**Forest Carbon Partnership Facility (FCPF) Readiness Mechanism
Readiness Preparation Proposal (R-PP) External Review Template**
(interim, December 13, 2012, from Program Document FMT 2009-1, Rev. 6)

Guidelines for Reviewers:

1) FCPF REDD Country Participant R-PPs will be reviewed and assessed by the FCPF Participants Committee, the FCPF's governing body, taking TAP comments into account. External (Technical Advisory Panel or other) and Bank reviewers may provide recommendations on how a draft R-PP could be enhanced, using this template on a pilot basis until a process is approved by the PC.

2) One set of criteria should be used for review: specific standards each of the current 6components of an R-PP should be met.

3) Your comments will be merged with other reviewer comments (without individual attribution) into a synthesis document that will be made public, in general, so bear this in mind when commenting.

4) Please provide thoughtful, fair assessment of the draft R-PP, in the form of actionable recommendations for the potential enhancement of the R-PP by the submitting country. A REDD Country Participant would be allowed three submissions of an R-PP to the PC for consideration.

Objectives of a Readiness Preparation Proposal (condensed directly from Program Document FMT 2009-1, Rev. 3)

*The **purpose of the R-PP** is to build and elaborate on the previous Readiness Plan Idea Note (R-PIN) or a country's relevant comparable work, to assist a country in laying out and organizing the steps needed to achieve 'Readiness' to undertake activities to reduce emissions from deforestation and forest degradation (REDD), in the specific country context. The R-PP provides a framework for a country to set a clear roadmap, budget, and schedule to achieve REDD Readiness. The FCPF does not expect that the activities identified in the R-PP and its Terms of Reference (ToR) would actually occur at the R-PP stage, although countries may decide to begin pilot activities for which they have capacity and stakeholder support. Instead, the R-PP consists of a summary of the current policy and governance context, what study and other preparatory activities would occur under each major R-PP component, how they would be undertaken in the R-PP execution phase, and then a ToR or work plan for each component. The activities would generally be performed in the next, R-PP execution phase, not as part of the R-PP formulation process.*

Review of revised R-PP of SUDAN

Reviewer: Harrison O. Kojwang and 6 other reviewers

Date of review: June 12th , 2014

Standards to be Met by R-PP Components

(From Program Document FMT 2009-1, Rev. 6)

Background

Sudan made a formal submission of its R-PP which was reviewed and presented to PC 16 in December 2013. The PC recognized and commended Sudan for its effort to produce the document within a relatively short time and its willingness to receive and respond to the feedback it was offered on the same. The current version of the R-PP was reviewed by a team of seven TAP members in readiness for a re-submission to PC 17 scheduled in July 2014. The TAP Team believes

that it is within Sudan's means to improve the document as per the latest recommendations.

Overview of the current state of the R-PP of Sudan

Strengths:

1. *The document presents a rich body of information on the history of forest management in Sudan, its forest resources and the consultative and conflict resolution processes that were followed during the creation of forest reserves. Compared to many other countries that have submitted R-PPs, Sudan has put a lot of effort into developing its R-PP in a relatively shorter time than most.*

2. *The TAP has taken note of the fact that Sub-component 1a on management arrangements for REDD+, has now been improved and gives a much clearer picture of the current and envisaged governance arrangements for REDD+ at the federal level. In that regard, the organograms are useful.*

3. *The issue of consultation and participation are now recognized as dynamic processes that will need to be addressed in the formative phases of a national REDD+ Programme, as well as during implementation.*

4. *The direct and indirect or underlying drivers of deforestation and forest degradation have been well described in sub-component 2a, and the corresponding mitigation programmes designed under Strategy Options in 2b show a clear linkage between the drivers and mitigation options to address them.*

5. *The TAP also wishes to reiterate its appreciation of a feature of the proposed strategy options sub-component, in which analyses of the economic feasibility of each option have been suggested. This general feature of the proposed strategy options is considered exemplary among the many R-PPs that the TAP has looked at.*

6. The component on MRV (Component 4a and 4b) have been vastly improved

Key Issues:

1. The proposed methodology to construct reference emission and reference levels can still be improved as explained in the next section

Key Recommendations:

While Component 3 has improved following two iterative processes to revise it, the TAP believes that the revision of the component has made only marginal improvements and that a clearer presentation of what it will take Sudan to construct reference scenarios can still be made. The TAP has noted that Sudan intends to refine its methodology to construct its reference emission levels and reference levels during the readiness process. What is needed at this stage is to make a more succinct statement of its intentions and the key outputs that can be expected from the process.

Summary of the previous and current assessments		
Component	**TAP Synthesis Review for PC16**	**TAP Synthesis Review May-June 2014**
1 a. National Readiness Management Arrangements	*Partially met*	*Met*
1 b Information Sharing and Stakeholder Dialogue	*Met*	*Met*
1 c Consultation and Participation Process	*Met*	*Met*
2 a Land Use, Forest Law, Policy and Governance	*Largely met*	*Met*
2 b REDD+ Strategy Options	*Met*	*Met*
2 c Implementation Framework	*Largely met*	*Met*
2 d Social & Environmental Impacts during Preparation and Implementation	*Met*	*Met*
3 Reference Level	*Partially met*	*Largely Met*
4 a Monitoring Emissions and Removals	*Largely met*	*Met*
4 b Other Multiple Benefits, Impacts and Governance	*Met*	*Met*
5 Schedule and Budget	*Met*	*Met*
6 Program Monitoring & Evaluation Framework	*Largely met*	*Met*

Component 1. Organize and Consult

Standard 1a: National Readiness Management Arrangements:

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies beyond the forestry department, commitment of other sectors in planning and implementation of REDD readiness. Capacity building activities are included in the work plan for each component where significant external technical expertise has been used in the R-PP development process**,** and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations:

Based on earlier recommendations, the TAP makes the following observations on this sub-component

- The governance of REDD+ in the Republic of Sudan will be led at the national level by the Higher Council on Environment and Natural Resources (HCENR) as the highest policy making body. It will be chaired by the Minister of Environment, who reports to the President. Below the HECNR are the REDD+ National Steering Committee (NRSC), the Sudan National Programme Implementation Body (SNRPIB) and the National REDD+ Coordination Office (NRCO)

- Under the National REDD+ Steering Committee is a National Technical Advisory Committee, Technical Working Groups and a REDD+ Forum which are the main technical bodies for REDD+
- While it is not still quite clear if the same committees will be represented in the individual states of the Federation, the governance bodies have now been made much clearer, their membership structures have also been provided and roles clarified.

- Despite the fact that the sub-component has improved markedly, the Forest National Corporation still appears as the dominant agency in the implementation of REDD+, despite the recognition that other partners will also need to play their roles, in order for the proposed REDD+ to succeed. For a country as vast as Sudan, and with a Federal Governance Structure, the budget for cross-sector coordination seems far too modest and may give the impression that cross-sector coordination is not prioritized in Sudan.

Meets the Standard

Standard 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups

The R-PP presents evidence of the government having undertaken an exercise to identify key stakeholders for REDD-plus, and commenced a credible national-scale information sharing and awareness raising campaign for key relevant stakeholders. The campaign's major objective is to establish an early dialogue on the REDD-plus concept and R-PP development process that sets the stage for the later consultation process during the implementation of the R-PP work plan. This effort needs to reach out, to the extent feasible at this stage, to networks and representatives of forest-dependent indigenous peoples and other forest dwellers and forest dependent communities, both at national and local level. The R-PP contains evidence that a reasonably broad range of key stakeholders has been identified, voices of vulnerable groups are beginning to be heard, and that a reasonable amount of time and effort has been invested to raise general awareness of the basic concepts and process of REDD-plus including the SESA.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations:

Based on the TAPs feedback on the last version of the R-PP, it has observed the following:

- Feedback on the awareness and information-sharing workshops has been clearly presented in a table and are arranged by the various representatives of stakeholders who expressed them; farmers, pastoralists, women, NGOs etc. A note on lessons learned has now been included in the sub-component
- As the TAP had recommended, the use of Radio and TV Programmes to share information on REDD+ and to enable feedback has now been included.

Meets the Standard.

Standard 1c: Consultation and Participation Process

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be

assessed by whether proposals and/ or documentation on the following are included in the R-PP   (i) the consultation and participation process for R-PP development thus far[3] (ii) the extent of ownership within government and national stakeholder community; (iii) the Consultation and Participation Plan for the R-PP implementation phase   (iv) and concerns expressed and recommendations of relevant stakeholders, and a process for their consideration, and/or expressions of their support for the R-PP.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations:

The TAP has made the following observations on the revised sub-component

- The section highlights the fact that Sudan has a formal Communications Policy and public participation policies regarding environment and natural resources. In this regard reference has been made to the Forest Policy of 1996 and the new Draft Policy of 2006 – which caters for community and private sector participation in forest management.

- In addition to the above, the sub-component has now emphasized the fact that continuous consultations will be required even during the implementation process and the relevant activities in that consultative process have been clarified.

- The sub-component should include a plan to show when the states which had not been consulted during preparation of the R-PP will be engaged in consultations and implementation of a future REDD+ strategy.

Recommendation

Meets the Standard

Component 2. Prepare the REDD-plus Strategy

Standard 2a: Assessment of Land Use, Forest Law, Policy, and Governance:

A completed assessment is presented that: identifies major land use trends; assesses direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD-plus; recognizes major land tenure and natural resource rights and relevant governance issues; documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation; identifies significant gaps, challenges, and opportunities to address REDD; and sets the stage

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[3]Did the R-PP development, in particular the development of the ToR for the strategic environmental and social assessment and the Consultation and Participation Plan, include civil society, including forest dwellers and Indigenous Peoples representation? In this context the representative(s) will be determined in one of the following ways: (i) self-determined representative(s) meeting the following requirements: (a) selected through a participatory, consultative process; (b) having national coverage or networks; (c) previous experience working with the Government and UN system; (d) demonstrated experience serving as a representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society including Indigenous Peoples organizations; or (ii) Individual(s) recognized as legitimate representative(s) of a national network of civil society and/or Indigenous Peoples organizations (e.g., the GEF Small Grants National Steering Committee or National Forest Program Steering Committee).

for development of the country's REDD strategy to directly address key land use change drivers.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

The TAP has noted the following from the sub-component, since the last TAP review:

- The sub-component has pointed out areas where policies and legislation need to be revised and promulgated afresh, including a review of its current National Forrest Programme (NFP). The policies and legislation are on range, livestock and water, forestry, riverine ecosystems and mountains. The issue of cessation of South Sudan and how it may affect the forest policies and programmes of Sudan has now been described.

- In addition, to the direct drivers of deforestation and forest degradation, the *indirect drivers have now been recognized and some descriptions of their perceived effects on forest cover have been offered. While the definitions and description of indirect or underlying drivers can still be improved the sub-component has now been substantially improved*

   Recommendations:

Meets the standard

Standard 2.b: REDD-plus strategy Options:

The R-PP should include: an alignment of the proposed REDD-plus strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies, and a summary of the emerging REDD-plus strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD-plus strategy options. This summary should state: how the country proposes to address deforestation and degradation drivers in the design of its REDD-plus strategy; a plan of how to estimate cost and benefits of the emerging REDD-plus strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental aspects; socioeconomic, political and institutional feasibility of the emerging REDD-plus strategy; consideration of environmental and social issues; major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD-plus strategy; and a plan of how to assess the risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD-plus strategy over time.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

- On strategy options there is an excellent demonstration on the economic considerations that need to be made in the identification, choice and design of mitigation options – hence the opportunity costs and other economic aspects of strategies are stated and a number of studies recommended

- The R-PP discusses a vast array of interventions and strategy options (almost $2million

worth), without any prioritization. It would be wise to prioritize the strategy options and focus on activities that can be undertaken within the requested budget.

- The intention to directly address the identified drivers of D&D in mitigation and to use incentives is clear and quite strong. However this could even be stronger if it was backed by a better analysis of indirect or underlying drivers of deforestation and forest degradation (as we have recommended for component 2a)

- The potential mitigation benefits of the proposed strategy options have now been described

- The relative success of past and recent efforts to address deforestation in the Sudan and lessons learnt is still missing, even though a listing of relevant programmes and projects has been provided. Their use in the development of strategy options should be described.

- The section on institutional arrangements to achieve the sustainability of REDD+ (Strategy Option Number 9) still needs to describe, key institutions that will be involved or targeted and possible mechanisms for cross-sector collaboration under REDD.

Meets the Standard

Standard 2.c: REDD-plus implementation framework:

Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional arrangements and issues relevant to REDD-plus in the country setting. Identifies key issues involved in REDD-plus implementation, and explores potential arrangements to address them; offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package. Key issues are likely to include: assessing land ownership and carbon rights for potential REDD-plus strategy activities and lands; addressing key governance concerns related to REDD-plus; and institutional arrangements needed to engage in and track REDD-plus activities and transactions.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

- The section had initially described the governance structures for REDD+, representation in steering committees on REDD+ and also a table of stakeholders for implementation of REDD+ Programmes.
- A carbon registry has now been described and a work plan that was recommended by the TAP has now been provided. Though not explicitly stated, the proposed carbon registry will also be supported by a REDD+ Projects Registry (RPR) described under component 4 (Figure IV-1) to track the progress being made on all REDD+ Projects in Sudan.
- A list of relevant issues to be addressed during the implementation of the R-PP has been provided and this includes, integration of forestry and REDD+ into National Development Plans, carbon rights, land tenure and increase of gum production from other species of acacia and many others
- The budget has been adjusted in line with a recommendation from the TAP

Recommendation

Meets the standard

Standard 2.d: Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation:

The proposal includes a program of work for due diligence in the form of an assessment of environmental and social risks and impacts as part of the SESA process. It also provides a description of safeguard issues that are relevant to the country's readiness preparation efforts. For FCPF countries, a simple work plan is presented for conducting the SESA process, cross referencing other components of the R-PP as appropriate, and for preparing the ESMF.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations:

- The structure of the section provides a clear link between suggested options and possible social and environmental impacts that could be generated through implementation

- The Environmental and Social Management Framework (ESMF)is prepared as a key output of the SESA process in a manner consistent with the applicable World Bank safeguards. At the early stages of implementation emerging impacts as a result of policies adopted should be assessed and catered for. Steps followed in the preparation of both SESA and ESMF are satisfactory.

- Recognizes requirements of the World Bank on safeguards and SESA, but does not give any information or data on past safeguard issues in Sudan, even those arising out of its huge irrigation projects

Recommendation

Meets the standard

Component 3. Develop a National Forest Reference Emission Level and/or a Forest Reference Level

Standard 3: National Forest Reference Emission Level and/or a Forest Reference Level

Present work plan for how the reference level for deforestation, forest degradation (if desired), conservation, sustainable management of forest, and enhancement of carbon stocks will be developed. Include early ideas on a process for determining which approach and methods to use (e.g., forest cover change and GHG emissions based on historical trends, and/or projections into the future of historical trend data; combination of inventory and/or remote sensing, and/or GIS or modeling), major data requirements, and current capacity and capacity requirements. Assess linkages to components 2a (assessment of deforestation drivers), 2b (REDD-plus strategy activities), and 4 (monitoring system design).

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a stepwise approach may be useful. This component states what early activities are proposed.)

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

Following earlier TAP recommendations the TAP has the following observations and comments on this component.

- The component has provided information on past forest resource assessments sponsored by institutions such as the World Bank in 1982, CIDA (1993-1994), National Forest Inventory (1995 – 1997) and the Afri-cover Project in 1997 and considers the Africover 1997-2000 data set as the best so far and can be used in estimating historic changes in forest cover

- The TAP has also noted the following from the component:

  - Sudan considers this component as a stepwise multiphased and continuous process
  - It will use medium resolution imagery to achieve national coverage in its mapping of forest cover
  - Emission factors will be elaborated during the implementation pf the R-PP
  - Studies will be conducted to generate a set of values, such as; *biomass expansion factors, allometric equations, root shoot ratios, growth increments, stocking / carbon densities* etc

- An improved commentary on the quality of existing data on forest cover and carbon stock estimates (volumes per hectare) have been presented. The data on woody biomass in the various forest and woodland types remains patchy and this component as well as component 4 call for a comprehensive National Forest Inventory based on a revised forest stratification of the current land mass of the state of Sudan; the south having seceded.

- In the preceding round of TAP comments, it was recommended that the key methodological steps and data necessary to estimate reference levels and scenarios, be stated and put into the context of Sudan. An attempt has been made to do that, but in reading the component, and despite the general reference to the relevant IPCC guidelines that will be followed, the *methodology to be applied* and the *expected outputs* of the process are still not quite succinctly stated.

Recommendation

While the component has improved following two iterative processes to revise it, the TAP believes that the improvements are still marginal and that a clearer presentation of what it will take Sudan to construct reference scenarios can still be made and to provide a clear set of outputs it expects from the process. The TAP has noted that Sudan intends to refine its methodology to construct its reference emission levels and reference levels during the readiness process.

Largely Meets the standard

Component 4. Design Systems for National Forest Monitoring and Information on Safeguards

Standard 4a: National Forest Monitoring System:

The R-PP provides a proposal and work plan for the initial design, on a stepwise basis, of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation, and forest enhancement activities. The system design should include early ideas on enhancing country capability (either within an integrated system, or in coordinated activities) to monitor emissions reductions and enhancement of forest carbon stocks, and to assess the impacts of the REDD-plus strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest-dependent indigenous peoples and other forest dwellers. The R-PP should also address the potential for independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD-plus implementation. The proposal should present early ideas on how the system could evolve into a mature REDD-plus monitoring system with the full set of capabilities.
(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed)

Reviewer's assessment of how well R-Plan meets this standard, and recommendations:

Observations

The key components of a Forest Monitoring System have been described and the need for a nation-wide National Forest Inventory System as the backbone of a forest monitoring system has been articulated

Even though existing capacity has not been sufficiently described in terms of skills and equipment, the needed capacities for the proposed forest monitoring system have been described

A list of anticipated outputs and outcomes at the end of the readiness process has now been more clearly stated in 4A.5

A registry of REDD+ projects, a REDD+ Project Registry (RPR) has been proposed and the reporting obligations of REDD+ projects within the proposed monitoring system has been sufficimetly described

Recommendation:

Meets the standard

Standard 4b: Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards :

The R-PP provides a proposal for the initial design and a work plan, including early ideas on capability (either within an integrated system, or in coordinated activities) for an integrated monitoring system that includes addressing other multiple benefits, impacts, and governance. Such benefits may include, rural livelihoods enhancement, conservation of biodiversity, and/or key governance factors directly pertinent to REDD-plus implementation in the country.

(The FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

Reviewer's assessment of how well R-Plan meets this standard, and recommendations:

Observations:

In the preceding version of the R-PP, the TAP had observed that while there seemed to be an understanding on what is required, it was rather theoretical and the inclusion of Indigenous Peoples or forest dependent groups in monitoring needs had not been highlighted. In the current version, it has been improved but a clear institutional collaborative structure, involving Indigenous Peoples / forest dependent groups and local communities is still weak.

We have the following informal suggestions to make. Since the TAP judged the Sudan's submission to have Met the Standard for Component 4b already, we do not wish to reverse that assessment, but the component would nonetheless benefit from the following, relatively small, editorial tasks:

- A clear assessment is still required of what **specific capacity exists** and what the **specific capacity needs** are, in order to meet the objectives of the proposed REDD+ programme

- In addition, and as already emphasized under 4a, the capacity training needs for each of the stakeholders who will be involved in monitoring should be clarified

Meets the standard

Component 5. Schedule and Budget

Standard 5: Completeness of information and resource requirements

The R-PP proposes a full suite of activities to achieve REDD-plus readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

The recommendations of the TAP have been largely incorporated.

Recommendation

Meets the standard

Component 6. Design a Program Monitoring and Evaluation Framework

Standard 6:

The R-PP adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Observations

The TAP is satisfied that the component has the appropriate content.

Meets the Standard.