



**PROJECT DOCUMENT**

**SECTION 1: PROJECT IDENTIFICATION**

**1.1 Project title:** Support to 20 GEF Eligible Parties for Alignment of National Action Programs and Reporting Process under UNCCD (Add-on Umbrella 2)

**1.2 Project number:** GFL/ADDIS NO 929

**1.3 Project type:** PMS:  
FSP

**1.4 Trust Fund:** GEF

**1.5 Strategic objectives:**  
 GEF strategic long-term objective: LD  
 Strategic programme for GEF V: LD-4

**1.6 UNEP priority:** Environment Governance

**1.7 Geographical scope:** Global 20 countries (Mali, Indonesia, Somali Republic, Thailand, Vietnam, Maldives, Rwanda, Sudan, Myanmar, Ethiopia, Mozambique, Egypt, Malawi, Namibia, Barbados, Mauritius, Eritrea, Swaziland, Belize, Chile)

**1.8 Mode of execution:** Internal

**1.9 Project executing organization:**

**1.10 Duration of project:** 24 months  
 Commencing: September 2012  
 Technical completion: 24 Months.

**Validity of legal instrument:** 24 months

<b>1.11 Cost of project</b>	<b>2,000,000</b>	
	<b>US\$</b>	<b>%</b>
Cost to the GEF Trust Fund	<b>1,000,000</b>	<b>50</b>
Co-financing	<b>1,000,000</b>	<b>50</b>

Cash		
	<b>National Governments</b>	<b>200,000 10</b>
<i>Sub-total</i>		<b>200,000 10</b>
	In-kind	
	<b>National Governments</b>	<b>800,000 40</b>
<i>Sub-total</i>		<b>1,000,000 50</b>

## 1.12 Project summary

1. The main objective of the project is to facilitate access to GEF funding by 20 countries for Enabling Activities to meet their obligations under the UNCCD a) alignment of NAPs with 10-Year Strategy and b) Reporting and Review process.
2. The obligation of the Parties to communicate to the COP for consideration at its ordinary sessions, through the secretariat, reports on the measures that they have taken for the implementation of the Convention was established in article 26 of the United Nations Convention to Combat Desertification (UNCCD, the Convention). Article 23 of the Convention assigned to the UNCCD Secretariat (the secretariat) the specific functions of: (i) facilitating assistance to affected developing country Parties, on request, particularly those in Africa, in the compilation and communication of information required under the Convention; and (ii) compiling and transmitting reports submitted to it.
3. In reviewing the preliminary results from the 2010 Reporting and Review process, the ninth meeting of the CRIC (CRIC9) confirmed that the adoption of the PRAIS system represents a major and fundamental step forward towards improved evidence-based decision-making within the UNCCD. The Parties confirmed their strong commitment to the full implementation of PRAIS, including through the incorporation of the Impact Indicators<sup>1</sup> during the 2012 reporting exercise, and called for further improvement of the approach and strengthening of the capacity building activities for country Parties<sup>2</sup>. Furthermore, the analysis of the progress made against the Performance Indicator CONS-O-13 for outcomes 3.3 and 3.4 of the Strategy, shows that amongst the over 120 reporting countries only two (2) had already a NAP fully aligned to the Strategy (ICCD/CRIC9/5). In this respect, CRIC 9 has clearly identified NAP alignment as a priority for the UNCCD and called for intensification of efforts in this respect by affected Parties, including through the financial assistance of the GEF secretariat (ICCD/CRIC9/16 p 5-6).
4. Taking into consideration decisions taken by Parties at COP 10, the current project aims to support national actions that contribute to the overall strategic goal of the GEF in the Land Degradation Focal Area to increase capacities of countries to fulfil their obligations in accordance with the provisions provided in the UNCCD. The long term objective is to contribute to better targeted investments in sustainable land management worldwide achieved through country-driven, results-based NAPs aligned with The Strategy and based on solid, scientific knowledge on impacts of desertification, land degradation and drought (DLDD) and sustainable land management (SLM) responses. The immediate objective of the project is to support the NAP alignment and reporting process by providing direct financial support to Countries.

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<sup>1</sup> Documents relevant to the impact indicators are: ICCD/COP(10)/CST/2 Report on the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/3 Template and reporting guidelines on strategic objectives 1, 2 and 3 for affected country Parties; ICCD/COP(10)/CST/INF.1 Report on the scientific peer review for the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/INF.2 Report on the pilot tracking exercises for the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/INF.6; Methodological guide on the use of impact indicators to measure progress against strategic objectives 1, 2 and 3; **ICCD/COP(10)/CST/4-ICCD/CRIC(10)/14** Guidelines for the preliminary analysis of information contained in reports from Parties and other reporting entities.

<sup>2</sup> ICCD/CRIC(9)/16, p.15, paragraph 84, 87 and 88; p. 16, paragraph 91; and p. 17, paragraph 105.

<http://www.unccd.int/cop/officialdocs/cric9/pdf/16eng.pdf>

<sup>3</sup> ICCD/COP(9)/13, Annex III – CONS-O-10 “Number of revised NAPs/SRAPs/RAPs reflecting knowledge of DLDD drivers and their interactions, and of the interaction of DLDD with climate change and biodiversity”.

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## ACRONYMS AND ABBREVIATIONS

10YSP	10-Year Strategic Plan and Framework to Enhance the Implementation of the Convention
AEWA	African-Eurasian Waterbird Agreement
AHWG	Ad Hoc Working Group
CBD	UN Convention to Combat Desertification
CITES	Convention on Trade in Endangered Species
CMS	Convention on Migratory Species
COP	Conference of the Parties
CRIC	Committee for the Review of Implementation of the Convention
CSO	Civil Society Organization
CST	Committee on Science and Technology
DELC	Division of Environmental Law and Conventions
DEPI	Division of Environmental Policy and Implementation
DLDD	Desertification, Land Degradation and Drought
DGEF	Division of Global Environment Facility Cooperation
EA	Executing Agency
EO	UNEP Evaluation Office
FIELD	Financial information engine on land degradation
ICA	Internal Cooperation Agreement
IFAD	International Fund for Agricultural Development
GM	Global Mechanism
ICT	Information and Communication Technologies
IDRC	International Development Research Centre
IGO	Intergovernmental organization
JIU	Joint Inspection Unit
KM	Knowledge Management
KMS	Knowledge Management System
LADA	Land Degradation Assessment in Drylands
LDC	Least Developed Countries
M&E	Monitoring and Evaluation
MA	Millennium Ecosystem Assessment (or Millennium Assessment)
MDG	Millennium Development Goals
MEA	Multi-lateral Environmental Agreements
MSP	Medium-Sized Project
NAP	National Action Programme
NCB	National Coordinating Body
NCSA	National Capacity Self-Assessment
NEA	National Executing Agency
NFP	National Focal Point
NGO	Non-governmental organization
ODA	official development assistance
OO	Operational Objectives
UNCCD	UN Convention to Combat Desertification
UNFCCC	UN Framework Convention to Combat Climate Change

UNDP  
UNEP  
UNEP-WCMC

United Nations Development Programme  
United Nations Environment Programme  
United Nations Environment Programme World  
Conservation Monitoring Centre

## SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

### 2.1. Background and context

3. The obligation of the Parties to communicate to the COP for consideration at its ordinary sessions, through the secretariat, reports on the measures that they have taken for the implementation of the Convention was established in article 26 of the United Nations Convention to Combat Desertification (UNCCD, the Convention). Article 23 of the Convention assigned to the Permanent Secretariat (the secretariat) the specific functions of: (i) facilitating assistance to affected developing country Parties, on request, particularly those in Africa, in the compilation and communication of information required under the Convention; and (ii) compiling and transmitting reports submitted to it.
4. At COP 7, the Parties, drawing lessons from the three reporting cycles conducted thus far, decided to start a process aimed at helping to improve the procedures for communication of information and the quality and format of reports, and established the Ad Hoc Working Group (AHWG) to this end. In its reports to the CRIC and the COP, the AHWG laid the foundation for the development of new reporting tools by calling for the new guidelines to be: user-friendly, consistent, comprehensible and standardized; facilitate comparison and consolidation at sub-regional, regional and global level and progress assessments in the implementation of action programmes of The Strategy; be concise yet comprehensive; be in line with COP decisions; and allow for the development of synergies with other reporting obligations. The AHWG also stressed that reports to be produced on the basis of these guidelines should concentrate on impacts achieved, and on the use of quantifiable indicators to measure progress against objectives.
5. The adoption of The Strategy enabled this new approach to reporting to come to its full fruition. The Strategy is based on two sets of objectives: four Strategic Objectives with seven expected impacts, and five Operational Objectives with 21 related outcomes. These expected impacts and outcomes are to be measured through two sets of indicators. The reporting guidelines are developed on the basis of this approach and should serve as a tool for all the reporting entities submitting reports on the implementation of the Convention and The Strategy, enabling them to prepare reports which are organized in a way that facilitates analysis at all possible levels.
6. At COP 8 the Parties by Decision 3/COP 8 adopted the 10-Year Strategy and “Urges affected developing country Parties, and any other affected country Party within the framework of its Regional Implementation Annex, **to align their action programmes** and other relevant implementation activities relating to the Convention with The Strategy by, inter alia, addressing the outcomes under the five Operational Objectives” the COP also “*Requests* Parties to report on progress made in their implementation of The Strategy, based on the reporting guidelines to be considered at the ninth session of the COP (COP 9)”.
7. In accordance with COP 9 decision, the UNCCD and its Parties, with the technical and financial support from the GEF and UNEP, implemented in 2010 the first steps required for the practical implementation of the GEF funded, UNEP implemented and UNEP-WCMC executed Performance Review and Assessment of the Implementation System (PRAIS), the new monitoring and assessment framework of the Convention. Over 120 country Parties and other reporting entities successfully submitted to the UNCCD Secretariat their official reports using the new harmonized and indicator-based, template made available through the PRAIS portal ([www.unccd-prais.com](http://www.unccd-prais.com)). For the first time in the history of the Convention, this has allowed the establishment of a solid and quantitative baseline for monitoring progress towards the achievement of the objectives of the Strategy, notably on awareness raising, Performance Indicator, financial flows and best practices on Sustainable Land Management (SLM) technologies. This achievement highly recognized by Parties

during CRIC 9 and CRIC10, as GEF support to the Convention through UNEP and the UNCCD Secretariat efforts, has really materialized the paradigm shift in the convention implementation.

8. In reviewing the preliminary results from the 2010 Reporting and Review process, the ninth meeting of the CRIC (CRIC9) confirmed that the adoption of the PRAIS system represents a major and fundamental step forward towards improved evidence-based decision-making within the UNCCD. The Parties confirmed their strong commitment to the full implementation of PRAIS, including through the incorporation of the Impact Indicators<sup>4</sup> during the 2012 reporting exercise, and called for further improvement of the approach and strengthening of the capacity building activities for country Parties<sup>5</sup>. Furthermore, the analysis of the progress made against the Performance Indicator CONS-O-10<sup>6</sup> for outcomes 3.3 and 3.4 of the Strategy, shows that amongst the over 120 reporting countries only two (2) had already a NAP fully aligned to the Strategy (ICCD/CRIC9/5). In this respect, CRIC 9 has clearly identified NAP alignment as a priority for the UNCCD and called for intensification of efforts in this respect by affected Parties, including through the financial assistance of the GEF secretariat (ICCD/CRIC9/16 p 5-6).
9. Decision 2/COP.10 on Strengthening and enhancing the process of alignment of action programmes with The Strategy, i) *Urges* affected country Parties and Regional Implementation Annexes to intensify their efforts to align their national, subregional and regional action programmes with The Strategy; ii) *Invites* developed country Parties and financial institutions to provide funding assistance to eligible country Parties, as well as to subregional and regional organizations in charge of subregional and regional action programmes and the alignment of action programmes at all levels; iii) *Acknowledges* the efforts made by the Convention institutions in support of the alignment process and requests them to continue providing affected country Parties with the support they require to build institutional and technical capacity for the effective alignment and implementation of the action programmes within available resources; iv) *Encourages* Parties to coordinate more closely with relevant subregional organizations through the Regional Coordination Mechanisms and their executive committees, where established, in an effort to promote subregional and regional action programme alignment and implementation within the framework and the timeframe of The Strategy; v) *Further requests* the Convention institutions to continue providing the relevant technical assistance for the preparation, revision and alignment of subregional and regional action programmes; and vi) *Requests* the Executive Secretary, in coordination with the Global Environment Facility, to report to the Conference of the Parties at its eleventh session, through the Committee for the Review of the Implementation of the Convention, on implementation of the provisions of the present decision.
10. Decision 11/COP.10 on Collaboration with the Global Environment Facility, Requests the Executive Secretary, in consultation with the United Nations Environment Programme, the Global Mechanism and the Global Environment Facility, to further explore the feasibility and modalities of a global programme of support to the national, subregional and regional action programme alignment and reporting process, taking into consideration the feedback received from Parties at the tenth session of the Committee for the Review of the Implementation of the Convention; Urges Parties to access the

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<sup>4</sup> Documents relevant to the impact indicators are: ICCD/COP(10)/CST/2 Report on the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/3 Template and reporting guidelines on strategic objectives 1, 2 and 3 for affected country Parties; ICCD/COP(10)/CST/INF.1 Report on the scientific peer review for the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/INF.2 Report on the pilot tracking exercises for the refinement of the set of impact indicators on strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/INF.6: Methodological guide on the use of impact indicators to measure progress against strategic objectives 1, 2 and 3; ICCD/COP(10)/CST/4-ICCD/CRIC(10)/14 Guidelines for the preliminary analysis of information contained in reports from Parties and other reporting entities.

<sup>5</sup> ICCD/CRIC(9)/16, p.15, paragraph 84, 87 and 88; p. 16, paragraph 91; and p. 17, paragraph 105.

<http://www.unccd.int/cop/officialdocs/cric9/pdf/16eng.pdf>

<sup>6</sup> ICCD/COP(9)/13, Annex III – CONS-O-10 “Number of revised NAPs/SRAPs/RAPs reflecting knowledge of DLDD drivers and their interactions, and of the interaction of DLDD with climate change and biodiversity”.

Global Environment Facility funding available for enabling activities, in accordance with Global Environment Facility procedures, to meet their obligations under the Convention, either (a) through a Global Environment Facility agency, (b) via direct access or (c) under an umbrella project

11. *Decision 13 COP 10, Requested* affected country Parties and annexes to give priority to the alignment of national action programmes, subregional action programmes and regional action programmes with The Strategy, and *also requested* that adequate financial and technical support should continue to be made available to affected country Parties through their technical and financial partners. The Decision *Invited* affected country Parties to increase their efforts to establish or further improve existing national monitoring systems dealing specifically with desertification/land degradation and drought and also invited developed country Parties and relevant organizations to provide additional technical and financial support to affected country Parties to establish, maintain and improve integrated desertification/land degradation and drought-specific national monitoring systems to contribute to the harmonization of diverse environmental monitoring systems.
12. Taking into consideration the above decisions taken by Parties at COP 10, the current project aims to support national actions that contribute to the overall strategic goal of the GEF in the Land Degradation Focal Area to increase capacities of countries to fulfil their obligations in accordance with the provisions provided in the UNCCD. The long term objective is to contribute to better targeted investments in sustainable land management worldwide achieved through country-driven, results-based NAPs aligned with The Strategy and based on solid, scientific knowledge on impacts of desertification, land degradation and drought (DLDD) and sustainable land management (SLM) responses. The immediate objective of the project is to support the NAP alignment and 2012 reporting process by providing direct financial and limited technical support to Countries.

## **2.2. Global significance**

13. Before Parties adopted decision 3/COP.8 (The Strategy), the CRIC was basing its recommendations for enhancing implementation of the UNCCD on qualitative description contained in national reports. National Reports, albeit helpful both at national and international level, presented only snapshots of progress made in individual countries without allowing the CRIC and therefore Parties to compare information across regions and over time. Scientific information was scant and in case it was provided, different units of measurement and inconsistency in the provision of scientific data provided made a sound assessment of progress made in the implementation difficult. Parties therefore decided that standardized information was required and Parties at COP 8 agreed to introduce an indicator-based reporting that would allow for comparison to be made, while improving the scientific base.
14. The introduction of indicator-based reporting represents a paradigm shift for UNCCD monitoring and assessment that will also impact the sub-regional but more directly the national levels where Parties will be requested to establish national monitoring and assessment systems that will represent the means through which Parties regularly report to COPs. In the short- and medium-term, relevant capacity building and improved knowledge management are needed, while the long term aim is to enable Parties to provide credible and verifiable information to COP, using the agreed-upon minimum sets of performance and Impact Indicators. Its final beneficiaries will be national stakeholders involved in land degradation and desertification monitoring that will operationalize the reporting system, including the need for the establishment of national environmental monitoring and assessment systems. Since the UNCCD has a total number of 193 Parties of which approximately 140 consider themselves affected, the effect and relevance of project activities undertaken is



considerable and has global significance in the Sustainable Land Management and decision making for resources allocation.

15. At COP9 Parties provisionally adopted reporting guidelines and the new monitoring and assessment process of CRIC, followed by the first reporting cycle for the period 2010 – 2013. Parties at CRIC 7 favored the option to review first in 2010 Performance Indicators (the PRAIS project) through an intersessional session of the CRIC, followed by the review of Impact Indicators in 2012 (the present project). Both sessions of CRIC in 2011 and 2013 will deal with targeted recommendations emanating from the review undertaken across regions and over the same time span<sup>7</sup>.
16. The roles of indicators vary according to their users (Moldan et al., 1997). Initially, indicators were developed to measure progress and to inform decision-makers as well as the public about current trends in a timely and policy-relevant manner (Atkinson and Hamilton, 1996). Another important task for indicators is to provide early warnings about the future. Indicators can also be used as tools for providing the common language needed when dealing with emerging or complex issues, to raise discussion and to set targets by decision-makers. The important role of indicators in political debate is to support discussion and to convince others; i.e., they are tools for discussion (Rosenström, 2002). The global significance of this project therefore includes gathering and synthesizing information from various sources, increasing public awareness about desertification problems, and providing decision-makers with adequate, reliable and timely information for decision-making and a common basis for scientifically assessing progress of the Convention implementation.

### **2.3. Threats, root causes and barrier analysis**

17. Developed as a result of the Rio Summit, the United Nations Convention to Combat Desertification (UNCCD) is a unique instrument that has brought attention to land degradation as a global issue in particular in the drylands where some of the most vulnerable ecosystems and people in the world exist. After a decade of implementation, it is recognized that limiting factors have prevented optimal deployment of the Convention at national and regional levels. Chief among these factors are a lack of adequate and predictable financial resources, lack of mainstreaming, weak scientific basis, insufficient advocacy and awareness among various constituencies, institutional weaknesses and difficulties in reaching consensus among Parties when compared with its two Rio sister conventions, the CBD and the UNFCCC.
18. Also, the UNCCD operates today in an environment that has evolved considerably since when it was first negotiated, and it faces different opportunities and constraints which will condition its implementation in the forthcoming decade. The scientific environment has also evolved with the work of the Millennium Assessment (MA) on dryland ecosystems, which has contributed to improved understanding of the biophysical and socio-economic trends relating to land degradation in global drylands, and their impacts on human and ecosystem well-being. The MA has also contributed to mapping out key gaps in data and knowledge on dryland ecosystems and people. In addition, the Land Degradation Assessment in Drylands (LADA) project, executed by FAO with funding from GEF, UNEP and other partners, assesses the causes and impacts of land degradation at global, national and local levels in order to detect hot spots and identify remedial measures. The project, approaches land degradation as a biophysical, social, economic and environmental issue that must be dealt with through a combination of geo-informational, scientific and knowledge tools.

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<sup>7</sup> It is to be noted that substantive review of information obtained from countries or stakeholders is done through sessions of the CRIC that are not convened in conjunction with the COP (intersessional sessions). Those sessions convened in conjunction with COPs deal with negotiations of draft decisions emanating from the review process undertaken at previous intersessional sessions.

19. Before Parties adopted decision 3/COP.8 (The Strategy), the CRIC was basing its recommendations for enhancing implementation of the UNCCD on qualitative descriptions contained in national reports. National reports, albeit helpful both at national and international level, presented only snapshots of progress made in individual countries without allowing the CRIC and therefore Parties to compare information across regions and over time. Scientific information was scant and in case it was provided, different units of measurement and inconsistency in the provision of scientific data provided made a sound assessment Convention implementation difficult. Parties therefore decided that standardized information was required and Parties at COP 8 agreed to introduce an indicator-based reporting that would allow for comparison to be made, while improving the scientific base.
20. *Reporting faces many challenges. For example, gathering and harmonizing the data from different countries, making the desired impact on the selected target group and evaluating the effectiveness of the reporting process. Reporting is difficult due to the complexity and scope of environmental issues. In addition, recent demands to integrate wide range of economic, social and cultural aspects to address sustainable development have emerged (Sheate et al., 2003). Nevertheless, as the state of the environment has deteriorated and awareness of the problems increased, needs to produce reports providing decision-makers and the public with adequate information have increased considerably<sup>8</sup>.*
21. *As reporting became a more regular practice for the environmental authorities, another barrier can be ‘information overload’. The amount of environmental data available has grown to be so vast as to impair effective selection and use of the most relevant information for decision-making. The use of the Performance Indicators can highlight information about desertification phenomena.*
22. *Indicators based reporting is a new paradigm in UNCCD reporting. National and regional priorities and specificity may be a barrier to a harmonized reporting by Parties. While the common set of indicators provisionally adopted by COP 9 will be utilized as pilot for the first reporting cycles, Parties recognized flexibility of reporting entities and the use of Regional Technical Institutions will allow for harmonization and lessons learning for future fine-tuning of the process.*
23. *Decision 13/COP.9 envisaged completion of 80 per cent of the alignment process by 2014, and recognizes that this target is attainable only through a renewed focused commitment, particularly on the part of affected country Parties. Decision 2 COP 10 recognized that the action programme alignment process may present a challenge for affected country Parties as well as for the Convention institutions that are expected to render support in this regard, and that it will require strong and effective support through the Regional Coordination Mechanisms and from all Parties.*

**Table 1: Annex I of Decision 13/COP.9**

*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*

**Provisional impact indicators for strategic objectives 1, 2 and 3**

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<sup>8</sup> The Role of Indicators in Improving Timeliness of International Environmental Reports, Ulla Rosenström\* and Jari Lyytimäki. Finnish Environment Institute, Helsinki, Finland (2006)

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

The two impact indicators highlighted constitute the minimum required for reporting by affected countries beginning in 2012: i) Proportion of the population in affected areas living above the poverty line; ii) Land cover status. Although recommended, the remaining impact indicators on the list, are optional for inclusion in reports by affected countries

*Table 2: Overview and attribution of the performance indicators*

Outcome	Indicator n°	Indicator name	Affected	SRAPs & RAPs	Developed	UN & IGOs	GEF	Secretariat	GM
1.1	CONS-O-1	Number and size of information events organized on the subject of DLDD and/or DLDD synergies with climate change and biodiversity, and audience reached by media addressing DLDD and DLDD synergies.							
1.2	CONS-O-2	Number of official documents and decisions at international, regional and subregional level relating to DLDD issues.							
1.3	CONS-O-3	Number of CSOs and science and technology institutions participating in the Convention processes.							
	CONS-O-4	Number and type of DLDD-related initiatives of CSOs and science and technology institutions in the field of education.							
2.1	CONS-O-5	Number of affected country Parties, subregional and regional entities to have finalized the formulation/revision of NAPs/SRAPs/RAPs aligned to The Strategy, taking into account biophysical and socio-economic information, national planning and policies, and integration into investment frameworks.							
2.2									
2.3									
2.4	CONS-O-6	Number of partnership agreements established within the framework of the Convention between developed country Parties/United Nations and IGOs and affected country Parties.							
2.5	CONS-O-7	Number of initiatives for synergistic planning/programming of the three Rio conventions or mechanisms for joint implementation, at all levels.							
3.1	CONS-O-8	Number of affected country Parties, subregional and regional entities to have established and supported a national/subregional/ regional monitoring system for DLDD.							
3.2									
	CONS-O-9	Number of affected country Parties, subregional and regional entities reporting to the Convention along revised reporting guidelines on the basis of agreed indicators.							
3.3	CONS-O-10	Number of revised NAPs/SRAPs/RAPs reflecting knowledge of DLDD drivers and their interactions, and of the interaction of DLDD with climate change and biodiversity.							
3.4									
3.5	CONS-O-11	Type, number and users of DLDD-relevant knowledge-sharing systems at the global, regional, subregional and national levels described on the Convention website.							
3.6	CONS-O-12	Number of science and technology networks, institutions or scientists engaged in research mandated by the COP.							
4.1	CONS-O-13	Number of countries, subregional and regional reporting entities engaged in building capacity to combat DLDD on the basis of NCSA or other methodologies and instruments.							
4.2									
5.1	CONS-O-14	Number of affected country Parties, subregional and regional entities whose investment frameworks, established within the IFS devised by the GM or within other integrated financing strategies, reflect leveraging national, bilateral and multilateral resources for combating desertification and land degradation.							
5.2	CONS-O-15	Amount of financial resources made available by developed country Parties to combat DLDD.							
	CONS-O-16	Degree of adequacy, timeliness and predictability of financial resources made available by developed country Parties to combat DLDD.							
5.3	CONS-O-17	Number of DLDD-related project proposals successfully submitted for financing to international financial institutions, facilities and funds, including the GEF.							
5.5	CONS-O-18	Amount of financial resources and type of incentives which have enabled access to technology by affected country Parties.							

2.4.

#### 2.4. Institutional, sectoral and policy context

24. In September 2007, the eighth session of the Conference of the Parties (COP 8) adopted the 10-Year Strategic Plan and Framework to enhance the implementation of the Convention (2008–2018) (The Strategy). A restructuring of the secretariat has been undertaken as one of the main outcomes of a corporate review to facilitate the implementation of The Strategy. The new structure of the secretariat 2010 (SNS 2010), which was proposed by the Executive Secretary of the Convention in 2008, is intended to make the secretariat more responsive to the delivery of services to Parties, with greater attention to the need to support the continuum between knowledge management, communication and policy advocacy, and facilitation of implementation and monitoring.
25. As part of this reorientation of the secretariat, and following recommendation 12 of the 2005 report of the Joint Inspection Unit, a desk-to-desk workload analysis took place in 2009. The workload analysis involved a review of the interim staffing structure of the secretariat during the transitional period leading to COP 9 and of the proposed permanent structure of the secretariat after COP 9, and an analysis of the human resources required for delivery of the expected outputs in the programme of work.
26. The policy environment has changed considerably since Rio with the adoption of the Millennium Development Goals (MDGs), the outcomes of the World Summit on Sustainable Development (WSSD), increased support to Africa and the least-developed countries, stronger commitment for climate change mitigation and adaptation, prospects of global agricultural trade liberalization, and growing numbers of environmental refugees and migrants shedding new light on the impacts of poverty and environmental degradation. The scientific environment has also evolved with the work of the Millennium Assessment (MA) on dryland ecosystems, which has contributed to improved understanding of the biophysical and socio-economic trends relating to land degradation in global drylands, and their impacts on human and ecosystem well-being. The MA has also contributed to mapping out key gaps in data and knowledge on dryland ecosystems and people.
27. The financing environment has also changed profoundly in the last decade, with the Global Environment Facility (GEF) becoming a financial mechanism of the Convention, official development assistance (ODA) flows increasing again after a decade of stagnation, and declining resources for rural development and agriculture. Donors have refocused their financing strategies to support country-driven priorities, based on Poverty Reduction Strategy Papers (PRSPs) and other country-led development planning instruments. Lastly, various innovative financing instruments have come to life, including payments for ecological services and carbon finance. This new environment provides the starting point for this Strategic Plan along with an assessment of the successes and limiting factors of the Convention as it enters its second decade. This Strategic Plan provides a unique opportunity to address some of the Convention's key challenges, to capitalize on its strengths, to seize opportunities provided by the new policy and financing environment, and to create a new, revitalized common ground for all UNCCD stakeholders.
28. COP 8 *requested* that the various Convention bodies develop their respective RBM multi-year (four-year) programmes of work in line with The Strategy and report on progress in implementation at the Committee for the Review of the Implementation of the Convention (CRIC). *COP.9 envisaged completion of 80 per cent of the alignment* process by 2014. The indicator-based reporting and NAP alignment are in line with these decisions.

#### 2.5. Stakeholder mapping and analysis

### 2.5.1 Beneficiary Stakeholders

29. **National Governments / country Parties including national CSO:** They are the key players in putting into operation the implementation of UNCCD and its Strategy, in accordance with their national priorities and in a spirit of international solidarity and partnership. They are responsible for the development and implementation of NAPs and have an obligation to report regularly to the COP on their activities.
30. **The UNCCD Secretariat and the Global Mechanism:** The UNCCD Secretariat and the GM will according to their respective mandates and within the limit of their approved budget, produce the revised templates and an upgraded PRAIS portal. They will provide within their mandate Helpdesk Services and will give guidance to the reporting and NAP alignment processes.
31. **Local authorities:** They are often in nested hierarchies (e.g. municipalities within districts within provinces). It is typically at one of these levels where direct resource allocation is made for the implementation of projects. Local authorities need to lobby central government for resources, and have to report back to government on achievements. Local authorities are typically the primary agency responsible for law enforcement in relation to land use, and may be empowered to set local regulations. In some instances local government is directly responsible for land use management and the management of anti-desertification activities.
32. **The land user** is the key level at which sustainable land management initiatives are implemented. It is also unique in that it is where livelihoods are directly affected and where the individual directly invests their own resources and time into land management.
33. **The Committee on Science and Technology:** Operational objective 3 on science, technology and knowledge is a central component of the Strategic Plan. The CST is given primary responsibility to fulfill this objective as well as a support role for implementing operational objective 1. In order to fulfill this mandate, the CST shall be strengthened to assess, advise and support implementation, on a comprehensive, objective, open and transparent basis, of the scientific, technical and socio-economic information relevant to understanding the causes and impacts of desertification/land degradation, and shall inform COP decisions.
34. **The Committee for the Review of the Implementation of the Convention:** The CRIC plays a central role in reviewing the implementation of the Strategy through an effective review process and documenting and disseminating best practices from experience in implementing the Convention, thereby bringing a cross-cutting contribution to all Operational Objectives. COP 9, by adopting the new terms of reference of the CRIC and the PRAIS system, has paved the way to a more effective review process<sup>9</sup>. Overall, the CRIC shall be strengthened to improve feedback loops to measure progress and support continuous improvement in implementing the Strategy.
35. **The Global Environment Facility:** The COP invited the GEF to take into account the Strategic Plan and to align its operations accordingly in order to facilitate effective implementation of the Convention. These include (i) GEF Council to provide in the fifth replenishment of the GEF adequate, timely and predictable financial resources, including new and additional financial resources, for the Focal Area on Land Degradation.; (ii) GEF to facilitate access by affected country Parties, particularly those in Africa, to the full range of GEF funds available for the implementation of projects and programmes relating to land degradation and desertification.; (iii) GEF to continue implementing the GEF Council decision taken at its May 2003 meeting, by which it recognized that when assisting affected country Parties under the next reporting cycle, the formulation of national, sub-regional or regional action programmes or national reports is considered to be a component in

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<sup>9</sup> See also the previous section on the CRIC new mandate and functions.

the framework of capacity-building projects, and thus eligible for funding; (iv) Global Mechanism in collaboration with the GEF implementing and executing agencies, to improve assistance to affected developing country Parties and other eligible country Parties, where appropriate, in identifying and accessing the co-financing from donors which is necessary to enable access to GEF project funding for land degradation projects, in conformity with The Strategy, while emphasizing the complementary role of the GEF.

36. **The Regional Coordination Mechanisms:** Under the new institutional setup of the UNCCD, the Regional Coordination Mechanisms (RCMs) are composed of regional committees, thematic programme networks and regional coordination units (RCUs)<sup>10</sup>. RCMs have been enhanced after COP 9 and strengthen their capacity to promote regional approaches and coordination in the implementation of the Convention.

#### 2.5.2. Partner stakeholders

37. **Global policy stakeholders (UN Agencies, International Agreements):** Desertification is considered an issue of global environmental concern i.e. the consequences of desertification have drivers and impacts beyond the boundaries of the country concerned. At this level policy makers need to lobby for global and national support for programs for combating desertification, and therefore need information to support their motivations for interventions. The parties to the UNCCD are the key stakeholder at this level, along with the UNCCD Secretariat. Desertification also has links to international treaties in the areas of biodiversity, climate change, ocean ecosystems, poverty reduction and sustainable development. Issues such as international trade rules, though not directly linked to the UNCCD, may have profound implications on land use practices which could enhance or reduce desertification. Providing appropriate information to support international investment into combating desertification is the key requirement at this juncture. In most cases, investment is made through bilateral agreements by development partners, and the funders wish to be assured that their investment is both appropriate and likely to result in beneficial returns i.e. decisions are based on the severity of the consequences and the probability (and track record) of investment reversing the consequences. The nature of the returns will inevitably be compared against alternative investments. At the global level the allocation of resources to supranational or national levels is a key consideration. An important information requirement relates to the reporting obligations specified by the conventions.
38. **Supranational Regional Stakeholders** (subregional, regional and international organizations) coordinate response strategies so as to rationalize the use of resources. There are also likely to be decisions around the allocation of resources within a region, as well as lobbying for funding to the region. Supranational cooperation may be required, for instance in facilitating transboundary activities, including the establishment of information systems. Supranational level reporting may take place, but this tends to be less important than the national level reporting.
39. **The Media:** The media play a critical role in translating and distributing information in a manner that is easily understood by the non-technical population. It plays a critical role in awareness raising and information dissemination.

#### 2.6. Baseline analysis and gaps

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<sup>10</sup> See decision 3/COP.9 on 3/COP.9 on mechanisms to facilitate regional coordination of the implementation of the Convention.



40. The 10-Year Strategic Plan and framework to enhance the implementation of the Convention (the Strategy) has paved the way for the evolution of a new monitoring and assessment process within the UNCCD. The review and monitoring system will be based primarily on the derivation of Performance Indicators to measure progress against the Operational Objectives (OO) of the Strategy, and Impact Indicators to measure progress against the Strategic Objectives (SO) contained in national, sub regional and regional profiles. Special attention will be placed on measuring investment flows for UNCCD implementation and on the establishment of a knowledge management system, including the dissemination of good practices emanating from the reports that will complement and reinforce the review process undertaken by the Committee for the Review of Implementation of the Convention (CRIC).
41. However, it should be noted that, up to recently, the reporting by Parties was done without any thorough analysis of the baseline to assess progress against the objective of the Convention. Another constraint is the fact that each reporting process stands as a separate process without clear linkage of what has been learned from the past reporting cycles. At regional level, the coordination mechanism lack clear resources and capacities to fulfill their obligation which is sometime the cause for non-harmonized or insufficient reporting of the Convention implementation at regional or sub-regional levels.
42. Some of the key limitations or gaps in current observational systems include inadequate density in spatial and temporal sampling, short or discontinuous records, unreliable data or lack of ancillary information needed for their proper interpretation, data inaccessibility or inappropriate data exchange policies, the degradation or destruction of historical archives and the lack of standards for the measurement, quality control, archival and distribution of data. Establishing a knowledge management system, which would complement and integrate with the observing systems of sister organizations for the UNFCCC and UNCBD, would go a long way towards providing an effective framework to address these issues and support national efforts in this direction.
43. The Strategy, with its clearly defined Strategic Objectives (SO) and Operational Objectives (OO) to achieve enhanced implementation of the Convention, requires all existing action programmes (NAPs, SRAPs and RAPs) (including those under preparation) to reflect the new implementation framework adopted by the Convention<sup>11</sup>. It also introduces a new monitoring and assessment process within the UNCCD, the Performance Review and Assessment of Implementation System (PRAIS) which is based on sets of performance and Impact Indicators to measure, respectively, progress against the operational and Strategic Objectives. Special attention is also placed on measuring investment flows for UNCCD implementation and dissemination of best practices. After the successful undertaking in 2010 of the first leg of the 4<sup>th</sup> Reporting and Review process on the Performance Indicators, financial flows and best practices on SLM technologies, the UNCCD Secretariat will initiate in 2012 the second leg of the 4<sup>th</sup> Reporting cycle that will also include reporting on the Strategic Objectives, using the set of identified Impact Indicators.
44. The project aims to respond directly to the decisions 3/COP8 which in adopting the Strategy urges and recognizes “the need for Parties to align their NAPs” and 2/COP9 on “Alignment of the action programmes with The Strategy” which call for:
- Affected country Parties to use the alignment guidelines as the reference tool in aligning NAPs and other relevant implementation activities with the 5 Operational Objectives of The Strategy;
  - The Secretariat to facilitate provision of technical assistance to affected country Parties for review, alignment and/or revision of NAPs;

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<sup>11</sup> The alignment of the NAPs is imbedded in the Strategy itself, which puts forward in the outcome areas 2.2 and 2.3 that a revision by affected country parties of their NAP into strategic documents based on socio-economic and biophysical baseline information and integrated in relevant sectoral and investment plans and policies, including integrated investment frameworks, is necessary in order to achieve operational objective two.

- GM/Secretariat, in accordance with their mandates, to financially assist affected country Parties to develop integrated investment frameworks to foster resource mobilization for NAP alignment ;
  - Developed country Parties and financial institutions to assist with funding to eligible country Parties for review, alignment and revision of NAPs.
45. To support the countries in fulfilling their obligation to the convention. GEF through this project is contributing resources at country level to support NAPs alignment and /or reporting process depending on the countries priorities.

## **2.7.Linkages with other GEF and non-GEF interventions**

46. The project will build on the work already done by the UNCCD Secretariat in terms of awareness raising and consultation with Parties in the field of NAP alignment. The action will also build on the achievements of the UNEP-GEF Performance Review and Assessment of Implementation System (PRAIS) project and on the findings of the refinement of the set of Impact Indicators to measure progress on Strategic Objectives 1, 2, 3 and 4 of the Strategy. The PRAIS project has built a momentum in which regional centres utilized to support countries are taking more active role in supporting UNCCD activities in their region. Some of these centres including CILSS and COMIFAC are developing partnership with other donors to support UNCCD capacity building needs in their respective region. This umbrella project will build synergies with these processes and create linkage on how to make the activities complementary.
47. The establishment of monitoring and assessment systems at the various levels will be synergistic as much as possible with the monitoring and reporting needs of the other Rio Conventions. The project will particularly gain lessons from the on-going UNEP/GEF pilot project on piloting integrated processes and approaches to facilitate national reporting to Rio Conventions (FNR\_Rio) which may provide an additional opportunity to field test the Impact Indicators and their integration into national monitoring systems in the six recipient countries.
48. UNEP/GEF PRAIS project has supported regional coordination of UNCCD processes through the establishment of Regional Centres which play an active role. Some of these regional centres (e.g. CILSS, COMIFAC) have taken steps in mobilizing partnership at regional level to support UNCCD process through implementation of important baseline projects. UNEP will ensure through this umbrella project, synergies with these initiatives. Furthermore, UNCCD Secretariat, GEF and UNEP have agreed to go for a second umbrella project if Parties requested so. The second umbrella, which is actually under discussion, will be maintained in coherence with the present project and more importantly, the Helpdesk envisaged in this project will service the two initiatives.
49. In relation with linkage with United Nations Development Assistance Framework (UNDAF), the Delivering as ONE UNEP Regional Coordinators in relevant regions will ensure that project is mainstreamed into UNDAF and follow up with project Task Manager to facilitate the integration of project activities are reflected into UNDAF results matrixes in the UNDAF roll out countries either during the strategic programmes retreat or at annual reviews. To enforce its commitment to the DLDD issues, UNEP is actually developing a Drylands Strategy, which, when finalized will confirm at corporate level, the consideration of UNCCD related activities as part of it entire programme of work.

## **SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)**

### **3.1. Project rationale, policy conformity and expected global environmental benefits**

50. The project intends to support the achievement of the overall goal of the GEF-5 Focal Area strategy for Land Degradation (to contribute to arresting and reversing current global trends in land degradation, specifically desertification and deforestation) by responding directly to its Strategic Objective 4 (LD-4) “Adaptive Management and Learning: Increase capacity to apply adaptive management tools in Sustainable Land Management” and, in particular, its outcome 4.1 “Increased capacities of countries to fulfil their obligations in accordance with the provisions provided in the UNCCD”. The project will contribute directly to the objective of the Focal Area by providing primarily financial assistance to 20 affected country Parties for alignment of their National Action Programmes (NAPs) to the UNCCD 10-year and for an effective 2012 Reporting and Review process based on the recently introduced Performance Review and Assessment of Implementation System (PRAIS) of the UNCCD. A very limited amount of technical support will be offered through consultancies at national level and a common online information sharing platform for participating countries.
51. Alignment of the national plans to combat desertification to the global, results-based framework of the Convention and the indicators-based reporting are a priority for the UNCCD. By providing resources to the umbrella project to address financial needs at the national level the GEF plays its catalytic role in supporting the countries to fulfil their obligations vis – à – vis the Convention

### **3.2. Project goal and objective**

52. The project aims to respond directly to the decisions 3/COP8 which in adopting the Strategy urges and recognizes “the need for Parties to align their NAPs” and 2/COP9 on “Alignment of the action programmes with The Strategy” which call for:
  - Affected country Parties to use the alignment guidelines as the reference tool in aligning NAPs and other relevant implementation activities with the 5 Operational Objectives of The Strategy;
  - The Secretariat to facilitate provision of technical assistance to affected country Parties for review, alignment and/or revision of NAPs;
  - GM/Secretariat, in accordance with their mandates, to financially assist affected country Parties to develop integrated investment frameworks to foster resource mobilization for NAP alignment ;
  - Developed country Parties and financial institutions to assist with funding to eligible country Parties for review, alignment and revision of NAPs.
53. The project goal is to contribute to better targeted investments in Desertification Land Degradation and Drought (DLDD). The objective is to facilitate access to GEF funding by 20 countries for Enabling Activities to meet their obligations under the UNCCD by supporting NAP alignment and 2012 reporting process.
54. To support the countries in fulfilling their obligation to the convention. GEF through this project is contributing resources at country level to support NAPs alignment and /or reporting process depending on the countries priorities.
55. The immediate objective of the project is to support the NAP alignment and reporting process by providing direct financial support to Countries.

### **3.3. Project components and expected results**

56. **COMPONENT 1: NAP revision and alignment.** Under this component, the key outcome is “ 20 Countries have aligned their NAPs with the UNCCD 10 Year Strategy and institutionalized them

within future government development framework” . The output will be: Output 1.1. NAP Submitted that are aligned according to UNCCD guidance and validated at country level. **Output 1.2.** “Measures taken to mainstream aligned NAP with UNCCD 10 Years Strategy in UNDAF process and dialogue with other donors at country level”. Countries utilizing GEF resources will implement NAP alignment-related activities such as stocktaking, consultations, and revision of policies and programmes. The aligned NAPs will be linked to national development agenda, a rigorous UNCCD reporting and review process, including national-level impact indicators and tracking tools, based on the performance and impact indicators called for by the COP. National reporting tools will be utilized by the countries and linked to national processes, encouraging a feedback loop with the UNCCD’s Strategic Objectives. The project will liaise with the responsible unit of the UNCCD Secretariat on approaches and technical assistance for action programme alignment, where appropriate.

57. **COMPONENT 2: 2012 Reporting and Review process.** The key outcome from the execution of the component is “Outcome 2: Countries have prepared and submitted their national reports for the second leg of the 4th reporting and review process”. The key output under the component will be : Output 2.1. National reports that include impact performance indicators and approved by COP9 prepared and submitted by 20 countries. On the basis of information made available by the UNCCD Secretariat as part of its work to facilitate reporting, countries utilizing GEF resources for this component will address national level priorities related to the reporting and review process. It is expected that countries will be in a position to take full advantage of services delivered by the UNCCD Secretariat and the GM according to their respective mandates and within the limit of their approved budget, including revised templates and an upgraded PRAIS portal so that information can be uploaded onto the global database. The project will liaise closely with the UNCCD Secretariat/GM in order to fine-tune timelines of activities relating to reporting at global/regional levels (UNCCD Secretariat) and national level (the project).
58. **COMPONENT 3: Umbrella Coordination and Helpdesk to national-level activities for NAP Alignment and 2012 Reporting and Review process (accepted and financed through the first Umbrella project, to which this project is an Add- On).** This add – on project will be coordinated by UNEP as Implementing Agency through a Project Coordination Assistant who will be recruited under this component (carried out and financed by the first umbrella project) and will be under the supervision of the UNEP Task Manager. The key outcome is “Outcome 3: Strengthened national capacity and systems for assessment of socio-economic and biophysical baseline of DLDD to inform NAP revision, implementation and monitoring, including data gathering and country-relevant indicators”. The key output from the component will be: Output 3.1: Practical guidance and know-how on NAP alignment and UNCCD 2012 indicators based (Performance and Impacts) reporting. The Project Coordination Assistant will (i) liaise with country teams to support the national level processes; (ii) support countries with comments on the process and the content of the outputs prepared; and (iii) assist the UNEP Task Manager in all non-oversight roles. The UNEP Project Coordination Assistant liaises with financial staff of UNEP to develop the 20 Small Scale Financial Agreements (SSFA) with countries, disburse funds and support countries on questions on funds. A limited amount of online technical assistance will be provided for national stakeholders to meet minimum requirements in delivering reports using Performance Indicators (assistance provided by UNCCD Secretariat through co-financing) and Impact Indicators and advising on NAP alignment (assistance provided by the UNEP-WCMC on sub-contractual basis paid through the first umbrella). The technical support will take the form of ad hoc distance guidance to national teams and basic online resources including an existing collaboration tool (‘Basecamp’) developed during the UNCCD Impact Indicator Pilot Tracking Exercise ([www.impact-pilot.unccd.int](http://www.impact-pilot.unccd.int)) for participating countries to share documents and experiences, enabling peer-to-peer support.
59. The UNEP Project Coordination Assistant and UNEP Task Manager will be supported in these tasks by UNEP-WCMC on sub-contractual basis paid through first umbrella project. The decision to use UNEP-WCMC to support the project execution is governed by (i) the recognized experience of the centre in the Rio Conventions processes, (ii) the experience and highly satisfactory results of the centre in supporting UNCCD

Parties during the PRAIS project, (iii) the experience of the centre in providing Helpdesk support on Impact Indicators during their successful piloting through 11 countries in collaboration with UNCCD Secretariat; and (iv) the increasing work of the centre in supporting DLDD global agenda particularly by coordination the development of the UN Common response to drylands (UNEMG 2011 Global Drylands: A UN system-wide response). UNEP-WCMC and the UNCCD have signed a Memorandum of Cooperation (MoC) in which they agree to collaborate on PRAIS and capacity building related to monitoring, indicators assessment and reporting, in order to support the implementation of The Strategy. UNEP-WCMC will assign staffs situated in Cambridge UK who support the Project Coordination Assistant on the Helpdesk function and creation of a common database that will provide technical guidance to countries on NAP alignment and Impact Indicator reporting processes. Under this component, the project will also support the Terminal Evaluation, facilitating the assessment of project achievements and more importantly will draw lessons that will inform the future GEF and other partners investments and cooperation for UNCCD Enabling Activities.

60. The project will be coordinated by UNEP as Implementing Agency through a Project Coordination Assistant who will be recruited under this component and will be under the supervision of the UNEP Task Manager. The key outcome is “Outcome 3: Strengthened national capacity and systems for assessment of socio-economic and biophysical baseline of DLDD to inform NAP revision, implementation and monitoring, including data gathering and country-relevant indicators”. The key output from the component will be: Output 3.1: Practical guidance and know-how on NAP alignment and UNCCD 2012 indicators based (Performance and Impacts) reporting.. The Project Coordination Assistant will (i) liaise with country teams to support the national level processes; (ii) support countries with comments on the process and the content of the outputs prepared; (iii) assist the UNEP Task Manager in all non-oversight roles. The Project Coordination Assistant liaises with financial staff of UNEP to develop the 20 Small Scale Financial Agreements (SSFA) with countries, disburse funds and support countries on questions on funds. A limited amount of online technical assistance will be provided for national stakeholders to meet minimum requirements in delivering reports using Performance Indicators (assistance provided by UNCCD Secretariat through co-financing) and Impact Indicators and advising on NAP alignment (assistance provided by the UNEP-WCMC on sub contractual basis). The technical support will take the form of ad hoc distance guidance to national consultancies and basic online resources including an existing collaboration tool (‘Basecamp’) developed during the UNCCD Impact Indicator Pilot Tracking Exercise ([www.impact-pilot.unccd.int](http://www.impact-pilot.unccd.int)) for participating countries to share documents and experiences, enabling peer-to-peer support.

### **3.4. Intervention logic and key assumptions**

61. The project implementation will be done in line with the UNCCD next National Reporting cycle which will be based on the Performance Indicators approved by COP 9, the information received on financial flows and best practices. The COP guidance both on reporting timelines and guidelines will be used to guide the process. The project implementation can be viewed in the diagram bellow summarising the whole Theory Of Change (TOC) to which the project is addressing. However, the implementation can be broadly divided in the following sequential steps.
62. The first step will be to consider COP 9 and 10 guidance and recommendations to ensure stakeholders understand the reporting and NAP alignment tools and guidelines and their capacity built at national level and support provided at international level to embark on these two processes. The tools include the reporting guidelines, the Performance and Impact Indicators, the Standard Financial Annexes (SFA) and Programme and Project Sheets (PPS), the best practices annexes, dedicated section for additional information for each reporting entity and the guidelines for NAP alignment. At the end of this process, relevant capacity building for handling the assessment, reporting and NAP alignment processes are designed and conducted. At the end of this step, all

stakeholders are aware of and have strengthened their knowledge of the baseline assessment, reporting and NAP alignment tools and guidelines. This should involve communication and awareness activities among all stakeholders involved in the project so that all relevant staff and institutions are aware of the new approach and have sufficient capacity. This step will also give the opportunity to Parties to conduct the necessary capacity building at national level with the Helpdesk support in maintaining a sustainable NAP implementation and reporting mechanisms including regular updating of necessary data.

63. The second step will be mainly oriented towards the baseline assessment at the national level. This assessment will come out in each country; with a national baseline assessment report which is based on the COP approved Performance and Impacts Indicators, but also on biophysical and socio-economic information and data, institutional and policies context. The assessment will provide relevant information and options for adequate reporting and NAP alignment. The national baseline assessment reports will serve as the basis for regional baseline assessment reports, which will then lead to the global baseline assessment document. While the national baseline assessment will be country-led, the regional synthesis will be conducted by the Regional Coordination Mechanisms established under the UNCCD, and particularly the RCUs. At each of these levels, Helpdesk support will be provided by project and Convention bodies on the need assessment basis. Both the national and regional baseline assessment reports will pave the way for the reporting of Performance and Impact Indicators.
64. The third step of the process will contain two key elements: the National Reports and the NAP alignment. The national report elaboration and NAP alignment will take the advantage of the baseline data to report on the UNCCD implementation against the approved Performance and Impact Indicators, but also to align the NAPs. Since Parties' reporting on UNCCD implementation and NAP alignment are core mandates of the UNCCD Secretariat and taking into consideration COP 9 and 10 decisions the GM as well, the approach of reporting to COP and NAP alignment will need to be discussed and agreed upon with the UNCCD Secretariat and the GM, taking into consideration - inter alia - the mandate and the work of the CST on this matter.
65. The last step of the process will allow the development of regional synthesis of the Convention implementation.
66. All these steps are unfolded with the assumption that enough resources are available to cover all eligible countries Parties. If additional resources are not available to compliment GEF contribution, countries will be encourage to mobilize additional resources including from national budget and local development partners in conducting the indicator-based performance and impacts reporting paradigm for UNCCD implementation. It is also assumed, contrary to what use to be seen in the past, that all eligible Parties will be committed in the timely implementation of the project so as to reach the 2012 fourth national reporting and 2014 NAP alignment targets.
67. Another assumption which supports the project implementation, is that Convention Bodies adopted a reasonable reporting timeline, but continue to consider that the Performance and Impacts Indicators-based reporting cycles will allow to feed Mid- Term Evaluation of 10-Year Strategy.
68. It is also assumed that UNCCD will give a full support to the process and commits the institutions at all level in active participation of the process.

### **3.5. Risk analysis and risk management measures**

The project risks and mitigating measures are highlighted in the table below:

Risk Type	Risk Probability	Potential Impact	Risk mitigation measures
<p><b>Political and institutional risks:</b> Limited uptake of NAP alignment and adoption of the Impact Indicators due to lack or insufficient capacity at national level.</p> <p>NAP alignment and reporting to the UNCCD may be considered as a lower priority for developing countries</p>	<p>Medium</p> <p>Low</p>	<p>Medium</p> <p>Low</p>	<p>The project relies on services delivered at global level by the Convention's bodies. Although these institutions are duty bound to provide services to Parties on reporting and alignment according to their mandate and COP decisions, the quantity and the quality of such services highly depend on voluntary contributions still to be secured.</p> <p>Parties have already identified and confirmed NAP alignment and improved DLDD assessment as a major priority during CRIC 9. The country-led approach of the project will minimize risk of limited uptake.</p> <p>The UNCCD activities will be mainstreamed in the national development strategies and policies demonstrating the national benefits of enhanced monitoring and assessment of DLDD issues achieved through the UNCCD process. Parties' confirmation of NAP alignment as priority will also favour to mitigate the risk.</p>
<p><b>Financial risk:</b> Limited availability of financial resources was identified as a major constraint by CRIC9 both for the process of NAP alignment and the reporting process.</p> <p>Insufficient resources to support country level activities through Technical assistance which may result in poor or late project outputs delivery</p>	<p>Medium</p>	<p>Medium</p>	<p>To mitigate this risk and in support of the country drivenness approach, the project will provide GEF resources at country level to support stakeholders' involvement and consultations, and strong linkage with national development agendas. These GEF catalytic resources will foster ownership and a country-driven process which will provide an enabling environment for more resources mobilization to combat desertification at national levels.</p> <p>The project Helpdesk will be remotely supporting countries in the process although the available resources for this function may not be sufficient to support cost of full time qualified personnel to support the project.</p>
<p><b>Project timeframe:</b> Potential lack of capacity in the</p>	<p>High</p>	<p>High</p>	<p>Following the experience in 2010, Parties at COP10 called for a six month period for the next reporting cycle in order to</p>

participating countries for implementing the EAs			<p>allow time to negotiate partnerships for e.g., data access.</p> <p>The project will adhere to timelines set by the UNCCD convention process which necessitates close liaison with the Convention's institutions</p> <p>The timely availability of reporting tools and alignment guidelines, GEF funding and the involvement of the UNCCD focal points at the national level will help countries to deliver on time. Each participating country will clarify how it will address the issues related to timeline set by the Convention Bodies for NAP alignment and reporting</p>
<p><b>Technical risk</b></p> <p>Complexities and limitations with regards to methodologies and data availability for the Impact Indicators and NAP baseline assessment. It should be highlighted that the impact indicator pilot study included a large number of countries receiving support from the FAO Land Degradation Assessment (LADA)<sup>12</sup> programme and may not be representative of all affected countries.</p>	High	High	<p>The very minimal technical support offered will go some way towards overcoming the most pressing technical constraints. This minimal support however has a cost. An additional financial support on the Helpdesk will go a long way to minimize this risk and greatly enhance the chances of delivery project outputs/outcomes.</p>
<p><b>Climate risk:</b></p> <p>In the last 5 years, there have been climatic extremes in various regions and countries throughout the world, ranging from floods to concurrent droughts. If such extremes occur during the project period, there is a risk that stakeholders' attention will be diverted.</p>	Low	Low	<p>The capacity building strategy will focus on strengthening the causal relationships between climate risk and land degradation and evidence will be developed, notably in the drylands, to clearly show that appropriate monitoring and assessment of land degradation is an integral part of the adaptation measures being developed and promoted to address the risks associated with climate change.</p>

### 3.6. Consistency with national priorities or plans

69. Over the last decades the UNCCD has undertaken a major reform process aimed at making the UNCCD process more efficient, transparent, accountable and focused. The adoption by the Parties

<sup>12</sup> FAO/LADA is a multi-year programme providing capacity building and technical assistance to participating countries that is not available to other countries. Furthermore, countries participating in the pilot study were selected the UNCCD CST Bureau to represent all UNCCD Annexes and not the different levels of capacity available among affected country Parties.



(decision 3/COP.8) in 2007 of the 10-Year Strategic Plan and Framework to Enhance the implementation of the Convention (2008-2018) has paved the way for a results-based approach to global and national efforts to combat desertification.

70. The Strategy, with its clearly defined Strategic Objectives (SO) and Operational Objectives (OO) to achieve enhanced implementation of the Convention, requires all existing action programmes (NAPs, Sub-regional Action Programmes (SRAPs) and Regional Action Programme (RAPs)) (including those under preparation) to reflect the new implementation framework adopted by the Convention<sup>13</sup>. It also introduces a new monitoring and assessment process within the UNCCD, the “Performance Review and Assessment of Implementation System” (PRAIS) which is based on sets of performance and Impact Indicators to measure, respectively, progress against the operational and Strategic Objectives. Special attention is also placed on measuring investment flows for UNCCD implementation and dissemination of best practices. After the successful undertaking in 2010 of the first leg of the 4<sup>th</sup> Reporting and Review Process on the Performance Indicators, financial flows and best practices on SLM technologies, the UNCCD Secretariat will initiate in 2012 the second leg of the 4<sup>th</sup> reporting cycle that will also include reporting on the Strategic Objectives, using the set of identified Impact Indicators.
71. The project aims to respond directly to the decisions 3/COP8 which in adopting the Strategy urges and recognizes “the need for Parties to align their NAPs” and 2/COP9 on “Alignment of the action programmes with The Strategy” which call for:
- Affected country Parties to use the alignment guidelines as the reference tool in aligning NAPs and other relevant implementation activities with the 5 Operational Objectives of The Strategy;
  - The Secretariat to facilitate provision of technical assistance to affected country Parties for review, alignment and/or revision of NAPs;
  - GM/Secretariat, in accordance with their mandates, to financially assist affected country Parties to develop integrated investment frameworks to foster resource mobilization for NAP alignment ;
  - Developed country Parties and financial institutions to assist with funding to eligible country Parties for review, alignment and revision of NAPs.
69. To support the countries in fulfilling their obligation to the convention. GEF through this project is contributing resources at country level to support NAPs alignment and /or reporting process depending on the countries priorities.

### 3.7. Incremental cost reasoning

70. If GEF funds are not provided, countries would be expected to “self-finance” for the alignment of the NAP and preparation of second leg of the 4<sup>th</sup> Reporting & review process. However, although The Strategy has been in existence since 2008 the 2010 reports identified only 2 countries (of 193 country Parties plus the EU) that had aligned their NAPs. Numerous Parties cited financial reasons for not undertaking the alignment. It is clear therefore that self-financing method would be the least effective. In 2010, resources were made available for Parties through the PRAIS project to complete their Performance Indicator-based reports. In the piloting of the Impact Indicators Parties indicated the costs would be at a minimum in the tens of thousands of USD to prepare impact indicator-based reports. Since two of the Impact Indicators are mandatory, some countries might not submit their reports at all,

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<sup>13</sup> The alignment of the NAPs is imbedded in the Strategy itself, which puts forward in the outcome areas 2.2 and 2.3 that a revision by affected country parties of their NAP into strategic documents based on socio-economic and biophysical baseline information and integrated in relevant sectoral and investment plans and policies, including integrated investment frameworks, is necessary in order to achieve operational objective two.

while in other cases countries may be very late in submitting their reports. In both cases, the functioning of the UNCCD, in particular its decision-making processes, will be seriously affected. Without a significant number of national reports, the CRIC 11 and COP11 will be unable to conduct a credible mid-term evaluation of The Strategy, which will seriously hamper the implementation of The Strategy. With the current trend of NAP alignment, it is more likely the 80% target for aligned NAP may not be achieved by 2014. The current project which concerns only 20 countries Parties, will help to achieve additional 11% aligned NAP by end of 2013.

### **3.8. Sustainability**

71. The main rationale behind the project development is to ensure sustainability in the implementation of the Convention and its reporting cycle. The supporting entities report to the convention on regular basis but there is no or very little linkage between reports from one year to another. The consequence of this is that each reporting activity is conducted by affected Parties as a new process. The present project will therefore ensure institutional, financial and technical sustainability of the Convention implementation and the reporting.
72. The institutional sustainability will be promoted by the new approach that will put in place the reporting element. The Parties will conduct the reporting and NAP alignment activities based on the approved reporting and NAP alignment tools and indicators which have been designed to be dynamic and catered for the need of subsequent reporting and implementation. The national entities in charge of the reporting and NAP alignment processes will be having their capacity strengthen in relation to the baseline assessment, the guidelines uses and the reporting alignment processes. These national entities will act as the key stakeholders of the project and a framework will be put in place to allow them continuing reporting and implement NAPs base on the capacity gained. The institutional sustainability will be promoted to ensure that the project outcomes particularly the NAP alignment take into account mainstreaming of the DLDD in national development agenda and dialogue with national and international donors. The Output 1.2. Measures taken to mainstream NAP aligned with UNCCD 10 Years Strategy in UNDAF process and dialogue with other donors at country level, has been developed to cater for such necessity. To this end, national bodies responsible of national planning are fully involved in that process and that measure to mainstream aligned NAP are discussed and agreed with all these key stakeholders. This approach has been recommended by both GEF bodies (Secretariat and STAP) and some key donors (e.g. Germany). Currently, GEF is financing a project through UNEP to explore options for streamlining reporting to Rio convention at national level. The project come up with a suggested Joint Reporting Template that will be shared with countries and particularly four (Afghanistan, Liberia, Mauritius and Lao PDR) of the six pilot countries in the Joint Reporting project, have expressed their willingness to test the Joint Reporting Format and report through the UNCCD PRAIS portal. During the PRAIS project that deals with the previous reporting issues, Regional Centres of Excellence (14 centres for the UNCCD Regional Annexes) have been implicated through a cooperative agreement and UNEP-WCMC as the Executing Agency of the project played an important coordination role. As a key partner in this project WCMC will continue to engage as necessary regional and international centres of excellence in ensuring the sustainability of the approach and the outcomes.
73. The financial sustainability of the project is addressed by the fact that project resources will be available to Parties for both reporting and NAP alignment. The investment will allow gathering the baseline data which will be used for current purposes and will be subsequently updated and used for the future reporting process and NAP implementation. It is clear that the updating of information and data will cost less to reporting entities and donors than repeating the process all over again for each reporting cycle. Another element of financial sustainability is the initial investment which will allow

hosting data which will be used not only for subsequent reporting but also for other national and international planning and reporting purposes. .

74. The project technical sustainability will be achieved by training that will be provided to the national reporting and NAP alignment stakeholders and the Helpdesk services that will be provided at international levels. These “grassroots” Convention bodies will become more equipped to handle the subsequent reporting and NAP implementation.

### **3.9. Replication**

75. Parties will be reporting on harmonised guides lines, formats and time schedule. The project results therefore can be replicated anyway. The Helpdesk function will build on the lessons learns to use the global framework for reporting based on the approved performance and Impact Indicators and NAP alignment guidelines. As the national reporting cycle will concern both the performance and impacts indicators, the tools and guidelines will allow reporting for the Performance Indicators and the Impact Indicators. The project replicability therefore will not only target the different reporting entities but also will address the issue of the reporting systems.
76. Another issue of replicability of the project is the use of the new UNCCD reporting and alignment guidelines in the harmonizing the reporting for the MEAs in general and the Rio Conventions in particular. The use of WCMC as provider of the Helpdesk Service for both UNCCD National reporting and NAP alignment and the Integrated approach for Rio Convention reporting in six pilot countries is strategic in ensure the replicability of the project experience to other MEAs and Rio Conventions in particular.

### **3.10. Public awareness, communications and mainstreaming strategy**

77. The public awareness is one of the pillars of the Convention implementation at the national level. This will be achieved by this project both in ensuring stakeholders’ participation and communication and mainstreaming strategy. The public participation will include (i) involvement of key stakeholders including the Civil society in the national project orientation committees; (ii) organization of inclusive meetings during the processes and results validation meetings; (iii) special meetings with Government officials to address the issues of SLM and national development policies and strategies; and (iv) targeted media involvement in the delivering key messages to the larger public particularly during the stakeholders meetings. To enhance the project results sustainability they will be special attention to social groups which are at the centre of Land Degradation in order to consider real adaptation measures and prevention potential.
78. Parties at COP 9 adopted the new UNCCD communication strategy and at Decision 2/COP 10 requested parties for the implementation. The project will explore the possibility of capturing some activities in line with the project, to deliver some communication and awareness raising objectives at national level.
79. The communication and mainstreaming activities will be mainly a contribution of findings on these issues at national level. In case of the absence of a mainstreaming strategy in a country or country institution, this will be considered during the capacity needs assessment so that stakeholder capacity will be enhanced to consider mainstreaming activities during the national assessment. Where they exist as a result from other processes, particularly the NCSA, they will be considered both in terms of mainstreaming and awareness and communication activities that have been identified and considered as priority actions in the national action plans.
80. As the project involves UNEP-WCMC, the project will consider where possible the implementation of the public awareness, communication and the mainstreaming strategy. The project will also consider

UNEP/DEPI'S experience in Environment Education and Training. Particularly through universities, others academic and education and media institutions to explore the possibility of reviewing and mainstreaming SLM in their academic programmes and curricula and awareness programmes.

81. **Training/Education Strategy:** The Training/Education Strategy is based on the paradigm shift in understanding of reporting, NAP alignment, changing from a perception that it is a burden on the Parties to an appreciation of reporting and implementation as an opportunity for contributing to national development agenda. This change of the mind-set can then help to prioritise the effective allocation of scarce resources for implementation. Efficiency of the reporting and NAP alignment processes are expected to improve through wide availability of the best tools and methods. Through the paradigm shift, Parties would become empowered to do the reporting and align NAP themselves (notably by the national UNCCD Focal Points), rather than hire consultants to complete reports for them to simply fulfill an obligation. This shift in approach will necessitate a major effort at awareness-raising and the capacity development. Part of the task of the project is to educate Parties about the indicators and mainstreaming UNCCD in national agenda so they are comfortable enough with them to draw lessons recommend for improvement and approve them at COP11 and beyond. The training needs and guidelines for data collection for baseline assessment, for the preparation of National reports, NAP alignment, and national workshops to conduct training in use of format/template for National Reports and NAP alignment are key deliverables out of this training/education approach.

### **3.11. Environmental and social safeguards**

82. This project is environmentally friendly and no activities will be carried out on the ground that will harm the environment and/or communities. The project objectives involve building capacity for the assessment of the land degradation in UNCCD Parties, development of knowledge management systems, reporting and NAP alignment based on the COP approved indicators include those related to land degradation and socioeconomic development, will naturally contribute to the environmental and social safeguards. The NAP alignment may decide the review of ongoing technological and land tenure set up. However, in the countries where this will happen, it will positively impact the national environment management as the NAP will be design to make these issues environmentally friendly. A limited number of international flights will have to be undertaken, with the emissions offset through the recognized United Nations mechanisms and the policy of the UNEP as the Implementing Agency of the project. The project will avoid duplication of efforts by synergizing with other existing initiatives as much as possible.

## **SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS**

### **A. INSTITUTIONAL ARRANGEMENT:**

83. **UNEP** is the Implementing Agency for this GEF project. UNEP shall in its role as GEF Implementing Agency, provide project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes in an efficient and effective manner. It shall also in partnership with the UNCCD Secretariat and other project partners (e.g. UNEP-WCMC, GM) engage in promoting the project with a view to mobilize scientific expertise. The UNEP Regional Offices in each region will play an important role in facilitation and ensuring liaison with UNEP Headquarter for the delivery of project outputs. The UNEP Regional Coordinators for the Delivery as One United Nations will ensure that UN Countries Teams (UNCT) consider mainstreaming of DLDD in the UNDAF processes that will take place in the coming years
84. **National UNCCD Focal Points (NFPs):** At the national level, the project activities will be managed by the UNCCD National Focal Point. He/she will bear overall responsibility for the execution of the project activities under the supervision of the National Executing Agency, and act as national

representative, facilitating inter-agency coordination and guide the execution of the project in each country. The National Execution Agency (NEA), will establish a National Coordinating Body which ensure the responsibility of directing the national activities toward producing the national report and an aligned NAP to the 10-Years Strategy. The NFP will ensure that capacity needed at national level for reporting process and NAP alignment are provided to relevant stakeholders either with use of national expertise or with the support of the Helpdesks established by UNEP, UNCCD and GM secretariats.

**85. UNCCD Secretariat and the Global Mechanism:** The UNCCD Secretariat and the Global Mechanism will provide within their mandates technical and political guidance on the NAP alignment and reporting. Their regional coordination units established by COP 9 are additional support to the timely implementation of the project. Both institutions will provide conceptual and substantive input to the process and hence ensure that the project is fully embedded in a broader framework for monitoring implementation of not only UNCCD affected, but also other development partners. Information provided to the secretariat by Parties will be analyzed by the two institutions and processed for CRIC 11.

**B. PROJECT IMPLEMENTATION ARRANGEMENT:**

**86. UNEP** is the Implementing Agency for this GEF project. UNEP shall in its role as GEF Implementing Agency, provide project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes in an efficient and effective manner. Project supervision is entrusted to the Director of UNEP/DEPI who discharges this responsibility through the assigned Task Manager who represents the Director of DEPI on the project steering committee. Project supervision missions by the Task Manager and/or Fund Management Officer shall constitute part of the project supervision plan. UNEP/GEF would perform the liaison function between UNEP and the GEF Secretariat and report on the progress against milestones outlined in the CEO approval letter to the GEF Secretariat. The UNEP/GEF shall inform the GEF Secretariat whenever there is a potentially substantive co-financing change (i.e. one affecting the project objectives, the underlying concept, scale, scope, strategic priority, conformity with GEF criteria, likelihood of project success, or outcome of the project). It shall rate, on a periodic basis, progress in meeting project objectives, project implementation progress, risk, and quality of project monitoring and evaluation, and report to the GEF Secretariat through the Project Implementation Review (PIR) report prepared by the Project Coordination Assistant and ensures that the UNEP Evaluation Office arranges for an independent terminal evaluation and submits its report to the GEF Evaluation Office. In order to ensure overall coherence with the Convention process and taking into consideration the fact that this project is meant to increase capacities of UNCCD Parties vis-a-vis the Convention, UNEP/GEF through the Project Coordination Assistant, will also work in close consultation with the UNCCD Secretariat and GM on all issues relating to deadlines and deliverables under the project.

**87. UNEP-WCMC<sup>14</sup>** will support the project execution through a Helpdesk function. UNEP-WCMC will assign staffs situated in Cambridge UK who support the Project Coordination Assistant on the Helpdesk function and creation of a common data base that will provide technical guidance to

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<sup>14</sup> UNEP-WCMC has strong advantages as a sub-contractor for this project. This includes extensive past work on reporting to the Conventions, harmonizing reporting for biodiversity-related conventions as well as among the Rio Conventions, and knowledge management on indicators. From 2006-2008, UNEP-WCMC worked with the UNEP Division of Environmental Law and Conventions and the secretariats of six biodiversity-related conventions and agreements on a project on Knowledge Management. This work included the preparation of studies on joint core reporting elements for biodiversity-related agreements including UNCCD. UNEP-WCMC is also the official Secretariat of the 2010 Biodiversity Indicators Partnership which includes knowledge management for global and national-level impact indicators (see [www.twentyten.net](http://www.twentyten.net)).

countries on NAP alignment and reporting process.

88. As Executing Partner, **UNCCD Secretariat**, representing the depositary of the Convention is consulted in all aspects of the project through the Steering Committee and regular contacts. UNCCD primary responsibility is to advice on timely and effective coordination of the project activities as they relate to the overall reporting exercise that includes reports not only from all affected country Parties<sup>15</sup> but those from development partners. The secretariat will be providing overall guidance as regards timelines and project implementation to ensure that CRIC receives input for the review of Convention implementation at all levels. It will ensure coherence in the approach across regions and reporting entities as well as provide an interface for reporting from civil society organizations (as requested by COP) through regional coordination units established by COP 9. Documentation resulting from reports will be jointly produced by the secretariat and the GM for review of Parties at the level of the CRIC. Assistance for the sub-regional and regional syntheses will be in accordance with country Party guidance.
89. As Executing partner, **the Global Mechanism (GM)** is involved in the synthesis documents provided by the secretariat to CRIC. The GM will particularly participate in the Steering Committee and will advise through its Helpdesk on guidelines and tools for the Standard Financial Annexes and Programme and Project sheet.
90. **Project Coordinating Committee (PCC)**: The Project Coordinating Committee has membership from UNEP, UNEP-WCMC, the GEF secretariat and other relevant partner's institutions. The PCC will closely coordinate with the UNCCD Secretariat and the GM on matters pertaining to services delivered by those entities and the timeframe set. The PCC will meet virtually or during other global events at no cost to this project.
91. **As Executing partner at country level, the National Executing Agencies (NEAs)** will have Overall responsibility at the national level. The NEAs will implement the project in collaboration with other national, provincial and local government agencies, NGOs, private sector and local communities. In order to ensure joint programming of GEF interventions with related projects, formal and informal inter-agency links will be maintained. Each NEA will sign Small Funding Agreement (SSF), receive funds from UNEP and international technical assistance through the Helpdesk which will be jointly conducted by UNEP Project Coordination Assistant, UNEP-WCMC, UNCCD and GM secretariats.
92. The project approach of pulling the GEF resources at country level, aims at supporting countries to fulfil their obligations and at the same time put in place national mechanisms to ensure national capacity building, establishment of long term coordination mechanism and sustainable implementation of UNCCD through mainstreaming of DLDD in relevant national sectors.
93. **National Coordinating Body (NCBs)**: the UNCCD National Coordinating Body, where established or any other existing committee dealing with sustainable management of natural resources will provide guidance to the project and monitor progress and performance. The UNCCD NCB will serve under its national mandate and will monitor and review progress on an annual basis. The NCB will be chaired by the Head of the NEA or his representative. The UNCCD NFP will act as the NCB's secretary. In line will the COP 9 recommendation, it will be an obligation to have at least one (1) Civil Society Organisation (CSO) active in the SLM activities, in the NCB. In order to avoid proliferation of national committees, the project will make use of existing national consultation structures in order to

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<sup>15</sup> Including those not covered by the present project proposal.

discharge the workload of the project and seek synergies at national level.

94. **National Action Programmes (NAPs)** drive implementation of UNCCD at the national level and effective monitoring systems are crucial to inform national and international decision-makers, as well as the public about current trends in a timely and policy-relevant manner. The project will ensure all norms regarding social and environmental safeguards including gender considerations by ensuring (i) inclusiveness of both men and women in project formulation and implementation of the national consultation processes; (ii) ensuring inclusiveness for marginalized and poor communities in the consultations; (iii) collecting of gender disaggregated data and information where possible, and (vi) analysis and articulation of relationships between DLDD and human well being and poverty reduction, through the Impact Indicators and the anticipated socioeconomic impacts of the aligned NAPs on the national development agenda.
95. In order to enable UNEP to track how consideration of socio-economic benefits and gender dimensions are addressed by Parties, the SSFA will include a provision that these considerations including Civil Society Organization (CSO) participation in national processes, should be reflected in the aligned NAPs and/or reporting process. In addition, the Helpdesk will assist in ensuring socio-economic and gender issues are integrated in the NAPs and national reports.

## SECTION 5: STAKEHOLDER PARTICIPATION

No	Key Stakeholders	General mandate	Role and responsibilities in the project
1	<p><b>Parties to the Convention/ National Governments:</b> It is at the national government level where most legislation and policy is formulated. It may also be the level at which law enforcement takes place. Setting of priorities and resource allocation of both national and international funding tends to take place primarily at the national level. Reporting to the UNCCD takes place at the national level.</p>	<p>Legislation and policies formulation and law enforcement takes place. Setting of national priorities and resource allocation of both national and international funding. Report on progress made in their implementation of The Strategy, based on the reporting elements adopted at the ninth session of the COP (COP 9). They will also put into operation the implementation of The Strategy, in accordance with their national priorities, in a spirit of international solidarity and partnership.</p>	<p>Coordinate the project implementation at the national level and will ensure inclusive participation. Set up a NCB which includes CSO Ensure participation of Key national Staff and Stakeholders to the Capacity building activities Support the base line assessment at national level, the reporting and NAP alignment. Support the national consultations. Serve as the liaison with the Regional Coordination Mechanisms, UNCCD Secretariat, UNEP and UNEP-WCMC.</p>

2	<b>The Committee on Science and Technology</b>	The CST is given primary responsibility in advising on knowledge management and in developing the knowledge management system(s).	CST guidance on knowledge management tools is paramount in order to avoid duplication in project implementation.
3	<b>The Committee for the Review of the Implementation of the Convention</b>	CRIC plays a central role in reviewing the implementation of the Strategic Plan through an effective reporting process and documenting and disseminating best practices from experience in implementing the Convention, thereby bringing a cross-cutting contribution to all Operational Objectives	The CRIC is one of the main users of information generated by the project i.e. national reports. COP guidance on monitoring issues will be followed up through the UNCCD Secretariat.
4	<b>The Global Mechanism</b>	The GM has a central responsibility in contributing to Objective 5 of the 10-Year Strategy on financing and technology transfer given its mandate to promote actions leading to the mobilization and channeling of substantial financial resources as well as its function in relation to financial information and analysis.	GM shall strengthen its capacity to mobilize existing as well as new sources of finance and to facilitate access to technology. The GM will advise on the work related to financial information and analysis in terms of using the substantive material, guidelines and tools for the training modules on the Standard Financial Annex (SFA) and the Programme and Project Sheet (PPS); use FIELD as a means for the collection, analysis and dissemination of financial information ; backstop the the Helpdesk as regards the SFA/PPS; assist in synthesis of financial information and finance related Performance Indicators.
5	<b>The UNCCD Secretariat</b>	Core servicing, advocacy and agenda-setting and representation functions of the UNCCD Secretariat –with commensurate capacity and resources – in order to support Parties, the COP and the subsidiary bodies of the Convention in fulfilling their respective roles	The secretariat has a lead role in designing reporting tools, facilitating the coordination of the base line assessment, and the reporting and development of Knowledge management system. It will also ensure overall consistency with the Convention reporting process and the convening of CRIC. Its regional units will support the project by providing guidance in the approach taken, provide political and substantive backstopping as well as produce documentation from reports received for the CRIC. It renders full advice to the project through staff time and



			substantive guidance.
6	<b>The Global Environment Facility:</b>	A financial mechanism of the Convention.	Will ensure long term support of the Convention implementation both through the financing of the convention related Enabling Activities and operational programmes.
7	<b>The Regional Coordination Units</b>	Promote regional approaches and coordination in the implementation of the Convention	Support project activities coordination at regional level.
8	<b>UNEP</b>	GEF Implementing Agencies with specific mandate on scientific assessment, monitoring, capacity building, regional cooperation and knowledge management.	Provide project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes in an efficient and effective manner. Project supervision is through the assigned Task Manager who represents UNEP on the project steering committee. Project supervision missions by the Task Manager and/or Fund Management Officer. UNEP/GEF would perform the liaison function between UNEP and the GEF Secretariat and report on the progress against milestones outlined in the CEO approval letter to the GEF Secretariat.
9	<b>UNEP-WCMC</b>	The project Partner	Will provide online technical assistance for national stakeholders to meet minimum requirements in delivering reports using s Impact Indicators and advising on NAP alignment (assistance provided by the UNEP-WCMC on sub contractual basis). The technical support will take the form of ad hoc distance guidance to national consultancies and basic online resources including an existing collaboration tool ('Basecamp') developed during the impact indicator piloting ( <a href="http://www.impact-pilot.unccd.int">www.impact-pilot.unccd.int</a> ) for participating countries to share documents and experiences, enabling peer-to-peer support.
10	<b>Civil society</b>	Promote awareness of, and include, local populations, particularly women, youth and civil society organizations, in the implementation of The Strategy, consistent with	They will be part of key consultative project stakeholders at national level. The capacity building element of the project will consider the NGO specificity.

		Operational Objective 1.  NGOs will use scientific information to lobby policy makers, industry and the public in accordance with their mandates	
11	<b>The Media</b>	Translating and distributing information in a manner that is easily understood by the non-technical population.	Critical role in awareness raising and information dissemination

## SECTION 6: MONITORING AND EVALUATION PLAN

96. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instrument. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Appendix 6 will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with obtaining the information to track the indicators are summarized in Appendix 4. Other M&E related costs are also presented in the costed M&E Plan and are fully integrated in the overall project budget. In addition, it is understood that the project will be implemented as part of the UNCCD Enabling Activities and hence Parties at CRIC 11 and COP 11 will evaluate project outputs and deliverables as part of the iterative process requested by Parties at COP 9.
97. The M&E plan will be reviewed and revised as necessary during the project inception period to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception period. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Coordination Assistant to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.
98. The project Steering Committee will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility of the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.
99. To ensure that the project outcomes are fully embedded in the countries UNDAF processes and that CSO, Gender and Indigenous people issues are well captured and considered in the aligned NAP and reporting, UNEP will request the country that when they are reporting back at the end of the project, they include in the report how they have mainstreamed the project in the UNDAF and national policies processes and how CSO, Gender and Indigenous people have been considered. Resources and tools developed by UNDP and partners in mainstreaming climate change issues (<http://ncsp.undp.org/topics/mainstreaming-climate-change>) will be exploited to suggest simplified way of doing this for DLDD in participating countries.

100. Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.
101. An independent terminal evaluation will take place at the end of project implementation. The UNEP Evaluation Office will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.
102. The GEF tracking tools are attached as Appendix 15. These will be updated at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

## **SECTION 7: PROJECT FINANCING AND BUDGET**

### **7.1. Overall project budget**

103. The grant will be used to finance the activities mentioned in Section 3. A detailed budget following UNEP format can be found in Appendix 1 of this document. This budget is based upon the GEF approved budget provided in GEF format

### **7.2. Project co-financing**

104. A summary of the project co-financing by sources with UNEP budget lines can be found in Appendix 2 of this document. The co-financing will mainly come from national Governments, UNCCD Secretariats, the Global Mechanism, the Implementing and Executing Agencies and multi and bilateral donors supporting the UNCCD 10 –years Strategy implementation. The co-financing will support national and part of international project coordination and management, project administration, base line establishment for the MSP preparation and part of stockholder’s consultation.

### **7.3. Project cost-effectiveness**

105. The project design builds on the efficient resources use approach by envisaging to conduct both the NAP alignment and reporting with optimum resources. Combining NAP alignment and Reporting within the same project will enable a sizable number of countries (20) to benefit from centralized Helpdesk services and support in a cost effective manner, result in coordinated actions at the national level and and benefit from synergistic effects through interactions between the two processes. The majority of project funds will be directed to country-level activities with only limited amounts spent on project management and technical support and assistance. The performance and Impact Indicators will enable rigorous and scientifically sound assessments at the national and regional levels on both the convention implementation and areas of high national priorities, such as land degradation trends

and the impact of mitigation measures, plus it will allow for long term planning for SLM as well as enhance synergy with the other Conventions (CBD, UNFCCC) at national-level combination, these outcomes will result in a very cost-effective project in general and particularly in terms of GEF resources invested.

106. GEF funds will be disbursed directly from UNEP to the National Executing Agency (NEA). Funds for international components will be managed directly by UNEP.

107. EA shall be responsible for dealing with any claims which may be brought by third parties against UNEP and its staff, and shall hold UNEP and its staff non-liaible in case of any claims or liabilities resulting from operations carried out by NEA or other project partners under this project document, except where it is agreed by WCMC and UNEP that such claims or liabilities arise from gross negligence or wilful misconduct of the staff of UNEP.

108. A 60% initial cash advance will be made upon signature of the Small Funding Agreement (SSFA) and is expected to be incurred by the NEA during year 1 of the project implementation. Subsequent advances are to be made, subject to:

- (i) Confirmation by the UNCCD Secretariat that the National Report has been submitted in time; and
- (ii) The presentation of:
  - a satisfactory financial report showing expenditures incurred for the past quarters, under each project activity and
  - timely and satisfactory progress reports on project implementation.

Requests for subsequent cash advances should be made using the UNEP standard format.

**APPENDICES**

**Appendix 1: Budget by project components and UNEP budget lines**

Project Title: Support to GEF Eligible Parties for Alignment of National Action Programs and Reporting Process under UNCCD- Umbrella 2							
Project Number:							
Project executing partner: NEAs of Mali, Indonesia, Somali Republic, Thailand, Vietnam, Maldives, Rwanda, Sudan, Myanmar, Ethiopia, Mozambique, Egypt, Malawi, Namibia, Barbados, Mauritius, Eritrea, Swaziland, Belize, Chile							
Duration: 24 Months							
				<b>EXPENDITURE BY PROJECT</b>			
				<b>EXPENDITURE BY YEAR</b>			
				2012		2013	
				NAP revision at		2012 Reporting	
				Total		Total	
<b>UNEP BUDGET LINE/OBJECT OF EXPENDITURE</b>				<b>US\$</b>		<b>US\$</b>	
<b>10</b>	<b>PROJECT COMPONENT</b>						
	<b>1100</b>	<b>Project Personnel</b>	<b>w/m</b>				
		<b>(Show title/grade)</b>					
	1180	Project Officer		-	-	0	
	1181	Administrative Staff				0	0
	<b>1200</b>	<b>Consultants</b>	<b>w/m</b>				
	1201	International Consultants				0	0
	<b>1999</b>	<b>SUB -TOTAL</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>20</b>	<b>SUB-CONTRACT COMPONENT</b>						
	<b>2200</b>	<b>Sub-contracts for Supp. Org. (MOUs/Las)</b>					
	2201	Sub contract to governmental agencies		600,000	400,000	1,000,000	400,000
	2202	Sub contract to UNEP-WCMC					600,000
	<b>2999</b>	<b>SUB-TOTAL (SUB CONTRACT)</b>		<b>600,000</b>	<b>400,000</b>	<b>1,000,000</b>	<b>1,000,000</b>
<b>30</b>	<b>TRAINING COMPONENT</b>						
	3301	Consultations				0	-
	<b>3299</b>	<b>SUB-TOTAL (TRAINING)</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>						
	<b>5500</b>	<b>Evaluation</b>					
	5501	Project Evaluation				0	0
	<b>5999</b>	<b>SUB-TOTAL (MISCELLANEOUS)</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>9999</b>	<b>GRAND TOTAL</b>			<b>600,000</b>	<b>400,000</b>	<b>1,000,000</b>	<b>0</b>



assessments will be available for reporting to the Convention and for aligning the NAP to the 10-Year Strategy. Capacity built through training, experience and lesson to assess, report on UNCCD implementation and conduct NAP alignment. A framework for long term reporting to and implementation of UNCCD will be in place. The GEF alternative will therefore generate GEB as the basis for monitoring Land Degradation will be established at the same time Parties will be aware of the status of the Convention Implementation and will take adequate decision to planned for real action to revert Land Degradation.

**Table 12. Incremental Cost Matrix**

Objectives and Outcomes/Outputs	Baseline situation	National Benefits	GEF Alternative
<i>Project Objective</i>			
Facilitate access to and effective utilisation of GEF funding by 20 countries for Enabling Activities to meet their obligations under the UNCCD a) alignment of NAPs with 10 – Year Strategy and b) 2012 Reporting and Review process	<p>Baseline: a) only 2 countries have aligned their NAPs with the 10-Year Strategy and b) No country submitted its 2<sup>nd</sup> leg of 4<sup>th</sup> Reporting and Review Process</p> <p>Target:</p> <ul style="list-style-type: none"> <li>- 20 countries gain access to GEF funding for NAP alignment and reporting</li> <li>- 20 countries prepare and submit their National Report to UNCCD by end of 2012</li> <li>- 20 Countries aligned their NAP with the UNCCD 10-Year strategy at the end of the project</li> </ul> <p>A functional Helpdesk service to support UNCCD Parties for NAP alignment and reporting</p>	<p><b>Without GEF:</b> If GEF funds are not provided, countries would be expected “self-finance” for the alignment of the NAP and preparation of second leg of the 4<sup>th</sup> Reporting &amp; review process. However, although The Strategy has been in existence since 2008 the 2010 reports identified only 2 countries (of 193 country Parties plus the EU) had in fact aligned their NAPs. Numerous Parties cited financial reasons for not undertaking the alignment. It is clear therefore that self-financing method would be the least effective. In 2010, resources were made available for Parties through the PRAIS project to complete their Performance Indicator-based reports. In the piloting of the Impact Indicators Parties indicated the costs would be at a minimum in the tens of thousands of USD to prepare impact indicator-based reports. Since two of the Impact Indicators are mandatory, some countries might not submit their reports at all, while in other cases countries may be very late in submitting their reports. In both cases, the functioning of the UNCCD, in particular its decision-making processes, will be seriously affected. Without a significant number of national reports, the CRIC 11 and COP11 will be unable to</p>	<p><b>GEF alternative</b> will allow common understanding and capacity to build for performance- and impacts indicator based national reports and conduct NAP alignment appropriately. Baseline information including biophysical data, socioeconomic situations and institutional and policy context based on scientific assessments will be available for reporting to the Convention and for aligning the NAP to the 10-Year Strategy. Capacity built through training, experience and lesson to assess, report on UNCCD implementation and conduct NAP alignment. A framework for long term reporting to and implementation of UNCCD will be in place. The GEF alternative will therefore generate GEB as the basis for monitoring Land Degradation will be established at the same time Parties will be aware of the status of the Convention Implementation and will take adequate decision to</p>

Objectives and Outcomes/Outputs	Baseline situation	National Benefits	GEF Alternative
		conduct a credible mid-term evaluation of The Strategy, which will seriously hamper the implementation of The Strategy.	planned for real action to revert Land Degradation  <b>Total: \$2,000,000</b> <b>GEF: \$ 1,000,000</b> <b>Co financing: \$ 1,000,000</b>
<b>Outcomes (and Outputs)</b>			
<p><b>Component 1:</b> NAP Alignment</p> <p>Countries have aligned their NAPs with the UNCCD 10-Year Strategy and institutionalized them within future government development framework</p>	<p>COP8 by Decision 3 urges affected country Parties to align their NAP with the 10-Year Strategy and CRIC 9 clearly identified NAP alignment as a priority for the UNCCD and called for intensification of efforts in this respect (ICCD/CRIC9/16 p 5-6).</p> <p>Only two countries aligned their NAPs</p>	<p>Countries may delay in NAP alignment and the 80% alignment target may not be achieved by 2014.</p>	<p>80% of 20 countries submit aligned NAPs to CRIC 11 and all 20 countries by CRIC 12</p> <p><b>Total: \$1,200,000</b> <b>GEF: \$ 600,000</b>    <b>Co financing: \$ 600,000</b></p>
<p><b>Component 2:</b> 2012 Reporting and Review</p> <p>Countries have prepared and submitted their national reports for the second leg of the 4th reporting and review process</p>	<p><b>Baseline:</b> COP8 by Decision 3 requests Parties to report on progress made in their implementation of The Strategy</p>	<p>Country will report to the Convention base on the actual data available in the countries and at regional level. Each country will use its own approach to collect and use data/information for reporting.</p>	<p>GEF alternative will allow parties to have a Comprehensive map and description of proposed institutional set-up and the actual situation of the Performance Indicators and Impact Indicators. The harmonized approach will render possible the synthesis reports prepared at global; regional and sub-regional; and national levels. These will allow understanding of Land Degradation trends, measures, good practices and financial resources committed</p>



Objectives and Outcomes/Outputs	Baseline situation	National Benefits	GEF Alternative
	0		by partners in reversing the trends.  <b>Total: \$800,000</b> <b>GEF: \$ 400,000</b> <b>Co-financing: \$ 400,000</b>
<p>Component 3: Project management and Helpdesk services to national-level activities for NAP Alignment and 2012 Reporting and Review process</p> <p>Strengthened national capacity and systems for assessment of socio-economic and biophysical baseline of DLDD to inform NAP revision, implementation and monitoring, including data gathering and country-relevant indicators</p>	<b>Baseline:</b> Little/no understanding of UNCCD Impact Indicators, as countries are reporting for the first time on Impact Indicators. 3% of countries have aligned their NAP.	Without GEF, guidelines for National Report and NAP alignment, templates, Performance and Impacts Indicators will be sent to Parties and ask them to report at a given time during 2012 and align their NAP by 2014. Due to lack of resources and capacities, few countries will report in time, many will report late and an important number of Parties will not report at all. NAPs will not be aligned on time.	<p>GEF alternative will consider training at national level and technical support at international level for reporting and NAP alignment. To ensure the system sustainability, an appropriate inclusive framework will be developed and put in place.</p> <p><b>The costs have been considered in Umbrella 1.</b></p>

### System boundary

The system boundary is delimited to 20 UNCCD Countries Parties access to GEF funds to support NAP alignment to 10-Year Strategy, reporting and capacity building at national level. The base line assessment will be conducted by each country depending on its national objective in line with the convention implementation.

## Appendix 4: Results Framework

### ANNEX A: PROJECT RESULTS FRAMEWORK

Objectives and Outcomes / Outputs	Objectively Verifiable Indicators	Baseline / Target	Means of Verification	Assumptions
<b>Project Objective</b>				
To facilitate access to	20 countries	Baseline: a) only 2	- UNEP report	- Political will:

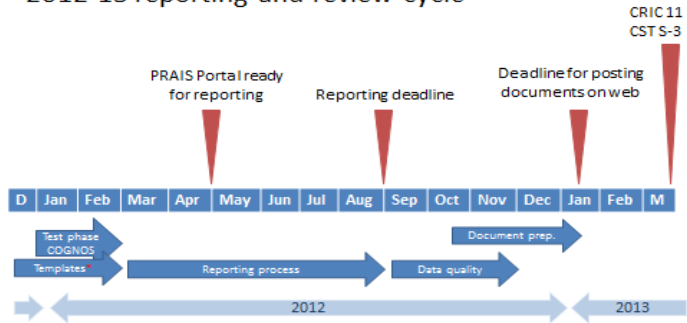
<p>GEF funding by 20 countries for Enabling Activities to meet their obligations under the UNCCD by supporting NAP alignment and 2012 reporting process</p>	<p>access GEF funds to fulfil their obligations in accordance with the provisions provided in the UNCCD</p> <p>20 National Reports prepared and submitted to UNCCD</p> <p>20 Aligned NAPs with UNCCD 10 Years Strategy</p> <p>A functional Help Desk</p>	<p>countries have aligned their NAPs with the 10 year Strategy and b) No country submitted its 2<sup>nd</sup> leg of 4<sup>th</sup> Reporting and Review Process</p> <p>Target:</p> <ul style="list-style-type: none"> <li>- 20 countries gain access to GEF funding for NAP alignment and reporting</li> <li>- 20 countries prepare and submit their National by Report to UNCCD by end of 2012</li> <li>- 20 Countries aligned their NAP with the UNCCD 10 Years Strategy at the end of the project</li> <li>- A functional Help Desk service to support UNCCD Parties for NAP alignment and reporting</li> </ul>	<ul style="list-style-type: none"> <li>- COP/CRIC documents</li> <li>- Terminal Evaluation</li> </ul>	<p>NAP alignment and reporting to the UNCCD considered as a high priority in the 20 countries</p> <ul style="list-style-type: none"> <li>- GEF endorses project</li> <li>- Resources are made available in time</li> </ul>
<p><b>Outcomes (and Outputs)</b></p>				
<p>Component 1: NAP revision and Alignment</p>				
<p>Outcome 1: 20 Countries have aligned their NAPs with the UNCCD 10 Year Strategy and institutionalized them within future government development framework</p>	<ul style="list-style-type: none"> <li>- 20 aligned NAPs submitted to UNCCD CRIC 11/12</li> </ul>	<p><b>Baseline:</b> COP10 by Decision 2 urges affected country Parties to align their NAP with the 10 Year Strategy and CRIC 9 clearly identified NAP alignment as a priority for the UNCCD and called for intensification of efforts in this respect (ICCD/COP10/31/Add.1).</p> <p>Only two countries aligned their NAPs</p> <p><b>Target:</b> 80% of 20 countries submit aligned NAPs to CRIC 11 and all 20 countries by CRIC 12</p>	<ul style="list-style-type: none"> <li>- 20 countries NAPs aligned with UNCCD 10 Years Strategy</li> </ul>	<ul style="list-style-type: none"> <li>- Financial: Countries gain access to GEF funding to enable NAP alignment process. Resources available are sufficient to fund required national activities.</li> <li>- Technical: Guidance provided by UNCCD Secretariat and support through this project are relevant and sufficient.</li> </ul>

				- Political: Countries engage in the NAP alignment process.
Output 1.1. NAP Submitted that are aligned according to UNCCD guidance and validated at country level	100% of eligible Parties that have received GEF funds submit aligned NAP	Actually, 0 countries out of the 20 participating in this project aligned their NAPs  Target: 100% of participating countries.	- COP/CRIC documents - Terminal Evaluation	- Political will: NAP alignment and reporting to the UNCCD considered as a high priority in the 20 countries - GEF endorses project - Resources are made available in time
Output 1.2. Measures taken to mainstreamed NAP aligned with UNCCD 10 Years Strategy in UNDAF process and dialogue with other donors at country level	50% of eligible Parties that have received GEF funds through the umbrella project and under taken UNDAF process in next 2 years reported that they consider UNDAF and dialogue with other donors in the aligned NAP	Base line will be established at the start-up of the countries NAP alignment process  Target: 50 % of the 20 countries participating to the Umbrella project	Countries Reports  Aligned NAPS	- There will be new UNDAF processes in the Participating Countries - National Government and UNCT have political will to consider DLDD in the UNDAF processes and dialogue with other donors
<b>Component 2: 2012 Reporting and Review</b>				
Outcome 2: Countries have prepared and submitted their national reports for the second leg of the 4th reporting and review process	- 20 national reports on impact and performance before the end of the 2012 reporting and review process. - 20 national reports and completed reports analyzed for CRIC 11	<b>Baseline:</b> COP8 by Decision 3 requests Parties to report on progress made in their implementation of The Strategy  <b>Target:</b> 100% of 20 countries submit their national reports. 80% of countries submit on time	- National reports available from UNCCD Secretariat - CRIC 11 documents	- Financial: Countries gain access to GEF funding to enable reporting during the 2012 reporting and review process. Resources available are sufficient to fund required national activities. - Technical: Technical support provided is relevant and sufficient. Data for reporting on

				indicators are available. - Political: Countries engage in reporting process.
Output 2.1. National reports that include impact performance indicators and approved by COP9 prepared and submitted by 20 countries	100% of eligible Parties that have received GEF funds prepare and submit their reports	Baseline: 0% of 2012 reporting submitted to date  Target: 20 National Reports	- National reports available from UNCCD Secretariat - CRIC 11 documents	Financial resources and technical assistance available in time.
<b>Component 3: Project management and Helpdesk services to national-level activities for NAP Alignment and 2012 Reporting and Review process</b>				
Outcome 3: Strengthened national capacity and systems for assessment of socio-economic and biophysical baseline of DLDD to inform NAP revision, implementation and monitoring, including data gathering and country-relevant indicators	- A functional Help Desk for countries reporting on impact and performance indicators and for aligning their NAP - 20 Small Scale Financial Agreements (SSFAs) signed by UNEP and countries	<b>Baseline:</b> Little/no understanding of UNCCD impact indicators, as countries are reporting for the first time on impact indicators. 3% of countries have aligned their NAP.  <b>Target:</b> 20 countries have sufficient technical and financial capacity to meet minimum requirements in delivering reports and aligning NAPs	- Technical report on Helpdesk support published - Small Scale Financial Agreements (SSFAs) available from UNEP	- Countries request support from Helpdesk - Resources available for Helpdesk are sufficient, especially for needs of lower capacity countries. - UNEP Project Coordination Assistant is recruited in time to negotiate SSFAs
Output 3.1: Practical guidance and know-how on NAP alignment and UNCCD 2012 indicators based (Performance and Impacts) reporting				

**Appendix 5: Workplan and timetable**

2012-13 reporting and review cycle



\* Production of reporting templates, including the time necessary for consultations with Parties

Project Components	2012												2013												2014	
	Q1			Q2			Q3			Q4			Q1			Q2			Q3			Q4			Q1	Q2
	j	f	m	a	m	j	j	a	s	o	n	d	j	f	m	a	m	j	j	a	s	o	n	d	Q1	Q2
<b>Finalizing Contractual agreement with Countries</b>																										
<b>Funds transfer to countries</b>																										
<b>NAP</b>																										



<p>effective utilisation of GEF funding by 20 countries for Enabling Activities to meet their obligations under the UNCCD a) alignment of NAPs with 10 – Year Strategy and b) 2012 Reporting and Review process</p>	<p>to fulfil their obligations in accordance with the provisions provided in the UNCCD</p> <p>20 National Reports prepared and submitted to UNCCD</p> <p>20 Aligned NAPs with UNCCD 10-Year strategy</p> <p>A functional Helpdesk</p>	<p>aligned their NAPs with the 10-Year Strategy and b) No country submitted its 2<sup>nd</sup> leg of 4<sup>th</sup> Reporting and Review Process</p> <p>Target:</p> <ul style="list-style-type: none"> <li>- 20 countries gain access to GEF funding for NAP alignment and reporting</li> <li>- 20 countries prepare and submit their National by Report to UNCCD by end of 2012</li> <li>- 20</li> </ul>	<p>C documents</p> <ul style="list-style-type: none"> <li>- Terminal Evaluation</li> </ul>	<p>Secretariat</p>			
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		Countries aligned their NAP with the UNCCD 10-Year Strategy at the end of the project					
		- A functional Helpdesk service to support UNCCD Parties for NAP alignment and reporting					
<b>Outcomes (and Outputs)</b>							
<b>Component 1: NAP Alignment</b>							
Countries have aligned their NAPs with the UNCCD 10-Year Strategy	- 20 aligned NAPs submitted to UNCCD CRIC 11/12	<b>Baseline:</b> COP8 by Decision 3 urges affected country Parties to align their NAP with the 10-Year Strategy and CRIC 9 clearly identified NAP	20 countries NAPs aligned with UNCCD 10-Year Strategy	UNCCD Website	UNCCD Secretariat	December 2014	TE



and institution alized them within future governme nt developm ent framewor k		alignment as a priority for the UNCCD and called for intensification of efforts in this respect (ICCD/CRIC9/16 p 5-6).  Only two countries aligned their NAPs  <b>Target:</b> 80% of 20 countries submit aligned NAPs to CRIC 11 and all 20 countries by CRIC 12					
Component 2: 2012 Reporting and Review							
Countries have prepared and submitted their national reports for the second leg of the 4th	- 20 national reports on impact and performance before the end of the 2012 reporting and review process. - 20 national reports and completed	<b>Baseline:</b> COP8 by Decision 3 requests Parties to report on progress made in their implementation of The Strategy  <b>Target:</b> 100% of 20 countries	National reports available from UNCCD Secretariat  CRIC 11 documents	UNCCD PRAIS Portal	UNCCD UNEP/TM WCMC	August 2012	TE

reporting and review process	reports analyzed for CRIC 11	submit their national reports. 80% of countries submit on time and 50% of reports are submitted on time.					
			Component 3: Project management and Helpdesk services to national-level activities for NAP Alignment and 2012 Reporting and Review process*				
Strengthened national capacity and systems for assessment of socio-economic and biophysical baseline of DLDD to inform NAP revision, implementation and monitoring, including data gathering and country-relevant	<ul style="list-style-type: none"> <li>- A functional Helpdesk for countries reporting on impact and Performance Indicators and for aligning their NAP</li> <li>- 20 Small Scale Financial Agreements (SSFAs) signed by UNEP and countries</li> </ul>	<p><b>Baseline:</b> Little/no understanding of UNCCD Impact Indicators, as countries are reporting for the first time on Impact Indicators. 3% of countries have aligned their NAP.</p> <p><b>Target:</b> 20 countries have sufficient technical and financial capacity to meet minimum requirements in delivering reports and</p>	<p>Technical report on Helpdesk support published</p> <p>Small Scale Financial Agreements (SSFAs) available from UNEP</p>	<p>UNCCD Secretariat UNEP-WCMC UNEP UNCCD Countries Parties</p>	<p>UNCCD Secretariat UNEP-WCMC UNEP</p>	<p>July 2012 – December 2013</p>	TE

indicators		aligning NAPs					
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**\*Note that this component is being funded by Umbrella 1 project**

**2. Cost of project inception:** The global inception will be via a teleconference and will involve UNCCD and GM secretariats, UNEP-WCMC and UNEP. In order to the inception to be useful, prior dynamic exchanges and documents preparation will be needed. The meeting will include discussions on issues encountered during the project initiation and adapt methods for implementing the project.

**4. Cost of Terminal Evaluation:** The cost of terminal evaluation is estimated at **\$30,000 and covered in the Umbrella 1 budget**. It will be carried out by independent consultant, selected by UNEP Evaluation Office in consultation with UNEP Task Manager, WCMC and UNCCD Secretariat.

**5. Any additional M&E costs:** Possible costs are already included in the consolidated project budget



## **Appendix 8: Summary of reporting requirements and responsibilities**

### ***Routine Reports***

**Progress Reports:** Every three months, (as at 31 March, 30 June, 30 September, and 31 December), Project shall submit to UNEP/DEPI, with a copy to UNEP GEF Coordination Office, quarterly reports on the progress in project execution, within 30 days of the end of the reporting period.

**Terminal Reports:** Within 60 days of the completion of the project, Project Coordination Assistant will submit to UNEP/DEPI/GEF, a Terminal Report detailing the activities undertaken under the project, lessons learned and any recommendations to improve the efficiency of similar activities in the future.

### ***Follow-up***

The proposed project will be implemented over a period of 24 months. During this period arrangements will be confirmed for continuation of the activities linked to results beyond the completion of the project. The UNCCD Parties have committed to assuming funding for key staff positions and activities developed under the GEF.

### ***Amendments***

The Parties to this project document shall approve any modification or change to this project document in writing.

## **Appendix 9: Standard Terminal Evaluation TOR**

### **Terminal Evaluation of the UNEP GEF project {Title}**

#### **1. PROJECT BACKGROUND AND OVERVIEW**

##### **Project rationale**

*The objective was stated as:*

*The indicators given in the project document for this stated objective were:*

**Relevance to GEF Programmes**

*The project is in line with*

**Executing Arrangements**

*The implementing agency (ies) for this project was (were) UNEP and { } and the executing agencies were:*

*The local national agencies in the focal areas were:*

**Project Activities**

The project comprised activities grouped in {number} components.

**Budget**

At project inception the following budget prepared:

GEF Co-funding

Project preparation funds:

GEF {Medium/Full} Size Grant

**TOTAL (including project preparation funds)**

Co-funding sources:

Anticipated:

## **APPENDIX 9.bis Detailed Terms of Reference for the Evaluation**

### **1. Objective and Scope of the Evaluation**

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. Did the project help to { } among key target audiences (international conventions and initiatives, national level policy-makers, regional and local policy-makers, resource managers and practitioners).
2. Did the outputs of the project articulate options and recommendations for { }? Were these options and recommendations used? If so by whom?
3. To what extent did the project outputs produced have the weight of scientific authority and credibility necessary to influence policy makers and other key audiences?

### **Methods**

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/GEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/GEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/GEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
  - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
  - (b) Notes from the Steering Group meetings.
  - (c) Other project-related material produced by the project staff or partners.
  - (d) Relevant material published on the project web-site: { }.
2. Interviews with project management and technical support including
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an email questionnaire.
4. Interviews with the UNEP/GEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with {relevant GEF focal area(s)}-related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

## 5. Field visits<sup>16</sup> to project staff

### **Key Evaluation principles.**

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

## **2. Project Ratings**

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:<sup>17</sup>

### **A. Attainment of objectives and planned results:**

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the "achievement indicators". The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by biodiversity indicators in their national planning and decision-making. In particular:
  - Evaluate the immediate impact of the project on {relevant focal area} monitoring and in national planning and decision-making and international understanding and use of biodiversity indicators.
  - As far as possible, also assess the potential longer-term impacts considering that the evaluation is taking place upon completion of the project and that longer term impact is expected to be seen in a few years' time. Frame recommendations to enhance future project impact in this context. Which will be the major 'channels' for longer term impact from the project at the national and international scales?
- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the {relevant Convention(s)} and the wider portfolio of the GEF.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and / or technical information. Wherever

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<sup>16</sup> Evaluators should make a brief courtesy call to GEF Country Focal points during field visits if at all possible.

<sup>17</sup> However, the views and comments expressed by the evaluator need not be restricted to these items.



possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

## **B. Sustainability:**

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources.* Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes of the project dependent on continued financial support?
- *Socio-political:* Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance.* To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes.

## **C. Achievement of outputs and activities:**

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

#### **D. Catalytic Role**

Replication and catalysis. What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:

- Do the recommendations for management of {project} coming from the country studies have the potential for application in other countries and locations?

If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

#### **E. Assessment monitoring and evaluation systems.**

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in *Annex 4* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project Coordination Assistants are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

#### **M&E during project implementation**

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.
- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

#### **F. Preparation and Readiness**

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

#### **G. Country ownership / drivenness:**

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to the conservation and management of the focal ecosystem in each country.
- Assess the level of country commitment to the generation and use of biodiversity indicators for decision-making during and after the project, including in regional and international fora.

#### **H. Stakeholder participation / public awareness:**

This consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

#### **I. Financial Planning**

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.

- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project (table attached in *Annex 1* to this Appendix Co-financing and leveraged resources).

**J. Implementation approach:**

This includes an analysis of the project’s management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: Steering Group; (2) day to day project management in each of the country executing agencies and {lead executing agency}.

**K. UNEP Supervision and Backstopping**

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/GEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

**3. Evaluation report format and review procedures**

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

**The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this**

**TOR.** *The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.*

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
  - Briefly describe the context from which they are derived
  - State or imply some prescriptive action;
  - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

*Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.*

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)

5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference,
2. A list of interviewees, and evaluation timeline
3. A list of documents reviewed / consulted
4. Summary co-finance information and a statement of project expenditure by activity
5. The expertise of the evaluation team. (brief CV).

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP EOU.

Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou)

#### **Review of the Draft Evaluation Report**

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The UNEP/GEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP EOU collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

#### **4. Submission of Final Terminal Evaluation Reports.**

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,  
UNEP Evaluation Office  
P.O. Box 30520-00100  
Nairobi, Kenya  
Tel.: +(254-20)762-4181  
Fax: +(254-20)762-3158  
Email: [Segbedzi.Norgbey@unep.org](mailto:Segbedzi.Norgbey@unep.org)

Luc Gnacadja  
UNCCD Executive Secretary  
Hermann-Ehlers Str. 10  
D-53113 Bonn, Germany  
Fax: +49 228 815 2898  
Email: [lgnacadja@unccd.int](mailto:lgnacadja@unccd.int)

With a copy to:

Ibrahim Thiaw  
Director

Division of Environmental Policy Implementation (DEPI)  
United Nations Environment Programme (UNEP)  
P. O. Box 30520, 00100 Nairobi, Kenya  
Tel: +254 20 7624782  
From Europe and N. America call via Italy:  
+39 0831 24 3000 wait for voice then dial 124 4782  
Email: [ibrahim.thiaw@unep.org](mailto:ibrahim.thiaw@unep.org)

Maryam Niamir-Fuller,  
Director  
UNEP GEF Coordination Office  
P.O. Box 30520-00100  
Nairobi, Kenya  
Tel: +(254-20)762-4166  
Fax: +(254-20)762-4041/2  
Email: [Maryam.Niamir-Fuller@unep.org](mailto:Maryam.Niamir-Fuller@unep.org)

Adamou Bouhari  
Task Manager  
UNEP/Division of GEF Coordination  
P.O. Box 30520-00100  
Nairobi, Kenya  
Tel: +(254-20)762-3860  
Fax: +(254-20)762-4041/2  
Email: [Adamou.Bouhari@unep.org](mailto:Adamou.Bouhari@unep.org)

Global Mechanism  
**Simone Quatrini**  
Coordinator, Policy and Investment Analysis  
The Global Mechanism of the UNCCD  
c/o the International Fund for Agricultural Development (IFAD)  
Via Paolo di Dono, 44  
00142 Rome, Italy  
E-mail: [s.quatrini@ifad.org](mailto:s.quatrini@ifad.org)  
Tel: +39 06 5459 2154  
Fax: +39 06 5459 3154

The final evaluation report will be published on the Evaluation and Oversight Unit's web-site [www.unep.org/eou](http://www.unep.org/eou) and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

##### **5. Resources and schedule of the evaluation**

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation and Oversight Unit, UNEP. The contract for the evaluator will begin on ddmmyyy and end on ddmmyyyy (# days) spread over # weeks (# days of travel, to {country(ies)}, and # days desk study). The evaluator will submit a draft report on ddmmyyyy to UNEP/EOU, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by ddmmyyyy after which, the consultant will submit the final report no later than ddmmyyyy.

The evaluator will after an initial telephone briefing with EOU and UNEP/GEF conduct initial desk review work and later travel to (country(ies)) and meet with project staff at the beginning of the evaluation. Furthermore, the evaluator is expected to travel to {country(ies)} and meet with representatives of the project executing agencies and the intended users of project's outputs.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an international expert in { } with a sound understanding of { } issues. The consultant should have the following minimum qualifications: (i) experience in { } issues; (ii) experience with management and implementation of { } projects and in particular with { } targeted at policy-influence and decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Knowledge of {specify language(s)} is an advantage. Fluency in oral and written English is a must.

#### **6. Schedule Of Payment**

The consultant shall select one of the following two contract options:

##### **Lump-Sum Option**

The evaluator will receive an initial payment of 30% of the total amount due upon signature of the contract. A further 30% will be paid upon submission of the draft report. A final payment of 40% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and **is inclusive** of all expenses such as travel, accommodation and incidental expenses.

##### **Fee-only Option**

The evaluator will receive an initial payment of 40% of the total amount due upon signature of the contract. Final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is **NOT** inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.



## ANNEX 1 TO APPENDIX 10: OVERALL RATINGS TABLE

Criterion	Evaluator's Summary Comments	Evaluator's Rating
<ul style="list-style-type: none"> <li>Attainment of project objectives and results (overall rating)</li> </ul>		
Sub criteria (below)		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
<b>B. Sustainability of Project outcomes (overall rating)</b>		
Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Ecological		
<b>C. Achievement of outputs and activities</b>		
<b>D. Monitoring and Evaluation (overall rating)</b>		
Sub criteria (below)		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
<b>E. Catalytic Role</b>		
<b>F. Preparation and readiness</b>		
<b>G. Country ownership / drivenness</b>		
<b>H. Stakeholders involvement</b>		
<b>I. Financial planning</b>		
<b>J. Implementation approach</b>		
<b>K. UNEP Supervision and backstopping</b>		

### RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

**Please note:** Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

### **RATINGS ON SUSTAINABILITY**

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

#### Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

### **RATINGS OF PROJECT M&E**

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on ‘M&E Design’, ‘M&E Plan Implementation’ and ‘Budgeting and Funding for M&E activities’ as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

All other ratings will be on the GEF six point scale.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

**ANNEX 2 TO APPENDIX 9.BIS: CO-FINANCING AND LEVERAGED RESOURCES**

**CO-FINANCING (BASIC DATA TO BE SUPPLIED TO THE CONSULTANT FOR VERIFICATION)**

Co-financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
- Grants										
- Loans/Concessional (compared to market rate)										
- Credits										
- Equity investments										
- In-kind support										
- Other (*)										
-										
-										
-										
<b>Totals</b>										

- Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

***Leveraged Resources***

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO’s, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project’s ultimate objective.

**Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)**

## ANNEX 3 TO APPENDIX 9

### Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The UNEP/GEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

### Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

<b>GEF Report Quality Criteria</b>	<b>UNEP EOU Assessment</b>	<b>Rating</b>
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
<b>UNEP EOU additional Report Quality Criteria</b>	<b>UNEP EOU Assessment</b>	<b>Rating</b>
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated Performance Indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

**GEF Quality of the MTE report = 0.3\*(A + B) + 0.1\*(C+D+E+F)**

**EOU assessment of MTE report = 0.3\*(G + H) + 0.1\*(I+J+K+L)**

**Combined quality Rating = (2\* 'GEF EO' rating + EOU rating)/3**

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

## ANNEX 4 TO APPENDIX 9

### *GEF Minimum requirements for M&E*

#### ***Minimum Requirement 1: Project Design of M&E<sup>18</sup>***

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects).

This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
  - a description of the problem to address
  - indicator data
  - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

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<sup>18</sup> <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

## **Minimum Requirement 2: Application of Project M&E**

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

**SMART INDICATORS** GEF projects and programs should monitor using relevant Performance Indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

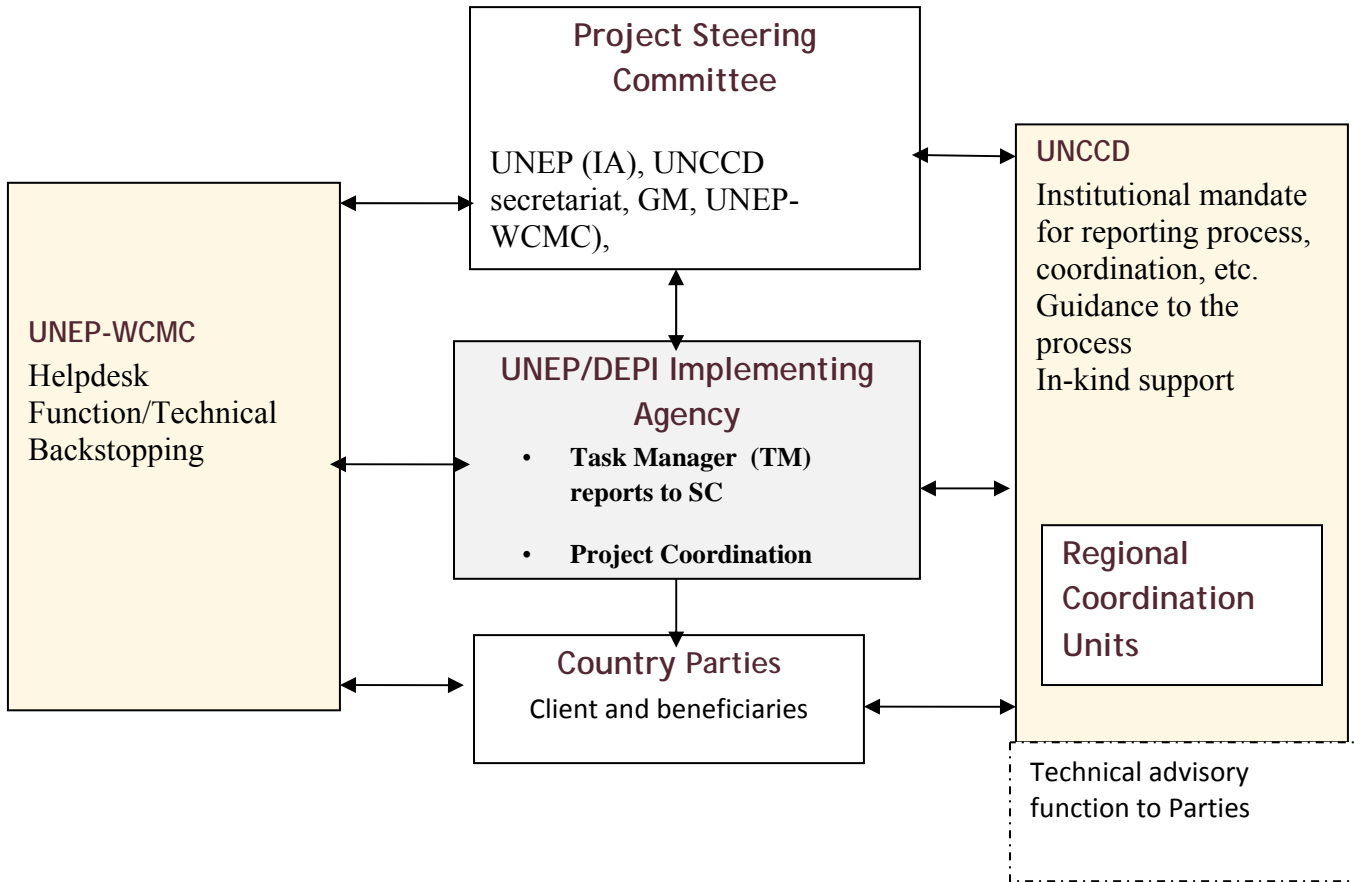


**Annex 5 to Appendix 9**

*List of intended additional recipients for the Terminal Evaluation (to be completed by the IA Task Manager)*

Name	Affiliation	Email
Aaron Zazueta	GEF Evaluation Office	<a href="mailto:azazueta@thegef.org">azazueta@thegef.org</a>
<b>Government Officials</b>		
<b>GEF Focal Point(s)</b>		
<b>Executing Agency</b>		
<b>Implementing Agency</b>		

**Appendix 10: Decision-making flowchart and organizational chart**



## Appendix 11: ToR of key project stakeholders

### *International Project Unit:*

**Project Coordination Assistant:** The Project Coordination Assistant will be responsible for overall project activities under the supervision of UNEP Task Manager. The Project Coordination Assistant will report to UNEP TM who in turn will report to the Project Steering Committee.

Main duties and responsibilities:

- Establish the project's internal working procedures and coordination mechanisms with the Parties.
- Ensure adequate compliance of project implementation with UNEP procedures.
- Ensure adequate compliance of project implementation with overall UNCCD reporting process
- Prepare the workplans and budgets,.
- Supervise drafting of TORs for project activities; contribute to the analysis and approval of technical reports.
- Prepare project progress and financial reports as required by UNEP/GEF.
- Coordinate and update the project's M&E system and ensure adequate project M&E.
- Provide support to field missions by UNEP, UNCCD and UNEP-WCMC staff as well as to Final External Evaluation.
- Ensure adequate inter-institutional coordination and stakeholder participation mechanisms during project implementation.
- Act as Secretary to the meetings of the Project Steering Committee.
- Support preparation of the project's visibility plan and ensure adequate dissemination of project results and lessons learned.
- Support partnerships and relationships with key stakeholders of the project, notably the UNCCD Secretariat.
- Prepare work plans and activity reports in consultation with relevant project partners.

The Project Coordination Assistant will be located UNEP Nairobi. The Project Coordination Assistant will receive technical and administrative support from UNEP and Helpdesk services from UNEP-WCMC.

Profile: 7-10 years of experience in project management and implementation, (Experience of GEF projects will be an asset) ; living and working experience in developing countries; direct experience related to the scope of the project, particularly with regard to UNEP procedures; previous engagement with the Rio Conventions and reporting processes, or at a minimum, familiarity with these processes; experience in capacity building- and training-related issues especially in developing countries; leadership as well as strong management and interpersonal skills; computer skills; high flexibility and capacity to work under stress and pressure, especially tight deadlines; language skills including French and English, with Spanish and other UN languages highly desirable assets; and appropriate graduate degree in a related subject.

**Helpdesk: Provide technical support to UNEP-supported Parties on Strategic Objectives (SO) 1, 2 and 3**

- Respond to queries raised by UNEP-supported Parties relating to reporting on Impact Indicators.
- Evaluate the impact of the Helpdesk on the quality of reporting on the two mandatory Impact Indicators.
- Identify roles, responsibilities and contact details of focal points and reporting officers among Umbrella Parties.
- Develop and disseminate Impact Indicator information material to national focal points and reporting officers.
- Link the available expertise on Impact Indicators within the scientific community and national focal points and seek their input in response to queries raised by Parties.
- Liaise with the UNCCD Secretariat and the GM at Headquarter level on Helpdesk services.
- Compile and disseminate frequently asked questions (FAQs) on Impact Indicator queries as a resource base for national focal points.
- Summarise Helpdesk queries on Impact Indicators into a needs assessment to inform indicator refinement and ensure that details on Helpdesk queries are available for planning future reporting cycles.

**Provide technical support to UNEP-supported Parties on NAP alignment**

- Respond to queries raised by UNEP-supported Parties relating to NAP alignment.
- Develop and disseminate good practices tools and guidance notes on NAP alignment.

**Share experiences on national reporting and NAP alignment**

- Share experiences on national reporting and NAP alignment with UNCCD Secretariat, Global Mechanism (GM) and UNCCD Parties during meetings of the Committee of Science and Technology (CST) and Committee for the Review of the Implementation of the Convention (CRIC) in 2012

**Other**

- Financial and technical reporting to UNEP
- Provide technical backstopping to the UNEP Project Coordination Assistant in particular for monitoring and evaluation of the umbrella project
- Support the UNEP Task Manager in drafting and revising the UNEP Project Document

**National Focal Point (NFP)**

National positions in each UNCCD affected Countries Parties. All NFPs will primarily be financed through national government funds (co-financing).

**Relationships**

The NFP will be:

- Responsible to the UNEP Task Manager
- Accountable to the UNEP, NEA for the achievement of objectives and results in the assigned Project
- Liaise with the UNCCD RCUs (secretariat/GM)

## Selection

- The NEA, will be the UNCCD National Focal Point to coordinate the project activities.

## Role of the NFP

- Participate or head the National Steering Committee (NSC)
- Supervise compliance with objectives, activities, results, and all fundamental aspects of project execution in each country
- Approve annual operational plans at the national level
- Ensure active involvement of NSC members including CSO and other stakeholders in project implementation
- Apply all UNEP and GEF regulations to project execution including logframe and incremental cost analysis at national level
- Review and approve quarterly and annual activity reports for submission to UNEP
- Coordinate with national governmental representatives on legal aspects of project activities
- Work closely with UNEP to coordinate national level activities

## *Project Committees*

**Project Coordinating Committee (PCC):** The Project Coordinating Committee has membership from UNEP, UNEP-WCMC, the GEF secretariat and other relevant partner's institutions. The PCC will closely coordinate with the UNCCD Secretariat and the GM on matters pertaining to services delivered by those entities and the timeframe set. The PCC will meet virtually or during other global events at no cost to this project.

**National Executing Agencies (NEAs):** Overall responsibility at the national level will be vested to the UNCCD National Focal Point. These agencies will implement the project in collaboration with other national, provincial and local government agencies, NGOs, private sector and local communities. In order to ensure joint programming of GEF interventions with related projects, formal and informal inter-agency links will be maintained. Each NEA will receive international technical assistance through the Helpdesk established at UNEP-WCMC.

**National Steering Committee (NSC):** A National Steering Committee (NSC) will be maintained, or else an existing steering committee be used in each country to provide guidance to the project and monitor progress and performance. The NSC will serve under the Terms of Reference and will monitor and review progress on an annual basis. See Appendix 13 for TOR and membership. The NSC will be chaired by the Head of the NEA or his representative. The NFP will act as the NSC secretary. In line with the COP9 recommendation, it will be an obligation to have at least one (1) Civil Society Organisation (CSO) active in the SLM activities, in the NSC.

The NSCs will be established by the National Executing Agency (NEA) in each participating country. It is suggested that they consist of:

- The Head of the NEA (Chairperson)
- The UNCCD National Focal Point

- The GEF Operational or Political Focal Point
- Representatives from UN Agencies and other Donors.
- The representative of the CSO
- The Representatives of Academic Institutions (2)

The members of the NSCs will be informed and consulted by the UNCCD Focal Point and in order to ensure that each national component of the project is fully coordinated with other relevant initiatives and to gain external opinion during the process of project development.



The members of the NSCs will communicate and meet as appropriate to review, discuss and provide recommendations on topics such as:

- Annual operational plans
- Surveys and assessments
- Inter-agency coordination mechanisms for integrated reporting and NAP alignment
- Collaboration opportunities for national-level activities
- Communications, public awareness and education activities
- Proposals for demonstration activities and cost-recovery mechanisms
- Identification of monitoring and evaluation indicators and criteria
- Mainstreaming NAP in national policies and agendas
- Other activities, as appropriate

**Appendix 12: List of UNCCD affected countries Parties eligible for assistance under the present project**<sup>19</sup>

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<sup>19</sup>

-  Country Parties having submitted reports to the COP on national activities on UNCCD and/or prepared a NAP
-  Country of recent accession to the Convention and/or not having completed their submission of national reports

Afghanistan  
Albania  
Algeria  
Angola  
Antigua and Barbuda  
Argentina  
Armenia  
Australia  
Azerbaijan  
Bahamas  
Bahrain  
Bangladesh  
Barbados  
Belarus  
Belize  
Benin  
Bhutan  
Bolivia  
Bosnia and Herzegovina  
Botswana  
Brazil  
Bulgaria  
Burkina Faso  
Burundi  
Cambodia  
Cameroon  
Canada  
Cape Verde  
Central African Republic  
Chad  
Chile  
China  
Colombia  
Comoros  
Cook Islands  
Costa Rica  
Côte d'Ivoire  
Croatia  
Cuba  
Cyprus  
Democratic People's Republic of Korea  
Democratic Republic of Congo  
Djibouti  
Dominica  
Dominican Republic  
Ecuador  
Egypt  
El Salvador  
Equatorial Guinea

Eritrea  
Ethiopia  
Fiji  
Gabon  
Gambia  
Georgia  
Ghana  
Greece  
Grenada  
Guatemala  
Guinea  
Guinea-Bissau  
Guyana  
Haiti  
Honduras  
Hungary  
India  
Indonesia  
Iran (Islamic Republic of)  
Ireland  
Israel  
Italy  
Jamaica  
Jordan  
Kazakhstan  
Kenya  
Kiribati  
Kuwait  
Kyrgyzstan  
Lao People's Democratic Republic  
Latvia  
Lebanon  
Lesotho  
Liberia  
Libyan Arab Jamahiriya  
Lithuania  
Madagascar  
Malawi  
Malaysia  
Maldives  
Mali  
Malta  
Marshall Islands  
Mauritania  
Mauritius  
Mexico  
Micronesia (Federated States of)  
Monaco  
Mongolia  
Montenegro  
Morocco

Mozambique  
Myanmar  
Namibia  
Nauru  
Nepal  
Nicaragua  
Niger  
Nigeria  
Niue  
Oman  
Pakistan  
Palau  
Panama  
Papua New Guinea  
Paraguay  
Peru  
Philippines  
Portugal  
Qatar  
Republic of Moldova  
Republic of the Congo  
Romania  
Russian Federation  
Rwanda  
Saint Kitts and Nevis  
Saint Lucia  
Saint Vincent and the Grenadines  
Samoa  
Sao Tome and Principe  
Saudi Arabia  
Senegal  
Serbia  
Seychelles  
Sierra Leone  
Slovak Republic  
Slovenia  
Solomon Islands  
Somalia  
South Africa  
Spain  
Sri Lanka  
Sudan  
Suriname  
Swaziland  
Syrian Arab Republic  
Tajikistan  
Tanzania (United Republic of )  
Thailand  
The Former Yugoslav Republic of  
Macedonia  
Timor Leste

Togo  
Tonga  
Trinidad and Tobago  
Tunisia  
Turkey  
Turkmenistan  
Tuvalu  
Uganda  
Ukraine  
United Arab Emirates  
United States of America  
Uruguay  
Uzbekistan  
Vanuatu  
Venezuela  
Viet Nam  
Yemen  
Zambia  
Zimbabwe



**Appendix 13: Co-financing commitment letters from project partners**

**Appendix 14: Endorsement letters of GEF National Focal Points**

N/A.

**Appendix 15: Draft procurement plan**

N/A

**Appendix 16: Tracking Tools**

No need for tracking tools for Enabling Activity project.

## Appendix 17: Knowledge Management Portal

A Performance Review and Assessment of Implementation Knowledge Management Web Portal (PRAIS Portal) is a proposed component of the UNCCD Performance Indicators 2010 Project. The portal itself would be designed by WCMC through a conceptual analysis done in cooperation with the UNCCD Secretariat and based on the needs assessment. This portal will further feed the information to the UNCCD Overall Knowledge Management Portal being developed at Secretariat level.

Online reporting has formed a part of the discussions within the UNCCD 4th national reporting process and could well be a move in a useful direction, particularly at the start of a new reporting process. In the longer-term, online reporting would become part of the envisaged system of interoperability of information management among MEAs. Any solutions developed for UNCCD may also be relevant to other Conventions (for example online reporting), and wherever possible and appropriate the project should be looking for synergies.

This Annex describes (1) what the PRAIS Portal could do; (2) the proposed process to design the portal; and (3) a case example of online reporting.

### 1. The PRAIS Portal

It is anticipated that the UNCCD Overall Knowledge Management Portal - currently being developed at Secretariat's level - will perform a number of functions:

- Providing hosting platform for the PRAIS Portal;
- Electronic dissemination of information on Convention's implementation;
- Public outreach of the UNCCD process;
- Serving as one stop shop knowledge base on land degradation and desertification issues linked globally;
- Serving as a tool for the Parties to publish, manage and utilize the knowledge shared by them and for them;
- Provide facts, advanced analytic services and statistics, and support research and quantitative analysis of data;
- Provide tools for data extraction services in industry-used formats;
- Provide the next generation tool for interoperability of ideas, thoughts and experiences, constituting a knowledge base in itself, by social network analysis of individuals, groups, companies or organizations;
- Provide scientific knowledge brokerage system for the CST and the scientific community;
- Ensure operability with other reporting systems;
- Provide online training modules.

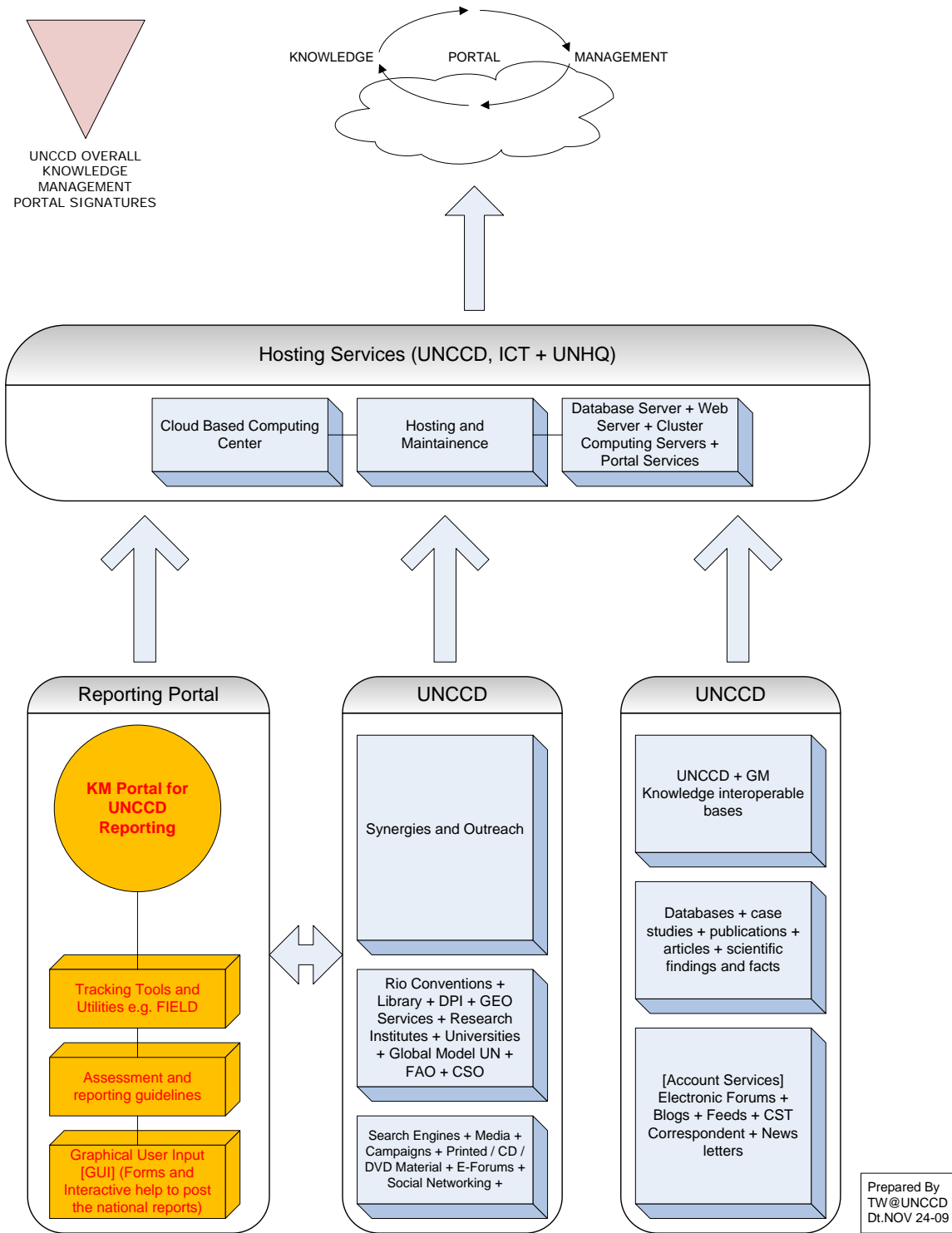


Diagram A: Interactions between the PRAIS Portal and the UNCCD Overall Knowledge Management Portal

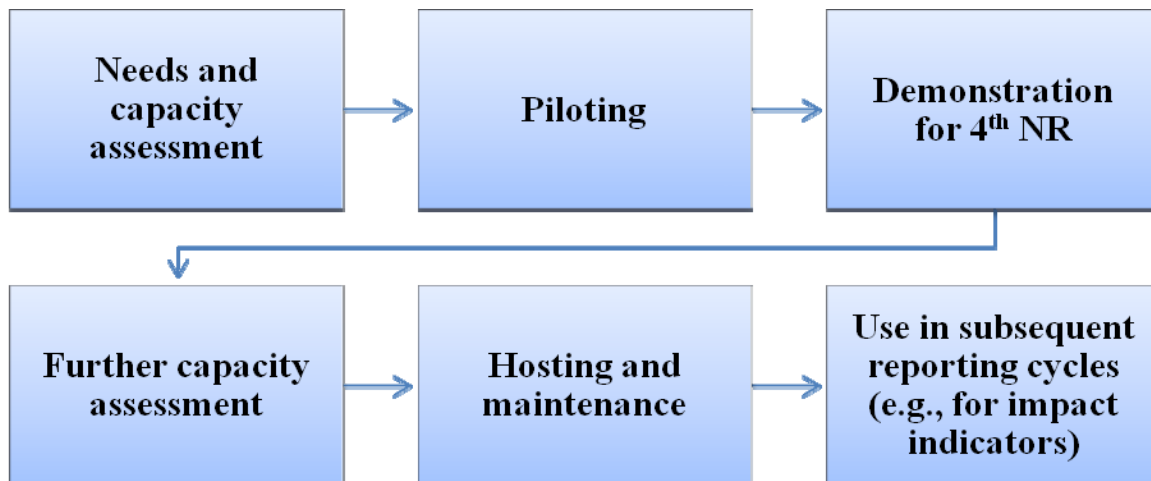
Objectives of the PRAIS Portal for affected country Parties and stakeholders in UNCCD implementation are to:

- Support the 4th national reporting cycle pilot of performance-based indicators;
- Document and share knowledge about UNCCD implementation, status assessments and new performance-based reporting;
- Receive training material and technical guidance;
- Support tracking tools roll-out to monitor progress;
- Facilitating aggregation of results at the different levels and assessment of transformational impact (Performance Indicators supporting cause-effect linkage to Impact Indicators)
- View and query analysis of UNCCD implementation disaggregated at different scales, e.g., by enabling Geographic Information System (GIS)-based analysis, which helps to prioritise scarce resources.

The PRAIS Portal should be fully compatible with the UNCCD Overall Knowledge Management Portal.

Given the decentralised nature of Convention implementation, regional and sub-regional-specific hubs, could be designed as a combination of a sub-portal and a regional responsibility for population and promoting use of the portal. "Skin" is the term used to describe the visual appearance and layout of a website's pages. A Skin can be very simply changed or customized for different users, so that users in the UNCCD regions and sub-regions logging on each see a customized portal. A Skin can be very simple or very elaborate, providing for different features or layouts depending on the defined needs of the user.

## 2. Process to develop the portal



The PRAIS Portal should be designed now in such a manner that it can address both implementation and Impact Indicators and reporting, and this must be taken into account in the needs assessment process. Methodologies for website needs assessment in an international context are well established. In a development context, the International Development Research Centre (IDRC) has a long track record of supporting research and development project aimed at exploring how Information and communication technologies (ICTs) can effectively be provided and appropriated by people living in rural communities and disadvantaged areas. IDRC plays a critical role in helping combat desertification in developing countries. IDRC has three decades of experience helping developing countries apply science and technology to their environment and development problems, including desertification. IDRC could potentially support the development of the needs assessment, to ensure the needs of rural communities and disadvantaged areas can be considered in the KM portal design.

Once the needs assessment is completed it is vital to consider this in the context of the other developments in the field of KM Portals (notably KM Land), the lesson from Tematea and our own KM project, both in terms of maintenance and ownership and regarding technical solutions. There are ongoing cross-convention efforts to develop KM systems. There is also good technical knowledge, for example within the CBD Secretariat which should be consulted. It is absolutely essential that the proposed approach to the KM Portal has the full support and buy-in of Parties to the Convention and the UNCCD Secretariat and is not externally-driven. This is difficult given the time pressure for the UNCCD project but our approach to the development of the portal would need to look into this. There is must to consider when conducting the needs assessment. In addition the Portal should be harmonised with the approach of a project expected to be approved on integrated reporting to the Rio Conventions.

The capacity assessment mention in the project description has two interpretations in the context of the portal. The first is the capacity to fully engage with the portal (potentially also addressing related national information management), and the second is to ensure that the portal focuses on areas where capacity for implementation needs to be addressed most urgently.

Hosting and maintenance platform for the Database Server and the PRAIS Portal will be supported by the UNCCD Secretariat, in close collaboration with the United Nations Headquarters (UNHQ). The technologies to be used will be further mutually agreed between WCMC and the UNCCD Secretariat.

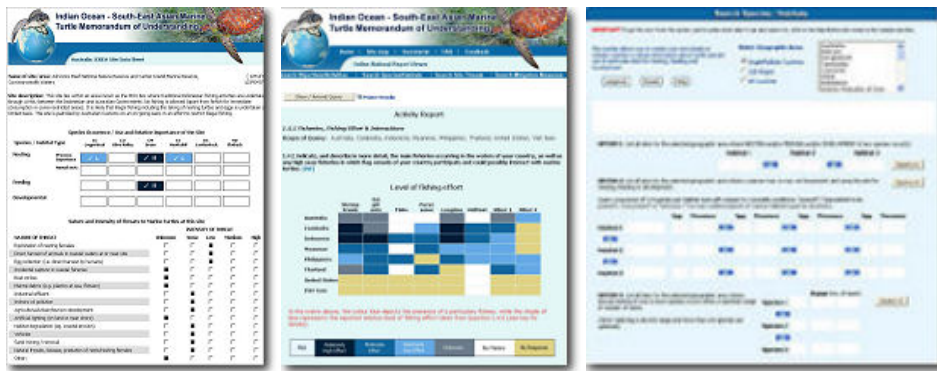
The UNCCD Secretariat will, in close consultation with WCMC and the GM:

- Agree upon the detailed technical roadmap of the various reporting module and the Web publishing of the same;
- Further derive the metadata structure for the database server as described in document ICCD/CRIC(8)/5/Add.2, with a suitable selection of the database server and the portal server;
- Provide the domain name registration for the PRAIS Portal;

- Design the remaining modules of the UNCCD Overall Knowledge Management Portal as described in the diagram A above;
- Agree upon the data synchronization topology from the regional/sub regional portals or the respective metadata text stores.

**Case example<sup>20</sup>**

Within the biodiversity realm, online reporting has been used by Indian Ocean – South East Asian (IOSEA) Marine Turtle Memorandum of Understanding<sup>21</sup>. The online reporting tool that UNEP-WCMC developed allows for easy generation of online reporting facilities for other MEAs and other types of questionnaires. More than 80 MoU-related activities can be queried.



Figures: Samples of views in the IOSEA example

By way of example, for any given country or sub-region, can query:

- The extent and impact of the fisheries in national or international waters that may be interacting with turtles
- The economic uses and values of turtles in each country
- What efforts are being made to rehabilitate degraded coral reefs
- How widespread and effective are nesting beach management programmes
- What is being done to combat domestic illegal trade in marine turtle products

Plans are in place to integrate such functions with a mapping service, which will allow users to generate maps with Google Earth, and to plot the results of queries they generate.

<sup>20</sup> With thanks to Douglas Hykle – Concept, Design and Trouble-shooting and David Jiles – Software Programming.

<sup>21</sup> Detail available from: <http://www.ioseaturtles.org/report.php>.

Such a knowledge tool has immense potential for management purposes, particularly in helping to prioritise use of limited resources..