



Convention to Combat Desertification

Distr.: General
29 August 2011

Original: English

Conference of the Parties Committee on Science and Technology

Tenth session

Changwon, Republic of Korea, 11–13 October 2011

Item 4 (b) of the provisional agenda

Advice on how best to measure progress on strategic objectives 1, 2 and 3 of The Strategy

Modalities for analysis of the scientific and technical information contained in the reports to be submitted in 2012 from reporting entities as well as of the use of the related scientific outcomes

Committee for the Review of the Implementation of the Convention

Tenth session

Changwon, Republic of Korea, 11–20 October 2011

Item 4 (a) (v) of the provisional agenda

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 iterative process relating to the assessment of implementation, including performance and impact indicators, methodology and the reporting procedures

Guidelines for the preliminary analysis of information contained in the reports from Parties and other reporting entities

Guidelines for the preliminary analysis of information contained in reports from Parties and other reporting entities

Note by the secretariat

Summary

Pursuant to decisions 11/COP.9 and 13/COP.9, the secretariat and the Global Mechanism (GM), in accordance with their respective mandates, prepared preliminary analyses of information contained in the reports from country Parties and other reporting entities for the period 2010–2011.

While recognizing the work undertaken by the secretariat and the GM on synthesizing and analysing the information received from Parties and other reporting entities under the performance review and assessment of implementation system (PRAIS), Parties at the ninth session of the Committee for the Review of the Implementation of the Convention (CRIC) identified the need to further improve the framework of the reporting process and to agree on clear guidelines for the preliminary analyses prepared by the Convention institutions.

This document presents guidelines for future preliminary analyses of information contained in reports from country Parties and other reporting entities, as well as the methodological approach to be followed by the secretariat and the GM in this regard. The

CRIC may wish to consider the options presented in this document and make recommendations on how to carry out this analysis.

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List of abbreviations

BODA	bilateral official development assistance
COP	Conference of the Parties
CRIC	Committee for the Review of the Implementation of the Convention
CRS	OECD Creditor Reporting System
CSO	civil society organization
CST	Committee on Science and Technology
DAC	OECD Development Assistance Committee
DFI	development financing institution
DLDD	desertification, land degradation and drought
DPSIR	driving forces, pressures, state, impact and responses
e-SMART	economic, specific , measurable, achievable, relevant and time bound
FIELD	Financial Information Engine on Land Degradation
GEF	Global Environment Facility
GM	Global Mechanism
IFAD	International Fund for Agricultural Development
IFS	integrated financing strategies
IGO	intergovernmental organization
IIF	integrated investment framework
IRIS	Impact Reporting and Investment Standards
JLG	Joint Liaison Group
JWP	joint work programme
NAP	national action programme
NCSA	national capacity self-assessment
NONIE	Network of Networks on Impact Evaluation
OECD	Organisation for Economic Co-operation and Development
PPS	Programme and Project Sheet
PRAIS	performance review and assessment of implementation system
RAC	relevant activity codes
RAP	regional action programme
RBM	results-based management
SFA	Standard Financial Annex
SLM	sustainable land management
SRAP	subregional action programme
STI	science and technology institutions

UNCCD	United Nations Convention to Combat Desertification
UNEG	United Nations Evaluation Group

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I. Introduction and mandate for the preliminary analysis

1. By its decision 11/COP.9, the Conference of the Parties (COP), at its ninth session, decided that, in accordance with the terms of reference of the Committee for the Review of the Implementation of the Convention (CRIC),¹ the secretariat should prepare a synthesis and preliminary analysis of the reports submitted by Parties and observers. Decision 13/COP.9² also requests the Global Mechanism (GM) to provide an analysis of financial flows and submit this to the secretariat for inclusion in its report to the CRIC.

A. Operational objectives and financial flows

2. According to decision 13/COP.9, annex III (containing the list of provisional performance indicators, their reporting attribution, baseline and targets) and annex IV (Standard Financial Annex), Parties and other reporting entities, were requested to submit reports to the CRIC in accordance with their specific mandates.

3. A preliminary analysis of information contained in reports from country Parties and other reporting entities was prepared for the 2010-2011 reporting and review process, with respect to progress on the five operational objectives and the financial analysis.³ The preliminary analysis was conducted in accordance with an analytical framework which was submitted to the CRIC as reference.⁴

B. Strategic objectives

4. By provisions contained in annex I to decision 13/COP.9 and in decision 17/COP.9,⁵ the COP provisionally accepted a set of 11 impact indicators to measure progress in achieving strategic objectives (SO) 1, 2 and 3. Two impact indicators constitute the minimum required for reporting by affected countries in 2012: "Proportion of population living above the poverty line" and "Land cover status". Although recommended, the remaining impact indicators are optional for inclusion in reports by affected countries in the fourth reporting and review process.

5. By its decision 13/COP.9,⁶ the COP provisionally adopted a set of seven indicators for strategic objective 4 (SO-4). Additional reporting elements referring to impact indicators SO4-1 to SO4-7, measuring progress towards SO-4, as well as complementary guidance and methodological advice with regard to the reporting templates, the data collection exercise and the subsequent analysis are presented in document ICCD/CRIC(10)/12.

¹ See decision 11/COP.9 contained in document ICCD/COP(9)/18/Add.1.

² See decision 13/COP.9 contained in document ICCD/COP(9)/18/Add.1.

³ See document ICCD/CRIC(9)/INF.13 and the synthesis and preliminary analysis prepared by the secretariat in documents ICCD/CRIC(9)/3, ICCD/CRIC(9)/4, ICCD/CRIC(9)/5, ICCD/CRIC(9)/6, ICCD/CRIC(9)/7, ICCD/CRIC(9)/9 and ICCD/CRIC(9)/10; the analysis of financial flows prepared by the GM is contained in documents ICCD/CRIC(9)/8 and ICCD/CRIC(9)/INF.12.

⁴ As contained in documents ICCD/CRIC(9)/INF.13 (operational objectives, iterative process and additional information, and best practices) and ICCD/CRIC(9)/8 (financial flows for the implementation of the Convention).

⁵ See decision 17/COP.9 contained in document ICCD/COP(9)/18/Add.1.

⁶ See decision 13/COP.9, annex II.

6. According to decisions 11/COP.9 and 13/COP.9, Parties and other reporting entities will be requested to report against impact indicators, as well as the other reporting elements, in the period 2012–2013.

C. Recommendations of the Committee for the Review of the Implementation of the Convention

7. While recognizing the work undertaken by the secretariat and the GM on synthesizing and analysing the information received from Parties and other reporting entities under the PRAIS, Parties at the ninth session of the CRIC (CRIC 9) identified the need to further improve the framework of the reporting process, including to agree on clear guidelines for the preliminary analyses prepared by Convention institutions.

8. The guidelines presented in this document build upon the analysis conducted during the 2010–2011 reporting and review process, and take into consideration feedback and comments made by Parties at CRIC 9.

9. Additional feedback provided by Parties and other reporting entities including on performance indicators and other elements of the reporting process, namely the reporting timeframe, capacity-building, financing, data collection and quality control, is contained in document ICCD/CRIC(10)/11.

II. General considerations and guidelines for the analysis of the progress in reporting

A. General considerations

1. Geographical coverage and type of analysis

10. Addressing the concerns expressed by some country Parties,⁷ all the elements of the analysis presented here focus on the global level. Breakdowns at the regional levels are included only when they are relevant in a global context.

2. Compilation of the information, data interpretation and data quality checks

11. The analysis requires the compilation of the information provided by country Parties and other reporting entities in coherent global datasets for analytical purposes. This would include assembling the data provided by the relevant reporting entities, as well as data quality checks and, to a certain extent, the interpretation of the information provided.

12. Data interpretation would require the establishment of standard procedures for the treatment of data, such as data that are out of range (extremely high values or extremely low values with respect to the average data range).

13. Data quality is expected to improve in the course of successive reporting cycles, as the information is put into use in the context of the UNCCD review and reporting process, but should be factored in when deciding on timelines for the reporting process. It is recommended that a sufficient period after the submission date of reports (from three to six months) be dedicated to data quality checks enabling Convention institutions to revert back to reporting entities on substantive issues. Likewise, it is recommended to improve

⁷ Document ICCD/CRIC(9)/16.

feedback mechanisms on the results of the analysis from country Parties and other reporting entities.

3. Comparability of the information included in the reports

14. The correct interpretation and analysis of information included in the reports from country Parties and other reporting entities requires the information provided to be broadly comparable.

15. The comparability of information within the UNCCD process is expected to improve in the course of successive reporting and review cycles (iterative process), as the information is collected, compiled, interpreted, and used, also in view of the progress achieved in developing capacity at the national, regional and global levels.

16. The methodologies for data collection and the reporting templates needs to be tested against concrete situations and data availability, and will develop accordingly.

4. Dissemination of information and analytical tools

17. The analysis performed in 2011 made use of ad hoc analytical tools on a case-by-case basis, as the preliminary guidelines were being tested. Online data analysis systems were used, such as IBM Cognos,⁸ as well as offline and more common tools, such as Microsoft Excel. Future developments would require that compiled datasets and at least part of the analytical functions be made available through the PRAIS portal. This would enable both reporting entities and the wider public to make use of the collected information and carry out specific analyses themselves.

5. Use of auxiliary datasets

18. Together with national data, the various elements of the analysis presented here would require the use of additional global data sets, such as population data, gross domestic product (GDP) and currency exchange rates, as well as geo-referenced datasets (e.g. national boundaries). These data would only be used for referencing and validating primary information provided by country Parties and other reporting entities uploaded on the PRAIS system. Examples of use of auxiliary data are described in the examples below.

19. The analysis of information provided in the 2010–2011 reporting and review process was conducted on data and information relating to the biennium 2008–2009, as provided by reporting entities. When required, information relating to performance indicators was complemented with data on population, GDP and exchange rates from the following United Nations sources:

- United Nations Department of Economic and Social Affairs (UNDESA), Statistics Division: 2008 Population and Vital Statistics Report (Statistical Papers, Series A Vol. LXII, No. 2) Latest available census and estimates (2008–2009). July 2010;
- United Nations Department of Economic and Social Affairs (UNDESA), Statistics Division: 2008 Economic and Social Development Social Indicators: Indicators on income and economic activity. June 2010;
- United Nations Treasury: United Nations Operational Rates of Exchange (2008–2009).

⁸ Cognos Business Analytics, Business Intelligence and Performance Management. See <<http://www-01.ibm.com/software/data/cognos/>> for a description of the software.

20. Population data were used, for example, for the analysis at the global level of “Progress in the proportion of population being informed about desertification, land degradation and drought (DLDD) and DLDD synergies with climate change and biodiversity, in terms of percentage of population being informed per year”.⁹

21. Exchange rates were used, for example, for the analysis at the global level of “Trends in the amounts being made available to affected countries through DLDD-related programmes and projects”.¹⁰

B. Description of the proposed framework

22. This section contains an overview of the building blocks for the analysis of the information provided by country Parties and other reporting entities (see table below). A detailed description of the various elements of the analysis is contained in annexes I to V to this document.

Building blocks of the analysis of the information provided by country Parties and other reporting entities

<i>Building block</i>	<i>Description</i>	<i>Frequency</i>	<i>Status</i>
1	Progress in reporting Contribution to reporting cycle, coverage and completeness of responses Comparison between progress in reporting, financial flows earmarked for reporting and progress in establishing DLDD monitoring systems	2 years	Implemented in 2010
2	Progress towards strategic objectives Indicator-based analysis - analysis of impact indicators: Analyses based on single impact indicators Cross-cutting analyses across several indicators and objectives	4 years	Expected in 2012
3	Progress towards operational objectives Indicator-based analysis - analysis of performance indicators: Analyses based on single performance indicators and distance to targets Cross-cutting analyses across several indicators	2 years	Implemented in 2010

⁹ Performance indicator CONS-O-1: “Number and size of information events organized on the subject of desertification, land degradation and drought (DLDD) and/or DLDD synergies with climate change and biodiversity, and audience reached by media addressing DLDD and DLDD synergies.”

¹⁰ Performance indicator CONS-O-15: “Amount of financial resources made available by developed country Parties to combat DLDD.”

<i>Building block</i>	<i>Description</i>	<i>Frequency</i>	<i>Status</i>	
	and targets			
4	Global qualitative assessment	Summary table of progress towards targets	2 years	
5	Financial analysis	Analysis of financial information: Analysis of information relating to the Standard Financial Annex	2 years	Implemented in 2010
		Analysis of information relating to the Programme and Project Sheets		Implemented in 2010
6	Financial flows and progress in the implementation of the Convention	Cross-cutting analysis of financial flows and progress in achieving UNCCD operational objectives: Comparison of progress in achieving UNCCD operational objectives and the distribution of projects and investments across operational objectives at the global level Analysis based on relevant activity code: comparing trends in the indicators, showing progress towards targets, to level of funding, in terms of both commitments and investments	2 years	
7	Analysis of additional information	Classification of best practices in sustainable land management (SLM) technologies, including adaptation	2 years	Implemented in 2010
8	Classification of best practices	Classification of best practices on SLM technologies, including adaptation	Ongoing	Implemented in 2010
		Classification of best practices on financing and resources mobilization	Ongoing	To be implemented from 2012 onwards

1. Progress in reporting

23. This building block includes the following elements:

(a) Progress in reporting in terms of contribution to reporting cycle, coverage and completeness of responses (see annex I for further details);

(b) Comparison between progress in reporting as defined in (a) and trends in level of funding earmarked for reporting and progress in establishing DLDD monitoring systems.

24. The analysis will build on the results of the financial analysis and the analysis based on performance indicators described below.

2. Progress towards strategic objectives (analysis of impact indicators)

25. This building block includes the analysis of impact indicators:

(a) Analyses based on single indicators (see annex II for further details). Reporting on impact indicators is expected to start in the biennium 2012–2013;

(b) Cross-cutting analyses across several indicators and objectives, to show for example, whether more funding earmarked for DDL D is also leading to improvements in the conditions of affected populations and ecosystems. This element of the analysis will be implemented at a later stage.

3. Progress towards operational objectives and targets (analysis of impact indicators)

26. This building block includes the analysis of performance indicators:

(a) Analyses based on single indicators, showing progress towards single targets (see annex III for further details).

(b) Cross-cutting analyses across several indicators and targets (see annex III for further details). This element of the analysis will be implemented at a later stage.

4. Global qualitative assessment

27. This building block includes an overview of progress towards targets for the various strategic and operational objectives. The results of the assessment will be compiled in a table showing whether targets (where agreed) are on track/no progress/lagging behind or generic improvements are being achieved (in case specific targets have not been agreed yet), using a qualitative classification and appropriate symbols.¹¹ This element of the analysis will build on the results of “distance-to-target” analyses (see annex III for further details on such analyses). This building block will be implemented at a later stage.

5. Financial analysis

28. This building block includes the following elements:

(a) Analysis of information relating to the Standard Financial Annex (see annex IV, section A for further details). This analysis has been implemented for the 2010–2011 reporting and review process;

(b) Analysis of information relating to the Programme and Project Sheets (see annex IV, section B for further details). This analysis has been implemented for the 2008–2009 review and reporting process.

29. The analytical framework outlined in this section describes the approach that the GM has developed for the analysis of financial flows and trends based on the information collected through the Standard Financial Annex (SFA) and the Programme and Project Sheet (PPS).

30. The analytical framework has been developed by the GM with the assistance of external expertise¹² and in close consultation with the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD/DAC), in the context of the PRAIS project.

¹¹ Such as for example ++/--, smiling faces, green/yellow/red dots or a combination of those.

¹² Unisfèra/Planetair.

31. The analytical approach and methodology are based on broadly accepted intergovernmental standards, definitions and best practices, as well as on practical experience of generating financial data and maintaining development finance databases and investment monitoring systems, such as the GM Financial Information Engine on Land Degradation (FIELD) and OECD's Creditor Reporting System (CRS).

32. The overall objective of the analysis of financial flows is to inform the CRIC's assessment of progress and review of performance in achieving the strategic and operational objectives of the 10-year strategic plan and framework to enhance the implementation of the Convention (2008—2018) (The Strategy). To this end, while focusing on the financial data and indicators, the analytical framework also addresses the linkages with the social, environmental and development indicators of the Convention.

33. The analytical approach used for the analysis of UNCCD financial flows and trends has been designed with a view to examining, in particular, the following aspects:

- Inputs, that is. the resources mobilized for the implementation of the Convention at all levels and allocated by the various funding sources in support of institutions, programmes, projects, and other relevant initiatives; and
- Outputs, that is, the returns on investments in the activities financed, as can be inferred from a quantitative and qualitative analysis of the nature, scope, objectives, expected outcomes and results of these activities.

34. The input/output analysis is essentially based on the financial data contained respectively in the SFA and PPS sections of the official reports submitted by country Parties and other reporting entities through the PRAIS system.

35. This is complemented with other information, such as the gross domestic product (GDP) of the country concerned, official development assistance (ODA) received, exchange rate data and currency deflators - all obtained from authoritative sources.

36. The analyses of inputs and outputs are articulated around different dimensions, which in turn consist of different combinations of parameters and variables.

37. The statistics are illustrated through tables, figures and charts, including: synoptic tables that present the different statistics in rows and columns; charts, histograms and diagrams that provide a visual representation of the statistics and trends; and maps that show the geographical distribution of the related statistics.

38. Data integrity controls are performed to eliminate duplicate records and verify the level of consistency of the data with the reporting guidelines and definitions. Comparative analyses between the PRAIS data and the development assistance data contained in the OECD's creditor reporting system are also performed to identify potential discrepancies.

39. It should be noted that, while the first analytical exercise based on the data generated from the first leg of the fourth UNCCD reporting cycle aims to provide a set of baseline statistics, the analyses that will be conducted in subsequent reporting cycles will allow for more accurate identification of trends, measurement of flows and progress reviews.

6. Cross-cutting analysis of financial flows and progress in the implementation of the Convention

40. This building block includes the following elements:

- (a) Comparison of progress in achieving UNCCD operational objectives and the distribution of projects and funding (investments) across these objectives at the global level, building on an analysis of performance indicators and the financial analysis;

(b) Comparing trends in the indicators, showing progress towards targets, to level of funding (analysis based on relevant activity code (RAC)), in terms of both commitments and investments.

7. Analysis of additional information

41. This building block includes the analysis of additional information, as detailed in annex V below. This element has been implemented for the 2010–2011 reporting and review process.

8. Classification of best practices

42. This building block includes a classification of best practices. A classification of best practices for sustainable land management, including adaptation, is set out in document ICCD/CRIC(10)/15; a classification of best practices on funding and resource mobilization is set out in document ICCD/CRIC(10)/16. Information on best practices for sustainable land management, including adaptation, has been collected and was published during the 2010–2011 reporting and review process.¹³ The classification of best practices on funding and resource mobilization is expected to be implemented from the biennium 2012–2013 onwards.

III. Conclusions and recommendations

43. Parties at the tenth session of the CRIC (CRIC 10) may wish to consider the proposed guidelines and to recommend that Parties at the tenth session of the COP (COP 10):

(a) Request the secretariat and the GM in accordance with their respective mandates:

(i) To implement the guidelines for the preliminary analysis of information contained in reports from Parties and other reporting entities as contained in the present document for the preliminary analysis on information starting from the 2012–2013 reporting and review process;

(ii) To establish relevant standard procedures for the treatment of data contained in reports from Parties and other reporting entities in accordance with the above-referred guidelines;

(iii) To update the guidelines and the procedures for treatment of data as required, and to publish them on the UNCCD website and the PRAIS portal;

(b) Consider the need to undertake data quality checks during the compilation and processing of information received by country Parties and other reporting entities, and to propose that, starting from the 2012–2013 reporting and review process:

(i) A sufficient period of time after the submission date of reports be dedicated to the compilation and quality checks of information received by reporting entities, thus enabling Convention institutions to return to these entities to consult on substantive issues;

(ii) A feedback mechanism on the results of the analysis from country Parties and other reporting entities be established.

¹³ See document ICCD/CRIC(9)/9.

Annex I

[English only]

Guidelines for the analysis of the progress in reporting (table)

Analysis on progress in reporting

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
PR1.1	Coverage: Number of reports received per reporting cycle in total, by region/subregion, by reporting entity	Affected, <i>SRAPs/RAPs</i> , developed, United Nations agencies and IGOs, GEF
PR1.2	Coverage: Number of reports submitted online per reporting cycle in total, by region /subregion, by reporting entity	Affected, <i>SRAPs/RAPs</i> , developed, United Nations agencies and IGOs, GEF
PR2.1	Completeness: classification of reports received based on (a) percentage of compiled fields (3 classes: incomplete, 50% completed, almost complete) and/or on (b) the number of indicators for which information is provided (3 classes)	Country Parties (affected, developed)
PR2.2	Completeness: Number of reports with information relating to specific indicators	Affected, <i>SRAPs/RAPs</i> , developed, United Nations agencies and IGOs, GEF
PR3.1	Progress/trends: <i>Trends in the number of reports received per reporting cycle</i>	Affected, <i>SRAPs/RAPs</i> , developed, United Nations agencies and IGOs, GEF

Notes: PR denotes analysis of progress in reporting.

Italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IGO intergovernmental organization, RAP regional action programme, SRAP subregional action programme.

Annex II

[English only]

Guidelines for the analysis of information relating to the strategic objectives of The Strategy and related impact indicators (tables)*

A. General information

Table 1
Analysis of affected areas

<i>Core indicator number</i>	<i>Indicator name</i>	<i>Metrics</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
Applies to all		Affected areas	II0.1.1	Extension of areas affected by DLDD by country and reporting year in terms of: (a) absolute values (ha); (b) percentage of the national land area occupied by affected areas.	Affected country Parties

Notes: II denotes analysis of impact indicators

B. Strategic objective 1

Table 2
Indicator-based analysis – strategic objective 1

<i>Core indicator number</i>	<i>Indicator name</i>	<i>Metrics</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
SO-1/2/3	III. Proportion of population living above the poverty line	Rural poverty rate	III.1.1	Progress in the proportion of population living above the poverty line	Affected country Parties
			<i>III.1.2</i>	<i>Trends showing progress in the proportion of population living above the poverty line.</i>	<i>Affected country Parties</i>

Notes: II denotes analysis of impact indicators.

Italics indicate analyses to be implemented when time series are available.

* These guidelines have been developed on the basis of the document ICCD/COP(10)/CST/3.

C. Strategic objective 2

Table 3
Indicator-based analysis – strategic objective 2

<i>Core indicator number</i>	<i>Indicator name</i>	<i>Metrics</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
SO-5	IX. Land cover status	Land cover	II.2.1.1	Distribution of land cover classes by reporting period in terms of absolute values (ha) and percentages with respect to the total.	Affected country Parties
			<i>II.2.1.2</i>	<i>Progress in land cover status in terms of:</i> <i>(a) land cover changes for selected land cover classes, referring to both the latest reporting period and the baseline year;</i> <i>(b) trends in land cover changes for the selected land cover classes.</i>	<i>Affected country Parties</i>
S-5	IX. Land cover status	Land productivity/production	II.2.2.1	Land productivity of land cover/land use system by reporting period, in terms of distribution of productivity classes (3 or 4 classes: low, medium, high, very high; with thresholds depending on the variable used).	Affected country Parties
			II.2.2.2	Changes in land productivity (country assessment), in terms of number of countries where productivity is increasing, decreasing, stable, unknown.	Affected country Parties
			<i>II.2.2.3</i>	<i>Progress in land cover productivity in terms of:</i> <i>(a) land productivity changes for selected land cover classes, referred both to the latest reporting period and the baseline year;</i> <i>(b) trends in land productivity changes for selected land cover/land productivity systems.</i>	<i>Affected country Parties</i>

Notes: II denotes analysis of impact indicators.

Italics indicate analyses to be implemented when time series are available.

D. Strategic objective 4

Table 4

Impact indicators on strategic objective 4: purpose, data requirements and sources of information

<i>Indicator</i>	<i>Description</i>	<i>Type</i>	<i>Purpose</i>	<i>Reporting entities</i>
SO4-1	Percentage change of multilateral donor contributions for UNCCD-related activities	QT	indication of the trend in the supply of finance for DLDD-related investments and other UNCCD-related activities by multilateral DFIs	G, I
SO4-2	UNCCD share of BODA	QT	indication of the financial resources supplied by developed country Parties for DLDD-related investments and other UNCCD-related activities as part of their bilateral development cooperation	D
SO4-3	Percentage change of domestic financial commitment to UNCCD implementation	QT	Indication of the trend in the supply of public finance for DLDD-related investments and other UNCCD-related activities by affected developing country Parties	A, R
SO4-4	Percentage change of contributions from innovative sources of finance for UNCCD-related activities	QT	indication of the trend in the supply of finance for DLDD-related investments and other UNCCD-related activities by funding sources other than DFIs and Governments of affected developing country Parties	A, D, G, I, R (M-S)
SO4-5	Percentage change of private sector and other contributions for UNCCD-related activities	QT	indication of the trend in the supply of finance for DLDD-related investments and other UNCCD-related activities by the private sector, foundations and other sources not reporting to the UNCCD	M-S**
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	QT QL	measures the efforts made by the Convention stakeholders to facilitate the implementation of the Convention	A, D, G, I, R

<i>Indicator</i>	<i>Description</i>	<i>Type</i>	<i>Purpose</i>	<i>Reporting entities</i>
SO4-7	Clear entrusting of institutional responsibilities for UNCCD implementation, at all levels	QL	indication of the effectiveness of institutional arrangements for UNCCD implementation with regard to the resource mobilization process	A, D, G, I, M, R, S

Notes: QT: quantitative; QL: qualitative.

A: affected country Parties; D: developed country Parties; C: Civil society organizations; G: Global Environment Facility (GEF); I: United Nations agencies and intergovernmental institutions; M: Global Mechanism; R: subregional and regional reporting organizations; S: secretariat.

Abbreviations: BODA bilateral development assistance, DFI developing of integrated financing strategy, SO strategic objective.

** Study to be coordinated by the GM and the secretariat as part of their joint work programme.

Annex III

[English only]

Guidelines for the analysis of information relating to the operational objectives of The Strategy and related performance indicators (tables)

A. Operational objective 1

Table 1
Indicator-based analysis – operational objective 1

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
1.1	CONS-O-1	IA1.1, ID1.1	Progress in the proportion of population being informed about DLDD and DLDD synergies with climate change and biodiversity, in terms of percentage of population being informed per year	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IA1.2, ID1.2	Regions/subregions where the most/largest events are held each year	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO1.2, IG1.2	Regions where the most/largest events are held each year	United Nations agencies and IGOs, GEF
		IA1.3, ID1.3	Audience reached by each type of media product per reporting cycle Type of media products being used most in each region/subregion	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO1.3, IG1.3	Audience reached by each type of media product per reporting cycle Type of media products being used most in each region	United Nations agencies and IGOs, GEF
		IA1.4, ID1.4, IO1.4	Number of reporting entities where information provided is part of a strategy	Country Parties (affected, developed), <i>SRAPs/RAPs</i> , United Nations agencies and IGOs

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
1.3	CONS-O-3	IA3.1, ID3.1	Progress in the participation of CSOs and STIs in the Convention processes per year globally and by region/subregion	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO3.1, IG3.1	Progress in the participation of CSOs and STIs in the Convention processes per year globally and by region/subregion	United Nations agencies and IGOs, GEF
		IA3.2, ID3.2	National contribution to the target	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IA3.3, ID3.3	Most important reasons for increasing/decreasing trends per region	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO3.3, IG3.3	Most important reasons for increasing trends	United Nations agencies and IGOs, GEF
1.3	CONS-O-4	IA4.1, ID4.1	Education initiatives by CSOs/STIs per year globally and by region/subregion Types of events most predominant in each region/subregion	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO4.1, IG4.1	Education initiatives by CSOs/STIs per year globally and by region Types of events most predominant in each region	United Nations agencies and IGOs, GEF
		IA4.2, ID4.2	National contribution to the target	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IA4.3, ID4.3	Most important reasons for increasing/decreasing trends in regions	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
		IO4.3, IG4.3	Most important reasons for increasing trends in regions	United Nations agencies and IGOs, GEF

Notes: IA denotes analysis of performance indicators relating to affected country Parties, ID denotes analysis of performance indicators relating to developed country Parties IO denotes analysis of performance indicators relating to United Nations agencies and international organizations, IG denotes analysis of performance indicators relating to the Global Environment Facility The symbol CONS-O-<number> refers to consolidated indicator <number>. The symbols above apply to all tables in this annex. Italics indicate analyses to be implemented when time series are available.

Abbreviations: CSO civil society organization, GEF Global Environment Facility, IGO intergovernmental organization, RAP regional action programme, SRAP subregional action programme, STI science and technology institution

B. Operational objective 2

Table 2
Indicator-based analysis – operational objective 2

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
2.1, 2.2, 2.3	CONS-O-5	IA5.1	Progress in formulation of NAPs aligned with The Strategy	Affected country Parties, SRAPs/RAPs
		IA5.2	Most common reasons for NAP process not initiated/ aligned in some countries and their relevance	Affected country Parties, SRAPs/RAPs
		IA5.3	Alignment of NAPs to The Strategy: what components NAPs contain and which regions have integrated them into investment frameworks	Affected country Parties with NAP aligned with The Strategy, SRAPs/RAPs
		IA5.4	Which countries/ regions have received external assistance and type of assistance	Affected country Parties, SRAPs/RAPs
		IA5.5	Identification of major difficulties in formulation/ alignment of NAPs	Affected country Parties, SRAPs/RAPs
2.4	CONS-O-6	ID6.1	Progress and distribution of partnership agreements, in terms of: (a) Number of partnership agreements concluded and under implementation or planned by type (3 types: relating to integrated investment framework established within integrated financing strategies (IFS), within other IFS or not related to integrated investment frameworks) and per year (b) Geographical distribution of bilateral partnership agreements	Developed country Parties

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			(c) Distance to 2014 target	
			(d) National contribution to progress towards 2014 target	
		IO6.1 IG6.1	Progress and distribution of partnership agreements, in terms of:	United Nations agencies and IGOs, GEF
			(a) Number of partnership agreements concluded and under implementation by type (3 types: relating to integrated investment framework established within IFS, within other integrated financing strategies or not related to integrated investment frameworks) and per year	
			(b) Geographical distribution of multilateral partnership agreements	
		ID6.2 IO6.2 IG6.2	Distance to 2014 target and distribution of partnership agreements	Developed country Parties, United Nations agencies and IGOs, GEF
		ID6.3 IO6.3 IG6.3	Contribution of UNCCD-related institutions and bodies	Developed country Parties, United Nations agencies and IGOs, GEF
		ID6.4 IO6.4	Identification of major difficulties in establishing partnership agreements	Developed country Parties, United Nations agencies and IGOs
2.5	CONS-O-7	IA7.1	Progress in the establishment of synergies among the three Rio conventions, in terms of:	Affected country Parties, SRAPs/ RAPs
			(a) Number of affected country Parties with joint national plans/functional mechanisms in place or planned to ensure synergies among three Rio conventions and time frame by which countries should have joint initiatives in place	
			(b) Coverage of joint initiatives and operational mechanisms	
			(c) Distance to 2014 target	
		IA7.2	Support from the institutions of the Rio conventions on the establishment of synergistic	Affected country Parties, SRAPs/ RAPs

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			processes	
		IA7.3	Identification of major difficulties in establishing synergies among the three Rio conventions	Affected country Parties, SRAPs/ RAPs
		ID7.1	Contribution of developed country Parties to the establishment of synergies among the three Rio conventions, in terms of: (a) Number of enabling instruments established in affected country Parties with the support of developed country Parties per year by type of instrument (joint initiatives/ operational mechanisms) (b) Geographical distribution of support (c) National contribution to progress towards 2014 target	Developed country Parties
		ID7.2	Type of support provided, in terms of: (a) Number of countries providing support by type of initiatives/ mechanisms supported (5+3 = 8 types) (b) Number of countries providing support through specific frameworks by type of framework (4 types: UNCCD, CBD, UNFCCC, other) (c) Number of countries providing support by type of support (3 types: technical, financial, both)	Developed country Parties
		ID7.3	Progress in coordination with respect to the three Rio conventions, in terms of number of countries where national instruments allowing coordinated positioning are in place at each reporting cycle	Developed country Parties
		ID7.4	Identification of major difficulties in establishing	Developed country Parties

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			enabling instruments	
		IO7.1, IG7.1	Contribution of United Nations agencies, IGOs and the GEF to the establishment of synergies among the three Rio conventions, in terms of: (a) Number of enabling instruments established in affected country Parties with the support of IGOs by type of instrument (joint initiatives/ operational mechanisms) (b) Geographical distribution of support	United Nations agencies and IGOs, GEF
		IO7.2, IG7.2	Type of support provided, in terms of: (a) number of organizations providing support by type of initiatives/ mechanisms supported (5+3 = 8 types) (b) Number of organizations providing support through specific frameworks by type of framework (4 types: UNCCD, CBD, UNFCCC, other) (c) Number of organizations providing support by type of support (3 types: technical, financial, both)	United Nations agencies and IGOs, GEF
		IO7.3, IG7.3	Progress in coordination with respect to the three Rio Conventions, in terms of number of organizations where instruments fostering synergies are in place at each reporting cycle	United Nations agencies and IGOs, GEF
		IO7.4, IG7.4	Identification of major difficulties in establishing enabling instruments	United Nations agencies and IGOs, GEF

Note: Italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IFS integrated financing strategies, IGO intergovernmental organization, NAP national action programme, SRAP subregional action programme,

C. Operational objective 3

Table 3
Indicator-based analysis – operational objective 3

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
3.1	CONS-O-8	IA8.1	Progress in the establishment of national monitoring systems for DLDD, in terms of:	Affected country Parties, SRAPs/RAPs
3.2			<p>(a) Number of affected country Parties where an operational national monitoring system for DLDD is in place or planned and time frame by which countries should have monitoring systems in place</p> <p>(b) Coverage of monitoring systems</p> <p>(c) Distance to 2018 target</p>	
		IA8.2	Identification of major problems in establishing national monitoring systems	Affected country Parties with no monitoring system in place, SRAPs/RAPs
		IA8.3	Factors that limit the maintenance of monitoring systems for DLDD	Affected country Parties with monitoring systems in place, SRAPs/RAPs
		ID8.1	Contribution of developed country Parties to the establishment of DLDD and environmental monitoring systems in affected country Parties/regions and subregions, in terms of:	Developed country Parties
			<p>(a) Number of monitoring systems supported in affected country Parties, regions and subregions (both targeted to DLDD and not specific to DLDD)</p> <p>(b) Geographical distribution of support</p> <p>(c) National contribution to progress towards 2018 target</p>	
			ID8.2	
			(a) Number of countries providing support through specific frameworks, by type of	

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			framework (4 types: UNCCD, CBD, UNFCCC, other)	
			(b) Number of countries providing support, by type of support (3 types: technical, financial, both)	
		ID8.3	How many systems are still in operation.	Developed country Parties
		ID8.4	Identification of major difficulties in establishing a monitoring system	Developed country Parties
		IO8.1, IG8.1	Contribution of organizations to the establishment of DLDD and environmental monitoring systems in affected country Parties/ regions and globally, in terms of: (a) Number of monitoring systems supported (both targeted to DLDD and not specific to DLDD) (b) Geographical coverage of countries/regions supported	United Nations agencies and IGOs, GEF
		IO8.2, IG8.2	Kind of support provided, in terms of: (a) Number of organizations providing support through specific frameworks by type of framework (4 types: UNCCD, CBD, UNFCCC, other) (b) Number of organizations providing support, by type of support (3 types: technical, financial, both)	United Nations agencies and IGOs, GEF
		IO8.3	How many systems are still in operation	United Nations agencies and IGOs
		IO8.4, IG8.4	Identification of major difficulties in establishing a monitoring system.	United Nations agencies and IGOs, GEF
3.1 3.2	CONS-O-9	IA9.1	Progress in reporting on impact indicators along revised reporting guidelines in terms of: (a) Number of affected country Parties, SRAPs/RAPs reporting	Affected country Parties, SRAPs/ RAPs

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			<p>on the two indicators (3 classes: reporting on both indicators, not reporting, reporting on one indicator) for the two reporting cycles</p> <p>(b) Number of affected country Parties, SRAPs/RAPs using or planning to use (by time period (2 time periods) reporting guidelines/CST methodology for the two reporting cycle</p> <p>(c) Distance to 2018 target</p>	
		IA9.2	Most important difficulties experienced in reporting on impact indicators and their relevance	Affected country Parties, <i>SRAPs/RAPs</i>
3.3 3.4	CONS-O-10	IA10.1	<p>Progress in NAPs quality self-assessment, in terms of:</p> <p>(a) Number of affected country Parties where driver identification/analysis of interactions in NAPs is already based on knowledge or planned (by time period, 4 periods)</p> <p>(b) Which type of knowledge is used (scientific literature, expert or traditional knowledge)</p> <p>(c) Number of affected country Parties where drought mitigation is analysed and/or reflected in NAPs</p> <p>(d) Distance to 2018 target</p>	Affected country Parties with a NAP aligned to The Strategy, <i>SRAPs/RAPs</i>
		IA10.2	Most common reasons for scientific/traditional knowledge not being taken into account in developing NAPs	Affected country Parties with a NAP aligned to The Strategy, <i>SRAPs/RAPs</i>
3.5	CONS-O-11	IA11.1, ID11.1, IO11.1, IG11.1	Effectiveness, measured using numbers of users, of knowledge-sharing systems for each region/subregion	Country Parties (affected, developed, <i>SRAPs/RAPs</i> , United Nations agencies and IGOs, GEF

Note: italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IFS integrated financing strategies, IGO intergovernmental organization, NAP national action programme, SRAP subregional action programme,

D. Operational objective 4

Table 4
Indicator-based analysis – operational objective 4

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
4.1	CONS-O-13	IA13.1	Progress in the establishment of capacity-building initiatives, in terms of:	Affected country Parties, SRAPs/ RAPs
4.2			(a) Number of capacity-building initiatives undertaken by affected country Parties, regions/subregions or planned, and time frame by which countries should have capacity-building initiatives in place	
			(b) Coverage of capacity-building initiatives	
			(c) distance to 2014 target	
		IA13.2	Progress in assessing capacity-building needs, in terms of:	Affected country Parties
			(a) Number of affected country Parties, regions/subregions that have assessed capacity-building needs, and which framework was used (NCSA or other)	SRAPs/ RAPs
			(b) Number of number of affected country Parties, regions/subregions that have assessed availability of resources for addressing capacity-building needs and whether resource requirements are included in an investment framework	
			(c) Assistance received (secretariat, GM GEF, bilateral, multilateral) to build capacities	
		ID13.1	Contribution of developed country Parties to the establishment of capacity-building initiatives in affected country Parties/ regions and subregions, in terms of:	Developed country Parties
			(a) Number of capacity-building initiatives supported or planned to be supported (per time period, 4 periods) in affected country Parties,	

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			regions and subregions (NCSA-generated or other) per year	
			(b) Geographical coverage of support	
			(c) National contribution to progress towards 2018 target	
		ID13.2	Identification of main reasons for DLDD capacity-building plans/programmes not being implemented	Developed country Parties
		IO13.1	Contribution of United Nations agencies and IGOs to the establishment of capacity-building initiatives in affected country Parties/ regions and subregions, in terms of:	United Nations agencies and IGOs
			(a) Number of capacity-building initiatives supported in affected country Parties, regions and subregions (both NCSA-generated and other) per year	
			b) Geographical coverage of support	
		IO13.2, IG13.2	Identification of main reasons for DLDD capacity-building plans/programmes not being implemented	United Nations agencies and IGOs, GEF
		IG13.1	Contribution of GEF to the establishment of capacity-building initiatives in affected country Parties/ regions and subregions, in terms of:	GEF
			(a) Number of capacity-building initiatives supported in affected country Parties, regions and subregions (both NCSA-generated and other) per year	
			(b) Geographical coverage of support	

Note: Italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IFS integrated financing strategies, IGO intergovernmental organization, NAP national action programme, NCSA national capacity self-assessment, SRAP subregional action programme,

E. Operational objective 5

Table 5
Indicator-based analysis – operational objective 5

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
5.1	CONS-O-14	IA14.1	Progress in the development of integrated investment framework in affected country Parties, regions/subregions, in terms of: (a) Number of affected country Parties, regions/subregions with integrated investment framework, developed or planned and whether based on NAP (b) Coverage of integrated investment frameworks (c) Distance to 2014 target	Affected country Parties, SRAPs/RAPs
		IA14.2	Assistance received from donors/institutions for the establishment of integrated investment frameworks in affected country Parties, in terms of: (a) Number of frameworks supported by different donor groups/institutions (5 groups: GM, GEF, bilateral, multilateral, others) (b) Type of support received (3 types: technical, financial, both) (c) Number of frameworks devised within IFS and assisted by GM (d) Number of frameworks allowing leveraging	Affected country Parties with integrated investment framework based on NAP, SRAPs/RAPs
		IA14.3	Identification of the main difficulties in each region in developing frameworks	Affected country Parties, SRAPs/RAPs
		ID14.1	Contribution of developed country Parties to the development of integrated investment frameworks in affected country Parties,	Developed country Parties

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			regions/subregions, in terms of: (a) Number of integrated investment frameworks supported (within both IFS and other strategies) and planned to be supported (by time period) per year (b) Geographical coverage of support (c) National contribution to target	
		ID14.2	Kind of support provided, in terms of: (a) Number of countries providing support through specific frameworks by type of framework (4 types: UNCCD, CBD, UNFCCC, other) (b) Number of countries providing support by type of support (3 types: technical, financial, both)	Developed country Parties
		ID14.3	Identification of main reasons why integrated investment frameworks have not been supported/ had difficulty in being supported	Developed country Parties
		IO14.1	Contribution of United Nations agencies and IGOs to the development of integrated investment frameworks in affected country Parties, regions/subregions, in terms of: (a) Number of integrated investment frameworks supported (within both IFS and other strategies) per year and before 2008 (b) Geographical coverage of support	United Nations agencies and IGOs
		IO14.2, IG14.2	Kind of support provided, in terms of: (a) Number of countries providing support through specific frameworks by type of framework (4 types: UNCCD,	United Nations agencies and IGOs, GEF

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			CBD, UNFCCC, other)	
			(b) Number of countries providing support by type of support (3 types: technical, financial, both)	
		IO14.3, IG14.3	Identification of main reasons why integrated investment frameworks have not been supported/ had difficulty in being supported	United Nations agencies and IGOs, GEF
		IG14.1	Contribution of the GEF to the development of integrated investment frameworks in affected country Parties, regions/subregions, in terms of: (a) Number of integrated investment frameworks supported (within both IFS and other strategies) and planned to support (by time period) per year (b) Geographical coverage of support	GEF
5.2	CONS-O-15	ID15.1	Trends in the amounts being made available to affected countries through DLDD-related programmes and projects Difference in amounts committed and amounts disbursed	Developed country Parties
		ID15.2	<i>Main reasons for trends</i>	Developed country Parties
	CONS-O-16	IA16.1	<i>Qualitative assessment of bilateral assistance received by affected country Parties, regions/subregions, in terms of:</i> <i>(a) Rating of adequacy, timeliness and predictability of bilateral assistance received (3 classes: adequate, fairly adequate, not adequate) and whether assistance constrained performance in planning and implementation with respect to UNCCD</i>	Affected country Parties entitled to receive assistance under the UNCCD, SRAPs/RAPs entitled to receive assistance under the UNCCD

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			(b) <i>Analysis of trends of the above</i>	
			(c) <i>Where assistance constrained performance</i>	
		IA16.2	<i>Distribution/coverage of support to affected country Parties, regions/subregions in raising resources by bilateral donor groups (6 groups)</i>	Affected country Parties entitled to receive assistance under the UNCCD SRAPs/RAPs entitled to receive assistance under the UNCCD
5.3	CONS-O-17	IA 17.1	Progress in mobilizing resources, in terms of: (a) Number of project proposals successfully submitted (in the pipeline) or number of projects being implemented (ongoing) per biennium (b) Amounts of funds raised for the ongoing projects per biennium (c) Distribution of project proposals (d) <i>Trends in the number of successfully submitted project proposals and amounts</i>	Affected country Parties, SRAPs/ RAPs
		IA 17.2	Major reasons behind increasing/decreasing trends	Affected country Parties, SRAPs/ RAPs
		IO 17.1, IG 17.1	Progress in mobilizing resources and contributions of United Nations agencies and IGOs, in terms of: (a) Number of project proposals successfully submitted (in the pipeline) or number of projects being implemented (ongoing) per biennium (4 classes: submitted to the organization, developed with aid from the organization, submitted by the organization, developed by the organization) (b) Amounts of funds raised for the ongoing projects supported	United Nations agencies and IGOs, GEF

<i>Outcome in The Strategy</i>	<i>Indicator number</i>	<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
			and developed by the organization per biennium	
			(c) Distribution of project proposals (both supported and developed by the organization)	
			<i>(d) Trends in the number of successfully submitted project proposals and amounts</i>	
		IO 17.2, IG 17.2	Major reasons behind increasing/decreasing trends	United Nations agencies and IGOs, GEF
5.5	CONS-O-18	IA 18.1	Progress in the allocation of resources to facilitate access to technology, in terms of:	Affected country Parties, SRAPs/RAPs
			(a) Amounts allocated to facilitate technology transfer (for material aid and knowledge aid), by year and where	
			(b) Measures put in place at the national level: incentives already in place (policy, financial, fiscal) or measures planned and where	
			<i>(c) Trends in the amounts allocated and number of countries already with incentives or planning measures to facilitate technology transfer</i>	
		IA18.2	Assessment of the effectiveness of incentives and adequacy of resources allocated (based on yes/no answers) and reasons for that, in terms of:	Affected country Parties, SRAPs/RAPs
			(a) Number of countries where resources allocated are not adequate	
			(b) Major reasons why incentives have proved not to be effective(4 types of reasons)	
		IA18.3	Major reasons behind increasing/decreasing trends	Affected country Parties, SRAPs/RAPs

Note: Italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IFS integrated financing strategies, IGO intergovernmental organization, NAP national action programme, SRAP subregional action programme,

Annex IV

[English only]

Guidelines for the analysis of financial information (tables)

A. Guidelines for the analysis of information relating to the Standard Financial Annex

Table 1
Financial analysis – Standard Financial Annex

<i>ID</i>	<i>Analysis</i>	<i>Description</i>	<i>Outputs</i>	<i>Reporting entities / Disaggregations^a</i>
F1	Global level of commitments for activities related to the implementation of the Convention at all levels	Measures the total financial commitments for activities related to the implementation of the Convention at all levels	- nominal amounts - weighted amounts - percentage of GDP - percentage of ODA	- Global level (DCPs+ACPs+OSs) - Total DCPs - Total ACPs - Total ADCPs - Total OSs - RACs
F2	Commitments per donor country/funding source	Measures the commitments made by each funding source	- nominal amounts - weighted amounts - percentage of GDP - percentage of ODA	- DCP - ACP - ADCP - OS - RACs
F3	Commitments per recipient region	Measures the level of commitments per UNCCD region	- nominal amounts - weighted amounts - percentage of GDP	- UNCCD regions - Other regions - RACs
F4	Commitments per recipient country	Measures the level of commitments per individual recipient country	- nominal amounts - weighted amounts - percentage of GDP	- RCP - RACs

^a DCP: commitments by a developed country Party for national and international DLDD-related activities; ACP: commitments by an affected developing country Party for DLDD-related activities; ADCP: commitments by an affected developed country Party exclusively for DLDD-related activities taking place in its own territory; OS: commitments by other sources of funding (e.g. United Nations agency, intergovernmental organization, non-governmental or civil society organization, etc.); RCP: commitments received by an affected country Party from all domestic and foreign sources; UNCCD regions: UNCCD regional annexes (Africa, Asia, Latin America and the Caribbean, Northern Mediterranean, Central and Eastern Europe); RAC: relevant activity code.

Notes:

- Weighted amounts are calculated on the basis of Rio marker (RM) scores. In cases where a financial commitment lacked a relevant RM score, this appears in the financial analysis as “not screened”.

- The weights of corresponding RM scores are as follows:
 - RM 0 = 0%
 - RM 1 = 33%
 - RM 2 = 66%
 - RM 3 = 100%.
- GDP figures are obtained from the World Bank. ODA figures are obtained from the OECD.
- In addition to a geographical distribution, the amounts are further disaggregated to produce information detailing levels of commitments relevant to each RAC.

B. Guidelines for the analysis of information relating to the Programme and Project Sheets

Table 2
Financial analysis – Programme and Project Sheets

<i>ID</i>	<i>Analysis</i>	<i>Description</i>	<i>Outputs</i>	<i>Reporting entities / Disaggregations^a</i>
F5	Volume of investments	Indicates the volume of investments made in UNCCD-relevant programmes and projects, as a measure of the ongoing efforts to combat desertification, land degradation and drought. It also allows a comparison to be made with data on financial commitments, thereby showing the ‘new’ funding allocations as a proportion of the ‘stock’ of resources already invested	- nominal amounts - weighted amounts - percentage of GDP - percentage of ODA	- Global volume (DCPs+ACPs+OSs) - Total DCPs - Total ACPs - Total ADCPs - Total Oss - RACs
F6	Geographic distribution of investments	Provides a breakdown of investments by recipient country or region	- number of projects - nominal amounts - weighted amounts - percentage of GDP	- RCP - UNCCD regions - Other regions - RACs
F7	Sectoral distribution of investments	Shows the distribution of investments and number of programme/projects according to the sectors of destination (or purpose codes)	- number of projects - nominal amounts - weighted amounts	- OECD sector codes - UNCCD regions - Other regions
F8	Distribution by UNCCD objective	Shows the distribution of investments and number of programmes/projects per Strategic and Operational Objective of The Strategy	- number of projects - nominal amounts - weighted amounts	- OO - SO

<i>ID</i>	<i>Analysis</i>	<i>Description</i>	<i>Outputs</i>	<i>Reporting entities / Disaggregations^a</i>
F9	Targeted areas	Shows the distribution of investments and projects across broad ranges of project area sizes, thereby providing a measure of the average scale of investments, as well as an indication of the areas most frequently targeted by UNCCD-related investments	- number of projects - nominal amounts - weighted amounts	- Global level - UNCCD regions - Other regions - RCP
F10	Beneficiaries	Shows the distribution of programmes/ projects and investment levels across broad ranges of beneficiaries, thereby providing an indication of the scope and scale of projects	- number of projects - nominal amounts - weighted amounts	- Global level - UNCCD regions - Other regions - RCP

^a DCP: investments by a developed country Party in national and international DLDD-related activities; ACP: investments by an affected developing country Party in DLDD-related activities; ADCP: investments by an affected developed country Party exclusively in DLDD-related activities taking place in its own territory; OS: investments by other sources of funding (e.g. United Nations agency, intergovernmental organization, non-governmental or civil society organization etc.); RCP: investments received by an affected country Party from all domestic and foreign sources; UNCCD regions: UNCCD regional annexes (Africa, Asia, Latin America and the Caribbean, Northern Mediterranean, Central and Eastern Europe); RAC: relevant activity code; OO: operational objectives 1–5 of The Strategy; SO: strategic objectives 1-4 of The Strategy.

Notes:

- Weighted amounts are calculated on the basis of Rio marker (RM) scores. Specific RM scores at project component level are used to correct the level of weighting resulting from the application of the RM score at programme/project level. Programmes and projects lacking a valid RM score are included in the analysis as “not screened”.
- The weights of corresponding Rio marker scores are as follows:
 - RM 0 = 0%
 - RM 1 = 33%
 - RM 2 = 66%
 - RM 3 = 100%.
- GDP figures are obtained from the World Bank. ODA figures are obtained from the OECD.
- In addition to a geographical distribution, the amounts are further disaggregated to produce information detailing levels of commitments relevant to each RAC.
- Analyses F9 and F10 illustrate the distribution of investments across a set of pre-defined ranges of values in terms of project area size and number of beneficiaries.

Annex V

[English only]

Guidelines for the analysis of information relating to the additional information (tables)

A. Reporting process-related issues, Global Environment Facility

Table 1
Reporting process-related issues, Global Environment Facility

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AA10, 10, AD1.1	Availability of financial resources for UNCCD reporting, in terms of percentage of countries that could count on sufficient financial resources to meet UNCCD reporting obligations	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
AO1.1, AG1.1	Financial support to affected country Parties for UNCCD reporting, in terms of number of organizations providing support	United Nations agencies and IGOs, GEF
AA1.2, AD1.2	Amount of financial resources invested in meeting UNCCD reporting obligations in each reporting cycle	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
AO1.2, AG1.2	Amount of financial resources invested in meeting UNCCD reporting obligations in each reporting cycle	United Nations agencies and IGOs, GEF
AA1.3, AD1.3	Human resources invested in meeting UNCCD reporting obligations at each reporting cycle, in terms of: (a) Number of people involved (b) Number of person/days dedicated	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
AA1.4, AD1.4	Availability of technical/scientific knowledge for UNCCD reporting, in terms of percentage of countries that could count on sufficient knowledge to meet UNCCD reporting obligations	Country Parties (affected, developed), <i>SRAPs/RAPs</i>
AA1.5	Level of coordination for UNCCD reporting, in terms of percentage of countries where coordination with relevant line ministries was satisfactory	Affected country Parties, <i>SRAPs/RAPs</i>
AA1.6, AD1.6	Level of participation and consultation for UNCCD reporting, in terms of:	Country Parties (affected, developed), <i>SRAPs/RAPs</i>

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
	(a) Percentage of countries where a participatory or consultative approach was applied	
	(b) Percentage of countries where a validation meeting was held	
AA1.7	Contribution to the subregional/regional reporting processes in terms of percentage of countries that actively participated in reporting processes	Affected country Parties
AA1.8, AD1.8	Exploitation of the PRAIS portal in terms of percentage of countries reporting online that could count on sufficient training	Country Parties (affected, developed) reporting on line, <i>SRAPs/RAPs</i> reporting on line
AA1.9	Identification of major difficulties in using the PRAIS system and their relevance	Affected country Parties not reporting online, <i>SRAPs/RAPs</i> not reporting online
AD1.9	Identification of major difficulties in using the PRAIS system and their relevance	Developed country Parties not reporting online, <i>SRAPs/RAPs</i> not reporting online

Notes: AA: denotes analysis of additional information relating to respectively affected country Parties.

AD: denotes analysis of developed country Parties.

AO: denotes analysis of United Nations , agencies and International organizations.

AG: denotes analysis of the Global Environment Facility.

The symbols above apply to all tables in this annex.

Italics indicate analyses to be implemented when time series are available.

Abbreviations: GEF Global Environment Facility, IGO intergovernmental organization, PRAIS performance review and assessment of implementation system, RAP regional action programme, SRAP subregional action programme,

B. Accommodation of specific requests within decisions of the Conference of the Parties

Table 2

Accommodation of specific requests within decisions of the Conference of the Parties

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AA2.1	Need for improvement in reporting on indicators in terms of percentage of countries indicating need for improvement on specific e-SMART criteria (6 criteria) and indicators (13 indicators, 14 indicators from 2012 onwards)	Affected country Parties experiencing difficulties in reporting on one or more indicator(s), <i>SRAPs/RAPs</i> experiencing difficulties in reporting on one or more indicator(s)
AD2.1	Need for improvement in reporting on indicators, in terms of percentage of countries indicating need for improvement on specific e-SMART criteria (6 criteria) and indicators (10 indicators)	Developed country Parties experiencing difficulties in reporting on one or more indicator(s)

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AO2.1, AG2.1	Need for improvement in reporting on indicators in terms of percentage of countries indicating need for improvement on specific e-SMART criteria (6 criteria) and indicators (10 indicators)	United Nations agencies and IGOs experiencing difficulties in reporting on one or more indicator(s), GEF

Abbreviations: e-SMART economic, specific, measurable, achievable, relevant and time bound, GEF Global Environment Facility, IGO intergovernmental organization, RAP regional action programme, SRAP subregional action programme,

C. Reporting on the implementation of the national action programme

Table 3
Reporting on the implementation of the national action programme

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AA3.1	Progress in the implementation of the NAP in terms of number of countries in each implementation stage (5 stages identified by percentage of activities included in NAP currently implemented: no activity implemented, 1–30%, 31–60%, 61–90%, 91–100%)	Affected country Parties, SRAPs/RAPs
AA3.2	Lessons learned in relation to implementation of NAP	Affected country Parties, SRAPs/RAPs

Abbreviations: NAP national action programme, RAP regional action programme, SRAP subregional action programme.

D. Any other country-specific issues

Table 4
Any other country-specific issues

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AA4.1	Specific issues not covered in the reporting guidelines, in terms of: (a) Number of countries reporting specific issues by category (7 categories) (b) Description of issues	Affected country Parties that have specific issues for the COP, SRAPs/RAPs
AD4.1	Specific issues not covered in the reporting guidelines, in terms of: (a) Number of countries reporting specific issues by category (7 categories) (b) Description of issues	Developed country Parties which have specific issues for the COP, SRAPs/RAPs

E. Support to NAP/SRAP/RAP implementation and/or review

Table 5
Support to NAP/SRAP/RAP implementation and/or review

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AO5.1	Contribution of United Nations agencies and IGOs to the implementation of NAPs/SRAPs and RAPs, in terms of: a) Number of NAPs/SRAPs and RAPs supported by type (3 types) b) Coverage of support (countries/regions/subregions supported)	United Nations agencies and IGOs
AO5.2	Contribution of United Nations agencies and IGOs to the review of NAPs/SRAPs and RAPs, in terms of: a) Number of NAPs/SRAPs and RAPs supported by type (3 types) b) Coverage of support (countries/regions/subregions supported)	United Nations agencies and IGOs
AO5.3	Contribution of United Nations agencies and IGOs to UNCCD scope, strategies and objectives, in terms of number of organizations contributing to implementation and objectives in each rating class (3 classes)	United Nations agencies and IGOs

F. Support to capacity-building initiatives in eligible affected country Parties

Table 6
Support to capacity-building initiatives in eligible affected country Parties

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AG6.1	Progress achieved by the NCSA	GEF

G. Mandate-specific reporting

Table 7
Mandate-specific reporting

<i>Ref.</i>	<i>Analysis</i>	<i>Reporting entities</i>
AG7.1	GEF reporting Information on discussions within the GEF Council on GEF strategies, programmes and projects for financing the agreed incremental costs of activities concerning desertification	GEF
AG7.2	GEF reporting Information on GEF replenishment agreements and the funding programmed for land degradation	GEF
AG7.3	GEF reporting Information on GEF monitoring and evaluation activities relating to projects concerning desertification	GEF
AG7.4	GEF reporting A synthesis of projects approved by the GEF Council during the reporting period concerning desertification with an indication of GEF and other resources allocated to such projects	GEF
AG7.5	GEF reporting A listing of projects approved by the GEF Council concerning desertification, with an indication of the cumulative financial resources allocated by the GEF to such projects	GEF