UN-REDD
PROGRAMME

GUIDANCE ON CONDUCTING REDD+ CORRUPTION RISKS ASSESSMENTS (REDD+ CRA)

UN-REDD PROGRAMME

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Acknowledgements

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I. Context

The forestry sector has traditionally faced many corruption challenges and REDD+ [1] is equally susceptible to corruption risks at various levels. Corruption can lead to decreases in REDD+ effectiveness (e.g. continued or increased deforestation and forest degradation), efficiency (by creating distortions in markets) and equity (by unfairly denying certain communities benefits from REDD+ payments), overall failing to deliver REDD+ development outcomes and leading to decreased confidence by local actors and international investors, therefore making the REDD+ mechanism unsustainable.

Countries undertaking REDD+ activities are required by the United Nations Framework Convention on Climate Change (UNFCCC) 2010 Cancun Agreements to develop both transparent forest governance systems as well as systems for providing information on how this governance safeguard and the others are promoted, addressed and respected. What's more, the overwhelming majority of REDD+ countries are signatories or have ratified the UN Convention Against Corruption [2], which sets out a number of corruption preventive measures and under which they have a number of obligations [3].

To be effective and deliver emission reductions and positive development results, national REDD+ strategies should minimize the vulnerability to corruption as well as identify measures to monitor corruption risks. The UN-REDD Programme Strategy (2010-2015) and its *Support to National REDD+ Actions: Global Programme Framework Document* [4] have integrated activities on anti-corruption to support transparency, accountability and integrity within the development and implementation of national approaches to REDD+.

Corruption is defined as "the misuse of entrusted power for private gain" [5] and occurs in public, private and non-public sectors. Corruption hinders countries' sustainable development and has detrimental impacts on the poor, marginalized and oppressed communities, such as women and indigenous peoples. There are different 'forms' and "types" of corruption' (Box 1).

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[1] REDD stands for Reducing Emissions from Deforestation and Forest Degradation and '+'indicates the REDD+ strategies go beyond deforestation and forest degradation, and include the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in reducing emissions.

[2] For a full list of signature and ratifications, please see http://www.unodc.org/unodc/en/treaties/CAC/signatories.html

[3] UNCAC, Articles 4-66 http://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf

[4] See Outcome 3 of the Support to National REDD+ Actions: Global Programme Framework Document. The UN-REDD Programme (www.un-redd.org) is the United Nations Collaborative Initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD). It builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The Programme supports developing countries prepare and implement national REDD+ strategies.

[5] *Corruption and Development: Anti-corruption Interventions for poverty reduction, realization of the MDGs and promoting sustainable development*, Primer on Corruption and Development, UNDP (2008) at pp.7.

Box 1: Forms and types of Corruption [*]

Forms of corruption

Bribery refers to the act of offering someone money, services or other inducements to persuade him or her to do something in return. Bribes can also be referred to as kickbacks, hush money, or protection money.

Cronyism and **clientelism** refer to the favorable treatment of friends and associates in the distribution of resources and positions, regardless of their objective qualification.

Nepotism is a form of favoritism that involves family relationships. Its most usual form is when a person exploits his or her power and authority to procure jobs or other favors for relatives.

Embezzlement is the misappropriation of property or funds legally entrusted to someone in their formal position as an agent or guardian.

Extortion is the unlawful demand or receipt of property, money or sensitive information to induce cooperation through the use of force or threat.

Fraud refers to an intentional misrepresentation which is done to obtain an unfair advantage by giving or receiving false or misleading information.

Patronage refers to the support or sponsorship by a patron (a wealthy or influential guardian), e.g. to make appointments to government jobs, or to distribute contracts for work.

Influence peddling, or **trading in influence,** is a form of bribery. For example, a person promises to exert an improper influence over the decision-making process of a public official or private sector actor in return for an undue advantage.

Abuse of public property or **improper use of public resources** refers to the inappropriate use of public financial, human or infrastructure resources

Money laundering involves the depositing and transfgering of money and other proceeds of illegal activities to legitimize these proceeds

Insider trading involves the use of information secured by an agent during the course of duty for personal gain.

Type of corruption

Petty corruption, also called bureaucratic corruption, involves low level contacts between citizens, businesses and officials and generally takes place where public policies are being implemented. It is common in service delivery, such as in health care, where people use public services.

Grand corruption involves bribery or the embezzlement of huge sums of money by those at the highest levels of power.

Political corruption results in gaining political power, or the misuse of political power for private gain for preserving or strengthening power, for personal enrichment, or both.

State capture is where the state is held captive to the actions of individuals, groups, or firms who influence the formation of laws, rules and regulations to serve their own private interests. This is a way of 'legalizing' corruption.

Systemic corruption is a situation where corruption is an integrated aspect of the economic, social and political system.

[*]: this list is not exhaustive and other terms, such as prevarication, conflict of interest, unlawful appointment, improper use of information, illegal extraction, mismanagement of public funds, etc, may need to be explained during the RCRA, using some of the many typologies useful to discuss corruption. Among these, please note The Basics of Anti Corruption, U4 (http://www.u4.no/articles/the-basics-of-anti-corruption/#3); The Multiples Faces of Corruption: Typology, Forms and Levels, José G. Vargas-Hernández ; Political Corruption: An Introduction to the Issues, Inge Amundsen; and A Corruption Primer: an Overview of Concepts in the Corruption Literature M.A. Thomas and Patrick Meagher

A number of analytical frameworks have been now released to unpack what is comprised in the broad term of "corruption in REDD+" at the national level. Without attempting to be exhaustive, these include:

1) An initial analysis of different risks classified according to the three phases of REDD+, by UNDP[6]
2) A framework by U4 classifying risks into three main categories (a) Land grabbing and tenure rights, b)Fraud and conflict of interest in MRV activities, and c) Embezzlement and elite capture of REDD+ revenues)[7]
3) A framework by "thematic areas" (a) policy, b) legislation and regulation c)financial and economic flows d) application activities e) monitoring and reporting and f) enforcement), by Transparency International[8].

II. Purpose

The UN-REDD Programme has developed the current voluntary *Guidance on REDD+ Corruption Risk Assessment (REDD+ CRA)* to **support countries in identifying corruption risks in REDD+ country programmes** and in developing systems and capacities to mitigate those risks. The results of the assessment will form the base for designing, implementing and monitoring the existence and effectiveness of anti-corruption measures. This guidance is a living document that will be revised as experiences are gained through piloting it through UN-REDD targeted support or by partners.

As countries implementing REDD+ readiness activities are working to meet the provisions of the UNFCCC Cancun Agreements and the Durban Outcome on safeguards and safeguard information systems, the REDD+ CRA can feed into their efforts to build a safeguards system. The REDD+ CRA can help to provide information on the principles and criteria defined in the UN-REDD Social and Environmental Principles and Criteria, developed to assist countries in developing country safeguards for REDD+.

The REDD+ CRA can therefore be used to ensure:
- that all relevant stakeholders understand corruption risks in REDD+ and are clear on their roles and responsibilities to mitigate these risks
- that corruption risks are adequately represented when developing country-level safeguards approaches, and safeguards information systems for REDD+
- that a monitoring mechanism for corruption risks in REDD+ is initiated
- that the National REDD+ Strategy incorporates effective measures to address REDD+ corruption risks that fully reflect national and international requirements

III. Framework for Analysis

1) Phases and Elements of REDD+: Risk Matrix

The Cancun Agreement (2010) identifies three phases in REDD+[9], namely:

➢ **Phase 1: Development of national REDD+ Strategies or action plans and capacity building.** In this phase, country teams, led by a Ministry, prepare a national REDD+ Strategy and start building capacity through inclusive stakeholder consultation at national, sub-national and community levels.
➢ **Phase 2: Initial implementation of national policies and measures** national strategies or action plans including capacity-building, technology development and transfer and results-based demonstration activities**.**
➢ **Phase 3: Results-based actions (at a national scale) that should be fully measured, reported and verified.**

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[6] *Staying on track : Tackling Corruption Risks in Climate Change*, UNDP, December 2010

[7] *Corruption and REDD+- Identifying Risks Amid Complexity*, U4/CMI May 2012

[8] *Keeping REDD+ clean : A Step by Step Guide to Preventing Corruption*, Transparency International, October 2012, available at
http://www.unredd.net/index.php?option=com_docman&task=doc_details&gid=8529&Itemid=53

[9] UNFCCC (2010), Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010, FCCC/CP/2010/7/Add.1.

It should be noted that these phases are not strictly sequential ; indeed, experience on REDD+ readiness implementation have shown that readiness is a continuous process, with some countries undertaking Phase II activities during what is theoretically Phase I.
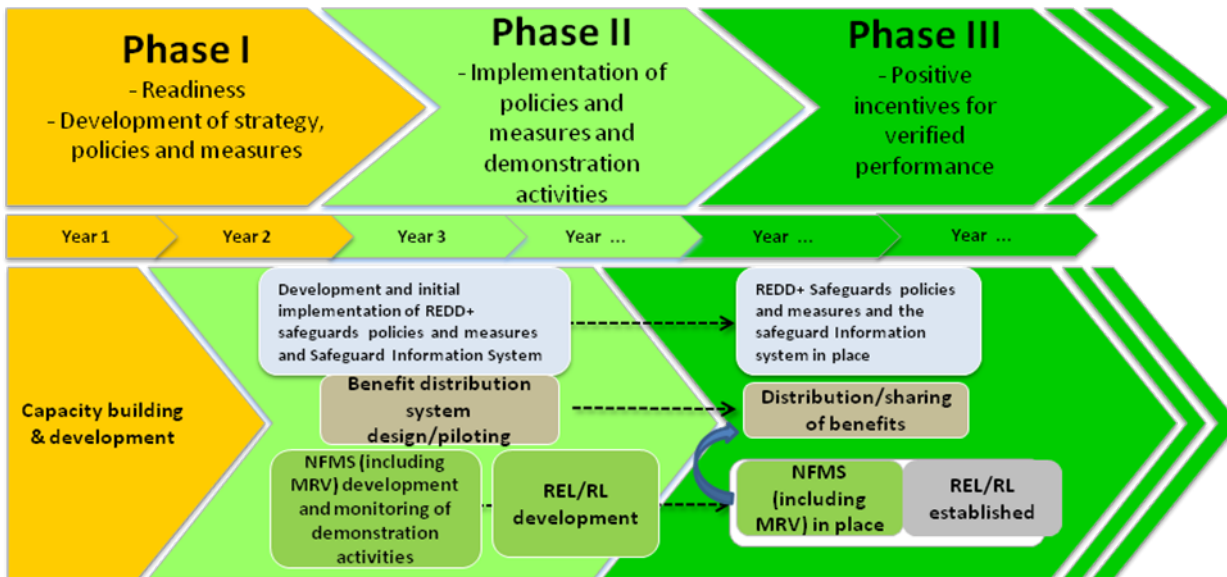

Figure 1 : Phases of REDD+

It is therefore important to consider corruption risks and impacts in each phase of REDD+, as corruption risks will change as countries move through these three phases. For example, in Phase 1, a significant risk is that the design of the national REDD+ strategy or action plan favors certain powerful individuals and actions at the expense of others (see table 1)[10], particularly those that are marginalized, such as the poor and women, while in phase 3 new risks related to the embezzlement of REDD+ revenues will arise.

The REDD+ CRA Methodology aims to assess risks in all three phases. Depending on the stage of implementation of REDD+ in a specific country, the risk assessment may either be forward-looking (i.e., anticipating risks in the future) or reviewing past practice. The findings will inform the development of risk mitigation strategies, which will be implemented as part of the REDD+ National Strategies.

To provide a structure to the REDD+ Corruption Risk Assessment (REDD+ CRA), it is useful to consider the major components of a REDD+ Programme. These points below are primarily derived from the Cancun Agreements, with consideration of key elements for the success of REDD+ and of particular relevance to governance and anti-corruption.

- **Strategy or action plans**: strategies may vary in scope and levels of details, as only a few countries have developed a national REDD+ strategy to date[11]. The strategy conceptualizes what policies and measures will be.
- **Policies and Measures:** REDD+ Programmes initially develop strategies, policies and measures to reduce emissions. Their development starts in phase 1 and may continue throughout the phases, as policies may be adapted over time. The primary policy is the national REDD+ strategy mentioned above; while developed in Phase 1, it may lead to the adoption of further legal frameworks, administrative rules and procedures and other measures to implement the national REDD+ strategy at the national and local level. These policies also include

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[10] Module 3 of Transparency International's Manual "Keeping REDD Clean_A Step by Step Guide to Preventing Corruption" should also be consulted. It provides a useful list of examples of corruption risks.
[11] Some examples may be found here :
http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1025&Itemid=53

the development of safeguards information systems (see below). The REDD+ CRA will assess whether the development or implementation of these policies and measures are prone or have been prone to corruption risks.

- **National Forest Monitoring Systems, including systems for Measurement, Reporting and Verification:** This is a country's system developed to measure national-scale forest greenhouse gas emissions and carbon sinks, using a combination of remote sensing and ground-based forest carbon inventory approaches, that fulfills the measurement, reporting and verification (MRV) function for REDD+. The NFMS can also be used to collect and assess a broad range of related forest information, depending on domestic priorities, and monitor the implementation of national policies and measures. A number of institutions and actors play a role in the measurement, reporting and verification of emissions and sinks, as well as the monitoring process. This includes the establishment of reference levels against which emission reductions or enhancement of sinks would be measured, as well as the information system for social and environmental safeguards.

- **Reference Levels/Reference Emission Levels:** Reference emission levels (RELs) and/or reference levels (RLs) serve as benchmarks for assessing each country's performance in implementing REDD+ activities. These REL/RLS may be sub-national as an interim, or temporary, measure, but ultimately need to be at a national-scale.

- **Benefit Distribution System (BDS):** This is a system used to ensure that benefits secured through reducing emissions are distributed equitably to those stakeholders who have made investments to secure the reduced emissions.

- **Addressing and respecting safeguards, and developing a safeguards information system[12]** : It was agreed at the UNFCCC COP 16 in Cancun (2010) that a set of seven safeguards should be 'promoted and supported' when undertaking REDD+ activities. The Cancun Agreements, and the subsequent Durban Agreement, also requested parties implementing REDD+ to provide information on how safeguards are being addressed and respected throughout the implementation of the REDD+ activities. These Safeguard Information Systems (SIS) will provide a systematic approach for collecting and providing information on how REDD+ safeguards are being addressed and respected throughout REDD+ implementation.

It is crucial to understand that corruption risks may occur during each of the phases above. However, **note that this does not imply that the assessment should necessarily be carried out during each phase – the first assessment should preferably be carried out as early as possible, i.e. during Phase I,** and at repeated intervals thereafter, according to the country's progress on REDD+ readiness. The matrix below summarizes the major risk categories.

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[12] *Putting REDD+ Safeguards and Safeguard Information Systems into Practice*, UN-REDD Policy brief, 2012 at
http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1245&Itemid=53

Table 1: Matrix of corruption risks in each phase and element of a national REDD+ system

	Phase I: National Strategy development	Phase II: Implementation of policies and measures and national strategy	Phase III: Results-based actions
Policies & Measures	• Bribery or undue influence to define "forest" in such a way as to include or exclude areas under the control of those with influence/power, resulting in state capture[13] • Collusion (secret agreements) to favour certain types of REDD+ activities that favour one sector • Undue influence to determine who is eligible to conduct REDD+ activities, resulting in state capture • Undue influence to create fraudulent licenses, land titles or Carbon rights • Fraud to avoid the recognition of informal and customary tenure rights[14] • Lack of transparency allowing cronyism in the appointment of new staff to conduct the readiness process	• Corruption that results in REDD+ safeguards not being adhered to • Collusion, extortion, bribery or cronyism in the procurement of goods and services, • Bribery, cronyism, abuse of discretion, and/or collusion to overlook poor enforcement • Corruption of the judiciary system or other informal or customary complaints resolution system	• Undue influence and bribery to ignore breaches of REDD+ laws and regulations
National forest monitoring system, including MRV	• Identification of roles and responsibilities in MRV in such a way as to allow future manipulation of data • Auditing parameters for verification made deliberately unclear	• Manipulation of data to favour certain stakeholders in demonstration activities • MRV actors over-estimate the amount of reduced or avoided emissions (or enhanced carbon stocks) in demonstration activities	• Manipulation of data to favour certain stakeholders • MRV actors over-estimate the amount of reduced or avoided emission, or enhanced carbon stocks • Undue influence or pressure to overlook due diligence in verification
REL/RL	• Identification of "national circumstances" to favour those with influence/power and/or marginalize others, thereby exacerbating existing inequalities • Deliberately inflating (or lowering, in case of enhancement) the reference level/reference emission level [15] in order to be able to claim greater emission reductions/ enhancement of stocks	• Deliberately inflating (or lowering, in case of enhancement) the RL/REL at demonstration activity levels	• Artificially inflating (or lowering, in the case of enhancement) the reference level/reference emission level at national (or subnational in interim) scale[16]
BDS	• Intentionally weak designs to favor obscure movements of funds • Definition of beneficiaries to favour those with	• Undue influence to link Carbon rights to state ownership excluding informal or customary tenure	• Embezzlement of REDD+ revenues • Fraud related to the distribution of benefits from REDD+ revenues,

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[13] Could belong to MRV as well

[14] For example, in order to limit stakeholders' ability to exercise their rights to decision-making and benefits

[15] They can be revised, so this could occur in later phases as well

[16] Ibid

	influence/power and/or exclude the poor and marginalized	• Bribery to register Carbon rights over particular parcels of land	limiting the equitable distribution of such benefits • Laundering of money and other assets through the purchase and sale of Carbon rights
Addressing/respecting Safeguards, and Safeguards Information System	• Inaccurate information to deliberately limit effective engagement and decision-making power of certain stakeholders, particularly marginalized populations, such as women, indigenous people and the poor. • Fraud to deliberately design weak system of information for environmental and social safeguards[17]	• Fraud to deliberately implement weak policies/measures on safeguards and/or system of information for safeguards	• Fraud in reporting information on social and environmental safeguards • Bribery to overlook non-respect of safeguards • Extortion to release official information necessary to provide information on how safeguards are addressed and respected

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[17] This is assuming the system already exists, and could in some countries be more applicable to phase II

2) Who is involved in the REDD+ CRA?

Throughout the REDD+ CRA, in order to help achieve buy-in, ownership, transparency and accountability, it is important to involve all relevant stakeholders - through adequate representation when needed - for each of the three REDD+ implementation phases and the main focus areas described above. This does not imply that all stakeholders should be polled at all times, but should initiate strategic thinking about stakeholders' knowledge or interest, in order to inform how to gather their inputs on distinct processes and activities. Existing REDD+ stakeholder platforms – for example a REDD+ SES committee or a UN-REDD Participatory Governance Assessment Steering Committee – should be used.

These stakeholders will usually include: the Ministry of Environment, the Ministry of Forestry (if separate), other ministries and state agencies engaged in the REDD+ readiness process, sub-national or local authorities also private sector entities relevant in drivers of deforestation and forest degradation, forest communities, indigenous peoples, women's groups, journalists, civil society organizations, academics etc. It will be crucial to ensure that all interests and positions are represented, as opposed to only the most influential organizations or persons.

Because of their role in REDD+ and in demanding accountability, particular attention should be given to the engagement of civil society and indigenous peoples at the local level, either directly or through their partners at the national level. The joint Forest Carbon Partnership Facility (FCPF) and UN-REDD Programme Guidelines on Stakeholder Engagement in REDD+ Readiness[18] offer useful guidance and should be consulted in this exercise.

Following consultation with the UNDP anti-corruption advisors, it is also highly encouraged to involve the national Anti-Corruption Agency, General Auditor's Offices[19] and/or other instances leading on anti-corruption issues in a given country, in the process of undertaking the REDD+ CRA.

It will be important to explain clearly the purpose, rationale, as well as expectations of the CRA exercise to the stakeholders, which may be done through a kick-off workshop.

3) Methodology: REDD+ CRA step by step

Once commitment has been gathered from a country to undertake a REDD+ RCA, the following steps should be taken.

i)   Establish an REDD+ CRA Team

The team will usually consist of one or more national consultants (one of whom will be designated the "coordinator"), supported by technical advisors from the UN-REDD Programme (UNDP) at global and regional levels, UNDP Democratic Governance advisors from UNDP Headquarters, regional levels and country offices, and possibly Oslo Governance Centre staff.

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[18] Available in Spanish, French and English here :
http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1467&Itemid=53
[19] Information about international cooperation between general Auditor's offices may be found at
http://www.riksrevisjonen.no/en/InternationalActivities/development/Pages/development.aspx

The team should agree on the objective of the REDD+ RCA and follow up actions.

Sample Terms of Reference (ToRs) for the national consultant may be found in Annex 3.

ii)   Desk Research

The coordinator, supported by other national consultants, if any, will collect secondary data from relevant documents. The most important secondary information consists of legal documents, including the current legal and policy provisions and practices to control corruption in the forestry sector and beyond, as well as previous corruption assessments, studies and positioning papers, not limited to the forest sector[20]. A short synthesis report highlighting the national enabling/disabling environment and most common/accepted corruption practices will be produced.

Through this process a preliminary mapping of key stakeholders, described fully in step 3, will be initiated.

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[20] FAO's National Forest Programme database of country profiles has a comprehensive list of relevant legislation

iii)   Identify the stakeholders to be involved in the REDD+ CRA

The coordinator, supported by other national consultants, if any, and **in consultation with national REDD+ multi-stakeholder advisory and decision-making bodies**, will undertake the stakeholder mapping and strategize on the level of involvement required according to power/authority and interest (see Figure 2).
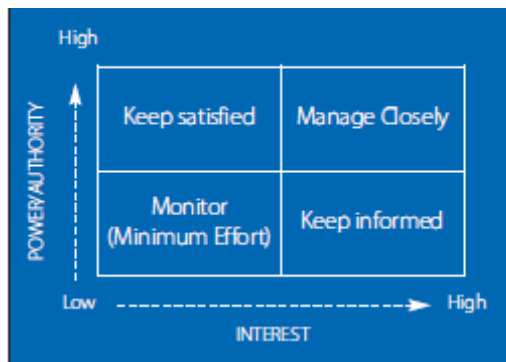

Figure 2: Making sense of how to involve stakeholders[21]

Note that the process of identification of stakeholders for a corruption risk assessment is analogous to the process for a number of other governance assessments, such as a Participatory Governance Assessment for REDD+. If such mapping has already been conducted, its results should simply be validated and used.

iv)   Understand the Institutional Context

It is highly desirable for the REDD+ CRA team to have a ***common*** understanding of the institutional context in which REDD+ is progressing in the country, as well as corruption and anti-corruption efforts. In some cases this understanding can be gained from recent literature; in others, a deeper institutional context analysis may have to be conducted.

Such analysis provides valuable information on power relationships among stakeholders, and may therefore guide the design of workshops and surveys[22]. By assessing the relative power/authority and interest of stakeholders help determine how best to understand and manage corruption vulnerabilities, as well as how to differentiate engagement with the different stakeholder groups. In addition to identifying the actors and institutions involved in the different activities in the sector, such analyses are crucial to uncover where overlaps and conflicts lie, where power is concentrated and other influential factors. Given the sensitivity often associated with corruption, an understanding of who has interest in seeing corruption unchecked - or

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[21] http://www.undp.org/content/dam/undp/library/Democratic%20Governance/IP/Practicioners_guide-Capacity%20Assessment%20of%20ACAs.pdf

[22] ICAs "refers to analyses that focus on political and institutional factors as well as processes concerning the use of national and external resources in a given setting, and how these have an impact on the implementation of UNDP programmes and policy advice". They seek to help UN RCs, country teams and UN COs to be more strategic in their engagement with different actors and sectors, and provide tools for disaggregating the incentives and constraints related to supporting UN development interventions. A reference document is available online here : http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/oslo_governance_centre/Institutional_and_Context_Analysis_Guidance_Note/

prevented - will help understand where the resistance to change lies – and where opportunities for change can be found.

v)   Conduct the REDD+ CRA stakeholder survey

All stakeholders identified under step (ii), above, should be asked to complete a survey. To ensure all relevant stakeholders can participate in the survey, it is critical that the coordinator understands and takes into account the relationships among stakeholder groups, including both women and men stakeholders. This consideration will help ensure that all relevant stakeholders can meaningfully participate and complete the survey.

Initially, stakeholders should be invited to complete an on-line survey (using Survey Monkey) organized by the coordinator; subsequently, for those who do not have internet access, or who did not complete the on-line survey, it can be completed in hard copy, although ways to retain anonymity should be explored.

The survey serves different purposes:

-    As an awareness-raising tool
-    To provide initial insights on the major concerns expressed by stakeholders
-    To point to trends in perceptions among different stakeholder groups (such as civil society, private sector, women, youth, government agencies, anti-corruption bodies etc).

The survey should have 3 main sections:

1) To reflect these viewpoints of certain age groups and sexes for example, data needs to be disaggregated by such parameters. To achieve these types of results, the questionnaire should therefore start with brief demographic questions including age, sex, category of work (government, CSO, anti corruption body, private sector, media, other)

2) Based on the nine cells in the matrix above. The REDD+ CRA team should adapt the risks described in the nine cell matrix and add questions, as necessary, that reflect the country's institutional context. For each identified question, respondents should be asked to reflect on:
    o   What is the risk of this occurring (on a scale of 0-5)?
    o   What is the potential impact [23] of the risk if it were to occur (scale of 0-5)?
3) Open field to identify other corruption risks not included in the matrix; and score them as for the others.

The coordinator, supported by other national consultants and UN-REDD Programme/Democratic Governance technical advisors will analyze the results of the on-line survey.

Note that such survey is perception-based and conclusions should not be drawn prior to gathering evidence-based data.

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[23] See Transparency International Manual for guidance on impacts : they may be human (on local livelihoods, on environmental services, or on social grievances); financial (on tax revenues, on investment); or political (ability of the state to deliver services, elite capture). If possible, these different types of impacts should be captured in the report of the Focus Group Discussions.

vi)   Conduct focus group discussions (FGDs)

The coordinator, supported by other national consultants, if any, will organize a number of FGDs. These could include both national and sub-national events, but they **should be structured to avoid mixing of stakeholders among whom conflicts may arise**.

Additionally, it is critical to ensure that FGDs are held in a location and time where all relevant stakeholders, including women and community groups, can be adequately represented, meaningfully participate, and have their gender-defined roles, contributions and constraints taken into account. Such a process might require mixed focus groups, or alternatively separate FGDs. They could also require informing stakeholders on the purpose of the meeting and the issues at hand, allowing them to then be able to effectively participate and contribute to the desired goals of the FGD. A situational/stakeholder analysis would help identify such power dynamics, constraints and opportunities for the FGDs, as well as identify whether mixed and/or separate FGDs, for example for women and men, will be needed.

UN-REDD Programme/DG technical advisors will attend at least some of the FGDs, where possible. The FGD meetings should consist of the following elements:

- An opportunity for those who have not completed the on-line survey to complete the survey in hard copy anonymously
- An introduction to the results of the survey (limited to on-line results), including discussion on risks that are rated surprisingly high or low.
- Data gathering on assessing the context – i.e. the effectiveness of measures in place to curb corruption risks. For each of the critical corruption risk (i.e., risk with a high probability of occurrence and greater potential impact), a discussion on what measures are currently in place to mitigate any risk and what additional measures could be introduced to reduce the risk further. The table below provides some guidance[24]

When necessary, and given the sensitive nature of the discussions, a confidentiality agreement may be considered.

Note that, as shown in the table below, some answers – notably those on the existence of the measure - may have been answered through the desk research, while others – notably on the effectiveness of the measure – are more fitted for focus group discussions. In addition, not all focus groups will be expected to answer all questions[25]. This decision will be made by the coordinator.

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[24] This table has been adapted from the 'Benefit and Risk Tool" (BeRT) that is being developed by the UN-REDD Programme to accompany its Social and Environmental Principles and criteria, which seeks to support countries in building a safeguards system to meet the provisions of the Cancun Agreements. The BeRT contains a list of questions related to governance, including some of direct relevance to anti-corruption, that have been adapted in the table below. The BeRT also contains a list of relevant sources. The latest draft is available here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6352&Itemid=53

[25] For example, a community based NGO working with forest people may have good insights into issues related to benefit sharing and participation, or illegal logging, but is unlikely to have good insight into the internal accountability mechanisms of the department of forestry etc.

Table 2.a: assessing the integrity, transparency and integrity context relevant for REDD+

Topic	Sample questions	Desk study	FGD	What REDD+ corruption risk (see matrix) would this aggravate/improve?
Anti corruption framework	Has the country ratified UNCAC or other regional agreement against corruption? Does the country actively enforce the principles from these conventions?	X	X	
State capture	What are the conditions that facilitate corruption in policy-making processes?		x	
Legal framework	Are revisions to forest laws, other relevant laws (e.g., tenure laws) or proposed corruption mitigation-related policy reforms necessary to tackle corruption risks?		X	
Fund management systems	Have relevant fund management systems been described elsewhere, including national budgeting processes, management of funds in the forest and other natural resource sectors, and donor funding systems?	X		
	Are there laws assigning clear authority, roles and responsibilities for the collection, commitment and use of public funds in sectors relevant to the REDD+ programme/strategy?	X		
	To what extent are existing public accounting systems relevant to making the REDD+ programme/strategy transparent and predictable?	X	X	
	Is there a system for timely reports on fiscal activity in the forest sector and other sectors relevant to REDD+ and are these reports publicly accessible? How effective are these?	X	X	
	Do bodies/agencies relevant to REDD+ apply internal controls and external auditing to their fiscal spending? How effective are these?	X		
Procurement policies and systems	Are the procurement policies and legal and regulatory frameworks compatible with the overall national legal regime and when appropriate with international norms and standards?	X		
	To what extent do authorities provide	X	X	

Topic	Sample questions	Desk study	FGD	What REDD+ corruption risk (see matrix) would this aggravate/improve?
	access to the general public on information on procurement plans, procurement notices and contract awards?			
	Are there clear accountability and compliance procedures that can be applied in the conduct of procurement-related to REDD+?	X	X	
Accountability	Are systems in place for integrity monitoring and testing systems that include wealth/lifestyle audits for public officers and ad-hoc integrity checks?	X		
	Do public service performance management system – that include transparency and accountability as part of performance criteria - exist in governmental bodies in charge of REDD+? Are they effectively applied?	X		
	Do structures or forum for citizens, including for both women and men, to demand accountability exist and can be applied for REDD+?	X		
Transparency and Access to Information	Does infrastructure for access to information exist up to the subnational/district level? If so, who has access to it?		X	
	To what extent are these effective?	X	X	
	Is there a clear and accessible mechanism available to request information if it has not been actively disclosed? How has this mechanism been communicated to stakeholders?	X	X	
	Does the country have a freedom of information law or act? Are there other government policies that support free and timely stakeholder access to information about the REDD+ program, including information on rights to lands, trees and resources? If so, do all stakeholders have access to it?	X		
Complaints and justice delivery	Do impartial, accessible and fair mechanisms for feedback, grievance, conflict resolution and redress exist? Are these accessible to all stakeholders, including those with varying literacy	X		

Topic	Sample questions	Desk study	FGD	What REDD+ corruption risk (see matrix) would this aggravate/improve?
	abilities and ethnic groups and/or indigenous peoples that may speak different languages? Do these policies contain: clear definitions of what constitutes a complaint; when and how they can be filed; independent support for complainants; protection of the identity of complainants; clear lines of responsibility for oversight of the mechanism; provisions for appeal and clear lines of independence between those investigating complaints and the complainants?			
	Is the speed and success rate with which investigation, arrest, prosecution and correction conducive to deter those who might be tempted to engage in corrupt activities?		X	
	Are there relevant existing programmes and institutions that help to ensure access to justice for stakeholders? Including, for example, programmes on: legal protection, legal awareness, legal aid and counsel, adjudication, enforcement and civil society/parliamentary oversight. How accessible are these to all stakeholders?	X	X	
	Are whistleblowers protected by national legislation?	X		

When and if a national REDD+ strategy already exists, even in draft form, additional focus group discussions should also evaluate how this strategy deals with transparency and accountability issues. Here the choice of stakeholders to be polled will be narrower, as fewer stakeholders may be familiar with the strategy.

Table 2 b: assessing the integrity, transparency and integrity context of a REDD+ strategy

Topic	Sample questions	Desk study	FGD	What REDD+ corruption risk (see matrix) would this address ?
Fund management systems	Does the REDD+ strategy explain approaches to ensure the transparency and integrity of fund management systems?	X		
	Does the REDD+ strategy assign clear authority for the use of funds, describe accounting systems and approaches to ensure transparency such as schedules for reporting, internal and external audits and participation and feedback mechanisms for those involved in REDD+ activities?	X		
Participation	Have national anti-corruption agencies or bodies been engaged and consulted during in the development of the national REDD+ strategy?	X		
	Do clear rules on stakeholder participation exist in all key decision-making bodies and/or are they established by the REDD+ strategy?[26]	X		
	Are all relevant stakeholders, including marginalized populations, involved in designing nationally- appropriate indicators for safeguards information systems?	X		
	Are there specific plans to develop the capacities of civil society and indigenous people to engage in anti-corruption for REDD+?	X		
Transparency and access to information	Does the REDD+ strategy include clear rules on transparency, such as disclosure policies, active dissemination through multiple and appropriate channels and clear rules on when and how often information will be made public?	X		
	Does the strategy include adequate planning about how information will be made accessible to potentially interested members of the public, including information about program design,	X		

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[26] This includes policies explaining the organizational structure and membership of decision-making structures, clear descriptions of the principles that guide decision-making, comprehensive stakeholder analysis to identify stakeholders and criteria to decide who is involved, and a clear timetable for decision-making processes. Please Refer to the joint Forest Carbon Partnership Facility (FCPF) and UN-REDD Programme Guidelines on Stakeholder Engagement for more guidance on how to ensure adequate participation.

	implementation and evaluation, including social and environmental impact assessment, benefit-sharing, biodiversity and ecosystem services and rights to lands, territories, resources? If so, does it account for peoples' various education levels and accordingly disseminated through various media outlets, such as in writing, on the radio, in local languages, etc.?			
	Have appropriate means of communication been considered for each rights holder and stakeholder group? In particular, are there specific provisions for providing information to vulnerable groups (i.e. women and the poor), including in culturally appropriate forms and resources to help them access information?	X	X	
	Does the strategy contain specific reference to how information regarding safeguards will be provided to stakeholders?	X		
Citizen demand for accountability	Is there a specific plan to encourage citizens to demand information on public undertakings relevant to REDD+, such as budgets, expenditures, employment opportunities, procurements, etc.?	X		
Complaints and justice delivery	Does the strategy provide for its own impartial, accessible and fair mechanisms for feedback, grievance, conflict resolution and redress? Does it detail its accessibility to all stakeholders, including those with varying literacy abilities and ethnic groups and/or indigenous peoples that may speak different languages. Do these policies contain: clear definitions of what constitutes a complaint; when and how they can be filed; independent support for complainants; protection of the identity of complainants; clear lines of responsibility for oversight of the mechanism; provisions for appeal and clear lines of independence between those investigating complaints and the complainants?	X		

The coordinator, supported by other national consultants, if any, will document all information generated by the FGDs.

Note that column 2 combines i) questions related to input/commitment/de jure ii) questions related to process/responsibility and iii) questions related to output/outcome/enjoyment/performance/de facto, as have been categorized in UNDP's "Governance Indicators: A Users' Guide" [27]. It is important to understand that no sole question or indicator depicts a complete picture.

vii)   Analyze the data and draft the REDD+ CRA report

The coordinator, supported by other national consultants and UN-REDD/DG technical advisors will prepare a draft report combining the findings of the desk research, the surveys and the FGDs to establish a prioritized and specific list of corruption risks, and including a proposed workplan to mitigate REDD+ corruption risks. The draft report will be circulated to all stakeholders for comments, and if considered necessary, one or more consultation workshops may be held. The report should recall the dissemination plan agreed to by the REDD+ RCA team.

viii)   Validate the REDD+ CRA findings and develop and disseminate recommendations

A validation workshop will be organized for all stakeholders to validate and endorse the report and to establish a time-bound workplan for implementation of recommendations, with clear delineation of roles and responsibilities, and capacity needs. The report should be disseminated following the dissemination strategy developed by the REDD+ RCA team.

Depending on the country's progress on REDD+ readiness, this report or its summarized conclusions and recommendations may:

- Be summarized and included in a UN-REDD National Programme Document or RPP, and/or
- Be annexed to or inform the development or revision of a national REDD+ strategy, and/or
- Complement a Participatory Governance Assessment for REDD+, and/or
- Be used in a safeguards information system
- Provide information on the principles and criteria defined in the UN-REDD Social and Environmental Principles and Criteria, developed to assist countries in developing country safeguards for REDD+

The REDD+ CRA may be repeated, or a meeting of key stakeholders convened to assess progress against some risks and mitigation measures identified.

Although not part of the REDD+ CRA process itself, follow-up actions in terms of developing and implementing interventions to apply the recommendations is essential. Further guidance will be provided on this aspect.

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[27] See page 8, at http://gaportal.org/sites/default/files/undp_users_guide_online_version.pdf

IV. Estimated time and costs

Time and costs to undertake the REDD+ CRA will depend heavily on a country.

The timing for the first assessment is expected to range between three and six months from the moment the REDD+ CRA coordinator is hired, but depends on the range and quality of existing work undertaken in the country, in particular if a participatory governance assessment is underway or an institutional context analysis for REDD+ or for anti corruption programming has already been undertaken.

The costs include fees for the REDD+ CRA coordinator and possible fees for an international consultant to support the Institutional Context Analysis.

More specifics will be gathered as this methodology is being piloted in UN-REDD partner countries.

Annex 1: Sample Terms of reference for a national consultant

(note : the work of the national consultant may be complemented by an international consultant when an Institutional Context Analysis is undertaken)

1. Background

Corruption hinders efforts to achieve the MDGs by reducing access to services and diverting resources away from investments in infrastructure, institutions and social services. Success in meeting the MDGs will therefore largely depend on the 'quality' of governance and the level of effectiveness, efficiency and equity in resource generation, allocation and management.

Under the UN framework Convention for Climate Change (UNFCCC), REDD+ (reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forest and enhancement of forest carbon stocks) is an international financial mechanism that will compensate developing countries for cutting carbon emissions from their forest sector, through the conservation of standing forests and more sustainable forest activities. REDD+ was first proposed as part of the UNFCCC Bali Action plan in 2007, and in December 2010 an agreement on a general REDD+ framework was reached by Parties to the UNFCCC in Cancun. Developing countries are getting ready for REDD+ with bilateral and multilateral support, including the UN-REDD Programme[28].

While REDD+ is attracting momentum and interest, concerns are also being raised because REDD+ countries often face a number of governance challenges, inside and outside the forestry sector. The overall risks of corruption in REDD+, and possible mitigation measures for these risks, were examined during a workshop organized by UNDP with GTZ (now GIZ[29]) at the 14th International Anti-corruption Conference (IACC) in Bangkok in November 2010. These risks and strategies were also detailed in a UNDP-commissioned report[30] in November 2010, and addressed in Transparency International's Global Report on Corruption in Climate Change, among other reports.

The UN-REDD Programme has integrated activities on anti-corruption as a core element of its five-year Programme Strategy[31], supported by its Global programme Framework Document 2011-2015[32], with UNDP the lead agency. These activities are implemented together with PACDE. They include guidance on institutional frameworks for equitable, transparent and accountable benefit distribution systems in REDD+; strengthening the integrity of fiduciary systems for receiving and disbursement of funds, coordinating anti-

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[28] The UN-REDD Programme is a partnership of FAO, UNDP and UNEP, established in 2008. See www.un-redd.org
[29] Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
[30] « Staying on Track : Tackling Corruption Risks in Climate Change", UNDP, 2010. Available at
http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=3790&Itemid=53
[31] Five Year Strategy, UN-REDD Programme, 2011-2015. Available at
http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53
[32] « Support to National REDD+ Action : Global Programme Framework Document – 2011-2015 », UN-REDD Programme, 2011,
Available at http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5534&Itemid=53

corruption activities at the national, regional and international level; and supporting the capacity of multiple stakeholders to jointly mitigate corruption risks.

2. Objective of consultancy

The Objective of the consultancy is to develop proposals that will ensure [*choose one or several as appropriate*]:

□ that all relevant stakeholders understand corruption risks in REDD+ and are clear on their roles and responsibilities to mitigate these risks

□ that corruption risks are adequately represented in the developing safeguards information systems for REDD+

□ that a monitoring mechanism for corruption risks in REDD+ is initiated

□ that the National REDD+ Strategy in incorporates effective measures to address REDD+ corruption risks that fully reflect national and international requirements.

□...

3. Tasks to be performed

In order to achieve the stated Objective, the following indicative activities are anticipated:

1. Work with the UN-REDD Regional Advisor, UNDP Regional Anti-Corruption Specialist and UNDP Global Specialist on anti-corruption and REDD+ to ensure coordination and methodological consistency of the activities undertaken in {COUNTRY} with those undertaken in other countries so as to allow for comparative data and generate lessons
2. Develop a contextualized corruption risk assessment methodology that builds primarily on UN-REDD's REDD+ Corruption Risk Assessment (REDD+ CRA) , other existing frameworks/tools as well as existing data sets and research, including for collecting evidence from regional and local stakeholders, in consultation with relevant national partners, including the country's anti-corruption bodies
3. Identify the stakeholders to be involved in the REDD+ CRA and provide support the Institutional Context Analysis
4. Conduct the REDD+ CRA stakeholder survey and complement with focus group discussions, including through workshops as appropriate, based on the analysis in (3)
5. Analyze the data and draft the REDD+ CRA report
6. Validate the REDD+ CRA findings through consultations and workshops
7. Based on results from the consultations, prepare a final report (for circulation to all stakeholders) that includes:
   a. a prioritized list of corruption risks in REDD+ in the country;
   b. proposed and agreed upon measures to mitigate the risks that have been identified as most likely and most detrimental in the short, medium and long term;
   c. a preliminary budget and identified responsibilities for implementation of those measures;
   d. extracting lessons that may be applicable in other countries.

4. Output

The outputs will consist of:

 a) An inception report
 b) A contextualized REDD+ CRA methodology
 c) Reports of the workshops and data collected
 d) A dissemination plan
 e) A briefing note for internal purposes
 f) A final report as above

5. Duration and timing

The national consultant will contribute [60] working days to this work over a [4 months] period, commencing in [..] .