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### COMMITTEE FOR THE REVIEW OF THE IMPLEMENTATION OF THE CONVENTION

Eighth session

Buenos Aires, 23–30 September 2009

#### Item 4 of the provisional agenda

**Improving the procedures for communication of information as well as the quality and format of reports to be submitted to the Conference of the Parties – consideration of draft reporting guidelines for reporting entities referred to in decision 8/COP.8**

## Sample format for reporting guidelines

### Note by the secretariat

#### *Summary*

The present document was prepared in response to decisions 3/COP.8 and 8/COP.8, which requested the secretariat to prepare reporting guidelines for all entities requested to submit to the Conference of the Parties (COP) reports on the implementation of the United Nations Convention to Combat Desertification and of the 10-year strategic plan and framework to enhance the implementation of the Convention or otherwise to provide information to the COP in this respect. It should be read in conjunction with document ICCD/CRIC(8)/5, which introduces all the relevant elements of the proposed reporting guidelines, and its addenda ICCD/CRIC(8)/5/Add.1 to Add.7, in which those elements are provided in detail.

This document presents the generic structure and format of the reporting guidelines and is not directed at any particular reporting entity. It does not stand for the reporting guidelines as such, but should be viewed as an additional element of clarification to Parties and observers for their discussion of this agenda item.

Based on the deliberations of the Parties on reporting elements at the eighth session of the Committee for the Review of the Implementation of the Convention, and on the decisions taken by the ninth session of the COP the secretariat will prepare reporting tools to assist reporting entities in the use of reporting guidelines.

## I. Introduction

1. The present document provides additional information to Parties and observers for their consideration of the reporting guidelines for all entities requested to submit to the Conference of the Parties (COP) reports on the implementation of the United Nations Convention to Combat Desertification (UNCCD) and of the 10-year strategic plan and framework to enhance the implementation of the Convention or otherwise to provide information to the COP in this respect. Document ICCD/CRIC(8)/5 provides an overview of all the relevant elements of reporting guidelines, and its addenda ICCD/CRIC(8)/5/Add.1 to Add.7 describe these elements in detail. This document serves to assist reporting entities to visualize the proposed structure of the new reporting guidelines. The information provided should be treated as an indication of how the reporting guidelines would look if the COP decides to adopt the elements proposed in the above-mentioned documents.

2. If all the relevant reporting elements are adopted by the COP, tools for all reporting entities will be prepared by the secretariat in time for their use in 2010. The reporting tools for each reporting entity will be adjusted to the specific features and mandate of that particular entity, according to their specific contribution to, and position in, the UNCCD process. This document should therefore not be viewed as representing the future format of reporting guidelines for any particular reporting entity.

## II. Proposed structure of reporting guidelines

3. As is described in ICCD/CRIC(8)/5, the proposed structure of the reporting guidelines foresees five main building blocks, which will be complemented by a summary and a section on other relevant issues.

<b>1. Summary</b>	
<b>2. Implementation of the strategy: progress against the operational objectives (reported on every two years)</b>	
Operational objective 1	advocacy, awareness-raising and education
Operational objective 2	policy framework
Operational objective 3	science, technology and knowledge
Operational objective 4	capacity-building
Operational objective 5	financing and technology transfer/matched with information from strategic objective 4 contained in the financial annex
<b>3a. Implementation of the Convention: progress against the strategic objectives (DLDD profile, reported on every four years)</b>	
Strategic objective 1	to improve the living conditions of affected populations
Strategic objective 2	to improve the condition of affected ecosystems
Strategic objective 3	to generate global benefits through effective implementation of the UNCCD
<b>3b. Implementation of the Convention: progress against the strategic objectives (dedicated section, reported on every four years)</b>	
Strategic objective 4	to mobilize resources to support implementation of the UNCCD through building effective partnerships between national and international actors

<b>4. Financial annex and programme and project sheet</b>	
<b>5. Best practices</b>	
5.1	Sustainable land management technologies
5.2	Capacity-building and awareness-raising
5.3	Knowledge management and decision support
5.4	DLDD and SLM monitoring and assessment/research
5.5	Enabling environment: policy, legislative, institutional framework
5.6	Funding/resource mobilization
5.7	Participation, collaboration and networking
<b>6. Lessons learned, including on reporting process</b>	
6.1	Human resources
6.2	Financial resources
6.3	Reporting process
<b>7. Other issues</b>	
7.1	Ad hoc COP requests for reporting
7.2	Committee on Science and Technology-related requests for reporting
7.3	Consultative processes and partnership agreements
7.4	Integration of stakeholders into the reporting process: validation meeting
7.5	Contribution to regional and subregional processes
7.6	Other relevant issues as perceived by the reporting entity

### A. Implementation of The Strategy

4. Document ICCD/CRIC(8)/5/Add.1 provides a list of eighteen proposed consolidated performance indicators, and document ICCD/CRIC(8)/5/Add.2 provides the related metadata. The reporting entities would use these indicators to measure their progress against the five operational objectives of The Strategy. The first year of The Strategy (2008) serves as the baseline year. The consolidated performance indicators are therefore a means of gauging success or failure to achieve the set targets.

5. The following example illustrates the proposed approach as it would be applicable to all reporting entities:

<b>Operational objective: Advocacy, awareness-raising and education</b>	
<b>Outcome 1.1</b>	Desertification/land degradation and drought (DLDD) issues and the synergies with climate change adaptation/mitigation and biodiversity conservation are effectively communicated among key constituencies at the international, national and local levels
Target	1. By 2018, 30 per cent of the global population is informed about DLDD and DLDD synergies with climate change and biodiversity
Indicator	The number and size of information events organized on DLDD and/or DLDD synergies with climate change and biodiversity, and the audience reached by the media addressing DLDD and DLDD synergies

Data needed and method of computation	Only events/media coverage specifically addressing DLDD and/or DLDD synergies with climate change and biodiversity shall be considered	
	Events and media coverage shall be that directly organized/produced by the reporting Convention stakeholders. At the national level, affected country Parties and developed country Parties shall also report on events and media coverage organized/produced by third parties not directly reporting to the Convention (e.g television channels, newspaper editors, etc.)	
Number of events	Give total number of events organized on DLDD and/or DLDD synergies with climate change and biodiversity per year, since 2008	
	2008	
	2009	
	2010	

Total number of stakeholders reached in the year			
2008:			
2009:			
2010:			
Numbers of people reached, by stakeholder group			
	Total number in 2008	Total number in 2009	Total number in 2010
Governmental bodies			
Scientific community			
Non-governmental organizations			
Local communities			
Other civil society organizations			
<b>Assessment</b>	The reporting entity would provide a qualitative assessment of how the information events organized on DLDD and/or DLDD synergies have addressed the targets, and what difficulties were experienced in terms of indicator measurement and with regard to the substance that the indicator was supposed to measure		

6. In this case, the reporting entity, for example, the national focal point preparing the report, would need to count the number of information events and the audience size for meetings, workshops, seminars, public debates, national, regional and international campaigns, exhibitions, festivals, and so on, on desertification, land degradation and drought (DLDD) as well as the synergies with climate change and biodiversity which have taken place in the reporting period (a two-year timeframe). The reporting entity would also need to estimate the audience reached by the media through press articles from press releases, leaflets, flyers, brochures, the radio and television programmes, as well as ICT material, such as dedicated websites, CDs and so on, specifically dedicated to DLDD and synergies with climate change and biodiversity in the same reporting period. Additionally, it would be necessary to provide an estimate of the number of key stakeholders, such as governmental bodies, the scientific community, non-governmental organizations local communities and other civil society organizations, reached in the same period.

7. These figures would be collected by monitoring the national and international media, the Internet, attendance lists of events, the final reports of projects, and so on. Estimates of target audiences for major media events, campaigns, radio and television programmes, and so on, could be provided by the organizers of such events.

8. In the case of national reports, whether from affected or developed countries, the indicator would refer to the events that have taken place and audience reached in that country. For reports on subregional action programmes and regional action programmes, it would refer to the events organized and audience reached in that subregion or region. For intergovernmental organizations, United Nations organizations and the Global Environment Facility, it would refer to the events organized and audience reached by that particular organization. The secretariat and the Global Mechanism would also use this indicator to report on their activities in this respect.

9. When providing the analysis of this indicator to the Committee for the Review of the Implementation of the Convention (CRIC), the secretariat can aggregate: (a) the total number of information events organized in affected country Parties and in developed country Parties, and the related number of participants, at the subregional and regional levels as well as globally; (b) the estimated number of stakeholders reached by the media in affected country Parties and in developed country Parties, at the subregional and regional levels as well as globally, if possible by disaggregating the information by stakeholder group; and (c) the percentage rate of increase in the number of information events organized and participants reached against the baseline year (2008). This would enable monitoring and assessment of the achievement of targets.

10. Finally, a concise qualitative assessment would provide information on the quality of the indicator, including the targets, difficulties in collecting information, and opportunities or constraints pertinent to the subject matter, in this case the organization of information events on DLDD-related matters.

11. Another example demonstrates where the common set of indicators used by the CRIC would need to be changed according to the reporting entity involved and the nature of the indicator, in this case affected country Parties and subregional and regional reporting entities.

<b>Operational objective: Advocacy, awareness-raising and education</b>					
<b>Outcome 2.1</b>	Policy, institutional, financial and socio-economic drivers of desertification/land degradation and barriers to sustainable land management are assessed, and appropriate measures to remove these barriers are recommended.				
<b>Outcome 2.2</b>	Affected country Parties revise their national action programmes (NAPs) into strategic documents supported by biophysical and socio-economic baseline information and include them in integrated investment frameworks.				
<b>Outcome 2.3</b>	Affected country Parties integrate their NAPs and sustainable land management and land degradation issues into development planning and relevant sectoral and investment plans and policies.				
Target:	By 2014, at least 80 per cent of affected country Parties (subregional and regional entities) have formulated/ revised a NAP (SRAP/RAP) aligned to The Strategy				
Indicator:	Number of affected country Parties, subregional and regional entities that have finalized the formulation/revision of NAPs, SRAPs or RAPs aligned to The Strategy, taking into account biophysical and socio-economic information, as well as national planning, policies, and integration in investment frameworks.				
Underlying definition, data needed and method of computation:	‘Finalized’ implies that the NAP (SRAP/RAP) has been approved by the respective governments. NAP reference is to articles 10 and 11 of the Convention. NAPs (SRAPs/RAPs) shall be specific to DLDD as a commitment to the UNCCD. However, they shall also encompass strategies to foster synergies with climate change adaptation/mitigation and biodiversity conservation.				
	Only those NAPs (SRAPs/RAPs) formally approved by the relevant governmental authorities shall be considered as finalized.				
Did your country (subregion/region) adopt an action programme prior to The Strategy	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;"><input type="checkbox"/></td> <td style="width: 50%;"><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>				
Yes	No				
Has your country (subregion/region) formulated or revised your action programme in line with The Strategy?	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;"><input type="checkbox"/></td> <td style="width: 50%;"><input type="checkbox"/></td> </tr> <tr> <td>Yes</td> <td>No</td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>				
Yes	No				
If yes, provide date of approval:	Date:				
If there is no approval date, specify how far the alignment process has advanced					
If no, please explain why the process was not initiated					

Does the action programme assess the policy, institutional, financial and socio-economic drivers of desertification/land degradation and barriers to sustainable land management, and recommend appropriate measures to remove these barriers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
List the most pertinent policy, institutional, financial and socio-economic drivers of desertification/land degradation and barriers to sustainable land management	1...	
	2...	
	3...	
	4...	
Is your action programme supported by biophysical and socio-economic baseline information?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has an investment framework been initiated/completed on the basis of a revised/formulated action programme?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, provide the completion date or information on the status of the investment framework		
Has the action programme been integrated into development planning and relevant sectoral and investment plans and policies?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, list the pertinent plans and policies into which the action programme was integrated.	1...	
	2...	
	3...	
<b>Assessment:</b>	The reporting entity would provide a qualitative assessment of how the formulation/revision process of action programmes in line with The Strategy has been supported by external assistance (institutions such as the GM, the UNCCD secretariat and others), and the difficulties experienced in launching this process (in relation to the biophysical information and baselines, the investment framework, etc.) and completing it successfully.	

12. A similar approach would be used to measure achievements based on the other performance indicators.

### B. Implementation of the Convention

13. The reporting based on impact indicators for strategic objectives 1, 2 and 3, and partially 4 would take place every four years starting in 2012. The analysis of the information provided by affected country Parties in DLDD profiles at the national, subregional and regional levels would be undertaken at the level of the CST and fed into the CRIC, following the proposal made in

document ICCD/CRIC(8)/4 and the PRAIS system contained therein. Information on strategic objective 4 will be captured in a dedicated reporting section to be completed by those reporting entities either receiving or providing financial, technological or technical support. Further to the request by the COP in decision 3/COP.8 and by the CRIC at its seventh session, the CST has worked on establishing a minimum set of impact indicators at the national level for strategic objectives 1, 2 and 3, and has provided the following list:

<b>Recommended set of impact indicators</b>		
<b>Objective 1: To improve the living conditions of affected populations</b>		
	<b>National level</b>	<b>Global level</b>
<p><b>Core indicator S-1:</b> Decrease in the number of people negatively impacted by the process of desertification/land degradation and drought</p> <p><b>Core indicator S-2:</b> Increase in the proportion of households living above the poverty line in affected areas.</p> <p><b>Core indicator S-3:</b> Reduction in the proportion of the population below the minimum level of dietary energy consumption in affected areas.</p>	<ul style="list-style-type: none"> <li>• I. Water availability per capita in affected areas</li> <li>• II. Change in land use</li> <li>• III. Proportion of the population in affected areas living above the poverty line</li> <li>• IV. Childhood malnutrition and/or food consumption/ calorie intake per capita in affected areas</li> </ul>	<ul style="list-style-type: none"> <li>• I. Water availability per capita in affected areas</li> <li>• III. Proportion of population in affected areas living above the poverty line</li> <li>• V. The Human Development Index as defined by UNDP</li> </ul>
<b>Objective 2: To improve the condition of ecosystems</b>		
<p><b>Core indicator S-4:</b> Reduction in the total area affected by desertification/land degradation and drought</p> <p><b>Core indicator S-5:</b> Increases in net primary productivity in affected areas.</p>	<ul style="list-style-type: none"> <li>• II. Change in land use</li> <li>• VI. Level of land degradation (including salinization, water and wind erosion, etc.)</li> <li>• VII. Plant and animal biodiversity</li> <li>• VIII. The aridity index</li> </ul>	<ul style="list-style-type: none"> <li>• IX. Land cover status</li> </ul>
<b>Objective 3: To generate global benefits through effective implementation of UNCCD</b>		
<p><b>Core indicator S-6:</b> Increases in carbon stocks (soil and plant biomass) in affected areas.</p> <p><b>Core indicator S-7:</b> Areas of forest, agricultural and aquaculture ecosystems under sustainable management</p>	<ul style="list-style-type: none"> <li>• VII. Plant and animal biodiversity</li> <li>• X. Carbon stocks above and below ground</li> <li>• XI. Land under SLM</li> </ul>	<ul style="list-style-type: none"> <li>• III. Proportion of the population in affected areas living above the poverty line</li> <li>• XI. Land under SLM</li> </ul>

14. Since the work of the CST warrants time to establish harmonized methodologies and baselines to implement the impact indicators, the corresponding reporting tools will be updated



following the adoption of the comprehensive reporting package, including methodologies for implementing the impact indicators, at the tenth session of the COP in 2011.

15. Impact indicators for strategic objective 4 have been consolidated in a joint effort by the secretariat and the GM. It is to be noted that impact indicators 4.1, 4.2 and 4.3 will be reported on every two years together with information on the performance indicators for operational objective 5, since information on these impact indicators is provided through the financial annex. Studies necessary to obtain information on impact indicators 4.4 and 4.5 will be reviewed every four years together with information on impact indicators 4.6, and 4.7.

4.1	Percentage change in multilateral donor contributions for UNCCD-related activities
4.2	UNCCD share of bilateral official development assistance
4.3	Percentage change in domestic financial commitment to UNCCD implementation.
4.4	Percentage change in contributions from innovative sources of finance for UNCCD-related activities
4.5	Percentage change in private sector and other contributions for UNCCD-related activities
4.6	Number and type of legal and regulatory frameworks, economic incentives or other mechanisms securing or facilitating transfer of funds for the implementation of the UNCCD at all levels.
4.7	Clear entrusting of institutional responsibilities for UNCCD implementation at all levels.

### **C. Financial annex and programme and project sheet**

16. The purpose of financial annex is to aggregate information on financial flows under the Convention. All reporting entities involved in programmes and projects aimed at combating DLDD would be requested to fill in a programme and project sheet in order to gather information at the national, subregional, regional and global levels on DLDD-related activities. The format of the financial annex and of the programme and project sheet are set out below. The list of Rio markers and Relevant Activity Codes is provided in document ICCD/CRIC(8)/5/Add.4.

17. The GM would analyse the information provided by these two tools and provide the secretariat with the relevant information to be included in an overall synthesis document. Information obtained in this way would help the CRIC to make targeted and informed recommendations to the COP on financing activities under the Convention and on DLDD in general.

<b>A. Identification</b>	
1. Reporting country/organization	
2. Extending agency/funding source	
3. Title of project or initiative	
4. Identification code or project ID number	

<b>B. Basic data</b>	
5. Recipient country(ies)	
6. Recipient organization(s)	
7. Executing agency/organization(s)	
8. Commitment date (dd.mm.yyyy)	
9. Currency	
10. Amount committed	
11. Type of funding (grant; loan; equity investment; other)	
12. Start date (dd.mm.yyyy)	
13. Completion date (dd.mm.yyyy)	
14. Duration (no. of years)	
<b>C. Classification</b>	
15. UNCCD Rio marker (0, 1, 2, or 3)	
16. Relevant Activity Codes	

### Programme and project sheet

<b>1. Programme/project title</b>	
<b>2. Organization</b>	

<b>3. Role of the organization in the programme/project</b> (e.g. funding, implementing, or recipient organization, etc.)		<b>4. Beneficiary Country(ies)</b>	
<b>5. Target groups</b> (e.g. number of people or households)		<b>6. Target area</b> (e.g. number of hectares)	
<b>7. Programme/project identification code or number</b>		<b>8. Status</b> (Proposal, Ongoing, Completed)	
<b>9. Start date</b> (dd mm yyyy)		<b>10. Completion date</b> (dd mm yyyy)	
<b>11. Programme/project Financing</b>	<b>Source</b>	<b>Currency</b>	<b>Amount</b>
<b>12. Rio markers</b> (for the whole programme/project)	<b>UNCCD</b>	<b>UNCBD</b>	<b>UNFCCC</b>
<b>13. Strategic objectives</b> (of The Strategy)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> 4 <input type="checkbox"/>
<b>14. Operational objectives</b> (of The Strategy)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/>
<b>15. Programme/project objectives</b> (list the overall objective and specific objective(s), if any)		<b>16. UNCCD Rio marker</b> (0, 1, 2, 3)	<b>17. Relevant Activity Codes (RACs)</b>
<b>18. Programme/project components</b> (if any, as in programme/project documents)	<b>19. Currency</b> (per component)	<b>20. Amount</b> (per component)	<b>21. UNCCD Rio marker</b> (0, 1, 2, 3)
<b>23. Expected or achieved results</b>			

### D. Best practices

18. Document ICCD/CRIC(8)/5/Add.5 proposes seven topics for reporting on best practices:

- (a) SLM technologies;
- (b) Capacity-building and awareness-raising;
- (c) Knowledge management and decision support;
- (d) DLDD and SLM monitoring and assessment/research;
- (e) Enabling environment: policy, legislative, institutional framework;
- (f) Funding/resource mobilization;
- (g) Participation, collaboration and networking.

19. Considering the diversity of the themes to be covered, module formats for best practices under the UNCCD would need to be established through special partnering efforts between the secretariat and recognized centres of excellence. Technological support would be needed in consultation with the institutions involved in order to make this framework for collecting and disseminating best practices work. Document ICCD/CRIC(8)/5/Add.5 uses an existing module prepared by World Overview of Conservation Approaches and Technologies (WOCAT) as guidance on how this process can be steered. Subsequent modules should be framed using a similar approach, geared to the specificity of the themes listed above.

20. Taking the example of best practices on SLM technologies, the proposed UNCCD module would look as follows:

Description	Concise narrative description of the technology, including information on overall purpose, establishment and maintenance procedures, costs, natural and human environment, land use and land degradation problems
Photographs	Two photographs providing an overview and details of the technology
Technical drawing	Technical specifications (spacing of structures, dimensions, etc.)
Map	Including the information on area of application
Land use	Land use type and land use-related problems
Conservation measure	Category of measures, technical functions and degradation addressed
Natural environment	Climate, soils, terrain
Human environment	Land tenure, land use rights, market orientation, technical knowledge, off-farm income
Establishment	Activities, inputs and costs (per ha)
Maintenance	Activities, inputs and costs (per ha)
Adoption/acceptance	Rate of adoption, incentives used, adoption trend

Cost-benefits analysis	Short and long term
On-site impacts	Production and socio-economic, socio-cultural, ecological and other benefits and disadvantages
Off-site impacts	Off-site advantages and disadvantages
Concluding statements	Strengths and how to sustain them; weaknesses and how to overcome them

21. The steps in the documentation process would be as follows:
- (a) Get familiar with the questionnaire and plan the documentation process;
  - (b) Identify the technology to be assessed (in stakeholder workshop);
  - (c) Identify resource persons for each technology: land users who implement the technology, project personnel of campaigns, agricultural advisers, research institutes, and so on;
  - (d) Identify relevant documents ;
  - (e) Fill in the questionnaire: consult documents and resource persons;
  - (f) Enter the data into the database and make a print-out;
  - (g) Review: identify possible reviewers and share data with them;
  - (h) Quality assurance: revise data by incorporating reviewers' comments and improvements;
  - (i) Generate summary format for each technology (a four-page case study).

22. The best practices would form part of the reports submitted every two years. However, it is proposed that, outside of the reporting cycles, interested parties will be able to submit best practices to an online facility, in which all data on best practices would be stored and disseminated. The structure of the online formats would be identical to the structure of the report section on best practices in order to minimize costs and facilitate an efficient and cost-effective reporting process.

23. Reporting on best practices would enable the CRIC to perform one of its four core functions, that is, determination and dissemination of best practices on the implementation of The Strategy and the Convention.

#### **E. Lessons learned, including on the reporting process**

24. This section would enable the reporting entities to take advantage of the reporting to emphasize positive elements and the improvements they have experienced in the implementation of the Convention and The Strategy, as well as the problems, constraints and bottlenecks they are facing. In order to facilitate analysis, it is proposed that the reporting entities be asked to cluster the lessons learned around three topics:

- (a) Human resources;
- (b) Financial resources;
- (c) Reporting process-related issues.

For instance, the lessons learned on the reporting process could address the following topics:

- (a) Financial resources required to prepare reports;
- (b) Coordination with relevant implementing agencies to apply for funds from the GEF;
- (c) Coordination at the national level;
- (d) A participatory approach;
- (e) Technical capacity and the resources required to prepare the reports.

25. Analysis of this element of reporting would enable the secretariat to inform the CRIC on the concrete issues that reporting entities consider relevant, both positively and negatively, to the implementation of the Convention and The Strategy as well as for reporting on it, and would thus enrich the knowledge base of the CRIC and allow it to make more targeted and specific recommendations to the COP.

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