve interpretation of the land cover, we also analyzed two types of radar imagery, ALOS PALSAR L-band and ERS C-band. This was used primarily to improve the discrimination between open forests and non-forest areas such as wetlands, grasslands, tarmacked areas, and paddy fields, because open forests can appear similar to non-forest areas on LANDSAT satellite acquired during the dry season. When available, L-band radar is superior to C-band radar for separating non-forest from open forests. Nevertheless, ERS C-band radar was still useful for this purpose. We analyzed nine ERS C-band radar images with a 30x30 m resolution acquired in 1998, 2000 and 2002 and eleven ALOS PALSAR L-band radar images with either 12.5 m x 12.5 m or 50x50 m resolution acquired in 2006, 2008 and in 2010 (Table 5). All images were projected to UTM zone 48N using the Indian 1960 datum and co-registered to within 1m positional error.

We validated the accuracy of the 2002 forest cover map, which included three main classes: i) dense forest, ii) open forest, and iii) non-forest using high-resolution 1m2 pixel IKONOS imagery. The IKONOS reference imagery covered an area of 570 km<sup>2</sup> and was acquired on 28 February 2003, i.e. within 12 months of the 2002 LANDSAT imagery (13 February 2002) used for to classify 2002 forest cover.

**Table 1. Data used for historical LU/LC change analysis.**

Satellite	Sensor	Resolution		Average location error <sup>a</sup>	Acquisition date	Source	Scene or point identifier	
		Res	Bands				Path / Lat	Row / Lon
LANDSAT5	TM	30m	6 bands ms	N/A	09/01/98	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	N/A	09/01/98	GISTDA	125	052
LANDSAT5	TM	30m	6 bands ms	<1px	30/12/99	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	<1px	30/12/99	GISTDA	125	052
LANDSAT 7	TM	30m	6 bands ms	0.94 px	13/02/02	USGS	125	051
LANDSAT 7	ETM+	30m	6 bands ms	0.99 px	13/02/02	USGS	125	052
LANDSAT5	TM	30m	6 bands ms	<1px	11/02/04	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	<1px	11/02/04	GISTDA	125	052
LANDSAT5	TM	30m	6 bands ms	<1px	31/01/06	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	<1px	31/01/06	GISTDA	125	052
LANDSAT5	TM	30m	6 bands ms	0.88 px	25/03/08	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	0.70 px	25/03/08	GISTDA	125	052
LANDSAT5	TM	30m	6 bands ms	<1px	27/02/10	GISTDA	125	051
LANDSAT5	TM	30m	6 bands ms	<1px	27/02/10	GISTDA	125	052
ERS-2	Radar	30m	C-band, VV	0.00px	28/09/98	ESA	125	052

<sup>29</sup> This Annex was largely prepared by two remote sensing specialists, Dr David Gaveau and Dr Justin Epting.

Satellite	Sensor	Resolution		Average location error <sup>^</sup>	Acquisition date	Source	Scene or point identifier	
		Res	Bands				Path / Lat	Row / Lon
ERS-2	Radar	30m	C-band, VV	0.001px	09/09/98	ESA	125	051
ERS-2	Radar	30m	C-band, VV	0.001px	25/09/98	ESA	125	051
ERS-2	Radar	30m	C-band, VV	0.001px	28/09/98	ESA	125	052
ERS-2	Radar	30m	C-band, VV	0.001px	09/09/98	ESA	125	052
ERS-2	Radar	30m	C-band, VV	<1px	01/10/00	ESA	125	051
ERS-2	Radar	30m	C-band, VV	<1px	17/01/00	ESA	125	052
ERS-2	Radar	30m	1 C-band	0.001px	01/09/02	ESA	125	052
ERS-2	Radar	30m	1 C-band	0.001px	01/09/02	ESA	125	051
ALOS	PALSAR	12.5m	L-band, VV/VW	<1px	10/06/06	JAXA	125	051
ALOS	PALSAR	12.5m	L-band, VV/VW	<1px	10/06/06	JAXA	125	052
ALOS	PALSAR	30m	Polarized L-	0.90 px	Apr-Oct/08	JAXA	125	051
ALOS	PALSAR	30m	Polarized L-	0.39 px	Apr-Oct/08	JAXA	125	052
ALOS	PALSAR	30m	Polarized L-	<1px	Jun-Oct/10	JAXA	125	051
ALOS	PALSAR	30m	Polarized L-	<1px	Jun-Oct/2010	JAXA	125	052
Quickbird	Quickbird	1m	Red Green Blue	< 1 px	28/02/03	Google Earth	11.982-12.407	106.20-106.314

Projection, spheroid and datum = UTM48N, Everest, Indian 1960 for all data

<sup>^</sup> Average Root mean square error

## 2.2 Definition of classes of land-use and land-cover

The definition of forest used here closely follows Cambodia's national definition under the Kyoto Protocol<sup>30</sup> - namely an area of at least 0.5 ha with at least 10% crown cover of trees taller than 5 m, as discussed in Section 4.4 of the Project Document. Cambodia includes bamboo in this definition. The status of rubber plantations is not specified in the definition. We here treat them as part of the non-forest class.

The analysis of satellite imagery has been conducted at the resolution of the raw LANDSAT imagery (0.09 ha), but in post-processing stages the resolution has been reduced to eliminate clumps of pixels <1ha to eliminate noise. By doing so, the Minimum Mapping Unit has been set at 1 hectare to accord with the requirements of the Methodology. So, the operational forest definition used here is an area of at least 1 hectare with at least 10% crown cover of trees taller than 5 m.

Four land use and land cover classes were identified in the reference area (Table 2). Forest land has been stratified in two forest classes having different average carbon densities. These are i) dense forest and 2) open forest. These two forest strata have been mapped through remote sensing (i.e., by analyzing optical LANDSAT TM, ETM+, and radar PALSAR imagery described in Table 1).

Non-forest was divided into open water and a terrestrial non-forest class. The non-forest class has not been further sub-divided as, although there is variation in carbon stocks in this class across the Reference Region as a whole (e.g. including rubber plantations, montane grasslands and smallholder cropping mosaics), this is not the case for newly deforested land within the Project Zone, which is the land area subject to detailed carbon accounting under this project. Within the Project Zone essentially all newly deforested land is expected to be incorporated into a smallholder cropping mosaic for which a single area-weighted average carbon stock can be used.

<sup>30</sup> [cdm.unfccc.int/DNA/ARDNA.html?CID=37](http://cdm.unfccc.int/DNA/ARDNA.html?CID=37)

**Table 2. List of all land use and land cover classes existing at the project start date within the Reference Region.**

Class Identifier		Trend in Carbon stock1	Presence in2	Baseline activity3			Description (including criteria for unambiguous boundary definition)
IDcl	Name			LG	FW	CP	
1	Dense forest	Constant	RR, LK, PA	n	n	n	Areas of land meeting the definition of forest used in the project and meeting the definition of evergreen or semi-evergreen forest used by FCA (2006).
2	Open forest	Constant	RR, LK, PA	n	n	n	Open forests are areas of land meeting the definition of forest used in the project and classified by the FCA (2006) as deciduous forest, bamboo forest, other forest (except plantations) and woodland (evergreen or deciduous).
3	Wetland	Constant	RR,LK,PA	n	n	n	Land not meeting the definition of forest and typically covered by standing or flowing water during the Cambodian dry season (e.g. rivers, lakes, ponds and marshes)
4	Non-forest	Constant	RR, LK, PA	n	n	n	All areas not meeting the definition of forest or wetland (cropland, grassland, settlements, roads, etc.)

Note if 'decreasing', 'constant', 'increasing'

RR = Reference Region, LK = Leakage Belt, LM = Leakage Management Areas, PA = Project Area

LG = Logging, FW = Fuel-wood collection; CP = Charcoal Production (yes/no)

### 2.3 Definition of categories of land-use and land-cover change

Identify all LU/LC-change categories that could occur within the Project Area and Leakage Belt during the project crediting period in both, the baseline and project case. This can be done by analyzing a land-use change matrix that combines all LU/LC-classes previously defined.

List the resulting LU/LC-change categories in table 3.a and 3.b:

**Table 3.a. Potential land-use and land-cover change matrix.**

IDcl		Initial LU/LC class			
		1 Dense Forest	2 Open Forest	3 Wetland	4 Non-forest
Final LU/LC class	1 Dense Forest	Dense Forest/ No change	x	x	x
	2 Open Forest	x	Open Forest/ No change	x	x
	3 Wetland	x	x	Wetland/ No change	x
	4 Non-Forest	Dense Forest/Non-forest	Open Forest/Non-forest	x	Non-forest/ No change

**Table 3.b. List of land-use and land-cover change categories.**

IDct	Name	Trend in Carbon stock	Presence in	Activity in the baseline case			Name	Trend in Carbon stock	Presence in	Activity in the project case		
				LG	FW	CP				LG	FW	CP
1/4	1 Dense forest	Stable	All	n	n	n	4 Non-forest	Stable	All	n	n	n
2/4	2 Open forest	Stable	All	n	n	n	4 Non-forest	Stable	All	n	n	n

#### *Step 2.4 Analysis of historical land-use and land-cover change*

We processed and analyzed fourteen optical LANDSAT TM and ETM+ satellite images with a 30m spatial resolution acquired between 1998 and 2010. The image dates were chosen from available imagery to best represent the epochs of 1998, 2000, 2002, 2004, 2006, 2008 and 2010. These images were acquired during the dry season in order to reduce cloud cover. For those clouds that were present, supplementary radar imagery was analyzed for large portions of the reference area in 1998, 2000, 2002, 2006, 2008 and 2010. This included both ERS C band and ALOS PALSAR L-band radar. The ERS and PALSAR radar imagery also served to improve detection of non-forest areas (e.g. wetlands, grasslands, tarmacked areas, and paddy fields) and areas of deforestation in deciduous forests that can be misclassified as non-forest (bare ground) with LANDSAT satellite during the dry season (i.e., from November until May).

##### Step 2.4.1 Pre-processing

All images were georectified to the 1998 LANDSAT imagery using a second or third order polynomial co-registration technique. We used the Geo correction tools in ERDAS IMAGINE v8.6 to carry out these corrections. The 1998 LANDSAT imagery was retained as the reference imagery with UTM projection, zone 48 North, Everest spheroid, and Indian 1960 datum. The average positional error (the average root mean square error) between two images was < 1 pixel.

Cloud and shadow detection and removal was not performed at the pre-processing stage, but rather classified as such and subsequently dealt with during the post-processing stage (as below).

Radiometric correction and haze reduction were not deemed necessary.

##### Step 2.4.2 Interpretation and classification

Forest cover and forest loss was mapped within the reference area in two distinct phases. The first phase (Phase I) dealt only with image epochs 1998, 2002, 2008 and 2010. For this phase, a multi-date, stepwise supervised classification approach was adopted to map deforestation and remaining forest cover within the PRA. In the second phase of the analysis (Phase II) additional images from the epochs 2000, 2004 and 2006 were added in order to provide a biannual quantification of deforestation during the entire period. Phase II utilized the results from Phase I to 'lock in' areas of forest loss, non-forest and remaining forest and relied primarily on manual interpretation to more finely determine the date of deforestation. The details of each phase are described below.

#### **8.3.1 Phase I. (1998, 2002, 2008, 2010 epochs):**

Classification software/algorithm

All processing steps employed the remote sensing platform ERDAS IMAGINE v8.6 combined with a supervised tree-based classification algorithm. The decision-tree program we used is called SEE5. It is a well-known program developed by Rulequest (<http://www.rulequest.com/see5-info.html>) for data mining and pattern recognition, and was coupled with ERDAS IMAGINE with a helpful interface called CART which was developed by EarthSat Corporation for the US Geologic Survey.

Decision trees are mathematical tools designed for use in a wide variety of data processing applications. They don't rely on normal distributions of data and therefore have been found to offer superior results to traditional maximum likelihood classifiers (MLC). In fact, several remote sensing studies have shown decision trees to be approximately 10% higher accuracy rates than MLC. The way that decision trees work is to create a series of rules. These rules are hierarchical and therefore resemble a tree (Fig 1).



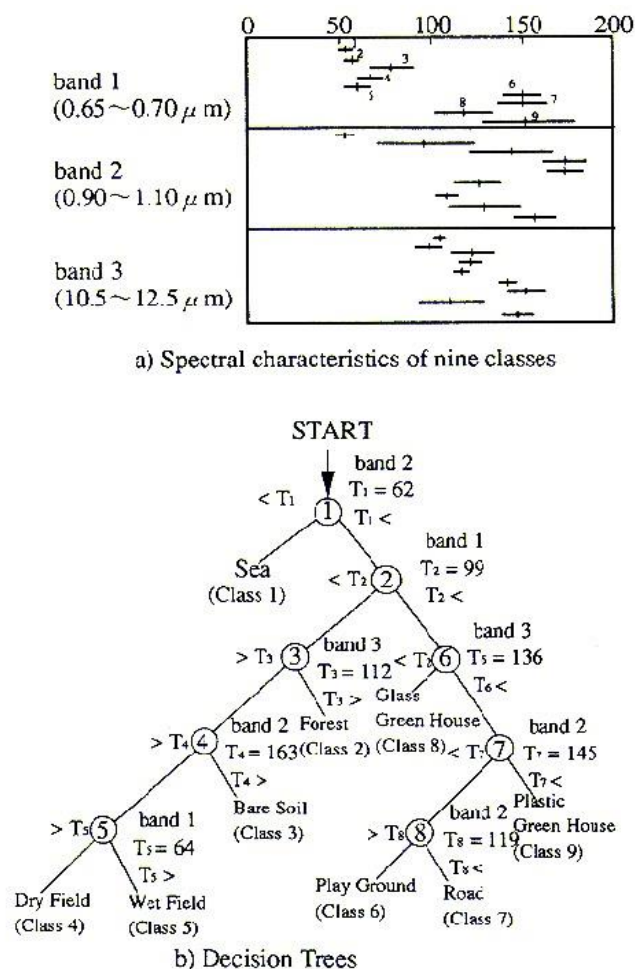


Figure 1. Decision tree schematic showing rules for classification.

**Step 1:** The first step in the analysis was the creation of two-date image composites. For example, the LANDSAT images acquired in 1998 and 2002 were combined into a single two-date image file with 12 bands and covering both years using the 'layer stack' function in ERDAS IMAGINE v8.6. This was repeated to create composite images for 2002-2008 and 2008-2010. The ERS and PALSAR images as separate single-date image files.

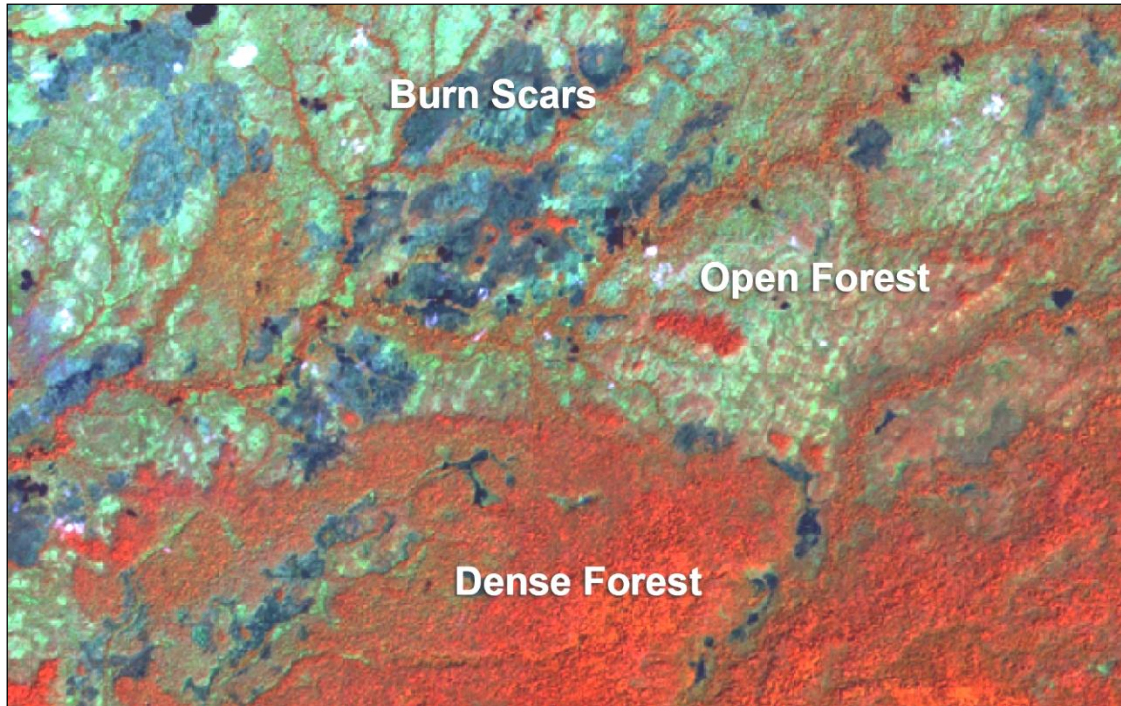
**Step 2:** A trained remote sensing analyst visually interpreted the spectral signatures of the 1998-2002 two-date LANDSAT image file, in conjunction with various ancillary data, to identify training sites over forested and non-forested areas of land (as well as cloud, cloud shadow, and large water bodies such as wetlands and the Mekong river), which were then used as input statistics into a supervised tree-based classification algorithm (RULEQUEST RESEARCH, 2007) to generate a semi-automated forest cover change classification across the Reference Region for the period 1998-2002. This approach has the advantage of classifying deforestation (and changes in cloud cover) in one step, reducing the classification error compared to a post-classification approach where two single-date images are classified independently and then changes are categorized between the two classifications.

During this classification step, the analyst did not try to separate 'open forest' from 'non-forest' because the spectral colors of those land cover types ('open forest' and 'non-forest') on the LANDSAT imagery acquired during the dry season were too similar (both 'open forest' and 'non-forest' appear blue in RGB 453 combination, see Snapshot below). In Step 2, the analyst combined 'open forest' and 'non-forest' into one class, which we refer to as the 'non-dense forest' class. In Step 2, the analyst mapped: i) areas of dense forest in 2002, ii) deforestation of dense forest between 1998-2002, and iii) areas of non-dense forest, cloud and cloud shadow cover, and v) large water bodies (wetlands and Mekong river).

The analyst repeated Step 2 over the 2002-2008 two-date LANDSAT image file to map areas of dense

forest in 2008, ii) deforestation of dense forest between 2002-2008. The 2008 PALSAR L-band Radar imagery was used to remove residual cloud & cloud shadow cover in 2008.

The analyst repeated Step 2 over the 2008-2010 two-date LANDSAT image file to map areas of dense forest in 2010 and ii) deforestation of dense forest between 2008-2010. The 2010 PALSAR L-Band Radar imagery was used to remove residual cloud & cloud shadow cover in 2010.



**Figure 2. 1998 LANDSAT imagery in RGB (band4, Band5, Band3). 'Dense forest' appears as dark red, 'open forest' or 'non-forest' appears as light green unless burned in which case it appears dark blue.**

**Step 3:** To separate 'open forest' in 2002 from deforestation of 'open forests' during 1998-2002, and from 'non-forest' in 1998 (all three classes being previously combined into one 'non-dense forest' category) the analyst re-interpreted the 1998-2002 two-date LANDSAT image file only within areas previously classified as 'non-dense forest'. The analyst used contrast enhancement techniques to reveal small differences in spectral colors to enhance the spectral colors of open forests from those of non-forest. Next, he identified training sites over 'open forests' and 'non-forests', which he then used as input statistics into a supervised tree-based classification algorithm (RULEQUEST RESEARCH, 2007) to generate a semi-automated open forest cover change classification across the PRA for the period 1998-2002. While the contrast enhancement techniques picked up well bare land areas and dry paddy fields, it did not pick up grasslands, paddy fields before harvest, and plantations well. Additional ERS C-Band radar data acquired in 1998 and in 2002 was used to separate paddy fields before harvest, but ERS C-Band radar imagery still did not pick up well, grasslands and plantations. Additional contextual knowledge of the study area was used to separate grassland areas and plantations from open forest areas.

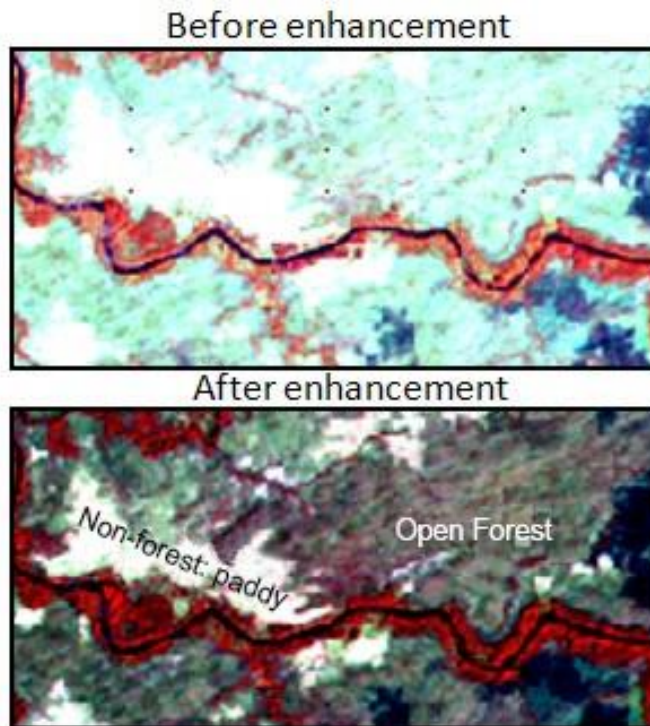


Figure 3. 1998 LANDSAT imagery in RGB (band4, Band5, Band3). Dense forest appears as red-brown. The blue/white areas are either 'open forest' or 'non-forest' areas. After enhancement, 'open forest' appear grey, while non-forest (paddy fields) appear white.

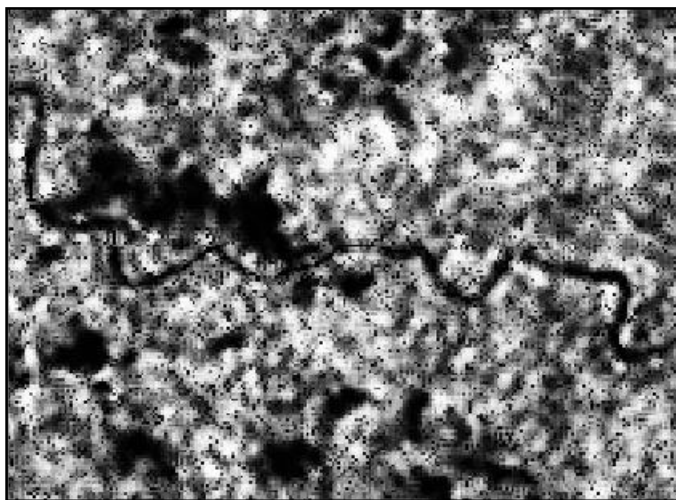
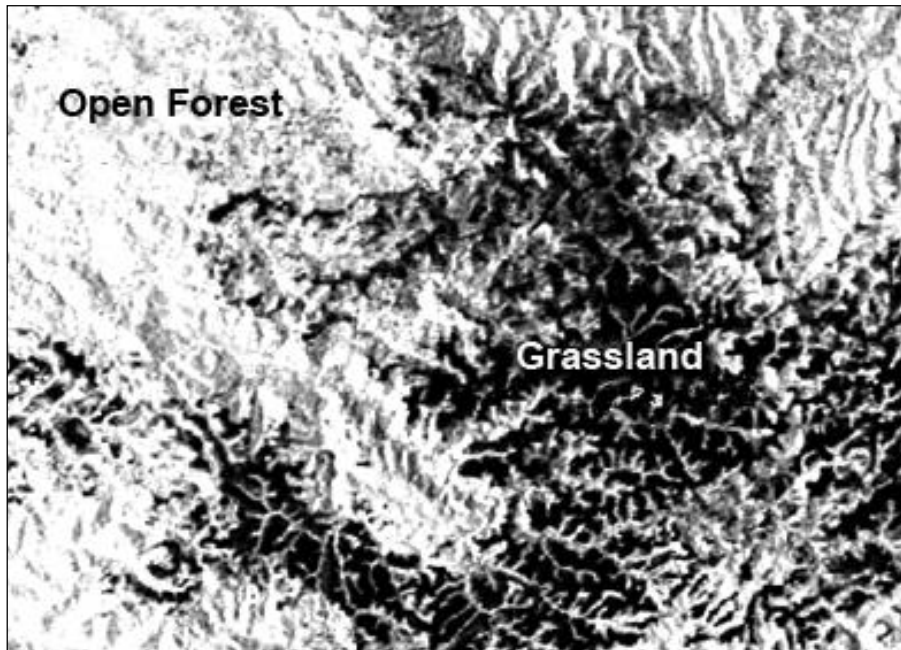


Figure 4. 1998 ERS C-Band radar imagery. Paddy fields appear dark (whether before or after harvest).

**Step 4:** To map areas of 'open forest' in 2008 and 2010, and ii) deforestation of 'open forest' between 2002-2008 and 2008-2010 we used 2008 and 2010 PALSAR L-Band radar imagery since L-band imagery is superior to C-Band radar imagery to detect 'non-forest' areas, such as grasslands, from open 'forests'. Here, the analyst visually interpreted the panchromatic polarized PALSAR L-Band radar imagery, to identify areas of non-forest in 2008 and 2010 that had been previously (in Step 3) defined as 'open forest' in 2002.





**Figure 5. 2008 PALSAR L-Band radar imagery. Grasslands appear dark. Forests appear bright.**

**Step 5:** all the classes derived above were combined into one single classification file. Measures were then taken to ensure high accuracy of the finished product, including: (1) filtering the final classification results to remove areas < 1 hectare using the 'clump and eliminate' function in Erdas Imagine 8.6; and (2) manually editing complex areas such as those obscured by haze or in steep topography, where the classification algorithm produced noticeable classification errors, but where a trained remote sensing analyst could still visually interpret the imagery.

### 8.3.2 Phase II. (2000, 2004 and 2006 epochs):

Phase II involved 'back-filling' the missing epochs of 2000, 2002 and 2004 into the framework of results from Phase I. The approach taken for this phase relied primarily upon manual interpretation of the imagery and utilizing the classes generated from Phase I. The first step in the Phase II analysis was to separate all deforestation classes from forest, non-forest and water classes. Areas classified as non-forest in 1998 were automatically assigned the non-forest class for the three epochs in Phase II. In a similar way, those areas that were classified as 'open forest' or 'dense forest' in both 1998 and 2012 were assigned the same class for the 2000, 2004 and 2006 epochs.

Manual editing was done in a vector environment so the results of Phase I were first converted to polygons with a 'cover type' field representing the output from Phase I. The non-forest, water, open forest and dense forest classes were first assigned as described above. Those classes were then eliminated from the remainder of the analysis. Only those polygons that were recognized as deforestation in Phase I were isolated for further processing. The technique employed was a systematic comparison of deforestation polygons between epochs and then manually assigning the appropriate deforestation class to it. For example, the first round of editing isolated all polygons identified as 'dense forest deforestation from 1998–2002 in Phase I. For each of those polygons, the 2000 and 2002 epoch images were visually inspected to determine if deforestation had occurred between 1998–2000 or 2000–2002. In many cases, additional editing of the polygons was necessary because a portion of the area was deforested between 1998 and 2000 and a portion was deforested between 2000 and 2002.

The same process was carried out for the 2004 and 2006 epochs by isolating those polygons from Phase I that were classified as deforestation from 2002–2008. In order to facilitate efficient processing, open forest and dense forests were interpreted separately with the radar imagery helping to inform classification of open forest deforestation. All open forest deforestation was interpreted through visual inspection, whereas the supervised classification approach described in Phase I was utilized to assist in the analysis of the southern portion of the reference area (path/row 125/052) for dense forest

deforestation between 2002-2008. A decision tree classification was run with the epochs 2002, 2004, 2006 and 2008 in order to more quickly identify areas of deforestation in each epoch. This area was slightly complicated by the presence of clouds and cloud shadow in 2006 and 2008 which required the additional interpretation of radar imagery to correct for false identification of deforestation in areas where the bright cloud signatures often appeared similar to deforested land. Additional visual interpretation was performed to correct these errors.

A fundamental rule followed during the Phase II analysis required that the epochs be analyzed in chronological order. For example, for the 2002-2008 analysis, the loss of forest cover was first analyzed from 2002-2004 and then for 2004-2006. If no deforestation was recognized by 2006, the assumption was made that deforestation had occurred from 2006-2008 and the polygon was assigned that class. The same is true for the 1998-2002 analysis where if deforestation was not detected from 1998-2000, it was assumed to have occurred from 2000-2002. Strict adherence to the results of Phase I were maintained so as not to disrupt the derivative products that had been produced from it.

### 2.4.3 Post-processing

No other post-processing steps were required. The Forest Cover Benchmark Map and other required maps were produced and are presented in the main text of the project document. The matrix of activity data is also presented in the main project document.

### 2.5 Map accuracy assessment

We validated the accuracy of the LANDSAT-based 2002 forest cover map, which included three main classes: i) dense forest, ii) open forest, iii) non-forest. We employed 1m2 resolution IKONOS imagery as the reference imagery. The reference imagery covered an area of 570 km<sup>2</sup> and was acquired on 28 February 2003, i.e. within 12 months of the 2002 LANDSAT imagery (13 February 2002) used for to classify 2002 forest cover. The reference imagery was downloaded from Google Earth using the Google Earth download Manager in UTM 48N spheroid: WGS84, datum: WGS84

Following the Methodology a number of sample points were distributed within the reference higher resolution imagery. The sampling design used a stratified systematic nonaligned sampling approach. This sampling method works by first creating a grid across the reference imagery and then randomly assigning one point per grid cell. In this way, the entire reference image is sampled, thereby ensuring representation of all cover types while at the same time eliminating artificial clumping that may occur from complete randomization, while also minimizing spatial autocorrelation effects. The grid size chosen for this validation was 1 km<sup>2</sup>. A total of 527 points were sampled within the reference imagery. There were 187 reference dense forest points, 290 reference open forest points, and 50 reference non-forest points. In the classification, areas of forest cleared during the study period (1998-2002) were counted as non-forest, and areas of forest cleared during the period 2002-2008 were counted as forest.

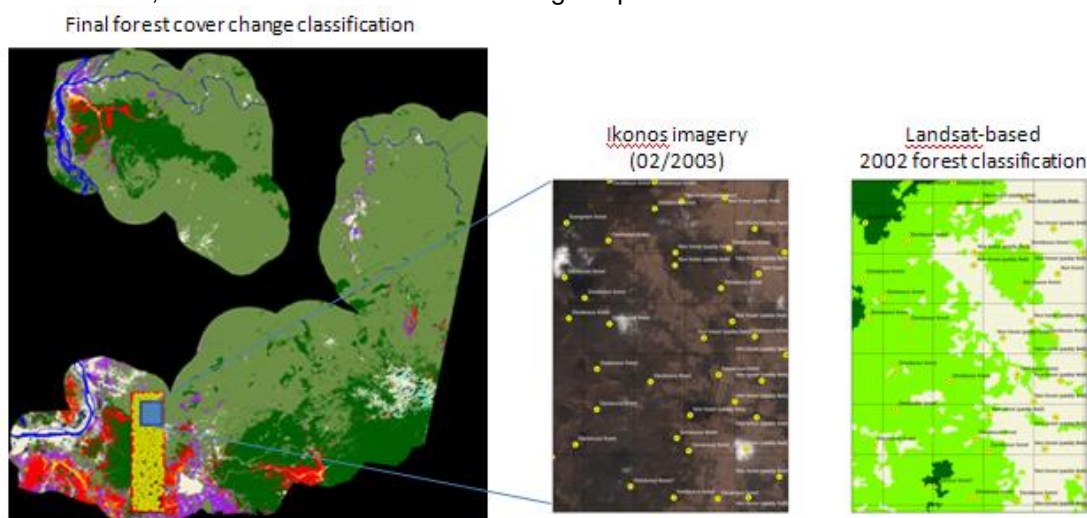


Figure 6. High resolution imagery used for error estimation.



An error matrix (Table 8) was generated by comparing the actual ground condition as determined by the high resolution imagery with the LANDSAT classification. This matrix was then used to calculate the producer's and user's class accuracies, omission and commission errors, the overall accuracy, po and the kappa coefficient, k.

Following the Methodology the land cover map was assessed for accuracy on a class-by- class basis. The Producer's accuracy for the dense, and open forest classes was 91% and 94%, respectively. The producer's accuracy for the non-forest class was 94%. The user's accuracy for the dense, and open forest classes was 93% and 94%, respectively. The producer's accuracy for the non-forest class was 90%. The overall accuracy for the 2002 forest/non-forest classification is po=93% with kappa statistics of k=0.88. The overall misclassification rate was 0.0683 (36/527). The overall omission error was 0.0683. The overall commission error was 0.0341.

**Table 8. Error matrix of classification results.**

	Dense forest	Open forest	Non forest	N classification	Producer accuracy
Dense forest	171	13	0	184	92.9%
Open forest	15	273	3	291	93.8%
Non forest	1	4	47	52	90.4%
N ref	187	290	50		
User accuracy	91.4%	94.1%	94.0%	Total Accuracy	<b>93.2%</b>

N ref: The total number of points falling under a given class on the IKONOS reference imagery classification results.

N classification: The total number of points falling under a given class according to classification results.

The Methodology states that if ground-truthing data are not available for time periods in the past, the accuracy can be assessed only at the most recent date, for which ground-truthing data can be collected. This is interpreted to indicate that a single accuracy assessment can be used if ground truth data is not available for other time periods. Because the 1998, 2002, 2008 and 2010 land cover maps were all created using the same methods the accuracy should remain relatively consistent. The 2000, 2004 and 2006 land cover maps were created using a different method however this method simply up-dated the deforestation extent manually by looking at the 1998, 2002, 2008 and 2010 deforestation results, and therefore these land cover maps are all based on a similar accuracy.

## Annex 4.1 Projection of the Quantity of Future Deforestation in the Reference Region

### Summary

This Annex provides an estimation of the deforestation rates in forests across the Reference Region, an area of analysis that covers the Project Area itself plus a much larger of land across north-eastern Cambodia that is judged to face a comparable mixture of threats. Projection of the quantity of deforestation is only required for Stratum 1, since this is the only stratum that is present in the Project Area and the only stratum where unplanned deforestation occurs. Following criteria in the Methodology the time series modelling approach was selected. A linear regression was found to have very good fit to the data. Using this regression the annual amounts of deforestation are estimated for the Reference Region during 2010-2019.

### Introduction

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015 (hereafter 'the Methodology').

Among other steps, the Methodology requires an estimation of the deforestation rates in forests across the Reference Region, an area of analysis that covers the Project Area itself plus a much larger of land

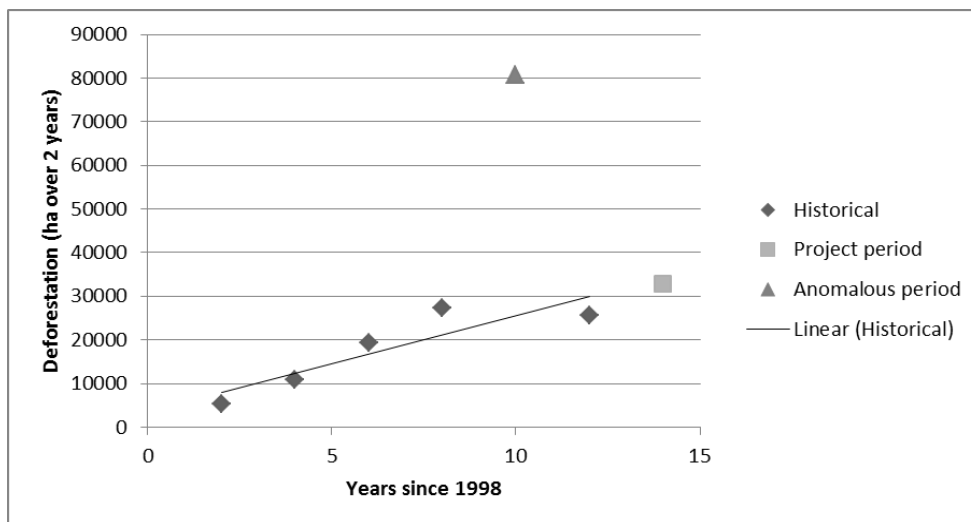
across north-eastern Cambodia that is judged to face a comparable mixture of threats. The Reference Region has been divided into two strata, as explained in the Project Document Section 4.4 and Annex 3.1. Projection of the quantity of deforestation is only required for Stratum 1, since this is the only stratum that is present in the Project Area and the only stratum where unplanned deforestation occurs. This report summarizes the numerical results of that process<sup>31</sup>.

### Selection of the baseline approach

The methodology provides a decision tree to assist in the selection of the most appropriate of the three possible baseline approaches (historical average, time function or socio-economic modelling). The tree draws on the conclusions of the agents and drivers analysis in Step 3 (Section 4.5 of the Project Document).

The key criterion in the decision tree is whether the data reveal a 'clear trend', and if so whether this trend is a decrease, a constant rate or an increasing rate. Statistical datasets always contain a degree of variation that can introduce a degree of subjectivity in applying a criterion such as this, but no further guidance is given on how to judge whether a 'clear trend' is shown.

Inspection of the historical deforestation data for Stratum 1 (Figure 1) gives a strong visual impression of an underlying, linear, increasing trend, with one anomalously high data point for 2008 that appears to suggest an even higher but non-linear trend. The reason for this anomalous spike in deforestation is not known but we suspect it may have represented the start of a transition to a higher rate of clearance (due to improving roads, commodity prices and foreign direct investment) that was perhaps curtailed by the onset of the 2008-2012 global recession, causing a reversion to the underlying linear trend.



**Figure 1 Underlying trend in the historical deforestation data.**

We omit this anomalously high data point from further analysis, which is conservative given the fact that it lies well above the apparent trend of all other points and near the end of the sequence. The remaining dataset still reveals a clear underlying upwards linear trend. This evidently forms a conservative interpretation of the data – the data reveal a 'clear trend' at least as strong as presented, with one additional upward fluctuation.

Data available for the first two-year time step of the project period (2010-2012) also lie very close to the apparent linear trend, adding strong support to the belief that a clear underlying trend exists and has been maintained (Figure 2). Statistical support for the linear trend is good. Considering the five points within the historical period an  $r^2$  value of 0.79 is achieved. Adding the first point from the with-project period gives an  $r^2$  value of 0.86.

<sup>31</sup> We acknowledge the assistance of David Gaveau, Edward Mitchard and Toby Marthews in this analysis.

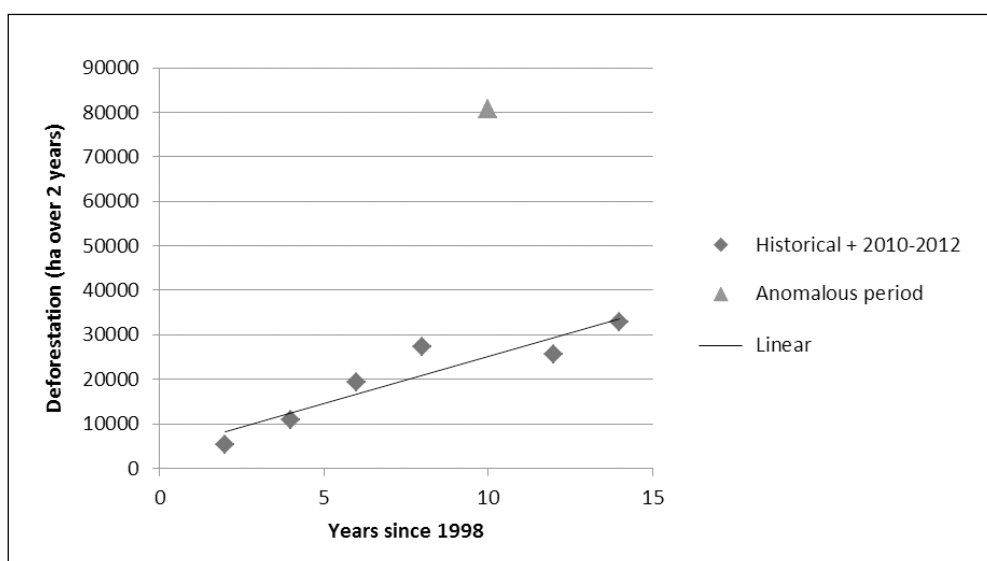


Figure 2 Underlying trend including the first two years of the project period.

This reasoning leads us to Option 2.3 in the decision tree. There are then three sub-options. We consider that the evidence presented for Step 3 of the methodology forms ‘Conclusive evidence explaining the increased trend and making it likely that this trend will continue in the future.’ and so we should use Approach b – a time function. We do not believe a modelling approach will lead to a statistically well-supported higher predicted deforestation trend given the available evidence, and so Approach c is not appropriate.

### Fitting of the preferred model

The conservative linear regression for the five time points within the historical period has the following form:

$$y = 2212.8x + 3516.1 \quad (r^2 = 0.79)$$

Where

$y$  = the predicted deforestation (in ha) in the two year period ending at the end of year (1998+x).

The equation has this form because the input data relate to 2-year periods of assessed deforestation, rather than single years. The methodology requires an equation that predicts deforestation on an annual basis and expressed in terms of the time since the start of the first fixed baseline period. This is done here with a pair of equations as follows:

$$\text{If } t = \text{an even number then} \quad ABSLRR1,t = 0.5 (2212.8[t+12] + 3516.1)$$

$$\text{If } t = \text{an odd number then} \quad ABSLRR1,t = 0.5 (2212.8[t+13] + 3516.1)$$

$ABSLRR1,t$  = Annual area of baseline deforestation in stratum 1 within the Reference Region as defined by the methodology (p44); ha yr<sup>-1</sup>

$t$  = a year of the proposed project crediting period; dimensionless

This approach effectively divides the deforestation for the 2-year period equally between the two years. Figure 3 shows the predicted deforestation in each year and in each two year period according to this model. As can be seen, within each pair of years half of the two-year deforestation is assigned to each.

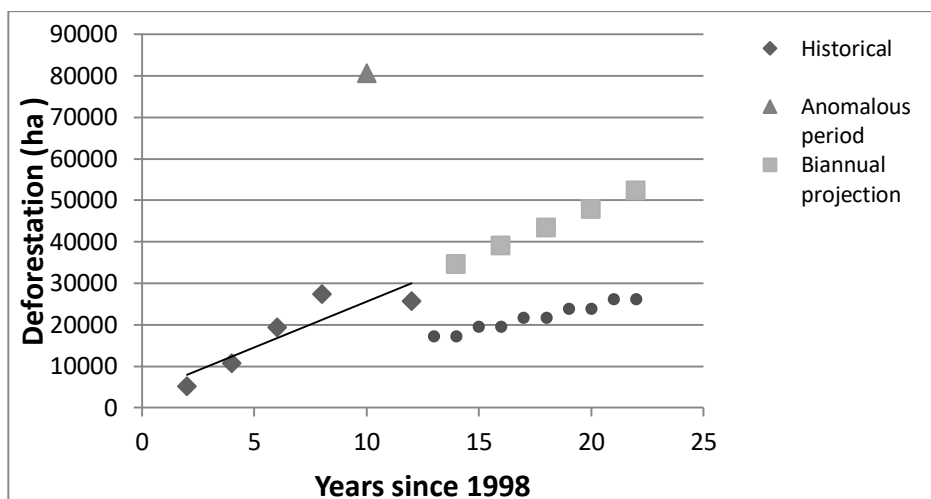


Figure 3 Predicted deforestation in the Reference Region.

### Allowing for constraints to deforestation

The methodology does not allow models such as this to project an indefinite increase in deforestation. When ABSLRR1,t increases as a function of time (as in this case) it is necessary to define the area of optimal, average and sub-optimal forest land in the Reference Region and apply different models as each of these areas is 'used up' in turn. In this case, optimality for conversion was estimated on the basis of two commonly used indicators of agronomic suitability - soil fertility and slope. The same datasets were used for these metrics as in the mapping exercise as for the modelling of risk of deforestation.

- The optimal class was defined as high fertility soil on less than 8.5 degrees slope.
- The average class was defined as medium fertility soils on less than 8.5 degrees slope.
- The sub-optimal class was defined as all lands on low fertility soils OR on medium/high fertility soils but on slopes greater than 8.5 degrees.

The extent of each class was calculated for Stratum 1 separately for the period 2010-2012 and 2012 onwards, since the extent of the stratum changed at the beginning of 2012. The areas in each suitability class are shown in Table 1 below.

Table 1 Extent of forest land in each broad land suitability class.

Land suitability	Stratum 1					
	2010–2012			2012–Onward		
	Dense	Open	Total	Dense	Open	Total
Sub-optimal	121,067	197,760	318,827	109,876	194,199	304,076
Average class	39,908	37,808	77,716	23,849	36,362	60,212
Optimal class	69,775	108,640	178,416	69,753	107,332	177,085
<b>Total</b>	<b>230,751</b>	<b>344,208</b>	<b>574,959</b>	<b>203,479</b>	<b>337,894</b>	<b>541,372</b>

In Table 2 the predicted cumulative deforestation is compared to the available area of the optimal class. In year 9 the total predicted deforestation exceeds the area of optimal land for the first time – this year is referred to as t-optimal. After t-optimal, the rate of deforestation is constrained to equal that reached in year t-optimal. Since the predicted deforestation for year 10 is already equal to that for year 9, this causes no change within the first fixed baseline period. The projected values are shown in Figure 3.

This rate then applies until an area equivalent to the area of the average stratum has also been deforested. This second threshold is not predicted to be reached before the end of the first fixed baseline period.

**Table 2 Application of the cap on deforestation related to the availability of optimal land.**

Annual projections and inclusion of caps										
Years from 1998	Year of project period (t)	Parity	Predicted annual defor (uncapped)	Cumulative predicted defor	Applicable optimal land	t al achieved	Capped annual defor predicted after t optim	Capped estimates of predicted defor	Capped estimates of cumulative defor	Capped estimates of biannual defor
			ha	ha	ha		ha	ha	ha	ha
13	1	Odd	17,248	17,248	178,416			17,248	17,248	
14	2	Even	17,248	34,495	178,416			17,248	34,495	34,495
15	3	Odd	19,460	53,956	177,085			19,460	53,956	
16	4	Even	19,460	73,416	177,085			19,460	73,416	38,921
17	5	Odd	21,673	95,089	177,085			21,673	95,089	
18	6	Even	21,673	116,763	177,085			21,673	116,763	43,347
19	7	Odd	23,886	140,649	177,085			23,886	140,649	
20	8	Even	23,886	164,535	177,085			23,886	164,535	47,772
21	9	Odd	26,099	190,634	177,085	t optim	26,099	26,099	190,634	
22	10	Even	26,099	216,733	177,085		26,099	26,099	216,733	52,198



### Projection of the annual areas of baseline deforestation in the Project Area and Leakage Belt

This step draws on the location analysis completed for the PD. The rates calculated above are used as inputs at each time step for that model, and the output maps are then analyzed to determine the amount of deforestation predicted to occur in each landscape unit. The results are summarized in Tables 2a–c, which correspond to Tables 9a–c as required by the methodology.

**Table 2a Annual area of baseline deforestation in the Reference Region in Stratum 1.**

Project year [t]	Projected deforestation in stratum 1 of the reference region [ABSLRR <sub>1,t</sub> ] ha [= total ABSLRR <sub>i</sub> ]	Cumulative total [ABSLRR] ha
1	17,165	17,165
2	17,179	34,344
3	19,405	53,749
4	19,433	73,182
5	21,641	94,823
6	21,647	116,470
7	23,853	140,323
8	23,848	164,171
9	26,069	190,240
10	26,059	216,299

**Table 2b Annual area of baseline deforestation in the Project Area in Stratum 1.**

Project year [t]	Projected deforestation in the project area [ABSLPA <sub>1,t</sub> ] ha [= total ABSLPA <sub>i</sub> ]	Cumulative total [ABSLPA] ha
1	0	0
2	130	130
3	663	793
4	6,975	7,768
5	4,959	12,727
6	3,606	16,333
7	3,601	19,934
8	2,869	22,803
9	2,663	25,466
10	2,838	28,304

**Table 2c Annual area of baseline deforestation in the Leakage Belt in Stratum 1.**

Project year [t]	Projected deforestation in the leakage belt [ABSLLK <sub>1,t</sub> ] ha	Cumulative total [ABSLLK] ha
1	936	936
2	456	1,392
3	1,516	2,908
4	3,127	6,035
5	2,281	8,316
6	4,176	12,492
7	2,404	14,896
8	2,120	17,016
9	1,912	18,928
10	2,640	21,569

## **Annex 4.2. Modelling the Spatial Distribution of Deforestation in the Reference Region**

This annex describes the development of a model for the location of deforestation in the Reference Region. We parameterized a spatially-explicit logistic regression model of deforestation risk using the observed spatial distribution of deforestation during 2002-2008. We tested for the influence of 14 explanatory driver variables. We used an information theoretic selection process to select the best four models from 16 candidates and then chose the one which performed best against an independent subset of the 2002-2008 dataset. The chosen model, which included six predictive variables, had a Figure of Merit score of 50.03%. This is well above the required threshold value.

The Wald test statistics, which indicate the relative weights of the explanatory variables in the model, showed that distance to previously deforested areas >10 ha in extent was the most important explanatory variable, followed by travel time to the nearest market town and forest type (dense vs open). Protection status, distance to the Mekong river and elevation were also important.

Updated spatial datasets for these explanatory variables and for the stratum boundaries were combined with estimates of the total quantities of deforestation from Annex 4.1 to enable projected deforestation maps to be produced for each year of the first fixed baseline period.

### **Introduction**

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015 (hereafter 'the methodology').

Among other steps, the Methodology requires a model to be developed of the expected location of deforestation across the Reference Region, an area of analysis that covers the Project Area itself plus a larger area of land across NE Cambodia that faces a comparable mixture of threats. The aim of this step is to match the location of projected deforestation with carbon stocks. This report summarizes the numerical results of that process, including a confirmation of the performance of the model against observed data<sup>32</sup>.

### **Projection of the location of future deforestation (Methodology Step 4.2)**

#### *Preparation of factor maps (Step 4.2.1)*

Spatial data on variables that may explain the distribution of deforestation caused by each group of agents are referred to in the methodology as 'factor maps'. A qualitative analysis of drivers of deforestation in the Reference Region (presented in the PD, Section 4.5) identified agricultural smallholders as the main agents of unplanned deforestation across the majority of the region (Stratum 1), with planned deforestation being confined to clearly defined concession areas (which are placed in Stratum 2). We modelled the spatial distribution of unplanned deforestation in Stratum 1 following standard Generalized Linear Modelling techniques (GLM, Grafen & Hails 2002), using data from the Reference Region during the historical reference period.

The historical reference period runs from 1998 to the end of 2009. The boundaries of the two strata changed during this period, as did the spatial distribution of some of the key drivers (e.g. trunk roads, protected areas). This variation over time complicates analysis and risks obscuring the effects of the drivers of deforestation at any point in time. Therefore we selected a subset of the reference period from 2002-end of 2008 for the modelling of risk. These dates are appropriate because it was a period during which a large proportion (75.4%) of the total deforestation occurred but the boundaries of the two strata and the spatial pattern of many of the key drivers (in particular, the boundaries of the SBCA, which is the key management unit in the projected baseline scenario) remained broadly constant.

<sup>32</sup> We acknowledge the assistance of Toby R. Marthews and David L. A. Gaveau in the preparation of this annex.

In general, smallholder farmers act to maximize profits by allocating any parcel of land to the use that earns the highest rent (Angelsen 1999; Mertens and Lambin 2000), which includes a calculation of relevant costs vs. benefits of forest conversion as perceived by the smallholder. Management category of the land (e.g. Protected Area, Logging Concession), agronomic potential (which varies with soil fertility etc.) and geographic accessibility determine to a large extent the spatial distribution of relative land value and therefore relative probability of deforestation. Based on the literature on deforestation in the tropics, the main variables that capture geographic accessibility include topography (slope and elevation), distance to previously deforested areas, distance to roads, distance to main markets and distance to navigable rivers (Kaimowitz and Angelsen 1998, Vuohelainen *et al.* 2012). Slope and elevation have an effect on both agronomic potential and accessibility.

As shown in Table 1, we compiled existing data on these potential explanatory factors or derived the relevant variables ourselves from existing data products. For example, distances to various types of road, to the Mekong River, and to previously deforested areas were derived as straight-line distance using the Euclidean Distance generator in ArcGIS 10.0. Distance to markets was derived using a more complex method based on travel times to account for the difficulty, or friction, of travelling along roads of different quality using the Path Distance generator in ArcGIS 10.0. Friction surface maps were created by assigning all-weather hard surface roads, all-weather loose surface roads, and other non-all weather roads (including cart tracks) a traveling speed of 30 km/h, 10 km/h and 3 km/h, respectively. Slope dependent off-road walking speeds calculated for a complex agricultural landscape at the forest margin in the Philippines (Verburg *et al.* 2004) were also used to generate a friction map. Off-road speeds were assumed to be the same in forest as in agricultural landscapes.

In some cases data from national sources were modified on the basis of more precise or up to date information collected within the Reference Region. To increase the probability of finding the most powerful explanatory variables, some of the variables were presented in more than one way (e.g. distance to recent deforestation was expressed both as distance patches of any size and as distance only to the larger patches). Where the spatial distribution of a variable changed during the course of the period 2002-2008 we used the distribution as of 2005, as this is mid-way through the period and is likely to be the distribution that was most closely related to deforestation during the majority of the period.

**Table 1: Variables used in the full (unreduced) models (i.e. all proposed predictor variables), as required by VCS (2011:§4.2.2). Values of each of these at the central points of the 38,540 tiles covering Stratum 1 of the Reference Region were the values used in the GLM analysis.**

Model (predictor) variable		Units	Source*	Notes
t2p	Travel time to Phnom Penh (used as a surrogate for distance to international markets)	h	Road maps, terrain maps	Path distance generator in spatial analyst ArcGIS 10.0 using a Friction map derived from SRTM DEM and travel speeds from Verburg <i>et al.</i> (2004).
t2t	Travel time to the nearest market town (distance to local markets)	h	Road maps, terrain maps	Path distance generator in spatial analyst ArcGIS 10.0 using a Friction map derived from SRTM DEM and travel speeds from Verburg <i>et al.</i> (2004).
d2mekong	Distance from the Mekong River	km		Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2deall	Distance from post-1998 deforestation	km	Analysis of historical land use and land-use change reported in PD Section 4.5	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2degt10	Distance from post-1998 deforestation patches >10 ha in extent	km	Analysis of historical land use and land-use change reported in PD Section 4.5	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0

Model (predictor) variable		Units	Source*	Notes
soilf	Soil fertility (low, medium or high)	-	SCW (2006) based on Crocker (1963)	Soil fertility (in three broad classes) from a standard national dataset georectified to the Project Area.
lmc05	Land management category in 2005: Biodiversity Conservation Area (Seima), Wildlife Sanctuary (Snuol) or Logging Concession (Casotim, Kingwood or Samling West)	-	GIS layer of protected areas and logging concessions	Boundaries of conservation areas of different status and of logging concessions as of year 2005.
d2awhro05	Distance from all-weather, hard-surfaced roads in 2005	km	Road maps	
d2awlro05	Distance from all-weather, loose-surfaced roads in 2005	km	Road maps	
d2fwro05	Distance from fair-weather roads in 2005	km	Road maps	
d2tracks	Distance from cart-tracks in 2002	km	Road maps	No later data are available
natveg	Natural vegetation cover (dense or open forest)	-	Analysis of historical land use and land-use change reported in PD Section 4.5	
elev	Elevation above sea level	m asl	NASA SRTM Digital Elevation Model (DEM)	
slope	Slope of terrain	%	NASA SRTM Digital Elevation Model (DEM)	

\*All road maps are a combination of the standard national data layers from the Japan International Cooperation Agency (JICA) and Ministry of Public Works updated with WCS field survey data.  
A more detailed description of these variables is presented in Appendix 1 (to comply with the data requirements of Table 10 of the methodology).

#### *Preparation of deforestation risk maps (Step 4.2.2)*

The methodology allows the explanatory variables to be related to deforestation risk using either an empirical (preferred) or a heuristic approach. We used the empirical approach. We used a logistic regression approach (i.e. Generalized Linear Model (GLM) analysis using binomial or quasibinomial errors). This is a widely-used method for depicting probability of change in a landscape based on a set of explanatory spatial variables (e.g. Mertens & Lambin 2000, Soares-Filho *et al.* 2001, Wilson *et al.* 2005, Gaveau *et al.* 2009; for theory see Grafen & Hails 2002, Gelman & Hill 2007, Crawley 2007, Burnham & Anderson 2010). We parameterized a spatially-explicit model of unplanned deforestation that occurred in Stratum 1 during 2002-2008 in terms of the explanatory variables listed Table 1. The dependent variable was the occurrence or not of deforestation in each pixel, which was determined from the Landsat-derived historical land-use/land-use change analysis described in Section 4.5. Please see flow-chart on following page for an illustration of the main steps.

#### *Tiling for calibration and confirmation*

In order to confine analysis to the period when the stratum boundaries and key drivers were broadly constant (see above) we both calibrated and confirmed the deforestation model for the 2002-2008 period by tiling the analysis area following the approach of Castillo-Santiago *et al.* (2007), as permitted by the methodology. We divided the Reference Region into 38,540 500 m x 500 m tiles (Figure 1) and randomly selected half of these (19,102 tiles) to parameterize the model (calibration) and the other half (19,438 tiles) for model confirmation. These are not split exactly 50-50 because they are randomly chosen without replacement.

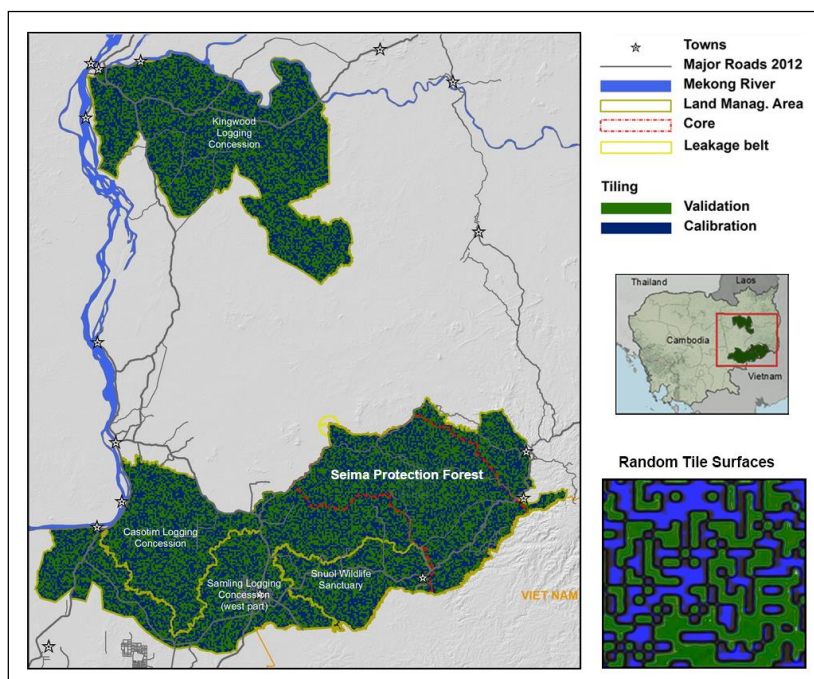


Figure 1 Tiling of the dataset before analysis.

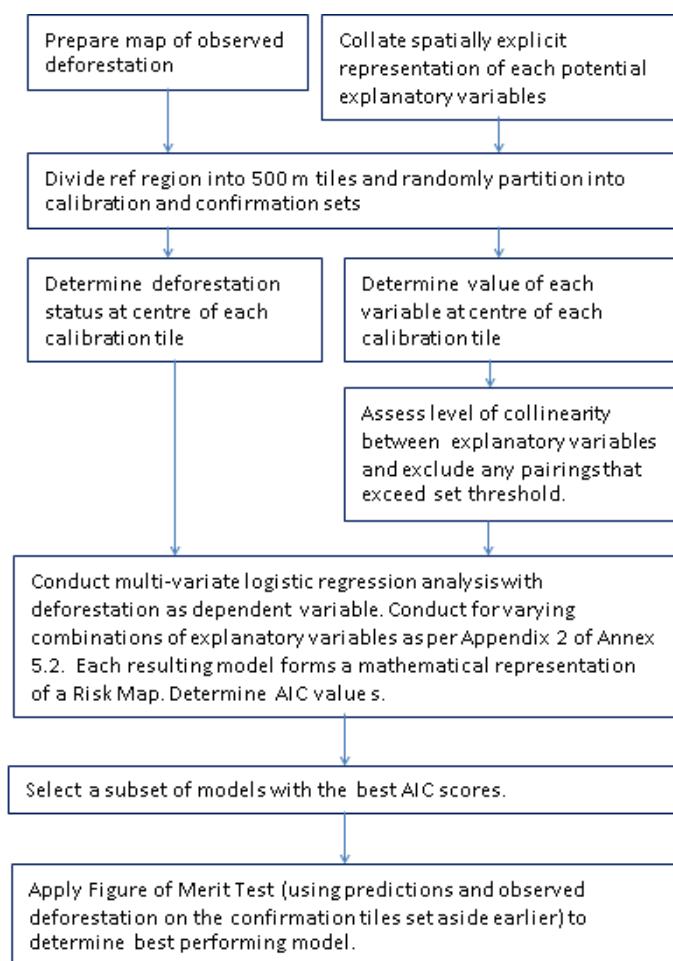


Figure 2. Steps to produce regression model.



### *Logistic regression modelling to parameterize the model*

The value of the central point of each tile on each GIS data layer was extracted and used in the GLM analysis so each data point was separated by >500 m distance on the ground (a sufficient distance to ensure that spatial autocorrelation effects will be minimal). Before the GLM analysis, we excluded the 6.3% of calibration points that were clear of forest cover in 2002 (natveg=NF, Table 1), i.e. we removed pixels that were not 'candidates for change', as advised by Pontius *et al.* (2008).

We measured or calculated the value of each variable at each sample point and then analyzed this dataset using R statistical software (R Development Core Team 2012). The presence of cross-correlations (multi-collinearity) among the variables was tested before including them as inputs in the logistic regression model (multi-collinearity may bias GLM parameter estimates, Aguilera *et al.* 2006), following advice in Burnham & Anderson (2010) about choosing reasonable candidate models. Only two pairs of variables showed a degree of correlation close to the maximum acceptable level of  $r^2=0.56$  ( $r=0.75$ , Green 1979) - d2deall & d2degt10 with  $r^2=0.51$  and t2t & t2p with  $r^2=0.56$  - so we did not include both variables in any one candidate model fit (Burnham & Anderson 2010). Along with considering the road categories separately, we considered in total 16 candidate GLMs (specified in detail in Appendix 2).

We compared all candidate models to identify the ones that best explained the spatial distribution of deforestation and to rank them in order of importance. We used an information theoretic selection process based on the Akaike Information Criterion (AIC, see e.g. Gelman & Hill 2007, Burnham & Anderson 2010) to determine the most parsimonious model of a suite of candidate models (i.e. the most plausible model that has the smallest number of explanatory locational driver variables).

### *Selection of the most accurate deforestation risk map (Step 4.2.3)*

#### Approach

We follow the most standard method of model selection for each candidate GLM, beginning with the 'full model' containing all possible predictor variables and removing predictors one-by-one (a 'backward-deletion' method). Because we are predicting deforestation probabilities (binary data), the errors are binomial and we must use a logit link function, as is standard in logistic regression (Gelman & Hill 2007). As was clear from a preliminary analysis, these data are over dispersed (this is usual with binomial data over a spatial domain, e.g. Vuohelainen *et al.* 2012) and therefore we follow standard practice for over dispersed binomial regressions and apply the in-built quasibinomial function in R (Gelman & Hill 2007). Information theoretic AICs are not returned from quasibinomial model fits, therefore we followed the backwards-deletion method with quasibinomial errors and then recalculate the final GLM fit for the minimal version of each candidate GLM with binomial errors to generate the AIC of the fit (see e.g. Vuohelainen *et al.* 2012).

The best fit to the deforestation map was found by first selecting the candidate models for which the AIC was in the lowest 50% (from the range of AIC across all candidate models) and then testing their performance against the confirmation dataset as described below to ensure independence between the calibration and confirmation datasets. The model with the highest Figure of Merit (FOM) score was chosen.

To generate model predictions, the cartographic layers of each statistically significant explanatory driver variable  $X_i(x,y)$  were weighted by their respective model's coefficient,  $\beta_i$  (Table 2) then summed along with the model's constant coefficient term  $\beta_0$ , finally producing a relative probability map of deforestation  $P(x,y)$  over the surface of stratum 1 using:

$$P(x, y) = \frac{e^{\beta_0 + \sum_{i=1}^n \beta_i X_i(x, y)}}{1 + e^{\beta_0 + \sum_{i=1}^n \beta_i X_i(x, y)}}$$

This calculation allows pixels to be ranked in terms of their relative probability of unplanned deforestation. A threshold probability is then calculated such that the deforestation of all pixels above this threshold will result in the same total amount of deforestation as was observed during the period in question.

To give a numerical example based on the model coefficients in Table 3, if a pixel is situated 10 hours' travel from the nearest local town in an area of dense forest in Snoul Wildlife Sanctuary, 5 km from the nearest patch of previous deforestation larger than 10 ha, 68 km from the Mekong River at 30 m asl, then calculate  $\eta = (-0.3191870 \times 10 + 1.1352346 - 0.2290799 \times 5 + 0.0263701 \times 68 - 0.0112606 \times 30 + 1.1170759 - 1.3952941) = -2.024904$  and then, because this is a logistic regression, invert the link function to get (probability of deforestation) =  $100 \times \exp(\eta) / (1 + \exp(\eta)) = 11.7\%$ . This is lower than the threshold 44.35% for this model (Table 1) so we conclude that this pixel would not be deforested during the year in question.

Most explanatory driver variables used in the simulation (e.g. elevation, forest type) were static during the period of analysis and therefore calculated only once before the simulation started, using the values as they were in 2005. Travel time to previous deforestation was dynamic and therefore recalculated at the beginning of each time period, based on updated deforestation statistics, taking into account new deforestation predicted in previous years.

The Figure of Merit, FOM is a statistical measure of model performance which is expressed as the ratio of the intersection of the observed 2002-2008 deforestation and simulated 2002-2008 deforestation to the union of the observed and predicted deforestation (Pontius *et al.* 2008). It ranges from 0% for no agreement between simulated parameters and reference data to 100% for perfect agreement. It is calculated as:

$$FOM = \frac{B}{A + B + C}$$

Where:

A is the area of error due to observed deforestation predicted as remaining forest  
B is the area correct due to observed deforestation predicted as deforestation  
C is the area of error due to observed remaining forest predicted as deforestation (Pontius *et al.* 2008).

Values for relevant candidate models have been calculated in Table 2. The minimum threshold for the FOM is defined as the net observed change in the Reference Region for the calibration period of the model (i.e. total area of change being modelled in the Reference Region as a percentage of the total area of the Reference Region). In the case of the current project this threshold is 127,390 ha/937,931 ha = 13.6%.

## Results

Model #16 had the best AIC and FOM score and so was unequivocally the best performing model, although by a relatively narrow margin in both cases (Table 2). The FOM score easily exceeds the threshold calculated in the previous section. The accuracy of our model is good compared to most other studies that have employed deforestation models in a similar fashion. For example, Pontius *et al.* (2008) performed a survey of 13 different land change models and showed that the Figure of Merit was <45% for 10 out of 13 models. This is true despite the high spatial resolution of our model (30 m x 30 m) relative to the level of resolution actually required for accurate calculation of greenhouse gas emissions (i.e. assigning deforestation to the correct carbon density stratum).

The coefficients of model #16 are shown in Table 3. All models are for predicting the probability of deforestation during 2002-08. For the FOM (Figure of Merit) higher means a better fit (Pontius *et al.* 2008), but for AIC lower means a better fit (Grafen & Hails 2002). For reasons of space, of the 16 candidate models tested, only the four best in terms of Figure of Merit are shown.

Table 2: The top four candidate logistic regression models.

#	Model Full model terms:	Minimal model terms:	No. of terms	XD * (%)	AIC	Figure of Merit calculation			
						A (km <sup>2</sup> )	B (km <sup>2</sup> )	C (km <sup>2</sup> )	F (%)
9	d2mekong, elev, slope, d2awhro05, d2tracks, t2p, d2degt10, soilf, lmc05, natveg	elev, slope, d2awhro05, t2p, d2degt10, lmc05, natveg	7	43.94	7837.2	213.75	420.25	215.25	49.48
10	d2mekong, elev, slope, d2awhro05, d2tracks, t2p, d2degt10, soilf, lmc05, natveg	d2mekong, elev, slope, t2p, d2degt10, lmc05, natveg	7	43.85	7844.2	216.75	417.25	218.25	48.96
11	d2mekong, elev, slope, d2fwro05, d2tracks, t2p, d2degt10, soilf, lmc05, natveg	elev, slope, t2p, d2degt10, lmc05, natveg	6	44.06	7870.8	219.75	414.25	221.00	48.45
16	d2mekong, elev, slope, d2awhro05, d2tracks, t2t, d2degt10, soilf, lmc05, natveg	d2mekong, elev, t2t, d2degt10, lmc05, natveg	6	44.35	7981.0	210.75	423.25	212.50	50.03

\* XD is the threshold probability of deforestation required for each model to predict the correct deforestation area for 2002-08 (see text).

The Wald test statistics (Table 3), which indicate the relative weights of the explanatory variables in the model, show all the parameters have quite high and relatively similar weights. Distance to previously deforested areas >10 ha in extent was the most important explanatory variable, followed by travel time to local market towns and the additional desirability of dense forest over open forest (Table 3). Dense forest areas located near large previously deforested areas and with easy access to local market towns are therefore the most highly vulnerable to deforestation. Patches of dense forest presumably have a higher probability of deforestation in comparison to other natural land cover types perhaps because this cover type is perceived to lie on better soils for agriculture.

Probability of deforestation increased with distance from the Mekong River. Elevation has a minor effect on deforestation risk, with highland areas being slightly less vulnerable to deforestation. The management activities in Snoul Wildlife Sanctuary and Seima Biodiversity Conservation Area reduce deforestation probabilities in these reserves, notably rather more strongly in Seima, but do not prevent deforestation entirely. This clearly demonstrates the measurable positive impact that conservation measures can have on deforestation threat in a Cambodian context, as well as the scope for additionality by further enhancing the effectiveness of conservation in the Seima Project Area.

Surprisingly, proximity to roads of any category did not reduce deforestation risk according to this model, but this should be interpreted carefully: travel time to the nearest local town was a very significant predictor and this variable is calculated taking account of the road network (i.e. the model indicates that roads have no significant effect on deforestation probability beyond causing a reduction in travel times).

The null deviance was 14251.0 on 17058 degrees of freedom and the residual deviance was 7965.0 on 17051 degrees of freedom. Note that all these predictors were highly significant (p-values very close to zero) and may be used to calculate deforestation risk \*. Predictors are presented in order of their z values (ignoring sign), which are Wald test scores showing the degree of association between the predictor and deforestation probability (= square roots of  $\chi^2$  statistics).

**Table 3: Parameter estimates of the best-fit model (Model #16, Table 2).**

Model variables	Variable coefficients ( $\beta$ )	Standard error	z value	Significance (p-value)
Distance to all patches of previous deforestation >10 ha (km) (d2degt10)	-0.2290799	0.0101975	-22.46	<0.0001
Travel time to the nearest local town (h) (t2t)	-0.3191870	0.0159888	-19.96	<0.0001
Natural vegetation is Dense Evergreen Forest vs. Deciduous Forest, Open forest (natveg)	1.1352346	0.0713631	15.91	<0.0001
Distance to Mekong River (km) (d2mekong)	0.0263701	0.0020293	12.99	<0.0001
Elevation above sea level (m asl) (elev)	-0.0112606	0.0009134	-12.33	<0.0001
Intercept (= constant value $\beta_0$ )	1.1170759	0.0909723	12.28	<0.0001
Snuol Wildlife Sanctuary vs Logging Concession (lmc05)	-1.3952941	0.1321333	-10.56	<0.0001
Seima Biodiversity Conservation Area vs Logging Concession (lmc05)	-2.6993849	0.1640929	-10.56	<0.0001

#### *Mapping the location of deforestation (Step 4.2.4)*

Having selected the best model it is necessary to determine the predicted locations of future deforestation in the baseline scenario for each year of the first fixed baseline period (2010-2019 inclusive). The mathematical process is as described for the confirmation phase above. As in the confirmation phase, in any given year it is necessary to rank the pixels by their calculated relative risk of deforestation and then assign them to a deforested category in strict order of rank, highest first, until the quantity of deforestation determined in Annex 4.1 for that year has been reached.

The stratum boundaries and some of the risk factors in the chosen model are dynamic, that is they vary through the first fixed baseline period. Therefore the following sequence of steps must be followed for the projections:

#### **2010**

- i. Determine spatial distribution of driver variables at start of 2010 and any changes in the stratum boundaries
- ii. Calculate the first annual deforestation risk map for Stratum 1
- iii. Assign the appropriate quantity of deforestation to the highest ranked pixels as described above.
- iv. Output the first annual map of predicted unplanned deforestation (for end of 2010).

#### **2011**

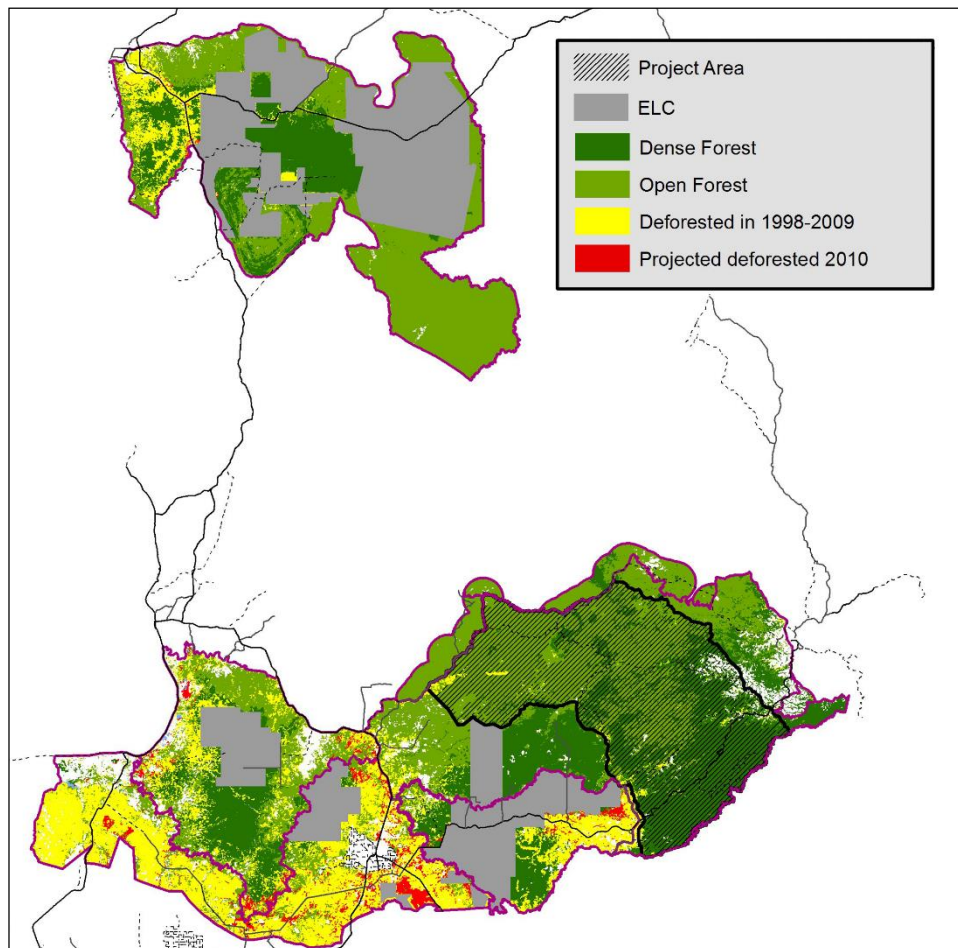
- v. Determine spatial distribution of driver variables at start of 2011 using the new map of deforestation from end of 2010 combined with updated maps of any other dynamic variables such as road layers and any known changes in the stratum boundaries.
- vi. Calculate the second annual unplanned deforestation risk map
- vii. Assign the appropriate quantity of deforestation to the highest ranked pixels as described above.
- viii. Output the second annual map of predicted deforestation (for end of 2011).

#### Subsequent years

This annual cycle is repeated until the end of 2019.

The spatial input data used for the projections and the way they vary over time are described in Appendix 3 below, and will be provided to the auditor upon request.

The resulting shapefiles were used to generate the estimates of deforestation for the Project Area and Leakage Belt in Annex 5.1. Figure 3 shows the predicted deforestation for the first year (2010). Figure 4 shows the expected baseline deforestation for the fixed baseline period, as required by the methodology. Figure 5 shows the Project Area in close-up, with the ten successive years of projected deforestation shown separately. Maps of the projected deforestation for each year across the whole Reference Region are available on request.



**Figure 3 Predicted deforestation for 2010.**



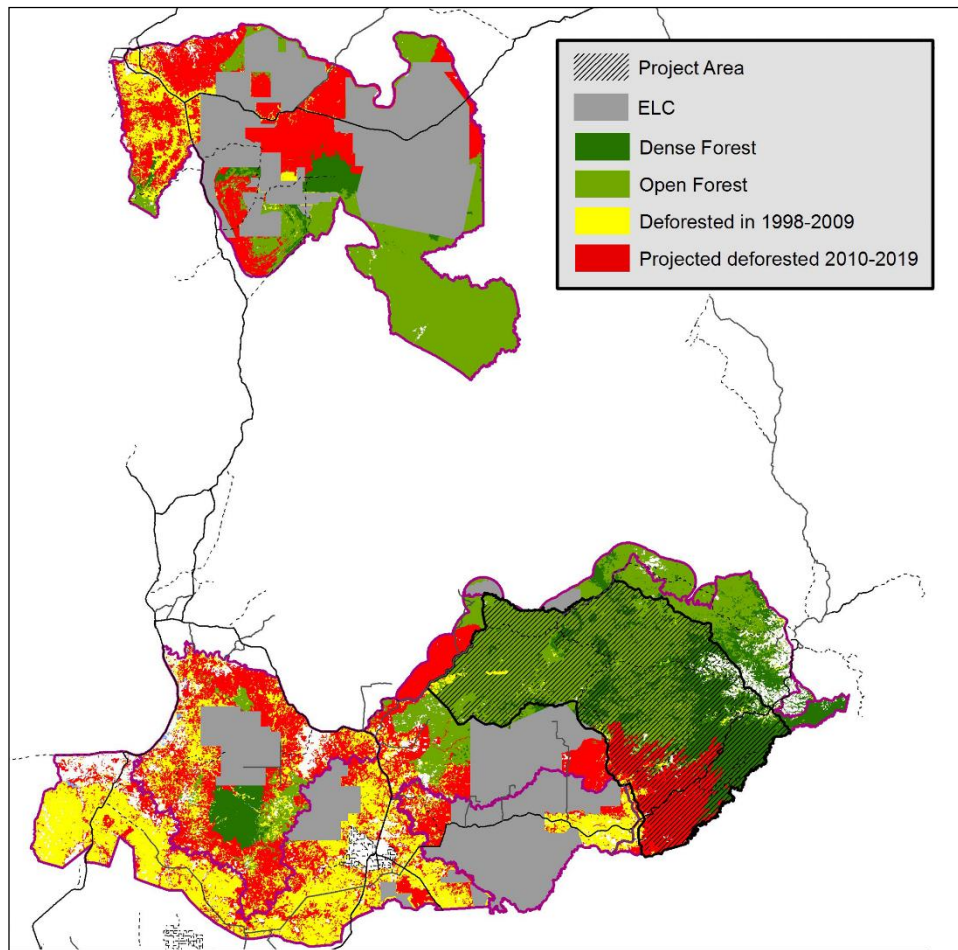


Figure 4 Total projected deforestation 2010-2019.

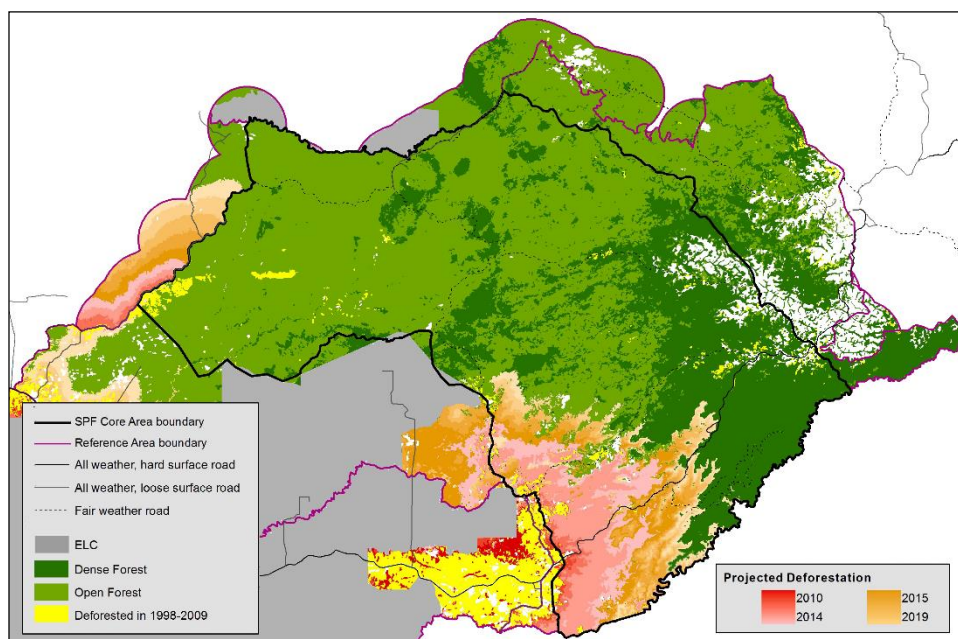


Figure 5 Projected annual deforestation in the Project Area, 2010-2019.

**Annex 4.2: Appendix 1 Detailed list of variables, maps and factor maps (= Table 10 of the methodology)**

ID	File name	Source	Units	Description	Range	Meaning of the categories/pixel values	Other maps and variables used to create the factor maps*	Algorithm or equation used
t2p	SEIMApject.gdb	Derived by authors from other data products	h	Travel time to Phnom Penh	6-74.2 h	See description	WCS/JICA road map 2005 (on road); NASA SRTM Digital Elevation Model (DEM) (off road)	Path distance generator in spatial analyst ArcGIS 10.0 using a friction map based on travel speeds from Verburg <i>et al.</i> (2004).
t2t	SEIMApject.gdb	Derived by authors from other data products	h	Travel time to the nearest market town	0-63.1 h	See description	WCS/JICA road map 2005 (on road); NASA SRTM Digital Elevation Model (DEM) (off road)	Path distance generator in spatial analyst ArcGIS 10.0 using a friction map based on travel speeds from Verburg <i>et al.</i> (2004).
d2mekong	SEIMApject.gdb	Derived by authors from other data products	km	Distance from the Mekong River	0-182.6 km	See description	standard ArcGIS library Basemap files	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2deall	SEIMApject.gdb	Derived by authors from other data products	km	Distance from post-1998 deforestation	0-62.7 km	See description	Analysis of historical land use and land-use change reported in PD Section 4.5	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2degt10	SEIMApject.gdb	Derived by authors from other data products	km	Distance from post-1998 deforestation patches >10 ha in extent	0-69.3 km	See description	Analysis of historical land use and land-use change reported in PD Section 4.5	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
soilf	SEIMApject.gdb	Derived by authors from other data products	-	Soil fertility	L, M or H	Low, medium or high	Derived by grouping classes of the standard national dataset (Crocker 1963) georectified to the Project Area.	Soil fertility classes follow SCW (2006)

ID	File name	Source	Units	Description	Range	Meaning of the categories/pixel values	Other maps and variables used to create the factor maps*	Algorithm or equation used
lmc05	SEIMApject.gdb	Derived by authors from other data products	-	Land management category in 2005	-	Boundaries of conservation areas of different status and of logging concessions as of year 2005.	Compilation of official GIS layers of protected areas and logging concessions obtained from various government departments	Aligned to shared natural features by project team to avoid slight overlaps
d2awhro05	SEIMApject.gdb	Derived by authors from other data products	km	Distance from all-weather, hard-surfaced roads in 2005	0-88.9 km	See description	WCS/JICA road map 2005	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2awlro05	SEIMApject.gdb	Derived by authors from other data products	km	Distance from all-weather, loose-surfaced roads in 2005	0-86.0 km	See description	WCS/JICA road map 2005	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2fwro05	SEIMApject.gdb	Derived by authors from other data products	km	Distance from fair-weather roads in 2005	0-67.9 km	See description	WCS/JICA road map 2005	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
d2tracks	SEIMApject.gdb	Derived by authors from other data products	km	Distance from cart-tracks in 2002	0-62.7 km	See description	WCS/JICA road map 2005. Refers to 2002 in this case as no later data are available	Straight-line distance using the Euclidean Distance generator in spatial analyst of ArcGIS 10.0
natveg	final_classification_utm48n_indian1960_nodata_filtered_13feb2011.img	Analysis of historical land use and land-use change reported in PD Section 4.5	-	Natural vegetation cover	DEF, DFOF or clear in 1998	Dense or open forest	-	-
elev	srtmdem_utm48n_indian1960_2.img	NASA SRTM Digital Elevation Model (DEM)	m asl	Elevation above sea level	0-1081 m	See description	-	-
slope	srtmdem_utm48n_indian1960_2.img	Derived by authors from other data products	%	Slope of terrain	0-100 %	See description	NASA SRTM Digital Elevation Model (DEM)	-

\* 'WCS/JICA road map 2005' is 'Roads\_master\_4Toby.shp' the standard national road dataset from JICA/MoPW (2002) updated with field data from WCS/FA

**Annex 4.2: Appendix 2 Specifications of the 16 model combinations**

Model #	Road variables	Travel time variable	Deform variable	Other variables (same for all models)
1	d2awhro05+d2tracks	t2p	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
2	d2awlro05+d2tracks	t2p	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
3	d2fwro05+d2tracks	t2p	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
4	d2awhro05+d2awlro05+d2fwro05+d2tracks	t2p	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
5	d2awhro05+d2tracks	t2t	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
6	d2awlro05+d2tracks	t2t	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
7	d2fwro05+d2tracks	t2t	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
8	d2awhro05+d2awlro05+d2fwro05+d2tracks	t2t	d2deall	d2mekong+elev+slope+soilf+lmc05+natveg
9	d2awhro05+d2tracks	t2p	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
10	d2awlro05+d2tracks	t2p	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
11	d2fwro05+d2tracks	t2p	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
12	d2awhro05+d2awlro05+d2fwro05+d2tracks	t2p	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
13	d2awhro05+d2tracks	t2t	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
14	d2awlro05+d2tracks	t2t	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
15	d2fwro05+d2tracks	t2t	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg
16	d2awhro05+d2awlro05+d2fwro05+d2tracks	t2t	d2degt10	d2mekong+elev+slope+soilf+lmc05+natveg

## Annex 4.2: Appendix 3 Variables and stratum boundaries used for projecting the location of baseline unplanned deforestation 2010-2019

**Table 1. Summary of the dynamic treatment of stratum boundaries during the early years of the first fixed baseline period.**

	2010	2011	2012	2013 onwards
Stratum boundaries	Updated to the observed situation in 2010-2011*	Updated to the observed situation in 2010-2011*	Updated to the observed situation in 2012	As 2012

\*The boundaries of Stratum 2 are defined by the location of active economic land concessions, for which one necessary source of evidence is the analysis of satellite imagery to determine how active they are. Due to the availability of imagery and other constraints no analysis was conducted at the end of 2010 so the same stratum boundaries are applied for both 2010 and 2011. No updates are possible beyond the end of 2012 due to uncertainties about the future locations of concessions. This is conservative as data on additional concessions would be likely to increase the relative risk of deforestation in non-concession areas such as Seima, by reducing the pool of land available for unplanned deforestation.

**Table 2. Summary of the treatment of the risk variables (both dynamic and static) during the early years of the first fixed baseline period. Please see Appendix 1 for further information on these variables.**

ID	Description	Type	2010	2011	2012	2013 onwards
t2t	Travel time to the nearest market town	Dynamic	Updated to observed situation in 2010	Updated to observed situation in 2011	Updated to observed situation in 2012	No further updates. 2012 values apply.
d2degt10	Distance from post-1998 deforestation patches >10 ha in extent	Dynamic	Updated to observed situation at start of 2010	Updated to projected situation at start of 2011	Updated to projected situation at start of 2012	Updated to projected situation at start of each subsequent year
lmc05	Land management category in 2005	Static <sup>^</sup>	Coding unchanged since calibration period. Parameter coefficient adjusted to reflect variation in funding <sup>^</sup>	Coding unchanged since calibration period. Parameter coefficient adjusted to reflect variation in funding <sup>^</sup>	Coding unchanged since calibration period. Parameter coefficient adjusted to reflect variation in funding <sup>^</sup>	No further updates. 2012 values apply.
d2mekong	Distance from the Mekong River	Static	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period
natveg	Natural vegetation cover	Static	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period
elev	Elevation above sea level	Static	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period	Unchanged since calibration period

\* The methodology only allows predictive updates of infrastructure maps based on clearly documented evidence, which is not available in the current case

<sup>^</sup> While the legal designations of all management units remain unchanged from the calibration period, Annex 3.4 demonstrates major observed and predicted declines in funding for key activities in the baseline scenario due to changes in donor policies. These declines would weaken the protective impact of the Seima Biodiversity Conservation Area relative to the historical reference period through a proportional reduction in the staffing and activity budgets for core activities, above all law enforcement patrolling and threat monitoring. These declines have been reflected in the projections by reducing the coefficient of the Seima-specific parameter in the model in proportion to the decline in funding, relative to the 2006-2009 average.



## **Annex 4.3 Estimation of Baseline Carbon Stocks in the Forest Classes Found in SPF**

### **Summary**

This report summarizes the results of a survey of carbon stocks in the forests of the Seima Protection Forest Core Area, the site of a REDD+ project. It forms a methodological annex to the Seima Protection Forest REDD+ Project Document. A systematic random sample of 104 plot clusters was enumerated across the whole Project Area. Carbon pools measured were living and dead trees and lying dead wood, whilst root biomass was estimated using standard conversion factors. Formal quality control measurements showed very low levels of error.

Two forest strata, dense and open, were mapped from satellite analysis. The dense forest stratum comprises evergreen, semi-evergreen and bamboo stands - it has an above and below ground carbon stock of 274.0 tC/ha (+/- 7.9% at the 90% confidence level). The open forest stratum comprises mixed deciduous forest, deciduous dipterocarp forest and open woodland - it has a stock of 156.3 tC/ha (+/- 13.3%). These figures are relatively high compared to IPCC defaults values but consistent with previous studies in the landscape and published predictive regional maps. Hence this part of eastern Cambodia is confirmed to support forest with high carbon stocks by regional standards, despite some past selective logging.

### **Introduction**

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015 (hereafter 'the methodology').

Among other steps, the Methodology requires an estimation of the carbon stocks in forests in the Project Area. This report summarizes the numerical results of the estimation of forest carbon stocks in the SPF Project Area<sup>33</sup>.

### **Study area and methods**

#### *Study area*

The study area was the Core Area of the Seima Protection Forest (SPF), which lies mainly in Monduliri Province, eastern Cambodia. The altitudinal range is about 100-750 m, with 93% of the area lying below 500 m. The climate is tropical monsoonal. At the SPF headquarters (106° 55' E 12° 06' N, 160 m above sea level) recorded rainfall is 2200-2800 mm/year with up to 5 dry<sup>34</sup> months per year from December to April (WCS/FA and Nomad RSI unpublished data). Total rainfall is believed to be lower, with a somewhat more intense dry season of similar duration, in the low-lying north and west of the Core Area, and higher (>3000 mm/year), with a shorter but still strongly marked dry season at higher altitudes in the south-east of the Core Area. Hence the whole landscape lies in the 'Moist' climate category as defined by Chavé *et al.* (2005) and the Moist Tropical biome of IPCC (2006; Table 4.1).

The forests of SPF mostly fall within four of the broad classes used by the 2006 National Forest Cover Assessment (FA 2007), namely Deciduous, Semi-evergreen, Evergreen and Bamboo Forests. Appendix 1 provides a summary of the main forest types recognized by FA (2007) as they relate to SPF. However, defining forest 'types' requires caution in Cambodia, as in many other places, since there is often a continuum without sharp boundaries, and many intermediates can be found across the landscape. The various complex typologies proposed for Cambodian forests are discussed by many authors (e.g. Rundel 1999, Tani *et al.* 2007). In SPF studies have found a spectrum of forest types from fully deciduous to almost fully evergreen (e.g. Walston *et al.* 2001, Zimmermann and Clements 2003,

<sup>33</sup> We acknowledge the assistance of Sarah Walker, Erin Swails, Scott Stanley and Jeff Chatellier in the development of this Annex

<sup>34</sup> Defined as a month with <100 mm precipitation

Tani *et al.* 2007), forming a complex mosaic believed to reflect climate, altitude, edaphic factors and varying history of human disturbance.

Alternative typologies can be imposed on this variation, with different systems and different degrees of complexity appropriate for different purposes. In this study we identify a simple set of classes that can be objectively mapped by remote sensing across the whole landscape and correlate with varying carbon stocks to an adequate degree. It has been found that two broad forest classes are sufficient to represent the variation in carbon stocks with sufficient precision.

### *Methodology*

The surveys described here were consistent with the requirements of the methodology, although at the time of the first part of the survey they were conducted based on a draft version of the Avoided Deforestation Partners Modular REDD+ Methodology, which is very similar in these aspects.

The requirements are described in Part 2 Section 6.1.1 of the methodology and are not repeated in full here. In essence the approach requires the project developer to define the forest classes occurring in the Project Area and Leakage Belt, collect existing carbon-stock data from the literature or existing unpublished studies and then to conduct additional field measurements where necessary.

### *Methods*

#### *Assessment of existing data and literature estimates*

No existing data were found that met the criteria set out by the methodology (Section 6.1.1a). A number of small high quality datasets existed (e.g. McKenney *et al.* 2004, Tani *et al.* 2007, both of which overlap the Project Area) but these did not have adequate spatial coverage or sample sizes to be applicable in estimating landscape-wide averages. Raw inventory data were available from the period when the site was an active logging concession (approx. 1996-2000) but the strategic-level inventory data had already been found to be of insufficient quality for forest management planning in a formal review (Y. Petrucci *in litt.* to B. McKenney 2004) and our own analysis of the harvest planning inventory dataset *al.so* revealed methodological problems (for example declining tree density with distance from transect lines in the '100%' inventory blocks, suggesting that many trees had been missed). Therefore the concession data were not used. A few other studies exist from comparable forest types elsewhere in North-east Cambodia (e.g. Rollet 1962), but none could be shown to be representative of the conditions in SPF. Therefore it was decided to obtain all the necessary data from field measurements.

#### *Identification of forest boundaries, selection of forest types and carbon pools for measurement*

The chosen forest definition is discussed in detail in the Project Document. It was used in the analysis of historical deforestation in the Reference Region, which culminated in the Forest Cover Benchmark map for the Project Area at the project start date. The benchmark map classifies the forest area into two strata, dense and open, which are readily distinguishable by their spectral signatures and correlate well with other national forest classifications and field observations. The survey data presented below were analyzed with respect to those two forest strata.

Selection of carbon pools followed guidance in the methodology, and was informed by the results of the pilot survey described below. The choices are discussed in detail in the project document. The following carbon pools were measured in the forest plots:

- Above ground living trees  $\geq 5$  cm dbh
- Standing dead wood  $\geq 5$  cm dbh and lying dead wood  $\geq 5$  cm diameter.

Below ground living biomass was included in the analysis based on conservative literature values alone, with no additional field data collection.

Data were also collected on the main elements of the non-tree living biomass pool - saplings and bamboo. However, this pool is now considered negligible and the data are not presented here. Litter was considered negligible from the outset and not measured. Soil carbon was conservatively not

measured as VCS guidance suggested it was unlikely to change significantly in significant parts of the expected post-deforestation class. The rate of degradation from logging has been shown to be negligible in the Project Area from a carbon accounting perspective (Annex 3.3). Therefore the Long-lived Wood Products pool can also be treated as negligible.

### Field measurements

The required steps are detailed in Appendix 3 of the methodology.

Staff training took place mainly in March-April 2009 and included the customization of generic SOPs for local conditions, the development of Khmer language SOPs and the implementation of a pilot survey. Fieldwork took place during two main periods. During Phase 1, March-July 2009 76 clusters of plots were enumerated across both strata. During Phase 2, December 2011-January 2012 a further 28 clusters were enumerated in the dense forest stratum.

### Sampling framework

#### **Determination of sampling frame**

Sampling was conducted across the whole Project Area. The sampling frame was the extent of forest within the Project Area, based on the Forest Benchmark Map for the project start date. A draft forest benchmark map was used for the sampling in 2009, which showed negligible differences from the final version. None of the sampling points changed their classification between the draft and final versions.

The methodology states that it is preferable, but not required, that sampling is in locations expected to be deforested according to baseline projections. Such projections were not in hand at the time of the sampling but a qualitative assessment of the distribution of accessibility, threats and recent past deforestation indicated that no part of the Project Area was wholly free of the risk of deforestation during the life of the project. Hence sampling was applied to all parts of the area and the results can be considered applicable to any area where deforestation is projected under the baseline model.

#### **Collection of preliminary data**

In March 2009 a pilot survey was conducted. A total of 44 plots was surveyed during this pilot phase, including several in clusters. The pilot survey assisted in the selection of carbon pools, allowed an evaluation of different sampling designs (e.g. cluster layout, plot nests and tree size classes), provided data for estimation of required sample sizes and consolidated the skills of the field measurement teams. Plot results from the pilot survey were not used directly in the final analysis of carbon stocks.

#### **Sample size**

The required sample size was estimated from the Sample Size Calculation Tool from Winrock International, which incorporates standard equations consistent with those in the methodology, Appendix 3. Pilot survey data suggested the need for 76 clusters for an expected overall standard error of 8%, including a default 10% surplus of plots to provide a margin for error. The eventual precision was somewhat poorer than this, necessitating the additional sampling of 28 further clusters in Phase 2. In Phase 1 the same sample intensity was chosen for both strata, so they formed part of a single systematic layout. All Phase 2 plots were in the dense forest stratum.

#### **Sample design**

The distribution of plots is shown in Figure 1. Plot locations are listed in Appendix 2. In Phase 1 systematic sampling with random start point was used, assigning center points using the program DISTANCE, with buffer settings that ensured edge areas were sampled as fully as the forest interior. A few sub-plots falling wholly outside the Project Area were discarded. In Phase 2 the additional clusters were all placed in the dense forest stratum, on the same systematic grid, offset east and south by exactly half the distance between the plots in Phase 1. Data from the dense forest stratum in Phase 1 and Phase 2 were pooled for analysis.

At each sample point a cluster of three plots was enumerated with one centered on the sample point itself and the centers of the two satellite plots being placed 150 m from the sample point along two random bearings (in order to avoid any systematic bias). Pilot surveys showed that three plots in one cluster can typically be completed in one day, allowing efficient use of travel times between clusters, which dominated the time costs of the survey.

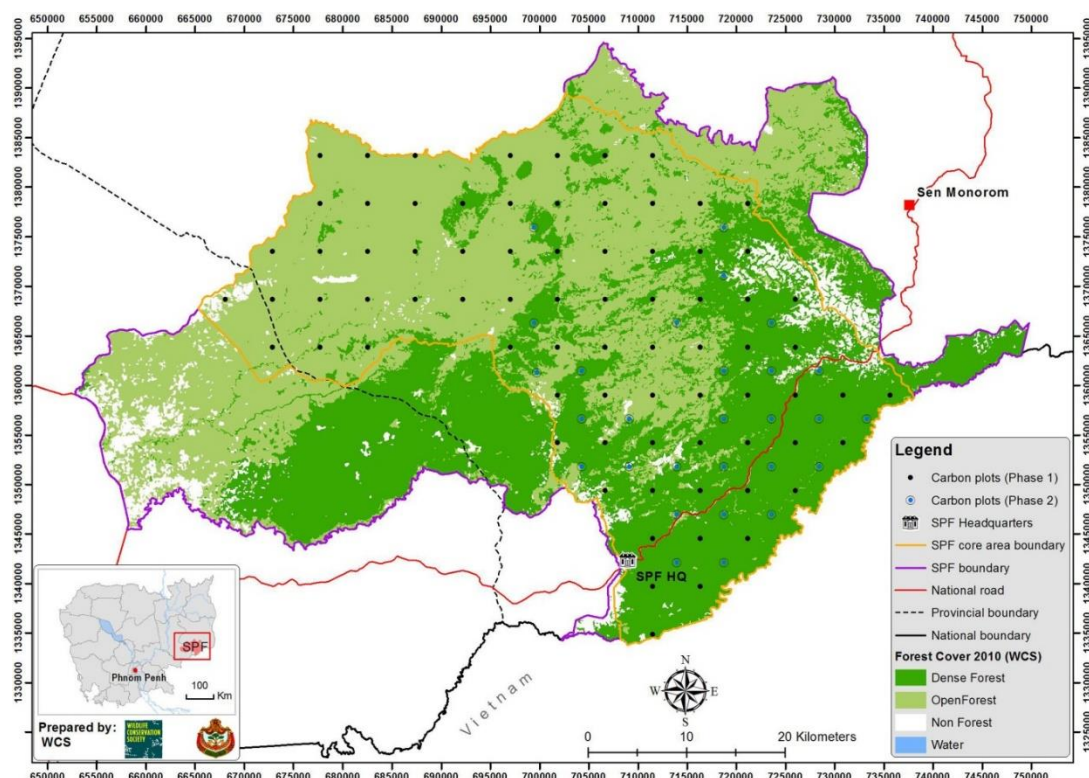


Figure 1 Carbon plot cluster center locations.

### Plot design

Three sets of nested circular plots were enumerated in each cluster, one at the cluster center and two at the satellite points (Table 1). Additionally, a line-intersect transect for lying dead wood was measured, starting from the margin of the central nest. The largest nest had an effective area of 0.094 ha (3 subplots each of 20 m radius). In the pilots this was found to be a suitable size to sample the chosen target of at least 10 trees on each subplot. Haglof laser Digital Measuring Equipment (DME) made the use of circular plots very time-efficient despite the dense vegetation.

Table 1 Nested plot design for measurement of carbon stocks.

Plot	Parameters measured
20 m circle	Live trees $\geq 30$ cm DBH, standing dead wood $\geq 30$ cm DBH
15 m circle	Live trees 15-29 cm DBH, standing dead wood 15-29 cm DBH
5 m circle	Live trees and standing dead wood $\geq 5$ cm dbh
3 m circle	Saplings ( $< 1.3$ m tall) and bamboo ( $< 1.3$ m tall) (this pool was later disregarded)
100 m transect	Lying dead wood $\geq 10$ cm diameter

All plot centers were marked to facilitate re-measurement. The methodology permits the use of temporary plots, but on some of the later plots in this study individual trees were given permanent marks, to provide a resource for future studies. Physical demarcation of the plots is summarized in Table 2.



**Table 2 Physical demarcation of plots.**

Means of marking	Phase 1	Phase 2
Metal bar sunk at the central point to facilitate plot relocation by GPS and metal detector	All subplots in all clusters	All subplots in all clusters
Painted numbers and point of measurement	All subplots in 8 clusters in open forest	All subplots in all clusters
Numbered metal tree tags (trees > 15 cm dbh)	All subplots in 8 clusters in open forest	Central subplot of each cluster

#### Plot measurement protocols

Plot survey protocols were based closely on the Winrock Standard Operating Procedures (SOPs; Walker *et al.* 2009). Tree heights were not required for the chosen biomass equation.

The methods varied from the SOPs only in the case of slope. Plots that encompass varying degrees of slopes were not moved to areas of uniform slope as suggested by the SOPs, as this was expected to risk introducing bias by under-sampling certain vegetation types. Instead the dominant slope was determined and recorded. Due to the small size of plots and the generally flat nature of the terrain, slope of >5% was present in only a small proportion of plots. Ultimately slope was disregarded during analysis, to simplify the mathematics. This slightly over-estimates the projected horizontal area of the few plots affected, which leads to a slight and conservative under-estimation of carbon density per hectare.

#### Estimation of carbon stocks in each plot

Plot calculations were performed in spreadsheets adapted from the Carbon Plot Calculation Tool created by Winrock International. The calculations took a stepwise approach. The biomass of each individual plant or standing dead tree was calculated using the appropriate equations, then these were expanded to equivalent per hectare values using expansion factors derived from the area of the relevant subplot for an individual of that size class. Expanded values for each individual were then summed across the three subplots in a cluster to form a single sample estimate, following standard forestry practice. Calculations were conducted separately for each carbon pool across all clusters within a stratum, and then the pools within a stratum were combined using standard error propagation formulae. Root biomass was calculated using total biomass for each cluster.

Above ground tree biomass was estimated by the height-only allometric equations provided by Chavé *et al.* (2005) for moist tropical forests;

$$\text{Above Ground Biomass} = \text{wood density (in g/cm}^3\text{)} \times \exp(-1.499 + 2.148 \ln(\text{DBH}) + 0.207(\ln(\text{DBH}))^2 - 0.0281(\ln(\text{DBH}))^3)$$

The use of this equation has been validated for the site by destructive sampling of a range of large and small trees from both strata in accordance with the methodology (see Annex 4.4 of the Project Document) and it was found to be conservative in both forest strata.

The biomass of standing dead wood was calculated according to formulae presented in the SOPs and lying dead wood along the transects was calculated according to the method set out by Harmata and Sexton (1996). The density of lying dead wood in each of the three soundness classes defined by the methodology was estimated from ten randomly chosen samples from each class in each forest stratum.

The below-ground living biomass was calculated using the lower bound of the range provided by IPCC for tropical moist deciduous forests with biomass >125t/ha – i.e. a ratio of 0.22 (IPCC 2006, Table 4.4).

Key conversion factors are shown in Table 3.



**Table 3 Standard conversion factors used in calculations**

Standard values used in plot calculations		
Carbon fraction of dry biomass	0.5	IPCC 2003
Live wood density g/cm <sup>3</sup>	0.57	Reyes <i>et al.</i> 1992*
Dead wood density (g/cm <sup>3</sup> ): Sound class, Dense Forest	0.82	SPF core area destructive sampling
Dead wood density (g/cm <sup>3</sup> ): Intermediate class, Dense Forest	0.50	SPF core area destructive sampling
Dead wood density (g/cm <sup>3</sup> ): Rotten class, Dense Forest	0.33	SPF core area destructive sampling
Dead wood density (g/cm <sup>3</sup> ): Sound class, Open Forest	0.72	SPF core area destructive sampling
Dead wood density (g/cm <sup>3</sup> ): Intermediate class, Open Forest	0.73	SPF core area destructive sampling
Dead wood density (g/cm <sup>3</sup> ): Rotten class, Open Forest	0.46	SPF core area destructive sampling

\* The destructive sampling found this to be a conservative assumption (Annex 4.4).

### *Quality assurance/quality control*

To ensure the data collected are of consistently high quality, it is essential that field teams are meticulous in their measurements and adhere rigidly to the survey protocols. We invested heavily in training, and had the advantage of a group of team leaders who already had high personal standards for data quality as shown by their record of performance during several years of quantitative wildlife surveys in the area (e.g. O Kelly and Nut Meng Hor 2010). A scientifically-trained expatriate advisor was also on hand throughout the process to provide oversight and trouble-shooting assistance.

The SOPs define various quality assurance mechanisms, including 'hot checks' to correct errors in data collection and 'blind checks' to estimate the final field measurement error. Hot checks were carried out by the team coordinator, who checked all measurements by each team member at periodic intervals during the data collection. These were carried out continuously at the commencement of the survey and at less frequent intervals throughout the duration of the fieldwork.

Blind checks were used to quantify variance in measurements and required a sub-sample of plots to be re-measured by a second team. Ideally this would an independent audit team, experienced in all field measurements techniques. As it was not possible to find to find such a team in this context, the field teams were rotated and different team members/leaders accompanied the expatriate team coordinator to assist with re-measuring plots.

The re-measurements included both some permanently marked plots and some unmarked temporary plots. Lying dead wood was not re-measured since slight variation in the placement of the transect was expected to dominate comparisons. Estimated root biomass is a direct function of living tree biomass so was not compared.

Extensive checking was also conducted during the data entry process, including a 100% review of all data entered, a rechecking of 10% of plots datasheets, selected at random, and further checking of any suspected outliers. All edits during this process were documented.

### *Results*

The estimated carbon stocks for each stratum are shown in Table 5. Table 6 shows the same data in CO<sub>2</sub> equivalents, which corresponds to a part of Table 15a of the methodology. The notation system follows the methodology, for ease of reference.

**Table 5 Estimated carbon stocks in the forest strata of SPF**

		Cab[cl]		Cbb[cl]		Cdw[cl]		Ctot[cl]	
		ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
ID[cl]	LU/LC Class	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>	tCha <sup>-1</sup>
Fd	Dense forest	207.46	20.75	45.64	4.56	17.36	3.05	270.46	21.46
Fo	Open forest	119.63	20.09	26.32	4.43	10.39	2.44	156.34	20.71

Cab[cl]: Average carbon stock per hectare in the above-ground biomass carbon pool of class cl

Cbb[cl]: Average carbon stock per hectare in the below-ground biomass carbon pool of class cl

Cdw[cl]: Average carbon stock per hectare in the dead wood biomass carbon pool of class cl

Ctot[cl]: Average carbon stock per hectare in all accounted carbon pools cl

**Table 6 Estimated equivalent CO<sub>2</sub> stocks in the forest strata of SPF (for codes see Table 5)**

		Cab[cl]		Cbb[cl]		Cdw[cl]		Ctot[cl]	
		ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
ID[cl]	LU/LC Class	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>	tCO <sub>2</sub> e ha <sup>-1</sup>
Fd	Dense forest	760.69	76.07	167.35	16.72	63.65	11.17	991.69	78.68
Fo	Open forest	438.64	73.65	96.51	16.24	38.10	8.94	573.25	75.95

#### Quality control/quality assurance

Ten clusters were re-measured in full, 10% of the total sample (Table 7). The overall measurement error was -1.1 %, (i.e. the total above ground carbon was 1.1% lower on the first survey visit compared to the quality assurance survey). The methodology does not set a threshold level for this comparison, but this is evidently a very high level of repeatability, with the original survey being slightly conservative.

**Table 7 Results of the quality control survey of carbon plots**

QC plots		Main survey		Difference
Cluster	Biomass (t/ha)	Cluster	Biomass (t/ha)	Biomass (t/ha)
103_1	466.09	103	458.5	7.59
12_1	234.33	12	227.35	6.98
13_1	332.96	13	299.08	33.88
42_1	220.44	42	208.29	12.15
53_1	179.42	53	170.69	8.73
7_1	142.67	7	143.17	-0.50
86_1	652.38	86	657.52	-5.14
90_1	235.65	90	252.13	-16.48
94_1	383.96	94	376.32	7.64
99_1	338.13	99	358.32	-20.19
Grand Total	3186.04		3151.37	34.67
			Overall error	1.1%

### Discussion

This is one of the first systematic landscape-scale surveys of carbon stock to have been completed in Cambodia. The results show high carbon stocks. Table 8 compares the results of the present survey to Tier 1 estimates of typical carbon stocks from IPCC (2006; Table 4.7). SPF figures are within the default range of values for the region, but well above the median default values. Analysis of the literature shows that these results are fully consistent with other studies (Appendices 3 and 4). A regional model of carbon stocks excluding dead wood but taking account of likely recent patterns of degradation, predicted that much of SPF and some nearby areas would fall into the 200-250 tC/ha (400-500 t biomass/ha) category (Brown *et al.* 1993; Figure 2), which is closely consistent with our findings (Tables 3, 5 and 7).

In conclusion, SPF is confirmed to support high carbon stocks over large areas, with high densities of large trees over much of the site in both open and dense forest types. The contribution of the gregarious, fast-growing and often tall deciduous tree *Lagerstroemia caliculata* (Lythraceae; local name 'sralao') to current carbon stocks is especially notable, since it occurs commonly across a wide range of forest sub-types. It represented more than 20% of the carbon stock in many of the clusters.

Careful checking of the SPF estimates suggests that in fact the results may be slight under-estimates of the true figures. As noted earlier, the biomass equations were validated (and found to be conservative) by destructive sampling, the default timber density value is thought to be an under-estimate and the quality control plots also indicated an average slight under-estimation. Further work on biomass equations and density estimates for Cambodian forests would be worthwhile.

**Table 8 SPF biomass in comparison to IPCC default values**

SPF Stratum	Above ground live biomass (t/ha) +/- 90% CI	IPCC (2006) nearest equivalent	IPCC (2006) default values (t/ha) (range)
Dense Forest	414.9 (+/-41.4)	Tropical rain forest (Asia continental)	280 (120-680)
Open Forest	239.3 (+/-40.2)	Tropical moist deciduous forest (Asia continental)	180 (10-560)
-	-	Tropical dry forest (Asia continental)	130 (100-160)

### **Annex 4.3: Appendix 1 Notes on the broad forest types present in SPF**

The following notes are drawn from FA (2007) with additional comments relating to the SPF from Walston *et al.* (2001) and the authors' own observations. See also Rundel (1999). Overall, the Evergreen, Semi-evergreen and Bamboo forests in SPF each have high tree species diversity with a wide overlap in species lists and a generally similar range of tree forms, including many tall canopy and emergent species, often bearing buttresses. Trees heights of 40-55 m are common. Mixed deciduous forests are often of similar stature but have a lower species diversity and are almost wholly deciduous. Deciduous Dipterocarp Forests have a small number of dominant species and tend to be of lower stature (typically 20-35 m).

**Evergreen forest:** Evergreen forests are usually multi-storied forests where trees maintain their leaves during the whole year. They comprise the lowland tropical rain forests, the hill evergreen forests and the dry evergreen forest and along streams and rivers (gallery forests).

**Semi-evergreen forest:** Semi-evergreen forests contain variable percentages of evergreen and deciduous trees, the percentage of evergreen trees varying from 30% to 70%. Semi-evergreen forests continue to appear evergreen throughout the year, even when the percentage of deciduous trees is high. In SPF this type is often dominated by the tall, pale-barked deciduous tree *Lagerstroemia calyculata* (Lythraceae). Another significant species is the massive evergreen emergent *Dipterocarpus alatus* (Dipterocarpaceae).

**Deciduous forest:** Deciduous forests comprise the Mixed Deciduous forests and Deciduous Dipterocarp forests. Deciduous forests drop their leaves more or less completely during the dry season. Human impact such as fire is usually much higher compared to other forest types. Mixed Deciduous forest are floristically a depauperate version of semi-evergreen forest, often dominated by *Lagerstroemia calyculata*, with an understory dominated by bamboo and rattan but rarely much grass. Dry Deciduous Dipterocarp forests naturally have an open character and are often described as savannah forest. Individual stands usually have rather uniform structure dominated by just 2-3 species in any one location, but several different stand types can be found across the landscape. An undisturbed Deciduous Dipterocarp forests may have a crown cover of only 20-40%, an open understory dominated by grass or herbaceous bamboos and no middlestory except along drainage lines. Soil and grass may have a significant impact on reflectance from these forests and as a result, it is difficult to separate low-density Deciduous Dipterocarp forests from shrubland during the dry season using satellite imagery.

**Other forests:** This land cover type includes regrowth, stunted forests, mangrove forests, inundated forests, and forest plantations. Regrowth of secondary forests is representative of a continuous, usually dense, layer of smaller trees. Stunted forests grow very slowly because of poor site conditions on hydromorphic soils and rock outcrops. Heavily disturbed forest like mosaics of forest, regrowth, and cropping, corresponding to shifting agriculture in which the percentage of forest is more than 40%, and areas of old regrowth and young secondary forest in the process of regenerating after clear cutting, are also included in this category.

**Bamboo:** Areas dominated by tall tree bamboos, with or without trees. Bamboo areas taller than 5 m are included in the national definition of forest under the Marrakech Accords. In SPF the bamboo forests often contain a significant number of large trees and have quite high carbon stocks. Some bamboo stands in SPF are evidently signs of recent disturbance but others were already present on topographic maps from the 1960s and appear to represent long-term stable communities. Large areas of dense bamboo are usually discernible on satellite imagery due to their pink and orange color and their typical texture. A sparse bamboo coverage or small bamboo will not be discernible and will remain in one of the other classes.

**Wood and shrubland evergreen/dry:** Wood and shrubland is a mixture of shrubs, grass and trees, the trees cover remaining below 20 percent. As the national forest definition includes land with a crown cover above 10%, some land in this category must be classed as forest for purposes of a REDD+ project. This class can be found mainly on shallow soils, on the top of mountains under climax conditions or as a result of non-sustainable land use. Theoretically there is a chance of becoming forest again in some cases. The signature remains light red during the whole year. Young regrowth after shifting cultivation is also included in this class when the shifting cultivation mosaic becomes invisible. There is usually a dense layer of shrub and grass with some trees.

#### Annex 4.3: Appendix 2 Sample plot locations

##### Phase 1

Cluster	Plot ID	UTMx	UTMy
1	1	711549	1334882
1	1A	711417	1334952
1	1B	711682	1334812
2	2	711549	1339712
2	2A	711404	1339751
2	2B	711694	1339673
3	3	716379	1339712
3	3A	716377	1339562
3	3B	716382	1339862
4	4	711549	1344542
4	4A	711407	1344496
4	4B	711692	1344588
5	5	716379	1344542
5	5A	716361	1344691
5	5B	716398	1344393
6	6	721209	1344542
6	6A	721178	1344689
6	6B	721240	1344395
7	7	706719	1349372
7	7A	706633	1349249
7	7B	706805	1349495
8	8	711549	1349372
8	8A	711453	1349487
8	8B	711646	1349257
9	9	716379	1349372
9	9A	716364	1349521
9	9B	716395	1349223
10	10	721209	1349372
10	10A	721100	1349270
10	10B	721319	1349474
11	11	726039	1349372
11	11A	726058	1349223
11	11B	726020	1349521
12	12	701889	1354202
12	12A	701739	1354192
12	12B	702039	1354213
13	13	706719	1354202
13	13A	706617	1354092
13	13B	706821	1354312
14	14	711549	1354202
14	14A	711405	1354161
14	14B	711693	1354243
15	15	716379	1354202
15	15A	716358	1354054
15	15B	716400	1354351
16	16	721209	1354202
16	16A	721076	1354270
16	16B	721343	1354134

17	17	726039	1354202
17	17A	725923	1354108
17	17B	726156	1354297
18	18	730869	1354202
18	18A	730730	1354146
18	18B	731008	1354258
19	19	701889	1359032
19	19A	701807	1358906
19	19B	701971	1359158
20	20	706719	1359032
20	20A	706869	1359030
20	20B	706569	1359035
21	21	711549	1359032
21	21A	711693	1358991
21	21B	711405	1359073
22	22	716379	1359032
22	22A	716513	1358964
22	22B	716246	1359100
23	23	721209	1359032
23	23A	721261	1358891
23	23B	721158	1359173
24	24	726039	1359032
24	24A	726175	1359096
24	24B	725903	1358969
25	25	730869	1359032
25	25A	730916	1359175
25	25B	730823	1358889
26	26	735699	1359032
26	26A	735603	1358917
26	26B	735796	1359147
27	27	672909	1363862
27	27A	673037	1363939
27	27B	672780	1363785
28	28	677739	1363862
28	28A	677765	1363714
28	28B	677713	1364010
29	29	682569	1363862
29	29A	682420	1363844
29	29B	682718	1363880
30	30	697059	1363862
30	30A	697070	1364012
30	30B	697049	1363713
31	31	701889	1363862
31	31A	701925	1363717
31	31B	701853	1364008
32	32	706719	1363862
32	32A	706796	1363991
32	32B	706642	1363734
33	33	711549	1363862
33	33A	711646	1363977
33	33B	711453	1363747
34	34	716379	1363862
34	34A	716509	1363937
34	34B	716249	1363787



35	35	721209	1363862
35	35A	721358	1363844
35	35B	721060	1363880
36	36	726039	1363862
36	36A	725971	1363996
36	36B	726107	1363729
37	37	668079	1368692
37	37A	668135	1368553
37	37B	668023	1368831
38	38	672909	1368692
38	38A	672759	1368695
38	38B	673059	1368690
39	39	677739	1368692
39	39A	677805	1368827
39	39B	677673	1368557
40	40	682569	1368692
40	40A	682703	1368624
40	40B	682435	1368760
41	41	687399	1368692
41	41A	687485	1368569
41	41B	687313	1368815
42	42	692229	1368692
42	42A	692219	1368543
42	42B	692240	1368842
43	43	697059	1368692
43	43A	697192	1368622
43	43B	696927	1368763
44	44	701889	1368692
44	44A	701991	1368802
44	44B	701787	1368583
45	45	706719	1368692
45	45A	706719	1368842
45	45B	706719	1368542
46	46	711549	1368692
46	46A	711697	1368718
46	46B	711401	1368666
47	47	716379	1368692
47	47A	716463	1368568
47	47B	716295	1368817
48	48	721209	1368692
48	48A	721321	1368592
48	48B	721098	1368793
49	49	726039	1368692
49	49A	726086	1368835
49	49B	725993	1368550
50	50	672909	1373522
50	50A	672868	1373378
50	50B	672950	1373666
51	51	677739	1373522
51	51A	677857	1373615
51	51B	677621	1373430
52	52	682569	1373522
52	52A	682717	1373546
52	52B	682421	1373499

53	53	687399	1373522
53	53A	687286	1373424
53	53B	687512	1373621
54	54	692229	1373522
54	54A	692369	1373576
54	54B	692089	1373468
55	55	697059	1373522
55	55A	697206	1373494
55	55B	696912	1373551
56	56	701889	1373522
56	56A	701833	1373661
56	56B	701945	1373383
57	57	706719	1373522
57	57A	706852	1373452
57	57B	706587	1373593
58	58	711549	1373522
58	58A	711693	1373566
58	58B	711406	1373478
59	59	716379	1373522
59	59A	716467	1373644
59	59B	716291	1373401
60	60	721209	1373522
60	60A	721310	1373634
60	60B	721109	1373411
61	61	677739	1378352
61	61A	677591	1378326
61	61B	677887	1378378
62	62	682569	1378352
62	62A	682506	1378488
62	62B	682632	1378216
63	63	687399	1378352
63	63A	687355	1378209
63	63B	687443	1378496
64	64	692229	1378352
64	64A	692193	1378498
64	64B	692265	1378207
65	65	697059	1378352
65	65A	696918	1378301
65	65B	697200	1378404
66	66	701889	1378352
66	66A	701753	1378289
66	66B	702025	1378416
67	67	706719	1378352
67	67A	706763	1378209
67	67B	706675	1378496
68	68	711549	1378352
68	68A	711411	1378411
68	68B	711687	1378294
69	69	716379	1378352
69	69A	716335	1378496
69	69B	716423	1378209
70	70	721209	1378352
70	70A	721336	1378273
70	70B	721082	1378432

71	71	677739	1383182
71	71A	677637	1383073
71	71B	677841	1383292
72	72	682569	1383182
72	72A	682506	1383046
72	72B	682632	1383318
73	73	687399	1383182
73	73A	687458	1383044
73	73B	687340	1383320
74	74	697059	1383182
74	74A	696996	1383318
74	74B	697122	1383046
75	75	701889	1383182
75	75A	701925	1383037
75	75B	701853	1383328
76	76	706719	1383182
76	76A	706868	1383203
76	76B	706571	1383161
77	77	711549	1383182
77	77A	711631	1383057
77	77B	711468	1383308

**Phase 2**

78	78	713964	1342127
78	78A	713968	1341977
78	78B	713961	1342277
79	79	718794	1342127
79	79A	718868	1342257
79	79B	718720	1341997
80	80	713964	1346957
80	80A	714010	1346814
80	80B	713919	1347100
81	81	718794	1346957
81	81A	718697	1347071
81	81B	718891	1346843
82	82	723624	1346957
82	82A	723718	1346840
82	82B	723531	1347074
83	83	704304	1351787
83	83A	704174	1351713
83	83B	704434	1351861
84	84	709134	1351787
84	84A	709282	1351810
84	84B	708986	1351764
85	85	713964	1351787
85	85A	713815	1351801
85	85B	714114	1351773
86	86	718794	1351787
86	86A	718697	1351901
86	86B	718892	1351673
87	87	723624	1351787
87	87A	723712	1351666
87	87B	723536	1351908

88	88	728454	1351787
88	88A	728339	1351691
88	88B	728570	1351883
89	89	704304	1356617
89	89A	704199	1356724
89	89B	704409	1356510
90	90	709134	1356617
90	90A	709239	1356724
90	90B	709029	1356510
91	91	718794	1356617
91	91A	718645	1356635
91	91B	718943	1356599
92	92	723624	1356617
92	92A	723721	1356503
92	92B	723527	1356731
93	93	728454	1356617
93	93A	728574	1356527
93	93B	728335	1356707
94	94	733284	1356617
94	94A	733134	1356614
94	94B	733434	1356620
95	95	699764	1361263
95	95A	699677	1361141
95	95B	699851	1361386
96	96	704304	1361447
96	96A	704246	1361585
96	96B	704362	1361309
97	97	718794	1361447
97	97A	718746	1361305
97	97B	718843	1361589
98	98	723624	1361447
98	98A	723526	1361334
98	98B	723723	1361560
99	99	728454	1361447
99	99A	728393	1361584
99	99B	728516	1361310
100	100	699474	1366277
100	100A	699343	1366204
100	100B	699605	1366350
101	101	713964	1366277
101	101A	713848	1366182
101	101B	714080	1366372
102	102	723624	1366277
102	102A	723636	1366427
102	102B	723612	1366127
103	103	718794	1371107
103	103A	718684	1371208
103	103B	718905	1371006
104	104	699474	1375937
104	104A	699437	1376082
104	104B	699511	1375792
105	105	718794	1375937
105	105A	718859	1376072
105	105B	718730	1375802

**Annex 4.3: Appendix 3 Comparative data reported from other dense forests in the region**

Location	Forest type(s)	Above ground biomass (t/ha)	Basal area m <sup>2</sup> /ha	Notes	Source
SPF Core Area	Dense Forest (Evergreen, semi-evergreen and bamboo)	414.9 (90% CI +/- 41.4)	34.0 (90% CI +/- 3.7)		This survey
SPF Core Area	Dense Forest (Evergreen/semi-evergreen)	438.5 (90% CI +/- 101.5)	39.5 (90% CI +/- 8.2)	9 randomly sited 0.5 ha plots surveyed in 2004 in little-logged semi-evergreen forest. NB includes only trees ≥ 20 cm DBH and no other pools	Reanalysis of data used by McKenney <i>et al.</i> (2004)
SPF Buffer Zone	Logged semi-evergreen forest	377.4 (90% CI +/- 68.9)	24.4 (90% CI +/- 4.1)	Systematic sample of 60 variable area 6-tree plots; trees ≥ 10 cm and other carbon pools as in the Core Area	Evans <i>et al.</i> (in prep.)
SPF and nearby areas	Secondary Evergreen Forest Type 1	-	38.9 (range 30.1-46.3)	Mean of 3 plots. Trees ≥ 10 cm.	Tani <i>et al.</i> (2007) Plots 20 m diam.
	Secondary Evergreen Forest Type 2	-	28.2, 37.8	2 plots. Trees ≥ 10 cm.	
	Mixed Deciduous Forest	-	20.9 (range 11.0-32.0)	Mean of 4 plots. Trees ≥ 10 cm	
Oddar Meanchey REDD+ Project	Evergreen forest	c.210	-	Estimated for our purposes by subtracting 20% for below ground portion	FA <i>et al.</i> (2009)
Cat Tien Nat. Park, Vietnam	Evergreen and semi-evergreen forest	-	29.3, 31.3, 31.7, 54.9, 69.4	5 subjectively placed 1 ha plots, trees ≥ 10 cm. 2 plots with highest BA dominated by <i>L. calculata</i>	Blanc <i>et al.</i> (2000)
West Cambodia	Old growth (but logged) wet forest	321	23.9, 32.5, 32.5	Methods unclear as source not seen.	Hozumi <i>et al.</i> (1969) cited by Murali <i>et al.</i> (2005)
Preah Vihear	Unlogged and logged evergreen forest		13.5 (90% CI 0.0) 11.0 (90% CI 0.0)	60 randomly located 0.12 ha plots in each type; trees ≥ 10 cm	Kao (2006)
North-east Thailand	Dry evergreen forest	237.6	-	1 plot, unknown size. All above ground pools.	Sabhasri <i>et al.</i> (1968)
North-east Thailand	Dry evergreen forest	291	-	Sample details not available. All above ground pools.	Ogawa <i>et al.</i> (1965) cited by Sabahsri <i>et al.</i>
Kolli Hills, Eastern Ghats of India	Evergreen forest	412		Around 2000 mm rainfall per year, similar to SPF	Mohanraj <i>et al.</i> (2011)
Indonesian Borneo	Lowland evergreen rainforest	508.7	36.8	1 ha plot, all above ground pools.	Yamakura <i>et al.</i> (1986)

**Annex 4.3: Appendix 4 Comparative data reported from other open forests in Cambodia**

Location	Forest type(s)	Above ground biomass (t/ha)	Basal area m <sup>2</sup> /ha	Notes	Source
SPF Core Area Open Forest	Mixed deciduous and deciduous dipterocarp	239.3 (90% CI +/- 40.2)	20.8 (90% CI +/- 2.6)		This survey
SPF Buffer Zone	Deciduous dipterocarp forest	139.8 (90% CI +/- 27.4 )	15.2	Systematic sample of 10 variable area 6-tree plots; trees ≥ 10 cm and other carbon pools as in the Core Area	Evans <i>et al.</i> (in prep.)
SPF Buffer Zone	Deciduous dipterocarp forest	147.4 (90% CI +/- 14.6)	-		Khun Vathana (2010)
SPF	Deciduous Dipterocarp Forest Type 2	-	19,4, 21.5	2 plots. Trees ≥ 10 cm	Tani <i>et al.</i> (2007)
Oddar Meanchey REDD+ Project	Mixed deciduous and deciduous dipterocarp	c.100		Deciduous/ mixed forest class. Estimated for our purposes by subtracting 20% for below ground portion	FA <i>et al.</i> (2009)

## Annex 4.4 Validation of the Biomass Equation Used for the Seima REDD+ Project

### Summary

Evidence is presented that the biomass equation selected for use in the Seima Protection Forest REDD+ project meets the requirements of the relevant carbon accounting methodology. The equation is conservative for both Deciduous and Evergreen/Semi-evergreen Forest types, giving overall errors in total biomass of the sampled trees of -10.8% (n=6) and -6% (n=6) respectively. Some suggestions are given for further work to improve biomass predictions in national-level carbon accounting.

### Introduction

A conservation finance project is being developed in the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015. (Thereafter referred to as 'the methodology').

Among other steps, the Methodology requires an estimation of the carbon stocks in standing forests in the Project Area. This is based on the measurement of trees on sample plots. The carbon stock is estimated from tree diameter using allometric equations for individual stems (the option chosen in the SPF project) or stand-level biomass expansion factors. If the chosen allometric equation(s) are not locally-derived, the methodology (Appendix 3 p146) requires that they be validated by destructively sampling a number of trees from the site. This report summarizes the results of the validation conducted in SPF.

### Study area and methods

#### Study area

The study area was the Core Area of the Seima Protection Forest (SPF), which lies mainly in Mondulkiri Province, eastern Cambodia. The altitudinal range is about 100-750 m, with 93% of the area lying below 500 m. The climate is tropical monsoonal. At the SPF headquarters (106° 55' E 12° 06' N, 160 m above sea level) recorded rainfall is 2200-2800 mm/year with up to 5 dry<sup>35</sup> months per year from December to April (WCS/FA and Nomad RSI unpublished data). Total rainfall is believed to be lower, with a somewhat more intense dry season of similar duration, in the north and west of the Core Area, and higher (>3000 mm/year), with a shorter but still strongly marked dry season at higher altitudes in the south-east of the Core Area. Hence the whole landscape is believed to lie in the 'Moist' climate category as defined by Chave *et al.* (2005). For the purposes of REDD+, two forest strata have been recognized in the area, dense and open. These are discussed in more detail in the main Project Document.

#### Methods

In the absence of any applicable equations developed nationally or locally, for SPF it was decided to focus on the family of allometric equations developed by Chave *et al.* (2005). These provide estimates of tree above ground biomass (AGB) using diameter at breast height (D, in cm) and, optionally, total height (H, in m) as well. The carbon fraction of this biomass was taken as 0.50, following IPCC (2003). The Chave *et al.* (2005) study is perhaps the most comprehensive synthesis of its kind, combining biomass data from over 2500 trees throughout the tropics. As noted above, SPF falls in the 'Moist' category. For comparison the performance of the following equations was tested in SPF:

- Chave *et al.* (2005) Moist forest, equation using D alone ('Chave D') and D and H together ('Chave D\*H')
- Chave *et al.* (2005) Dry forest, equations using D alone ('Chave Dry D') and D and H together ('Chave Dry D\*H')

<sup>35</sup> Defined as a month with <100 mm precipitation



Specialist advice indicated that Chave D was expected to perform well (S Walker pers. comm.), and by not requiring H measurements would also minimize inventory costs. This equation is as follows:

$$AGB = \rho \exp (-1.499 + 2.1481 \ln (D) + 0.207 [\ln (D)]^2 - 0.0281 [\ln (D)]^3)$$

Where  $\rho$  = wood density, g/cm<sup>3</sup> dry weight

The other Chave *et al.* equations are of similar structure.

For interest one other allometric equations was assessed in this paper, as follows:

- IPCC (2003) Equation for tropical moist hardwoods using D alone, Annex 4.A.2, Table 4.A.1 ('IPCC TMH').

The methodology requires that 'a few trees of different species and sizes' are sampled 'within the Project Area but outside the sample plots'. Guidance from specialists indicated that about 5-6 trees per carbon stratum would be acceptable in this case (S. Walker, Winrock International, pers. comm.). For the validation of biomass equations trees were selected from these two carbon strata (Table 1), with equal numbers of trees selected from the Open Forest (n=6) and from Dense Forest (n=6). Trees were selected subjectively, aiming for fairly typical individuals of dominant species in locations where the destructive sampling was logistically feasible, and a range of larger and smaller individuals in each stratum. The work was conducted from mid-2009 to early 2010.

A default value of 0.57 g/cm<sup>3</sup> was used for  $\rho$  (Reyes *et al.* 1992). Measured densities were available for the sampled trees, but will not be available in the main carbon stock survey, so this is the appropriate figure to use in this analysis.

The standard operating procedures used for the destructive sampling are presented in Walker *et al.* (2009). Smaller parts of the tree, including leaves, are wet-weighed in their entirety, and then samples are taken for drying to allow estimation of the total dry weight. For the bole and outsize branches volume is estimated from measurements and then the dry weight is estimated using a density derived from oven dried disc samples. The stump and buttresses are treated separately.

**Table 1 Sampled trees\***

Code	Species (Khmer/Scientific)	D/cm	H/m
<b>Deciduous Forest</b>			
4	Chhlik/ <i>Terminalia alata</i> Roth	13	10.7
12	Trach/ <i>Dipterocarpus intricatus</i> Dyer	14	10.65
3	Rang Phnom/ <i>Shorea siamensis</i> Miq.	22	14.75
2	Pchek/ <i>Shorea obtusa</i> Wall.	24	16.6
5	Sokrom/ <i>Xylia dolabriformis</i> Benth.	44	19.12
1	Khlong/ <i>Dipterocarpus tuberculatus</i> Roxb.	52	23.8
<b>Evergreen/Semi-evergreen Forest</b>			
7	Onsoy/ [unidentified species]	19	9.13
9	Troseak/ <i>Peltophorum</i> sp.	22	12.8
11	Koki/ <i>Hopea</i> sp.	34	25
8	Chambok/ <i>Iringia malayana</i> Oliver ex A. Benn.	49	18.85
10	Sralao/ <i>Lagerstroemia calyculata</i> Kurz	89	34.25
6	Chheuteal/ <i>Dipterocarpus alatus</i> Roxb.	93	44

\* Names follow MAFF Prakas 089 (2005) where relevant

## Results

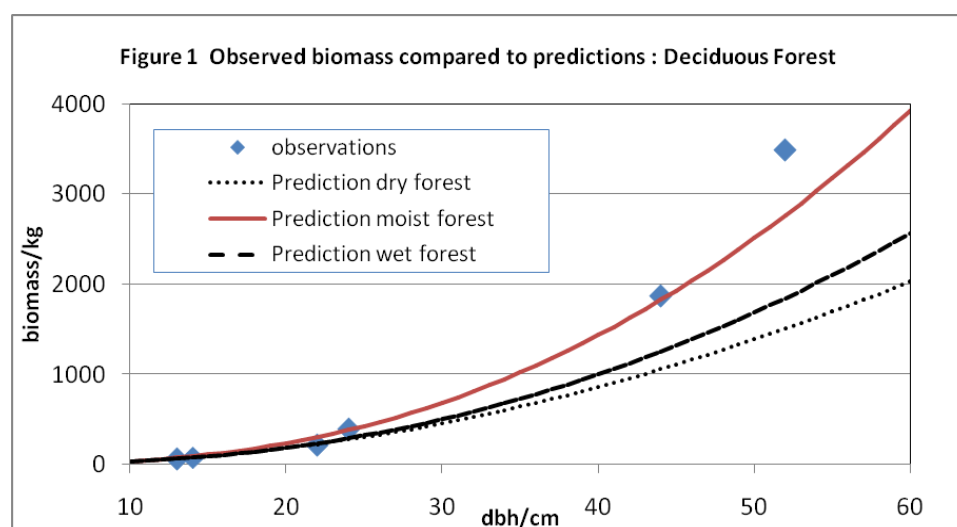
The results for the two forest strata are presented in Tables 2 and 3 and Figures 1 and 2. The observed biomass is given along with the estimated biomass using the preferred equation. Errors between estimates and observations are then presented for this equation and all other equations listed in the Methods section, to allow comparison on their performance.

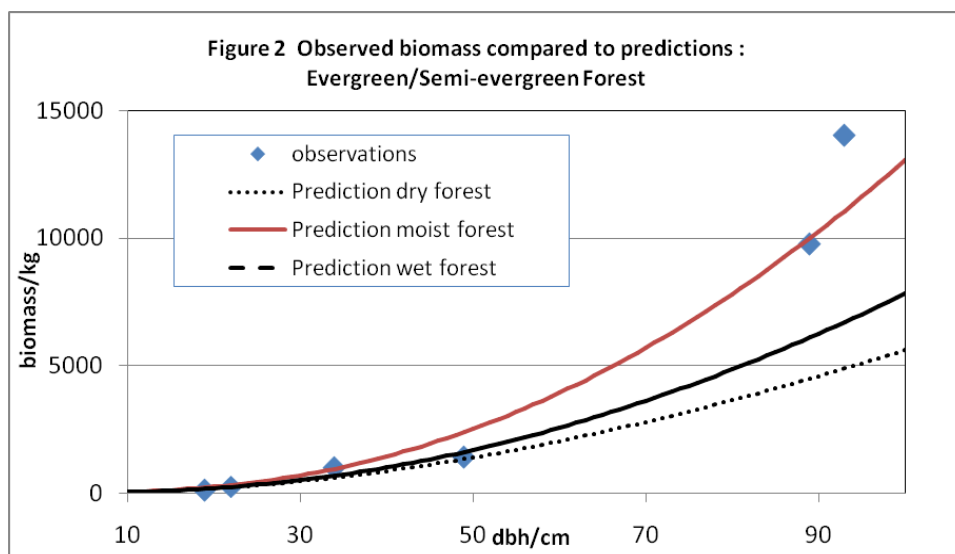
**Table 2 Observed and estimated biomass values in Deciduous Forest.**

Tree	Biomass/kg		Error in estimates/kg				
	Observed	Estimated (Chave D)	Chave D	Chave D*H	Chave Dry D	Chave Dry D*H	IPCC TMH
4	63	76	13	-10.5	6	2	15.8
12	81	93	12	-20.4	1	-7	14.2
3	220	307	87	-12.7	9	7	78.4
2	390	385	-5	-112.3	-112	-93	-18.5
5	1865	1825	-40	-790.1	-808	-839	-171.4
1	3489	2,765	-724	-1620.2	-1,981	-1,786	-923.3
Total	6108	5,452	-656	-2,566.2	-2,885	-2,716	-1,004.8
Total %			-10.8%	-42.0%	-47.2%	-44.5%	-16.5%

**Table 3 Observed and estimated biomass values in Evergreen/Semi-evergreen Forest.**

Tree	Biomass/kg		Error in estimates/kg				
	Observed	Estimated (Chave D)	Chave D	Chave D*H	Chave Dry D	Chave Dry D*H	IPCC TMH
7	98	209	111	-2.3	66	14	108.2
9	257	307	50	-77.1	-28	-57	41.4
11	986	949	-37	-146.8	-382	-168	-96.0
8	1,396	2,387	991	-81.7	-66	-162	817.6
10	9,765	9,999	234	-1,886.9	-5,282	-3403	-80.4
6	14,016	11,063	-2953	-2,965.1	-9135	-5342	-3,225.5
Total	26,518	2,4915	-1603	-5,159.9	-1,4828	-9118	-2,434.7
Total %			-6%	-19.5%	-55.9%	-34.4%	-9%





### Discussion

The performance target set in the methodology is as follows:

“If the biomass estimated from the harvested trees is within about  $\pm 10\%$  of that predicted by the equation, then it can be assumed that the selected equation is suitable for the project. If this is not the case, it is recommended to develop local allometric equations for the project use.”

By this standard the preferred allometric equation (Chave D) is considered acceptable for both Deciduous Forest (overall error -10.8%) and Evergreen/Semi-evergreen Forest (overall error -6.0%). The former figure is borderline acceptable according to the methodology (‘about  $\pm 10\%$ ’), and given that it represents an underestimate of the total biomass, is also conservative. Figures 1 and 2 support the idea that the observed values are consistent with the Chave D estimates across a wide range of values, and show how widely the results diverge from the dry forest equation, especially for the larger trees, which are those containing the majority of the carbon.

Of the other equations IPCC TMH met the required standard for Evergreen/Semi-evergreen forest (-9%) and marginally failed for Deciduous Forest (-16.5%), but performed better than the others and might be found to have acceptable performance given increased sampling. All other combinations of equation and forest type gave more severe under-estimates in biomass, ranging from -19.5% to -55.5%. Predictions from the wet forest equations of Chave *et al.* (2005) were also serious under-estimates (data not shown here), intermediate between the moist and dry curves.

It is notable that all of the equations under-estimated biomass, which suggests that the individual trees in both these broad forest types may have unusually high biomass for the climate zone that they are found in. Further study would be required to clarify the reason for this.

The estimates are sensitive to the figure used for wood density. The regional default value chosen in this study is lower than observed for the dominant wood type (bole timber) in the particular samples from both Deciduous Forest ( $0.70 \text{ g/cm}^3$ ,  $n=6$ ) and Evergreen/Semi-evergreen Forest ( $0.65 \text{ g/cm}^3$ ,  $n=6$ ). If these figures are used the error in estimated biomass becomes +9.6% in Deciduous Forest and +7.0% in Evergreen/Semi-evergreen Forest - both still within the acceptable tolerance but no longer conservative. If the observed bole densities of individual stems are used in the allometric equations then the errors increase to 15.2% and 17% respectively. In the absence of a site-specific estimate of volume weighted average density, applicable across all species, it is appropriate to continue using the default value of  $0.57 \text{ g/cm}^3$ . The issue of wood density deserves further study during the development of Cambodia's national REDD+ program.

## **Annex 4.5 Estimation of Baseline Carbon Stocks in Post-Deforestation/Agricultural Land Classes around SPF**

### **Summary**

This report summarizes the process of estimating carbon stocks in the post-deforestation land-use class surrounding the Seima Protection Forest Core Area, the site of a REDD+ project. This document forms part of a methodological annex to the Seima Protection Forest Core Area REDD+ Project Document. The methodology employed by the project requires an estimation of the carbon stocks in the post-deforestation scenario. This estimation was undertaken in Seima using a historical area-weighted average approach. This approach is based on the assumption that land in and around the Project Area which has been deforested in the past is representative of likely future land-use in areas yet to be deforested in the Project Area itself. A local study was conducted to obtain post-deforestation carbon stocks of selected agro-ecological systems. Sample sites were selected on the basis of land management practices identified as the most likely post-deforestation baseline scenario. Field measurements at these sites were combined with additional data obtained from credible literature sources to produce conservative estimates of carbon stocks in the post-deforestation landscape.

### **Introduction**

A conservation finance project is being developed in the Core Area of the Seima Protection Forest (SPF), Cambodia under the REDD+ framework (Reduced Emissions from avoided Deforestation and Degradation). The project will follow a carbon accounting methodology validated against the Verified Carbon Standard. The chosen methodology is an Unplanned Deforestation methodology, VM0015 (hereafter 'the methodology'). Among other steps, the methodology requires an estimation of the carbon stocks on the land following deforestation. Deforestation is all attributed to one group of agents, namely small-holder farmers, as described in the driver analysis. Estimation of post-deforestation carbon stocks is based on a study of stocks in current well-established agricultural land use systems observed in the Reference Region. This report summarizes the numerical results of this study.

### **Study area and methods**

#### Study area

The study area was the Core Area of the SPF, which lies mainly in Mondulkiri Province, eastern Cambodia. The altitudinal range is about 100-750 m, with 93% of the area lying below 500 m. The climate is tropical monsoonal. At the SPF headquarters (106° 55' E 12° 06' N, 160 m above sea level) recorded rainfall is 2200-2800 mm/year with up to 5 dry<sup>36</sup> months per year from December to April (WCS/FA and Nomad RSI unpublished data). Total rainfall is believed to be lower, with a somewhat more intense dry season of similar duration, in the low-lying north and west of the Core Area, and higher (>3000 mm/year), with a shorter but still strongly marked dry season at higher altitudes in the south-east of the Core Area. Hence the whole landscape lies in the 'Moist' climate category as defined by Chavé *et al.* (2005) and the Moist Tropical biome of IPCC (2006; Table 4.1).

#### Methodology

The crops planted by farmers vary across the landscape depending on a variety of factors. Rather than attempt to model this complex and dynamic situation, we opt to estimate a historical area-weighted average stock. The approach can be summarized as follows:

#### **Step 1**

- Identify the main agricultural systems of the communities using the Project Area and Leakage Belt.
- Select representative sampling areas within blocks of land which constitute long-established examples of each of these systems.
- Conduct systematic point sampling in the selected sample areas in order to determine the proportional composition of each sector by area in terms of crop/vegetation classes

<sup>36</sup> Defined as a month with <100 mm precipitation

- Select the carbon pools to be estimated to enable a comparison with stock values from forest classes.

#### Step 2

- Estimate the carbon stock values for each of the crop/vegetation classes, using local data supplemented with values from the literature. Stocks must be 20-year averages, or more conservative measures, to allow for the cyclical variation in longer lived crops.
- Calculate the mean weighted carbon stock for each agro-ecological system using the carbon stock value of each crop/vegetation class and the proportional contribution of each to the sector as a whole.

#### Step 3

- Combine the means from each system, in proportion to their contribution to deforestation during the historical deforestation period, to produce an overall area-weighted average for deforested land across the whole landscape.

The steps are set out in detail below.

### Step 1

#### *Characterization of existing post-deforestation areas*

Data from demographic surveys (Evans 2007, Pollard and Evans 2009) and expert knowledge of the Project Area were used to partition smallholder farmed areas into three broad agro-ecological types, according to the dominant agricultural livelihood types reported in nearby settlements. An examination of the data reveals a relatively simple and consistent spatial pattern and three broad agro-ecological sectors can be clearly distinguished (See Map 1). The prevailing type of agricultural land use in a given sector is evidently correlated with factors such as the suitability of the land, market conditions, the ethnicity and traditions of the residents and length of time they have been resident in the area.

These three sectors are dominated respectively by 1) cash crops, 2) paddy rice, and, 3) hill rice. Cash crop cultivation is generally preferred, where soils and market access permit it, with rice dominant elsewhere. The prevalence of paddy rice is determined by availability of suitable flat land. Hill rice dominates where the paddy rice and cash crops are not feasible. Cash crop cultivation currently predominates in ethnic Khmer settlements, and these are often newer villages, established by recent in-migrants and situated in close proximity to roads and local markets.

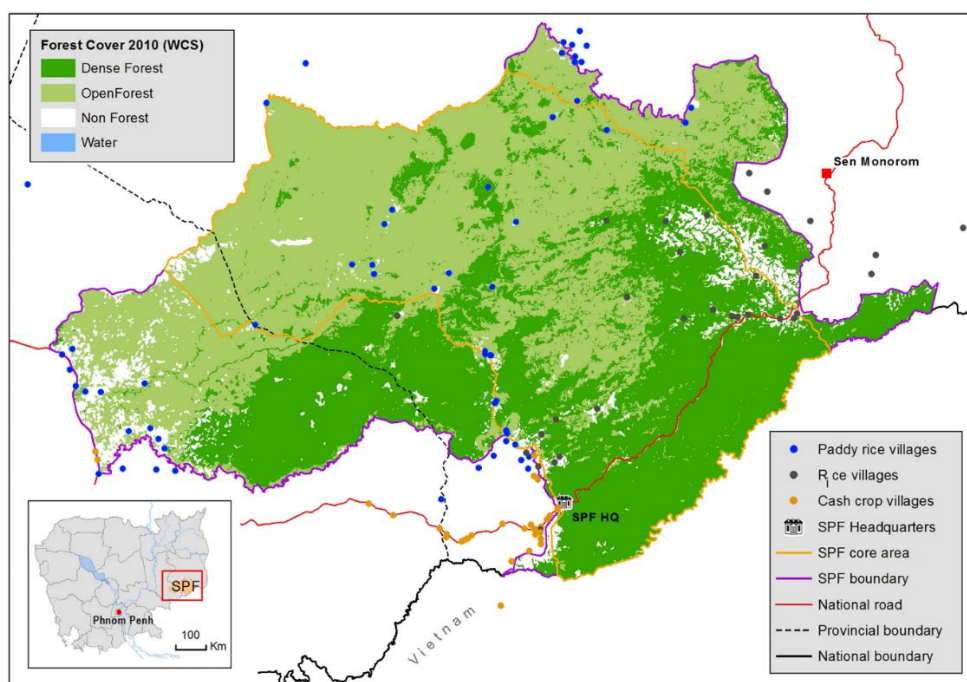


Figure 1. Dominant crop types in settlements around SPF.



### *Selection of representative areas for point sampling*

The project-generated forest cover map for 2002 was examined and candidate polygons of non-forest were identified in which to sample during 2009. These candidate polygons represented areas that were deforested prior to 2002 and so had been incorporated into agricultural land use systems for a minimum of 7 years, and sometimes longer than 10 at the time of the sampling. This is sufficient time for the proportions of different crops and vegetation types in the landscape to have stabilized following initial deforestation. Plots deforested more recently are excluded because they are not representative of the expected mixture of long-term vegetation/crop types in a system. Appendix 3 of the methodology recommends choosing areas deforested 10–30 years earlier, but the frontier nature of this area meant that very few older areas were available for sampling. As the main carbon stock in the sampled areas was found in remnant forest trees, which are likely to be fewer in older areas of deforestation, this is a conservative approach.

One large polygon was selected to represent the cash crop system and one to represent the paddy rice system. Each polygon covered over 100 ha and included parts of the agricultural land of at least two villages. No comparable block of land could be identified to represent the hill rice system because even seven years ago the extent of this system was small and highly fragmented. Therefore we applied the figure for cash crop farming (which was the higher of the two) to the hill rice areas.

### *Systematic point sampling*

A set of sample points was created for each land use polygon in a systematic layout with a random start. The cash crop polygon contained 148 points and the paddy rice polygon 110 points. The precise geographic locations of points were uploaded into Garmin GPS units for field surveys.

Field teams surveyed all points and recorded the vegetation/crop types present within a 3 meter radius of each point. Training was conducted prior to the surveys to ensure that all field teams were consistent in their definition of vegetation/crop types. Pre-defined classes were agreed upon during this training but where new vegetation/crop types were encountered during the point survey they were added to the list. If points occurred in areas with no vegetation/crop, such as on roads, buildings and water bodies, this was also recorded. The results of this intensive sampling were used to identify the principal vegetation/crop classes and their relative abundance by area.

### *Selection of the carbon pools*

As in the forest strata, the following carbon pools were considered:

- Above ground living trees  $\geq 5$  cm dbh.
- Standing dead wood  $\geq 5$  cm dbh and lying dead wood  $\geq 5$  cm diameter.
- Below ground living biomass was included in the analysis based on conservative literature values alone, with no additional field data collection.

Data were also collated, and measurements taken, for non-tree woody species (e.g. cassava and saplings) and for herbaceous species (e.g. non-woody vegetables, grass). However this pool is considered negligible in both forest and non-forest strata and so the results are not presented here.

Soil carbon was not measured as VCS guidance, repeated in the methodology, suggested there would be little significant difference between forest and post-deforestation classes (since a proportion of the post-deforestation landscape supports perennial crops, grassland and scrub). Ignoring any difference that may occur was conservative.

## **Step 2**

### *Estimates of carbon stock for each vegetation/crop type*

To estimate the biomass of rubber plantations, the IPCC default value of 'young stands' (assumed to equate to 5 yrs old or less) and 'mature stands' (assumed to equate to more than 5 yrs old) for South-East Asia were used. This IPCC estimate is from peer-reviewed and published field-based research using standard field measurement methods and therefore is assumed to have been estimated

accurately. As delineated in the methodology, the values were augmented by 30% in all calculations and thus the estimate used is conservative.

To estimate the biomass of cashew plantations, data on the biomass of cashew plantations of different ages in Cambodia was used<sup>37</sup>. This data was estimated using standard field based measurements and is presented in a peer-reviewed publication and thus is assumed to be accurate. To estimate cashew biomass of different years literature data were categorized into age classes as required by Methodology VM0015, then the highest value from a given age range was used, thus providing a conservative estimate of biomass. Average tree diameter found within the smallholder planted cashew stands surrounding the Project Area was 16.6 cm while this mean diameter was reached by age 4 in the plantations studied by Avtar *et al.* thus providing further evidence of the conservativeness of the literature values when applied to Seima.

Sample plots were measured for the other three broad vegetation/crop types, as show in Table 1. This included the vegetation type with the highest carbon stocks (semi-natural woody cover) and a cross-section of non-woody vegetation/crop types. Plots were placed within all three of the agro-ecological systems. Where growth models are not available, a conservative methodology deviation is proposed (Section 4.3) that allows the stock of the mature crop to be used for each of the 20 years. This is the approach followed below.

The results from the three 'other crop types' were pooled to provide an average value that was also applicable across the remaining non-tree crop types that were not directly sampled. The results are conservative, since substantial amounts of lying and standing deadwood currently remain in these areas, relics of the deforestation process, and these were measured in this survey but seem likely to decline substantially as the time since deforestation increases. The proportion of carbon-rich patches of semi-natural woody vegetation and the number of remnant forest trees per hectare of farmland also seems likely to decline over time as farming intensifies.

**Table 1. Number of plots sampled in each vegetation/crop type.**

Crop/vegetation type	Plots	Includes
Semi-natural woody cover	7	Various types of degraded woody vegetation derived from forest or fallow regrowth (woodland, shrubland, wooded field boundaries, bamboo stands)
Mature cashew stands	7	Includes inter-cropping with banana, cassava and jack-fruit (data only used for deadwood estimation)
Other crop types		
- Elephant grass	2	
- Mixed vegetable fields	2	
- Cassava	2	
<b>Total</b>	<b>20</b>	

#### *Plot surveys in non-forest areas*

#### Sampling Design

Purposeful sampling was used and plot locations were selected on the basis of being representative of a particular vegetation/crop type. Local knowledge was used to identify areas of mature cropland, fallows and scrub in which to situate plots. Where possible, plots sampled mature crops to ensure conservative estimation of long-term average stocks. Plot locations are shown in Figure 2 and listed in Appendix 4.

<sup>37</sup> Avtar, R., Takeuchi, W, and Sawada, H. 2013. Monitoring of biophysical parameters of cashew plants in Cambodia using ALOS/ PALSAR data. Environmental Monitoring and Assessment. 185: 2023-2037.

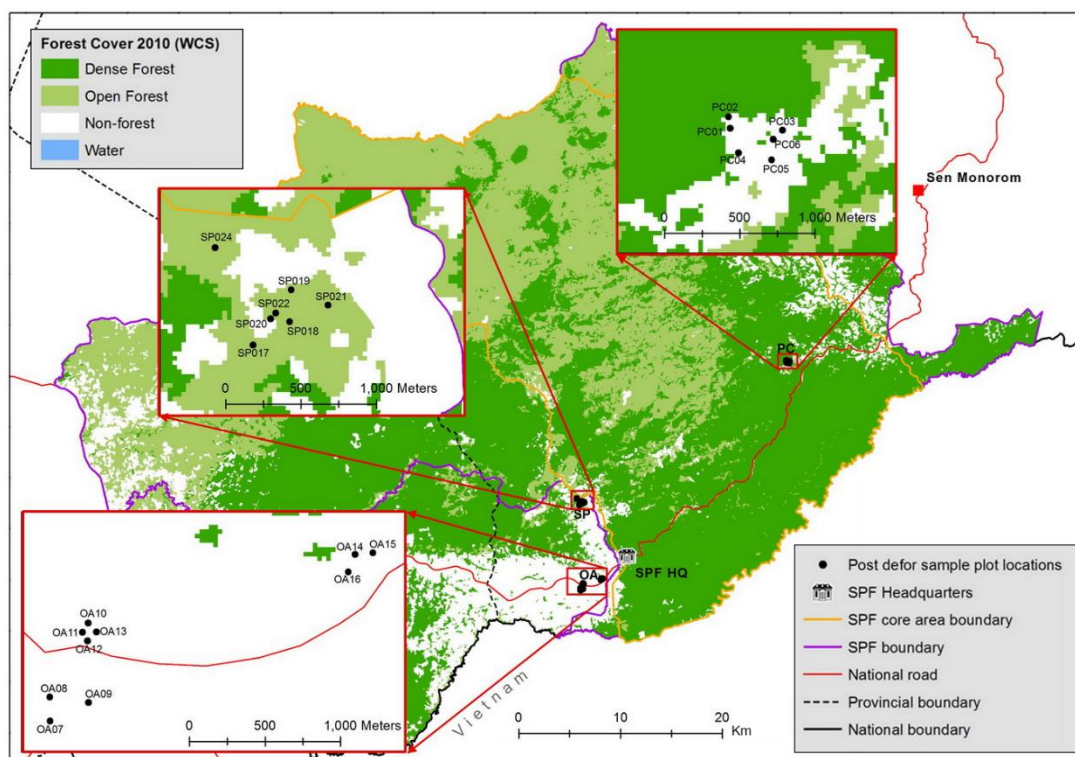


Figure 2 Location of plots.

### Field measurement protocols

Plot survey protocols followed the Standard Operating Procedures (SOPs) of Walker *et al.* (2009) with some adaptations to the local project context. Survey protocols and the modifications made to them in order to sample stocks in deforested strata are summarized below. No destructive sampling was required for trees.

At each selected location a nested set of temporary circular plots was combined with a line-intersect transect for lying dead wood, as summarized in Table 2<sup>38</sup>.

Table 2. Nested plot design for measurement of carbon stocks.

Plot	Parameters measured
20 m circle	Live trees and standing dead wood $\geq 5$ cm dbh
40 m circle	Live trees $\geq 30$ cm DBH, standing dead wood $\geq 30$ cm DBH
100 m transect	Lying dead wood $\geq 5$ cm diameter

Protocols differed from those used to survey forest plots in the following instances:

- Nest sizes and DBH classes were adjusted to reflect the fact that smaller DBH trees were likely to occur at high densities in some areas but that larger DBH trees were likely to occur at very low densities (occasional large forest trees left in the fields).
- For multi-stemmed trees, such those found in fruit and nut orchards, diameter at the base of the tree was measured (10 cm above ground) rather than diameter at breast height.

<sup>38</sup> In addition, a 3 m circle was used to estimate saplings and other woody non-tree vegetation, and clip plots were used for herbaceous species, but as noted above these data are not presented here.

## Estimation of carbon stocks in post-deforestation landscape

### Plot calculations

Plot calculations were performed in a slightly modified and corrected version of the Carbon Plot Calculation Tool created by Winrock International. The key assumptions underlying this calculator are as follows:

- Biomass of wild trees was estimated by the height-only allometric equations provided by Chavé *et al.* (2005) for moist tropical forests, as validated for this landscape in Annex 4.4 of the project document:

$$\text{Above Ground Biomass} = \text{wood density (in g/cm}^3\text{)} \times \exp(-1.499 + 2.148 \ln(\text{DBH}) + 0.207(\ln(\text{DBH}))^2 - 0.0281(\ln(\text{DBH}))^3)$$

- Living wood density is assumed to equal the default value for tropical Asia (Reyes *et al.* 1992). The destructive sampling found this to be a conservative assumption (Annex 4.4).
- The carbon fraction of dry biomass is 0.50 (IPCC 2003).
- The ratio of below-ground to above-ground living biomass for trees is the upper range of the default values provided by IPCC (2006) Table 4.4 – for tropical moist forest – that is, 0.25.
- The stock of lying dead wood can be calculated following Harmon and Sexton (1996).

Values for each carbon pool for each plot were then combined on another Excel spreadsheet to allow further analysis.

### Sector Calculations

The data from Steps 1 and 2 were combined to calculate the weighted mean above and below ground carbon stock in each of the agro-ecological systems. The stocks differed little between the two areas studied.

## Step 3 Calculation of the mean across agro-ecological systems

The proportion of deforested land attributable to each sector was estimated using GIS. Each pixel of deforestation during 1998-2008 in the Project Area was assigned to one of the three systems according to the dominant farming system in the nearest settlement in 2008, following the dataset provided by Pollard and Evans (2009).

An area-weighted mean carbon stock across the three systems was then calculated.

### Results

The results are shown in Table 3. The stock values are derived from the stepwise analysis shown in Appendices 1, 2 and 3. These data correspond to a part of Table 16 in the methodology.

**Table 3. Estimated carbon stocks (CO<sub>2</sub>e) in the post-deforestation class.**

		Cab[cl]		Cbb[cl]		Cdw[cl]		Ctot[cl]	
		ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI	ave. stock	+/-90% CI
ID[cl]	LU/LC Class	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1	tCO <sub>2</sub> e/ha-1
Nf	Non-forest (project area)	54.3		13.6		13.2		81.0	
Nf	Non-forest (leakage belt)	44.1		11.0		10.3		67.7	

#### Annex 4.5: Appendix 1 Summary results from sample plots

As noted in the text, cashew tree biomass was estimated from the literature.

Plot ID	Vegetation/crop type	Trees >5 cm (t C/ha)	Standing Dead Wood (t C/ha)	Lying Dead Wood (t C/ha)	Total above ground carbon stock (tC/ha)
<b>Cashew</b>					
OA10	Cashew	9.8	0.1	0.0	9.9
OA14	Cashew	11.4	0.0	0.0	11.4
OA11	Cashew	10.6	0.0	0.0	10.6
PC05	Cashew (overgrown)	7.8	6.1	0.0	13.9
OA13	Cassava and cashew	8.0	0.0	0.0	9.5
PC04	Cashew/banana	9.7	1.3	7.2	18.2
PC03	Cashew/banana/jackfruit	26.0	2.0	10.7	38.7
	<b>Mean</b>	<b>11.9</b>	<b>1.4</b>	<b>2.6</b>	<b>16.0</b>
<b>Other crops</b>					
OA15	Tall grass	0.0	0.0	0.0	0.0
OA07	Tall grass	8.6	2.0	5.0	15.6
SP021	Mix Vegetables	2.9	0.0	1.1	4.0
OA12	Mix vegetables	4.4	0.0	0.0	4.4
OA16	Cassava/grass	0	0.0	0.0	0.7
OA08	Cassava/Vegetables	0	8.5	0.3	8.8
	<b>Mean</b>	<b>2.7</b>	<b>1.7</b>	<b>1.1</b>	<b>5.6</b>
<b>Semi-natural woody cover</b>					
SP024	Partially cleared forest	60.8	1.2	2.1	64.0
SP020	Scrub	1.8	0.1	0.0	1.9
SP018	Scrub	40.2	2.9	0.0	43.1
SP022	Scrub	16.9	0.0	0.0	16.9
PC01	Scrub/fallow	29.5	2.8	11.8	44.0
PC02	Scrub/fallow	33.3	1.9	23.2	59.3
PC06	Scrub/fallow	93.2	0.8	3.1	97.0
	<b>Mean</b>	<b>39.4</b>	<b>1.4</b>	<b>5.7</b>	<b>46.6</b>



**Annex 4.5: Appendix 2 Area-weighted calculations for each agro-ecological sector**

Within farming system averages			Carbon Pool									Source
Vegetation/Crop	# of Points	% of Points	Trees > 5cm (t C/ha)	Trees Uncert	Below ground (tC/ha)	BG Uncert	Dead wood	DW Uncert	Stock in Relevant Pools tC/ha	Weighted Stock tC/ha	Uncertainty (90% CI as % of mean)	
<b>Paddy Rice Sector</b>			5.81	81.38%	1.45	81.38%	3.00	98.15%		10.3	57.20%	
Semi-natural woody cover	11	10.0%	34.44	57%	8.71	57%	6.79	91%	49.84	5.0	42%	Semi-natural woody cover plots
Paddy rice	91	82.7%	2.66	98%	0.66	98%	2.61	118%	5.93	4.9	69%	Other crop type plots
Grassland	5	4.5%	2.66	98%	0.66	98%	2.61	118%	5.93	0.3	69%	Other crop type plots
Empty paddy	2	1.8%	2.66	98%	0.66	98%	2.61	118%	5.93	0.1	69%	Other crop type plots
Road/trail	1	0.9%	0.00	0%	0.00	0%	0.00	0%	0.00	0.0	0%	
Total	110	100.0%										
<b>Cash Crop Sector (0-3 yr old)</b>			10.73	34%	2.68	34%	3.42	52%		3.5	25%	
<b>Cash Crop Sector (4-5 yr old)</b>			13.94	34%	3.48	34%	3.42	52%		5.2	24%	
<b>Cash Crop Sector (6-10 yr old)</b>			20.56	34%	4.71	34%	3.42	52%		6.5	24%	
<b>Cash Crop Sector (11-15 yr old)</b>			28.54	34%	7.14	34%	3.42	52%		9.9	24%	
<b>Cash Crop Sector (16-20 yr old)</b>			31.83	34%	7.96	34%	3.42	52%		11.3	24%	
Rubber - young (0-5 yr old)	3	2.0%	31.20	0%	7.80	0%	0.00	0%	39.00	0.8	0%	IPCC
Rubber - old (>5 yr old)	3	2.0%	115.70	0%	28.93	0%	0.00	0%	39.00	0.8	0%	IPCC
Semi-natural woody cover	20	13.5%	34.82	56%	8.71	56%	6.79	91%	50.32	6.8	42%	Semi-natural woody cover plots
Mango	5	3.4%	34.82	56%	8.71	56%	6.79	91%	50.32	1.7	42%	Semi-natural woody cover plots
Other crop types	50	33.8%	2.66	98%	0.66	98%	2.61	118%	5.93	2.0	69%	Other crop type plots
Bare land	20	13.5%	0.00	0%	0.00	0%	0.00	0%	0.00	0.0	0%	
Cashew (0-3)	50	33.8%	9.82	0%	2.46	0%	4.11	93%	16.39	5.5	23%	Avtar <i>et al.</i> 2013
Cashew (4-5)	50	33.8%	19.32	0%	4.83	0%	4.11	93%	30.80	10.4	14%	Avtar <i>et al.</i> 2013
Cashew (6-10)	50	33.8%	33.84	0%	8.46	0%	4.11	93%	42.30	14.3	8%	Avtar <i>et al.</i> 2013
Cashew (11-15)	50	33.8%	57.48	0%	14.37	0%	4.11	93%	71.85	24.3	5%	Avtar <i>et al.</i> 2013
Cashew (16-20)	50	33.8%	67.21	0%	16.80	0%	4.11	93%	84.01	28.4	4%	Avtar <i>et al.</i> 2013
Total	148	100%										

**Annex 4.5: Appendix 3 Calculation of area-weighted carbon stocks in the post-deforestation land-use class**

		Carbon Pool							
Zone	% of Landscape	Trees >5 cm (t C/ha)	Trees Uncert	Below Ground (tC/ha)	BG Uncert	Dead Wood	DW Uncert	Total Stock (tC/ha)	Uncertainty
Overall weighted-average (0-3 yr old)		8.07	45%	2.02	45%	3.20	55%	13.29	32%
Overall weighted-average (4-5 yr old)		9.57	45%	2.39	45%	3.20	55%	15.16	32%
Overall weighted-average (6-10 yr old)		12.66	45%	3.16	45%	3.20	55%	19.02	32%
Overall weighted-average (11-15 yr old)		16.38	45%	4.10	45%	3.20	55%	23.67	32%
Overall weighted-average (16-20 yr old)		17.92	45%	4.48	45%	3.20	55%	25.59	32%
Paddy Rice	53.4%	5.81	81.4%	1.45	81.4%	3.00	98.1%	12.87	57%
Cash Crops (0-3 yr old)	22%	10.67	34%	2.67	34%	3.42	52%	16.75	25%
Cash Crops (4-5 yr old)	22%	13.87	34%	3.47	34%	3.42	52%	20.76	24%
Cash Crops (6-10 yr old)	22%	20.49	34%	5.12	34%	3.42	52%	29.03	24%
Cash Crops (11-15 yr old)	22%	28.48	34%	7.12	34%	3.42	52%	39.02	24%
Cash Crops (16-20 yr old)	22%	31.77	34%	7.94	34%	3.42	52%	43.12	24%
Hill Rice (0-3 yr old)	24%	10.67	34%	2.67	34%	3.42	52%	16.75	25%
Hill Rice (4-5 yr old)	24%	13.87	34%	3.47	34%	3.42	52%	20.76	24%
Hill Rice (6-10 yr old)	24%	20.49	34%	5.12	34%	3.42	52%	29.03	24%
Hill Rice (11-15 yr old)	24%	28.48	34%	7.12	34%	3.42	52%	39.02	24%
Hill Rice (16-20 yr old)	24%	31.77	34%	7.94	34%	3.42	52%	43.12	24%

#### Annex 4.5: Appendix 4 Plot locations

Plot ID	Northing*	Easting*
PC01	0724654	1361442
PC02	0724643	1361518
PC03	0725001	1361430
PC04	0724709	1361280
PC05	0724929	1361234
PC06	0724939	1361369
OA07	0704461	1339001
OA08	0704459	1339159
OA09	0704715	1339123
OA10	0704713	1339651
OA11	0704673	1339590
OA12	0704708	1339533
OA13	0704766	1339592
OA14	0706484	1340106
OA15	0706603	1340116
OA16	0706440	1339989
SP017	0704337	1347337
SP018	0704579	1347490
SP019	0704591	1347703
SP020	0704453	1347510
SP021	0704834	1347600
SP022	0704486	1347547
SP024	0704085	1347981

\*Indian 1960 UTM 48N

### Annex 5.1 Review of Potential Negative Project Impacts on Communities and Proposed Mitigation Measures

Action	Expected positive impacts	Potential negative impacts	Most vulnerable stakeholders	Assessment and mitigation of threats
<b>Sub-Objective #1: Key legal and planning documents for the Seima Protection Forest/Keo Seima Wildlife Sanctuary and surrounding landscape are approved and implemented</b>				
Action #1: Support for sub-decree maintained among senior levels of government and general public	recognition and protection of traditional/existing livelihoods, reduced risk from concessions, infrastructure, migration etc., improved status of key natural resources, REDD+ finance for livelihood improvement	restriction of development options	poorest, women, IP	in fact there is no significant restriction on options for community development beyond those in national law mitigation of any possible restriction of options comes from increased investment in alternative and improved livelihoods
Action #2: Management plan approved and implemented (including zonation and regulations)	clearer definition of existing rights and responsibilities, strengthen capacity of MoE to implement activities/manage threats, improved status of key natural resources	zonation will exclude traditional harvest activities in certain areas (to be defined through consultation)	IP, forest-dependent Kh users	this is best considered voluntary displacement of customary uses,: further FPIC will be sought for this step, risks will be countered by careful design and piloting, compensation for resin tree users, targeted provision of alternative livelihoods
Action #3: Mondulkiri Provincial Corridors strategy implemented (maintaining links to other forests)	increased involvement of provincial authorities in supporting SPF/KSWS management and controlling threats	none	-	
Action #4: Develop partnerships with the private sector (to reduce impacts by companies)	reduced negative impacts from company activities	none	-	
Action #5: Develop international cross-border dialogue	reduced cross-border impacts (esp. logging, illegal hunting)	none	-	
Action #6: Adaptive Management system (regular public reviews and workplans)	SPF/KSWS management responds to changes in community needs/attitudes	undue representation of certain groups	-	structured, balanced forum for participation

Action	Expected positive impacts	Potential negative impacts	Most vulnerable stakeholders	Assessment and mitigation of threats
<b>Sub-Objective #2: To reduce forest and wildlife crime by direct law enforcement</b>				
Action #1: Enforce wildlife, forest and protected area laws and sub-decree through patrols	effective control and deterrence of illegal activities by outsiders and community members; improved security of land and forest resources; improved general law and order situation	inappropriate prevention of legal uses, selective enforcement, over-harsh punishment, unclear rules	IP, poor Kh users	legal awareness, monitoring, training, enforcement strategies, demarcation/regulations, grievance system, regular staff reviews, strong responses to any corruption found
Action #2: Establish and implement law enforcement monitoring framework	increased effectiveness of Action#1	physical risks to informants from criminals	non-powerful people	voluntary participation, incentives not enough to motivate undue personal risk taking, confidentiality rules, adaptive management, grievance system
Action #3: Ensure sufficient patrol buildings, equipment and staffing	increased effectiveness of Action#1	buildings on community land		obtain community approval before building or seek other locations
Action #4: Ensure sufficient patrol personnel capacity	increased effectiveness of Action#1	none	-	
Action #5: Liaise with Provincial, National and other authorities	increased effectiveness of Action#1	none	-	
Action #6: Establish Community-based Patrolling and/or monitoring system	additional control and deterrence of illegal activities by outsiders and community members; improved security of land and forest resources; improved general law and order situation; jobs for community members	risk from offenders; conflict within community; legal liability	IP, poor Kh users	manage through community groups; voluntary participation, participatory approaches; coordinate with local government; adaptive management; develop cautiously to resolve legal issues



Action	Expected positive impacts	Potential negative impacts	Most vulnerable stakeholders	Assessment and mitigation of threats
<b>Sub-Objective #3: Land and resource use by all core zone communities is sustainable</b>				
Action #1: Form and maintain land-use agreements with communities	increase tenure security, improve management of threats, build community cooperation/strengthen traditional systems and cultural norms	communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for	IP, poor Kh users	participatory process, safeguards for all village members; grievance process; local gov. oversight
Action #2: Legally register communities and users	increase tenure security, improve management of threats, build community cooperation/strengthen traditional systems and cultural norms	CBO formation gives too much power to some groups; individual registration excludes some users unfairly	IP, poor Kh users	participatory process (= national process for ICC, local process for user cards), safeguards for all village members; grievance process; local gov oversight
Action #3: Indigenous land titling in appropriate communities	further increase tenure security and define boundaries of carbon ownership	communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for	IP, poor Kh users	participatory process, safeguards for all village members; grievance process; local gov oversight
Action #4: Demarcation of the Forest Estate; reforestation of recent clearance	improve management of threats, clarify extent of rights (reduce risk of conflict with the law); reforestation sequesters carbon, increases supply of forest products/biodiversity and	communities allocated too little land; process causes/revives conflicts or changes social dynamics; marginalized groups not accounted for; reforestation in wrong areas	IP, poor Kh users	participatory process (see WCS/FA/MoE 2009), safeguards for all village members; grievance process; local gov oversight
Action #5: Conduct extension and communication activities	support all other activities	none	-	
Action #6: Liaise with Commune Council and other agencies	support all other activities	none	-	
Action #7: Engage with civil society organizations operating Project Area	support all other activities	none	-	
Action #8: Ensure the capacity of Project staff is sufficient	support all other activities	none	-	

Action	Expected positive impacts	Potential negative impacts	Most vulnerable stakeholders	Assessment and mitigation of threats
<b>Sub-Objective #4: Support for alternative livelihoods that reduce deforestation</b>				
Action #1: Establish sustainable timber harvests in buffer zone areas	bring forest under sustainable management, control threats, alternative and improved livelihoods	damage from logging, corruption/social conflict, inequitable benefit-sharing; business liabilities	IP, women, elderly	FA approval of management plan/ESIA; financial safeguards; participatory approach, oversight by local authorities
Action #2: Establish community-based ecotourism	alternative and improved livelihoods; incentives to change behavior and control threats	environmental and social impacts from tourists, corruption/ social conflict, inequitable benefit-sharing; business liabilities	IP, women, elderly	environmental screening/monitoring; code of conduct for tourists and agents; participatory approach, oversight by local authorities
Action #3: Support agricultural extension activities	alternative and improved livelihoods, incentives to change behavior and control threats	inequitable benefit-sharing, corruption	IP, women, elderly	participatory approach, oversight by local authorities
Action #4: Provide infrastructure support linked to conservation activities	alternative and improved livelihoods, incentives to change behavior and control threats	inequitable benefit-sharing, corruption	IP, women, elderly	participatory approach, oversight by local authorities
Action #5: Develop NTFP-based livelihood projects	bring forest under sustainable management, control threats, alternative and improved livelihoods	over-harvest, corruption/social conflict, inequitable benefit-sharing; business liabilities	IP, women, elderly	FA approval of management plan/ESIA; participatory approach, oversight by local authorities
Action #6: Develop and manage a system to share carbon benefits	alternative and improved livelihoods, incentives to change behavior	corruption/social conflict, inequitable benefit-sharing	IP, women, elderly	participatory approach, oversight by local and national authorities
Action #7: Improve literacy and numeracy	increase capacity to participate in other activities; increase off-farm livelihood opportunities	inequitable benefit-sharing	IP, women, elderly	participatory approach, oversight by local authorities

Action	Expected positive impacts	Potential negative impacts	Most vulnerable stakeholders	Assessment and mitigation of threats
<b>Sub-Objective #5: Collect information on long-term ecological and social trends</b>				
Action #1: Monitoring of trends in forest cover	assess threats, measure success	none		
Action #2: Monitoring of key wildlife species	assess threats, measure success	none		
Action #3: Socio-economic and demography monitoring	assess threats, measure success/negative impacts	none		
Action #4: Facilitate research that will benefit the management of the SPF/KSWS	inform adaptive management	unethical research		ensure ethical review by source institution
Action #5: Ensure sufficient staff capacity is available	support other activities	none		
<b>Sub-Objective #6: Effective administrative, accounting and logistical procedures are in place</b>				
Action #1: Evaluation and feedback on staff capacity, effectiveness and training needs	support other activities	none		
Action #2: Develop and maintain effective management, administrative and accounting systems	support other activities	none		
<b>Sub-Objective #7: Long-term financial security</b>				
Action #1: Develop and Implement REDD+ project	ensure documentation, consent and approvals to allow sale of carbon credits	covered elsewhere		
Action #2: Establish Eastern Plains Trust Fund	ensure transparent long-term sustainable management of funds	none		
Action #3: Continued support of a wide range of donor partners	maintain funding for baseline levels of protection	none		
Action #4: Increase use of commune development funds for project activities	reduce need for external funding	none		system already has many safeguards

## **Annex 6.1. Document History**

### **Reduced Emissions from Deforestation and Degradation in Seima Protection Forest, Cambodia Version 2.10**

VCS validated version, validated December 2014

### **Reduced Emissions from Deforestation and Degradation in Seima Protection Forest, Cambodia Version 5.0**

CCBA validated version, validated November 2015

### **REDD+ in Keo Seima Wildlife Sanctuary, Cambodia Version 7.0**

Bridging Validation December 2016

Revisions occur throughout the Project Document due to the protected area name change from Seima Protection Forest (SPF) to the Keo Seima Wildlife Sanctuary (KSWS) and the project proponent change from the Forestry Administration (FA) to the Ministry of Environment (MoE). Substantive changes can be found in the following:

Section 1 Summary of Project

Section 1.2.4 Land Tenure

Section 1.3 Project Proponent (G4)

Section 1.4.1 Technical Partners

Section 1.4.2 Skills necessary for project implementation

Section 2.5.1 Financial health of the implementing organizations

Section 2.5.3 Policies and procedures for anti-corruption

Section 2.6.1 Staff training

Annex 1.1 Contact Information for Project Proponent and Partners