



Committee for the Review of the Implementation of the Convention

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Review of the implementation of the Convention and the 10-year strategic plan and framework to enhance the implementation of the Convention (2008–2018)

Performance of the Convention's institutions and subsidiary bodies

Preliminary analysis of information contained in reports from the secretariat and the Global Mechanism*

Note by the secretariat

Summary

This document contains a preliminary analysis of the performance review of the secretariat and the Global Mechanism (GM). The analysis is based on information contained in the reports on the implementation of the costed two-year work programmes (2010–2011), contained in documents ICCD/COP(10)/12 and ICCD/COP(10)/15, respectively, which were prepared by the two institutions and which provide information on contributions made by each towards the implementation of the 10-year strategic plan and framework for enhancing the implementation of the Convention (2008–2018).

The report presents a preliminary analysis of progress made towards achieving the expected accomplishments included in the two-year work programmes and their financial performance. Reference is also made to the Joint Work Programme of the secretariat and the Global Mechanism, where appropriate.

It also includes recommendations for improving the performance review that constitutes an integral part of the performance review and assessment of implementation system adopted at the ninth session of the Conference of the Parties (COP). Parties at the tenth session of the Committee for the Review of the Implementation of the Convention may wish to use the findings included in this document as input for the deliberations of the COP on the next two-year work programmes (2012–2013), and on the multi-year workplans (2012–2015) submitted by the secretariat and the GM.

* The submission of this document was delayed in order to include information and data depending on the finalization of other relevant documents for the tenth session of the Conference of the Parties.

Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction.....	1–3	3
II. Monitoring of programme implementation.....	4–50	3
A. General considerations.....	4–7	3
B. Preliminary analysis by sub-programme.....	8–50	4
III. Conclusions and recommendations.....	51–56	14
A. Conclusions and recommendations on the methodology of the review.....	51–54	14
B. Conclusions and recommendations on substantive issues.....	55–56	14

I. Introduction

1. Background and introductory remarks on the performance review of the Convention's institutions and subsidiary bodies are provided in document ICCD/CRIC(10)/8,¹ and are omitted here for the sake of brevity.

2. The secretariat and the Global Mechanism (GM) report on the implementation of the costed two-year work programmes for the last biennium in documents ICCD/COP(10)/12 and ICCD/COP(10)/15. Building on these documents, the present report provides a preliminary analysis of the contributions of the two Convention institutions to achieving the operational objectives of the 10-year strategic plan and framework for enhancing the implementation of the Convention (2008–2018) (The Strategy). In this report, reference is made to targets proposed by the secretariat and the GM for performance indicators set in the draft work programmes for 2010–2011, which were presented at the ninth session of the Conference of the Parties (COP). Since these performance indicators were not adopted by decision 9/COP.9, they should be considered as indicative targets for the internal planning of both institutions. Instead, the data collected for the 2010-2011 programme performance documents submitted to COP 10 could be considered as baseline data for future performance evaluations.

3. This being the first time that a performance review will be undertaken on the basis of a results-based management (RBM) framework, the report also seeks guidance from Parties on how to improve future performance reviews.

II. Monitoring of programme implementation

A. General considerations

4. In addition to the mandate given to the secretariat and the GM in the Convention text, The Strategy provides more detailed guidance on tasks and roles of the two institutions, which shall be reflected in the two-year work programmes and the four-year workplans of the same.

5. According to The Strategy, the secretariat has a leading role in operational objective 1 on advocacy, awareness-raising and education and specific outcomes of operational objectives 2 and 3, as well as a support role in other operational objectives. Similarly, the GM has central responsibility for contributing to operational objective 5 on financing and technology transfer. The GM also has a support role in operational objectives 1 and 2.

6. The areas of work of the secretariat and the GM are well defined by The Strategy according to their specific mandates in terms of consistency and complementarity. In specific areas of joint responsibility, the work of both institutions is interconnected and their close collaboration is needed in order to support the work of the Parties. As a specific tool for achieving this task, the GM and the secretariat elaborated a Joint Work Programme (JWP) for the biennium 2010–2011, based on an RBM framework, which was approved at the ninth session of the Conference of the parties (COP 9). The JWP contains expected

¹ Cfr. paragraphs 1 and 2 of document ICCD/CRIC(10)/8, Preliminary analysis of information contained in the reports from the Committee for the Review of the Implementation of the Convention and the Committee on Science and Technology.

accomplishments under operational objectives 1, 2 and 5. The report on the implementation of the JWP is contained in document ICCD/COP(10)/11.

7. With regard to the JWP, it's worth recalling that joint reports on its progress were presented to two COP Bureau meetings and a new JWP was prepared jointly for the consideration of Parties at COP 10.

B. Preliminary analysis by sub-programme

1. The work programme of the secretariat

8. Document ICCD/COP(10)/12 provides a detailed description of the activities undertaken by the secretariat in the period 1 January 2010–31 May 2011, including the main outputs delivered in this reporting period. Although performance indicators are provided for all the expected accomplishments, there is not always evidence of the extent to which the accomplishments were achieved through the respective indicator(s).

a. Operational objective 1: advocacy, awareness-raising and education

9. In its work programme for 2010–2011, under the outcome areas of operational objective 1, the secretariat has four expected accomplishments (EAs) and seven related performance indicators.

10. Against the quantity and quality of the outputs described in the performance report with regard to EA 1.1.1,² the only measurable achievement reported relates to the number of visits to the Convention's website,³ which was delivered as expected. 11. With regard to EA 1.2.1,⁴ the two performance indicators were compiled and set the baseline for future trend analysis. For the first indicator,⁵ a slight increase is reported in 2010 compared to similar data for 2009.⁶ With regard to the second indicator,⁷ results achieved at the global level are beyond the estimates⁸ although the contributions at the subregional and regional levels were limited.

² Awareness of DLDD as one of the solutions to key global challenges is increased.

³ The visits to the Convention's website increased from a monthly average of 20,000 in 2009 to a monthly average of 24,000 in 2010, a substantial increase of 20 per cent from one year to the other. In this regard, the secretariat was able to meet the proposed target of the increase in website downloads and Internet-based search engine alerts on DLDD, SLM and/or United Nations Convention to Combat Desertification messages by 15 per cent. On the other hand, while the outputs related to the training of 30 journalists in SLM and DLDD was included in the secretariat's two-year work programme under outcome 1.1, the performance report of the secretariat did not include information regarding this outcome.

⁴ The secretariat effectively advocates recognition of the United Nations Convention to Combat Desertification as a normative reference and a global focal point for DLDD issues.

⁵ Number of invitations to the secretariat to chair or speak at high-level events.

⁶ The number of meeting invitations to the secretariat increased only marginally from 193 in 2009 to 201 in 2010. The proposed target for invitations was set to achieve a 10 per cent increase, while the real increase reported amounts to 4 per cent. In accordance with the two-year work programme, the secretariat expected to participate in 30 high level events that would contribute in disseminating DLDD issues, while the secretariat attended 25 high-level meetings.

⁷ Number of references to the United Nations Convention to Combat Desertification in the conclusions and resolutions of the United Nations meetings, regional and subregional processes that the secretariat has addressed.

⁸ The Convention or DLDD was referred to in the conclusions and resolutions of 19 of the 25 high-level meetings that the secretariat took part in, exceeding by far the proposed 6 contributions in the work programme. Nevertheless the contributions to regional and subregional meetings were minimal.

11. Both institutions, the secretariat and the GM, were active in the promotion of DLDD-related issues in relevant international forums, including those pertaining to agricultural trade, climate change adaptation, biodiversity conservation and sustainable use, rural development, sustainable development and poverty reduction as stipulated in outcome 1.2 of The Strategy. In this regard, they collaborated under the JWP framework on joint information activities as bulletins and presentations. It is to be noted however that joint activities undertaken and reported on were fewer than planned in the JWP.

12. With regard to EA 1.3.1⁹ and its first performance indicator,¹⁰ records show a decline in the number of sponsored participants from civil society in the intersessional meeting of the CRIC (CRIC 9) compared to the previous biennium.¹¹ The reasons for this result being the limited voluntary contributions to the special fund. However, the procedures and mechanisms requested by decision 5/COP.9 for a more balanced participation of civil society organizations (CSOs) in the Convention's meetings were put in place in a timely and effective manner. With regard to the second performance indicator,¹² the reporting mechanisms of sponsored CSOs are still far from providing information relevant to its compilation. With regard to the third indicator,¹³ the report of CRIC 9 contains a number of references to civil society and its input to the deliberations of the Committee; it is to be noted that accredited CSOs were directly involved in the fourth reporting and review process, under the guidance of the CRIC Bureau.

13. With regard to EA 1.3.2,¹⁴ its indicator¹⁵ confirms that the actual performance data¹⁶ met expectations. Under the JWP, two joint information materials were planned to be distributed among CSOs.

b. Operational objective 2: Policy framework

14. With regard to EAs 2.1.1¹⁷ and 2.3.1¹⁸ and their performance indicators,¹⁹ both the survey conducted by the secretariat on the status of action programmes²⁰ and the data

As part of the work undertaken by the secretariat on the assessment of implementation, an online list was established and posted on the PRAIS portal that contains documents and decisions of non-UNCCD meetings and processes that refer to the Convention and/or to DLDD. The list is available at <<http://www.unccd-prais.com/Home/DLDDDecisionsAndDocs#decisions>>.

⁹ Mechanisms for CSO participation are improved; sponsored CSOs undertake more awareness initiatives and financing for CSOs in meetings is improved.

¹⁰ Amount of financing for CSO participation in UNCCD COPs.

¹¹ Nineteen sponsored CSO representatives out of a total of forty CSOs attended CRIC 9, showing that more efforts are needed in order to increase their participation to achieve the target of 60 sponsored CSOs representatives participating in COP 10.

¹² Number of awareness initiatives undertaken by sponsored CSOs.

¹³ Extent to which COP and CRIC reports include CSO inputs.

¹⁴ Educational material on DLDD available to students and youth groups is increasingly used by them.

¹⁵ Extent to which schools and universities use United Nations Convention to Combat Desertification information on DLDD for educational purposes.

¹⁶ The secretariat delivered 19 lectures on DLDD issues in schools and universities, very close to the proposed target of 20 lectures.

¹⁷ The revision of regional action programmes to align them to The Strategy is increasing.

¹⁸ Affected country Parties revise their national action programmes (NAPs) into strategic documents supported by biophysical and socio-economic baseline information and include them in integrated investment frameworks.

¹⁹ "Number of regional action programmes that are aligned to the implementation of The Strategy" and "Number of NAPs aligned with The Strategy with support from the secretariat", respectively.

²⁰ Cfr. document ICCD/CRIC(9)/12.

reported by affected country Parties during the fourth reporting and review process²¹ indicated that the target set by The Strategy²² will be hardly achieved unless the alignment process is boosted further, particularly at the subregional and regional levels.²³ The concerns of Parties with regard to the status of alignment and implementation of action programmes were also voiced at CRIC 9. Support to affected country Parties in this regard should continue to receive high priority in the work programmes of the secretariat and the GM, according to their respective mandates. The secretariat – in addition to the technical support provided at the subregional and regional levels – has also facilitated a process leading to the operationalization of direct access to Global Environment Facility (GEF) funding for enabling activities; however, the potential of this instrument under the fifth GEF is still far from being exploited. It is to be noted that UNEP has been identified by the GEF as the implementing agency of a potential umbrella project to support the alignment process, including through the provision of funding for enabling activities at the national level.

15. As regards EA 2.1.2²⁴ and its performance indicator,²⁵ output delivery in the reporting period has been up to the expectations. As a result, the target related to the performance indicator has been achieved.²⁶

16. With regard to EA 2.3.2,²⁷ the main response to achieving the target of the performance indicator²⁸ was the initiative jointly launched by more than 20 United Nations organizations and steered by the Environmental Management Group. The secretariat also developed joint workplans with UNDP, UNEP, UNESCO and WMO to support country Parties, taking account of the comparative advantage of each organization in mainstreaming SLM and land degradation issues into development planning and policies. Cooperation with FAO has been limited to input provided during the formulation of the LADA 2/WOCAT initiative.

²¹ Cfr. document ICCD/CRIC(9)/4 and data reported on performance indicator CONS-O-5.

²² By 2014, at least 80 per cent of affected country Parties, subregional and regional entities have formulated/ revised a NAP/SRAP/RAP aligned to The Strategy.

²³ The secretariat supported the regional annexes in their revision of the Regional Action Programmes and their alignment to the Strategy through the preparation of a comprehensive analysis of the status of implementation of the regional and sub-regional action programmes under the UNCCD. Nevertheless the alignment of the RAPs is still in an early stage and the secretariat was not able to comply with the target of 3 RAPs revised in 2011.

²⁴ Increased understanding of the interlinkages between implementation of the UNCCD and addressing water scarcity, forestry, gender issues and migration, respectively, as well as the related cross-sectoral governance issues.

²⁵ Number of references to United Nations Convention to Combat Desertification, DLDD and/or SLM in reports and resolutions on major events concerning water scarcity, forests, gender and migration relevant to drylands.

²⁶ To increase reference on UNCCD, DLDD and SLM in reports and resolutions on major events concerning water scarcity, forests, gender and migration, the secretariat developed three advocacy policy frameworks in cooperation with various partners for consideration at CRIC 10. In this regard, the secretariat was also able to include DLDD substantive references in several high-level meetings. It can therefore be concluded that the proposed target of having one reference in each global meeting relating to water scarcity, forests, gender and migration was achieved.

²⁷ Affected country Parties have increased support from major multilateral cooperation organizations and programmes in integrating NAPs, SLM and land degradation issues into development planning and relevant sectoral and investment plans and policies.

²⁸ Number of policies and approaches of FAO, UNDP, UNEP reflect NAPs and SLM and land degradation issues in drylands on the basis of input from the UNCCD.

17. Under EA 2.5.1,²⁹ a number of activities and their outputs are reported in document ICCD/COP(10)/12 – although no information is currently available with regard to its performance indicator.³⁰

18. With regard to EA 2.5.2,³¹ a baseline³² was set through the survey on the status of action programmes mentioned above, for further trend analysis. The secretariat has also advocated for national drought policies, through cooperation with WMO in designing a joint workplan in this regard.

c. *Operational objective 3: Science, technology and knowledge*

19. With regard to EA 3.1.1,³³ as demonstrated by the outputs of the fourth reporting process and the review conducted by CRIC 9, the objective³⁴ has been met,³⁵ and this represents one of the major achievements of the current biennium. In addition, a number of concerns expressed by Parties at CRIC 9, relating to the timeframe of the reporting, the methodologies for the compilation of information by reporting entities and the analysis to be conducted by the secretariat and the GM on data contained in the reports, are being addressed through the iterative process and the methodological and procedural proposals submitted to CRIC 10.

²⁹ Improved understanding of the importance of DLDD and SLM in addressing climate change and biodiversity.

³⁰ Number of references to DLDD and SLM in the reports and resolutions of meetings on climate change and biodiversity on the basis of input from the UNCCD.

³¹ Mitigation of the effects of drought is reflected in the action programmes under the UNCCD.

³² Number of affected country Parties that include measures to mitigate the effects of drought in their action programmes.

³³ Parties and other key stakeholders adopt a common approach to monitor and review progress in implementing The Strategy.

³⁴ The relevant performance indicator measures the “Extent to which information contained in the reports of Parties and other key stakeholders is comparable and relevant for monitoring the status of operational objectives”.

³⁵ The UNCCD fourth reporting cycle tested the new reporting tools with satisfactory results. The secretariat compiled and analysed the content of 89 affected country Parties’ reports, exceeding the target of 60 per cent. Country Parties attending CRIC 9 made recommendations to the secretariat on how to improve the reporting process and expressed interest in continuing with this exercise and approach.

20. With regard to EAs 3.1.2,³⁶ 3.1.3³⁷ and 3.2.1,³⁸ the relevant performance indicators³⁹ are very similar. The report of the second special session of the CST (CST S-2) gives recognition to the efforts made by the secretariat and the outputs delivered in the reporting period. Further background information is submitted to the tenth session of the CST (CST 10).

21. With regard to EA 3.3.1,⁴⁰ the broadly based input of the scientific community⁴¹ is expected to be primarily gathered and conveyed to the CST through the assessment of the first scientific conference⁴² and the organization of the second.

22. With regard to EAs 3.4.1⁴³ and 3.4.2,⁴⁴ the secretariat is exploring how to improve information sharing among the scientific bodies of the other Rio conventions with the aim of improving their coordination on scientific matters.

23. As for EA 3.5.1,⁴⁵ the secretariat has started working on the implementation of an effective knowledge-sharing system by developing a comprehensive knowledge management system with a specific component of a scientific knowledge brokering management system. A target was established to have the knowledge management system in place in 2011, but the secretariat expects to finalize the system in 2012.

24. With regard to EA 3.6.1,⁴⁶ the secretariat is conducting an assessment of how to organize international and interdisciplinary scientific advice in order to increase the participation of scientists and institutions in the work of the CST. In this regard, the secretariat has organized an online survey to incorporate inputs from various stakeholders, the result of which is submitted to CST 10 for further consideration.

³⁶ The secretariat effectively supports the iterative process and pilot impact indicator tracking exercise for the development of the revised subset of impact indicators.

³⁷ The secretariat effectively supports CST work on harmonization of methods for using the subset of impact indicators.

³⁸ The secretariat effectively supports CST work on the elaboration of harmonized scientific approaches to develop baselines and targets.

³⁹ “Background information from the secretariat on the status of the iterative process and pilot impact indicator tracking exercises is reflected in CST recommendations”, “Extent to which background information from the secretariat on harmonization of methods for using the subset of impact indicators is reflected in CST recommendations” and “Extent to which background information provided by the secretariat on harmonization of scientific approaches to develop baselines and targets is reflected in CST recommendations” for EAs 3.1.2, 3.1.3 and 3.2.1 respectively.

⁴⁰ Broad-based input of the scientific community mobilized by the secretariat supports CST work on the priority themes.

⁴¹ Recalling the formulation of the performance indicator: “Amount of broad-based input of the scientific community available to CST work on consideration of the priority themes”.

⁴² While the target for this outcome was the participation of 60 scientists in the Scientific Conference, the secretariat performance report did not give information on this target.

⁴³ The secretariat effectively supports the CST in establishing modalities for cooperation with the scientific subsidiary bodies of the UNFCCC and the CBD.

⁴⁴ The secretariat effectively supports the CST in addressing interlinkages between the agenda of the CST and the agendas of other organizations and bodies relating to the interactions between climate change adaptation, drought mitigation and the restoration of degraded lands.

⁴⁵ Information on and knowledge of matters relating to United Nations Convention to Combat Desertification, DLDD and SLM, including best practices and success stories, are used by interested scientists and other specialists.

⁴⁶ Provisions for the engagement of science and institutions are improved.

d. Operational objective 4: Capacity-building

25. In order to address EA 4.1⁴⁷ the secretariat will establish a webpage aimed at supporting and disseminating information on capacity-building initiatives. Furthermore, the secretariat has implemented capacity-building activities as a cross-cutting component in most of its initiatives under the other operational objectives, particularly on the reporting process, action programme alignment and fundraising.

e. Operational objective 5: Financing and technology transfer

26. Following its mandate and as previously recalled, the secretariat has only a support role in achieving operational objective 5. In this regard, and with specific reference to EA 5.3.1,⁴⁸ the main output reported by the secretariat in the current biennium is the establishment and implementation of a Joint Action Plan with the GEF, which represents a milestone in the cooperation with the Facility. Other performance data related to this accomplishment and the cooperation with financial institutions are contained in the performance report by the secretariat. However, no information is compiled with regard to its performance indicator.⁴⁹

27. As for EA 5.4.1,⁵⁰ the secretariat will facilitate a Sustainable Land Management Business Forum, which will be launched at COP 10 in cooperation with the host government and its indicator.⁵¹

f. Management support for strategy implementation

28. The secretariat included three related subprogrammes (executive direction and management, conference services, and administrative and financial services) in its work programme for 2010–2011, with two expected accomplishments for each.

29. For executive direction and management, and with regard to EAs 6.1⁵² and 6.2,⁵³ and their respective performance indicators,⁵⁴ beyond the performance data and main outputs contained in the performance report, the achievement of the accomplishments could only be measured based on deliberations at COP 10 and the review of the same performance report.

30. With regard to the second subprogramme, its accomplishments 6.3 and 6.4⁵⁵ and their performance indicators,⁵⁶ there is evidence that meeting servicing has been up to

⁴⁷ Opportunities for targeted capacity building under the United Nations Convention to Combat Desertification are improved.

⁴⁸ Increased understanding of the importance of DLDD and SLM on the part of the GEF, IFAD and the World Bank.

⁴⁹ Number of references to DLDD/SLM in the strategies, reports and decisions of the GEF, IFAD and the WB taking into account information provided by the UNCCD.

⁵⁰ Improved understanding on the part of Parties of factors supporting private sector involvement in SLM.

⁵¹ The COP discusses private sector involvement in SLM.

⁵² Integrity and coherence of the UNCCD process.

⁵³ Resources are managed to the satisfaction of Parties.

⁵⁴ “Parties express their satisfaction” and “Extent to which resources are used effectively in all work packages of the secretariat”, respectively.

⁵⁵ “Parties are satisfied with improved conditions to take informed decisions at the level of COP and its subsidiary bodies” and “Exchanges among Parties’ representatives, scientific experts and/or other key stakeholders are efficiently facilitated”, respectively.

⁵⁶ “Absence of complaints from Parties for arrangements made to organize the sessions of COP and its subsidiary bodies”, “All official documents timely and effectively submitted to Parties for

standard and efficiently organized. However, no information is provided on the level of satisfaction of Parties on the same.

31. A similar situation is presented for the last subprogramme on administration, finance and human resources management, whereby it is reported that the secretariat facilitated the review of accounts by the Board of Auditors and the review of substantive programmes of the secretariat by the Office of Internal Oversight Services with good results. No information is provided on the level of satisfaction of the users on these services, which represents the standard indicators for both EAs – 6.5 and 6.6.

2. The work programme of the Global Mechanism

32. The work of the GM for the biennium focused on the development and implementation of Integrated Investment Frameworks (IIF) and integrated financing strategies (IFS) for SLM under operational objective 5 of The Strategy. Moreover, the GM facilitated access to financing opportunities in cooperation and partnership with national institutions and international organizations, in particular innovative financing to upscale finance for SLM at the country level. As is outlined in the introduction, the GM has a lead role for operational objective 5 and a support role for operational objectives 1 and 2.

33. The GM shared overall lessons-learned on the application of the RBM framework in its performance report. Despite a variety of challenges identified, the GM concluded that the application of the new RBM system has been very beneficial for the GM in facilitating its services requested by the COP. The reporting period for the achievement of expected achieving and related performance indicators is 1 January 2010 to 31 May 2011, budgetary information covers the period from 1 January 2010 to 31 March 2011.

a. Operational objective 1: advocacy, awareness-raising and education

34. With regard to EA 1.2.01,⁵⁷ the GM supported operational objective 1 through participation in global forums in order to publicize the relevance of adequate finance for SLM. Performance data show evidence of the level of achievement of the related accomplishment to around 73 per cent of expectations.⁵⁸

consideration at the sessions of COP and its subsidiary bodies”, “All requested meetings, workshops and seminars organized promptly and within the limits of the allocated budget” and “All requested publications, documentation and information materials processed promptly and within the limits of the allocated budget”.

⁵⁷ Finance for SLM is addressed in relevant forums.

⁵⁸ The GM participated in 11 global forums related to SLM finance, while the target for the biennium was 15, achieving 73 per cent of the expected accomplishment.

35. Similar information⁵⁹ supports the performance report of the GM on EAs 1.3.01⁶⁰ and 1.3.02,⁶¹ with specific regard to the two performance indicators.⁶²

b. Operational objective 2: Policy framework

36. With reference to EA 2.1.01,⁶³ the target for this expected accomplishment was 14 country Parties supported, and the GM achieved more than the 70 per cent of it.⁶⁴

37. As for EA 2.2.01,⁶⁵ the GM reported support to 12 countries and one subregion for the development of SLM IFSs that contribute to the alignment of NAPs to The Strategy, while its target⁶⁶ included support of up to 28 countries depending the status of the NAP process and on country demand. More effort is required to support the alignment processes to enable an IFS to contribute effectively, taking into consideration that Parties identified NAP alignment as a priority.

38. With reference to EA 2.3.01,⁶⁷ the GM reported that the mainstreaming of SLM into national development processes was an integral part of the IFS/IIF processes and has been among the GM's priorities in 22 countries. As the target was 32 countries, it therefore achieved 69 per cent of the expected accomplishment.

39. As for EA 2.4.01,⁶⁸ the GM made progress towards this outcome, engaging developed country Parties in three African countries in order to strengthen finance on SLM, achieving one-third of the proposed target. This expected accomplishment is also reached through working with developed countries and other donors in global settings and partnerships.

40. With reference to EA 2.5.01,⁶⁹ the target for the GM for the biennium 2010–2011 was to implement 13 synergistic initiatives. It achieved approximately half of the expected accomplishment, which has been reformulated together with its performance indicator in order to avoid overlap in reporting with EA 5.4.02.⁷⁰

⁵⁹ The GM also supported the integration of CSOs into 23 IFS/IIF processes, very close to the target of 24 processes. Similarly, the GM established partnerships with STIs in order to strengthen educational initiatives on SLM finance. In this regard, the GM engaged in 14 institutions with scientific institutions addressing SLM financing, exceeding by far the 3 proposed.

⁶⁰ CSOs engaged in the development and implementation of IFS and integrated investment frameworks.

⁶¹ The scientific community is engaged to build economic evidence for increasing investment in SLM as a direct result of GM input.

⁶² “Number of IFS and IIF processes supported by the GM in which CSOs are engaged” and “Number of GM contributions from IFS/IIF, FIELD and financial analyses such as portfolio reviews and public sector expenditure reviews supporting initiatives by scientific institutions addressing SLM financing”.

⁶³ Country Parties are aware of the financial drivers of desertification/land degradation and the barriers to SLM.

⁶⁴ The GM assisted in the assessment of financial drivers of desertification/land degradation and the barriers to SLM in 10 countries and 2 sub-regions in the context of IFS processes resulting in various studies on the economic impact of land degradation.

⁶⁵ The developments of SLM IFSs contributes to the alignment of NAPs to The Strategy.

⁶⁶ Number of IFS process results feeding into NAP revision and alignment.

⁶⁷ IFSs identify investment opportunities for NAP priorities in national development processes such as PRSPs and relevant sectoral and investment plans and policies.

⁶⁸ SLM mainstreamed into developed country Parties' development policies.

⁶⁹ Increased SLM financing through synergistic implementation of the Rio conventions.

⁷⁰ The GM carried out six global synergistic initiatives with the other Rio conventions on innovative financing mechanisms and IFS, and collaborated with Development Assistance Committee of the OECD on the application of the Rio Markers.

c. *Operational objective 5: Financing and technology transfer*

41. Given the lead role of the GM for operational objective 5, its major efforts were focused on addressing the financial implications of the implementation of The Strategy at the national, subregional, regional and global levels. The IIF is one of the two corporate objectives of the GM work programme and was one of its priorities in the past biennium.

42. In this respect and with regard to EA 5.1.01,⁷¹ the GM supported 27 regional and subregional platforms for SLM resource mobilization, exceeding by far the target of 18 subregional platforms. Similarly, for EA 5.1.02⁷² and its related EA 5.1.03,⁷³ the GM supported the elaboration of IFS and succeeded in supporting the finalization and adoption of such IFS in 14 countries, getting close to the target of 17. Implementation of the IFS started in seven countries, while the target was 18, reflecting the longer timeframes needed for being present in the countries than expected and funding available, thus more efforts and alternative modalities towards the implementation of such IFS may need to be considered. With regard to the level satisfaction of Parties with the support provided by the GM, which was the common indicator for the three above-mentioned accomplishments, preliminary outcomes of the client survey are highlighted in the performance report.

43. As for EA 5.1.04,⁷⁴ 12 countries were reported as able to finalize and validate the elaboration of IIFs with the support of the GM, exceeding the target of 8.

44. With regard to EA 5.2.02,⁷⁵ the GM succeeded in mobilizing development partners in the elaboration and implementation of IFSs/IIFs and other support programmes in 24 countries, exceeding the target of 10. However, the outputs reported in the performance reports do not provide an estimation of the expected increased financing by developed countries in this regard. Similarly, EA 5.2.03⁷⁶ was reported on as needing more information regarding the increase of finance from developed countries for the elaboration and implementation of IIFs and suggested in view of the difficulties in to gather this information elsewhere to use as baseline and data source the financial information provided under PRAIS by country Parties. The GM reported on the activities and outputs achieved under EA 5.2.01,⁷⁷ under EA 2.1.01, taking into consideration the two different performance indicators relating to these accomplishments.⁷⁸

45. As for accomplishments addressing outcome 5.3, in particular EA 5.3.01,⁷⁹ the GM supported mainstreaming of SLM in at least 12 countries through specific intervention in policy processes, exceeding the target of five interventions. The GM reported difficulties in the compilation of the related performance indicator. For EA 5.3.02,⁸⁰ the GM also

⁷¹ Regional and subregional platforms relating to SLM financing functioning and supported by the GM.

⁷² Adoption by affected country Parties of SLM integrated financing strategies.

⁷³ Implementation of SLM IFSs achieved.

⁷⁴ SLM integrated investment frameworks supported by the GM are developed and endorsed by affected country Parties.

⁷⁵ Developed countries increasingly finance the elaboration and development of SLM IFSs through bilateral cooperation at country level.

⁷⁶ Developed countries increasingly finance the SLM integrated investment frameworks.

⁷⁷ Increased common understanding and knowledge of the economic benefits of SLM investments to achieve development objectives.

⁷⁸ See also document ICCD/COP(10)/3 for a presentation of the proposed GM results and impact methodology.

⁷⁹ UNCCD focal point institutions consult with national international financial institution focal points at country level to advocate for increased desertification/land degradation and drought DLDD/SLM financing by IFI.

⁸⁰ Increased knowledge in international financial institutions of the rationale for SLM investments for achieving development cooperation goals.

supported the SLM portfolio review by the World Bank, half the target of two portfolio reviews conducted by international financial institutions and bilateral organizations in collaboration with the GM. With reference to EA 5.3.03,⁸¹ efforts on the mobilization of co-financing seem to have produced good results at the regional level; however, no information is provided with regard to the indicator to enable assessment of the achievement of the target of a 1:4 co-finance ratio leveraged around GEF investment and investments from other facilities and funds in programmes with GM involvement, because of difficulties in data collection. As for EA 5.3.04,⁸² the GM did not provide information on the increased GEF funding made available for Convention-related events.

46. In support of outcome 5.4, and specifically under EAs 5.4.01⁸³ and 5.4.02,⁸⁴ the GM prepared 12 modules and thematic reports on various sources of innovative finance, against a target of five – exceeding the number of sector-specific modules on innovative sources planned. They were presented and applied in various national and international workshops in 31 countries, once again exceeding the target of 16.

47. With regard to EA 5.5.01,⁸⁵ the GM supported eight initiatives on technology transfer, mainly in the context of South-South cooperation – double the target of four.

d. *Executive direction and management*

48. The GM included three expected accomplishment under the item executive direction and management. The first (X.1.01⁸⁶) refers to the GM being an effective partner on financing for the Convention international dialogues, partnerships and strategy development for servicing the Convention and its Parties. In this regard, the GM reported participation in a multitude of taskforces and coordination meetings in the context of the PRAIS process, RBM/RBB discussions, the JWP with the secretariat, preparation for CRIC 9, CRIC 10 and COP 10, as well as on NAP alignment and IFS. The GM received 23.6 per cent of the core budget adopted by the COP, while they expected to receive 25 per cent – very close to the estimated target. Moreover, the GM reported having elaborated a number of initiatives on SLM finance with the members of the Facilitation Committee at the national level.

49. The second expected accomplishment (X.1.02⁸⁷) refers to the effective and transparent management of the work programme and financial resources. In this regard, the GM implemented an RBM Monitoring and Evaluation system to increase the quality of the RBM system adopted by the GM. At the same time, the GM reported that IFAD's audit of the GM presented satisfactory results. Nevertheless, the voluntary funding received by the GM in the biennium did not meet expectations (EUR 5.6 million against an estimated EUR 10 million). Regarding staff development and team building initiatives, the GM organized two initiatives and a multitude of training for the staff, mainly on negotiating skills and team development activities.

⁸¹ Affected country Parties engage in programmatic approaches mobilizing co-finance.

⁸² Increased GEF funding available for UNCCD concerns.

⁸³ Country Parties are enabled to identify innovative resources and potential entry points for innovative sources of fiancé and financing mechanisms relating to SLM.

⁸⁴ Resources mobilized for SLM through the application of innovative sources of finance and financing mechanisms.

⁸⁵ South-South and North-south partnerships allow affected country Parties to access knowledge on technology transfer.

⁸⁶ The GM is an effective partner on financing for the UNCCD in international dialogues, partnerships and strategy development for servicing the Convention and its Parties.

⁸⁷ Effective and transparent management of the work programme and financial resources.

50. The third and final expected accomplishment under GM executive direction and management (X.1.03⁸⁸) refers to the instruments used to communicate to a wide audience the services provided by the GM to the Convention. In this regard, the GM reported 350 visitors to their website per day, while the target was 500, achieving 70 per cent of the expected accomplishment.

III. Conclusions and recommendations

A. Conclusions and recommendations on the methodology of the review

51. The performance review and assessment of implementation system needs relevant indicators and achievable targets that make possible an effective review based on quantitative and qualitative data. In order to account for achievements in terms of concrete results, the performance indicators contained in the multi-year workplans and the two-year work programmes of the secretariat and the GM should be SMART (specific, measurable, achievable, relevant and time-bound). Should future performance reviews be carried out on the basis of the adopted four year workplans, Parties at CRIC 10 may decide to adopt the proposed targets contained in the workplans in order to enable the CRIC to monitor the implementation of the plan in the interim.

52. The secretariat and the GM used different timeframes for their reporting period. While the secretariat reported financial data until 31 May 2011, the GM reported these data until the 31 March 2011. Similarly, each institution reported on different items in the financial overview. In this regard, harmonization in future reports is suggested, keeping in mind the respective financial control reporting schedules.

53. Information on the distribution of the funds of the secretariat among the operational objectives of The Strategy is absent. This information is important for assessing the location of funds in concordance with the priorities set in the workplans and work programmes of the secretariat and the GM.

54. The findings of this review should be considered in subsequent programme design and delivery, including the elaboration of the updated multi-year workplans (2012–2015) and the new two-year work programmes (2012–2013).

B. Conclusions and recommendations on substantive issues

55. The CRIC may wish to consider this report and advise on the strategic orientation of the 2012–2015 workplan of the secretariat and the GM.

56. Parties at CRIC 10 may also wish to propose that COP 10:

(a) Reviews the annex to decision 11/COP.9, paragraph 2 (b), and advises on the methodology to conduct the performance review of the Convention institutions and subsidiary bodies following a RBM approach;

(b) Advises on the modalities of the preparation for further performance reviews, including the preparation of preliminary analysis of performance reports of the Convention institutions and subsidiary bodies for consideration by the CRIC.

⁸⁸ Communication to a wide audience on the services provided by the GM to the Convention.