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改进信息通报程序问题特设
工作组的报告

改进信息通报程序问题特设工作组的报告

秘书处的说明 *

增 编

争取实现统一和标准化：关于改进《联合国防治荒漠化公约》之下
财务报告的拟议方法指南

概 要

本报告由全球机制编写并提交给了特设工作组，该工作组是根据第 8/COP.7 号决定设立的，目的是改进信息通报程序(尤其是国家层级的程序)，以及改进《公约》执行情况报告的质量与格式。报告建议了一个可用来改进《联合国防治荒漠化公约》之下财务报告的方法指南。该指南是与几个缔约国和伙伴组织协商制订的，借鉴了从近期对国际农业发展基金等主要国际金融机构的可持续土地管理综合办法进行的审议中得出的经验教训。

* 本文件迟交是为了得到工作组成员的必需反馈。

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一、导 言

1. 在第8/COP.7号决定中，缔约方会议决定在第三个报告周期完成后决定设立一个特设工作组，以“改进尤其是国家层次的信息通报程序和关于《公约》执行情况报告质量及格式”。

2. 特设工作组的任务是，就报告方面的简明、一致的报告程序和格式向缔约方会议提出指导意见，使其能应对下述需要：

- (a) 提供更具实质性的信息，说明在成绩和制约因素方面所汲取的教训，说明最佳做法和最有效办法，并说明对所采取的方法及行动和所取得成果的影响评估；
- (b) 加强可靠的标准化定性数据与资料的收集与普及，说明土地退化与防治荒漠化的状况以及为执行《公约》所采取的行动；
- (c) 列入可比较、相容和协调的数据和信息，说明为执行《公约》所提供的支持(这适用于发达国家缔约方、联合国机构和其他政府间组织提交的报告)。

3. 特设工作组由《公约》缔约方的25名代表组成，代表由区域集团提名。《公约》执行情况审评委员会(审评委)主席、科学和技术委员会(科技委)主席以及全球机制的1名代表担任特设工作组的顾问。

4. 鉴于特设工作组的机构角色是收集和传播资源筹集方面的信息并就可资利用的财务资源、财务需要和资金流量向国家缔约方提供咨询，因此需由全球机制向特设工作组提供信息和较咨询意见。具体而言，全球机制要对改进《联合国防治荒漠化公约》的报告程序(称为“帮助指南”)做出贡献，“帮助指南”已由缔约方会议第11/COP.1号决定通过，尤其是为了确保科学和技术委员会与全球机制均能获得履行其职责所必需的资料和数据。

5. 本文件阐述全球机制向特设工作组提出的精简和改进《荒漠化公约》之下财务报告的建议。

二、报告的问题

6. 就报告在实质性内容、涵盖面和质量方面程度不同问题、报告跨时间的可

比性问题、捐助国和受援国报告之间的不一致问题、缺乏基准和可加以衡量的影响指标问题、编写国家报告的时间/资金不足等问题，国家缔约方和《荒漠化公约》附属机构提出了若干讨论事项。ICCD/CRIC(5)/9号文件载有对以前的报告周期内在编写国家报告时遇到的技术问题的说明。

7. 财务信息的低质量已被确定为一项主要关注问题。与这一问题有关联的是，缺乏严格的报告程序，以便对相关活动的确定与分类提供指导。鉴于缺乏连贯性地确定和监测与《荒漠化公约》相关活动的准确方法，前三次《荒漠化公约》报告周期提交的报告很少以详细的资料说明可资利用的财务资源、财务需要和相关的投资流量。

8. 另一个被确定为主要问题的是，在共同资助的项目情形中、以及在涉及不止一个单一政策目标、里约公约或农业气候领域的项目方面存在重复计算问题。

9. 发达国家和发展中国家提交的报告在国内资源与官方发展援助混合融资的活动方面存在重大出入。发达国家缔约方一般比发展中国家缔约方报告更加详细的量化数据。然而，在某些情形中，在与《荒漠化公约》相关的官方发展援助方面，发达国家向《荒漠化公约》和向经合组织发展援助委员会提交的报告之间也存在出入。

三、成熟的解决方案和最佳做法

10. 由于国家报告是审评每个国家缔约方和整个区域的《公约》执行情况的一个重要手段，审评委第五届会议建议打造“第二代”报告，新一代报告尤其将促进：

- (a) 立足指标、具有时间参照系的、标明所涉地域的报告；
- (b) 跨时间、国家间的可靠数据和信息收集；
- (c) 捐助方和受影响国家的报告之间的财务信息可比性；
- (d) 推广最佳做法和双赢措施。

11. 在审评委第五届会议期间于2007年3月17日和3月20日举行的特设工作组会议上，全球机制建议适当考虑最先进的国家报告实例和不同国家和组织迄今已进行的项目组合审评。为找到上述问题的解决办法，汲取经验教训、以现有的报告体系为基础、充分利用最佳做法、协调和简化各种方法以及拓展与其他公约和类似的报告程序之间的协同作用，看来是合乎逻辑、切实可行的做法。

12. 全球机制散发了最佳做法和方法策略的实例，特设工作组可在此基础上加

以拓展，以便简化和协调报告程序，同时改善有关已投入的资源和所取得的结果方面的财务信息的质量与使用便利。全球机制还提出了一些具体的建议供特设工作组考虑，还与国家缔约方和其他伙伴组织进行了协商，以促进分享可对报告提供便利的现有方法、信息系统和技术方面的知识诀窍。

13. 这一策略与联合国全系统一致性问题高级别小组的题为“一体行动，履行使命”的报告所列的下述建议相吻合：通过减轻报告负担、简化执行、合理进行知识管理和制订连贯的方法策略以供衡量执行与遵守情况等方式，实现向多边环境协定提交报告的效率与成本削减。¹

14. 为专门解决对相关项目按照其涉及《公约》目标的相关程度进行定级这一难题，几个国家缔约方近年来使用了名为“里约指标”的方法，该方法是经合组织发展援助委员会秘书处与里约三公约秘书处协商制订的。附件一载有对该方法的简要概述。正如里约三公约执行秘书处的一封联名信中指出的，² 里约指标“可作为简化缔约方根据里约公约的要求报告与援助相关活动的基础，从而保证了具有一致性数据的提供并避免了重复报告”。此外，这些指标“可使捐助国在履行报告承诺的同时使用发展援助委员会的统计数据，而不必单独去收集同样的资料”。在回答《荒漠化公约》秘书处为筹备特设工作组会议散发的调查表时，若干国家指出，“使用里约指标可帮助发达国家缔约方协调各种格式，这也是因为要考虑到这些缔约方须向一个以上里约公约提交报告。”(ICCD/CRIC(5)/9)。

15. 一些组织和里约公约附属机构最近进行的几项研究承认，里约指标使它们能进行可靠而有意义的比较分析。³ 不过，另外也有几项研究⁴ 则指出了需加以考虑、如有可能需加以解决的里约指标的一些不足之处和问题。

¹ “一体行动，履行使命：联合国全系统在发展、人道主义援助和环境领域的一致性问题高级别小组的报告”(联合国大会第 61/583 号决议，2006 年 11 月)。

² 2004 年 1 月 30 日约克·瓦勒尔-亨特女士(《联合国气候变化框架公约》)、哈马·阿尔巴·迪亚洛先生(《联合国防治荒漠化公约》)和哈姆德拉·泽丹先生《联合国生物多样性公约》致经合组织/发展援助委员会主席曼宁先生的联名信。

³ 包括：“Report on the case study on desertification-related aid”(OECD, 2003); “Financial cooperation, Rio Conventions and common concerns”(RECIEL, 2005); “Resource mobilization and the status of funding of activities related to land degradation”(GEF-GM, 2006)。

⁴ “EU compilation of national reports on the implementation of the UNCCD, with a focus on developing countries in Africa”(2005)。

16. 关于需在报告中列入详细的财务信息，全球机制建议采用一种标准格式的**财务附件**，用来列出与执行《公约》相关的所有正在进行中的和已完成的方案与项目。这种附件要附于受影响国家缔约方、发达国家缔约方、联合国机构、非政府组织和其他政府间组织的报告中。过去，一些国家缔约方、特别是发达国家使用了不同格式来列出相关项目。附件二提供了可供特设工作组考虑的一个简化的标准格式样本。如果长时间连贯使用，标准财务附件可避免重复工作并可减轻国家联络中心和须向《荒漠化公约》提交报告的其他组织的报告负担。此外，这些附件可作为进行可靠的财务分析的基础，用来支持对《公约》执行情况进行的审评工作和对国家与国际层级的相关政策制定过程提供资讯。

17. 为此目的，根据缔约方会议赋予的权责，⁵ 全球机制正在维护一套相互关联的、与执行《公约》相关的可资利用的财务资源、财务需要和项目目录。以一个名为“FIELD“(土地退化问题融资信息搜索引擎)的综合数据库形式加以组织的这些目录，主要通过国家缔约方和其他组织向《荒漠化公约》提交的报告中提供的资料加以更新。此外，全球机制还制订了一系列最先进的工具和方法，为从现有的信息系统中(如，经合组织的贷方报告制度(CRS)、发展门户的官方发展援助活动目录(AiDA)、国际农业发展基金(农发基金)的项目执行情况监测制度(PPMS)等)收集数据提供便利。这些数据收集工具，以及“FIELD”的知识管理平台 and 全球机制在财务分析和全球报告方面的经验，都可供《荒漠化公约》有关方面作为减轻国家报告负担的工具加以使用。

18. 为回应最大程度地减少发展中国家和发达国家报告的数字之间的不一致这一具有关键性的需要，全球机制建议采用**协调方法**，确定在发展和环境项目这一更大集合中与执行《公约》相关的活动并对其加权。大体上说，这是有待处理的最困难的任務，因为迄今注意到的报告异质性的根源是对《公约》采用的定义有不同的解释。下文阐述在从审评主要国际金融机构的可持续土地管理综合做法中汲取的近期经验教训基础上提出的采用协调方法的建议。

19. 最后的一个要点是，全球机制建议了一系列**配套措施**，用来改进报告过程的组织和信息通报程序。简要言之，包括下述建议：

⁵ 根据《联合国防治荒漠化公约》第二十一条和第 24/COP.1 号决定。

- (a) 建立兼容的信息系统、数据库或程序，以在国家一级收集相关信息并监测资金流量(例如，提供专门培训和能力建设；使用或改造现有信息系统和/或基于互联网的网络；以及制定项目选择工具)；
- (b) 使所有区域的报告周期之间的时间间隔实现同步，以便于进行跨国比较和趋势分析；
- (c) 以现有方法和里约指标等办法为基础，协调里约公约下的各种报告体系；
- (d) 改进发达国家和受影响发展中国家的联络中心之间在编写国家报告过程中的通报和协商(例如，通过同行评审的方式)，以便最大程度地减小不一致并避免报告过度或报告不足问题；
- (e) 加强全球机制和《荒漠化公约》秘书处之间在编撰载于国家报告之中的发达国家缔约方和受影响的发展中国家缔约方所筹集资源方面的信息概要过程中的合作。

四、项目或活动组合审评方法

20. 农发基金最近对 1999 年和 2005 年之间该基金批准的大约 900 项贷款和赠款进行了透彻的审查，以便准确地确定项目组合中涉及《荒漠化公约》目标的比例。为进行这一审查，农发基金与全球机制合作制定了一个创新性方法，该方法把一些项目选择标准和分类办法结合在一起，其中包括里约指标、全球机制相关活动代码、⁶ 以及全球环境基金(环境基金)使用的质量分析。⁷

21. 项目组合审评中使用的这种方法的价值在于，它提供了一个框架，用来判定项目/方案以及国家战略中与《荒漠化公约》相关目标的强度。农发基金提请注意，由于土地退化现象的复杂性以及社区政策应对措施的多面性，确定有哪些项目和活

⁶ 相关活动代码源于《公约》条文并不断由全球机制进行更新。相关活动代码目前包括 60 多种，分列在四个主要领域下：监测和研究、规划和风险管理、缓解与恢复、以及紧急应对措施。这些类别取自美国国家干旱政策委员会 2000 年 5 月发表的题为“为 21 世纪干旱做好准备”的报告并作了改动。附件三载有相关活动代码的最新清单。

⁷ “Selection criteria, strength rating and quality analysis” (Annex 1 to the GEF Council document “Status of Land Degradation as a cross-Cutting Issue under GEF.3”, 19 October 2004. Ref. GEF/C.24/Inf.6)。附件四载有对该方法的描述。

动仅仅是为防治荒漠化目的而开展的，这是件极具挑战性的任务。⁸ 该基金还强调，需要随着时间的推移逐步完善这一方法，以便最大程度地减少对相关度的主观解释并增加确定一项活动涉及《荒漠化公约》目标的比例的准确性。

22. 农发基金项目组合审查所采用的方法(与欧盟委员会对 2004 年提交的报告所使用的方法相类似)包括在以下几节中描述的步骤。

A. 步骤 1. 收集基本数据

23. 第一步，有必要从各组织现有数据库、项目文件和其他设计文件或外部资料来源收集所有可能相关的项目和活动方面的可得资料，以及/或确定这些资料的所在之处。只有在理想的情况下，与防治荒漠化相关项目的所有相关信息才都可在一个中央数据库中获得。通常，这方面的信息不易获得，而且常常分散在几个信息系统之中和官方资料与数据所有者手中。例如，农发基金专门建立了一个数据库，将从不同文件储存处获得的不同格式的资料融汇在一起。一旦确定了所有资料来源，从对现有文献进行的审查中可初步选择出相关的项目或活动。对于电子格式资料，可在数据库相关域通过字词搜索或查询方便地进行这一活动。⁹ 作为步骤1的结果，从整个国家或组织的项目总集中提取出可能相关的项目或活动子集。

B. 步骤 2. 进行地域分类

24. 步骤2,根据《公约》定义的地域边界(见第一条)对选出的项目集的干预活动领域进行分类。进行这一分类是为了确定所选出的项目或活动是否在干旱、半干旱和亚湿润偏旱地区产生了影响以及产生了多大程度的影响。¹⁰ 为便于进行这一任务，可参考受影响国家提交的国家报告所载国家行动方案和/或国家概况中对受影响

⁸ 这也是欧盟下述报告的结论之一：“Report on activities undertaken by the European Community in support of the African region in the period January 2000 – December 2003 in the implementation of the United Nations Convention to Combat Desertification” (Final Report, Lot 4 Doc. N. EUROPEAID/116548/C/SV).

⁹ 农发基金使用的搜索词例如下：《荒漠化公约》；沙漠；退化；侵蚀；干旱；贫瘠；森林；肥沃；盐田；淤泥；P 行动；《公约》；森林采伐等(相关情况下适当译成其他正式语文)。

¹⁰ 即，年降雨量与潜在蒸散量的比率在 0.05 到 0.65 之间的地区。

地区的描述。然而，应注意的是，鉴于荒漠化现象所具有的贯穿多领域的性质以及土地退化、贫困和其他更广泛的可持续发展问题之间的联系，这些地域边界的确定工作不能作为排除项目的一个标准，而只能作为进行分类、统计细分和定性分析的工具。在这方面，对干旱的脆弱性和土地退化危险等因素也应考虑在内。

C. 步骤 3. 主题资格

25. 步骤3是确定选出的项目集的主题资格。其做法是核实步骤1和2所确定的项目或活动是否涉及《公约》目标。项目清单可由此缩小；如果发现有其他相关的干预活动(如，与监测、研究、能力建设、规划、风险管理、缓解、补救或紧急应对措施相关的干预活动)，项目清单也可扩大。可使用全球机制的相关活动代码，作为该任务的便利化工具(见附件三)。为此目的可使用的另一个有益工具是，经合组织的部门分类或目的代码。¹¹ 应注意的是，对于任何单个项目或活动来说，视项目的范围和目标以及相关内容的数目多少，可分配多个相关活动代码或目的代码。对于农发基金的项目组合审查，这一分析是通过搜索相关的关键词和阅读项目设计文件的相关章节进行的。为补充这一分析，依照全球环境基金所使用的方法，对每个项目或方案所涉及的目标和威胁进行了评估(见附件四)。然而，由于信息的稀缺和在赠款设计文件情况下信息的不可获取性，这一框架仅适用于贷款。报告期间涉及《荒漠化公约》目标的相关项目或活动清单，作为步骤3的结果，最终确定了下来。

D. 步骤 4. 定级和资源密度

26. 步骤4由两个密切相关的阶段组成：定级(或里约指标化)和资源强度(确定总项目价值或投资中与防治荒漠化相关的比例)。

27. 首先，根据附件一说明的定义和标准，对选出的项目组合中所包括的每个项目或活动都给予了一个里约指标等级。更具体地说，如果项目将防治荒漠化的预

¹¹ 经合组织/发展援助委员会在贷方报告制度中为对官方发展援助活动进行分类使用了目的代码。一项捐助的目的部门是官方发展援助活动希望促进的受援国的经济或社会结构的具体领域。它所指的并不是捐助方所提供的物品或服务种类。在经合组织网站上可查阅有关目的代码的更多信息：www.oecd.org/document/21/0,2340,en_2825_495602_1914325_1_1_1_1,00.html。

防性行动(如,减少环境压力)作为一项显著的次级内容,¹² 该项目就被定级为RM1。如果项目包含与防治荒漠化相关的主要内容,¹³ 该项目就被定级为RM2。如果项目把防治荒漠化/土地退化作为一个主要目标来进行并明确提及《荒漠化公约》过程,¹⁴ 该项目就被定级为RM3。相反,如果在该阶段没有确定对环境或防治荒漠化有任何直接的利益,该项目就被定级为RM0(而且,随后从清单中移除)。为补充这一定性分析,确定所谓土地退化成份的强度也可依照全球环境基金使用的强度定级方法(见附件四)在这一阶段进行。

28. 与评定里约指标相关联的是,确定与防治荒漠化相关的全部项目价值的比例(或指明“资源密度”)。鉴于进行细致的成本分析以便细分出专门分配给与防治荒漠化相关项目内容或活动的资源的确切比例,常常并非易事,建议的做法是,对RM1和RM2项目的批准价值进行调整,以压缩与《荒漠化公约》进程没有直接或明确联系的资源密度可能较大的投资(如,用于道路等基本的基础设施的投资)。为此目的,农发基金使用了以下加权法:

(a) RM1 = 全部批准价值的 1/3 (取整为 33%)

(b) RM2 = 全部批准价值的 2/3 (取整为 67%)

(c) RM3 = 全部批准价值的 3/3 (等于 100%)

29. 确定资源密度的目的是减少过度报告和重复计算,特别是对那些涉及一个以上政策目标、里约公约或农业气候领域的项目。¹⁵

E. 步骤 5. 核对

30. 为最后完成信息收集过程,需对所选择的、经加权的项目组合进行核对和确认,作为有该组织各相关部门负责人参加的一个过程的结果。为此目的,农发基金编写了问卷,以汇编详细的项目一览表,做法是,除其他外,要求地区司局和负

¹² “显著的”意味着该活动是一项重要的次级目标(即:不是进行该项活动的主要原因之一)。

¹³ “主要”意味着,防治荒漠化/土地退化是该项活动的一个明确目标、对于其设计也具有根本意义(即,没有该目标的话就不会进行这一活动)。

¹⁴ 即,该项目支持一个为执行公约制定的国家、次区域或区域行动方案(国家行动方案、次区域行动方案、区域行动方案)。

¹⁵ 为压缩那些具有主要相关活动、但并非整个影响地区都属于《公约》所定义的“受影响地区”的项目的价值,农发基金将这些项目定级为 RM1。

责各国项目组合的管理人员提供一些其他资料。还建议在组织内部(如,与发展援助委员会的统计通讯员和其他里约公约的联络中心机制)和与外部伙伴(如,在捐助国和受援国缔约方的联络中心之间)进行协商和同行审评,以便尽可能减少不一致,并避免过度报告或报告不足的问题,也将其作为这一确认过程的一部分。也可考虑与《荒漠化公约》秘书处和/或全球机制进行协商,以便获得使用报告指南方面的澄清或协助。

F. 步骤 6. 分析和编制结果

31. 最后,按照《荒漠化公约》的报告要求和/或本报告所涉及的具体要求,对选出并确认的所有资料进行分析,以编制有意义的统计、时间序列、趋势分析、以及按部门、区域、国家分列的细分数据等资料。步骤6的一个结果是附在报告中的标准财务附件(见附件二)。也可制做其他表格、图表和图解以便于编制结果和重复利用项目组合审评的主要结果进行比较分析、分享信息、更新土地退化问题融资信息搜索引擎和其他数据库,以及用于演示介绍和其他宣传目的。正是在这一阶段进行着大部分的定量分析,其中包括描述报告所使用的方法、制约因素和假设。报告可对目的受众产生价值的重要因素是其相关性和可靠性。¹⁶

32. 应注意的是,可使用数据库、内容管理系统、数据挖掘系统、综合测绘/地理信息系统、查询语言、扩展的标记语言和其他技术在很大程度上为步骤1、2以及(部分地)为步骤3和4提供便利。步骤4、5和6中的大部分定性工作只能做到有限的自动化,而且需要对国家联络中心进行实质性的培训和能力建设。

五、未来挑战

33. 报告过程固有的一些挑战源于下述因素:

- (a) 荒漠化现象的复杂性和贯穿多领域的性质。由于《荒漠化公约》采用了广义定义,不易严格界定相关和不相关活动的界限,特别是在考虑到预

¹⁶ 对相关性产生影响的特点有:可比性(包括一致性)、及时性、反馈价值和预测价值。对可靠性产生影响的特点有:可比性(包括一致性)、可核实性、中立性以及反映真实的程度(农发基金项目组合审查,2006年5月)。

防性或控制措施的间接、长期和异地影响的情况下。¹⁷

- (b) 《荒漠化公约》为定义受影响地区所确定的**地域边界**可造成对符合入选条件的干预措施的狭隘解释。这样的解释可被视为与一项全球《公约》的精神不相符，而且与一项公认的作为可持续发展的《公约》的价值不相符。¹⁸
- (c) 尽可能地简化和协调向里约各公约提交的不同报告。里约指标用来确定那些涉及里约三公约目标的活动。然而，只有《荒漠化公约》才对那些专门涉及《荒漠化公约》进程和/或支持国家或(次)区域行动方案的活动设立了专用的指标。里约指标化的这种不对称性可造成数据汇总和重复计算的问题，特别是在同时涉及一个以上里约公约目标的项目的情形下。
- (d) 对项目定级、**相关度和资源强度加权的主观解释**。鉴于一个项目包括一整套相互补充的活动而且鉴于并不是总能将批准的项目价值加以细分并分配给项目的各个组成部分或活动，一个项目投资于防治荒漠化的资源量(或“资源密度”)的确定问题有一定程度的主观解释。资源密度百分比的归给本身就是一种随意分配近似值的做法，可造成不确切的数字。要更准确地确定投资于相关活动中的款额，应在项目的中期或完成阶段并且/或结合项目评估，在有实际支出资料时，对这些数字进行复审。

34. 荒漠化项目的影响力和结果常常随着长时间跨度而积累。这样，在宏观分析层次，就难以确定汇总的投资流量(投入)是否等同于财务需要总量，而且，更重要的是，难以确定是否会产生预期结果(产出)。

35. 预计，这些及其他关键挑战或有争议的定义或解释问题将在特设工作组内部或其他政府间进程中进行讨论，在此，可找到适当的解决办法。

¹⁷ 在土地退化方面，研究人员认为，对近因和间接动因加以区分是有益的。近因是直接影
响土地退化的地方层级上的最近期行动；其中包括农田扩张和农业集约化，特别是在环境脆弱性是
与定期干旱、土壤贫瘠或陡坡相联系的情况下。土地退化的间接(或本底)动因包括人口密度和增长、
移徙以及鼓励不可持续做法的政策。后者涉及作为近因基础的根本的社会和生物物理过程，可在地
方、国家或全球层级发生作用。多项研究证明，把多种匹配的社会与生物物理因素组合起来，而不
是用单变量的方法，可对荒漠化做出最好的解释(农发基金项目组合审查，2006年5月)。

¹⁸ 可持续发展问题世界首脑会议的执行计划(2002)。

Annex I

[ENGLISH ONLY]

Rio Markers

1. In 2000, the secretariat of the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) was requested by the DAC member countries to develop a standard reporting methodology for identifying aid activities of relevance to the three Rio conventions.
2. In response to this request, the DAC Working Party on Statistics (WP-STAT) suggested applying the DAC policy marker system already in use for other cross-cutting issues such as “environmental sustainability” and “gender equality”. The system allows for the identification of official development assistance (ODA) activities targeted to a policy objective. It gives information on the degree to which DAC member countries implement the agreed policies in their aid programmes. Policy markers are applied to all bilateral aid, covering both sector-allocable and non sector-allocable aid. Similarly, they cover all forms of aid (e.g., investment projects and technical cooperation).
3. In consultation with the secretariats of the three Rio conventions and with the Global Mechanism, the DAC developed the “Rio Markers” to identify aid activities targeting the objectives of the three Rio conventions. The definitions and criteria of eligibility used for the Rio Markers are illustrated in the table below.
4. Like any other DAC policy markers, the Rio Markers are descriptive rather than quantitative. With regard to the UNCCD, the screening of an aid activity against the objectives of the Convention will result in the following scores:
 - (a) **0 (not targeted)** means that the aid activity was found not to be targeted to the UNCCD
 - (b) **1 (significant)** means that combating desertification/land degradation was an important but secondary objective of the activity (i.e., not one of the principal reasons for undertaking the activity)
 - (c) **2 (principal)** means that combating desertification/land degradation was an explicit objective of the activity and fundamental to its design (i.e., the activity would not have been undertaken without this objective)
 - (d) **3 (action programme-related)** means that the activity was undertaken to combat desertification/land degradation as a principal objective and in support of an action programme to implement the Convention (i.e., a national, subregional or regional action programme).
5. The action programme-related score was developed for desertification-related aid only at the explicit request of the UNCCD secretariat. It is important to note that in order to qualify for a score of “principal”, “significant”, or “action programme-related”, the objective has to be

explicitly promoted in project documentation.¹⁹ It is however the opinion of some DAC member countries that this differentiated set of markers for the three Rio conventions is an obstacle to harmonized reporting and therefore should be reconsidered by the WP-STAT.

6. After a pilot study carried out in collaboration with a number of DAC Member States, in June 2004 the WP-STAT decided to incorporate the Rio Markers into the OECD Creditor Reporting System (CRS) for a trial period of three years, beginning with 2004 commitment data. The coverage and quality of the data received during the Trial Period will be reviewed at the WP/STAT meeting in June 2007.

7. In February 2006, the DAC secretariat provided an overview of the status of application of the Rio Markers by DAC member countries in the trial period. The overview indicated that Rio Marker data for 2001 – 2003 were submitted by all DAC members except five: Ireland, Italy, Luxembourg, New Zealand, and the European Community. Data for 2004 were submitted by 11 members, nine of which had already incorporated the Rio Markers into their standard CRS reporting systems.

8. In April 2007, the DAC secretariat informed the Global Mechanism that three additional DAC members had communicated Rio Markers data as part of their regular CRS reporting for the 2005 commitment year. Another five members were expected to send their reports in time for the annual meeting of WP-STAT to be held in June 2007. This would bring the total number of countries currently using the Rio Markers to 18 out of 23.

¹⁹ More detailed information on the definitions to be used and instructions on where to place the Rio Markers in the Unified Standard Input Form (USIF) used by DAC statistical correspondents to update the CRS are available in document DCD/DAC(2002)21/ADD issued by the DAC on 22 October 2004.

Aid targeting: the objectives of the United Nations Convention to Combat Desertification	
DEFINITION	It aims to combat desertification or mitigate the effects of drought in arid, semi-arid and dry sub-humid areas through prevention and/or reduction of land degradation, rehabilitation of partly degraded land, or reclamation of desertified land.
An activity should be classified as desertification-related (score principal or significant) if:	
CRITERIA FOR ELIGIBILITY	<p>The activity contributes to:</p> <ul style="list-style-type: none"> (a) Protecting or enhancing dryland ecosystems or remedying existing environmental damage; <i>or</i> (b) Integration of desertification concerns with recipient countries' development objectives through institution-building, capacity-development, strengthening the regulatory and policy framework, or research; <i>or</i> (c) Developing countries' efforts to meet their obligations under the Convention. <p>The activity will score "principal objective" if it directly and explicitly relates to one or more of the above criteria, including in the context of the realization of national, subregional or regional action programmes.</p>
EXAMPLES OF TYPICAL ACTIVITIES	
1. Typical activities take place in the sectors of:	
<i>Water and sanitation</i>	(a) Integration of action to combat desertification and land degradation into sectoral policy, planning and programmes (e.g., agricultural and rural development policy, plans and programmes);
<i>Agriculture</i>	(b) Rehabilitation of land, vegetation cover, forests and water resources, conservation and sustainable management of land and water resources;
<i>Forestry</i>	(c) Sustainable irrigation for both crops and livestock to reduce pressure on threatened land; alternative livelihood projects;
2. Typical non-sector specific activities are:	(d) Development and transfer of environmentally sound traditional and local technologies, knowledge, know-how and practices to combat desertification, e.g., methods of conserving water, wood (for fuel or construction) and soil in dry areas.
<i>Environmental policy and administrative management</i>	(a) Preparation of strategies and action programmes to combat desertification and mitigate the effects of drought; establishment of drought early-warning systems; strengthening of drought preparedness and management; observation and assessment of UNCCD implementation, including monitoring and evaluation of impact indicators;
<i>Environmental education/training</i>	(b) Measures to promote the participation of affected populations in planning and implementing sustainable resource management or improving security of land tenure;
<i>Environmental research</i>	(c) Support for population/migration policies to reduce population pressure on land;
	(d) Capacity-building in desertification monitoring and assessment; education, training and public awareness programmes related to desertification and land degradation;
	(e) Research on desertification and land degradation.

Annex II

[ENGLISH ONLY]

Example of a tabular format for a standard financial annex

Title	Description	Code or ID	Start Date	End Date	Duration	Recipient Organization(s)	Executing Agency/Org(s)	Funding Organization(s)	Total Project Cost	RACs / Components	Expected Outputs	Geographical Classification	Rio Marker (RM)
Title of the project or activity	Description of the project or activity	Project code or identification number	Date on which the project or activity is due to start	Date on which the project or activity is due to end (e.g., project completion date)	Project duration in years	Name of the borrowing or recipient organization(s)	Name of executing agency(ies)	Names of the project's (co-)funding organizations, including national institution(s), NGOs and private sector entities, if any, and specifying the respective contributions (and currencies)	Total project cost (or value), including contributions of all financiers, specifying the currency	Relevant activity codes to specify which project components address the objectives of the UNCCD	Expected outputs and/or outcomes as indicated in the project documents	Country(ies) covered by the project and qualification of the agroclimatic area expected to benefit from the relevant components	RM1, RM2 or RM3 to be attributed to the whole project or activity as specified by the OECD/DAC

Note: This format could equally be used in the reports submitted to the Conference of Parties by:

- **Affected country Parties** for listing all the ongoing and completed programmes and projects relating to the implementation of the Convention undertaken in the country Party with or without the financial support of external sources (bilateral and multilateral donors, international non-governmental organizations (NGOs), private sector entities, etc.)
- **Developed country Parties** for listing all the aid activities and other forms of support provided to affected country Parties in relation to the implementation of the Convention, including information on all sources of co-financing
- The **Global Environment Facility (GEF)** for listing all the projects and programmes relating to the implementation of the Convention and financed through relevant Operational Programmes (such as OP15)
- The **Global Mechanism** for listing all the projects and initiatives for which it has provided support or mobilized resources
- **United Nations organizations, intergovernmental organizations and NGOs** for listing all the loans and grants extended to affected country Parties for projects and programmes related to the implementation of the Convention.

Annex III

[ENGLISH ONLY]

Relevant activity codes

Relevant activity code	Description
1 Monitoring and research	Activities/components relating to the collection and analysis of data for predicting and/or monitoring desertification/drought phenomena in affected areas. Activities/components relating to scientific or applied research on land degradation-related issues. Includes other relevant monitoring and research activities not specified below
1.1 Monitoring	Activities/components relating to the gathering and analysis of data for desertification monitoring/assessment, as well as for the prediction of droughts and other land degradation phenomena
1.1.1 <i>Indicators</i>	Benchmarks, indicators, scorecards, and so on, regarding desertification or drought phenomena
1.1.2 <i>Soil observations</i>	Study of soil condition, remote sensing data networks, mapping systems, geographic information systems, environmental information systems, early warning systems – particularly for food security, use of aerial photographs and satellite imagery, land degradation data systems, geology surveys, groundwater information, hydrologic data, soil moisture evapotranspiration rates, desertification control, and so on
1.1.3 <i>Weather forecasting</i>	Including drought forecasting, hydrology/meteorology, climate observation, study of weather patterns, streamflow management, telemetry and collection and analysis of data on temperature, wind, humidity, mountain snow amount, and so on
1.2 Knowledge and technology	Activities/components relating to desertification/drought research and technology that cannot be further specified below
1.2.1 <i>Knowledge</i>	Activities relating to the promotion/use of knowledge of relevance to the fight against desertification/land degradation, including local, indigenous or traditional knowledge. Comprises activities aiming at collecting and disseminating relevant data, information and knowledge through databases, inventories, knowledge management systems, information systems, networks, discussion groups, seminars, forums and other forms and means for communicating and sharing experience, know-how and good/bad practices in land degradation control
1.2.2 <i>Research and science</i>	Research capacity, basic research/development, joint research and development, analysis of the effects of desertification or droughts, physics of desertification, affected ecosystems, ecological studies in drylands, research on drought resistant seasonal and tree crops and other research activities dealing with desertification/drought-related issues, or performed in affected areas. Also includes sciences such as climatology, hydrology, hydro-geology, plants and soils, genetic research
1.2.3 <i>Technology</i>	Dryland general technology, local technology utilization, technology transfer and cooperation, biotechnology utilization, genetic technology, zootechnology in drylands, renewable energy in affected areas, soil laboratory techniques, and so on
2 Planning and risk management	Activities/components relating to adequate planning and management of the risks associated with land degradation issues in affected areas, and their impacts on vulnerable production sectors and resources. Includes other relevant risk management activities/components not specified below
2.1 Awareness raising	Activities/components relating to raising awareness of desertification/drought phenomena and land degradation issues in affected areas

Relevant activity code	Description
2.1.1 <i>Public awareness</i>	Information campaigns regarding desertification and/or drought, the role of women in combating desertification, press releases, events, and so on (other than those that can be classified under UNCCD activities, below)
2.1.2 <i>Studies and publications</i>	Studies and publications on links between poverty and land degradation, water supply/demand, water quality, environmental conservation, environmental impact assessment (EIA), assessment of desertification, diagnosis of soil degradation, wetlands evaluation, dam safety/failure, flood damage, flood plain management, coastal zone management/protection, and so on
2.1.3 <i>Workshops and seminars</i>	Workshops, seminars and conferences regarding desertification/drought phenomena (other than those under "UNCCD Consultative Process/Meetings" below)
2.2 Enabling activities	Activities/components to prepare for or recover from damage to crops, pastures, woodlands, livestock, wildlife, water supplies, economic activities, communities, and so on, caused by desertification/drought phenomena in affected areas
2.2.1 <i>Capacity-building</i>	Including policy and institutional support/strengthening, regional institutional development/strengthening, support to civil society organizations, technical assistance, consulting services, training, training centres, exchange visits, and so on, on issues/activities relating to desertification/land degradation control
2.2.2 <i>Community development</i>	Including village development, local infrastructure development, integrated local development, local capacity-building, protection of community rights, local government, participatory mechanisms, decentralization activities, local empowerment, promotion of community self-determination, protection and involvement of minorities, and so on
2.2.3 <i>Drought preparedness</i>	Drought contingency planning, drought resettlement, and so on
2.2.4 <i>Economic development</i>	Including integrated development, economic policy coherence, income support schemes, income diversification, debt subsidies, tax policies, saving incentives, opening markets, production support systems, and so on
2.2.5 <i>Environmental education</i>	Including preparation of curricula, materials, adult/non-formal education, and so on, regarding desertification/drought phenomena and their effects, and other environmental education activities performed in affected areas.
2.2.6 <i>Governance and legislation</i>	Institutional measures, legislative frameworks, land tenure reforms, land and water access, alternative dispute resolutions, and so on.
2.2.7 <i>Mainstreaming</i>	Activities aiming at raising the political priority afforded the issue of desertification and land degradation by affected developing countries and developed countries, as well as national and international organizations. In particular, these activities are directed at "mainstreaming" UNCCD-related objectives within the local, national, regional action plans/programmes, development cooperation strategies and policy and planning frameworks. Includes the use of publications, campaigns, and other forms of communication to influence policymaking
2.2.8 <i>Partnership building</i>	Activities aiming at enhancing the collaboration and cooperation between governments and development partners on issues relating to combating desertification and drought, and at improving the effectiveness of international financial assistance. In particular, these activities include the promotion and creation of strategic alliances, inter-agency structures and other partnership frameworks, including multi-source financial facilities
2.2.9 <i>Project development</i>	Feasibility studies, anti-desertification project formulation, project design, project preparation, project monitoring and evaluation, project documents, project staff training, and so on, regarding desertification/drought activities in affected areas
2.2.10 <i>Resource management planning</i>	Refers to management planning activities aimed at preventing or recovering from damage to natural/production resources in affected areas

Relevant activity code	Description
2.2.11 <i>Services and infrastructure</i>	Construction of transport and communications infrastructures, and so on
2.2.12 <i>Social development</i>	Including demographic policies and programmes, health and nutrition, water supply and quality as well as women in development and gender-equality activities in affected areas
2.3 Production systems	Activities/components relating to the management of risk associated with production sectors vulnerable to desertification/drought phenomena
2.3.1 <i>Agriculture</i>	Comprises activities aiming at enhancing agricultural production, including agricultural development in drylands, agricultural inputs, agricultural practices/systems, agricultural enterprises, agroforestry, agro-product processing, cash crops, crop insurance, crop farming, crop production in drylands, development of sustainable agricultural and ranching production systems, drylands agriculture and machinery use, eco-farming villages, extension services, farmers' associations, fertilizers, food security, food storage/preservation, food processing, forage production, horticulture, household crops, integrated pest management, mills, non-irrigated crop, organic agriculture, pest/weed/disease control, post-harvest practices and storage, rain-fed agriculture, seed/grain banks, sustainable agriculture, treated sewage for agriculture, and so on
2.3.2 <i>Forestry</i>	Including forest products, forest-fire protection, afforestation, agroforestry, area closure, silviculture, tree planting, tree seedling nurseries, seed reserves, and other forestry-related production activities
2.3.3 <i>Livestock systems</i>	Comprises activities aiming at enhancing livestock production and developing or supporting pastoral systems, nomadic systems, transhumant systems, mixed production systems, and so on. Such activities include veterinary services, provision of vet drugs, vaccination campaigns, restocking/provision of animals, apiculture, meat processing and marketing, and so on
2.3.4 <i>Other production systems</i>	Including alternative energy sources, alternative livelihoods, development of new and/or renewable energy sources, ecotourism, energy, fishery development, rural industry, and so on
2.3.5 <i>Production support</i>	Comprises activities such as advisory or consulting services, marketing, and banking/financial services including rural finance, microfinance, rural infrastructure, technical assistance, and so on
2.4 Resource conservation	Activities/components relating to the conservation of resources vulnerable to desertification/drought phenomena. Includes resource stewardship
2.4.1 <i>Air and climate protection</i>	Comprises measures and activities aimed at the reduction of emissions into the ambient air or ambient concentration of air pollutants as well as measures and activities aimed at the control of emissions of greenhouse gases and gases that adversely affect the stratospheric ozone layer and/or result in global warming or climate change. Includes prevention of pollution through in-process modifications aimed at eliminating or reducing the generation of air pollutants (e.g., through cleaner technologies or use of cleaner products), treatment of exhaust gases and ventilation air, measurement and control, and other similar activities
2.4.2 <i>Biodiversity conservation</i>	Including protection of species and habitats, protection of natural and semi-natural landscapes, wildlife conservation, plant conservation, habitat management, fish and wildlife protection, and so on
2.4.3 <i>Forest/scrub management</i>	Including forest management and conservation, homestead and boundary planting, live fencing, launching of reforestation/afforestation programmes, development of afforestation techniques and suitable species, joint forest management, community forestry, social forestry, fuel wood depletion control, deforestation control, and so on

Relevant activity code	Description
2.4.4 <i>Other resource conservation</i>	Including dry high-altitude ecosystems, transboundary resource management, protection of oasis and other ecosystems, and other unspecified or not listed resource conservation activities
2.4.5 <i>Pasture and range management</i>	Comprises activities relating to the ecology, productivity, sustainable use and management of rangelands, including controlling grazing, managing grasslands, medicinal plants, supporting pastoralism, and so on
2.4.6 <i>Sustainable land management</i>	Including flood protection, hillside terracing, land-use planning, land improvement, land reclamation, local-level land and integrated resource management, protection of lands from sand dune encroachment, protection of soil from erosion and physical degradation, prevention of soil salinity, sand-dune fixation or consolidation, set-aside schemes, soil conservation, stone bunding, sustainable land use management, vegetated gully structures, and so on
2.4.7 <i>Water conservation</i>	Comprises activities relating to irrigation, water supply and sanitation, including water storage, water curtailment practices, rainwater harvesting, aquifer management, integrated watershed management, bore holes, wells, and water pipes management, groundwater development, prevention of pollutant infiltration, irrigation techniques, drainage basin management, water marketing, low water consumption crops, water-tiered pricing strategies, flood control, soil erosion and water conservation, watershed management, installation of watering ponds and other facilities, lining of irrigation channels, small-scale water management, cleaning of soil and water bodies, dyke and dam management, and so on
2.5 UNCCD-related activities	Activities/components relating to the UNCCD process. Includes other UNCCD-related activities not specified below.
2.5.1 <i>UNCCD action programmes</i>	Development, formulation and implementation of national, subregional or regional action programmes, as well as NEAPs, LADPs, and so on.
2.5.2 <i>UNCCD consultative process</i>	Including the organization of/participation in official UNCCD meetings and events, the involvement of local populations, civil society and the private sector in the UNCCD process, the development of channels and programmes for sharing experience, knowledge and practices, and so on
2.5.3 <i>UNCCD focal points Activities</i>	Focal point support, training, travel, and so on
2.5.4 <i>UNCCD reports</i>	Reports on the status of implementation of the UNCCD submitted to the Conference of the Parties
2.5.5 <i>UNCCD subsidiary bodies</i>	Activities of all UNCCD subsidiary bodies, including activities relating to synergy between the Rio conventions, links with other multilateral environmental agreements, and so on
3 Mitigation and recovery	Activities/components relating to ensure preparedness and provide timely remedy against the effects of desertification/drought in affected areas. Includes other relevant mitigation and recovery activities not specified below
3.1 Mitigation/recovery	Activities/components providing remedy against damage to crops, pastures, woodlands, livestock, wildlife, water supplies, economic activities, communities, and so on, associated with land degradation phenomena in affected areas caused by human or natural disturbances. These activities/components are generally taken prior to and during desert/drought events to reduce potential impacts. Includes other recovery activities not specified below
3.1.1 <i>Adaptation to climate change</i>	Refers to activities/components relating to adaptation to climate change
3.1.2 <i>Drought mitigation</i>	Refers to activities/components relating to providing remedy against the adverse effects of droughts, including fodder storage, drought resistant crops, stall-feeding, water storage development, and so on

Relevant activity code	Description
3.1.3 <i>Environment restoration</i>	Refers to activities/components relating to restoring the environment damaged by desertification/drought phenomena, including re-vegetation, tree planting, and so on
3.1.4 <i>Waste management</i>	Refers to activities and measures aimed at preventing the generation of waste and the reduction of its harmful effect on the environment. Waste materials are products for which the generator has no further use for its own purposes of production, transformation or consumption. Includes waste pollution prevention measures (e.g., activities aimed at eliminating or reducing the generation of solid waste through cleaner technologies or the use of cleaner products), collection and transport, treatment and disposal of hazardous waste, treatment and disposal of non-hazardous waste, transport and treatment of highly radioactive waste and related monitoring and control. Composting and recycling activities for the purpose of environmental protection are included. Hazardous waste is waste that due to its toxic, infectious, radioactive, flammable or other characteristics poses a substantial actual or potential hazard to human health or living organisms.
3.1.5 <i>Wastewater management</i>	Comprises activities and measures aimed at preventing the pollution of surface water through reductions in the release of wastewater into inland surface water and seawater. Wastewater is defined as water that is of no further immediate value for the purpose for which it was used or in the pursuit of which it was produced. Includes prevention of pollution through wastewater process modifications aimed at reducing the generation of surface water pollutants and wastewater (e.g., through cleaner technologies and use of cleaner products), sewerage networks, wastewater treatment (e.g., mechanical, biological, and advanced treatment), treatment of cooling water and related measurements and control
3.1.6 <i>Water delivery</i>	Refers to activities/components relating to providing and/or rationalizing water supplies prior to/during droughts
3.1.7 <i>Water reclamation and reuse</i>	Refers to activities/components relating to water reclamation and/or reuse
4 Emergency response	Activities/components that help overcome the impacts of extreme occurrences of desertification/drought or the impacts of multifaceted disasters. Includes disaster assistance and activities/measures following a declaration of natural disaster. Includes other relevant emergency measures not specified below
4.1 Financial/economic relief	Including “funding for drought or floods” measures, economic assistance, emergency loans, and so on
4.2 Land reclamation and/or rehabilitation	Refers to activities/components relating to reclamation and/or rehabilitation of degraded lands, e.g., reclamation of saline irrigated soils
4.3 Livestock health/relocation/rescue	Refers to activities/components relating to livestock health, relocation and/or rescue due to extreme desertification/drought occurrences or natural disasters
4.4 Other production systems rescue	Refers to rescue operations of other production systems affected by extreme desertification/drought occurrences or natural disasters
4.5 Pest eradication/crop rescue	Refers to pest eradication activities/components or crop rescue operations to fight extreme desertification/drought occurrences or natural disasters
4.6 Population health/relocation/rescue	Refers to activities/components relating to population health, relocation and/or rescue to fight extreme desertification/drought occurrences or natural disasters
4.7 Reconstruction of water management systems and infrastructure	Refers to activities/components reconstruction of water management systems and infrastructure damaged by extreme desertification/drought occurrences or natural disasters. Includes emergency drilling of wells, water transportation/distribution, water haulage, and so on
4.8 Reforestation/afforestation	Refers to activities/components relating to reforestation/afforestation following extreme desertification/drought effects or natural disasters

Annex IV

[ENGLISH ONLY]

Selection criteria, strength rating and quality analysis

1. The following is an excerpt from the GEF Council Document “Status of Land Degradation as a Cross-Cutting Issue under GEF.3” (http://www.gefweb.org/Documents/Council_Documents/GEF_C24/C.24.Inf.6_Status_of_Land_Degradation_FINAL.doc).
2. The principal means used to identify a project as a project addressing land degradation as a cross-cutting issue was to find an explicit indication in that project’s brief/document, or any other available project materials, that any of the threats or activities cited below (as defined by Berry and Olson 2001 and UNDP 2001) were addressed.

Threats

- Soil erosion due to wind or water factors; sand dune mobilization and movement; sedimentation and siltation of riparian areas and coastal zones; soil compaction through surface crusting or deeper structural damage; declining soil fertility; and loss of soil organic matter or carbon.
- Salinization due to improperly managed irrigation practices; chemical and organic pollution of soils related to agriculture, industry and urban activities as well as and GHG emissions (such as landfills, methane generation); lowering or loss of aquifer potential resulting from overuse or lack of recharge.
- Deforestation due to excessive logging, fuelwood extraction, or habitat conversion; loss of other vegetation, such as grasslands and savannas, due to overgrazing, over-harvesting and habitat conversion; uncontrolled and excessive fires that can damage ecosystems.
- Over-harvesting of vegetation products in general, such as for medicinal use and gathering of food, which leads to ecosystem instability; over-cultivation leading to reduced fallows and regenerative ability of the ecosystem.
- Invasive species when they lead to ecosystem damage and instability.
- Overgrazing around settlements or in extensive rangelands.
- Habitat conversion in general, such as for cropland and improved pastures.
- Agricultural expansion into pastureland, thus forcing over-grazing in remaining pastures.
- Land use conflicts and curtailment of access rights, leading to destructive land uses and war.
- Land degradation when it is aggravated by droughts and desiccation.

Activities

A. Sustainable Land Use Practices

- Improvement of cropping and herding practices to prevent or mitigate land degradation.
- Soil and water conservation.
- Watershed catchment management.
- Habitat restoration.
- Integrated land use planning including land zonation protected areas and buffer zones.

B. Forestry/Trees Related Activities

- Sustainable use of biomass for energy, sustainable forest harvesting and fuel wood use conservation practices, and fire control measures.
- Regeneration of forestry and grasslands, including tree planting by communities for biodiversity conservation, watershed management for carbon sequestration.

C. Project Approaches

- Generation of alternative livelihood income and community participation activities.
- Land degradation capacity-building efforts and mobilization of resources to address land degradation.
- Information collection, such as land cover or land degradation variables.
- Target research and indigenous knowledge for mitigating land degradation as a cross-cutting theme.
- Activities that address the underlying causes of degradation and policies that reduce land tenure insecurities.

D. Environmental Quality Issues

- Reducing dust in the atmosphere.
- Promoting carbon sequestration in soils.

Determination of Land Degradation Component Strength

3. To identify the strength of the land degradation components in projects, the following operational classification (as defined by Berry and Olson) was used, resulting in the following categorization:

- *Strong LD component.* Projects with proactive land rehabilitation components (e.g., range land rehabilitation, such as seeding and tree planting) or proactive components

to ameliorate current land management (e.g., improved cropping or grazing practices, fire use, land use planning).

- *Potential LD effects.* Projects whose interventions will potentially prevent land degradation. These are projects with few proactive interventions but whose activities will restrict future degradation through activities such as reducing land use intensity or improving land management inside or outside protected areas.
- *Indirect effects on LD.* These projects lack a land management component but will have few activities that have indirect effects on the land, for example, through reducing fuel wood collection from natural areas.

Quality Analysis

4. The quality analysis is based on four sets of criteria: (a) objectives, (b) threats, (c) components, and (d) activities. Each of the rated criteria was then assigned a rank value between one and three, where one represents indirect effect on land degradation and three represents strong land degradation component.

5. To assign the ranking, the three interrelated types of interventions were examined and assessed, including (1) on-the ground activities to prevent and /or remedy land degradation including sustainable agriculture, sustainable rangeland management, and sustainable forest management activities; (2) capacity-building including strengthening of public policy and the enabling environment for addressing land degradation; and (3) target research aimed at providing knowledge and tools for sustainable land management. The matrix below was then used to rate the significance of each project in addressing land degradation.

Rating mMatrix

Rate	Objective	Threats	Components	Activities	Rank
Indirect LD effect (X)	X	X	X	X	Rank (1)
Potential LD effect (XX)	XX	XX	XX	XX	Rank (2)
Strong LD component (XXX)	XXX	XXX	XXX	XXX	Rank (3)

Quantitative Analysis

6. A quantitative analysis was conducted on 18 projects to determine the portion of GEF funds allocated for land degradation activities. These projects were chosen randomly from the list of the approved projects in each operational programme in each rated category (strong, potential, and indirect). The budget section in the project approval document was examined to calculate the portion of GEF money used for land degradation activities. The percentage of GEF amount used for land degradation with respect to the total GEF amount was calculated for each project. An average percentage for each rated class was then calculated to arrive at the percentage of GEF funds used for land degradation in each category, as follows: Strong project, 32 percent; potential effect project, 28 percent; and indirect effect project, 12 percent. These percentages were then used to calculate the amount of money used per project and the total allocated for GEF 3 for land degradation as a cross-cutting issue.

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