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**COMMITTEE FOR THE REVIEW OF THE IMPLEMENTATION OF THE CONVENTION**  
Seventh session  
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**Item 4 of the provisional agenda**

**Improving the procedures for the 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 as referred to in decision 8/COP.8**

**Consideration of draft reporting guidelines as referred to in decision 8/COP.8**

**Note by the secretariat\***

**Addendum**

**Principles for reporting by the Global Mechanism<sup>1</sup>**

*Summary*

This document provides a detailed explanation of the principles for reporting by the Global Mechanism (GM). It focuses on the rationale behind these principles, their implementation and the related implications in the light of the planning and programming instruments proposed by the Global Mechanism. The Committee for the Review of the Implementation of the Convention may wish to consider this information at its seventh session and provide further guidance to the secretariat on the development of draft reporting guidelines for the GM to be adopted by the Conference of the Parties at its ninth session.

It should be noted that action-oriented conclusions and recommendations relating to reporting principles for the GM are included in document ICCD/CRIC(7)/3.

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\* The submission of this document was delayed because of the need to hold extensive consultations for its finalization, in accordance with specific provisions contained in decision 3/COP.8, as well as the close interrelation between document ICCD/CRIC(7)/3 and its addenda.

<sup>1</sup> Whereas some decisions of the COP make reporting requests to the GM, others place reporting requirements on the Managing Director of the GM. For the purposes of this document, all reporting requests to the Managing Director of the GM are treated as reporting requests to the GM.

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## I. Introduction

1. The Global Mechanism (GM) was established by the United Nations Convention to Combat Desertification (UNCCD) in order to increase the effectiveness and efficiency of existing financial mechanisms and to promote actions leading to the mobilization and channelling of substantial financial resources, including for the transfer of technology, on a grant basis and/or on concessional or other terms. It functions under the authority and guidance of the Conference of the Parties (COP) and is accountable to the COP.<sup>2</sup> The Convention prescribes that the GM should report on its activities to the COP, beginning at the second ordinary session of the COP.<sup>3</sup>

2. Decision 11/COP.1 (on communication of information and review of the implementation of the Convention) does not include provisions on reporting by the GM. Decision 24/COP.1 (on the organization to house the GM and agreement on its modalities) and decision 25/COP.1 (on the collaborative institutional arrangements in support of the GM) determine the elements for reporting by the GM to the COP<sup>4</sup>. These include reporting on:

(a) The operations and activities of the GM, including the effectiveness of its activities in promoting the mobilization and channelling of the substantial financial resources referred to in article 21, paragraph 4(a), of the Convention, to affected developing country Parties;

(b) The assessment of future availability of funds for implementation of the Convention, as well as assessments of and proposals for effective ways and means of providing such funds;

(c) The support it receives from the International Fund for Agricultural Development (IFAD), the United Nations Development Programme (UNDP) and the World Bank as well as other relevant organizations in supporting the GM.

3. The GM was requested to report to the COP through the Head of the housing organization, the President of IFAD.<sup>5</sup> No provision was made on the format of the reports.

4. On several occasions, the COP has made additional reporting requests to the GM, which became de facto standing obligations. These are:

(a) To report, together with the secretariat, on its role in effectively assisting affected African country Parties, upon request, in facilitating the convocation of consultative processes in order to negotiate and conclude partnership agreements based on national, subregional and regional action programmes and on the results obtained.<sup>6</sup>

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<sup>2</sup> Convention text, article 21, paragraph 4.

<sup>3</sup> Convention text, article 21, paragraph 5(d).

<sup>4</sup> This was reiterated in decision 10/COP.3.

<sup>5</sup> Decisions 25/COP.1 and 10/COP.3.

<sup>6</sup> Decision 5/COP.3.

(b) To report on the activities undertaken by the Facilitation Committee (FC) of the GM,<sup>7</sup> the decisions taken and results obtained in implementing them.<sup>8</sup>

(c) To report at sessions of the COP and of the Committee for the Review of the Implementation of the Convention (CRIC) on implementation of the four-year work plan, based on its results-based management (RBM) framework.<sup>9</sup>

(d) To report, jointly with the secretariat, on the implementation of the joint work plan (JWP) and, in a clear and transparent way, on the effective share of labour and the use of core and voluntary funds relating to the JWP.<sup>10</sup>

5. The GM has in the past also received numerous ad hoc requests from the COP to report to it, which were either time-limited or have already been fulfilled<sup>11</sup>.

6. In accordance with decision 1/COP.5, the GM is requested to report regularly to the CRIC at sessions held during ordinary sessions of the COP. The absence of clear terms of reference for reporting by the GM resulted in the format of the reports changing over time.<sup>12</sup> The GM has so far met all the above-mentioned reporting obligations in a single document.

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<sup>7</sup> The FC comprises IFAD, the UNDP, the World Bank, the UNCCD secretariat, the Global Environment Facility (GEF) secretariat, the Food and Agriculture Organization of the United Nations (FAO), the United Nations Environment Programme (UNEP), the African Development Bank (AfDB), the Asian Development Bank (AsDB), and the Consultative Group on International Agricultural Research (CGIAR).

<sup>8</sup> Decision 9/COP.3. The FC, in turn, was requested by decision 3/COP.8 to report in a coordinated fashion to the COP and the CRIC on issues relevant to its programme of work.

<sup>9</sup> Decision 3/COP.8, Annex (The Strategy).

<sup>10</sup> Ibid.

<sup>11</sup> These requests were:

- by decision 18/COP.2, to establish an ongoing process for consultation and collaboration with non-governmental organizations as well as with the private sector, and to submit a report to COP 3;
- by decision 3/COP.6, to develop and implement a two-year joint work programme for the secretariat and the GM under the latter's Business Plan and to submit a report to COP 7 which should include the required support to affected developing country Parties and other country Parties covered by Regional Implementation Annexes of the UNCCD, as well as a common awareness raising and information strategy, with the GM mandated to carry out resource mobilization tasks efficiently;
- by decision 5/COP.6 on the second review of the policies, operational modalities and activities of the GM, to report on progress made in carrying out the activities set forth in that decision;
- by decision 29/COP.6, for the COP to consider at its seventh session the progress made, inter alia, by the GM, in mobilizing financial resources to support UNCCD implementation, in particular national action programmes to combat desertification;
- by decision 4/COP.7, to prepare a document for COP 8, in the context of promotion of benchmarks and indicators, on options for financing instruments, institutions and processes for international and domestic finance for financing quantified, time-bound and costed targets relating to combating land degradation and desertification in a long-term perspective, starting with national action programmes and possible future consideration of subregional and regional action programmes, in collaboration with the members of its FC;
- by decision 3/COP.8, to present its proposed draft multi-year (four-year) work plan and two-year work programme to CRIC 7 for review and subsequently to COP 9 for consideration and adoption; by the same decision, the Executive Secretary and the GM were requested to submit a draft joint work programme, in accordance with paragraph 22 of The Strategy, at CRIC 7 and to submit it for consideration by COP 9.

<sup>12</sup> The only exemption was document ICCD/CRIC(6)/3/Add.1, submitted in response to decision 4/COP.7.

7. Three reviews of policies, operational modalities and activities of the GM took place at the third, sixth and eighth sessions of the COP<sup>13</sup>. An assessment of the GM, with recommendations, will be undertaken by the Joint Inspection Unit (JIU) of the United Nations.<sup>14</sup>

8. The provision that the GM should report to the CRIC at its sessions held during the sessions of the COP is the main difficulty in the GM reporting procedures. A similar provision exists for reporting by the Global Environment Facility (GEF), following the Memorandum of Understanding between the COP and the GEF, and for reporting by the secretariat. This means that the review of available information regarding the mobilization and use of financial resources and other support by multilateral agencies and institutions, which is currently a standing agenda item at inter-sessional sessions of the CRIC, is performed by the CRIC without information provided by the GM and the GEF, which are the two main institutions dealing with financial support to the implementation of the Convention. As a consequence, information from affected and developed country Parties cannot be compared over time with the information from the financial mechanisms, which means that the principle of comparability across regions and over time, which is among the priorities of restructuring of the CRIC stated in The Strategy, cannot be applied.<sup>15</sup>

9. The problem has already been acknowledged by the Ad Hoc Working Group (AHWG) on improving the procedures for communication of information (established by decision 8/COP.7).<sup>16</sup> In The Strategy the GM is requested to submit its reports on the implementation of The Strategy to both the CRIC and the COP.<sup>17</sup> The COP may wish to request the GM to provide reports on its support provided to affected country Parties at those sessions of the CRIC at which all Parties submit their reports.<sup>18</sup> Such reports would enable the CRIC to obtain more information relating to support to implementation and to ensure that the relevant draft decisions prepared for the COP can take deliberations on this topic into consideration.<sup>19</sup>

10. The AHWG recognized the need for specific reporting guidelines to be formulated for the GM, based on the Convention and the relevant decisions of the COP on the tasks and the reporting obligations of the GM. Such reporting guidelines, which are to be drafted in line with The Strategy (decision 3/COP.8), could be periodically adjusted in accordance with the deliberations of the CRIC on the periodic review of the policies, operational modalities and activities of the GM and ad hoc reporting obligations, as required.<sup>20</sup>

11. Although the GM has established several activities to respond to the financial information gathering and analysis aspects of its mandate stated in article 21 of the Convention, it has not been explicitly requested to contribute to synthesizing and analysing the reports

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<sup>13</sup> Convention text, article 21, paragraph 7, and decisions 9/COP.3 and 5/COP.6.

<sup>14</sup> Decision 3/COP.8.

<sup>15</sup> Decision 3/COP.8.

<sup>16</sup> In its deliberations, the AHWG proposed a compromise by which the GM would report to all sessions of the CRIC.

<sup>17</sup> Decision 3/COP.8, Annex (The Strategy).

<sup>18</sup> The timing and frequency of such CRIC sessions will be decided by COP 9 in the context of its consideration of the revision of the terms of reference of the CRIC.

<sup>19</sup> ICCD/CRIC(6)/6.

<sup>20</sup> Ibid.

received by the secretariat. Information provided by the GM on general trends in financial flows could usefully be drawn on by the CRIC for its policy deliberations and recommendations.

12. The COP recognized that the effective implementation of The Strategy requires mobilization of adequate, predictable and timely financial resources at all levels<sup>21</sup> and, in this context, dedicated special attention to the work of the GM as one part of the implementation framework. Strategic objective 4 of The Strategy (to mobilize resources to support implementation of the Convention through building effective partnerships between national and international actors) and operational objective 5 (financing and technology transfer: to mobilize and improve the targeting and coordination of national, bilateral and multilateral financial and technological resources in order to increase their impact and effectiveness) are both closely linked with the performance of the GM and its contribution to their achievement needs to be clearly recognizable in the GM reporting. The Strategy states that operational objective 5 is a key component of The Strategy and that the GM, given its specific mandate, has a central responsibility for contributing to this objective. The GM also has a supporting role for operational objectives 1 and 2.

13. Therefore, the national and regional indicators for the monitoring of the implementation of The Strategy to be adopted by the COP at its ninth session (COP 9) need to be closely linked with the information on the activities of the GM in support of affected country Parties, and thus reflected in the future reports of the GM. This document consequently follows the structure of the documents prepared on the reporting principles for affected and developed country Parties as well as those for intergovernmental organizations (IGOs) and United Nations organizations, the GEF, the secretariat and subregional and regional action programmes (ICCD/CRIC(7)/3/Add.1 to 5 and Add.7, respectively). It should be understood as a basis for the CRIC at its seventh session (CRIC 7) to provide further input in order for COP 9 to make a final decision on the reporting guidelines for the GM, as requested by decision 8/COP.8.

14. The indicators pertaining to the GM itself are part of the RBM framework of the GM and will also be reviewed by CRIC 7 and adopted by the COP 9, in the context of their consideration of the four-year work plan and the two-year work programme of the GM (ICCD/CRIC(7)/2/Add.3 and ICCD/CRIC(7)/2/Add.4, respectively). Thus it is expected that the reporting guidelines for the GM will be consistent with the RBM monitoring system established for its work plan and work programmes.

15. Decision 3/COP.8 also requests the Executive Secretary and the GM to include indicators of successful cooperation in their JWP, which takes an RBM approach, with the objective of strengthening the effectiveness of the synergistic services provided by the secretariat and the GM (ICCD/CRIC(7)/2/Add.5).

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<sup>21</sup> Decisions 3/COP.8 and 6/COP.8.

## II. Principles for reporting by the Global Mechanism

### I. CONTENT OF REPORTING

#### A. Consistency with the scope of the Convention, The Strategy and its objectives

Implementation	Implications
<p>(a) Reporting by the GM will be based on a new reporting format that facilitates: (a) assessment of the GM's contribution to the achievement of the scope, strategies and objectives of the Convention, with specific reference to the operational objectives set by The Strategy; (b) description of the extent to which the Convention and the implementation of action programmes under it have been supported by the GM under its programming instruments; and (c) provision of information on actions taken to respond to the reviews of the policies, operational modalities and activities of the GM, as well as its assessment by the JIU, and other relevant requests of the COP.</p> <p>(b) Particular emphasis will be placed on the provision of information from the GM on its achievements in response to operational objective 5 of The Strategy (financing and technology transfer: to mobilize and improve the targeting and coordination of national, bilateral and multilateral financial and technological resources in order to increase their impact and effectiveness), as well as its support for the achievement of operational objectives 1 (advocacy, awareness raising and education) and 2 (policy framework).</p>	<p>(a) Reflecting the scope of the Convention, The Strategy and its objectives in report content and the coherence of reporting with The Strategy will imply:</p> <ul style="list-style-type: none"> <li>(i) the development of a reporting format and guidelines for GM in conformity with its work plan and work programmes;</li> <li>(ii) the definition of indicators for the GM under its RBM, consistent with the indicators for operational objectives agreed upon by Parties.</li> </ul> <p>(b) According to decision 3/COP.8, the GM is supposed to be involved in the review of work programmes and NAPs that is required of affected country Parties, and to assist them with realignment according to The Strategy. Information relating to these activities should be an integral part of the reporting by the GM.</p>

#### Rationale

- (a) On many occasions, the COP has emphasized the role of the GM in facilitating not only access by affected country Parties to the funding necessary for the implementation of the Convention, but also their access to technology and know-how, awareness raising, education etc.
- (b) The COP recognized that the effective implementation of The Strategy requires the mobilization of adequate, predictable and timely financial resources at both the national and the international levels. The COP stressed that operational objective 5 on financing and technology transfer is a central component of The Strategy and that the GM has a central responsibility for contributing to this objective, given its mandate to increase the effectiveness and efficiency of existing financial mechanisms and to mobilize and channel substantial financial resources. The GM also has a supporting role in the implementation of operational objectives 1 and 2. In order to fulfil its role, the COP requested the GM to strengthen its capacity to mobilize existing as well as fresh sources of finance and to facilitate access to technology. In order to achieve these goals, the COP requested the GM to review its current work plan, maintaining the RBM approach, to make it consistent with The Strategy.

- (c) Information on the extent to which the GM contributes to the achievement of the scope of the Convention, The Strategy and its objectives, and the modalities through which it has responded to the deliberations of the COP, represent valuable information for enhancing the efficiency and effectiveness of the implementation of the Convention.

**B. Indicator-based analysis and assessment**

Implementation	Implications
<p>(a) The definition of a set of indicators for the operational and strategic objectives of The Strategy (a core set of indicators) is a process that needs to be completed as soon as possible, with the ultimate aim of having a well-defined core set of indicators in place at the beginning of the next reporting cycle.</p> <p>(b) Following decision 3/COP.8, the secretariat invited Parties to submit their proposals for indicators relevant to the achievement of the operational objectives of The Strategy. These will be consolidated and harmonized before CRIC 7 and, following the input received there, submitted to COP 9 for adoption. The CST and the GM would also be requested to advise on these performance indicators.</p> <p>(c) Two sets of indicators are proposed: ‘impact indicators’ to measure the progress achieved against the four strategic objectives of The Strategy; and ‘performance indicators’ to measure the progress achieved against five operational objectives of The Strategy.</p>	<p>(a) Performance indicators for the GM should be considered and adopted to measure its responsiveness to operational objective 5, as well as operational objectives 1 and 2. These indicators should be in line with the indicators to be set for Parties.</p> <p>(b) The GM should, for the sake of consistency and comparability, structure its report using the same indicator-based approach.</p>

Rationale
<p>(a) The Strategy places special emphasis on the adoption of an indicator-based approach to the assessment of progress with implementation of the Convention and to reporting thereon in order to improve the quantitative impact assessment of measures and programmes implemented within the scope of the Convention, which has so far has been limited or absent. While The Strategy adopted broad indicators to measure the level of achievement of its strategic objectives, to be refined by the CST and the GM/secretariat, it has not adopted indicators on the achievement of operational objectives. These are yet to be identified by the Parties.</p> <p>(b) An indicator-based approach implies the systematic analysis of indicators at each reporting cycle, in order to be able to reach conclusions on trends and recommendations for action. Indicators are common tools for supporting the monitoring and assessment of implementation and trends in the realm of sustainable development-related multilateral processes. The Convention on Biological Diversity (CBD), the Ramsar Convention on Wetlands and the Millennium Development Goals process all use indicators for monitoring purposes.</p> <p>(c) The AHWG also recognized the need to identify indicators to facilitate reporting on measurable impacts.</p>



### C. Attentiveness to the impact of the support provided

Implementation	Implications
<p>(a) One section of the new reporting format for the GM would be dedicated to the qualitative and, as far as possible, quantitative assessment of the impact of the support provided by it to affected country Parties. The assessment will comprise an analysis of the lessons learned, and of the drivers and the needs behind the drivers.</p> <p>(b) Based on the specific role the GM has in providing support to affected country Parties, there should be a differentiation between the financial support provided and other support (technical assistance, transfer of technology and know-how, awareness raising, education, etc.)</p>	<p>(a) Information on the impact of investments will improve understanding of the effectiveness of the support provided by the GM in delivering the expected outcomes of its four-year work plan, and encourage the development of a performance-based mechanism in support of activities under the Convention.</p> <p>(b) The impact of financial support may be derived by screening mid-term reviews and/or final evaluations of programmes, information that is usually available to the GM.</p> <p>(c) The analysis of impacts could also lead to the identification of best practices, as requested by decision 3/COP.8 and recommended by the AHWG.</p> <p>(d) Independent reviews may highlight important conclusions and provide recommendations. The GM should thus be encouraged to emphasize these findings in its reporting and to produce assessments of the efficiency and impact of the activities it has supported.</p>
<b>Rationale</b>	
Information on the impact of the programmes and projects for which the GM provides catalytic support would shed a clearer light on the possible need for improvements in project elaboration and implementation and would thus contribute to the lesson learning approach taken by the Convention process and by The Strategy in particular.	

**D. Coherence, comparability and comprehensiveness of financial information**

Implementation	Implications
<p>(a) Financial reporting by the GM will be based on a new reporting format (financial annex) common to all reporting entities.</p> <p>(b) The financial information required by the Convention should refer to the financial resources mobilized and used (i.e. committed and spent) for the implementation of the action programmes and should encompass both domestic and external resources.</p> <p>(c) The financial annex would not be a stand-alone solution, but complement a series of accompanying measures. Among these measures, preliminary consultations between the affected country Parties and their development partners, including the GM, are proposed in order to minimize discrepancies and avoid issues of over- or under-reporting.</p>	<p>(a) The financial annex will contribute to increased synergies among the Rio conventions, since it will be necessary to classify proposed projects against the three conventions and according to the Rio markers.</p> <p>(b) Guidelines related to the preparation of the financial annex will have to be prepared.</p> <p>(c) The establishment of national information systems in affected country Parties would enable a systematized approach to the collection of relevant information and would consequently allow systematic financial data flows between and among different stakeholders.</p> <p>(d) The application of the targeted operational objectives of The Strategy and the Rio markers (see ‘standardized and classified description of projects and programmes’) to each project would allow a more precise attribution of resources to UNCCD-related activities.</p>
Rationale	
<p>(a) Several major shortcomings were noted in the provision of financial information to the COP and the CRIC during the last three reporting cycles; for example, discrepancies in the information provided by donors and recipients, a lack of detail on financial flows and investments, double-counting of resources in the case of co-financed projects and discrepancies between the information submitted to the UNCCD and that submitted to the Development Assistance Committee of the Organization for Economic Co-operation and Development. The reasons behind the discrepancies in financial reporting include insufficient communication among the various actors and a lack of common understanding of UNCCD-related measures.</p> <p>(b) In order to overcome these constraints, the AHWG took up the proposal of the GM to adopt a standardized financial annex.</p> <p>(c) GM reports have so far not included information on financial flows in support of the implementation of the Convention.</p>	

## II. REPORTING FORMAT

### A. A simple, comprehensive and rational common format for reporting, following clear, logically structured and user-friendly reporting guidelines

Implementation	Implications
<p>(a) New guidelines for reporting need to be produced and agreed. These guidelines will steer the GM in the preparation of its reports. Maximum length limits will be set for each section of the report. Setting length limits should focus reporting on UNCCD-relevant topics.</p> <p>(b) The new format will include a project and programme sheet and the financial annex.</p> <p>(c) The project and programme sheet will be used to describe UNCCD-related projects and programmes that the GM has facilitated or is facilitating. It will be simple and harmonized with the structure of the financial annex.</p> <p>(d) Information included in the project and programme sheet will be classified according to UNCCD-specific relevant activity codes (RACs) and the Rio conventions-specific Rio markers.</p>	<p>(a) The reporting principles proposed here will be discussed by the Parties and observers at CRIC 7. On the basis of the feedback received from all the stakeholders, a set of reporting guidelines will be prepared. These will be proposed for adoption at COP 9.</p> <p>(b) Existing RACs should be reviewed by the GM in the light of The Strategy.</p> <p>(c) Decisions 24/COP.1, 25/COP.1 and 10/COP.3 determine the main focus for reporting by the GM to the COP and the CRIC. This should be reassessed and systematized in a new decision.</p>
Rationale	
<p>(a) The need to establish reporting guidelines for the GM for the first time was emphasized by the AHWG and acknowledged by decisions 8/COP.7 and 8/COP.8.</p> <p>(b) The complexity of the review process will be tackled by introducing a simple reporting format that allows for effective contributions by the GM to the review and assessment of the implementation of the Convention and of The Strategy. Simplicity should, however, not be achieved by jeopardizing comprehensiveness.</p> <p>(c) Complementary and coherent reporting guidelines are necessary in order to be able to gather information from all the stakeholders that can be compared both over time and across regions.</p>	

**B. Flexibility to accommodate new COP decisions, ad hoc COP requests and the specific characteristics of the reporting entities**

Implementation	Implications
<p>(a) The flexibility required in the new reporting format will be reflected by means of dedicated sections and the use of flexibly utilizable indicators.</p> <p>(b) The secretariat will screen COP decisions, starting with the tenth session of the COP, in order to identify whether new reporting requirements have emerged from COP decisions, and notify reporting entities accordingly. Revisions of reporting guidelines will be forwarded to the COP for adoption.</p>	<p>(a) The specificity of the GM, compared to other financial mechanisms, such as the GEF, will be taken into account, while not neglecting the need to have comparable and complementary information.</p> <p>(b) Members of the FC will have dedicated sections in their reports in which they can report according to their specific roles and the decisions made by the COP that refer to them. Opportunities should be provided for them to submit joint reports.</p>
<p><b>Rationale</b></p> <p>(a) There has been a number of requests from the COP in the past for the GM to report to it on various topics.</p> <p>(b) Reporting should in future comply with the provisions of decisions made by the COP; however, it should be flexible enough to accommodate:</p> <ul style="list-style-type: none"> <li>(i) reporting on issues perceived as important by the COP and by the GM;</li> <li>(ii) COP deliberations that may supersede existing ones and may imply changes in implementation;</li> <li>(iii) ad hoc requests by the COP for reporting on specific issues.</li> </ul> <p>(c) The COP has invited the FC to revise its mandate and to adopt a JWP aligned with The Strategy. Individual members of the FC were invited to develop consistent and complementary financing platforms and to align their activities with The Strategy of the UNCCD. The FC should report in a coordinated fashion to the COP and the CRIC on issues relevant to its programme of work (decision 3/COP.8).</p> <p>(d) The GM was also requested to report, jointly with the secretariat, on the implementation of their JWP and, in a clear and transparent way, on the effective share of labour and the use of the core and voluntary funds relating to their JWP (annex to decision 3/COP.8). It is proposed that this be carried out as part of the reporting on the GM to the CRIC at the sessions held during the COP, when CRIC will also discuss the four-year work plans and two-year work programmes of both these institutions individually.</p>	

**C. Enabling the collection of best practices and success stories**

Implementation	Implications
<p>(a) The new reporting format should facilitate the extraction of best practices, success stories and case studies related to the implementation of the Convention. Case studies may also focus on important lessons learned.</p> <p>(b) The GM may provide important added value to this knowledge-sharing process by focusing on lessons learned.</p>	<p>(a) A section in the new reporting format dedicated to the presentation of best practices and success stories will assist the secretariat and the CRIC with discharging their mandates, as determined by decisions 1/COP.6 and 3/COP.8, respectively.</p> <p>(b) There is a need to define the topics and areas along which these best practices should be structured and classified. A methodology and consultations on criteria are needed.</p> <p>(c) The UNCCD website, where best practices could be collected for sharing among all stakeholders, would need to be adapted to the new categories agreed for the classification of best practices. This would need to be decided by the COP.</p>

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**Rationale**

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- (a) The Strategy calls for effective knowledge-sharing systems to be in place for supporting both policymakers and end-users in the implementation of the Convention. Best practices and success stories are considered an integral part of this knowledge.
  - (b) The AHWG further recommended that information on best practices and success stories be included in the reports submitted to the COP and the CRIC.
  - (c) The GM could contribute to this process by reporting on best practices and success stories, and also on case studies and lessons learned, by highlighting those which were obtained during the mid-term and final reviews of UNCCD-related projects and programmes.
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**D. Standardized and classified description of projects and programmes**

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Implementation	Implications
<ul style="list-style-type: none"><li>(a) Reporting by the GM will be based on a newly established reporting format, including a project and programme sheet.</li><li>(b) Information included in the project and programme sheet will be classified according to the given UNCCD-specific RACs and the Rio conventions-specific Rio markers.</li><li>(c) The format should be kept as simple as possible, so that information may be easily retrieved from, or fed into, other existing databases, such as the FIELD engine of the GM.</li></ul>	<ul style="list-style-type: none"><li>(a) Development of the project and programme sheet format will be necessary as well as of guidelines on how to use them.</li><li>(b) It will also be necessary for the GM to review and update the RACs, in line with The Strategy.</li><li>(c) Descriptions of projects and programmes supporting the implementation of the Convention, the enactment and/or execution of which it has facilitated, should become a major element of the reports produced by the GM.</li></ul>

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**Rationale**

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- (a) A project and programme sheet will guide the description of projects and activities in order to produce comprehensive information that is also common to other United Nations organizations and IGOs. The aim is twofold: to ensure that all the organizations provide the same type of information, and to standardize its presentation.
  - (b) This classification will be used to support the processing of the financial information provided in the financial annex. The classification aims to overcome the lack of guidance on identifying and classifying relevant activities, which was highlighted by the GM as one of the reasons behind the poor quality of financial reporting.
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### III. REPORTING PROCESS

#### A. The reporting times for the various reporting entities

Implementation	Implications
(a) The timing of the submission of reports by reporting entities and the future format of CRIC sessions will be discussed at CRIC 7 and decisions adopted at COP 9. COP 9 will consider and adopt the terms of reference of the CRIC. (b) A sequence for the delivery of reports within each reporting cycle could be set.	Various decisions by the COP would need to be revised in order to ensure consistency.

#### Rationale

- (a) The reporting time for the GM needs to be linked with the reporting time of other reporting entities and considered together with the revision of the work programme of the CRIC.
- (b) The Convention and the COP requested the GM to report to each session of the COP. Decision 3/COP.8 (The Strategy) requested the GM to report to the CRIC and the COP on the implementation of The Strategy, based on an RBM framework. However, the CRIC sessions held during the sessions of the COP, which have so far taken up the reports of the GM, have not reviewed the implementation of the Convention based on reports submitted. This has so far been the task of the CRIC at inter-sessional sessions. This means that, at inter-sessional sessions, the CRIC was taking up the reports of affected country Parties, developed country Parties, IGOs and United Nations organizations, but not the GM, the secretariat and the GEF. This negatively affects the comprehensiveness and comparability of the information to be provided to the CRIC and hinders its capacity to fully assess the implementation of the Convention and of The Strategy.
- (c) The GM was also requested to report, jointly with the secretariat, on the implementation of the JWP and, in a clear and transparent way, on the effective share of labour and the use of the core and voluntary funds relating to the JWP (decision 3/COP.8). It is proposed that this be done as part of the reporting of both institutions to the sessions of the CRIC and the COP, as requested by decision 3/COP.8, at which they will also discuss the four-year work plans and two-year work programmes of these institutions.
- (d) Regular information flows from the UNCCD to other international processes (e.g. the other Rio conventions, or global/regional exercises) would also add to the reputation of the Convention as a reliable source of data related to desertification/land degradation and drought processes, and would facilitate cross-country comparability and trend analysis. This is in line with the third operational objective of The Strategy, which calls for the Convention to become a global authority on scientific and technical knowledge pertaining to desertification/land degradation and mitigation of the effects of drought.

#### B. An appropriate interval between reporting cycles

Implementation	Implications
The timing of the submission of reports by reporting entities and the future format of CRIC sessions will be discussed at CRIC 7 and adopted at COP 9. COP 9 will consider and adopt the terms of reference of the CRIC.	Various decisions by the COP would need to be revised in order to ensure consistency.

#### Rationale

The GM has so far reported to the COP and the CRIC every two years. The reporting cycle of the Parties has varied over time. The determination of the new reporting cycle for all reporting entities should take into consideration the request by decision 3/COP.8 that reports should be comparable across regions and over time.

### C. Efficient treatment of information across the reporting process

Implementation	Implications
<p>(a) Classification – either of numerical or narrative material - is an efficient way to make the information retrievable and analytical enough for assessment. With the adoption of the new reporting format, more compatible and comprehensive information should be expected. Thus, classification may become feasible, which would enable a more systematic analysis of information. Once classified, it will be possible to automatically extract or retrieve this information from reports.</p> <p>(b) With regard to the use of classification in programmes and projects, the use of the Rio markers shall be considered for all reporting entities. The attribution of Rio markers will be undertaken in the financial annex. Programmes and projects will also be categorized according to the new strategic and operational objectives of The Strategy.</p> <p>(c) The programmes and projects described by the GM would be classified according to Rio markers and RACs. Classification based on RACs will relate to the main objectives of the project and, possibly, to the project's main activities.</p> <p>(d) The RACs are being continually updated by the GM. Their review and adaptation to better reflect the strategic and operational objectives of The Strategy will be completed before the beginning of the next reporting cycle, and in time to be included and presented in the revised reporting guidelines.</p>	<p>(a) Analysis of the information obtained from reports will be shared between the secretariat and the GM (the latter being charged with analysing the information relating to financial matters).</p> <p>(b) Information systems shared between the two organizations are needed to support the analysis of classified information obtained from reports.</p> <p>(c) The establishment of information systems implies, among other things:</p> <ul style="list-style-type: none"> <li>(i) definition of the type of data to be retrieved and stored;</li> <li>(ii) determination of data flows from the different sources to the system;</li> <li>(iii) definition of data collection procedures;</li> <li>(iv) identification of persons dedicated to the system and of their roles;</li> <li>(v) definition of activities for recording, storing, and managing the data;</li> <li>(vi) capacity building will also be necessary.</li> </ul> <p>(d) The secretariat will need the necessary technical and financial resources to implement this classification. It should be decided how these resources will be identified and mobilized.</p> <p>(e) The classification of the information provided in the reports may be carried out by an independent institution. The classification is intended to attribute codes and key words to the content of the reports, creating a database from which information may easily be retrieved by means of simple search functions.</p>
<p>Rationale</p>	
<p>(a) Information retrieval and compilation are the basis of reporting. In particular, the AHWG recommends the establishment of compatible information systems, databases or procedures for collecting relevant information at the country level and for monitoring the financial flows.</p> <p>(b) The GM recommended a methodology for the identification and weighting of activities related to UNCCD topics within a wider portfolio of development and environmental projects.</p> <p>(c) The projects described by the GM would be classified according to the RACs and the Rio markers. Classification based on the RACs will relate to the project's main objectives and, possibly, to the project's main activities.</p> <p>(d) The COP has deliberated on a number of occasions on the relationship between the GM and the GEF and the role of two organizations and their respective mandates (decisions 24/COP.1, 25/COP.1, 18/COP.2, 17/COP.3, 5/COP.6, 7/COP.7, 6/COP.7, 3/COP.8). The compatibility of the data provided by the GM and the GEF should be ensured, in the context of the complementarity of the two institutions.</p>	

**D. Facilitating the development of synergies with the other Rio conventions**

Implementation	Implications
Indicators to be developed in relation to outcome 5.4 need to be clearly reflected in the reporting guidelines for the GM.	The proposed financial annex to the reports envisages the categorization of projects under the three Rio conventions. The GM will be able to derive some preliminary information on the levels of synergy among the conventions and, eventually, to compile this information into a database to be shared with the CBD and the United Nations Framework Convention on Climate Change (UNFCCC).

**Rationale**

- (a) An overall framework for harmonized reporting to the three Rio conventions is highly desirable, but unlikely to be achieved in the short term. This is due to national and international complexities at the institutional level.
- (b) Nevertheless, mainstreaming among strategies (CBD), national programmes (UNFCCC) and action programmes (UNCCD) could be facilitated by improving the coordination and circulation of information at the national and local levels, and by establishing national committees on sustainable development and national environmental information systems.
- (c) In particular, initiating the setting up of country information systems, common to the three conventions, may improve the efficiency of reporting obligations under each Rio convention, a topic on which decision 8/COP.8 has requested the secretariat to advise, in consultation with the Joint Liaison Group, the aim of which is the strengthening of cooperation in the implementation process of the three Rio conventions.
- (d) Outcome 5.4 of operational objective 5 of The Strategy refers to a synergistic approach to investments to combat desertification.
- (e) The COP has deliberated on a number of occasions on the linkage between synergies and the GM mandate and activities (decisions 5/COP.7, 4/COP.8, 5/COP.8, for instance).



### **III. Conclusions and recommendations**

16. This document is an addendum to document ICCD/CRIC(7)/3, which includes conclusions and recommendations relating to both the generic reporting principles and those pertinent to the GM in particular. They are before CRIC 7 for review and consideration. The feedback received will be taken into account in preparing draft reporting guidelines to be submitted to COP 9 for any decision it may wish to take on this matter.

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