The Governance of Forests Initiative (GFI) Guidance Manual: A Guide to Using the GFI Indicator Framework

Table of Contents

Part I: Conducting a Governance Assessment

Chapter 1: Introduction

This document, the GFI Manual, is a companion document to *Assessing Forest Governance: The Governance of Forests Initiative Indicator Framework* ("GFI Indicator Framework"). The GFI Indicator Framework provides a comprehensive menu of indicators that can be used to diagnose strengths and weaknesses in forest governance. It is available for download at: http://www.wri.org/our-work/project/governance-forests-initiative/tools#project-tabs. The GFI Manual helps researchers navigate decisions about how to design and implement a governance assessment using the GFI indicators.

1.1 About the GFI Manual

There is no single approach to undertaking a governance assessment. Decisions about what to assess and how to assess it are intrinsically linked to the goals and location of the assessment. The GFI Manual supports a customized assessment by helping researchers identify their priorities and tailor the assessment process to meet their objectives. Grounded in the experiences of the GFI network, it also draws on good practice guidance from other assessment initiatives.

Part I of the GFI Manual provides guidance on how to design and implement an assessment using the GFI indicators. It is organized around the general stages of conducting an assessment: setting objectives, designing the assessment, collecting data, analyzing results, and communicating findings. For each stage, we identify important issues to consider—such as how to engage stakeholders in assessment processes or choose appropriate research methods—and discuss potential options and trade-offs.

Part II presents the revised indicators with detailed indicator-by-indicator guidance on research methods and potential data sources. The guidance also provides examples to help researchers interpret each indicator and draw conclusions from their research.

Key Terms in the GFI Manual

Civil society organization (CSO). In this Manual, we use "civil society organization" broadly to refer to the wide array of non-governmental and non-profit organizations that have a presence in public life, expressing the interests and values of their members or others. These may include non-governmental organizations (NGOs), community groups, labor unions, indigenous groups, faith-based organizations, professional associations, and media organizations.

GFI assessment. GFI assessment refers to the pilot assessments of the GFI Indicator Framework piloted by CSOs in Brazil, Cameroon, and Indonesia between 2009 and 2011.

GFI partners. GFI partners refers specifically to those organizations from Brazil, Cameroon, and Indonesia that are members of the GFI network and completed pilot governance assessments using the GFI Indicator Framework.

Researchers. The GFI Indicator Framework and Guidance Manual can be used by a range of different groups to support activities such as research, monitoring, or advocacy. To avoid referencing the very broad range of users and uses throughout the Manual, we simply use the term "researchers" to refer to any group using the GFI Indicator Framework for any purpose.

1.2 About the Governance of Forests Initiative

The Governance of Forests Initiative (GFI) is a global network of civil society organizations from Brazil, Indonesia, Cameroon, and the United States. GFI works to promote policies and practices that strengthen forest governance to support sustainable forest management and improve local livelihoods. In 2009, we created the draft GFI Framework of Indicators to diagnose strengths and weaknesses in forest governance based on a common analytical framework. Version 1 of the GFI Indicator Framework was field-tested by GFI's civil society partners in Brazil, Cameroon, and Indonesia between 2009 and 2011. Version 2 of the GFI indicators has been revised based on partner experiences and feedback. Table 1 provides an overview of the GFI pilot assessments.

Table 1: Overview of the GFI Pilot Assessments

	Brazil	Cameroon	Indonesia
GFI Partner Organizations	- IMAZON - Instituto Centro da Vida (ICV)	- Bioresources Development and Conservation Programme—Cameroon (BDCPC) - Cameroon Ecology	- Forest Watch Indonesia (FWI) - HuMa - Indonesian Center for Environmental Law (ICEL) - Sekala - Telepak
Thematic areas of assessment[1]	- Land Tenure - Land Use Planning - Forest Management - Forest Funds[2]	- Land Use Planning - Forest Management - Forest Revenue	- Land Tenure - Land Use Planning - Forest Management - Forest Revenue
Geographic coverage of assessment	- National level - State level: Mato Grosso, Pará	- National level - Division level: Fako, Haut-Nyong, Nyong-et-Kellé, Océan	- National level - Provincial level: Central Kalimantan, West Nusa Tenggara

GFI partners have used the results of their pilot assessments to carry out evidence-based advocacy for governance reforms at local, national, and international levels, including emerging programs to *reduce emissions from deforestation and forest degradation* (collectively known as REDD+). For example:
- The **GFI Brazil** coalition developed additional indicators to carry out a detailed governance assessment of four state-level environmental funds that may be used in the future to channel REDD+ financing.
- The **GFI Indonesia** coalition launched a multistakeholder process including government, civil society, and academic representatives to adapt the global GFI indicators to the specific context of forests and governance in Indonesia. The GFI Indonesia Indicators are being used to conduct local capacity-building and research in two provinces.
- The GFI Cameroon coalition supports the REDD+−Civil Society Platform to ensure that REDD+ programs in Cameroon incorporate the needs of local stakeholders, share relevant information, and include robust mechanisms for oversight and grievance.

---

[1] Since the GFI pilot assessments used Version 1 of the GFI indicators, the titles of the thematic areas differ slightly.
[2] GFI Brazil modified the original forest revenue section to focus more specifically on forest funds.

1.3 Frequently Asked Questions about the GFI Indicators

Who can use the GFI indicators?
The GFI indicators are designed to be applicable for a wide range of groups with an interest in assessing or monitoring forest governance. Examples could include government agencies wishing to assess the effectiveness of policy implementation, legislators seeking to identify priorities for legal reforms, or civil society organizations seeking to monitor government performance.

What can the indicators be used for?
The GFI indicators can be used to carry out an assessment of forest governance, which may support a variety of objectives, such as reforming a law, building capacity of institutions, or monitoring implementation of laws. The indicators are framed as normative elements that describe governance best practices; therefore, the indicator questions can also be used as a guideline when designing new laws, policies, or programs.

Can I use the GFI indicators to compare forest governance in different countries?
The GFI Indicator Framework is designed as a research tool that generates detailed data about forest governance in a given country, region, or case study. While it is not designed to result in an index or ranking of forest governance between countries, it could be adapted for cross-country comparisons depending on the goals of the user.

Do the indicators evaluate social and environmental safeguards?
Yes and no. Although the word "safeguard" does not appear in the indicators, many of them assess the extent to which social and environmental issues are considered in national laws and policies and their implementation. The Indicator Framework can therefore be a useful tool in assessing how country systems establish social and environmental standards in law and how these standards are adhered to in practice.

Do the indicators measure impacts or outcomes?
Governance is largely about process; for example, how decisions are made rather than what those decisions are. GFI indicators are designed to evaluate the quality of processes rather than to measure impacts or outcomes. However, many of the indicators assess the content of laws and plans to determine the extent to which these are designed to promote social and environmental outcomes. Furthermore, indicators that assess policymaking and planning processes typically include questions about the outcomes of the process in order to link the quality of the process to an overall result.

One hundred and twenty-two indicators is a lot. Do I have to do all of them?
No. The indicators are organized by themes and subthemes to help researchers identify priority areas of interest—such as forest tenure, forest law enforcement, or public access to information—and focus their assessment. The choice of how many indicators to complete is up to the researcher, and varies widely depending on resources, time, the goal of the assessment, and how the data will be used.

What geographic scale can I use for applying the indicators?
The indicators are designed to be applicable at many different scales depending on the needs and interests of the user. The scale of the assessment depends on the context of the country or region of evaluation, as well as the priorities of those conducting the research. For example, the GFI civil society assessment in Brazil evaluated forest governance at the federal level as well as in two states of the Amazon since certain forest management responsibilities are decentralized.

What types of research methods can be used to complete the indicators?
The GFI Indicator Framework uses a mixed methods approach to assessing forest governance. Major data sources include laws and policies, civil society reports, government reports and information systems, and interviews with forest sector stakeholders (e.g., government officials, civil society experts, academics, forest communities, and indigenous peoples). Using the indicators does not require complex sampling or survey methodologies, although such an approach could be used.

Can scores or values be assigned to GFI indicators?
Yes. Many researchers may opt to assign scores to GFI indicators based on the data collected in order to succinctly summarize assessment results or quickly identify strengths and weaknesses. Chapter 4 of the GFI Manual discusses options for scoring GFI in greater detail, including methods used by GFI pilot assessments, pros and cons, and best practices.

Can I apply the indicators to any type of forest?
Yes. While the GFI Indicator Framework was piloted in three countries with tropical forests, it can be applied to any type of forest ecosystem (e.g., tropical, temperate, boreal) or governance regime (e.g., publicly owned, privately owned, community-managed, concession agreement). Since the indicators cover a broad range of topics beyond managing forests—such as tenure, land use planning, and functioning of government institutions—many of the indicators can also be applied in countries without significant tracts of forests or in countries promoting afforestation, reforestation, or restoration initiatives.

Can the indicators be used to assess REDD+ programs?
The indicators are designed to evaluate forest governance broadly, but many can be adapted or directly applied to assess programs to reduce emissions from deforestation and forest degradation (commonly referred to as REDD+). For example, the indicators aimed at assessing the level of public participation in decision making, the capacity of government to engage stakeholders effectively, and the existence of permanent platforms for stakeholder input into policy could all be used to assess the quality of stakeholder participation in REDD+ processes.

1.4 Overview of the GFI Framework

Forest governance is a complex concept that lacks a clear and widely agreed definition (Box 1). Rather than trying to create a new definition of forest governance, GFI created a framework to help structure the indicators and explain forest governance through several easily understood concepts. The GFI framework provides a simple way to understand forest governance by defining three foundational components of governance and five principles that characterize "good" governance. In addition, the framework outlines six thematic areas reflecting key forest-related issues of common interest and concern. The indicators are grouped by thematic area. The full list of indicators is presented in Part II of this manual.

Box 1: What is forest governance?

There is no simple or broadly accepted definition of governance. Good governance is often associated with principles such as transparency, participation, and accountability. In the context of international development, the notion of good governance is commonly seen as a critical foundation for achieving positive social, environmental, and economic outcomes.

GFI does not aim to provide a new definition of forest governance. Instead, we provide a framework for understanding the scope of institutions, laws, and practices that influence governance of forests, as well as

---

how principles of good governance are upheld in the forest sector. In particular, GFI views governance through a procedural lens that focuses on process of how decisions are made about forests, as opposed to focusing exclusively on what decisions are made or the outcomes of those decisions.

Three components of forest governance
For any given indicator, the object of assessment (i.e., the thing being scrutinized) can be one of three different components of forest governance:
- **Actors:** The GFI indicators assess a range of people and institutions that shape decisions about how forests are managed and used. These actors include government agencies, legislatures, companies, communities, the media, and civil society.
- **Rules:** The GFI indicators assess policies, laws, and regulations that affect forests. Some indicators are used to investigate the process by which policies and laws are created and changed, whereas other indicators help evaluate the content of existing policies and laws.
- **Practices:** The GFI indicators assess how actors develop and apply rules to drive practices at an operational level. For example, the indicators gauge the effectiveness of administrative processes and enforcement actions and thereby the extent to which rules are actually implemented.

Five principles of good governance
The five principles of good governance provide the benchmark of quality against which the component of forest governance (actors, rules, and practices) can be assessed. For example, an indicator may show the extent to which a government actor acts in an accountable manner or the degree to which a law promotes transparency by guaranteeing public access to information.
- **Transparency:** Transparency is the process of revealing actions so that outsiders can scrutinize them. Facilitating access to information is critical in order to inform and engage public constituents. Attributes of transparency include the comprehensiveness, timeliness, availability, and comprehensibility of information, as well as the proactiveness of efforts to inform affected groups.
- **Participation:** Diverse and meaningful input helps decision makers consider different issues, perspectives, and options when defining a problem and solution. It allows them to gather new knowledge, integrate public concerns into decision making, and manage social conflicts by bringing different stakeholders and special interest groups together at an early stage. Elements of access to participation include formal space for participation in relevant forums, the use of appropriate mechanisms to invite participation, the inclusiveness and openness of such processes, and the extent to which gathered input is taken into account.
- **Accountability:** Accountability exists when the actions and decisions taken by an actor are subject to oversight, so as to guarantee that they meet stated objectives and respond to the needs of the stakeholders they are meant to benefit. The concept of accountability involves two dimensions: answerability and enforcement. Answerability refers to the obligation to provide information about decisions and actions and justify them to stakeholders and other overseeing entities. Enforcement requires sanction and redress when the actor fails to meet its obligations. Many types of accountability relationships are relevant to forests. The accountability relationship between public officials and citizens is often particularly important.
- **Coordination:** Coordination exists when different actors whose decisions impact forests work together and share information in order to advance common objectives. Most governments have separate authorities with oversight for forests, environment, land use, agriculture, infrastructure, and so on. Horizontal coordination across economic sectors is therefore critical. In addition, many countries decentralize or devolve responsibilities for forest management across multiple administrative scales. Thus, vertical coordination across levels of government is also important.
- **Capacity:** Capacity can be broadly interpreted in terms of financial, human, technological, legal, and institutional resources to perform a function. In the context of forest governance, capacity can be

more narrowly defined as the ability to execute the other four principles of good governance described above.

Six thematic areas

The indicators are clustered according to six thematic areas, which reflect key forest-related issues of common interest and concern.

- **Forest Tenure** is a broad concept including forest ownership rights and other secondary rights to access, use, and manage forest resources. Forest tenure shapes the relationship between people with respect to forests by defining who can use what resources, for how long, and under what conditions. The indicators in this thematic area show how a broad spectrum of forest tenure rights are recognized, supported, and protected in both law and practice, whether these rights are held by communities or individuals. They also detail the legal basis for state ownership of forest lands and resources, as well as the procedures for large-scale allocation of rights in public forests through concessions or other types of licenses for commercial purposes.
- **Land Use** addresses various multisector planning processes that determine how forest lands can be used. The indicators in this thematic area explore integrated land-use planning processes—often at a national scale—that seek to put land into optimal uses given the economic and social conditions of an area. They also assess sector-specific planning processes that may impact forest land use, including the forest-specific process of classifying forest uses within designated forest areas. In addition, they address relevant planning processes from beyond the forest sector, such as ones from the mining, agriculture, infrastructure, and energy sectors.
- **Forest management** consists of the operational aspects of monitoring, managing, and enforcing the various uses of forests, including conservation and ecological uses, community uses, and commercial extractive uses. The indicators in this thematic area assess the overarching legal and policy framework that sets the objectives and parameters for forest management, as well as the strategies and plans for achieving those objectives. They also cover forest management planning and implementation at a more operational level, as well as forest monitoring and enforcement activities to ensure compliance.
- **Forest revenues** covers the entire spectrum of revenue management in the forest sector. The indicators in this thematic area address the establishment of a forest charge system (e.g., taxes, royalties, and fees related to forest extraction and use), the administration and enforcement of that system, and the earmarking and reinvestment of those revenues through central budgets, specialized funds, and other revenue-sharing arrangements. Some of the indicators particularly focus on how the benefits from forest management are shared with local communities.
- **Cross-cutting institutions** leads us to take a closer and more direct look at key actors, including the legislature, the judiciary, executive agencies, the private sector, civil society, and the media. The indicators in this section complement the first four thematic areas and can be applied multiple times. For example, the performance of the legislature can be assessed with respect to tenure laws, land use laws, or forest laws.
- **Cross-cutting issues** evaluates several key topics in more detail, including the quality of public participation and public access to information, financial transparency and accountability, and efforts to combat corruption. The indicators in this section complement the first four thematic areas and can be applied multiple times. For example, the quality of public participation can be assessed with respect to a land use planning process or a forest policy reform.

A thematic area is disaggregated into four or five subthemes, each of which includes a list of indicators (Figure 1). This organizational structure, selected for its simplicity and broad global relevance, is designed to help researchers quickly select and prioritize subsets of indicators. The complete list of thematic areas, subthemes, and indicators is found in Part II of this manual.

Figure 1: Relationship between Thematic Areas, Subthemes, and Indicators
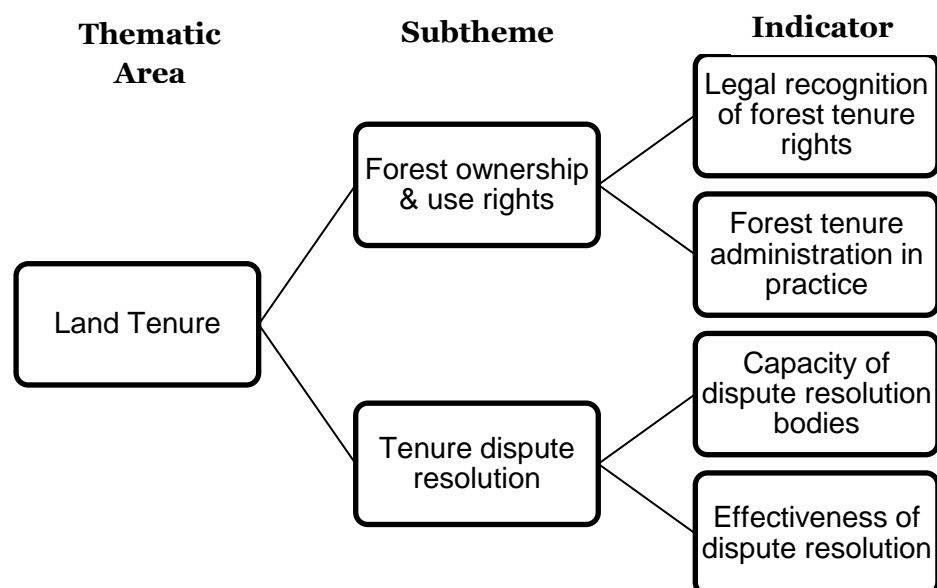
1.5 Basic structure of a GFI indicator

The term "indicator" is generally used to describe a quantitative, qualitative, or descriptive attribute that, if assessed periodically, could indicate direction of change (positive or negative) in that attribute. The GFI indicators are qualitative in nature, since they generally aim to assess quality of process rather than quantifying outputs or outcomes. Each indicator, which is categorized by a theme and subtheme, contains three parts:

- *Title*: a short phrase that summarizes the scope of the indicator
- *Diagnostic question*: a question that summarizes the qualitative scale of assessment
- *Elements of quality*: three to six qualitative elements that are the focus of data collection and help the user answer the diagnostic question in a more structured manner

Sample indicator:

Theme: Forest management
Subtheme: Forest legal and policy framework

Title: Legal basis for community participation in forest management

Diagnostic question: To what extent does the legal framework facilitate community participation in forest management?

Elements of quality:
  Participation requirements. The legal framework requires public and private forest managers to engage local communities in forest management planning and operations.
  Participation platforms. The legal framework establishes permanent structures to facilitate community participation in local forest management activities.

Community-based approaches. The legal framework promotes community-based forest management approaches.

Extension programs. The legal framework establishes financial assistance and extension programs to facilitate community-based forest management approaches.

For each indicator, Part II of this manual provides detailed guidance on completing the indicator and a format for recording data and observations for each element of quality (Table 2). For each element of quality, the researcher is expected to provide specific data, generally referred to as "evidence," that was used to draw a conclusion about the extent to which the standard set forth in the element of quality is being met. Chapters 3 and 4 provide further discussion of collecting and compiling data.

Table 2: Sample Indicator Reporting Structure

Legal basis for community participation in forest management		
Diagnostic question: To what extent does the legal framework facilitate community participation in forest management?		
Elements of Quality	**Y/N**	**Explanation**
Participation requirements. The legal framework requires public and private forest managers to engage local communities in forest management planning and operations.		
Participation platforms. The legal framework establishes permanent structures to facilitate community participation in local forest management activities.		
Community-based approaches. The legal framework promotes community-based forest management approaches.		
Extension programs. The legal framework establishes financial assistance and extension programs to facilitate community-based forest management approaches.		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low–Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium–High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	

Secondary sources Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: — Interviewee/participant name(s) and title — Institution/company/organization —Location and date of interview	

Chapter 2: Planning the Assessment

A popular adage advises us to "begin with the end in mind." This tenet is especially pertinent when launching a governance assessment. Planning is essential to focusing the research and ensuring efficient and effective use of time and resources. This chapter reviews the key issues to consider in the initial planning stages, such as setting objectives, designing the assessment, and allocating resources. In addition, it discusses options for engaging stakeholders in assessment planning and tailoring indicators to local contexts.

The planning stages discussed in this chapter should not be interpreted as discrete and sequential steps. Rather, they should be thought of as important elements of assessment planning that often take place concurrently. For example, engaging external stakeholders may be an integral part of setting assessment objectives and identifying priority topics to evaluate. In particular, resource considerations such as budget, staff, and timeline should be kept in mind throughout the planning process.

2.1 Setting Objectives

When conducting an assessment, objective setting is a critical preliminary step that provides a roadmap for the rest of the process. Defined broadly, the assessment objective is the overall outcome that researchers hope to achieve using the data collected by the assessment. Objectives could be focused on creating a specific change or reform, or they could simply aim to generate new information on a particular topic of interest. Objectives established at the start will guide decisions such as choosing which indicators to complete and identifying the target audience for communicating the results. Setting clear objectives is critical for narrowing the focus of the assessment and can also facilitate communication with target audiences about what the assessment will achieve and how the results will be useful.

Objective setting should consider the type of data that researchers hope to obtain from the assessment, as well as how overall results will be used. The GFI indicators generate a "governance baseline" that describes the current situation and identifies weaknesses related to the rules, processes, institutions, or activities being assessed. The data collected during the assessment and the resulting conclusions can be used for a range of objectives. The list below is not exhaustive, but it identifies some common general objectives for forest governance assessment and how the GFI indicators can help achieve them.

- *Influencing policy processes*. Completing the GFI indicators generates descriptive data about the governance situation in the area of assessment, including specific problems to be addressed. These data can be an important input into any type of planning cycle—whether this is a process of revising a forest law or developing a REDD+ strategy.
- *Strengthen implementation of laws, policies, or programs*. Poor implementation of forest laws and policies is a common problem that often stems in part from weak governance and oversight. GFI's "practice" indicators can be used to help identify how and why implementation deviates from the law, which can in turn help identify solutions.
- *Capacity-building*. The GFI framework and indicators were created in part to develop a common language for forest governance that could be accessible to a range of audiences. It can therefore serve as a tool for capacity-building on understanding governance concepts, identifying best practices, or collecting governance data.
- *Monitoring*. GFI indicators can also be used to monitor implementation of policies, laws, and procedures. For example, some of the indicators evaluate public participation in different types of

decision-making processes, which could be used to monitor how participation obligations are being met. The indicators could also be used to monitor implementation of activities over time.

- *Program design and evaluation.* Donors, project developers, nongovernmental organizations (NGOs), and government agencies may evaluate the impacts of projects and programs using results frameworks or evaluation criteria. The GFI indicators are framed as normative statements that define good practice for a given topic, such as conducting effective consultation processes. As such, the GFI indicators can be used both to design new interventions that seek to promote good governance and to evaluate how well projects or programs are implemented in practice.

Objectives can be framed broadly, as in the list above. However, planning an assessment generally requires a more specific articulation of why governance data are being collected and how they will be used. Table 3 provides specific examples of potential objectives for conducting an assessment.

Table 3: Sample Objectives for Forest Governance Assessment

Influencing law- and policymaking processes	- Evaluating needs for design of a new freedom of information law - Designing new benefit-sharing approaches for REDD+ programs - Identifying priorities challenges to be addressed through reform of the forest law
Strengthening implementation of laws, policies, or programs	- Identifying capacity-building needs to improve implementation of forest law enforcement - Identifying barriers to registration of land rights for forest communities to develop a new support program
Capacity-building	- Building capacity of government officials to conduct effective participation processes - Training local communities in laws and procedures for submitting public information requests
Monitoring	- Independent monitoring of compliance with REDD+ safeguards - Monitoring implementation of new program to combat illegal logging - Documenting trends in prosecuting forest crimes over time
Program design and evaluation	Designing results framework for new program supporting community forest management projects

When beginning an assessment, researchers should conduct an initial exercise to define objectives, identify target audiences, and consider how the assessment will be used. In addition, researchers may want to consider contextual factors related to the setting in which the assessment takes place, such as opportunities for influence, potential synergies with other initiatives, and risks. Table 4 presents a list of guiding questions to assist in this process. Note that initial objectives can be revisited or refined later in the assessment process, particularly if new opportunities for using results arise.

Table 4: Key Considerations for Setting Assessment Objectives

Objective:
- What is the primary objective of the assessment? Are there any additional objectives?   - What results will demonstrate that the objective has been achieved?
Notes: Objectives are often long-term, so researchers may also define short-term milestones or indicators of progress. Tracking progress toward objectives can identify where changes are needed and can also be a useful tool for communicating about project achievements.

Synergies:
• Are other organizations or ongoing initiatives working on similar issues?
• Are there opportunities to collaborate with influential actors?
Notes: Researchers should identify what research or outreach has already been done on the issue(s) of interest to ensure that the assessment will be useful. They may wish to reach out to initiatives or organizations with similar goals.
Opportunity:
• Can existing opportunities or processes be leveraged to achieve the objective?
Notes: Opportunities may arise around a particular process such as development of a new policy or a political change such as an election. Public awareness of issues identified by the assessment may need to be raised as an interim step toward creating change.
Target audience(s):
• Who is the primary target audience for achieving the desired objective?
• What other influential actors or stakeholders should be involved?
Notes: Researchers should identify the primary decision makers or implementers who need to be influenced to achieve the desired result. Other influential actors or stakeholders with an interest in the issue should also be identified. See Annex 1 for resources on stakeholder mapping.
Data Collection:
• What data need to be collected to help achieve the assessment objectives?
• Which research methods should be used to collect these data?
Notes: Researchers should consider the type of data they need to collect; for example, influencing policy may require an analysis of the existing legal framework to identify gaps. Researchers should also identify the types of research methods that will likely be used to collect this information.
Sharing results:
• How do target audiences typically obtain information?
• What research outputs can be used to communicate findings to target audiences?
Notes: Target audiences may access information in different ways. For example, forest communities often rely on radio broadcasts rather than written documents for information. Research outputs should be tailored to the intended audience, including use of appropriate languages and formats.
Risks:
• What are the potential political or reputational risks of implementing the assessment?
Notes: Researchers should identify any risks to conducting the assessment or potential barriers to achieving assessment goals. Strategies for mitigating or avoiding risks can then be developed.

2.2 Assessment Design

Once researchers have identified the general objective, target audience, and potential use of the assessment data, the next step is to consider the design of the assessment. Critical parameters include the scope and scale of the assessment. Researchers may want to consider engaging external stakeholders in this process (Box 2).

Box 2: Engaging Stakeholders in Assessment Planning

Forest governance is shaped by a broad range of actors, including government officials, legislators, forest communities, indigenous peoples, academia, nongovernmental organizations, and other members of civil society. Engaging these stakeholders in the planning process can help ensure that the needs, interests, and perceptions of stakeholder groups are reflected in assessment design and implementation. Stakeholder engagement enhances the quality and credibility of the assessment, raises the profile of the assessment, and can generate new dialogue on how to solve governance problems.

Early engagement can introduce influential decision makers to the GFI indicators and raise their awareness of the assessment process. It may also be used to solicit stakeholder input into the objectives and design of the assessment, which may help generate "buy-in" and create a sense of ownership over assessment results. Methods for gathering input may include one-on-one meetings, focus groups, workshops, or rapid surveys.

Deciding how to engage stakeholders depends largely on assessment priorities, funding, and interest from external groups. Many tools exist to aid researchers in deciding what forms of stakeholder engagement are appropriate and who should be involved. Annex 1 provides a list of tools for stakeholder identification and engagement.

Scope

The assessment objective helps define the substantive scope of the assessment and guides researchers in selecting indicators. For example, if the objective of the assessment is to help design a new law on public access to information on forests, the scope of the assessment will be focused on indicators that evaluate the extent to which the legal framework currently promotes transparency. The GFI pilot assessments identified trade-offs between conducting a comprehensive assessment of governance topics and investigating topics in depth. Researchers should therefore consider whether their assessments will be broad or narrow in scope and the level of detail required to achieve assessment objectives. Researchers should also consider the resources available and the time period for conducting the assessment in order to identify a manageable number of indicators.

The GFI framework identifies components and principles of forest governance that relate to six main themes. This organization provides a potential starting point for defining the scope of the assessment (Table 5).

Table 5: Potential Options for Narrowing the Assessment Scope

Themes	As discussed in Chapter 1, GFI groups indicators according to themes and subthemes. These categories are designed to orient the researcher. Each subtheme is organized around a particular issue, such as design of land use plans, forest law enforcement, or administration of forest revenues. Each section attempts to assess the subtheme of interest holistically by examining relevant laws, actors, and practices.
Components	Each GFI indicator assesses a particular component of governance: actors, rules, and/or practices related to the relevant subtheme. Assessment scope could also be organized around one of these components. Examples might include an analysis of land tenure laws, or an assessment of forest sector actors to identify capacity-building needs.
Principles	An assessment may also be designed to take an in-depth look at a particular governance principle, such as the overall quality of public participation in a given country or region. For example, researchers might apply indicators from the public participation subtheme to a range of topics, in addition to drawing on specific participation indicators in the

	land use and forest management themes.

Assessment objectives may not always be aligned with the organization of the indicators, although themes and subthemes can still be used as a guide for identifying relevant indicators. In particular, assessments aimed at informing new policies, programs, or projects—such as REDD+ programs or implementation of FLEGT Voluntary Partnership Agreements—are likely to be cross-cutting. Table 6 below provides a theoretical example of how relevant indicators can be selected from across the relevant subthemes.

Table 6: Example of Indicator Selection

Objective	Scope	Subtheme	Indicators
Identify reforms needed to ensure compliance of logging operations with new timber legality licenses	Assessing compliance requires an understanding of: • Legal obligations for logging operations (e.g., technical, financial, social) • Current levels of compliance with legal obligations • Effectiveness of law enforcement in monitoring compliance	Legal and policy framework for forest management	• Legal basis for forest management planning • Harvesting standards and controls
		Concession allocation	• Legal basis for allocating concessions • Concession allocation in practice • Social and environmental requirements in concession contracts • Compliance with social and environmental requirements in concession contracts
		Forest management practices	• Quality of forest management plans • Capacity of forest managers
		Forest law enforcement	• Legal basis for forest-related offenses and penalties • Legal basis for the powers of law enforcement officers • Capacity of law enforcement bodies • Monitoring and enforcement of forest law enforcement operations • Monitoring and enforcement of timber supply chains • Prosecution of forest crimes • Application of penalties
		Administration of forest charges	• Legal basis for forest charges • Measures to promote compliance with forest charges • Collection of forest charges
		Private sector	• Legal basis for corporate financial transparency • Compliance of companies with financial transparency requirements

When defining assessment scope, researchers should also consider supplementing indicators from the Forest Tenure, Land Use, Forest Management, and Forest Revenue themes with indicators on Cross-Cutting Institutions or Cross-Cutting Issues. Many of these indicators ask broader questions about the enabling environment in which forest and land laws are made and implemented—for example, in examining legislative processes, the role of the judiciary or the functioning of executive agencies. The

target audience of the assessment may also help narrow the scope, or identify where additional indicators may be of use. For example, an assessment focused on informing development of a new tenure law might also complete indicators from the legislature subtheme to better understand the lawmaking process and how the target audience—that is, legislators—typically uses information when drafting laws.

Scale of assessment

The "scale" of the assessment refers to the geographic unit of area in which the indicators are applied. Assessment scale often follows administrative boundaries. It could also refer to areas such as land use classifications (e.g. a forest reserve), contracts (e.g., logging concessions), or ecological boundaries (e.g., a watershed). Several different approaches for the scale of an assessment are described in Table 7.

Table 7: Potential Options for Assessment Scale

Approach	Description	Example
Nested	Assess across vertical scales (e.g., national, subnational, local)	Assessment of national system of forest law enforcement supported by case evidence from fieldwork in several regions
Comparative	Assess multiple units of the same type or at the same geographic scale	Comparative assessment of governance in a sample of community-managed forest areas and nearby forest concessions under private sector management
Case study	Assess in a specific area	Case study assessment of governance in an area identified as a potential REDD+ project pilot site

The GFI pilot assessments all used a nested approach that included assessment of national laws and institutions as well as subnational scales. In Brazil, many natural resource management activities are decentralized to the states, which have their own laws on forest, land use, and environmental issues. Since GFI partners conducted the assessment at both national scale and in two states of Brazil, many of the indicators were applied three times. In both Cameroon and Indonesia, where major laws and decisions related to forest resources are centralized, indicators related to laws were only applied at the national level. Partners supplemented national legal analysis with data from case study districts that described how laws were carried out in practice. Box 3 provides additional insights into identifying case study areas. In deciding on the scale of assessment, researchers should consider the following questions:
- At what scale are decisions made and implemented about the topic of assessment?
- Which level of government holds primary responsibility for natural resource management?
- Is the assessment trying to compare governance in different areas (e.g., across levels of government, in different forest concessions)?
- At what scale do the target audiences generally operate?
- At what scale are the relevant opportunities for influence using assessment results?
- What scale is feasible for the selected indicators in terms of research methods and resources?

Box 3: Identifying Case Studies

Although an assessment objective may be about a process, activity, or program that is national in scope, systematically assessing governance across the entire country is often not feasible. Researchers will need to narrow the scale of the research to a manageable area by selecting several "case study" areas at the

---

subnational level. Depending on the assessment objective, researchers may want to consider classical methods of sampling and research design to identify case studies.

Selection of subnational areas for conducting research is often a function of access and resources. For example, it may be costly to conduct field work in remote locations, so researchers may limit primary data collection to a manageable number of field sites. In addition, research teams may build on existing stakeholder relationships for collecting data, for example by interviewing communities they have worked with in the past. Such an approach may be useful in gaining the trust of those being interviewed for the research, but researchers should clearly acknowledge any potential bias this could create and take steps to mitigate it.

The GFI pilots assessments provide several options for choosing case studies:
- *Geographic coverage:* GFI Cameroon applied forest management indicators in three regions of Cameroon—South, Littoral, and East—in order to cover different parts of the forest zone.
- *Local partnerships:* A key consideration for identifying case study areas for GFI Indonesia— which conducted research in Central Kalimantan and West Nusa Tenggara—was the availability of local partners interested in working together on governance issues.
- *Environmental factors:* Since influencing REDD+ programs was a major objective of the Brazil assessment, partners conducted research in the states with the highest deforestation rates in Brazil: Pará and Mato Grosso.
- *Political factors:* GFI Indonesia's choice of Central Kalimantan as a site for field research was in part due to its political importance as a pilot province in Indonesia's REDD+ process.

2.3 Tailoring the Indicators

The GFI indicators are a flexible, globally relevant methodology. Since the indicators are designed to apply to a wide range of contexts, they may be less able to capture the nuance of local governance arrangements. Thus, it can be useful to tailor the GFI indicators in order to clarify terms and concepts or to ensure that the assessment covers a suitable range of locally relevant issues.

Decisions about whether to tailor indicators depend on the assessment objectives, audience, and resources available. Researchers may tailor the indicators themselves or launch a process that involves external actors. The latter approach can be particularly useful if capacity-building, creating dialogue, or generating early "buy-in" from target audiences are key elements of the assessment strategy. Multistakeholder engagement in planning can strengthen support for the assessment process, improve the design, and establish a user base for the results. It can also facilitate implementation by creating indicators that are easier to apply to national or local circumstances.

But what does it mean to "tailor" an indicator? The experience of the GFI Indonesia network provides some concrete examples of how to tailor global indicators to a specific country. After conducting its pilot assessment, the GFI Indonesia network launched a multistakeholder process with the National Forestry Council to adapt the GFI global indicators to the Indonesian context. GFI Indonesia aimed to produce an Indonesian forest governance standard and to create a more usable tool for the local level. By ensuring that the indicators were available in Indonesian and using more familiar terminology, GFI Indonesia has been able to facilitate uptake of the GFI approach by training local CSOs.

Examples of changes made during the tailoring process include:

- *Adding new legal indicators*. The GFI Indonesia tailoring process created 75 new indicators. GFI Indonesia wanted to capture the complex, stratified nature of the Indonesian legal system. Many of the new indicators are designed to assess laws and the functioning of the legislature in greater detail.
- *Using locally relevant terminology*. Clarifying terminology is a particularly important method for tailoring indicators to enhance local understanding. Changing indicators to reference specific institutions, processes, laws, or locally used terms makes it significantly easier for in-country stakeholders to understand and apply the indicators. One simple example is changing "land use planning" to "spatial planning" in order to reflect the relevant process in Indonesia.
- *Eliminating indicators*. GFI Indonesia was able to omit global indicators that were not relevant in Indonesia; for example, indicators relating to private forest management.
- *Prioritizing community actors*. Many of the additions to the GFI Indonesia indicators were designed to better assess the capacity, needs, and participation of community actors in decision making on land and forests in Indonesia.

When considering whether to tailor the indicators, it is useful to reflect on the amount of time and resources available for the tailoring process, as well as whether external stakeholders are interested in participating. Researchers interested in tailoring indicators may also look to lessons from other initiatives. For example, the REDD+ Social and Environmental Standards initiative is supporting multistakeholder processes to develop country-specific indicators based on a global standard in nine countries.

2.4 Resources and Timeline

Approaches to allocating financial resources, personnel, and time to conduct an assessment will vary widely depending on the objectives, scope, and scale of the assessment. This section outlines some general issues to consider when budgeting for and planning an assessment.

Financial resources

Budgeting will likely take place concurrently with the other steps in the planning process, since awareness of the available resources is critical to making decisions about the scope and scale of the assessment. The cost of conducting an assessment varies significantly depending on the scope and scale of the assessment, the amount of fieldwork required, and the general costs of paying researchers and collecting data in the country where the assessment takes place. While researchers may have a general budget identified before launching the assessment process, a more specific budgeting process should be undertaken once the scope and scale of the assessment have been defined. If, after these resource considerations have been made, the initial scope of the assessment seems unachievable, an adjustment and reprioritization of the indicators may be necessary.

Researchers should be sure to include planning and outreach costs in the assessment budget, in addition to the cost of conducting the research itself. Some general costs include:
- *Fixed costs:* Ongoing costs of the assessment typically include staff or consultant salaries, supplies and materials, and in some cases general institutional costs, such as facilities and support services.
- *Planning:* Planning phase costs may include workshops to train researchers on the indicators, costs of engaging stakeholders to help design the assessment, or costs of processes to tailor the indicators.

- *Data collection and analysis:* Primary data collection—such as conducting interviews, convening focus groups, and implementing surveys—is likely to be the major cost in the data collection phase. Additional costs may include convening meetings to review results, either internally or with external stakeholders.
- *Publication:* Costs of publishing any written outputs of the assessment should be considered up front. These will typically include editing, production costs, and printing.
- *Outreach and convening:* Outreach activities may take many forms, but they often include convening meetings, workshops, or larger events to share findings or build momentum for reform.

Assessment teams

Deciding who will collect data or be responsible for other aspects of the assessment process is a highly contextual question, particularly since groups using the GFI indicators could include government agencies, CSOs, forest communities, the private sector, or a coalition of different groups. Assessment teams may be composed of full-time staff of the institutions conducting the assessment, consultants, or a combination of the two. When making decisions about who will conduct an assessment, the following issues should be considered:
- *Size of team.* The size of the assessment team should be adequate to complete the identified indicators within the desired timeline. When planning the assessment, it is also useful to consider whether team members will be working full time on the assessment or if they have additional responsibilities that may limit their availability.
- *Expertise.* Since the governance of forests touches on a range of political, legal, social, economic, and environmental issues, assessment teams should possess some knowledge in these areas, as well as experience using social science research methods. For example, the GFI civil society coalitions bring together organizations with complementary expertise in issues such as tenure, forest monitoring, community engagement, and environmental law.
- *Roles and responsibilities.* Particularly if assessment teams include representatives of multiple institutions, defining clear roles and responsibilities is crucial to ensure that all parties have a shared understanding of how the work will be divided. Assigning roles could consist of dividing up the indicators to be completed by each team member or institution, as well as dividing administrative tasks such as overall management, logistical coordination, quality control, or outreach and communications.
- *Link to objectives.* The question of who conducts the assessment may be linked to overall assessment objectives. For example, assessments aimed at capacity-building may seek out target audiences without expertise to play a role in the assessment, since the process of conducting an assessment can be used as a learning exercise.

Timeline

Breaking the research down into a concrete schedule is also an important part of the planning process. It is often difficult to predict at the outset how much time will be required to complete the assessment, particularly if the assessment involves substantial primary data collection. The GFI pilot assessments were implemented over the course of a year, including time for iterative review of results and follow-up research. The GFI research teams found it challenging to conduct a comprehensive assessment in that amount of time, but as the original field-testers of the assessment tool they did not have detailed guidance in planning or completing the indicators. Table 8 presents an example of a timeline for conducting an assessment, including breaking the research down into specific steps.

When creating a research timeline, researchers should consider the following tips:
- *Be realistic*. For researchers creating a timeline, this is particularly important if the assessment plans to use interviews, surveys, or other forms of primary data collection. Respondents such as government officials or CSO experts may frequently be unavailable, or collecting data in remote areas may be challenging due to lack of infrastructure or roads that are impassable at certain times of year.
- *Plan holistically*. The data collection phase represents only one stage of the assessment process. Time for planning the research, including optional exercises such as training assessment teams, tailoring indicators, or engaging stakeholders in assessment design, should also be factored in.
- *Incorporate time for review*. Regular meetings to review progress, identify data gaps, and plan any follow-up research that is required are integral to ensuring assessment quality.
- *Identify specific deadlines*. Any deadlines related to the end of funding, seasonal changes that affect data collection, or time-bound opportunities for influence (such as a legislative process or public comment period) should be identified and incorporated into the assessment timeline.

Table 8: A Sample Assessment Timeline

ACTIVITY	PERIOD	RESPONSIBILITY
Identification of sources and methods	(period 1)	Team leader and lead researcher
Collection of documents	(periods 1–3)	Research team
Document analysis and response to indicators on rules	(periods 1–5)	Team leader, lead researcher and research assistants
Case study/ interviews of actors	(periods 4–12)	Lead researcher and research assistants
Midterm review meeting	(period 8)	Team leader
Data verification	(period 18)	Lead researcher/team leader
Draft report	(period 20)	Team leader and lead researcher
Meeting on reporting	(period 22)	Team leader and lead researcher
Finalize report	(periods 23–25)	Team leader and lead researcher
National launch	(period 26)	Team leader

Chapter 3: Data Collection

This chapter delves into the details of the research process. It presents an overview of common research methods and data sources for forest governance assessment, provides guidance on creating a research plan, and discusses challenges and best practices for collecting governance data.

3.1 Data Sources and Research Methods

Robust data collection practices are a critical component of the assessment. Data that can provide an indication of the quality of governance—for example, the quality of public participation or coordination of institutions—are often not documented or may be subjective. Assessments typically rely on a mix of primary and secondary data sources to gather as much evidence as possible about the issue being assessed in order to draw conclusions about the state of the governance issue being evaluated.

The choice of method will depend on each indicator or element of quality. Indicators that assess content of laws or plans can be answered by reviewing the relevant documents. Many practice-oriented indicators ask about less straightforward qualities, such as adequacy of expertise or effectiveness of stakeholder participation. The GFI indicators aim to break these complex issues down in a structured way that facilitates collection of objective evidence to answer the question. Researchers should keep in mind, however, that collecting data on governance topics (such as the quality of public participation or the extent to which government actors are accountable to the public interest) will often rely to some extent on perception-based data.

The indicator worksheets in Part II of the Guidance Manual provide initial guidance to researchers on research methods and sources for each indicator. Researchers should use this guidance as a starting point for choosing methods and sources, but should also tailor these choices based on the objectives, scope, scale, and context of the assessment. Additional discussion of the indicator guidance and how to use it can be found in Part II. Below we discuss common sources of information and research methods in greater detail.

Secondary data

Many of the GFI indicators assess the content of laws, policies, plans, and contracts or the availability of certain documents to assess levels of transparency. This entails gathering and analyzing existing secondary data such as laws, policies, government reports, and other published research (Table 9). Part II of the GFI Manual provides specific guidance on examples of documents to collect for each indicator.

Table 9: Typology of Useful Documents

Category	Document
Legal documents	• Constitution • Laws • Decrees and regulations • Court records

Other government sources	• Policy documents • Legislative records • Data from statistical institutes • Agency budgets • Administrative records • Performance reports
Civil society sources	• Research papers • Notes and reports from events • Independent monitoring reports • Academic literature • Media reports

In conducting the GFI pilot assessments, the GFI partners identified significant challenges for accessing data in Brazil, Cameroon, and Indonesia (Box 4). Despite these challenges, we found a variety of potential ways to obtain documents.

- **Formal information requests:** An estimated 94 countries worldwide have legislation on freedom of information. These laws typically establish requirements and procedures governing disclosure of information to the public. They often include formal mechanisms for petitioning information and appealing denied information requests. In countries where such legislation exists, it can be an important tool for gathering data on governance. Even where information requests are denied, documenting this process can inform assessment results by providing insight into the functioning of country's transparency systems.
- **Informal information requests:** Informal information requests—for example, ones that use personal relationships with government contacts—are often necessary in cases where access to information legislation does not exist, or when government agencies are reluctant to share information with researchers.
- **Legal databases:** For accessing laws and regulations, a variety of free online databases are available. For example, the US Library of Congress maintains the Global Legal Information Network (GLIN) and Guide to Law Online, which compile laws from around the world.
- **Other online resources:** A variety of other online resources can be helpful when conducting governance assessment. Government agencies may make certain information publicly available via website**.** Civil society websites or donor programs may be valuable resources. In Cameroon, for example, the Sectoral Program on Forests and Environment, an initiative supported by the German Technical Cooperation (GIZ), has established a website with an extensive bibliography of laws, project reports, research documents, and studies that are available for download. Websites of independent monitors or international initiatives working in specific countries can also provide useful information. For example, Global Witness's Forest Transparency Report Card provides transparency data related to forests and land use for seven countries.

Box 4: Data Collection Challenges from the GFI pilot assessments

Although the GFI pilot assessments were conducted in three very different contexts, they identified common challenges in accessing of governance data, particularly from government sources.
- *Existence*. In many cases, GFI partners found that certain types of information were not being collected. Examples include documentation of consultation processes, minutes of coordination meetings between agencies, and information on management of forest revenues and funds.
- *Quality*. Available information was sometimes inaccurate, incomplete, or out of date. Examples

---

include incomplete administrative records for registration of land ownership as well as management plans.
- *Accessibility*. Perhaps the most persistent challenge for the GFI pilot assessments in accessing information was the reticence of government institutions to disclose it. For example, Cameroon lacks clear procedures or laws requiring government agencies to proactively disclose information. Many government officials at the forest agency were therefore unsure what information could be shared publicly.

All of these limitations create obstacles for completing an assessment, but they also point to concrete opportunities to improve the existence and quality of governance data in a given country or region. Government transparency and public access to information are fundamental aspects of good governance—for the forest sector and beyond—that help create more informed citizens and more accountable governments. Documenting transparency challenges encountered during the assessment may help prompt new efforts to generate governance information or identify specific reforms for information systems.

Primary data collection

Primary data collection is critical for documenting how laws and processes are implemented in practice. It may also be an important strategy for mitigating poor access to documentation. Primary data collection often relies on soliciting stakeholder perspectives and opinions on the topics of interest. Each indicator has specific guidance on which stakeholder groups may be most relevant to provide certain types of data. These may include government officials, law enforcement officers, parliament members, municipal or state level authorities, the private sector, community and indigenous leaders, academics, journalists, CSO staff, implementing agencies or development agencies based in country, or other technical experts. Potential methods for collecting primary data are outlined below. When developing approaches for data collection, researchers should seek to include a broad range of stakeholder groups.

Interviews: Interviews are conducted in a one-on-one setting and can be structured or semistructured. A structured interview follows a set list of questions. Structured interviews may be most appropriate when seeking to compare responses from multiple interviews. A semistructured interview is more flexible and promotes two-way discussion during the interview. The interviewer prepares a questionnaire that serves as a framework for the discussion, but he or she can adapt or add new questions based on responses given during the interview. Semistructured interviews were one of the most important methods of data collection in the GFI pilot assessments, as they give the researcher the flexibility to build off the structure provided by the indicators.

Focus groups: Focus groups are interviews conducted with two or more stakeholders at the same time. The interviewer prepares questions for the group and allows respondents to discuss their answers. Results tend to be on the experiences, observations, and opinions of participants. This method of bringing different stakeholders together in a room is useful for identifying areas of concern for stakeholders, identifying convergent and divergent opinions on a particular issue, and examining social interactions between groups of actors. Focus groups can convene groups of different actors or a single type of actor. The latter approach may be particularly useful for engaging populations that may be marginalized or unlikely to speak up in mixed settings, such as indigenous peoples or rural women. Focus groups should be conducted in a participatory manner, with a neutral party as facilitator who allows respondents to drive the discussion.

Participant observation: Participant observation is often used for studying the environment and practices of a particular group. In participant observation, the researcher may maintain total distance from the group or process being observed, may participate as a bystander, or may participate as a member of the group or process taking place. Participant observation is useful for indicators that evaluate process, such as those focused on participation in decision making. Observational approaches may be particularly relevant for assessments focused on evaluating ongoing decision-making processes, or assessments focused on community level dynamics and interactions.

Surveys: Surveys involve sampling a population to gather data about a particular area of interest. They are usually administered via questionnaires that cover a broad range of topics. Survey questions may be structured as yes or no responses, multiple choice, rating scales, or they may ask open-ended questions. Surveys are often used to gather data from a relatively large sample size or population. Samples may be statistically representative of the broader population or involve stratification in which subgroups of a population are identified and targeted. Surveys may be particularly useful for obtaining data from specific stakeholder groups about their experiences with a particular type of process or service. For example, a survey could be designed to ask landowners or managers about their experiences registering property rights.

Testing Systems: Many GFI indicators test the functioning of government systems and services. Examples include indicators that assess the content of information systems, how information disclosure procedures function in practice, or the availability and affordability of government services. Testing these systems is a useful way to generate new data on the responsiveness and effectiveness of government systems. For example, when conducting their pilot assessment, GFI Brazil sent 16 information requests to the state and federal environmental agencies. They tracked whether and when requests were answered and noted that 43 percent were answered within 1 month, 6 percent in less than 3 months, and 25 percent in more than 3 months, while 25 percent were never answered.

Choosing research methods for collecting primary data

In most cases it will be useful to select a combination of data collection methods to obtain primary data. Interviews were a primary method of data collection in all three GFI pilot assessments. For this reason, the detailed indicator guidance in Part II generally suggests that researchers conduct interviews, but approaches such as focus groups or surveys could be substituted depending on the priorities of the research. Additional resources and tools for understanding and implementing each method are provided in Annex 1.

Several key considerations for considering the trade-offs of different approaches to primary data collection are listed below, and Table 10 provides corresponding guidance questions.
- *Time and accessibility*. Researchers should consider when it is more time-and cost-efficient to conduct research with individuals or in groups. This includes identifying how often respondents are available and the costs associated with each method. In particular, the costs of conducting interviews or surveys with a broad range of participants may be considerable. Methods such as focus groups or participant observation often allow researchers to more quickly and cheaply gather feedback from a larger group.
- *Level of detail*. The choice of research methods may have trade-offs in the level of detail and specificity of the information provided. Methods such as interviews and surveys rely on questionnaires that give the researcher a high level of control over the scope of questions asked. Both methods also allow researchers to ask increasingly specific questions about the issue being assessed. As such, these methods may be more appropriate for detailed studies. Focus groups and

participant observation may be more appropriate for researchers looking to assess general perceptions of governance issues or to highlight areas of agreement and disagreement on particular topics.

- *Social context.* Some respondents may be reticent to share their experiences or perceptions of governance in a group setting. This may be particularly true of traditionally marginalized groups such as indigenous peoples or women. Researchers should be sensitive to the social context in which the fieldwork is being conducted and identify forms of data collection appropriate to the target respondent or group.
- *Data management.* Researchers should consider how they plan to manage and process data, and in what formats they want to present overall assessment results. Surveys are particularly suitable for researchers seeking to generate new, systematic data on governance trends. Interviews may also be used for this purpose but may be difficult to implement on a large scale.

Table 10: Guiding Questions for Research Methods

	Guiding Questions
Time and accessibility	- What is the allotted time frame for conducting the research? - Are target respondents in reasonably accessible locations? - What are the relative costs of administering the different research methods?
Level of detail	- Are the research questions to be answered general or specific? - Are the research questions designed to assess knowledge that is unique to the target respondent or to assess general perceptions on governance?
Social context	- Are target respondents more likely to provide information in a one-on-one or a group setting? - Are there potential social or cultural barriers to obtaining feedback through certain research methods?
Data management	- Does the research aim to generate new data on governance trends or to verify conclusions from other sources? - Is the research collecting the same data from a range of groups? - How will the collected data be managed and processed? - How will data be presented?

3.2 Creating a Research Plan

Within a given subtheme, multiple indicators may often be answered using the same data sources. Developing a coherent research plan is critical to maximizing the efficiency of the assessment. A research plan should clearly identify what data need to be collected, the data collection methods that will be used, and a general timeline for completing the indicators.

1. *Identify what is being assessed for each indicator.* Each indicator includes guidance on how to define the institution, law, or activity that should be assessed—what we will call the "object of assessment." For each indicator, researchers should identify the object of assessment as a first step. Indicators in the same subtheme should be applied to the same assessment objects. For example, a researcher interested in completing the Sectoral Land Use indicators should identify a specific sector of interest for which to apply all indicators in the subtheme. Researchers interested in multiple sectors would need to apply each indicator multiple times.

2. *Identify research methods and data sources*. For each indicator, researchers should identify what data are needed, potential sources, and an appropriate research method for obtaining the data. It is often useful to begin the assessment with an exploration of existing secondary data on the topic or topics of interest through a data mapping exercise. This can help identify data gaps that should be supplemented with primary data collection. Guidance on data sources and research methods is provided for each indicator in Part II but may need to be adapted depending on the availability of data.

3. *Group methods and sources*. When planning research for indicators in the same theme or subtheme, it is useful to holistically evaluate the methods and sources required. In particular, it is useful to group questions requiring data from the same sources to expedite the research. Table 11 provides a sample approach for research planning using the Forest Charge Administration subtheme.

4. *Sequence the research*. Finally, researchers may want to consider the order in which they conduct the research. For example, in all three GFI pilot assessments researchers typically started by completing the legal indicators. Beginning with document analysis was a useful way to become familiar with the GFI approach and format, and it facilitated comparisons of law and practice when conducting subsequent fieldwork.

Table 11: A Sample GFI Research Plan

Indicator	Assessment Object	Elements of Quality	Research Method	Data Sources
Legal basis for forest charges	The laws and decrees that establish taxes, fees, or other monetary charges for forest use	All	Legal analysis, could be supplemented with interviews with legal experts	Forest policies, laws, decrees, or implementing texts related to administration of the forest charge system
Review and revision of forest charges	The processes and institutional capacity for determining rules for monetary charges	1,2,3,4	Interviews	Government officials who set the rules for and enforce the forest charge system
		1,3,5,6	Document analysis	Records of processes to review forest charges, final decisions or rules governing the forest charge system
		5,6	Interviews	Stakeholders of the forest charge system, forest owners, environmental lawyers

Types and levels of forest charges	Rules of the forest charge systems that determine types and levels of charges	All	Document analysis, interviews with officials if review does not provide sufficient detail	Forest decrees, regulations, implementing texts, guidance manuals, and other official documents defining the details of the forest charge system
Measures to promote compliance with forest charges	Systems and procedures for disclosure and ensuring compliance	1,2,3,4	Testing systems, document analysis	Systems or agency responsible for public disclosure of information on forest charges
		5	Interviews	Interviews with government officials responsible for applying penalties for noncompliance with forest charges
Collection of forest charges	Government agency responsible for collecting forest charges	1,2,4	Interviews	Agency and staff for collection of forest charges
		3	Document analysis	Administrative records of forest charge collection

3.3 Good Practices for Data Collection

Although assessment objectives, design, and methods will vary, we identify some general good practices that apply for any governance assessment process:

- *Triangulation.* While in some cases a single source may provide enough evidence to answer an element of quality, in general researchers should triangulate responses to ensure that there is sufficient evidence to draw robust conclusions. This may mean using both documents and field responses to compare perspectives, or it may require conducting interviews or surveys with many different types of actors.
- *Transparency.* It is critical that any stakeholders participating in the assessment process be clearly informed of the goals of the assessment, the methodology being used, and how their responses will be used. Such an approach raises awareness and understanding of assessment goals and ensures that respondents are comfortable answering questions. Clear explanations of the method may also further assessment goals by demonstrating to respondents the utility of collecting governance data.
- *Documenting the assessment process.* Documenting the planning and conducting of research is often overlooked, but it is critical for quality control and transparency. Researchers should record basic information about sources used and interviews conducted, document initial strategy and planning sessions, describe any processes to tailor indicators, and keep detailed information on when and where the data were collected. Documenting the assessment process—particularly research methods—will also be critical to any future assessments or ongoing monitoring. Furthermore, transparent documentation can enhance the credibility of the assessment when communicating results.
- *Confidentiality.* Given the potentially sensitive nature of the issues covered by the assessment, the researcher should protect the confidentiality of the interview responses gathered as part of the assessment. For example, individual responses to questions or any information that can be used to identify an individual who was interviewed (e.g., name, job title) should not be shared without

the respondent's explicit permission. Guaranteeing confidentiality can help build trust with interview subjects and improve their willingness to share sensitive information.

- *Awareness of limitations.* Researchers should transparently document any limitations or potential bias that stems from the assessment approach or research methods used. For example, methods such as interviews or focus groups tend to measure perceptions rather than empirical facts. While these methods can provide important observations and experiences, they can also yield information that is subjective or incomplete. Acknowledging these limitations as part of the assessment can help ensure that results are not taken out of context or misrepresented.

Chapter 4: Analyzing and Presenting Assessment Results

Analyzing data is unique to each assessment, but in this chapter we provide some lessons and insights on data analysis and presentation, including discussions of methods for scoring indicators and presenting assessment results.

4.1 Compiling and Analyzing Data

Once the data have been collected, the research team must consolidate and analyze them. Indicator worksheets in Part II provide the structure for compiling data gathered. Evidence extracted from documents, field notes, interview transcripts, and other sources should be synthesized and critically examined to draw a conclusion about the situation of governance as broken down in the elements of quality. The worksheets provided in Part II are designed to provide an internal system for recording and managing assessment data. Researchers may devise other approaches to storing and managing data, but they should be sure to be thorough in documenting the assessment object, evidence collected, and sources.

Data analysis

Analyzing governance assessment results is a highly contextual process. Most data analysis will identify areas that need improvement—for example, by noting weaknesses or gaps in existing laws, capacity, or practices. Once an initial process to identify challenges and gaps has been done, researchers may then begin to arrange or prioritize findings according to common themes or areas of interest.

Analysis of assessment data may occur at several different levels. For example, data analysis may refer to:
- Analyzing how well a specific element of quality has been met
- Analyzing data and drawing conclusions about the quality of a specific indicator
- Analyzing strengths and weaknesses across a subtheme or other group of related indicators
- Analyzing strengths and weaknesses across all indicators completed

The detailed indicator guidance in Part II is designed to assist researchers in drawing conclusions about elements of quality and indicators by providing detailed guidance on what to look for and examples of good practices. In this section, we focus on the third and fourth levels listed above; that is, how data compiled into indicator worksheets are subsequently analyzed to identify major strengths, weaknesses, trends, and conclusions.

The objective and scope of the assessment often provides the specific lens for analyzing the data. For example, if the assessment objective is to determine how well a new law promoting community forest management is functioning, the framework for analysis is relatively clear. Researchers would analyze what the collected data indicate about the level and quality of the law's implementation. Identifying clear and specific assessment objectives and scope at the outset of the assessment process can therefore facilitate data analysis.

In some instances, data analysis will be less straightforward, or researchers may identify interesting trends in the data that prompt the need for new approaches to analysis. This may be particularly true in the case of broad governance assessments that have only identified general objectives. For example, the GFI pilot assessments deliberately focused on conducting comprehensive evaluations, and analyzed the data they collected in order to prioritize subsequent research and advocacy. While this approach allows

the researcher a high level of flexibility, particularly if the assessment yields surprising data, it can also complicate quick analysis. Some additional ways researchers could analyze assessment findings in such a scenario include:

- *Legal analysis*. Researchers could analyze what the assessment data show about whether and how good governance practices identified in the GFI legal indicators are codified in the legal framework. Identifying gaps in the legal framework can aid efforts to inform legal or policy reform processes. For example, laws may call for consultation during certain types of processes but lack specific procedures to ensure that consultations are inclusive and accountable.
- *Rules vs. practice*. Identifying where practice deviates from rules, and the underlying reasons why this occurs, can be a critical step toward identifying specific solutions. Poor implementation may indicate that the rules themselves are of poor quality; it may also suggest broader lack of capacity or political will.
- *Actors*. Analyzing actors and institutions can aid researchers in identifying actors who require additional capacity-building or support. For example, if researchers found that forest communities are unaware of procedures for registering their lands, this could identify a clear need for funding and technical support to aid them in securing land rights.
- *Governance principles*. Focusing the analysis on governance principles may reveal interesting trends in how these principles are applied or defined in a given context. It may help researchers identify links between disparate issues; for example, poor coordination could be revealed to be a systemic problem across themes of land use planning, forest management, and forest revenues. Analyzing how principles are applied may also reveal certain values when it comes to good governance; for example, a lack of mechanisms for monitoring and oversight in forest and land management could signify that accountability is not considered to be of importance in managing resources.
- *National vs. subnational*. Particularly in countries with ongoing decentralization processes, analyzing assessment results to identify differences between national and subnational scales may reveal important areas where additional resources, capacity-building, and knowledge-sharing are needed. For example, researchers could find that subnational systems for managing money are significantly weaker than national systems because of a lack of training.

Scoring

Scoring is the process of assigning values or rankings in order to summarize or evaluate the overall findings. Many governance assessment methodologies use scoring as a means of assigning values that facilitate presentation of data or ranking of countries. For example, the World Governance Indicators aggregate data from various surveys and assessments to rank country performance on indicators such as voice and accountability or government effectiveness.

Scoring of the GFI indicators may or may not be necessary, depending on the objectives of the assessment. For example, if the aim is to diagnose a governance problem in order to suggest a solution, the process of systematically collecting and documenting evidence for each element of quality can provide significant insight without assigning a score to indicator. However, scoring may be useful for certain applications, particularly for monitoring trends over time.

The GFI indicator worksheets suggest a possible scoring method that employs a scale from low to high to produce an overall rating for each indicator (Table 12). For each indicator, researchers attempt to respond to the normative statement in the element of quality with a yes or no response. The scoring system for the indicator sums the total of yes responses and produces a corresponding rating as summarized in Table 14.

While the scores are not quantitative, they assign a rating of performance that can be compared with other indicators.

Table 12: GFI Scoring Method

Values	Select
Not applicable/not assessed	
Zero to one element of quality (EOQ)	Low
Two EOQs	Low–Medium
Three EOQs	Medium
Four EOQs	Medium–High
Five or more EOQs	High

The GFI Brazil partners felt that a binary response (yes or no) was not adequate to assign an accurate value to each element of quality. They developed a four-tiered scoring system to capture the extent to which good governance is observed (Table 13). Each category of response is assigned a corresponding numerical value, which is average to create an overall score for each indicator.

Table 13: GFI Brazil Scoring Method

Indicator X					
Elements of quality (EOQs)	1 Never	2 Some-times	3 Often	4 Always	Explanation
EOQ1	X				
EOQ2				X	
EOQ3			X		
EOQ4	X				
Average score	2.25				
Overall performance	1–1.5			Very weak	
	1.6–2.5			**Weak**	
	2.6–3.5			Moderate	
	3.6–4			Strong	

Both of these examples provide useful methods for categorizing and comparing indicators. It is important, however, to note that scoring is optional and largely based on the assessment objectives and context in which the assessment is being conducted. Scoring can quickly and effectively convey complex governance information to a range of audiences through the use of charts and graphs. At the same time, scoring may obscure important contextual findings or be misinterpreted. Especially in countries where governance issues are politically sensitive, a low score can be viewed as a negative reflection on institutions, agencies, or individuals and may hinder researchers' ability to generate constructive dialogue around assessment results. Researchers should keep these issues in mind when deciding whether scoring is appropriate.

Any scoring process should attempt to minimize subjectivity and promote consistency in assigning values. This is critical for comparing results for different indicators, as well as for comparing results over time. In order to ensure comparability and consistency, researchers could agree on assigned scores based on the evidence presented. Presentation of scoring results should include a transparent description of scoring methods and note any limitations or assumptions made. It may be also useful to provide a short qualitative description justifying the assigned score.

Review of results

Engaging interview subjects and other interested stakeholders in reviewing assessment results can provide an important opportunity to test the credibility of assessment results, particularly when relying heavily on perception-based data. Many existing initiatives have tools and lessons for engaging stakeholders and seeking review, some of which are listed in Annex 1. Here we provide insights into four main questions that should be asked when developing a process for stakeholder review of assessment data or results.

- *When.* Researchers may wish to share assessment data in early stages of data collection or analysis in order to incorporate feedback as soon as possible, or they may decide to wait until most of the analysis is complete. While upfront feedback is more easily incorporated into data analysis and assessment outputs, governance information can also be sensitive. Early review may be most appropriate if the goal of stakeholder review is to use feedback to revise the research or the final products of the assessment. If the goal is more focused on creating support for assessment conclusions, review should come after most of the data analysis is complete.
- *Who.* Feedback on results could be solicited from individuals who participated in the assessment process (i.e., as interview or survey respondents), target audiences for the assessment outputs (such as government officials, forest communities, or donor organizations), experts in natural resource management, or a combination of different groups. In general, researchers should link decisions about who will review results to assessment objectives; for example, researchers aiming to influence policy design would want to convene relevant policymakers.
- *How.* Researchers should carefully consider the format in which assessment results will be reviewed. Popular formats may include multistakeholder workshops, facilitated focus group discussions, one-on-one meetings, or even written review. The methods should also be tailored to assessment objectives and who is being asked for review. For example, researchers aiming to publish monitoring reports may solicit written feedback similar to a peer review process for an academic journal.
- *What.* Researchers should give careful thought to what specifically will be reviewed. Review of assessment data compiled in worksheets is challenging. Information will need to be consolidated and presented in an accessible format—particularly if researchers are using participatory formats such as workshops to engage reviewers.

The GFI pilot assessments each took a different approach to the review of results. For example, GFI Indonesia formed a National Advisory Panel of government, civil society, and academic experts to be advisors to the assessment process and provide feedback on a regular basis. GFI Cameroon held a series of workshops at local and national levels to get feedback on assessment findings and recommendations. GFI Brazil also solicited feedback from respondents who participated in the research phase. These experiences highlighted some specific lessons for engaging stakeholders in reviewing assessment results.

- *Allow sufficient time.* Whether review takes the form of a workshop or a written review, allowing sufficient time for the reviewer to become familiar with the method and data is critical. Ensuring time for review and discussion is particularly challenging when employing a workshop format; planning for review sessions should therefore seek to maximize discussion time.
- *Identify clear methods.* When engaging stakeholders in participatory methods of review, such as workshops or focus groups, researchers should set clear goals and identify specific methods for the review process. In particular, they should identify specific questions they want reviewers to answer with respect to the assessment data.

- *Be transparent.* Researchers should clearly articulate the methods for obtaining feedback to stakeholders participating in the review process. Terms of reference or lists of guiding questions are useful tools for ensuring transparency and facilitating understanding of the review process.
- *Tailor methods to the audience.* Researchers should use methods that are familiar to groups participating in the review process. For example, focus groups are typically better suited to local stakeholders or forest communities than written review of results.

4.2 Presenting Results

Deciding how to present results depends primarily on the purpose and intended outcome of the assessment. If the assessment aims at reform, the presentation is closely tied to the influence or advocacy strategy. It should also be tailored to the needs of the target audience, and focused on highlighting key messages as identified during data analysis.

Assessment outputs

Researchers may have already identified the desired outputs of the assessment during the planning process. In deciding on potential outputs, researchers consider the type of output that is most likely to reach and influence the target audience.

Common outputs for a governance assessment may include the following:
- *Reports.* The process of writing an assessment report requires researchers to conduct thorough analysis and think through the best way to report on the process and results of the assessment. As such, writing a report can be a valuable exercise in organizing results and honing key messages. Reports may also be seen as more credible than other forms of communication, especially if they have undergone extensive review. At the same time, busy government officials, forest managers, or forest communities may not use reports as a key source of information, and the costs of writing and publishing such documents may be prohibitive.
- *Focused case studies or policy briefs.* A single governance assessment may generate several smaller research products on different topics. For example, GFI Brazil has published several policy briefs based on pilot assessment findings. For example, a policy paper on governance of funds using GFI indicators can be accessed here: http://www.imazon.org.br/publications/the-state-of-amazon/governance-deficiencies-of-environmental-and-forest-funds-in-para-and-mato-grosso-en.
- *Newspaper or magazine articles.* GFI Indonesia has generated numerous articles focused on communicating assessment results to a wider audience. Bahasa Indonesia versions of these articles can be accessed here: http://tatakelolahutan.wordpress.com/.
- *Presentations.* Short presentations, whether delivered in workshops or in individual meetings with target audiences, can be effective ways to succinctly share assessment findings without investing significant time and resources in writing reports. This approach has been used often by GFI partners in workshops, international negotiations (e.g., the UNFCCC negotiations), and conferences to share experiences.
- *Brochures and posters.* Outputs such as brochures and posters are often important tools for engaging local level stakeholders, including forest communities and indigenous peoples. They may be used to communicate specific assessment findings, or to address information gaps identified as part of the assessment. For example, GFI Cameroon is developing tools aimed at building the capacity of local communities and local government authorities to understand their rights and obligations with respect to managing their allocated share of forest revenues.

Creating visual aids

Finding ways to present detailed, descriptive data on governance can be challenging. Visual aids can often help simplify descriptions and aid researchers in communicating key messages to target audiences. Researchers should explore innovative ways to create visual aids that can summarize governance data in a compelling way. For example:

- *Summary tables*. Qualitative data can be packaged and presented in a concise way. GFI researchers have often used summary tables and charts to identify high-level challenges identified using the indicators. Table 14 provides an example from GFI Cameroon that presents a high-level overview of key findings from the assessment. In addition to being useful for listing challenges, summary tables can facilitate the comparison of strengths and weaknesses, or the linking of challenges to corresponding solutions.

Table 14: Example Summary of Key Findings from GFI Cameroon

Topic	Principle	Challenges
Land Allocation Rules and Procedures	• Transparency • Capacity	• Laws and policies are not subject to public participation and take the form of presidential decrees. • Several ministries have authority and interests in the forests. • Land use planning processes conducted in the 1990s are out of date and do not reflect the current threats of hydropower, large-scale agribusiness, and mining.
Participation and Access to Information	• Transparency • Participation	• Local communities, local government, mayors, and parliamentarians are excluded from land use decision making that impacts forests. • Information on land use changes is only made available after the decision has already been made. • Participation has not been institutionalized. • The local consultation requirement for classifying forests that exist is not well implemented.
Capacity of Forest Stakeholders	• Capacity • Coordination	• MINFOF local services, local governments, and communities lack capacity to implement laws and policies that govern forest management and forest revenues, giving way to poor governance practices and corruption.
Monitoring and Oversight Mechanisms	• Accountability • Capacity	• Forest officers intended to monitor timber extraction must cover large territories. • Communities lack rights to seek redress if they do not receive their 10 percent of revenues from forest area logging fees.

- *Charts and graphs*. As we discussed in the previous section, scoring indicators can aid researchers in creating charts and graphs to illustrate governance strengths and weaknesses, as well as to compare governance across multiple institutions, geographies, or other units of interest.

4.3 Good Practices for Communicating Assessment Results

There is no single approach to presenting governance assessment results. Nonetheless, the experience of the GFI network identifies some helpful tips for researchers to keep in mind when considering options for communicating about assessment results and recommendations.

- *Present detailed evidence*. A major strength of the GFI method is the generation of evidence that can be used to support governance findings. Presenting specific examples of strong or weak governance enhances the credibility of the claims being made. Evidence can take many forms, including numerical data, documented trends, results of focus groups, or experiences of forest sector actors.
- *Make specific recommendations*. The normative format of the GFI indicators facilitates development of specific recommendations. When presenting findings and making recommendations, it is important to be specific about the types of steps that could be taken to address the identified challenges. The indicators and guidance may provide ideas and examples.
- *Consider the audience*. Presentation of results should be tailored to the target audience. This may require developing a variety of outputs, each tailored to a specific group. In particular, the level of detail of findings and proposed solutions could vary. For example, a meeting to present findings to a forest agency administrator may focus on specific ways to improve information disclosure procedures, whereas a newspaper article on transparency might summarize transparency challenges for a broader audience.
- *Tell a story*. The GFI indicators break governance down in a technical way. While technical discussions may be appropriate for certain groups, relating governance challenges to human and environmental concerns can also be a compelling way to present information. Sharing stories or experiences—either from field data collected or from the process of doing the assessment—can help relate governance challenges to the concerns and interests of target audiences.
- *Avoid overly complex language*. It may be tempting to describe the GFI methodology in deep detail or list all of the indicators researched when presenting findings. While it is important to summarize the research methods, detailed discussions of indicators and elements of quality can be overwhelming for target audiences. Detailed information on how the research was conducted and indicators completed can often be provided in a report annex or on request to interested stakeholders.

Part II: GFI Indicators and Guidance

Part II presents the revised indicators with detailed indicator-by-indicator guidance on research methods and potential data sources. This guidance aims to help researchers make decisions about researching specific indicators, understand the indicators and elements of quality, and draw conclusions based on the information collected. While we have aimed to provide guidance that is flexible and globally relevant, researchers should view it as a starting point for conducting their research rather than a prescriptive set of instructions.

About the Guidance Worksheets

Each indicator guidance worksheet is composed of 4 main sections:

1. *Indicator Guidance*. The indicator guidance section defines the scope of the indicator, defines key terms and concepts, and describes potential research methods and sources that are appropriate to the indicator. Where possible, the indicator guidance section also helps researchers choose the most appropriate Object of Assessment. For example, it may provide suggestions of laws, institutions, or types of processes that would be most relevant to the questions being posed by the indicator. Since it is impossible to provide guidance for every scenario, researchers should continue to refine their choices of what to assess and how to assess it based on the goals and context of the assessment.
2. *Element of Quality Guidance*. Each GFI indicator is composed of 3-6 "elements of quality" that are the focus of data collection and help the user answer the diagnostic question in a structured manner. The guidance worksheets provide additional explanations for each EOQ in order to guide research and analysis. Where possible, the guidance provides examples of what researchers should look for to demonstrate that an element of quality is being met (e.g., content of a law, example of a good practice).
3. *Data Collection Template* Each indicator also includes a worksheet that provides space for researchers to fill in the information collected during the research. Researchers should describe the Object of Assessment by identifying the institution, law, process, or activities that they chose to evaluate. For example, to describe the Object of Assessment for Indicator 1 on Legal recognition of forest tenure rights, researchers would identify all relevant laws related to land tenure and property rights that they reviewed to conduct the research. The worksheet also provides space for researchers to input the information collected for each element of quality and any additional notes from the research.
4. *Scoring and Documentation*. While the decision to score is up to the researcher, the indicator worksheet template provides a template for a simple scoring method based on the number of "yes" responses to the elements of quality. Further discussion of the utility of scoring and options for doing so can be found in Part I, Chapter 4. The indicator worksheet also provides space for researchers to document primary and secondary sources used during the research. All sources should be recorded for internal quality control purposes, even if some primary sources (e.g., names of those participating in interviews) are kept confidential when publicizing results.

Using the Guidance

As noted above, the detailed indicator guidance strives to provide researchers with the direction they need to complete the indicators. When using the indicator guidance worksheets, researchers should keep the following considerations in mind.

- *Provide justification.* A "yes" or "no" response to an element of quality is not enough to understand the information and reasons behind drawing such a conclusion. It is critical that researchers describe the information they collected and provide justification for how they arrived at a particular conclusion for each element of quality. Not only does this information ensure that the research is credible, it will also aid researchers as they analyze the data to identify overarching trends, draw conclusions, and make recommendations.
- *Adapt research methods.* The guidance suggests general research methods for each indicator. In general, a combination of collecting secondary documents and primary data is suggested. Often, the indicator guidance suggests interviews as the main form of primary data collection, but researchers should not feel constrained by these suggestions if methods such as surveys or focus groups are more desirable or appropriate to their assessment objectives.
- *Tailor data sources.* The guidance provides generic suggestions for the types of data sources that might available under ideal conditions, such as types of documents that may contain relevant information or groups that should be interviewed or surveyed. In many cases, the research may suggest that researchers collect documents that are very difficult to access or do not exist, for example if governments typically do not publish reports on how concessions are allocated or if key informants do not want to be interviewed. Researchers should keep these potential limitations in mind and explore additional sources of information. For example, studies or published reports completed by domestic or international CSOs may be a valuable source of evidence for the assessment.
- *Refine terminology.* While the guidance aims to use terms and concepts that are familiar across a range of specific contexts, there is nonetheless a need for researchers to interpret terminology in light of what is most relevant to their particular forest context. Researchers should be sure to identify potentially vague terms and identify what is being assessed with greater precision. For example, the guidance often uses the generic term "community" to refer generally to a local population or group of populations. We acknowledge that "community" is not a homogenous concept, and leave it up to the researchers to define the term in a culturally relevant way and decide what types of communities are most relevant in the area of assessment. For example, communities might refer more specifically to particular indigenous or ethnic groups, or may not be relevant at all.
- *Draw conclusions based on context.* While the guidance worksheets aim to help researchers draw conclusions for each elements of quality, researchers should also consider contextual factors when analyzing results and drawing conclusions. Certain governance concepts—such as equity and fairness—are inherently subjective. Researchers may need to incorporate questions about how different stakeholders define these concepts as part of their research. In addition, there is no universal definition for concepts such as timeliness, comprehensiveness, or what constitutes adequate expertise or resources. The guidance provides some initial thinking on how to evaluate these concepts, but this should be supplemented with researcher perspectives based on the evidence and context. Where possible, researchers should develop innovating ways to make these evaluations, such as identifying comparative data in order to develop a benchmark for timeliness or collecting stakeholder opinions the adequacy of resources.

1. Forest Tenure Indicators

Forest tenure shapes the relationship between people with respect to forests by defining who can use what resources, for how long, and under what conditions. Clear and secure forest tenure is widely believed to be a key enabling condition for sustainable management of forests. The forest tenure indicators are divided into four subthemes:

1.1 **Forest ownership and use rights** (hereafter called "forest tenure rights") refers to the entire bundle of forest-related property rights that may be held individually or communally in a country, including rights of land ownership and secondary rights to access, use, and manage forest resources.

1.2 **Tenure dispute resolution** refers to the efforts made by judicial, administrative, and/or community-based entities to resolve conflicts arising between individuals or groups with respect to forest tenure rights.

1.3 **State forests** are forest lands owned by the government. They may be obtained by the government through purchase or expropriation (also known as compulsory acquisition or eminent domain), and in other cases they may be designated as state forest if presumed not to belong to anybody else. This designation may be reversed by selling or giving away the land or changing the status of the land to nonforest.

1.4 **Concession allocation** refers to the process whereby the government confers significant use rights in state forests to a private entity through a contractual agreement. The agreement may be referred to as a concession, license, permit, or other contract type and often relates to commercial forest exploitation, agricultural, or mining activities.

1.1 Forest ownership and use rights

1. Legal recognition of forest tenure rights
To what extent does the legal framework for forest tenure recognize a broad spectrum of existing forest tenure rights and rights-holders?

Indicator Guidance:
Forest tenure involves a bundle of rights that includes the rights to access, withdraw, and manage land and resources, and exclude others from these activities. Full ownership of forest land typically bestows this entire bundle of rights upon the owner. Rights can be individually or communally held, and may derive from customary systems of resource management. The objective of this indicator is to evaluate the spectrum of tenure rights granted by the law. To apply this indicator, researchers should review national laws on land rights and forest tenure. Legislation may include national constitutions, land tenure laws, forest laws, and implementing regulations related to land registration and titling. Different sets of rights will be stipulated in different types of legislation. For example, rights to land ownership may be set out in land laws, while forest laws may also establish tenure rights related to management or use of forests (e.g., community forest management, forest concession systems).

Element of Quality	Guidance
1. **Individual rights.** The forest tenure rights held by individuals and households are recognized in the legal framework.	Researchers should review laws to identify all types of individual rights (e.g., ownership, access, withdrawal, management) that are officially recognized. They should describe the relative strength of these provisions, including whether general statements of recognizing rights are supported by specific rules and procedures to ensure their implementation.
2. **Communal rights.** The forest tenure rights collectively held by local communities and other relevant groups are recognized in the legal framework.	Researchers should review laws to determine the types of communal rights that are officially recognized. Researchers should describe any relevant rules or limitations with respect to the types of communal rights that are recognized; for example, whether property can be communally owned or whether rights are limited to access or management. Communal rights may be allocated to a village, traditional authority, or community user group.
3. **Traditional rights.** The forest tenure rights traditionally held by indigenous peoples and other groups with customary tenure systems are recognized in the legal framework.	This element of quality primarily applies in countries with groups that self-identify as indigenous peoples and/or have formal customary systems. Researchers should identify whether traditionally held rights to forest lands and resources are officially recognized by the legal framework. These may be recognized via Constitution (e.g., Panama, Venezuela) or through separate laws such as the national indigenous rights law in the Philippines. Researchers should describe the relative strength of these provisions, including whether general statements of recognizing rights are supported by specific rules and procedures to ensure their implementation.
4. **Rights of women.** The legal framework does not discriminate against the forest tenure rights of women.	Researchers should assess whether the legal framework for tenure explicitly recognizes women's rights to own, manage, and/or access land. They should also note any restrictions in relation to women's land rights, for example in owning land, inheriting property, or retaining land assets during marriage or

	in cases of divorce. Where relevant, researchers may also wish to review customary rules regarding women's access to land, such as whether they can own or inherit forest land.

1. Legal recognition of forest tenure rights		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Individual rights		
Communal rights		
Traditional rights		
Rights of women		
Additional notes		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

2. Legal support and protection of forest tenure rights
To what extent does the legal framework promote and protect the exercise of forest tenure rights?

Indicator Guidance:
This indicator seeks to evaluate the clarity and comprehensiveness of the legal framework for forest tenure, particularly in terms of protecting and supporting rights. It can be applied to multiple types of rights (e.g., individual, communal, customary) to assess whether a given type of right or rights-holder is adequately supported and protected under the law. Researchers should identify the type(s) of right(s) that should be assessed to meet the goals of the assessment. For example, researchers may want to compare support for individual vs. communal rights in forested areas. Researchers should review national legislation regarding land rights and forest tenure. Legislation may include national constitutions, land tenure laws, forest laws, and implementing regulations for land registration and titling.

Element of Quality	Guidance
1. **Clarity.** The legal framework defines rights clearly and consistently.	Researchers should review all relevant laws defining rights to land, forests, or trees. They should analyze whether rules governing rights to these resources clearly define the bundle of property rights (e.g., rights of access, withdrawal, management, exclusion, and alienability) that are conferred to a rights-holder. Since land laws and forest laws may define rights to forest land and trees differently, researchers should compare how these laws define rights and identify any potential contradictions or inconsistencies.
2. **Duration.** The legal framework defines rights that are of adequate duration.	Researchers should determine whether the rights being assessed are defined as time-limited or endure in perpetuity. While adequate duration will change depending on the type of rights or natural resources, researchers should attempt to evaluate whether the duration of rights is sufficient for the rights-holder to benefit from the right that is defined in law.
3. **Scope.** The legal framework defines rights that are of adequate scope.	Researchers should review whether the rights defined in the legal framework are of sufficient scope to allow rights-holders to make long-term decisions about resource management and benefit from the property rights granted to them.
4. **Restrictions.** The legal framework does not place unreasonable restrictions on how rights can be exercised.	Researchers should review the legal framework for forest tenure rights for unreasonable restrictions on land ownership or management. Examples may include burdensome restrictions on sales, transfers, or inheritance of land; limitations on which groups can own lands, or overly burdensome administrative procedures for having rights recognized. Researchers should note that some restrictions may be reasonable in the context of certain countries or situations, such as rules designed to protect the lands of indigenous peoples from being sold. Therefore, researchers may wish to consult legal scholars or groups affected by restrictions on tenure rights to assess whether they are considered reasonable.
5. **Protections.** The legal framework assures that rights cannot be taken away or changed unilaterally and unfairly, and it	The legal framework should provide certainty that rights cannot be extinguished by the government without some form of due process and compensation. Protection against forced evictions is particularly important for communities without formal rights

protects all citizens against forced evictions and denial of access to essential natural resources.	who are living in public forests. For example, laws may prohibit evictions that render individuals homeless and require all feasible alternatives to be explored prior to carrying out a forced eviction. Dedicated laws on expropriation may also include detailed requirements for notification, consultation, and compensation.
6. **Enforcement mechanisms.** The legal framework establishes mechanisms to enforce rights and seek redress when rights are not respected.	Mechanisms to enforce rights may include ensuring that rights are formally documented and registered , ensuring that boundaries are clearly demarcated, or setting up dedicated forums for rights-holders to seek redress (e.g., courts, tenure dispute resolution) in instances where rights are not respected. Researchers should review the legal framework for measures that can be used as a basis for enforcing tenure rights.

2. Legal support and protection of forest tenure rights

Object of assessment:

EOQ	Y/N	Explanation
Clarity		
Duration		
Scope		
Restrictions		
Protections		
Enforcement mechanisms		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3. Legal basis for adjudication of forest tenure rights
To what extent does the legal framework define a fair and effective process for the adjudication of forest tenure rights?

Indicator Guidance:
Adjudication is the process of final and authoritative determination of existing rights and claims of people to land and/or resources. Adjudication may occur in the context of first time registration of rights, or it may occur to resolve a doubt or dispute after registration. This indicator should be applied to any part of the legal framework that sets out a process for adjudicating tenure claims. Relevant legislation may include land tenure laws, forest laws, implementing regulations related to land administration, or procedural manuals for registering land rights.

Element of Quality	Guidance
1. **Clarity of process**. The legal framework defines a clear and streamlined process for adjudication.	Adjudication typically entails a series of processes including demarcation, resolution of overlapping claims, application review, and final adjudication of rights over land parcels. The legal framework should sequentially define these processes, including the process for first time registration of rights and, if it exists, the process for resolving disputes after registration.
2. **Requirements to identify claimants.** The legally prescribed process requires that all existing tenure claims and claimants be identified and documented at the outset.	Researchers should review the laws to identify any process related to identifying claimants. Quality procedures should spell out proactive efforts to identify claimants rather than relying on them to come forward themselves. Procedures should also clarify who is responsible for identifying claimants and any rules for how their claims should be documented.
3. **Requirements to consult claimants.** The legally prescribed process requires that all identified claimants be fully informed and consulted.	Researchers should identify any legal requirements that potential claimants be notified and consulted during first time registration or adjudication of claims. Laws or procedures may also stipulate how consultants should be notified, such as through public notice periods, and the manner of consultation.
4. **Criteria to resolve overlapping claims.** The legally prescribed process includes fair procedures and criteria for resolving overlapping claims.	Researchers should assess whether the laws identify procedures or criteria for adjudication of overlapping claims. For example, in Kenya the Land Adjudication Law allows for a locally appointed land committee to resolve overlapping claims through recognized customary laws. Criteria for resolving overlapping claims may involve who was residing there first or duration of residence of the claimants.

3. Legal basis for adjudication of forest tenure rights		
Object of assessment:		
EOQ	Y/N	Explanation
Clarity of process		
Requirements to identify claimants		
Requirements to consult claimants		
Criteria to resolve overlapping claims		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

4. Forest tenure adjudication in practice
To what extent are forest tenure rights fairly and effectively adjudicated in practice?

Indicator Guidance:
This indicator evaluates the process of adjudication on the ground to ensure that it involves transparent consultation of all claimants including vulnerable and marginalized peoples. Adjudication may occur in the context of first time registration of rights, or it may occur to resolve a doubt or dispute after registration. Researchers can apply this indicator to case studies of either type of process (e.g., registering rights or resolving claims), but should clearly identify which type of process is being assessed. Researchers should collect primary data through interviews, focus groups, surveys, or other methods to assess the transparency, inclusiveness, and fairness of the process, including whether relevant legislation on adjudication was respected in practice. Key respondents include those responsible for administering the adjudication process, claimants, or experts with knowledge of adjudication practices.

Element of Quality	Guidance
1. **Identification of claimants.** Existing tenure claims and claimants are identified and documented at the outset.	Researchers should determine whether claimants are identified by the relevant authority at the outset of the adjudication process. Researchers should also note the basis for identifying claimants, for example through existing records of land claims, field surveys, or submitted applications.
2. **Provision of information.** Claimants are provided with understandable information about the adjudication process.	Researchers should interview land administration staff and claimants to determine whether claimants were provided with clear, comprehensible information regarding the process. They should identify how information was shared, and whether it reached relevant groups in a timely manner. If possible, researchers should assess whether it is provided in relevant languages and in comprehensible terms by reviewing relevant documentation.
3. **Consultation of claimants.** Claimants are fully and effectively consulted.	Researchers should identify relevant claimants in the study area and assess whether all groups were informed and consulted, regardless of race, ethnicity, or socio-economic standing. They should assess via interviews or other relevant methods whether potentially impacted groups were made aware of the adjudication process, understood their current rights under the law, and were informed of the potential outcomes of the final determination and how to contest that decision if necessary.
4. **Support for vulnerable claimants.** Vulnerable claimants have access to legal and other relevant support as needed.	Vulnerable or marginalized claimants may lack the knowledge or expertise to navigate the adjudication process. Through interviews with claimants, researchers should identify whether technical or legal support has been provided. Support services may be provided by the land agency, agencies in charge of social affairs, or civil society organizations. Support may include help in understanding their rights, understanding the adjudication process, or documenting claims.
5. **Fairness of outcomes.** The adjudication process does not result in any forced evictions or uncompensated loss of legitimate rights.	Researchers should assess the final results of the adjudication process; these may be available in the form of registered rights, reports on the adjudication process, or by interviewing those involved. Interviews should also determine whether final decisions resulted in any displacements or reductions of rights

	(such as limiting access to non-timber forest products or cultural forests) without compensation.
6. Access to redress. Claimants have access to effective redress mechanisms if their rights are not respected.	Researchers should identify whether redress mechanisms provide claimants with specific avenues for disputing final adjudication decisions. Easily accessible channels (e.g., help desk, phone hotline, local office, or email) should be made available for claimants to file complaints and appeals. These should be recorded and addressed in a timely manner by acknowledging receipt, providing written response, and detailing resolutions or next steps.

4. Forest tenure adjudication in practice

Object of assessment:

EOQ	Y/N	Explanation
Identification of claimants		
Provision of information		
Consultation of claimants		
Support for vulnerable claimants		
Fairness of outcomes		
Access to redress		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5. Legal basis for administration³ of forest tenure rights
To what extent does the legal framework provide for fair and effective administration of forest tenure rights?

Indicator Guidance:
This indicator focuses on the legal elements that ensure effective administration of forest tenure rights. With respect to rights of ownership, administration may include activities such as titling, registering, surveying, demarcating, and transferring rights. In the case of usufruct rights, administration may include allocating permits, licenses, or other types of forest use contracts. This indicator can be applied in two different ways. Researchers may assess one specific service such as registration of land titles, or can assess all relevant services and try to assess the broader picture. In either case, legislation regarding the administration of forest tenure rights should be collected, reviewed, and evaluated. Relevant legislation may include land tenure laws, forest laws, implementing regulations related to land administration, or procedural manuals for registering land rights.

Element of Quality	Guidance
1. **Comprehensiveness.** The legal framework comprehensively regulates all types of administrative services necessary to recognize and support existing forest tenure rights.	Administration is implemented through sets of procedures, including those that define how rights can be transferred, how lands are surveyed and boundaries demarcated, how forested lands can be used, and how lands are taxed. Rules should include clear guidance for how each of these procedures is carried out.
2. **Simplicity.** Legally prescribed administrative procedures avoid unnecessary complexity and minimize opportunities for administrative discretion.	Complex procedures could include requiring multiple official approvals or time-consuming steps. Administrative discretion refers to professional judgment, rather than strict adherence to regulations. Such discretion may lead to abuse of authority or inconsistency in administrative actions. The legal framework should stipulate clear regulations to minimize complexity and discretion in administrative procedures.
3. **Fairness.** Fees and other legally prescribed requirements are reasonable and affordable for the majority of customers.	Requirements set out in the legal framework may relate to financial, legal, and technical aspects of the application process. Researchers should note the costs of the administrative procedures being assessed. Interviews or comparisons with cost of living or average wages may provide a basis for assessing whether costs are reasonable. In addition, researchers should assess whether requirements create a burden for any applicants, for example by requiring extensive surveys or frequent travel to administrative offices.
4. **Accountability.** Customers have the legal right to challenge administrative decisions.	Researchers should assess whether the legal framework outlines formal, specific procedures for petitioning land and forest agencies to reconsider administrative decisions. For example, the law should specify if the challenges are required in writing and how long after a decision customers have to make requests. Additionally, it should describe the type of information that must accompany the petition.

---

³ With respect to rights of ownership, administration may include activities such as titling, registering, surveying, demarcating, and transferring rights. In the case of usufruct rights, administration may include allocating permits, licenses, or other types of forest use contracts.

5. Legal basis for administration of forest tenure rights		
Object of assessment:		
EOQ	Y/N	Explanation
Comprehensiveness		
Simplicity		
Fairness		
Accountability		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

6. Forest tenure administration in practice
To what extent are forest tenure rights fairly and effectively administered in practice?

Indicator Guidance:
Tenure administration services include processes such as titling, registering, surveying, demarcating, and transferring rights, as well as allocating permits, licenses, or other types of forest use contracts. This indicator assesses the implementation of tenure administration in practice. Researchers should apply this indicator to the same administrative service or group of services assessed in the previous indicator on the legal framework for tenure administration. Researchers should identify the relevant agency for tenure administration and identify one or two administrative offices to assess as a case study. Tenure administration services may be provided by executive agencies responsible for land or forests, or may be decentralized to local government institutions. Researchers should gather documentation related to tenure administration (e.g., service records, performance reports, summary of services, procedural manuals) and conduct interviews with staff of the administrative agency as well as customers who have accessed administrative services. CSOs focused on tenure issues may also provide useful information.

Element of Quality	Guidance
1. **Legal compliance.** Service providers adhere to relevant laws and regulations.	Researchers should review service records and assess compliance with the laws and regulations assessed in the previous indicator. Assessing compliance may include verifying that required documentation and signatures are present, reviewing fees assessed and paid, and determining whether services are provided within the timeframe set out in the legal framework.
2. **Service standards.** Service providers advertise and adhere to clear service standards.	Service standards may refer to the types and levels of fees for different services, hours of operation, types of services provided, required documentation or procedures for each service, and the expected timeframe for completing tenure administration services. Standards may be advertised through brochures, publications, guidance documents, or even through proactive efforts such as information sessions about services provided.
3. **Nondiscrimination.** Service providers serve all customers without discrimination.	Based on the type of tenure administration services being assessed, researchers should identify all relevant customer groups that may wish to access the services in question. For example, if researchers are specifically assessing services with a narrow focus such as registration of indigenous lands, "all customers" would refer to all indigenous groups. Researchers should review service records and conduct interviews to assess whether services are available without discrimination. Evidence may include ensuring that service providers do not prioritize or fast-track certain types of applications or provide exemptions from administrative procedures without justification.
4. **Accessibility.** Service providers offer services at times and locations that are convenient to customers.	Researchers should document where tenure administration services are provided and the hours at which they are accessible. Convenience of these locations and hours to customers should be evaluated based on the types of customers and services being provided. For example, whether the target customers generally have the time, resources, and equipment to travel to office locations, and whether accessing services involves significant opportunity costs in terms of foregone wages.

5. Timeliness. Service providers provide services in a reasonable amount of time.	Through review of service records or interviews, researchers should document multiple examples of how long it took to provide the services of interest. A reasonable amount of time may be identified by the legal framework or procedural manuals; researchers should compare data collected with any legal or procedural requirements.
6. Accountability. Customers can easily file complaints and challenge administrative decisions.	Researchers should assess whether procedures for complaints or appeals of administrative decisions are accessible, specifically whether they are provided at a reasonable cost, location, and without overly burdensome procedures. They should interview or survey customers to assess their level of awareness of these procedures, in addition to reviewing any documentation or records on complaints. If possible, researchers may identify specific complaints and track how the case was processed and resolved.

6. Forest tenure administration in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Legal compliance		
Service standards		
Nondiscrimination		
Accessibility		
Timeliness		
Accountability		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

7. Information about forest tenure rights[4]
To what extent is information about forest tenure rights effectively and transparently managed?

Indicator Guidance:
This indicator assesses whether a dedicated system exists to store information about the nature and spatial extent of tenure rights in forests. An information system may refer to a database or website. Records may also be stored digitally or in hard copy in government offices. Researchers should identify the agency(s) in charge of maintaining records of forest tenure rights. It may be the agency responsible for land or forests, or the government may maintain such information through partnerships with other institutions such as CSOs, regional organizations, or implementing agencies. Records may include legal documents such as titles, deeds, certificates, licenses, permits, or other contractual agreements defining the ownership or use rights possessed by an individual, community, or the state. Systems for managing tenure rights are most likely not publicly accessible; therefore, researchers should interview staff responsible for managing these systems or those who access them frequently.

Element of Quality	Guidance
1. **Centralized system.** Information about forest tenure rights is maintained in a centralized system.	Researchers should assess whether there is a system in place that unifies all relevant information on forest tenure rights such as a mapping system or database that lists records for all relevant tenure types. Even if this information is managed by separate agencies or departments (for example, ownership rights may be managed by a land agency and management rights by the forest agency), researchers should note whether this information is integrated.
2. **Comprehensiveness.** The information system contains comprehensive records of legally recognized rights (private and public).	Researchers should identify all relevant public and private forest tenure rights and assess whether they are documented in the information system. The types of relevant rights to be recorded may already have been identified in Indicator 1. Records included in the information system may include titled lands, boundaries of forest use contracts (e.g. logging concessions, hunting areas), indigenous territories, or boundaries of protected areas and reserves.
3. **Inclusion of informal rights.** The information system contains or links to available information about informal rights.	Researchers should assess whether the information system includes any documentation of informal rights. Informal records may include community maps or other documents produced by individuals or communities to document their tenure claims.
4. **Accuracy.** The information system is up-to-date and accurate.	Information system characteristics that promote accessibility include digital records and dedicated staff to manage and update the system regularly. Researchers should assess what procedures exist to ensure that information is current, including updating of old records and creation of new ones. Researchers should also assess whether any quality control or verification mechanisms are in place to ensure that information is accurate.
5. **Government accessibility.** Information within the system	Researchers should verify whether records are available to all relevant agencies (including subnational offices) through

---

[4] Legal records of forest tenure rights may include documents such as titles, deeds, certificates, licenses, permits, or other contractual agreements defining the ownership or use rights possessed an individual, community, or the state. Informal records may include community maps or other documents produced by individuals or communities to document their tenure claims.

can be easily accessed by relevant government users.	accessible channels via the internet, governmental intra-net, or a database. If older files are unavailable electronically, the main institution in charge of record keeping should ensure that other agencies can obtain hard copies in a timely manner.

7. Information about forest tenure rights		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Centralized system		
Comprehensiveness		
Inclusion of informal rights		
Accuracy		
Government accessibility		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

8. Support for rights-holders
To what extent are forest tenure rights-holders empowered and supported to exercise their forest tenure rights?

Indicator Guidance:
This indicator should be applied to assess what mechanisms exist to provide support to forest tenure rights-holders. To apply this indicator, researchers should identify a specific geographic area of focus (linked to the scale of the overall assessment). Depending on the goals of the assessment, researchers may also wish to focus on a particular group of rights-holders (e.g., indigenous peoples) in a given area. They should also collect relevant documentation (e.g., brochures, posters, minutes of information workshops) provided by government agencies or CSOs to support rights awareness. In addition, researchers should conduct interviews with rights-holders regarding their knowledge of their rights.

Element of Quality	Guidance
1. **Awareness of rights.** Efforts are made to raise the awareness of rights-holders about their forest tenure rights and duties under the law.	Mechanisms to facilitate awareness of forest tenure rights may be provided by the government, CSOs, community-based organizations, or donor programs. Such mechanisms may include outreach and capacity building workshops that inform stakeholders of their rights under the law or efforts to disseminate informative materials such as brochures or posters.
2. **Access to information.** Rights-holders have access to understandable information about the administrative channels available to formalize and defend their rights.	Researchers should review any information provided to rights-holders and evaluate whether it is presented in a way that is understandable to audiences, including those without formal education. Understandable information may refer to the language itself (e.g., local languages or dialects) as well as the clarity of the information presented (e.g., avoiding overly complex legal terminology). Interviews with information recipients may also provide useful feedback on the comprehensibility of information.
3. **Access to support.** Rights-holders have access to capacity building services and technical support if needed to fully exercise their rights.	Researchers should assess the capacity building services and technical support provided by the government, CSOs, community-based organizations, or donor programs. Examples of support services may include legal representation, assistance in understanding legal frameworks, documentation of community lands, submission of applications to register tenure rights, development of resource management plans, or delineation of boundaries.
4. **Assistance for vulnerable rights-holders.** Vulnerable rights-holders have access to additional legal, technical, and financial assistance as needed.	Social vulnerability may be defined as "the social, economic, demographic, and housing characteristics that influence a community's ability to respond to, cope with, recover from, and adapt to environmental hazards."[5] In the context of forests, groups such as indigenous peoples, women, or other minority ethnic populations may be considered vulnerable. Researchers should identify any vulnerable groups in the area of assessment and evaluate their access to assistance in exercising their tenure rights. This element of quality is most relevant if the groups in question have legally recognized tenure rights, but may also be

---

[5] See the Social Vulnerability Index at http://webra.cas.sc.edu/hvri/products/sovifaq.aspx

	applicable for groups attempting to document informal or customary claims.

8. Support for rights-holders		
Object of assessment:		
EOQ	Y/N	Explanation
Awareness of rights		
Access to information		
Access to support		
Assistance for vulnerable rights-holders		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

9. Recognition and protection of forest tenure rights in practice
To what extent are forest tenure rights widely recognized and protected in practice?

Indicator Guidance:
This indicator assesses how well forest tenure rights are recognized and protected in practice. To apply this indicator, researchers should identify a specific geographic area of focus (linked to the scale of the overall assessment). Depending on the goals of the assessment, researchers may also narrow their focus on a particular group of rights-holders (e.g., indigenous peoples) in a given area. Researchers should review available documentation of forest tenure rights (e.g., land titles or other records of registered rights) as well as interview government staff responsible for tenure administration and individual rights-holders.

Element of Quality	Guidance
1. **Recognition.** Most rights-holders have had their rights formally recognized and recorded.	Formal recognition refers to registration of rights in a land register or cadaster. Researchers should access relevant records to determine what percentage of land in the area of assessment has been registered. Researchers may also look for evidence of land conflicts or large numbers of claims that have not been processed, which may indicate that not all rights in the area have been formally recorded.
2. **Demarcation.** Most individual and communal forest lands have boundaries demarcated and surveyed.	Demarcation is a process of setting boundaries to an area, often to clarify land ownership and other tenure arrangements. Researchers should review whether formally registered lands, both individual and communal if relevant, have clearly defined boundaries and have been surveyed. In some cases, demarcation and surveying may be required as part of the process to register rights.
3. **Enforcement.** Infringements of rights are quickly and fairly addressed.	Infringement of rights could include trespassing, illegal extraction and/or sale of resources (e.g., logging, mining), or allocation of new rights with boundaries that overlap already registered rights. Researchers should assess whether enforcement agencies such as the land or forest authorities or the police monitor and take enforcement action against illegal encroachment and activities.
4. **Gender equity.** Rights registered to individuals or households are often registered in the names of women, either jointly or individually.	Researchers should review land records to assess whether there are examples of rights being registered to women either individually jointly. Interviews with landowners or tenure administration staff may also provide insight into whether women are typically able to exercise their rights with respect to land registration in practice.
5. **Customary tenure**. Minimal conflict exists between customary forest tenure systems and statutory systems on the ground.	Conflict between customary and statutory tenure systems may be caused by overlapping boundaries, encroachment, or disagreements over resource use in particular areas. Researchers should conduct interviews with statutory and customary rights-holders as well as with staff of the agency responsible for land administration in the area of assessment to gauge their perceptions of tenure conflict. In addition, documented complaints, reports of criminal activity or violence, or pending court cases may also provide evidence of conflict.

9. Recognition and protection of forest tenure rights in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Recognition		
Demarcation		
Enforcement		
Gender equity		
Customary tenure		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

1.2 Tenure dispute resolution

10. Legal basis for dispute resolution bodies[6]
To what extent does the legal framework define a clear institutional framework for resolving disputes over forest tenure?

Indicator Guidance:
This indicator evaluates whether the legal framework establishes clear institutions and rules for resolution of tenure disputes. Relevant legislation may include the Constitution, land tenure laws, administrative manuals or implementing regulations for tenure administration, forest laws, decentralization laws, or laws setting up the judiciary. Mechanisms for resolving disputes could refer to a range of different entities such as courts or tribunals set up through the judicial system, administrative bodies or procedures, or customary systems. Researchers should identify all relevant forms of tenure dispute resolution defined in the legal framework. Researchers may wish to assess several different types of dispute resolution mechanisms, or focus on a particular mechanism of interest.

Element of Quality	Guidance
1. **Jurisdiction.** The legal framework assigns clear institutional mandates for tenure dispute resolution bodies at different administrative levels and for different types of disputes.	Researcher should determine whether rules identify institutions with the mandate to resolve tenure disputes. Rules may identify multiple institutions across administrative levels of government, as well as assign different types of tenure disputes (e.g., disputes over ownership, access, management, or classification) to different institutions. Resolution of disputes may be the responsibility of administrative entities or may occur through the judiciary. For example, Cameroon's 1974 Land Ordinance tasks local Land Consultative Boards with resolution of most land disputes, while significant disputes may be brought before the formal courts.
2. **Authority.** The legal framework grants dispute resolution bodies adequate powers to deliver and enforce rulings.	The legal framework should assign the institution(s) tasked with dispute resolution clear legal authority to hear cases, deliver rulings, and enforce final tenure decisions.
3. **Impartiality.** The legal framework defines requirements and procedures to ensure the independence and impartiality of dispute resolution bodies.	Measures to promote impartial dispute resolution may include multistakeholder membership on dispute resolution bodies, legislative approval for judicial appointments, independent budgets, or independent oversight bodies. Procedures for selecting decision-makers for dispute resolution may also support impartiality by establishing clear rules and procedures to guide the selection or appointment of decision-makers based on clear criteria.
4. **Recognition of community-based systems.** The legal framework recognizes the legitimacy of community-based and customary dispute resolution systems.	Customary practices may refer to a broad range of traditional systems, and researchers should use discretion in identifying any locally relevant customs or norms. The legal framework should also define the relationship between customary and other statutory forms of dispute resolution.

---

[6] Dispute resolution bodies may include judicial, administrative, or community-based entities.

10. Legal basis for dispute resolution bodies		
Object of assessment:		
EOQ	Y/N	Explanation
Jurisdiction		
Authority		
Impartiality		
Recognition of community-based systems		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

11. Capacity of dispute resolution bodies
To what extent do dispute resolution bodies have adequate capacity to resolve tenure disputes in a timely and fair manner?

Indicator Guidance:
This indicator assesses the capacity of dispute resolution bodies in order to determine whether they have adequate resources and expertise to carry out their mandate effectively. Researchers should identify the dispute resolution mechanism(s) of interest based on the entities identified in Indicator 10. For each mechanism being assessed, researchers should collect documentation such as past studies or case records that may help draw conclusions about case volume and access to evidence. In addition, they should conduct interviews with staff of the dispute resolution body to assess questions related to expertise and resources.

Element of Quality	Guidance
1. **Tenure expertise.** Dispute resolution bodies have expertise in relevant tenure laws, systems, and practices, including customary systems.	Researchers should assess the level of expertise of decision-makers and other dispute resolution staff with respect to tenure laws (e.g. types of legally recognized land rights) and procedures (e.g., registering rights, demarcating boundaries). For entities that deal with customary or community claims often, staff should also have knowledge of traditional or customary systems. Expertise may be demonstrated through education, experience, completion of trainings, or responses to questions designed to assess knowledge of the content of tenure laws and procedures.
2. **Expertise in alternative dispute resolution.** Dispute resolution bodies have expertise in alternative means of resolving disputes, such as mediation.	Alternative dispute resolution (ADR) typically refers to processes and techniques for resolving disputes that do not include litigation. They are often overseen by a neutral third-party, and may include negotiation, mediation, and arbitration.[7] Researchers should identify whether ADR techniques are used in the dispute resolution mechanism being assessed and evaluate whether staff have training in such techniques.
3. **Access to evidence.** Dispute resolution bodies have access to a range of evidence to inform rulings.	Types of evidence include deeds, land titles, and other relevant legal documentation. In addition to official data sources, dispute resolution bodies should also have access to unofficial information such as community maps and oral testimony.
4. **Financial resources.** Dispute resolution bodies have sufficient financial resources to handle their case volume.	For financial resources to be sufficient, dispute resolution entities should have enough funding to pay personnel, operational and facility costs, and maintain regular hours for hearing disputes. Researchers should collect budget information where possible, and conduct interviews with staff to assess the level of resources. If budget information is unavailable, examining the number or percentage of cases resolved in a given time period or average length of each case may indicate resource constraints.
5. **Human resources.** Dispute resolution bodies have sufficient human resources to handle their case volume.	Sufficient human resources refers to the number of staff required to operate the dispute resolution body. Information on human resources may be available via annual performance reports of the dispute resolution entity, or may be obtained via staff interviews.

---

[7] For additional discussion, see: http://www.accessinitiative.org/blog/2010/01/greening-justice-creating-and-improving-environmental-courts-and-tribunals

	Examining the number or percentage of cases resolved in a given time period or average length of each case may indicate resource constraints.

11. Capacity of dispute resolution bodies		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Clear goals		
Clear timeline		
Impacted groups		
Response to feedback		
Disclosure of decision		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

12. Accessibility of dispute resolution services
To what extent are dispute resolution services widely accessible to all citizens?

Indicator Guidance:
This indicator assesses whether tenure dispute resolution services are broadly accessible to citizens. It can be applied to either formal or alternative dispute resolution procedures, or to both types. Researchers should begin by verifying citizens' rights to bring tenure disputes before resolution bodies. Researchers should apply this indicator to the same dispute resolution mechanism(s) assessed in Indicator 11. Researchers should collect documentation such as laws governing the functioning of the judicial system, legislation establishing the dispute resolution bodies in question, and records of the dispute resolution entity. Researchers should also conduct interviews with staff of the dispute resolution body, claimants who have used or tried to access dispute resolution services, or other persons with knowledge of dispute resolution services.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Legal standing.** All citizens and communities have legal standing to bring tenure-related complaints before a dispute resolution body.	Standing generally refers to the legal right to bring a lawsuit, and often requires the plaintiff to demonstrate a specific or other interest. Researchers should assess the breadth of standing provisions in the law to identify the types of individuals and groups that can bring cases and any specific requirements for demonstrating standing with respect to tenure-related cases. For example, researchers may note whether standing requires formal recognition of tenure rights, or whether groups with informal or customary claims to land also have standing to bring tenure disputes. Legal analysis can be supplemented with interviews of legal experts or examination of legal precedent to identify any relevant rulings related to standing in tenure cases. Note that in some instances communities may be prevented from filing standing provisions where they lack the ability to be considered a legal entity.
2. **Accessibility.** Dispute resolution services are provided in locations that are accessible for the majority of citizens.	To determine accessibility, researchers should assess the scale at which services are provided (e.g., village, municipal, district level). Collecting primary data on how far claimants have traveled to access services should also be collected if possible.
3. **Language.** Dispute resolution services are provided in relevant local languages.	Researchers should assess whether communities in the area of assessment speak local languages. If yes, they should review case records and conduct interviews with staff and claimants to determine whether services are provided in relevant local languages. This may include both hearing causes and providing all documentation in the relevant local language. Where services in local languages are not available, researchers should note whether accommodations can be made to have translators in order for claimants to present evidence in their local language.
4. **Affordability.** Dispute resolution services are affordable for the majority of citizens.	Here, affordable implies that services are within the financial means of most people. This can be achieved through cost mitigation measures such as sharing staff across multiple dispute resolution bodies, waiving fees for certain groups, governmental funding for plaintiffs, or ADR.
5. **Legal aid.** Free legal	Vulnerable or marginalized peoples may include indigenous

services are available for citizens who cannot afford them.	populations, ethnic minorities, women, and those of lower socioeconomic class. Such groups may lack the expertise or resources needed to navigate dispute resolution processes. Legal support could include providing pro bono legal counsel, government assistance programs, or funding from civil society to bring tenure disputes before formal dispute resolution entities.

12. Accessibility of dispute resolution services

Object of assessment:

EOQ	Y/N	Explanation
Legal standing		
Accessibility		
Language		
Affordability		
Legal aid		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

13. Effectiveness of dispute resolution
To what extent do dispute resolution bodies provide timely, effective, and transparent rulings?

Indicator Guidance:
This indicator should be applied to the same dispute resolution body assessed in Indicators 11-12. Researchers should identify a recent ruling, or multiple rulings to evaluate if enough information exists and review any available records documenting the dispute resolution process. In addition, they should conduct interviews with relevant parties and dispute resolution staff. Researchers may also wish to do some corroborating field work if the case involved an issue (e.g., boundary disputes) that can be verified by visiting the disputed area.

Element of Quality	Guidance
1. **Evidence base.** Rulings are made after all parties have presented their arguments and evidence.	In order to assess the evidence base, researchers should access records of the dispute resolution body. These may include transcripts of cases (often used in more formal court settings), or final decisions may include opinions that set out how the evidence was considered and what conclusions were drawn. Researchers can also collect primary data from those involved in the process to ensure that evidence was presented.
2. **Timeliness.** Rulings are made in a timely manner.	Researchers should identify via interviews or document review how much time passed between the initiation of the case(s) of interest and the final decision. If possible, this information should be compared to similar types of cases or to relevant legal requirements on dispute resolution processes to assess whether it is timely in the context of the assessment country.
3. **Fairness.** Rulings provide a fair and effective remedy to the dispute.	Researchers should review dispute resolution decisions and assess the fairness and effectiveness of the results. Assessing fairness may include reviewing whether the decision was based on the evidence presented and justified in the final ruling. Researchers should also interview parties to the dispute to gauge their perceptions of the decision. Effective remedies may include restitution, indemnity, compensation, or reparation. Rulings could also be compared to other similar cases to see if it was generally consistent with what is considered effective.
4. **Enforcement.** Rulings are enforced in a timely manner.	Researchers should assess whether final decisions are upheld or implemented in cases where a ruling requires a specific action to be taken. Information on enforcement of decisions may require field interviews or verification, or could be assessed through interviews with staff of the dispute resolution body. In instances where rulings are not followed, researchers should review enforcement records and determine if any additional penalties or enforcement actions were implemented.
5. **Disclosure.** Rulings are documented and publicly disclosed.	Researchers should determine how records and final rulings of tenure disputes are maintained and whether they are made publicly available. If rulings are accessible, researchers should note how they are disclosed and evaluate whether disclosure mechanisms are accessible to stakeholders.

13. Effectiveness of dispute resolution		
Object of assessment:		
EOQ	Y/N	Explanation
Evidence base		
Timeliness		
Fairness		
Enforcement		
Disclosure		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

1.3 State forest ownership

14. Legal basis for designating state forests
To what extent does the legal framework provide adequate checks and balances on government powers to designate lands as state forests?

Indicator Guidance:
This indicator should be applied to assess the laws governing how state-owned forests are designated for different purposes. Researchers should review all relevant legislation pertaining to designation of state forests, and may also wish to interview legal scholars familiar with forest law. Relevant documents may include the Constitution, land tenure laws and policies, forest laws, land use laws, and corresponding implementing regulations.

Element of Quality	Guidance
1. **Public interest requirement**. The legal framework states that state forests are to be held in trust for the people	Researchers should identify whether the legal framework includes a clear statement that state forests are held in trust or managed on behalf of the public. These statements are often included in a country's constitution, forest law, or land laws. Statements may refer to forests, land, or the environment more generally. For example, Chapter IX of the Kenyan constitution states that Trust Land shall be held for the benefit of local communities in the area.
2. **Institutional mandate.** The legal framework clearly specifies which agency has the authority to make designation decisions.	Researchers should identify which agency(s) has the authority to designate state forests. Often this will be the agency responsible for forests or lands. If multiple agencies make designation decisions, researchers should review the mandates of each agency and identify any overlap.
3. **Decision-making criteria.** The legal framework defines clear and appropriate criteria to regulate designation decisions.	Researchers should review whether the legal framework sets out decision-making criteria to guide designation decisions. Examples may include definitions that must be met in order for a land area to be considered forested, criteria requiring identification of potential claims to the land, or conditions under which designations can be changed.
4. **Consultation requirements.** The legal framework requires public consultation prior to designation decisions that may have significant social or environmental impacts.	Researchers should identify any legal requirements for public consultation, particularly of potentially affected populations, when designating state forests. Requirements may include the circumstances under which consultation is required, how consultation should occur, and the timeframe for holding a consultation and making the final decision. For example, the Guatemalan National Forest Agenda requires that consultations be carried out in the form of roundtables.
5. **Transparency requirements**. The legal framework requires that proposed and final designations are publicly disclosed.	Researchers should assess whether the legal framework outlines specific procedure(s) for disseminating information on designation of state forests. Procedures may set a specific number of days for soliciting public comments, require posting of notices in certain areas, or outline details on what information should be provided (e.g., information on proposed boundaries or uses of land).

6. **Requirements to respect rights.** The legal framework requires that designation decisions recognize and respect existing customary and community rights to land and resources.	Researchers should review whether the legal framework requires existing customary and community rights to be respected. Even where community or customary rights are not formally recognized in law, there may be general statements about respecting customary uses or access to land. However, requirements are generally stronger when spelled out in specifics laws and decrees setting out procedures. For example, rules may require identification of any resource use in the area to be designated, specific outreach to affected populations, or obligations to maintain buffer zones or use areas.

14. Legal basis for designating state forest		
Object of assessment:		
EOQ	Y/N	Explanation
Public interest requirement		
Institutional mandate		
Decision-making criteria		
Consultation requirements		
Transparency requirements		
Requirements to respect rights		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

15. Designation of state forests in practice
To what extent are decisions to designate and re-designate state forests transparent and accountable in practice?

Indicator Guidance:
This indicator assesses how decisions to designate state forests are implemented in practice. It can be applied to a recent designation decision or to multiple designation processes if enough information exists. Researchers should evaluate on-the-ground practices against the relevant legal requirements identified in Indicator 14. This can be done through procedural observation and interviews with agency staff and rights-holders within the immediate area. Additionally, rights-holders within the area should be interviewed regarding their experiences with designation processes. Researchers should also search for documents such as minutes of consultation meetings, reports on designation processes, or summary of final decisions and designations.

Element of Quality	Guidance
1. **Oversight.** Designation decisions are subject to effective anticorruption and oversight mechanisms.	Oversight mechanisms for designation of state forests may include transparency requirements, review of designation decisions by high level officials or independent monitors, rigorous criteria governing designation decisions, required authorization from oversight bodies for certain types of designations, or any other mechanisms that place checks and balances on power to designate forests. Researchers should identify what, if any, mechanisms to prevent corruption exist and assess how well they are implemented.
2. **Legal compliance**. Designation decisions are carried out consistent with relevant laws and regulations.	Researchers should assess whether designation decisions are consistent with all criteria and procedural requirements set out in the legal framework. These may include requirements related to documentation, defining and justifying public purpose requirements, or inventories or studies of the proposed area to be designated.
3. **Public consultation.** Designation decisions involve transparent and inclusive public consultations.	Researchers should determine whether any public consultations were held in advance of the designation decision. If the law requires consultation, determine whether the efforts that were carried out comply with what is set out in the law. Even in the absence of legal requirements, it is useful to document the number of consultations held, who participated, whether information was received in advance of consultation meetings, and whether public input was taken into account in the final decision.
4. **Public disclosure**. Proposed and final designations are publicly disclosed.	Maps, press releases, final contracts, or other relevant information on designation decisions should be made publicly available. Researchers should identify any information disclosed and assess whether the method of disclosure (e.g., website, local offices, by request) is publicly accessible.
5. **Appropriateness.** Existing designations are appropriate and consistent with broader national social, environmental, and economic objectives.	Broader national social, environmental, and economic objectives may include biodiversity conservation, sustainable management of forests, and poverty reduction. For example, Cameroon has a goal that the permanent forest domain (which is designated as the private property of the state) must be at least 30%.

	Researchers should identify any such provisions and their impact on these social and environmental objectives.
6. Respect of existing rights. Existing designations are not violating the rights of existing communities and indigenous groups.	Researchers should identify the different types of rights-holders in the designated area. Relevant rights may include rights of access, withdrawal, or management that are formally recognized in laws or the constitution, or may include non-statutory rights such as customary claims and human rights. Examine whether the designation decision creates any restrictions or violations of rights. Evidence may be collected from reviewing documentation that sets out the terms of the designation, and through interviews with rights-holders to see if the designation has impacted them.

15. Designation of state forests in practice

Object of assessment:

EOQ	Y/N	Explanation
Oversight		
Legal compliance		
Public consultation		
Public disclosure		
Appropriateness		
Respect of existing rights		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

16. Legal basis for expropriation[8]

To what extent does the legal framework provide adequate checks and balances on government powers to expropriate private property for public purposes?

Indicator Guidance:

Expropriation occurs when the state compulsorily acquires private property for a purpose deemed to be in the public interest. This indicator assesses whether the legal framework describes clear rules and procedures for any expropriation of land. Researchers should identify the legislation that sets out terms and procedures for expropriation. Relevant documents may include the Constitution, land laws, and implementing regulations or manuals of procedure related to land administration. In some cases, countries may also have specific laws on expropriation of lands.

Element of Quality	Guidance
1. **Public purpose requirement.** The legal framework states that expropriation should only occur when rights to land or forests are required for a public purpose.	Researchers should Identify whether the Constitution or other relevant land laws include clear statements about expropriation occurring for public purposes only.
2. **Public purpose definition.** The legal framework clearly defines the concept of public purpose.	Researchers should review the legal framework for expropriation to determine whether it includes a specific definition of what types of activities or land uses can be defined as for the public purpose. They should also identify any specific criteria or conditions that must be met in order for the public purpose requirement to be met.
3. **Clarity of procedures.** The legal framework defines clear procedures for expropriation, including requirements to consider alternatives.	Researchers should identify whether rules governing expropriation define specific procedures for the expropriation process. These may include requirements for giving notice of planned expropriations, assigning clear authority for who can approve expropriations, advertising public comment periods, transferring legal title or ownership, and determining how compensation of landowners is calculated and distributed. It is typically good practice for rules to require that alternatives be considered, such as moving the proposed land use to a different site that reduces impact on rights-holders.
4. **Transparency requirements.** The legal framework requires public disclosure of information about the expropriation process and final decision.	Researchers should identify whether legal procedures for expropriation or general freedom of information legislation require that information on the expropriation process be publicly disclosed. This may include giving public notice of the planned expropriation, sharing information about compensation for landowners, as well as disclosing the final decision.
5. **Consultation requirements.** The legal framework requires that potentially affected people be fully informed and consulted prior to making a decision.	Researchers should identify laws that require public comments, consultations, or other mechanisms by which affected groups can provide input about the proposed expropriation.

---

[8] Expropriation occurs when the state compulsorily acquires private property for a purpose deemed to be in the public interest.

6. **Compensation requirements.** The legal framework requires fair and prompt compensation for expropriated rights.	Researchers should examine whether the law sets out the justification for compensation and how it will be calculated and distributed. Some laws may include compensation for occupants of the expropriated land that do not hold legal ownership rights, such as renters or those claiming customary rights. The legal framework should also define the timeframe for receiving compensation, the type of compensation to be provided. This may include, among other forms of compensation, money, rights to alternative areas, or a combination of both.

16. Legal basis for expropriation		
Object of assessment:		
EOQ	Y/N	Explanation
Public purpose requirement		
Public purpose definition		
Clarity of procedures		
Transparency requirements		
Consultation requirements		
Compensation requirements		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

17. Expropriation in practice
To what extent does the government exercise its power to expropriate private property in a justifiable and transparent manner?

Indicator Guidance:
This indicator should be applied to a recent example of land being expropriated by the government. Depending on the scope of the assessment, researchers may want to focus specifically on expropriation of forest land. Researchers should review documentation such as public notices, minutes from consultations, documentation of title transfers, or notifications of the final decision. In addition, researchers should conduct interviews with relevant government officials and property owners affected by the expropriation process.

Element of Quality	Guidance
1. **Justification**. Expropriation only occurs for a justifiable public purpose.	Researchers should assess whether the expropriation process defined a public purpose that meets any requirements or definitions set out in the law. Justifiable public purposes may include infrastructure development, development of a national park, or conservation of endangered habitat. Justifications can be controversial, so researchers may wish to interview affected stakeholders and legal scholars to gauge their perceptions of whether public purpose requirements were met.
2. **Consultation.** Potentially affected people are identified, fully informed, and transparently consulted.	Researchers should assess whether affected stakeholder groups were made aware of potential impacts of designation decisions and provided with multiple opportunities to voice their opinions and concerns throughout the expropriation process.
3. **Alternatives.** Alternative approaches and strategies to minimize social impacts are considered and adopted if feasible.	Researchers should identify whether any alternative approaches were considered by decision-makers as part of the expropriation process. These may include moving the site of the proposed project or minimizing the land area taken. Co-management may be relevant in the context of expropriation for a park or conservation area. Strategies to minimize social impacts may also be adopted, such as land swaps or maintaining areas for certain types of access or use.
4. **Compensation**. Fair and prompt compensation is provided for expropriated rights.	Compensation may be based on current property use, the value of the resources on the land, the value of improvements made on the land, or market value of the land itself. Compensation may be monetary or be designed to make up for expropriated rights by providing rights in alternative areas. Researchers should assess the expropriation case study to determine whether compensation was provided, whether it was sufficient to cover the loss of property and other rights, how much compensation was provided, and how long it took for rights-holders to receive the compensation. Interviews with those compensated may be important for assessing the overall fairness of compensation. Fairness can also be evaluated through comparisons with similar types of expropriations, if examples exist.
5. **Redress**. Mechanisms of redress are available and accessible.	Researchers should identify whether redress mechanisms for expropriation processes provide specific avenues for disputing decisions about expropriation and/or compensation. Easily accessible channels (e.g., help desk, phone hotline, local office, or email) should be made available for claimants to file complaints and

	appeals. These should be recorded and addressed in a timely manner by acknowledging receipt, providing written response, and detailing resolutions or next steps. In the absence of dedicated redress mechanisms, researchers should note whether courts have been used to bring complaints in relation to expropriation processes.

17. Expropriation in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Justification		
Consultation		
Alternatives		
Compensation		
Redress		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

1.4 Concession allocation[9]

18. Legal basis for allocating concessions in state forests
To what extent does the legal framework define a transparent and accountable process for allocating concessions in state forests?

Indicator Guidance:
This indicator assesses the laws governing how concessions are allocated in state forests, including concessions allocated for timber extraction or other activities such as conservation projects, mining, forest conservation, or carbon sequestration (e.g., CDM or REDD+ projects). Researchers should collect information on laws relating to allocation of concessions. Relevant rules may be found within land laws, or individual sectors (e.g., forestry, mining) may each have separate legislation regarding the allocation of concessions. Researchers should identify which sector(s) and types of concession they are interested in assessing and apply this indicator once to each category. For example, this indicator could be used to compare the quality of concession allocation rules in the forest and mining sectors.

Element of Quality	Guidance
1. **Quality of process**. The legal framework defines an open and competitive process for allocating concessions.	Researchers should review the procedures for allocating concessions and assess whether they promote open and competitive processes. Common processes for awarding concessions include auctions, competitive negotiation, auction-negotiation hybrid allocation, and direct negotiation. Processes that promote auctions, encourage participation of multiple bidders, or evaluate proposals based on detailed scoring criteria are typically considered to be more competitive and transparent.
2. **Anticorruption measures**. The legal framework prohibits applications from people or companies who have been convicted of corruption or who have failed to pay taxes.	Researchers should assess whether measures are in place to restrict applications from those convicted of corruption or who owe outstanding taxes or fees. For example, Panama's Law 13, 2012 prohibits any "persons in arrears with the National Tax Office" from applying for mining concessions.
3. **Application requirements.** The legal framework clearly defines the minimum qualifications and technical requirements for applying.	Researchers should review technical requirements for concession applications. Requirements may include providing information on the entity applying and its financial situation, past audits, shareholder reports, and summary of operations. Requirements may also be related to the proposed concession operations, such as feasibility studies, impact assessments, or management plans.
4. **Requirements to identify rights-holders.** The legal framework requires that existing tenure claims and claimants be identified and documented prior to allocating a concession.	Researchers should review the legal framework to determine if it specifically denotes that existing tenure claims and claimants should be identified *before* concession allocation. In cases where the government holds auctions or other competitive bidding processes, this may be done by the forest agency. In other cases, this may be required of the concession-holder.

---

[9] Concession refers to any contractual agreement (e.g. concessions or other large-scale forest contracts) that results in a significant acquisition of rights on state forest lands for forest exploitation or conversion.

5. **Transparency requirements**. The legal framework requires public disclosure of information relating to the allocation process, applicants, and final decision.	Researchers should identify legal requirements for transparency and information disclosure during the application process. Rules may require advertising the concession opportunity, disclosing information on the area of land being allocated (e.g., land cover, species composition), or disclosing applications, appeals, and final decisions. If concession processes include detailed assessments of technical qualifications or scoring, disclosure may also be required for these documents. Rules may also include a timeline for when information is disclosed and the method of disclosure.	
6. **Consultation requirements.** The legal framework requires public consultation prior to allocating a concession that may have significant social or environmental impacts.	Researchers should assess whether the legal framework requires public notice or consultation during the concession allocation process. For example, the Cambodian 2001 Land Law sub-decree No. 146 on Economic Land Concessions includes requirements for conducting public consultations. Researchers should also note at what point in the allocation process public input is collected; feedback solicited in early stages of concession decision is more likely to be considered when making decisions about areas of land to be awarded and whether existing community uses are respected.	

18. Legal basis for allocating concessions in state forests		
Object of assessment:		
EOQ	Y/N	Explanation
Quality of process		
Anticorruption measures		
Application requirements		
Requirements to identify rights-holders		
Transparency requirements		
Consultation requirements		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

19. Concession allocation in practice
To what extent are concessions allocated in an accountable and transparent manner in practice?

Indicator Guidance:
This indicator evaluates the transparency and accountability of concession allocations in practice. It should be applied to one or several recent concession allocation processes related to the same sector or type of concession assessed in Indicator 18. Researchers should review the allocation process by conducting interviews with concession applicants/holders and comparing this information with the allocation procedures stipulated within the legal framework. The information gathered in these interviews should be verified through additional interviews with local rights holders and government staff who administer concession allocation processes regarding the respect of existing rights, public disclosure of the process, and consultation.

Element of Quality	Guidance
1. **Legal compliance**. Concessions are allocated through a process consistent with relevant laws and regulations.	Consistency with relevant laws and regulations may include compliance with rules on transparency, submission of documentation, and other procedural requirements associated with concession allocation. Consistency may also refer to ensuring that concession allocation decisions respect existing land use plans as well as laws governing land, forests, and public tenders or contracts.
2. **Respect of existing rights.** Concessions are not allocated in ways that create conflicts with existing rights and rights-holders.	Researchers should identify whether and how concession allocation processes have respected existing rights-holders in the concession area. Examples may include creating buffer zones around concession operations or allowing existing rights-holders to maintain some subsistence uses. Where overlapping rights are unavoidable, measures should be taken to minimize competition and conflict.
3. **Anticorruption measures**. Measures are in place to minimize administrative discretion and opportunities for corruption during concession allocation.	Researchers should assess whether rules to minimize administrative discretion and corruption are effectively and consistently applied. For example, researchers may assess whether restrictions on who can apply for concessions are adhered to, or whether rules for evaluating technical merits of applications are strictly applied.
4. **Public disclosure.** Information about the allocation process, applicants, and final decision is publicly disclosed.	Researchers should collect all documentation disclosed during the concession allocation process. If legal requirements for disclosure exist, researchers should assess whether these were followed. In the absence of clear legal requirements, researchers should still identify what documentation is made available, how it is made available, and any gaps in what is disclosed.
5. **Public consultation**. There are opportunities for public comment regarding the allocation of concessions that may have significant social or environmental impacts.	Researchers should document whether any efforts were made during the concession allocation process to solicit input from the public, particularly stakeholders likely to be affected by the allocation decision. Public comments may be collected via workshops, public hearings, or via written comments.

19. Concession allocation in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Legal compliance		
Respect of existing rights		
Anticorruption measures		
Public disclosure		
Public consultation		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

20. Quality of concession contracts
To what extent do concession contracts comprehensively describe all rights and obligations of the concession holder?

Indicator Guidance:
This indicator should be applied to one or more recent concession contracts in the sector(s) of interest. Researchers should obtain copies of concession contracts and review their contents to assess how they deal with the elements of quality below. In many cases, concession contracts are not publicly disclosed and may be difficult to access. In this case, interviews with government agencies, concession-holders, or other persons with knowledge of concession terms or contracts may provide some information. If multiple contracts are available, researchers should attempt to review multiple contracts to assess whether provisions are generally consistent across contracts.

Element of Quality	Guidance
1. **Legal**. Contracts include clear legal provisions setting out the terms, rights, and conditions of the agreement.	Researchers should review the contract(s) and identify any legal terms, right, and conditions. These may include the duration of the contract, the specific property rights granted, any restrictions on rights within the concession boundary, and conditions related to termination, transfer, or surrender of the contract. Contracts may also include provisions on whether the concession agreement must comply with any changes in the legal framework that happen after the legal agreement.
2. **Technical**. Contracts include all technical requirements related to forest management, exploitation, or conversion.	Technical requirements in contracts should describe methods and procedures that will be used to carry out the activities of the contract. These may include exploration activities, surveys, feasibility studies, environmental and social impact assessments, management plans, and monitoring plans. Technical requirements may also include specific parameters for extractive activities in forests such as annual allowable cuts and diameter at which trees can be harvested.
3. **Administrative**. Contracts include all administrative procedures and obligations with which the contract-holder must comply.	Administrative procedures may include the submission of documentation such as maps, forms, assessments, reports, or plans at specific time points. Researchers should review whether contract terms clearly spell out types of reporting that are required and how often they should be carried out; for example, requirements to submit annual management plans.
4. **Financial**. Contracts include all financial obligations of the agreement.	Financial terms and obligation may include pricing arrangements, production-sharing, fees, warranties, liabilities, required deposits, and all taxes or other charges that must be complied with in order to operate the concession. These terms should be clearly outlined within contracts with clear timeframes for any relevant payments.
5. **Environmental**. Contracts include all environmental protection, impact assessment, or mitigation obligations of the agreement.	Environmental protections may include areas that must remain vegetated such as riparian areas or high conservation value forest. Mitigation obligations may include minimizing proposed project activity, rectifying or restoring impacts, abatement measures, and compensation by providing replacement environmental resources of equivalent or greater value, on or off-site. Specific examples within the forest sector include selective

	cutting and clearing methods, restoration and reforestation, and preservation of existing vegetation.
6. Social. Contracts include all social obligations of the agreement.	Social obligations may include the provision of benefits to groups living within or near concession boundaries such as monetary compensation, employment, or public goods such as the construction of schools or clinics. Contracts may also have requirements in relation to the number and skill level of jobs that will be created, preferences for local workers, or other commitments to community investment and partnerships.

20. Quality of concession contracts		
Object of assessment:		
EOQ	Y/N	Explanation
Legal		
Technical		
Administrative		
Financial		
Environmental		
Social		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

21. Social and environmental requirements of concessions
To what extent do concession contracts include requirements to ensure social and environmental sustainability?

Indicator Guidance:
This indicator should be applied to one or more recent concession contracts in the sector(s) of interest. Researchers should obtain copies of concession contracts and review their contents to assess any requirements related to social and environmental sustainability. In many cases, concession contracts are not publicly disclosed and may be difficult to access. In this case, interviews with government agencies, concession-holders, or other persons with knowledge of concession terms or contracts may provide some information. If multiple contracts are available, researchers should attempt to review multiple contracts to assess whether provisions are generally consistent across contracts.

Element of Quality	Guidance
1. **Impact assessment requirements**. Contracts require social and environmental impact assessment prior to beginning exploitation or conversion activities.	Researchers should note whether contracts require any form of social or environmental impact assessment at any point in the application process or in order to begin operations. Assessment requirements may depend on the type and size of concession.
2. **Community engagement**. Contracts require engagement and benefit sharing with local communities.	Researchers should identify any requirements related to community engagement. These may include partnerships, investments, or benefit sharing activities that provide a share of profits or other benefits such as housing, schools, or clinics, or employment.
3. **Mitigation**. Contracts require the development and implementation of measures to avoid or mitigate identified social and environmental risks.	Researchers should determine whether contracts require efforts to avoid or mitigate impacts of the proposed activities to be carried out. Mitigation measures may include ecosystem restoration (e.g., reforestation, rehabilitating wetlands), shifting boundaries of areas to be exploited, or other abatement measures that reduce impacts on land or people. Measures may also include compensation for lost livelihoods of groups living in the concession area.
4. **Monitoring**. Contracts require monitoring of social and environmental impacts.	Researchers should assess any monitoring requirements in contracts and note how often monitoring takes place (e.g., biannually, annually), who conducts the monitoring (e.g., the contract-holder or a third party), and what impacts should be monitored.
5. **Response**. Contracts require corrective measures if negative social or environmental impacts are detected.	Researchers should review whether contracts clearly state any obligations of the contract-holder to address problems or negative impacts identified by monitoring of operations. The contract may also include any consequences for noncompliance, such as government-issued penalties if corrective measures are not implemented.

21. Social and environmental requirements of concessions		
Object of assessment:		
EOQ	Y/N	Explanation
Impact assessment requirements		
Community engagement		
Mitigation		
Monitoring		
Response		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

22. Compliance with social and environmental requirements in concession contracts

To what extent do concession-holders comply with social and environmental sustainability requirements in their contracts?

Indicator Guidance:
This indicator assesses how contract-holders comply with environmental and social sustainability regulations in practice. It should be applied to the same concession(s) assessed in Indicator 21, although researchers should verify that these concessions are operating and have information available on implementation. Researchers should assess on-the ground compliance with provisions set out in the contract. If requirements do not exist, researchers should still attempt to answer the elements of quality below based on available information on implementation. Information should be collected via interviews with groups such as concession employees, local stakeholders impacted by operations, government agency staff responsible for oversight of concession operations, and if possible, by direct observation of concession operations. Reports on concession performance or monitoring may also provide useful information if available.

Element of Quality	Guidance
1. **Impact assessment.** Social and environmental impact assessments are completed and publicly disclosed.	Researchers should determine whether ESIAs were conducted for the concession(s) of interest. They should also note whether and how these documents were publicly disclosed.
2. **Community engagement**. Equitable social agreements are established with local communities.	Researchers should identify any social agreements included in contracts and seek to verify whether these agreements have been implemented. For social agreements that relate to providing services such as schools, healthcare, sanitation, or employment, researchers may also wish to assess the quality and sustainability of the services provided; for example, whether new facilities are able to be maintained after the life of the concession project, or whether services are accessible to most community members. This information may be gathered through interviews with beneficiaries of social agreements as well as field observation.
3. **Mitigation.** Appropriate avoidance and mitigation measures are implemented.	Researchers should identify any mitigation actions included in contracts and seek to verify whether these actions have been implemented.
4. **Monitoring.** Social and environmental impacts are regularly monitored and reported on.	Researchers should identify any impact monitoring requirements included in contracts and seek to verify whether these actions have been implemented. In particular, researchers may wish to examine who conducted the monitoring, review the methods and process for monitoring, and interview independent experts as well as community groups to assess the accuracy of the monitoring reports.
5. **Response.** Corrective measures are taken when negative social or environmental impacts are detected.	Corrective measures may include stopping or modifying project activities that are causing negative social or environmental impacts. Interviews with concessionaires, impacted populations, or government staff with oversight over concessions may indicate whether corrective measures have been taken and whether they are effective. Monitoring and performance reports may also provide this information; if reports for multiple years are available, comparing findings from year to year may also provide

	insight into whether negative impacts are addressed in a timely manner.

22. Compliance with social and environmental requirements in concession contracts		
Object of assessment:		
EOQ	Y/N	Explanation
Impact assessment		
Community engagement		
Mitigation		
Monitoring		
Response		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

23. Management of information about concessions
To what extent is information about concessions managed in an effective and transparent manner?

Indicator Guidance:
This indicator should be applied to a relevant system used to maintain information about concessions and their operations. Information systems may be individual platforms managed by sector agencies (e.g., forests, mining, agriculture), or an integrated platform for multiple sectors managed by a centralized land agency. Researchers should identify key sectors of interest and attempt to access the system for concession information. While it may not be practical or possible to assess all records within the system, researchers should identify a reasonable number of records to access—for example, sample records for different land use types or all records within a given geographic area of interest. Systems for managing concession information are often not publicly accessible; therefore, researchers should interview staff responsible for managing these systems or those who access them frequently. Government reports may also be of use.

Element of Quality	Guidance
1. **Legal basis.** The legal framework requires a public registry of concessions.	Researchers should review the legal framework for land use or for the specific sector of interest (e.g., forests) to assess whether there are any mandatory requirements to establish an information system to manage concessions. For example, Mexico's mining laws require that any concession, allotment, agreement, or arrangement that may affect mining rights be recorded within the public registry.
2. **Centralized system.** Records of concessions are maintained in a central public registry.	Centralization of a public registry may refer to a single sector bringing together all information across geographic scales; it may also refer to multiple sectors bringing information together into a single registry in order to view all concessions. Researchers should assess whether any central systems exist and describe their contents. In particular, they may assess how information from subnational levels is put into a central system and whether there are staff responsible for maintaining the system.
3. **Digitized system.** Records are available in digital formats.	Researchers should verify whether all current public concession records are stored in digital format, or whether the information system relies on hard copies of documents. If the system includes both types of documentation, researchers could also assess how far back digitally available records go, and if there are any efforts to update older hard copies to ensure the entire system is stored online.
4. **Completeness.** Records contain comprehensive legal and spatial information about the concession.	Researchers should review the types of information that are stored for each concession record in the information system. Relevant legal information may include a copy of the contract laying out terms, rights, and conditions of the concessions, as well as records of compliance with laws relating to financial disclosure, payment of taxes and fees, and monitoring. Relevant spatial information may include concession boundaries, forest cover, and spatial plans detailing how the concession area will be used for different purposes.
5. **Accuracy.** Records are accurate and up-to-date.	To assess accuracy of records, researchers will likely need to conduct some field verification of information found within the concession information system, or work with government staff to

	learn how often information is put into the system and what protocols exist for ensuring it is up-to-date.
6. **Accessibility**. Records are freely accessible by the public.	Records may be publicly accessible online or by request in the offices of the agency responsible for administering the system. Researchers should keep track of their attempts to access these records and any challenges they encounter when requesting information.

23. Management of information about concessions		
Object of assessment:		
EOQ	Y/N	Explanation
Legal basis		
Centralized system		
Digitized system		
Completeness		
Accuracy		
Accessibility		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

2. Land Use Indicators

This thematic area addresses the various policy and planning processes that influence how forest lands are used. As such, it explores processes within and beyond the forest sector, since other economic sectors such as agriculture, infrastructure, mining, and energy also play a major role in determining forest land use. The land use indicators are divided into four subthemes:

2.1 **Land use planning** refers to any nonsectoral planning or zoning process — often at a national scale — seeking to put land into optimal uses given the economic, social, and biophysical conditions of the area and stated development objectives.

2.2 **Land use plan implementation** typically involves efforts by multiple government agencies to facilitate and ensure compliance with officially designated land uses and to monitor the impacts of land use over time.

2.3 **Sectoral land use** refers to sector policies, plans, programs, or projects that have implications for the use of forest lands, particularly in economic sectors that significantly contribute to deforestation or forest degradation.

2.4 **Forest classification** refers to the process of legally designating forest areas according to their desired, optimal use. For example, forests may be classified for protection, limited use for activities like hunting, commercial timber extraction, or conversion for other land uses.

2.1 Land use planning

24. Legal basis for land use planning
To what extent does the legal framework define a coherent institutional framework and process for conducting multi-sector land use planning?

Indicator Guidance:
This indicator assesses the quality of laws that are in place for land use planning. Researchers should review laws, policies, and procedures related to land use planning at the national and subnational levels. Legislation could include laws or regulations governing land use, planning, or zoning. In countries that lack a dedicated legal framework for land use planning, researchers should identify whether sector-specific laws (e.g., forestry, agricultural, or mining) or rules for development planning set out procedures for determining how land is allocated and used for different purposes.

Element of Quality	Guidance
1. **Institutional mandates.** The legal framework defines clear institutional roles and responsibilities for land use planning at different administrative levels (e.g., national, regional, local).	Researchers should assess whether the legal framework identifies which government agency has authority to develop land use plans at each relevant administrative scale. In cases where land use planning is overseen by a group of agencies—e.g., an interministerial committee or planning commission—rules should clearly define their respective roles and responsibilities, including which institution is responsible for coordination and final decision-making.
2. **Coordination mandate.** The legal framework defines a clear institutional mandate for national coordination of land use planning.	Researchers should assess whether the legal framework assigns institutional responsibility for ensuring that land use plans are coordinated and coherent across sectors and levels of government. For example, rules might identify a central institution responsible for collecting and coordinating information from land use ministries into a coherent land use plan. In Brazil, the federal government is tasked with compiling information from all land use plans into a single database, and has the authority to approve regional and local plans.
3. **Clarity of sequencing.** The legal framework defines a clear temporal sequencing for conducting land use planning across different administrative levels.	Researchers should assess whether the legal framework defines a clear order for development of land use plans across administrative scales. For example, the legal framework might require the creation of a national framework prior to the development of plans at state or local levels, or vice versa.
4. **Clarity of methods.** The legal framework defines clear methods and procedures for conducting land use planning.	Researchers should assess whether the legal framework provides basic guidelines on methods and procedures for land use planning. Guidelines may cover the types of information that should be included in the plan, what new studies or analyses should be conducted, when and how public input should be solicited, as well as procedures for plan submission and review by relevant agencies.

24. Legal basis for land use planning		
Object of assessment:		
EOQ	Y/N	Explanation
Institutional mandates		
Coordination mandate		
Clarity of sequencing		
Clarity of methods		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

25. Legal basis for social and environmental considerations in land use planning
To what extent does the legal framework promote the consideration of social and environmental issues in land use planning?

Indicator Guidance:
This indicator assesses whether land use planning laws and procedures promote social and environmental issues. Researchers should review legislation related to land use planning at the national and subnational levels (e.g., laws or regulations governing land use, planning, or zoning). Researchers should also review laws, policies, and regulations governing property rights, land tenure, environmental conservation, and economic development

Element of Quality	Guidance
1. **Social and environmental objectives.** The legal framework defines clear social and environmental objectives for land use planning.	Researchers should review the legal framework for land use planning to determine if specific environmental and social objectives are clearly stated. Land use planning objectives may include allocating land for environmental protection, or ensuring that new land use allocations do not negatively impact local livelihoods or food security.
2. **Respect of rights.** The legal framework requires that land use planning identify and respect statutory and customary land tenure and property rights.	Researchers should assess whether the legal framework promotes respect for land tenure and property rights, including customary rights and sacred or cultural areas of indigenous peoples. For example, the legal framework may require incorporation of information on tenure and property rights (such as community maps or survey data about local land use) into land use plans or consultation with rights-holders likely to be impacted by land use planning decisions.
3. **Information requirements.** The legal framework requires that land use planning is based on comprehensive and up-to-date information.	Researchers should assess whether the legal framework defines the types of data to be collected and used to develop land use plans. Examples may include data on geology, geomorphology, hydrology, climatology, vulnerability, vegetation type, soil type, ecosystem services, biodiversity, socioeconomic values, and existing uses of land.
4. **Social and environmental impacts.** The legal framework requires that land use planning processes at all scales evaluate the social and environmental impacts of proposed land uses.	Researchers should assess whether the legal framework clearly identifies the land use activities that are subject to impact assessments and feasibility studies (e.g., proposed land use changes of a certain size or projected impact) Additionally, researchers should determine if the legal framework assigns clear institutional responsibility for identifying and evaluating social and environmental impacts of proposed land uses.

25. Legal basis for social and environmental considerations in land use planning		
Object of assessment:		
EOQ	Y/N	Explanation
Social and environmental objectives		
Respect of rights		
Information requirements		
Social and environmental impacts		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

26. Capacity of land use planning agencies
To what extent do land use planning agencies have the capacity and expertise to produce high-quality land use plans?

Indicator Guidance:
Researchers should assess the capacity of the agency or team responsible for land use planning at a national or relevant subnational scale. A land use planning team may consist of a dedicated unit within a government agency, a group of personnel from several different agencies, or a group of consultants. Researchers should identify who is responsible for drafting the land use plan, including any new studies to be conducted, and conduct interviews to determine the depth and breadth of the team's knowledge. Additionally, researchers should evaluate capacity by assessing the quality of the final land use plans and supporting studies produced by the team.

Element of Quality	Guidance
1. **Access to information.** Planning agencies have access to comprehensive, accurate, and up-to-date information necessary for land use planning.	Land use planning teams may generate new information, or compile information from different agencies responsible for land use. Researchers should assess how planning teams access their information, including whether any information was missing or difficult to obtain from certain agencies. Types of information collected may include biological and biophysical data on natural resources, data on social and economic values of land and resources, and data on existing land use allocations from all relevant land use agencies.
2. **Range of expertise.** Planning agencies have expertise on a range of disciplines relevant for land use planning.	The team responsible for land use planning should have expertise from a range of disciplines including resource economics, biology, forestry, environmental engineering, land tenure and property rights, and sociology. Expertise may be demonstrated by educational background, trainings, or job function. Researchers should also identify any specialized expertise necessary to the assessment context, such as knowledge of rare ecosystems or working with particular stakeholder groups, and assess whether it is present on planning teams.
3. **Evaluation tools.** Planning agencies have tools necessary to evaluate land suitability and analyze potential impacts of land use.	Researchers should assess if planning teams have access to appropriate technical tools. Relevant tools may include mapping technology such as GIS or GPS, planning software such as MARXAN, or other ecosystem management tools that aid users in evaluating economic, social, or environmental impacts.
4. **Human resources.** Planning agencies have sufficient human resources.	Researchers should assess the number of staff required to develop a recent land use plan as well as whether the plan was developed within a reasonable timeframe as set out in law or compared to past planning processes. Plans that were developed over long timeframes or experienced significant delays may indicate staffing challenges.
5. **Financial resources.** Planning teams have sufficient financial resources.	Researchers should review the land use plan budget, which may be available as part of agency budgets, the land use plan itself, or performance reports on land use planning. Researchers should also interview relevant agency staff to assess whether the resources were adequate to carry out studies, consultations, meetings, and other steps necessary for completing the land use plan. Researchers should evaluate the quality of the final land use plan to determine whether the

	plan is complete and incorporated high quality inputs. Plans that were developed over long timeframes, experienced significant delays, or did not incorporate new studies may indicate an insufficient budget.

26. Capacity of land use planning agencies		
Object of Assessment:		
EOQ	Y/N	Explanation
Access to information		
Range of expertise		
Evaluation tools		
Human resources		
Financial resources		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

27. Coordination of land use planning
To what extent are land use planning processes effectively coordinated at the national level?

Indicator guidance:
This indicator assesses how land use planning activities are coordinated. Researchers should identify all geographic scales at which land use planning is carried out and identify how plans at different scales are coordinated. For example, in Brazil a land use planning consortium is responsible for standardizing methodologies and sharing information between the state and federal levels. Researchers may wish to focus their data collection on evaluating coordination in one or more recent land use planning processes. They should interview planning staff at relevant administrative levels (e.g., national, subnational, or local), as well as review documentation likely to provide insight into coordination (e.g., the land use plan or minutes of coordination meetings).

Element of Quality	Guidance
1. **Horizontal coordination.** The national authority for land use planning effectively consults and shares information with sectoral planning agencies.	Horizontal coordination refers to systematic exchange of information, plans, and policies between government institutions at the same level. Researchers should determine if there is adequate exchange of information between agencies involved in land use planning, including the institution responsible for coordination of land use planning and sector ministries such as the ministry of environment, forests, or agriculture. Examples may include dedicated focal points within ministries, linked databases or information portals, regular meetings, or committees with representation from all relevant national agencies.
2. **Vertical coordination.** The national authority for land use planning effectively consults and shares information with subnational planning agencies.	Vertical coordination refers to systematic exchange of information, plans, and policies between government institutions at different geographic levels of government (e.g., national, regional, district, or local). Researchers should determine if there is adequate exchange of information between agencies involved in land use planning across vertical scales, such as between national agencies and local officials with roles in land use planning. Examples may include dedicated focal points, linked databases or information portals, regular meetings, or committees with representation from agencies across scales.
3. **Conflict resolution**. Effective mechanisms are in place to address institutional conflicts that arise during land use planning.	Researchers should review relevant laws, institutional protocols, and meeting minutes to assess whether conflict resolution mechanisms exist and are being used. Interviews with staff involved in land use planning and coordination may also provide information on how conflicts have been resolved. In addition, researchers should assess whether coordination mechanisms establish a clear authority or hierarchy for conflict resolution in order to minimize conflicts.
4. **Consistency.** Existing land use plans are consistent across administrative levels.	Researchers should determine if there is a standardized template used in the creation of plans (e.g., common language or formats) as well as a systematic process to submit plans. They should also review plans at different administrative scales for overlaps or inconsistencies.

27. Coordination of land use planning		
Object of assessment:		
EOQ	Y/N	Explanation
Horizontal coordination		
Vertical coordination		
Conflict resolution		
Consistency		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

28. Community participation in land use planning
To what extent do communities effectively participate in local land use planning processes?

Indicator Guidance:
This indicator assesses the extent to which local land use planning processes provide opportunities for stakeholders to participate in decision-making. To apply this indicator, researchers should identify a case study of a recent land use planning process at the local level that directly affected forest communities. Researchers should collect documentation from the land use planning process, such as meeting minutes and public comments provided. In addition, they should conduct interviews with community representatives and others with knowledge of the land use planning process (e.g., local CSOs or planning agency staff working with communities).

Element of Quality	Guidance
1. **Opportunities for participation.** Local planning agencies seek to engage communities and ensure their participation in land use planning processes.	Communities should be provided with multiple opportunities (e.g., workshops or focus groups) to engage with the land use planning agency and provide input throughout the entire decision-making process. Researchers should determine through interviews and document review how many opportunities for input were provided, whether these opportunities were provided throughout the process (particularly in the beginning stages), and the level of community participation in the opportunities that were provided.
2. **Representation.** Community representatives to land use planning processes reflect a range of community perspectives, including women and different socioeconomic classes.	Researchers should determine how community representatives are selected. Representatives should be interviewed to evaluate if their perspectives reflect multiple demographics within the community. Interviews with other community members may shed light on if they feel represented and are aware of land use planning processes and results.
3. **Capacity to engage.** Community representatives have information and skills to effectively engage and participate in land use planning processes.	Researchers should evaluate whether community members participating in land use planning processes have relevant knowledge and communication skills to effectively represent the community. Knowledge should include an understanding of customary and formal land use practices, laws, and policies. Evidence of expertise may include training, education, past experience, or may be determined during the course of the interview through directly discussing relevant land use issues.
4. **Community mapping.** Communities have the ability to document their internal land tenure and land use systems for input into the land use planning process.	Researchers should examine whether communities provide any maps of community boundaries and land uses as an input into the land use planning process. They should also assess whether communities have received support or have resources (e.g., GPS, computers, or training in using mapping technology) to produce maps. Communities may receive technical assistance through government or CSO-supported mapping initiatives.
5. **Integration.** Local land use plans reflect community land tenure and land uses.	Researcher should assess the final version of the local land use plan and any supporting documentation on the process to determine whether and how community inputs were incorporated. Interviews with leaders of the land use planning process can provide

	information on the overall thought process and decision-making, including how decisions considered community input. Researchers should also interview community participants on whether the final product reflects their views.
6. Implementation. Implementation of land use plans respects community land tenure and land uses.	Respecting rights refers to upholding statutory rights as well as traditional or customary land use practices and governance. Researchers should determine, through field visits or interviews with community stakeholders, whether implementation of the land use plan's activities has generally respected community land uses.

28. Community participation in land use planning		
Object of assessment:		
EOQ	Y/N	Explanation
Participation		
Representation		
Capacity		
Documentation		
Integration		
Implementation		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

29. Quality of land use plans
To what extent do land use planning processes result in transparent and justifiable land use plans?

Indicator Guidance:
This indicator assesses whether land use planning processes result in plans that reflect a range of national development objectives. Researchers should apply this indicator to the final land use plan resulting from the land use planning process(es) assessed in the previous indicators (either national or local depending on the goals of the researchers). Researchers should review the final plan for consistency with plans and strategies relating to national development, environmental, and poverty reduction goals. Researchers should also interview planning staff and other groups involved in the process to evaluate their perceptions of how the plan reflects development, social, and environmental objectives.

Element of Quality	Guidance
1. **Development goals.** Land use plans are consistent with national and local development goals.	Development goals may include poverty alleviation, increased food security, environmental sustainability, increased jobs, and economic growth. In many countries, these objectives can be found in national strategies related to economic development, sustainable development, or other long-range planning documents.
2. **Environmental goals.** Land use plans are consistent with national environmental goals.	Environmental goals may include habitat conservation, biodiversity protection, maintenance of ecosystem services, or sustainable forest management. Environmental goals may be outlined in environment or forest policy documents or in national law. Researchers may also review ratified international treaties and conventions related to the environment.
3. **Poverty reduction goals.** Land use plans are consistent with national poverty reduction goals.	Poverty reduction goals may focus on issues such as creating job-training programs, increasing food security, or providing public services such as health clinics, schools, or affordable housing. In many countries, these objectives can be found in documents such as Poverty Reduction Strategy Papers or development plans.
4. **Land suitability.** Land use plans are consistent with the biophysical suitability of land for specified uses.	Researchers should assess whether final land use allocations reflect information collecting during the planning process on suitability of land for different purposes. Suitability may refer to land cover, soil type, physical features, or other biophysical characteristics. Researchers should review any feasibility studies conducted as part of the land use planning process and compare them with the final plan. Interviews with independent experts familiar with suitability analysis may provide useful information.
5. **Implementation capacity.** Land use plans are consistent with institutional capacities for implementation.	Researchers should review the actions set out in the land use plan and assess whether the relevant institution has the human, financial, and technical resources to carry out its responsibilities. Assessing how much of the plan has been implemented, the quality of execution, and whether the plan is being implementing according to the plan's timeline may all be indicators of implementation capacity.
6. **Public disclosure.** Land use plans are publicly disclosed in relevant languages.	Researchers should assess whether land use plans are made publicly available. Methods of disclosure could include access to plan via website, public launch of plan, government efforts to print copies, or availability upon request. Often more than one method of disclosure will be necessary. For example, if most of population does not have

	access to the internet, then website dissemination is not accessible. Where a country has multiple national languages, researchers should also confirm the availability of land use plans in all relevant languages.	

29. Quality of land use plans		
Object of assessment:		
EOQ	Y/N	Explanation
Development goals		
Environmental goals		
Poverty reduction goals		
Land suitability		
Implementation capacity		
Public disclosure		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

2.2 Land use plan implementation

30. Legal basis for implementing land use plans
To what extent does the legal framework facilitate effective implementation of land use plans?

Indicator Guidance:
This indicator assesses whether the legal framework establishes rules and conditions to promote effective implementation of land use plans. Researchers should review laws, policies, and procedures related to land use planning or zoning. Since many countries lack dedicated laws on land use planning, researchers should also note whether implementation of land use plans relies on carrying out activities defined in sector-specific legislation. For example, implementation of new forest and mining concessions agreed upon in a land use plan should be carried out in accordance with the legislation of those sectors.

Element of Quality	Guidance
1. **Institutional mandates.** The legal framework defines clear institutional roles and responsibilities for implementing activities specified in land use plans and monitoring their implementation.	Researchers should assess whether the legal framework establishes clear and coherent institutional authority for implementing actions set out in the land use plan. If multiple institutions are involved in implementation, the roles and responsibilities of each should be clearly stated.
2. **Enforcement.** The legal framework stipulates that land use plans are legally binding and enforceable.	Researchers should assess whether the legal framework ensures that the land use plan is legally binding, meaning there are clear requirements to adhere to the decisions set out in the plan and the legal framework sets out clear penalties for noncompliance.
3. **Review.** The legal framework defines a timeline and process for reviewing and updating land use plans.	The legal framework should include provisions for updating land use plans at regular and adequate intervals. In general, land use plans should not be revised too often or too infrequently. For example, Indonesia's spatial planning process develops 20-year plans that are reviewed every 5 years. The legal framework should also describe general procedures for updating, such as which institution is responsible for the process, how key institutions and stakeholders should be involved, and the information that should be collected.
4. **Exemptions.** The legal framework specifies that no institution has the authority to override land use plans without due process.	The legal framework should identify any situations in which a government institution may override the land use plan. If such circumstances exist, the legal framework should also set out procedures for doing so, such as providing written justifications or seeking approval from relevant authorities.

30. Legal basis for implementing land use plans		
Object of assessment:		
EOQ	Y/N	Explanation
Institutional mandates		
Enforcement		
Review		
Exemptions		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

31. Implementation of land use plans
To what extent are land use plans effectively implemented in practice?

Indicator Guidance:
This indicator assesses whether the agencies responsible for land use planning implement the plan effectively. Researchers should select a case study of a land use plan that has been implemented within the past 5 years that is appropriate to the scale of assessment (e.g., district focused assessments would aim to assess a district or local land use plan). Researchers should identify the agency or group of agencies responsible for implementing the land use plan. Implementation may be centralized within a planning agency, or involve a range of sector ministries and other government officials. Researchers should collect documentation related to implementation of land use plans, as well as interview staff from relevant implementing institutions.

Element of Quality	Guidance
1. **Outreach.** The main implementing agency actively seeks to inform all people and agencies that will participate in or are likely to be impacted by the plan.	Researchers should verify whether the relevant agency proactively disclosed information about planned land use changes or actions set out in the land use plan. Active disclosure may include workshops or meetings, focus groups, public notices via radio, brochures, websites, or letters.
2. **Coordination**. The main implementing agency coordinates implementation by strengthening links between existing agencies and forming new bodies as necessary.	Researchers should assess whether any formal or informal mechanisms exist to facilitate coordination between agencies involved in implementing land use plans. Examples could include multistakeholder planning committees or dedicated focal points within each agency. Researchers should assess how these mechanisms are functioning in practice, for example by collecting documentation of coordinating meetings or interviewing relevant government staff.
3. **Capacity.** Adequate budget and staff are allocated for implementation of land use plans.	Researchers should identify the levels of financing and human resources allocated to implementing the land use plan. This information may be included in the plan itself, or may be available from the agencies responsible for implementing the plan. In cases where budgets are inaccessible, capacity can be evaluated by assessing the implementation process; low levels of implementation may imply budgeting or staff shortfalls.
4. **Timeliness**. Land use plans are implemented in a timely manner.	Researchers should identify any implementation timelines in the land use plan and assess the level of progress. This information may be collected from performance or monitoring reports, or may need to be gathered in the field via interviews and observation. Researchers should note what percentage of the original plan has been implemented, when the plan was approved, and identify the reason behind any significant deviations from the timeline.
5. **Review.** Land use plans are reviewed and updated with adequate frequency.	Researchers should assess the frequency with which land use plans were reviewed or updated over the previous 10-20 year period (this period may need to be adjusted depending on when land use planning was first implemented in the country of assessment). Researchers should identify whether plans are updated on a regular basis, including compliance with any legal requirements related to updating.

31. Implementation of land use plans		
Object of assessment:		
EOQ	Y/N	Explanation
Outreach		
Coordination		
Capacity		
Timeliness		
Review		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

32. Monitoring and enforcement of land use plans
To what extent are land use plans effectively monitored and enforced?

Indicator Guidance:
This indicator assesses how land use planning institutions monitor and enforce implementation of land use plans. It should be applied to the same land use plan(s) as Indicator 30. Researchers should identify the relevant national or subnational institution(s) responsible for monitoring and enforcement of the land use plan in question. Monitoring and enforcement may be carried out by the main planning agency, sector ministries, or agencies with roles in auditing performance (note that performance evaluation could be assessed with respect to specific issues such as environmental compliance). Researchers should collect documentation such as monitoring reports, performance evaluations, progress reports, or field missions to monitor land use plan implementation. In addition, they should conduct interviews with staff responsible for both implementation and monitoring of land use plans to assess the frequency of monitoring and outcomes of enforcement activities.

Element of Quality	Guidance
1. **Social and environmental impacts.** The social and environmental impacts of land use plans are monitored.	Researchers should review whether monitoring of social and environmental impacts is carried out, how often it is done, and identify the specific topics that are monitored. Monitoring of environmental impacts may include identifying changes to the biophysical environment such as water or soil quality, land cover, species composition and biodiversity, or air pollution. Monitoring of social impacts may include impacts on resource availability, income levels, food security and nutrition, or health.
2. **Effectiveness.** The effectiveness of land use plans with respect to stated policy objectives are monitored.	Researchers should assess whether there is monitoring of how land use plan implementation is contributing to stated policy objectives and how often it is done. For example, if the forest policy requires that 20% of national forests be protected, monitoring would assess whether land use plan implementation has contributed to that goal by ensuring that protected areas are created.
3. **Compliance.** Legal compliance with land use plans is monitored.	Researchers should note whether there are efforts to monitor legal compliance of land use plan implementation and how often monitoring is done. Compliance monitoring may include ensuring that the activities outlined in the plan have been completed; it may also include monitoring of whether activities in other sectors are in compliance with provisions of the land use plan, including boundaries and land use restrictions.
4. **Public disclosure.** Reports on monitoring and compliance are publicly disclosed.	Researchers should collect monitoring reports and assess how often monitoring has been carried out since the beginning of the land use plan's implementation. Monitoring may be done on at least an annual basis. Reports should be publicly available through broadly accessible channels such as websites or agency offices.
5. **Enforcement.** Instances of noncompliance are promptly and effectively addressed.	Researchers should use monitoring reports, other agency documents, or interviews to identify cases of noncompliance with land use plans and assess how these cases were resolved. Enforcement actions should be consistent with any provisions of the legal framework for land use planning, if they exist. Enforcement actions may include warnings, fines, suspension or cancellation of land use contracts, or arbitration.

32. Monitoring and enforcement of land use plans		
Object of assessment:		
EOQ	**Y/N**	Explanation
Social and environmental impacts		
Effectiveness		
Compliance		
Public disclosure		
Enforcement		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

2.3 Sectoral land use

33. Coordination of sector planning processes

To what extent are sector planning processes effectively coordinated within a broader land use planning framework?

Indicator Guidance:

This indicator assesses the quality of coordination efforts between agencies that assign rights to extract natural resources or otherwise operate in forest areas. To apply this indicator, Researchers should identify a specific sector(s) of interest (e.g., mining, agriculture, energy, or livestock) and assess 1-2 case studies of a process to develop a sector policy, law, or program. Researchers should evaluate the extent to which other land use sectors were engaged in the process by conducting interviews with staff of relevant government agencies and reviewing documentation of the process.

Element of Quality	Guidance
1. Cross-sector engagement. Sector agencies actively engage agencies from other sectors during planning processes.	Researchers should assess whether the institution leading the sector planning process identified and engaged staff of other sector agencies. Engagement of other agencies may include inviting a focal point to participate in the process, instituting information-sharing agreements, inviting the agency to provide comments and feedback, or formally involving the agency in a decision-making committee or other relevant body.
2. Engagement with land use planning agencies. Sector agencies actively engage land use planning agencies during planning processes.	Researchers should assess whether the institution leading the sector planning process identified and engaged staff of the agency responsible for land use planning. If there is no dedicated agency for land use planning, researchers should skip this element of quality. Engagement of other agencies may include inviting a focal point to participate in the process, creating information-sharing agreements, inviting the agency to provide comments and feedback, or formally involving the agency in a decision-making committee or other relevant body.
3. Coordination bodies. Effective multisector bodies exist to coordinate sector planning and implementation.	Researchers should identify any existing bodies that coordinate planning processes across sectors. Examples may include high-level interministerial committees that exchange information about sector activities, or other committees that bring together representatives from multiple land use sectors. Researchers should assess whether these coordination bodies meet or communicate regularly. They should also look for examples of how committees have influenced sector decisions or contributed to increased coordination in how sector land uses are planned and/or implemented.
4. Information sharing. Information systems exist to facilitate intersector information exchange.	Researchers should identify whether and how sector agencies exchange information on their activities. Agencies may exchange information on laws, policies, or land use allocation decisions that impact other sectors. Mechanisms for information sharing may include web portals, shared databases, regular verbal or written communication between agency staff, or formal meetings.

33. Coordination of sector planning processes		
Object of assessment:		
EOQ	Y/N	Explanation
Cross-sector engagement		
Engagement with land use planning agencies		
Coordination bodies		
Information sharing		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

34. Strategic social and environmental assessment in sector planning

To what extent are sector planning processes based on strategic social and environmental assessments of potential impacts?

Indicator Guidance:

Strategic social and environmental assessments (SEAs) are intended to ensure that processes to design new laws, policies, and programs consider potential social and environmental impacts.[10] This indicator evaluates the use of strategic assessments within the development and implementation of sectoral policies. Note that terminology for such assessments may vary across countries; we refer to any process designed to evaluate the broader social and environmental impacts of the laws, policies, or programs being developed. Provisions requiring SEA may be set out in law, but more often are used informally by those developing laws, policies, or programs. If SEA is included in planning, researchers should collect information on the results of the SEA, as well as the final decision. They should also conduct interviews with government staff and others involved in the planning process.

Element of Quality	Guidance
1. **Legal requirement**. Sector agencies are legally required to conduct strategic environmental and social assessments when carrying out planning processes.	Requirements for strategic assessment may be defined in sector-specific legislation, general government procedures, or as part of the administrative procedures of the legislature.
2. **Consistency.** Strategic assessments evaluate the consistency of proposed policies and plans with national social and environmental objectives.	National social and environmental objectives may include poverty reduction, increased economic growth, natural resource conservation, etc. They may be found within strategy papers, plans, or policies. Researchers should review the strategic assessment for a discussion of how the proposed law or policy relates to national social and environmental objectives.
3. **Impacts.** Strategic assessments evaluate the projected environmental and social impacts of different policy options.	Strategic assessment approaches often focus on evaluating the potential impacts of proposed policy options. Researchers should evaluate the selected strategic assessment to determine the extent to which environmental and social impacts associated with each alternative policy option are analyzed.
4. **Review.** Strategic assessments incorporate stakeholder input and expert review.	Researchers should assess whether the assessment process provided opportunities for stakeholder participation and expert review. Planning processes may create spaces for participation through workshops, expert consultation, or public comment periods.
5. **Influence.** Strategic assessment findings are reflected in final policies and plans.	Researchers should assess whether the final results of the sectoral planning process being assessed reflects input from the strategic social and environmental assessment. For example, the final decision may reflect changes made to initial proposals based on the findings of the SEA (e.g., if negative social impacts were projected based on initial policy options).

---

[10] In general, SEAs are focused on evaluating potential impacts of overarching policies, while Environmental and Social Impact Assessments (ESIAs) are focused specifically on evaluating the potential impacts of a particular project. ESIAs are the focus of Indicators 36-38.

34. Strategic social and environmental assessment in sector planning		
Object of assessment:		
EOQ	Y/N	Explanation
Legal requirement		
Consistency		
Impacts		
Review		
Influence		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

35. Quality of sector plans
To what extent do sector planning processes result in transparent and justifiable plans?

Indicator Guidance:
Sectoral planning processes refer broadly to policies, plans, and strategies being developed by sectors that impact land use, particularly in forests (e.g., agriculture, mining, infrastructure, or energy). This indicator should be applied to the results of the sector planning process assessed in Indicator 34. Researchers should review the final plan, available information on the process to develop the plan, as well as other national strategy documents that outline national goals related to environmental and development. Researchers should supplement this information by interviewing those involved in developing the plan, including government staff and other stakeholder groups that were consulted.

Element of Quality	Guidance
1. **Development goals.** Sector plans are consistent with national and local development goals.	Development goals may include poverty alleviation, increased food security, environmental sustainability, increased jobs, and economic growth. In many countries, these objectives can be found in national strategies related to economic development, sustainable development, or other long-range planning documents.
2. **Environmental goals.** Sector plans are consistent with national environmental goals.	Environmental goals may include habitat conservation, biodiversity protection, maintenance of ecosystem services, or sustainable forest management. Environmental goals may be outlined in environment or forest laws and policies. Researchers may also review ratified international treaties and conventions related to the environment.
3. **Poverty reduction goals.** Sector plans are consistent with national poverty reduction goals.	Poverty reduction goals may focus on issues such as creating job-training programs, increasing food security, providing affordable housing, or providing public services such as health clinics or schools. In many countries, these objectives can be found in documents such as Poverty Reduction Strategy Papers or development plans.
4. **Land use plans.** Sector plans are consistent with land use plans.	Where a land use plan is already established, sector plans should be consistent with the land use plan. Researchers should assess the consistency of sector plans with land use plans, for example by reviewing the area of land allocated to the sector in each plan, comparing boundaries of land use allocations across the plans, and reviewing whether the plans are consistent in terms of overall goals.
5. **Public disclosure.** Sector plans are publicly disclosed.	Researchers should assess whether land use plans are made publicly available. Methods of disclosure could include access to plan via website, public launch of plan, government efforts to print copies, or availability upon request. Often more than one method of disclosure will be necessary. For example, if most of population does not have access to the internet, then website dissemination is not accessible. If the country of assessment has multiple national languages, researchers should also assess the availability of land use plans in all relevant languages.

35. Quality of sector plans		
Object of assessment:		
EOQ	Y/N	Explanation
Development goals		
Environmental goals		
Poverty reduction goals		
Land use plans		
Public disclosure		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

36. Legal basis for environmental and social impact assessments (ESIAs) of sector projects
To what extent does the legal framework require ESIAs of sector projects that may have significant impacts on land use?

Indicator guidance:
In recent years, environmental and social impact assessments (ESIAs) have become an important tool to ensure that new development projects (e.g., hydropower dams or mining projects) identify and take steps to mitigate the social and environmental impacts of proposed activities. We use ESIA to refer to any type of impact assessment process that assesses environmental and/or social impacts of proposed project activities in a given area. These types of activities are often grouped under the term EIA, which may or may not include social components. ESIAs typically involve identifying, estimating, and assessing project-specific environmental and social impacts. This indicator assesses the legal framework that establishes the rules and regulations for carrying out an ESIA. Researchers should review all legislation related to impact assessment; many countries have laws on ESIAs or include rules for ESIAs in environmental laws.

Element of Quality	Guidance
1. **Screening criteria**. The legal framework establishes appropriate screening criteria to determine when ESIAs are necessary.	Screening thresholds or criteria are used to determine if an ESIA is necessary for a given project and are generally set out in laws or decrees establishing ESIA practices. Screening criteria may include size of the project, the scope of the activities planned, the projected scale of the impacts on the project area, and the project sector (e.g., energy, mining, or infrastructure).
2. **Clarity of process**. The legal framework establishes a clear process for conducting ESIAs.	The legal framework should set out clear, stepwise procedures for conducting ESIAs. ESIA procedures may include initial scoping, field research to evaluate potential impacts, public comments or consultation periods, as well as review. Rules may also require monitoring and evaluation of an EIA during project implementation.
3. **Consultation requirements.** The legal framework requires public consultation during ESIAs.	The legal framework should set out clear requirements for public consultation as part of the ESIA process. Often, ESIA consultation takes the form of public comment periods after the publication of a draft ESIA, and may include formal workshops for collecting feedback. The legal framework should set out when in the ESIA process consultation is required, requirements for disclosure of draft documents to the public, and the length of any public comment periods.
4. **Technical guidelines**. The legal framework provides comprehensive technical guidelines for conducting ESIAs.	The legal framework or administrative procedures for ESIA may include technical guidelines for conducting assessments. In some cases, these guidelines may be differentiated by sector; for example, countries may provide guidance on what is required for projects in the energy sector. Technical guidelines may describe the information that should be included in the ESIA report, including describing baseline environmental and social conditions in the project area and the proposed project, analyzing potential impacts, proposing alternative scenarios, and providing recommendations for mitigating project impacts

36. Legal basis for environmental and social impact assessments (ESIAs) of sector projects

Object of assessment:

EOQ	Y/N	Explanation
Screening criteria		
Clarity of process		
Consultation requirements		
Technical guidelines		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

37. Legal basis for implementing and enforcing ESIAs
To what extent does the legal framework facilitate effective implementation and enforcement of ESIAs?

Indicator Guidance:
This indicator should also be applied to the legal framework for ESIA. Researchers should review the legal framework and administrative documents related to the implementation and enforcement of ESIAs.

Element of Quality	Guidance
1. **Independence requirements**. The legal framework requires that the entity responsible for conducting an ESIA be independent from the project proponent.	Researchers should identify whether the legal framework includes clear guidance on what institutions or groups can conduct ESIAs and whether these groups must be independent from the group proposing the project. Independent groups conducting assessment are often consulting firms or external experts. In some cases government agencies may also have a role in conducting ESIAs.
2. **Expertise requirements**. The legal framework requires that the assessment team possess an adequate range of relevant expertise.	The legal framework should provide guidelines about the expertise or qualifications of ESIA teams. For example, the government may require ESIA consultants or practitioners to register or hold certification to ensure that groups conducting ESIA have adequate expertise.
3. **Review requirements**. The legal framework requires that ESIAs be subject to independent review.	The legal framework should require ESIAs to be subject to independent review in order to ensure they are accurate and comply with legal provisions. This may be done by the sectoral agency who received the project application, or by an environment ministry. Public consultation requirements may also provide a layer of independent review.
4. **Compliance requirements.** The legal framework requires that the ESIA results be taken into account prior to final approval of projects.	The process for developing and approving ESIAs as set out in the legal framework should ensure that ESIAs are considered in advance of final approval of proposed projects. If ESIAs are approved after land use allocations or contracts have been signed, researchers should assess whether any legal requirements exist to ensure that impacts identified in the ESIA are addressed during project implementation.
5. **Exemptions**. The legal framework establishes clear guidelines for granting exemptions to ESIAs.	The legal framework should clearly define criteria for exemptions from ESIA requirements and provide justification. Researchers should assess these criteria to determine whether they are sufficiently narrow (e.g., focused on minor projects) or create loopholes for types of projects that are likely to have significant social or environmental impacts.

37. Legal basis for implementing and enforcing ESIAs		
Object of assessment:		
EOQ	Y/N	Explanation
Independence requirements		
Expertise requirements		
Review requirements		
Compliance requirements		
Exemptions		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

38. Implementation and enforcement of ESIAs in practice
To what extent are ESIAs effectively implemented and enforced in practice?

Indicator Guidance:
This indicator evaluates how ESIA requirements are implemented and enforced. This indicator should be applied to a recent sectoral development project in which an ESIA was required. Researchers should review documentation of the ESIA process such as results of field work, the final ESIA, plans of the project for which the ESIA was conducted, and reports from any meetings or consultations held). They should also conduct interviews with the assessment team, project proponents, and participations in any public consultations.

Element of Quality	Guidance
1. **Expertise.** The assessment team possesses adequate expertise to conduct the ESIA.	Researchers should assess composition and expertise of assessment teams. Teams should include expertise from a range of disciplines appropriate to the type of project being assessed. ESIAs on forest or environment issues may require expertise in a range of issues including biology, forestry, hydrology, sociology, tenure and property rights, anthropology, or environmental engineering. Depending on the sector of the ESIA being assessed, researchers should identify any other appropriate areas of expertise. Expertise may be demonstrated on the basis of past education, experience, training, or by reviewing ESIA documents and assessing their quality.
2. **Independence.** The assessment team is independent from the project proponent.	Researchers should verify that assessment team members have no economic or other interest in the project's outcome(s). For example, assessment teams should be independent from the entity proposing the project.
3. **Quality.** ESIA reports are of high quality and adhere to technical guidelines set out in the legal framework.	Researchers should review the final ESIA report to assess whether it complies with technical guidelines and content as set out in the legal framework. In general, high quality ESIA reports should include comprehensive information on the state of natural resources in the project area, the proposed project activities, potential environmental and social impacts, alternative scenarios, and proposed actions to mitigate impacts identified during the ESIA process.
4. **Public consultation**. Draft ESIA reports are subject to a public consultation process.	Researchers should assess whether public consultations or comment periods were held to solicit feedback on the draft ESIA. Lists of stakeholders consulted or comments received may be documented in annexes to the final ESIA document. Interviews should also be conducted with participants and those responsible for conducting the ESIA consultations.
5. **Independent review.** Final ESIA reports are subject to independent review.	Researchers should assess whether ESIA reports are reviewed by an external or independent entity. Reviews should adhere to any requirements set out in legal requirement. ESIAs may be reviewed by a government agency such as the environment ministry. For example, in Cameroon an interministerial committee led by the Ministry of Environment, Nature Protection and Sustainable Development is tasked with reviewing ESIAs.
6. **Compliance.** The final project design addresses the	ESIAs should identify a set of actions that will be taken to avoid, minimize, or rectify adverse impacts of the proposed project. These

social and environmental risks identified by the ESIA.	measures will vary depending upon the project and its specific risks, but may include compensation for displacement or loss of livelihood, monitoring of affected species or water quality, or shifting project boundaries to avoid high conservation value areas. Researchers should review the final ESIA and project design documents to determine whether recommendations for mitigating risks were incorporated into the project.

38. Implementation and enforcement of ESIAs in practice

Object of assessment:

EOQ	Y/N	Explanation
Expertise		
Independence		
Quality		
Public consultation		
Independent review		
Compliance		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

39. Monitoring social and environmental impacts of sectoral land use
To what extent are the social and environmental impacts of sector policies, plans, and projects effectively monitored?

Indicator Guidance:
This indicator should be applied to one or more land use sectors of interest to determine whether social and environmental impacts of sector activities are monitored on a regular basis. Monitoring activities may take place to fulfill a legal or administrative requirement, or as part of agency efforts to monitor the impacts of their activities. Researchers should conduct interviews with government staff involved in monitoring social and environmental impacts. In some cases, data on social and environmental impacts may also be collected by national statistical institutes (e.g., through surveys to assess livelihoods or demographics).

Element of Quality	Guidance
1. **Monitoring requirements.** The legal framework requires sector agencies to monitor social and environmental impacts associated with sector policies, plans, and projects.	Researchers should assess the legal framework and identify any requirements for monitoring of environmental and social issues. Monitoring requirements may be found in sector laws and administrative procedures, or in environmental regulations.
2. **Institutional mandate.** The legal framework identifies an agency in charge of monitoring impacts.	Monitoring may be done by the institution implementing the policy, plan, or project, or by an outside source such as the environment agency. The legal framework should clearly state who is responsible for monitoring impacts and reporting findings.
3. **Frequency.** Impact monitoring is carried out with adequate frequency.	Researchers should assess how often monitoring of social and environmental impacts is carried out and assess compliance with any guidelines on monitoring frequency. Monitoring frequency may depend upon the needs, circumstances, and risks of each policy or project.
4. **Budget.** A dedicated budget exists for monitoring impacts.	Researchers should assess whether there is a dedicated budget to carry out monitoring of social and environmental impacts of sector projects. If budgets are unavailable, researchers should conduct interviews. If monitoring is required but rarely carried out, or if the quality of monitoring efforts is poor, this may also provide evidence of inadequate budgets.
5. **Public disclosure.** Monitoring reports are publicly disclosed and accessible.	Researchers should assess whether monitoring reports are made publicly available. Methods of disclosure could include access to the plan via website, public launch of the plan, government efforts to print copies, or availability upon request.
6. **Corrective measures.** Negative impacts are addressed in a timely manner.	Researchers should identify at least one example of a negative impact documented in monitoring reports and follow up to determine whether corrective measures were taken. Evidence of corrective action may also be found in subsequent monitoring reports, or by field missions to determine whether the negative impact is still occurring through interviews and independent observation.

39. Monitoring social and environmental impacts of sectoral land use

Object of assessment:

EOQ	Y/N	Explanation
Monitoring requirements		
Institutional mandate		
Frequency		
Budget		
Public disclosure		
Corrective measures		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

2.4 Forest classification

40. Legal basis for forest classification

To what extent does the legal framework define a clear process and institutional framework for classifying forests according to their intended use?

Indicator guidance:
Classification of forests divides the public forest estate into different categories of protection and use under the law. This indicator assesses the quality of the laws and procedures that are in place to classify public forests. To apply this indicator, researchers should review legal documents and legislation related to forest classification and use at the national and subnational levels.

Element of Quality	Guidance
1. **Definitions**. The legal framework clearly defines forest classifications according to the intended forest use.	The legal framework should clearly define how forests are to be classified for different purposes such as preservation, protection, or recreation. For example, Indonesia's Forestry Law, Act No. 41, 1999 divides forests into four classifications: protection forest, conservation forest, production forest, and convertible production forest. Sub-classifications may also be identified. For example, forests set aside for conservation could subsequently be classified as national parks, wildlife reserves, or other types of protected area.
2. **Institutional mandates.** The legal framework assigns authority to classify forests to a level of government appropriate to the temporal and geographic scale of the classification.	Researchers should assess whether the legal framework assigns clear authority for forest classification. In countries that use a decentralized model of forest management, provincial and/or district forest agencies may also have a role in forest classification.
3. **Procedures.** The legal framework establishes clear procedures for forest classification.	Procedures for forest classification may simply require authorization or designation by a government agency. In other cases, more detailed procedures may be in place, such as submitting a proposal for forest classification, developing a management plan, formal gazetting, or boundary demarcation. Some classification laws require additional procedures such as conducting ESIAs and public consultations.
4. **Restrictions.** The legal framework defines any restrictions on where classification for certain forest uses may occur.	Restrictions on forest classification are most likely to occur in order to protect certain types of land cover or species habitat. Examples may include restrictions on classifying forests for non-conservation uses in uncommon or fragile ecosystems, riparian areas, or areas of high conservation value. In some cases these provisions may not be set out as restrictions, but automatic requirements may exist to classify these types of areas as protected forest.
5. **Declassification.** The legal framework defines the circumstances under which declassification may occur and procedures that must be	Declassification is defined as a change in status or function of forested land. Researchers should review whether the legal framework defines the circumstances under which forests can be declassified as well as the legal procedures that must be followed.

	followed.		
6.	**Information requirements.** The legal framework requires that forest classification be based on comprehensive and up-to-date information.	Researchers should review whether the legal framework identifies any requirements with respect to information used in forest classification. The information required will likely depend on the type of classification procedures set out in the legal framework, but may include information such as forest type, species composition and diversity, economic potential, and existing forest uses.	

40. Legal basis for forest classification		
Object of assessment:		

EOQ	**Y/N**	**Explanation**
Definitions		
Institutional mandates		
Procedures		
Restrictions		
Declassification		
Information requirements		

Additional notes:	

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

41. Information basis for forest classification

To what extent do decision-makers consider high-quality social, environmental, and economic information when conducting forest classification?

Indicator Guidance:

This indicator assesses the types of information used by decision-makers when classifying forests. Researchers should apply this indicator to a case study of a recent forest classification decision made at either the national or local level. Interviews should be conducted with pertinent decision-makers to determine if current environmental, economic, and land use information was used to inform the decision. They should also collect and review any information used in the classification decision, which could include national forest inventories as well as impact assessments or feasibility studies.

Element of Quality	Guidance
1. **Environmental information.** Decision-makers consider up-to-date and accurate environmental information about forest ecosystems.	Environmental information on forests may include information on forest type (e.g. montane, mangrove, or temperate deciduous), forest cover, soil type, ecosystem services, biodiversity, high conservation value areas, fragile ecosystems, species composition, and stand dynamics.
2. **Land use information.** Decision-makers consider up-to-date and accurate information on existing forest uses and tenure rights in law and practice.	Land use information should be comprehensive of both statutory rights to forest lands, informal land use practices, and, where relevant, customary land claims. Informal information may be collected from the communities themselves, CSOs that work with communities or conduct mapping, or ministries in charge of social affairs.
3. **Economic information.** Decision-makers consider up-to-date and accurate information about the economic potential of forest ecosystems.	Economic information on forests may include timber market values, NTFP market values, ecosystem services, role of forest resources in contributing to livelihoods, and number of jobs created by the forest sector.
4. **Impact assessment**. Decision-makers consider social and environmental impact assessments when the proposed classification will result in a significant change in land use.	"Significant change" may be defined in the legal framework, but is likely to include conversion of land for new uses or classifications that will significantly affect populations in the area in question. For example, declaring a forested area as protected may limit forest-dwellers ability to harvest timber or NFTPs and cause forest communities to relocate. In such instances, ESIAs should be conducted in order to identify and mitigate social and environmental consequences. Researchers should determine if ESIAs were prepared during the classification process and evaluate if their findings were taken into consideration when making the final classification decision.

41. Information basis for forest classification		
Object of assessment:		

EOQ	Y/N	Explanation
Environmental information		
Land use information		
Economic information		
Impact assessment		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

42. Appropriateness of forest classifications
To what extent are existing forest classifications transparent and justifiable?

Indicator guidance:
This indicator assesses the current state of forest classification in the country of assessment. Researchers can apply this indicator to the national scale, or to a subnational area such as a district boundary or particular landscape. Researchers should gather documentation such as maps, forest inventories, and other spatial data on how forests are divided. They should also conduct interviews with government staff responsible for classification processes and any impacted groups in the area of interest.

Element of Quality	Guidance
1. **Coverage**. All state forests have been classified.	Researchers should review whether all state forests in the area of assessment have been classified. This information may be available from maps or documentation such as management plan and forest inventories.
2. **Legal compliance.** Classifications and declassifications comply with the procedures and provisions set out in the legal framework.	Researchers should review whether classifications and declassifications comply with the legal framework. Compliance may refer to ensuring that classifications and declassifications respect ecological boundaries and comply with plans in other sectors. To assess this, researchers should review maps or other documentation for consistency with plans for land use. Compliance may also refer to whether the process to classify or declassify a forest area adheres to the rules set out in the law. Researchers should review documentation of classification or declassification processes and compare with legal requirements.
3. **Existing rights.** Classifications are consistent with existing local land uses and rights.	Researchers should review whether classifications infringe on existing local rights to use the land. These may include customary rights of access and withdrawal of forest resources, as well as rights recognized in the legal framework.
4. **Environmental objectives.** Classifications are consistent with national objectives for sustainable forest management and environmental protection.	Researchers should review whether classification of forests for different purposes meets national objectives for sustainable forest management such as forest protection, biodiversity conservation, or maintenance of ecosystem services. They should review classification maps to assess the amount of forest land that is dedicated for these types of purposes, or other relevant national objectives.
5. **Transparency.** Classifications are publicly disclosed.	Researchers should review what information on final forest classifications is disclosed to the public, as well as the mechanisms through which it is disclosed. For example, they should review whether maps, reports, or summaries are available on forest agency websites as well as on request.

42. Appropriateness of forest classifications		
Object of assessment:		

EOQ	Y/N	Explanation
Coverage		
Legal compliance		
Existing rights		
Environmental objectives		
Transparency		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3. Forest Management Indicators

Forest management consists of the operational aspects of planning, monitoring, and enforcing various forest uses, including conservation and ecological uses, community uses, and commercial and extractive uses. The forest management indicators are divided into five subthemes:

3.1 **Forest legal and policy framework** refers to the policies, laws, and regulations that set the overarching social, environmental, and economic objectives for forest management. They also establish the legal parameters that guide forest management practices.

3.2 **Forest strategies and plans** define concrete steps and actions that will be taken to achieve stated forest policy goals. For example, there may be strategies to reduce deforestation, protect biodiversity, or achieve economic growth targets.

3.3 **Forest monitoring** includes all efforts to track forest conditions over time, including changes in forest cover and other social, environmental, and economic dimensions of forests.

3.4 **Forest management practices** refer to the actions of forest managers – whether they are government agencies, private companies, local communities, or individuals – to plan and execute activities to manage, exploit, and conserve forests.

3.5 **Forest law enforcement** refers to efforts to enforce and promote compliance with forest laws and regulations, including through detection of illegal activities, prosecution of offenders, and application of sanctions.

3.1 Forest legal and policy framework

43. National objectives for forest management and conservation
To what extent are there clear national objectives for sustainable management and conservation of forests?

Indicator Guidance:
This indicator assesses whether the laws and policies that govern forests include clear objectives for how forest resources will be managed. Forest sector objectives are often included in national forest policies, action plans, or forest laws and regulations themselves. To apply this indicator, researchers should review all relevant law and policy documents for priorities and objectives.

Element of Quality	Guidance
1. **Consistency**. Major forest policies and laws are consistent with broader national development goals.	National priorities may be set out in national development plans, strategic plans for other land use sectors (e.g., mining, infrastructure), or plans to reduce poverty or increase food security. Researchers should review whether objectives in forest policy and law are consistent with national development goals. For example, they may assess whether economic development strategies are likely to impact forest sector objectives (e.g., by requiring forest clearing), or whether poverty reduction strategies include forest-dependent groups.
2. **Coordination**. Major forest policies and laws consider linkages with other economic sectors that impact forests.	Researchers should review whether forest policies and laws reference or link to other economic sectors that impact forests, such as agriculture, mining, energy, infrastructure, or ranching. For example, policies and laws may discuss information sharing, coordination bodies, or general goals of collaboration.
3. **Sustainable exploitation.** Major forest policies and laws set clear objectives for the sustainable management and exploitation of forest resources.	Researchers should review whether policies and laws include objectives of sustainable management and exploitation of forest resources. For example, forest laws may state that forests are to be maintained for use by future generations. Researchers should also note whether goals of sustainability are clearly defined within the legal framework.
4. **Conservation**. Major forest policies and laws set clear objectives for forest protection and conservation.	Researchers should review whether policies and laws include conservation objectives. For example, by setting a target area for forest land that should be conserved, putting in place a system of protected areas, or setting objectives to reduce deforestation.
5. **Economic development**. Major forest policies and laws set clear objectives for economic development of the forest sector.	Researchers should review whether policies and laws include development objectives. For example, they may aim to promote extraction of forest products, create forest sector jobs, support small and medium forest enterprises, or facilitate development of the forestry industry (e.g., processing facilities, value added products).
6. **Respect of rights**. Major forest policies and laws set clear objectives for recognizing the rights of local communities and indigenous peoples.	Researchers should review whether policies and laws include clear objectives related to recognizing the rights of forest communities and, where relevant, indigenous peoples. For example, they may recognize customary claims of these groups to forest resources, or grant certain types of property rights (e.g., access, use, management, ownership).

43. National objectives for forest management and conservation		
Object of assessment:		
EOQ	Y/N	Explanation
Consistency		
Coordination		
Sustainable exploitation		
Conservation		
Economic development		
Respect of rights		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

44. Legal basis for reviewing forest policies and laws
To what extent does the legal framework provide for periodic review of forest policies and laws?

Indicator Guidance:
This indicator assesses whether there are clear rules to ensure that forest policies and laws are reviewed and updated on a regular basis through a high-quality process. To apply this indicator, researchers should review the forest law and associated regulations.

Element of Quality	Guidance
1. **Review requirements**. The legal framework requires review of forest policies and laws at regular and appropriate intervals.	Researchers should identify requirements for how often forest laws, policies, and regulations are updated. Intervals should be reasonable considering available resources to review existing laws and implement new changes, which may require new trainings for forest agency staff. In addition, they should not be updated so often that frequent changes create confusion for forest managers.
2. **Coordination requirements**. The legal framework requires the forest agency to coordinate with other sector agencies when reviewing forest policies and laws.	Researchers should identify any rules requiring the forest agency to coordinate with other agencies during review of forest laws, policies, and regulations. Relevant government agencies and institutions may include the legislature, the environment agency, the agency in charge of land affairs, and agencies responsible for mining, agriculture, energy, and infrastructure.
3. **Scope requirements**. The legal framework requires consideration of economic, social, and environmental forest values when reviewing forest policies and laws.	Researchers should identify any rules related to the type of information that should be considered during review of forest policies, laws, and regulations. Key information is likely to include economic information on forest products and services; social information on livelihoods and current land uses; and environmental information on forest cover, biodiversity, and health of the forest ecosystem.
4. **Participation requirements**. The legal framework requires public participation in the review of forest policies and laws.	Researchers should identify rules requiring public participation in the review of forest laws, policies, and regulations. Such requirements may be found in the forest law, environment laws, or general laws that require public participation in decision-making.

44. Legal basis for reviewing forest policies and laws		
Object of assessment:		
EOQ	Y/N	Explanation
Review requirements		
Coordination requirements		
Scope requirements		
Participation requirements		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

45. Legal basis for forest management planning
To what extent does the legal framework provide for effective forest management planning in both public and private forests?

Indicator Guidance:
This indicator assesses the legal framework governing the use, management, and conversion of public and private forests. To apply this indicator, researchers should review the forest law and any regulations that describe requirements for how forest resources are managed. Such requirements will likely describe how contract holders (e.g., concessions and other permits) manage the resources granted to them via contract. In countries with private forest ownership, researchers should also review any rules that private land owners with forests on their property must adhere to.

Element of Quality	Guidance
1. **Planning requirements (public forests)**. The legal framework requires management plans in public forests that have been classified or allocated for use.	Researchers should review whether rules require management plans in public forest that are classified or allocated for use. Rules should clearly identify the different types of classifications, contracts, or permits that require management plans. They should also provide clear requirements for how management plans are submitted, reviewed, approved, and monitored.
2. **Planning requirements (private forests)**. The legal framework requires management plans in privately owned forests.	If private ownership of forests exists in the country of assessment, researchers should review whether rules require management plans in privately owned forests. They should also provide clear requirements for how management plans are submitted, reviewed, approved, and monitored.
3. **Inventory requirements**. The legal framework requires that management planning utilize up-to-date information about forests based on periodic forest inventories.	Researchers should assess legal requirements for management planning to evaluate the information that should be covered in plans. For example, rules may require contract-holders or private forest owners to conduct inventories or rapid assessments of their forest resources as part of the management plan.
4. **Differentiated requirements**. The legal framework differentiates management planning requirements based on the type of forest use and user.	Researchers should assess whether and how management planning requirements are differentiated according to the type of contract or category of resource user. Requirements may vary according to the resources and capacity of the user group. For example, under Cameroon's community forest management procedures, community management plans have simpler requirements than management plans for forest concessions.
5. **Scope requirements**. The legal framework requires that management planning take into account all social, environmental, and economic functions of forests.	Researchers should assess whether rules define comprehensive requirements for what is included in management plans. Detailed management plans may require technical information such as tree size, regeneration rates, and spatial plans for the management area, as well as integration of social and conservation information. Management planning rules may also require an impact assessment.
6. **Update requirements**. The legal framework requires that management plans be updated at appropriate intervals.	Researchers should identify how often management plans for public forests and private forests (if relevant) should be updated. Management plans should be updated frequently enough that any major changes in management practices or the resource base are reflected.

45. Legal basis for forest management planning		
Object of assessment:		
EOQ	Y/N	Explanation
Planning requirements (public forests)		
Planning requirements (private forests)		
Inventory requirements		
Differentiated requirements		
Scope requirements		
Update requirements		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

46. Legal basis for harvesting forest products

To what extent does the legal framework stipulate appropriate standards and controls for harvesting timber and nontimber forest products, consistent with principles of sustainable forest management?

Indicator guidance:

This indicator assesses whether forest laws and regulations set standards and controls for harvesting forest products. Researchers should review the forest law, regulations governing forest management practices, as well as any procedural manuals or other guidelines set out in the legal framework. In order to assess the overall quality and appropriateness of controls, researchers may also wish to interview independent forestry experts.

Element of Quality	Guidance
1. **Timber controls**. Appropriate controls govern the harvesting of timber.	Researchers should review technical guidelines governing timber extraction, which may include rules governing several different types of forest contracts or requirements for management plans. Examples of controls on timber harvesting may include extraction quotas for certain species, controls on harvesting trees under a certain diameter, age, and/or height, annual allowable cut limits, or prohibitions on harvesting in certain areas such as riparian zones.
2. **Nontimber forest product controls**. Appropriate controls govern the harvesting of nontimber forest products.	Researchers should review technical guidelines governing the harvesting of nontimber forest products (NTFPs). Examples of controls may include limits on the volume of NTFPs that can be extracted over a given a time period, or prohibitions on NTFP extraction in high conservation value areas. Rules may also govern whether extraction of NTFPs can be for commercial purposes.
3. **Capacity**. Harvesting controls are generally consistent with capacities for implementation and enforcement.	Researchers should review whether harvesting controls for different forest products and types of contracts are appropriate given the capacity of those extracting the resource. In addition, they should assess whether controls are enforceable given the capacity of the forest agency to conduct field inspections. For example, complex controls requiring significant measurement or identification of species and products may be time and resource intensive.
4. **Conversion controls**. Appropriate controls govern forest conversion, including requirements for restoration.	Researchers should review rules governing forest clearing to determine whether there are adequate controls in place. Examples of controls may include requiring permits or other contracts for clearing in public or private forests, requirements related to recovering the timber cleared from the forest, prescriptions about acceptable methods of forest clearing, requirements for impact assessments, or restrictions on clearing in areas with high conservation value, fragile or uncommon ecosystems, riparian zones, or key habitat for protected species.

46. Legal basis for harvesting forest products		
Object of assessment:		
EOQ	Y/N	Explanation
Timber controls		
Nontimber forest products		
Capacity		
Conversion controls		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

47. Legal basis for community participation in forest management
To what extent does the legal framework facilitate community participation in forest management?

Indicator Guidance:
This indicator assesses whether there are legal mechanisms through which forest communities can participate in forest management activities. Community participation in forest management may range from forest agency efforts to consult communities in management of nearby forests, all the way to granting secure, long-term management rights to communities to manage timber or other forest resources. Researchers should review all forest laws and regulations that establish communities' roles in forest management activities. This may include laws related to participation in forest or environmental decision-making broadly, concession allocation, and specific laws on community management.

Element of Quality	Guidance
1. **Participation requirements**. The legal framework requires public forest managers to engage local communities in forest management planning and operations.	Researchers should identify rules requiring managers of public forests (e.g., local forestry officials, concession, and other contract holders) to engage local communities in forest management planning and operations. Researchers should evaluate whether the participation requirements in place are sufficiently strong to ensure that community feedback is reflected in management decisions, for example by emphasizing feedback in early stages of planning rather than requiring information sharing of the final plan as a formality.
2. **Participation platforms**. The legal framework establishes permanent structures to facilitate community participation in local forest management activities.	Researchers should identify whether rules identify dedicated mechanisms to facilitate community input into forest management planning and operations. Examples may include community liaisons or community committees. Researchers should also review the rules governing these mechanisms to assess how liaisons are tasked with interacting with the community as well as the forest manager. For example, whether community representatives are selected by the community itself and required to provide regular updates to community members.
3. **Community-based approaches**. The legal framework promotes community-based forest management approaches.	Researchers should assess whether rules provide options for direct community management of forest resources. Examples may include granting management rights to forest communities, as well as joint management opportunities. For example, Tanzania's legal framework allows for Community Based Resource Management in which villages can legally establish rights to forested areas, as well as Joint Forest Management in which forest management responsibilities in reserves are shared between communities and government.
4. **Extension programs**. The legal framework establishes financial assistance and extension programs to facilitate community-based forest management approaches.	Researchers should assess whether rules establish financial and technical assistance programs to support community participation in forest management. Such programs may also be set out in forest sector programs or policy documents.

47. Legal basis for community participation in forest management

Object of assessment:

EOQ	Y/N	Explanation
Participation requirements		
Participation platforms		
Community-based approaches		
Extension programs		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

48. Legal basis for biodiversity conservation
To what extent does the legal framework promote the protection of biodiversity?

Indicator Guidance:
This indicator should be applied to all legal documents governing biodiversity protection in the country of assessment. Relevant laws may include the forest law, environment law, or dedicated laws on biodiversity or endangered species if they exist. Researchers should also review whether the country of assessment has signed onto or ratified any international agreements related to biodiversity protection or trade. For example, the Convention on Biological Diversity (CBD), the Nagoya Protocol[11], the Convention on International Trade in Endangered Species (CITES), or Forest Law Enforcement, Government, and Trade Voluntary Partnership Agreements (FLEGT VPA).

Element of Quality	Guidance
1. **Forest protection**. The legal framework establishes designated areas for forest protection and conservation of biodiversity.	Researchers should review how rules protect forests and their biodiversity. Examples may include establishing different types of protected areas in forested ecosystems, such as national forests, nature reserves, species or habitat management areas, protected use areas, or protected biological corridors. Rules may also set a target for the area of national forests that should be classified as protected.
2. **Species protection**. The legal framework contains provisions for the protection of endangered, rare, or threatened species of flora and fauna.	Researchers should review whether rules protect endangered, rare, or threatened species of flora and fauna from unsustainable levels of poaching or extraction. Rules may define different terms for protected species (e.g., vulnerable, critically endangered). Regardless of terminology, they should define categories of protection, identify which species are protected under each category, and provide clear rules on what types of prohibitions and controls are in place for each category.
3. **Trade controls**. The legal framework controls the trade of endangered, rare, or threatened forest-dependent species of flora and fauna.	Researchers should review whether there are rules in place to protect trade of endangered, rare, or threatened species of flora and fauna. Rules should identify protected species as well as control whether they can be sold or exported. Countries that have signed onto CITES may use the Convention's Appendix system[12] to specify the level of trade protection.
4. **Biodiversity database**. The legal framework requires a regularly updated national database of biodiversity and genetic resources.	Researchers should identify whether rules establish a national database of biodiversity and genetic resources. Such a database may be part of a national biodiversity monitoring system that tracks species, habitats, ecological communities, and genetic diversity.
5. **Forest definitions**. The legal framework provides clear definitions that distinguish plantations and forests.	Researchers should assess whether rules establish a legal definition of forest land. While definitions may vary, they should exclude classifying monoculture plantation forests in the same category as primary or secondary forest area.
6. **Invasive species control**.	Researchers should identify whether rules establish regulations

---

[11] See: http://www.cbd.int/abs/
[12] CITES uses a system of three lists, called Appendices, to classify approximately 5,000 animal and 29,000 plant species whose trade is restricted by the treaty. Each Appendix groups species according to the level of threat and subsequent controls on trade and export. More information on CITES and the Appendix system is available here: http://www.cites.org/.

The legal framework contains clear regulations to control the spread of invasive species.	related to control of invasive or non-native species. Rules could include restrictions on importing non-native plants, animals, or soils into the country, activities to suppress non-native species in management plans, or prohibitions on intentional planting of invasive or non-native species.
7. **Penalties**. The legal framework defines clear penalties for failing to comply with biodiversity protection measures.	Researchers should review rules setting out penalties for failure to comply with measures to protect biodiversity. Penalties may include fines or jail time for activities such as poaching, illegal logging of endangered or controlled species, illegal sales of restricted species, or illegal activities (e.g., forest clearing, mining) in protected areas). Penalties should be tied to the nature and severity of the infraction.

48. Legal basis for biodiversity conservation		
Object of assessment:		
EOQ	Y/N	Explanation
Forest protection		
Species protection		
Trade controls		
Biodiversity database		
Forest definitions		
Invasive species control		
Penalties		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3.2 Forest strategies and plans

49. Existence of forest strategies and plans
To what extent are national forest management and conservation objectives supported by clear strategies and plans?

Indicator Guidance:
This indicator assesses whether there is a national forest strategy or action plan in place that supports forest management and conservation objectives. A country may have a single strategy such as a National Forest Programme[13], or there may be multiple strategies targeted to different objectives (e.g. biodiversity conservation, valuing ecosystem services). Researchers should identify and review all relevant forest sector strategies or action plans to assess whether they address the elements of quality below.

Element of Quality	Guidance
1. **Sustainable management**. A clear strategy exists for promoting sustainable management and exploitation of forest resources.	Researchers should review strategy documents to determine whether they include objectives related to long-term, sustainable management of forests. For example, strategies may regulate extraction of forest products to promote regeneration that will allow the resources to be sustained over time (e.g., restricting annual allowable cuts of harvested tree species to maximum sustainable yield[14]). Strategies may also promote improved forest management practices through incentives for reduced impact logging or forest certification.
2. **Conservation**. A clear strategy exists for protecting and conserving forests, including biodiversity and ecosystem services.	Researchers should review strategy documents to determine whether they include conservation objectives. These may include conservation of specific forest ecosystems, protection of areas with high biodiversity or conservation value, or conservation of ecosystem services. Strategies may create protected areas, set targets for conservation or biodiversity protection, or create conservation incentives programs.
3. **Economic development**. A clear strategy exists for promoting economic development of the forest sector.	Researchers should review whether strategy documents include economic development objectives for the forest sector. For example, strategies may promote creation of incentives to expand the domestic wood processing industry, add value to extracted forest products, create jobs, or generate revenue for the government through a forest charge system.
4. **Recognition of rights**. A clear strategy exists for recognizing and supporting the rights and interests of forest-dependent communities.	Researchers should review whether strategy documents include provisions to recognize rights. Strategies for recognizing rights may include tenure reform, land regularization, support for formalizing management or use rights of forests, or co-management programs.

---

[13] See http://www.fao.org/forestry/nfp/en/
[14] Maximum sustainable yield can be defined as the maximum level at which a natural resource can be routinely exploited without long-term depletion.

49. Existence of forest strategies and plans		
Object of assessment:		
EOQ	Y/N	Explanation
Sustainable management		
Conservation		
Economic development		
Recognition of rights		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

50. Quality of forest strategies and plans
To what extent are forest strategies and plans well-designed and implementable?

Indicator Guidance:
This indicator evaluates the design of a specific forest sector strategy to assess whether it is realistic and based on high-quality information. It should be applied to the same forest strategy assessed in Indicator 49. Researchers should review the content of the strategy and conduct interviews with stakeholders who participated in strategy development, including government staff responsible for drafting the strategy.

Element of Quality	Guidance
1. **Consistency**. The strategy is consistent with overarching national development objectives.	Development goals may include poverty alleviation, increased food security, environmental sustainability, increased jobs, economic growth, or improved delivery of services (e.g., education, health, sanitation). In many countries, these objectives can be found in national strategies related to economic development, sustainable development, or other long-range planning documents.
2. **Information basis**. The strategy is based on up-to-date and accurate information.	Researchers should review whether the information presented in the strategy is accurate and reflects current biophysical, social, and economic conditions that are relevant to the focus of the new strategy. For example, a new strategy to encourage more small and medium forest enterprises (SMEs) would need to incorporate analysis about the historical and current performance of SMEs and barriers to their entry into the market that should be addressed. Researchers should identify any new studies or existing analysis that was used to develop the strategy in order to assess the quality of the information.
3. **Implementation timeline**. The strategy includes a clear timeline for implementation.	Researchers should assess whether the strategy includes a clear statement of the time period over which the strategy will be implemented. In addition, the implementation timeline should identify time bound milestones or deliverables that will be completed during strategy implementation.
4. **Implementation authority**. The strategy establishes clear institutional roles and responsibilities for implementation and oversight.	Forest strategies are likely to be implemented by multiple institutions across national and local scales. Researchers should assess whether the strategy clearly identifies which institutions are involved in implementation, defines separate roles and responsibilities for each, and indicates which institution is responsible for implementation and oversight of the strategy in its entirety.
5. **Capacity**. The strategy is consistent with institutional capacities for implementation.	The activities set out in the strategy document should be consistent with the ability of the responsible institution(s) to implement them. Researchers should assess whether the relevant institution(s) have financing, personnel with relevant expertise, and technical resources to carry out their responsibilities. This information could be obtained through interviews with agency staff, review of past agency performance on similar activities, or in the strategy document itself.
6. **Transparency**. The strategy is publicly available in relevant	Researchers should identify whether and how strategies are disclosed to evaluate accessibility. In general, multiple forms of

languages.	disclosure (e.g., web, print, summary flyers) are considered more accessible. If documents are only available upon information request or through informal contacts, they should not be considered available to the general public. If the country of assessment has multiple national languages, researchers should also assess the availability of the forest strategy in relevant languages.

50. Quality of forest strategies and plans

Object of assessment:

EOQ	Y/N	Explanation
Consistency		
Information basis		
Implementation timeline		
Implementation authority		
Capacity		
Transparency		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

51. Creation of economic incentives for sustainable forest management
To what extent do forest strategies and plans create appropriate economic incentives for sustainable forest management?

Indicator Guidance:
This indicator assesses whether forest strategies and plans create economic incentives to promote sustainable management of forests. Examples of economic incentives include payments for environmental services (PES) programs or tax breaks for concessionaries. Researchers should review forest strategy documents assessed in Indicator X and Y to evaluate the types of economic incentives put in place. Researchers should also interview experts such as forest economists or government staff who drafted the strategy to collect information on the design of incentives.

Element of Quality	Guidance
1. **Timber**. Incentives encourage timber extraction at or below sustainable levels.	Researchers should review whether economic incentives exist to promote sustainable levels of timber extraction. Sustainable extraction may be defined by extraction that is at or below maximum sustainable yield for commercially harvested species. Other incentives may include promoting participation in certification programs (e.g., Forest Stewardship Council, Programme for the Endorsement of Forest Certification) that seek to create a price premium for sustainably managed resources. For example, the government of Peru offers a 25% reduction in forest fees and exemption from certain inspections for concessions that are FSC certified.
2. **Nontimber forest products**. Incentives encourage extraction of nontimber forest products at or below sustainable levels.	Researchers should review whether forest strategies create incentives related to extraction of nontimber forest products. Often these may focus on incentives to commercialize nontimber forest products by facilitating access to permits or markets.
3. **Supply chains**. Incentives for timber operations and processing facilities attempt to align timber supply and demand.	Researchers should review whether forest strategies include incentives to align timber supply and demand in order to avoid unsustainable levels of extraction. Examples of incentives may include taxes or subsidies that discourage unsustainable harvesting practices, efforts to control the number of processing facilities, or log export bans to encourage domestic processing.
4. **Conservation**. Incentives encourage efforts to maintain high-value conservation areas and protect ecosystem services.	Researchers should review whether forest strategies include incentives to conserve important ecosystems. Economic incentives related to conservation are often provided through payments for environmental services programs that provide benefits for managing ecosystems to protect water quality or conserve certain areas. Other examples may include tax incentives for conservation, such as reductions in property taxes or fees for land managers that maintain conservation areas.
5. **Fairness**. Incentives do not give unfair advantages to or discriminate against certain groups or individuals.	Researchers should review existing incentive programs to determine whether they can be accessed by a range of groups. For example, in some cases, subsidies, tax breaks, or other incentive programs prioritize certain groups over others (e.g., large enterprises, foreign companies). If incentive programs are specifically designed to support certain groups, researchers should evaluate the rationale for the incentive.

6. **Consistency**. Incentives are consistent with broader economic incentives outside the forest sector.	Researchers should review whether economic incentives in the forest sector (e.g., tax breaks, subsidies, or incentive programs such as payments for environmental services) are in line with economic incentives outside the forest sector. For example, researchers might assess whether incentives aimed at strengthening domestic forest enterprises are consistent with national efforts to promote economic investment.

51. Creation of economic incentives for sustainable forest management

Object of assessment:

EOQ	Y/N	Explanation
Timber		
Nontimber forest products		
Supply chains		
Conservation		
Fairness		
Consistency		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

52. Implementation of forest strategies and plans
To what extent are forest strategies and plans effectively implemented in practice?

Indicator Guidance:
This indicator assesses the extent to which the forest sector strategies evaluated in Indicators 49 and 50 are implemented in practice. For national level strategies, researchers may wish to assess implementation at a specific geographic scale (e.g., region, district) or to a specific component of the plan. Researchers should conduct interviews with staff of the agencies responsible for implementing the strategy. In addition, researchers should collect any documentation on strategy implementation, such as performance reports or independent evaluations of how the strategy is being implemented.

Element of Quality	Guidance
1. **Awareness**. Implementing agencies are aware of their roles and responsibilities for implementation.	Researchers should identify all agencies responsible for implementing elements of the strategies, as well as their respective responsibilities. They should interview agency staff to assess their knowledge and awareness of the strategy document and how it relates to their official responsibilities.
2. **Coordination**. Implementating agencies effectively coordinate to carry out their roles and responsibilities.	Researchers should identify what mechanisms are in place to coordinate either between implementing agencies or across scales of implementation (e.g., national and local). Examples may include dedicated focal points for information sharing, strategy meetings with representatives from all relevant institutions, shared databases or information platforms, or joint activities in the field.
3. **Capacity**. Implementation is supported by adequate human and financial resources.	Researchers should review whether implementing agencies have adequate staff and financing to carry out roles defined in the forest strategy. Researchers should assess the number of staff and the budget for implementing the project. In addition, they should examine the level of implementation of the strategy, the quality of execution, and whether the plan is being implemented according to the plan's timeline.
4. **Timeliness**. Implementation happens according to the timeline specified by the strategy.	Researchers should identify any implementation timelines in the forest strategy and assess the level of progress. This information may be collected from performance or monitoring reports, or may need to be gathered in the field via interviews and observation. Researchers should note what percentage of the strategy has been implemented, how long ago the strategy was developed, and the reason behind any significant deviations from the timeline.
5. **Monitoring**. Implementation is subject to regular monitoring of impacts and effectiveness.	Researchers should assess whether the strategy has a monitoring and evaluation plan and determine how often monitoring activities are carried out. They should also review monitoring reports to determine whether they analyze the overall impacts and effectiveness of the strategy.
6. **Transparency**. Monitoring reports are publicly disclosed on a regular basis.	Researchers should assess whether monitoring reports on forest strategy implementation are made publicly available. Methods of disclosure could include access to the strategy via website, public launch, printed copies, or availability upon request.

52. Implementation of forest strategies and plans		
Object of assessment:		

EOQ	Y/N	Explanation
Awareness		
Coordination		
Capacity		
Timeliness		
Monitoring		
Transparency		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3.3 Forest monitoring

53. Forest inventories
To what extent are comprehensive national forest inventories routinely conducted?

Indicator Guidance:
Many countries implement national forest inventories (NFI) to compile qualitative and quantitative data on the status of forest resources. This indicator should be applied to the most recent NFI in the country of assessment to assess its comprehensiveness. Review of the NFI document and methodology should be supplemented where necessary through interviews with the authors of the inventory and independent experts with knowledge of forestry and NFI techniques.

Element of Quality	Guidance
1. **Legal basis**. The legal framework requires regular and comprehensive national forest inventories.	Researchers should review the forest law or a national forest strategy to identify whether a national forestry inventory is required. In addition, they should note whether NFIs are required to be carried out at regular intervals (e.g., every 5-10 years).
2. **Methods**. Forest inventories are based on robust and transparent sampling and data collection methods.	Researchers should review the methods used to conduct the forest inventory. Common field research methods for measuring sample plots in forests include fixed area plots, variable size plots, and transects, all of which can be used to collect data on tree species, volume, and number. Forest inventories may also use different sampling methods (e.g., random, systematic, stratified, clustered). Researchers should review whether the methods used are robust, replicable, and likely to give an accurate picture of the country's forest resources. If research teams lack expertise on inventory methods, they should interview forestry experts on the quality of the methods used.
3. **Biological information**. Forest inventories include comprehensive biological and biophysical information on forests.	Researchers should review the comprehensiveness of the biological and biophysical information included in the NFI. Relevant information may include forest type, species diversity, species composition, forest cover, tree density, tree height, standing volume of timber, soil type, and water quality.
4. **Socioeconomic information**. Forest inventories include comprehensive information on the social and economic values of forests.	Researchers should review the comprehensiveness of the socioeconomic information included in the NFI. Economic information may include value of timber, nontimber forest products, and ecosystem services. Social information may include information on livelihoods derived from forest products, as well as cultural or spiritual values of forests.
5. **Frequency**. The national forest inventory is updated with adequate frequency.	Researchers should collect the most recent NFIs to assess how often they have been updated. If the legal framework sets out guidelines for frequency of updating NFIs, they should review whether these rules have been complied with in practice. While there is no established best practice for frequency of inventories, numerous countries require updating every 5 years (e.g., Indonesia, Japan).

53. Forest inventories		
Object of assessment:		
EOQ	Y/N	Explanation
Legal basis		
Methods		
Biological information		
Socioeconomic information		
Frequency		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

54. Monitoring of forest cover change
To what extent is there an effective national system for monitoring changes in forest cover?

Indicator Guidance:
This indicator evaluates the methods and systems used to monitor national forest cover change. In general, systems to monitor forest cover change rely on technology such as remote sensing or GIS to collect this type of data. Researchers should identify the agency or department responsible for forest monitoring and evaluate whether there is a dedicated national forest monitoring system. Researchers should interview government staff responsible for maintaining the monitoring system. If publicly available, researchers should also analyze the data produced by the monitoring system.

Element of Quality	Guidance
1. **Technology**. The monitoring system utilizes remote sensing and other relevant technology at an adequate resolution to detect deforestation and forest degradation.	Researchers should identify the type of technology used to assess forest cover change. High quality monitoring systems typically use remote sensing applications as well as GIS technology. In some cases, countries may access data provided by other international organizations (e.g., NASA makes its LANDSAT archives available for free). Researchers should also assess the resolution of the data collected and whether it is adequate for its stated purpose. For example, technology for measuring forest degradation should be higher resolution than technology for tracking overall forest cover change (e.g., Brazil's DEGRAD system uses a spatial resolution of 15 meters for forest degradation).
2. **Geographic scope**. The monitoring system is geographically comprehensive of all national forest resources.	Researchers should evaluate whether the system monitors forest cover change nationally, capturing all forested ecosystems as well as any areas where forest regeneration or forest restoration may occur.
3. **Frequency**. The monitoring system updates data at adequate intervals.	Researchers should assess how often forest cover change data is being collected and then determine whether the frequency is adequate given the purpose of the monitoring system. For example, monitoring systems aimed at providing deforestation alerts for follow-up enforcement actions would need to be updated more frequently than systems focused on generating data.
4. **Expertise**. The monitoring system is supported by personnel with adequate expertise.	Researchers should evaluate the expertise of those responsible for maintaining the monitoring system. Staff should have education, training, or direct experience in using and interpreting remote sensing software as well as using GIS applications.
5. **Enforcement**. Detection of illegal changes in forest cover is immediately communicated to relevant law enforcement bodies.	Researchers should identify whether forest law enforcement agencies have direct access to forest monitoring systems that can alert them to illegal forest clearing or logging, or whether other communication protocols are in place to facilitate rapid responses.

54. Monitoring of forest cover change		
Object of assessment:		
EOQ	Y/N	Explanation
Technology		
Geographic scope		
Frequency		
Expertise		
Enforcement		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

55. Monitoring of social, environmental, and economic factors
To what extent is there an effective national system for monitoring the social, environmental, and economic dimensions of forests?

Indicator Guidance:
This indicator assesses whether forest agencies routinely monitor social, environmental, and economic conditions in forests. Researchers should review whether there are any legal provisions or institutional mandates requiring monitoring of social, environmental, and/or economic factors. After identifying relevant monitoring institutions and systems, researchers should interview staff of the agencies responsible for carrying out monitoring and access monitoring data or reports.

Element of Quality	Guidance
1. **Institutional mandates**. Clear institutional mandates govern the collection, analysis, and publishing of information about the social, environmental, and economic dimensions of forests.	Researchers should identify institutions tasked with collecting information on social, environmental, or economic dimensions of forests. Monitoring may be conducted by multiple agencies. For example, environmental monitoring may occur through a biodiversity monitoring system (not just specific to forests), while economic and social monitoring may occur through national statistical institutes that implement demographic or household surveys. Researchers should note whether mandates include guidelines on what topics should be monitored.
2. **Biodiversity**. Comprehensive information about level and location of biodiversity is regularly collected and published.	Researchers should review monitoring information on biodiversity and identify the scope of issues that are monitored. Relevant information on biodiversity may include species diversity, monitoring of keystone or indicator species to gauge overall ecosystem health, or monitoring critical habitats and wildlife corridors. Researchers should also assess the frequency of biodiversity monitoring and compare it with any requirements. For example, countries may collect and report information under international agreements such as the CBD, CITES, or the Nagoya Protocol.
3. **Economic activities**. Comprehensive information about forest sector economic activities is regularly collected and published.	Researchers should review monitoring information on forest sector economic activities and identify the scope of issues that are monitored. Relevant topics may include information on the harvesting, processing, sale, and export of timber and nontimber forest products, as well as payments for environmental services.
4. **Demographics**. Comprehensive information about the demographics of forest-dependent people is regularly collected and published.	Researchers should review monitoring information to assess whether information on demographics is routinely collected and includes forest-dependent groups. Relevant demographic information may include gender, age, ethnicity, education level, and access to services such as health and sanitation. Such information may be collected in national demographic studies such as Demographic and Health Surveys, Household Budget Surveys, or general population surveys. Researchers should also assess whether sampling methods are likely to reach forest communities.

55. Monitoring of social, environmental, and economic factors		
Object of assessment:		
EOQ	**Y/N**	Explanation
Institutional mandates		
Biodiversity		
Economic activities		
Demographics		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

56. Monitoring and control of forest fires and other natural disturbances

To what extent is there an effective national system to monitor and control forest fires and other disturbances such as pests, disease, and flooding?

Indicator Guidance:

This indicator should be applied to assess any relevant systems that monitor and control forest fires and other natural disturbances. Researchers should identify whether fires, pests, disease, flooding, or other natural disturbances are common issues in the forests of the country of interest. They should review any laws, regulations, action plans, or management plans for measures aimed at reducing risk of disturbance. In addition, they should review systems for responding to ongoing disturbances, for example by interviewing government staff tasked with monitoring forest fires or responding to disturbances.

Element of Quality	Guidance
1. **Awareness**. Public information campaigns encourage efforts to prevent forest fires and mitigate other disturbances.	Researchers should assess whether the forest agency (or other relevant agency) conducts public information campaigns or other activities to raise awareness about forest fires and disturbances. Efforts may include TV and radio announcements, as well as targeted dissemination of information about preventive and suppressive measures to forest owners or managers.
2. **Preventive measures**. Forest management plans include measures to prevent fires and other disturbances.	Researchers should review whether inclusion of measures to prevent fires and other disturbances are routinely included in forest management plans. For example, preventive measures may include construction of fire protection roads and fire breaks, or maintaining diversity of forest management areas to mitigate potential pest outbreaks.
3. **Detection**. Monitoring systems are in place to facilitate early detection of fires and other disturbances.	Researchers should identify systems designed to forecast or provide early warning of potential fires or other disturbances. They should note any systems that monitor conditions for fires, floods, or other natural disasters, as well as how these systems communicate warnings to relevant authorities. For example, Indonesia's Fire Danger Rating System collects data on wind, humidity, and temperature in order to calculate potential for forest fires. Predictive information is given to the government to guide efforts to control forest fires.
4. **Response**. Forest agency offices have notification systems in place for rapid communication and response to fires and other disturbances.	Researchers should review the systems in place for responding to alerts of fires or other natural disturbances. For example, they should assess whether there are rapid response teams for suppressing disturbances, internal communications between government agencies in charge of responding to fires and disasters, and protocols in place to notify potentially impacted populations of emergencies.

56. Monitoring and control of forest fires and other natural disturbances		
Object of assessment:		
EOQ	Y/N	Explanation
Awareness		
Preventive measures		
Detection		
Response		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

57. Forest information systems
To what extent is there an effective national system to transparently manage forest information?

Indicator Guidance:
This indicator should be applied to the national system for forest information management. Information systems may be centrally managed by a single agency (e.g., forest agency) or there may be multiple different systems that bring together information on economic, social, and environmental dimensions of forests. Researchers should access the relevant system(s) to review the types of information that is available as well as its quality. If the system is not accessible to the public, researchers should interview staff responsible for maintaining the system as well as those who access it regularly in relation to their positions (e.g., forest agency staff) about the contents and functioning of the system. Researchers may wish to focus on a particular category of information in order to narrow the focus of this indicator.

Element of Quality	Guidance
1. **Comprehensiveness**. An integrated information system compiles all management, financial, and administrative data necessary for effective forest management and enforcement.	Researchers should identify the types of data that are stored in the information system. Examples of key data for forest management and enforcement include information on forest classifications, operations of forest contracts and permits, management of protected areas, the national forest inventory, management plans, records of forest charge payments, and records of field inspections and enforcement actions.
2. **Digitization**. Information is maintained in a digital format.	Researchers should access the system or conduct interviews to assess whether all relevant information is stored in digital form. If records are still commonly stored in hard copy formats, they may also wish to assess whether there is a process to input these records into a digital system at some point. If information is only partially stored in digital records, researchers should describe which information is digital and which remains in hard copy.
3. **Updating**. Information is regularly updated to reflect the most current data.	If the system is publicly available, researchers should conduct several checks during the research period to document whether new information is included in this system. This could include information on new forest use contracts, updates of forest monitoring data, or updates of forest taxes and fees collected. Researchers may also interview agency staff about whether procedures for regularly updating information are in place and followed. Researchers should also interview external users of the information system if relevant.
4. **Government accessibility**. Information is easily accessible to all internal users of the system.	Researchers should assess whether the information system is designed to facilitate access between internal users across government agencies. For example, whether procedures are in place to support easy access to all relevant data types (e.g., personal logins). Researchers should assess the protocols in place for obtaining, verifying, and loading information into the system, including whether there is a quality control system in place.
5. **Information-sharing**. The system facilitates information-sharing between national and local forest officials.	Researchers should assess whether the information system is designed to facilitate access between internal users across scales of administration (e.g. national, regional, local). Through interviews with officials at different levels, they should identify whether subnational users routinely access central information

	systems, as well as their ability to provide information on local activities to the system.
6. Public accessibility. Information is accessible to the public.	Researchers should determine whether information in the forest sector's information management system is accessible to the public. The system itself could be searchable, or could process and publish information from the system for public consumption through reports, newsletters, or regular uploading of data. Researchers should also identify what type of information is available and what may be missing from the system.

57. Forest information systems		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Comprehensiveness		
Digitization		
Updating		
Government accessibility		
Information-sharing		
Public accessibility		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3.4 Forest management practices

58. Quality of forest management plans
To what extent are forest management plans comprehensive and up-to-date for all relevant public and private forests?

Indicator guidance:
Forest management plans outline the activities and practices to take place within a given forest management unit, such as a forest concession, protected area, or other resource utilization contract. This indicator assesses how legal requirements for forest management planning assessed in Indicator 45 are applied in practice. Researchers should collect copies of available management plans, review any reports on the degree of implementation, and conduct interviews with forest managers (e.g., contract holders, district forest officials). Researchers should also interview government agencies that oversee whether management plans are created and followed. In order to ensure feasibility of this indicator, researchers may wish to focus their analysis on management planning in a defined area (e.g., a district or other geographic unit).

Element of Quality	Guidance
1. **Existence of plans**. Management plans and inventories exist for all areas for which they are legally required.	Researchers should identify all categories of forest contracts or classifications that require management plans. They should verify to what extent management plans have been completed for these areas by obtaining copies of plans or interviewing staff of the agency responsible for tracking their completion (likely the forest agency).
2. **Transparency**. Management plans and inventories are publicly accessible.	Researchers should access management plans and attempt to identify the overall percentage of plans that are available. They should also note whether plans are available through accessible channels such as online or through request from forest agency offices.
3. **Completeness**. Management plans are complete and consistent with all legal requirements.	Researchers should review a subset of management plans to assess whether they are complete and in compliance with legal requirements (which may have been evaluated in Indicator 45). For example, researchers should review whether all types of required information, studies, and plans are described in adequate detail. In addition, they should ensure that management plans address technical, financial, social, and environmental requirements set out in law. For example, ensuring that plans comply with requirements related to harvesting controls or environmental regulations.
4. **Updating**. Management plans are regularly reviewed and updated.	Researchers should review whether management plans comply with rules for reviewing and updating. If no rules exist, they should still assess whether forest managers routinely update plans to reflect changing forest conditions or management needs.
5. **Approval**. Management plans are promptly approved by the relevant authority.	Researchers should assess how management plans are reviewed and approved by a relevant government agency such as the agency in charge of forests or environment.

58. Quality of forest management plans		
Object of assessment:		
EOQ	Y/N	Explanation
Existence of plans		
Transparency		
Completeness		
Updating		
Approval		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

59. Capacity of forest managers
To what extent do forest managers have adequate capacity to develop and implement forest management plans?

Indicator Guidance:
This indicator evaluates the capacity of forest managers in terms of knowledge, access to financial and human resources, as well as access to pertinent information and tools. Forest managers may refer to a range of different groups, including managers of concessions or other forest contracts, managers of community forests, or other managers relevant to the country of assessment. Researchers should identify a relevant type of manager for applying this indicator. For example, researchers may focus on managers of protected areas or forest concessions in a specific area. Researchers should conduct interviews with forest managers, as well as government staff that oversee management or other groups that may have knowledge of management capacity.

Element of Quality	Guidance
1. **Awareness**. Forest managers are aware of their rights and duties according to relevant laws and regulations.	Specific rights and duties of forest managers will depend on the type of forest classification and the purpose for which it is managed. Researchers should identify the duties and obligations that apply to the type of manager being assessed, and conduct interviews to gauge the level of understanding of laws and regulations. Researchers can also use evidence of routine compliance or any evidence of past violations of laws and regulations as evidence of awareness.
2. **Expertise.** Forest managers have an adequate range of expertise.	Researchers should assess whether managers have knowledge of forestry, as well as related disciplines such as silviculture, biology, forest economics, and ecology. Depending on the type of area being managed, expertise in sociology or engaging local populations may also be necessary. Expertise may be demonstrated through education, experience, completion of trainings, or responses to questions designed to assess knowledge of the content of forest management practices.
3. **Financial resources**. Forest managers have adequate financial resources.	To assess financial resources, researchers should review whether forest managers regularly make required payments such as staff salaries, taxes, or other financial obligations. Researchers should also determine whether activities set out in management plans or other relevant documents are typically carried out on time, as delays may indicate insufficient financial resources. Information on payments may be collected from forest managers themselves, or from the government agency in charge of collecting forest revenues.
4. **Human resources**. Forest managers have adequate human resources.	Researchers should assess whether forest managers have the personnel required to manage resources according to their management plans or other requirements. For example, forest managers should have enough staff to carry out their activities in a timely manner, and these staff should have expertise that is appropriate to their roles and responsibilities.
5. **Information**. Forest managers have access to relevant scientific and technical information.	Scientific and technical information related to management of forests may include the national forest inventory, information on market values of forest products, data on biodiversity and ecosystem services, as well as information on policies, laws, regulations, and incentive programs. Researchers should review what types of

	information are critical for forest managers in the area being assessed and evaluate whether they have routine access through forest information systems, online resources, or other channels.
6. Tools. Forest managers have access to necessary tools and equipment.	Equipment for managing forests may include industrial equipment for felling and extracting logs, dbh tapes for measuring tree diameter, as well as equipment for traveling in forested areas without roads. Equipment may also include information technology such as GPS, GIS software, computers to manage information, or software that assists in modeling forest growth or conservation planning. Researchers should assess whether forest managers have equipment that is appropriate to their roles and responsibilities as forest manager.

59. Capacity of forest managers		
Object of assessment:		
EOQ	Y/N	Explanation
Awareness		
Expertise		
Financial resources		
Human resources		
Information		
Tools		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

60. Administration of harvesting licenses and permits
To what extent can forest managers obtain necessary licenses and permits for harvesting timber and nontimber forest products?

Indicator Guidance:
Forest licenses and permits are often allocated for small scale commercial forest extraction or use (as opposed to forest concessions or other contracts covering large areas). This indicator evaluates the process of obtaining forest harvesting licenses and permits. Licenses or permits may be required for activities such as extraction of non-timber forest products or small-scale timber extraction activities. Researchers should identify which types of licenses and permits exist. Researchers may wish to focus in on particular categories, for example by focusing on most common types or those known to have issues with noncompliance. Researchers should review laws and regulations that govern how permits are obtained. They should also interview government staff responsible for permit administration and customers who have attempted to obtain permits.

Element of Quality	Guidance
1. **Procedural clarity**. Clear administrative procedures regulate the obtaining of licenses and permits.	Researchers should review laws and regulations setting out procedures for relevant types of licenses or permits. In general, regulations should clearly define the steps in the process of submitting and approving applications. Rules should include what documentation must be filled out and submitted, what information needs to be included in the application, where/to what institution documents are submitted, relevant fees, and the timeframe for approval.
2. **Nondiscrimination**. Customers can apply for licenses and permits without discrimination.	Researchers should identify relevant customer groups that may apply for licenses and permits. They should review permit records and conduct interviews to assess whether services are available without discrimination. Evidence may include ensuring that service providers do not prioritize or fast-track certain types of applications or provide exemptions from administrative procedures without justification.
3. **Convenience**. Licenses and permits can be applied for at times and places that are convenient for customers.	Researchers should document where licenses or permits are obtained and the hours at which these services are accessible. Convenience of these locations and hours to customers should be evaluated based on the types of customers and services being provided. For example, whether the target customers generally have the time, resources, and equipment to travel to office locations, and whether accessing services involves significant opportunity costs in terms of foregone wages.
4. **Accessibility**. The process for acquiring a license or permit is not prohibitively complicated or expensive.	Researchers should identify factors that might limit accessibility, such as expensive fees or complex application requirements. Researchers should evaluate how many documents must be filled out, how many signatures or approvals are required, and the level of detail required regarding how resources will be extracted and/or used. They should also collect information on the average length of the licensing process.

5. **Timeliness**. Licenses and permits can be obtained in a reasonable amount of time.	Through review of service records or interviews, researchers should document multiple examples of how long it takes to obtain licenses or permits. Researchers should compare data collected with any legal or procedural requirements.

60. Administration of harvesting licenses and permits		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Procedural clarity		
Nondiscrimination		
Convenience		
Accessibility		
Timeliness		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

61. Community participation in forest management
To what extent are communities able to effectively participate in forest management planning and implementation?

Indicator Guidance:
This indicator evaluates the degree to which communities are involved in forest management activities led by external actors (e.g., forest agency, park service, concession managers). This indicator should be applied as a case study to a particular area or type of forest (e.g., protected area, forest concession) where local communities are engaged in forest management activities. Researchers should interview relevant forest managers and community members about the level of community participation and engagement.

Element of Quality	Guidance
1. **Transparency**. Government and forest managers regularly inform communities about forest management issues and activities.	Researchers should assess what information has been provided to communities by relevant forest managers. To assess this, researchers should review any documentation provided to communities, as well as conduct interviews with communities to assess their awareness of the contents of the information provided.
2. **Communication**. Effective mechanisms exist to promote two-way communication about forest management between communities, government, and forest managers.	Researchers should evaluate how information is provided to communities and whether the method of disclosure is appropriate (e.g., in appropriate languages, through community representatives). In addition, they should assess whether there is regular information exchange between the forest manager and community groups, for example through community meetings, regular workshops, or committees.
3. **Participation**. Management plans are developed with participation of local communities.	Researchers should review whether communities participate in the development of management plans for the forest management area of interest. For example, communities may be engaged through workshops to solicit input. Researchers should identify what opportunities for input exist, how many community members are typically involved in these processes, as well as whether community feedback is typically incorporated into the management plan.
4. **Capacity**. Communities have adequate capacity to effectively participate in forest management planning and implementation.	Researchers should review whether communities have both the expertise and the resources to participate in forest management activities led by external groups. Expertise may refer to knowledge and experience of traditional forest knowledge and practices, as well as modern methods. Resources refers to whether communities have the resources (e.g., time, finances) to attend meetings related to forest management planning or implementation.

61. Community participation in forest management		
Object of assessment:		
EOQ	Y/N	Explanation
Transparency		
Communication		
Participation		
Capacity		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

62. Implementation of community-based forest management
To what extent is community-based forest management promoted and supported in practice?

Indicator Guidance:
This indicator should only be applied if community-based forest management is formally recognized in the country of assessment both by law and in practice with specific administrative requirements. If such a program exists, researchers should assess the overall level of participation in the program, as well as identify one or more operational community-managed forests for collecting primary data. Researchers should review laws, management plans, and other documentation related to community-managed programs. They should also conduct interviews with government staff that administer or otherwise support community forestry programs, community managers themselves, and, if relevant, CSOs or other groups that provide technical assistance.

Element of Quality	Guidance
1. **Awareness**. Efforts are made to raise the awareness of communities about their rights and duties under the law with respect to community-based forest management.	Researchers should assess the level of awareness of communities by researching the extent of participation in the community forestry program nationally. Researchers can identify the number of community forests that have been established and/or the number of pending applications to assess the geographic scope of participation. In addition, they should interview community representatives in case study areas to assess their knowledge of the requirements of the program.
2. **Financial assistance**. Communities can access financial assistance in order to implement forest management activities.	Researchers should assess whether any dedicated programs exist to support communities with applying for management rights, management planning, or implementing forest management activities. Financial assistance may come from forest agency programs, CSOs, donors, or implementing agencies.
3. **Technical support**. Communities can access extension services or technical support related to forest management activities.	Researchers should assess whether any dedicated programs to provide technical assistance exist to support communities with forest management. Technical support may be provided by government agencies or CSOs. Support services may include training related to developing management plans, conducting inventories of managed areas, or silviculture methods.
4. **Community institutions**. Community institutions exist to oversee forest management operations and decision-making.	Researchers should assess whether the community forest management arrangements have established a governing entity. For example, in Nepal the community forestry program sets up Community Forestry User Groups that oversee community forestry activities and finances. Researchers should review any documentation such as terms of reference, rules of procedure, or reports from these groups on their operations.
5. **Gender equality**. Women participate equally and can hold leadership positions in community institutions.	Researchers should assess the level of involvement of women in community institutions involved in decision-making, planning, or implementing forest management activities, including any women in leadership positions. If possible, they should assess whether community women are able to share opinions and whether their comments are respected and incorporated into decisions. Since women's participation may be a sensitive issue, researchers can convene women-only focus groups discussions to collect this information.

6. **Access to markets**. Communities have access to markets or other opportunities to sell their timber or nontimber forest products at market rates.	Researchers should assess whether communities are allowed to manage forests for commercial purposes. In addition, they should review the conditions for the community's access to markets, such as proximity and resources for travel. Where market access is limited, researchers should assess whether any systems are in place to support communities to sell their resources, either by providing financial or transportation assistance to markets, or by selling timber to wood processors or other forest managers nearby. If timber is often sold to processors or companies, researchers should assess these arrangements and whether they enable communities to receive a fair price for their forest products.

62. Implementation of community-based forest management		
Object of assessment:		
EOQ	**Y/N**	Explanation
Awareness		
Financial assistance		
Technical support		
Community institutions		
Gender equality		
Access to markets		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

63. Management of protected areas
To what extent are protected areas effectively and inclusively managed?

Indicator Guidance:
This indicator should be applied to assess management of one or a group of protected areas. Researchers should select protected areas that are relevant to the scale of the assessment, and could potentially assess management of several different protected categories (e.g., national park, forest reserves). Researchers should review documentation from protected areas such as management plans and performance reports. In addition, they should interview managers, park rangers, law enforcement personnel, or other groups involved in protected area management.

Element of Quality	Guidance
1. **Demarcation**. Boundaries of protected areas are clearly demarcated.	Researchers should review whether protected area boundaries have been clearly demarcated. For example, geographic boundaries including GPS coordinates should be agreed upon and formally recognized in regulations creating the protected area, as well as documents such as management plans. Physical boundaries should also be marked using signs, boundary posts, or other forms of public notification.
2. **Use restrictions**. Stakeholders clearly understand what activities are allowed and not allowed within the area, and restrictions do not unnecessarily limit the forest uses of local communities.	Researchers should review protected area management plans as well as any materials distributed to nearby populations about use restrictions in protected areas. They should review whether consultations were held in the development of the protected area or management plan to create buffer zones or otherwise support existing uses of the land, such as harvesting of nontimber forest products. Interviews with affected populations should also be conducted to gauge their understanding of use restrictions.
3. **Information basis**. Protected area managers have access to adequate scientific and technical information as a basis for management planning.	Scientific and technical information related to management of protected areas may include information on the geography and climate of the protected area, an inventory of the protected area's natural resources (e.g., biodiversity and ecosystem services), information on nearby forest-dependent populations and their land uses, and information on potential threats to the protected area such as fires or other disturbances. Researchers should evaluate whether protected area managers have routine access to such information through forest information systems, online resources, or other channels.
4. **Management plans**. Protected areas have comprehensive and appropriate management plans.	Researchers should verify whether the protected areas being assessed have management plans setting out the goals for managing the area's resources and strategies for achieving them. Plans should also summarize strategies for staffing; stakeholder engagement; zoning; supporting tourism, research, or recreation; governance; financial management; and monitoring and evaluation of how management goals are being met.
5. **Capacity**. Protected area managers have access to adequate financial, human, and technical resources to implement the management plan.	Researchers should review budgets and staffing plans for the protected area. They should also review whether the protected area has the necessary technical equipment to manage and monitor the area, such as vehicles for monitoring park activities and communications equipment. They should review whether

	the staff and resources available are sufficient to implement the activities in the management plan, and collect field data to compare planning with implementation. Significant delays or challenges with implementation may indicate insufficient resources.
6. **Community engagement**. Effective mechanisms enable transparent engagement with local communities and resolution of disputes that may arise.	Engagement may range from simply providing information to communities on management decisions to actively consulting communities or engaging them as co-managers in the protected area. Researchers should assess the degree to which protected area managers engage nearby forest communities in the management of the protected area. They should identify any formal engagement or dispute resolution plans set out in the management plan. If conflicts have occurred, they should document how they were resolved.

63. Management of protected areas		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Demarcation		
Use restrictions		
Information basis		
Management plans		
Capacity		
Community engagement		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

3.5 Forest law enforcement

64. Legal basis for forest-related offenses and penalties
To what extent does the legal framework define a clear system of forest-related offenses and penalties?

Indicator Guidance:
To apply this indicator, researchers should review laws and regulations defining forest-related offenses and corresponding penalties. Offenses and penalties are likely to be defined in the forest law; additional laws related to wildlife crime, the environment, or general criminal codes may also be relevant.

Element of Quality	Guidance
1. **Definition of offenses**. The legal framework clearly and comprehensively defines all major types of forest infractions.	The legal framework should ensure that major types of forest infractions are clearly defined as illegal. Forest infractions should include unauthorized harvesting, exploitation, use, processing, or sale of forest resources (e.g., timber, NTFPs); noncompliance with forest contracts; failure to comply with forest charges (e.g., taxes, fees, royalties); violation of environmental laws; illegal hunting or poaching of wildlife; illegal fires; or clearing forests without a permit.
2. **Definition of penalties**. The levels and types of penalties prescribed vary according to the nature and severity of the infraction.	Penalties for forest infractions may include fines, seizure of assets, jail time, compensation requirements, or a combination of multiple penalties. Researchers should review whether penalties are clearly defined in the legal framework and whether they are differentiated by the nature and severity of the crime. For example, penalties could include higher financial fines or mandatory minimum sentences for more serious types of crimes.
3. **Calculation of penalties**. The legal framework prescribes clear methods for assigning penalties and calculating fines for forest-related offenses that minimize administrative discretion.	The legal framework should provide clarity on how the severity of a penalty for a forest crime is determined. For example, if the legal framework lists either a fine or jail time as a penalty for a given infraction, it should provide some parameters or guidance for how this is determined in practice. Guidance should minimize the power of officials to reduce fines or waive jail time without justification.
4. **Updating of penalties**. The legal framework allows for regular updating of financial penalties or indexing for inflation.	The legal framework should ensure that financial penalties for forest infractions are routinely updated. Methods for ensuring this may include indexing fines in the legal framework such as the minimum wage or a foreign currency, regular revisions to the law or regulation itself, or authorizing the relevant minister to increase the level of fines when necessary.
5. **Compensatory measures**. The legal framework calls for compensatory penalties such as restitution or restoration where appropriate.	The legal framework should define compensatory measures for forest infractions, where appropriate. For example, the law may require fines to pay for restoration in cases of illegal logging or forest clearing. Such measures may be based on the amount of harm caused by the illegal action, the cost of repairing damage caused, or the benefit to the actor who perpetrated the crime (e.g., profit made, fees avoided).

64. Legal basis for forest-related offenses and penalties		
Object of assessment:		
EOQ	Y/N	Explanation
Definition of offenses		
Definition of penalties		
Calculation of penalties		
Updating of penalties		
Compensatory measures		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

65. Legal basis for forest law enforcement
To what extent does the legal framework define clear powers and procedures for forest law enforcement?

Indicator Guidance:
This indicator assesses whether the law defines clear rules, powers, and procedures governing the functioning of institutions tasked with forest law enforcement. Researchers should review laws and regulations for forest law enforcement operations, as well as mandates for all institutions with responsibilities for forest law enforcement. Relevant agencies may include the forest agency, police, military, ombudsman, corruption commissions, and the judiciary.

Element of Quality	Guidance
1. **Institutional mandates**. The legal framework establishes clear institutional roles and responsibilities for forest law enforcement.	Researchers should identify all institutions with responsibilities for forest law enforcement tasks at both national and subnational levels. They should review whether the legal framework clearly defines the roles of institutions in a way that is coherent and does not create conflicts or overlaps.
2. **Clear procedures**. The legal framework defines clear procedures for pursuing and documenting forest law enforcement investigations.	Researchers should identify whether the legal framework defines a clear set of procedures or protocols to govern forest law enforcement investigations. Rules may establish protocols for the frequency of law enforcement monitoring, the type of information that should be documented and recorded during field inspections, handling of evidence, or reporting of infractions to superiors.
3. **Inspection powers**. The legal framework grants law enforcement officers authority to conduct inspections and gather evidence.	Researchers should review the range of inspection powers granted to forest law enforcement officials and assess whether they are sufficient to support effective enforcement of forest laws. Powers should enable law enforcement personnel to collect proof of violations. Relevant powers may include the authority to conduct routine inspections of licensed areas such as forest management operations, transport, and processing facilities or the power to seize evidence. The legal framework should also define clear rules for custody and disposal of seized assets or evidence (e.g., illegal forest products).
4. **Enforcement powers**. The legal framework grants law enforcement officers authority to arrest suspects.	Researchers should review whether powers of forest law enforcement personnel enable them to arrest suspected perpetrators of a forest infraction. The law may limit powers of arrest to certain circumstances, for example if the perpetrator is likely to flee or is caught during the commission of a crime. They should also review whether forest law enforcement officers have the authority to prosecute forest crimes.
5. **Performance incentives**. The legal framework establishes incentives for forest law enforcement actors to carry out their responsibilities consistent with the law.	Researchers should review whether the legal framework defines performance incentives for forest law enforcement officers. For example, revenues from fines collected or sales of seized products may be distributed to field staff. Such incentives are usually designed to discourage corruption among law enforcement officials working in remote areas.

65. Legal basis for forest law enforcement		
Object of assessment:		
EOQ	Y/N	Explanation
Institutional mandates		
Clear procedures		
Inspection powers		
Prosecutorial powers		
Performance incentives		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

66. Capacity of law enforcement bodies

To what extent do law enforcement bodies have the capacity to effectively enforce forest laws?

Indicator Guidance:

This indicator evaluates the capacity of law enforcement agencies to carry out their roles and responsibilities. Relevant agencies may include the forest agency, police, military, ombudsman, corruption commissions, and the judiciary. Researchers should apply this indicator once to each relevant agency with a role in forest law enforcement. They should conduct interviews with agency staff and collect information on forest law enforcement procedures and operations (e.g., monitoring reports, agency budgets).

Element of Quality	Guidance
1. **Budget adequacy**. Law enforcement bodies have adequate and sustainable financial resources to carry out enforcement responsibilities.	Researchers should review whether the budget supports law enforcement bodies to fulfill responsibilities for monitoring forest activities (e.g., field inspections to monitor forest management or follow up on reports of illegal activities) as well as enforcing fines and penalties. Researchers should verify how often monitoring or enforcement activities are carried out, how many staff are typically involved, and how much territory staff are required to cover. Evidence of delays, failure to complete routine inspections, or assigning staff to large territories may indicate budget constraints.
2. **Technical resources**. Law enforcement bodies have adequate technical resources to carry out field inspections and monitoring activities.	Researchers should assess whether law enforcement officers have the necessary equipment for carrying out their roles and responsibilities. Key resources may include transportation equipment for conducting field inspections, communications equipment, and information technology such as GPS and computers to manage information on inspections and enforcement actions.
3. **Field staff supervision**. Field investigation staff are subject to effective monitoring and supervision.	Researchers should identify whether any mechanisms are in place for review, oversight, or supervision of staff that monitor activities in the field. For example, regional or national law enforcement bodies may occasionally assist in field operations, or agencies may have their own internal systems of monitoring field staff performance. Some countries have also put in place independent forest monitors[15] that support and monitor the operations of law enforcement field staff.
4. **Legal expertise**. Law enforcement bodies have staff with expertise on the forest legal and regulatory framework.	Researchers should interview law enforcement personnel regarding their knowledge of the forest legal and regulatory framework. Relevant laws and regulations include controls on forest and environmental management (e.g., harvesting of forest products, forest clearing, biodiversity, and watershed protection), as well as laws governing forest offenses and penalties. Researchers should also note whether staff are required to pass certain exams, have educational qualifications that include training on the legal framework, or receive ongoing

---

[15] Independent forest monitoring (IFM) refers to a formal approach in which a government enters into an agreement with an independent third party to assess legal compliance in the forestry sector and observe the operations of official forest law enforcement systems.

	training on the legal framework for forests.
5. **Enforcement expertise**. Law enforcement bodies have staff with expertise in procedures for monitoring and reporting of illegal activities.	Researchers should interview law enforcement personnel regarding their knowledge of procedures for monitoring and reporting illegal activities. Relevant topics may include legal procedures for reporting and prosecuting forest infractions, or powers of law enforcement personnel. In addition, personnel should have expertise in collecting evidence and preparing cases for prosecution. Researchers should note the level of experience of law enforcement personnel with enforcement activities, as well as identify any ongoing training opportunities that are provided.

66. Capacity of law enforcement bodies		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Budget adequacy		
Technical resources		
Field staff supervision		
Legal expertise		
Enforcement expertise		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

67. Monitoring of forest management operations
To what extent do law enforcement bodies effectively monitor forest management activities and detect illegal activities?

Indicator Guidance:
This indicator should be applied to efforts to monitor compliance of forest management activities with forest laws and regulations. Forest management operations may encompass a range of activities including management of forests for timber harvesting, extraction of nontimber forest products, conservation, or other uses. In general, researchers should focus on activities that may be enforced through legal contracts or other formal arrangements that require monitoring of compliance. Researchers should identify the entity responsible for monitoring, which may include local forest officials, a law enforcement arm of the forest agency, or national law enforcement bodies such as the police or military. They should conduct interviews with field staff that implement monitoring, relevant oversight staff, and with forest managers whose operations are monitored to assess the overall functioning of monitoring efforts.

Element of Quality	Guidance
1. **Adherence to procedures**. Law enforcement officers follow clear procedures for carrying out inspections, collecting evidence, and documenting offenses.	Law enforcement procedures may be described in the legal framework, regulations, or a manual of procedures. Researchers should collect information on whether law enforcement operations comply with legal procedures. For example, researchers could review documentation of forest infractions to assess their compliance and quality. In addition, researchers could review whether court cases related to forest infractions have exposed any problems related to the performance of law enforcement agencies such as incorrect documentation or violations of the chain of evidence.
2. **Access to documents**. Law enforcement officers have access to relevant documents to determine whether forest operations are in compliance.	Researchers should verify whether law enforcement personnel have routine access to up-to-date information on forest contracts and management plans in order to monitor forest activities. For example, personnel may have access through forest information systems, or forest operators may be required to provide information at regular intervals based on contract terms.
3. **Access to information**. Law enforcement officers have access to up-to-date information as a basis for targeting inspections of illegal forest activities.	Researchers should verify whether law enforcement personnel have access to up-to-date information on illegal activities such as illegal logging, clearing, poaching, or mining in forested areas. Relevant information may include systems that monitor forest cover change and forest degradation through remote sensing, as well as reports from the public of forest infractions.
4. **Frequency of inspections**. On-the-ground inspections occur with adequate frequency.	Researchers should assess how often law enforcement personnel conduct on-the-ground inspections. Frequency may vary depending on the geographic area covered by law enforcement, as well as whether monitoring is being done to assess compliance or follow-up on illegal activity. Inspections should be frequent enough to ensure that all operations are inspected and to discourage illegal activity.
5. **Reporting of infractions**. Infractions identified by field officers are reported to relevant authorities in a timely manner.	Researchers should assess whether there are protocols in place for reporting infractions to relevant authorities for follow-up action (e.g., prosecutors, senior staff of the forest agency). Researchers should then review whether forest law enforcement

	personnel routinely report on field missions and infractions found. They should note any significant delays between field missions and reporting.
6. Citizen reporting. Citizens have easily accessible channels to report illegal forest activities to relevant authorities.	Researchers should identify any mechanisms that enable citizens to report instances of illegal activity to forest law enforcement bodies or other authorities.

67. Monitoring of forest management operations

Object of assessment:

EOQ	Y/N	Explanation
Adherence to procedures		
Access to documents		
Access to information		
Frequency of inspections		
Reporting of infractions		
Citizen reporting		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

68. Monitoring of timber supply chains
To what extent do law enforcement bodies effectively monitor forest product supply chains and detect instances of illegality?

Indicator Guidance:
This indicator assesses how relevant agencies monitor the forest product supply chain, including harvest, transport, processing, and export. It should be applied to all agencies with a role in law enforcement along the supply chain, which typically involves many actors including the forest agency, police, customs, and, in some countries, independent forest monitors. Researchers should review the procedures in place for monitoring the supply chain, which may be set out in laws, regulations, or law enforcement manuals, and collect information on how monitoring is carried out in practice. Researchers should interview staff of all relevant agencies involved in supply chain monitoring, as well as forest managers who transport, process, or export timber. Records of infractions identified by supply chain monitoring, performance reports of law enforcement agencies, or independent monitoring reports should also be reviewed.

Element of Quality	Guidance
1. **Documentation**. Tamper-resistant documentation is used to track timber from point of harvest throughout the supply chain.	Researchers should assess whether documentation for timber such as harvesting or transit permits is often subject to fraud such as counterfeiting or reuse of permits. They should also review whether the forest agency takes steps to limit fraudulent paperwork, for example through design of tamper-resistant permits.
2. **Tracking technology**. Adequate technology is used to track the legality of logs.	Researchers should identify whether there are systems in place to track legality of harvested timber. Common methods include painted serial numbers, plastic serial number tags, barcodes, or computer chips. Researchers should analyze whether the methods used enable law enforcement officers to easily detect illegal logs across the supply chain.
3. **Reconciliation of data**. Law enforcement officers regularly reconcile official data on allowable extraction rates with field data obtained from inspection of harvest, transport, processing, and export facilities.	Researchers should assess whether data from inspection of harvest, transport, processing, and export is routinely reconciled to ensure timber legality and identify potential infractions (such as underreporting of timber harvested to avoid taxes). Researchers should review how law enforcement personnel cross-reference information on volumes of species harvested at point of extraction, checkpoints, and processing facilities. Data may be reconciled by comparing paperwork (e.g., permits, certificates), but this approach is considered less reliable than computer systems that reconcile data across the forest product supply chain.
4. **Inspection of processing facilities**. Law enforcement officers conduct inspections and supply audits of processing mills with adequate frequency.	Researchers should review whether law enforcement personnel inspect processing facilities, including audits of timber supply. They should identify how often facilities are inspected, as well as ensure that processing facilities are up-to-date on permits and licenses required for operation.
5. **Transport inspections**. Law enforcement officers conduct inspections at major transport points with adequate frequency.	Researchers should assess whether forest law enforcement personnel conduct inspections of timber in transit. For example, researchers should review whether there are scheduled or unscheduled checkpoints for inspecting vehicles transporting logs, and how often such inspections occur.

6. **Reporting of infractions**. Infractions are reported to relevant authorities in a timely manner.	Researchers should review how infractions in the timber supply chain are reported, who they are reported to, and whether reporting is carried out as soon as infractions have been identified. Researchers should verify whether personnel involved in inspecting all relevant points of the supply chain are aware of reporting procedures and routinely follow them.

68. Monitoring of timber supply chains		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Documentation		
Tracking technology		
Reconciliation of data		
Inspection of processing facilities		
Transport inspections		
Reporting of infractions		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

69. Prosecution of forest crimes
To what extent are forest crimes fairly and effectively prosecuted in a timely manner?

Indicator Guidance:
This indicator assesses the functioning of systems to prosecute forest infractions. Many countries use judicial systems for prosecution of serious infractions and administrative systems for minor infractions. Researchers should identify which systems are typically used in the country of assessment and conduct interviews with government officials responsible for administering these processes (e.g., prosecutors, judges, forest agency staff). Researchers should review the legal procedures for prosecuting forest crimes, as well as collect information from several recently completed cases to assess the functioning of the system in practice.

Element of Quality	Guidance
1. **Access to evidence**. Prosecutors have access to evidence on reported forest infractions.	Researchers should verify whether prosecutors can obtain evidence to pursue cases of forest infractions, for example by collaborating with forest law enforcement field staff who in charge of detecting forest infractions.
2. **Timeliness of prosecution**. Prosecutors act on reported forest infractions in a timely manner.	Researchers should collect information on how often reported cases of forest infractions are pursued through a judicial or administrative process, as well as the average length of time for prosecuting forest infractions.
3. **Legal support**. All defendants have access to a lawyer, regardless of their financial resources.	Researchers should review whether the judicial or administrative enforcement system provides legal support to people accused of forest infractions regardless of their financial situation. Researchers should also review whether these services are accessible in practice.
4. **Transparency of proceedings**. Procedures for hearing cases are transparent and rules-based.	Researchers should review whether there are clear administrative rules governing prosecution of forest infractions, and whether legal proceedings are transparent. Transparency of proceedings may be evaluated by whether there are publicly available court records of cases or whether proceedings are open to the public. If some cases of forest infractions are resolved through administrative rather than judicial procedures, researchers should still verify whether there are records of how cases were resolved (e.g., whether fines were levied and how they were determined).
5. **Timeliness of rulings**. Rulings are delivered in a timely manner.	Researchers should review whether the law includes any requirements on the length of legal proceedings related to forest infractions. For example, in Brazil, federal law establishes a requirement of 30 days to judge administrative proceedings. Researchers should review recent cases to prosecute forest infractions and document the average time to a ruling.
6. **Appeals**. Convicted offenders have the opportunity to appeal decisions.	Researchers should review whether administrative procedures enable those convicted of forest infractions to appeal decisions. If forest infractions are resolved by the executive branch (e.g., through an administrative process), researchers should also determine whether these proceedings can be appealed through the courts.

69. Prosecution of forest crimes		
Object of assessment:		
EOQ	Y/N	Explanation
Access to evidence		
Timeliness of prosecution		
Legal support		
Transparency of proceedings		
Timeliness of rulings		
Appeals		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

70. Application of penalties
To what extent are appropriate penalties applied and enforced in a timely manner?

Indicator Guidance:
This indicator reviews how penalties for forest infractions are applied and enforced, including whether they are consistent with the legal framework. Researchers should collect judicial or administrative case records, performance reports, or other documentation on application of and compliance with penalties in the forest sector. They should also conduct interviews with government staff in charge of issuing, enforcing, and monitoring compliance with penalties.

Element of Quality	Guidance
1. **Legal expertise**. Decision-makers issuing penalties are trained in the legal framework for forest offenses and penalties.	Researchers should review whether judges, prosecutors, forest agency staff, or other decision-makers involved in applying penalties for forest crimes are knowledgeable of the legal framework for forest offenses and penalties. Researchers should assess whether such officials have education or receive formal training on the legal framework.
2. **Consistency**. Assigned penalties are generally consistent with the law and appropriate given the nature of the offense.	Researchers should review information on both civil and criminal penalties applied to cases of forest infractions. They should review cases handled by the judiciary as well as examples of administrative sanctions if relevant. Researchers should note whether the penalty is consistent with the guidelines in the legal framework and whether the penalty is appropriate to the crime.
3. **Compliance**. Financial penalties are paid in full in a timely manner.	Researchers should document the proportion of financial penalties issued by courts or administrative proceedings that are paid in full, partially paid, or remain unpaid. Staff of the agency in charge of issuing and collecting fines should maintain this information.
4. **Monitoring of compliance**. Compliance with penalties is monitored and further legal action is taken in cases of noncompliance.	Researchers should assess the level of compliance with penalties issued for forest crimes by gathering information on payment of fines, compliance with compensatory measures (e.g., restoration requirements), or other types of penalties. They should also review whether the forest agency or other relevant institution monitors and enforces compliance.
5. **Public disclosure**. Information about penalties and their state of compliance is publicly disclosed.	Researchers should review whether information on penalties issued and paid for forest crimes is routinely documented and made available to the public.

70. Application of penalties		
Object of assessment:		
EOQ	Y/N	Explanation
Legal expertise		
Consistency		
Compliance		
Monitoring of compliance		
Public disclosure		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

4. Forest Revenues

This thematic area covers the entire spectrum of revenue management in the forest sector. Forests provide a major source of income in many countries. The forest revenue indicators are divided into four subthemes:

4.1 **Forest charge administration** refers to processes to set and collect taxes, fees, royalties, and other charges related to the use and extraction of forest resources.

4.2 **Forest revenue distribution** refers to arrangements for allocating and distributing revenues collected from the forest charge system within and beyond the government.

4.3 **Benefit sharing** refers to specific efforts to share benefits from forest management – whether these benefits are financial or non-financial in nature – with local, forest-dependent communities.

4.4 **Budgeting** refers to the annual process by which the government creates a national budget, including a budget for the forest agency.

4.1 Forest charge administration

71. Legal basis for forest charges
To what extent does the legal framework effectively regulate the administration of forest charges?

Indicator Guidance:
Governments often apply taxes, fees, or royalties (which we refer to as "forest charges") to generate revenues and regulate forest use. This indicator assesses the quality of the laws that guide government actions to design, calculate, collect, and enforce forest charges. Researchers should review laws, regulations, or other documents that establish monetary charges for forest management or use; these may include forest laws, general finance laws, or the tax code. Forest charges can apply to a broad range of activities including hunting, timber extraction, collection of nontimber forest products, timber transport, wood processing facilities, and export of forest products. Researchers should identify the major categories of forest charges in the country of assessment and select which charges are most relevant to assess (e.g. charges that generate significant revenue or charges for forest activities of interest such as timber extraction).

Element of Quality	Guidance
1. **Institutional mandates (horizontal).** The legal framework defines clear institutional roles and responsibilities for forest charge administration within the central government.	There may be one or more central government institutions with a role in setting, collecting, managing, and overseeing forest charge administration. If more than one institution or department is involved, the law should clearly state the roles of each in administering forest charges. Relevant functions may include collection, information management, financial management (e.g., accounting and auditing), or monitoring. The legal framework should also state any obligations among these institutions with respect to information sharing, reporting obligations, and oversight of activities associated with forest charge administration.
2. **Institutional mandates (vertical).** The legal framework defines clear institutional roles and responsibilities for forest charge administration between different levels of government.	The law should clearly state the roles of relevant subnational actors (e.g., local government or local offices of national agencies) in setting, collecting, managing, and overseeing forest charge administration. Subnational institutions may be tasked with field operations such as calculating and collecting charges owed, verification of amounts, and identifying cases of noncompliance. The legal framework should also state any obligations or relationships between subnational actors and national institutions, including information sharing, reporting obligations, and oversight.
3. **Review.** The legal framework defines a clear process for regular review of the forest charge system.	Although forest charges should not be defined in the law to avoid obsolete charge levels, the legal framework should establish a system for ensuring that forest charges are up-to-date. Examples include requirements for regular review of forest charges at certain intervals, or for establishing charges annually through the finance law or national budget process. Note that provisions for keeping charges up-to-date may also include simple measures to index charges for inflation or set charges based on percentages of market prices.
4. **Procedures.** The legal framework defines uniform and transparent administrative procedures	Rules should define procedures for collecting forest charges. These may include how charges are calculated (e.g., area-based, volume-based), where charges are collected, the form in which payments should be made, and how charges owed and paid are reconciled to

for collecting forest charges.	ensure compliance. The legal framework should also promote transparency and accountability by requiring disclosure of information on revenues collected and monitoring of collection activities.
5. **Penalties.** The legal framework defines adequate penalties to deter noncompliance with the forest charge system.	The legal framework should define clear penalties for noncompliance with the forest charge system such as fines, surcharges or interest for late payments, forfeit of deposits, suspension or cancellation of contracts, or jail time. Rules should identify the circumstances under which different types of penalties should be applied, and these penalties should correspond to the severity of infraction.

71. Legal basis for forest charges		
Object of assessment:		
EOQ	Y/N	Explanation
Institutional mandates (horizontal)		
Institutional mandates (vertical)		
Review		
Procedures		
Penalties		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

72. Review and revision of forest charges

To what extent are the types and levels of forest charges regularly reviewed and revised through a transparent and inclusive process?

Indicator Guidance:

This indicator assesses the quality of the process by which governments determine the structure and levels of forest charges. It should be applied to a recent review/revision of the forest charge system. Processes to set or review forest charges may be set administratively or competitively. Administrative processes may be used if revision of forest charges requires revisiting legislation or formal rules. Charges may also be set competitively based on market rates by using auctions, sales by tender, or sales by negotiation to determine the price of forest contracts or products. Researchers should identify how charges are reviewed and updated in the country of assessment and collect documentation associated with the process. Relevant documentation may include studies used as inputs into the process, public comments, or meeting reports. Interviews should be carried out with key participants in the forest charge revision process.

Element of Quality	Guidance
1. **Clarity of objectives.** Clear objectives articulate what the forest charge system is expected to achieve.	Objectives of the forest charge system could include enhancing economic efficiency of resource extraction, promoting sustainable management of forests, maximizing administrative efficiency, promoting equity, or a combination of similar objectives. Objectives should be articulated in the forest policy, forest law, or other materials shared during the charge review process.
2. **Frequency of review.** Forest charges are reviewed and revised at adequate intervals to ensure that they remain consistent with stated objectives.	The frequency with which forest charges should be reviewed may depend on the process by which charges are updated. Charges that are set administratively should likely be reviewed every couple of years, whereas charges that are indexed for inflation or based on percentages of market prices may require less frequent updating. Researchers should identify how often review happens, and compare the frequency with any relevant legal provisions to determine compliance. If forest charges are published regularly, researchers can compare time points to determine how often changes are made.
3. **Information basis.** Decisions about how to set forest charges are based on high-quality information about the economic and social values of the forest resources being taxed and the costs of administration.	Critical information for setting charges may include market price of forest resources being extracted, inventory information about species diversity and composition, maximum sustained yield of high value timber species, costs of extraction, costs of administering the forest charge system, amount of revenue generated by the system, and reports on past performance of the forest charge system in achieving its objectives.
4. **Technical expertise.** Government staff involved in setting forest charges have adequate technical expertise in forest economics.	Expertise may be determined by education, trainings, experience level, or even publications relevant to forest charges. Staff of the agency responsible for setting forest charges should have expertise (demonstrated using the criteria above) in the areas of forest economics, statistics, valuation of ecosystems, or similar technical areas.
5. **Participation.** Interested stakeholders are able to provide direct inputs into	Stakeholders who are interested in the forest charge review process are likely to be those who are directly affected by the suite of forest charges applied to forest management and use. For example, groups

the process, and their inputs are addressed in a transparent manner	with contracts to extract forest products for commercial use (e.g., concessionaires, community forest managers, processors and exporters of forest products). Researchers should assess whether these groups had opportunities to provide input into the forest charge review process. Review of reports from the forest charge process or meeting minutes may also provide useful information on who participated and how comments were addressed.
6. **Transparency.** Information related to the process and final decision is easily accessible to interested stakeholders.	Documentation of the charge review process could include reports of working sessions, records of legislative debate (if the review included legal changes), final decisions (e.g., final laws, decrees) as well as reports used as inputs into the process. Researchers should evaluate whether information was available to those obligated to comply with the forest charge system.

72. Review and revision of forest charges

Object of assessment:

EOQ	Y/N	Explanation
Clarity of objectives		
Frequency of review		
Information basis		
Technical expertise		
Participation		
Transparency		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

73. Types and levels of forest charges
To what extent are the types and levels of forest charges appropriate to promote sustainable management and use of forest resources?

Indicator Guidance:
This indicator assesses whether the current types and levels of forest charges are designed to promote sustainable management of forest resources. Researchers should apply this indicator to the major forest charges identified in Indicator 71. They should review the design of the forest charges to assess whether they support certain goals or incentives and as well as examine data on the impacts of the forest charges on natural resources. Researchers can also conduct interviews with forest sector experts, government staff who administer the forest charge system, and groups responsible for paying forest charges to examine how the levels of charges influence decision-making about natural resource management.

Element of Quality	Guidance
1. **Valuation.** Forest charges adequately capture the value of the forest resources being extracted.	Charges that are regularly updated, differentiated by product, or based on market-prices are most likely to capture the value of the resources being extracted. For example, fees for timber extraction may be calculated based on stumpage value (e.g., based on log value and costs of extraction and transport), or set as a percentage of market or free-on-board prices.
2. **Species differentiation.** Forest charges do not encourage unsustainable levels of extraction of high-value or endangered tree species.	Forest charges may be used to encourage harvest of a broader range of commercial trees to reduce pressures on high-value species. For example, stumpage-based fees may be differentiated by species or groups of species and assigned higher prices to high-value species. Area-based fees may also encourage extraction of a broader range of species.
3. **Cost effectiveness.** Forest charges do not require overly expensive and complex measurement and collection procedures.	Costs of measuring and collecting forest charges should not exceed gains in revenue from levying the charge. Procedures that maximize cost effectiveness and avoid administrative complexity are often those that do not require complex measurement and fieldwork to calculate value such as area-based fees or set prices for contracts and licenses
4. **Anticorruption.** Forest charges do not require measurement and collection procedures that are open to significant discretion or that are difficult to track and audit.	Forest charge collection procedures should be designed to minimize discretion and follow clear criteria. Methods may consist of field procedures that require forest agency staff to mark and measure trees that will be cut, or simple area-based taxes that are charged and paid in local forestry offices. Some countries may have declarative systems in which extractors are charged fees based on the volume of wood declared; however, such systems can introduce corruption if not subject to proper oversight.

73. Types and levels of forest charges		
Object of assessment:		
EOQ	Y/N	Explanation
Valuation		
Species differentiation		
Cost effectiveness		
Anticorruption		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

74. Measures to promote compliance with forest charges
To what extent are effective measures in place to promote compliance with forest charges?

Indicator Guidance:
This indicator should be applied to the agency responsible for calculating, collecting, and enforcing payment of forest charges. Often the responsibility for administering forest charges falls to a specific department within a forest agency, or may be the responsibility of local officials. Researchers should identify the relevant group(s) and gather documentation on their operations to promote compliance with forest charges. Researchers should also conduct interviews with government staff responsible for administering the system, as well as with different user groups required to comply with the forest charges to assess the effectiveness of measures to promote compliance.

Element of Quality	Guidance
1. **Transparency of forest charges.** An up-to-date and publicly available list details all forest charges.	The responsible agency should publish a consolidated and current list of all forest charges that is publicly available. The list may be available in local offices of the forest administration, online, or by request. Researchers should also attempt to determine whether the list is generally accessible by interviewing forest users and managers who must comply with the charge list.
2. **Disclosure of rules.** Information explaining the laws, regulations, and procedures of the forest charge system is publicly disclosed.	Laws and procedures of the forest charge system should be disclosed via website, at local forest agency offices, or any other relevant public disclosure mechanisms. Researchers should interview forest contract holders, resource users, and managers (e.g., concessionaires, community forest managers, and other contract or license holders) to assess whether they have access to forest charge system rules.
3. **Disclosure of revenues.** Information about the amount of revenue collected under the forest charge system is publicly disclosed.	The responsible agency should publish a record of all forest charges collected. The list should be made available via publicly accessible mechanisms. Information should be provided in a useful format that includes information on the type of charge, the amount paid, and, if relevant, the forest contract.
4. **Disclosure of noncompliance.** An up-to-date and accurate list shows all cases of noncompliance with forest charges.	The responsible agency should maintain a list of cases of non-compliance with forest charges. Such a list should at least be maintained internally, but ideally should also be made publicly available via accessible channels.
5. **Application of penalties**. Adequate penalties are applied in cases of noncompliance.	Researchers should identify recent examples of noncompliance with the forest charge system. They should interview forest agency staff and other relevant parties to determine the type and magnitude of the penalties assessed. Researchers may also wish to review any performance reports associated with enforcement of the forest charge system. Adequacy of penalties could be compared to the penalties set out in the legal framework, or could be compared to similar past cases of noncompliance.

74. Measures to promote compliance with forest charges		
Object of assessment:		
EOQ	Y/N	Explanation
Transparency of forest charges		
Disclosure of rules		
Disclosure of revenues		
Disclosure of noncompliance		
Application of penalties		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

75. Collection of forest charges
To what extent do relevant agencies have capacity to collect forest charges in a transparent and accountable manner?

Indicator Guidance:
This indicator assesses the government's capacity to administer and collect forest charges. Researchers should apply this indicator to the same agency(s) assessed in Indicator 75. Researchers should gather documentation on forest charges collected, such as government reports or independent reviews. Researchers should also conduct interviews with government staff responsible for administering the system to assess their capacity and access to resources. Finally, researchers should interview user groups responsible for paying forest charges and other independent forest sector experts to get additional insight into the capacity of the government to administer the system.

Element of Quality	Guidance
1. **Technical expertise.** The agency has adequate numbers of field staff with training in methods to calculate and collect forest charges.	Technical expertise for revenue collection is most important in systems where forest officers are tasked with collecting forest charges in the field. Expertise may refer to experience in conducting forest inventories, species identification, and techniques for measuring standing volume. Field staff should also have expertise on the legal framework and manual of procedures for forest charge collection.
2. **Technical resources.** The agency has access to adequate technical resources and equipment for calculating and collecting forest charges.	Resources for collecting forest charges will vary by collection method. They may include vehicles, GPS, marking equipment, and DBH tapes for field measurement and collection. They may also include sufficient computers and data management software for keeping track of charges paid.
3. **Accuracy of records.** Field staff generate comprehensive and accurate records of all charges collected.	The agency responsible for collecting forest charges should have standardized systems for recording information about forest charges. Records should document amount of charges collection, as well as administrative information such as the date collected and the forest officer who collected the charge. Through interviews with relevant staff, researchers should also determine whether documentation is maintained in hard copy or in a digital format. Some countries may have computerized systems for managing all aspects of forest charge selection.
4. **Supervision.** Performance of field staff is monitored to ensure that charges are properly applied and collected.	The legal framework may set out specific supervision procedures to ensure that field staff that collect forest charges are adequately supervised. Examples include data reconciliation procedures, independent monitoring, reporting procedures, or supervision during field missions to collect charges.

75. Collection of forest charges		
Object of assessment:		
EOQ	Y/N	Explanation
Technical expertise		
Technical resources		
Accuracy of records		
Supervision		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

4.2 Forest revenue distribution

76. Legal basis for forest revenue distribution
To what extent does the legal framework effectively regulate the distribution of state revenues from the collection of forest charges?

Indicator Guidance:
This indicator assesses the quality of the laws that guide government administration of revenue distribution. Public revenues collected from forest operations are often sent directly to the central government coffer; in some cases, all or part of these revenues are shared with individuals or local levels of government (often in locations where production occurs). This indicator should be applied if the country of assessment has a specific law or program for distribution of government revenue from forest operations. For example, in Cameroon 10% of revenues from forest concessions are allocated to forest communities in the area of operations for community development projects.[16] Researchers should review relevant legislation (e.g., forest laws) setting out rules and procedures for the revenue distribution program.

Element of Quality	Guidance
1. **Allocation rules.** The legal framework clearly states how forest revenues are to be allocated and distributed.	Rules should identify all recipients of the forest revenue distribution program, which forest revenues are to be shared, and how revenues are to be divided among recipients.
2. **Rationale.** The legal framework provides a clear justification and rationale for the specified allocations.	Rules should provide a clear basis and justification for how forest revenues are distributed among recipients. For example, revenue may be distributed to local administrations where forest resources were extracted to ensure that local actors benefit from use of adjacent forest resources.
3. **Spending rules.** The legal framework provides clear guidelines for how forest revenue allocations can be spent.	Rules should provide general guidance on how forest revenue allocations are to be spent. For example, the law may mandate that local government allocations should be invested in community development, or allocations for forest offices may be intended to cover costs of administration or other defined activities.
4. **Adequacy of allocations.** Legally prescribed allocations to local government and forest agencies are sufficient to carry out mandated roles and responsibilities.	Where revenue distribution allocations are to be used for specific purposes, researchers should determine whether the amount of money allocated is sufficient to carry out the mandated tasks. For example, revenue may be allocated to cover costs of law enforcement activities, or for community development projects. Researchers should identify the intent of the allocations and interview those responsible for carrying out the tasks associated with the funds to determine the extent to which the intended results have been achieved.
5. **Awareness of rights.** The legal framework requires that all nongovernment beneficiaries be made aware of their right to	If any revenues are allocated to nongovernment beneficiaries, rules should include a requirement to notify these groups of their right to benefit. Rules could require information sharing activities, consultation workshops, or other proactive efforts to

---

[16] Note that benefit sharing programs (e.g. from REDD+ or other forestry projects) are covered in the following section.

benefit from the revenue distribution arrangement.	inform nongovernment beneficiaries.
6. **Rules for modification.** The legal framework establishes clear procedures for modifying existing revenue distribution arrangements.	Rules should identify the circumstances under which revenue distribution rules can be revised. They may require review at regular time intervals, or base the need for review on monitoring of performance.

76. Legal basis for forest revenue distribution		
Object of assessment:		
EOQ	**Y/N**	Explanation
Allocation rules		
Rationale		
Spending rules		
Adequacy of allocations		
Awareness of rights		
Rules for modification		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

77. Implementation of forest revenue distribution arrangements
To what extent are forest revenue distribution arrangements effectively and transparently implemented?

Indicator Guidance:
This indicator assesses the implementation of the revenue distribution arrangements identified in Indicator 76. It should be applied to a case of revenue distribution from forest activities at a relevant scale. Revenue may be distributed horizontally (e.g. to different actors at the same scale) or vertically across multiple scales (e.g., national, district). Researchers should collect any relevant reports, past studies, or other documentation about revenue distribution. In addition, they should conduct interviews with those responsible for distributing the revenue allocations as well as the intended recipients of the revenue distribution.

Element of Quality	Guidance
1. **Awareness**. The government takes action to ensure that nongovernmental recipients are aware of their rights to receive distributions.	If revenues are distributed to nongovernmental recipients such as forest communities, community-based organizations, or indigenous peoples, researchers should interview government agencies responsible for revenue distribution as well as target recipients of funds to determine whether recipient groups are informed of their rights to revenues. Examples may include trainings, information sharing through workshops, or dissemination of materials such as posters or flyers detailing the rights and obligations associated with the revenue allocation.
2. **Timeliness.** Revenues are distributed to all recipients in a timely manner.	The amount of time it takes for recipients to receive their revenue allocations should be identified. If specific timeframes are required by law, researchers should compare practice with law to determine whether distribution is timely. Information on revenue distribution may be published in annual reports or records, or past studies may provide some documentation. Interviews with both administrators and recipients of funds can also provide this information.
3. **Monitoring**. Regular monitoring evaluates whether revenues have reached intended recipients.	An institution may be tasked with monitoring revenue distribution, or oversight may be part of a broader mandate of an independent monitor, audit office, or law enforcement agency. If monitoring mechanisms exist, determine whether monitoring is carried out regularly. This information may be obtained through review of reports, performance audits, or by interviewing personnel who carry out monitoring functions.
4. **Transparency**. The government regularly discloses information to the public about the amount of revenue that has reached recipients.	Governments may disclose information about revenue distribution as part of reports on agency performance, financial audits, or other broader reports about forest sector economic performance.

77. Implementation of forest revenue distribution arrangements		
Object of assessment:		
EOQ	Y/N	Explanation
Awareness		
Timeliness		
Monitoring		
Transparency		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

78. Management of funds that receive forest revenue allocations
To what extent are funds that receive forest revenue allocations managed in a transparent and accountable manner?

Indicator Guidance:
Dedicated forest funds that operate outside of the forest agency budget are often designed to achieve particular environmental or social objectives. This indicator assesses the management of extra-budgetary funds for forest sector activities. This indicator should be applied to a dedicated government fund used to finance forest-related activities. Funds may be designed to promote certain types of activities, to be used in specific geographic areas, or to create incentives for certain groups. Researchers should collect any laws, decrees, design documents, reports, or publications with information about fund goals, procedures, and performance. Researchers should also conduct interviews with government staff that administer the funds or other groups with knowledge of fund operations.

Element of Quality	Guidance
1. **Goals.** The fund has clearly stated goals and guidelines to determine spending priorities.	Researchers should review legislation or fund design documents and identify the goals of the fund, as well as any spending priorities, or criteria for decision-making about fund activities.
2. **Procedures.** Clear procedures govern fund replenishment and distribution.	Fund replenishment should be governed by clear rules regarding the source of fund finances, as well as clear procedures for managing how resources are transferred into the fund. Fund distribution should be governed by clear financial management procedures, as well as clear decision-making criteria for deciding what activities or projects will be funded.
3. **Performance monitoring.** Fund administrators monitor the effectiveness and impacts of activities financed by the fund.	Monitoring of effectiveness and impacts should be carried out to determine whether the fund's activities are meeting stated objectives. Researchers should determine whether the fund administrator has staff assigned to monitor fund performance, and whether monitoring is carried out on a regular basis. This information may be found in monitoring reports, or by conducting interviews with fund staff.
4. **Performance reports.** Regular reports on impacts and effectiveness of the fund are publicly disclosed.	Researchers should identify whether reports on fund performance and effectiveness are made available and by what mechanism (e.g., fund website or via information request).
5. **Financial management**. The fund is subject to robust financial accounting and external auditing procedures.	Researchers should identify any official procedures in the legal framework or fund design documents related to financial management. These may include requirements related to accounting standards, internal controls, internal and external audits, and reporting on financial management. Researchers should then review available documents and interview fund staff to verify that these requirements are adhered to in practice.
6. **Financial reports.** Comprehensive annual financial reports are publicly disclosed.	Researchers should identify whether reports on fund financial management are made available and by what mechanism (e.g., fund website or via information request).

78. Management of funds that receive forest revenue allocations

Object of assessment:

EOQ	Y/N	Explanation
Goals		
Procedures		
Performance monitoring		
Performance reports		
Financial management		
Financial reports		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

4.3 Benefit sharing

79. Legal basis for benefit sharing
To what extent does the legal framework promote equitable sharing of benefits from forest management with local communities?

Indicator Guidance:
Benefit sharing can be an important tool for ensuring that local communities benefit from natural resource extraction, protected area management, or other initiatives that affect their livelihoods. This indicator is primarily focused on benefit sharing arrangements that are codified in law, but could be adapted to assess contracts, programs, or projects that have established formal rules for benefit sharing. Researchers should review relevant forest laws, legal documents, or design documents setting out benefit sharing arrangements.

Element of Quality	Guidance
1. **Legal requirements.** The legal framework requires that benefits from the management of public forests be shared with local communities.	Researchers should identify whether the legal framework defines specific requirements and mechanisms for sharing benefits from management of forests with local communities. These may include legal provisions related to co-managed schemes or requiring benefits to be shared as part of forest use contracts.
2. **Clarity of procedures.** The legal framework defines clear procedures and guidelines for benefit sharing with local communities.	Researchers should identify whether the legal framework clearly defines procedures for benefit sharing such as how decisions about benefits are made, who manages the provision of benefits (e.g., administering cash benefits to households), how the benefits owed are calculated, and whether any accountability or oversight mechanisms are in place to oversee implementation of benefit sharing.
3. **Participation requirements.** The legal framework requires community participation in the design of local benefit sharing arrangements.	Researchers should identify whether the legal framework requires that local communities be engaged in the design of local benefit sharing arrangements. Examples could include trainings, workshops, or participation of community representatives in design processes.
4. **Fairness.** Legal guidelines regarding the type and magnitude of benefits are fair and appropriate.	While the legal framework may not define all parameters related to benefits, it should provide some guidance on the types of benefits that can be provided to local communities (e.g., cash or services such as health or education). It should also define how the magnitude of benefits is determined. These may include eligibility criteria, formulas for calculating benefit levels, or requirements that such criteria be developed in an equitable manner. Researchers may want to conduct interviews with impacted communities to determine whether they perceive the legal guidelines to be fair.

79. Legal basis for benefit sharing		
Object of assessment:		
EOQ	Y/N	Explanation
Legal requirements		
Clarity of procedures		
Participation requirements		
Fairness		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

80. Design of benefit sharing arrangements
To what extent are local benefit sharing arrangements developed through an inclusive and transparent process?

Indicator Guidance:
This indicator should be applied to a specific process for developing benefit sharing arrangements. Examples may include negotiating benefit sharing in a contractual agreement, revising or creating a law on sharing benefits of public forest management, or developing new arrangements to share benefits from implementation of REDD+ activities. If the process is ongoing, researchers could employ participant observation, interviews, and analysis of documents from the process to evaluate the quality of the process. If the process is finished, researchers should review documentation, final benefit sharing rules, and interview stakeholders who participated. Interviews should be comprehensive of stakeholder groups, which may include local and national governments, forest communities, private sector or other project developers, and civil society organizations.

Element of Quality	Guidance
1. **Participation.** Affected communities have opportunities to participate in the design of benefit sharing arrangements.	Researchers should identify whether communities were engaged in the benefit sharing design process. Researchers should identify the specific groups or individuals engaged, the mechanisms of engagement, and whether these mechanisms provided opportunities for meaningful input. For example, 1-2 workshops that focus on sharing information is less strong than an approach that includes community representatives in a working group to draft the benefit sharing approach. Researchers may also wish to interview those involved in the design process—particularly communities—to gauge the level and effectiveness of participation.
2. **Transparency.** Negotiations about benefit sharing are transparent, and communities have access to relevant information.	Researchers should obtain copies of information made available to affected stakeholders. They should assess whether relevant information was provided, such as the objectives and timeline for designing benefit sharing arrangements, as well as specific opportunities for public input. Researchers should also determine whether this information was provided to affected stakeholders with sufficient notice, such as whether the process was advertised through public channels, and whether communities were proactively informed.
3. **Representation.** Community representatives reflect a range of community perspectives, including those of women and vulnerable groups.	Researchers should identify which community members participated in the process. They should also determine how these representatives were selected. In particular, identify whether groups such as women, youth, and the poorer members of the community participated or had representation. Communities should be interviewed to assess the representativeness of those who participated.
4. **Disclosure.** Final decisions about the benefit sharing arrangement are documented and shared with all community members in relevant languages.	Researchers should assess whether the final benefit sharing arrangements are documented and how they are disclosed. Community members should be interviewed to determine if they received information about the final decision in a relevant form, including summaries in local languages.
5. **Fairness.** The type and	The extent to which benefits are fair and appropriate should be

magnitude of benefits are fair and appropriate.	evaluated based on the goals of the benefit sharing mechanism, as well as the type of activities that generate the benefits. Researchers should interview community members to determine whether they perceive the design of the benefit structure (e.g., the type of benefits that will be provided and how the level of benefits will be determined) to be fair.

80. Design of benefit sharing arrangements		
Object of assessment:		
EOQ	Y/N	Explanation
Participation		
Transparency		
Representation		
Disclosure		
Fairness		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

81. Implementation of benefit sharing arrangements
To what extent are benefit sharing arrangements fairly and effectively implemented?

Indicator Guidance:
This indicator should be applied to evaluate how the benefit sharing arrangements assessed in Indicators 79-80 are implemented in practice. Researchers should collect any documentation available on performance of the benefit sharing arrangement (e.g., monitoring reports). In addition, they should conduct interviews with those providing the benefits as well as the target recipients of benefits.

Element of Quality	Guidance
1. **Compliance.** Benefits are delivered in accordance with the agreed terms set out in relevant legal or project documents.	Reports on implementation of benefit sharing may provide information on the benefits provided that can be cross-referenced with legal or project rules. In addition, intended beneficiaries of the project should be interviewed to assess whether they received benefits according to agreed terms. Interviews with administrators of the benefit sharing program may also provide information on benefit delivery. For benefits that provide services such as schools, clean water, or sanitation, researchers should verify benefit delivery in the field.
2. **Adequacy.** Delivered benefits are adequate to achieve stated objectives of the benefit sharing arrangement.	Researchers should compare the benefits received with the stated objectives of sharing benefits with target recipients. For example, if benefits are intended to contribute to community development, researchers should evaluate the impacts of the benefits received in relation to their contribution to this goal.
3. **Awareness.** Community members are aware of benefits received and obligations associated with those benefits.	Efforts to raise awareness may include trainings, information sharing through workshops, or dissemination of materials such as posters or flyers detailing rights and obligations associated with the benefit sharing program. Researchers should interview those responsible for administering the benefit sharing program to identify what efforts have been made to raise awareness. Interviews with target communities should also be done to verify that they are informed of their rights to revenues.
4. **Monitoring**. The implementation and impacts of benefit sharing arrangements are regularly monitored.	Researchers should identify whether there are any formal monitoring mechanisms in place to oversee implementation of benefit sharing. Mechanisms may include oversight committees or monitoring by the forest agency. Researchers should interview those responsible for monitoring to determine how often benefit sharing arrangements are monitored and if there are reports available.
5. **Redress**. Communities have access to redress mechanisms when the terms of benefit sharing are violated.	Researchers should identify whether communities have options for bringing grievances related to benefit sharing violations. These may include dedicated redress mechanisms associated with the benefit sharing program, administrative bodies, or even formal courts. Redress mechanisms should be easily accessible for communities to file complaints and appeals in terms of location and procedures for filing complaints. Researchers should interview communities to determine their awareness and whether they have accessed redress mechanisms.

81. Implementation of benefit sharing arrangements		
Object of assessment:		
EOQ	Y/N	Explanation
Compliance		
Adequacy		
Awareness		
Monitoring		
Redress		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

4.4 Budgeting

82. Quality of the national budget process
To what extent is the national budget process carried out in an effective and transparent manner?

Indicator Guidance:
Public sector expenditures—including those of the forest agency—are typically determined as part of the annual national budget process. This indicator should be applied as a case study of the most recent, or ongoing, annual budget process. Researchers should collect all information on the budget process that is made publicly available. Interviews should also be conducted with the legislative staff, executive staff involved in the budget process, or civil society organizations that work on financial and budgeting issues and follow the budget cycle.

Element of Quality	Guidance
1. **Timeline.** The annual budget cycle adheres to a clear timeline for presenting and reviewing budget documents.	The budget calendar should clearly identify dates for disclosure of the pre-budget statement, the full budget proposal, the final approved budget, mid-year or other interim reporting, and final reports. A timeline may be publicly disclosed by the agency responsible for the budget process or defined in the administrative procedures of the budget agency. If no timeline is available, researchers should review past budget processes to determine if a de facto timeline was observed.
2. **Budget proposal.** The budget proposal is presented to the legislature and the public in advance of the budget debate.	Researchers should identify when the budget proposal was presented to the legislature, and determine whether it was also made publicly available at this time. The legislature should be given the proposal with sufficient time for review prior to the start of the fiscal year. The OECD's Best Practices for Budget Transparency provide a guideline of 3 months prior to the start of the fiscal year for presentation of the budget to the legislature.
3. **Comprehensiveness.** The budget proposal is comprehensive of all relevant fiscal information.	Researchers should review the budget proposal and determine whether it provides comprehensive information. The budget should include proposed revenues and expenditures, performance goals for the annual budget, information on government assets and liabilities, and information on previous years' revenue and expenditures.
4. **Review.** Information on the final budget and midyear progress is publicly disclosed in a timely manner.	The budget agency should disclose a mid-year report that provides information on implementation of the national budget, although reporting may also be done on a monthly or quarterly basis. A final report on budget implementation and performance should also be disclosed. According to the OECD's Best Practices for Budget Transparency, mid-year reports should be disclosed within six weeks of the mid-year period ending and final reports should be disclosed within six months of the end of the fiscal year.
5. **Audit.** Budget performance is audited annually and the results are publicly disclosed in a timely manner.	A Supreme Audit Institution or other relevant body should audit the national budget annually. Final reports should provide information on compliance with the revenues and expenditures outlined in the budget proposal and report on any significant deviations from the approved budget. According to the OECD's Best Practices for Budget Transparency, final reports should be disclosed within 6 months of the end of the fiscal year.

82. Quality of the national budget process

Object of assessment:

EOQ	Y/N	Explanation
Timeline		
Budget proposal		
Comprehensiveness		
Review		
Audit		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

83. Legislative oversight of the national budget process
To what extent is the national budget subject to effective legislative oversight?

Research Methods Guidance:
The national legislature may provide an important balance on executive power over the national budget by providing a forum for legislators, citizens, and civil society to have input into the budget process. This indicator should be applied both to the rules governing the national budget process and to the implementation of the most recent budget process. Researchers should identify relevant legislation or rules of procedure that set out the role of the legislature in the budget process. In addition, they should collect information on how legislative debate on the budget is carried out in practice. Such information may be obtained by reviewing legislative records and reports or through conducting interviews. If the budget debate is ongoing and open to the public, researchers may also observe the debate in person.

Element of Quality	Guidance
1. **Authority.** The legal framework grants the legislature the authority to hold public debates on the budget proposal.	Rules governing the budget process should ensure that the legislature can open up the budget process to the public through public hearings and debates.
2. **Testimony.** The legal framework grants the legislature authority to solicit expert testimony during budget debates.	Rules governing the budget process should ensure that the legislature can open up the budget process by soliciting testimony from external experts and government staff from relevant executive agencies, including the agency responsible for the budget.
3. **Amendments.** The legal framework grants the legislature the authority to propose amendments to the budget proposal.	Rules governing the budget process should give the legislature the authority to propose amendments to the budget proposal.
4. **Public debates**. The legislature regularly exercises its rights to hold public debates on the budget proposal.	Researchers should determine whether public debates were included as part of the budget approval process. Such information may be provided through interviews with legislators or budget agency staff, or through legislative records and reports.
5. **Composition of speakers.** Legislative debates on the national budget include a diverse composition of speakers representing different stakeholder groups.	Researchers should determine whether budget debates solicited testimony and input from a range of stakeholder groups. Public debates may include a range of speakers from different sectors, including civil society and the private sector. Even if legislative debate is not open, researchers should attempt to determine through review of legislative records whether speakers from different political parties, geographic areas, demographics, or caucuses participated actively in the discussion.

83. Legislative oversight of the national budget process		
Object of assessment:		
EOQ	Y/N	Explanation
Authority		
Testimony		
Amendments		
Public debates		
Composition of speakers		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

84. Creation of the forest agency budget
To what extent is the forest agency budget proposal based on comprehensive and high-quality information?

Indicator Guidance:
This indicator assesses how forest information and staff with forest expertise are involved in the development and review of the forest agency budget proposal. Researchers should begin by determining who prepares the forest agency budget and by what process. The executive branch of the government is typically responsible for preparing the national budget. One office (e.g. the budget office in the Ministry of Finance) often coordinates the process by requesting information from individual departments and proposing trade-offs to manage competing government priorities within the budget's expenditure totals. The forest agency may also be involved in developing its budget or collaborating with budget agency staff. Researchers should gather information on the process by collecting any available documentation and interviewing staff involved.

Element of Quality	Guidance
1. **Expertise.** The forest agency budget proposal is developed by staff with expertise on forest economics and financial management.	Researchers should determine whether those involved in drafting the forest agency budget proposal included government staff with expertise in the forest sector. Relevant knowledge may include forest sector economics, past financial performance of the forest sector, financial management, and costs of forest administration.
2. **Financial background.** The forest agency budget proposal provides information on the previous year's revenues and expenditures.	Researchers should review the draft proposal for information on the previous year's revenues and expenditures. A high quality proposal would likely also provide information on compliance with the previous year's budget.
3. **Projections**. The forest agency budget proposal provides comprehensive information on proposed performance goals, activities, and projected costs.	Researchers should review the draft proposal for information on projected revenues and expenditures, performance goals, and activities that will be carried out.
4. **Review.** The review of the forest agency budget proposal by the national budget authority includes stakeholders or staff with forest expertise.	Researchers should determine whether the budget agency establishes any processes for review or vetting of the forest agency budget. Examples could include ensuring that the forest minister or other relevant authority signs off on the budget, or could include review by forest sector experts or agency staff.

84. Creation of the forest agency budget		
Object of assessment:		
EOQ	Y/N	Explanation
Expertise		
Financial background		
Projections		
Review		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

85. Adequacy of the forest agency budget
To what extent is the forest agency budget adequate to fund the agency's main roles and responsibilities?

Indicator Guidance:
This indicator evaluates whether the forest agency's annual budget allocation is sufficient to carry out the agency's roles and responsibilities, such as administering sector programs and enforcing the law. It should be applied to assess the budget allocation for a recently completed fiscal year. Researchers should collect information on forest agency budget allocations, which may be available in the finance law, annual budget if it is published, or through conducting interviews with forest agency staff. They should evaluate whether the amounts provided enabled the forest agency to fulfill its mandate, or whether the agency experienced budget shortfalls during the fiscal year. Interviews with forest agency staff, groups that attempted to access forest agency services (e.g., obtaining permits, technical assistance), or other sector experts may provide information on whether agency responsibilities were sufficiently implemented with the funds provided by the budget.

Element of Quality	Guidance
1. **Forest administration.** The budget is sufficient to carry out major forest administration tasks.	Forest administration refers to managing and overseeing forest sector services and programs. These may include administration of forest use contracts and licenses, management of protected areas, or carrying out specific incentives or support programs.
2. **Enforcement.** The budget is sufficient for forest law enforcement and monitoring activities.	Forest law enforcement activities require resources for conducting field operations, investigations, and in some cases prosecutions. Monitoring activities may include monitoring of forest cover, forest use, and the timber supply chain. They typically require computers, remote sensing and GIS software, and other technical equipment for data management and processing.
3. **Social programs.** The budget includes funding to support social programs and engagement with forest communities.	Social programs could include support for community forestry, trainings in forest management practices, programs to support forest sector livelihoods, community development projects, or consultations with forest sector stakeholders.
4. **Institutional costs.** The budget is sufficient to maintain forest agency staff and institutional infrastructure.	Institutional costs in the forest sector are likely to include infrastructure costs of national and local offices, as well as general costs of supplies, equipment, and communications. Institutional costs also refer to personnel costs, including salaries and trainings.

85. Adequacy of the forest agency budget		
Object of assessment:		
EOQ	**Y/N**	Explanation
Forest administration		
Enforcement		
Social programs		
Institutional costs		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5. Cross-Cutting Institutions

This thematic area leads us to take a closer and more direct look at key actors that play a role in determining how forests are managed and used. The indicators in this section complement the first four thematic areas, and most of them can be applied multiple times. For example, the performance of the legislature can be assessed with respect to their role in creating tenure laws, land use laws, and forest laws. The cross-cutting institutions indicators are divided into five subthemes:

5.1　**Legislature** includes both national and subnational law-making bodies.

5.2　**Judiciary** refers to the system of courts that interpret and apply the law. Some countries have specialized courts, including for environmental law.

5.3　**Executive agencies** include any institution in the executive branch of government with responsibilities that relate to or impact forests. Forest sector agencies may constitute a first priority for assessment, but these indicators may also be applied to agencies in other economic sectors relevant to forests.

5.4　**Private sector** refers to companies that extract forest resources or utilize forest lands for profit, such as timber, agricultural, and mining companies.

5.5　**Civil society** refers to a wide array of nongovernmental and not-for-profit organizations that have a presence in public life and interest in forest issues. These may include community groups, nongovernmental organizations, labor unions, indigenous groups, faith-based organizations, professional associations, and media organizations.

5.1 Legislature

86. Legislative rules of procedure
To what extent do legislative rules of procedure promote transparent and open legislative processes?

Indicator Guidance:
This indicator should be applied to the rules of the national law-making body (e.g., the legislature, national assembly, or parliament). Researchers should obtain copies of legislative rules of procedure—sometimes referred to as standing orders—and examine the extent to which they promote transparent and open legislative proceedings. Researchers may also wish to apply the elements of quality below to legislative committees[17] or sub-committees in addition to plenary debate. If written copies of rules of procedure are not available, interviews with legislators or administrative staff may provide relevant information.

Element of Quality	Guidance
1. **Public access.** Rules of procedure ensure that legislative proceedings are publicly accessible.	Rules governing the functioning of the legislature—including committees—should allow attendance at most legislative proceedings, and explicitly state any circumstances under which the public can be excluded. Rules may also provide other options for public access such as radio broadcasts or televised proceedings. The overall strength of the public access rules should also be assessed; for example, if public attendance requires burdensome procedures such as special invitation or permission to attend, then rules do not fully promote public access.
2. **Public input.** Rules of procedure enable public input into the legislative process.	Rules should provide opportunities for the public to inform legislative decisions. Mechanisms may include provisions for expert testimony, public comment during legislative or committee proceedings, an initiative process in which citizens propose legislation, or a referendum[18] process.
3. **Transparency.** Rules of procedure require timely and proactive public disclosure of information on proposed legislation and the legislative calendar.	Rules should identify a comprehensive list of the information that must be disclosed, including rules of procedure, the legislative calendar, and draft legislation. Rules should also indicate a specific timeframe for disclosure that provides the public with sufficient notice to attend or provide input into legislative debate.
4. **Verbatim records.** Rules of procedure require public disclosure of verbatim records of legislative proceedings.	Verbatim records provide a detailed account of what is said during legislative debates. Rules should ensure that verbatim records of legislative proceedings are kept and distributed. They should establish clear channels of public disclosure such as the legislature's website and administrative offices.
5. **Disclosure of reports.** Rules of procedure require public disclosure of reports on legislative proceedings.	Legislative reports may summarize legislative debates and actions. Reports can also include research conducted as part of the process of drafting legislation. Rules should establish clear channels of public disclosure such as the legislature's website and administrative offices.

---

[17] Many legislatures form specialized committees to analyze or draft sector specific legislation, which may provide an important entry point for public participation in legislative processes.
[18] A referendum is a process that allows the public to vote directly on a proposal. In some countries, a referendum specifically refers to votes that are brought before the public by the legislature, as opposed to an initiative which is initially proposed by the public.

86. Legislature rules of procedure:		
Object of assessment:		
EOQ	Y/N	Explanation
Public access		
Public input		
Transparency		
Verbatim records		
Disclosure of reports		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

87. Legislative proceedings in practice
To what extent are legislative proceedings open and transparent in practice?

Indicator Guidance:
This indicator assesses the extent to which legislative proceedings adhere to rules of procedure that promote transparency and public participation when debating forest laws. Researchers should collect data to evaluate how rules of procedure identified in the previous indicator are actually implemented in practice. To obtain general information on transparency and accessibility of legislative proceedings, researchers could use a testing systems approach by attempting to attend legislative proceedings and access relevant documentation. When possible, researchers should assess implementation of legislative processes related to forests or land. They should also conduct interviews with legislative staff and, if relevant, CSOs that work on legislative issues (e.g., groups working on legislative transparency).

Element of Quality	Guidance
1. **Public access.** Legislative proceedings are publicly accessible.	Researchers should verify whether the forms of public access specified in the legislative rules of procedure are adhered to in practice, including provisions on public attendance or broadcast via radio and television. Interviews with advocacy groups focused on the legislature may provide valuable information on their ability to regularly access proceedings, particularly in person. Researchers should also independently verify public access by attending legislative sessions in person.
2. **Public input.** Legislative proceedings provide clear opportunities for public input.	Evidence of public input may be found by reviewing relevant documents (e.g., legislative records, reports, or attendance logs), by attending or watching legislative sessions, or by interviewing legislative staff and law-makers.
3. **Transparency.** Information about proposed legislation and the legislative calendar is publicly disclosed in a timely manner.	Researchers should assess whether information on the legislative calendar and proposed legislation is made available, how it is made available (e.g., legislative websites or by request), and how often it is updated. Legislatures may have bill-tracking systems that allow the public to track legislation as it moves through the legislative process. It is also useful to identify how far in advance the calendar is made available. Timely disclosure should follow the rules of procedure and provide sufficient notice for public attendance.
4. **Verbatim records.** Verbatim records are made publicly available in a timely manner	Researchers should identify whether and how verbatim records are made available, including whether disclosure complies with legislative rules of procedure. Effective mechanisms of disclosure will typically ensure that information is available in relevant languages, and is organized and searchable by date in both paper and online formats.
5. **Disclosure of reports.** Legislative reports are made publicly available in a timely manner.	Researchers should identify whether and how legislative reports are made available, including whether disclosure complies with legislative rules of procedure. Effective mechanisms of disclosure will typically ensure that reports are available in relevant languages, and are organized and searchable by date in both paper and online formats.

87. Legislative proceedings in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Public access		
Public input		
Transparency		
Verbatim records		
Disclosure of reports		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

88. Capacity of legislators on forest issues
To what extent do legislators have the capacity to effectively legislate on issues related to forests?

Indicator Guidance:
This indicator assesses the capacity of legislators and their staff on forest-related issues. Researchers should apply this indicator to one or several legislative processes dealing with forest or land issues. They should collect all documentation associated with the process, including verbatim records, committee proceedings, testimony, and reports. Interviews should also be conducted with relevant legislators or government officials that participated in the process.

Element of Quality	Guidance
1. **Expertise.** Legislators involve stakeholders with forest expertise in the process of drafting or modifying legislation.	Researchers should review documentation to determine whether any expert testimony, public comments, or technical advice was solicited from relevant government staff or civil society groups with forest expertise. Interviews with actors involved in drafting legislation should also be conducted to determine whether stakeholders with expertise were included, either formally or informally.
2. **Review of existing policies.** Legislators review existing forest policies and laws before drafting or modifying legislation that impact forests	Researchers should interview relevant legislators or forest agency staff to identify whether analysis of existing forest policies was conducted and shared with decision-makers.
3. **Information.** Legislators have access to current information about the forest issues under consideration.	Researchers should interview relevant legislators or forest agency staff to identify the types of information used to inform development of new legislation. Information may be provided by the relevant ministry, legislative research centers, or civil society organizations.
4. **Strategic assessment.** Legislators have access to assessments of potential social and environmental impacts of new legislation.	Researchers should determine via interviews and document review whether strategic assessment of potential social and environmental impacts of the new law was carried out. The assessment may include analysis of different policy options, their impacts, and strategies to avoid or mitigate identified impacts.

88. Capacity of legislators on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Expertise		
Review of existing policies		
Information		
Strategic assessment		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

89. Quality of legislative decisions
To what extent are legislative decisions transparent and justifiable?

Indicator Guidance:
This indicator should be applied to one or more recent legislative decisions related to forests or land. Ideally, it should be applied to the same processes assessed in the previous legislative indicators if they have been finalized. Researchers should collect documentation on the legislative process, such as verbatim records of the debate, votes recorded, and copies of the final legislation. Researchers should also conduct interviews with those involved in the process, such as law-makers, their staff, experts who participated in the debate, or civil society groups tracking the discussions.

Elements of Quality	Guidance
1. **Recording of votes.** Individual legislator votes on bills are recorded and accessible to the public.	Transparency of votes is an important tool for constituents to hold legislators accountable for their decisions. While votes may be included in verbatim records, they should also be compiled separately and made publicly available in a usable format. Researchers should identify whether this information is available. Civil society organizations or legislative watchdog groups may also compile information on how legislators voted on particular topics.
2. **Disclosure of laws.** Final legislation is publicly disclosed.	Researchers should identify whether and how copies of final legislation are publicly disclosed. Mechanisms of disclosure should be broadly accessible and proactive. For example, in Cameroon all laws enacted by the National Assembly must be published in the Official Gazette of the Republic of Cameroon, which is published daily in both official languages (English and French).
3. **Responsiveness.** Final legislation considers stakeholder input and relevant information presented during legislative debate.	Based on examples of legislative processes applied in the previous indicators, researchers should determine the extent to which final legislation considers inputs and information. This can be determined by reviewing reports, testimony, or other inputs used in drafting legislation. Document review can be supplemented by interviewing decision-makers on how they considered information in shaping the legislation.
4. **Review.** Proposed legislation is reviewed to ensure consistency with existing laws.	Researchers should identify whether there are formal mechanisms to ensure that new laws are generally consistent with existing ones. Potential options include procedures for legislative or judicial preview prior to final votes on legislation, legislative committees tasked with ensuring that proposed legislation is compliant with existing laws, or independent commissions that review new laws to ensure legality and consistency. For example, Sweden's Council on Legislation is tasked with reviewing the legality of legislative proposals at the request of the government.

89. Quality of legislative decisions		
Object of assessment:		
EOQ	Y/N	Explanation
Recording of votes		
Disclosure of laws		
Responsiveness		
Review		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5.2 Judiciary

90. Legal basis for the judicial system
To what extent does the legal framework define clear authority and procedures for the judicial system?

Indicator Guidance:
This indicator should be applied to any legislation defining the authority and role of the judiciary. The role, structure, and powers of the judiciary are likely to be established in the Constitution, with additional laws and administrative procedures that elaborate on the operations of the judiciary.

Element of Quality	Guidance
1. **Authority.** The legal framework clearly defines the powers of the judicial branch of government.	The Constitution should clearly state the roles and powers granted to the judicial branch of government.
2. **Jurisdiction.** The legal framework clearly identifies which courts have substantive and geographic jurisdiction to preside over different types of cases.	Researchers should assess whether the Constitution or other relevant documents define a clear structure for the judicial branch across administrative levels of government. In particular, the relationship between these different levels should be clearly defined. In most contexts, the legal framework also identifies a Supreme or Constitutional Court that represents the highest court of the judicial branch. In addition, the legal framework should establish a clear structure for administering different types of cases. This may include separate courts for hearing criminal, civil, or administrative cases.
3. **Jurisdiction (appeals).** The legal framework clearly identifies which courts are responsible for hearing appeals and under what circumstances.	Researchers should assess whether the rules setting up the judicial system establish a clear system through which courts hear appeals. The legal framework should also clearly define whether appellate courts have discretion in deciding which appeals cases are reviewed, or if they are required to hear all appeals.
4. **Appellate procedures.** The legal framework establishes clear procedures and guidelines for appealing judicial decisions.	Researchers should determine whether the legal framework identifies specific procedures for filing appeals. Rules should clearly describe under what circumstances a case may be appealed, how appeals are filed, which courts receive and hear appeals, and what standard must be met to result in a reversal of the original decision. Review of procedures may be supplemented with interviews of legal scholars to determine whether the procedures are sufficiently clear.

90. Legal basis for the judicial system		
Object of assessment:		

EOQ	Y/N	Explanation
Authority		
Jurisdiction		
Jurisdiction (appeals)		
Appellate procedures		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

91. Accessibility of the judicial system
To what extent are there measures in place to ensure that the judicial system is fair and accessible?

Indicator Guidance:
This indicator assesses whether the judicial system can be accessed by a range of different stakeholder groups. To apply the indicator, researchers should narrow the scope to evaluate accessibility of a particular court. Courts may be selected based on administrative level, geographic areas of relevance for the assessment, or types of cases handled. Researchers should then identify the types of groups that have brought cases before the court. Researchers should interview plaintiffs, judiciary staff, and others with knowledge of the court system (e.g., lawyers) about the accessibility of the system.

Element of Quality	Guidance
1. **Standing.** Legal requirements for standing enable citizens and communities to initiate litigation or be parties to a dispute.	Standing generally refers to the legal right to bring a court case, and often requires the plaintiff to demonstrate specific harm or other interest. Researchers should assess the breadth of standing provisions in the law to identify the types of individuals and groups that can bring cases and any specific requirements for demonstrating standing. Standing provisions should be broad enough to allow citizens or groups of citizens to bring cases. Legal analysis can be supplemented with interviews of legal experts, examination of legal precedent to identify any relevant rulings related to standing (which may be particularly relevant in common law systems).
2. **Legal support.** Vulnerable or marginalized persons have access to legal support and services.	Researchers should identify any relevant efforts to provide legal support to groups that may have difficulty accessing the judicial system. Efforts could include public defenders, pro bono services offered by law firms, legal clinics, or public interest law firms.
3. **Appropriate language.** Judicial proceedings are provided in relevant local languages.	Researchers should collect judicial transcripts or sit in on legal proceedings in order to determine whether services are provided in local languages when necessary. They may also conduct interviews with relevant staff such as translators, interpreters, and court reporters.
4. **Affordability.** Measures are in place to reduce costs of accessing the judicial system.	Both document review and interviews can be used to identify efforts to keep costs of accessing the judicial system low. Cost mitigation measures may include waiving fees for certain groups or providing government funding for plaintiffs. Other efforts could include alternative forms of dispute resolution such as tribunals, specialized courts, or ombudsman offices. Interviews with staff of the judicial system, public interest law firms, or other individuals that have attempted to access the judicial system may also provide real-world perspectives on affordability.
5. **Awareness.** Citizens have access to information about how to exercise their legal rights through the judicial system.	Researchers should identify any efforts to proactively disclose information to citizens about legal rights and functioning of the judicial system. These may include government agencies (such as the Ministry of Justice), legal aid organizations, public interest law firms, or civil society initiatives to share information through trainings or dissemination of written materials. Researchers should also identify specific examples of citizens using the judicial system to exercise their rights and, where possible, interview the parties involved. Potential examples could include civil society organizations or communities bringing cases related to environmental damages.

91. Accessibility of the judicial system		
Object of assessment:		
EOQ	Y/N	Explanation
Standing		
Legal support		
Language		
Affordability		
Awareness		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

92. Independence of the judicial system
To what extent are there measures in place to ensure judicial independence?

Indicator Guidance:
This indicator assesses the procedures and policies in place to ensure judicial independence from political interference. Researchers should review all relevant laws and administrative procedures related to the judiciary. Rules governing selection, tenure, and salary of judges may also be discussed in civil or administrative manuals related to government operations. Rules and procedures may vary for different types of courts (e.g., civil, administrative, appellate, or supreme court); therefore, researchers should clearly identify which types of courts they wish to assess.

Element of Quality	Guidance
1. **Selection rules.** Clear rules are in place for selection of judges.	Researchers should determine whether the legal framework sets out clear procedures for selecting judges. Selection processes may include elections or appointment of judges. Legal procedures should also describe whether judicial appointments are subject to oversight, for example by requiring approval of the legislative branch of government.
2. **Tenure.** Clear rules are in place governing judicial tenure.	The legal framework should clearly define the length of judicial terms or appointments, including any term limits and circumstances under which judges can be removed from office.
3. **Salaries.** Clear rules are in place to minimize political influence over judicial salaries.	Researchers should identify any mechanisms put in place to minimize political influence over judicial salaries. Examples may include independent bodies that determine salary levels, or oversight of salaries by the legislative rather than the executive branch.
4. **Selection procedures**. Transparent procedures for selection of judges are adhered to in practice.	Researchers should assess how rules for judicial selection are implemented by identifying a relevant example and reviewing the public record of the process, if it exists. If judges are appointed and confirmed by the legislature, legislative records should provide insight into the process.
5. **Security of tenure.** In practice judges are protected from punishment or removal based on their judicial decisions.	Researchers should identify any instances of judges being removed from their positions and identify any justification or rationale for the dismissal. Researchers should evaluate whether the dismissal was consistent with rules for removal of judges or other relevant administrative laws.

92. Independence of the judicial system		
Object of assessment:		
EOQ	Y/N	Explanation
Selection rules		
Tenure		
Salaries		
Selection procedures		
Security of tenure		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

93. Legal basis for judicial review
To what extent does the legal framework define clear rules and procedures for judicial review of legislative and executive actions?

Research Methods Guidance:
Judicial review is a concept that subjects decisions and actions of legislative and executive branches to review by the judiciary. This indicator assesses whether there is a legal basis for judicial review in the country of assessment to provide a check on executive and legislative power. Judicial review most often exists in common law systems, although civil law systems may have some limited forms of judicial review. Researchers should note which judicial system is used in the country of assessment. Researchers should review all rules and procedures related to judicial review, such as relevant laws and administrative procedures pertaining to the functioning of the judiciary.

Element of Quality	Guidance
1. **Legal right.** The legal framework establishes the right of judicial review of legislative and executive actions.	Researchers should identify whether any right of judicial review is defined in the legal framework. Since the term judicial review may not be present, researchers should look for any provisions or processes by which laws, decisions, or actions of legislative or executive officials can be reviewed by judicial officials. If judicial review does not exist, researchers should skip the following EOQ.
2. **Scope.** The legal framework defines the scope of decisions and actions that can be subject to judicial review.	Researchers should review the types of decisions or actions that are subject to judicial review. Judicial review may cover primary legislation (laws specifically enacted by a legislative body), apply only to secondary legislation (rules enacted by administrative bodies), apply to administrative acts, or some combination of legislation and actions.
3. **Institutions.** The legal framework clearly identifies which institutions are mandated to conduct judicial review and under what circumstances**.**	Researchers should review whether the legal framework provides clarity on which courts are able to exercise a right of judicial review. Relevant institutions may include general trial courts, appeals courts, or specialized courts such as constitutional courts. Researchers should note any limitations related to circumstances under which judicial review is permitted.
4. **Procedures.** The legal framework sets out clear procedures for judicial review processes.	Researchers should review whether the legal framework defines clear procedures for judicial review. Examples may include defining how review of legislation is initiated or procedures for filing requests for judicial review of an administrative act.

93. Legal basis for judicial review		
Object of assessment:		

EOQ	Y/N	Explanation
Legal right		
Scope		
Institutions		
Procedures		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5.3 Executive agencies[19]

94. Legal basis for executive roles and responsibilities
To what extent does the legal framework define clear roles and responsibilities for government agencies?

Indicator Guidance:
The executive branch of government is typically responsible for administration of the state; in many forest-rich countries, this includes oversight and decision-making on how forests and other natural resources are managed. This indicator assesses the overall clarity and consistency of how the executive branch is organized. Researchers should collect all laws or other government documents that pertain to the organization of the executive branch of government. Relevant documents are likely to include the Constitution, laws and regulations that define mandates of executive agencies, and laws detailing how executive powers are distributed across levels of government (e.g., laws on decentralization). Researchers may wish to narrow their analysis to assessing the mandates of executive institutions with roles related to forests, land use, or environmental decision-making.

Element of Quality	Guidance
1. **Institutional mandates.** The legal framework clearly defines roles and responsibilities of government agencies.	Researchers should assess how well the roles and responsibilities of the agencies of interest, such as forest and land agencies, are defined in law. Mandates should provide clarity on jurisdiction, administration (e.g., what tasks they are expected to perform), and any oversight roles and institutions.
2. **Division of powers.** The legal framework clearly defines the division of executive powers and responsibilities across geographic scales of administration.	Researchers should review relevant legal documents in order to assess how well roles and responsibilities of different levels of government administration are defined. Any laws related to decentralization will be particularly relevant. Researchers should determine the types of powers and activities entrusted to each level of government and note any overlaps. They may also wish to interview legal scholars to obtain their opinion on whether powers are clearly defined or whether ambiguities exist.
3. **Accountability.** The legal framework establishes clear accountability relationships among executive agencies at national and subnational scales.	The legal framework should clearly define the relationship between government agencies with offices at 2 or more administrative scales (e.g. national, regional, or district). For example, the relationship between officials who represent government ministries at a district or regional scale should clearly describe oversight and accountability relationships (e.g., obligations for reporting, information sharing, supervision, or monitoring) between each level.
4. **Coherence.** Organization of executive agencies minimizes administrative complexity and overlapping jurisdictions.	Researchers should assess the extent to which the structure of the executive branch minimizes administrative complexity. For example, even where agencies have clear mandates they may be organized in a way that creates overlapping jurisdictions or creates unnecessary administrative burdens. Questions to ask may include whether multiple agencies are given administrative tasks or oversight in the same geographic areas. Researchers

---

[19] These indicators can be applied to the main agency responsible for forests or to agencies in any other relevant economic sector.

	should attempt to identify whether there are cases of overlapping jurisdictions or conflicts between government agencies (either horizontal or vertical) over mandates.

94. Legal basis for executive roles and responsibilities

Object of assessment:

EOQ	Y/N	Explanation
Institutional mandates		
Division of Powers		
Accountability		
Coherence		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

95. Human resource policies of executive agencies
To what extent do executive agencies implement human resource policies that promote capable and motivated staff?

Indicator Guidance:
This indicator assesses the quality of the executive agency's policies on hiring, promotion and ethical conduct. Researchers should begin by identifying the agency or group of agencies that will be assessed. They should then determine whether the agency(s) of interest have specific staffing policies. Alternately, there may be administrative or civil service codes that apply to all government employees regardless of agency. Researchers should obtain copies of staffing policies and codes of conduct; where these documents are unavailable, they should seek to interview individuals with knowledge of hiring, promotion, and review procedures. They may include staff of the agency(s) being assessed, human resources personnel, or former government officials with knowledge of the system.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Hiring.** Agency hiring practices are based on transparent, merit-based criteria.	Researchers should review policies and note any guidelines for how agency staff are hired. Guidelines may include educational requirements, mandatory entrance examinations, or other metrics that determine the knowledge level of candidates. In some instances, staff may be appointed; where this is the case, researchers should attempt to determine how appointment decisions are made. Policies may differentiate between full-time, temporary, or contracted staff; any differentiated procedures should be noted. Interviews with hiring managers as well as those who have recently been through the hiring process can be used to determine the extent to which hiring standards are adhered to in practice.
2. **Promotion.** Agency promotion practices are based on transparent, merit-based criteria.	Researchers should review policies and note any guidelines for how agency staff are promoted. Promotional criteria may include expertise criteria, evaluation of past performance, or educational levels. Interviews with recently promoted staff and/or human resource personnel should be conducted to assess whether these standards are met. Promotions may require documentation of how standards are met or approval by certain high level agency officials. Where official standards do not exist, researchers should still attempt to identify how promotion decisions are made.
3. **Code of conduct.** A code of conduct is published and widely disseminated to agency staff.	Researchers should identify whether a code of conduct exists and has been shared with agency staff. Codes of conduct may be specific to an executive agency, or may be included in general codes of procedure that apply to all civil servants working in the executive branch. Agency staff should also be interviewed to ascertain whether they have received copies of the code of conduct and are generally familiar with its contents.
4. **Performance review.** The agency regularly reviews staff performance and compliance with agency codes of conduct.	Researchers should identify whether the agency has dedicated procedures to review staff performance and whether these are generally followed. Evidence may include internal rules of procedure, or could be collected by interviewing agency staff. Researchers should also attempt to verify whether staff performance reviews include ensuring their compliance with relevant codes of conduct.
5. **Corrective measures.**	Researchers should conduct interviews with several agency staff who

The agency addresses issues identified by staff performance reviews.	oversee performance of others to assess how performance issues are addressed. Corrective measures could include probationary periods, developing performance improvement plans with clear milestones, or other goal-setting exercises aimed at improving performance. Researchers should also assess how serious cases of misconduct are handled.

95. Human resource policies of executive agencies		
Object of assessment:		
EOQ	Y/N	Explanation
Hiring		
Promotion		
Code of conduct		
Performance review		
Corrective measures		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

96. Internal performance monitoring of executive agencies
To what extent do executive agencies routinely monitor and report on their own performance?

Indicator Guidance:
This indicator assesses how executive agency(s) conduct internal monitoring of their performance in practice. Researchers should begin by identifying the agency(s) that will be assessed. They should then collect documentation on performance goals, monitoring activities, and annual reports. If annual reports on overall agency performance are unavailable, researchers could determine whether the agency(s) in question has any specific strategies or action plans that relate to the agency's goals and have been reported on. For example, program documents and reports on an externally funded program to help an agency meet a particular goal may be available from relevant donors. In addition to reviewing documents, researchers should conduct interviews to collect information on how the agency(s) of interest goes about tracking their performance.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Performance goals.** Agencies publish clear performance goals and strategies that are disseminated to rank-and-file officials.	Researchers should identify whether specific performance goals or targets are set and publicized. Performance goals refer to specific objectives that the agency aims to achieve through its operations. They may be set out in multi-year strategy documents, or annual action plans. Potential examples of performance goals for a forest agency could include increasing state revenue from forest management operations, increasing the area of land under sustainable forest management, or scaling up community forest management programs. Researchers should also interview agency staff to assess their awareness of these goals, including whether they have received copies.
2. **Monitoring.** Internal monitoring to assess agency performance with respect to stated goals is conducted on a continuous basis.	Researchers should determine whether the agency(s) has internal monitoring systems to track progress towards performance goals. This information could be included in organizational charts, strategic planning documents, or may need to be obtained via interviews with relevant staff.
3. **Separation of roles.** Staff responsible for internal monitoring of agency performance are independent from the staff whose performance is being monitored.	Researchers should identify who is responsible for performance monitoring. Monitoring could be conducted by a dedicated unit that oversees strategic planning and progress, staff from across multiple departments, or consultants. Regardless of who conducts the monitoring, researchers should verify that those conducting the monitoring are independent of the staff that is responsible for implementing activities to achieve performance goals.
4. **Transparent reporting.** Annual performance reports are publicly disclosed.	Researchers should document for what years annual reports are publicly available and note any gaps. They may also review whether reports identify positive achievements, areas for improvement, and proposed actions to improve performance.
5. **Corrective measures.** Agencies address performance issues identified by internal monitoring.	Researchers should review recent performance reports and attempt to determine whether identified problems or areas for improvement were acted upon. This could be determined by following up with relevant staff on whether corrective action was budgeted, planned, and implemented. Where relevant, they could also meet with field staff to determine whether there have

	been strategic changes such as more resources, new protocols, additional oversight, or other strategy adjustments. Finally, if multiple performance reports are available researchers should review several reports to determine whether similar problems are being raised over time.

96. Internal performance monitoring of executive agencies

Object of assessment:

EOQ	Y/N	Explanation
Performance goals		
Monitoring		
Separation of roles		
Transparent reporting		
Corrective measures		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

97. Independent oversight of executive agencies
To what extent are executive agencies subject to oversight by an independent institution?

Indicator Guidance:
Many countries have independent institutions tasked with performance audits or oversight of public agencies as a tool for promoting public sector accountability. This indicator assesses how executive agencies are overseen. Researchers should identify whether there is an independent government institution or group of institutions that is tasked with monitoring or overseeing performance of government agencies and ensuring compliance with laws and procedures. If such an institution exists, they should review any laws or procedures governing its mandate and operations, performance reports, or other relevant documentation. In addition, researchers should interview staff of the oversight institution as well as staff of agencies subject to oversight to evaluate performance of the oversight institution.

Element of Quality	Guidance for Interpreting Elements of Quality
5. **Independence.** An independent government institution oversees the performance of executive agencies	Oversight institutions may be set up as part of executive agencies, independent commissions, or the role may be filled by the legislature on certain issues such as budgets and expenditures. Researchers should identify any relevant institutions tasked with oversight of executive agencies. Researchers should assess the independence of the institution by evaluating how it is structured (e.g., standalone agency, department within a broader agency) and identifying whether it reports to another executive body.
6. **Authority**. Oversight institutions have adequate authority to conduct monitoring and investigation activities and access necessary information.	Researchers should review any laws or regulations that set out the mandate and procedures of oversight institutions. They should assess whether the scope of authority assigned to the institution allows the institution to operate effectively based on its mandate. Important powers may include the ability to monitor activities, request information, conduct investigations, and initiate follow-up actions such as prosecutions, fines, or other sanctions.
7. **Frequency.** Independent monitoring of executive agency performance is conducted on a regular basis.	Researchers should review reports of the oversight institution or interview agency staff to determine how often monitoring is conducted.
8. **Transparent reporting.** Annual performance reports are publicly disclosed.	Researchers should assess whether monitoring results are routinely published by the oversight institution and how they are made publicly available.
9. **Corrective measures.** The agency promptly addresses issues identified by independent monitoring.	Researchers should review monitoring reports and attempt to determine whether identified problems or areas for improvement were acted upon. Evidence of corrective action could be determined by following up with relevant staff to determine whether actions were budgeted, planned, and implemented. If multiple performance reports are available researchers should review several reports on whether similar problems are being raised over time.
10. **Enforcement.** The oversight institution has the authority to follow up or sanction poor	Researchers should review any laws or regulations that define powers of the oversight institution. They should evaluate whether the institution's powers go beyond identification of issues to

performance identified by monitoring.	include the ability to enforce corrective measures or sanction inaction if problems are not addressed within a reasonable time period.

97. Independent oversight of executive agencies

Object of assessment:

EOQ	Y/N	Explanation
Independence		
Authority		
Frequency		
Transparent reporting		
Corrective measures		
Enforcement		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5.4 Private sector[20]

98. Legal basis for corporate financial transparency
To what extent does the legal framework require transparent and accountable corporate financial practices?

Indicator Guidance:
The private sector—which may include multinational corporations, state-owned enterprises, domestic companies, and small and medium enterprises—plays an important role in extraction and management of natural resources. This indicator assesses whether private sector companies are subject to robust requirements for financial transparency. Researchers should identify any laws that set out standards or requirements related to corporate auditing and transparency. These may include laws or regulations setting out requirements related to public tenders, public contracts, fiscal transparency, or national accounting and auditing standards. Researchers may also identify whether the country in which the assessment is being conducted is a signatory to any treaties or member of any regional or international organizations that have additional standards. For example, the Organisation for the Harmonization of Business Law in Africa (OHADA) is a treaty between 17 African nations that includes harmonized standards for accounting and financial statements.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **International companies.** The legal framework requires international companies to submit reports on the compliance of their operations with internationally accepted accounting and audit standards	Researchers should review laws and regulations to determine whether international companies operating in the country of interest are required to disclose financial reports. They should also assess whether they are required to use internationally accepted accounting standards such as the International Financial Reporting Standards (IFRS) or the International Standards on Auditing (ISA). They may also be expected to observe the audit-related transparency and disclosure requirements under the OECD's Principles of Corporate Governance.
2. **Domestic companies**. The legal framework requires domestic companies to undergo annual audits by a qualified independent auditor.	Researchers should review laws and regulations and describe requirements for auditing of domestic companies. Auditing requirements are often differentiated by size thresholds (which can be based on employee size or size of profits). Laws may differentiate between large companies, small and medium enterprises, or sector. Laws should require audits to be conducted at least annually by an independent auditor that meets national standards for certification or registration.
3. **Publication of accounts.** The legal framework requires all forest resource companies to publish their accounts annually, including all payments made to the government.	Researchers should review laws to determine whether financial accounts are required to be published annually and any deadlines for disclosure. Rules should require comprehensive disclosure of key financial information such as balance sheets, profits and losses, revenues, expenditures, payments, and assets.

---

[20] These indicators can be applied to companies that extract forest resources or utilize forest lands, such as timber, agricultural, and mining companies.

98. Legal basis for corporate financial transparency		
Object of assessment:		
EOQ	Y/N	Explanation
International companies		
Domestic companies		
Publication of accounts		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

99. Compliance of companies with financial transparency requirements
To what extent do companies comply with financial transparency requirements?

Indicator Guidance:
This indicator assesses whether private sector companies comply with legal requirements for financial transparency. Based on the legal requirements assessed in the previous indicator, researchers should verify that audit reports and financial statements are published on a regular basis. It will be useful to identify a specific set of international and domestic companies to assess; for example, researchers interested in the mining sector might focus on major international and domestic mining companies. In addition to searching for financial documents, researchers may also look for external analyses of fiscal transparency requirements and compliance; for example, analyses conducted by groups such as Revenue Watch Institute, the Extractive Industries Transparency Initiative (EITI), or Publish What You Pay.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **International compliance reports.** International companies submit reports on compliance with internationally accepted accounting and audit standards.	Researchers should obtain copies of any financial reports provided by the international companies being assessed, and note what methods are used for disclosure. Since this information may be difficult to access, researchers can also interview staff of government agencies that receive reports, or staff of the companies themselves.
2. **Domestic audits**. Domestic companies comply with requirements to undergo annual audits.	Researchers should assess whether domestic companies (including domestic subsidiaries of multi-national companies) comply with audit requirements identified in Indicator 98. Researchers should note the frequency of audits; if audit requirements are differentiated by thresholds, researchers should consider assessing at least one company in each category. Since this information may be difficult to access, researchers can also interview staff of government agencies that receive reports, or staff of the companies themselves.
3. **Publication of accounts.** Resource companies comply with requirements to publish accounts annually	Researchers should assess whether companies publish accounts annually. If no requirements to publish accounts exist, they should still assess whether any companies do so voluntarily or to fulfill requirements of a specific certification scheme or other initiative.

99. Compliance of companies with financial transparency requirements		
Object of assessment:		
EOQ	Y/N	Explanation
International compliance reports		
Domestic audits		
Publication of accounts		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

100. Corporate social and environmental practices
To what extent do companies engaged in the exploitation of natural resources promote social and environmental sustainability in their operations?

Indicator Guidance:
International incentive programs, reputational risks to companies, and increased social awareness in consumer countries have prompted some companies engaged in extraction of natural resources to strengthen their operations' social and environmental sustainability. This indicator assesses the extent to which companies that exploit natural resources promote social programs and sound environmental management practices. Researchers should select a particular company or group of companies to assess. They may choose to select companies by sector of interest (e.g., forestry, agriculture, mining) or focus on companies operating in a certain area linked to the scale of assessment. Where possible, they should review resource utilization contracts, any relevant social agreements, documentation on compliance in international standards, or any other relevant written materials on the companies' social and environmental practices. In addition, they should conduct interviews with company staff and recipients of benefits from social programs.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Social programs.** Companies make efforts to develop social programs that benefit nearby communities.	Researchers should document the details of relevant social programs initiated by companies in their area of operation. These could include agreements to provide services (e.g., sanitation or construction of schools), programs to support livelihoods via outgrower schemes or harvesting of nontimber forest products, agreements to maintain certain community use areas, or sharing of revenues from company operations. Researchers should then attempt to verify and document the extent to which these programs have been implemented through interviews and site visits.
2. **Hiring practices.** Companies make efforts to hire and train local workers to fill skilled positions.	Researchers should examine the hiring policies or contractual agreements of the companies being assessed to identify any policies aimed at hiring local workers. Researchers should also identify whether any employee training programs are in place to build up skills of the local labor force. Researcher should then attempt to identify the extent to which local workers are employed by the companies and the quality of the jobs. This information could be gathered via interviews with company officials, documentation of compliance with contractual labor requirements if it exists, or through discussions with local workers. Note that even where official policies related to local hiring do not exist, researchers should still try to determine whether local hiring is typically done.
3. **Sustainability initiatives.** Companies make efforts to promote environmental sustainability of their operations.	Researchers should document whether any companies in the region of interest are specifically promoting environmental sustainability of their operations. These could include conserving high conservation value (HCV) areas, reduced impact logging (RIL) in the case of forest management units, promoting agroforestry schemes, preserving ecosystem services, creating wildlife corridors, or using agricultural techniques that conserve water and minimize soil removal.

4. **Voluntary commitments.** Companies participate in internationally recognized certification or standards programs.	Document whether any companies in the region of study are participating in voluntary standards or other internationally recognized programs. Examples in the forest sector include forest certification programs such as the Forest Stewardship Council or Programme for the Endorsement of Forest Certification. Agricultural companies may participate in commodity roundtables such as the Roundtable on Sustainable Palm Oil, Roundtable on Responsible Soy, or the Consumer Goods Forum. Examples for carbon projects may include Plan Vivo, the Voluntary Carbon Standard, the Clean Development Mechanism, or the Climate, Community, and Biodiversity Standards.

100. Corporate social and environmental practices		
EOQ	Y/N	Explanation
Social programs		
Employment		
Sustainability		
Voluntary commitments		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

5.5 Civil society[21]

101. Legal basis for civil society
To what extent does the legal framework support an active and independent civil society?

Indicator Guidance:
This indicator assesses whether the laws governing formation and operation of civil society organizations provide sufficient freedom for these groups to conduct activities. Researchers should identify all relevant legislation that relates to how non-profit, not-for-profit, public interest, or other types of civil society organizations can organize and operate. Relevant documentation is likely to include Constitutions, laws on taxation, dedicated laws on CSO operations, and laws relating to forming corporations, societies, foundations, or other legal entities.

Element of Quality	Guidance
1. **Freedom of association.** The legal framework grants the right to form associations.	Researchers should identify whether the Constitution or other relevant legislation grants freedom of association and any relevant language to ensure that this freedom is protected. For example, Kenya's Constitution stipulates that "[a]ny legislation that requires registration of any kind shall provide that registration may not be withheld or withdrawn unreasonably; and there shall be a right to have a fair hearing before registration is cancelled."
2. **Restrictions.** The legal framework does not place restrictions on the types of activities that civil society organizations may engage in.	Researchers should review rules for the types of activities that civil society organizations can engage in and assess whether any limitations on activities are overly restrictive. For example, countries may require government approval to conduct certain activities, ban certain types of actions outright (e.g., advocacy on human rights, political demonstrations), or require notification when attempting to convene meetings or work with certain groups.
3. **Funding.** The legal framework does not restrict funding for civil society organizations.	Researchers should review rules to determine whether any restrictions exist on the amount, type, or origin of funding civil society organizations are allowed to receive. For example, some countries may limit the percentage of funding that civil society can receive from foreign sources, require foreign financing to flow through government banks or ministries, or ban foreign financing entirely.
4. **Registration.** Procedures and requirements for registering civil society organizations are not overly complex or prohibitively expensive.	Researchers should review registration requirements for civil society organizations and note any complex rules or procedures. Examples of restrictive requirements include requiring that civil society organizations frequently re-register, charging high registration fees, requiring a large number of founding members, or requiring extensive documentation and letters of recommendation in order to register.

---

[21] The term civil society refers to a wide array of non-governmental and non-profit organizations that have a presence in public life, expressing the interests and values of their members or others. These may include community groups, non-governmental organizations, labor unions, indigenous groups, faith-based organizations, professional associations, and media organizations.

5. **Government discretion.** The legal framework limits the discretion of the government to deny registration to civil society organizations.	Researchers should review registration requirements and identify any procedures or criteria that minimize government discretion in denying registration. Examples of minimizing discretion could include standardized evaluation criteria that must be reported on by those processing applications, specific time periods for making decisions, requirements for government staff to explain any denied applications, and ensuring a right of appeal for denied requests. Researchers should also identify any rules that make it easier to deny registration.

101. Legal basis for civil society		
Object of assessment:		
EOQ	**Y/N**	**Explanation**
Freedom of association		
Restrictions		
Funding		
Registration		
Government discretion		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

102. Capacity of civil society to engage on forest issues
To what extent do civil society organizations have the capacity to effectively engage on forest issues?

Indicator Guidance:
This indicator assesses whether civil society organizations working on forest sector issues have adequate capacity to carry out their roles and responsibilities. Researchers should identify a specific list of civil society organizations to evaluate; the scope of CSOs to assess could be narrowed to focus on a network of organizations that focus on forest issues, members of a civil society platform, CSOs focused on specific forest issues (e.g., tenure rights, forest management, or biodiversity conservation), or CSOs working at certain geographic scales (e.g., community-based organizations).

Element of Quality	Guidance
1. **Funding.** Civil society organizations have opportunities for adequate and sustainable financial support from a range of sources.	Researchers should identify whether CSOs have access to a broad range of funding sources. Common sources may include foreign governments, domestic government, foundations, bilateral and multilateral aid agencies, international CSOs, and other CSOs. Researchers should attempt to verify via interviews the extent to which the CSOs of interest have sustainable funding sources; for example, whether they receive institutional funds to support staffing and overhead costs, the number of different funding sources, and the average duration of funding agreements. Sustainability of support may also be evaluated by examining the portfolio of work of the CSOs of interest and identifying the amount of short-term contract work, staff turnover rates, and whether staff are salaried or work as consultants.
2. **Expertise.** Civil society organizations have staff with necessary expertise in relation to their areas of focus.	Researchers should assess whether CSO staff have reached an appropriate level of education or expertise as compared to the general expectations for the sector. This could include completion of a university degree, post-graduate studies, or certain types of technical trainings.
3. **Training.** Civil society organizations have access to training opportunities and knowledge enhancement for staff in relevant areas.	Training opportunities may focus on building substantive expertise such as remote sensing, geographic information systems, or methods for engaging indigenous peoples; training may also focus on building professional skills such as proposal writing, project management, project evaluation, outreach and advocacy, or fundraising. Sources of training may include academic institutions, international research centers and CSOs, other domestic CSOs, bilateral and multilateral aid agencies, and government. Researchers should interview CSO staff, as well as those that provide training opportunities.
4. **Networking.** Civil society organizations with different areas of expertise form networks or coalitions.	Researchers should identify any collaborative partnerships or networks that exist between civil society organizations. Potential examples include networks to work on issues of common interest such as women's issues, climate change, forests, or agriculture; networks of indigenous peoples; or partnerships to implement specific projects.

102. Capacity of civil society to engage on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Funding		
Expertise		
Training		
Networking		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

103. Breadth of civil society engagement on forest issues
To what extent are civil society organizations actively engaged in forest-related processes?

Indicator Guidance:
This indicator assesses the capacity of civil society organizations to engage in and influence decision-making processes that impact forests—including both forest-specific processes and processes in sectors that are likely to impact forests such as agriculture, energy, and mining. Researchers should conduct interviews with staff of relevant civil society organizations, as well as review documentation from relevant processes such as meeting minutes, formal comments, or position papers circulated by civil society groups.

Element of Quality	Guidance
1. **Forest processes.** Civil society organizations engage in forest sector law- and policy-making processes.	Researchers should identify a recent example of a forest policy or lawmaking process, and collect information on how civil society groups participated in the process. Examples may include workshop attendance, one-on-one outreach with decision-makers, participation in legislative debates, or assistance in drafting legislation or policy language.
2. **Sector processes.** Civil society organizations engage in law- and policy-making processes of sectors that impact forests.	Researchers should identify a recent example of a policy or lawmaking process outside the forest sector, and collect information on how civil society groups participated in the process. Specifically, note whether any forest-oriented CSOs engaged in the process to ensure that the potential impacts of the proposed law on forests and forest-dependent peoples were taken into account.
3. **Budget processes.** Civil society organizations engage in the budget planning process for the forest sector.	Researchers should identify whether any CSOs participated in the most recent process to develop the budget for the forest sector. This may include CSOs working specifically on forest issues, as well as those working more broadly on public sector budgeting issues.
4. **Breadth of analysis.** Civil society organizations publish reports and analysis covering a range of forest-related topics.	Researchers should compile a list of recent publications by domestic CSOs or relevant international groups working in the country of assessment. Publications may be accessible via CSO websites, international organizations that compile published literature (e.g., RECOFTC, the REDD Desk), or may require interviews with CSO staff to obtain hard copies. Once a list is compiled, researchers should assess whether publications cover a range of topics.
5. **Influence.** Civil society input is reflected in the outcomes of law- and policy-making processes.	For the processes evaluated in the first three elements of quality, researchers should obtain copies of the final decision (e.g., law, policy, budget, or program document) and determine whether any input from forest sector civil society was incorporated into the process. This information can be supplemented with interviews with decision-makers on how feedback was considered or how civil society influenced the final decision.

103. Breadth of civil society engagement on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Forest processes		
Sector processes		
Budget processes		
Breadth of analysis		
Influence		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

104. Generation of independent information and analysis about forests
To what extent do civil society organizations regularly generate independent information and analysis about forest-related issues?

Indicator Guidance:
This indicator evaluates whether civil society generates independent information about forests such as monitoring of forest cover or forest activities. Researchers should identify a specific list of civil society organizations to evaluate; the scope of CSOs to assess could be narrowed to focus on a network of organizations that focus on forest issues, members of a civil society platform, CSOs focused on specific forest issues (e.g., tenure rights, forest management, or biodiversity conservation), or CSOs working at certain geographic scales (e.g., community-based organizations). Researchers should conduct interviews with staff of relevant civil society organizations about their information collection and analysis, as well as review any available documents or publications.

Element of Quality	Guidance
1. **Comprehensiveness.** Civil society organizations conduct independent, high-quality research and analysis on a comprehensive range of forest topics.	Researchers should assess whether CSOs are producing research and analysis on a broad range of forest-related topics. Potential focal areas include forest cover trends, land use change, supply chain, social impacts, tenure and property rights, forest economics, biodiversity, ecosystem services, policy analysis, legal issues, institutional frameworks, or governance. Researchers should also identify any important areas of emphasis based on the social, environmental, and political context of the assessment.
2. **Peer review.** Civil society organizations ensure research products are peer reviewed.	Researchers should interview CSO staff about their institutional procedures for publishing. Institutions may have formal review policies, or peer review may be an informal practice that is sometimes used. Researchers should note any relevant procedures, how frequently they are used, the number of reviewers typically involved, and whether policies apply to all research products.
3. **Publication.** Civil society organizations routinely publish reports and analysis.	Researchers should compile a list of recent publications by domestic CSOs or relevant international groups working in the country of assessment. Publications may be accessible via CSO websites, international organizations that compile published literature (e.g., RECOFTC, the REDD Desk) or may require interviews with CSO staff to obtain hard copies. Researchers may also wish to survey CSOs, check websites, or review performance reports to assess the average number of annual publications.
4. **Communication**. Civil society organizations communicate research findings to relevant stakeholders in a variety of useful formats.	Researchers should survey or interview CSOs to determine what mechanisms they typically use to communicate about research, activities, or advocacy positions. Examples may include regular newsletters, websites, brochures, workshops, pamphlets, listservs, or other materials.

104. Generation of independent information and analysis about forests		
Object of assessment:		
EOQ	Y/N	Explanation
Comprehensiveness		
Peer review		
Publication		
Communication		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

105. Media coverage of forest issues
To what extent does the media regularly investigate and report on forest-related issues?

Indicator Guidance:
This indicator assesses whether the media regularly reports on forest issues in practice. Researchers should identify relevant media outlets in the country of assessment (e.g., national newspapers, radio, TV, or other widely used sources) and narrow the scope to focus on one or several media outlets of interest. They should subsequently define a specific time period over which to review media reports for reporting on forest-related issues. Time periods could span several years, or be used to assess reporting around a particular event or series of events. Researchers could also apply this indicator as a focused case study to review media coverage in relation to a specific event. In order to collect information, they should review archives or relevant print or visual media; archives may be accessible in hard copy from media offices or in online databases. Where relevant, keyword searches and identifying numbers of citations in widely used media search engines may provide useful data.

Element of Quality	Guidance
1. **Coverage.** The media reports on forest issues of broad or national significance.	For the time period being assessed, researchers should review relevant media reports to identify what forest-related issues were reported. In particular, they should identify any major forest issues or decision-making processes that were ongoing during the time period to assess whether significant stories were covered.
2. **Frequency.** The media reports on forest issues with adequate frequency.	For the time period being assessed, researchers should review relevant media reports to assess the number and frequency of media reports on forest-related issues. They should attempt to assess whether the frequency of reports was sufficient to keep the public aware of major developments relating to the forest sector (e.g. laws passed, programs developed, or trends in forest cover).
3. **Timeliness.** Media reports about forest issues are generated in a timely manner.	Based on significant events identified in previous EOQ, researchers should document how much time passed between forest-related events or decisions and the publication of media stories. For stories related to specific processes, timeliness may include media reports on proposed meetings and activities, as well as reporting after the events have occurred.
4. **Accuracy.** Media reports about forest issues are accurate and up to date.	Researchers should review media reports for accurate reporting on forest-related issues. For example, media reports should be based on investigative research or verifiable information from credible sources. It should also accurately represent and summarize key developments such as the passage of new forest-related laws.
5. **Balanced coverage**. Media reports about forest issues reflect a balanced reporting on different perspectives	Researchers should analyze collected media reports to determine whether they are inclusive of different perspectives on the issues being reported on. For example, researchers should assess whether media reports present views of multiple actors with different opinions or stakes in the issues being reported on (e.g., forest communities, indigenous peoples, government actors, or private sector).

105. Media coverage of forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Coverage		
Frequency		
Timeliness		
Accuracy		
Balanced coverage		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

6. Cross-Cutting Issues Indicators

This thematic area evaluates in more detail several key topics that transcend each of the first four thematic areas. As such, the indicators in this section can be applied multiple times. For example, the quality of public participation can be assessed with respect to a land use planning process or a forest policy reform process. The cross-cutting issues indicators are divided into four subthemes:

6.1 **Public participation in decision-making** refers to the procedures for consulting stakeholders in decision-making processes and ensuring that their interests and needs are reflected in the final decision.

6.2 **Public access to information** refers to the procedures for ensuring that governments actively disclose information and citizens have easy access to information about forests and other issues that concern them.

6.3 **Financial transparency and accountability** refers to the legal requirements, accounting systems, and auditing procedures for ensuring responsible management of the government's financial resources.

6.4 **Anticorruption measures** refer to specialized laws, institutions, and systems in place to prevent and combat corruption.

6.1 Public participation in decision-making

106. Legal basis for public participation in decision-making
To what extent does the legal framework define robust requirements and procedures for public participation in decision-making processes?

Indicator Guidance: This indicator assesses the rules governing public participation in decision-making processes. Researchers should begin by identifying all relevant legislation that promotes public participation in decision-making. Countries may have general laws on public participation that apply to most government decision-making processes. Participation requirements may also be sector specific, such as laws promoting participation in environmental or forest-sector decision-making. These laws and any associated implementing decrees or administrative procedures should be reviewed. It is important to note that the requirements and procedures for public participation may vary depending on the type of decision-making process. For example, some countries lack broad public participation laws but require participation in specific processes such as allocation of forest concessions. Researchers may therefore apply this indicator to the legal framework generally, but could also identify several processes of interest to specifically examine relevant legal requirements.

Element of Quality	Guidance
1. **Transparency requirements.** The legal framework requires public disclosure of information that is relevant to the decision.	Participation requirements should include a clear list of documentation that is disclosed throughout a decision-making process. Examples of documents that should be disclosed include objectives of the process, a process for how feedback will be solicited, agendas for meetings, drafts of the legislation or policy being developed, meeting reports, and final outcomes of the decision-making process.
2. **Timeline.** The legal framework defines a clear timeline for public input.	Timeline for public input in decision-making should be clearly stipulated. Examples may include requirements related to the length of public comment periods or how far in advance documents should be disclosed for public review prior to a decision.
3. **Procedures.** The legal framework defines clear procedures for gathering and responding to public input.	Procedures for soliciting public feedback may include public comment periods, methods for receiving written comments (e.g., email addresses or websites), or consultation processes that convene stakeholder groups. Ideally, rules should also establish requirements for governance agencies to respond to public inputs, for example through a published comments matrix that explains feedback received and how it was addressed.
4. **Outreach requirements.** The legal framework requires proactive outreach to potentially affected stakeholders.	Rules may require decision-makers to specifically consider the opinions of stakeholder groups most likely to be affected by the decision-making process. Rules may also provide specific guidance on mechanisms for engagement, such as exercises to identify and consult specific stakeholder groups, or social impact assessments that incorporate input from affected populations.
5. **Disclosure requirements.** The legal framework requires public disclosure of the final decision.	Rules should require disclosure of final results of decision-making processes and state how disclosure should happen. National level decisions such as laws or decrees may require disclosure via website and publication in national legal registers or gazettes. For local processes, disclosure rules may also include

	mechanisms that are likely to be accessible to communities such as posters, radio, or in local offices.

106. Legal basis for public participation in decision-making		
Object of assessment:		
EOQ	**Y/N**	Explanation
Transparency requirements		
Timeline		
Procedures		
Outreach requirements		
Disclosure requirements		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

107. Government capacity to facilitate public participation in decision-making
To what extent do government agencies have the capacity to facilitate full and effective public participation in decision-making processes?

Indicator Guidance:
This indicator can be applied to any relevant government agency with responsibility for ensuring public participation in decision-making processes. Within the forest sector, relevant agencies will most often include those responsible for forests, land use, or the environment. Once researchers have identified the agency(s) of interest, they should conduct interviews with agency staff. They should also identify stakeholders who have been engaged by the agency in order to assess how others perceive their capacity. Interviews should be supplemented with review of documentation such as agency performance reports, minutes from consultation processes, budgets, or monitoring reports. Researchers can also apply this indicator to an ongoing process and use participant observation alongside interviews to assess the capacity of the relevant agency.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Communication infrastructure.** Agencies maintain infrastructure to facilitate communication about stakeholder participation processes.	Government agencies should have clear channels and infrastructure for maintaining information on decision-making processes. Examples include websites that regularly communicate about public comments, staff tasked with maintaining this information, and public records of past processes and decisions. The information should also be archived and maintained for reference.
2. **Budget.** Agencies set aside an adequate budget for stakeholder participation processes when planning new programs or projects.	A dedicated budget for stakeholder participation should include staff salaries, costs for convening stakeholders, and communications materials. Records of stakeholder engagement in past processes such as reports or meeting minutes may also provide insight into whether funds are generally made available to carry out these activities.
3. **Training.** Agencies have staff trained in methods for engaging local communities and vulnerable groups.	Researchers should interview relevant staff to determine whether there is specific capacity and expertise related to engaging vulnerable groups such as indigenous peoples, women, or the extreme poor. Staff may have access to trainings through CSOs or other government agencies that focus on social issues. Agencies may also seek out the assistance of other government agencies with relevant expertise, such as agencies responsible for social affairs, indigenous peoples, or women's affairs.
4. **Oversight.** Agencies monitor compliance with public participation requirements.	Monitoring of public participation requirements may include specific documentation on how laws and procedures were followed, or may consist of documenting the major activities, inputs, and outcomes of the participation process. Researchers should interview agency staff about any efforts to monitor compliance with public participation rules. They should also collect documentation such as monitoring or meeting reports that provide information on the participation process. Researchers could investigate whether any complaints have been submitted by civil society or other stakeholder groups, or whether any instances of non-compliance have been flagged by government staff.

107. Government capacity to facilitate public participation in decision-making		
Object of assessment:		
EOQ	Y/N	Explanation
Communication infrastructure		
Budget		
Training		
Oversight		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ___
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

108. Implementation of public participation processes
To what extent are public participation processes effectively implemented in practice?

Indicator Guidance:
This indicator should be applied to one or more case studies of public participation processes to assess how well rules are implemented in practice. When selecting case studies, researchers should identify a specific sector and type of process of interest; for example, participation in the design of a new forest policy or program. If a relevant process is ongoing, researchers may collect information through direct participation and observation. Otherwise, researchers should collect all available documentation from the process in question (e.g., meeting agendas, consultation workshop reports, final decisions) and interview different groups of stakeholders involved in the process. Interview subjects should include those administering the process, as well as those participating.

Element of Quality	Guidance
1. **Information.** All relevant information related to the decision-making process is publicly disclosed at the outset.	Documentation associated with process should be reviewed to determine what information was made available to stakeholders in advance of the decision-making process. Agency officials responsible for engaging stakeholders should be interviewed to identify information shared, as well as stakeholders who were involved in the process to verify the information provided by the officials.
2. **Procedures.** A clear process and timeline for public participation is advertised and followed.	Researchers should review documentation about the process to determine if a clear timeline and procedures were set. Documentation of meeting minutes and interviews with agency staff and participants in the process should provide evidence as to clarity of the timeline and process. If a timeline is set out by law, the process should be compared against the legal requirements to determine compliance.
3. **Stakeholders.** All potentially affected stakeholders are identified and consulted.	Researchers should review meeting reports or other documentation of the process to identify which stakeholder groups were engaged in the process. Interviews with agency staff and participants can also provide this information. Researchers should attempt to draw conclusions about whether all relevant groups were included. The range of stakeholders to be engaged will likely depend on the type of process being assessed, for example national policy processes may include a broader range of groups than a district level decision.
4. **Vulnerable groups.** Special efforts are made to engage vulnerable or marginalized stakeholders.	Researchers should identify any relevant vulnerable groups that are likely to be impacted by the decision being made. Interviews with agency staff and with groups that were engaged should be conducted to evaluate who was engaged and what methods were used. Methods may include workshops, focus groups, or other culturally appropriate forms of engagement tailored to the groups being engaged.
5. **Documentation.** Public input gathered during the participation process is documented and publicly disclosed.	Researchers should identify whether any of the information collected from stakeholders during the decision-making process was documented and made publicly available. This information may be included in meeting reports, records of public comments, or could be compiled into response matrices that detail

	comments received and how they were addressed. Information should be made available through accessible channels.
6. Final decision. The final decision is publicly disclosed.	Researchers should assess whether and how the final decision (e.g., laws, policies, project design documents) is publicly disclosed. Researchers may interview interested stakeholders to determine whether they were able to access the final decision to determine whether forms of public disclosure are generally known and used.

108. Implementation of public participation processes

Object of assessment:

EOQ	Y/N	Explanation
Information		
Procedures		
Stakeholders		
Vulnerable groups		
Documentation		
Final decision		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

109. Permanent platforms for multistakeholder participation
To what extent do effective permanent platforms exist to facilitate multistakeholder participation in decision-making processes?

Indicator Guidance:
This indicator should be applied to assess an existing permanent multistakeholder platform that is designed to generate dialogue and provide input to decision-makers on policy issues. These platforms may be formally established and recognized by the government (e.g., Indonesia's National Forestry Council), donor sponsored (e.g., FLEGT platforms), or initiated by civil society (e.g., IIED's Forest Governance Learning Groups). Platforms may also focus on a particular issue (e.g., REDD+, climate change, forest governance). Researchers should identify a relevant platform in a sector of interest and interview members about rules and activities. In addition, researchers should access documentation such as rules of procedure, position statements, meeting reports, or agendas. Finally, researchers may wish to interview outside actors such as donors or government officials (if not a part of the platform) about the general perception and level of influence of the platform.

Element of Quality	Guidance
1. **Goals.** The platform has a clearly stated purpose and goals.	Researchers should identify whether the platform has an organizing document such as a charter or terms of reference that states the purpose and goals of the platform. Interviews can also be conducted with platform members.
2. **Inclusiveness.** Membership or participation in the platform is open to all interested stakeholder groups.	Multistakeholder platforms should generally include representatives of relevant governance agencies, the private sector, civil society, and academia. In the forest sector, indigenous and local communities should also be included. In addition to considering different sectors of society, inclusive platforms should include women, youth, and other potentially marginalized groups.
3. **Representation.** Processes to select platform representatives are transparent and socially legitimate.	The platform should allow member institutions to select representatives using internal processes. This is particularly important in platforms that include membership of forest communities or indigenous populations. Researchers should review how selection procedures are conducted in practice.
4. **Regular meetings**. The platform meets on a regular basis.	The platform should meet on a semi-regular basis, for example quarterly or monthly. The schedule for the meetings should be clearly defined and well known to platform members. If possible, review meeting minutes to determine if meetings are well attended and carried out according to a clear schedule.
5. **Access to government**. The platform has dedicated channels for engaging with and providing feedback to the government on forest-related issues.	Researchers should assess whether the platform has any formal procedures for engaging with the government. A multistakeholder platform may already have government membership. Other dedicated channels could include focal points with relevant ministries to facilitate information exchange, or platform working groups that engage government directly. If dedicated channels do not exist, researchers should still identify any informal ways in which platforms liaise with government officials.
6. **Influence.** The platform's recommendations are regularly	Researchers should identify a specific instance in which the platform worked to influence a policy or other decision, review

incorporated into government decisions on forest-related issues.	any written comments or recommendations developed by the platform, and compare to the final decision. While platform language may not be directly included, researchers should assess whether the content of the recommendations was generally incorporated into the decision. Interviews with platform members and government staff about how feedback was received can also provide insight into the influence of the platform.

109. Permanent platforms for multistakeholder participation

Object of assessment:

EOQ	Y/N	Explanation
Goals		
Inclusiveness		
Representation		
Regular meetings		
Access to government		
Influence		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

6.2 Public access to information

110. Legal basis for forest transparency
To what extent does the legal framework guarantee public access to information regarding forests?

Indicator guidance:
This indicator should be applied to any laws ensuring that the public has access to information about forests. Researchers should identify all laws with provisions related to disclosure of information that apply to the forest sector. Relevant laws may include general legislation on freedom of information for the entire public sector, environmental laws and regulations, and sector-specific legislation such as forest laws and decrees. All applicable laws and regulations should be reviewed with respect to the elements of quality below. This analysis can be supplemented with interviews of legal experts to address questions related to clarity of legal procedures and existence of any anti-transparency measures in the legal framework.

Element of Quality	Guidance
1. **Publication of laws.** The legal framework requires the government to publish all forest laws and regulations.	Rules should require laws to be published and identify mechanisms for doing so. Publication could occur via government websites, legal databases, or other country-specific mechanisms. For example, in Cameroon all laws enacted by the National Assembly must be published in the Official Gazette of the Republic of Cameroon, which is published daily in both official languages.
2. **Disclosure rules.** The legal framework defines the type of forest information that should be made publicly available and explains why any information is kept confidential.	Rules should clearly identify what information is publicly available and what information is not required to be disclosed. In general, information on forest laws, state of the forests (e.g., information on forest cover, biodiversity), forest sector programs, and forest management activities should be accessible to the public. Rules should provide justification for information that is not disclosed, for example information that would jeopardize law enforcement operations, national security, or financial interests of a third party. Rules may also identify what information should be routinely made available and what information must be formally requested.
3. **Procedures.** The legal framework establishes clear procedures for requesting and accessing information**.**	Rules should define procedures for submitting information requests. Procedures include how information requests should be submitted (e.g., in writing, using specific forms, or in person), the information that should be included in the request, where requests should be submitted, the timeframe for providing a response, and how responses should be transmitted.
4. **Absence of barriers to transparency**. The legal framework does not include antitransparency policies that restrict the ability or willingness of public officials to disseminate information.	Rules that restrict the ability or willingness of officials to disclose information may be found in access to information laws, or within administrative codes of conduct more broadly. For example, rules should explicitly provide protection for officials who disseminate information provided it is in accordance with procedures set out in the law. Other barriers to transparency may include broad discretion for public agencies to decide what information is disclosed.
5. **No cost.** The legal framework states that information should be	Rules should ensure that information is available free of charge to citizens. Rules may differentiate between information that is

available free of charge.	free of charge and cases in which a fee should be charged. Rules should attempt to ensure that any fees are reasonable and do not exceed the cost of searching for and communicating the information requested.
6. Appeals. The legal framework defines clear mechanisms or procedures to appeal information requests that have been denied or ignored.	Rules should define procedures for appealing denied information requests. Procedures include how appeals should be submitted (e.g., in writing, specific forms, or in person), the information that should be included, where appeals should be submitted, the timeframe for providing a response, and how responses should be transmitted.

110. Legal basis for forest transparency		
Object of assessment:		
EOQ	Y/N	Explanation
Publication of laws		
Disclosure rules		
Procedures		
Absence of barriers to transparency		
No cost		
Appeals		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

111. Transparency of government agencies
To what extent do government agencies promptly and proactively disclose information to the public?

Indicator Guidance:
This indicator should be applied to assess how a specific government agency of interest discloses information to the public. Researchers should identify one or several agencies of interest—such as agencies responsible for forests, environment, land affairs, mining, or agriculture—and evaluate how the agency complies with any relevant rules on information disclosure. Researchers should conduct interviews with agency staff in charge of maintaining records and processing information requests. In addition, it is useful to identify specific types of information that may be of value in the assessment process, submit information requests, and track the response rate of the agency in providing the information. Even if legislation on access to information does not exist, researchers should still evaluate whether and how the agency discloses information.

Element of Quality	Guidance
1. **Publication of laws.** Laws and regulations are published in a timely manner.	Based on the sector of interest, researchers should make a list of major laws and regulations governing the sector and attempt to access published copies of these laws. Researchers should identify which laws have been proactively distributed by the relevant agency through websites or hard copy distribution. Researchers should also determine whether laws are available via formal channels or informal information requests.
2. **Disclosure.** Government agencies regularly disclose all information required by law.	Researchers should compare information that is required by law to be proactively disclosed with the information made available by the relevant agency. Researchers should access agency websites, interview agency staff in charge of information disclosure, and make information requests to document what information is available. If the law does not define what information should be disclosed, researchers should still attempt to identify what information is available and what is missing.
3. **Information platforms.** Government agencies have dedicated platforms for managing and disclosing information to the public.	Agencies may have online databases, dedicated offices for managing records and archives, or other information centers at national and local scales. Information platforms may also be internal systems to facilitate information management and keep track of information requests.
4. **Disclosure methods.** Methods of disclosing information are adapted to meet the needs of different groups.	Researchers should identify the different channels used to publicly disclose information and determine whether an adequate range of options are used to reach different groups. Disclosure methods may include websites, hard copy distribution, media, newsletters, pamphlets, radio communications, and posters. Appropriateness of disclosure methods could also be assessed through interviews with different groups.
5. **Timeliness.** Government agencies respond to public requests for information in a timely manner.	Researchers may wish to submit a series of requests to document the process and the timeliness of responses, or conduct interviews with individuals who have routinely tried to access government information. Researchers should document when requests are submitted and responded to, and note whether responses to information requests comply with procedures set

	out in the law where relevant.
6. **Appeals.** Denied information requests are appealed and resolved in a timely manner.	If any information requests made by researchers or interview subjects are denied, researchers should document the result of the appeals process as well as the time to receive a response to an appeal. Researchers should note whether responses to appeals comply with procedures set out in the law.

111. Transparency of government agencies

Object of assessment:

EOQ	Y/N	Explanation
Publication of laws		
Disclosure		
Information platforms		
Disclosure methods		
Timeliness		
Appeals		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

112. Accessibility of public information

To what extent is publicly disclosed information easily accessible and understandable to the majority of citizens?

Indicator Guidance:
This indicator evaluates the methods by which information is disclosed to the public and whether efforts are made to make it both available and usable to a range of groups. Researchers should begin by narrowing the focus to assess a particular type of information; it could be related to a specific process (e.g., forest law revision), issue (e.g., tenure rights in forests), or program (a benefit sharing initiative). Researchers should then identify the types of information that should be made available and evaluate the needs of the target user group. Researchers should conduct interviews with different stakeholder groups to evaluate their level of access, and with government staff responsible for providing information. They may also wish to independently assess the information being provided.

Element of Quality	Guidance
1. **Convenience.** Information is provided in convenient and accessible locations.	Researchers should identify how information is provided and evaluate the level of accessibility. Accessibility may refer to location of the information, as well as the method of disclosure. For example, for local stakeholders, websites may not be as accessible as information provided in local government offices.
2. **Affordability.** Information is provided free of charge or at affordable rates.	Researchers should conduct several information requests and gather information on whether fees were assessed and the amounts. If relevant, charges applied should be compared to rules governing information access to determine if they were in line with what is allowed.
3. **Languages.** Information is provided in relevant languages.	Information should be provided in all official languages of the country of assessment. In some cases, it may also be necessary for information to be provided in local languages. Depending on the scope and scale of the assessment, researchers should use their discretion to identify instances in which translations to local languages should be done and assess whether this occurs. For example, a new program designed to increase participation in community forestry would likely want to translate documents into languages of the target communities.
4. **Usability.** Information is provided in usable formats.	Usable information should be available in formats that are at an adequate scale to convey information and a suitable level of detail. Information may also be designed to address the specific needs of a target group. Researchers should assess how groups receiving information understand the information provided, and whether they take any actions based on the information provided.

112. Accessibility of public information		
Object of assessment:		
EOQ	Y/N	Explanation
Convenience		
Affordability		
Languages		
Usability		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

6.3 Financial transparency and accountability

113. Legal basis for public sector financial management
To what extent does the legal framework promote responsible financial management in the public sector?

Indicator Guidance:
This indicator assesses the laws and requirements in place to ensure that public agencies disclose fiscal information to the public. Researchers should review any legal requirements related to public sector financial management, which may include the finance law as well as administrative laws or codes detailing rules and procedures for public sector agencies.

Element of Quality	Guidance
1. **Budget statements.** The legal framework states that budget statements of government agencies must be inclusive of all fiscal transactions.	Rules should require that budget statements of public agencies include all relevant information related to agency revenues and expenditures. These may include financial forecasts, balance sheets, operating statements, and loan information.
2. **Disclosure of revenues and assets.** The legal framework requires that all agency revenues and asset holdings be publicly disclosed.	Rules should require disclosure of agency revenues and assets (e.g., financial holdings, infrastructure).
3. **Audit reports.** The legal framework requires that independently audited reports be prepared for the legislature and public showing clearly how public funds have been used.	Rules should require independent audits of governance agencies to be conducted and shared with the legislature and general public. Rules may also set out specific procedures and timelines for disclosure.
4. **Accountability.** The legal framework states that government agencies are legally accountable for funds they collect and use.	Rules should hold public agencies legally accountable for government funds collected and used. This may include a clear statement in the Constitution or laws related to public sector fiscal management.

113. Legal basis for public sector financial management		
Object of assessment:		
EOQ	Y/N	Explanation
Budget statements		
Disclosure of revenues and assets		
Audit reports		
Accountability		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

114. Government financial accounting systems
To what extent do government agencies implement effective accounting systems to track public revenues and expenditures?

Indicator Guidance:
This indicator should be applied to the accounting policies and practices of a specific government agency of interest. Researchers should gather any documentation related to the agency's financial practices, such as annual reports, reviews by external organizations (such as Transparency International's National Integrity System assessments), reports to the legislature, audits, or budget statements. In addition, they should conduct interviews with agency staff responsible for accounting. Since government financial information is often sensitive, researchers may face challenges in accessing data and interviewing staff. In this case, they should document any information requests, record where information was not available, and look for outside sources with knowledge of the accounting system.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Comprehensiveness**. The accounting system records all types of relevant transactions.	Transactions that should be included in the agency's accounting system include purchases, loans, contracts, deposits or bonds received, payments, and transfers of funds (e.g., to local offices).
2. **Harmonization of standards.** Accounting standards and practices are harmonized across different levels of government.	Researchers should identify whether any national or international accounting standards are required to be used across all government agencies. This may be required by law or government code of procedures. Evidence that similar standards are being used may be found in agency financial audits, or through interviews.
3. **Coordination.** The accounting system includes effective mechanisms for collecting and consolidating subnational data.	Researchers should evaluate whether agency financial data at subnational levels is effectively compiled. Agencies may have standardized templates for collecting information, regular reporting deadlines for subnational offices regarding their fiscal activities, or computer systems to facilitate input and compilation of financial data across scales.
4. **Data reconciliation.** Accounting data is regularly reconciled against internal and external data sources.	Data reconciliation refers to ensuring that information coming into the system from different sources is consistent; for example, that internal reporting on expenditures for equipment match any bills or invoices received for purchases. Researchers should review accounting standards, audit reports, or interview agency accounting staff to assess whether this is done and how often.
5. **Internal controls.** Internal controls are in place to check and verify the recording practices of accountants.	Internal controls in accounting systems are designed to ensure that operations are efficient, reporting mechanisms are reliable, and systems are in compliance with relevant laws. Common internal controls for accounting systems include data reconciliation, authorization requirements for certain types of transactions, separation of staff tasks across different functions of the accounting system, monitoring of compliance, and risk assessment of internal systems.

114. Government financial accounting systems		
Object of assessment:		
EOQ	Y/N	Explanation
Comprehensiveness		
Harmonization of standards		
Coordination		
Data reconciliation		
Internal controls		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

115. Disclosure of government financial reports
To what extent do government agencies regularly disclose comprehensive and accurate financial reports?

Indicator Guidance:
This indicator should be applied to the same agency as Indicator 114 to assess whether financial reports are routinely disclosed. Researchers should identify any rules governing financial disclosure and assess the agency's compliance by reviewing its financial statements. If information is not publicly available, they should attempt to gather evidence through interviews with agency staff with knowledge of financial reporting.

Element of Quality	Guidance
1. **Revenues and spending.** Financial reports are comprehensive of all revenues and spending.	If requirements for financial reporting are defined in law or procedures, researchers should review reports to determine whether they comply with all requirements regarding reporting of revenues and spending. In the absence of clear rules, comprehensiveness can be assessed by whether general categories of revenue and spending are covered. For agencies that manage extra-budgetary funds, researchers should also note whether these are included in financial reports.
2. **Asset disclosure.** Financial reports disclose information on agency asset holdings.	If requirements for asset disclosure are defined in law or procedures, researchers should review reports to determine whether they comply with all requirements. In the absence of rules, researchers should review agency reports or financial audits to determine whether financial and other assets are disclosed.
3. **Disclosure of revenue distribution.** Financial reports disclose information on how revenues are distributed to subnational governments, local offices of the agency, or nongovernmental bodies.	This element of quality should only be evaluated if the agency being assessed distributes revenue to subnational governments, local agency offices, or nongovernmental bodies (e.g., revenue distribution of forest concession royalties). Researchers should review financial reports and audits to determine whether information on revenue distribution is disclosed.
4. **Timely reports.** Financial reports are generated in a timely and regular fashion.	Financial reports should be developed at least annually or in accordance with relevant laws. They should be disclosed within a reasonable time period; guidance from the Public Expenditure and Accountability Framework suggests no later than 6 months after the end of the fiscal year. Researchers should collect reports from over a reasonable timeframe (e.g., the past 5 years) to determine whether they are being produced regularly.
5. **Disclosure of reports.** Financial reports are publicly disclosed.	Public disclosure of financial reports may be available online, by request, or in print. If reports are sent to the legislature for review, they may also be made publicly available through the office of the legislature.

115. Disclosure of government financial reports		
Object of assessment:		
EOQ	Y/N	Explanation
Revenues and spending		
Asset disclosure		
Disclosure of revenue distribution		
Timely reports		
Disclosure of reports		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

116. Internal financial audit systems
To what extent do government agencies have effective internal financial audit systems?

Indicator Guidance:
This indicator evaluates the internal control and audit procedures of a specific government agency as well as how those procedures are implemented. Researchers should identify a specific agency of interest and review any relevant rules or policies related to financial management. Agencies may have their own rules, or there may be national rules for internal auditing that apply to the public sector as a whole. Since this information may be difficult to access, it will also be important to interview staff of the relevant agencies about internal audit practices.

Element of Quality	Guidance
1. **Dedicated staff.** The agency has dedicated staff responsible for regular internal auditing of forest agency financial activity.	Staff responsible for conducting internal agency audits should be independent of the agency's day to day financial management operations or at least not be assigned to assess operations for which they are routinely responsible. Audit staff may be housed within a specific unit of the agency, or in some cases may be part of a centralized government agency responsible for internal agency audits.
2. **Procedures.** Auditing procedures adhere to professional standards and practices.	Researchers should assess compliance with government wide standards and practices identified in Indicator 113. If standards do not exist, researchers should access information on the procedures followed and interview auditing experts about the procedures and whether they comply with professionally accepted standards and practices.
3. **Comprehensiveness.** Auditing is comprehensive of relevant accounting systems and procedures.	Comprehensive internal audits should review financial operations and systems in place. These typically include financial statements, accounting procedures, and functioning of internal control mechanisms. Internal audits should assess compliance with relevant laws and standards for fiscal management, and may include risk assessment of the agency's financial operations.
4. **Disclosure of reports.** Annual audit reports are publicly disclosed.	Researchers should determine whether reports are proactively made available. Audit reports may be available online or in print. If not disclosed, researchers should determine whether reports are available on request.
5. **Corrective measures.** The agency promptly addresses problems identified in audit reports.	Audit reports should identify problems in the financial system, attempt to identify causes, and propose solutions. Researchers should review reports to identify problems and suggested solutions. Interviews with agency staff or review of reports from several consecutive years can provide information on whether problems persist or have been rectified. Actions to address problems may also be outlined in agency work plans or strategy documents.

116. Internal financial audit systems		
Object of assessment:		
EOQ	Y/N	Explanation
Dedicated staff		
Procedures		
Comprehensiveness		
Disclosure of reports		
Corrective measures		

Additional notes:

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

117. External financial audit systems
To what extent are government agencies subject to regular external financial audits?

Indicator Guidance:
This indicator assesses whether public sector agencies are subject to regular external auditing by an independent body to ensure oversight of fiscal activity. Researchers should apply this indicator to the most recent audit of the government agency assessed in Indicators 114-116. Researchers should access audit documents and conduct interviews with the auditors as well as the agency that is being audited.

Element of Quality	Guidance
1. **Independent audit.** The agency is audited annually by an independent external body.	Independent audits should be conducted by a body that is external to the government agency being audited. A national audit office may be tasked with conducting external audits of government agencies, or the audit may be contracted by a team of external auditing consultants. Researchers should determine who conducts external audits and whether audits are completed on an annual basis.
2. **Mandate.** The auditing body has a sufficient mandate to access financial systems and request information required to conduct a comprehensive audit.	Rules for external audits may be outlined in law, or in a contract in the case of audit consultants. Researchers should access any documents setting out the mandate of the auditors to assess whether it allows them to review financial systems and request information of the agency being audited. Necessary information may include documentation of fiscal transactions, balance sheets, and internal control systems.
3. **Standards.** External audits adhere to professional standards and practices.	Researchers should assess compliance with government wide standards and practices (for example, if auditing requirements are identified in Indicator 113) or with procedures of the external auditing institution. If standards do not exist, researchers should collect information on the procedures followed and interview external experts about whether they comply with professionally accepted standards and practices.
4. **Comprehensiveness.** External audits are comprehensive of relevant accounting systems and procedures.	External audits are typically focused on assessing the accuracy and completeness of financial statements to assess whether they reflect the actual financial situation of the entity being audited. External auditors should review the financial reports of the agency in question. Auditors may also assess the functioning of the internal controls of the organization. Researchers should identify the information and processes reviewed by the auditors.
5. **Disclosure of reports.** Audit reports are publicly disclosed.	Researchers should determine whether reports are proactively made available. Audit reports may be available online or in print. If not disclosed, researchers should determine whether reports are available on request.
6. **Corrective measures.** The agency addresses problems identified in audit reports.	Researchers should review external audit reports to identify problems, causes, and proposed solutions. Interviews with agency staff or review of reports from several consecutive years should provide information on whether problems persist or have been rectified. Actions to address problems may also be outlined in agency work plans or strategy documents.

117. External financial audit systems		
Object of assessment:		
EOQ	Y/N	Explanation
Independent audit		
Mandate		
Standards		
Comprehensiveness		
Disclosure of reports		
Corrective measures		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five or more elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

6.4 Anticorruption measures

118. Legal basis for combatting corruption
To what extent does the legal framework seek to prevent and combat corruption?

Indicator Guidance:
This indicator should be applied to assess all relevant laws and policies in place to combat corruption. Anticorruption legislation may be standalone, or included as part of public sector codes of conduct or other administrative laws. Researchers should collect and review legal documents as well as any government strategies focused on corruption.

Element of Quality	Guidance
1. **Definition of corruption.** The legal framework clearly and comprehensively defines corrupt practices as illegal.	Researchers should assess the comprehensiveness of the legal framework by identifying whether rules explicitly define what constitutes corruption under the law. Examples of activities that may be defined as corruption include: bribery, extortion, nepotism, embezzlement, money laundering, using confidential government information for private gain, and misuse of public property.
2. **Penalties.** The legal framework defines clear penalties for corruption.	Rules should outline clear penalties for corruption activities. Penalties may be differentiated according to the type of corruption action as well as the severity of the crime.
3. **Anticorruption institution.** The legal framework establishes a government institution tasked with monitoring and investigating corruption.	Researchers should identify whether rules call for establishment of a government anticorruption institution. Such institutions may be explicitly tasked with monitoring corruption, or could be responsible for more general government oversight such as an ethics office. In the absence of a dedicated institution, researchers should identify any offices or units within government agencies that have a mandate to address corruption.
4. **Anticorruption strategy.** A national strategy exists for combatting corruption.	Researchers should identify whether the government has developed a national anticorruption strategy. Such an effort may be led by an anticorruption institution, finance ministry, or other relevant agency. In the absence of a national strategy, researchers should identify any agency-specific strategies with relevance for the assessment (e.g., forest, land, or extractive sectors) or assess whether actions to address corruption are incorporated into other national strategies (e.g., related to economic development or strengthening governance).

118. Legal basis for combatting corruption		
Object of assessment:		

EOQ	Y/N	Explanation
Definition of corruption		
Penalties		
Anticorruption institutions		
Anticorruption strategy		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	

Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

119. Quality of anticorruption institutions
To what extent are dedicated and effective institutions in place to combat corruption?

Indicator Guidance:
An anticorruption institution is defined by USAID as a "separate, permanent government agency whose primary function is to provide centralized leadership in core areas of anticorruption activity."[22] This indicator should be applied to a dedicated anticorruption institution if one exists in the country of assessment. If a central institution does not exist, countries may have anticorruption units or commissions within government agencies that could be assessed. Once researchers have identified the relevant institution, they should collect any information regarding the institution's governance, design, and mandate. Researchers should also interview staff of the anticorruption institution and external experts with knowledge of the institution (e.g., civil society, donors) to assess its independence and overall performance.

Element of Quality	Guidance
1. **Independence.** Anticorruption institutions have autonomous governance structures.	Researchers should assess whether the rules and structure of the anticorruption institution support its ability to function independently. Measures to promote independence often include ensuring that the agency's budget is approved by the legislature rather than the executive branch and that hiring practices are rigorous and not subject to interference. In some cases, the agency is separate from the executive branch of government to promote their autonomy; however, this does not always result in allowing the agency to operate without executive interference. Researchers should also assess whether anticorruption institutions are generally allowed to function independently in practice.
2. **Investigative powers.** Anticorruption institutions have sufficient powers to investigate and gather evidence on corruption cases.	Researchers should review rules or other relevant documents establishing the investigative powers of anticorruption institutions. While the investigative powers will vary depending on the type of institutions, they should allow the institution to respond to complaints, initiate investigations, and collect evidence. Broad investigative powers often include similar powers to those of law enforcement agencies, such as conducting wiretaps, examining financial records of suspects, freezing assets, accessing documents and witnesses, and protecting informants.
3. **Jurisdiction.** Anticorruption institutions have broad jurisdiction to investigate corruption across the legislative, executive, and judicial branches of government.	Researchers should review rules or other relevant documents setting out the jurisdiction of the anticorruption agency to investigate instances of corruption. They should note whether the agency is able to investigate officials in all government branches or if any restrictions are placed on their operations.
4. **Prosecution.** Anticorruption institutions have sufficient powers to prosecute or assist in the prosecution of corruption	Researchers should review whether anticorruption institutions have the power to prosecute corruption cases and identify any limitation that might impact prosecutorial power. In some cases, a separate judicial structure may be in charge of prosecuting

---

[22] "Anticorruption Agencies (ACAs)." United States Agency for International Development (USAID) Office of Democracy and Governance. June 2006. http://www.agora-parl.org/sites/default/files/USAID%20-%20Anticorruption%20agencies%20-%2006.2006%20-%20EN%20-%20PACE_0.pdf

cases.	corruption cases. In this case, rules should establish clear mechanisms for coordination between the anticorruption institution and those responsible for prosecution.
5. **Capacity.** Anticorruption institutions have sufficient financial and human resources to carry out their mandates.	Researchers should determine whether the anticorruption institution has a sufficient budget to carry out its mandate. Such information may be available through interviews or agency performance reports; if these are unavailable, information such as number of cases investigated or backlogs of cases may indicate resource constraints. In addition, researchers should assess whether agency staff have expertise in law, law enforcement, evidence collection, and prosecuting cases if this is included in the scope of powers.

119. Quality of anticorruption institutions		
Object of assessment:		
EOQ	Y/N	Explanation
Independence		
Investigative powers		
Jurisdiction		
Prosecution		
Capacity		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

120. Mechanisms to report corruption

To what extent are effective mechanisms in place for receiving and investigating public reports of corruption?

Indicator Guidance:

This indicator should be applied to assess any systems in place for reporting corruption to the anticorruption institution (or other relevant body assessed in Indicator 119). Researchers should review procedures of any relevant anticorruption institutions or units that enable the public to submit evidence or complaints associated with corruption. They should also interview staff of the anticorruption institution.

Element of Quality	Guidance
1. **Reporting.** Anticorruption institutions have dedicated mechanisms that receive and follow up on public reports of corruption.	Researchers should assess whether mechanisms exist for the public to report instances of corruption. Examples include offices for filing complaints, anonymous hotlines, or websites. If possible, researchers should document how frequently such mechanisms are used to report corruption.
2. **Protection from retaliation**. Protection measures exist to shield individuals who report instances of corruption from retaliation.	Researchers should assess whether government codes of conduct or ethics establish clear protection from retaliation for individuals who report instances of corruption. Protections may include protecting the anonymity of informants or enforcing rules that prevent efforts to remove the individual from his or her position.
3. **Investigation.** Public reports of corruption are investigated in a timely manner.	Researchers should review any documents detailing performance of the anticorruption institution and interview agency staff about the timeliness of investigations. They should attempt to document the time period between reporting of corruption, investigation, and actions taken if evidence of corruption is obtained.
4. **Enforcement.** Confirmed instances of corruption are reported to the relevant enforcement or prosecution authority for follow-up action.	Researchers should review any available information detailing how often investigations that revealed corruption lead to follow-up actions. Follow-up actions may include suspension or termination of government employees, assessment of financial penalties, or judicial action. Researchers should note that follow-up actions may be taken by the anticorruption institution, or by another relevant law enforcement agency depending on the institutional structure in the country of assessment. Information on follow-up actions may be found in documents such as performance reports of the anticorruption institution or external evaluations of its performance.

120. Mechanisms to report corruption		
Object of assessment:		
EOQ	Y/N	Explanation
Reporting		
Protection from retaliation		
Investigation		
Enforcement		
Additional notes:		

Values	Select
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Medium ____
Three elements of quality	Medium-High ____
Four elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

121. Conflict of interest laws
To what extent are there appropriate conflict of interest laws for public officials?

Indicator Guidance:
This indicator assesses the rules governing the conduct of public officials regarding potential conflicts of interest. Conflicts of interest may occur when a public sector official has interests that are in conflict with his or her roles and responsibilities as a public official. For example, an official that owns an interest in a mining company would have a conflict of interest if he or she was responsible for deciding whether to give the company a permit to operate. Researchers should review any rules related to conduct of public officials, which may be found in codes of conduct or ethics, administrative laws, or conflict of interest policies (these may be government wide or unique to a specific agency).

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Conflict of interest disclosure.** The legal framework requires public officials to disclose conflicts of interest related to their responsibilities as public servants.	Rules should require public officials to disclose conflicts of interest related to their responsibilities. Rules should clearly state which government officials are covered by these requirements (e.g., executive branch). They should also include clear procedures on how conflicts are disclosed and to whom the information must be given.
2. **Financial asset disclosure.** The legal framework requires public disclosure of financial assets for high-level government officials and their families.	Rules should require high-level government officials to disclose their financial assets. Rules should identify which officials must disclose their assets, set clear timelines for disclosure, and provide guidance on information to be disclosed. In general, financial disclosure should include income as well as assets such as real estate, personal bank accounts, retirement accounts, stocks, and bonds.
3. **Gift restrictions.** The legal framework limits the types of gifts and hospitality that can be offered to government officials.	Rules should clearly outline any restrictions on gifts that can be accepted by government officials in certain circumstances. In general, these rules are designed to apply to officials receiving gifts from anyone currently doing business or attempting to conduct business with the government agency in question. Rules should clearly define what constitutes a "gift" as well as any reasonable exceptions.
4. **Waiting period.** The legal framework restricts former public officials from lobbying positions that seek to influence government colleagues without an adequate waiting period.	Rules should clearly outline any restrictions related to former public officials seeking to lobby, influence, or otherwise do business with their former agency. Rules often apply to senior officials, and may include different requirements for officials as defined by title or salary level. Rules should stipulate the length of the waiting periods, often 1-2 years.
5. **Penalties.** The legal framework establishes clear penalties for public officials who violate conflict of interest or asset disclosure rules.	Rules should clearly define any penalties related to violation of rules governing conflicts of interest, asset disclosure, or other ethical violations. Penalties may be civil or criminal depending on the nature and severity of the infraction.

121. Conflict of interest laws		
Object of assessment:		
EOQ	Y/N	Explanation
Conflict of interest disclosure		
Financial asset disclosure		
Gift restrictions		
Waiting period		
Penalties		

Additional notes:

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____

Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

122. Implementation and enforcement of conflict of interest laws
To what extent are conflict of interest laws for public officials effectively implemented and enforced?

Indicator Guidance:
This indicator evaluates the extent to which public officials comply with policies governing conflicts of interest assessed in Indicator 121. Researchers may choose to narrow the focus of this indicator by identifying a specific agency or department to which to apply the indicator. They should collect any documentation related to staff compliance with codes of conduct and ethics. They should also conduct interviews with agency staff subject to conflict of interest rules, as well as any officials responsible for ensuring compliance or enforcing conflict of interest rules.

Element of Quality	Guidance for Interpreting Elements of Quality
1. **Awareness.** Public officials receive training in and are aware of requirements to disclose conflicts of interest or financial assets.	Researchers should interview public officials in an agency(s) of interest to assess whether they have received training on rules related to disclosure of conflicts of interests and financial assets. Human resources departments of the agency(s) in question or government bodies responsible for overseeing civil codes of conduct may also have relevant information on whether staff receive training as part of orientations or through ongoing staff development.
2. **Disclosure.** Public officials disclose conflicts of interest and financial assets as required by law.	Researchers should assess the level of compliance with disclosure rules. This information may be publicly disclosed by the agencies, or it may be reported only to internal units responsible for collecting and monitoring this information. Researchers should interview relevant staff. They may also wish to conduct media research to look for examples of whether any cases of disclosure policies being violated have been made public.
3. **Public availability.** Conflict of interest and financial asset disclosure information is publicly available.	Researchers should review agency documentation to determine whether and how information disclosed on conflicts of interests and financial assets for high level officials is publicly disclosed.
4. **Monitoring.** Potential conflicts of interest are monitored and investigated.	Researchers should assess whether there are government staff responsible for monitoring and investigating potential conflicts of interest. These staff may be internal to the agency(s) of interest (e.g., internal anticorruption units), or external bodies such as anticorruption agencies or ethics commissions. Researchers should interview staff from the relevant unit about their monitoring and investigation activities. Since this information may be sensitive, researchers may also look for documented cases where conflicts of interest have been discovered and penalties applied as evidence of monitoring.
5. **Application of penalties.** Penalties are promptly applied to officials who violate conflict of interest and financial disclosure rules.	Researchers should look for cases in which officials have violated disclosure policies. They should review the type of violation, the penalty assessed, and the ultimate outcome of the case. This information may be available from the relevant agency or from government bodies responsible for applying the penalties. Relevant cases may also be publicized by civil society and the media in the case of very senior officials.

122. Implementation and enforcement of conflict of interest laws		
Object of assessment:		
EOQ	Y/N	Explanation
Awareness		
Disclosure		
Public availability		
Monitoring		
Application of penalties		
Additional notes:		

Values	**Select**
Not applicable/assessed	
Zero to one elements of quality	Low ____
Two elements of quality	Low-Medium ____
Three elements of quality	Medium ____
Four elements of quality	Medium-High ____
Five elements of quality	High ____
Documentation:	
Researcher name and organization:	
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)	
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview	

Annex 1: Additional Resources for Governance Assessment

General Governance Assessment

Arndt, C., Oman, C. 2006. Uses and Abuses of Governance Indicators. Paris: Development Centre of the Organization for Economic Co-operation and Development. http://www.oecd.org/dev/poverty/usesandabusesofgovernanceindicators.htm

UNDP. 2009. Supporting Country-led Democratic Governance Assessments Practice Note. http://www.odi.org.uk/sites/odi.org.uk/files/odi-assets/events-documents/3794.pdf

UNDP. 2009. Planning a Governance Assessment: A Guide to Approaches, Costs and Benefits, First Edition. Oslo: UNDP. http://www.undp.org/content/rbas/en/home/presscenter/events/2012/November/regional_governance_week/_jcr_content/centerparsys/download_8/file.res/Planning%20a%20governance%20assessment.pdf

Forest Governance Assessment

International Institute for Environment and Development, World Wildlife Fund, and World Bank. 2002. The Pyramid - A diagnostic and planning tool for good forest governance. http://www.panda.org/about_wwf/what_we_do/forests/our_solutions/tools/index.cfm

Kishor, N., Rosenbaum, K. 2012. Assessing and Monitoring Forest Governance: A Users' Guide to a diagnostic tool. Washington, DC: The World Bank. http://www.profor.info/node/1998

PROFOR and FAO. 2011. Framework for Assessing and Monitoring Forest Governance. http://www.fao.org/climatechange/27526-0cc61ecc084048c7a9425f64942df70a8.pdf

Saunders, J., Reeve, R. 2010. Monitoring Governance for Implementation of REDD+.London: Chatham House. http://www.fao.org/climatechange/21147-0514db68f6b31fda61d9b95fdf2b70093.pdf

World Bank. 2009. Roots for Good Forest Outcomes: An Analytical Framework for Governance Reforms. Agriculture and Rural Development Department, World Bank: Washingotn, DC. http://siteresources.worldbank.org/INTARD/214578-1253636075552/22322823/ForestGovernanceReforms.pdf

Stakeholder Identification and Engagement

AccountAbility, UNEP, & Stakeholder Research Associates. 2006. From Words to Action: The Stakeholder Engagement Manual, Volume 1: The Guide to Practitioners' Perspectives on Stakeholder Engagement. http://www.accountability.org/about-us/publications/the-stakeholder-1.html

AccountAbility, UNEP, & Stakeholder Research Associates. Volume 2: The Practitioners' Handbook on Stakeholder Engagement. http://www.accountability.org/about-us/publications/the-stakeholder.html

Forest Carbon Partnership Facility (FCPF) and UNREDD Programme. 2012. Guidelines on Stakeholder Engagement in REDD+ Readiness. http://www.un-

redd.org/Stakeholder_Engagement/Guidelines_On_Stakeholder_Engagement/tabid/55619/Default.aspx

International Finance Corporation. 2007. Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets. http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_stakeholderengagement__wci__1319577185063

Overseas Development Institute. 2009. Planning Tools: Stakeholder Analysis, Toolkits. http://www.odi.org.uk/resources/docs/6459.pdf

Data Collection

Chronic Poverty Research Center. CPRC Methods Toolbox, Chapter 4.1: Focus Group Discussions. http://www.chronicpoverty.org/page/toolbox

Community Tool Box. Conducting Surveys. http://ctb.ku.edu/en/table-of-contents/assessment/assessing-community-needs-and-resources/conduct-surveys/main#.UmgzKD8n3hU

FAO. 1997. Marketing Research and Information Systems: Chapter 4: Questionnaire Design. Rome. http://www.fao.org/docrep/W3241E/w3241e05.htm.

FAO. 1997. Participatory survey methods for gathering information. http://www.fao.org/docrep/w8016e/w8016e01.htm

Oxfam. 2012. Conducting Semi-Structured Interviews http://policy-practice.oxfam.org.uk/publications/conducting-semi-structured-interviews-252993

United States Agency for International Development (USAID).1996. Performance Monitoring and Evaluation TIPS: Conducting Focus Group Interviews. http://pdf.usaid.gov/pdf_docs/PNABY233.pdf

Communications and Outreach

Advocacy Tools and Guidelines: Promoting Policy Change. 2001. CARE International. http://www.care.org/getinvolved/advocacy/tools.asp

Advocacy Toolkit: Guidance on how to advocate for a more enabling environment for civil society in your context. 2011. Open Forum for CSO Development Effectiveness. http://cso-effectiveness.org/Toolkits

Overseas Development Institute. 2005. Successful Communication: A Toolkit for Researchers and Civil Society Organisations. http://www.odi.org.uk/publications/155-successful-communication-toolkit-researchers-civil-society-organisations

The Access Initiative. 2010. Advocacy and Policy Change Workbook. World Resources Institute, Washington, DC. http://www.accessinitiative.org/resource/advocacy-toolkit-tai

Annex 2: Bibliography and Suggested Reading

Forest tenure

Bruce, J. 1998. Review of Tenure terminology. University of Wisconsin-Madison Land Tenure Center. http://minds.wisconsin.edu/handle/1793/22013

Deininger, K., Selod, H., and A. Burns. 2012. The Land Governance Assessment Framework: Identifying and Monitoring Good Practice in the Land Sector.Agricultural and Rural Development. World Bank, Washington, DC. https://openknowledge.worldbank.org/handle/10986/2376

Food and Agriculture Organization. 2011. Governance principles for concessions and contracts in public forests. FAO Forestry Paper 139, Rome. http://www.fao.org/docrep/005/y1398e/y1398e00.htm

Food and Agriculture Organization. 2011. Reforming forest tenure: Issues, principles, and process. FAO Forestry Paper 165, Rome. http://www.fao.org/docrep/014/i2185e/i2185e00.pdf

Pring, G. and K. Pring. 2009. Greening Justice: Creating and Improving Environmental Courts and Tribunals. The Access Initiative. World Resources Institute, Washington, DC. <http://www.accessinitiative.org/blog/2010/01/greening-justice-creating-and-improving-environmental-courts-and-tribunals>

Rights and Resources Initiative. 2012. What Rights? A Comparative Analysis of Developing Countries' National Legislation on Community and Indigenous Peoples' Forest Tenure Rights. Washington, DC: Rights and Resources Initiative. http://www.rightsandresources.org/publication_details.php?publicationID=4924

Schlager, E. and E. Ostrom. 1992. Property-Rights Regimes and Natural Resources: A Conceptual Analysis. *Land Economics* 68(3): 249-262. http://econ.ucsb.edu/~tedb/Courses/Ec100C/Readings/OstromSchlager.pdf

United States Agency for International Development (USAID). Integrating Customary Land Tenure into Statutory land Law. USAID Property Rights and Resource Governance Project. http://usaidlandtenure.net/sites/default/files/USAID_Land_Tenure_2012_Liberia_Course_Module_5_Integrating_Customary_Land_Tenure.pdf

Land Use

Christy, L.C., Di Leva, C.E., Lindsay, J.M., and P.T. Takoukam. 2007. Forest Law and Sustainable Development: Addressing Contemporary Challenges Through Legal Reform. World Bank Law, Justice, and Development Series, Washington, DC. http://elibrary.worldbank.org/content/book/9780821370384

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). 2011. Land Use Planning: Concepts, Tools, and Applications. GIZ Agriculture, Fisheries, and Food Division. http://www2.gtz.de/dokumente/bib-2011/giz2011-0041en-land-use-planning.pdf

FAO. 1993. Guidelines for land-use planning. FAO Inter-Departmental Working Group on Land Use Planning, Rome. http://www.fao.org/docrep/t0715e/t0715e00.HTM

International Association for Impact Assessment. Principles of Environmental Impact Assessment Best Practice. http://www.iaia.org/publicdocuments/special-publications/Principles%20of%20IA_web.pdf

OECD. 2006. Applying Strategic Environmental Assessment: Good Practice Guidance for Development Co-operation. http://www.oecd.org/dac/environment-development/37353858.pdf

Richards, M. and S. Panfil. 2011. Social and Biodiversity Impact Assessment (SBIA) Manual for REDD+ Projects. Forest Trends. http://www.forest-trends.org/publication_details.php?publicationID=2981

Vanclay, F. 2003. "International Principles for Social Impact Assessment." *Impact Assessment and Project Appraisal* 21 (1): 5-11. http://www.iaia.org/publicdocuments/sections/sia/IAIA-SIA-International-Principles.pdf

World Bank. 2013. Strategic Environmental Assessment Toolkit. http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/ENVIRONMENT/0,,contentMDK:20885941~menuPK:2450778~pagePK:148956~piPK:216618~theSitePK:244381,00.html

Forest Management

Brown, D. 2009. "Review of Independent Forest Monitoring." London: Overseas Development Institute. http://www.catie.ac.cr/BancoMedios/Documentos%20PDF/ifmfinal.pdf.

Christy, L.C., Di Leva, C.E., Lindsay, J.M., and P.T. Takoukam. 2007. *Forest Law and Sustainable Development: Addressing Contemporary Challenges Through Legal Reform*. World Bank Law, Justice, and Development Series: Washington, DC. http://elibrary.worldbank.org/content/book/9780821370384

Food and Agriculture Organization. 2011. "Governance principles for concessions and contracts in public forests." FAO Forestry Paper 139, Rome. <http://www.fao.org/docrep/005/y1398e/y1398e00.htm>

Food and Agriculture Organization (FAO). 2010. "Developing effective forest policy." FAO Forestry Paper 161, Rome. http://www.fao.org/docrep/013/i1679e/i1679e00.htm

Global Witness. 2009. "A Decade of Experience: Lessons Learned from Independent Forest Monitoring to Inform REDD." December. http://www.globalwitness.org/sites/default/files/pdfs/a_decade_of_experience_finalen.pdf.

Gregersen, H. and A. Contreras. 2010. Rethinking Forest Regulations: From simple rules to systems to promote best practices and compliance. Rights and Resources Initiative: Washington, DC. http://www.rightsandresources.org/documents/files/doc_1402.pdf

World Bank. 2006 Strengthening Forest Law Enforcement and Governance: Addressing a Systematic Constraint to Sustainable Development. Environment and Agriculture and Rural Development Departments, Washington, DC. http://siteresources.worldbank.org/INTFORESTS/Resources/ForestLawFINAL_HI_RES_9_27_06_FINAL_web.pdf

Forest revenue

Davis, C. and L. Williams. 2012. "Institutional Assessment Tool for Benefit Sharing under REDD+." United States Agency for International Development, Property Rights and Resource Governance Project. http://usaidlandtenure.net/sites/default/files/USAID_Land_Tenure_Institutional_Assessment_Tool.pdf.

Gray, J.A. 2002. Forest Concession Policies and Revenue Systems: Country Experience and Policy Changes for Sustainable Tropical Forestry. World Bank Technical Paper. http://elibrary.worldbank.org/content/book/9780821351703

International Budget Partnership (IBP). 2011. Open Budget Questionnaire. http://internationalbudget.org/what-we-do/open-budget-survey/research-resources/guides-questionnaires/

International Budget Partnership (IBP). 2001. A Guide to Budget Work for NGOs. http://internationalbudget.org/wp-content/uploads/guide_to_budget_work1.pdf

Karsenty, A. 2000. Economic instruments for tropical forests: The Congo Basin case. Center for International Forestry Research (CIFOR), Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), and International Institute for Environment and Development (IIED). http://www.cifor.org/online-library/browse/view-publication/publication/647.html

Organization for Economic Co-operation and Development (OECD). 2002. OECD Best Practices for Budget Transparency. http://www.oecd.org/governance/budgeting/Best%20Practices%20Budget%20Transparency%20-%20complete%20with%20cover%20page.pdf

Palmer, J. and J. Bulkan. 2010. Legitimacy of public domain forest taxation, and combatting corruption in forestry. *International Forestry Review* 12 (2): 150-164.

"Reform of Fiscal Policies in the Context of National Forest Programmes in Africa: Synthesis of Country Reports." EC-FAO Partnership Programme. ftp://ftp.fao.org/docrep/fao/003/X6830E/X6830E00.pdf

Cross-cutting Institutions

International Center for Not-for-Profit Law. 2011. "NGO Laws in Sub-Saharan Africa." Global Trends in NGO Law 3 (3). http://www.icnl.org/research/trends/trends3-3.pdf

International Center for Not-for-Profit. 2013. NGO Law Monitor. http://www.icnl.org/research/monitor/index.html

Inter-Parliamentary Union and United Nations Development Program (UNDP). 2012. Global Parliamentary Report: The changing nature of parliamentary representation. http://www.ipu.org/pdf/publications/gpr2012-full-e.pdf

Pring, G. and K. Pring. 2009. "Greening Justice: Creating and Improving Environmental Courts and Tribunals." The Access Initiative, World Resources Institute.

<http://www.accessinitiative.org/blog/2010/01/greening-justice-creating-and-improving-environmental-courts-and-tribunals>

Veit, P., Banda, G.Z., Brownell, A., Galega, P., Mpundu Kanja, G., Nshala, R., Mtisi, S., Ochieng, B.O., Salamao, A., and G. Tumushabe. 2008. On Whose Behalf? Legislative Representation and the Environment in Africa. World Resources Institute, Washington DC. http://www.wri.org/sites/default/files/pdf/on_whose_behalf.pdf

Cross-cutting Issues

Anticorruption Agencies (ACAs). United States Agency for International Development (USAID) Office of Democracy and Governance. June 2006. http://www.agora-parl.org/sites/default/files/USAID%20-%20Anticorruption%20agencies%20-%2006.2006%20-%20EN%20-%20PACE_0.pdf

The Access Initiative Assessment Toolkit: Evaluating the Foundations of Environmental Governance. 2006. The Access Initiative. World Resources Institute, Washington, DC. http://www.accessinitiative.org/resource/the-access-initiative-assessment-toolkit-introduction-brochure

International Monetary Fund. 2007. Manual on Fiscal Transparency. IMF Fiscal Affairs Department, Washington, DC. http://www.imf.org/external/np/pp/2007/eng/101907m.pdf

International Monetary Fund. 2007. Code of Good Practices on Fiscal Transparency. IMF Fiscal Affairs Department, Washington, DC. http://www.imf.org/external/np/pp/2007/eng/051507c.pdf

Global Witness. Forest Transparency Report Card. http://www.foresttransparency.info/

Heilbrunn, J.R. 2004. "Anti-Corruption Commissions: Panacea or Real Medicine to Fight Corruption?" http://siteresources.worldbank.org/WBI/Resources/wbi37234Heilbrunn.pdf

OECD. 2011 Asset Declarations for Public Officials: A Tool to Prevent Corruption. OECD Publishing. http://www.oecd.org/daf/anti-bribery/47489446.pdf

Petkova, E., C. Maurer, N. Henninger, and F. Irwin. 2002. "Closing the Gap: Information, Participation and Justice in Decision-Making for the Environment. World Resources Institute, Washington DC. http://www.wri.org/publication/closing-gap

Public Expenditure and Financial Accountability Program. 2011. The Public Financial Management Performance Measurement Framework. PEFA Secretariat, Washington DC. http://www.pefa.org/sites/pefa.org/files/attachments/PMFEng-finalSZreprint04-12_1.pdf

About the Authors

Lauren Williams is an Associate with the Governance of Forests Initiative at WRI, and the lead author of this Manual. Her work focuses on promoting good governance of forests in a range of policy and practical contexts, and developing analytical tools for assessing forest governance challenges. Lauren holds a Masters in Environmental Management from the Yale School of Forestry and Environmental Studies, and undergraduate degrees in Biology and French from Wake Forest University.

Contact: LWilliams@wri.org

Jessica Breitfeller was a research intern with the Governance of Forests Initiative at WRI who assisted in the drafting of Part II of this Manual. She currently works at Forest Trends as an Associate with their Forest Trade and Finance Program's REDD+ Expenditure Tracking Initiative.

Celine Lim was a research intern with the Governance of Forests Initiative at WRI who assisted in drafting Part I of this Manual. She is currently pursuing a Master of Environmental Management degree at the Yale School of Forestry and Environmental Studies.

Acknowledgments