

Decision 13/COP.9

Improving the procedures for communication of information as well as the quality and format of reports to be submitted to the Conference of the Parties

The Conference of the Parties,

Recalling article 26 of the Convention,

Recalling also article 22, paragraph 2 (a) and (b), of the Convention,

Taking into account decision 3/COP.8 and its annex, the 10-year strategic plan and framework to enhance the implementation of the Convention, particularly chapter VI on the implementation framework and the priorities mentioned therein for the Committee for the Review of the Implementation of the Convention, as regards communication of information and the review of implementation,

Conscious of the desirability of adopting procedures to organize and streamline the communication of information,

Taking note of documents ICCD/CRIC(8)/5 and ICCD/CRIC(8)/5/Add.1 to Add. 7,

Taking note also of document ICCD/CRIC(8)/4 on performance review and assessment of the implementation of the Convention and of the 10-year strategic plan and framework to enhance the implementation of the Convention,

1. *Decides* to adopt provisionally the indicators, methodologies and procedures attached to the present decision, including the annexes, with a view to reviewing their effectiveness and relevance for measuring performance and impact with respect to implementation of the Convention at the end of the first reporting cycle;
2. *Requests* the secretariat together with the Global Mechanism (GM) to use an iterative process to develop proposals for consideration by future sessions of the Conference of the Parties (COP), commencing with the tenth and eleventh sessions, in order to refine the set of performance and impact indicators and associated methodologies;
3. *Requests* the Committee for the Review of the Implementation of the Convention (CRIC) to review the status of this iterative process during its sessions and to recommend a minimum set of performance indicators for consideration at the eleventh session of the COP;
4. *Requests* the Executive Secretary together with the GM to report, after the fourth reporting cycle, in 2010 and 2012, on the efficacy of the provisional performance and impact indicators, with due regard to the process of the Committee on Science and Technology (CST) for reviewing and improving the impact indicators for strategic objectives 1, 2 and 3 and the

proposals cited in paragraph 2 and to recommend improvements, including of the methodologies and reporting procedures included in this decision and its annexes, based on recommendations from Parties and other reporting entities, for discussion and potential revision at the tenth and eleventh sessions of the COP;

5. *Requests* the secretariat together with the GM and *invites* the United Nations Environment Programme (UNEP) and the Global Environment Facility (GEF) to prepare reporting tools for the fourth reporting cycle in 2010, and to facilitate and provide capacity-building on monitoring to affected country Parties, as required;

6. *Requests* developed country Parties, and *invites* international organizations and financial institutions, including inter alia the GEF, to provide technical and financial assistance to eligible affected country Parties during the fourth reporting cycle, in particular those affected country Parties in Africa;

Technical assistance

7. *Invites* the Joint Liaison Group to provide technical assistance for the indicators relating to outcome 2.5 and impact indicator (SO) 4-4;

8. *Takes note* of the terminology and definitions proposed in document ICCD/CRIC(8)/5/Add.3, Glossary of performance indicators for the review of the implementation of the 10-year strategic plan and framework to enhance the implementation of the Convention (The Strategy) and best practices, and *invites* Parties and other reporting entities to refer to the terminology and definitions included therein when reporting to the COP, bearing in mind the process in the CST to develop a glossary for the provisional set of impact indicators on strategic objectives 1, 2 and 3;

9. *Requests* the secretariat to publish the glossary on the UNCCD website and to keep it regularly updated as needs for revision arise;

10. *Decides* that the relevant activity codes (RACs) should be regularly updated by the GM and published on its website;

11. *Requests* the secretariat to develop, in collaboration with the GM, clear guidelines for the use of the Rio markers and RACs, to be made available to Parties and other reporting entities at the beginning of the reporting process to enable them to comply with reporting obligations and deadlines;

12. *Takes note* of the need of the secretariat together with the GM to rely on external assistance for the computation of indicator SO 4-5 and the partial computation of indicator SO 4-4;

Data collection

13. *Requests* the secretariat together with the GM to take advantage, within available resources, of existing data-management systems and to use these tools for effective

dissemination of the information received through this process, including best practices, into the public domain in line with ICCD/CRIC(8)/5/Add.5 paragraph 57 (a);

Final provisions

14. *Declares* no longer in force decision 11/COP.1 and all related provisions on improving the procedures for communication of information as well as the quality and format of reports to be submitted to the Conference of the Parties that are inconsistent with those adopted at the ninth session of the COP.

*9th plenary meeting
2 October 2009*

Attachment

1. The performance review and assessment of implementation (PRAIS) undertaken by the Committee for the Review of the Implementation of the Convention (CRIC) shall be based on reports submitted by all those reporting entities either obliged to report or reporting on a voluntary basis to sessions of the Committee for the Review of the Implementation of the Convention.

2. While engaging in the monitoring and communication of information on the implementation of the Convention, Parties, are encouraged to make full use of the expertise of competent intergovernmental and non-governmental organizations as well as existing capacity-building initiatives in the preparation of reports and the dissemination of relevant information.

3. Detailed information on each reporting element is contained in the annexes I-V.

General reporting guidelines for Parties and subregional and regional entities

4. Each Party and subregional and/or regional entity reporting shall communicate to the CRIC sessions held between ordinary sessions of the COP, through the secretariat, reports on the measures which it has taken for the implementation of The Strategy and the Convention.

5. The table below outlines in general reporting elements and their attributions per reporting entities.

Table 1. General reporting elements per reporting entity

	Impact indicators on SO 1, 2, 3 ¹	Impact indicators on SO 4 ²	Performance indicators ³	Financial Annex and Programme and project sheet ⁴	Best practices ⁵	Additional information ⁶
Affected country Parties	√	√	√	√	√	√
Developed country Parties		√	√	√	√	√
Subregional and regional entities		√	√	√	√	√

¹ See decision 17/COP.9.

² See annex II to this decision.

³ See annex III to this decision.

⁴ See annex IV to this decision.

⁵ See annex V to this decision.

⁶ See paragraph 17 of this attachment.

General reporting obligations for the institutions and subsidiary bodies of the Convention

6. The Convention's institutions and subsidiary bodies shall submit:
 - (a) To each session of the CRIC held in conjunction with ordinary session of the COP, a performance report of the last biennium;
 - (b) Updates of the four-year workplans to each session of the CRIC held in conjunction with an ordinary session of the COP.
7. The performance reports from the secretariat and the Global Mechanism (GM), while taking a results-based management approach on the basis of the adopted workplans and programmes of work, should aim for harmonization with the reporting tools used by other reporting entities to ensure maximum coherence. In this regard they are requested where appropriate to include in their reports information on best practices in relation to The Strategy for consideration by the CRIC and the COP and to provide additional information relating to the reporting process in order to improve the overall monitoring process undertaken by the CRIC.
8. With reference to annex III to this decision, which contains the performance indicators used by Parties and other reporting entities, the secretariat is requested to report on indicators CONS-O2, 03, 07, 11 and 12, while the Global Mechanism will report with particular reference to CONS-O3, 07, 11, and 14.
9. The CST and the CRIC will report results against the expected accomplishments and performance indicators contained in their multi-year workplans. In addition, the CST is requested to include where appropriate information on best practices in relation to The Strategy for consideration by the CRIC and the COP and to provide additional information on the reporting process with the aim of improving the overall monitoring process undertaken by the CRIC.

General reporting guidelines for United Nations agencies, intergovernmental organizations and civil society organizations

10. Relevant organs, funds and programmes of the United Nations, as well as other intergovernmental organizations (IGOs), are encouraged to provide information on their activities in support of the implementation of The Strategy and the Convention, following the reporting attributes listed below.
11. United Nations agencies and IGOs may provide information on impact indicators relating to strategic objective 4 of The Strategy, the financial annex and the programme and project sheet and provide additional information relating to the reporting process or the implementation of the Convention in accordance with their mandate.
12. Information relating to civil society, including the private sector, may be supplied by Parties through their reports, or obtained through independent studies, as appropriate.

13. Accredited civil society organizations are also invited to organize themselves to prepare collaborative reports on their work for the implementation of the Convention, especially through the provision of best practices, for transmission to the sessions of the CRIC held between ordinary sessions of the COP and to the focal points of the countries. Civil society organizations may also provide additional information relating to the review process.

General reporting guidelines for the Global Environment Facility

14. In the light of the importance of the Global Environment Facility (GEF) to the Convention and the need to undertake the performance review of Parties and stakeholders at the same time, the GEF is invited to enhance the information it provides under its current reporting process by using the reporting tools provided by the secretariat, the GM and UNEP/GEF, which reflect the provisional reporting elements adopted by the COP at its ninth session, and to provide this report to each session of the CRIC held between the ordinary session of the COP.

15. The reporting of the GEF at CRIC sessions held between ordinary sessions of the COP should comprise information on the reporting elements set out in Table 2:

Table 2. GEF reporting elements

	Impact indicators on SO 1, 2, 3	Impact indicators on SO 4	Performance indicators	Financial Annex and Programme and project sheet	Best practices	Lessons learned
The GEF		√	√	√	√	√

Format and content of reports

16. Reports should be as concise as possible in order to facilitate their review. They should be structured as follows, taking into account the various reporting responsibilities of the reporting entities outlined above:

- (a) Name, title and description of entity submitting report
- (b) Table of contents;
- (c) Impact indicators for strategic objectives 1, 2 and 3 (DLDD profile);⁷
- (d) Impact indicators for strategic objective 4;⁸

⁷ The impact indicators for strategic objectives 1, 2 and 3 are set out in annex I to this decision.

⁸ The impact indicators for strategic objective 4, their baselines, reporting attributions and targets and the means to collect information on them are set out in annex II to this decision.

- (e) Performance indicators;⁹
- (f) Financial annex;
- (g) Programme and project sheet;¹⁰
- (h) Additional information.

17. The section on additional information will be adjusted by the secretariat in accordance with the mandates of the respective reporting entities, and will allow for more flexible reporting on the difficulties and constraints experienced in the reporting process, in particular the implementation of indicators, as well as of any additional information that reporting entities may wish to communicate to the Conference of the Parties.

Language of reports

18. Reports shall be communicated to the secretariat in one of the official languages of the United Nations.

Timetable for the submission of reports

19. The schedule of submissions and the nature of reports to be received from each reporting entity is set out in decision 11/COP.9 on additional procedures or institutional mechanisms to assist the Conference of the Parties in regularly reviewing the implementation of the Convention, in particular in chapter IV of that decision.

20. As soon as the date and venue of the CRIC session held between ordinary sessions of the COP have been finalized, detailed timetables for activities relating to the reporting process should be made available to reporting entities by the secretariat, through official communication.

Compilation and synthesis of reports

21. In accordance with the terms of reference of the CRIC, contained in decision 11/COP.9, the secretariat shall prepare a synthesis and preliminary analysis of the reports submitted by Parties and observers to the regional meetings with a view to obtaining regional inputs to the discussions at the CRIC.

22. The GM shall provide an analysis of financial flows and submit this to the secretariat for inclusion in its report to the CRIC.

23. Pursuant to current procedures, the secretariat shall facilitate, as part of its joint work programme with the GM and in cooperation with international and multilateral organizations, a comprehensive capacity-building initiative to assist affected developing country Parties and

⁹ The performance indicators, their baselines, reporting attributions and targets, and the means to collect them are set out in annex III to this decision.

¹⁰ The Financial annex and the programme and project sheet are set out in annex IV to this decision.

other eligible affected country Parties with monitoring indicators and communicating information. The secretariat shall also, seek assistance from donors and competent intergovernmental organizations.

Evaluation of provisional indicators and methodologies

24. Given the provisional nature of the performance and impact indicators as well as that of the reporting elements and methodologies suggested in annexes I-V, all Parties and other reporting entities should use their best endeavors to report against these indicators and are invited to recommend improvements, which will be discussed as part of the iterative process described in paragraphs 2 and 3 of the above decision.

Official documents

25. Documents prepared by the secretariat in accordance with paragraphs 21 and 22 of this attachment shall constitute official documents of the Conference of the Parties.

Communication of institutional information to the Permanent Secretariat

26. To facilitate exchanges of information and informal contacts during the review process, Parties shall communicate inter alia electronically to the secretariat, as soon as practicable, information concerning the names, addresses, e-mail addresses and telephone numbers of national, subregional and regional focal points and coordinating bodies, and those of the science and technology correspondents.

Availability of reports

27. In order to maximize the dissemination of information, all reports communicated to the secretariat in accordance with current procedures, as well as the institutional information provided pursuant to paragraph 26 of this attachment, shall be placed in the public domain, using state of the art knowledge management tools. The secretariat shall make copies of the reports available to any interested Party as well as other entities or individuals.

28. The secretariat shall maintain databases and directories, and regularly update the information provided in accordance with current procedures.

Annex I

Provisional impact indicators for strategic objectives 1, 2 and 3

Recommended set of impact indicators		
	National level	Global level
Objective 1: To improve the living conditions of affected populations		
<p>Core indicator S-1: Decrease in the number of people negatively impacted by the process of desertification/land degradation and drought</p> <p>Core indicator S-2: Increase in the proportion of households living above the poverty line in affected areas.</p> <p>Core indicator S-3: Reduction in the proportion of the population below the minimum level of dietary energy consumption in affected areas.</p>	<ul style="list-style-type: none"> • I. Water availability per capita in affected areas • II. Change in land use • III. Proportion of the population in affected areas living above the poverty line^a • IV. Childhood malnutrition and/or food consumption/ calorie intake per capita in affected areas 	<ul style="list-style-type: none"> • I. Water availability per capita in affected areas • III. Proportion of the population in affected areas living above the poverty line • V. The Human Development Index as defined by UNDP
Objective 2: To improve the condition of ecosystems		
<p>Core indicator S-4: Reduction in the total area affected by desertification/land degradation and drought</p> <p>Core indicator S-5: Increases in net primary productivity in affected areas.</p>	<ul style="list-style-type: none"> • II. Change in land use • VI. Level of land degradation (including salinization, water and wind erosion, etc.) • VII. Plant and animal biodiversity • VIII. The aridity index • IX. Land cover status 	<ul style="list-style-type: none"> • IX. Land cover status
Objective 3: To generate global benefits through effective implementation of UNCCD		
<p>Core indicator S-6: Increases in carbon stocks (soil and plant biomass) in affected areas.</p> <p>Core indicator S-7: Areas of forest, agricultural and aquaculture ecosystems under sustainable management</p>	<ul style="list-style-type: none"> • VII. Plant and animal biodiversity • III. Proportion of the population in affected areas living above the poverty line • X. Carbon stocks above and below ground • XI. Land under SLM 	<ul style="list-style-type: none"> • III. Proportion of the population in affected areas living above the poverty line • XI. Land under SLM

^a The two impact indicators highlighted constitute the minimum required for reporting by affected countries beginning in 2012: **i) Proportion of the population in affected areas living above the poverty line; ii) Land cover status**. Although recommended, the remaining impact indicators on the list, are optional for inclusion in reports by affected countries.

Annex II

Provisional impact indicators for strategic objective 4, their reporting attribution and baseline¹

Expected impact	Indicator no.	Indicator name	Affected country Parties	SRAPs and RAPs	Developed country Parties	United Nations and IGOs	GEF	Secretariat	GM
4.1	SO4-1	Percentage change of multilateral donor contributions for UNCCD-related activities.				X	X		
	SO4-2	UNCCD share of BODA.			X				
	SO4-3	Percentage change of domestic financial commitment to UNCCD implementation.	X	X					
	SO4-4	Percentage change of contributions from innovative sources of finance for UNCCD-related activities.	X	X	X	X	X		
	SO4-5	Percentage change of private sector and other contributions for UNCCD-related activities.	Study to be commissioned						
4.2	SO4-6	Number and type of legal and regulatory frameworks, economic incentives or other mechanisms securing or facilitating transfer of funds for the implementation of UNCCD, at all levels.	X	X	X	X	X		
	SO4-7	Clear entrusting of institutional responsibilities for UNCCD implementation, at all levels.	X	X	X	X	X	X	X

Change shall be reported against the 2010 baseline.

¹ See ICCD/CRIC(8)/5/Add.7.

Annex III

**Provisional performance indicators, their reporting attribution,
baseline and targets¹**

Outcome	Indicator number	Indicator name	Affected	SRAPs and RAPs	Developed	UN and IGOs	GEF	Secretariat	GM
1.1	CONS-O-1	Number and size of information events organized on the subject of DLDD and/or DLDD synergies with climate change and biodiversity, and audience reached by media addressing DLDD and DLDD synergies.							
1.2	CONS-O-2	Number of official documents and decisions at international, regional and subregional levels relating to DLDD issues.							
1.3	CONS-O-3	Number of CSOs and science and technology institutions participating in the Convention processes.							
	CONS-O-4	Number and type of DLDD-related initiatives of CSOs and science and technology institutions in the field of education.							
2.1 2.2 2.3	CONS-O-5	Number of affected country Parties, subregional and regional entities to have finalized the formulation/revision of NAPs/SRAPs/RAPs aligned to The Strategy, taking into account biophysical and socio-economic information, national planning and policies, and integration into investment frameworks.							
2.4	CONS-O-6	Number of partnership agreements established within the framework of the Convention between developed country Parties/United Nations and IGOs and affected country Parties.							
2.5	CONS-O-7	Number of initiatives for synergistic planning/programming of the three Rio conventions or mechanisms for joint implementation, at all levels.							
3.1 3.2	CONS-O-8	Number of affected country Parties, subregional and regional entities to have established and supported a national/subregional/regional monitoring system for DLDD.							
	CONS-O-9	Number of affected country Parties, subregional and regional entities reporting to the Convention along revised reporting guidelines on the basis of agreed indicators.							
3.3 3.4	CONS-O-10	Number of revised NAPs/SRAPs/RAPs reflecting knowledge of DLDD drivers and their interactions, and of the interaction of DLDD with climate change and biodiversity.							
3.5	CONS-O-11	Type, number and users of DLDD-relevant knowledge-sharing systems at the global, regional, subregional and national levels described on the Convention website.							
3.6	CONS-O-12	Number of science and technology networks, institutions or scientists engaged in research mandated by the COP.							
4.1 4.2	CONS-O-13	Number of countries, subregional and regional reporting entities engaged in building capacity to combat DLDD on the basis of National Capacity Self Assessment (NCSA) or other methodologies and instruments.							

¹ See ICCD/CRIC(8)/5/Add.1

5.1	CONS-O-14	Number of affected country Parties, subregional and regional entities whose investment frameworks, established within the IFS devised by the GM or within other integrated financing strategies, reflect leveraging national, bilateral and multilateral resources for combating desertification and land degradation.							
5.2	CONS-O-15	Amount of financial resources made available by developed country Parties to combat DLDD.							
	CONS-O-16	Degree of adequacy, timeliness and predictability of financial resources made available by developed country Parties to combat DLDD.							
5.3	CONS-O-17	Number of DLDD-related project proposals successfully submitted for financing to international financial institutions, facilities and funds, including the GEF.							
5.5	CONS-O-18	Amount of financial resources and type of incentives which have enabled access to technology by affected country Parties.							

1. Change shall be reported against the 2008 baseline, wherever possible.
2. The global targets for performance indicators are set out below.

Indicator	Target
CONS-O-1	By 2018, 30 per cent of the global population is informed about DLDD and DLDD synergies with climate change and biodiversity
CONS-O-2	By 2010 the Convention website has been restructured and includes a thematic database on relevant decisions and documents as part of the PRAIS
CONS-O-3	A steady growth in the participation of CSOs and science and technology institutions in the Convention processes is recorded along the implementation period of the Strategy
CONS-O-4	A steady growth in the number of DLDD-related education initiatives undertaken by CSOs and science and technology institutions is recorded along the implementation period of The Strategy
CONS-O-5	By 2014, at least 80 per cent of affected country Parties, subregional and regional entities have formulated/revised a NAP/SRAP/RAP aligned to The Strategy
CONS-O-6	By 2014 at least two UNCCD related partnership agreements are active in each affected country Party
CONS-O-7	By 2014, each affected country Party has either one joint national plan in place or functional mechanism(s) to ensure synergies among the three Rio conventions
CONS-O-8	By 2018, at least 60 per cent of affected country Parties, subregional and regional reporting entities have established and supported national monitoring systems for DLDD
CONS-O-9	By 2018, at least 90 per cent of affected country Parties, subregional and regional entities report to the Convention in compliance with the new reporting guidelines
CONS-O-10	By 2018, at least 70 per cent of revised NAPs/SRAPs/RAPs have successfully gone through a quality self-assessment
CONS-O-11	By 2010 the Convention website has been restructured and includes a thematic database on knowledge-sharing systems as part of the PRAIS
CONS-O-12	No target needs to be defined
CONS-O-13	At least 90 per cent of affected country Parties, sub-regional and regional reporting entities implement DLDD-specific capacity-building plans, programmes or projects
CONS-O-14	By 2014, at least 50 per cent of affected country Parties, subregional and regional entities have developed integrated investment frameworks
CONS-O-15	No targets have been set for this indicator
CONS-O-16	No targets have been set for this indicator
CONS-O-17	A steady growth in the number of DLDD-related successfully submitted project proposals is recorded along the implementation period of The Strategy

Annex IV

Standard Financial Annex¹

<u>A. Identification</u>	
1. Reporting country/organization	
2. Extending agency/funding source	
3. Title of project or initiative	
4. Identification code or project ID number	
<u>B. Basic data</u>	
5. Recipient country(ies)	
6. Recipient organization(s)	
7. Executing agency organization(s)	
8. Commitment date (<i>dd mm yyyy</i>)	
9. Currency	
10. Amount committed	
11. Type of funding (<i>grant, loan, equity investment, other</i>)	
12. Start date (<i>dd mm yyyy</i>)	
13. Completion date (<i>dd mm yyyy</i>)	
14. Duration (<i>no. of years</i>)	
<u>C. Classification</u>	
15. UNCCD Rio marker (<i>0, 1, 2, or 3</i>)	
16. Relevant activity codes (RACs)	

¹ See ICCD/CRIC(8)/5/Add.4.

Programme and Project Sheet

1. Programme/project title											
2. Organization											
3. Role of the Organization in the Programme/project (e.g. funding, implementing, or recipient organization, etc.)					4. Beneficiary country(ies)						
5. Target groups (e.g. number of people or households)					6. Target area (e.g. number of hectares)						
7. Programme/project identification code or number					8. Status (proposal, ongoing, completed)						
9. Start date (dd mm yyyy)					10. Completion date (dd mm yyyy)						
11. Programme/project financing					Source		Currency		Amount		
12. Rio markers (for the whole programme/project)					UNCCD		CBD		UNFCCC		
13. Strategic objectives (of The Strategy)			1 <input type="checkbox"/>		2 <input type="checkbox"/>		3 <input type="checkbox"/>		4 <input type="checkbox"/>		
14. Operational objectives (of The Strategy)			1 <input type="checkbox"/>		2 <input type="checkbox"/>		3 <input type="checkbox"/>		4 <input type="checkbox"/>		5 <input type="checkbox"/>
15. Programme/project objectives (list the overall objective and specific objective(s), if any)						16. UNCCD Rio marker (0, 1, 2, 3)		17. Relevant activity codes (RACs)			
18. Programme/project components (if any, as in programme/project documents)			19. Currency (per component)		20. Amount (per component)		21. UNCCD Rio marker (0, 1, 2, 3)		22. RACs		
23. Expected or achieved results											

Annex V

Best practices¹

UNCCD best practices should be collected according to the following thematic topics:

- (a) Sustainable Land Management (SLM) technologies, including adaptation;
- (b) Capacity-building and awareness-raising;
- (c) Desertification, land degradation and drought, and SLM monitoring and assessment/research;
- (d) Knowledge management and decision support;
- (e) The policy, legislative and institutional framework;
- (f) Funding and resource mobilization;
- (g) Participation, collaboration and networking.

¹ See ICCD/CRIC(8)/5/Add.5.