UN-REDD
PROGRAMME

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

FAO FIAT PANIS

UNDP
Empowered lives.
Resilient nations.

UNEP

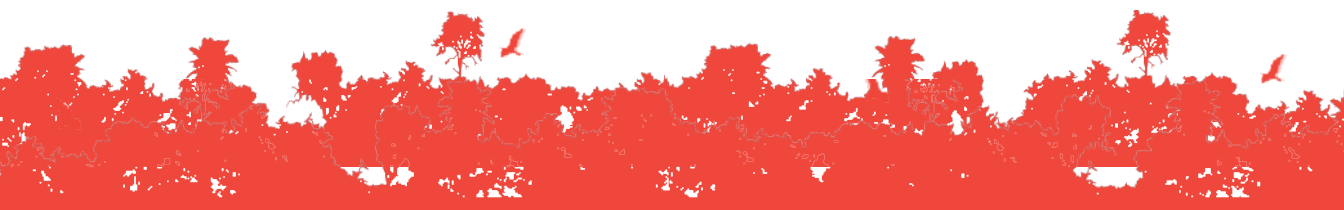
UN-REDD
PROGRAMME

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and 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 UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including indigenous peoples and other forest-dependent communities, in national and international REDD+ implementation.

March 2014
Weblink: http://tinyurl.com/REDD-CRA-V2

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

Weblink: http://tinyurl.com/REDD-CRA-V2



ACKNOWLEDGEMENTS

The first version of this guidance was released in December 2012[1]. Based on piloting and experiences since gained in several UN-REDD partner countries, including Bangladesh, DRC, Kenya, Nepal, the Philippines and Peru, it was revised in December 2013. For this, many thanks are due to the National REDD+ Coordinators who have made piloting of this Guidance possible, namely Haradhan Banik (Forest Department, Bangladesh); Resham Dangi (Ministry of Forestry and Soil Conservation, Nepal); Eduardo Durand Lopez-Hurtado (Ministry of Environment, Peru); Alfred N. Gichu (Ministry of Environment, Water and Natural Resources, Kenya); Vincent Kasulu (Ministry of Environment, Conservation, Nature and Tourism, DRC); and Analiza Rebuelta-Teh (Department of Environment and Natural Resources, the Philippines).

Much gratitude also goes the consultants who ground-tested this guidance, including Braulio Buendía (independent consultant - Peru), Michael Gachanja (independent – Kenya) ; Lawrence Ang, Niner Guiao, Grizelda Mayo-Anda and Nicole Torres (ASOG- the Philippines); Xavier Ndona (independent – DRC); Danesh Mia (University of Chittagong-Bangladesh); Naya S. Paudel and his team (Forest Action – Nepal); and André Standing (U4/CMI's REDD+ Integrity project).

Special thanks to Elizabeth Eggerts, Tsegaye Lemma, Berta Pesti, Tina Solvberg, Gayathri Sriskanthan at UNDP and Aled Williams at U4 for their valuable inputs on the current version.

Appreciation also goes to the many UNDP and UN-REDD colleagues who contributed to the first version of this Guidance from country offices, the Asia Pacific Regional Centre, the Latin America and the Caribbean Regional Centre, the Africa Regional Centre in Dakar, the Oslo Governance Centre, as well as the Environment and Energy, Gender and Governance groups at UNDP Headquarters.

Please send any comment to Estelle Fach, estelle.fach@undp.org.

1 Available at http://tinyurl.com/REDD-CRA-V1

TABLE OF CONTENTS

List of acronyms....8

I. Context....9

II. Purpose of the Guidance....14

III. Framework for Analysis....16

3.1 Corruption as an underlying driver of deforestation and forest degradation....17

Table 1: Examples of corrupt actions that facilitates drivers of deforestation and forest degradation....17

3.2 Corruption risks in REDD+....19

Table 2: Examples of corruption risks in each component of a national REDD+ system....13

IV. REDD+ CRA step-by-step....25

Table 3.a: Assessing the integrity, transparency and integrity context relevant for REDD+....32

Table 3.b: Assessing the integrity, transparency and integrity elements of a REDD+ strategy/programme....37

Figure 3: How different tables of the CRA feed information into the framework for analysis....40

V. Estimate time and costs....42

Annex 1: Sample Terms of reference for a national consultant....43

Annex 2: Questionnaires used in Kenya when conducting key Informant Interviews....46

TIP BOXES

Tip Box 1: Where does anti corruption for REDD+ fit in a country's readiness path? 10

Tip Box 2: What are forms and types of corruption?* 11

Tip Box 3: When to undertake a REDD+ CRA? 15

Tip Box 4: Handling sensitive issues 26

Tip Box 5: Gender differentiated perceptions on and experiences with corruption 29

Tip Box 6: Triangulating information 19

TABLES

Table 1: Examples of corrupt actions that facilitates drivers of deforestation and forest degradation 18

Table 2: Examples of corruption risks in each component of a national REDD+ system 19

Table 3.a: Assessing the integrity, transparency and integrity context relevant for REDD+ 32

Table 3.b: assessing the integrity, transparency and integrity elements of a REDD+ strategy/programme 37

FIGURES

Figure 1: Framework to assess integrity risks for REDD+.....16

Figure 2: Making sense of how to involve stakeholders.....27

Figure 3: How different tables of the CRA feed information into the framework.....40

LIST OF ACRONYMS

CRA: Corruption Risk Assessment

ESMF: Environmental and Social Management Framework

FGD: Focus Group Discussion

KII: Key Informant Interview

PGA: Participatory Governance Assessment

RPP: Readiness Preparation Proposal

(REDD+) SES: REDD+ Social and Environmental Standards, an initiative supported by CARE and the Climate and Community Business Alliance

SESA: Strategic Environmental and Social Assessment

SIS: System of Information on Safeguards

UNCAC: United Nations Convention Against Corruption

UNFCCC: United Nations Framework Convention on Climate Change

I. CONTEXT

The forestry sector has traditionally faced many corruption challenges[2] and REDD+ activities may also be susceptible to corruption risks at various levels.[3] Corruption can decrease the effectiveness of REDD+ activities (e.g. continued or increased deforestation and forest degradation) and its efficiency (by creating distortions in markets); it can also contribute to inequity (e.g. by unfairly denying certain communities from participating or benefiting from REDD+ payments). This could diminish the development benefits of REDD+, and also decrease the emission reduction effectiveness of REDD+ efforts.

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 have integrated activities on anti-corruption to support transparency, accountability and integrity within the development and implementation of national approaches to REDD+.[4]

Countries undertaking REDD+ activities are required by the United Nations Framework Convention on Climate Change (UNFCCC) REDD+ agreements to provide information on how they are meeting seven safeguards, detailed in the 2010 Cancun Agreements, including "transparent and effective forest governance systems".

What's more, the overwhelming majority of REDD+ countries are signatories to or have ratified the United Nations Convention Against Corruption (UNCAC[5]), which sets out a number of corruption preventive measures[6], and have enacted national laws and regulations to align with the UNCAC.

There are several entry points for anti-corruption work as shown in Tip Box 1 below.

2 See for example the reports regularly produced by Transparency International, here: http://www.transparency.org/topic/detail/forestry

3 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.

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

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

Tip Box 1: Where does anti corruption for REDD+ fit in a country's readiness path?

There are several entry points for anti corruption work and for a REDD+ Corruption Risk Assessment:

In the RPP template:

- As part of the Feedback and Grievance mechanism proposed under Component 1a (National Readiness Management Arrangements), as the results of a REDD+ CRA can help a government anticipate what type of grievance they may expect
- Under Component 1b (Information Sharing and Early Dialogue with Key Stakeholder Groups): the stakeholder mapping of a REDD+ CRA can inform which key stakeholder groups to include in dialogues, including national anti-corruption actors such as anti-corruption NGOs, the National Anti Corruption Commission or equivalent oversight body, and other bodies responsible for the application of relevant laws such as freedom of information laws.
- Component 2a (Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance): A REDD+ Corruption Risk Assessment can be undertaken to gain an understanding not only of governance aspects but also of how these influence (positively or negatively) various drivers of deforestation differently. This in turn will inform component 2b: REDD+ strategy options.
- Component 2d (Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation) : the results of a REDD+ CRA can be used to inform the Environmental and Social Management Framework undertaken with the support of the Forest Carbon Partnership Facility.
- Component 4b Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards). Anti corruption can be considered a sub-component of the Cancun safeguards, especially as it relates to "transparent and effective forest governance structures". In addition, learning lessons from the implementation of national freedom of information laws can help design a system of information for safeguards that can be used to communicate information about safeguards both upward and downward.

Corruption is defined as "the misuse of entrusted power for private gain"[7] and occurs in public, private and non-public sectors. The anti corruption community usually categorizes these by "forms" and "types", described in Tip Box 2.

Tip Box 2: What are 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.

Collusion refers to secret agreements between two parties

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 t**rading 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

7 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 p.7.

Money laundering involves the depositing and transferring 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.

Types of corruption

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

Grand corruption involves bribery or the embezzlement of large 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 when 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 in which corruption is an integrated aspect of the economic, social and political system.

Note that this list is not exhaustive[8], but rather seeks to describe the many forms that corruption can take. Also note that acts can also be corrupt even if the law does not proscribe them, which is why prevention, rather than solely punishment, is emphasized by anti-corruption practitioners.[9]

8 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 REDD+ CRA, preferably during the inception workshop. Useful references include: 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.

9 http://www.u4.no/articles/the-basics-of-anti-corruption/#3

Focus group discussions with timber traders and sawmill owners in Madhupur, Bangladesh, as part of the Bangladesh REDD+ Integrity Study (2013)

II. PURPOSE OF THE GUIDANCE

The UN-REDD Programme has developed the Guidance on REDD+ CRA to **support countries in identifying corruption risks in REDD+ country programmes** and assess the effectiveness of existing risk mitigation measures, and thus initiate a process to develop systems and capacities to mitigate those risks.[10] In other words, it offers both guidance on the process (e.g. methodology to gather data, and tried and tested tips and techniques) and the substance (e.g. what elements can be examined to assess the corruption risks and anti-corruption opportunities for REDD+).

As countries implementing REDD+ readiness activities are working to meet the provisions of the UNFCCC Cancun Agreements, the Durban Outcome on safeguards and safeguard information systems, and the Warsaw Package on REDD+, the REDD+ CRA can feed into their efforts to build a safeguards system.

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
- Corruption risks are adequately addressed when developing country-level safeguards approaches, and safeguards information systems for REDD+
- The National REDD+ Strategy incorporates effective measures to address REDD+ corruption risks that fully reflect national and international requirements
- Efforts to addressed identified corruption risks in REDD+ are monitored and assessed regularly

In addition, some sections of the Guidance on REDD+ CRA, in particular on the substance, may be used to inform a participatory governance assessment for REDD+ (PGA for REDD+) [11]where the issues of transparency, accountability and integrity have been identified as core elements.

10 Detailed in a companion document: UN-REDD Guidance on Developing Capacity to Manage REDD+ Corruption Risks. 2013, available at: http://tinyurl.com/riskmanagmentcapacity

11 Upon finalization, the PGA Practical Guide will be here: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=3376&Itemid=53

More broadly, to inform the design and implementation of a National REDD+ strategy, a REDD+ CRA can help a country:

- Gain a nuanced understanding of the causes that facilitate certain drivers of deforestation and forest degradation to develop the adequate REDD+ activity
- Prevent embezzlement at various levels in the allocation and distribution of positive incentives or benefits
- Develop approaches to address safeguards, and tangible indicators when developing a safeguards information

Tip box 3: When to undertake a REDD+ CRA?

The Cancun Agreement (2010) identifies three phases in REDD+, 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.**

It should be noted that these phases are not strictly sequential; indeed, experience on REDD+ readiness implementation has shown that readiness is a continuous process. 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. 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. 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.

III. FRAMEWORK FOR ANALYSIS

Experience when piloting the first version of the Guidance on REDD+ CRA (2012) has shown that simplifying frameworks from the onset of the assessment is key. To this end, corruption risks **for** REDD+ can be understood as both:

1. The existing corrupt practices that currently act as causes of the immediate drivers of deforestation and forest degradation and could therefore limit the effectiveness of REDD+. These can, for example, be corrupt acts that facilitate illegal forest activities such as illegal logging, illegal permit allocation, or fraudulent information reported about forest resources and timber harvests provided to benefit a few. Some of these practices may be exacerbated as a result of REDD+ activities. Examples are provided in section 3.1.
2. The new risks that REDD+ can bring about, in particular those related to MRV, benefit-sharing, safeguards (or corruption risks in REDD+). These are detailed in section 3.2 and draw from different studies developed by UNDP[12], U4[13] and Transparency International[14].

As shown in Figure 1 below, these risks should not all be seen as distinct, and the amount of overlap will vary depending on a national context. Nevertheless, it is important to clarify this framework to limit the risks that some stakeholders focus exceedingly on one aspect and ignore another.

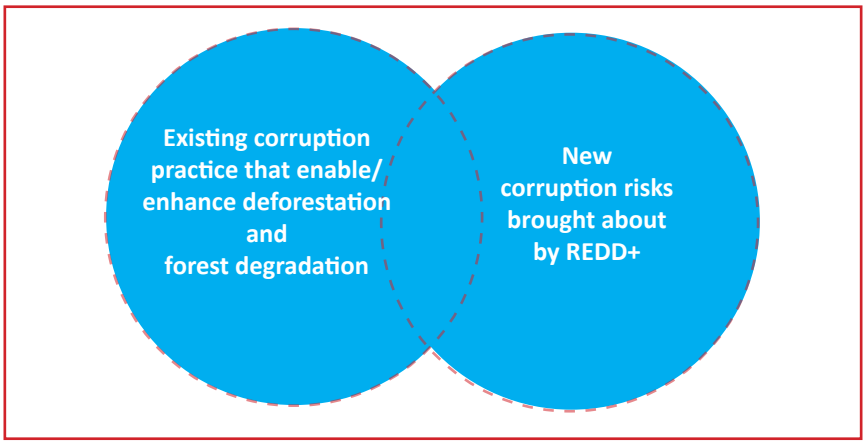


Figure 1: Framework to assess integrity risks for REDD+

12 Staying on track : Tackling Corruption Risks in Climate Change, UNDP, December 2010
13 Corruption and REDD+- Identifying Risks Amid Complexity, U4/CMI May 2012
14 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

3.1 Corruption as an underlying driver of deforestation and forest degradation

It is important to understand the governance and corruption factors that contribute to the drivers of deforestation and forest degradation (D&D), for a number of reasons. First, since failure to address these factors will fail to adequately address the drivers of D&D and result in less effective REDD+ actions. Second, because policy solutions to tackle these factors will also contribute to good governance of REDD+ activities. And third, because understanding these factors can help forecast risks in REDD+.

Piloting of the first version of the Guidance on REDD+ CRA in five countries, the Participatory Governance Assessment for REDD+ in Indonesia[15] as well as previous experiences in assessing forest governance[16], has pointed to a number of corrupt practices that contribute to drivers, such as the examples described in Table 1

A road sign at a military check point in Cross River State, Nigeria (2014)

15 The PGA report in Indonesia mentions that "the results on accountability and effectiveness point to the prevalence of corrupt practices, collusion and nepotism in forest and land management" See Executive Summary here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10775&Itemid=53 and full report (see chapter 1.3) here: http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10777&Itemid=53

16 See Transparency International's manual on forest governance, at http://www.transparency.org/whatwedo/pub/analysing_corruption_in_the_forestry_sector_a_manual

Table 1: Examples of corrupt actions that facilitates drivers of deforestation and forest degradation

Illegal logging and transport	Encroachment	Fuel wood collection and charcoal production	Infrastructure	Conversion to plantations or extractive industries
Bribery of district level forest officials to allow overharvesting, harvesting of unauthorized species, harvesting without a permit, delivery of fake permits, with the complicity of powerful actors Law enforcement officers (such as forest guards) accept bribes to turn a blind eye to violations	Bribing influences distribution of land titles by Land Commission (or equivalent body) Land 'mafia' (illegal or criminal organized groups) encourage people to capture land and benefit from illegal transactions, with complicity from officials (collusion)	Brick factories, hotels and other commercial consumers of fuel-wood bribe officials to allow overharvesting Bribery to overlook unsustainable charcoal production and abuses in system to validate sources of charcoal	Bribing officials to ignore environmental and social impact assessments leads to use of heavy machines instead of labour-based approach, undermines monitoring and public scrutiny Undue influence by private land owners to ensure that roads go through public, rather than privately-owned, lands	Undue influence (or bribery) to pressure forest management agency to allow the conversion of forests into plantations, benefiting plantation managers Bribery to turn a blind eye to poor and unsustainable plantation management practices Collusion between companies and officials in charge of inventories of forests, where deliberate undervaluation of plantations allows for the 'savings' to be shared between those involved. Bribery or undue influence in allocating forest land for bio-fuels, oil or mining

3.2 Corruption risks in REDD+

To provide a structure for assessing corruption risks in REDD+ (aka the second aspect of the Framework in Figure 1 above), it is useful to consider the five components of a REDD+ system.[17] The matrix below details these REDD+ components and summarizes the major risk categories for each. Because risks pertaining to the different phases of REDD+ often overlap, the matrix displays a design and implementation phase for each component. This is important since risks related to the same component differ from one phase to another.

Group work on strengthening transparency and accountability indicators as part of the Nigeria Participatory Governance Assessment for REDD+, Boje, Cross River State, Nigeria (2014)

17 There have been many attempts to define the key parts of a REDD+ system – none is perfect, as there are large variations in what different REDD+ actors interpret it to be.

Table 2: Examples of corruption risks in each component of a national REDD+ system

REDD+ components	Details	Corruption risks	
		Design phase	Implementation phase
1. Readiness arrangements and governance	Management and coordination: Institutional set up for overseeing Readiness process and implementation of policies and measures	Lack of transparency allowing cronyism in the appointment of new staff to conduct the readiness process	Lack of transparency allowing cronyism in the appointment of new staff to conduct implementation activities
	National REDD+ fund management: Financing system for policies and measures (national budget; trust fund; positive incentives system, etc.)	Undue influence on designs of fund management to favor obscure movements of funds Definition of beneficiaries to favor those with influence/power and/or exclude the poor and marginalized (i.e. women, indigenous people and the poor) Undue influence to link Carbon rights to state ownership excluding informal or customary tenure Bribery to register Carbon rights over particular parcels of land	Embezzlement of REDD+ revenues Fraud (deliberate misinformation) related to the distribution of positive incentives
	Inclusive forest governance: Multi-stakeholder collaboration that takes into account underlying governance aspects of REDD+	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) and manipulate this information for personal gain	Inaccurate information to deliberately limit effective participation of the same

	Legal preparedness: Forest related legal frameworks support REDD+	Undue influence to create weak laws or deliberately leave loopholes that enable abuses by the powerful	
2. Development of policies and measures	Policies, laws, regulations, guidelines to address the drivers of D&D or enhance Carbon stocks	Undue influence to determine who is eligible to conduct REDD+ activities Corruption of the judiciary system or other informal or customary complaints resolution system	Corruption in the judiciary system or other informal or customary complaints resolution system Undue influence and bribery to ignore breaches of REDD+ laws and regulations, and poor enforcement
	Land tenure	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 Undue influence to create fraudulent licenses, land titles or Carbon rights Fraud to avoid the recognition of informal and customary tenure rights	Bribery or undue influence to renew or cancel licenses (leases on forest land, logging permit, etc.)

2. Development of policies and measures (continued)	Sustainable forest management		Collusion, extortion, bribery or cronyism in the procurement of goods and services, thereby limiting the equitable and fair distribution of REDD+ benefits Bribery of regulators and law enforcement to overlook unsustainable forest management practices
	Cross-sector policies	Collusion (secret agreements) to agree on certain types of REDD+ activities that favor or avoid one sector	
	Investment options and private sector	Undue influence to determine who is eligible to conduct REDD+ activities	Laundering of money and other assets through the purchase and sale of Carbon rights Collusion, extortion, bribery or cronyism in the procurement of goods and services
	Integrating REDD+ into Green Economy		Collusion, extortion, bribery or cronyism in the procurement of goods and services
	Integrating REDD+ into poverty reduction and national development plans	Manipulation of data to exclude marginalized groups (for example certain ethnic groups, women, etc) from poverty reduction plans	

3. Reference emissions level/ reference level	Reference that is developed for determining by how much emissions have been reduced as a result of implementation of policies and measures	Identification of "national circumstances" when designing the REL, to favor those with influence/ power and/ or marginalize others, thereby exacerbating existing inequalities In demonstration activities, undue influence or bribery of experts to fraudulently inflate the REL/RL (or lower, in case of enhancement) in order to claim greater emission reductions/ enhancement of stocks in demonstration activities or to overlook this falsification	At national (or sub-national in interim) scale, undue influence or bribery of experts to fraudulently inflate the REL/RL (or lower, in case of enhancement) in order to claim greater emission reductions/ enhancement of stocks or to overlook this falsification

4. Safeguards and Safeguards Information System (SIS)	Formulation and application of environmental and social safeguards	Deliberately design weak policies/ measures on safeguards, based on fraudulent baseline information	Bribery to overlook non-respect of safeguards
	SIS Indicators Data collection/ storage Communication system	Undue influence to deliberately design weak or un-measurable indicators and/ or biased data collection systems of information on environmental and social safeguards	Fraud in reporting information on social and environmental safeguards Extortion to release official information necessary to provide information on how safeguards are addressed and respected Deliberate opacity in communication systems to avoid oversight
	Feedback/ grievance system: Accountability framework for ensuring safeguards are implemented	Undue influence in feedback/grievance system to favor the powerful or to do a disservice to weak/ marginalized groups	Undue influence in feedback/grievance system to favor the powerful or to do a disservice to weak/ marginalized groups
5. National forest monitoring system	Forest inventory Emissions inventory Monitoring approach	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 favor 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 favor 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

IV. REDD+ CRA STEP-BY-STEP

The indicative steps below are not all sequential: the online survey for example can be used either as an entry point to collect data, or later in the process as a way to validate early findings.

a. Agree on the scope of the assessment and establish a REDD+ CRA Team

A REDD+ CRA starts with a country request and commitment to the participative approach described below

The **assessment team** will usually consist of one or more national consultants (one of whom will be designated as the "coordinator"), supported by technical advisors from the UN-REDD Programme (UNDP) at global and regional levels, and UNDP Democratic Governance advisors from UNDP Headquarters, regional levels and country offices. Sample Terms of Reference (ToRs) for the national consultant (Annex 1) should be adapted to reflect the scope of the assessment.

The assessment team will be advised by a **Multi-stakeholder Advisory Team** that should agree on the objective of the REDD+ RCA, methodologies and follow-up actions. Existing REDD+ multi-stakeholder platforms – for example a national REDD+ advisory unit, a REDD+ SES committee or a UN-REDD Participatory Governance Assessment Steering Committee – should be used. A typical Multi-stakeholder Advisory team will consist of 6-8 members including the National REDD+ Coordinator, civil society and indigenous peoples representatives, member of academia, member of the national anti corruption agency if this exists or internal anti-corruption body within the Ministry in charge of REDD+, and one or several UN governance/REDD+ experts. It is recommended to strive for gender balance in the Multi-stakeholder Advisory team as well as ensure that gender and social expertise is included on the team itself. Among other benefits, doing so can help promote effective adherence to social and environment safeguards as well as inclusive and transparent governance systems.

In consultation with the Advisory team, the assessment team should elaborate:

- The focus of the CRA
- An indicative timeline and workplan, including what field visits are needed, especially in countries with diverse ecosystems, and forest management and governance practices

Tip Box 4: Handling sensitive issues

Although a REDD+ CRA is undertaken at the request of governments, the issues of corruption and anti-corruption can remain sensitive. Furthermore, a REDD+ CRA may be the first time that some corruption issues are officially or publicly acknowledged by a Forest Department or Ministry. Below is a small list of tips and techniques that have proven useful in countries that have piloted a REDD+ CRA:

- Emphasize the effectiveness, equity and efficiency gains of tackling corruption risks in REDD+
- ... yet rely when needed on the normative framework provided by the United Nations Convention Against Corruption and its near-universal ratification to dismiss the myth that anti-corruption is an agenda imposed by the "Global North" or the international community
- Rely on positive terms such as strengthening existing integrity, transparency and accountability systems
- Build on and communicate existing country-led anti corruption or better governance successes, as well as existing laws related to anti-corruption and access to information
- In addition to external actors such as the anti corruption agencies, mobilize, when they exist and as early as possible, internal audit, compliance or Ombudsperson within Ministries in charge of REDD+
- Identify, engage or keep informed a high-level government "champion" who does not have to follow the day-to-day activities, but who may be mobilized and engage when/if blockages occur.

b. Understand the institutional context and map stakeholders

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

First, such analysis provides valuable information on power relationships among stakeholders.[18] Assessing the relative power/authority and interest (including interest in the status quo) of stakeholders helps determine how best to understand and manage corruption vulnerabilities, as well as how best 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 go unchecked - or prevented - will help understand where the resistance to change lies – and where opportunities for change can be found.

This mapping of stakeholders also provides insights to the assessment and advisory team on what level of engagement is needed from different stakeholders according to power/ authority and interest (see Figure 2).

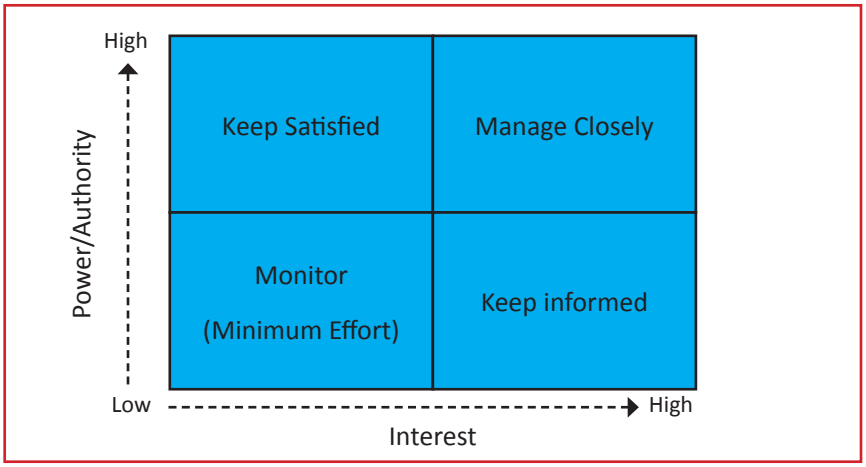


Figure 2: Making sense of how to involve stakeholders

Note that the process of mapping 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 used or, if needed, complemented.

Second, a list of stakeholders to be **consulted** should be initiated through this exercise. Gathering information from a diversity of stakeholders is necessary to not only gather solid data (see Tip box 6 on triangulating information) but also to ensure buy-in, ownership, transparency and accountability of the process.

18 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/

This does not imply that all stakeholders should be polled at all times, but instead that strategic thinking about stakeholders' knowledge should be undertaken to inform how to gather their inputs on distinct processes and activities.

Stakeholders to be consulted for information will usually include:

- The Ministry of Environment, the Ministry of Forestry (if separate) as well as other ministries and state agencies engaged in the REDD+ readiness and social and environment safeguard processes[19]
- National Anti-Corruption Agency, General Auditor's Offices[20] and/or other instances leading on anti-corruption issues in a given country are also consulted
- Forest communities, indigenous peoples and civil society organizations[21]
- Women's groups/organizations
- Sub-national or local authorities
- Private sector entities relevant in drivers of deforestation and forest degradation or developing forest carbon activities
- The media
- Academic institutions

It will be crucial to ensure that all interests and positions are represented, particularly groups that are usually marginalized from decision-making processes such as forest communities, indigenous peoples and women, as opposed to only the most influential organizations or people. The joint FCPF and UN-REDD Programme Guidelines on Stakeholder Engagement provides useful guidance on engaging indigenous peoples and other forest communities.

c. Launch the process

This step is important to explain clearly the purpose, rationale, as well as expectations of the REDD+ CRA exercise to all stakeholders identified in step b, which may be done through a kick-off workshop where objectives and methodologies are discussed. This exercise may also provide additional insights to continue identifying stakeholders to be consulted, and map out existing studies and findings.

Most importantly, this step contributes to the demand to see the REDD+ CRA successfully and transparently completed, with country ownership of the results.[22]

19 Particularly those that support social and development issues (i.e. Women/gender ministries).

20 Information about international cooperation between general Auditor's offices may be found at http://www.riksrevisjonen.no/en/InternationalActivities/development/Pages/development.aspx

21 Because of their role in REDD+ and in demanding accountability, particular attention should be given to consulting with 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 offer useful guidance: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1467&Itemid=53

22 See for example the inception workshop for Bangladesh's REDD+ Integrity Study here : http://www.unredd.

d. Gather data

Conduct desk research

The coordinator, supported by other national consultants if any, will collect secondary data from relevant documents. The research should equally consider legal documents, including the current legal and policy provisions and practices to control corruption in the forestry sector and beyond, and existing studies and positioning papers, not limited to the forest sector.[23] These for example include other corruption assessments, political economy studies, political ecology studies, forest governance studies etc. The reason for considering both legal and non-legal sources is, as explained above, because not all corruption is necessary illegal in a given country, especially when the country's anti corruption national framework is weak or still being developed.

Tables 3a and 3b below indicate some elements that will need to be reflected upon in both desk research and participatory data collection.

Tip box 5: Gender differentiated perceptions on and experiences with corruption

Perception of corruption in the forest sector and of potential corruption risks in REDD+ have shown to differ between men and women. Online surveys (see annex 3) have clearly pointed to gaps in perception about specific corruption risks. For example:

- In the Philippines, over 50 % of women considered that the risk of "bribery to overlook fraudulent reporting" was either high or very high, while only 27% of men considered that risk as high
- In a Latin America regional survey, women considered the risk of cronyism when hiring REDD+ personnel 70% higher than men did.

These differences should not come as a surprise, as they reflect differentiated roles of women and men and their different experiences of corruption. Yet they underline the need to ensure that sufficient numbers of women are consulted through the CRA, and that anti-corruption measures address the underlying structural and systemic issues.

It is also critical to ensure to that women, as well as men, have the capacity on and access to information regarding corruption, particularly legal and other expertise.

net/index.php?option=com_docman&task=doc_download&gid=10158&Itemid=53

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

It is good practice to produce a short interim report highlighting the national enabling/disabling environment and most common/accepted corruption practices.

Conduct the REDD+ CRA stakeholder survey

All stakeholders identified under step b 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 (e.g. using free software like Survey Monkey, www.surveymonkey.com) organized by the coordinator; subsequently, for those without internet access, or who do not complete the on-line survey, it could be completed in hard copy, although ways to retain anonymity should be explored (for example, by excluding names of respondents).

The survey may serve different purposes:

- As an awareness-raising tool
- To provide initial insights into the major concerns expressed by stakeholders
- To point to trends in perceptions among different stakeholder groups (such as civil society, private sector, women (see tip box 5), youth, government agencies, anti-corruption bodies.
- Or, if conducted later, to validate early findings

Annex 3 displays examples of how the survey was used differently in Bangladesh, Philippines, Kenya, DRC and at the regional level.

The survey should have 3 main sections:

3. To reflect the viewpoints of certain age groups and sexes for example, data needs to be disaggregated by such parameters. The questionnaire should therefore start with brief demographic questions including age, sex, category of work (government, CSO, anti corruption body, private sector, media, other)[24]
4. The REDD+ CRA team should adapt the risks described in sections 3.1 and 3.2 and add questions, as necessary, that reflect the country's institutional context. For each identified question, respondents should be asked to reflect on:
    - What is the risk of this occurring (on a scale of 0-5)?

24 Although corruption affects all social classes and groups, women (and poor women in particular) are often among the most affected. To better understand corruption from a gender perspective, the Huairou Commission undertook a study of 11 communities across eight countries in partnership with UNDP. This resource provides recommendations that can help national governments to tackle corruption from a gender-sensitive, pro-poor perspective. For more information please see "Seeing beyond the State: Grassroots Women's Perspectives on Corruption and Anti-Corruption" available at: http://tinyurl.com/phv7hbx.

- What is the potential impact [25] of the risk if it were to occur (scale of 0-5)?

5. An open field to identify other corruption risks not included in the matrix, with the same scoring system.

Annex 3 also shows an example of the visualization of the results as was done in the Philippines.

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

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

Conduct key informant interviews (KII) and focus group discussions (FGDs)

The coordinator, supported by other national consultants, will organize a number of key informant interviews and FGDs.

The questions in Tables 3a and 3b provide elements to consider when conducting KIIs and FGDs. Note that 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 suited to FGDs. In addition, not all interviewees or focus groups can be expected to answer all questions, as some are more appropriate for the local level than for the national level, and vice versa. 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 insight into the internal accountability mechanisms of the department of forestry. This decision will be made by the coordinator. When necessary, and given the sensitive nature of the discussions, a confidentiality agreement may be considered.

When undertaking KIIs, decisions on whether the interview is conducted by a national or international consultant - or both together - should be reflected upon and carefully planned, as this dynamic may change the interviewees' responses. Examples of questions asked during the key informant interviews in Kenya can be found in Annex 2.

FGDs could include both national and local events, but they **should be structured to avoid the mixing of stakeholders among whom conflicts may arise**. Additionally, it is critical to ensure that FGDs are held in a manner, language, location and time that is culturally appropriate, and where all relevant stakeholders, including women and indigenous peoples 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.

25 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.

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.[26]

The FGDs may 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; or
- An introduction to the results of the survey (limited to on-line results), including discussion on risks that are rated surprisingly high or low; or
- Data gathering on assessing the context – i.e. the effectiveness of measures in place to curb corruption risks. For each of the critical corruption risks (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.

Tables 3a and 3b below provide some guiding questions when assessing context or an existing national REDD+ strategy.[27]

26 For additional guidance on this matter, see the UN-REDD Programme's new "Guidance Note on Gender Sensitive REDD+" available at: http://tinyurl.com/ooz86l7 . Through five components, it provides the rationale for investing the time and resources, offers concrete examples of good practices and guidance, and proposes specific actions that can be taken in order to ensure that gender sensitive REDD+ outcomes are realized..

27 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 has 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

Table 3.a: Assessing the integrity, transparency and integrity context relevant for REDD+

Corruption prevention principle	Sample Questions	Desk study	FGD or KII	1) How does this affect drivers of deforestation and degradation? 2) What REDD+ corruption risks (see Table 2) does or would this aggravate/improve?
Existence and effectiveness of an national anti corruption framework	Has the country ratified UNCAC or other regional agreement against corruption?	X		
	Does the country actively enforce the principles from these conventions, including through national laws that are effectively implemented?	X	X	
	Has or is the country undertaking a UNCAC review and/or a "Beyond the minimum" exercise? If so, what are the conclusions and how can they inform REDD+ policies and measures?	X		
	On a scale of 1-5, how do you rate the awareness of the Anti Corruption Commission or similar body regarding REDD+ corruption risks? On the same scale, how actively and effectively has it been engaged on forest crimes? Why?		X	
State capture	What are the conditions that facilitate corruption in policy-making processes in general and the forestry sector in particular?		X	
Forest-related Legal framework	Are the existing laws (forest law, tenure law, etc.) or any proposed revisions/reforms sufficient to tackle corruption risks?		X	
	Is the implementation of such laws considered appropriate?	X	X	

Fund management systems	Is the allocation of funding to different types of funding modalities (regular budget, extra-budgetary funds, trust funds, project finance) clear (what goes where?)	X		
	Do the rules for the design and use of each of the funding modalities follow due process (such as legislative scrutiny, unity of budget, consultation of stakeholders etc.?)	X		
	Has the actual design and setting up of each of the modalities followed the process described above?	X	X	
	Has any assessment been made of the financial management capacity of the funding modalities above (such as: macro and micro assessments in terms of HR, financial management and procurement manuals and rules, budget systems, accounting systems and software, receivables, disbursements, treasury, reporting, procurement, asset management, internal controls, internal and external audit, reporting, etc.)?	X	X	
	If so, what are the main risks identified in the assessments? What mitigation measures have been recommended?	X		
	Have the risks and shortcomings been addressed since the assessments? Why?	X	X	
Procurement policies and systems	To what extent do authorities provide access to the general public on information on procurement plans, procurement notices and contract awards?	X		
Accountability	Are there asset disclosure and conflict of interest policies and practices in the Ministry of charge of REDD+ or other ministries??	X		

	Have systems for integrity monitoring & testing (including wealth/lifestyle audits for public officers and ad-hoc integrity checks) been tested in the country in the Ministry of charge of REDD+ or other ministries?	X		
	Do public service performance management systems (including transparency and accountability as part of performance criteria) exist in governmental bodies in charge of REDD+? Are they effectively applied?	X	X	
	Do structures or forum for citizens, including for both women and men, to demand accountability exist and can these be applied for REDD+?	X		
Transparency and Access to Information	Does infrastructure for access to information about the forest sector and budget planning exist up to the sub-national/ district level? If so, who has access to it?		X	
	On a scale of 1 to 5, 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?	X		
	On a scale of 1 to 5, how would you rate stakeholders' awareness of these mechanisms?		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 abilities and ethnic groups and/or indigenous peoples that may speak different languages?	**X**		
	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**		
	On a scale of 1 to 5, how would you rate their effectiveness and why?		**X**	
	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? Is this protection effective?	**X**		

When and if a national REDD+ strategy, investment plan or comprehensive program already exists, even in draft form, additional focus group discussions should also be used to 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 3.b: assessing the integrity, transparency and integrity elements of a REDD+ strategy/programme

Topic	Sample Questions	Desk Study	FGD and KIIamd	What REDD+ corruption risk (see table 2) would this address?
Participation	Have national anti-corruption agencies or bodies been engaged and consulted during in the development of the national REDD+ strategy?	**X**	**X**	
	Do clear rules on gender sensitive stakeholder participation exist in all key decision-making bodies and/or are they established by the REDD+ strategy?	**X**		
	Are all relevant stakeholders, including marginalized populations, involved in designing nationally-appropriate indicators for safeguards information systems?	**X**	**X**	
	Are there specific plans to develop the capacities of civil society and indigenous people to engage in anti-corruption for REDD+? Are they considered appropriate by the targeted stakeholders?	**X**	**X**	

Topic	Sample Questions	Desk Study	FGD and KIIamd	What REDD+ corruption risk (see table 2) would this address?
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, 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 will it be accordingly disseminated through various media outlets, such as in writing, on the radio, in local languages, etc.?	X		
	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? Are these considered effective by the target groups?	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		
	Is there a provision in the REDD+ strategy for oversight by various government and non-government bodies?	X		

Topic	Sample Questions	Desk Study	FGD and KIIamd	What REDD+ corruption risk (see table 2) would this address?
Complaints and justice delivery	Does the strategy provide its own impartial, accessible and fair mechanisms for feedback, grievance, conflict resolution and redress?	X		
	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		
	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? Is this considered accessible by those stakeholders?	X	X	

The coordinator, supported by other national consultants, 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

iii. Questions related to output/outcome/enjoyment/performance/de facto, as have been categorized in UNDP's "Governance Indicators: A Users' Guide".[28]

It is important to understand that no sole question or indicator depicts a complete picture and that focus groups can be divided to discuss and reflect on different questions based on their interest and competencies.

e. 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 survey, KIIs and FGDs.

When doing this final analysis, it is important again to triangulate the information gathered

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

from various sources (see tip box 6). Such triangulation allows for information collected from one method to be cross-checked against the same information from other sources in order to minimize bad data – misreported, underreported or missing data. It therefore enhances the accuracy, objectivity and validity of the findings from the survey scores and interview responses, making interpretation more nuanced.

The aim of this draft is to initiate a prioritization of a specific list of corruption risks, a proposed roadmap to mitigate REDD+ corruption risks. Following the analytical framework described in Figure 1, and according to the scope of the assessment agreed upon, it is proposed that the draft report should contain the following sections:

a. An analysis of the influence of corruption on various drivers of deforestation *(i.e. how and to what extent corruption and governance challenges within the forestry sector threaten the success of REDD+)*, assessment of various measures previously enacted to address these, and recommendations

b. A summary of the enabling/disabling conditions, drawing from Table 3a and/or 3b

c. A suggestion of the most likely corruption risks in REDD+ ; the suggested starting point is Table 2, and this prioritization should combine the perceptions gathered through the survey and sections a. and b. above, and recommendations to address these

d. A summary of recommendations that are cross-cutting to sections b and c, with an indication of the timeline and actors potentially needed to implement these

Based on the analytical framework proposed in Figure 1 above, Figure 3 shows how different tables and data collection methods can inform the analysis, prioritization and recommendations of the REDD+ CRA

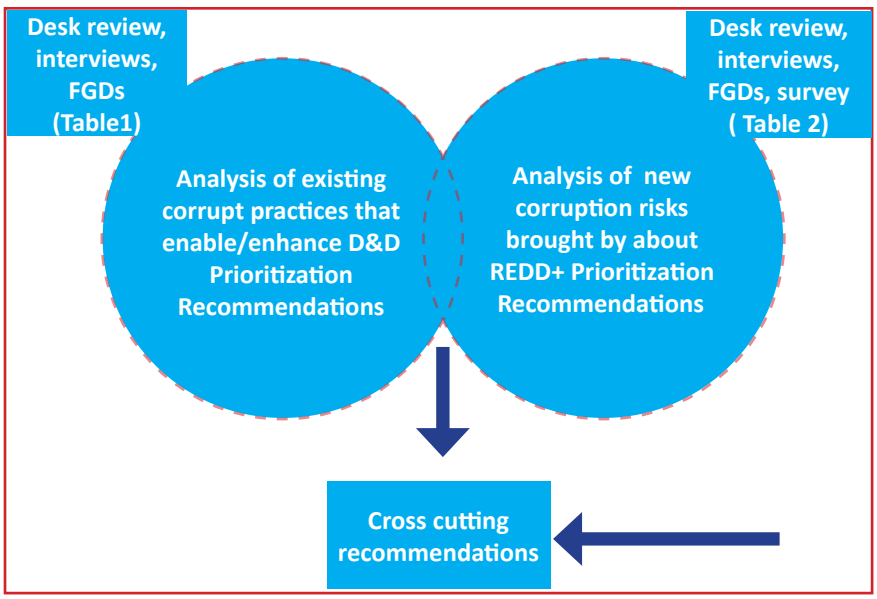


Figure 3: How different tables of the CRA feed information into the framework for analysis

The draft report will be circulated to all stakeholders for comments, and, if considered necessary, one or more consultation workshops may be held. The language of the final report should take into consideration the dissemination plan agreed to by the REDD+ CRA team, i.e. adapting the language to the audience(s).

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 to develop indicators
- 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 is provided on this aspect in the UN-REDD Guidance on Developing Capacity to Manage REDD+ Corruption Risks.

V. 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 to consider include:

- Fees for the REDD+ CRA coordinator
- Fees for an international consultant
- Travel to and within the country to support the Institutional Context Analysis
- Costs associated with holding FDGs and consultations/validation workshop.

Please note that technical support and inputs from the UN-REDD Programme team can be expected at no additional cost.

Forests of Boje, Cross River State, Nigeria (2014)

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[29].

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, have been examined during several regional workshops organized by UN-REDD. 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.

29 The UN-REDD Programme is a partnership of FAO, UNDP and UNEP, established in 2008. See www.un-redd.org

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

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-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 for 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 for REDD+ is initiated
- That the National REDD+ Strategy 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 learned
2. Develop a contextualized corruption risk assessment methodology that builds primarily on UN-REDD's Guidance on Conducting REDD+ Corruption Risk Assessment (REDD+ CRA) and other existing frameworks/tools, as well as existing data sets and research, taking in mind gender-sensitive methodologies and the need to gather 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. Attention should be given to achieving gender balance amongst stakeholders in this process.

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

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 gender sensitive 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

a. The outputs will consist of:
b. An inception report
c. A contextualized REDD+ CRA methodology
d. Reports of the workshops and data collected
e. A dissemination plan
f. A briefing note for internal purposes
g. 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 [..] .

ANNEX 2 : QUESTIONNAIRES USED IN KENYA WHEN CONDUCTING KEY INFORMANT INTERVIEWS

The questions below were developed by André Standing (U4), who conducted, in 2013, the REDD Corruption Risk Assessment in Kenya[33] together with Michael Gachanja, national consultant, with guidance from UNDP/UN-REDD.

The study is based on one primary research question and several secondary research questions.

The **primary research** question is: "How well are corruption risks mitigated to ensure successful implementation of REDD+ in Kenya?"

The **secondary research** questions are divided in to two parts as follows:

Part A): Impact and control of corruption affecting deforestation and forest management:

QA1: How does corruption impact on deforestation, forest degradation and poor management of forests[34] in Kenya?

Further points of consideration:

- What different forms of corruption exist and how do these contribute to problems of deforestation and poor forest management? (possible list of issues include forest land grabbing by political and business elites, bribe payments in law enforcement, state capture and conflicts of interests in developing policies and legislation, embezzlement of revenues by authorities, including at the community level.)
- What is the prevalence of illegal activities, including logging (include cross border), forest wildlife poaching, illegal encroachment of forests, illegal charcoal industry etc.
- What is the relative threat posed by corruption in comparison to other drivers of deforestation and poor forest management?
- How are forest resources/land important to the political economy of Kenya (i.e. power relations and political office at the local and national level)
- How has the prevalence of different forms of corruption changed over time? What developments or moments account for this change?

33 Available at http://www.tinyurl.com/Kenya-REDD-CRA

34 The phrase here 'poor management of forests' reflects the wide range of topics that REDD+ could address, including not only deforestation, but forest governance issues that lead to poverty, insecurity and potential loss of access rights for indigenous peoples and the loss of biodiversity.

QA2: What measures are in place to curb corruption in the forest sector and what are the views of different stakeholders on the strengths and weaknesses of these measures?

Further points of consideration:

- What legislation, institutions or initiatives have been developed that could curb different forms of corruption related to the forest sector in Kenya? (transparency, participation, access to justice, formal auditing, role of parliament and media, land reforms, decentralization etc.)
- What evidence exists for the prevalence of corruption to have been impacted by these specific policies, initiatives and institutions? (have there been high profile arrests or success stories?)
- Are people engaged in certain forms of corruption equally vulnerable to detection, deterrence and sanctions? (if not, why?)
- What are the strengths and weaknesses of anti-corruption/good governance arrangements?
- What is civil society's level of awareness and support to anti-corruption initiatives in the forest sector?

Part B): Controlling corruption risks associated with implementing REDD+

QB1: What measures are put in place (or planned) to reduce corruption risks in implementing REDD+?

Further points of consideration

- How have corruption risks in the implementation of REDD+ been identified by different stakeholders in Kenya? (potential corruption risks include fraud in accounting and setting baselines, embezzlement, leading to land tenure and human rights abuses of indigenous peoples etc (See table 2)
- How have corruption risks been identified in REDD+ proposals and action plans by the authorities and REDD+ working groups?
- What proactive transparency, integrity and accountability measures are in place to address these risks? (possible measures include access to information (see UN-REDD report about Freedom of information in REDD+), participation, independent verification, formal auditing etc.)
- Are anti-corruption policies supported with sufficient human and financial resources?
- Are indicators of success identified? Are these measurable?

QB2: What are the views of stakeholders on the strength and weaknesses of these measures?

Further points of consideration:

- Where do stakeholders feel that anti-corruption policies and activities will be successful or not?
- What are the factors that different stakeholders identify that could undermine REDD+ anti-corruption policies?
- What would stakeholders like to see change?

Please note that research questions are different from interview questions; the latter are questions used to inform the answer to the former. The primary research questions may not be asked directly in interviews

Please note that research questions are different from interview questions; the latter are questions used to inform the answer to the former. The primary research questions may not be asked directly in interviews at all.

ANNEX 3: EXAMPLES OF ONLINE SURVEYS USED IN DRC, THE PHILIPPINES, BANGLADESH, KENYA AND AT REGIONAL LEVEL

The Philippines, Bangladesh and Kenya used the online survey at different stages of their assessment. Kenya and the Philippines used it to validate some findings, while Bangladesh and DRC used it earlier as a data gathering tool. The survey was also used at the regional level to introduce corruption issues and gather initial perceptions prior to a workshop conducted in Lima, Peru in February 2013.

Please click on the links below to see the questions and results.

Used as awareness raising tools and entry points:

• Bangladesh REDD Integrity online survey

http://tinyurl.com/Bangladesh-REDDIntegritySurvey

• DRC Corruption risks in REDD process online survey (in French) :

http://tinyurl.com/DRC-REDDIntegritySurvey

• The Latin American and Caribbean region online survey (in Spanish) :

http://tinyurl.com/LAC-REDDIntegritySurvey

Used to validate preliminary findings:

• Kenya online survey :

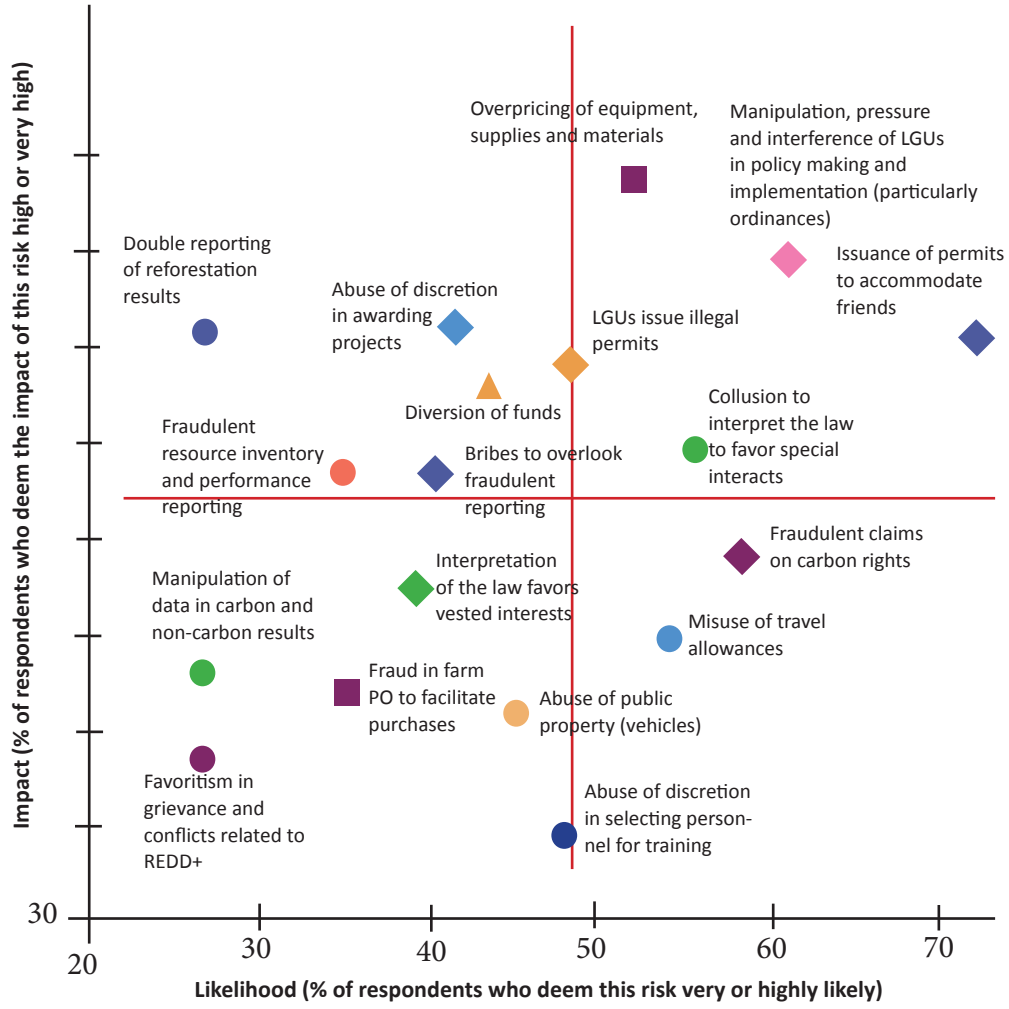
http://tinyurl.com/Kenya-REDDIntegritySurvey

• The Philippines online survey:

http://tinyurl.com/PhilippinesREDDIntegritySurvey

The visualization of perceptions, drawn using the results of the Philippines online survey, below, allowed the clear identification of the risks that were perceived as most serious (most likely and with a large impact) and was used to stimulate further reactions and discussions during a series of workshops.

Perceptions of likelihood and impacts of corruption risks - Online survey



Risk classification (as per the Integrity Development Review):

- Codes of conduct
- Performance management
- Procurement management
- Financial management

Cover page image caption: Focus group discussions with forest-dependent communities in Sreemongol, Bangladesh, as part of the Bangladesh REDD+ Integrity Study (2013).

Photo Credits © Estelle Fach

Design: Creative Media Consulting (CMC)

March 2014
Weblink: http://tinyurl.com/REDD-CRA

UN-REDD Programme Secretariat

International Environment House,
11-13 Chemin des Anémones,
CH-1219 Châtelaine, Geneva, Switzerland.

un-redd@un-redd.org

www.un-redd.org