

5. Cross-Cutting Institutions

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

- 5.1 **Legislature** includes both national and subnational law-making bodies.
- 5.2 **Judiciary** refers to the system of courts that interpret and apply the law. Some countries have specialized courts, including for environmental law.
- 5.3 **Executive agencies** include any institution in the executive branch of government with responsibilities that relate to or impact forests. Forest sector agencies may constitute a first priority for assessment, but these indicators may also be applied to agencies in other economic sectors relevant to forests.
- 5.4 **Private sector** refers to companies that extract forest resources or utilize forest lands for profit, such as timber, agricultural, and mining companies.
- 5.5 **Civil society** refers to a wide array of nongovernmental and not-for-profit organizations that have a presence in public life and interest in forest issues. These may include community groups, nongovernmental organizations, labor unions, indigenous groups, faith-based organizations, professional associations, and media organizations.

5.1 Legislature

86. Legislative rules of procedure

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

Indicator Guidance:

This indicator should be applied to the rules of the national law-making body (e.g., the legislature, national assembly, or parliament). Researchers should obtain copies of legislative rules of procedure—sometimes referred to as standing orders—and examine the extent to which they promote transparent and open legislative proceedings. Researchers may also wish to apply the elements of quality below to legislative committees¹⁷ or sub-committees in addition to plenary debate. If written copies of rules of procedure are not available, interviews with legislators or administrative staff may provide relevant information.

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

¹⁷ Many legislatures form specialized committees to analyze or draft sector specific legislation, which may provide an important entry point for public participation in legislative processes.

¹⁸ A referendum is a process that allows the public to vote directly on a proposal. In some countries, a referendum specifically refers to votes that are brought before the public by the legislature, as opposed to an initiative which is initially proposed by the public.

86. Legislature rules of procedure:		
Object of assessment:		
EOQ	Y/N	Explanation
Public access		
Public input		
Transparency		
Verbatim records		
Disclosure of reports		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

87. Legislative proceedings in practice

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

Indicator Guidance:

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

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

87. Legislative proceedings in practice		
Object of assessment:		
EOQ	Y/N	Explanation
Public access		
Public input		
Transparency		
Verbatim records		
Disclosure of reports		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

88. Capacity of legislators on forest issues

To what extent do legislators have the capacity to effectively legislate on issues related to forests?

Indicator Guidance:

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

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

88. Capacity of legislators on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Expertise		
Review of existing policies		
Information		
Strategic assessment		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

89. Quality of legislative decisions

To what extent are legislative decisions transparent and justifiable?

Indicator Guidance:

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

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

89. Quality of legislative decisions		
Object of assessment:		
EOQ	Y/N	Explanation
Recording of votes		
Disclosure of laws		
Responsiveness		
Review		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

5.2 Judiciary

90. Legal basis for the judicial system

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

Indicator Guidance:

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

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

90. Legal basis for the judicial system		
Object of assessment:		
EOQ	Y/N	Explanation
Authority		
Jurisdiction		
Jurisdiction (appeals)		
Appellate procedures		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

91. Accessibility of the judicial system

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

Indicator Guidance:

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

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

91. Accessibility of the judicial system		
Object of assessment:		
EOQ	Y/N	Explanation
Standing		
Legal support		
Language		
Affordability		
Awareness		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

92. Independence of the judicial system

To what extent are there measures in place to ensure judicial independence?

Indicator Guidance:

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

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

92. Independence of the judicial system		
Object of assessment:		
EOQ	Y/N	Explanation
Selection rules		
Tenure		
Salaries		
Selection procedures		
Security of tenure		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

93. Legal basis for judicial review

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

Research Methods Guidance:

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

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

93. Legal basis for judicial review		
Object of assessment:		
EOQ	Y/N	Explanation
Legal right		
Scope		
Institutions		
Procedures		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

5.3 Executive agencies¹⁹

94. Legal basis for executive roles and responsibilities

To what extent does the legal framework define clear roles and responsibilities for government agencies?

Indicator Guidance:

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

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

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

	should attempt to identify whether there are cases of overlapping jurisdictions or conflicts between government agencies (either horizontal or vertical) over mandates.
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94. Legal basis for executive roles and responsibilities		
Object of assessment:		
EOQ	Y/N	Explanation
Institutional mandates		
Division of Powers		
Accountability		
Coherence		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

95. Human resource policies of executive agencies

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

Indicator Guidance:

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

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

The agency addresses issues identified by staff performance reviews.	oversee performance of others to assess how performance issues are addressed. Corrective measures could include probationary periods, developing performance improvement plans with clear milestones, or other goal-setting exercises aimed at improving performance. Researchers should also assess how serious cases of misconduct are handled.
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95. Human resource policies of executive agencies		
Object of assessment:		
EOQ	Y/N	Explanation
Hiring		
Promotion		
Code of conduct		
Performance review		
Corrective measures		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

96. Internal performance monitoring of executive agencies

To what extent do executive agencies routinely monitor and report on their own performance?

Indicator Guidance:

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

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

	been strategic changes such as more resources, new protocols, additional oversight, or other strategy adjustments. Finally, if multiple performance reports are available researchers should review several reports to determine whether similar problems are being raised over time.
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96. Internal performance monitoring of executive agencies		
Object of assessment:		
EOQ	Y/N	Explanation
Performance goals		
Monitoring		
Separation of roles		
Transparent reporting		
Corrective measures		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

97. Independent oversight of executive agencies

To what extent are executive agencies subject to oversight by an independent institution?

Indicator Guidance:

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

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

performance identified by monitoring.	include the ability to enforce corrective measures or sanction inaction if problems are not addressed within a reasonable time period.
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97. Independent oversight of executive agencies		
Object of assessment:		
EOQ	Y/N	Explanation
Independence		
Authority		
Frequency		
Transparent reporting		
Corrective measures		
Enforcement		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five or more elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

5.4 Private sector²⁰

98. Legal basis for corporate financial transparency

To what extent does the legal framework require transparent and accountable corporate financial practices?

Indicator Guidance:

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

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

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

98. Legal basis for corporate financial transparency		
Object of assessment:		
EOQ	Y/N	Explanation
International companies		
Domestic companies		
Publication of accounts		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

99. Compliance of companies with financial transparency requirements

To what extent do companies comply with financial transparency requirements?

Indicator Guidance:

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

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

99. Compliance of companies with financial transparency requirements		
Object of assessment:		
EOQ	Y/N	Explanation
International compliance reports		
Domestic audits		
Publication of accounts		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

100. Corporate social and environmental practices

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

Indicator Guidance:

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

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

<p>4. Voluntary commitments. Companies participate in internationally recognized certification or standards programs.</p>	<p>Document whether any companies in the region of study are participating in voluntary standards or other internationally recognized programs. Examples in the forest sector include forest certification programs such as the Forest Stewardship Council or Programme for the Endorsement of Forest Certification. Agricultural companies may participate in commodity roundtables such as the Roundtable on Sustainable Palm Oil, Roundtable on Responsible Soy, or the Consumer Goods Forum. Examples for carbon projects may include Plan Vivo, the Voluntary Carbon Standard, the Clean Development Mechanism, or the Climate, Community, and Biodiversity Standards.</p>
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100. Corporate social and environmental practices		
EOQ	Y/N	Explanation
Social programs		
Employment		
Sustainability		
Voluntary commitments		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

5.5 Civil society²¹

101. Legal basis for civil society

To what extent does the legal framework support an active and independent civil society?

Indicator Guidance:

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

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

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

<p>5. Government discretion. The legal framework limits the discretion of the government to deny registration to civil society organizations.</p>	<p>Researchers should review registration requirements and identify any procedures or criteria that minimize government discretion in denying registration. Examples of minimizing discretion could include standardized evaluation criteria that must be reported on by those processing applications, specific time periods for making decisions, requirements for government staff to explain any denied applications, and ensuring a right of appeal for denied requests. Researchers should also identify any rules that make it easier to deny registration.</p>
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101. Legal basis for civil society		
Object of assessment:		
EOQ	Y/N	Explanation
Freedom of association		
Restrictions		
Funding		
Registration		
Government discretion		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

102. Capacity of civil society to engage on forest issues

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

Indicator Guidance:

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

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

102. Capacity of civil society to engage on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Funding		
Expertise		
Training		
Networking		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

103. Breadth of civil society engagement on forest issues

To what extent are civil society organizations actively engaged in forest-related processes?

Indicator Guidance:

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

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

103. Breadth of civil society engagement on forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Forest processes		
Sector processes		
Budget processes		
Breadth of analysis		
Influence		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

104. Generation of independent information and analysis about forests

To what extent do civil society organizations regularly generate independent information and analysis about forest-related issues?

Indicator Guidance:

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

Element of Quality	Guidance
1. Comprehensiveness. Civil society organizations conduct independent, high-quality research and analysis on a comprehensive range of forest topics.	Researchers should assess whether CSOs are producing research and analysis on a broad range of forest-related topics. Potential focal areas include forest cover trends, land use change, supply chain, social impacts, tenure and property rights, forest economics, biodiversity, ecosystem services, policy analysis, legal issues, institutional frameworks, or governance. Researchers should also identify any important areas of emphasis based on the social, environmental, and political context of the assessment.
2. Peer review. Civil society organizations ensure research products are peer reviewed.	Researchers should interview CSO staff about their institutional procedures for publishing. Institutions may have formal review policies, or peer review may be an informal practice that is sometimes used. Researchers should note any relevant procedures, how frequently they are used, the number of reviewers typically involved, and whether policies apply to all research products.
3. Publication. Civil society organizations routinely publish reports and analysis.	Researchers should compile a list of recent publications by domestic CSOs or relevant international groups working in the country of assessment. Publications may be accessible via CSO websites, international organizations that compile published literature (e.g., RECOFTC, the REDD Desk) or may require interviews with CSO staff to obtain hard copies. Researchers may also wish to survey CSOs, check websites, or review performance reports to assess the average number of annual publications.
4. Communication. Civil society organizations communicate research findings to relevant stakeholders in a variety of useful formats.	Researchers should survey or interview CSOs to determine what mechanisms they typically use to communicate about research, activities, or advocacy positions. Examples may include regular newsletters, websites, brochures, workshops, pamphlets, listservs, or other materials.

104. Generation of independent information and analysis about forests		
Object of assessment:		
EOQ	Y/N	Explanation
Comprehensiveness		
Peer review		
Publication		
Communication		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Medium ____
Three elements of quality		Medium-High ____
Four elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		

105. Media coverage of forest issues

To what extent does the media regularly investigate and report on forest-related issues?

Indicator Guidance:

This indicator assesses whether the media regularly reports on forest issues in practice. Researchers should identify relevant media outlets in the country of assessment (e.g., national newspapers, radio, TV, or other widely used sources) and narrow the scope to focus on one or several media outlets of interest. They should subsequently define a specific time period over which to review media reports for reporting on forest-related issues. Time periods could span several years, or be used to assess reporting around a particular event or series of events. Researchers could also apply this indicator as a focused case study to review media coverage in relation to a specific event. In order to collect information, they should review archives or relevant print or visual media; archives may be accessible in hard copy from media offices or in online databases. Where relevant, keyword searches and identifying numbers of citations in widely used media search engines may provide useful data.

Element of Quality	Guidance
1. Coverage. The media reports on forest issues of broad or national significance.	For the time period being assessed, researchers should review relevant media reports to identify what forest-related issues were reported. In particular, they should identify any major forest issues or decision-making processes that were ongoing during the time period to assess whether significant stories were covered.
2. Frequency. The media reports on forest issues with adequate frequency.	For the time period being assessed, researchers should review relevant media reports to assess the number and frequency of media reports on forest-related issues. They should attempt to assess whether the frequency of reports was sufficient to keep the public aware of major developments relating to the forest sector (e.g. laws passed, programs developed, or trends in forest cover).
3. Timeliness. Media reports about forest issues are generated in a timely manner.	Based on significant events identified in previous EOQ, researchers should document how much time passed between forest-related events or decisions and the publication of media stories. For stories related to specific processes, timeliness may include media reports on proposed meetings and activities, as well as reporting after the events have occurred.
4. Accuracy. Media reports about forest issues are accurate and up to date.	Researchers should review media reports for accurate reporting on forest-related issues. For example, media reports should be based on investigative research or verifiable information from credible sources. It should also accurately represent and summarize key developments such as the passage of new forest-related laws.
5. Balanced coverage. Media reports about forest issues reflect a balanced reporting on different perspectives	Researchers should analyze collected media reports to determine whether they are inclusive of different perspectives on the issues being reported on. For example, researchers should assess whether media reports present views of multiple actors with different opinions or stakes in the issues being reported on (e.g., forest communities, indigenous peoples, government actors, or private sector).

105. Media coverage of forest issues		
Object of assessment:		
EOQ	Y/N	Explanation
Coverage		
Frequency		
Timeliness		
Accuracy		
Balanced coverage		
Additional notes:		
Values		Select
Not applicable/assessed		
Zero to one elements of quality		Low ____
Two elements of quality		Low-Medium ____
Three elements of quality		Medium ____
Four elements of quality		Medium-High ____
Five elements of quality		High ____
Documentation:		
Researcher name and organization:		
Secondary sources: Record the following: document or source title, author or organization, date published, chapter or page, website (if relevant)		
Primary sources: For each of the above conducted, record: - Interviewee/participant name(s) and title - Institution/company/organization -Location and date of interview		