1. Legal and Institutional Framework

1.1 High-level policy

<table>
<thead>
<tr>
<th>Does policy exist? (0-2)</th>
<th>Quality of design (1-5)</th>
<th>Level of implementation (1-5)</th>
<th>Justification / additional qualitative explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.1 Does the country have high-level political and governmental mechanisms in place to tackle illegal logging?</td>
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</tr>
<tr>
<td>a. Has a review been carried out which both assesses how the country’s market activities impact on the problem of illegal logging and related trade and also investigates the extent and sources of potential illegal imports?</td>
<td>0 = no review carried out 1 = review in preparation 2 = review has been carried out</td>
<td>Is the review comprehensive and well drafted?</td>
<td>To what extent have the review’s findings been acted on?</td>
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<td>b. Is a national action plan in place for preventing illegally sourced timber from being imported or sold?</td>
<td>0 = no action plan in place 1 = action plan in preparation 2 = action plan in place</td>
<td>Is the plan comprehensive and well drafted?</td>
<td>To what extent has the plan been followed?</td>
</tr>
<tr>
<td>c. Does a formal process exist for high-level coordination of action on illegal logging across departments and sectors (e.g. a parliamentary committee or inter-ministerial task force)?</td>
<td>0 = no process in place 2 = process in place</td>
<td>Are all relevant departments included? Does the committee/task force have sufficient authority and appropriate members (e.g. level of seniority)?</td>
<td>Please rank the committee/task force’s performance e.g. Do meetings occur sufficiently regularly? Are meetings sufficiently well attended? Is committee proactive in identifying and considering relevant issues?</td>
</tr>
<tr>
<td>d. Are there formal consultation processes in place for multi-stakeholder involvement in developing policy and legislation to tackle illegal logging? These processes should ensure that viewpoints of stakeholders affected by legislation are taken into consideration.</td>
<td>0 = no process(es) in place 2 = process(es) in place</td>
<td>e.g. are all relevant stakeholders included in the process?</td>
<td>Please rank the performance of the process e.g.: Is sufficient notice given of meetings? To what extent are viewpoints actively sought and genuinely considered?</td>
</tr>
<tr>
<td>1 = action plan in preparation</td>
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<td>2 = action plan in place</td>
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<tr>
<td>e. Are there formal processes / policies in place aimed at ensuring a balanced participation of men and women in the development and implementation of forest sector policies? (Question added in 2018)</td>
<td>0 = no processes in place 1 = processes in preparation 2 = processes in place</td>
<td>1 = processes very poorly defined; 2 = processes poorly defined; 3 = processes defined, but limited to participation only (not requiring balanced participation); 4 = processes well defined; 5 = clearly defined processes</td>
<td>How widely used and implemented are these processes? Reasons for choice of score in each column</td>
</tr>
</tbody>
</table>

| f. Is illegal logging considered in the country’s climate change strategy (NDC or other climate change national policies - e.g. in relation to embedded deforestation in imports)? (Question added in 2018) | 0 = no consideration 1 = some / partial consideration 2 = comprehensive review | Are the strategy / climate policies comprehensive & detailed? | To what extent are the strategies/policies being implemented? Reasons for choice of score in each column |

### 1.2 International engagement

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<tbody>
<tr>
<td>1.2.1 What level of international cooperation is shown by the country?</td>
<td></td>
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</tr>
<tr>
<td>a. Does the country have formalised trade or customs arrangements with major trading partners e.g. FLEGT VPAs or Free Trade Agreements (FTAs) which include specific provisions on illegal logging?</td>
<td>0 = no 1 = negotiations in progress 2 = arrangements in place</td>
<td>How comprehensive and strong are the agreements’ provisions?</td>
<td>How well implemented are the agreements? Reasons for choice of score in each column &amp; justification for any change since previous assessment. Details of trade or customs arrangements (type of arrangement, name of partner county, when negotiations started/finished)? Recent developments?</td>
</tr>
<tr>
<td>b. Does the country have a formalized system in place for sending and receiving enforcement alerts regarding illegal shipments in transit to destination countries?</td>
<td>0 = no 1 = protocol in preparation 2 = protocol in place</td>
<td>Is the system formalized? Does the system have a dedicated staff member? Have contact arrangements been set up with key destination countries?</td>
<td>How well implemented is the system? Reasons for choice of score in each column &amp; justification for any change since previous assessment. Name of partner countries? When was protocol set up? Recent developments?</td>
</tr>
</tbody>
</table>
### 2. Regulating Demand

#### 2.1 Legislation & regulations on illegally sourced timber

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2.1.1 Does the country have adequate legislation and regulations in place to prevent illegally sourced timber from being imported or sold?

- **a. Has the country analyzed its existing legislation and regulations on preventing imports and sales of illegally sourced timber?**
  - 0 = no analysis carried out
  - 1 = analysis under way
  - 2 = analysis carried out
  - Is the analysis rigorous and comprehensive?
  - Was the process of analysis transparent, and were stakeholder views sought?
  - Reasons for choice of score in each column & justification for any change since previous assessment.
  - Further details on scope of analysis.
  - Who carried out analysis?
  - Recent developments?

- **b. Has additional legislation been enacted and regulations put in place to prevent illegally sourced timber from being imported or sold?**
  - 0 = no legislation
  - 1 = draft legislation pending approval
  - 2 = legislation in place
  - Is the legislation comprehensive, enforceable and workable?
  - How well implemented is the legislation?
  - Reasons for choice of score in each column & justification for any change since previous assessment.
  - Further details on scope of legislation.
  - Reference for legislation.
  - Recent developments?

- **c. If there is legislation in place to prevent the import of illegal timber, how broad is the product scope of this legislation?**
  - 3 = policy covers limited selection of timber products
  - 5 = policy covers all timber products (including paper & furniture)

- **d. If there is legislation in place to prevent the import of illegal timber, does it apply only to importers or to all those along the supply chain?**
  - 3 = policy covers importers only
  - 5 = policy covers all those (importers, traders, retailers, consumers) in the supply chain

- **e. If there is legislation in place to prevent the import of illegal timber, does it include a requirement on businesses to implement due diligence?**
  - 1 = policy does not include a due diligence requirement
  - 3 = policy includes a due diligence requirement

- **f. Is implementation of the policy systematically monitored and assessed?**
  - 1 = policy does not require monitoring to occur
  - 3 = policy requires monitoring to occur but not systematically / at regular intervals
  - 5 = policy requires systematic monitoring to take place at regular intervals

Reasons for choice of score in each column.

Recent developments (e.g. has monitoring improved recently, or are new monitoring systems under development)?
### 2.2 Policies & measures concerning demand for legal timber

#### 2.2.1 Is there a public procurement policy in place excluding illegal (and/or unsustainable) timber products from government purchasing?

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<tr>
<td>0 = no policy</td>
<td></td>
<td>To what extent is the policy being applied?</td>
<td></td>
</tr>
<tr>
<td>1 = policy under development</td>
<td></td>
<td>1 = minority/no contracts</td>
<td></td>
</tr>
<tr>
<td>2 = policy in place</td>
<td></td>
<td>3 = majority of contracts</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5 = all</td>
<td></td>
</tr>
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- **a. What level of adherence does the policy require?**
  - 3 = voluntary participation for central government depts
  - 5 = mandatory participation for central government depts

- **b. Does the policy cover all timber products, including paper?**
  - 3 = policy covers limited selection of timber products (e.g. does not include paper or furniture)
  - 5 = policy covers all timber products (including paper & furniture)

- **c. Does the policy rest on independent certification or verification schemes (or equivalent) for identifying legal products?**
  - 1 = policy does not rely on such schemes
  - 3 = policy partially reliant on such schemes
  - 5 = policy requires evidence from such schemes in all instances

- **d. Is assistance offered to government purchasers (advice, guidance, training, etc)?**
  - 1 = little or no assistance available
  - 3 = some assistance available
  - 5 = good level of assistance available

Brief description of policy status
Recent developments (not covered in sub-sections below)?

Reasons for choice of score in each column & justification for any change since previous assessment.
Recent developments (e.g. is application improving? Has policy become mandatory recently or is it planned to make it mandatory? What penalties exist for departments which fail to apply the policy?)

Reasons for choice of score in each column & justification for any change since previous assessment.
If policy does not cover all timber products, which does it cover?
Recent developments (e.g. is there any plan to extend coverage, or has coverage expanded recently)?

Reasons for choice of score in each column & justification for any change since previous assessment.
Brief description of schemes used and requirements.
Recent developments (e.g. is proportion of wood verified using independent schemes increasing? e.g. have changes occurred to the policy recently regarding use of independent schemes?)

Reasons for choice of score in each column & justification for any change since previous assessment.
What kind of assistance is offered?
Recent developments (e.g. is a specialist advice service in development?)
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<td>5 = policy requires systematic monitoring to take place at regular intervals</td>
<td>Reasons for choice of score in each column &amp; justification for any change since previous assessment. Which body monitors policy? Recent developments (e.g. has monitoring improved recently, or are new monitoring systems under development)?</td>
</tr>
<tr>
<td>f. Does the procurement policy apply to sub-national (provincial, regional, local) government?</td>
<td>1 = policy does not apply to sub-national government</td>
<td>3 = voluntary participation for sub-national government</td>
<td>5 = mandatory participation for sub-national government</td>
<td>Reasons for choice of score in each column &amp; justification for any change since previous assessment. Please provide details. Recent developments?</td>
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### 3. Rule of Law

**3.1 Law enforcement**

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#### 3.1.1 Do government institutions and agencies have sufficient capacity and resources to monitor trade in timber products and detect and suppress any related crime?

**a. Are the relevant law enforcement staff sufficiently resourced for monitoring and enforcement?**

(Relevant resources include budgets; numbers of staff; communications; equipment; salaries; as well as training in understanding of regulatory framework and knowledge of techniques for monitoring and enforcement)

i.e. competent authorities for legislation to prevent illegally sourced timber from being imported. (Question added in 2018)

To what extent are sufficient resources allocated in budgets?

To what extent are overall resources efficiently allocated to maximise their effectiveness in reducing illegal logging (e.g. Geographical priority areas, logistical priorities)

Reasons for choice of score in each column & justification for any change since previous assessment.

Recent developments?

**b. Are the following officials who are involved in forest sector enforcement, trained and kept up to date on relevant forest sector issues?** (Question added in 2018)

- **i. customs officials**
  
  0 = no training provided
  
  1 = partial training provided (e.g. only some relevant controls, only some ports)
  
  2 = full training provided

  Reasons for choice of score in each column

  Description of training provided.

  Who provides training?

  Recent developments / plans?

- **ii. judges and prosecutors** (Question added in 2018)
  
  0 = no training provided
  
  1 = partial training provided (e.g. only some relevant controls, only some ports)
  
  2 = full training provided

  Reasons for choice of score in each column

  Description of training provided.

  Who provides training?

  Recent developments / plans?

#### 3.1.2 Are the penalties/sanctions for non-compliance with legislation to prevent illegally sourced timber from being imported (if in place) proportionate & dissuasive? (Question added in 2018)

- **Are the maximum penalties defined in law sufficiently proportionate and dissuasive?**

  To what extent are proportionate and dissuasive penalties actually applied in practice? 

  Reasons for choice of score in each column.

  - Reasons for penalties defined in law not being proportionate and dissuasive (e.g. financial penalties not updated to keep up with inflation or changes in timber values).
  
  - Reasons for penalties applied in practice not being proportionate and dissuasive (e.g. compounding of offences, judges not imposing maxima because of corruption of lack of appreciation of importance of offence)