



《公约》执行情况审评委员会

第九届会议

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临时议程项目 7(a)

改进信息通报程序以及提交缔约方会议的报告的质量及格式

有关评估执行情况的选接程序，包括业绩指标、方法和报告程序

审议有关评估执行情况的选接程序，包括业绩指标、方法和报告程序

秘书处的说明*

内容提要

本文件载有缔约方和观察员提交的报告中题为“补充信息”的那一节所载信息的分析结果。本报告分析属于报告进程的一部分的一系列要素，如资金和人力资源的备有情况，以及报告、参与、协调与核证所需科学技术知识的备有情况。本报告还分析报告实体就指标提供的反馈意见，作为缔约方会议在第 13/COP.9 号决定中要求使用的选接进程的基础，以便改进一套业绩和影响指标及相关方法，并在缔约方会议今后的届会上提出改进建议。本文件附件汇集由缔约方提出以提请缔约方会议联系当前的报告和审评进程加以注意的问题。

* 由于缔约方的报告期限推迟，本文件迟交。

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一. 引言和背景资料

1. 在推进执行《公约》的十年战略规划和框架(2008-2018 年)(《战略》)¹中, 缔约方会议通过了四项战略(中长期)目标和五项业务(中短期)目标。同一项决定通过了衡量战略目标方面的成绩的影响指标, 并请科学和技术委员会(科技委)设法进一步改进这些指标。一套监测《战略》执行情况的指标被纳入了《战略》, 但未获通过。《公约》执行情况审评委员会(审评委)受委托负责审查这些指标。
2. 在审评委第七届会议进行审查之后, 并在缔约方提出的投入基础上, 缔约方会议第九届会议审议了业绩指标和相关目标最后草案。缔约方会议决定暂时通过这些指标及相关方法和程序², 以便在第一个报告周期结束之时, 审查这些指标及相关方法和程序对于衡量《公约》执行方面的业绩和影响的有效性和重要性。
3. 在同一决定中, 缔约方会议还请秘书处和全球机制一道, 使用一种迭接进程拟订提案供缔约方会议今后的届会(分别从第十届和第十一届会议开始)审议, 以便改进这套业绩和影响指标及相关方法。缔约方会议请审评委在其届会议期间审查这种迭接进程的状况, 并提出一套最低限度业绩指标供缔约方会议第十一届会议审议。缔约方会议还请执行秘书和全球机制一道, 在 2010 和 2012 年第四个报告周期之后, 报告暂行业绩和影响指标的效力(适当考虑到科技委审查和改进战略目标 1、2 和 3 的影响指标的工作, 以及上述提案), 并在缔约方和其它报告实体的建议基础上, 提出改进建议, 包括就第 13/COP.9 号决定所列方法和报告程序提出改进建议, 供缔约方会议第十届会议和第十一届会议讨论并酌情作出修改。
4. 由秘书处和全球机制根据第 13/COP.9 号决定拟订的报告模板, 包括补充信息一节, 改节为报告工作提供了灵活性, 并使报告实体能够丰富审评委关于它们在报告进程中面临的实际问题和/或限制因素的知识库。这一部分报告还使报告方能够就吸取的经验教训, 以及在人力资源和资金方面遇到的困难、限制因素和瓶颈等提供反馈。该部分报告还满足缔约方会议关于报告特定专题情况的特别请求, 如上述关于指标迭接进程的请求。
5. 本文件载有缔约方和观察员提交的报告中题为“补充信息”的那一节所载信息的分析结果。本文件对报告实体对进程投入的资源(人力资源和资金)进行量化, 突出进程的主要特点, 如现有知识、协调、参与、磋商及核证机制等。本文件还分析报告实体就指标提供的反馈意见, 作为迭接进程的基础。
6. 本文件附件汇集由缔约方提出以提请缔约方会议联系当前的报告和审评进程加以注意的问题。

¹ ICCD/COP(8)/16/Add.1, 第 3/COP.8 号决定。

² ICCD/COP(9)/18/Add.1, 第 13/COP.9 号决定。

7. 根据基于成果的框架，审评委似可根据本文件提供的信息向缔约方提供面向行动的指导，具体而言，向负责编制报告模板的《公约》机构提供指导，以便利落实提出供缔约方会议审议的有针对性的建议。

二. 与报告进程有关的问题

A. 资金

8. 向受影响国家缔约方和发达国家缔约方提出了以下问题：它们是否能够依靠充足的资金履行在《联合国防治荒漠化公约》(《荒漠化公约》)之下的报告义务？只有一个受影响国家和一个发达国家没有回答这一问题。55%的国家表示，它们能够依靠足够的资金，45%的国家表示无法依靠足够的资金。所有发达国家缔约方都报告具备充足的资金，但几乎有半数受影响国家缔约方表示不具备充足的资金。

表 1

在《联合国防治荒漠化公约》之下作出报告所需资金的备有情况

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Sufficient financial resources	43	11	54
Insufficient financial resources	45	0	45

9. 缔约方被请求提供其国家预算拨给《荒漠化公约》报告进程的资金数额估计数：73 个受影响国家缔约方回答了这一问题，16 个未作答复。在这 73 个受影响国家缔约方中，有 9 个通报说，它们在报告进程方面没有花费国家预算资金。由于有两个国家没有提供所投入资金的货币名称，有五个国家报告的数额超出范围(100 万美元至 20 亿美元不等)，因此这些国家没有包括在计算中。有四个发达国家没有回答这一问题，有两个发达国家答复说，它们在报告方面没有花费任何资金，余下的 6 个国家报告说，所投入的经费为 20,000 美元至将近 80,000 美元不等。

10. 受影响国家共花费了 120 万美元，发达国家花费了大约 26 万美元。受影响国家每个国家平均花费 18,200 美元，发达国家每个国家平均花费的资金是这一数额的两倍以上(43,600 美元)。

表 2

国家预算用于《公约》之下的报告工作的资金数额(美元)

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Total amount spent on financing	1 204 494	261 177	1 465 671
Average amount per country	18 249	43 629	19 806

11. 环境基金报告说，它向受影响国家缔约方提供了 2,545,454 美元的资助，以帮助它们履行《荒漠化公约》报告义务。把这一数额和各国花费的本国预算资金相加，可以看出，缔约方在 2010-2011 年报告和审查进程期间在报告方面大约投入了 400 万美元。³ 这不包括在 2010 年 11 月 12 日之后提交报告的缔约方的支出。

B. 人力资源

12. 向缔约方提出了以下问题：国内有多少人参与《荒漠化公约》报告进程？有七个受影响国家缔约方和一个发达国家缔约方没有回答这一问题。在作出答复的国家缔约方中，受影响国家缔约方的参与人数从 1 至 498 不等；发达国家缔约方的参与人数从 3 至 95 不等。参与总人数超过 3,700，受影响国家缔约方每个国家平均为 41 人，发达国家缔约方平均为 29 人。

表 3

为履行《公约》之下的报告义务而投入的人力资源(参与的人数)

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Total number of persons involved in UNCCD reporting	3 396	322	3 718
Average number of people involved in UNCCD reporting per country	41	29	40

13. 此外，各国提供了相关人员用于《荒漠化公约》报告进程的人工日估计数。有 13 个受影响国家缔约方没有回答这一问题，五个受影响国家缔约方的数字超出范围(1,100 至 150 万个人工日不等)，因而在计算时没有被考虑在内。其它的答复从 1 至 610 个人工日不等。有四个发达国家缔约方没有回答这一问题。在回答这一问题的缔约方中，数目从 10 至 270 个人工日不等。总体来看，共有 7,600 多个人工日被用于报告进程。每个国家平均约为 100 个人工日，发达国家缔约方和受影响国家缔约方的这一平均数字相似。

表 4

为履行《公约》之下的报告义务而投入的人力资源(人工日数目)

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Total number of person days involved in UNCCD reporting	6 939	739	7 678
Average number of person days involved in UNCCD reporting per country	98	92	97

³ 这一数额不包括《联合国防治荒漠化公约》(《荒漠化公约》)秘书处、全球机制及联合国环境规划署世界养护监测中心为这项活动共同提供的资金，也不包括欧盟委员会提供的捐款(共约 2,750,000 美元)。

C. 知识

14. 绝大多数国家(87%)都具备提出报告所需的足够的科学和技术知识。有六个受影响国家缔约方和一个发达国家缔约方没有回答这一问题。所有发达国家缔约方均可利用足够的科学和技术知识，但有 14%的受影响国家缔约方对提出报告所需的科学和技术知识水平不满意。

表 5

在《公约》之下提出报告所需科学和技术知识的备有情况

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Sufficient technical and scientific knowledge	71	11	82
Insufficient technical and scientific knowledge	12	0	12

D. 协调

15. 在《气候公约》报告方面与相关执行机构协调事宜(就 2010-2011 年报告和审评进程而言，与联合国环境规划署(环境署)和环境署事件养护监测中心协调)，只有在向受影响国家缔约方提出的一个问题中得到涉及。其中有九个受影响国家缔约方没有回答这一问题。有 51 个国家(64%)对协调状况表示满意，29 个国家(36%)对协调状况表示不满意。

16. 作为协调活动的第二个方面，向受影响国家缔约方提出的问题是：它们是否对与国内相关直线部委进行协调(以便在《公约》之下以全面、一致的方式提出报告)的状况感到满意？其中，有九个受影响国家缔约方没有回答这一问题。回答这一问题的受影响国家缔约方的满意程度非常高(78%)，有 66 个国家表示协调状况令人满意，19 个国家表示协调状况不能令人满意。

E. 参与和协商

17. 向所有国家提出了这一问题：为了让所有相关利害关系方参与报告进程，是否采用了参与式或协商式方针？有三个受影响国家缔约方和两个发达国家缔约方没有回答这一问题。在绝大多数(86%)国家当中，利害关系方都参与了报告进程。受影响国家缔约方采用参与式方针的程度高于发达国家缔约方，两者的比例分别为 88%和 70%。

表 6

《荒漠化公约》报告方面的参与和协商

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Participative or consultative approach applied	76	7	83
Participative or consultative approach not applied	10	3	13

F. 核证会议

18. 核证会议是将利害关系方纳入报告进程的一种手段。三分之二的国家采用了这种手段。有四个受影响国家缔约方和两个发达国家缔约方没有回答这一问题。受影响国家和发达国家之间的差别非常明显：只有一个发达国家为配合报告进程的开展举行了核证会议。

表 7

核证会议

	<i>ACP (total)</i>	<i>DCP (total)</i>	<i>Global (total)</i>
Validation meeting held	64	1	65
Validation meeting not held	21	9	30

G. 执行情况业绩审评和评估制度(PRAIS)门户

19. 向受影响国家缔约方提出了以下问题：它们在执行情况业绩审评和评估制度(PRAIS)门户的访问和使用方面是否接受了充分的培训？有六个受影响国家缔约方没有回答这一问题。绝大多数受影响国家缔约方(88%)对接受的培训程度感到满意。

20. 向发达国家提出了以下问题：它们是否利用 PRAIS 门户的访问和使用培训？有一个发达国家没有回答这一问题。三分之二的发达国家利用了这种机会。

表 8

执行情况业绩审评和评估制度门户的访问和使用培训

	<i>ACP (total)</i>	<i>DCP (total)</i>
ufficient training received	73	
No training received	10	
Use of training made		7
Use of training not made		4

21. 发达国家被请求列出网上报告方面遇到的主要困难。所有发达国家都回答了这一问题。三分之二的发达国家认为，PRAIS 门户的网络访问速度较慢以及该系统较为复杂是一个问题，三分之一的发达国家将这两个因素视为非常重大的问题。发达国家还提到了在获取访问凭证方面存在的困难和其它一些问题，但这些困难和问题较少。

表 9
发达国家缔约方在网上报告方面遇到的困难

	<i>Slow internet access</i>	<i>Complexity of the system</i>	<i>Difficulties in getting access credentials</i>	<i>Other</i>
Not important	1	1	3	0
Important	3	3	1	1
Very important	4	4	1	1
Number of developed country Parties indicating a problem (total)	8	8	5	2

22. 各国报告的问题侧重：服务台响应，离线版报告格式的获取，万维网浏览器的使用，下拉列表，货币弹出式菜单，上载许多项目和方案表以及标准财务附件方面的困难，以及支助信息的提供。

三. 满足缔约方会议决定所载具体请求

23. 在第 13/COP.9 号决定第 2、第 3 和第 24 段中，缔约方会议考虑使用一种迭接进程，以改进在同一决定中暂时通过的一套业绩指标。为发起这一迭接进程，报告实体可以提出改进建议，侧重在报告进程中造成困难的指标。为此，对在拟订业绩指标过程中使用的 e-SMART 标准(详见 ICCD/CRIC(8)/5/Add.2)作了评估。

24. 由于报告实体之间有多项指标在相关问题的结构和内容上存在差异，还由于其中一些指标只是针对特定报告实体，因此将不同报告实体(受影响国家缔约方、发达国家缔约方、环境基金)的评估情况单独列出。

25. 受影响国家缔约方共有 14 项业绩指标，其中一项指标自 2012 年起得到使用。受影响国家缔约方在业绩指标的度量方面遇到的困难最多，困难最少的方面是指标的相关性。有 50% 以上的受影响国家缔约方在一项指标上遇到困难的唯一情形，是业绩指标 1(信息活动的数目和参与者)的度量。在业绩指标的某些方面遇到困难的国家的比例从 8% 至 55% 不等。

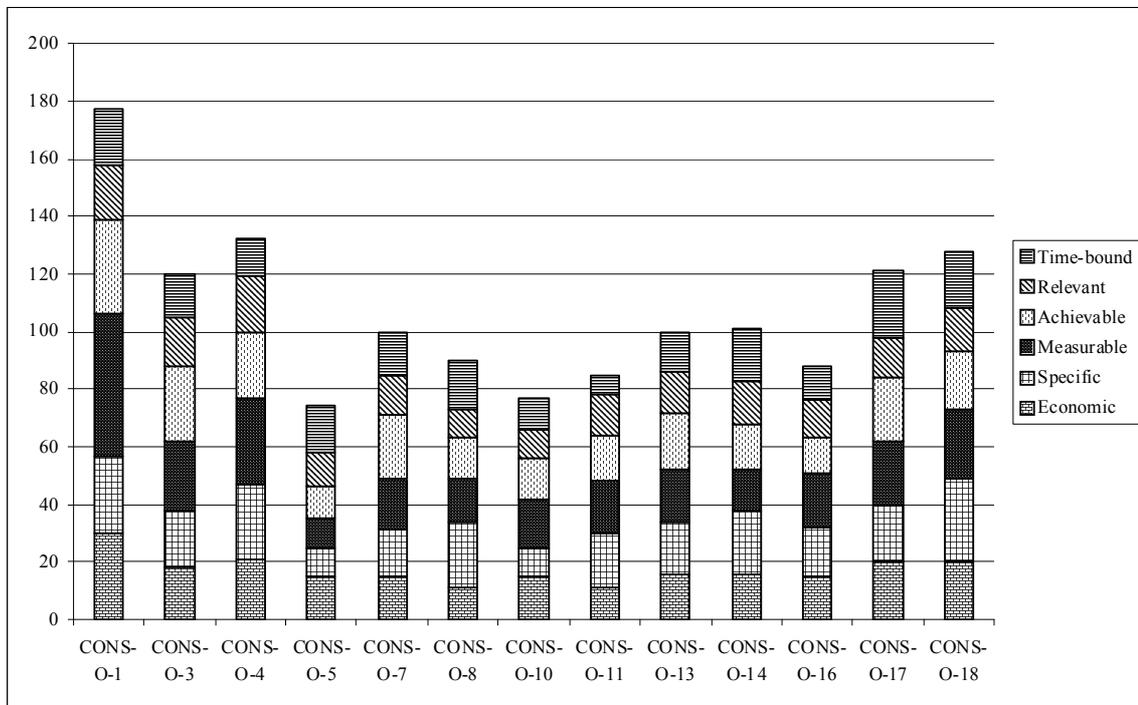
26. 最难以报告的指标是：CONS-O-1(荒漠化/土地退化和干旱(DLDD)及协同作用联系信息活动的数目和规模)；CONS-O-4(民间社会组织和科学技术机构在教育领域与 DLDD 相关举措的数目和类型)；CONS-O-18(帮助缔约方获得技术的资

金额以及奖励办法类型); 以及 CONS-O-17(向国际融资机构、设施和基金、包括环境基金成功地提交了与 DLDD 有关的项目提案的数目)。最容易报告的指标是 CONS-O-5(完成了与《战略》相一致的国家行动计划的受影响国家缔约方的数目), 以及 CONS-O-10(反映了解 DLDD 驱动因素及其相互作用的经修订的国家行动计划的数目)。就这两项指标而言, 这是可以理解的: 就 CONS-O-5 而言, 各国须使用不同来源收集复杂的数字信息; 就 CONS-O-10 而言, 各国需要列出国家行动计划的特点。实际上, 由于使国家行动计划与《战略》相一致的国家很少, 因此并非所有国家都应当回答有关这一指标的问题。

表 10
在报告业绩指标方面遇到困难的受影响国家缔约方的数目

<i>Indicator</i>	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>
CONS-O-1	30	27	49	33	19	19
CONS-O-3	18	20	24	26	17	15
CONS-O-4	21	26	30	23	19	13
CONS-O-5	15	10	10	11	12	16
CONS-O-7	15	16	18	22	14	15
CONS-O-8	11	23	15	14	10	17
CONS-O-10	15	10	17	14	10	11
CONS-O-11	11	19	18	16	14	7
CONS-O-13	16	18	18	20	14	14
CONS-O-14	16	22	14	16	15	18
CONS-O-16	15	17	19	12	13	12
CONS-O-17	20	20	22	22	14	23
CONS-O-18	20	29	24	20	15	20
All indicators	223	257	278	249	186	200

图 1
按指标对受影响国家缔约方在基于 e-SMART 标准的业绩指标方面遇到的困难进行评估



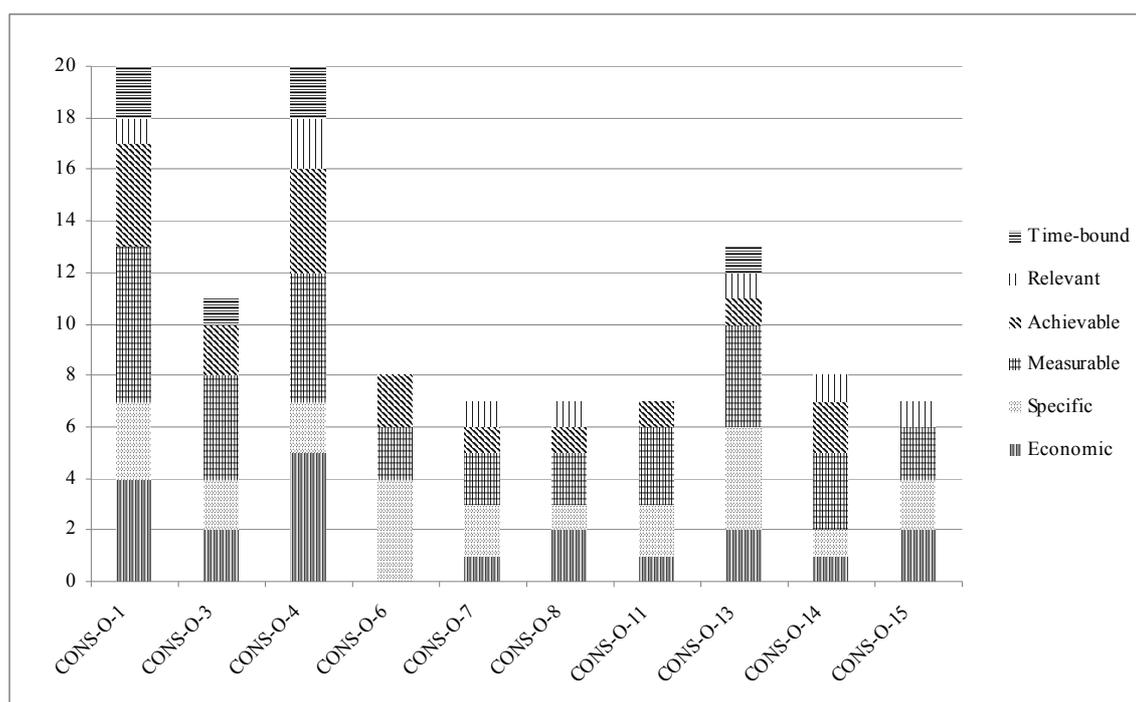
27. 发达国家缔约方共有 10 项业绩指标需要报告。它们也是在业绩指标的度量方面遇到的困难最多，不过，它们在时限标准方面遇到的困难最少。和受影响国家缔约方相似，有 50%以上的受影响国家缔约方在一项指标上遇到困难的唯一情形，是业绩指标 1(信息活动的数目和参与者)的度量。

28. 同样，和受影响国家缔约方相似，发达国家缔约方认为，造成困难最多的指标，是 CONS-O-1(DLDD 和协同作用联系信息活动的数目和规模)以及 CONS-O-4(民间社会组织和科学技术机构在教育领域与 DLDD 相关举措的数目和类型)。

表 11
在报告业绩指标方面遇到困难的发展国家缔约方的数目

<i>Indicator</i>	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>
CONS-O-1	4	3	6	4	1	2
CONS-O-3	2	2	4	2	0	1
CONS-O-4	5	2	5	4	2	2
CONS-O-6	0	4	2	2	0	0
CONS-O-7	1	2	2	1	1	0
CONS-O-8	2	1	2	1	1	0
CONS-O-11	1	2	3	1	0	0
CONS-O-13	2	4	4	1	1	1
CONS-O-14	1	1	3	2	1	0
CONS-O-15	2	2	2	0	1	0
All indicators	20	23	33	18	8	6

图 2
按指标对受影响国家缔约方在基于 e-SMART 标准的业绩指标方面遇到的困难进行评估



29. 环境基金在其所有 10 项业绩指标方面都遇到了困难，这些困难主要涉及指标的成本效益、特性和时限标准。

表 12
环境基金在报告业绩指标方面遇到的困难

<i>Indicator</i>	<i>Economic</i>	<i>Specific</i>	<i>Measurable</i>	<i>Achievable</i>	<i>Relevant</i>	<i>Time-bound</i>
CONS-O-1	x	x	x	x	x	x
CONS-O-3	x	x	x	x	x	x
CONS-O-4	x	x	x	x	x	x
CONS-O-6	x	x				x
CONS-O-7	x	x				x
CONS-O-8	x	x				x
CONS-O-11	x	x	x	x	x	x
CONS-O-13	x	x				x
CONS-O-14	x	x				x
CONS-O-17	x	x				x
All indicators	10	10	4	4	4	10

四. 结论

30. 《荒漠化公约》之下的第四个报告进程与前三个周期相比是一种飞跃，该进程由提交载有叙述性信息的报告转向载有包含可量化和可比数据的分析性信息的报告。这种新的报告进程的基础在《战略》中得到阐明，该战略规定了一项通过与标的相联系的指标衡量战略目标和业务目标的成绩的方针。因此，可在《战略》的整个执行期对报告提供的信息进行比较，从而生成有关全球、区域、分区域和国家四级采取的防治荒漠化、土地退化和干旱行动的进展的重要信息。这一进程的一项重要附加价值是，决策者可以很容易地利用此种信息评估《公约》执行现状，规划未来的行动。

31. 鉴于国家一级报告进程中的所有行为者面临着基本上全新的报告任务，还鉴于该进程涉及 100 多个国家的 3,700 多名人员，令人鼓舞的是，从报告的补充信息那一节提供的反馈来看，各国对这一进程所作的评估总体上是积极的。

32. 半数以上的报告方表示，它们能够依靠充足的资金开展报告工作。共有 400 多万美元⁴ 被投入报告进程。受影响国家缔约方每个国家在报告工作上平均花费 18,000 美元(来自本国预算)，环境基金和欧盟委员会提供了数目可观的补充资源。

33. 将近 90%的报告国能够依靠充足的方法和技术知识开展报告工作。这反映在以下方面：受影响国家缔约方提交的报告的完整率平均为 93%，发达国家缔约方提交的报告的完整率平均为 79%。

⁴ 这一数额不包括《联合国防治荒漠化公约》(《荒漠化公约》)秘书处、全球机制及联合国环境规划署世界养护监测中心为这项活动共同提供的资金，也不包括欧盟委员会提供的捐款(共约 2,750,000 美元)。

34. 协调和参与情况良好：在开展报告工作方面与直线部委合作的满意率约为80%，将近90%的国家在报告工作中采取了参与式做法。

35. 不过，各国没有充分利用核证会议推动参与式和协商式做法——只有三分之二的国家举行了核证会议，只有一个发达国家举行过一次核证会议。

36. 执行情况业绩审评和评估制度(PRAIS)门户使用培训情况非常可喜：三分之二的发达国家适用该门户，将近90%的受影响国家表示，它们在该门户的使用方面接受了充分的培训。这反映在以下方面：只有少数缔约方采用离线方式提交报告。

37. 关于报告实体在业绩指标方面遇到的困难，现在看来，需要来自不同来源的数据资料的指标造成的困难最大。受影响国家缔约方和发达国家缔约方都表示，它们在 DLDD 信息活动数目和相关的参与者数目指标以及需要资金信息的指标方面遇到困难。所遇到的困难主要为指标的度量(计算方法、信息的备有及信息的按年度分类等)。这反映在以下方面：业务目标 5(涉及资金和技术转让)的答复率最低。

38. 缔约方提出了一些希望缔约方会议处理的意见和建议，其中许多意见和建议涉及报告进程和业绩指标。审评委似可审议这些意见和建议，以便就可能采取的行动向缔约方会议提出建议。

五. 建议

39. 缔约方将需要就有待为第四个报告和审评进程第二阶段(2012-2013 年)通过的方针，包括就与影响指标相关的信息的提供，向《荒漠化公约》秘书处和全球机制提供进一步指导意见。以下是一些初步建议，缔约方可在审评委第九届会议上在考虑到本文件所载分析结果的前提下审议这些建议，以便尽早就将提交缔约方会议第十届会议审议的决定草案发起磋商活动。

(a) 请《荒漠化公约》秘书处和全球机制在筹备下一个报告和审评进程(2012-2013 年)时，考虑到报告实体在本报告进程中提供的反馈意见，并在必要时对进程进行调整，尤其是在倡导、宣传教育以及融资和技术转让指标方面；

(b) 还请秘书处和全球机制考虑到数据质量以及收集信息的相关方法等问题，以便改进缔约方和其它报告实体提供的报告产出；

(c) 请秘书处与环境基金协商，以便使环境基金能够在其可用数据允许的范围内提供业绩指标信息；

(d) 还请秘书处继续设法改进 PRAIS 门户，确保该门户的互动性，便利信息通过该门户的流动，同时考虑到报告实体提供的有关该门户的特点的反馈意见；

(e) 请《荒漠化公约》秘书处和全球机制酌情与环境署协商，审议 PRAIS 项目关于总体进程和报告方式的结论，并将这些结论纳入一项支持下一个报告和审评进程(2012-2013 年)的方案；

(f) 请环境基金、相关政府间组织和联合国机构以及发达国家缔约方向受影响国家缔约方提供支持，包括资金支持，帮助受影响国家缔约方履行报告义务；

(g) 根据基于成果的做法，敦促附属机构和《公约》机构将对这些建议的审议纳入各自的 2012-2013 年工作方案，以便按照各自的任務，向受影响国家缔约方提供所需的援助。

Country-specific issues for the attention of the Conference of the Parties

A. Policy, legislative, institutional framework

<i>Country Party</i>	<i>Narrative description</i>
Burkina Faso	The policy, regulatory and institutional frameworks, especially within the decentralized structures, do not systematically integrate the concerns of DLDD and indicators of DLDD.
Guinea	Since 2008 the country has been facing a socio-political instability which negatively affects the functioning of institutions in charge of the fight against DLDD. The low level of capitalization of information on the outcomes of activities against DLDD makes it difficult to obtain statistically reliable data.
Indonesia	Our statement at COP 9 highlighted the importance of all parties to be committed to the Bali Road Map in order to synergize the 3 sister conventions. For that purpose all Parties should strengthen their policy, legislative and institutional framework to in line with 10 year-strategic plan of UNCCD.
Sri Lanka	Land degradation in Sri Lanka is characterized mainly by soil erosion in the hill country where heavy rainfall regimes prevail. The slope areas are susceptible to erosion due to high elevation. The common practices of vegetable cultivation including potatoes, are usually highly erosive in nature. Seedling teas in the hilly areas aggravate soil erosion. Tea is an export product and vegetables are usually used for domestic consumption. A large proportion of the population in these areas make their living out of agricultural practices. This is due to government policy related issues related to export earnings and the export income which is vital for the economy. It is difficult to give up these practices, but suitable measures can be adopted to avoid soil erosion, provided sufficient resources are diverted.
Yemen	The existence of a clear and adopted policy is the cornerstone to admitting the problem of desertification and then to start dealing with the problem. There is a clear denial of the importance of the role that such a policy could play, which leads to the emergence of the problem of lack of legislation.
Zambia	There is a need for country Parties to consider a COP decision to mobilize resources for mainstreaming of DLDD into national agendas. There is a need for country Parties to consider a COP decision adopting an innovative programme for the secretariat to spearhead in demonstrating the workability of the concept of technology transfer.

B. Capacity-building and awareness-raising

<i>Country Party</i>	<i>Narrative description</i>
Burkina Faso	Despite the efforts, the resources of the country and those of our partners are insufficient to ensure that all stakeholders are reached.

<i>Country Party</i>	<i>Narrative description</i>
Burundi	There is a need for strengthening technical, physical and financial capacities. As regards technical capabilities, national experts do not master the new techniques and technologies for sustainable land management, nor the methodologies the development of projects and their monitoring and evaluation. As for physical capacities, there is a lack of suitable equipment to for DLDD. Regarding financial capacity, there is no national budget line allocated for DLDD. Also, multilateral support for DLDD remains insufficient and bilateral aid is non-existent in DLDD.
Cuba	Land degradation (LD) is one of the most important problems in Cuba. This is captured in the country's environmental and development strategies; as a result it is considered a priority for the development of human resources, the allocation of financial resources and the actions of science and technological innovation actions that are currently being developed in Cuba. Modern sustainable land management (MST) concepts are being introduced as a tool for the combat against desertification and drought, within the framework of political, legislative, institutional and economic incentives, creating new spaces for consultation, awareness and knowledge management in key governmental and non-governmental institutions. The updating of technical standards, the spreading of legal regulations and a strong awareness-raising and environmental education support the development and strengthening of the current capabilities for MST to enter the institutional environment as well as the whole of civil society; this last accompanies on a permanent and natural basis all the activities through the whole country and specially at the local level through its agricultural extending systems and the education and sharing of experiences in a straightforward manner, from farmer to farmer. The Drought Early Warning System and its application in productive communities was initiated in two locations and it is expected to progressively escalate in the next period, with a strong development in agro-meteorology and expert systems for the prediction of this phenomena. Despite the current financial restrictions, these concepts are being handled by Cuba's Civil Defence through the integrated analysis system of Danger, Vulnerability and Risk (PVR) that will allow adequate contingency plans to be drawn up against drought in the upcoming periods. An additional capacity, which involves the Caribbean basin countries, is being developed. The mobilization of resources, fundamentally, from the National Economy Plan, in these two years has been strongly accompanied by funds from the GEF and the support of UNDP and FAO, as well as other agencies from the United Nations system and NGOs linked to these processes; climate change mitigation and adaptation projects, that are synergistic with the objectives of the MST. Knowledge management has had an important impetus through the conclusion of the 14 National Programs and Research and Development Branches (PNCT and PRCYT), of which the results have been included in the Cuban Network of the Technology and Science Programmes Information System (SYPROCYT) and in the MST Digital Depository; the reactivation of the information in the internal information circulation system and the DESERCUBA network, that includes important information generated by the institutions that comprise part of the National Coordination Group for the Combat Against Desertification and Drought; the developments in the studies related to the status of Cuba's biological diversity and particularly of the dry zone, as well as the degradation of dry lands evaluation systems through the LADA Project. Discrete advances in the integration of the actions related to the use of natural resources with an ecosystem focus, mark the beginning of the implementation of these new concepts.

<i>Country Party</i>	<i>Narrative description</i>
Eritrea	Awareness-raising and capacity-building: the level of awareness of the communities, especially in the affected Parties, of the cause of desertification is at the lowest level, so the COP should allocate enough funding to sensitize and equip the communities. DLDD and SLM monitoring and assessment/research: the DLDD monitoring, assessment and networking system is not properly applied in affected Parties, so to monitor and make a proper assessment and research, an efficient budget allocation should be made. Funding/resource mobilization: a resource mobilization should be made by the COP to implement different projects, focusing on DLDD-related efforts.
India	National Capacity Self-Assessment was undertaken in the year 2007. However, implementation of identified deficient capacities requires resource mobilization.
Kuwait	Because of the lack of awareness-raising activities and programmes on environmental issues, all levels of society along with Government have to intensify the extension and awareness of such programmes. They also have to establish databases on environmental issues that are needed for the evaluation of the level of desertification and the implementation of land degradation monitoring programmes and the definition of projects proposed for the management of degraded lands. The NAP for combating desertification will be adopted. It will aim to prepare monitoring programmes and definition of projects to be implemented. It will constitute a major support for the realization of the projects.
Madagascar	To achieve the operational objectives of The Strategy, developing countries such as Madagascar need capacity-building at all levels (local and national). And in conformity with the articles of the Convention and the decisions taken during the various sessions of the Conference of the Parties, capacity-building programmes will be supported by the secretariat, the Global Mechanism, developed countries, financial institutions and United Nations agencies.
Morocco	Lack of qualified personnel to ensure follow-up of all desertification phenomena, the fight against which relies on different actors. This implies the need for capacity-building in different departments and institutions active in matters relating to UNCCD.
Oman	It is important to include the possibility of training in both research and applied projects related to the implementation of combating desertification projects, and to enforce capacity-building and exchange of expertise.
Philippines	Land degradation and drought are known problems in the rural areas. However, the efforts of UNCCD to address these problems are not yet known in most instances. Capacity-building and awareness-raising should be undertaken at the grassroots who belong to the most vulnerable sector. In the process, it will be made known that DLDD is also a global issue and that they have important roles to perform in addressing these problems which should start within their own areas. Also, the campaign could provide better understanding of the required synergies of all efforts to address climate change (i.e. a more well-known phenomenon), land degradation and biodiversity loss.
Rwanda	(no further description)
Saint Kitts and Nevis	(no further description)

C. DLDD and SLM monitoring and assessment/research

<i>Country Party</i>	<i>Narrative description</i>
Burkina Faso	The system of monitoring, evaluation and research on DLDD and sustainable land management is underdeveloped and there is a lack of the required capacities for its operationalization.
China	(no further description)
Madagascar	As mentioned in indicator CONS 8, no system for specifically monitoring DLDD has been created. But the environmental monitoring systems partially covering DLDD exist nationally in different areas or themes. This aspect of monitoring and evaluation will be developed during the alignment of the NAP and requires the support of the secretariat, the Global Mechanism and the Committee on Science and Technology. South-South cooperation should be strengthened in order to allow developing countries such as Madagascar to implement its system for monitoring DLDD at lower cost.
Niger	Weak monitoring capacity. The availability of data is very limited. Inadequate coordination and networking monitoring systems. The monitoring system is insufficient and so are the means.
Philippines	While each affected country Party has its own monitoring and assessment system, there is a need for a common platform that could provide similar information parameters to monitor and assess. The UNCCD should play a very important role in making this common platform available and achievable for affected country Parties.
Sri Lanka	For desertification, land degradation and drought monitoring a series of scientific research, monitoring and assessment systems should be in place. These monitoring systems require, inter alia, sophisticated equipment, trained personnel and intra-agency coordination to bring about results. Establishing a drought early warning system itself requires a coordinated effort by many agencies including the agriculture and trade sectors. Under these circumstances, a substantial flow of resources of a financial and technical nature are required to establish proper monitoring and assessments are to be in place.
Thailand	NAP alignment process is ongoing.
Viet Nam	There is a need to have a common set of criteria and indicators to assess the status of desertification, land degradation and drought for all parties of UNCCD for easy comparison and assessment. There is also a need to have more financial and technical support to establish and operate DLDD and SLM monitoring and assessment centers at national and subnational level and update these results on a database for reference and reporting.

D. Funding/resource mobilization

<i>Country Party</i>	<i>Narrative description</i>
Bahamas	Funds should be made available to implement the Convention fully.
Cape Verde	(no further description)
Chile	Chile is a country seriously affected by desertification, land degradation and drought, and could see intensified the magnitude of these processes caused by climate change, which will require additional support and cooperation to stop and reverse this tendency.

<i>Country Party</i>	<i>Narrative description</i>
Côte d'Ivoire	(no further description)
Democratic Republic of the Congo	(no further description)
El Salvador	It is necessary to manage the financial support by the financial mechanisms of the Convention in a way that would enable better balance between regions.
Fiji	(no further description)
Gambia	(no further description)
Grenada	Technical and financial support should be provided to small island developing States to assist them in aligning their NAP to The Strategy to develop an integrated financing strategy for implementation of the NAP.
Guinea-Bissau	Few resources are devoted to the DLDD unlike other conventions. So as to assist country Parties to better play their role under the Convention.
Honduras	(no further description)
India	For DLDD-specific projects more resources are required.
Indonesia	The total of degraded land in Indonesia, is more than 30 million ha but the capacity of Indonesia to rehabilitate the degraded land is only 500,000 ha/year due to lack of funding. Therefore, it will take about 60 years to rehabilitate the land. To overcome these problems we need to mobilize funding from international communities.
Madagascar	Despite the priority given to the fight against desertification, the effective implementation of the NAP is limited by the availability of resources. The financial mechanism to support activities related to the implementation of the NAP is not yet well-established. The Integrated Development Strategy will be developed during the alignment of the NAP and this would require the support of the secretariat and Global Mechanism under the joint workplan.
Mauritius	More financial resources are required for full implementation of activities under the Sustainable Land Management Programme.
Mexico	Regarding indicator 18, the funding that is reported is the total sum of the programmes and national and international projects, beyond the funding to access technology, since it was not possible to differentiate in this report this item. Moreover, the amount of national funding that is reported is more than 60 per cent associated with social development programmes and the fight against poverty, and the remaining funding is to address the problems of land degradation, desertification and drought and strengthen sustainable land management.
Mongolia	Mongolia has a huge territory (1.566 million square kilometres) relative to the population and the land affected by desertification is increasing yearly. A number of springs, lakes and rivers dried out in the last 4 years. Compared to the 1970 census, 887 rivers, 2,096 springs and 1,166 lakes had dried out by 2007. The Government's fund allocation has increased in the last 3 years. Unfortunately, the territory, affected by desertification is too big and the financing is not enough. So Mongolia asks to implement a project in this field. The national capacity to combat desertification is very limited and needs to be improved. The improvement has to be done together with international organizations and specialists.
Nepal	(no further description)

<i>Country Party</i>	<i>Narrative description</i>
Philippines	Funding and resource mobilization that directly address DLDD are comparatively lower when compared to climate change and biodiversity conservation. The issue of DLDD is not as popular as climate change. If possible, UNCCD should act as a catalyst for providing funds to DLDD initiatives by country Parties. A mechanism to facilitate the process should be put in place.
Saint Lucia	In terms of resources made available to the various conventions, it appears that UNCCD is at a disadvantage, as regards the quantity of financial and other resources obtained.
Sri Lanka	Availability of resources has always been the limiting factor for implementation of successful measures to combat land degradation. As has been discussed at many forums, a concerted effort is needed by all countries, governments and donor agencies to overcome this. Starting from setting priorities by governments, sufficient resources must be made available to agencies concerned. The preparation of the IFS could pave the way towards mobilizing sufficient resources.
Ukraine	Ecologically not balanced structure of agricultural soils (about 71 per cent of the land is agricultural soil, of which 78 per cent is pasture), considerable extension of soil degradation (erosion - 57.5 per cent of the territory, soil contamination - about 20 per cent etc.), unfinished soil reform (including building of State land cadastre system, realization of landscape works, etc.) determine necessity of huge investments for fulfilment of aims for sustainable land use which cannot be fully provided from continuous subsidies or international technical support.

E. Knowledge management and decision support

<i>Country Party</i>	<i>Narrative description</i>
Burkina Faso	Knowledge management and decisional support are insufficient. The National Action Programme for the Fight against Desertification lacks a strategic investment framework.
Islamic Republic of Iran	The systematic involvement of the scientific and technical centres at national, subregional and regional level in the scientific sphere of UNCCD implementation alongside the active role of CST and its expert group supported by RCUs and TPNs to disseminate information and technical aspects of DLDD, such as monitoring and assessment system and early warning system to add value to the activities of Parties in the implementation of the strategy, should be enhanced.
Madagascar	Without adequate resources, knowledge management specific to DLDD is currently practically nonexistent. It remains a component to be developed during the alignment of the NAP. And this requires support from the secretariat, the Global Mechanism, the Committee on Science and Technology, and specialized agencies. The development and/or strengthening of South-South cooperation in this matter should be discussed in order to provide assistance to developing countries at lower cost.
Namibia	We had general difficulties in compiling this report in terms of information availability particularly in the areas of CONS-O-1, CONS-O-18 and to a lesser extent CONS-O-3. Accurate recording of information events and numbers reached by various formats can be difficult to approximate. Disaggregating of data by year was also a problem in terms of budgets and awareness-raising. Reports used were often biannual or overlapping (i.e. June 2007-June 2008) thus average approximations were made. Budgets were also often not listed per project component or per year (i.e. 2008 and 2009 separately), which posed a particular problem for reporting on CONS-O-18.

F. Participation, collaboration and networking

<i>Country Party</i>	<i>Narrative description</i>
Madagascar	Networking is a way of sharing experience and knowledge. However, no system of networking specific to DLDD is currently available. Its implementation is necessary and requires technical and financial support from the secretariat, the Global Mechanism, and specialized technical and financial partners. The development and/or strengthening of South-South cooperation in this matter should be discussed and negotiated to support developing countries at lower cost.
Philippines	The subregional and regional network of affected country Parties in Asia should be strengthened to facilitate better collaboration and networking within the region. This could facilitate the preparation of subregional or regional project proposals for DLDD initiatives which are now preferred by some international funding institutions.

G. Other issues

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
Bhutan	Data and information for reporting to UNCCD based on the existing PRAIS portal are not often readily available. Some of the information required by the PRAIS portal warrants a separate survey to generate it.	It is to be noted that Bhutan has prepared a comprehensive National Action Programme to combat land degradation using broad-based consultations and a participatory approach. The document is currently under the process of endorsement by the Ministry of Agriculture and Forests for submission for government approval. However, in the current report, information regarding the implementation of NAP and its alignment to the UNCCD Strategy could not be reported because the queries pertained to 'approved' NAPs whereas formal government approval of Bhutan's NAP is yet to be secured. It is expected that the NAP will receive government approval soon, possibly by December 2010. As a matter of fact, the final draft NAP was ready in 2009 but the requirement to incorporate an Integrated Financing Strategy delayed the NAP finalization by several months. An Integrated Financing Strategy has now been developed and incorporated in the NAP submitted to the Ministry of Agriculture and Forests. Some of the data/information fields for the PRAIS templates were difficult to fill in because of the dearth of data/information and in a few cases detailed research/ surveys would have been required to accurately respond to the data/information queries. A case in point is the information outreach through media products and proportion of population informed about DLDD and DLDD synergies with biodiversity and climate change. The other thing is most of the drop-down lists are not very exhaustive and do not encompass everything.

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
Bosnia and Herzegovina	NAP development	As a country in transition, Bosnia and Herzegovina is faced in the postwar period with numerous social, economic and other problems, among which the issue of land protection stands out as one of the most crucial. The financial resources that are currently allocated are not sufficient to make significant steps toward appropriate land protection and mitigation of degradation effects. We are faced with the fact that we need the overall strategic document - NAP - to identify the factors contributing to land degradation, as well as priority actions and measures to combat land degradation and mitigate its effects. It is estimated that the total amount for NAP preparation and adoption will be at least US\$ 150,000. We are currently preparing the project concept to apply for GEF funds and we expect assistance from the UNCCD. These funds will allow us to prepare the NAP.
Burkina Faso	Constraints or difficulties encountered in the process of 4th report of UNCCD	Inadequacy of the data collection period which coincided with the holiday period of most partners (teams of projects and programs, etc.):— time constraints have not allowed us to collect and benefit from data on all projects and programmes (e.g. financial details by component projects/programmes have not been completed). The absence or lack of knowledge of appropriate tools for evaluating the coverage of certain communication tools (ICT, radio and television) made it impossible to correctly estimate the public affected by the awareness/information campaign on DLDD and sustainable land management.
Chile	(no description)	It is necessary to review the performance indicators because they do not adequately reflect the state of the country in the combat against desertification, and in addition, they leave out the efforts of governments and only take into account civil society and the scientific sector. It also requires a friendly system because the questions in many cases are very specific and closed, which does not allow clear identification of the degree of progress. Likewise much of the financial information does not have a direct relevance to the report.
Côte d'Ivoire	Capacity-building and awareness, monitoring and evaluation/research of DLDD and sustainable land management, knowledge management and decision support, networking	(no further description)

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
Ecuador	Generation and innovation of appropriate traditional technologies, management and conservation of natural resources, with special emphasis on land, water, and vegetation.	The UNCCD must provide financial support for the planning and implementation of actions developed by the Scientific and Technical Focal Points; a lot of the actions remain in the planning stage and are not implemented. The UNCCD should demand more involvement and participation from country Parties in the commitments, including in their budgets the respective financing for the implementation of the foreseen actions.
Fiji	Funding through regional organizations	On the ground investment is very much limited when donor funding for projects are through regional bodies who incur a lot of administration costs.
France	Performance indicators, reporting	We checked the box “measurable” for indicators CONS-O-1, CONS-O-6, CONS-O-7, CONS-O-8, CONS-O-13, CONS-O-14 and CONS-O-15, because we believe there is no common interpretation of the way to measure these indicators. We also checked the box “specific” for indicators CONS-O-1, CONS-O-6, CONS-O-13 and CONS-O-15, because it seems to us the proposed descriptions for these indicators raise an issue. CONS-O-1: should we take into account only information events and media products organized/distributed in France? How should we evaluate the proportion of the national population informed of the DLDD challenges? How could we tell the difference between the various categories of the public concerned by the media products? How should we take into account the audience of the media who proposed several articles/programmes on the DLDD challenges (should we multiply the average audience by the number of identified products, knowing that in this case, there is a risk of counting the same persons several times)? On the other hand, we have to take into account the fact that the focal points cannot give comprehensive information on all information events and media products concerning the DLDD challenges at the national level (and that information transmitted according to this indicator can only be partial). CONS-O-6: should we take into account only partnership agreements established in the framework of UNCCD (very restrictive) and disregard partnership agreements established in another framework but meeting the objectives of UNCCD? Should we take into account the number of partnership agreements established in 2008/2009 or implemented in 2008/2009? CONS-O-7, CONS-O-8, CONS-O-13, CONS-O-14: Should we indicate: (1) whether we financed projects in these areas in 2008/2009, or (2) whether supporting projects we financed in these areas were implemented in 2008/2009 (which is not the same, because there is often a difference between commitments and the effective implementation of projects), or else (3) whether the instruments mentioned in these different indicators (common implementation mechanisms for the three conventions, systems of environmental follow-up, integrated investment frameworks, etc.) were officially established in 2008/2009 (here again, it is not the same thing, because the official establishment of these instruments often constitutes the purpose of the projects and takes place only at the end of the

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
		<p>said projects)? CONS-O-13: how should we interpret the request to take into account only “important” capacity-building initiatives? CONS-O-15: should we take into account the multilateral contributions (especially those targeted at DLDD challenges: support to the Global Mechanism, contribution to the UNCCD secretariat, support to the TerrAfrica initiative, support to regional organizations like the Sahara and Sahel Observatory, etc.)? For the total amount withdrawn (an information difficult to collect according to us), should we indicate the amounts effectively withdrawn for projects committed in 2008/2009 or the total amount withdrawn in 2008/2009 (including for projects which would have been committed before 2008)?</p> <p>It seems crucial to us that for the next reporting exercises, the following recommendations be taken into account: presentation of the Financial Annex and of the follow-up records for projects/programmes in the form of summary Excel tables (in the PRAIS portal), simplification of proposed formats for the Financial Annex and follow-up records for projects/programmes (deletion of certain fields: start and end dates of financing, area of the zone concerned, total number of recipients, Rio UNFCCC and CBD markers, strategic and operational objectives of UNCCD, Rio markers and CAP for the different components of projects, etc; simplification of certain fields: limitation of the CAP field at the first categorization level, etc.), the necessity of taking into account the difficulty of giving marks afterwards to the cooperation projects and programmes according to CAPs and Rio markers (a tedious and delicate work because of a partial knowledge of projects/programmes), clarification of projects/programmes that are to appear in the follow-up records concerning projects/programmes: for the present reporting process, we have mentioned international cooperation projects committed in 2008/2009 and implemented in 2008/2009 (but committed before 2008). Is this the way things are to be understood? It is necessary to define response areas and/or thematic fields to be taken into account to register the relevant cooperation projects which are not necessarily identified under “combat desertification” (e.g. management of natural resources, improvement of farm production systems, development of drainage basins, etc.) to guarantee harmonization of inventory and assessment exercises by the different country Parties, the necessity of finding a balance between the will to standardize the format of country Party reports and the possibility of Parties developing qualitative analyses complementing quantitative information transmitted in particular in the framework of performance indicators.</p>

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
Germany	General feedback on PRAIS	<p>The questionnaire in general is too complex and too much information is requested. Compiling the data is extremely time-consuming. The level of detail requested is not available within the responding organizations (e.g. programme and project sheets).</p> <p>The indicators, methodology and the terms used are in parts unclear or not applicable (see CONS-O-1).</p> <p>The huge amount of data and inaccuracy regarding the terms and methodology will make it difficult to compare and analyse the national reports.</p> <p>The German reporting team has the general impression that many indicators of PRAIS are more applicable to affected countries rather than to donor countries. Indicator CONS-O-4 can be taken as an example of this.</p> <p>There must be a clear definition as to whether information refers to UNCCD or DLDD.</p> <p>Space for further comments is limited and comments must be split up into separate paragraphs.</p> <p>The format of PRAIS is not suited for the amount of data requested in the financial annex (e.g. more than 1,000 projects in the German national report). This was later solved when uploading Excel files was enabled. However, detailed information on how the spreadsheets are to be formatted was not given until 10 days before the deadline, when the documents had long since been created. Available printouts are useless for persons without access to the explanatory reporting guidelines. However, in the course of the last weeks, the format and clarity of the printouts have improved. As it turned out, the source of many of our problems was the outdatedness of our browser (IE7 instead of IE8, Chrome or Firefox). It would help if PRAIS raised awareness of this issue, as it prevents any kind of uploads into the system.</p> <p>Another obstacle is the long response time of the helpdesk: there were some technical problems in the system which prevented a finalization of the data entry (e.g. uploading documents) and even though the help desk was informed, it took a long time to solve the problem. The Global Project Coordinator on the other hand was extremely helpful and attentive.</p> <p>We have created a pdf file with further feedback on PRAIS which we were unable to upload here</p>
Honduras	Coordination among ministries, and through the GTI, to establish the guidelines of the PRAIS portal to incorporate data more efficiently and effectively.	(no further description)

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
India	Technology transfer	Technology transfer needs to be scaled up for achieving the objectives of the Convention.
Madagascar	Coherence and synergies of projects/programmes	Despite the efforts already made to implement the Paris Declaration on Aid Effectiveness, only the technical aspects have experienced a slight improvement. The financial aspects still have problems such as different procedures and different fiscal years from one financial partner to another, or affinity with certain areas such as biodiversity and climate change. From this observation, the willingness to develop coherence and synergies is often overshadowed. Capacity-building for negotiation is necessary.
Mexico	(no description)	The reporting template can be considered sometimes too rigid for the inclusion of national information; it is required that the templates better indicate a description of the indicators beyond a yes or no, indicating moderate categories in process or complete.
Morocco	Valorization of results of research, Lack of networking allowing transmission to development and research.	(no further description)
Nepal	Need to harmonize and develop synergies among the three Rio conventions as well as the INGOs/NGOs/ civil society etc. to effectively address the problem related to environmental degradation, specifically DLDD issues	(no further description)
Romania	Reporting: indicators, guidelines, portal, compliance.	Standardized/comparable and relevant reporting is crucial for assessing the implementation of UNCCD. To attain this main goal, there is need for development and harmonization of joint reporting guidelines for both performance and impact indicators; continuous improvement of reporting guidelines and procedures, for more cost-effective and relevant reporting; encouragement of development of online reporting for effective and efficient compilation; endorsement of reporting guidelines and report syntheses by CRIC/COP; launch of a debate on cases of non-compliance in reporting.
Rwanda	DLDD and SLM monitoring and assessment/research. Funding/resource mobilization	(no further description)

<i>Country Party</i>	<i>Issue</i>	<i>Narrative description</i>
Saint Kitts and Nevis	Alignment of NAP to address local activities.	(no further description)
Saint Lucia	The mainstreaming of SLM into the national development.	(no further description)
