2. Land Use Indicators

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

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

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

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

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

2.1 Land use planning

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

2.2 Land use plan implementation

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

2.3 Sectoral land use

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

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

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

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

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

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

34. Strategic social and environmental assessment in sector planning

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

Indicator Guidance:

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

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

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

34. Strategic social and environmental assessment in sector planning

Object of assessment:

EOQ	Y/N	Explanation
Legal requirement		
Consistency		
Impacts		
Review		
Influence		

Additional notes:

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

Documentation:

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

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

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

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

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

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

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

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

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

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

Object of assessment:

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

Additional notes:

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

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

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

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

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

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

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

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

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

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

38. Implementation and enforcement of ESIAs in practice

Object of assessment:

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

Additional notes:

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

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

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

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

39. Monitoring social and environmental impacts of sectoral land use

Object of assessment:

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

Additional notes:

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

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

2.4 Forest classification

40. Legal basis for forest classification

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

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

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

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

40. Legal basis for forest classification		
Object of assessment:		
EOQ	**Y/N**	Explanation
Definitions		
Institutional mandates		
Procedures		
Restrictions		
Declassification		
Information requirements		
Additional notes:		

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

41. Information basis for forest classification

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

Indicator Guidance:

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

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

41. Information basis for forest classification		
Object of assessment:		
EOQ	Y/N	Explanation
Environmental information		
Land use information		
Economic information		
Impact assessment		
Additional notes:		

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

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

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

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

42. Appropriateness of forest classifications		
Object of assessment:		
EOQ	Y/N	Explanation
Coverage		
Legal compliance		
Existing rights		
Environmental objectives		
Transparency		
Additional notes:		

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

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