



Committee for the Review of the Implementation of the Convention

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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

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

Note by the secretariat

Summary

The present document provides a preliminary analysis of the feedback that reporting entities have provided on performance and impact indicators as the basis for the iterative process requested by the Conference of the Parties (COP) in decision 13/COP.9. The document also provides feedback received on various aspects of the reporting process, such as financing (including financial resources provided by the Global Environment Facility for enabling activities under the Convention), human resources, knowledge, and coordination at various levels.

The Committee for the Review of the Implementation of the Convention, at its eleventh session may wish to review the recommendations made in this document with a view to providing advice to COP 11 which will deal with, inter alia, the refinement of indicators in the context of the mid-term evaluation of The Strategy.

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I. Introduction

1. The present document is issued in response to the provisions contained in decision 13/COP.9 with reference to the refinement of the set of performance and impact indicators and associated methodologies. The document builds on:

(a) Information contained in the “additional information” section of the reports submitted by Parties and other reporting entities. This section of the template provides reporting entities¹ with an instrument to inform the Committee for the Review of the Implementation of the Convention (CRIC) on constraints that they faced during the reporting process and the iterative process for performance indicators;

(b) Findings of a survey entitled “Challenges and constraints faced during the 2012–2013 reporting and review process by reporting entities that had not submitted their reports to the UNCCD by 30 October 2012”,² as commissioned by the Bureau of the Conference of the Parties (COP) at its meeting in November 2012;

(c) Feedback received from Parties in other ways, including queries submitted through the help desk service (<http://support.unccd.int/>) and the dedicated e-mail account (reporting2012@unccd.int).

2. Working within a results-based framework, the CRIC may wish to provide action-oriented guidance to Parties on the basis of the information and recommendations provided in this document. Comprehensive advice by the CRIC at its eleventh session (CRIC 11) will facilitate follow-up on the targeted recommendations put forward for consideration by the COP at its eleventh session (COP 11) which will also address the refinement of indicators in the context of the mid-term evaluation of The Strategy, as set out in decision 3/COP.8.

¹ In the 2012 reporting cycle, reports were submitted by 71 affected country Parties, 9 developed Parties, 3 subregional entities, the Global Mechanism, the secretariat and the Global Environment Facility.

² 32 affected country Parties, 5 developed Parties and 3 SRAP/RAP entities participated in the survey.

II. Refinement of the set of impact indicators and related methodology

3. With the 2012–2013 reporting cycle, affected country Parties were asked to provide an e-SMART³ assessment of the two mandatory impact indicators relating to strategic objectives (SO) 1, 2 and 3 (“Proportion of the population living below the poverty line” and “Land cover status”) and their associated metrics (“Poverty rate”, “Land cover” and “Land productivity”). Parties were asked to assign a score to each of the e-SMART questions, where 0 was the lowest score meaning disagreement with the statement, and 5 the highest score indicating very strong agreement. The results of the e-SMART assessment are summarized for each indicator in tables 1, 2 and 3 of annex I below. It is to be noted however that only a few Parties, provided specific comments on the effectiveness of the indicators on SO 1-3 and their metrics, as follows: 34 on “Poverty rate”, 28 on “Land cover” and 17 on “Land productivity”, thereby allowing only for the formulation of specific recommendations.

4. Parties also had the opportunity to assess four impact indicators relating to strategic objective 4 (SO 4) according to e-SMART criteria, using the form included in the “Additional information” section of the template. Both affected and developed country Parties found the specificity criterion of the e-SMART methodology most problematic for indicators relating to SO- 4. This was especially true for indicator SO-4-2 which one third of developed country Parties struggled with. Furthermore, almost one third of affected Parties found the most problematic indicators to be SO-4-3 and SO-4-6. Since 4 developed Parties and no affected country Party provided further comments to one indicator for SO-4, only limited conclusions can be drawn.

5. Subregional entities found all indicators measurable and relevant. Two such entities considered as problematic two aspects of the indicators.

<i>Strategic objective</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
SO-1	III.	Proportion of population below poverty line - Metric: Poverty rate	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Data collection is costly due to monitoring systems not being in place. • The chosen scale (national vs. affected areas) is largely seen as appropriate, but difficulties arise with the collection of data specific to affected areas (and in some cases also for rural areas). • The methodology for data collection needs to be clarified. • The frequency of data collection varies from country to country, with most Parties 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The Global Environment Facility (GEF) and affected country Parties should consider allocating adequate financial resources for the collection of statistical data at the subnational level and, in particular, specifically to affected areas. 2. Affected country Parties should consider directing efforts towards improving the coverage of data on affected areas. In the absence of such data affected country Parties should consider reporting the poverty rate for rural areas. 3. Affected country Parties should consider using data from national and/or international sources (which could be validated by the country

³ For definition, see annex I below.

Strategic objective	Indicator number	Indicator	Feedback	Recommendations for action by CRIC 11
			<p>suggesting a 5 year frequency of reporting.</p> <ul style="list-style-type: none"> The indicator is relevant for desertification, land degradation and drought (DLDD) national planning purposes, including monitoring of national action programmes (NAPs). However, there are difficulties in establishing a clear link between the indicator and DLDD/ UNCCD implementation. Changes in the value of the indicator cannot be directly attributed to DLDD and/or the implementation of the Convention. The link between the indicator and DLDD may not be clear to all policymakers. The up-scaling/ cross-scaling rules need further explanation. <p><u>Feedback from the survey of non-reporting entities</u></p> <ul style="list-style-type: none"> In the reporting year most data needed are not updated (e.g. census, various databases) which does not allow the provision of up-to- date information. Furthermore, the frequency of data collection varies among Parties which might possibly hamper the comparability. Parties found the data collection and its summarization challenging since in most cases this requires additional financing. Data availability for all affected areas was also found challenging. 	<p>themselves) if data on poverty in rural areas are not available.</p> <ol style="list-style-type: none"> Affected country Parties should consider applying appropriate modelling techniques to compile data on affected areas, if data for a specific indicator are only available at the national level. Considering the difficulties in understanding the link between the indicator and DLDD, affected country Parties should, at this stage, consider directing efforts towards: (a) the development of consistent time series for the indicators; and (b) the improvement of the coverage of data on affected areas. Development partners and financial institutions, primarily the GEF, should consider investing further in developing the capacity of affected countries to define and delineate affected areas. In fact, the degree of sensitivity of the indicator to DLDD may improve as the capacity of the countries to define and delineate affected areas improves. Affected country Parties should consider using this indicator as part of a set, and comparing and cross-analysing several indicators with a view to understanding the real impact of DLDD and Convention-related interventions. The secretariat, under the guidance of the Committee on Science and Technology (CST), should provide more specific advice on understanding the link between the indicator and DLDD/UNCCD implementation, and on how to communicate this to policymakers. The secretariat should make reporting guidelines more specific on the methodology to apply with regard to data collection, frequency of reporting and up-scaling/ cross-scaling.

<i>Strategic objective</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
SO-2	IX.	Land cover status Metric: Land cover	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • The financial cost for the application of the indicator is very high, as it requires updated images, ground verification, specialized personnel and relevant software and hardware; it would therefore benefit from international support. • The indicator would be of more use at a smaller scale/ more disaggregated level although this would increase the cost significantly. • Methodologies to measure this indicator are not standardized across countries. • Although monitoring systems largely exist, ground verification and field studies are needed; this is likely to be costly and may in turn impact on the quality of data collected. External expertise and training of local personnel were felt to be needed by some Parties. • The frequency of data collection is not always in line with the monitoring and reporting requirements of the Convention. Costs reduced the frequency at which Parties can report as well as the capacity to report regularly. A few countries reported a frequency of data collection of 5 (or 6) years. • The indicator needs to be supplemented by additional information to link it to DLDD and implementation of the Convention. • Additional information is needed to enable policymakers to understand the economic and social implications of land cover change over time. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The GEF should consider providing additional resources for enabling activities for systematic reporting of this indicator. 2. While building a national monitoring system covering affected areas, affected country Parties should consider making use of available information, including from international sources (which could be validated by the country themselves). 3. The CST should consider providing recommendations for the adoption of common broad definitions and/or criteria for the identification of land cover classes to be used in the reporting process, in order to improve comparability of data. 4. Development partners and financial institutions, primarily the GEF, should consider further investments in developing affected country capacity, including training at the regional/sub-regional levels for a progressive harmonization of definitions and methodologies to measure this indicator. 5. Affected country Parties should consider using this indicator as part of a set and comparing and cross-analysing several indicators with a view to understanding the real impact of DLDD and Convention- related interventions. 6. The secretariat should make reporting guidelines more specific on how to communicate to policymakers the economic and social implications of land cover change over time.

Strategic objective	Indicator number	Indicator	Feedback	Recommendations for action by CRIC 11
<u>Feedback from the survey of non-reporting entities</u>				
<ul style="list-style-type: none"> • In some countries, there is no national methodology in place. • Challenge in data collection. The frequency of data collection might not be in line with the UNCCD reporting requirements in all countries. 				
SO-2	IX.	Land cover status Metric: Land productivity	<p data-bbox="817 542 1198 566"><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Costs for the production of the indicator are limited to the acquisition of updated images and the required technical expertise. • The definitions of the indicator and its constitutive elements may not be clear to all stakeholders. • The methodology to measure this indicator is complex. • Data collection is not straightforward and is often expensive. • The indicator is useful for DLDD national planning processes including NAP monitoring. However, caution needs to be taken in the interpretation of the results as factors other than DLDD and implementation of the Convention may influence this indicator. • The indicator is easily understandable by policymakers as long as the data are well interpreted. • The up-scaling/ cross-scaling rules need to be clarified. 	<p data-bbox="1400 542 1814 566"><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should adjust the methodology taking into account the capacity of the countries and provide advice on up-scaling/ cross-scaling rules. 2. Development partners and financial institutions, primarily the GEF, should consider investing further in developing affected country capacity, including training in the methodology to measure this indicator as well as for a progressive harmonization of definitions and methodologies in use by the countries. 3. Affected country Parties should consider using this indicator as part of a set and comparing and cross-analysing several indicators with a view to understanding the real impact of DLDD and Convention-related interventions.

<i>Strategic objective</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
			<p><u>Feedback from the survey of non-reporting entities</u></p> <ul style="list-style-type: none"> • Parties experienced difficulty in determining the increase in net primary productivity in affected areas lacking the baseline data. • In some countries, there is no national methodology in place. • Challenge in data collection. The frequency of data collection might not be in line with the UNCCD reporting requirements in all countries. 	
SO-4	SO-4-2	The share of bilateral official development assistance (BODA) supplied for Convention-related activities	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • The indicator was found not clear since it refers to bilateral assistance only, even though the share of trilateral and multilateral development assistance should also be considered (according to information received through the help desk). • Since the nominal amounts should be reported in United States dollars (USD), Parties were not sure what exchange rate they should use and would prefer to use the national currency as they did in the Standard Financial Annex (SFA) from which the information was extracted. • Section A – better define the level of relevance of the projects / programmes to be considered as contributing to Convention-related objectives. Shall all projects listed under SFA be taken into account? <p><u>Feedback from the survey of non-reporting entities</u></p> <p>No specific comments provided.</p>	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat and the GM should clarify the understanding of this indicator, that is, whether only bilateral or also multilateral development assistance should be considered. 2. The exchange rate used to convert all currencies to United States dollars (USD) in order to perform calculations for the analysis of data is that of the first day of the reporting cycle. The secretariat and the GM should provide Parties with this indication, in order that the reporting entities can perform the conversion, rather than using the national currency as they do in the SFA. 3. Parties should consider including all projects listed under the SFA, provided that these are indeed relevant (projects/programmes with a Rio marker coefficient greater than 1).

<i>Strategic objective</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	SO-4-3	Percentage change in the domestic financial commitment to the implementation of the Convention	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex I below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting entities</u></p> <ul style="list-style-type: none"> • Parties consider that information on the utilization of domestic (national) budgets is not easily accessible. • Due to the broad diversity of funds available at all levels it is not easy to determine those that are relevant. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat and the GM should refine the indicator to bring it more in line with the e-SMART criteria, especially making it more specific. The secretariat and the GM should also clarify the methodology required to measure the percentage change in the domestic commitments to the implementation of the Convention as well as the relevance of funds to be reported on. 2. Parties should consider reporting on project/programmes financed and co-financed through the domestic public budget, including financial commitments listed under the SFA which use this budget. Data should be provided for each year of the reporting cycle: the relative change (percentage) is measured as the progress from the first to the second year of the cycle; the total for each cycle would then be used as a baseline for the following period.
	SO-4-6	Number and type of legal and regulatory frameworks, economic incentives or other mechanisms securing or facilitating the transfer of funds for the implementation of the Convention at all levels	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex I below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting entities</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex I, below. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should refine the indicator to bring it more in line with the e-SMART criteria, especially making it more specific in order to make data collection possible.

<i>Strategic objective</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	SO-4-7	Clear delegation of institutional responsibilities for the implementation of the Convention at all levels	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Difficulty in making qualitative assessment. • Relevant data is available with the secretariat at the international level only. Data is not available at other levels where the secretariat is not operational. <p><u>Feedback from the survey of non-reporting entities</u></p> <p>No specific comments provided.</p>	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should set up the criteria applicable across countries in order to ensure a common understanding of the qualitative assessment. 2. Parties should consider listing in this section any agreement/institution/mechanism they are involved with and which facilitates the mobilization of resources to implement the Convention, from the international level (secretariat and multilateral institutions) to the local level (including municipalities and non-governmental organizations (NGOs). The secretariat and the GM should clarify that only a list of arrangements is required, not a rating of the arrangements. 3. The secretariat should report on data at the international level only.

III. Refinement of the set of performance indicators and related methodology

6. According to relevant provisions on the iterative process, an evaluation of the e-SMART criteria used in the development of performance indicators was conducted during the 2012–2013 reporting and review exercise. Input received from subregional entities that reported for the first time using the performance review and assessment of implementation system (PRAIS) on-line reporting platform were also taken into consideration.

7. Since reporting methodologies differ across reporting entities, and since some of the indicators are dedicated only to specific reporting entities, the analysis is presented separately for each reporting entity.

8. Affected country Parties report on 14 performance indicators. Similar to the 2010 reporting cycle, affected country Parties experienced most problems with measurability of performance indicators, the least problematic aspect being their relevance and time-bound criteria. While in the 2010–2011 period half of affected country Parties reported problems with one indicator

(measurability of CONS-O-1) the number of Parties experiencing difficulties in reporting with performance indicators in 2012–2013 has drastically reduced but it is still consistent (peaking at 35 per cent of the reporting countries).

9. However, despite this improvement, performance indicators CONS-O-1, CONS-O-4 and CONS-O-3 remain the most problematic to report on. No specific problems were reported on CONS-O-5, CONS-O-9 and CONS-O-16.

10. Developed Parties had 10 performance indicators to report on and often experienced problems with their measurability. Along with affected country Parties, developed Parties that submitted their reports found that the indicators which posed most problems were CONS-O-1 and CONS-O-4, mainly because of aspects relating to their measurability. According to the reports from developed Parties, indicator CONS-O-14 fully meets the e-SMART criteria.

11. Subregional entities had 13 performance indicators to report on. They found all indicators to be specific, and CONS-O-11 and CONS-O-13, fully meeting the e-SMART criteria. Two subregional reporting entities found particular aspects of the other performance indicators problematic.

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
General comments			<ul style="list-style-type: none"> Downsizing the numbers of performance indicators would be desirable – less costly and understandable to the public and decision makers. Some Parties found the 2012–2013 reporting exercise easier, since the methodology and reporting tools had been tested during the last reporting cycle. FAO/ESS advised that quality of information was not always optimal. Specific comments on data quality are included in the preliminary analysis documents on operational objectives, while a general data quality framework is provided in document ICCD/CRIC(11)/MISC.1.⁴ 	<ol style="list-style-type: none"> The Intersessional Working Group (IWG) on mid-term evaluation of The Strategy should consider reducing the number of performance indicators in order to make the reporting process more effective without reducing its efficiency. The secretariat should establish a formal data quality framework to ensure high quality of data at the source of information, including international standards, classifications and common methods for the compilation of the data required, as well as throughout the process of elaborating and analysing the information, including validation checks.

⁴ The document benefits from the inputs provided by the Department of Statistics of the Food and Agriculture Organization of the United Nations (FAO/ESS) which assisted the secretariat in assessing the quality of the information submitted during this reporting exercise and provided advice relevant to the iterative process.

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
				3. The secretariat should work towards harmonizing its results-based planning instruments with the specific performance indicators provisionally adopted by the COP, where and as relevant.
1.1	CONS-O-1	Number and size of information events organized on the subject of DLDD and/or DLDD synergies with climate change and biodiversity, and audience reached by media addressing DLDD and DLDD synergies	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Difficulty in estimating the proportion of the national population informed on DLDD – subjective estimates are not credible. • The capacity of the national focal point (NFP) to gather the information on the number of events and information related to media products on DLDD issues is limited. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • Collection of information requires additional financial resources that are either not available or not provided. • Most information available is not UNCCD-specific. • Difficulty in measuring the impact of information events organized. 	<p><u>Recommendations made to CRIC 11</u></p> <p>1. The IWG should consider revising this indicator in the framework of the mid-term evaluation of The Strategy in order to ensure the collection of reliable data and avoid perception-based indicators.</p>
1.3	CONS-O-3	Number of civil society organizations (CSOs) and science and technology institutions (STIs) participating in the Convention process	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by reporting entities based on e-SMART criteria in annex II, below. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p> <p>1. The secretariat should refine the indicator to be more closely aligned with the e-SMART criteria, especially regarding measurability and achievability.</p>

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	CONS-O-4	Number and type of DLDD-related initiatives of CSOs and STIs in the field of education	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> To obtain comprehensive data on the initiatives carried out by all potentially relevant CSOs and STIs would require a survey. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Identification of relevant initiatives was found challenging. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> The CRIC should consider granting more time for the reporting exercise in order for Parties to provide comprehensive information on this indicator. Parties should consider identifying a core group of civil society organizations (CSOs) and science and technology institutions (STIs) and continue monitoring their activities over the biennium. The secretariat should provide in the reporting manual some examples of types of initiatives that should be included in the reports.
2.1 2.2 2.3	CONS-O-5	Number of affected country Parties, subregional and regional entities to have finalized the formulation/revision of NAPs/subregional action programmes (SRAPs)/regional action programmes (RAPs) aligned to The Strategy, taking into account biophysical and socio-economic information, national planning and policies, and integration into investment frameworks	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> See annex II below for the e-SMART assessment. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Those Parties that have taken action in NAP formulation/revision struggle with inter-institutional coordination. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> Parties should consider strengthening coordination mechanisms at the national level, particularly the National Coordination Body (NCB). The GEF should consider simplifying the application procedure for enabling activities in order to ensure timely disbursement of funds to eligible affected country Parties.

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
2.4	CONS-O-6	Number of partnership agreements established within the framework of the Convention between developed country Parties/United Nations and intergovernmental organizations and affected country Parties	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should refine the indicator to be more closely aligned with the e-SMART criteria.
2.5	CONS-O-7	Number of initiatives for synergistic planning/programming of the three Rio conventions or mechanisms for joint implementation, at all levels	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • The indicator should take into consideration initiatives undertaken by developed country Parties at national level to strengthen synergy between international cooperation actions for the three Rio conventions. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should make reporting guidelines more specific regarding the definition of initiatives for synergistic planning/programming of the three Rio conventions or mechanisms for joint implementation.
3.1 3.2	CONS-O-8	Number of affected country Parties, subregional and regional entities to have established and supported national/subregional/regional monitoring systems for DLDD	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • In some Parties scientific institutions have not developed yet the basis for gathering the wide range of information required. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. Development partners and financial institutions, primarily the GEF, should consider providing financial support to developing the capacities of reporting entities on data collection and processing.
	CONS-O-9	Number of affected country Parties, subregional and regional entities reporting to the Convention along revised reporting guidelines on the basis of agreed	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II, below for the e-SMART assessment. No other specific comments were provided. 	<p><u>Recommendations made to CRIC 11</u></p> <p>(See the recommendations for the various elements of the reporting process under chapter V of this document.)</p>

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
		indicators (due only in 2012 and 2016)	<p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below. No specific comments provided. 	
3.3. 3.4	CONS-O-10	Number of revised NAPs/SRAPs/RAPs reflecting knowledge of DLDD drivers and their interactions, and of the interaction of DLDD with climate change and biodiversity	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II, below for the e-SMART assessment and further comments provided by Parties in chapter VI. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below and further comments provided by Parties in chapter VI. 	<p><u>Recommendations made to CRIC 11</u></p> <p>(See the recommendations for the NAP implementation under chapter V of this document.)</p>
3.5	CONS-O-11	Type, number and users of DLDD-relevant knowledge-sharing systems at the global, regional, subregional and national levels described on the Convention website	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Apart from e-SMART assessment no specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • Due to lack of clearly defined indicators at the national level, some Parties experienced difficulty in getting information on monitoring systems established within the national sectoral institutions. 	<p><u>Recommendations made to CRIC 11</u></p> <p>1. The secretariat should refine the indicator to bring it more in line with the e-SMART criteria.</p>
3.6	CONS-O-12	Number of science and technology networks, institutions or scientists engaged in research mandated by the COP	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Data sources for this indicator so far include only agreements and memorandums of understanding. • Trends of this indicator are highly dependent on whether a scientific conference is held in the biennium under consideration or not. 	<p><u>Recommendations made to CRIC 11</u></p> <p>1. The IWG should consider whether information provided by the secretariat on CONS-O-12 is relevant to the global assessment of implementation.</p>

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
4.1 4.2	CONS-O-13	Number of countries, subregional and regional reporting entities engaged in building capacity to combat DLDD on the basis of national capacity self assessment (NCSA) or other methodologies and instruments	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Inconsistent terminology used in the template with regard to DLDD-related and DLDD-specific initiatives. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • Some Parties would welcome the opportunity to assess the institutional capacity needs. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should clarify the terminology in the templates and reporting guidelines. 2. The GEF secretariat should strengthen awareness among UNCCD focal points concerning its programme on capacity development.
5.1	CONS-O-14	Number of affected country Parties, subregional and regional entities whose investment frameworks, established within the integrated financing strategies (IFS) devised by the GM or within other integrated financing strategies, reflect leveraging national, bilateral and multilateral resources for combating desertification and land degradation	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • None • See annex II, below for the e-SMART assessment. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below. All developed Parties found this indicator fully in line with the e-SMART criteria. • Apart from the e-SMART assessment no specific comment was provided. 	<p><u>Recommendations made to CRIC 11</u></p>

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
5.2	CONS-O-15	Amount of financial resources made available by developed country Parties to combat DLDD	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> Clarification on how to count the share of multilateral contributions devoted to DLDD. <p><u>Feedback from the survey of non-reporting countries</u></p> <p>No further comments provided.</p>	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> The secretariat and the GM should better clarify which financial commitments should be reported under this indicator, including the methodology for determining their share for DLDD-related activities. The secretariat and the GM should include in the template and reporting guidelines, provisions for the inclusion of all amounts committed by the country for all the activities under the SFA section. Where appropriate, developed Parties may complement the information specifying if they have committed amounts to affected Parties through multilateral organizations.
	CONS-O-16	Degree of adequacy, timeliness and predictability of financial resources made available by developed country Parties to combat DLDD	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> See annex II below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> See the evaluation of difficulties experienced by country Parties based on e-SMART criteria above. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p>
5.3	CONS-O-17	Number of DLDD-related project proposals successfully submitted for financing to international financial institutions, facilities and funds, including the GEF	<p><u>Feedback from reports submitted</u></p> <p>No specific comments were provided.</p> <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Lack of information at the level of international agencies. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> NFPs should consider enhancing their coordination with GEF focal points and relevant ministries in order to ensure continuous and coherent data collection. The secretariat and the GM, including through the RCU, should compile relevant information and

<i>Outcome</i>	<i>Indicator number</i>	<i>Indicator</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
				monitor GEF funding disbursement in consultation with the secretariat of the GEF and its implementing agencies as relevant.
5.4	CONS-O-18	Amount of financial resources and type of incentives which have enabled access to technology by affected country Parties	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • See annex II below for the e-SMART assessment. No other specific comments were provided. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • See the evaluation of difficulties experienced by country Parties based on e-SMART criteria in annex II, below. No specific comments provided. 	<p><u>Recommendations made to CRIC 11</u></p> <p>1. The secretariat and the GM should refine this indicator to bring it more in line with the e-SMART criteria and in particular to allow a common understanding on the ways of measuring the indicator.</p>

IV. Refinement of the Standard Financial Annex and Programme and Project Sheet

Feedback

Recommendations for action by CRIC 11

Feedback from reports submitted

- Parties found too much information was required in both the Standard Financial Annex (SFA) and the Programme and Project Sheet (PPS) and recommended their simplification and merging into one template which would minimize the incomplete sheets and errors and ensure more reliable and comparable data.
- Some developed country Parties found it difficult to report on the total amount provided since the portion related to UNCCD activities is a matter of subjective judgement.
- Due to the retrospective character of the reporting it is not possible to give the real status of a project at the time of completing the reporting forms. The given status can therefore only be valid for the time that the project was recorded in the original database, for example, in 2010 or 2011. The real status of each project would only be possible to indicate if the completion dates were available for all projects.
- Due to the limited information available on the projects/programmes it is difficult to assign the Relevant Activity Codes and Rio markers.

Feedback from the survey of non-reporting countries

Information required is not available.

Recommendations made to CRIC 11

1. The GM should simplify the reporting guidelines for SFA/PPS, for example, by removing fields that are currently subject to voluntary reporting.
2. The GM should provide the methodology on how best to determine the portion of UNCCD-related activities within the reported projects/programmes.
3. The GM should clarify the understanding of the status of programmes/projects in the PPS.
4. The GM should consider aligning further SFA/PPS with the donor reporting system of the Organisation of Economic Co-operation and Development (OECD), in addition to those elements (Rio markers, Relevant Activity Codes and Purpose Codes - sectors of intervention) which are already aligned with the OECD Creditor Reporting System. The CRIC should consider establishing an ad hoc, temporary task force to review SFA/PPS as required.

V. Adjustment of reporting procedures, including financial support provided to reporting

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
Financing	<u>Feedback from reports submitted</u>	<u>Recommendations made to CRIC 11</u>
Approximately USD 3,5 million invested in the reporting	<p><i>In general:</i></p> <p>44 per cent of affected and eligible Parties could count on sufficient financial resources against 46 per cent that could not (10 per cent did not respond). Developed country Parties did not report insufficient financial resources.</p> <p>All reporting subregional entities had sufficient financial resources, with a large portion of resources coming from external sources.</p> <p>Specific feedback from the reports:</p> <ul style="list-style-type: none"> Some Parties stressed the need to promote synergies between the Rio conventions and South-South cooperation for increased resource mobilization and recognized an increased involvement of the private sector and NGOs in financing of UNCCD-related activities. <p><i>GEF Financing for enabling activities:</i></p> <p>For the first time, eligible affected country Parties could access up to USD 150,000 through the GEF financing for enabling activities, including the reporting under the UNCCD. Of the 40 reporting countries that applied for GEF financing:</p> <ul style="list-style-type: none"> - 57 per cent applied for access through a GEF implementation agency (USD 1,386,455 disbursed) - 23 per cent for access through the umbrella project (USD 270,000 disbursed), and - 20 per cent for direct access through the GEF secretariat (USD 200,000 disbursed). <p>Based on the information provided by the Parties reporting during this exercise, the GEF provided on average USD 52,000 per country.⁵ In total 30 per cent of affected country Parties did not receive the resources they applied for.</p>	<ol style="list-style-type: none"> The GEF and its implementing agencies should consider simplifying their procedures and improving the effectiveness and efficiency of the process through which eligible Parties receive funding for the enabling activities under the Convention, in order to ensure the timely disbursement of funds to meet the reporting obligations. Parties should consider strengthening cooperation between the NFP and the GEF operational focal point by also authorizing them to endorse funds in addition to the other officers responsible for managing funds available for UNCCD implementation at the national level. The GEF should consider involving further UNCCD NFPs in the extended constituencies' workshops and other mechanisms in order to increase country capacity to access GEF funding.

⁵ Given the fact that affected country Parties can access up to only USD 150,000 for enabling activities under the UNCCD, the amounts reported by 4 Parties ranging from USD 500,000 to over USD 9 million were considered out of range and therefore not included in the calculation.

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	<p>Difficulties in applying for and accessing the GEF funding were experienced by 34 Parties.</p> <ul style="list-style-type: none"> • Parties struggled with the application procedure. They found it lengthy, thus delaying the submission of reports. Parties would, however, edit and finalize reports that have already been submitted once the funds are released. • There is a shortage of personnel familiar with the GEF rules. <p><i>Investments from the national budget:</i></p> <p>On average, affected country Parties spent USD 28,192 from the national budget (a 55 per cent increase compared to 2010) and developed country Parties⁶ spent USD 25, 331 (a 42 per cent decrease compared to 2010).</p> <p>Parties find an initial allocation of minimum funds to be necessary in order to be able to start with the reporting process before the external funds are disbursed.</p> <p><i>Subregional entities:</i></p> <p>The subregional entity which reported by the deadline received a financial contribution of USD 15,000 from the secretariat.</p> <p><i>Secretariat/ Global Mechanism:</i></p> <p>The GM provided financial support of USD 150,000 to affected country Parties to meet their UNCCD reporting obligations. The secretariat provided a total of USD 400,000 to Parties and USD 187,500 to SRAP/RAP entities.</p> <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • Parties were not sure which option under the GEF financing for enabling activities they should apply for, nor was it clear what the differences in the procedures and timeframes were. • Procedure was too lengthy, and Parties experienced difficulties under all 	

⁶ Two amounts (one from affected and one from developed country Parties) were considered out of range and therefore not included in the calculation.

Element of reporting process	Feedback	Recommendations for action by CRIC 11
	three options.	
<p>Human resources</p> <p>Total number of persons involved in the reporting 2,810 (4,873 person days)</p>	<p><u>Feedback from reports submitted</u></p> <p>Altogether 2,810 persons were involved in the reporting. On average, 47 persons in affected country Parties (more or less the same as in 2010) and 12 in developed country Parties (2.4 times less than in 2010).</p> <p>On average 82 person days in affected country Parties (almost the same as during the 2010 reporting process), and 55 person days for developed country Parties (almost half compared to 2010) were dedicated to the reporting process.</p> <p>Three subregional entities that submitted their reports involved 5 persons and dedicated 70 person days in total for the reporting process, which represents 23 person days per entity.</p> <p>The GM involved 15 persons and dedicated 7 person days for the reporting process while in the secretariat 21 persons worked on the report with 103 person days.</p> <p>The GEF involved 5 persons and dedicated 25 person days for the reporting process.</p> <ul style="list-style-type: none"> Parties find it necessary to rely on trained staff for the reporting process. Due to staff turnover, additional training should be offered as needed. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Since the reporting process requires historical knowledge and skills with online reporting, changes of NFPs during the reporting year prevent countries from meeting their reporting obligations. Reporting is a complex coordination process that requires more human resources. Data is not organized and in some cases not even digitalized which requires an extra effort with data compilation. The optimal time necessary for preparation of the report varied from 6 to 12 months. The capacity of the RCUs should be strengthened: a local expert on reporting issues should coordinate the assistance with the Reference Centres. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> The secretariat should further clarify, both in the templates and in the reporting guidelines, the methodology to be used in compiling the information required for the human resources employed in the reporting process. The secretariat should increase the built-in validation checks of the PRAIS portal. Development partners and financial institutions, primarily the GEF, should consider providing financial support to developing countries for data collection. The secretariat and the GM should establish a procedure allowing for cross-checking of data with focal points before the report is submitted. The CRIC, taking into consideration the scheduling of its intersessional meetings, should consider providing Parties with sufficient time for systematic data collection, quality control and validation of reports.

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
Knowledge	<p><u>Feedback from reports submitted</u></p> <p>Sufficient scientific and technical knowledge for reporting was available to 63 per cent of countries. While only one developed country Party could not count on sufficient scientific and technical knowledge, in the case of affected country Parties it was 27 per cent.</p> <p>One subregional entity that reported was not satisfied with the scientific and technical knowledge it had to report on.</p> <ul style="list-style-type: none"> Parties find it important to establish a national information system for reporting that would ensure continuity in the reporting process. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Limited personnel with experience in sustainable land management (SLM) issues. Difficulty in involving those institutions and individuals who have sufficient knowledge of SLM matters, in the reporting exercise. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> Parties should consider establishing, improving and making use of national environmental monitoring systems for reporting under the Convention.
Coordination	<p><u>Feedback from reports submitted</u></p> <p>In total, 75 per cent of all Parties that submitted reports were satisfied with the coordination with the relevant ministries in the reporting exercise..</p> <p>Two out of three subregional entities considered that, at the subregional level, coordination with the relevant affected country Parties was satisfactory. Two of them nevertheless reported that collaboration with regional committees, where established, was not fully developed. However, both of them liaised and coordinated with the respective UNCCD RCU during the reporting process.</p> <ul style="list-style-type: none"> Parties especially pointed out the lack of coordination among relevant stakeholders and financing institutions. Close cooperation with rural communities was found important. It was noted that insufficient information sharing between the government sectors could lead to the possible omission of some projects in the reports. Lack of commitment. <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> Lessons learned from other countries in the region or elsewhere as regards 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> Parties should consider improving internal coordination, including with local communities, civil society and other relevant stakeholders, in order to improve data collection needed to meet the reporting obligation. The RCUs should facilitate the compilation and sharing of lessons learned regarding the coordination and participation at the national level. <p>(See below for further recommendations relating to subregional and regional processes.)</p>

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	<p>coordination at national level would be welcomed.</p> <ul style="list-style-type: none"> • Obligations of other institutions responsible for UNCCD implementation have not been formally defined. • Due to the vast geographic area of some countries, adequate coordination could not be ensured. 	
Participation and consultation	<p><u>Feedback from reports submitted</u></p> <ul style="list-style-type: none"> • Time constraints represented a challenge during the 2012 reporting cycle and it was not possible to involve all stakeholders and/or organize a national meeting. <p><u>Feedback from the survey of non-reporting countries</u></p> <p>No further comments provided.</p>	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The CRIC should consider granting additional time to national reporting. 2. Parties should consider allocating sufficient resources from the GEF enabling activities to internal coordination, particularly in terms of data sharing.
Validation meeting	<p><u>Feedback from reports submitted</u></p> <p>Validation meetings as a tool for integrating stakeholders in the reporting process were used by 57 per cent of countries. 28 per cent of countries did not hold such meetings.</p> <p>Two out of three subregional reports were validated by the affected country Parties of each respective subregion.</p> <p><u>Feedback from the survey of non-reporting countries</u></p> <ul style="list-style-type: none"> • Due to time constraints some Parties were not able to hold the validation meeting. 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. Affected country Parties should consider conducting national validation workshops or implementing similar mechanisms for internal coordination. 2. Development partners and financial institutions, primarily the GEF, should consider providing financial support to ensure the required internal coordination for national reporting.

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
Subregional and regional processes	<p><u>Feedback from reports submitted</u></p> <p>40 affected reporting country Parties (57 per cent) cooperated with preparing SRAP/RAP reports, 19 countries (27 per cent) did not cooperate.</p> <p>No subregional entity that submitted its report cooperated with the institutions entrusted with preparing the RAP report. However, two subregional entities provided support to the countries of their respective subregions in the preparation of their national reports.</p> <ul style="list-style-type: none"> • Parties commented that lack of time hampered cooperation between NFPs and the institutions entrusted with preparing the SRAP/ RAP reports since they were preoccupied with their national reporting. • Parties call for more capacity in order to prepare SRAP/RAP reports and to align the SRAP/RAP with The Strategy. Capacity- building should mainly address partners from other institutions in order to better understand their role in the process. • In some cases NFPs are not fully aware of all the activities undertaken in their respective region/subregion. Parties also acknowledged a lack of mutual coordination. <p><u>Feedback from the survey of non-reporting countries</u></p> <p>No specific comments provided.</p>	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. Parties should consider increasing their cooperation at the subregional and regional levels with regard to reporting on SRAPs and RAPs, both among themselves and with the subregional and regional entities. 2. Development partners and financial institutions, primarily the GEF, should provide support to subregional and regional reporting for entitled countries, including training of relevant stakeholders. 3. The CRIC should consider providing more time for the subregional and regional reporting process, taking into consideration the coordination required for such a process. 4. Parties should consider involving the regional committees, where established, in the subregional and regional reporting, and seek assistance from the RCU as required.

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
<p>PRAIS portal</p>	<p><u>Feedback from reports submitted</u></p> <p>In total 57 per cent of countries experienced some kind of technical difficulties. Of those affected country Parties that experienced difficulties with the PRAIS portal, the majority of countries (90 per cent) found the complexity of the system to be problematic. Difficulties in getting access credentials and slow internet accessibility to the PRAIS portal were also experienced by over 82 per cent of the countries.</p> <p>Almost a half of developed country Parties identified getting access credentials and the complexity of the system as major difficulties. One third of the countries had problems with slow internet access.</p> <p>Only one subregional entity experienced difficulties with the PRAIS portal.</p> <p>The GM experienced difficulties in using the PRAIS portal and found all three kinds of difficulties described above very important. Furthermore, the GM dealt with a slow and complicated comma separated values (csv) file upload.</p> <p>The GEF also experienced difficulties using the PRAIS (slow internet access and complexity of the system).</p> <ul style="list-style-type: none"> • Some Parties noted technical issues relating to the user-friendliness of the PRAIS portal and suggested that a readable printout as well as a summary the information reported on should be made available. • Since some information provided in the previous reporting cycle in 2010 may still be valid (e.g. existing knowledge management systems, projects/programmes/initiatives listed in the SFA/PPS) it would be useful to be able to copy and/or adjust information reported in previous years. • The warnings automatically generated during the submission process of the report were not found very useful • Many Parties had difficulties with uploading the csv files and saving information on impact indicators. • Some Parties would still welcome training in online reporting. <p><i>Templates and supporting tools:</i></p> <ul style="list-style-type: none"> • Online templates are not identical with those in pdf format. • Templates for those Parties being both affected and developed should be 	<p><u>Recommendations made to CRIC 11</u></p> <ol style="list-style-type: none"> 1. The secretariat should continue working on making the PRAIS portal more user-friendly, taking into account the feedback provided by Parties. 2. The secretariat should improve the layout of report printouts generated from the PRAIS portal, which should include information provided in previous reporting exercises and a summary. 3. Due to turnover of officers in charge of reporting at national level, the secretariat should ensure that continuous global and /subregional training is provided. 4. The secretariat should simplify reporting guidelines to the extent possible. 5. The secretariat should ensure that the reporting templates for both affected and developed country Parties are fully coherent. 6. The secretariat should make offline reporting templates available to countries experiencing serious internet connection problems. 7. The secretariat should improve the quality of the translation of the reporting tools.

<i>Element of reporting process</i>	<i>Feedback</i>	<i>Recommendations for action by CRIC 11</i>
	<p>customized in order to avoid repetition and to ensure that financial assistance provided to affected country Parties and financial resources used at the national level are reported together.</p> <ul style="list-style-type: none"> • The GEF considers the level of detail required inappropriate for itself as a financial mechanism. 	
	<p><u>Feedback from the survey of non-reporting countries</u></p>	
	<ul style="list-style-type: none"> • Parties that have recently become members of the OECD still have to clarify with the Ministry of Foreign Affairs their responsibility as an affected and developed country Party at the national level. • Further training at the regional level would be appreciated, especially once a new NFP is appointed. • Translation, especially in Spanish language, should be improved. • Templates should be simplified. • Understanding of indicators should be improved. • Offline templates should be made available. • Manual is not user-friendly and should be improved. • Help desk queries were not answered in time. • As deadlines approached for the submission of reports, the portal became overloaded, thus causing breakdowns. • Difficulties with map/file attachments. 	

VI. Conclusion and recommendations

12. For the second leg of the fourth reporting cycle many technical and methodological innovations were introduced into the reporting tools, following past COP decisions on the iterative process.

13. For the first time, during the 2012–2013 reporting and review exercise, Parties reported on a refined set of performance indicators, using simplified reporting templates and improved methodologies and definitions. Affected country Parties had the opportunity to report and hence also to provide feedback on the set of impact indicators provisionally adopted by the COP.

14. The evaluation of indicators was primarily undertaken against the e-SMART criteria. Furthermore, reporting entities provided specific comments on indicators, SFA/PPS and various aspects of the reporting process. This information resulted in an improved understanding of the challenges faced by Parties when trying to comply with their reporting obligations.

15. The provisional recommendations contained in this document emanate from an analysis of the feedback received from Parties and other reporting entities. They target institutions and subsidiary bodies of the Convention, as well as affected and developed country Parties, financial institutions and the GEF.

16. Parties at CRIC 11 may wish to consider:

(a) The detailed recommendations given by indicator and/or related reporting issue as listed in tabular form under the column *Recommendations for CRIC 11* in chapters II, III, IV and V above, with a view to deriving from them elements for draft decisions for consideration at CRIC 12;

(b) Establishing mechanisms whereby the final recommendations of the CRIC, where pertinent, are transmitted for consideration to the IWG on the mid-term evaluation of The Strategy and the Bureau of the COP.

Annex I

[English only]

Evaluation of difficulties experienced by reporting entities with impact indicators based on e-SMART criteria⁷

1. The average response rate of affected country Parties to the e-SMART questions for the metric “Poverty rate” (associated with the indicator “Proportion of population below the poverty line”) was 85 per cent. The conclusions can therefore be considered representative (table 1). The mean value is 3.2, suggesting moderate support for the overall effectiveness for this indicator. The achievability of the indicator is limited by difficulties in collecting data specific for affected and rural areas; this would require substantial investments as monitoring systems are not always in place. Due to the effects of other determinants of poverty and/or data gaps, changes in the value of this indicator cannot be directly attributed to DLDD and /or UNCCD implementation; therefore caution needs to be taken in the interpretation of the results.

Table 1
Metric “Land cover” associated with the indicator “Land cover status”

	Question asked ^a	Number of respondents (out of 71)	Percentage of total	Mean
<i>Economic</i>	<i>Q1</i>	56	78.9	3.0
<i>Specific</i>	<i>Q1</i>	57	80.3	3.4
	<i>Q2</i>	59	83.1	3.3
<i>Measurable</i>	<i>Q1</i>	59	83.1	3.7
	<i>Q2</i>	59	83.1	3.4
<i>Achievable</i>	<i>Q1</i>	61	85.9	2.8
	<i>Q2</i>	60	84.5	2.7
<i>Relevant</i>	<i>Q1</i>	62	87.3	3.1
	<i>Q2</i>	62	87.3	3.6
	<i>Q3</i>	59	83.1	3.6
<i>Time-bound</i>	<i>Q1</i>	57	80.3	3.1
	<i>Q2</i>	61	85.9	3.1
Overall average values:			83.6	3.2

^a Specific questions asked for each of the e-SMART criteria were as follows:

- Economic: Q1 - Is the indicator cost-effective? Is the cost of data collection affordable and worthwhile? (consider any required cost for personnel, capital but also, recurring costs)
- Specific: Q1 - Is the indicator based on well-understood and generally accepted conceptual models of the system to which it is applied so that changes in its value will have

⁷ The e-SMART assessment benefits from the inputs provided by the United Nations Environment Programme's World Conservation Monitoring Centre (UNEP-WCMC) in the framework of the GEF umbrella project “Support to GEF Eligible Parties for Alignment of National Action Programs and Reporting Process under UNCCD”.

clear meaning regarding the process of concern?; Q2 - Is the requested spatial scale (national vs. affected areas) of the indicator appropriate for its monitoring purposes?

- Measurable: Q1 - Are the definitions of the indicator and its constitutive elements clear and unambiguous?; Q2 - Are the proposed methodologies for the measurement of this indicator sufficiently clear to ensure reliable data?

- Achievable: Q1 - Are reliable data and monitoring systems available to assess trends and is data collection a relatively straightforward process?; Q2 - Is the frequency of data collection in line with the monitoring and reporting requirements of the UNCCD?

- Relevant: Q1 - Does the indicator provide information about changes in primary processes that are unambiguously related to DLDD and UNCCD implementation?; Q2 - Is the indicator relevant for DLDD national planning purposes, including monitoring of the national action programme (NAP)?; Q3 - Can policymakers easily understand the indicator?

- Time-bound: Q1 - Is the indicator sensitive enough to detect important changes but not so sensitive that signals are masked by natural variability?; Q2 - Can the indicator detect changes at the required temporal and spatial scales and are the up-scaling / cross-scaling rules clear?

2. The average response rate for the metric “Land cover” (related to the impact indicator “Land cover status”) was 75 per cent (table 2). The conclusions can therefore be considered representative. The mean value is 3.5, suggesting moderate to good support for the overall effectiveness of this indicator. Although monitoring systems for measuring this indicator largely exist, methodologies are not standardized across countries and ground verification remains essential. The latter, coupled with the need, in some cases, for trained personnel and/or external expertise, increases the financial costs for the application of this indicator. The indicator needs to be supplemented by additional information so that changes in its value can be correctly attributed to DLDD and in order to enable policymakers to understand the economic and social implications of land cover change over time.

Table 2
Metric “Land cover” associated with the indicator “Land cover status”

	<i>Question asked</i>	<i>Number of respondents (out of 71)</i>	<i>Percentage of total</i>	<i>Mean</i>
<i>Economic</i>	<i>Q1</i>	52	73.2	3.0
<i>Specific</i>	<i>Q1</i>	53	74.6	3.8
	<i>Q2</i>	53	74.6	3.6
<i>Measurable</i>	<i>Q1</i>	52	73.2	3.8
	<i>Q2</i>	51	71.8	3.5
<i>Achievable</i>	<i>Q1</i>	53	74.6	2.8
	<i>Q2</i>	53	74.6	2.6
<i>Relevant</i>	<i>Q1</i>	54	76.1	3.9
	<i>Q2</i>	55	77.5	4.1
	<i>Q3</i>	53	74.6	3.7
<i>Time-bound</i>	<i>Q1</i>	50	70.4	3.4
	<i>Q2</i>	52	73.2	3.4
Overall average values:			74.0	3.5

3. For the metric “Land productivity” (related to the impact indicator “Land cover status”) the average response rate of Parties was 58 per cent (table 3). The conclusions to be drawn from this indicator should therefore be viewed with some caution as they represent just over half of the Parties responding. The mean value is 3.2, suggesting moderate support for the overall effectiveness for this indicator. The methodology for the measurement of this indicator is considered rather complex. Furthermore the definition of the indicator and of its constitutive elements is not always clear. As factors other than DLDD might influence this indicator, caution needs to be taken when interpreting the results.

Table 3
Metric “Land productivity” associated with the indicator “Land cover status”

	<i>Question asked</i>	<i>Number of respondents (out of 71)</i>	<i>Percentage of total</i>	<i>Mean</i>
<i>Economic</i>	<i>Q1</i>	40	56.3	2.8
<i>Specific</i>	<i>Q1</i>	41	57.7	3.3
	<i>Q2</i>	41	57.7	3.3
<i>Measurable</i>	<i>Q1</i>	39	54.9	3.5
	<i>Q2</i>	40	56.3	3.3
<i>Achievable</i>	<i>Q1</i>	41	57.7	2.7
	<i>Q2</i>	40	56.3	2.6
<i>Relevant</i>	<i>Q1</i>	43	60.6	3.8
	<i>Q2</i>	42	59.2	3.7
	<i>Q3</i>	41	57.7	3.2
<i>Time-bound</i>	<i>Q1</i>	37	52.1	3.0
	<i>Q2</i>	40	56.3	3.2
<i>Overall average values:</i>			57.6	3.2

Table 4
Number of affected country Parties that experienced difficulties with reporting on impact indicators under strategic objective 4

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>ACP</i>
<i>SO4-3</i>	5	11	10	6	7	7	22
<i>SO4-4</i>	5	7	4	5	4	5	17
<i>SO4-6</i>	3	11	8	9	6	8	22
<i>SO4-7</i>	4	7	7	11	8	4	19
<i>Particular aspect of indicators (total)</i>	17	36	29	31	25	24	---

Table 5
Number of developed country Parties that experienced difficulties with reporting on impact indicators under strategic objective 4

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>DCP</i>
<i>SO4-2</i>	1	3	1	0	0	0	3
<i>SO4-4</i>	0	0	0	0	0	0	0
<i>SO4-6</i>	0	1	0	1	1	0	2
<i>SO4-7</i>	1	1	1	1	1	2	2
<i>Particular aspect of indicators (total)</i>	2	5	2	2	2	2	---

Table 6
Number of subregional entities that experienced difficulties with reporting on impact indicators under strategic objective 4

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>TSRAP</i>
<i>SO4-3</i>	1	0	0	1	0	0	2
<i>SO4-6</i>	0	1	0	1	0	0	2
<i>SO4-7</i>	0	0	0	0	0	1	1
<i>Particular aspect of indicators (total)</i>	1	1	0	2	0	1	---

Table 7
Number of non-reporting entities⁸ that experienced difficulties with reporting on impact indicators

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>ACP</i>
<i>S-(1/2/3)-III</i>	4	2	7	3	1	2	10
<i>S-5-IX</i>	5	3	5	2	2	2	9
<i>SO4-3</i>	4	3	6	5	3	3	13
<i>SO4-4</i>	4	3	6	3	2	1	10
<i>SO4-6</i>	5	7	3	3	1	3	11+1 SRAP
<i>SO4-7</i>	4	4	2	1	2	3	8
<i>Particular aspect of indicators (total)</i>	26	22	29	17	11	14	---

⁸ None of the developed country Parties nor any of the regional action programme entities evaluated impact indicators based on the e-SMART criteria.

Annex II

[English only]

Evaluation of difficulties experienced by reporting entities with performance indicators based on e-SMART criteria

Table 1
Number of affected country Parties that experienced difficulties with reporting on performance indicators

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>ACP</i>
<i>CONS-O-1</i>	18	10	30	20	11	11	40
<i>CONS-O-3</i>	15	14	18	19	14	6	36
<i>CONS-O-4</i>	14	17	19	18	10	9	37
<i>CONS-O-5</i>	9	9	8	7	6	10	24
<i>CONS-O-7</i>	11	13	15	14	8	13	30
<i>CONS-O-8</i>	8	11	10	13	6	9	27
<i>CONS-O-9</i>	6	13	13	7	5	7	23
<i>CONS-O-10</i>	9	15	12	8	5	11	28
<i>CONS-O-11</i>	8	13	17	7	6	5	25
<i>CONS-O-13</i>	9	10	13	10	11	4	27
<i>CONS-O-14</i>	11	9	8	12	9	5	26
<i>CONS-O-16</i>	11	6	10	10	8	5	30
<i>CONS-O-17</i>	12	13	12	9	11	11	30
<i>CONS-O-18</i>	10	13	12	11	9	8	30
<i>Affected country Parties</i>	30	33	37	35	26	26	---

Figure 1
Evaluation of difficulties experienced by affected country Parties with performance indicators based on e-SMART criteria

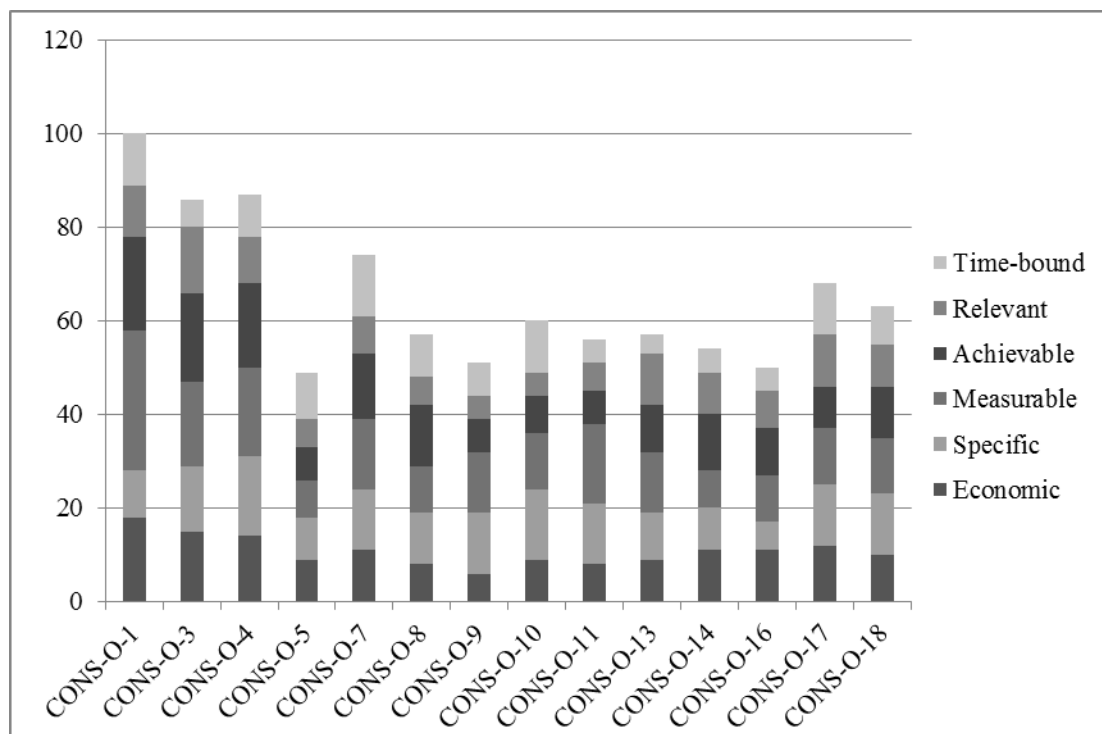


Table 2
Number of developed country Parties that experienced difficulties with reporting on performance indicators

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>DCP</i>
<i>CONS-O-1</i>	2	2	4	3	2	2	5
<i>CONS-O-3</i>	2	2	2	1	1	1	4
<i>CONS-O-4</i>	3	1	4	1	1	2	5
<i>CONS-O-6</i>	1	1	1	0	1	0	3
<i>CONS-O-7</i>	1	2	0	1	0	0	3
<i>CONS-O-8</i>	1	1	0	0	0	0	2
<i>CONS-O-11</i>	0	0	1	1	0	0	2
<i>CONS-O-13</i>	1	2	2	0	1	0	3
<i>CONS-O-14</i>	0	0	0	0	0	0	0
<i>CONS-O-15</i>	1	1	1	1	0	0	2
<i>Developed country Parties</i>	3	3	4	4	3	2	---

Figure 2

Evaluation of difficulties experienced by developed country Parties with performance indicators based on e-SMART criteria

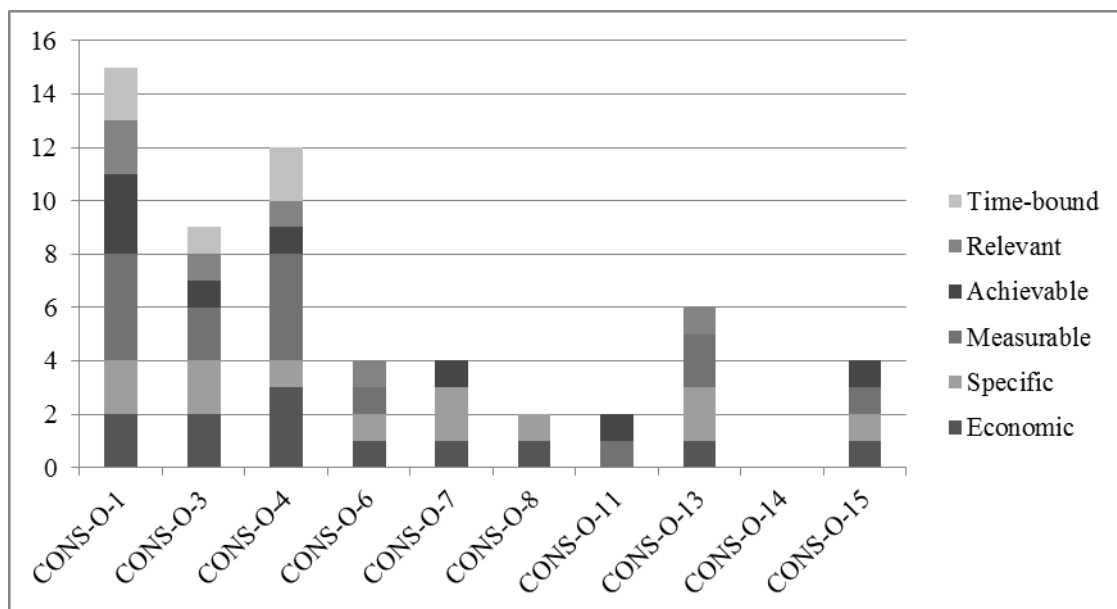


Table 3

Number of subregional entities that experienced difficulties with reporting on performance indicators

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>SRAP total</i>
<i>CONS-O-1</i>	1	0	0	1	0	1	1
<i>CONS-O-3</i>	0	0	0	0	0	1	1
<i>CONS-O-4</i>	1	0	0	0	1	0	2
<i>CONS-O-5</i>	0	0	0	0	1	1	2
<i>CONS-O-7</i>	0	0	0	1	1	0	1
<i>CONS-O-8</i>	1	0	0	1	0	1	1
<i>CONS-O-10</i>	0	0	1	0	0	0	1
<i>CONS-O-11</i>	0	0	0	0	0	0	0
<i>CONS-O-13</i>	0	0	0	0	0	0	0
<i>CONS-O-14</i>	0	0	1	1	0	0	1
<i>CONS-O-16</i>	0	0	1	0	0	0	1
<i>CONS-O-17</i>	0	0	1	0	0	0	1
<i>CONS-O-18</i>	0	0	1	0	0	0	1
SRAP	1	0	1	2	1	2	---

Figure 3
Evaluation of difficulties experienced by subregional entities with performance indicators based on e-SMART criteria

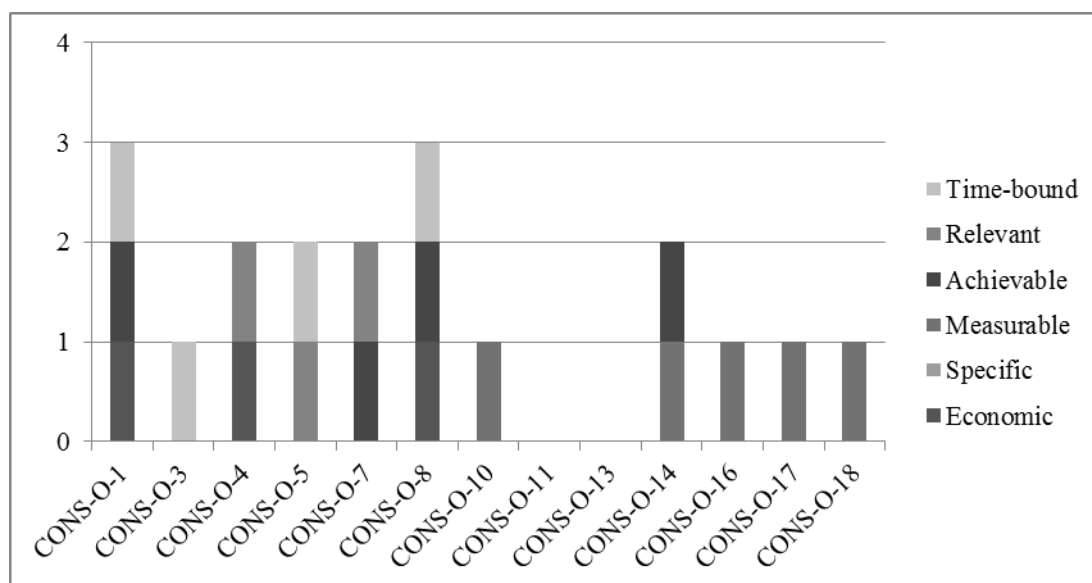


Table 4
Number of non-reporting country Parties⁹ that experienced difficulties with reporting on performance indicators

	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>	<i>ACP</i>
<i>CONS-O-1</i>	7	5	12	3	5	4	17
<i>CONS-O-3</i>	4	6	4	3	3	5	12
<i>CONS-O-4</i>	7	5	4	6	4	3	14
<i>CONS-O-5</i>	8	2	1	3	2	3	10
<i>CONS-O-7</i>	4	6	3	3	2	4	12
<i>CONS-O-8</i>	8	7	3	6	3	6	15
<i>CONS-O-9</i>	6	6	6	4	3	5	13
<i>CONS-O-10</i>	10	6	5	4	4	2	13
<i>CONS-O-11</i>	10	7	6	5	4	4	15
<i>CONS-O-13</i>	6	3	4	2	3	5	10
<i>CONS-O-14</i>	8	7	2	1	4	7	14
<i>CONS-O-16</i>	8	5	4	3	2	2	12
<i>CONS-O-17</i>	7	4	5	3	3	3	10
<i>CONS-O-18</i>	10	5	5	6	3	3	15
Particular aspect of indicators (total)	103	74	64	52	45	56	---

⁹ None of the developed country Parties or subregional or regional action programme entities evaluated performance indicators based on e-SMART criteria.

Figure 4

Evaluation of difficulties experienced by non-reporting entities with performance indicators based on e-SMART criteria

