



Forest Governance Indicators

Assessment tool for capturing evidence in areas of governance applicable to the forest sector and forest-related policy processes

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Introduction

This tool provides a set of indicators¹ to be used to assess areas of governance applicable to the forest sector and to forest-related policy processes.² The assessment is made by scoring indicators based on evidence that is then captured through referencing in the tool.

The indicators are grouped into five thematic areas of governance (Figure 1):

- **A: Stakeholder participation**
- **B: Legislative and institutional clarity**
- **C: Accountability and oversight**
- **D: Transparency**
- **E: Compliance promotion and enforcement**

The indicators are also structured according to three levels:

1. **Level 1: legal indicators**, which seek to assess the existence of legal provisions within the national legal framework that promote good governance across thematic areas (e.g. indicator A.1.a)
2. **Level 2: mechanism indicators**, which seek to assess the existence of tools, mechanisms or processes to effectively implement the legal provisions (e.g. indicator A.2.a)
3. **Level 3: implementation indicators**, which seek to assess the extent to which the tools, mechanisms or processes are effectively used and implemented (e.g. indicator A.3.a)

As evident from the above examples, each indicator has a specific code that combines a letter corresponding to the relevant thematic area (A to D) followed by a number corresponding to the level, and then a lower-case letter according to the number of indicators under that area/level. In addition, some indicators are segmented to capture a scope of possibilities – such as indicators that cater for the four types of stakeholders that are then identified with roman numerals (e.g. A.3.b.i to A.3.b.iv).

While the first version of the Forest Governance Indicators focused on Forest Law Enforcement, Governance and Trade (FLEGT) processes, this second version expanded the scope of the indicators to encompass all forest-related policy processes. They now encompass land use and planning, and the management of forests for production, protection and conservation. The indicators also include an assessment of activities outside the forest sector but that have an impact on forests. However, the focus of the Forest Governance Indicators remains on assessing processes, and not the contents of the law.

¹ An indicator is a quantitative, qualitative or descriptive attribute that, if measured or monitored periodically, could indicate the direction of change in a governance subcomponent.

² Forest-related policy process: A series of actions or steps taken by policy makers with the aim to develop, implement and evaluate policies that affect the management of forests for production, protection and/or conservation, as well as land-use planning where it relates to forests and forest lands; and actions or steps taken in other sectors that may impact forests and forest lands. These usually include agenda setting, consideration of policy options, decision making, implementation, and evaluation.

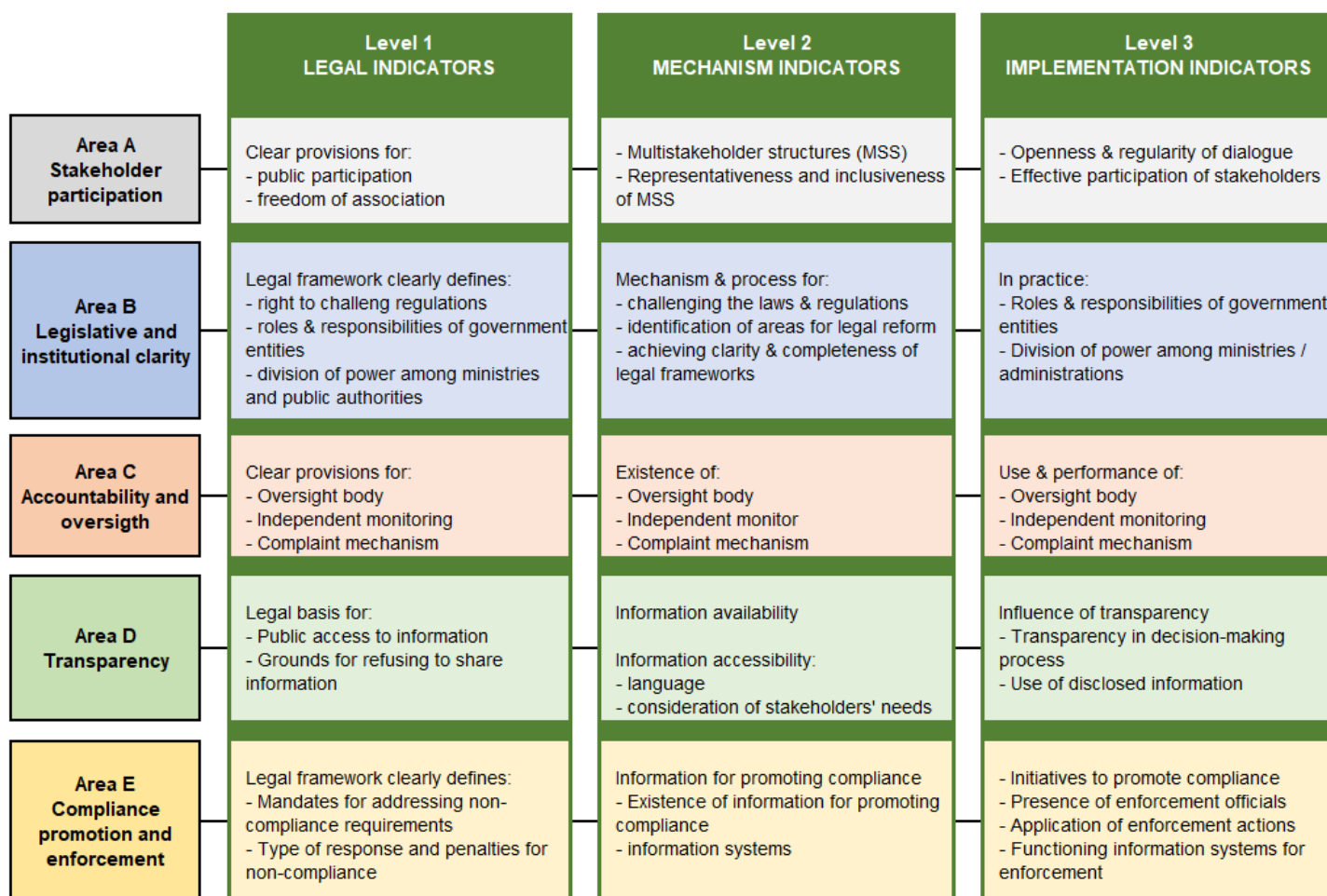


Figure 1. Schematic representation of the Forest Governance Indicators.

Each thematic area and many of the indicators are accompanied by a short explanatory paragraph on the area/indicator and, where needed, definitions of any key terms used. Key terms are also defined in the annexed glossary.

A guiding question and scoring guide are provided for each indicator. Most legal and infrastructure indicators have binary scoring options, while the implementation indicators typically have a wider range of scoring options (e.g. ranging from 'one' no implementation or use, to a higher score for full/effective implementation).

Each indicator also features a box to add details of the evidence to support and justify the scoring for the **current reporting period (CRP)** (latest year assessed), (if applicable) for the **intermediate year (IY)**, and for the **baseline year (BL)**.³ When including details of the evidence, please mention if the resource/material is public or internal, as that may have implication for how we refer to such evidence in internal or external reporting.

³ In case of a forest governance dialogue (i.e. FLEGT or REDD+ process), it is suggested that the baseline year chosen corresponds to the year prior to the first year of dialogue.

Thematic area A: Stakeholder participation

Participation refers to when stakeholders are involved in decision making, and able to influence forest-related policies and decision-making processes. Indicators under ‘participation’ seek to assess: the existence of a conducive legal basis for stakeholder participation; the freedom of forest sector stakeholders to associate in multistakeholder structures (MSS); the inclusiveness of such structures; if the structures are regularly used; and the extent to which the inputs and views of stakeholders are translated into appropriate actions.

Indicator A.1.a: Conducive policy and legal framework* for stakeholder participation in forest-related policy processes

This composite indicator seeks to assess whether stakeholder participation is legally required in the formulation and revision of policies**, laws***, and regulations****, as well as in management decisions in the forest sector, including the process of planning and allocating forest and land-use rights.

In scoring the sub-indicators under A.1.a, ‘formulation and revision’ refers to the process of developing the ideas and content of laws, regulations and policies relevant to the forest sector.

* **Legal framework:** the body of laws, regulations, binding rules and other legal instruments that set forth the rules, rights and obligations of companies, governments and citizens.

** **Forest-related policies:** Statements, declarations, resolutions, etc., by a national or subnational government, which prescribe the principles, positions, intents, plans and/or actions necessary to sustain forests, their products and services. For the purpose of this set of indicators, policies regulating activities having a direct impact on forest and forest lands (i.e. land-use planning, mining, hydro development...) are considered part of forest-related policies.

*** **Forest-related law:** A binding rule or body of rules adopted by the legislature of a national or subnational government to prescribe the principles, rights and obligations in respect of: the ownership management and use of forests for production, protection and/or conservation; including activities related to afforestation, reforestation and forest restoration; as well as land-use planning laws, where they relate to forests and forest lands; and other sectors and activities that may impact on forests and forest lands.

**** **Forest-related regulations:** A binding rule or body of rules adopted by the executive power of a national or subnational government or a regulatory agency to regulate the management and use of forests for production, protection and/or conservation; including activities related to afforestation, reforestation and forest restoration; as well as land-use planning regulations, where they relate to forests and forest lands; and other sectors and activities that may impact on forests and forest lands.

A.1.a.i: Formulation and revision of forest-related laws

| Guiding question: | Is stakeholder participation in the formulation and revision of forest-related laws legally required? | 20xx BL | 20xy CRP |
|-------------------|---|------------|-------------|
| Scoring guide | There is a legal requirement for stakeholder participation in the formulation and revision of forest-related laws | 2 | 2 |
| | There is no legal requirement for stakeholder participation in the formulation and revision of forest-related laws. | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

A.1.a.ii: Formulation and revision of forest-related regulations

| Guiding question: | Is stakeholder participation in the formulation and revision of forest-related regulations legally required? | 20xx BL | 20xy CRP |
|-------------------|---|------------|-------------|
| Scoring guide | There is a legal requirement for stakeholder participation in the formulation and revision of forest-related regulations. | 2 | 2 |

| | | | |
|--|---|--------------------|---------------------|
| | There is no legal requirement for stakeholder participation in the formulation and revision of forest-related regulations. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| A.1.a.iii: Formulation and revision of forest-related policies | | | |
| Guiding question: | Is stakeholder participation in the formulation and revision of forest-related policies legally required (examples of policies include promulgated strategy, action plans, resolution, etc.)? | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for stakeholder participation in the formulation and revision of forest-related policies | 2 | 2 |
| | There is no legal requirement for stakeholder participation in the formulation and revision of forest-related policies | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator A.1.b: Conducive policy and legal framework for stakeholder participation in decision making related to the allocation and use of forests and forestland | | | |
| This composite indicator seeks to assess whether stakeholder participation is legally required in decision making related to the allocation and use of forests and forestland. | | | |
| A.1.b.i: Decision making related to the allocation forests and forestland | | | |
| Guiding question: | Is stakeholder participation in decision making related to the allocation of forests and forestland legally required? Note: the allocation of forests and forestland may be regulated under forest laws and regulations, as well as under sectoral laws governing activities that have an impact on forests, such as infrastructure, agriculture or mining. Respondents should consider all relevant laws. | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for stakeholder participation in decision making related to the allocation of forests and forestland in most or all forest and forestland allocation processes | 3 | 3 |
| | There is a legal requirement for stakeholder participation in decision making related to the allocation of forests and forestland in some forest and forestland allocation processes | 2 | 2 |
| | There is no legal requirement for stakeholder participation in decision making related to the allocation of forests and forestland | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| A.1.b.ii: Decision making related to the use of forests and forestland | | | |
| Guiding question: | Is stakeholder participation in decision making related to the use of forests and forestland legally required? Note: this indicator refers to participation of stakeholders in, for example, the carrying out of environmental impact assessments | 20xx BL | 20xy CRP |

| | | | |
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| | when activities having an impact on forests are envisaged, or in the development of forest management plans. | | |
| Scoring guide | There is a legal requirement for stakeholder participation in decision making related to all or most uses of forests and forestland | 3 | 3 |
| | There is a legal requirement for stakeholder participation in decision making related to some uses of forests and forestland | 2 | 2 |
| | There is no legal requirement for stakeholder participation in decision making related to the use of forests and forestland | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Indicator A.2.a: Multistakeholder structures established with recognised role in forest-related policy processes and dialogues

‘Multi-stakeholder structures’ (MSS) refers to those set up under forest-related policy processes, such as national or multilateral stakeholder structures, negotiating structures, implementation structures, or structures that are used to bring stakeholders together to participate in dialogue, decision making, and implementation of a forest-related policy process and/or forest-related policies, laws and regulations.

If there is more than one forest-related policy process in the country, provide one response per process assessed. Specify the policy process that the answer refers to in the box ‘Details of the evidence’ below.

| Guiding question: | | 20xx BL | 20xy CRP |
|--|--|----------------|-----------------|
| In practice, is there an MSS with a formally recognised role in the forest-related policy process and dialogue? “Formally recognised” refers to whether the participation in and inputs of MSS into the forest-related policy process are mandated by the relevant government entities. When assessing the current reporting period, if evidence for scoring is prior to the reporting period year, please indicate the year the indicator has been fulfilled. | | | |
| Scoring guide | MSS established with formally recognised role to contribute to all/any part of a forest-related policy process | 5 | 5 |
| | MSS established with recognised role to contribute to a subset of a forest-related policy process | 4 | 4 |
| | MSS established with no recognised role to contribute to a forest-related policy process | 3 | 3 |
| | Stakeholders can freely assemble but no MSS established | 2 | 2 |
| | Stakeholders cannot assemble | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator A.2.b: Representativeness of multistakeholder structures engaged in forest-related policy processes and dialogues | | | |

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|---------------------------------|---|----------------------------------|-----------------------------------|
| <p>Guiding question:</p> | <p>In practice, during the reporting period, did the multistakeholder structures (MSS) include representation of all non-state forest sector stakeholder groups?</p> <p>This question refers to four groups of non-state stakeholders, namely: i) forest-dependent and/or indigenous peoples, smallholders/smallholder groups and/or community-based organisations; ii) civil society organisations; iii) formal enterprises; and iv) informal enterprises.</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> • In case only part of the entities in group (i) is represented, identify in the evidence below those specific non-state actors represented on the MSS • “represented” means either direct representation or representation through an organisation or body that has an official mandate or is mutually recognised to represent the interests of the stakeholder group. This would, for instance, be inclusive of many industry associations, trade unions and indigenous forest peoples’ organisations in the ‘represented’ category. But it would exclude organisations that may advocate on behalf of a particular stakeholder group, but do not have an official/mutually recognised mandate to represent them. • Community-based organisations: An organisation that is representative of a community or of significant segments of a community, is governed and run by representatives of such community, and provides services and assistance to individuals within its designated community. • Civil society organisations: Non-commercial and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. Examples include community-based organisations and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, cooperatives, professional associations, chambers of commerce, independent research institutes and the not-for-profit media. (Source: OECD-DAC) • Formal enterprises: Small, medium or large enterprises that are formally registered as domestic or foreign-owned business. For the purpose of this set of indicators, businesses covered are those related to: the exploitation of timber or non-timber forest products; afforestation, reforestation, forest restoration, conservation and recreation; and agricultural activities, infrastructure and mining. • Informal enterprises: Those entities involved in wood processing and/or trading, exploitation of non-timber forest products, production of agricultural commodities or mining, for which one or more of the following three criteria apply: (i) not officially registered with a local authority and not paying taxes (i.e. under national legislation for enterprise registration); (ii) small size in terms of employment (i.e. as per country threshold for micro enterprise typically meaning fewer than ten employees); and (iii) non-registration of the employees of the enterprise. | <p>20xx BL</p> | <p>20xy CRP</p> |
|---------------------------------|---|----------------------------------|-----------------------------------|

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|--|--|--------------------|---------------------|
| | <ul style="list-style-type: none"> Representative associations of formal or informal enterprises should be counted as a proxy if they are represented on the MSS but actual formal or informal enterprises are not. <p>In case no meeting took place during the reporting period, score as per the previous year when the MSS was used to bring stakeholders together to participate in dialogue, decision making, and implementation of forest-related policies, laws and regulations.</p> <p>If there is more than one forest-related policy process and more than one MSS related to forest policy in the country, provide one response per process assessed. Specify the policy process that the answer refers to in the box 'Details of the evidence' below.</p> | | |
| Scoring guide | All four groups of stakeholders are represented on the MSS | 5 | 5 |
| | Three out of four groups of stakeholders are represented on the MSS | 4 | 4 |
| | Two out of four groups of stakeholders are represented on the MSS | 3 | 3 |
| | One group of stakeholders is represented on the MSS | 2 | 2 |
| | No MSS exists | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator A.2.c: Mechanisms to enable stakeholder participation in decision making related to the allocation and use of forests and forestland | | | |
| This composite indicator seeks to assess whether mechanisms exist to enable stakeholders' participation in decision making related to the allocation and use of forests and forestland are in place. | | | |
| A.2.c.i: Mechanisms to enable stakeholder participation related to the allocation forests and forestland | | | |
| Guiding question: | <p>Do mechanisms exist to enable stakeholder participation in the allocation of forests and forestland?</p> <p>Mechanisms could be informational (e.g. to provide for prior notification), procedural (e.g. a charter on participation of stakeholders, public enquiry...), or create a permanent or ad hoc consultative body, such as an advisory committee.</p> <p>Note: The allocation of forests and forestland may or may not be regulated under forest laws and regulations, as well as under sectoral laws governing activities that have an impact on forests, such as infrastructure, agriculture or mining. Respondents should consider all mechanisms and procedures under all relevant laws but also those that may exist outside of the legal framework.</p> <p>In scoring this indicator:</p> <p>'In all or most cases' refers to when mechanism exists in all or most of the allocation processes for forest and forest land, regardless of whether they are regulated under forest laws or under other sectoral laws.</p> <p>'In some cases' refers to when mechanism exists in roughly less than half of the allocation processes for forest and forest land.</p> | 20xx BL | 20xy CRP |

| | | | |
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| | When providing evidence, specify whether the mechanism is specific or generic. | | |
| Scoring guide | Mechanisms enabling stakeholder participation in the allocation of forests and forestland exist in all or most cases | 4 | 4 |
| | Mechanisms enabling stakeholder participation in the allocation of forests and forestland are in place in some cases | 3 | 3 |
| | Mechanisms enabling stakeholder participation in the allocation of forests and forestland are under development | 2 | 2 |
| | Mechanisms enabling stakeholder participation in the allocation of forests and forestland are not in place | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| A.2.c.ii: Mechanisms to enable stakeholder participation related to the use of forests and forestland | | | |
| Guiding question: | Are mechanisms to enable stakeholder participation in the use of forests and forestland in place? Mechanisms could be informational (e.g. to provide for prior notification), procedural (e.g. a charter on participation of stakeholders, public enquiry...), or create a permanent or ad hoc consultative body, such as an advisory committee. | 20xx BL | 20xy CRP |
| Scoring guide | Mechanisms enabling stakeholder participation in the use of forests and forestland are in place in all or most cases | 4 | 4 |
| | Mechanisms enabling stakeholder participation in the use of forests and forestland are in place in some cases | 3 | 3 |
| | Mechanisms enabling stakeholder participation in the use of forests and forestland are under development | 2 | 2 |
| | Mechanisms enabling stakeholder participation in the use of forests and forestland are not in place | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Indicator A.3.a: Dialogue between government entities and stakeholders on forest-related policy processes

This indicator refers to the openness and regularity of the dialogue between government entities and stakeholder groups/the MSS.

If there is more than one forest-related policy process in the country and more than one stakeholder group/MSS in relation to the forest policy process, provide one response per process assessed. Specify the policy process that the answer refers to in the box 'Details of the evidence' below.

A.3.a.i: Openness of government entities to dialogue

| | | | |
|--|--|--|--|
| <p>Guiding question:</p> | <p>In practice, during the reporting period, to what extent were government entities open to dialogue with all stakeholder groups (including through the MSS, if it exists) on the forest-related policy process?</p> <p>This indicator is scored by indicating how many of the existing stakeholder groups (either represented on the MSS or not) are engaged in a dialogue with government entities responsible for the use, management and conservation of forests and forest lands. This includes government entities in sectors and activities other than forest that may impact on forest lands.</p> <p>In the “details of the evidence” box below, indicate the specific forest-related policy process where government entities are open to dialogue with non-state stakeholder groups.</p> <p>In case no meeting took place during the reporting period, score as per the previous year when MSS was used to bring stakeholders together to participate in dialogue, decision making and implementation of forest-related policies, laws and regulations.</p> | <p>20xx BL</p> | <p>20xy CRP</p> |
| <p>Scoring guide</p> | <p>Government entities are open to dialogue with all four stakeholder groups</p> <p>Government entities are open to dialogue with three out of four stakeholder groups</p> <p>Government entities are open to dialogue with two out of four stakeholder groups</p> <p>Government entities are open to dialogue with one stakeholder group</p> <p>No dialogue at all</p> | <p>5</p> <p>4</p> <p>3</p> <p>2</p> <p>1</p> | <p>5</p> <p>4</p> <p>3</p> <p>2</p> <p>1</p> |
| <p>Details of the evidence to support and justify the scoring</p> | | | |
| <p>20xx BL</p> | | | |
| <p>20xy (CRP)</p> | | | |
| <p>A.3.a.ii: Frequency of the dialogue</p> | | | |
| <p>Guiding question:</p> | <p>In practice, during the reporting period, to what extent did government entities maintain a frequent dialogue with stakeholder groups (including through the MSS, if it exists) on the forest-related policy process?</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> • “systematic” means dialogue between government entities and stakeholders occurs over a reporting period as frequently as needed to support progress/developments with forest-related policy processes • “periodic” means dialogue between government entities and stakeholders occurs over a reporting period that is scheduled to precede a meeting or session within a forest-related policy process. • “irregular” means dialogue between government entities and stakeholders that is typically not scheduled to precede a meeting or session within a forest-related policy processes (e.g. held annually) | <p>20xx BL</p> | <p>20xy CRP</p> |
| <p>Scoring guide</p> | <p>Government entities maintain a systematic dialogue with stakeholders</p> | <p>5</p> | <p>5</p> |

| | | | |
|--|---|----------------|-----------------|
| | Government entities maintain a periodic dialogue with stakeholders | 4 | 4 |
| | Government entities maintain an irregular dialogue with stakeholders | 3 | 3 |
| | Government entities maintain a sporadic or very limited dialogue with stakeholders | 2 | 2 |
| | No dialogue at all | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator A.3.b: Level of participation of stakeholders in forest-related policy processes | | | |
| <p>This composite indicator seeks to assess the level of participation, namely, the extent to which the representatives of non-state stakeholder groups effectively participate in, and influence forest-related policy processes.</p> <p>In scoring the sub-indicators under A.3.b:</p> <ul style="list-style-type: none"> ▪ INFORMATION Relatively low degree of participation, where information is generally transmitted unilaterally by public authorities without any interaction or intervention by stakeholders being required or expected. ▪ CONSULTATION Public authorities can ask stakeholders for their opinion on a specific subject or on the development of a specific policy. Stakeholders do not play a proactive role in initiating the dialogue or organising meetings or setting the agenda, this is done by the public authorities. ▪ CONCERTATION: The initiative for consultation can be taken by either party. Concertation consists of joint meetings, often frequent and regular, aimed at jointly developing major political strategies and often leading to mutually accepted results, such as a common recommendation or law. ▪ CO-DECISION: The highest degree of participation, where stakeholders and public authorities work closely together while ensuring that this partnership situation does not prevent stakeholders from retaining their independence and their right to make their opinions known and to act accordingly. <p>If there is more than one forest-related policy process in the country, provide one response per process assessed. Specify the policy process that the answer refers to in the box “Details of the evidence’ below.</p> | | | |
| A.3.b.i: Forest dependent/indigenous peoples, smallholders/smallholder groups and community-based organisations (CBOs) | | | |
| Guiding question: | In practice, during the reporting period, to what extent did forest-dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs effectively participated in and influenced reform and/or decision-making relevant to the forest-related policy? | 20xx BL | 20xy CRP |
| Scoring guide | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs effectively participated in, and influenced the formulation and outcome of reform and/or decision making relevant to the forest-related policy process (co-decision) | 5 | 5 |
| | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs participated in, and contributed to reform and/or decision making relevant to the forest-related policy process (concertation) | 4 | 4 |
| | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs were included in consultations on reform and/or | 3 | 3 |

| | | | |
|--|---|----------------|-----------------|
| | decision making relevant to the forest-related policy process, and/or their interest were channelled through other stakeholders (consultation) | | |
| | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs were informed about reform and/or decision making relevant to the forest-related policy process but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 2 | 2 |
| | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs did not participate in reform and/or decision making relevant to the forest-related policy process, and their interests were not channelled through other stakeholders | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| A.3.b.ii: Informal enterprises and/or their representative associations | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent did informal enterprises and/or their representative associations effectively participate in and influence reform and/or decision making relevant to the forest-related policy process?</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> • ‘represented’ means either direct representation or representation through an organisation or body that has an official mandate or is mutually recognised to represent the interests of the stakeholder group. This would, for instance, be inclusive of many industry associations, trade unions and indigenous forest peoples” organisations in the “represented” category. But it would exclude organisations that may advocate on behalf of a particular stakeholder group, but do not have an official/mutually recognised mandate to represent them. • Informal enterprises: Those entities involved in wood processing and/or trading, exploitation of non-timber forest products, production of agricultural commodities or mining, for which one or more of the following three criteria apply: (i) not officially registered with a local authority and not paying taxes (i.e. under national legislation for enterprise registration); (ii) small size in terms of employment (i.e. as per country threshold for micro enterprise typically meaning fewer than ten employees); and (iii) non-registration of the employees of the enterprise. • Representative associations of formal or informal enterprises should be counted as a proxy if they are represented on the MSS but actual formal or informal enterprises are not. | 20xx BL | 20xy CRP |
| Scoring guide | Informal enterprises and/or their representative associations effectively participated in and influenced the formulation and outcome of reform and/or decision making relevant to the forest-related policy process (co-decision) | 5 | 5 |
| | Informal enterprises and/or their representative associations participated in and contributed to reform and/or decision making relevant to the forest-related policy process (concertation) | 4 | 4 |

| | | | |
|---|--|----------------|-----------------|
| | Informal enterprises and/or their representative associations are included in consultations on reform and/or decision making relevant to the forest-related policy process and/or their interest are channelled through other stakeholders (consultation) | 3 | 3 |
| | Informal enterprises and/or their representative associations are informed about reform and/or decision making relevant to the forest-related policy process but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 2 | 2 |
| | Informal enterprises and/or their representative associations did not participate in reform and/or decision making relevant to the forest-related policy process, and their interests were not channelled through other stakeholders | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| A.3.b.iii: Civil Society Organisations (CSOs) | | | |
| Guiding question: | In practice, during the reporting period, to what extent did CSOs effectively participate in and influence reform and/or decision making relevant to the forest-related policy process? Civil society organisations: Non-commercial and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. Examples include community-based organisations and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, cooperatives, professional associations, chambers of commerce, independent research institutes and the not-for-profit media. (Source: OECD-DAC) (i.e. not regional or global organisations) | 20xx BL | 20xy CRP |
| Scoring guide | CSOs effectively participated in, and influenced the formulation and outcome of reform and/or decision making relevant to the forest-related policy process (co-decision) | 5 | 5 |
| | CSOs participated in, and contributed to reform and/or decision making relevant to the forest-related policy process (concertation) | 4 | 4 |
| | CSOs were included in consultations on reform and/or decision making relevant to the forest-related policy process, and/or their interests were channelled through other stakeholders (consultation) | 3 | 3 |
| | CSOs were informed about reform and/or decision making relevant to the forest-related policy process but did not participate directly in them, and their interests were not channelled through other stakeholders (information) | 2 | 2 |
| | CSOs did not participate in reform and/or decision making relevant to the forest-related policy process and their interests were not channelled through other stakeholders | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

| A.3.b.iv: Formal enterprises and/or their industry associations | | | |
|--|--|--------------------|---------------------|
| Guiding question: | In practice, during the reporting period, to what extent did formal enterprises and/or their industry associations effectively participated in and influenced reform and/or decision making relevant to the forest-related policy process? Formal enterprises: Small, medium or large enterprises that are formally registered as domestic or foreign-owned business. For the purpose of this set of indicators, businesses covered are those related to: the exploitation of timber or non-timber forest products; activities related to afforestation, reforestation, forest restoration, conservation and recreation; and agricultural activities, infrastructure and mining. 'Industry association' refers to domestic associations (i.e. not regional or global organisations) whose members include types of formal enterprises mentioned above. | 20xx BL | 20xy CRP |
| Scoring guide | Formal enterprises and/or their industry associations effectively participated in, and influenced the formulation and outcome of reform and/or decision making relevant to the forest-related policy process (co-decision) | 5 | 5 |
| | Formal enterprises and/or their industry associations participated in, and contributed to reform and/or decision-making relevant to the forest-related policy process (concertation) | 4 | 4 |
| | Formal enterprises and/or their industry associations were included in consultations on reform and/or decision making relevant to the forest-related policy process, and/or their interests were channelled through other stakeholders (consultation) | 3 | 3 |
| | Formal enterprises and/or their industry associations were informed about reform and/or decision making relevant to the forest-related policy process but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 2 | 2 |
| | Formal enterprises and/or their industry associations did not participate in reform and/or decision making relevant to the forest-related policy process and their interests were not channelled through other stakeholders | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

| Indicator A.3.c: Breadth and quality of participation of stakeholders in decision making related to the allocation of forests and forestland | | | | |
|---|----------------|-----------------|------------------|-----------------|
| <p>This composite indicator seeks to assess the extent to which the representatives of non-state stakeholder groups effectively participate in, and influence, the decision making related to the allocation of forests and forestland.</p> <p>In the box 'Details of the evidence' below, specify which types of decision-making processes stakeholders participate in (allocation of forests or forestland, such as forest concessions, agro-industrial concessions, infrastructure projects, hydropower projects, etc.).</p> | | | | |
| Sub-Indicators | A.3.c.i | A.3.c.ii | A.3.c.iii | A.3.c.iv |

| | CBOs | Informal PS | CSOs | Formal PS | | | | |
|---|---------|-------------|-------------|-----------|---------|----------|-----------|----------|
| Guiding question: | | | | | | | | |
| In practice, during the reporting period, how widespread was the participation of non-state stakeholders and to what extent did these stakeholders effectively participate in and influence decision making for the allocation of forests and forestlands? | | | | | | | | |
| 'Systematic' means stakeholders always have the opportunity to participate in decision making. | | | | | | | | |
| 'Systematic and ad hoc depending on location' means that in some locations, participation is systematic, and in others, it is ad hoc. | | | | | | | | |
| 'Ad hoc' means that stakeholders can participate in certain locations and/or sporadically. | | | | | | | | |
| Note: To inform these indicators, you first need to select one of the following breadths of participation: 'systematic nationwide', 'systematic and ad hoc depending on location', 'ad hoc' or 'no participation'. | | | | | | | | |
| To score the quality of participation, respondents should select the one that is prevalent in the majority of locations. | | | | | | | | |
| Respondents should score this indicator in relation to the following categories of stakeholders: | | | | | | | | |
| <ul style="list-style-type: none"> • Forest dependent/indigenous peoples, smallholders/smallholder groups and community-based organisations (CBOs) • Informal enterprises and/or their representative associations (Informal PS) • Civil society organisations (CSOs) • Formal enterprises and/or their industry associations (Formal PS) | | | | | | | | |
| Respondents should provide in the evidence box below information to support the selection of the score in relation to both the breadth and the quality. This information should be provided per stakeholder group. | | | | | | | | |
| Scoring guide | CBOs | | Informal PS | | CSOs | | Formal PS | |
| | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP |
| <i>Systematic nationwide</i> | | | | | | | | |
| Non-state stakeholders effectively participated in, and influenced decision making related to the allocation of forests and forestlands (co-decision) | 13 | 13 | 13 | 13 | 13 | 13 | 13 | 13 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the allocation of forests and forestlands (concertation) | 12 | 12 | 12 | 12 | 12 | 12 | 12 | 12 |
| Non-state stakeholders were included in consultations on decision making related to the allocation of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 11 | 11 | 11 | 11 | 11 | 11 | 11 | 11 |
| Non-state stakeholders were informed about decision making related to the allocation of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 10 | 10 | 10 | 10 | 10 | 10 | 10 | 10 |
| <i>Systematic and ad hoc depending on the location</i> | | | | | | | | |

| | | | | | | | | |
|---|--|---|---|---|---|---|---|---|
| Non-state stakeholders effectively participated in, and influenced decision making related to the allocation of forests and forestlands (co-decision) | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the allocation of forests and forestlands (concertation) | 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| Non-state stakeholders were included in consultations on decision making related to the allocation of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 7 | 7 | 7 | 7 | 7 | 7 | 7 | 7 |
| Non-state stakeholders were informed about decision making related to the allocation of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 6 | 6 | 6 | 6 | 6 | 6 | 6 | 6 |
| <i>Ad hoc</i> | | | | | | | | |
| Non-state stakeholders effectively participated in, and influenced decision making related to the allocation of forests and forestlands (co-decision) | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the allocation of forests and forestlands (concertation) | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| Non-state stakeholders were included in consultations on decision making related to the allocation of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 3 | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| Non-state stakeholders were informed about decision making related to the allocation of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| <i>No participation</i> | | | | | | | | |
| Non-state stakeholders did not participate in decision making related to the allocation of forests and forestlands, and their interests were not channelled through other stakeholders | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | | | | | | |
| 20xx BL | CBOs Informal PS CSOs Formal PS | | | | | | | |
| 20xy (CRP) | CBOs | | | | | | | |

| | |
|--|--|
| | <p>Informal PS</p> <p>CSOs</p> <p>Formal PS</p> |
|--|--|

Indicator A.3.d: Breadth and quality of participation of stakeholders in decision making related to the use of forests and forestland

This composite indicator seeks to assess the extent to which the representatives of non-state stakeholder groups effectively participate in, and influence, the decision making related to the allocation of forests and forestland.

In the box 'Details of the evidence' below, specify which types of decision-making processes stakeholders participate in (allocation of forests or forestland, such as forest concessions, agro-industrial concessions, infrastructure projects, hydropower projects, etc.).

| Sub-Indicators | A.3.d.i CBOs | A.3.d.ii Informal PS | A.3.d.iii CSOs | A.3.d.iv Formal PS |
|----------------|-----------------|-------------------------|-------------------|-----------------------|
|----------------|-----------------|-------------------------|-------------------|-----------------------|

Guiding question:

In practice, during the reporting period, how widespread was the participation on non-state stakeholders and to what extent did non-state stakeholders effectively participate in and influence decision making related to the use of forests and forestlands?

'Systematic' means stakeholders always have the opportunity to participate in decision making.

'Systematic and ad hoc depending on location' means that in some locations, participation is systematic, and in others, it is ad hoc.

'Ad hoc' means that stakeholders can participate in certain locations and/or sporadically.

Note: To inform these indicators, you first need to select one of the following breadths of participation: 'systematic nationwide', 'systematic and ad hoc depending on location', 'ad hoc' or 'no participation'.

'systematic nationwide', 'systematic and ad hoc depending on location', 'ad hoc' or 'no participation'.

To score the quality of participation, respondents should select the one that is prevalent in the majority of locations.

Respondents should score this indicator in relation to the following categories of stakeholders:

- Forest dependent/indigenous peoples, smallholders/smallholder groups and community-based organisations (CBOs)
- Informal enterprises and/or their representative associations (Informal PS)
- Civil society organisations (CSOs)
- Formal enterprises and/or their industry associations (Formal PS)

Respondents should provide in the evidence box below information to support the selection of the score in relation to both the breadth and the quality. This information should be provided per stakeholder group.

| | CBOs | | Informal PS | | CSOs | | Formal PS | |
|------------------------------|------------|-------------|-------------|-------------|------------|-------------|------------|-------------|
| | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP | 20xx BL | 20xy CRP |
| Scoring guide | | | | | | | | |
| <i>Systematic nationwide</i> | | | | | | | | |

| | | | | | | | | |
|--|----|----|----|----|----|----|----|----|
| Non-state stakeholders effectively participated in, and influenced decision making related to the use of forests and forestlands (co-decision) | 13 | 13 | 13 | 13 | 13 | 13 | 13 | 13 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the use of forests and forestlands (concertation) | 12 | 12 | 12 | 12 | 12 | 12 | 12 | 12 |
| Non-state stakeholders were included in consultations on decision making related to the use of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 11 | 11 | 11 | 11 | 11 | 11 | 11 | 11 |
| Non-state stakeholders were informed about decision making related to the use of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 10 | 10 | 10 | 10 | 10 | 10 | 10 | 10 |
| <i>Systematic and ad hoc depending on the location</i> | | | | | | | | |
| Non-state stakeholders effectively participated in, and influenced decision making related to the use of forests and forestlands (co-decision) | 9 | 9 | 9 | 9 | 9 | 9 | 9 | 9 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the use of forests and forestlands (concertation) | 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| Non-state stakeholders were included in consultations on decision making related to the use of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 7 | 7 | 7 | 7 | 7 | 7 | 7 | 7 |
| Non-state stakeholders were informed about decision making related to the use of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 6 | 6 | 6 | 6 | 6 | 6 | 6 | 6 |
| <i>Ad hoc</i> | | | | | | | | |
| Non-state stakeholders effectively participated in, and influenced decision making related to the use of forests and forestlands (co-decision) | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| Non-state stakeholders effectively participated in, and contributed to decision making related to the use of forests and forestlands (concertation) | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| Non-state stakeholders were included in consultations on decision making related to the use of forests and forestlands, and/or their interests were channelled through other stakeholders (consultation) | 3 | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| Non-state stakeholders were informed about decision making related to the use of forests and forestlands, but did not participate directly in it, and their interests were not channelled through other stakeholders (information) | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| <i>No participation</i> | | | | | | | | |
| Non-state stakeholders did not participate in decision making related to the use of forests and forestlands, | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |

and their interests were not channelled through other stakeholders

| | | | | | | | | |
|--|--|--|--|--|--|--|--|--|
| | | | | | | | | |
|--|--|--|--|--|--|--|--|--|

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | CBOs Informal PS CSOs Formal PS |
| 20xy (CRP) | CBOs Informal PS CSOs Formal PS |

Thematic area B: Legislative and institutional clarity

Legislative and institutional clarity is an important aspect of good forest governance as it enables forest stakeholders to understand rights, responsibilities and obligations. The indicators under 'legislative and institutional clarity' seek to assess the extent to which the legal framework: (i) allows the raising of concerns regarding the content of laws, regulations and policies; and (ii) clearly establishes the roles and power of government entities involved in forest-related policy processes. The indicators also seek to assess whether stakeholders regularly review laws and regulations to identify areas for legal reforms, with the ensuing process to address inconsistencies, overlaps or gaps.

For this indicator, 'forest-related policy processes' refers to: A series of actions or steps taken by policy makers with the aim to develop, implement and evaluate policies that affect the management of forests for production, protection and/or conservation, as well as land-use planning where it relates to forest lands; and actions or steps taken in other sectors that may impact forests and forest lands. These usually include agenda setting, consideration of policy options, decision making, implementation, and evaluation. In the context of this set of indicators, multistakeholder involvement in forest-related policy processes are particularly relevant.

Note that concerns regarding the implementation of the provisions of laws and regulations are addressed under indicators related to the complaint mechanism in Thematic Area C: Accountability and Oversight.

Indicator B.1.a: Legal basis for raising concerns regarding laws and regulations

B.1.a.i: Legal basis for raising concerns regarding laws and regulations

| | | | |
|---|--|--------------------|---------------------|
| Guiding question: | To what extent do non-state forest sector stakeholder groups have the right to take their concerns regarding the content of forest-related laws, regulations and policies to the legislature and executive level (i.e. Ministries, Departments, etc.)? This indicator seeks to assess the extent to which the legal framework provides for receiving, evaluating and addressing forest-related policy concerns. | 20xx BL | 20xy CRP |
| Scoring guide | Forest sector stakeholders have a defined right to raise concerns regarding the content of the laws, regulations and/or policies directly or through representative bodies with the legislative and executive arms of government. | 3 | 3 |
| | Forest sector stakeholders have a defined right to raise concerns regarding the content of laws, regulations or policies directly or through representative bodies either with the legislative or with the executive arms of government. | 2 | 2 |
| | Forest sector stakeholders do not have the right to raise concerns regarding the content of laws, regulations or policies directly or through representative bodies with the legislative or executive arms of government. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.a.ii: Legal basis for establishing a mechanism for raising concerns regarding laws and regulations | | | |
| Guiding question: | Is there a legal basis for the establishment of a mechanism for receiving, evaluating and addressing concerns regarding the content | 20xx BL | 20xy CRP |

| | | | |
|--|---|--------------------|---------------------|
| | <p>of forest-related laws, regulations and policies directly by the legislature and/or relevant government entity?</p> <p>Forest sector stakeholders may exercise their rights to submit concerns through different mechanisms, for example:</p> <ul style="list-style-type: none"> • through the legislature (e.g. standing committee at Parliament or Peoples' Councils at different levels) • to executive agencies (e.g. Peoples' Committees at different levels and functional agencies) • to State and Government inspectorates • to an ombudsman | | |
| Scoring guide | There is a legal basis for the establishment of a mechanism for submitting and addressing such concerns | 2 | 2 |
| | There is no legal requirement for the establishment of a mechanism for submitting and addressing such concerns | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.1.b: Legal basis for the division of roles and powers among different ministries | | | |
| Guiding question: | <p>Is the division of roles and powers among different ministries with responsibilities for the forest sector clearly defined and delineated in the national legal framework?</p> <p>As the division of roles and powers among different ministries may vary among ministries with responsibility for different areas of law relevant to the forest sector, this indicator seeks to assess the following areas of law: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.)</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> • 'Ministries with responsibilities for the forest sector': Ministries with responsibility for issues such as land-use planning and land allocation; forest allocation, management and conservation; and production, processing and trade of timber and non-timber forest products – including import and export; as well as those responsible for activities affecting forests that could range from forest recreation, agriculture, infrastructure and mining. Hence ministries may include Ministry of lands, Ministry Forestry, Ministry of Industry and Trade, Ministry of Finance, Ministry of Agriculture, etc. | 20xx BL | 20xy CRP |
| B.1.b.i: Division of roles and powers among different ministries responsible for land-use planning as it relates to the forest sector | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers among the ministries responsible for land-use planning as it relates to the forest sector | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers among the ministries responsible for land-use planning as it relates to the forest sector or there are overlaps | 2 | 2 |

| | | | |
|---|---|---|---|
| | The legal framework does not define and delineate the division of roles and powers among the ministries responsible for land-use planning as it relates to the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.b.ii: Division of roles and powers among different ministries responsible for land allocation as it relates to the forest sector | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers among the ministries responsible for land allocation as it relates to the forest sector | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers among the ministries responsible for land allocation as it relates to the forest sector or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers among the ministries responsible for land allocation as it relates to the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.b.iii: Division of roles and powers among different ministries responsible for forest use and management | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers among the ministries responsible for forest use and management | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers among the ministries responsible for forest use and management or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers among the ministries responsible for forest use and management | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.b.iv: Division of roles and powers among different ministries responsible for activities impacting forests and forest lands | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers among the ministries responsible for activities impacting forests and forest lands | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers among the ministries responsible for activities impacting forests and forest lands or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers among the ministries responsible for activities impacting forests and forest lands | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

| Indicator B.1.c: Legal basis for the division of roles and powers among levels of administration | | | |
|--|--|--------------------|---------------------|
| Guiding question: | Does the legal framework clearly define and delineate the division of roles and power among levels of administration (e.g. central to local)? As the division of roles and powers among levels of administration may vary among administrations with responsibility for different areas of law relevant to the forest sector, this indicator seeks to gather disaggregated data on the following areas of law: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.). | 20xx BL | 20xy CRP |
| B.1.c.i: Division of roles and powers among levels of administration responsible for land-use planning as it relates to the forest sector | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.c.ii: Division of roles and powers among levels of administration responsible for land allocation as it relates to the forest sector | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.c.iii: Division of roles and powers among levels of administration responsible for forest use and management | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers across levels of administration responsible for forest use and management | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers across levels of administration responsible for forest use and management or there are overlaps | 2 | 2 |

| | | | |
|--|--|--------------------|---------------------|
| | The legal framework does not define and delineate the division of roles and powers across levels of administration responsible for forest use and management | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.1.c.iv: Division of roles and powers among levels of administration responsible for activities impacting forests and forest lands | | | |
| Scoring guide | The legal framework clearly defines and delineates the division of roles and powers across levels of administration responsible for activities impacting forests and forest lands | 3 | 3 |
| | The legal framework partially defines and delineates the division of roles and powers across levels of administration responsible for activities impacting forests and forest lands or there are overlaps | 2 | 2 |
| | The legal framework does not define and delineate the division of roles and powers across levels of administration responsible for activities impacting forests and forest lands | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.2.a: Process for achieving clarity in forest-related laws and regulations | | | |
| Guiding question: | <p>To what extent have legal developments in the reporting period contributed to clarifying laws and regulations? Reporting period refers to the period between two evaluation years. For the baseline, score 1.</p> <p>This indicator seeks to assess the following areas of law relevant to the forest-sector: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.)</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> • Legal development: The process of revising and formulating forest-related policies, laws and regulations. • ‘Clarifying’ means addressing overlaps, gaps and inconsistencies in laws and regulations and/or clarifying the mandates and responsibilities of government entities and private actors relating to forest/land-use sector activities. This also considers coordination among regulatory enforcement agencies, as well as consolidation of regulatory enforcement functions to avoid duplications and overlaps. • ‘All overlaps and inconsistencies’ means that there is mostly no overlap and inconsistency within the laws and regulations <p>In the evidence box below, please indicate which stakeholder groups have been involved in clarifying laws and regulation during the reporting period (see B.3.a. for this purpose).</p> <p>In the evidence box below, please indicate whether the legal developments have been driven by a specific policy process.</p> <p>If scoring 3, then you should state in evidence whether this score corresponds to the reporting year or a status of a previous year (year to be mentioned in evidence).</p> | 20xx BL | 20xy CRP |

| | | | |
|--|---|---|---|
| | In scoring 4, there should be no available evidence of lack of clarity in the forest-related legal framework. | | |
| B.2.a.i: Process for achieving clarity in forest-related laws and regulations related to land-use planning as it relates to the forest sector | | | |
| Scoring guide | Legal developments have addressed all overlaps and inconsistencies within the laws and regulations related to land-use planning as it relates to the forest sector, or there are no overlaps and inconsistencies – so there was no need for a process for achieving clarity | 5 | 5 |
| | Ongoing legal developments have addressed some overlaps and inconsistencies within the laws and regulations related to land-use planning as it relates to the forest sector | 4 | 4 |
| | Legal developments are ongoing, but have not yet addressed overlaps and inconsistencies within the laws and regulations related to land-use planning as it relates to the forest sector | 3 | 3 |
| | Legal developments related to land-use planning as it relates to the forest sector are foreseen, but these have not yet started | 2 | 2 |
| | Legal developments related to land-use planning as it relates to the forest sector are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.a.ii: Process for achieving clarity in forest-related laws and regulations related to land allocation as it relates to the forest sector | | | |
| Scoring guide | Legal developments have addressed all overlaps and inconsistencies within the laws and regulations related to land allocation as it relates to the forest sector, or there are no overlaps and inconsistencies – so there was no need for a process for achieving clarity | 5 | 5 |
| | Ongoing legal developments have addressed some overlaps and inconsistencies within the laws and regulations related to land allocation as it relates to the forest sector | 4 | 4 |
| | Legal developments are ongoing, but have not yet addressed overlaps and inconsistencies within the laws and regulations related to land allocation as it relates to the forest sector | 3 | 3 |
| | Legal developments related to land allocation as it relates to the forest sector are foreseen, but these have not yet started | 2 | 2 |
| | Legal developments related to land allocation as it relates to the forest sector are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.a.iii: Process for achieving clarity in forest-related laws and regulations related to forest use and management | | | |
| Scoring guide | Legal developments have addressed all overlaps and inconsistencies within the laws and regulations related to forest use and management, | 5 | 5 |

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| | or there are no overlaps and inconsistencies – so there was no need for a process for achieving clarity | | |
| | Ongoing legal developments have addressed some overlaps and inconsistencies within the laws and regulations related to forest use and management | 4 | 4 |
| | Legal developments are ongoing, but have not yet addressed overlaps and inconsistencies within the laws and regulations related to forest use and management | 3 | 3 |
| | Legal developments related to forest use and management are foreseen, but these have not yet started | 2 | 2 |
| | Legal developments related to forest use and management are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.a.iv: Process for achieving clarity in forest-related laws and regulations related to activities impacting forests and forest lands | | | |
| Scoring guide | Legal developments have addressed all overlaps and inconsistencies within the laws and regulations related to activities impacting forests and forest lands, or there are no overlaps and inconsistencies – so there was no need for a process for achieving clarity | 5 | 5 |
| | Ongoing legal developments have addressed some overlaps and inconsistencies within the laws and regulations related to activities impacting forests and forest lands | 4 | 4 |
| | Legal developments are ongoing, but have not yet addressed overlaps and inconsistencies within the laws and regulations related to activities impacting forests and forest lands | 3 | 3 |
| | Legal developments related to activities impacting forests and forest lands are foreseen, but these have not yet started | 2 | 2 |
| | Legal developments related to activities impacting forests and forest lands are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.2.b: Process of achieving completeness of the forest-related laws and regulations | | | |
| Guiding question: | <p>To what extent have legal developments contributed to the completeness of the laws and regulations?</p> <p>This indicator seeks to assess the following areas of law relevant to the forest-sector: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.)</p> <ul style="list-style-type: none"> In scoring this indicator: 'Legal development': The process of revising and formulating relevant forest-related policies, laws and regulations. | 20xx BL | 20xy CRP |

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| | <ul style="list-style-type: none"> • ‘Completeness’ means addressing gaps (e.g. lack of implementing regulations or other legal gaps identified) in the laws and regulations. <p>The group(s) of stakeholders that have been involved should be referenced in the evidence section below (see B.3.a. for this purpose)</p> <p>In the evidence box below, please indicate whether the legal developments have been driven by a specific policy process.</p> <p>If scoring 4 or 3 then you should state in evidence whether this score corresponds to the reporting year or a status of a previous year (year to be mentioned in evidence).</p> <p>In scoring 4, there should be no available evidence of lack of completeness of the forest-related legal framework.</p> | | |
| B.2.b.i: Process of achieving completeness of the laws and regulations related to land-use planning as it relates to the forest sector | | | |
| Scoring guide | Legal developments contributed to the completeness of the laws and regulations related to land-use planning as it relates to the forest sector – or the legal framework related to this issue was already complete and so there was no need for a process for achieving completeness | 5 | 5 |
| | Legal developments contributed to a limited extent to the completeness of the laws and regulations related to land-use planning as it relates to the forest sector | 4 | 4 |
| | Legal developments are ongoing, but have not yet contributed to the completeness of the laws and regulations related to land-use planning as it relates to the forest sector | 3 | 3 |
| | Legal developments to complete the laws and regulations related to land-use planning as it relates to the forest sector are foreseen, but these have not yet started | 2 | 3 |
| | Legal developments to complete the laws and regulations related to land-use planning as it relates to the forest sector are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.b.ii: Process of achieving completeness of the laws and regulations related to land allocation as it relates to the forest sector | | | |
| Scoring guide | Legal developments contributed to the completeness of the laws and regulations related to land allocation as it relates to the forest sector – or the legal framework related to this issue was already complete and so there was no need for a process for achieving completeness | 5 | 5 |
| | Legal developments contributed to a limited extent to the completeness of the laws and regulations related to land allocation as it relates to the forest sector | 4 | 4 |
| | Legal developments are ongoing, but have not yet contributed to the completeness of the laws and regulations related to land allocation as it relates to the forest sector | 3 | 3 |

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| | Legal developments to complete the laws and regulations related to land allocation as it relates to the forest sector are foreseen, but these have not yet started | 2 | 3 |
| | Legal developments to complete the laws and regulations related to land allocation as it relates to the forest sector are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.b.iii: Process of achieving completeness of the laws and regulations related to forest use and management | | | |
| Scoring guide | Legal developments contributed to the completeness of the laws and regulations related to forest use and management – or the legal framework related to this issue was already complete and so there was no need for a process for achieving completeness | 5 | 5 |
| | Legal developments contributed to a limited extent to the completeness of the laws and regulations related to forest use and management | 4 | 4 |
| | Legal developments are ongoing, but have not yet contributed to the completeness of the laws and regulations related to forest use and management | 3 | 3 |
| | Legal developments to complete the laws and regulations related to forest use and management are foreseen, but these have not yet started | 2 | 3 |
| | Legal developments to complete the laws and regulations related to forest use and management are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.2.b.iv: Process of achieving completeness of the laws and regulations related to activities impacting forests and forest lands | | | |
| Scoring guide | Legal developments contributed to the completeness of the laws and regulations related to activities impacting forests and forest lands – or the legal framework related to this issue was already complete and so there was no need for a process for achieving completeness | 5 | 5 |
| | Legal developments contributed to a limited extent to the completeness of the laws and regulations related to activities impacting forests and forest lands | 4 | 4 |
| | Legal developments are ongoing, but have not yet contributed to the completeness of the laws and regulations related to activities impacting forests and forest lands | 3 | 3 |
| | Legal developments to complete the laws and regulations related to activities impacting forests and forest lands are foreseen, but these have not yet started | 2 | 3 |

| | | | |
|--|--|----------------|-----------------|
| | Legal developments to complete the laws and regulations related to activities impacting forests and forest lands are not foreseen but are needed | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.2.c Mechanism for raising concerns regarding forest-related laws and regulations | | | |
| Guiding question: | <p>Are there mechanism(s) for receiving, evaluating and addressing concerns regarding the content of forest-related laws, regulations and policies?</p> <p>The legal basis for such mechanisms is assessed B.1.a.ii.</p> <p>In scoring this indicator, specific mechanisms are those other than legal channels for raising concerns, such as through judicial processes. An example of such mechanism would be the citizens' Aspirations and Complaints Online System (LAPOR) in Indonesia, or the special complaint form⁴ within the European Union for informing the European Commission about an alleged breach of the Water Framework Directive.</p> <p>If scoring 4 or 3, state in evidence the year (if known) in which functioning mechanisms came into existence.</p> | 20xx BL | 20xy CRP |
| Scoring guide | A generic mechanism and tools/mechanisms specific to the forest sector exist | 4 | 4 |
| | A generic mechanism exists and tools/mechanisms specific to the forest sector are under development | 3 | 3 |
| | A generic mechanism exists | 2 | 2 |
| | No mechanism exists | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.3.a: Identification by stakeholders of areas for legal reform | | | |
| This composite indicator seeks to assess whether forest sector stakeholder groups independently and of their own initiative assess forest-related policies, laws and regulations to identify gaps, overlaps and inconsistencies, which can be addressed through legal reforms. | | | |
| B.3.a.i: Identification by forest-dependent/indigenous peoples, smallholders/smallholder groups and/or community-based organisations (CBOs) | | | |
| Guiding question: | During the reporting period, did forest-dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs (through a forest-related policy process or other legal consultation and development processes) identify gaps, overlaps and/or inconsistencies in relevant laws and regulations, which can be addressed through legal reforms? | 20xx BL | 20xy CRP |

⁴ <https://ec.europa.eu/environment/legal/law/pdf/complaint%20form.docx>

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| | <p>In the box 'Details of the evidence' below, please indicate whether the identification of areas for legal reform have been driven by a specific policy process.</p> <p>In the comment, indicate specific reasons if forest communities, smallholders/smallholder groups and/or CBOs did not assess laws and regulations during the reporting period.</p> <p>This question is specific to the identification of gaps, overlaps and/or inconsistencies in relevant laws and regulations by stakeholders, whether they convey this information directly or through proxies.</p> <p>In case there was no active legal consultation and development process during the reporting period, score as per the previous year when there was an active process.</p> | | |
| Scoring guide | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs contributed to identify areas for legal reform | 2 | 2 |
| | Forest dependent/indigenous peoples, smallholders/smallholder groups and/or CBOs did not contribute to identify areas for legal reform | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.3.a.ii: Identification by informal enterprises and/or their representative associations | | | |
| Guiding question: | <p>During the reporting period, did informal enterprises and/or their representative associations (through a forest-related policy process or other legal consultation and development processes) identify gaps, overlaps and/or inconsistencies in relevant laws and regulations, which can be addressed through legal reforms?</p> <p>In the box 'Details of the evidence' below, please indicate whether the identification of areas for legal reform have been driven by a specific policy process.</p> <p>In the comment, if relevant, indicate specific reasons why informal enterprises and/or their representative associations did not assess laws and regulations during the reporting period.</p> <p>In scoring this indicator:</p> <ul style="list-style-type: none"> Informal enterprises: Those entities involved in wood processing and/or trading, exploitation of non-timber forest products, production of agricultural commodities or mining, for which one or more of the following three criteria apply: (i) not officially registered with a local authority and not paying taxes (i.e. under national legislation for enterprise registration); (ii) small size in terms of employment (i.e. as per country threshold for micro enterprise typically meaning fewer than ten employees); and (iii) non-registration of the employees of the enterprise. <p>This question is specific to the identification of gaps, overlaps and/or inconsistencies in relevant laws and regulations by identified above actors, whether they convey this information directly or through proxies.</p> | 20xx BL | 20xy CRP |

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| | In case there was no active legal consultation and development processes during the reporting period, score as per the last year there was an active process. | | |
| Scoring guide | Informal enterprises and/or their representative associations assessed laws and regulations to identify areas for legal reform | 2 | 2 |
| | Informal enterprises and/or their representative associations did not assess laws and regulations to identify areas for legal reform | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.3.a.iii: Identification by CSOs | | | |
| Guiding question: | <p>During the reporting period, did CSOs (through the forest-related policy process or other related legal consultation and development processes) identify gaps, overlaps and/or inconsistencies in relevant laws and regulations, which can be addressed through legal reforms?</p> <p>In the box 'Details of the evidence' below, please indicate whether the identification of areas for legal reform have been driven by a specific policy process.</p> <p>In the comment, if relevant, indicate specific reasons why CSOs did not assess laws and regulations during the reporting period.</p> <p>In case there was no active legal consultation and development processes during the reporting period, score as per the previous year when there was an active process.</p> | 20xx BL | 20xy CRP |
| Scoring guide | CSOs assessed laws and regulations to identify areas for legal reform | 2 | 2 |
| | CSOs did not assess laws and regulations to identify areas for legal reform | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.3.a.iv: Identification by formal enterprises and/or their industry associations | | | |
| Guiding question: | <p>During the reporting period, did formal enterprises and/or their representative associations (through the forest-related policy process or other related legal consultation and development processes) identify gaps, overlaps and/or inconsistencies in relevant laws and regulations, which can be addressed through legal reforms?</p> <p>In the box 'Details of the evidence' below, please indicate whether the identification of areas for legal reform have been driven by a specific policy process.</p> <p>Formal enterprises: Small, medium or large enterprises that are formally registered as domestic or foreign-owned business. For the purpose of this set of indicators, businesses covered are those related to: the exploitation of timber or non-timber forest products; activities related to afforestation, reforestation, forest restoration, conservation and recreation; and agricultural activities, infrastructure and mining.</p> | 20xx BL | 20xy CRP |

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| | In the comment, if relevant, indicate specific reasons why the formal enterprises and/or their representative associations did not assess laws and regulations during the reporting period. In case there was no active legal consultation and development processes during the reporting period, score as per the previous year when there was an active process. | | |
| Scoring guide | Formal enterprises and/or their industry associations assessed laws and regulations to identify areas for legal reform | 2 | 2 |
| | Formal enterprises and/or their industry associations did not assess laws and regulations to identify areas for legal reform | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator B.3.b Division of roles and powers among ministries established and followed | | | |
| Guiding question: | In practice, during the reporting period, is the division of roles and powers among ministries with responsibilities for the forest sector established and followed/applied? This indicator seeks to assess the following areas of law relevant to the forest-sector: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.) The existence of the legal basis for such a division of roles and power is assessed by B.1.b.i. In scoring this indicator: <ul style="list-style-type: none"> Ministries with responsibilities for the forest sector: Ministries with responsibility for issues such as land-use planning and land allocation; forest allocation, management and conservation; and production, processing and trade of timber and non-timber forest products – including import and export; as well as those responsible for activities affecting forests that could range from forest recreation, agriculture, infrastructure and mining. Hence ministries may include Ministry of lands, Ministry Forestry, Ministry of Industry and Trade, Ministry of Finance, Ministry of Agriculture, etc. | 20xx BL | 20xy CRP |
| B.3.b.i: Division of roles and powers among ministries responsible for land-use planning as it relates to the forest sector established and followed | | | |
| Scoring guide | The division of roles and powers among ministries responsible for land-use planning as it relates to the forest sector are established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers among ministries responsible for land-use planning as it relates to the forest sector are established but not fully followed/applied | 2 | 2 |
| | The division of roles and powers among ministries responsible for land-use planning as it relates to the forest sector are not established nor followed/applied | 1 | 1 |

| Details of the evidence to support and justify the scoring | | | |
|--|---|---|---|
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.3.b.ii: Division of roles and powers among ministries responsible for land allocation as it relates to the forest sector established and followed | | | |
| Scoring guide | The division of roles and powers among ministries responsible for land allocation as it relates to the forest sector are established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers among ministries responsible for land allocation as it relates to the forest sector are established but not fully followed/applied | 2 | 2 |
| | The division of roles and powers among ministries responsible for land allocation as it relates to the forest sector are not established nor followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| B.3.b.iii: Division of roles and powers among ministries responsible for forest use and management established and followed | | | |
| Scoring guide | The division of roles and powers among ministries responsible for forest use and management are established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers among ministries responsible for forest use and management are established but not fully followed/applied | 2 | 2 |
| | The division of roles and powers among ministries responsible for forest use and management are not established nor followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| B.3.b.iv: Division of roles and powers among ministries responsible for activities impacting forests and forest lands established and followed | | | |
| Scoring guide | The division of roles and powers among ministries responsible for activities impacting forests and forest lands are established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers among ministries responsible for activities impacting forests and forest lands are established but not fully followed/applied | 2 | 2 |
| | The division of roles and powers among ministries responsible for activities impacting forests and forest lands are not established nor followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |

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|--|--|--------------------|---------------------|
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| Indicator B.3.c Division of roles and powers across levels of administration established and followed | | | |
| Guiding question: | <p>In practice, during the reporting period, was the division of roles and powers across levels of administration whose activities relate to the forest sector (e.g. central to local), as envisaged in the legal framework, established and followed/applied?</p> <p>This indicator seeks to assess the following areas of law relevant to the forest-sector: (a) land-use planning, (b) land allocation, (c) forest use and management, and (d) activities impacting forests and forest lands (mining, hydro, agricultural activities, etc.)</p> <p>In the context of this set of indicators, multistakeholder involvement in forest-related policy processes are particularly relevant.</p> <p>The existence of the legal basis for such a division of roles and power is assessed by B.1.b.ii.</p> | 20xx BL | 20xy CRP |
| B.3.c.i: Division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector established and followed | | | |
| Scoring guide | The division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector is established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector are established within the legal framework but not fully followed/applied | 2 | 2 |
| | The division of roles and powers across levels of administration responsible for land-use planning as it relates to the forest sector are not established and followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| B.3.c.ii: Division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector established and followed | | | |
| Scoring guide | The division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector is established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector are established within the legal framework but not fully followed/applied | 2 | 2 |
| | The division of roles and powers across levels of administration responsible for land allocation as it relates to the forest sector are not established and followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |

| | | | |
|--|---|--------------------|---------------------|
| 20xy (CRP) | - | | |
| B.3.c.iii: Division of roles and powers across levels of administration responsible for forest use and management established and followed | | | |
| Scoring guide | The division of roles and powers across levels of administration responsible for forest use and management is established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers across levels of administration responsible for forest use and management are established within the legal framework but not fully followed/applied | 2 | 2 |
| | The division of roles and powers across levels of administration responsible for forest use and management are not established and followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| B.3.c.iv: Division of roles and powers across levels of administration responsible for activities impacting forests and forest lands established and followed | | | |
| Scoring guide | The division of roles and powers across levels of administration responsible for activities impacting forests and forest lands is established and followed/applied according to administrative procedures or consistent with the legal framework | 3 | 3 |
| | The division of roles and powers across levels of administration responsible for activities impacting forests and forest lands are established within the legal framework but not fully followed/applied | 2 | 2 |
| | The division of roles and powers across levels of administration responsible for activities impacting forests and forest lands are not established and followed/applied | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| Indicator B.3.d Use of mechanisms for raising concerns regarding the laws and regulations by non-state stakeholder groups | | | |
| Guiding question: | <p>In practice, during the reporting period, did non-state stakeholder groups use existing mechanisms for raising concerns regarding the content of existing/enforced forest-related laws, regulations and policies?</p> <p>In the comment box below, indicate which non-state stakeholder groups used the mechanisms to submit such concerns.</p> <p>For the purpose of this set of indicators, non-state stakeholders are: i) forest-dependent and/or indigenous peoples, smallholders/smallholder groups and/or community-based organisations; ii) civil society organisations; iii) formal enterprises; and iv) informal enterprises.</p> <p>In case there was no use of existing mechanisms for raising concerns regarding the content of existing/enforced forest-related laws,</p> | 20xx BL | 20xy CRP |

| | | | |
|---|---|---|---|
| | regulations and policies during the reporting period, score as per the previous year when there was use of existing mechanisms. | | |
| Scoring guide | Forest sector stakeholders did use the mechanism established in accordance with the legal basis for submitting concerns | 4 | 4 |
| | Forest sector stakeholders did use the ad-hoc mechanism established for submitting concerns | 3 | 3 |
| | Forest sector stakeholders did not use the mechanism established for submitting concerns | 2 | 2 |
| | No mechanism exists | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |

Thematic area C: Accountability and oversight

'Accountability' exists when governments, enterprises and individuals do what they have promised to do and take responsibility for their actions. The indicators under 'accountability and oversight' address the legal foundations for, existence, and functioning of internal and external oversight and complaints mechanisms.

In this thematic area, 'forest-related activities' refers to legality aspects of the allocation of forests and forest lands and/or their management and use for production, protection and/or conservation. They include any activity in other sectors having a direct impact on forests and forest lands.

Oversight body

Indicators under 'oversight' apply to activities related to the harvesting/collection of timber and non-timber forest products, and the management and control of forest production, protection and conservation. They seek to assess the extent to which government entities responsible for the management and control of such activities are subject to checks by an oversight body.

Indicator C.1.a: Legal basis for oversight body

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| Guiding question: | Is there a legal requirement for the establishment of an oversight body to check the activities of government entities responsible for management and control of forest production, protection and conservation? In scoring this indicator, 'oversight body' refers to entities with a mandate to address any activity by government entities responsible for the management and control of forest production, protection and conservation, such as a National forestry board, or a Government or ministry inspectorate. As such, they would not include an entity with a narrow/specific scope, such as an anti-corruption unit. | 20xx BL | 20xy CRP |
| Scoring guide: | The establishment of an oversight body is legally required | 2 | 2 |
| | There is no legal requirement for the establishment of an oversight body | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

Indicator C.2.a: An oversight body exists

| | | | |
|--------------------------|---|--------------------|---------------------|
| Guiding question: | Does an oversight body exist to check the activities of government entities responsible for the management and control of forest production, protection and conservation? | 20xx BL | 20xy CRP |
| Scoring guide: | An oversight body exists | 3 | 3 |
| | An oversight body is under establishment | 2 | 2 |
| | An oversight body does not exist | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

Indicator C.3.a: Effective functioning of an oversight body

| | | | |
|--------------------------|--|--------------------|---------------------|
| Guiding question: | In practice, during the reporting period, to what extent were government entities responsible for the management and control of forest production, protection and conservation subject to checks by an oversight body? | 20xx BL | 20xy CRP |
|--------------------------|--|--------------------|---------------------|

| | | | |
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| | In the context of a political process, such a body could include the oversight implementation committee of the process, as well as any independent audit mechanism set up under such process. | | |
| Scoring guide: | An oversight body carried out checks on the functioning of government entities responsible for the management and control of forest production, protection and conservation. | 2 | 2 |
| | An oversight body did not exist, or it did exist but did not carry out checks in the reporting period | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator C.3.b: Reports of the oversight body | | | |
| Guiding question: | In practice, during the reporting period, were the reports and/or summaries of the checks on the functioning of government entities responsible for the management and control of forest production, protection and conservation, by an oversight body made public? In case there were no reports and/or summaries during the reporting period, score as per the last year when a report and/or summary was produced. | 20xx BL | 20xy CRP |
| Scoring guide: | The reports and/or summaries were made public | 3 | 3 |
| | The reports and/or summaries were not made public | 2 | 2 |
| | An oversight body did not exist | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Independent monitoring of forests

Indicators under “independent monitoring of forests seek to assess the extent to which the regulators and actors engaged in forest-related activities are subject to effective scrutiny by an independent monitoring entity.

‘Independent’ means that the monitoring entity is independent from the interests of the regulators and forest actors.

‘Forest-related activities’: Activities related to the allocation of forests and forest lands and/or their management and use for production, protection and/or conservation. They include any activity in other sectors having a direct impact on forests and forest lands.

This definition excludes:

- certification bodies that conduct certification audits of operators against requirements of voluntary certification schemes
- second or third-party auditors that conduct conformance audits of operators against prescribed requirements
- audit processes that check whether a government entity’s system for management and control is operating correctly (for example, in case of FLEGT processes, the VPA independent audit).

Indicator C.1.b: Legal basis for independent monitoring of forest-related activities

| | | | |
|---|--|--------------------|---------------------|
| Guiding question: | Is independent monitoring of the activities of regulators and actors responsible for forest-related activities formally recognised in the legal framework? In the evidence box below please indicate whether the independent monitoring entity is legally mandated to monitor land-use planning and land allocation, forestry operations and/or activities in other sectors having an impact on forests and forest lands. If there are various legal bases, specify them. If there are various independent monitoring entities, specify the scope of the mandate of each independent monitor. | 20xx BL | 20xy CRP |
| Scoring guide: | There is a legal requirement for independent monitoring of the activities of regulators and actors | 3 | 3 |
| | Although independent monitoring is not formally recognised in the law, independent monitors are allowed to operate in country and monitor the activities of regulators and actors | 2 | 2 |
| | There is no legal requirement for independent monitoring of the activities of regulators and actors | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator C.2.b: Independent monitor | | | |
| Guiding question: | Is there an independent monitor that monitors the activities of regulators and actors responsible for forest-related activities? If there are various independent monitoring entities, specify which ones they are in terms of their monitoring scope. If scoring 2, state the year (if known) in which the independent monitoring was established | 20xx BL | 20xy CRP |
| Scoring guide: | There is an independent monitor that monitors the activities of relevant regulators and actors responsible for forest-related activities | 2 | 2 |
| | There is no independent monitor | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator C.3.c: Effective functioning of independent monitoring | | | |
| Guiding question: | In practice, during the reporting period, to what extent were regulators and actors responsible for forest-related activities subjected to independent monitoring? If there are various independent monitoring (IM) entities, specify in the evidence box below which ones were active during the reporting period | 20xx BL | 20xy CRP |
| Scoring guide: | Comprehensive monitoring: IM entity(s) effectively monitor the activities of regulators and actors responsible for forest-related activities and are not subject to any constraints to ensure the effectiveness of monitoring. They have access to the whole territory and to all the information. | 4 | |
| | Independent observation with medium effectiveness: IM entity(ies) monitor the activities of regulators and actors responsible for forest-related activities, but they are faced with a type of constraint that does not allow | 3 | |

| | | | |
|---|--|--------------------|---------------------|
| | them to ensuring fully effective independent monitoring: either the inability to cover all domains and/or all forest areas; not having sufficient capacity; or the lack of access to all the documentation/information necessary for independent monitoring. | | |
| | Limited monitoring: IM entity(s) monitor regulators and actors responsible for forest-related activities, but face at least two types of constraints. These constraints may include, but are not limited to: being able to monitor only in certain parts of the country; not having sufficient capacity; not to be officially accepted by the administration; and/or not having access to the documentation and information necessary for independent monitoring. | 2 | |
| | No monitoring: An IM entity does not exist or does exist but did not carry out monitoring of the activities of regulators and actors responsible for forest-related activities during the reporting period | 1 | |
| Indicator C.3.d: Independent monitors reports | | | |
| Guiding question: | In practice, during the reporting period are the reports and/or summaries of the monitoring by an independent entity of regulators and forestry operators made public? In case there are independent monitoring activities but no reports and/or summaries during the reporting period, score as per the last year a report and/or summary was produced. | 20xx BL | 20xy CRP |
| Scoring guide: | Reports and/or summaries of independent monitors are made public | 3 | 3 |
| | Reports and/or summaries are not made public | 2 | 2 |
| | An independent or third-party monitor does not exist | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Accessible and functioning complaint mechanism

A complaint mechanism is a process or institution for receiving, evaluating and addressing complaints and conflicts from affected stakeholders at local, subnational or national levels. Complaint mechanisms can be formal court/judicial systems, alternative systems (i.e. arbitration, mediation), and customary systems. Complaint mechanisms can perform the following functions: hearing conflicts/disputes, delivering rulings, processing appeals and ensuring the enforcement of rulings. For the purpose of the following indicators, a complaint mechanism applies to complaints in the implementation (including incorrect, negligent, lacking implementation, etc.) of provisions of existing laws and regulations related to forests that are managed for production, protection and/or conservation.

Note that concerns regarding the content of forest-related laws, regulations and policies are addressed under indicators in thematic area B: 'Legislative and institutional clarity in the forest sector'.

All users/stakeholders should have access to a complaint mechanism without discrimination or bias. They should also have access to an accessible channel to report illegal forest activities. Attributes of an accessible complaint mechanism include:

- services are provided in relevant local languages
- services are affordable for most users
- individuals know about the existence and use of the mechanism
- rulings are delivered and appeals are processed in a timely manner

| | | | |
|---|--|--------------------|---------------------|
| <ul style="list-style-type: none"> rulings or decisions are easily enforceable | | | |
| Indicator C.1.c: Legal basis for complaint mechanism | | | |
| Guiding question: | Is there a legal requirement for the establishment of a mechanism for receiving and handling complaints against forest actors and government agencies/officials involved in/responsible for the management and use of forests for production, protection and/or conservation? | 20xx BL | 20xy CRP |
| Scoring guide: | There is a legal requirement for the establishment of a mechanism for receiving and handling complaints | 2 | 2 |
| | There is no legal requirement for the establishment of a complaint mechanism | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | - | | |
| Indicator C.2.c: Complaint mechanism | | | |
| C.2.c.i: Complaint mechanism to report and handle complaints against government officials | | | |
| Guiding question: | Is there a complaint mechanism to receive and handle complaints against government officials (according to the scope of scoring guide below)? 'Forest-related activities' refers to activities related to the allocation of forests and forest lands and/or their management and use for production, protection and/or conservation. They include any activity in other sectors having a direct impact on forests and forest lands. By scoring 3 or 4, identify in the evidence box below whether the mechanism for receiving and handling complaints relates either to all forest sector activities or specifically to a subset of forest-related activities, and the year (if known) in which the complaint mechanism was established. | 20xx BL | 20xy CRP |
| Scoring guide: | There is a mechanism for receiving and handling complaints against government officials related to forest sector activities | 4 | 4 |
| | A complaint mechanism is under development | 3 | 3 |
| | A complaint mechanism does not exist but is planned to be developed | 2 | 2 |
| | A complaint mechanism does not exist and there is no plan to develop one | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| C.2.c.ii: Complaint mechanism to report and handle complaints against private sector operators | | | |
| Guiding question: | Is there a complaint mechanism to receive and handle complaints against private sector operators (according to the scope of scoring guide below)? By scoring 3 or 4, identify in the evidence box below whether the mechanism for receiving and handling complaints relates either to all forest sector activities or specifically to a subset of forest-related activities, and the year (if known) in which the complaint mechanism was established. | 20xx BL | 20xy CRP |
| Scoring guide: | There is a complaint mechanism for receiving and handling complaints against private sector operators related to all forest sector activities and | 4 | 4 |

| | | | |
|--|---|--------------------|---------------------|
| | operations and/or activities and operations covered under a specific forest-related policy process | | |
| | A complaint mechanism is under development | 3 | 3 |
| | A complaint mechanism does not exist in the forest sector but is planned to be developed | 2 | 2 |
| | A complaint mechanism does not exist and there is no plan to develop one | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator C.3.e: Use of complaint mechanism by non-state actors | | | |
| Guiding question: | In practice, during the reporting period, was the existing complaint mechanism used by non-state actors to lodge complaints related to the whole forest sector, or related to the management and use of forests for production, protection and/or conservation, and/or operations covered under a specific forest-related policy process? In case there is an established complaint mechanism but not used during the reporting period, score as per the last year the mechanism was used. | 20xx BL | 20xy CRP |
| Scoring guide: | Non-state actors use the complaint mechanism to lodge complaints | 3 | 3 |
| | Non-state actors do not use the complaint mechanism at all | 2 | 2 |
| | A complaint mechanism does not exist in the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator C.3.f: Resolving complaints | | | |
| Guiding question: | In practice, during the reporting period, to what extent did the existing complaint mechanism lead to resolving complaints and conflicts on the management of forests for production, protection and/or conservation or covered under a specific forest-related policy process? In case the established complaint mechanism was not used during the reporting period, score as per the last year the mechanism was used. | 20xx BL | 20xy CRP |
| Scoring guide | The existing complaint mechanism resolved the majority of complaints | 4 | 4 |
| | The existing complaint mechanism resolved some of the complaints | 3 | 3 |
| | A complaint mechanism exists for the forest sector, but no information is available on whether it resolved complaints | 2 | 2 |
| | A complaint mechanism does not exist in the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Thematic Area D: Transparency

Transparency refers to the availability and accessibility of information to the public, and clarity on rules and procedures for decision-making processes in the forest sector. The indicators under ‘transparency’ seek to assess: (i) the legal basis for information transparency; (ii) the extent to which information transparency commitments are being met; (iii) the existence and functioning of procedures and a system for information disclosure; (iv) the use of disclosed information by non-state actors; (v) the responsiveness of government entities to the use of information by non-state actors; and (vi) transparency in public decision making.

Indicator D.1.a: Legal basis for public disclosure

This composite indicator seeks to assess whether government entities are legally required to publicly disclose the forest sector information they have committed to disclose according to the applicable legal framework.

This section divides transparency in the forest sector in five categories of information: (i) forest policies, laws and regulations; (ii) land planning as it relates to forests; (iii) allocation of forests and land-use rights; (iv) forest use and management for production, protection and/or conservation; (v) forest sector taxes and fees; and (v) law enforcement.

D.1.a.i: Forest policies, laws and regulations

| | | | |
|--------------------------|--|--------------------|---------------------|
| Guiding question: | Are government entities legally required to publicly disclose forest-related policies, laws and regulations? | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for government entities to publicly disclose forest-related policies, laws and regulations | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose forest-related policies, laws and regulations | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

D.1.a.ii: Land planning as it relates to forests

| | | | |
|--------------------------|--|--------------------|---------------------|
| Guiding question: | Are government entities legally required to publicly disclose information on zoning plans? | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for government entities to publicly disclose information on zoning plans | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose information on zoning plans | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

D.1.a.iii: Allocation of forests and land-use rights

| | | | |
|--------------------------|---|--------------------|---------------------|
| Guiding question: | Are government entities legally required to publicly disclose information on allocation of forests and land-use rights? | 20xx BL | 20xy CRP |
|--------------------------|---|--------------------|---------------------|

| | | | |
|---|---|----------------|-----------------|
| | For the purpose of this indicator, 'forest and land-use rights' includes land allocation as it relates to forest lands, and the allocation of land-use rights that have an impact on forests. | | |
| Scoring guide | There is a legal requirement for government entities to publicly disclose information on allocation of forests and land-use rights | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose information on allocation of forests and land-use rights | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.1.a.iv: Forest use and management | | | |
| Guiding question: | Are government entities legally required to publicly disclose information on forest use and management for production, protection and/or conservation at national, subnational or FMU level? | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for government entities to publicly disclose information related to forest use and management at national, subnational and FMU level | 3 | 3 |
| | There is a legal requirement for government entities to publicly disclose information related to forest use and management at some levels | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose information related to forest use and management | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.1.a.v: Taxes and fees | | | |
| Guiding question: | Are government entities legally required to publicly disclose information on forest sector taxes and fees? In scoring the indicator, the expert will assess whether the information is highly summarised, in such cases score will be 2. Forest sector taxes and fees include taxes and fees levied: <ul style="list-style-type: none"> - on an area (e.g. timber rights fee, land rent) - on a product such as volume-based charges (e.g. stumpage fee, felling tax), or - on a service (e.g. tourist entrance fee, water extraction fees) Such taxes and fees may be retained wholly by the state or a proportion may be disbursed to communities. | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for government entities to publicly disclose information on forest sector taxes and fees | 3 | 3 |
| | There is a legal requirement for government entities to publicly disclose some information on forest sector taxes and fees | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose information on forest sector taxes and fees | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |

| | | | |
|--|---|--------------------|---------------------|
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.1.a.vi: Law enforcement | | | |
| Guiding question: | Are government entities legally required to publicly disclose information on law enforcement? In scoring the indicator, the expert will assess whether the information is highly summarised, in such cases score will be 2. | 20xx BL | 20xy CRP |
| Scoring guide | There is a legal requirement for government entities to publicly disclose information on law enforcement | 3 | 3 |
| | There is a legal requirement for government entities to publicly disclose some information on law enforcement | 2 | 2 |
| | There is no legal requirement for government entities to publicly disclose information on law enforcement | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator D.1.b: Legal grounds for refusal | | | |
| Guiding question: | Are the specific grounds upon which a request for 'relevant information' can be refused legally defined? Grounds for refusing to disclose information may not always be found in the forestry or sectoral law. They might be found in the Constitution or a general freedom of information law. In scoring this indicator, grounds upon which a request can be refused should be evaluated regarding how narrowly the exemption is worded or interpreted by the public authorities and the courts. The broader the exemptions, the lower the indicator will be scored. 'Relevant information' refers to the information that government entities are obligated to disclose under the existing legal framework. Indicate in the comment box which legal instrument(s) define(s) the specific grounds upon which a request for information can be refused. | 20xx BL | 20xy CRP |
| Scoring guide | Legal provisions clearly and narrowly define specific grounds upon which a request for any relevant information can be refused or with some variation according to the type of information | 3 | 3 |
| | Legal provisions specify the grounds upon which information can be refused but leaves some discretionary power to public authorities | 2 | 2 |
| | Legal provisions do not specify grounds for refusal at all | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator D.2.a: Information availability | | | |
| Information availability refers to the process and act of gathering, processing, producing and publishing information. | | | |

This indicator seeks to assess the extent to which government entities make public in a timely manner the information they have committed to disclose under the legal framework (for categories of information, see indicator D.1.a), including the forest sector laws, regulations and decisions affecting forest stakeholders

D.2.a.i: Forest policies, laws and regulations

| | | | |
|---------------------------------|---|----------------------------------|-----------------------------------|
| <p>Guiding question:</p> | <p>In practice, during the reporting period, to what extent do government entities make forest-related policies, laws and regulations public in a timely manner?</p> <p>'Forest-related policies' include any statement, declaration, resolution, etc., by a national or subnational government, which prescribe the principles, positions, intents, plans and/or actions necessary to sustain forests, their products and services. For the purpose of this set of indicators, policies regulating activities having a direct impact on forests and forest lands (i.e. land-use planning, mining, hydro development, agricultural activities...) are considered part of forest-related policies.</p> <p>'Forest-related laws' are binding rules or body of rules adopted by the legislature of a national or subnational government to prescribe the principles, rights, and obligations in respect of the ownership, management and use of forests for production, protection and/or conservation; including activities related to afforestation, reforestation and forest restoration; as well as land-use planning laws, where they relate to forests and forest lands; and other sectors and activities that may impact on forests and forest lands.</p> <p>'Forest-related regulations' are binding rules or body of rules adopted by the executive power of a national or subnational government or a regulatory agency to regulate the management and use of forests for production, protection and/or conservation; including activities related to afforestation, reforestation, forest restoration; as well as land-use planning regulations, where they relate to forests and forest lands; and other sectors and activities that may impact on forests and forest lands.</p> <p>In the evidence box below, please indicate whether a specific policy process has led to improvements in the timeliness with which government entities make information on forest policies, laws and regulations public.</p> <p>'Timely manner' means once they are promulgated or have entered into effect.</p> <p>In case there is no new information to be made public during the reporting period, score as per the last year such information was made public.</p> | <p>20xx BL</p> | <p>20xy CRP</p> |
| <p>Scoring guide</p> | <p>Timely: Government entities make public in a timely manner all forest-related policies, laws and regulations</p> <p>Delayed: Government entities make public information on forest-related policies, laws and regulations with delays, or this information is in the process of being made public.</p> | <p>3</p> <p>2</p> | <p>3</p> <p>2</p> |

| | | | |
|---|--|--------------------|---------------------|
| | None: Government entities do not make public any forest-related policies, laws and regulations or do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.a.ii: Land planning as it relates to forests | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent have government entities made information public on zoning plans in a timely manner?</p> <p>‘Timely manner’ means once they are decided.</p> <p>In the evidence box below, please indicate whether a specific policy process has led to improvements in the timeliness with which government entities make information on land planning as it relates to forests public.</p> <p>In case there is no new information to be made public during the reporting period, score as per the last year such information was made public.</p> | 20xx BL | 20xy CRP |
| Scoring guide | Timely: Government entities make zoning plans available publicly in a timely manner | 3 | 3 |
| | Delayed: Government entities make zoning plans available publicly with delays. | 2 | 2 |
| | No information made public: Government entities do not make any information on zoning plans public, or they do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.a.iii: Allocation of forests and land-use rights | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent have government entities made information on allocation of forest/land-use rights public in a timely manner?</p> <p>For the purpose of this indicator, ‘forest and land-use rights’ includes land allocation as it relates to forest lands, and the allocation of forest use rights.</p> <p>‘Timely manner’ means once they are decided.</p> <p>In the evidence box below, please indicate whether a specific policy process has led to improvements in the timeliness with which government entities make information on allocation of forests and land-use rights public.</p> <p>In case there is no new information to be made public during the reporting period, score as per the last year such information was made public.</p> | 20xx BL | 20xy CRP |
| Scoring guide | Timely: Government entities make public in a timely manner all information on allocation of forests and land-use rights | 3 | 3 |
| | Delayed: Government entities make public in a timely manner some information on allocation of forests and land-use rights. Other pieces of | 2 | 2 |

| | | | |
|---|--|--------------------|---------------------|
| | information are made available with some delay or are in the process of being made public. | | |
| | No information made public: Government entities do not make public any information on allocation of forests and land-use rights or do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.a.iv: Forest use and management | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent do government entities make information on forest use and management at national, subnational or FMU levels public in a timely manner?</p> <p>'Timely manner' means once they are approved.</p> <p>In the evidence box below, please indicate whether a specific policy process has led to improvements in the timeliness with which government entities make information on forest use and management public.</p> <p>In case there is no new information to be made public during the reporting period, score as per the last year such information was made public.</p> | 20xx BL | 20xy CRP |
| Scoring guide | Timely: Government entities make public in a timely manner information related to forest use and management | 3 | 3 |
| | Delayed: Government entities make public information related to forest use and management with delays. | 2 | 2 |
| | No information made available: Government entities do not make public any information related to forest use and management or do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.a.v: Taxes and fees | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent did government entities make public in a timely manner information on the payment and collection of forest sector taxes and fees?</p> <p>'Timely manner' means once they are approved.</p> <p>Forest sector taxes and fees include taxes and fees levied:</p> <ul style="list-style-type: none"> - on an area (e.g. timber rights fee, land rent) - on a product such as volume-based charges (e.g. stumpage fee, felling tax), or - on a service (e.g. tourist entrance fee, water extraction fees) <p>Such taxes and fees may be retained wholly by the state or a proportion may be disbursed to communities.</p> <p>In the evidence box below, please indicate whether a specific policy process has led to improvements in the timeliness with which</p> | 20xx BL | 20xy CRP |

| | | | |
|---|--|--------------------|---------------------|
| | government entities make information on the payment and collection of forest taxes and fees public. In case there is no new information to be made public during the reporting period, score as per the last year such information was made public. | | |
| Scoring guide | Timely: Government entities made public in a timely manner information on the payment and collection of forest taxes and fees | 3 | 3 |
| | Delayed: Government entities made public information on the payment and collection of forest taxes and fees with delays. | 2 | 2 |
| | No information made available: Government entities do not make public in a timely manner any information on the payment and collection of forest taxes and fees, or do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.a.vi: Law enforcement | | | |
| Guiding question: | In practice, during the reporting period, to what extent do government entities make public in a timely manner information on law enforcement? 'Timely manner' means once they are approved or officially validated. Information on law enforcement includes, but it is not limited to, data on: <ul style="list-style-type: none"> - non-compliance with laws and regulations on land and land-use allocation - violations of regulations related to harvesting and trade of timber and timber products - violations of indigenous peoples' rights and rights of forest communities - violations of environmental protection laws - data on seizures of timber and timber products In the evidence box below, please indicate whether a specific policy process has led to improvements on the timeliness with which government entities make information on violations and seizures public. In case there is no new information to be made public during the reporting period, score as per the last year such information was made public. | 20xx BL | 20xy CRP |
| Scoring guide | Timely: Government entities make public in a timely manner all information on violations and seizures | 3 | 3 |
| | Delayed: Government entities make public information on violations and/or seizures with delays. | 2 | 2 |
| | No information made public: Government entities do not make public in a timely manner any information on violations and/or seizures or do so in an ad hoc manner. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator D.2.b: Information accessibility | | | |

| | | | |
|--|--|--------------------|---------------------|
| Information accessibility refers to whether public authorities provide forest-related information that is easily understandable and through appropriate distribution channels. It also relates to the pertinence and languages of the information. | | | |
| D.2.b.i: Language | | | |
| Guiding question: | To what extent have government entities made information available in all official languages and languages spoken by significant segments of the population? In the evidence box below, please indicate whether the forest-related information has been made available as part of a specific policy process. | 20xx BL | 20xy CRP |
| Scoring guide | Complete: Forest-related information is made available in all official languages and relevant information is available in languages spoken by significant segments of the population | 3 | 3 |
| | Partial: Forest-related information is made available in all official languages and some languages spoken by significant segments of the population | 2 | 2 |
| | None: No forest-related information is made available to the public | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.2.b.ii: Consideration of stakeholders' needs | | | |
| Guiding question: | To what extent are information users consulted on their information needs, including in the context of official documents within the forest sector and/or forest-related policy processes, how stakeholders are being consulted on types of information needed, means of access and frequency of updates in relation to the implementation of public disclosure obligations? In the evidence box below, please indicate whether the consideration of stakeholders' needs has been driven by a specific policy process. 'Users of information' refers to the stakeholder groups interested and/or affected by the forest sector and/or a given forest-related policy process (see A.2.b above). They can include non-state stakeholders such as CSOs, forest-dependent/indigenous peoples, smallholders/smallholder groups, CBOs, formal enterprises and/or their representative associations, international non-governmental organisations, and informal enterprises and/or their representative associations. | 20xx BL | 20xy CRP |
| Scoring guide | Representatives of all users of information are consulted on the types of information disclosed and the channels used for disclosure | 3 | 3 |
| | Only some of the representatives of the users of information are consulted on the types of information disclosed and the channels used for disclosure | 2 | 2 |
| | No users of information are consulted on the types of information disclosed nor on the channels used for disclosure | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

| Indicator D.3.a: Influence of information transparency | | | |
|--|---|--------------------|---------------------|
| D.3.a.i: Use of information by non-state actors for analysis and advocacy | | | |
| Guiding question: | In practice, during the reporting period, did non-state actors use public information to analyse forest-related issues or develop advocacy positions/messages? This indicator includes the capacity of non-state actors to use publicly available information to analyse forest-related issues or for advocacy purposes. In the comment box, indicate uses of information by non-state actors and whether the use of information was driven by a specific policy process. In case non-state actors did not use their right to use information in the last three years, score as per the last year they used it. | 20xx BL | 20xy CRP |
| Scoring guide | Most non-state actors used public and other sources of information for analysis or advocacy purposes | 3 | 3 |
| | Some non-state actors used public and other sources of information for analysis or advocacy purposes | 2 | 2 |
| | Non-state actors did not use public information for analysis or advocacy purposes at all | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.3.a.ii: Dissemination of observations and positions by non-state actors | | | |
| Guiding question: | In practice, during the reporting period did non-state actors communicate their observations and/or positions to relevant stakeholders? In the evidence box, indicate the channels and/or forms of communication, for example official meetings, advocacy processes, reporting or monitoring. Please also indicate if observations and/or positions by stakeholders were communicated as part of a specific policy process. In case non-state actors did not communicate their observations and/or positions in the last three years, score as per the last year this happened. | 20xx BL | 20xy CRP |
| Scoring guide | Most non-state actors communicated their observations and/or positions to relevant stakeholders | 3 | 3 |
| | Some non-state actors communicated their observations and/or positions to relevant stakeholders | 2 | 2 |
| | Non-state actors did not communicate their observations and/or positions to relevant stakeholders at all | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator D.3.b: Transparency on decision making in the forest sector | | | |
| D.3.b.i: Transparency on decision making in legal developments in the forest sector | | | |
| Guiding question: | In practice, during the reporting period, to what extent was information on legal developments in the forest sector transparent and accessible to stakeholders? | 20xx BL | 20xy CRP |

| | | | |
|---|---|----------------|-----------------|
| | <p>In scoring this indicator, transparency in legal developments refers to whether stakeholders have access to information on legal development processes including steps in forest related process, anticipated timetables and how stakeholders can involve in the processes.</p> <p>In the evidence box below, please indicate whether the information on legal developments has been driven by a specific policy process.</p> <p>In case there was no new legal development during the reporting period, score as per the last year there was access to information on legal development processes.</p> | | |
| Scoring guide | Most stakeholders have access to all information on legal developments in the forest sector | 4 | 4 |
| | Most stakeholders have access to some information on legal developments in the forest sector | 3 | 3 |
| | Some stakeholders have access to some information on legal developments in the forest sector | 2 | 2 |
| | Stakeholders do not have access to any information on legal developments in the forest sector | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| D.3.b.ii: Transparency on decision making in the allocation of forests and land-use rights | | | |
| Guiding question: | <p>In practice, during the reporting period, to what extent was information on decision making in the process(es) of allocation of forests and land-use rights transparent and accessible to stakeholders?</p> <p>In scoring this indicator, transparency on decision making in the allocation of forests and land-use rights refers to whether stakeholders have access to information on allocation processes including steps in the processes, anticipated timetables and how stakeholders can involve in the processes.</p> <p>In the evidence box below, please indicate whether the information on decision making in the allocation of forests and land-use rights has been driven by a specific policy process.</p> <p>In case there was no allocation process during the reporting period, score as per the last year there was access to information on decision making in the allocation of forests and land-use rights.</p> | 20xx BL | 20xy CRP |
| Scoring guide | Most stakeholders have access to all information on the allocation process of forests and land-use rights | 4 | 4 |
| | Most stakeholders have access to some information on the allocation process of forests and land-use rights | 3 | 3 |
| | Some stakeholders have access to some information on decision making in the allocation of forests and land-use rights | 2 | 2 |
| | Stakeholders do not have access to any information on decision making in the allocation of forests and land-use rights | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |

| | | | |
|---|--|----------------|-----------------|
| 20xy (CRP) | | | |
| Indicator D.3.c: Legal developments contribute to outreach on laws and regulations | | | |
| Guiding question: | <p>To what extent have legal developments relating to a forest-related policy process or other legal consultation and development processes contributed to outreach aimed at improving forest stakeholders' understanding of laws and regulations?</p> <p>In the box 'Details of the evidence' below, please indicate which policy process or other legal consultation and/or development process has driven the legal developments.</p> <p>If scoring 3, please list the stakeholders targeted by the materials to be provided in evidence box below.</p> <p>In case there was no active legal developments during the reporting period, score as per the previous year when there was an active process.</p> <p>For the baseline year, the score would be 1.</p> | 20xx BL | 20xy CRP |
| Scoring guide | Legal developments provided the basis/materials aimed at improving forest stakeholders' understanding of laws and regulations | 3 | 3 |
| | Legal developments have not provided the basis/materials aimed at improving forests stakeholders' understanding of laws and regulations | 2 | 2 |
| | Legal developments relating to a forest-related policy process have not yet started | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Thematic Area E: Compliance promotion and enforcement

Explanatory notes

1. The term 'compliance promotion' is used throughout this set of indicators to mean any activity that increases awareness, informs, motivates, or changes behaviour, and encourages compliance with a regulatory requirement. Compliance promotion is delivered through a variety of actors and mechanisms – not just government entities but also through initiatives of industry associations, non-government organisations, academic and training institutions.
2. The terms 'compliance' and 'non-compliance' are used throughout this set of indicators in relation to 'official operators' and 'criminal actors' in the forest sector. The scope of the indicators does not extend to 'compliance' and 'non-compliance' of government entities.
3. This set of indicators is specific to actors involved in forest-related activities. 'Forest-related activities' are activities related to the allocation of forests and forest lands and their management and use for production, protection and conservation. They include any activity in other sectors having a direct impact on forests and forest lands. They do not extend to activities in supply chains beyond the forest gate.

Legal basis for compliance and enforcement

This set of indicators seeks to assess the extent to which the legal basis for compliance and enforcement is clearly established in terms of mandates, types of responses, penalties and inducements.

The scope of entities addressed by this set of indicators includes those government authorities with responsibilities for forest, environment, land and forest-related taxes.

This set of indicators is specific to the legal basis for compliance and enforcement in relation to forest-related activities.

Indicator E.1.a: Clarity of mandates for addressing non-compliance with applicable legislation

This composite indicator seeks to assess the extent to which the legal framework clarifies which entity(s) have a mandate for addressing non-compliance with applicable legislation.

E.1.a.i: Mandates for addressing non-compliance with legal requirements in respect of land-use planning as it relates to the forest sector

| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with requirements in respect of land-use planning as it relates to the forest sector? | 20xx BL | 20xy CRP |
|-------------------|--|------------|-------------|
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

E.1.a.ii: Mandates for addressing non-compliance with legal requirements in respect of land allocation

| | | | |
|---|--|--------------------|---------------------|
| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with legal requirements in respect of forest and forestland allocation? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.a.iii: Mandates for addressing non-compliance with legal requirements in respect of forest use and management | | | |
| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with legal requirements in respect of forest use and management? Note that this indicator does not cover non-compliance with environmental requirements or the payment of fees in respect to use of forest resources, which are assessed below. It does cover requirements related to the harvesting of timber and non-timber forest products. | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.a.iv: Mandates for addressing non-compliance with legal requirements in respect of payment of fees in respect to use of forest resources | | | |
| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with requirements in respect of payment of fees in respect to use of forest resources? Note that the fees covered in this indicator are those payable up to the forest gate. They exclude custom duties or export fees. | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.a.v: Mandates for addressing non-compliance with environmental legislation | | | |

| | | | |
|---|--|--------------------|---------------------|
| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with environmental legislation requirements applicable to the forest sector? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.a.vi: Mandates for addressing non-compliance with legal requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land | | | |
| Guiding question: | To what extent does the legal framework clarify which entity(s) have a mandate for addressing non-compliance with requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land? Third parties' legal rights concerning use and tenure could include, where applicable and legally recognised, the obligation: <ul style="list-style-type: none"> - To respect local communities' and indigenous peoples' legal, customary tenure and use rights within the area in which they are operating - To provide payments for harvest rights to communities or indigenous peoples based on customary laws and rights, in line with agreed amounts, and covered by receipts or any other mutually agreed evidence of payment. - To be granted Free Prior and Informed Consent where their rights have been relinquished to a third party | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator E.1.b: Clarity of the type of response for addressing non-compliance with applicable legislation | | | |
| This composite indicator seeks to assess the extent to which the legal framework clarifies the types of response (administrative action, administrative penalties or judicial penalties) to be applied in the case of a non-compliance with the legal requirements. | | | |
| E.1.b.i: Clarity of type of response to non-compliance with legal requirements in respect of land-use planning as it relates to the forest sector | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with requirements in respect of land-use planning as it relates | 20xx BL | 20xy CRP |

| | | | |
|---|--|----------------|-----------------|
| | to the forest sector should be addressed by administrative action, or administrative or judicial penalties? | | |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.b.ii: Clarity of type of response to non-compliance with legal requirements in respect of land allocation | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with requirements in respect of the allocation of forests and forest land should be addressed by administrative action, or administrative or judicial penalties? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.b.iii: Clarity of type of response to non-compliance with legal requirements in respect of forest use and management | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with requirements in respect of forest use and management should be addressed by administrative action, or administrative or judicial penalties? Note that this indicator does not cover non-compliance with environmental requirements or the payment of fees in respect to use of forest resources, which are assessed below. It does cover requirements related to the harvesting of timber and non-timber forest products. | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements. | 3 | 3 |
| | Clarified for some but not all requirements. | 2 | 2 |
| | Not clarified. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.b.iv: Clarity of type of response to non-compliance with payment of fees in respect to use of forest resources | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with requirements in respect of payment of fees in respect to | 20xx | 20xy |

| | | | |
|---|---|--------------------|---------------------|
| | use of forest resources should be addressed by administrative action, administrative penalties or judicial penalties? Note that the fees covered in this indicator are those payable up to the forest gate. They do not include custom duties or export fees. | BL | CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.b.v: Clarity of type of response to non-compliance with environmental legislation | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with requirements of environmental legislation in respect of the forest sector should be addressed by administrative action, administrative penalties or judicial penalties? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.b.vi: Clarity of type of response to non-compliance with legal requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land | | | |
| Guiding question: | To what extent does the legal framework clarify whether a non-compliance with legal requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land should be addressed by administrative action, administrative penalties or judicial penalties? Third parties' legal rights concerning use and tenure could include, where applicable and legally recognised, the obligation: <ul style="list-style-type: none"> - To respect local communities' and indigenous peoples' legal, customary tenure and use rights within the area in which they are operating - To provide payments for harvest rights to communities or indigenous peoples based on customary laws and rights, in line with agreed amounts, and covered by receipts or any other mutually agreed evidence of payment. - To be granted Free Prior and Informed Consent where their rights have been relinquished to a third party | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |

| Details of the evidence to support and justify the scoring | | | |
|--|--|--------------------|---------------------|
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator E.1.c: Clarity of penalties for addressing non-compliance with applicable legislation | | | |
| This indicator seeks to assess the extent to which the legal framework clarifies the rules and/or formula for deciding the penalty that applies in the case of a non-compliance with the legal requirements. | | | |
| E.1.c.i: Penalties for non-compliance with legal requirements in respect of land-use planning as it relates to the forest sector | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with applicable legislation in respect of land-use planning as it relates to the forest sector? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.c.ii: Penalties for non-compliance with legal requirements in respect of land allocation | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with applicable legislation in respect of allocation of forests and forest land? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.c.iii: Penalties for non-compliance with legal requirements in respect of forest use and management | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with applicable requirements in respect of forest use and management? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |

| | | | |
|--|---|--------------------|---------------------|
| 20xy (CRP) | | | |
| E.1.c.iv: Penalties for non-compliance with legal requirements in respect of payment of fees in respect to use of forest resources | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with applicable legislation in respect of payment of fees in respect to use of forest resources? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.c.v: Penalties for non-compliance with environmental legislation | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with environmental legislation in respect of the forest sector? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.1.c.vi: Penalties for non-compliance with legal requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land | | | |
| Guiding question: | To what extent are there clear criteria for determining penalties for non-compliance with applicable legislation in respect of third parties' legal rights concerning use and tenure of forests and forestland? | 20xx BL | 20xy CRP |
| Scoring guide | Clarified for all requirements | 3 | 3 |
| | Clarified for some but not all requirements | 2 | 2 |
| | Not clarified | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Information and education for promoting compliance

This set of indicators seeks to assess the extent to which information for promoting compliance is available; and whether educational initiatives that promote compliance ex-ante and ex-post are in place/used.

This set of indicators is specific to information and education for promoting compliance in the management of forests for production, protection and conservation.

Indicator E.2.a: Existence of information for promoting compliance

This indicator seeks to assess the extent to which information for promoting compliance exists.

Information for promoting compliance with legal requirements for the management of forests for production, protection and conservation may be developed and disseminated by government agencies or other actors (e.g. CSOs, industry associations).

Information for promoting compliance refers to any type of information that is used to educate and raise awareness about legal requirements related to conservation, use and management of forests – in line with the areas covered in E.1. This information is intended to promote compliance with these regulations and best practices, ensuring that the forest sector operates in a responsible manner. This information can be in the form of guidelines, manuals, training materials, etc. It is used to educate operators (formal and informal enterprises including companies, communities, etc.) about the legal requirements and/or the specific actions they need to take to ensure compliance. It will not include information made by individual formal and/or informal enterprises to support their operations, nor information to promote compliance outside of the forest gates (transport, processing, and trade).

Information materials to promote compliance includes (but is not limited to):

- Government newspapers/magazines/radio announcements, etc. with relevant information
- Government procedure manuals, if targeted to operators
- Outreach materials on forest laws, regulations, and procedures
- Posters, flyers to raise awareness and inform communities and staff requirements in respect of the environment and forest use and management – for example on protection of water courses, on poaching, waste management, etc.
- Industry associations' codes of conducts, guidance, etc. whenever the associations' membership covers a critical mass (e.g. more or less 25% of forests are controlled/impacted by those members)
- Brochures about national legality assurance system targeting compliance within legal obligations happening within the forest gates. (Brochures aiming to advertise a system would not be included)
- Forest Monitor's reports targeted at the forest sector as a whole or at a particular operator (i.e. local communities, small private sector, etc.) to promote compliance

Information materials to promote compliance do not include:

- Formal laws and regulations (Official journal, Official gazette).
Whether these are publicly available is covered by area D (Transparency). They also do not promote compliance per se – i.e. they are not formulated in a way that promotes understanding of why compliance is needed and that encourages changes in behaviours needed for compliance.
- Government websites with information on forests, such as interactive forest atlas stating designation of forests for conservation/production/etc., state of the forests, forest maps, information on exports, lists on forest agreements and permits, management plans, forest inventories, boundaries, maps...
These documents could be useful for traders and buyers conducting due diligence, and/or for CSOs or stakeholders conducting independent monitoring of forests, but they do not directly promote compliance of operators.
- Companies' internal regulations, procedure manuals, etc.
The existence of own manuals and regulations by operators shows that the promotion of compliance has been successful, and they should not be counted as promoting compliance.
- Workshops/meetings documents

'Many types' means more than three different types of information materials.

'A few types' means roughly three different types of information materials.

| | | | |
|---|---|--------------------|---------------------|
| These documents are captured under the E.3. indicators. | | | |
| E.2.a.i: Existence of information for promoting compliance among formal enterprises | | | |
| Guiding question: | To what extent does information exist for promoting compliance among formal enterprises? Information can be in a variety of formats such as guidelines, flyers, posters, etc | 20xx BL | 20xy CRP |
| Scoring guide | Many types of information materials relevant to promoting compliance of formal enterprises exist for most legal requirements or those for which risk of non-compliance is highest. | 5 | 5 |
| | A few types of information materials relevant to promoting compliance of formal enterprises exist for most legal requirements or those for which risk of non-compliance is highest. | 4 | 4 |
| | Many types of information materials relevant to promoting compliance of formal enterprises exist for some legal requirements related to the management of forests for production, protection and conservation | 3 | 3 |
| | A few types of information materials relevant to promoting compliance of formal enterprises exists for some legal requirements related to the management of forests for production, protection and conservation | 2 | 2 |
| | Information relevant to promoting compliance of formal enterprises does not exist other than the actual laws and regulations applicable to the management of forests for production, protection and conservation | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.2.a.ii: Existence of information for promoting compliance among informal enterprises | | | |
| Guiding question: | To what extent does information exist for promoting compliance among informal enterprises involved in planting, managing and harvesting forests, or activities that may encroach on or degrade forests? | 20xx BL | 20xy CRP |
| Scoring guide | Many types of information materials relevant to promoting compliance of informal enterprises exist for most legal requirements or those for which risk of non-compliance is highest. | 5 | 5 |
| | A few types of information materials relevant to promoting compliance of informal enterprises exist for most legal requirements or those for which risk of non-compliance is highest. | 4 | 4 |
| | Many types of information materials relevant to promoting compliance of informal enterprises exist for some legal requirements related to the management of forests for production, protection and conservation | 3 | 3 |
| | A few types of information materials relevant to promoting compliance of informal enterprises exists for some legal requirements related to the management of forests for production, protection and conservation | 2 | 2 |

| | | | |
|---|--|----------------|-----------------|
| | Information relevant to promoting compliance of informal enterprises does not exist other than the actual laws and regulations applicable to the management of forests for production, protection and conservation | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator E.3.a: Application of educational initiatives for promoting compliance | | | |
| <p>This indicator seeks to assess the extent to which educational initiatives are carried out by government, CSOs or private sector that promote compliance with applicable legislation.</p> <p>Note that this indicator is not designed to assess existence of formal training institutions that run vocational or professional level forestry courses to individuals.</p> <p>In the context of these indicators, educational initiatives refer to programmes or projects aimed at improving the understanding of private sector actors of their legal obligation regarding conservation, use and management of forests. These initiatives range from government-led programmes to CSO and/or private sector initiatives, and includes those supported by donor funds or own resources.</p> <p>Examples of forest sector educational initiatives include training programmes for forest operators, forest sector trainings focusing on providing specific skills and knowledge to individuals or groups involved in the forest sector, or the provision of educational materials related to requirements for compliance with legal requirements regarding conservation, use and management of forests.</p> <p>Educational initiatives can be short-term, such as providing training on individual topics such as permissions for harvesting timber/non-timber forest products or requirements for consultation with communities, or more comprehensive, either by being carried out on a periodic basis or when needed (e.g. when a new law or regulation is issued).</p> <p>Initiatives that merely aim to inform and raise awareness of operators re their legal obligations is captured in the indicators above.</p> | | | |
| E.3.a.i: Educational initiatives that promote compliance among formal enterprises are carried out | | | |
| Guiding question: | To what extent are educational initiatives carried out to promote compliance among formal enterprises? | 20xx BL | 20xy CRP |
| Scoring guide | Many educational initiatives to promote compliance with most legal requirements or those for which non-compliance is highest are carried out | 5 | 5 |
| | A few educational initiatives to promote compliance with most legal requirements or those for which non-compliance is highest are carried out | 4 | 4 |
| | Many educational initiatives to promote compliance with few legal requirements are carried out | 3 | 3 |
| | A few educational initiatives to promote compliance with few legal requirements are carried out | 2 | 2 |
| | No educational initiative to promote compliance is carried out | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |

| | | | |
|---|---|--------------------|---------------------|
| 20xy (CRP) | | | |
| E.3.a.ii: Educational initiatives that promote compliance among informal enterprises are carried out | | | |
| Guiding question: | To what extent are educational initiatives carried out to promote compliance among informal enterprises? | 20xx BL | 20xy CRP |
| Scoring guide | Many educational initiatives to promote compliance with most legal requirements or those for which non-compliance is highest are carried out | 5 | 5 |
| | A few educational initiatives to promote compliance with most legal requirements or those for which non-compliance is highest are carried out | 4 | 4 |
| | Many educational initiatives to promote compliance with few legal requirements are carried out | 3 | 3 |
| | A few educational initiatives to promote compliance with few legal requirements are carried out | 2 | 2 |
| | No educational initiative to promote compliance is carried out | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Prevention of non-compliance

This set of indicators seeks to assess the extent to which enforcement officers are present presence of 'authorities' to promote compliance and prevent non-compliant behaviour (e.g. through officers stationed in or in proximity of a forest management unit or protected area, or in forest districts; conducting periodic patrols; check points, etc.).

Presence is not round-the-clock policing, rather it ensures a focus of resources on locations where law enforcement is needed most while reducing deployment where the need is more limited.

This set of indicators is specific to prevention of non-compliance in relation to the management of forests for production, protection and conservation.

Indicator E.3.b: Presence of enforcement officials for preventing non-compliance

This indicator seeks to assess the extent to which enforcement officers are present in relevant localities to prevent non-compliance in relation to the management of forests for production, protection and conservation.

E.3.b.i: Presence of forestry enforcement officers to prevent non-compliance in the management of forests for production, protection and conservation

| | | | |
|--------------------------|--|--------------------|---------------------|
| Guiding question: | To what extent are forestry enforcement officers present in forest areas to prevent non-compliance in relation to the management of forests for production, protection and conservation? This indicator is specific to the main government entity responsible for enforcement in forest management. | 20xx BL | 20xy CRP |
|--------------------------|--|--------------------|---------------------|

| | | | |
|--|---|--------------------|---------------------|
| Scoring guide | Strategic presence (e.g. presence according to strategic assessment of need or risks of non-compliance) or continuous presence in all or most forest areas. | 4 | 4 |
| | Ad hoc and strategic presence (e.g. presence according to strategic assessment of need or risks of non-compliance), depending on the area. | 3 | 3 |
| | Ad hoc presence (e.g. present when project funds available, present when the concessionaire provides transport, etc.) or duty-bound presence (i.e. to tick the box of having visited the area). | 3 | 3 |
| | Not present. | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.b. ii: Presence of other kinds of enforcement officers to prevent non-compliance in the management of forests for production, protection and conservation | | | |
| Guiding question: | To what extent are other kinds of enforcement officers present in forest areas to prevent non-compliance in relation to the management of forests for production, protection and conservation? This indicator is specific to any additional government entity – if applicable – and could include those responsible for enforcement of environmental requirements in forest management. Indicator is relevant for a secondary government entity: Y/N – if yes | 20xx BL | 20xy CRP |
| Scoring guide | Strategic presence (e.g. presence according to strategic assessment of need or risks of non-compliance) or continuous presence in all or most forest areas | 4 | 4 |
| | Ad hoc and strategic presence (e.g. presence according to strategic assessment of need or risks of non-compliance), depending on the area | 3 | 3 |
| | Ad hoc presence (e.g. present when project funds available, present when the concessionaire provides transport, etc.) or duty-bound presence (i.e. to tick the box of having visited the area) | 3 | 3 |
| | Not present | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

Detection of non-compliance and enforcement

This set of indicators seeks to assess the extent to which: information is collected and used strategically for targeted enforcement; and enforcement actions are taken.

For the purposes of this indicator, detection of non-compliance refers to methods of collecting and processing information on non-compliance for enforcement action to be taken. Enforcement refers to the process of investigating incidents of non-compliance to compel compliance or to punish non-compliance through the application of administrative and penal sanctions.

Indicator E.2.b: Existence of information systems in support of detection and enforcement
 This indicator seeks to assess the information systems basis for promoting compliance and addressing non-compliance.

| Guiding question: | To what extent have national procedures and systems been established for managing information (collecting and processing) on non-compliance in relation to the management of forests for production, and for protection/conservation? | 20xx BL | 20xy CRP |
|--------------------------|---|--------------------|---------------------|
| Scoring guide | National procedures and systems exist for both forest production and forest protection/conservation | 5 | 5 |
| | National procedures and systems exist for forest production or forest protection/conservation | 4 | 4 |
| | National procedures and systems are under construction for both forest production and forest protection/conservation | 3 | 3 |
| | National procedures and systems are under construction for either forest production or forest protection/conservation | 2 | 2 |
| | No national procedures and systems have been established | 1 | 1 |

Details of the evidence to support and justify the scoring

| | |
|------------|--|
| 20xx BL | |
| 20xy (CRP) | |

Indicator E.3.c: Functioning of information systems in support of detection and enforcement
 This indicator seeks to assess the functioning of information systems for promoting compliance and addressing non-compliance.

| Guiding question: | To what extent are national procedures and systems functioning for managing information on non-compliance in relation to the management of forests for production, and of forest protection/conservation? | 20xx BL | 20xy CRP |
|--------------------------|---|--------------------|---------------------|
| Scoring guide | National procedures and systems are functioning for collecting information, reporting on and planning actions to address non-compliance | 6 | 6 |
| | National procedures and systems are functioning for collecting information and reporting on non-compliance for both forest production and forest protection/conservation | 5 | 5 |
| | National procedures and systems are functioning for collecting information and reporting on non-compliance for either forest production or forest protection/conservation | 4 | 4 |
| | National procedures and systems are functioning for collecting information on non-compliance for both forest production and forest protection/conservation | 3 | 3 |
| | National procedures and systems are functioning for collecting information on non-compliance for either forest production or forest protection/conservation | 2 | 2 |
| | No national procedures and systems have been established or are under construction | 1 | 1 |

Details of the evidence to support and justify the scoring

| | | | |
|--|--|--------------------|---------------------|
| 20xx BL | | | |
| 20xy (CRP) | | | |
| Indicator E.3.d: Application of enforcement actions for non-compliance with applicable legislation | | | |
| This indicator seeks to assess the extent to which enforcement actions are taken to address non-compliance with applicable legislation. | | | |
| The scope of this indicator covers non-compliance by formal and informal enterprises, individuals and public/government entities. | | | |
| E.3.d.i: Application of enforcement actions for non-compliance with legal requirements in respect of land-use planning as it relates to the forest sector | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance in land-use planning? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.d.ii: Application of enforcement actions for non-compliance with legal requirements in respect of allocation of land rights | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance with legal requirements in respect of allocation of forests and forest lands? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.d.iii: Application of enforcement actions for non-compliance with legal requirements in respect of forest use and management | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance with legal requirements in respect of forest use and management? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |

| | | | |
|--|---|--------------------|---------------------|
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.d.iv: Application of enforcement actions for non-compliance by formal enterprises with requirements of legal requirements in respect of payment of fees in respect to use of forest resources | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance with requirements of legal requirements in respect of payment of fees in respect to use of forest resources? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.d.v: Application of enforcement actions for non-compliance with environmental legislation requirements applicable to the forest sector | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance with environmental legislation requirements applicable to the forest sector? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |
| E.3.d.vi: Application of enforcement actions for non-compliance with legal requirements in respect of third parties' legal rights concerning use and tenure of forests and forest land | | | |
| Guiding question: | To what extent are enforcement actions taken to address non-compliance in respect of third parties' legal rights concerning use and tenure of forests and forest land? | 20xx BL | 20xy CRP |
| Scoring guide | Application of administrative actions/penalties or judicial penalties as appropriate | 3 | 3 |

| | | | |
|---|--|---|---|
| | Ad hoc application of administrative actions/penalties or judicial penalties | 2 | 2 |
| | Mostly no action taken | 1 | 1 |
| Details of the evidence to support and justify the scoring | | | |
| 20xx BL | | | |
| 20xy (CRP) | | | |

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