

TEMPLATE AND GUIDANCE FOR SUBMISSION OF NEW SOCIALCARBON® INDICATORS

DOCUMENT REVISION HISTORY

Version	Description of the main adjustments	Review Date
01	First version.	02/2010
1.1	Re-formatted	09/06/2011
1.2	Language improvement	16/08/2013

1. Identifying the Project
2. General orientation for Accredited Organizations
3. Guidelines for SOCIALCARBON indicators
4. List of potential social, economic and environmental impacts
5. List significant risks for the project
6. List of stakeholders affected by the project
7. Benchmarking
8. Indicators

1. Identifying the Project

Project name: Indicators for REDD + SFMP Projects

Contact responsible for indicators: Larissa Tega da Fonseca and Marcelo Haddad

Version/Date of indicators: Version 1.2 / 05.07.2017

2. General orientation for Accredited Organizations

- a. Inform the Ecologica Institute about all projects to which the SOCIALCARBON Standard will be applied.
- b. Submit all new indicators for prior approval by the Ecologica Institute.
- c. The Ecologica Institute will publish the approved indicators at www.socialcarbon.org for a 30-days consultation period.

3. Guidelines for SOCIALCARBON indicators

- Project developers should start by listing potential impacts, risks and stakeholders associated with the project activity according to the tables provided on the template.
- Project developers are invited to indicate the benchmarking used as sources and/or guidelines, including other SOCIALCARBON reports or indicators.
- After listing all relevant aspects of the project, the project developer must select which to be monitored through Indicators along the lifetime of the project and distribute them among the different resources of the methodology: social, human, financial, natural, biodiversity/technology and carbon.
- Each of the aspects selected shall be then detailed in an Indicator of this resource. The number of indicators will vary according to the needs of each project, but the SOCIALCARBON Team recommends a minimum of three and a maximum of ten indicators for each resource.
- Next, the indicators receive scores ranging from the worst scenario (level 1) to the best scenario (sustainable use of resource - level 6), according to the following guidelines:

Scores	Classification	Characteristics
1 and 2	Critical	Existence of irregularities; high socio-environmental risk; significant levels of social and environmental degradation or situation of extreme hardship, which significantly compromises the quality of life of the population.
3 and 4	Satisfactory	Meets all the legal requirements related to the activities; surpasses them through the adoption of good practices and voluntary initiative in some cases; or the quality of life reaches the minimum acceptable standard but requires improvement.
5 and 6	Sustainable	Exceeds its legal obligations and/or common practice in the market, in many cases adopting the best-possible practices for the sector; or communities have reached a sustainable livelihood, with adequate access to material and social goods, are capable of recovering independently from situations of stress, and are not causing the deterioration of basic environmental resources through their activities.

4. List of potential social, economic and environmental impacts

The description of social, environmental and economic impacts does not demand new research but must be based on other existent sources of information, for example: reports, results of consultation with stakeholders, similar projects or opinions of experts. If required by the national competent authorities, documents about the analysis of the environmental impacts and mitigation programs must be presented.

Activity	Aspect	Impact	Effect		Comments/ Observation
			Beneficial	Adverse	
Sustainable forest management	Frighten animals	Hunting shortage		X	- Biodiversity resource: Biodiversity monitoring; Impact on remaining flora
Sustainable forest management	Vehicle transport	Air Pollution, Noise and soil erosion		X	- Human resource: Conflict management
Sustainable forest management	Land demarcation processes	Land tenure	X		- Natural resource: Land tenure
Sustainable forest management	Presence of company/workers on local communities	Conflicts between company/workers and local communities		X	- Human resource: Conflict management; Public health - Carbon resource: Stakeholder consultation
REDD carbon project	Conservation of Amazon Rainforest	Avoided deforestation	X		- Carbon resource: Project performance; Buffer reduction
REDD carbon project	Empowerment	Increase independence of communities in the project area.	X		- Social resource: Associations and cooperatives; Women inclusion - Human resource: Community education and training - Financial resource: Alternative income sources Biodiversity resource: Non timber

					forest products (NTFPs)
REDD carbon project	Application of the Social Carbon methodology	Encouragement, monitoring and investment on social, economic and environmental aspects in the project region.	X		<ul style="list-style-type: none"> - Social resource: Women inclusion; Expansion of community activities - Financial resource: Secure funds; Carbon credit Investments - Natural resource: Social and Environmental Investments; Control and Quality monitoring

List of references when applicable:

SANTOS, E.V.P. **Diagnóstico Socioambiental da População Residente no Entorno do Manejo Florestal Fazenda Seringal Novo Macapá.** Madeiras do Acre. Maio de 2015.

SANTOS, E.V.P. **Identificação dos Impactos do Manejo Florestal Fazenda Seringal Novo Macapá à População do Entorno.** Madeiras do Acre. Maio de 2015.

5. List of significant risks for the project

Present a list of significant risks for the project.

Activity	Aspect	Risk	Comments/observation
REDD carbon project	Uncertainties relating to standing forest in the future.	Non permanence of carbon: Time which carbon will remain stocked in live biomass, without being emitted into the atmosphere. Due to the uncertainties related to what will happen to the forest in future, there is a risk of non-permanence of forest carbon.	Carbon resource: Buffer reduction
REDD carbon	Land demarcation processes	Risk of land invasion by deforestation	Natural resource: Land tenure

project		agents	Human resource: Conflict management
REDD carbon project	Sustainable forest management plan	Risk of non-performance of the sustainable forest management plan.	Financial resource: Alternative income sources Biodiversity resource: Non timber forest products (NTFPs)

6. List of stakeholders affected by the project

The table below includes a list of stakeholders that are affected by the sustainable forest management plan. All stakeholders have already been warned and consulted about the activity of sustainable forest management plan.

Stakeholder	Brief description of how the project affects the stakeholders mentioned
Communities living inside the project area	Potential improvement of living conditions, land tenure, employment, education, among others. Potential limiting/ prohibition of access to timber, firewood and deforestation for agriculture or living areas.
Agency (ies) and Institutions of Project Municipality(ies) and State - IMAZON: Instituto do Homem e Meio Ambiente da Amazônia - IPAM: Instituto de Pesquisa Ambiental da Amazônia - INPA: Instituto Nacional de Pesquisas da Amazônia - SBF: Secretaria de Biodiversidade e Florestas - IMAC: Instituto do Meio Ambiente do Acre - SEMA: Secretaria de Estado de Meio Ambiente do Acre - SEDENS - Secretaria de Desenvolvimento Florestal, do	Federal, State and Municipal agencies, foundation and institutes will interact with the project in a variety of ways, such as: issuing municipal / state licenses and contributing with studies / research on the region, communication / dissemination of the carbon project, among others.

<p>Comercio, da Indústria e dos Serviços Sustentáveis</p> <ul style="list-style-type: none">- FUNAI - Fundação Nacional do Índio- FUNTAC: Fundação de Tecnologia do Estado do Acre- IBAMA (Instituto do Meio Ambiente e dos Recursos Naturais Renováveis)- ICMBio: Instituto Chico Mendes de Conservação da Biodiversidade- ITERACRE: Instituto de Terras do Acre- IPHAN: Instituto do Patrimônio Histórico e Artístico Nacional- Secretaria de Estado de Extensão Agroflorestal e Produção Familiar do Acre- Secretaria Municipal de Saúde de Manoel Urbano- Secretaria Estadual de Educação - Núcleo de Manoel Urbano- Secretaria Municipal de Educação de Manoel Urbano- Secretaria de Estado de Pequenos Negócios do Acre	
---	--

7. Indicators

Social Resource: Includes the networks, social duties, social relationships, relationships of trust, affiliations, and associations.

Indicator	Description	Evaluation Methods
Women Inclusion	Evaluates initiatives implemented by the company to promote women inclusion in the community activities. Campaigns: Punctual actions that do not have continuity, such as lectures, women's inclusion week, among others. Program: Set of continuous actions to promote women inclusion in the community activities, offering equal opportunities of access to goods and services for all.	Questionnaire, interviews with communities, reports, among others.
Expansion of community activities	Evaluates whether the community activities implemented by the company extend to all affected communities.	Questionnaire, interviews with communities, reports, among others.
Associations and cooperatives	Evaluates whether communities residing in the project area are involved in/around associations or cooperatives. Association: Group of two or more people who organize themselves to defend their common interests, without financial ends and existing as a legal entity. Cooperative: Organization consisting of at least twenty private individuals acting cooperatively and mutually assisting each other, with democratic, participatory management, with common economic and social goals, of which the legal and doctrinal aspects are independent of those of other organizations and societies.	Questionnaires; interviews with communities; meeting minutes; attendance lists; association records.

Indicator	1	2	3	4	5	6
Women Inclusion	There are no initiatives	There are plans to implement	There are campaigns aiming	There are monitored	In addition to the previous scenario,	There is no barrier and women are fully

	related to women inclusion.	actions to promote women inclusion in the community activities.	to promote women inclusion in the community activities.	programs to promote women inclusion in the community activities.	there are positive results related to women inclusion in the communities.	integrated into the community.
Extent of community activities	There are no social activities to the surrounding community.	There are social activities that reach at least one community.	There are social activities that reach up to three communities.	There are activities that reach up to five communities.	There are activities that reach up to eight communities.	Social activities reach 100% of the communities affected by the project.
Associations and cooperatives	Absence of associations and cooperatives; individual action predominates.	Attempts to form associations or cooperatives have been made, meetings are informal.	An association or cooperative is regularly attended and formally registered; however, there are no recognized leaders within the community.	An association or cooperative is regularly attended and formally registered, and there are recognized leaders from the community.	In addition to the previous scenario, there is a formally registered, regularly attended association or cooperative that is generating positive results for the community (e.g. objectives have been achieved).	In addition to the previous scenario, the association/cooperative is independent (not in need of external support).

Human Resource: Includes the skills, knowledge, capacities for work and good health that people have. Taken together, these become fundamental for the successful pursuit of different strategies.

Indicator	Description	Evaluation Methods
Conflict management	Evaluates the company's procedures to identify and deal with conflicts in the surrounding communities, as well as the actions that are being taken so that they do not recur.	Questionnaire, procedures, interviews with communities, reports, among others.
Public health	Evaluates the company's actions to mitigate the impacts of its activities related to the public health of surrounding communities.	Questionnaire, interviews with communities, reports, among others.
Community education and training	Evaluates the relevant education and training programs implemented as a project activity, including additional programs to the stakeholders and broader community.	Questionnaire, interviews with communities, reports, among others.

Indicator	1	2	3	4	5	6
Conflict management	There are no actions related to conflict management.	There are actions related to conflict management however they are informal.	There are procedures to identify AND deal with conflicts.	In addition to the previous scenario, all conflicts identified are being treated and monitored. Efforts are carried out to ensure that they will not be repeated.	In addition to the previous scenario, the company has preventive actions to prevent the emergence of new conflicts, e.g. the company provides a team to gather opinions and solve conflicts.	In addition to the previous scenario, the local community is satisfied with community activities.
Public health	There are no actions related to public health.	There are isolated initiatives, which have little impact, in the public	There are lectures OR campaigns to create awareness in the	There are lectures AND campaigns to create awareness in the	In addition to the previous scenario, the company monitors public	In addition to the previous scenario, there are actions to solve the public

		health area, for example: distribution of information pamphlets.	communities and prevent themes related to public health (e.g. prostitution, violence against women, alcohol abuse, drug use, among others).	communities and prevent themes related to public health (e.g. prostitution, violence against women, alcohol abuse, drug use, among others).	health problems in the communities affected by the project.	health problems.
Community education and training	There are no education and training activities.	There are no education and training activities, however the company promotes lectures on different themes.	The company offers an education / training activity in ONE of the following areas: - alternative income sources (e.g. collecting Brazil nuts) - education (e.g. literacy) - sustainable forest management	The company offers an education / training activity in TWO of the following areas: - alternative income sources (e.g. collecting Brazil nuts) - education (e.g. literacy) - sustainable forest management	The company offers an education / training activity in the following areas: - alternative income sources (e.g. collecting Brazil nuts) - education (e.g. literacy) - sustainable forest management	In addition to the previous scenario, the company simulates entrepreneurship (e.g. support, lectures, microloans among others).

Financial Resource: Includes the basic capital in the form of cash, credit/debt and other economic goods that are, or may become, available.

Indicator	Description	Evaluation Methods
Alternative income sources	Evaluates whether the project created alternative sources of income generation for the communities living within/surrounding the project area.	Questionnaire, interviews with communities
Carbon credit benefits	Evaluates whether proceeds from the sale of carbon credits was distributed to carbon project improvements or activities that benefit the local community.	Questionnaire and/or control spreadsheets.
Securing of funds	Evaluates the project proponent's participation in requests for proposals/ programs to secure funds. Also monitors whether project participants were successful, and whether the funds raised are creating activities for communities resident in/around the project area.	Questionnaire, requests for proposals, meetings with project proponent and project area supervisors; interviews with communities and program teachers/ trainers.

Indicator	1	2	3	4	5	6
Alternative income sources	The project does not generate any alternative income sources for the local communities.	The project generates one alternative income source for the local communities.	The project generates two alternative income sources for the local communities.	The project generates three alternative income sources for the local communities.	The project generates four alternative income sources for the local communities.	The project generates more than five alternative income sources for the local communities.
Carbon credit benefits	The income generated by carbon credit sales was not distributed to the carbon project or	Less than 20% of the income generated by carbon credit sales was distributed to the	Between 20 and 40% of the income generated by carbon credit sales was distributed to the	Between 40 and 60% of the income generated by carbon credit sales was distributed to the	Between 60 and 80% of the income generated by carbon credit sales was distributed to the	Between 80 and 100% of the income generated by carbon credit sales was distributed to the

	in the community, or there are no organized controls of the allocation of proceeds.	carbon project or in the community development.	carbon project or in the community development.	carbon project or in the community development.	carbon project or in the community development.	carbon project or in the community development.
Securing of funds	The project proponent does not take any action to secure funds.	The project proponent participates in programs/ requests for proposal; however no funding has been secured so far.	The project proponent participates in programs/ requests for proposal, and has secured funding, and initiatives have been put into practice. However, the latter were inactive or nonexistent in the period analysed.	The project proponent participates in programs/ requests for proposal, and has secured funding, and initiatives have been put into practice. In the period analysed at least one initiative is operating.	The project proponent participates in programs/ requests for proposal, and has secured funding, and initiatives have been put into practice. In the period analysed, more than one initiative is operating, however the latter are not self-sustaining (they require funding to continue).	As well as the previous scenario, at least one of the initiatives undertaken is financially self-sufficient, not requiring any further funding to continue.

Natural Resource: Includes the stock of natural resources (soil, water, air and environmental services (soil protection, maintenance of hydrological cycles, pollution sinks, pest control, pollination, etc.), from which resources for livelihoods are derived.

Indicator	Description	Method of evaluation
Land tenure	Evaluates the existence of conflicts due to land tenure, as well as whether actions are being taken to manage the issue.	Questionnaire, documents, meetings with project proponent and project area supervisors; interviews with communities.
Social and Environmental Investments	Evaluates the socio-environmental investments in the different areas: education; alternative income generation; environment; sport and infrastructure.	Questionnaire, documents, meetings with project proponent and project area supervisors; interviews with communities.
Quality Control	Evaluates the quality control of the management plan operation.	Reports, studies, documents, communication with project proponent, among others.

Indicators	1	2	3	4	5	6
Land tenure	There are protests in the project area due to problems with land tenure.	The company has conflicts related to land tenure, and has no actions addressed to solve them.	The company has conflicts related to land tenure and started a dialogue to solve them.	The company has conflicts due to land tenure and is in the process of solving them.	Part of land tenure proceedings has been concluded and the owners already have the terms of concession and the legal land title as well as right to use those localities.	All land tenure proceedings are concluded and the owners already have the terms of concession and the legal land title as well as right to use those localities. Beyond that, the company monitors the management

						plan area to avoid new land occupation.
Social and Environmental Investments	There are no actions related to socio-environmental investments.	The company has social-environmental actions for at least one of the following topics: - education; - alternative income generation; - environment; - sport; - infrastructure.	The company has social-environmental actions for two of the following topics: - education; - alternative income generation; - environment; - sport; - infrastructure.	The company has social-environmental actions for three of the following topics: - education; - alternative income generation; - environment; - sport; - infrastructure.	The company has social-environmental actions for four of the following topics: - education; - alternative income generation; - environment; - sport; - infrastructure.	The company has social-environmental actions for all of the following topics: - education; - alternative income generation; - environment; - sport; - infrastructure.
Quality Control	There are no actions to ensure quality control of the management plan operations.	There are plans to implement quality control actions of the management plan operation.	There is quality control actions of the management plan operation in place, however failures exist (e.g. the team can only identify problems of low difficulty).	There is quality control actions of the management plan operation in place, however failures exist (e.g. the team can identify problems of low and moderate difficulty).	There is quality control actions of the management plan operation in place, however failures exist (e.g. the team can identify problems of low, moderate and high difficulty).	There is a quality control team, and the problems are identified and solved.

Biodiversity Resource: This includes the combination of species, ecosystems and genes that form the biological diversity. Relevant aspects of this component are: the integrity of natural ecosystems, the way people use and interact with biodiversity, the degree of conservation, pressures and threats imposed on native species and the existence of high priority conservation areas.

Indicator	Description	Method of Evaluation
Non-timber forest products (NTFPs)	Evaluates the sustainable use of natural resources by communities in the project area for income generation. “NTFPs are biological resources or products from flora– which are not wood – obtained from forests for subsistence or for trade. They can come from native, primary or secondary forest, planted forest or agro-forestry systems. NTFPs include a wide range of products including medicinal plants, fibres, resins, latex varieties, oils, rubbers, fruits, nuts, seasonings, dyes, rattan, bamboo, etc.” (Brazilian Forest Service, 2013). Sustainable practices are taken to include the following: - Low-impact practices; - Exploitation/ collection practices of each NTFP that are compatible with their productivity levels and without affecting their regeneration and/or conservation of each utilized species.	Communication with project proponent/ environmental bodies working in the area.
Biodiversity monitoring	Evaluates whether the company has actions to identify and monitor the local fauna and flora.	Reports, studies, documents, communication with project proponent, among others.
Impact on remaining flora	Evaluates the company actions to monitor the impact on the remaining flora..	

Indicator	1	2	3	4	5	6
Non-timber forest products (NTFPs)	Non-timber forest products are used	Non-timber forest products are	Non-timber forest products are	As well as the previous scenario,	As well as the previous scenario,	As well as the previous scenario:

	exclusively for subsistence purposes.	traded within the project area, however without sustainable practices.	traded within the project area, with sustainable practices in use.	there are studies and plans with the community in order to determine the available volumes, use, distribution, regeneration and conservation of non-timber forest products.	there are partnerships to exploit the business potential of non-timber forest products in the project area.	There is equitable distribution of the benefits of non-timber forest products. Or there are facilities to add value to non-timber forest products in the project area.
Biodiversity monitoring	There is no process of identification and monitoring of fauna and flora, nor cataloguing of timber.	There are plans to implement identification and monitoring of fauna and flora.	There is monitoring and identification of fauna AND flora.	There is monitoring and identification of fauna AND flora annually.	In addition to the previous scenario, there is botanical collection of flora and herbarium.	In addition to the previous scenario, there is a catalogue of identified woods (xiloteca).
Impact on remaining flora	There are no actions related to monitoring the impacts on the remaining flora.	There are plans to implement impact monitoring on the remaining flora.	The company is monitoring the impact on the remaining flora by one of the following operations: <ul style="list-style-type: none"> . Court . Drag . Road 	The company is monitoring the impact on the remaining flora by two of the following operations: <ul style="list-style-type: none"> . Court . Drag . Road 	The company is monitoring the impact on the remaining flora by all of the following operations: <ul style="list-style-type: none"> . Court . Drag . Road 	In addition to the previous scenario, the company has measures / initiatives to reduce its impact on the remaining flora.

--	--	--	--	--	--	--

Carbon Resource: Includes the type of carbon project developed, encompassing the project performance and methodologies utilized.

Indicator	Description	Method of evaluation
Buffer reduction	Measures the progression of the buffer in the current monitoring period compared to VCS PD and Monitoring Report.	VCS PD and Monitoring Report.
Stakeholder consultation	Evaluates the methodology used for the stakeholder consultation regarding the carbon project.	Informative letter, satisfaction questionnaire, occurrence book, etc.
Project Performance	Evaluates project performance in relation to verified emissions reductions. Project performance = Units verified in the Monitoring Report corresponding to the SCR period/ Estimate of emissions reductions in the VCS PD.	VCS PD and Monitoring Report.

Indicator	1	2	3	4	5	6
Buffer reduction	The buffer is higher in the current monitoring than in any other monitoring period (or compared to the PD).	The buffer reduced by 0 to 5% compared to the previous monitoring period (or compared to the PD).	The buffer reduced by up to 10% compared to the previous monitoring period (or compared to the PD).	The buffer reduced by up to 15% compared to the previous monitoring period (or compared to the PD).	The buffer reduced by up to 20% compared to the previous monitoring period (or compared to the PD).	The buffer reduced by more than 20% compared to the previous monitoring period (or compared to the PD). Or The buffer is currently at the minimum V-C-S

						requirement.
Stakeholder consultation	During the time period analyzed, the company did not conduct a stakeholder consultation regarding the carbon project.	During the time period analyzed, the company conducted an informal stakeholder consultation regarding the carbon project.	During the time period analyzed, the company conducted a formal stakeholder consultation regarding the carbon project and all comments were registered.	During the time period analyzed, the company conducted a formal stakeholder consultation regarding the carbon project and all comments were registered. At least one of the suggestions was addressed.	In addition to scenario 4, the company conducted systematic stakeholder consultation surveys.	In addition to scenario 5, the company has organized planning to implement stakeholder suggestions.
Project Performance	Not successful: 0% of carbon credits predicted for the period were generated.	Very Low: 1% to 25% of carbon credits predicted for the period were generated.	Low: 26% to 50% of carbon credits predicted for the period were generated.	Reasonable: 51% to 75% of carbon credits predicted for the period were generated.	Good: 76% to 95% of carbon credits predicted for the period were generated.	Excellent: More than 95% of carbon credits predicted for the period were generated.