



Convention to Combat Desertification

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Additional procedures or institutional mechanisms to assist the Conference of the Parties in regularly reviewing the implementation of the Convention

Draft modalities, criteria and terms of reference for the mid-term evaluation of the 10-year strategic plan and framework to enhance the implementation of the Convention

Draft modalities, criteria and terms of reference for the mid-term evaluation of The Strategy

Note by the secretariat

Summary

Parties at the eighth session of the Conference of the Parties decided that an independent mid-term evaluation of the 10-year strategic plan and framework to enhance the implementation of the Convention was to be undertaken by the Conference of the Parties (COP), based on the performance monitoring system, six years after its adoption.

Decision 11/COP.9 entrusted the Committee for the Review of Implementation of the Convention (CRIC), through its Bureau, with the preparation of appropriate modalities, criteria and terms of reference for this mid-term evaluation. The terms of reference were to be forwarded to the COP at its tenth session for consideration and adoption.

The terms of reference contained in the present document were reviewed by the CRIC Bureau at its meeting in Bonn, Germany, on 19–20 May 2011, and are submitted to the Committee together with proposals for a methodological approach for the mid-term evaluation, the ensuing consultative process and the financial implications that it may entail, for consideration and any recommendation it may wish to make to the COP.

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I. Introduction

1. Parties at the eighth session of the Conference of the Parties (COP 8) decided that an independent mid-term evaluation of the 10-year strategic plan and framework to enhance the implementation of the Convention (The Strategy) should be undertaken by the COP, based on the performance monitoring system, six years after the adoption of The Strategy, that is, at the eleventh session of the COP (COP 11) in 2013.¹ Parties also agreed that the evaluation would review progress made in implementing The Strategy and make appropriate recommendations on improving performance and furthering implementation.²

2. The scope of the independent mid-term evaluation (hereinafter referred to as “the mid-term evaluation”) of The Strategy was further specified by Parties, including, inter alia and in addition to a review of the performance review and assessment of implementation system (PRAIS), an assessment and monitoring of the performance and effectiveness of the Committee for the Review of the Implementation of the Convention (CRIC).³

3. Decision 11/COP.9 entrusted the CRIC, through its Bureau, with the preparation of appropriate modalities, criteria and terms of reference for the mid-term evaluation. The terms of reference were to be forwarded to COP 10 for consideration and adoption.

4. The CRIC at its ninth session (CRIC 9) took note of document ICCD/CRIC(9)/INF.10⁴ and agreed that an item on draft modalities, criteria and terms of reference for the mid-term evaluation of The Strategy should be considered at the tenth session of the CRIC (CRIC 10).⁵

5. The terms of reference contained in the present document were reviewed by the CRIC Bureau at its meeting in Bonn, Germany, on 19–20 May 2011, and are submitted to the Committee together with proposals for a methodological approach to the mid-term evaluation, as well as proposals on the ensuing consultative process and the financial implications that it may entail, for consideration and any recommendations it may wish to make to the tenth session of the COP (COP 10).

II. Rationale, objectives and scope of and methodological approach to the mid-term evaluation

A. Objectives of the evaluation

6. The overall objective of the mid-term evaluation is to recommend appropriate measures for improving performance and furthering implementation of The Strategy.⁶

¹ Decision 3/COP.8, paragraph 42.

² Decision 3/COP.8, annex, paragraph 26.

³ Decision 11/COP.9, paragraph 7.

⁴ At its meeting held in Bonn, Germany, on 21–22 June 2010, the CRIC Bureau decided that an informal exchange on the mid-term evaluation would take place at CRIC 9 and requested the secretariat to produce an information document in this regard.

⁵ Report on CRIC 9, as contained in document ICCD/CRIC(9)/16, paragraph 132.

⁶ Decision 3/COP.8, annex, paragraph 26.

B. Scope of the evaluation

7. Parties decided that the mid-term evaluation will comprise an evaluation of The Strategy (the overall framework and scope) as well as an evaluation of its building blocks.

1 st main activity	Evaluation of the overall framework and scope of The Strategy			
2 nd main activity (evaluation of building blocks)	Evaluation of progress made in implementing The Strategy ⁷	Evaluation of the performance and effectiveness of the CRIC ⁸	Evaluation of PRAIS ⁹	Review of the RCM ¹⁰

The evaluation will be carried out based on the criteria of relevance, effectiveness, impact, sustainability and efficiency

C. Methodology for the evaluation

8. Criteria for the evaluation process will be applied in a consistent manner for The Strategy and for each of its building blocks. Internationally agreed and standardized evaluation criteria will be used: relevance, effectiveness, efficiency, impact and sustainability. These will constitute the backbone of the evaluation methodology and their use will facilitate the achievement of standardized outcomes and outputs of the evaluation.

9. The evaluation criteria are defined as follows:

(a) Relevance: the extent to which the objectives of The Strategy are consistent with the Parties' needs, priorities and policies, and a measure of whether the objectives or their design are still appropriate given changed circumstances;

(b) Effectiveness: the extent to which The Strategy's objectives have been achieved, or are expected to be achieved, in the context of the provisions of decision 3/COP.8;

(c) Impact: the extent to which there has been progress towards achieving the overall objectives of the Convention that can be attributed to the implementation of The Strategy;

(d) Efficiency: a measure of how efficiently the resources/inputs (funds, expertise, time, etc.) invested in the implementation of The Strategy have been converted into results;

(e) Sustainability: The likelihood of continued long-term benefits from the implementation of the Convention resulting from the implementation of The Strategy.

⁷ Decision 3/COP.8, paragraph 42.

⁸ Decision 11/COP.9, paragraph 7.

⁹ Decision 11/COP.9, paragraph 7.

¹⁰ By decision 3/COP.9, paragraph 8, Parties decided to add an additional element of mid-term evaluation, which is not strictly a building block of The Strategy: comprehensive review of regional coordination mechanisms.

D. Substantive elements of the mid-term evaluation

1. Evaluation of the overall framework and scope of The Strategy

10. The aim of The Strategy (“the vision”) is to forge a global partnership to reverse and prevent desertification/land degradation and to mitigate the effects of drought in affected areas in order to support poverty reduction and environmental sustainability.¹¹ The mission of The Strategy is to provide a global framework to support the development and implementation of national and regional policies, programmes and measures to prevent, control and reverse desertification/land degradation and mitigate the effects of drought through scientific and technological excellence, raising public awareness, standard setting, advocacy and resource mobilization, thereby contributing to poverty reduction.¹²

11. The overall relevance, effectiveness, impact, efficiency and sustainability of The Strategy will be evaluated by assessing how it has achieved the following aspects¹³ of its aim and mission:

- (a) Enhancing Parties’ capacities to integrate objectives of the Convention into regional, subregional and national development policies, plans and strategies;
- (b) Engaging the international community in setting targets and defining indicators for progress;
- (c) Making the Convention a centre of excellence in scientific and technical knowledge and best practices;
- (d) Enhancing synergies between combating desertification and land degradation, climate change mitigation and adaptation, and biodiversity conservation;
- (e) Contributing to the fulfilment of the Johannesburg Plan of Implementation and to the implementation of the Millennium Development Goals;
- (f) Improving political will and commitment to the Convention;
- (g) Raising awareness of desertification, land degradation and drought (DLDD) and the profile of the Convention;
- (h) Improving the engagement and commitment of the Parties to the Convention;
- (i) Ensuring better targeting of existing resources and mobilizing new resources for the implementation of the Convention;
- (j) Building the capacities of affected developing country Parties to access financial resources, especially the Global Environment Facility (GEF), for funding activities to combat DLDD;
- (k) Improving resourcing for the implementation of action programmes and other activities to combat desertification and land degradation, especially through the GEF.

12. The evaluation will be carried out by placing The Strategy in the broader context of the Convention and its linkages to other international development issues taking into account new findings/inputs from the scientific community regarding the scope of DLDD.

¹¹ Decision 3/COP.8, annex, paragraph 8.

¹² Decision 3/COP.8, annex, paragraph 10.

¹³ The above-mentioned elements were included among those used by the intergovernmental intersessional working group which assisted in the preparation of The Strategy (see decision 3/COP.7, paragraph 10).

13. Input:

(a) A policy document highlighting substantive developments in the implementation of the Convention, as outlined in The Strategy, against points (a) to (k) above, as well as an appraisal of the external context in which the Convention needs to be implemented, prepared by the consultant mentioned in paragraph 47 (b) and revised by the secretariat before submission to the CRIC Bureau and the CRIC;

(b) Qualitative evaluation, encompassing consultations as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations and experts, including on the implementation of action programmes, carried out by the secretariat in cooperation with the Global Mechanism (GM) with assistance from the consultant mentioned in paragraph 47 (b);

(c) A report by the Executive Secretary on progress with the implementation of the comprehensive communication strategy.¹⁴

14. Expected outputs:

(a) Comprehensive evaluation of The Strategy and the context in which it is implemented, which contains proposals for improving the implementation and effectiveness of The Strategy and on its timespan;

(b) An assessment of the interrelation between the strategic and operational objectives contained in The Strategy, together with related impact and performance indicators, in order to establish the linkages between expected outcomes in the implementation of The Strategy and expected impacts in the implementation of the Convention.

15. Expected outcome:

CRIC makes recommendations to COP 11 in relation to the revision of decision 3/COP.8.

2. Evaluation of progress made in implementing The Strategy

16. While substantive component 1 deals with broader policy issues, substantive components 2 to 5 are more technical in nature and will relate to work/analysis already undertaken by the CRIC.

17. The efficiency, relevance, effectiveness, impact and sustainability of The Strategy will also be analysed through an evaluation of progress made in implementing The Strategy.

18. The baseline review undertaken at CRIC 9 (for performance indicators) and CRIC 11 (for impact indicators) as well as the analysis of trends in performance indicators that will have been undertaken at CRIC 11 will serve as the basis of this evaluation. The evaluation will address the specific issues which emerge from the review of progress made, including on financial flows and best practices. It will link to the extent possible with the findings of the evaluation of the overall framework and scope of The Strategy to enable the mid-term evaluation to establish a coherent set of recommendations for consideration by the COP.

19. Analysis of the achievement of the provisionally adopted targets set by decision 13/COP.9 will be performed in the context of the iterative process established by the same decision for performance and impact indicators, in order to adjust these indicators, targets

¹⁴ As per decision 4/COP.9.

and associated methodologies, if and where necessary, including the alignment of the sets of impact indicators of the GEF land degradation focal area and The Strategy.

20. For performance indicators, based on the recommendations of CRIC 9 and feedback provided by the Parties, this process will take account of:

- (a) Definitions of performance indicators;
- (b) Definitions of targets, including their timeframe;
- (c) The data collection methodology and quality control;
- (d) Simplification of reporting templates and providing an additional framework for qualitative input;
- (e) Time constraints in collecting and analysing data;
- (f) Coordination with other relevant international organizations in order to complement the data collection, in particular on financial flows and best practices;
- (g) The content and format of any future civil society organizations reporting process;
- (h) The cost-effectiveness of the process.

21. For impact indicators, based on decision 17/COP.9, this process will take account of:

- (a) The application and review of the impact indicators by affected countries;
- (b) The findings by the scientific peer review on the relevance, accuracy and cost-effectiveness of the impact indicators;
- (c) The outcome of and lessons learned during the pilot-tracking exercise on impact indicators;
- (d) Possible synergies with relevant programmes, projects and institutions, including those associated with the other Rio conventions;
- (e) Relevant contributions from UNCCD Scientific Conferences.

22. Inputs:

- (a) Analyses prepared by the Convention institutions, particularly information from the assessment of implementation based on performance indicators for 2008–2009 and 2010–2011 as well as the first assessment of implementation based on impact indicators for 2008–2011 (prepared by the secretariat and the GM);
- (b) Decisions emerging from COP 10 (following the recommendations of CRIC 9), as well as draft decisions prepared for COP 11 as they relate to the assessment of implementation of the Convention and The Strategy (prepared by the CRIC, with the guidance of the CRIC Bureau);
- (c) Documents on the iterative process on indicators submitted to CRIC 10 and COP 10 decisions on this matter, as well as documents on this matter submitted to CRIC 11, which take account of the feedback provided by the Parties and relevant international organizations (prepared by the secretariat in collaboration with the GM, and with the assistance of the consultants mentioned in paragraph 47 (a));
- (d) Documents prepared by the Committee on Science and Technology (CST) on how to measure the progress achieved in the implementation of strategic objectives 1, 2 and 3, and related COP decisions (prepared by the CST, with the guidance of the CST Bureau);

(e) Qualitative evaluation, including consultations, as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations and experts (carried out by the secretariat, in cooperation with the GM, with assistance from the consultant mentioned in paragraph 47 (b)).

23. Expected outputs:

(a) A comprehensive evaluation of progress made in the implementation of The Strategy containing proposals for a minimum set of performance and impact indicators for consideration at COP 11, as requested by decisions 13/COP.9¹⁵ and 17/COP.9,¹⁶ together with a revised set of targets and relevant methodological information on how to implement indicators;

(b) Harmonization of the sets of impact indicators in The Strategy, with particular regard to the GEF land degradation focal area.

24. Expected outcome:

CRIC makes recommendations to COP 11 relating to the revision of elements of decision 13/COP.9 (indicators and related targets).

3. Evaluation of the performance and effectiveness of the Committee for the Review of the Implementation of the Convention

25. The implementation framework of The Strategy will be evaluated by assessing the operational modalities of the body that is performing the core functions related to the assessment of the implementation of the Convention and The Strategy: the CRIC.¹⁷

26. An assessment of the performance of the CRIC will be conducted by applying the following criteria:¹⁸

(a) Relevance: the extent to which the Committee's overall objectives, purpose and results are in line with the needs and expectations of the Parties, in particular as it relates to the CRIC's support to the Parties in their achievement of the outcomes of and objectives set by The Strategy;

(b) Impact: the extent to which there has been progress towards achieving the overall objectives of the Convention which can be attributed to the CRIC, *inter alia*, through relevant action taken by the COP on approaches, policies and strategies to strengthen the implementation of the Convention and The Strategy;

(c) Effectiveness: the extent to which the Committee has responded to its mandate and functions as defined in decisions 3/COP.8 and 11/COP.9;

(d) Sustainability: The extent to which the work of the CRIC is contributing to continued long-term benefits for the implementation of the Convention and The Strategy;

(e) Efficiency (cost-effectiveness of its meetings): the extent to which the outcomes of the Committee are commensurate with the resources invested, in terms of both the quantity and the quality of its deliberations;

¹⁵ Decision 13/COP.9, paragraph 3.

¹⁶ Decision 17/COP.9, paragraph 5.

¹⁷ Decision 3/COP.8 and 11/COP.9.

¹⁸ According to decision 7/COP.6, similar criteria were used for the review of the terms of reference of the CRIC at COP 7 and COP 8. They have been proposed here for the sake of consistency.

(f) Appropriateness of format: the extent to which the format of CRIC sessions is conducive to interactive discussions and learning-based interaction leading to a transparent and flexible review of implementation.

27. Inputs:

(a) Reports prepared by the secretariat and the GM on the performance review of the Convention institutions and subsidiary bodies (prepared by the secretariat and the GM, and submitted to the CRIC);

(b) The work programme of the CRIC for the biennia 2010–2011 and 2012–2013, as well as the workplans for 2009–2011 and 2012–2015 (prepared by the secretariat, and submitted to the CRIC);

(c) Qualitative evaluation, including consultations, as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations and experts (carried out by the secretariat in cooperation with the GM with assistance from the consultant mentioned in paragraph 47 (b)).

28. Expected output:

Comprehensive evaluation of the performance and effectiveness of the CRIC with possible proposals for revised terms of reference of the CRIC (new/adjusted) where needed.

29. Expected outcome:

CRIC makes recommendations to COP 11 in relation to a revision of decision 11/COP.9.

4. Evaluation of the Performance Review and Assessment of Implementation System

30. The Performance Review and Assessment of Implementation System (PRAIS), established by decision 12/COP.9, consists of the following elements:

(a) Assessment of the implementation of the Convention and The Strategy through the review of information provided by Parties and other reporting entities as well as information on civil society, including the private sector;

(b) Performance review of the Convention's institutions and subsidiary bodies taking a results-based management approach based on reports on the two-year costed work programmes;

(c) Review and compilation of best practices on the implementation of the Convention;

(d) Assessment and monitoring of the performance and effectiveness of the CRIC.

31. Given that elements (a), (c) and (d) are already covered by other substantive elements of the mid-term evaluation, the proposed work under this heading will focus on PRAIS as a system that enables the CRIC to monitor the implementation of COP decisions related to the implementation of the Convention and The Strategy, and on element (b) above.

32. In particular, the evaluation will entail an assessment of:

(a) The interaction between different elements of the system (assessment of implementation, performance review, review of financial flows and collection and dissemination of best practices) in the light of their cross-fertilization and mutual reinforcement;

(b) The feedback provided on the performance of the Convention institutions and subsidiary bodies through the reports received on the implementation of their respective work programmes;

(c) The operational modalities enabling results-based budgeting by the Convention institutions and subsidiary bodies to capture the necessary substantive elements worked out by the CRIC;

(d) The input provided by the CST to the CRIC and the interaction between the two subsidiary bodies.¹⁹

33. Inputs:

(a) Review and assessment of the PRAIS portal against its objectives, including the reporting tools associated with it, and of the way PRAIS has been translated into an effective means for Parties to monitor and report on the implementation of action programmes, as well as the feedback by the Parties on their use of the portal (prepared by the consultants mentioned in paragraph 47 (a), and revised by the secretariat);

(b) Reports prepared by the secretariat and the GM on the performance review of the Convention institutions and subsidiary bodies (prepared by the secretariat and the GM and submitted to the CRIC);

(c) The work programmes of the CRIC for the biennia 2010–2011 and 2012–2013, as well as the workplans for 2009–2011 and 2012–2015 (prepared by the secretariat and submitted to the CRIC);

(d) Official documents and COP decisions relating to the interaction between the CRIC and the CST with specific reference to best practices and knowledge management;

(e) Documents containing input from the CST to the CRIC (prepared by the CST at the request of the CRIC);

(f) Qualitative evaluation, including consultations, as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations and experts (carried out by the secretariat, in cooperation with the GM, with assistance from the consultant mentioned in paragraph 47 (b)).

34. Expected outputs:

(a) Comprehensive evaluation of the PRAIS, including proposals for improvements in CRIC's operational modalities;

(b) Revised reporting templates, guidelines and glossary.

35. Expected outcome:

CRIC makes recommendations to COP 11 relating to the revision of decisions 11/COP.9, 12/COP.9 and 13/COP.9.

5. Comprehensive review of existing Regional Coordination Mechanism arrangements

36. Decision 3/COP.9 requests the Executive Secretary to report to COP 10 on the process and the results achieved in facilitating regional coordination of the implementation of the Convention, with a comprehensive review of the Regional Coordination Mechanisms (RCMs) as a component of the mid-term evaluation.

¹⁹ Decision 11/COP.9, annex, paragraph 17(f) and decision 13/COP.9, attachment, paragraph 9.

37. The review will address the three elements of the RCMs: (a) the Regional Committees, (b) the Thematic Programme Networks (TPNs) and (c) the Regional Coordination Units (RCUs).

38. For each element, analysis will be conducted according to the following criteria:

(a) **Relevance:** the extent to which the RCMs are responsive to existing and emerging challenges, capacity and the specific issue of the regional implementation annexes;²⁰

(b) **Impact:** the extent to which there has been progress in facilitating the required coordination of implementation of the Convention and The Strategy at the regional level which can be attributed to the establishment and functioning of the RCMs;

(c) **Effectiveness:** the extent to which the various elements of the RCMs have responded to their mandate and functions, as defined by Parties;

(d) **Sustainability:** the extent to which the resources invested in the establishment and functioning of the RCMs could be maintained in the medium and long term, and the political support provided by the various stakeholders involved in their implementation;

(e) **Efficiency:** the extent to which the outcomes of the RCMs are commensurate with investment, in terms of both internal and external resources.

39. With specific regard to the RCUs, the following aspects will also be assessed:²¹

(a) Institutional arrangements;

(b) Reporting arrangements;

(c) Staffing requirements;

(d) Budgetary requirements;

(e) Hosting arrangements;

(f) Work programmes and outcomes.

40. Inputs:

(a) Performance reports of the Convention's institutions (2010–2011) (prepared by the secretariat and the GM and submitted to the CRIC);

(b) Information received from the Convention's institutions on joint activities as contained in the Joint Work Programme;

(c) Information on Sub-regional Action Programme/Regional Action Programme analysis produced by the secretariat, including guidance received from regional implementation annexes on how to proceed;

(d) Information on reference centres that could be given a share of work related to the implementation of the Convention as part of the RCMs;

(e) Reports by the Executive Secretary on the implementation of decision 3/COP.9 (to be submitted to COP 10);

(f) Qualitative evaluation, including consultations, as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations

²⁰ Decision 3/COP.9, preamble.

²¹ With specific reference to document ICCD/COP(9)/3, "Evidence-based options for improving regional coordination arrangements" and the proposals contained therein.

and experts (carried out by the secretariat, in cooperation with the GM, with assistance from the consultant mentioned in paragraph 47 (b)).

41. Expected output:

Comprehensive review of existing RCMs undertaken, including proposals for an enhanced mandate for the RCMs.

42. Expected outcome:

CRIC recommendations to COP 11 relating to decision 3/COP.9 on mechanisms to facilitate regional coordination of the implementation of the Convention.

III. Draft modalities for the mid-term evaluation of The Strategy

A. Consultative process

43. The scope of the mid-term evaluation would require facilitation of the exercise, particularly between sessions of the COP, which would ensure the representation of all Parties to the Convention. Parties may wish to consider the following two options:

(a) Establishing an ad hoc mechanism for consultations, such as an intergovernmental working group. The Chairpersons of the regional implementation annexes, the COP president and the CRIC and CST chairpersons could steer the intergovernmental consultation process, to which representatives of accredited civil society organizations could be associated;

(b) Tasking the CRIC Bureau with direct oversight of the overall process leading to the mid-term evaluation, including the full range of information sharing to solicit inputs to the deliberations of the Bureau.

44. In order for the mid-term evaluation to be effective and truly participatory, a well-structured consultative process is needed between COP 10 and COP 11. Consultations could be facilitated by the following means:

(a) Taking advantage of the regional meetings in preparation for CRIC 11 and COP 11, during which one full day would be dedicated to the formulation of regional views on the mid-term evaluation;

(b) Consultations steered by the regional implementation annexes and the regional executive committees;

(c) Online consultations (e-forums);

(d) Broad dissemination of all relevant documents and information through a dedicated webpage.

45. It is nevertheless expected that the CRIC and its Bureau will facilitate and steer this process,²² assisted by the secretariat and making use of external expertise as required in order to ensure an independent evaluation.

²² According to the annex to decision 11/COP.9, containing the terms of reference of the CRIC, paragraph 2(e), the CRIC is to “assist the COP to evaluate the implementation of The Strategy, including its mid-term evaluation by 2013”.

B. External assistance

46. Should the secretariat be requested to facilitate the mid-term evaluation and to assist in the consultative process (including the initiation of the terms of reference) as described in the above chapter, external assistance would be required with compiling the required information and producing background documentation. It should be noted that the work of the Convention's institutions and the consultancy will only provide preliminary information to the Parties, whose role and responsibility is to take recommendations from the CRIC to the COP.

47. The following external assistance is therefore proposed (see annex I):

(a) A team of two consultants who will assist the CRIC Bureau (and the ad hoc working group if this option is chosen) with work on the revision of outcome areas and operational objectives, including the performance indicators and targets;

(b) A consultant who will assist the CRIC Bureau (and the ad hoc working group if this option is chosen) by working on policy-related matters.

C. Financial implications

48. Should the options put forward in this document be considered, the following cost estimates should be included in the core budget allocations for the CRIC work programme 2012–2013 (see annex II):²³

(a) €219,898 (€194,600 plus 13 per cent programme support costs); or

(b) €314,479 (€278,300 plus 13 per cent programme support cost), including the costs of convening the ad hoc working group.

IV. Conclusions and recommendations

49. In order for the mid-term evaluation to be carried out by 2013, that is, by COP 11, as requested by decision 3/COP.8, the Parties at CRIC 10 may wish to recommend to COP 10 that it:

(a) Adopt the terms of reference of the mid-term evaluation, including in particular the methodology for evaluation as proposed in paragraphs 8 and 9 above;

(b) Select one of the options presented in paragraph 43 for the consultative process leading to the mid-term evaluation at COP 11;

(c) Ensure that the funding for the external assistance and the consultative process required, as presented in paragraphs 47 and 48 above and annexes I and II below, is included in the core budget allocations for the CRIC work programme 2012–2013.

50. As is indicated in the introduction, the present document and in particular its section II on the rationale for, objectives and scope of and methodological approach to the evaluation has been prepared fully in accordance with the relevant decisions of the COP, most notably decisions 3/COP.8, 3/COP.9 and 11/COP.9. However, recalling its

²³ The draft 2012–2013 work programme already includes financial allocations for six meetings of the CRIC Bureau in the biennium.

decisions 15/COP.7,²⁴ 12/COP.8²⁵ and 16/COP.9,²⁶ the COP may also wish to consider the extent to which the evaluation of the performance and effectiveness of the CST could be included within the overall mid-term evaluation of The Strategy.

²⁴ On improving the efficiency and effectiveness of the CST.

²⁵ On the functioning of the CST.

²⁶ On reshaping the operations of the CST in line with the recommendations of The Strategy.

Annex I

Draft terms of reference for external assistance

The external assistance proposed in paragraph 47 will require three consultants:

(a) A team of two consultants that will assist the secretariat in working on possible revisions of the outcome areas and operational objectives, including the performance indicators and targets, following guidance received from Parties.

The consultants will conduct detailed work on preparing proposals for changes relating to the outcome areas and operational objectives, as well as indicators and targets, based on the feedback provided by the Parties and other relevant actors during the reporting process and the deliberations of the Committee for the Review of the Implementation of the Convention. This will feed into the documents on the iterative process submitted to CRIC 11 and CRIC 12/COP 11.

They will also work on the review and assessment of the PRAIS portal against its objectives, including the reporting tools associated with it and the way PRAIS has been translated into an effective means for Parties to monitor and report on the implementation of action programmes. They will work on the basis of the feedback provided by Parties on their use of the portal and lessons learned from the PRAIS project.

The consultants need to have solid knowledge and expertise of results-based management, and of monitoring and evaluation using performance and impact indicators.

(b) A consultant who will assist the secretariat by working on policy-related matters.

He/she will prepare a policy document highlighting substantive developments in UNCCD implementation as outlined in The Strategy, against points in paragraph 9 above, including an assessment of the external context in which the Convention needs to be implemented and taking into account new findings/inputs from the scientific community regarding the scope of DLDD.

This document will also contain other policy-related aspects, such as collaboration between the Convention and the GEF, relations with the Convention's subsidiary bodies, and so on.

Furthermore, this consultant will prepare and conduct a qualitative evaluation, including consultations, as well as interviews and survey(s) featuring feedback from country Parties and relevant international organizations and experts on all elements of the mid-term evaluation.

This qualitative evaluation will feed the entire mid-term evaluation process and also serve as the basis for the policy document mentioned above.

The consultant will need to have solid knowledge of the UNCCD process and the broader context of international sustainable development policies, including financing.

Annex II

Financial implications of the exercise, 2012–2013

Financial implications of the mid-term evaluation will emerge from the options Parties choose during CRIC 9 on the external assistance needed by the secretariat and, more importantly, on the consultative process that needs to be put in place for Parties to share views and form regional positions before starting negotiations at COP 11. The following tentative financial plan has been established and highlights expenditures that could be budgeted for in the forthcoming budget discussions at COP 10:

A. Consultancies to assist in the preparation of the background analytical documents

<i>Number of consultants</i>	<i>Duration (m/m per biennium)</i>	<i>Unit cost</i>	<i>Lump sum remuneration</i>
2	8 m/m each = 16 m/m	€5,000	€80,000
1	6 m/m	€5,000	€30,000
Total			€110,000

B. Travel by consultants

Provisionally, six missions of the team of consultants in the biennium 2012–2013, to attend the meetings of the CRIC Bureau and/or the meetings of the ad hoc working group.

<i>Number of consultants</i>	<i>Number of days (3 days per mission * 6 missions * 3 consultants)</i>	<i>Air tickets (€2,500 per consultants * mission)</i>	<i>Daily subsistence allowances (€200 /day/member)</i>	<i>Total travel costs</i>
3	54	€15,000	€10,800	€25,800

C. Meetings of the intergovernmental ad hoc working group

Three meetings in the biennium 2012–2013, comprising ten members (five Chairs of the regional implementation annexes, the COP president, the CRIC and CST Chairs and two representatives of civil society organizations).

<i>Number of eligible members</i>	<i>Number of days (3 days per meeting * 3 meetings * 9 members)</i>	<i>Air tickets (€2,500 per member * 3 meetings)</i>	<i>Daily subsistence allowances (€200 /day/member)</i>	<i>Total travel costs</i>
9	81	€7,500	€16,200	€23,700

D. Travel by UNCCD staff

Provisionally, 6 missions of the UNCCD secretariat for consultation purposes and/or participation in the meetings of the ad hoc working group.

<i>Number of staff (excluding the Executive Secretary)</i>	<i>Number of days (3 days per mission * 6 missions * 2 staff member)</i>	<i>Air tickets (€2,000 per staff member * mission)</i>	<i>Daily subsistence allowances (€200 /day/member)</i>	<i>Total travel costs</i>
2	24	€24,000	€4,800	€28,800

E. Time employed by UNCCD staff

The amount of time dedicated by UNCCD secretariat staff to the mid-term evaluation in the biennium 2012–2013.

<i>Number of UNCCD staff</i>	<i>Dedicated time allocated by UNCCD staff (m/m)</i>	<i>Total amount</i>
1 P-5	1/6 of his/her work time = 4 m/m	Per memoire
1 P-4	1/4 of his/her work time = 6 m/m	Per memoire

Annex III

Time frame of the mid-term evaluation

