

RESULTS AND  
IMPACT ASSESSMENT  
METHODOLOGY  
OF THE GLOBAL  
MECHANISM





UNITED NATIONS CONVENTION  
TO COMBAT DESERTIFICATION

**The Global Mechanism of the United Nations Convention  
to Combat Desertification**

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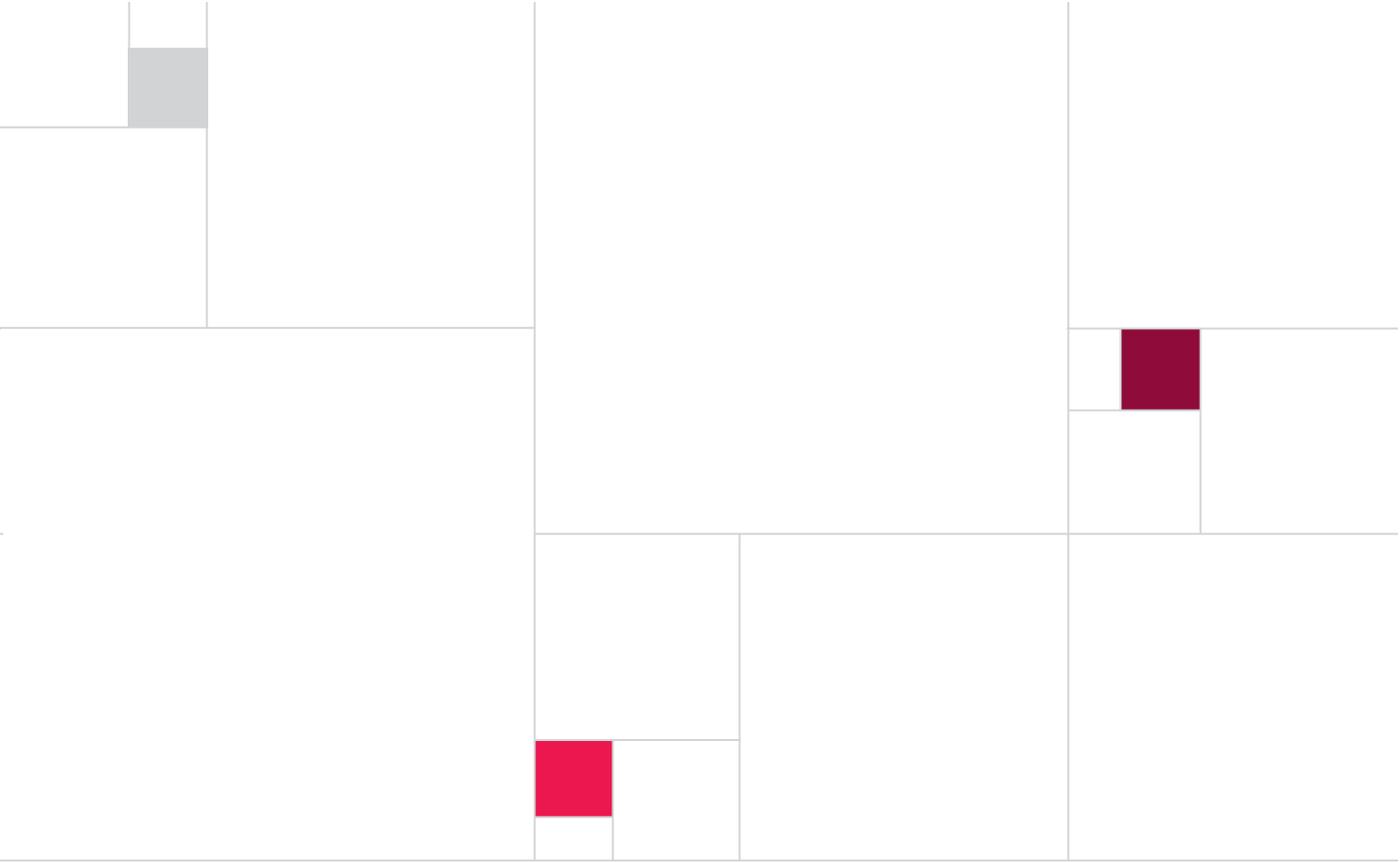
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September 2011 version



# CONTENTS

	<u>Acronyms and abbreviations</u>	5
	<u>Acknowledgements</u>	7
	<u>Executive summary</u>	9
<b>1</b>	<u>Context</u>	13
<b>2</b>	<u>Measuring the results and impact around complex, adaptive partnerships</u>	17
	2.1. <u>Attribution of impact to the partners</u>	18
	2.2. <u>Assessing the GM's contribution as a partner</u>	19
<b>3</b>	<u>Principles of the methodology</u>	21
	3.1. <u>Operating within the 10-year strategy of the UNCCD</u>	21
	3.2. <u>Managing for development results</u>	23
	3.3. <u>Compliance with the OECD-DAC Evaluation Framework</u>	23
	3.4. <u>Focusing on knowledge enhancement</u>	24

<b>4</b>	<b>Key elements of the methodology</b>	<b>25</b>
4.1.	Element 1: Evaluating the performance of the GM	26
4.2.	Element 2: Evaluating transformational change in countries	27
4.2.1.	Working hypotheses on transformational change	27
4.2.2.	Establishing the baseline for GM operations	28
4.3.	Element 3: Delivering evidence of IFS effectiveness	29
4.3.1.	Analysis of the IFS as a governance tool	29
4.3.2.	Enhancing learning from IFS processes	30
4.4.	Element 4: Evaluating international and regional partnerships	30
4.5.	Element 5: Assessing the GM's capacity as a facilitator of knowledge enhancement	31
<b>5</b>	<b>Results and impact assessment of the GM</b>	<b>33</b>
5.1.	Putting the principles into practice	33
5.2.	Making the key elements work	34
5.2.1.	Performance assessment	35
5.2.2.	Evaluating transformational change	35
5.2.3.	Analyzing evidence of IFS effectiveness	36
5.2.4.	Partnerships	37
5.2.5.	Evaluating the GM's capacity as a facilitator of knowledge enhancement	38
5.2.6.	Summary of results and impact assessment of the GM	39
	<b>FIGURES</b>	
1	The GM's approach to supporting Integrated Investment Frameworks	20
2	GM alignment with the 10-Year Strategic Plan and Framework	22
3	Linkage between the RBM, transformational change and impact assessment	28
4	Summary of RIAM application	40

# ACRONYMS AND ABBREVIATIONS

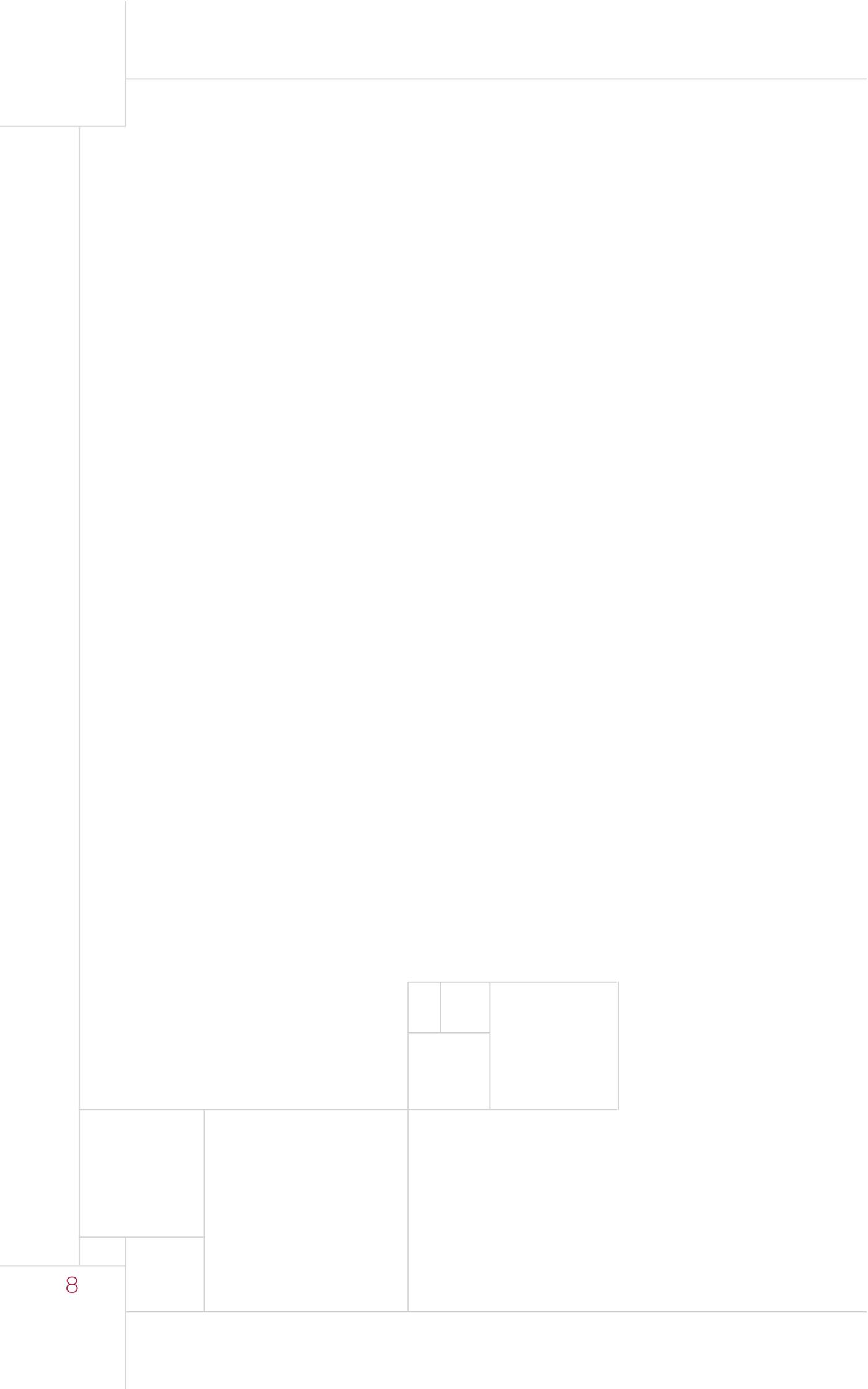
<b>CACILM</b>	Central Asian Countries Initiative on Land Management
<b>CBO</b>	Community-based organization
<b>CEM</b>	Country Engagement Modalities of the GM
<b>COP</b>	Conference of the Parties to the UNCCD
<b>CSEA</b>	Consolidated Strategy and Enhanced Approach of the GM
<b>DIFS</b>	Designing Integrated Financing Strategies
<b>DLDD</b>	Desertification, Land Degradation and Drought
<b>EA</b>	Expected Accomplishment
<b>FC</b>	Facilitation Committee of the GM
<b>FIELD</b>	Financial Information Engine on Land Degradation
<b>GDPRD</b>	Global Donor Platform for Rural Development
<b>GEF</b>	Global Environment Facility
<b>GM</b>	Global Mechanism of the UNCCD
<b>IFAD</b>	International Fund for Agricultural Development
<b>IFS</b>	Integrated Financing Strategy
<b>IIF</b>	Integrated Investment Framework
<b>IMBM</b>	Incentive and Market-based Mechanisms
<b>Mainstreaming</b>	Integration of the finance for DLDD / SLM into national economic development plans and budget processes
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MDG</b>	Millennium Development Goal
<b>MEA</b>	Multilateral Environmental Agreement



<b>MfDR</b>	Management for Development Results
<b>MSC</b>	Most Significant Change
<b>NAP</b>	National Action Programme
<b>ODA</b>	Overseas Development Assistance
<b>OECD-DAC</b>	Organisation for Economic Cooperation and Development - Development Assistance Committee
<b>PAF</b>	Performance Assessment Framework
<b>PRAIS</b>	Performance Review and Assessment of Implementation System
<b>PRs</b>	Poverty Reduction Strategies
<b>RBM</b>	Results-based management
<b>RIAM</b>	Results and Impact Assessment Methodology
<b>SLM</b>	Sustainable Land Management
<b>SROI</b>	Social Return on Investment
<b>TA</b>	Technical Assistance
<b>The Strategy</b>	The 10-year Strategic Plan and Framework of the UNCCD (2008 - 2018)
<b>UNCCD</b>	United Nations Convention to Combat Desertification

## ACKNOWLEDGEMENTS

This Results and Impact Assessment Methodology (RIAM) has been produced by and for the Global Mechanism of the United Nations Convention to Combat Desertification (UNCCD). The Global Mechanism (GM) would like to thank Sheelagh O'Reilly of IOD PARC for her outstanding contribution that is the bedrock of the methodology. The GM is also very grateful for the numerous invaluable inputs provided by UNCCD focal points both from developing and developed country Parties to the Convention. The members of the Facilitation Committee (FC) of the GM have been very active in providing insights and the GM team would like to express its appreciation for their engagement. Because of the collaborative dynamics which underpin the RIAM, it can truly be considered a joint product of the UNCCD family, rooted in a common understanding of the services that the GM provides towards implementing the Convention. It is certain that the application of this methodology will further strengthen cooperation between the GM and its partners and increase the impact of such partnerships in support of developing country Parties and other affected Parties to the Convention.



## EXECUTIVE SUMMARY

The Results and Impact Assessment Methodology (RIAM) of the Global Mechanism (GM) is the outcome of the GM's endeavour to meet the request of the country Parties to the United Nations Convention to Combat Desertification (UNCCD) to concretely demonstrate the results and impact of its interventions at the country and sub-regional levels.

The RIAM is firmly rooted in the context in which the GM operates, taking as its basis the 10-Year Strategic Plan and Framework of the Convention. The methodology is guided by the GM's core mandate and consistent with the decisions of the sessions of the Conference of the Parties (COP) of the UNCCD. It is also fully in line with Managing for Development Results (MfDR) and compliant with the five criteria of the OECD-DAC Evaluation Framework, namely: sustainability, relevance, effectiveness, efficiency, and impact.

The Methodology addresses two main areas: 1) the ability of the GM to monitor and evaluate its contribution to the achievement of the 10-Year Strategy; and 2) the need to fully qualify the transformational changes at country and sub-regional levels that are expected to result from GM interventions.

Recognizing the central role of partnership in the GM's work and the dynamic environment that this scenario presents, the RIAM differentiates at the outset the attribution of impact between partners and the assessment of the GM's contribution as a partner. Taking this into consideration, the RIAM outlines five key elements required to fully describe what needs to be developed, operationalized and embedded in GM management processes in order to facilitate results and impact monitoring for the GM. These are:

1. Evaluating the performance of the GM;
2. Evaluating transformational change in countries;
3. Delivering evidence for IFS effectiveness;
4. Evaluating International and regional partnerships; and
5. Assessing the GM's capacity as a facilitator of knowledge enhancement.

The RAIM also outlines a **Results and Impact Assessment system**, which articulates how the five key elements of the RIAM will work together in practice.

As the system describes, the GM's **performance assessment** will be facilitated through its RBM Programme of Work and Budget and the performance indicators stipulated therein, which change every biennium. Rather than examining the impact of the GM's work, the first element of the RIAM aims to establish how well the GM has delivered against the envisaged outputs and contributed to the expected accomplishments, the findings of which will feed directly into the progress reporting of the GM to COP.

The system also outlines how **transformational change** in both countries and sub-regions will be facilitated through the application of the 'transformational narrative' instrument. Transformational change is mainly geared towards three pillars, each with a set of indicator clusters, as outlined below:

**Pillar 1: Scale of investments and quality/comprehensiveness of programmes:**

- Amount mobilized and percentage of increase;
- Linkage with national budget process and effective use of direct budget support, sector-wide approaches, basket funding etc.; and
- Integration of vertical international finance into national programming cycles.

**Pillar 2: Improved governance:**

- Transparent and comprehensive formulation and implementation of IFS linked to national economic development and development programming;
- Appropriate organizational environment (political support, basic institutional arrangements and responsibilities etc.);
- Effective partnerships formed with all constituencies in an appropriate structure and range of partners and investors; and
- Economic valuations of land/natural resources and financial flow analysis of public expenditure, private sector investment and international financial contributions.

**Pillar 3: Information and knowledge base:**

- Information provision throughout the process and identification of information needs;
- Capacity building on all aspects of finance for SLM in line with identified needs;
- Improvement of knowledge base on public finance and private sector investments

within various constituencies; and

- Innovative forms of investments and finance from supporting sectors such as trade and market access, education etc.

The baseline data will be established at the beginning of the GM's country engagement according to the three pillars in order to generate a clear picture of the transformational change taking place in each country and/or sub-region. The evaluation of transformational change will be carried out only after completion of the IFS process and the establishment of the Integrated Investment Framework, as called for by the 10-Year Strategy.

**IFS effectiveness** will be partly determined on the basis of its performance as a governance tool. The IFS performance assessment process will take place over a 4-year period commencing January 2012, the terms of reference for which will be determined on a case-by-case basis at the outset of the IFS processes, in consultation with relevant partners. Taking into account the results and impact assessments in the various countries where the GM and others are engaged in IFS implementation, the status of countries' IFS implementation forms the foundation for this 4-year cycle of assessment of IFS effectiveness.

The enhancement of learning from IFS processes is part of the GM's Knowledge Management Programme. To assess the GM's effectiveness as regards broader learning and exchange of experiences on IFS implementation, the results and impact of its South-to-South cooperation programme should be analysed, with the main success indicators being related to participants' enhanced ability to apply the IFS instrument and related process under country leadership. In particular, this engagement through South-to-South cooperation should be seen as a tool following the first cycle of the IFS at country level.

The RIAM distinguishes between national-level partnerships, which are induced by the IFS process, and international and regional level partnerships that the GM joins or creates. The assessment of the **efficiency and impact of international and regional partnerships is measured primarily against the various partnership** agreements, their objectives, results frameworks and action plans.

These partnerships should be evaluated by means of the 'outcome mapping' tool described and quoted under section 4.4 of the RIAM. As the monitoring system of the GM includes the evaluation of partnerships, the assessment should be carried out through partnership 'journals', kept by the respective programmes of the GM. The outcome mapping process and partnership journals enable the GM to assess the international and regional partnerships every two years, in line with the biennium of the Convention.

Given that the international and regional partnerships that the GM is involved in often have an indirect impact on country-level work, the RIAM proposes that both the screening of a number of partnerships and the transformational change assessment at country level should take place every two years as part of the progress of reporting to COP. The sources of verification are GM back-to-office reports, partnership reports (meeting reports, mission reports, UNDAFs, UN Joint Programmes, aide memoires etc.) and evaluations carried out by the partnerships themselves.

The capacity of the GM to play the role of an effective **facilitator of knowledge enhancement and capacity building** at global, regional and national levels will be evaluated by taking into consideration its institutional effectiveness. The GM is functioning under the matrix

approach of the knowledge enhancement programme, the strategic programmes and the regional programmes. Moreover, the capacity of the GM is determined by self-directed teams to undertake tasks and deliver on the GM's mandate. Against this institutional setting, the assessment in this regard should focus on a set of indicator clusters, as outlined under element 5.

The RIAM purposefully does not identify specific SMART indicators for the various levels of the assessment system as a 'one size fits all' approach is not appropriate because the GM operates through complex, adaptive partnerships and in the relatively quickly changing environment of the global financial architecture. The RIAM will enable the GM to identify the most suitable ways and means to service all country Parties to the UNCCD given the limited financial resources available.

Finally, by incorporating the RIAM into the GM's programme of Work and Budget for the respective biennium and by making it an integral part of the rolling 4-Year Work Plan, the methodology completes the basic document portfolio of the GM, which includes the IFS concept, the Country Engagement Modalities and the Project Template for IFS implementation.


## CONTEXT

This document outlines the Global Mechanism's (GM's) Results and Impact Assessment Methodology (RIAM). The methodology is the outcome of the GM's endeavour to meet the request of the country Parties of the United Nations Convention to Combat Desertification (UNCCD) to concretely demonstrate the results and impact of the GM's interventions at country and sub-regional levels. The methodology is based on the context in which the GM operates, its mandate as determined by the Convention, and various decisions of the respective Conferences of the Parties, including the 10-Year Strategic Plan and Framework of the UNCCD, adopted in 2007 by Decision 2/COP.8 (ICCD/COP(8)/16/Add.1) (hereafter 'the 10-Year Strategy').

The overall conditions in which the GM operates are framed by the reporting system of the UNCCD under the PRAIS system and the GM's reporting obligations with regard to the regular progress report to the COP at the end of each biennium and the delivery of the GM's programme of work and budget for the subsequent biennium. The overall strategic document for all subsidiary bodies and institutions under the Convention is the rolling 4-Year Work Plan, also presented at each session of the COP.

With regard to the GM's mandate and functioning, the country Parties to the Convention called for a profound revision of the GM's operations in November 2003. In response to the Paris Declaration on Aid Effectiveness and the changing financial architecture for development, the GM's *Consolidated Strategy and Enhanced Approach* (CSEA) was presented to the COP in 2005. The CSEA entails, in particular, supporting programmatic approaches as part of development planning, integrating vertical funds such as the Global Environment Facility (GEF) and the strengthening of domestic budget processes to increase financial resource allocations to sustainable land management (SLM).

The GM was encouraged to support developing country Parties through the new approach and functional modalities (Decision 5/COP.7). In essence, the GM supports country Parties through knowledge enhancement, capacity building and direct country and sub-regional engagement, serving as an advisory service provider on finance for SLM. SLM finance includes sectoral finance (agriculture, forestry, water, rural development, etc.) as well innovative financing approaches related to climate change adaptation, payments for environmental services and Aid for Trade in agricultural produce.

A new organizational structure based on a matrix approach was created - combining the regional and strategic programmes, which together develop comprehensive country programmes and sub-regional interventions. The strategic and regional programmes of the GM are supported by the Knowledge Management Programme, including through South-to-South cooperation. Information sharing and capacity building is further facilitated by the programme, 'Designing Integrated Financing Strategies' (DIFS).

In order to operationalize the approach of the GM, the concept of the 'Integrated Financing Strategy (IFS)<sup>1</sup> was developed in 2006, which the process towards the development of Integrated Investment Frameworks for SLM, as called for by the 10-Year Strategy under Operational Objective 5<sup>2</sup>.

The IFS is a comprehensive, coordinated strategy for resource mobilization linked to the National Action Programme NAP and other national processes. It is anchored in the national institutional setting and brings into play a mix of financial sources, instruments and mechanisms through which sustainable, timely and predictable investments for UNCCD implementation can be identified and secured. The IFS enables government institutions, the private sector, Community-based organizations CSOs and donor agencies to work together to create an investment framework for SLM, encouraging the forging of partnerships and the identification of financing sources.

In order to establish formal working modalities for the new structure, the GM developed its *Country Engagement Modalities* (CEM) to provide guidance to GM partners and staff on how the GM works operationally at the country level. It gives an overview of the principles of engagement under the leadership of country Parties and outlines the process for the elaboration and implementation of the GM's country support programmes.

The services of the GM include: financial policy analysis; analysis of investment trends and public expenditure; portfolio reviews of international finance institutions such as the International Fund for Agricultural Development (IFAD) and the African Development Bank;

1 For the IFS Concept see [www.global-mechanism.org](http://www.global-mechanism.org)

2 The adoption of the 10 Year Strategy of the UNCCD brought a new framework to the Convention, giving the GM "...a central responsibility in contributing to Operational Objective 5 ..." (paragraph 18).

and the economic valuation of land at country and sub-regional levels, which serves as a foundation for justifying increased investments in SLM through domestic budget allocations and international finance. Such services are facilitated by the *Financial Information Engine on Land Degradation* (FIELD) portal and through the GM's contribution to the analysis of the data flow through the PRAIS reporting system of the UNCCD.

The 10-Year Strategy also called for the immediate implementation of a results-based management (RBM) system that would facilitate the coordinated and harmonized reporting of the Convention's bodies to the Conference of the Parties. In this regard, all GM activities undertaken since 2007 have been coordinated in a way to contribute directly to the RBM framework of the 10-Year Strategy of the Convention, including through the Joint Work Programme with the UNCCD Secretariat.

### 1.1. OBJECTIVES OF THE RIAM - 'VALUE FOR MONEY'

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It is within this context that the GM's Results and Impact Assessment Methodology was developed in order to evaluate the GM as an institution under the Convention with regard to increased finance for UNCCD implementation under the National Action Programmes and broader SLM programmes at the country level.

This results and impact assessment methodology will be instrumental in analyzing the GM's programme implementation at all levels through the application of appropriate evaluation tools that create linkages between quantitative and qualitative indicators. The methodology demonstrates how the GM and its partners are contributing to the generation of public finance and private sector investment for sustainable land management and the implementation of the 10-Year Strategy. The GM is requested to take the lead on Operational Objective 5 of the Strategy, supporting country Parties to establish integrated investment frameworks to achieve the objectives of the Convention.

It is essential that the GM, as a subsidiary body of the Convention, is enabled to assess and evaluate its performance, results and impact regularly as a provider of specialised financial advisory services on UNCCD-related issues. The overall objective of the RIAM is to clearly demonstrate the 'value for money' of the GM's services, making explicit the correlation between the financial resources provided for GM-induced processes and the resultant level of impact at the country level. It is clear that the GM must be able to demonstrate its use of financial resources, both to affected country Parties to the Convention and to its development partners.

Furthermore, the RIAM will be used to assess and evaluate the effectiveness and efficiency of the instruments used by the GM such as the concept of the Integrated Financing Strategy, the approach to knowledge enhancement and South-to-South cooperation. This dimension is of particular importance in view of the mid-term and end-term evaluation of the 10-Year Strategy. In this regard, the RIAM is viewed as a tool to inform and improve GM activities as part of a broad, iterative process.

Figure 1 gives an overview of the overall functioning of the GM internally and with its partners, based on the matrix-setting of its institutional arrangement. The figure makes clear that the responsibility of achieving integrated investment frameworks as called for by the 10-Year Strategy lies with the affected country Parties and the RIAM is applied to

measure the contributions of the GM to country-led processes such as the development of integrated financing strategies.

Furthermore, the GM always works in partnership with both international and (sub)regional partners of very different natures in diverse settings. One of the most important objectives of the RIAM is to evaluate the quality and effectiveness of these partnerships, whether political, strategic or operational.

# 2

## MEASURING RESULTS AND IMPACT AROUND COMPLEX, ADAPTIVE PARTNERSHIPS

The RIAM addresses two main areas. Firstly, the ability of the GM to monitor and evaluate its contribution to the achievement of the Strategy, with its targets being based upon performance indicators at the level of outcomes and expected accomplishments of the GM's RBM programme, as approved by the COP. Secondly, in order to achieve measurable impact through enhanced and improved performance, there is a clear need to fully qualify the transformational changes at country and sub-regional levels that are expected to result from GM interventions, as many activities undertaken will have an impact within a longer timeframe (i.e. 15-20 years).

This will result in a more defined vision of the changes that are envisioned as a result of GM activities with regard to programmatic approaches to agriculture, forest and water management as well as rural development at large. In this regard, the GM is contributing primarily to improved governance in financial resource mobilization and capacity building in its function as an advisory service provider on finance in the broader sense.

## 2.1. ATTRIBUTION OF IMPACT BETWEEN PARTNERS

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The question ‘how much money has the GM raised?’ is simple enough to pose, while the answer is significantly more complex. When it comes to defining and mainstreaming the role of the GM and the way it operates in partnerships with country Parties and international organizations, the process of reaching investment frameworks is at the centre of this methodology.

Due to its limited in-house capacity and its specialized role in finance, the GM always strives to work with development partners, providing support to country Parties through process-oriented inputs. While the GM supports processes that enhance country Parties’ capacity to prepare effective, comprehensive financing strategies for the implementation of UNCCD NAPs and/or other Drought, Land Degradation and Desertification (DLDD) and SLM-relevant initiatives, national and international partners focus on the substantive programmatic element. The results of these country-led processes in terms of SLM programmes are mainstreamed into national development and budget allocation processes.

It is the country Party’s ownership that enables the government and civil society constituencies to negotiate with available financing mechanisms (government budget allocation, basket funding, sector-wide approaches, bi- and multi-lateral support programmes, global funds, private sector investments in public private partnership, etc.). The attribution of impact to the partners and the GM is firmly based on this responsibility taken by country Parties under the Convention. Since this requires knowledge of how different mechanisms operate as well as capacity to deal with their terms and conditions, the impact of the GM is to be seen in the quality of the processes leading to increased finance for SLM and the quality of the programmes that are established by the partnership. The final decision on financial and programmatic priorities lies with the government. In this regard, the methodology draws on data provided by country Parties through the PRAIS portal and takes into consideration a variety of UNCCD stakeholders’ views in order to ascertain the full extent of the GM’s effectiveness.

The GM also actively engages with partners at the sub-regional, regional and global levels, who are working to achieve favourable frame conditions for DLDD/SLM finance and to induce effective and targeted policy debates on SLM at the international, national and decentralized levels. In this regard, attribution of the impact of GM support is measured by analytic work, knowledge management and initiatives such as the economic valuation of land and financial flow analysis, concepts for and experiences in South-to-South and decentralized cooperation as well as capacity enhancement. The key elements of the methodology therefore include the evaluation of international and regional partnerships.

The widely varying sources and levels of funding for country-based DLDD/SLM activities (from multilateral sources, bilateral donor agencies and international financial institutions, the GEF and other vertical international funds as well as national budgets of developing countries) gives further credence to the claim that the focus of the GM needs to continue to be on programmatic approaches by packaging finance into the investment frameworks as called for by the 10-Year Strategy. The instrument used in this regard - the integrated financing strategy - is therefore the foundation for the attribution of impact to the GM and its partners. While the short term allocation of finance to a site-specific programme or

project on DLDD/SLM may provide a substantial financing stream, the outcomes from broader programmatic initiatives may be made more sustainable by wider work facilitated by the GM and its partners on creating effective governance structures for SLM.

## 2.2. ASSESSING THE GM'S CONTRIBUTION AS A PARTNER

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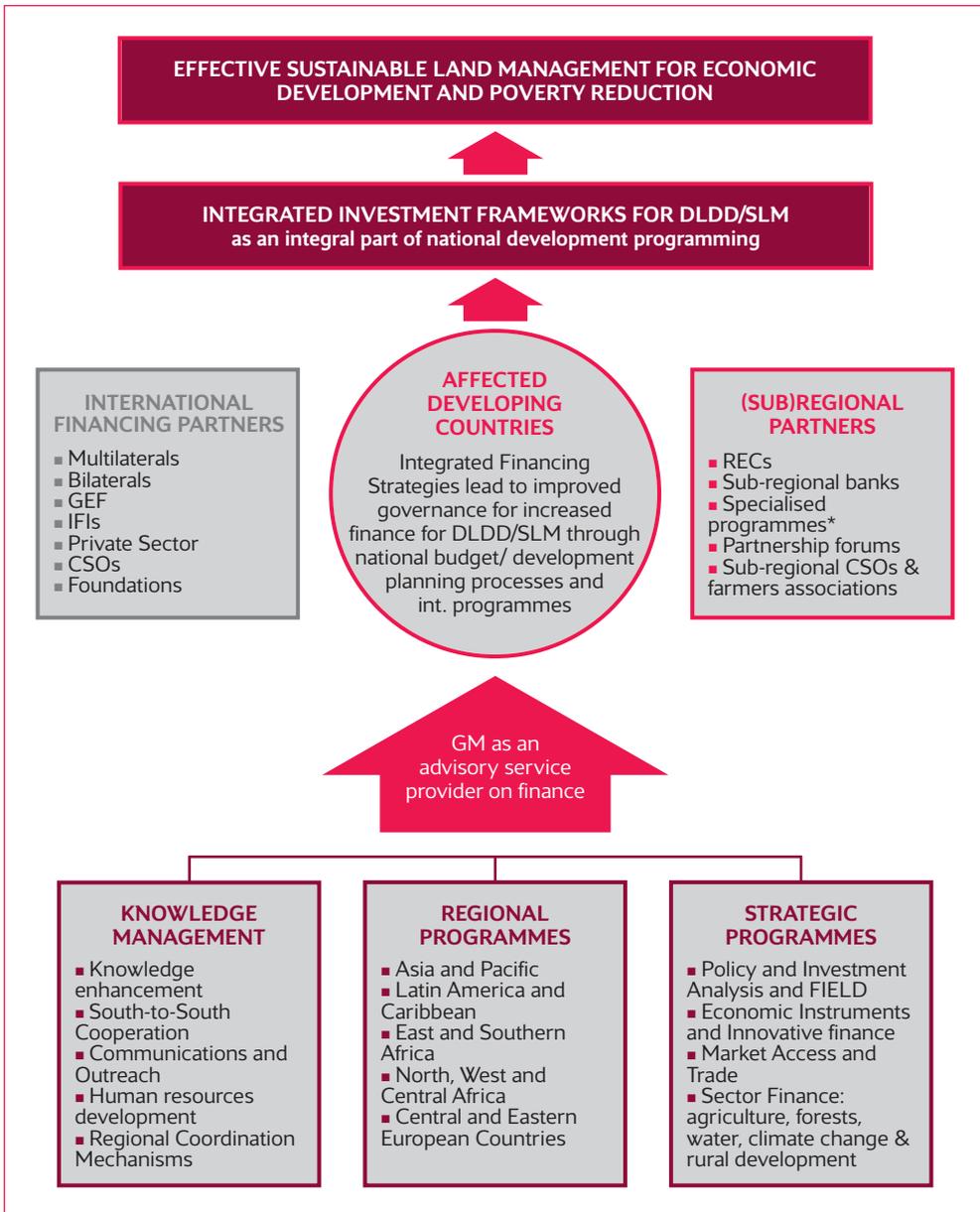
The GM's RIAM allows for a focus on a range of results to which the GM is likely to contribute during the implementation of the 10-Year Strategy. These results are predicted to have an impact, primarily at country level, within a 5-10 year timeframe. Country Parties under the Convention are called upon to achieve "...the mobilization of adequate, predictable and timely financial resources at both national and international levels for [The Strategy's] effective implementation..." (The Strategy, para 34).

The RIAM is therefore designed to primarily assess how effective partnerships enable the implementation of integrated financing strategies at the country and sub-regional levels, as induced by the GM. In this regard, the methodology draws upon the experiences in South-to-South cooperation such as SolArid for West and North Africa, the TerrAfrica partnership and the CACILM initiative as well as the partnerships at country level around IFS processes. The indicators for the assessment of the partnership will be agreed upon by the partnerships themselves.

In many international and regional processes, the GM acts as the 'junior' partner, often in the role of a convener or facilitator to introduce and mainstream finance for SLM as part of the partnership. Given the changing global financial arena and architecture, the specialized services and experiences that the GM can bring to the table needs continuous monitoring and impact assessment in order to strive for enhanced quality. Being a subsidiary body of the UNCCD without an investment portfolio, the contribution of the GM is focused on strategic and analytical elements such as the economic valuation of land, analysis of financial flows and financial instruments and knowledge management such as the knowledge enhancement events around DIFS. The majority of efforts at the international and regional levels are based on the in-country work of the GM, including the analysis of innovative sources of finance such as micro-finance for land management.

Last, but not least, the impact of the GM through innovations can be assessed both at international as well as national level such as the work of the GM on Aid for Trade, which is increasing the nexus between trade and agriculture and where the GM's role as a convener and facilitator is specifically defined.

Figure 1 The GM's approach in support of Integrated Investment Frameworks



\* Such as TerrAfrica, The Great Green Wall, Nile Basin Partnership, Fouta Djallon Initiative, Central Asia Countries Initiative on Land Management (CACILM), Mesoamerican Platform to Promote Investments on Sustainable Land Management (PIMAST) etc.

## PRINCIPLES OF THE METHODOLOGY

# 3

This section outlines the key principles that underpin the methodology. The principles take into consideration the context in which the GM operates, both in terms of the existing frameworks of the UNCCD and with regard to the broader context of international development finance.

### 3.1. OPERATING WITHIN THE 10-YEAR STRATEGY OF THE UNCCD

The 10-Year Strategy gives the GM key responsibility for supporting the implementation of Operational Objective 5 (Financing SLM and Technology Transfer) and a supporting role for Operational Objectives 1 (Advocacy) and 2 (Policy Framework). In particular, the establishment of integrated investment frameworks by country Parties (outcome area 1 of Operational Objective 5 on finance) has become the main focus of the GM's engagement at all levels. All other outcome areas under this operational objective contribute to the latter.

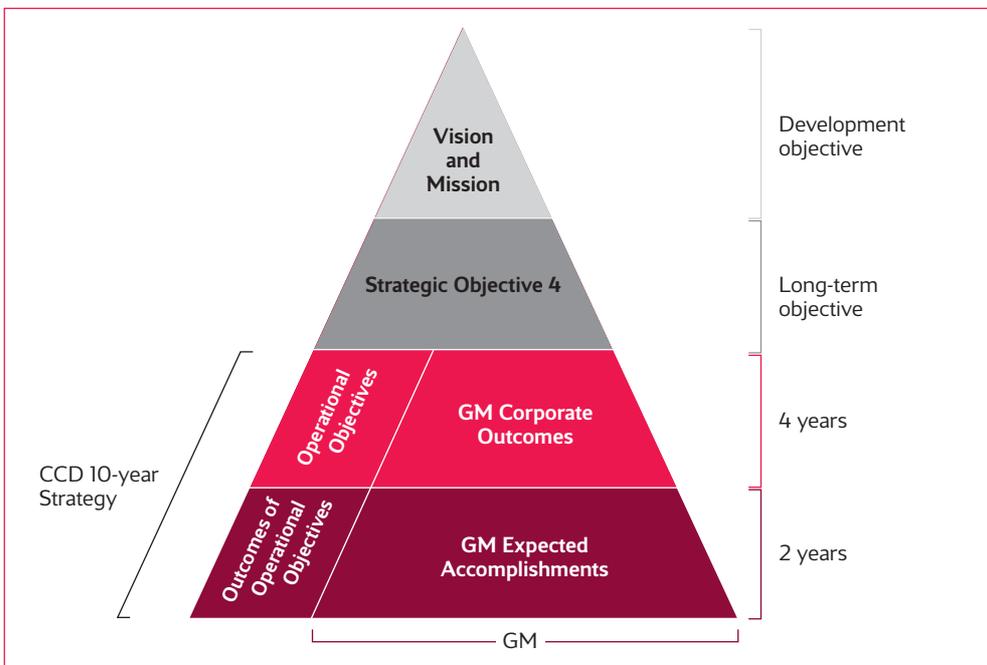
As agreed upon by country Parties to the Convention, the programmes of work and budgets of all subsidiary bodies and institutions of the Convention are based on the RBM framework of the 10-Year Strategy of the Convention. The RIAM is therefore built on the RBM framework of the 10-

Year Strategy of the UNCCD. The assessment will be carried out in this framework, directly addressing the expected accomplishments of the GM's RBM-based programme of work of the respective biennium. As regards, the Results and Impact Assessment Methodology operates within the hierarchy of the overall RBM system of the Convention (see Figure 1). Furthermore, the logical frameworks of the individual IFS country programmes are equally built on the RBM hierarchy of the 10-Year Strategy.

The performance indicators of the programme of work of the GM as well as the indicators for Operational Objectives 5, 1, and 2, Strategic Objective 4<sup>3</sup> and the RBM-based programme of work of the GM are effectively intertwined by means of the overall RBM framework of The Strategy. The indicators for the Results and Impact Assessment Methodology (see section 5) are developed based on the SMART approach<sup>4</sup>. The data sources that are available within the Convention are derived from: the PRAIS reporting system of the UNCCD; the data sources of country Parties such as national financial observatories and public expenditure reviews; data obtained through the implementation of the IFS or by means of the aforementioned individual IFS country programmes of the GM; the results of M&E systems of partner organisations; partnership arrangements at all levels; and engagements at international and regional levels.

As regards the long term (15+ year impact) of the GM, it is important that the activity-to-output monitoring around the agreed expected accomplishments, performance indicators, outputs and output quantifiers of the programmes of work of the GM are rigorously maintained, including a tracking system for when there are changes to the RBM as a result of refinement and learning through the implementation process.

Figure 2 GM alignment with the Ten-year Strategic Plan and Framework



<sup>3</sup> Strategic Objective 4: "to mobilize resources to support implementation of the Convention through building effective partnerships between national and international actors"

<sup>4</sup> SMART: Specific, Measurable, Achievable, Relevant, Time-bound

## 3.2. MANAGING FOR DEVELOPMENT RESULTS

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Within the context of significant shifts taking place in the realm of development finance delivery, the Paris Declaration and the Accra Agenda for Action were intended to encourage increased country ownership of development processes. This inevitably has major implications on the suitability of approaches to monitoring and evaluation, which must be determined on an individual basis, dependent on the particular country context<sup>5</sup>. However, whilst national ownership provides an overarching philosophy, specific guidance around evaluation systems is primarily grounded in the commitment to Managing for Development Results (MfDR).

The interpretation of MfDR in the Paris Declaration goes above and beyond simply utilising RBM tools within a programme or organization. The central concept of MfDR is to reduce transaction costs and enhance long-term sustainability by creating national capacity for results-based management that serves the needs of governments, whilst providing accountability data to development partners. Any international evaluation framework thus needs to be able to accommodate variation at the national level, both in terms of context and capacity. This makes international aggregation and comparison of results more challenging.

However, the current focus on aid effectiveness shows that a 'results' focus is a necessary but inadequate way to ensuring that ODA and public sources of finance are used to reach the Millennium Development Goals (MDGs) and other development objectives. As a result of the current financial constraints in many economies, there is a need to be able to document and improve the efficiency with which projects and programmes are implemented, based on effective analysis and evidence collection. Efficiency analysis can include both aspects of financial effectiveness and a wider consideration of the social return on investment to enable a broader picture of 'value for money' from different perspectives.

MfDR is comprised of excellent elements that will be increasingly built into the indicator clusters of the RIAM as the system addresses governance and institution building as well as capacity enhancement (see section 5). By means of the MfDR, the GM can be assessed against its contribution to the development objectives of the respective country, an approach that is more targeted and specific than the identification of the GM's results and impact in the implementation of the 10-Year Strategy of the UNCCD globally.

## 3.3. COMPLIANCE WITH THE OECD-DAC EVALUATION FRAMEWORK

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The most widely accepted analytical framework for structuring evaluation of international development are the OECD-DAC criteria, which indeed frame the indicators of the RIAM that are further elaborated in Section 5.

These five criteria - sustainability, relevance, effectiveness, efficiency and impact - provide a common ground, but still require contextually-relevant interpretation. Thus, an evaluation system needs to articulate what a relevant, effective, efficient, sustainable and impactful intervention looks like in a way that is adaptable to specific contexts. This is particularly

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<sup>5</sup> As supported by the UN Evaluation Group Standards:  
[http://www.uneval.org/normsandstandards/index.jsp?doc\\_cat\\_source\\_id=4](http://www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4)

relevant for the concept of the IFS, which needs to be assessed regularly against those five criteria and inform the M&E system of the GM as well as the indicator clusters of the RIAM.

### 3.4. FOCUSING ON KNOWLEDGE ENHANCEMENT

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As a capacity building and facilitative organization, the primary sphere of influence of the GM is at the outcome level: i.e. changes in behaviours and enhancement of knowledge of institutions and individuals who contribute to the processes to increase sustainable finance for DLDD/SLM. The GM evaluation system is set up in a way that reflects the matrix structure of the organisation with regard to the nexus between the Knowledge Management and Capacity Enhancement Programme and the analytical work of the Strategic Programmes, which inform, support and capacitate the Regional Programmes. The GM's RIAM and its indicator clusters are designed in a way that the effect of the focus on knowledge enhancement can be evaluated in concrete terms of the integrated investment frameworks and the quality of SLM programmes.

In order to compliment an evolving trend in development cooperation, the GM has increasingly focused its actions on South-to-South Cooperation. The SolArid Programme of the GM, for example, aims to promote exchanges of experience between Sahel-Saharan actors of West and North Africa with regard to finance for SLM, leaving ample room for cross cutting themes such as governance, decentralization, gender issues and links between desertification, migration and local development. Particular emphasis is placed on building South-to-South partnership platforms to: provide information on the funding opportunities and procedures of financial partners; strengthen coordination and synergies between existing initiatives; support the diagnosis of systems and existing financial mechanisms; and strengthen collaboration between key players in the region.

Furthermore, through the organization of DIFS workshops and the generation of country-specific knowledge products and studies on UNCCD-relevant issues such as innovative financing opportunities and the potential of Incentive and Market-based Mechanisms (IMBMs), the GM also maintains a strong focus on knowledge enhancement and capacity building initiatives.

## KEY ELEMENTS OF THE METHODOLOGY

4

The development of the GM's RIAM takes into account the current capacity of the GM and its partners and the dynamic environment in which they are operating. The five elements of the methodology outlined below describe what needs to be developed, operationalised and embedded in GM management processes in order to facilitate results and impact monitoring of the GM and its engagement with country Parties (primarily through the IFS process) and sub-regional, regional and international partners.

Management commitment and the allocation of significant resources are the prerequisites to supporting the implementation of RIAM. The process is to be implemented by the GM and its partners and closely linked to the context of the reporting processes of the Convention. The Results and Impact Assessment Methodology of the GM and the five key elements will inform the approaches of country Parties to assess the impact of their work under the IFS in the context of the evaluations of the 10-Year Strategy of the UNCCD.

The five key elements of the proposed methodology include:

1. Evaluating the Performance of the GM
2. Evaluating Transformational Change in Countries
3. Delivering Evidence for IFS effectiveness

4. Evaluating International and Regional Partnerships
5. Assessing the GM's capacity as a facilitator of knowledge enhancement

The five key elements are described in the following sections of this methodology.

#### 4.1. ELEMENT 1: EVALUATING THE PERFORMANCE OF THE GM

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This section focuses on the results for the monitoring and evaluation (M&E) of the GM, based on the performance indicators set out by the programme of work and budget for the respective biennium, within the context of the RBM framework proposed by The Strategy. Such results of the M&E process will lead to the GM's progress reports to the Conference of Parties, as part of the regular reporting requirements under the Convention. Furthermore, the results of the M&E will also contribute to the PRAIS reporting and evaluation system of the Convention as a whole for deliberation at the Committee for the Review of the Implementation of the Convention (CRIC).

Article 21.4 of the convention indicates the following: *In order to increase the effectiveness and efficiency of existing financial mechanisms, a Global Mechanism to promote actions leading to the mobilization and channelling of substantial financial resources, including for the transfer of technology, on a grant basis, and/or on concessional or other terms, to affected developing country Parties, is hereby established. This Global Mechanism shall function under the authority and guidance of the Conference of the Parties and be accountable to it.*

From this key statement of the Convention, it is clear that the focus for measuring the GM's impact must be on the quality and quantity of the actions undertaken by the GM for the mobilisation of resources for DLDD/SLM. Consequently, the focus of the RIAM should not be on the mobilisation of resources by and through the GM itself, since the GM is not a financing mechanism in its own right. The foundation for the performance evaluation of the GM is the instrument of the integrated financing strategy (IFS), which determines the actions to be undertaken by the GM at the country level.

Any enhancement of quality in service delivery would be seen primarily through the effective management of partnerships, including those with country Parties and international organisations that have both a funding remit (e.g. GEF, IFAD, World Bank etc.) and a more specialized technical or capacity building role (e.g. FAO, UNDP, UNEP), as well as relevant regional processes and frameworks such as NEPAD/Comprehensive Africa Agriculture Development Programme (CAADP). However, the full assessment of the effectiveness of the partnerships would be part of the impact assessment. Furthermore, the performance evaluation of the partnerships through the progress report of the GM to the COP, would remain at an output-oriented level and be geared towards the level of expected accomplishments of the GM's programme of work.

There is an important constraint around the predictability of finance for the GM's operations affects the way in which the results framework of GM's programme is crafted in relation to the scope and scale of targets. Since the GM is presenting a programme of work which is only partly financed and fund-raising remains a major GM activity throughout the biennium, the value of the RBM framework of the GM's programme is rather limited as the GM cannot promise to implement all planned activities and achieve the set targets.

While this limitation is only operational at the level of performance evaluation - what could not be financed, could not be done - the effect on impact could potentially be much greater as longer-term commitments might possibly to be cancelled, the continuity of support, knowledge management and capacity building no longer guaranteed and therefore the impact decreased. Such risks were taken into account in the methodology (see Section 5).

## 4.2. ELEMENT 2: EVALUATING TRANSFORMATIONAL CHANGE IN COUNTRIES

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On the one hand, the GM engages at all levels as an institution which builds capacity and knowledge and supports country Parties directly and operationally to establish integrated investment frameworks for SLM, as called for by the 10-Year Strategy of the Convention. On the other hand, this specific field of intervention on finance for development and the profoundly changed financial architecture both at national and international levels calls for new and innovative approaches for enhanced governance and institutional collaboration. This includes an improved interministerial dialogue, the inclusion of the private sector and CSOs, as well as the empowerment of local authorities and communities.

Additionally, SLM is a cross-sectoral approach which needs to address not only agriculture and forest management, but also water management, climate change adaptation, education, trade and market access and other pertinent sectors which could support the achievement of the objectives of the 10-Year Strategy.

Enhanced governance, institutional collaboration and cross-sectoral approaches call for transformational change in countries which need to adopt and comply with the new realities of development finance from domestic as well as international sources. Given the enormous differences in knowledge and capacity between line ministries such as agriculture, compared to ministries of finance, the GM is operating as a change agent in a complex and partnership-focused environment. The GM and its partners are engaging with UNCCD focal point institutions and addressing the basic weaknesses in capacity and know-how for improved governance and increased finance.

### 4.2.1. WORKING HYPOTHESES ON TRANSFORMATIONAL CHANGE

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In this regard, the working hypotheses for GM activities have been laid out as follows<sup>6</sup>:

- (1) **Financing for SLM:** Hypothesis: "As a result of the GM's support to governments in formulating IFS/IIF, total resources for SLM (broadly defined) have increased."
- (2) **An enabling environment for financing:** Hypothesis: "The role of the GM in supporting IFS development enhances the opportunities for governments to secure incremental financing for SLM."
- (3) **Information and advice on budget processes, investments and financing:** Hypothesis: "The GM's support through knowledge and information exchange and the provision of advisory services enhances the understanding among affected country Parties of budget processes, investment modalities and financial instruments and mechanisms for SLM-related investments."

It is critical that the form, scale and processes through which the transformational change is assessed by means of this methodology, are based on a strong consensus of country

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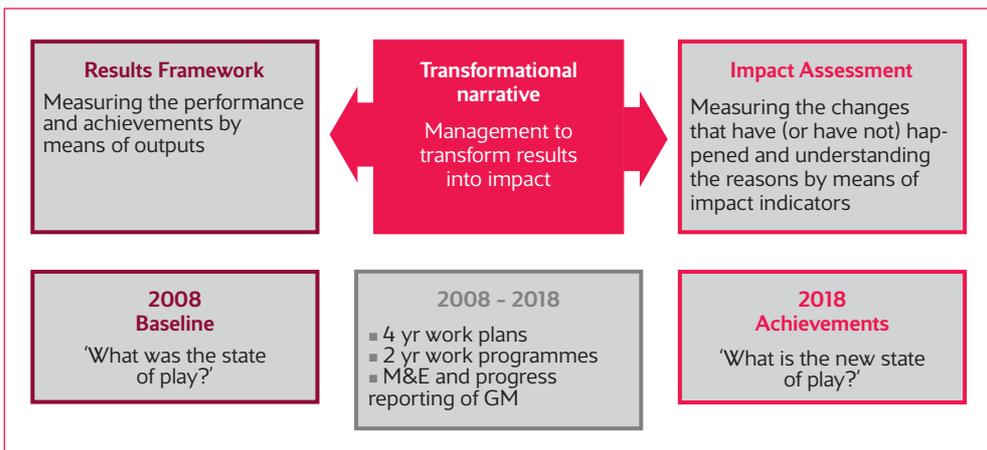
<sup>6</sup> para 36, ICCD/CRIC(9)/14 dated 15 November 2010

Parties with whom the GM works. This consensus will determine the quality of the GM's work, as outlined under the working hypothesis 2 and 3 in order to achieve the working hypothesis 1. Without the mobilization of supporting policies, institutional development and human capacities, country Parties and their focal point institutions will not be able to effectively increase finance for SLM in the mid-term and long-term perspective.

The IFS concept and the processes for each country are designed to enable this transformational change based on a situational analysis undertaken at the start of the process (see the GM's Country Engagement Modalities). Such situational analyses under the IFS provide country Parties with a baseline against which future changes can be measured. For the range of activities that the GM undertakes (e.g. partnership/platforms; knowledge and learning management including South-South cooperation; tools for the economic valuation of land; development of innovative approaches for DLDD/SLM finance), the results of the transformational changes are documented as an important part of GM's M&E system. Figure 2 highlights the linkages between the different processes that the GM is involved with that may contribute to transformational change at the country and sub-regional levels.

The instrument of the 'transformational narrative' will be used to arrive at data which can be utilized for aggregation and interpretation. There is a need to agree upon such a transformational narrative as an integral part of the IFS processes that are suited to the context, capacity levels and existing policy frameworks for the financing of DLDD/SLM. This will enable greater clarity around the development of results and impact indicators for the respective country processes and enable an effective tracking of results (i.e. changes), and the processes associated with those changes. This would facilitate reporting on results i.e. changes achieved and an understanding of the mechanisms by which the associated activities/outputs are contributing towards the achievement of outcomes, and hence impact, in the longer term.

**Figure 3** Linkage between the RBM, Transformational Change and Impact Assessment



#### 4.2.2. ESTABLISHING THE BASELINE FOR GM OPERATIONS

In order to measure and attribute change, it is critical to agree upon the baseline against which a comparison can be made. The baseline material for measuring the GM's impact will need to focus on the quantitative and qualitative indicators that measure the process-related changes that the GM facilitates. In the main, two sets of indicators are being used: (i) the

performance indicators of the Programme of Work and Budget of the GM for the respective biennium and (ii) the indicators of the Integrated Financing Strategies of the concept as well as the GM country support programmes.

Some of the key data sources for the development of the baseline are highlighted below:

- **The GM Performance Reports** can be used as a baseline for the GM’s future work as they clearly lay out the data for the performance indicators of each expected accomplishment of the RBM, as well as key output data. This level of detail will facilitate the establishment of the Performance Assessment Framework (Section 5), which will enable tracking of outcomes from these outputs.
- **The GM Targets for Country Interventions** describe the GM’s objectives, their status of implementation and the associated financial commitments for each country, regional and sub-region by means of the country inception notes, the country programmes and the progress reports.
- **Individual country Parties’ ‘baseline’** or status reports are being prepared under each IFS process. Such an approach will facilitate a broader assessment of the results that are achieved as a result of GM interventions.
- **The Review of Financial Flows for the implementation of the Convention<sup>7</sup>** provides a comprehensive analysis of trends in financing for the UNCCD. The data used for the analysis was provided by country Parties, who reported on operational objective 5 of The Strategy (on Financing and Technology Transfer). The further development of PRAIS and FIELD will assist future analyses of this nature.

### 4.3. ELEMENT 3: DELIVERING EVIDENCE FOR IFS EFFECTIVENESS

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The GM operates as a catalyst, working with country Parties and their partners to mainstream financing for DLDD/SLM into national economic development plans and budgets. The process is complex and the speed with which a country Party progresses in the mainstreaming process is dependent on many contextually specific issues. In this regard, it is imperative that the GM develops a straightforward way of documenting the effectiveness of the IFS leading to the integrated investment framework (IIF). The situational analysis component of the IFS process provides baseline data against which future changes (i.e. results) are monitored and evaluated.

#### 4.3.1. ANALYSIS OF THE IFS AS A GOVERNANCE TOOL

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Measuring the implementation status of the IFS process within a country<sup>8</sup> can be facilitated by the establishment of progress criteria and indicators. The proposed approach of synthesising information from individual countries will enable the monitoring and evaluation of progress by country Parties towards the achievement of the main outcomes of their IFS/IIF processes and will be facilitated by the development of quantitative and qualitative indicators. However, given that the contexts and priorities of country Parties are highly varied, both qualitative and

<sup>7</sup> ICCD/CRIC(9)/7 20 December 2010. Preliminary analysis of information contained in reports from affected and developed country Parties, United nations agencies and intergovernmental organizations and the Global Environment Facility on operational objective 5 of The Strategy.

<sup>8</sup> A similar process could be developed for use with IFS processes at a sub-regional level.

quantitative indicators of progress must be developed for each country process based on the IFS document to enable tracking of key processes and outcomes, including:

- the transparency of budget processes for DLDD/SLM and the linkage between the IFS process and the budget process;
- the integration of vertical funds' (e.g. climate adaptation finance, GEF), finance administered through national budgets (SWAps, budget support and innovative mechanisms);
- the responsiveness of country Parties to the principles of the Paris Declaration on Aid Effectiveness with regard to the integration of bilateral and multilateral contributions (World Bank, IFAD, regional development banks) into programmatic approaches; and
- the progress on economic valuations of land as baseline data for increased resource allocations.

It is important to demonstrate that the IFS is an effective governance tool by determining the status of countries' IFS implementation, including the changes in governance and institutional coordination that have taken place over time. The criteria and indicators developed for the agreed outcomes of the respective IFS process would be assessed using data from country systems and the PRAIS. An analysis of the effectiveness of IFS processes is an integral part of each country process.

#### 4.3.2. ENHANCING LEARNING FROM IFS PROCESSES

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The conceptual framework of the IFS as a governance tool is such that it may be applied in different ways to suit the specific contexts of an individual country Party. Therefore, it is critical that the learning from these context specific processes is made part of the knowledge management programme of the GM to enable, if required, adaptation of the process to increase its efficiency and effectiveness from a country perspective and to mainstream this tool in other processes like CBD and the UN Forum on Forests. Furthermore, it is in the considerable interests of country Parties and their partners to understand if (and under what conditions) an IFS enhances a country's ability to obtain and use increased resources that become available through the IFS process for SLM at large, climate adaptation, biodiversity conservation and rural development, market access and trade and other more specific issues of development.

Furthermore, the integration of the learning component on the IFS will show whether an IFS process increases the ability of a country Party to manage new opportunities (e.g. climate change adaptation funding) or challenges like shocks to the economic system (e.g. caused by rising food prices). Thirdly, it will also demonstrate how country Parties work increasingly by themselves to support the IFS and IIF processes, including capacity development and knowledge management, to develop effective finance for DLDD/SLM because their primary focus objective derives from the 10-Year Strategy "...to see affected country party X successfully engaged in sustained international dialogue with DLDD/SLM financing instruments based on robust diagnosis, a nationally integrated IFS, and a comprehensive economic valuation of land."

#### 4.4. ELEMENT 4: EVALUATING INTERNATIONAL AND REGIONAL PARTNERSHIPS

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The GM is working to broker change and support capacity building in a complex and dynamic partnership setting. The variety of partners at national and sub-regional levels ranges from

CSOs to the private sector, bilateral and multilateral organizations to international finance institutions such as the World Bank and IFAD, vertical funds including the GEF and institutions such as the regional economic commissions and specialized institutions including those in the CGIAR system. Equally, the GM engages in international and regional policy processes as appropriate, like the UN Forum on Forests with regard to forest finance and as a member of the Global Donor Platform for Rural Development (GDPRD).

The GM's evaluation system thus needs to go beyond rigid monitoring of fixed output indicators, and capture evolving changes over time through these partnerships addressing emerging opportunities and increasing the effectiveness of the partnerships. In this regard, it is proposed to develop a 'partnership journal' that will enable the GM (and other parties) to document existing partnerships. This would also facilitate a regular assessment, through the progress reports to the UNCCD Conference of Parties, on the extent to which these partnerships are positively contributing to changes in the mainstreaming of finance for DLDD/SLM and donor coordination leading to an increased likelihood of the effective and efficient use and increase of resources for DLDD/SLM.

Using an approach modelled on 'outcome mapping', the GM moves those partnerships into the evaluation system so that the outcomes to which they are likely to contribute are identified and monitored. Clarity on the contribution and value added of each partnership will assist the GM to focus on partnerships that are effective on promoting finance for DLDD/SLM.

The proposed approach to the monitoring and assessment of partnerships is designed to enable 'narratives of change' to be organised and tracked over time through the definition of outcome challenges. An 'outcome challenge' describes how the behaviour, relationships, activities or actions of an individual, group, or institution will change if the programme is extremely successful<sup>9</sup>. Every partnership would have a Partnership Journal that is monitored and which should link to the Expected Accomplishments of the GM's RBM framework.

The Partnership Journal will use Most Significant Change (MSC)<sup>10</sup> as a tool to enable narratives to be collected from/with partners. This approach creates the evidence against which performance trends in each partnership are judged. It also promotes discussion and debate around the priorities of the different actors involved in a partnership and aggregates diverse types of evidence in a meaningful and logical way.

By means of the 'outcome mapping' and the 'partnership journal', it will be possible to select the most effective partnerships at the expense of others which are proving to be stagnant, inactive and politically unstable. In this regard, the objectives and results of the partnerships will be assessed against the GM's RBM programme of work and performance indicators, as well as the SMART indicators of this methodology.

## 4.5. ELEMENT 5: ASSESSING THE GM'S CAPACITY AS A FACILITATOR OF KNOWLEDGE ENHANCEMENT

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In its role as a 'change agent', the GM manages a number of processes to facilitate learning

<sup>9</sup> Sarah Earl, Fred Carden, and Terry Smutylo (2001) OUTCOME MAPPING: Building learning and reflection into development programs. IDRC p47

<sup>10</sup> See a commentary on the use of and MSC process with the African Development Bank at <http://www.iodparc.com/resource/msc.html>

among country Parties and partners. These include effective knowledge management used for both capacity building and South-to-South cooperation. The GM regularly organizes sub-regional and national workshops on Designing Integrated Financing Strategies (DIFS) and engages in formal and informal South-to-South learning (e.g. through the Central Asian Countries Initiative on Land Management (CACILM), the Great Green Wall initiative and specific GM programmes such as SolArid and ACP Scope on intra-regional exchange of experience). Additionally, the GM's development of FIELD and the effective use of PRAIS reporting increases country Parties' and Convention partners' access to quality information available in appropriate formats. Finally, the GM operates an informative website with newsletters, news and publications as part of its outreach and support to processes at all levels under the heading of SLM.

The GM therefore invests significant resources in creating positive conditions for 'transformational change' and understands very well the needs of stakeholders around capacity development and how access to quality information can enable advocacy, policy development and decision making. Examples of activities to be undertaken to foster learning and capacity building, include:

- **Synthesising material** from the PRAIS and FIELD to provide important information around the current status of resource mobilisation and DLDD /SLM financing;
- **Working with the Secretariat** to ensure that the PRAIS continues to capture appropriate information to facilitate learning around financing for DLDD/SLM and for monitoring of relevant outcomes within the RBM;
- Undertaking **client satisfaction surveys** to understand partner needs and perceptions of GM performance;
- The use of '**cohort analysis**' tools to monitor the longer term impacts of DIFS workshops at national and sub-regional levels;
- **Developing tools and processes** for monitoring the economic valuation of land and dissemination of the results to relevant audiences;
- Producing **quality knowledge products** in response to issues that critically affect decisions around financing for SLM (e.g. responses to global food security);
- Increasing the number of actors that are linked to UNCCD processes through **strategic programmes** (e.g. the Market Access and Trade Programme, which has produced a 'Knowledge exchange programme on Aid for Trade finance for sustainable land management'); and
- **Adapting IFS tools and processes** based on lessons learned, including the rationalisation of RBM outputs following an internal review of activity to output linkages.

The points above constitute the basic understanding of the regular assessment of the GM as an effective partner for the UNCCD constituencies at large, filling its niche based on its mandate through the UNCCD and identifying room for improvement. The GM and its partners can continue to test whether the GM is supporting the IFS processes in a way that leads into capacity building and the ability of country Parties to use this tool effectively as a regular instrument of improved governance. In this regard, emerging evidence from the RIAM implementation needs to be synthesised and reviewed on a regular basis, in line with Convention reporting timelines.

# 5

## RESULTS AND IMPACT ASSESSMENT OF THE GM

### 5.1 PUTTING THE PRINCIPLES INTO PRACTICE

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The GM's RIAM is based upon the principles outlined under section 3. The RIAM takes the 10-Year Strategy as its overarching framework and therefore links the expected accomplishments, performance indicators and outputs of the GM's RBM programme of work and budget directly to the outcome areas of the operational objectives of the Strategy.

Since the GM is working towards the use of the new financial architecture following the Paris Declaration on Aid Effectiveness, emphasis is placed on the concept of MfDR, taking a broader perspective on country ownership, alignment of country programmes with national priorities, harmonization of donor contributions, including vertical international funds and mutual accountability. The GM's RIAM is fully compliant with the five criteria of OECD-DAC Evaluation Framework - sustainability, relevance, effectiveness, efficiency and impact - and takes as its basis the vision of the GM as an organisation with a central focus on knowledge enhancement and improved governance.

It should be well noted that the methodology described herein and the system of assessment

outlined below, should be applied on a biennial basis in line with the biennial programme of work and budget of the institutions and subsidiary bodies under the Convention. Furthermore, the RIAM should serve as an operational tool for the evaluation of the 10-Year Strategy of the UNCCD and its successor.

The RIAM takes into account that beyond the framing of the evaluation process outlined above, a number of phases and products need to be respected and used.

The key instruments used by the GM are:

- Integrated Financing Strategies (IFSs);
- Integrated Investment Frameworks (IIFs);
- Country engagement modalities of the GM;
- IFS project template;
- Inception study for country engagement of the GM;
- Country programme document of the GM;
- Joint United Nations Programmes/UN Development Assistance Frameworks (UNDAFs);
- Joint Assistance Strategies (JAS); and
- UNCCD relevant national programmes or regional programmes.

The key sources of verification are:

- GM progress reports to COP;
- PRAIS reports of UNCCD;
- Cooperation IFAD/GM reports to IFAD Governing Council;
- GM reports on donor grants;
- GM/IFAD unaudited and audited statements of expenditure;
- GM client satisfaction surveys;
- Joint GM country programme evaluation (country Parties/partners/GM); and
- National evaluations and analysis as appropriate.

The key instruments and key sources of verification will be complimented by reports, evaluations and assessments carried out by processes, programmes and partnerships in which the GM engages.

## 5.2. MAKING THE KEY ELEMENTS WORK

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The key elements of the RIAM follow the logic of the framework of the 10-Year Strategy and the reporting requirements of the GM against it, while at the same time focusing on the envisaged transformational change in governance at country level through an increasingly effective IFS under the most appropriate partnership arrangements. The following elements of the RIAM form the overall results and impact assessment process of the GM:

### 5.2.1 PERFORMANCE ASSESSMENT

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The GM's performance assessment will be facilitated through its RBM Programme of

Work and Budget and the performance indicators stipulated therein. Naturally, the programme of work and the performance indicators will change every biennium. Rather than examining the impact of the GM's work, the first element of the RIAM aims to establish how well the GM has delivered against the envisaged outputs and contributed to the expected accomplishments (i.e. number of IFS supported or DIFS workshops delivered etc.).

The performance assessment will feed directly into the **progress reporting** of the GM to COP, the collaborative IFAD/GM Report to the IFAD Governing Council and all reports on donor grants. Additionally, the unaudited financial statements and the externally audited statements of expenditure form the backbone of this element of the RIAM.

## 5.2.2 EVALUATING TRANSFORMATIONAL CHANGE

As outlined under Element 2 of the RIAM, evaluating the transformational change in both countries and sub-regions will be facilitated through the application of the '**transformational narrative**' instrument as an evaluation tool used in organizational change processes. This instrument needs to be agreed upon at country level and might vary on a country-by-country basis according to the specific IFS and investment framework for SLM.

The transformational change is mainly geared at the following **three pillars** which are to be determined for each country case:

- Scale of investment/IIF and the quality and comprehensiveness of national SLM programmes;
- Improved governance in mastering the financial architecture of domestic and international sources of finance by governments and constituencies such as CSOs, the private sector, the international community and their partnerships; and
- Information and knowledge base on financing for SLM.

The country level engagement of the GM represents the core for the results and impact assessment. Therefore, the specific IFS processes are the reference for all other outcomes of the GM's work. Transformational change establishes a foundation in terms of the capacity of country Parties to mobilize financial resources for SLM.

For the results and impact indicators for the assessment, the specific IFS documents and agreements, including their action plans, are the basic reference. The indicators are to be formulated for each country on a case-by-case basis. They have to be in line with the concept of the IFS, the GM country engagement modalities and the GM country programme template.

The indicators need to include the support of the GM Knowledge Management Programme and the Strategic Programmes to determine the delivery of the GM as a whole.

The indicators for the assessment at country and at sub-regional level should be formulated around the following **indicator clusters** in line with the three pillars of transformational change.

### **Pillar 1: Scale of investments and quality/comprehensiveness of programmes:**

- Amount mobilized and percentage of increase;

- Linkage with national budget process and effective use of direct budget support, sector-wide approaches, basket funding etc.; and
- Integration of vertical international finance into national programming cycles.

**Pillar 2: Improved governance:**

- Transparent and comprehensive formulation and implementation of IFS linked to national economic development and development programming;
- Appropriate organizational environment (political support, basic institutional arrangements and responsibilities etc.);
- Effective partnerships formed with all constituencies in an appropriate structure and range of partners and investors; and
- Economic valuations of land/natural resources and financial flow analysis of public expenditure, private sector investment and international financial contributions.

**Pillar 3: Information and knowledge base:**

- Information provision throughout the process and identification of information needs;
- Capacity building on all aspects of finance for SLM in line with identified needs;
- Improvement of knowledge base on public finance and private sector investments within various constituencies; and
- Innovative forms of investments and finance from supporting sectors such as trade and market access, education etc.

The **baseline data** will be established at the beginning of the GM's country engagement according to the three aforementioned pillars. Sources for the establishment of baseline data against which the assessment of the results and impacts on transformational change will be carried out are detailed under section 4.2.2 of the RIAM. The most important source is the IFS process itself with its programme targets for the GM's support and the countries' self-assessment, as outlined in the GM Inception Report.

The baseline data development will be an essential element of generating a clear picture of the transformational change taking place in each country and/or sub-region. Both the baseline data and the indicator clusters will be determined in close cooperation with each country with whom the GM is in partnership. The transformational narrative will be an integral part of the agreement on IFS structure and implementation between country Parties and the GM.

The evaluation of transformational change will be carried out only after completion of the IFS process and the establishment of the Integrated Investment Framework, as called for by the 10-Year Strategy. Mid-term assessments and self-assessments of the IFS process will be taken into account.

### 5.2.3 ANALYSIS OF EVIDENCE OF IFS EFFECTIVENESS

Generating the evidence for IFS effectiveness as a **governance tool** is part of a broader process starting for the first time in January 2012 with the evaluation of the first 4 years of implementation of the Strategy (the evaluation will be finalized in June 2013). IFS effectiveness that will be determined by the quality criteria of aid effectiveness and improved governance will follow the five criteria of OECD/DAC - sustainability, relevance,

effectiveness, efficiency and impact. It is certain that the IFS is to be evaluated in qualitative terms as a governance tool and in quantitative terms as a financial resource mobilization tool with the objective of achieving an investment framework for SLM.

The terms of reference and the identification of the necessary set of qualitative and quantitative indicators used to track key outcomes of the IFS quality and implementation process will be carried out through a preparatory process including country Parties, the Facilitation Committee of the GM and the donor community. It is certain that the basic GM documents, including the IFS concept, the Country Engagement Modalities and the IFS project template, will form the references for the analysis of IFS effectiveness, while the country processes are the evidence and foundation for improvement.

Taking into account the results and impact assessments in the various countries where the GM and others are engaged in IFS implementation, the status of countries' IFS implementation, forms the foundation for this 4-year cycle of assessment of IFS effectiveness.

One of the criteria against which IFS effectiveness needs to be assessed is the relevance of the IFS instrument for other sectors and processes such as the Comprehensive Africa Agriculture Development Programme and other MEAs such as Climate Change adaptation under the UNFCCC. Furthermore, an evaluation of IFS effectiveness should take into consideration the tool's ability to integrate vertical funds such as the Adaptation Fund of REDD into countries' development planning processes in order to avoid a return to project-based approaches.

The enhancement of **learning** from IFS processes is part of the GM Knowledge Management Programme. Internal learning is carried out by in-house capacity enhancement and diagnosis, sharing of experiences and information on a regular basis. This dimension is therefore part of the assessment of the GM's capacity as a facilitator of knowledge enhancement under section 4.5.

For broader learning and exchange of experience on IFS implementation, the GM needs to be assessed against the results and impact of its South-to-South cooperation programme, for which the main success indicators should be on the programme's effectiveness in enabling participants to apply the instrument of the IFS and related processes under country leadership. In particular, this engagement under the South-to-South cooperation programme of the GM should be seen as a tool for the aftermath of the first cycle of an IFS in the respective countries. Furthermore, the element of learning under South-to-South cooperation also entails the submission of detailed information and training to access innovative and vertical international finance for SLM.

#### 5.2.4 PARTNERSHIPS

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The GM distinguishes between national-level partnerships, which are induced by the IFS process, and the **international and regional level partnerships** that the GM joins or creates. In the majority of cases, the GM signs a Memorandum of Understanding with, for example, a regional organization such as the Economic Community of West African States (ECOWAS) or signs up to the general charter partnerships such as the GDPRD. However, the GM is involved in a number of partnerships at all levels for which no MoU or charters have been signed. The assessment of the effectiveness of the GM's partnerships is

therefore not restricted to formal agreements like MoUs.

The assessment of the efficiency and impact of the partnerships is carried out primarily against the aforementioned agreements, their objectives, results frameworks and action plans. On condition of the availability of sufficient financial resources, such an assessment would examine the focus of a given partnership, its operational functioning and its mutually supportive and complementary composition.

These partnerships should be evaluated by means of the **outcome mapping** tool described and quoted under section 4.4 of the RIAM. As the monitoring system of the GM includes the evaluation of the partnerships, the assessment should be carried out through **partnership journals**, which the respective programmes of the GM maintain. The outcome mapping and the partnership journals enable the GM to assess the international and regional partnerships every two years, in line with the biennium of the Convention.

International and regional partnerships that the GM is involved in can have an indirect impact on country-level work, often focusing on policy and mainstreaming processes with little operational value, but significant political and strategic worth. Therefore, both a screening of a number of partnerships and the transformational change assessment at country level should take place every two years as part of the progress of reporting to COP, the findings of which should be included in the 4-year assessment of the effectiveness of the IFS as a governance tool, in line with the evaluation of the 10-Year Strategy of the UNCCD and its successor after 2018.

The sources of verification are the GM's back-to-office reports, the reports of the partnerships (meeting reports, mission reports, UNDAFs, UN Joint Programmes aide memoires etc.) and evaluations carried out by the partnerships themselves.

### 5.2.5 EVALUATING THE GM'S CAPACITY AS A FACILITATOR OF KNOWLEDGE ENHANCEMENT

The capacity of the GM to play the role of an effective **facilitator of knowledge enhancement and capacity building** at global, regional and national levels will be evaluated by taking into consideration its institutional effectiveness. The GM is functioning under the matrix approach of the knowledge enhancement programme, the strategic programmes and the regional programmes. Secondly, the capacity of the GM is determined by self-directed teams to undertake tasks and deliver on the GM's mandate. Against this institutional setting, the assessment should focus on the following set of indicator clusters:

- South-to-South Cooperation under specific programmes such as SolArid (North/West Africa) and SCOP ACP (intra-regional communication and exchange of experience), Lusophone Africa Initiative on SLM Finance etc.;
- Communication and outreach (website, newsletters, publications etc.);
- Web-based e-learning programmes on IFS and sectoral and innovative finance;
- Capacity enhancement workshops on DIFS, its pedagogic concept and substance, frequency and interlinkage between the different modules;
- Seminars for university master courses (MSc);
- Quality and quantity of economic analytic work relevant to target audience (economic valuation of land, financial flow analysis etc.); and

- Quality and quantity of products of the Strategic Programmes (sector and innovative finance analysis and approaches for allocation, including GEF etc.).

## 5.2.6 SUMMARY OF THE RESULTS AND IMPACT ASSESSMENT OF THE GM

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The Results and Impact Assessment based on this methodology is operating under the assumption that it will be carried out in partnership with developing country Parties of the Convention and their focal point institutions, the FC of the GM comprising of all UN organizations relevant to SLM, including the GEF and the UNCCD Secretariat as well as the donor agency representatives working together with the GM in the Multi-Donor Platform.

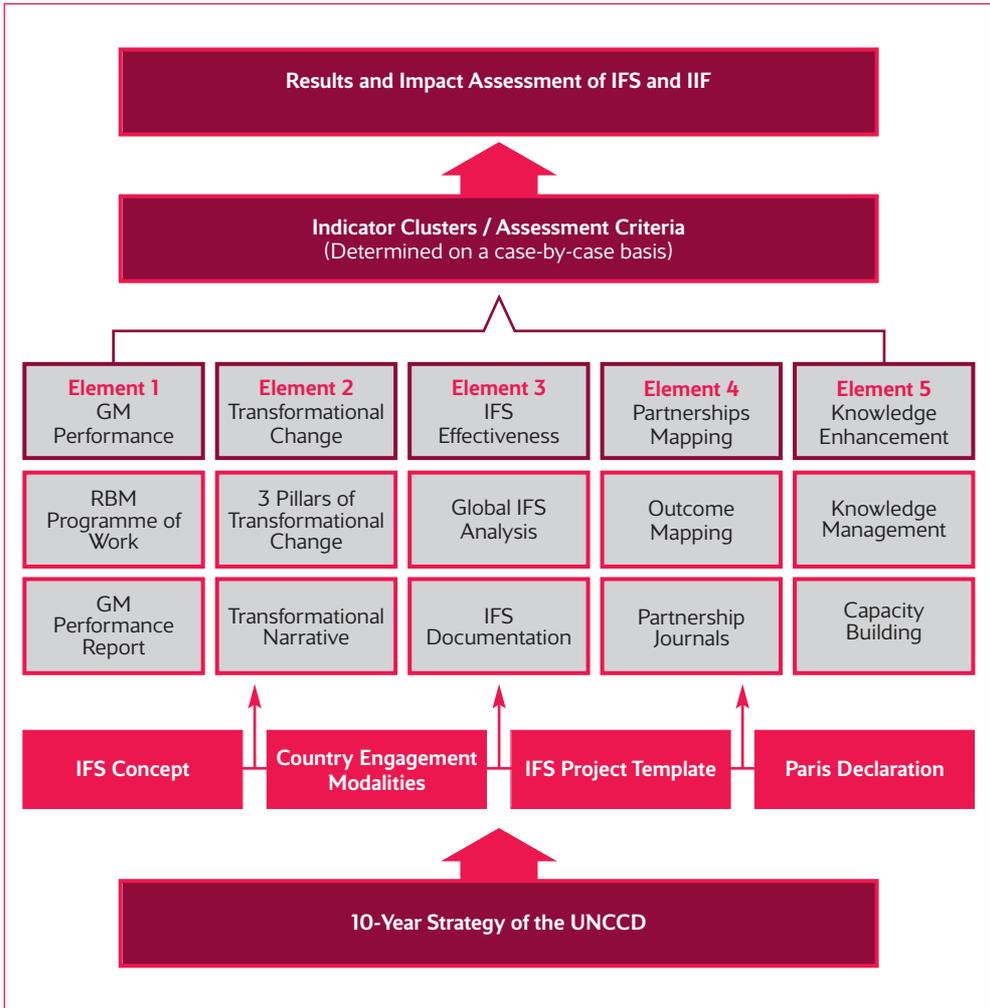
The RIAM purposefully does not identify specific SMART indicators for the various levels of the assessment system as a 'one size fits all' approach is not appropriate given the fact that the GM operates in complex and adaptive partnerships and in the relatively quickly changing environment of the global financial architecture. Furthermore, with an increasing number of country Parties to the Convention achieving the development objective of moving into the macro-economic category of middle-income countries, approaches and intensity of engagement through the GM may vary greatly.

The RIAM will enable the GM to identify the most suitable ways and means to service all country Parties under the UNCCD by appropriate means, given the scarce financial resources available. In particular, the increasing quality of partnerships with other international organizations is leading to a new distribution of roles and functions in the context of country support under the IFS and a changing service provision of the GM.

In summary, Figure 4 outlines the steps to be taken under this methodology, the instruments used and the sources of verification. Adequate resources for the application of this methodology need to be made available from the side of the GM as well as from the side of interested parties.

Finally, by incorporating the RIAM into the GM's programme of Work and Budget for the respective biennium and by making it an integral part of the rolling 4-Year Work Plan, the Methodology completes the basic document portfolio of the GM, which includes the concept of IFS, the Country Engagement Modalities of the GM and the Project Template for IFS implementation.

Figure 4 Summary of RIAM application







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