



CARICOM Results-Based Management Collaboration

Monitoring and Evaluation Systems Analysis (MESA)

Integrated Report: Member States

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Acronyms and abbreviations

CARICOM -The Caribbean Community

CLEAR LAC - Center for Learning on Evaluation and Results for Latin America and Caribbean

GEI - Global Evaluation Initiative

GoJ - Government of Jamaica

MDAs - Ministries, Departments and Agencies

MIND - Management Institute for National Development



MOFPS -Ministry of Finance and the Public Service

MTF -Mid- Term Socio-Economic Policy Framework

MTRBB – Medium-Term Results Based Budgeting

OC-Office of the Cabinet

OPM - Office of the Prime Minister

PIMS - Public Investment Management System

PIOJ -Planning Institute of Jamaica

PMEB – Performance Management and Evaluation Branch

PMEF-Performance Management Evaluation Framework

PMES -Performance Monitoring and Evaluation System

RBM - Results-Based Management

SC – Steering Committee



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Relevant definitions and concepts

Evaluation - The systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results.

Monitoring - The continuous and systematic collection of data on specified indicators, to provide information on the extent to which resources have been used and what outputs have been achieved or produced.

Result - Clearly defined and demonstrable output, outcome, or impact (intended or unintended, positive and/or negative) of an intervention.

Results-Based Management System (RBM System)¹ - It is a global and systemic approach to management that orients all strategies, actions, and resources (both human and material) towards improving decision-making and the achievement and measurement of clearly defined and demonstrable results expected by governments and institutions, whether national, regional, or global. This systemic approach can be analysed at three levels (considering all the relationships that may exist between them) for CARICOM: the national level, the regional institutions level, and the whole-regional / CARICOM level. These levels are individual and do not have a defined hierarchy, as they have their own institutional, human, financial and multidimensional contextual characteristics that make them independent of each other. Nevertheless, the articulation between them is relevant to understanding how RBM operates in the region.

The RBM system can, in turn, be composed of different sub-systems (that are systems by themselves). Some of the most important, but not the only ones, are: the monitoring and evaluation (M&E) sub-system (with the formal document that institutionalises it: the M&E Policy or Framework, if it exists); the data and information sub-system, which generates, processes, systematises and publishes relevant information to know and scale the multidimensional situation of the country or institution and thus identify problems to be addressed and guide decision-making; the human resources management sub-system, which builds and constantly strengthens the necessary

¹This concept was developed following internationally recognised standards and approaches and contextualised to the particular case of CARICOM:

*Food and Agriculture Organization of the United Nations. <https://www.fao.org/investment-learning-platform/themes-and-tasks/results-based-management/en/#c309481>

*United Nations Development Group. *Results-Based Management Handbook*. <https://unsdg.un.org/download/160/246#:~:text=RBM%20is%20a%20management%20strategy,higher%20level%20goals%20or%20impact>.

* United Nations Development Programme. *Results Based Management. Concepts and Methodology*. <http://web.undp.org/evaluation/documents/RBMConceptsMethodgyjuly2002.pdf>



capacities to have the staff with the capabilities to carry out the M&E and RBM activities necessary to achieve and measure the expected results, etc.

RBM policies, on the other hand, are key elements of a sustainable RBM system but are not, by themselves, the system. RBM policies are the normative framework that: defines how the RBM system will be structured; establishes the guiding principles for the results-oriented approach; communicates what RBM entails for the country, institution or region; identifies stakeholders to be involved and their responsibilities; and identifies the needs to execute the necessary activities, among other elements. National, institutional, and regional RBM systems linkages may be established in RBM policies, which may have shared elements.

In accordance with the CARICOM Model Results-Based Management Policy for Member States (CARICOM RBM Policy), the CARICOM RBM System was established to foster a results-oriented culture across the region by addressing the need for improved implementation rates, accountability, transparency and governance of the Community and it is based on the Community Strategic Plan 2015-2019. It is expected that its implementation will enhance the capacity of the Secretariat, Member States and the Regional Institutions to meet the reporting and accountability standards of its stakeholders. So, the overarching purpose of the Model National RBM Policy is therefore to help promote consistency in how Member States prepare and present their National RBM Policies, which, in turn will facilitate clear and well-defined linkages to the CARICOM Strategic Plan 2015-2019 (and successive strategic plans) and the CARICOM RBM System.

To promote consistency among Member States, the CARICOM RBM Policy states that it should serve as an example of what a national RBM policy could look like for a CARICOM Member State. However, each country must therefore individually select the appropriate strategic, ethical, and practical foundation for their unique policy. Also, it states that, to be effective, it is imperative that any national RBM policy be tailored to the country context.

In this sense, the MESA developed by GEI is considered a starting point to recognise and incorporate this contextualisation of RBM policies and systems within countries, considering the guiding principles of the CARICOM RBM Policy as a headlight. Once the contexts of all countries are incorporated in the process of elaborating their RBM policies, it is important to institutionalise the RBM systems taking as a guide the RBM policies and articulating it with all the elements considered in the RBM system needed to make it sustainable and fully operational (institutional, technical, operational, and oriented to results by using the evidence coming from the M&E system).



In this way, we should not confuse the RBM system with technological applications, platforms, software, or digital repositories with data or information contained and systematised, with the other sub-systems (described above) that conforms it, or with the RBM policies; but we should assume that to have a fully operational RBM system, it is necessary to seek a good articulation between all the sub-systems and levels, so we can achieve and measure the expected results, both at the national and regional levels.



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1. Introduction

In July 2014, the Conference of Heads of Government of the Caribbean Community (CARICOM), approved the CARICOM Strategic Plan 2015-2019 which articulated the need for a more results-focused approach to programme and project management, and committed the Caribbean Community Secretariat to establish a planning, monitoring and evaluation (M&E), and reporting system based on the principles of Results-Based Management (RBM). In executing the tenets of the Community Strategic Plan, all implementing partners have expressed concern about an *implementation deficit*. This has resulted in poor implementation of public policy and Regional Public Goods in many Member States, culminating in low rates of successful program and project implementation across the Community.

Efforts to address the *implementation deficit*, to promote a more results-focused approach to program and project management, and to strengthen RBM in the Community commenced in 2016 with the development of the CARICOM RBM System Phase 1 and the support of its institutionalisation at the CARICOM Secretariat. In October 2019, the CARICOM Secretariat requested technical assistance² from the World Bank's Independent Evaluation Group (IEG) to continue these efforts by supporting CARICOM in strengthening a result-oriented culture across the Community, which includes three implementing partners, the Member States, Regional Institutions, and the CARICOM Secretariat.

As part of the collaboration, the IEG and, at that moment the CLEAR LAC based in Mexico, under the Global Evaluation Initiative (GEI), agreed to provide technical assistance in the establishment and institutionalisation of RBM policies, in addition to the Secretariat, to three pilot Member States (Dominica, Jamaica, and Saint Lucia) and three pilot Regional Institutions (the CARICOM Development Fund, the Caribbean Examinations Council, and the CARICOM Implementation Agency for Crime and Security). These pilots are intended to serve as regional champions to support capacity strengthening in the remaining Member States and Regional Institutions, in collaboration with GEI and the CARICOM Secretariat.

The establishment of a customize roadmap to strengthen the pilot's RBM Systems was defined as an intended result. For this, a Monitoring and Evaluation System Analysis (MESA), sometimes referred to as Preparedness Diagnostic, was identified as the first step of the collaboration and developed to assess the level of maturity of the systems

²With non-lending Technical Assistance (TA) the Bank helps clients to implement reform and/or strengthen institutions. Qualified TA activity must meet the following criteria: have a primary intent of enabling an external client to implement reform and/or strengthen institutions; be linked to a Bank unit with clear accountability for the service provided.



and identify specific contextual and organizational features and milestones to be achieved over a five-year period.

This report presents the main findings from the MESA diagnostic for the three pilot Member States. The Report provides information on the existing strengths and opportunities to operationalise RBM in the Member States. More detailed information on each of the pilot Member States can be found at the individual MESA reports.

The report consists of five sections, aside of the introduction. Section 2 will present the CARICOM's Secretariat position on the results and process of the diagnostics. Section 3 presents the methodology description which includes the Theory of Change of this activity; the stages of the diagnostic exercise, and the "Ideal RBM System," which consists of a four dimensions structure that serves as the benchmark for the assessment and guide for the definition of next steps.

Section 4 presents the main findings and level of progress for the pilot Member States in each of the four dimensions. Finally, Section 5 introduces the process for building a contextualized roadmap for advancing towards a sustainable RBM system, as well as a stakeholders' contribution analysis.

After reading this report, the user will obtain a clear idea of the existing practices and elements within the pilot Member States to build on and move forward towards achieving a sustainable RBM systems, as well as key elements to accomplish these. The report may also be used to guide discussions among relevant stakeholders; to aid in empowering key stakeholders in the path of strengthening RBM practices; to share best practices with other Member States; and to bring to light characteristics of practices already being implemented. Finally, representatives from the pilot Member States involved in the collaboration can use this integrated report as a starting point to generate peer learning strategies that further promote evidence-based decision making in their countries and in the region.



2. CARICOM Secretariat's statement on the MESA

CARICOM's Secretariat statement on the process of the MESA for Regional Institutions, the main findings identified, and the role of the GEI team and the Shadow team while developing it was requested, however, due to conflicting priorities and high workloads the statement was not sent to the GEI team and therefore is not included in this version of the document.

Each of the participating Member States: Dominica, Jamaica, and St. Lucia developed their own statement expressing their thoughts and perceptions about the collaboration, the process for developing the MESA and the findings presented both in the individual reports and in this integrated report. These individual statements can be consulted in the Member States specific reports.



3. Methodology

This section presents the methodology and approach of the MESA used under this collaboration to strengthen RBM in the Community. It also presents the strengths and limitations of the methodology, that should be considered when analysing the results or for future replication exercises. The MESA diagnostics were conducted in three Member States in a simultaneous manner following the described methodology. Conducting the diagnostics at the same time allowed the GEI team to promote peer learning and to take advantage of common activities saving time and resources.

3.1 Theory of Change: towards a sustainable RBM System

The collaboration addresses the mandate to CARICOM from Heads of Government to advance RBM across all Member States. It also seeks to act upon an implementation deficit of public policies with which CARICOM Member States and Regional Institutions are associated and that results in poor resolution of socio-economic problems which affects the well-being of the citizens in the region.

The diagram below shows a summarized theory of change of the collaborations' activity. As described in previous sections, this report is intended to communicate the findings of a thorough diagnostic which was conducted in parallel with three Member States. Implementing simultaneous diagnostics strengthens the regional aspect of the collaborations as it creates spaces to promote peer learning and regional networks.

The four stages of the MESA provided relevant information that served as inputs for this report. In addition, it provided a contextual framework, to identify a network of champions to support the process. These additional gains will inform the next steps required to develop and implement the RBM roadmaps for the three pilots. The individual final reports were the main input for the participatory workshops, for which specific processes have been defined and are presented in section 5. The workshops led to the development of contextualized roadmaps with activities and responsibilities to advance the implementation of sustainable RBM systems in the participant Member States, aligned to the four dimensions: Institutionalization, Execution Framework, Technical Capacity, and the Use of Evidence.

These dimensions are further described in the following subsection and in Appendix A. The fulfilment and continuity of the activities integrating the roadmaps, together with the continuous promotion and support of an enabling environment and a system of incentives with a whole of government approach are expected to lead to the institutionalisation of the RBM system (understood as the existence, acknowledgement, implementation, and communication of clear rules); to the development of technical elements to support the system (understood as having developed capacity for

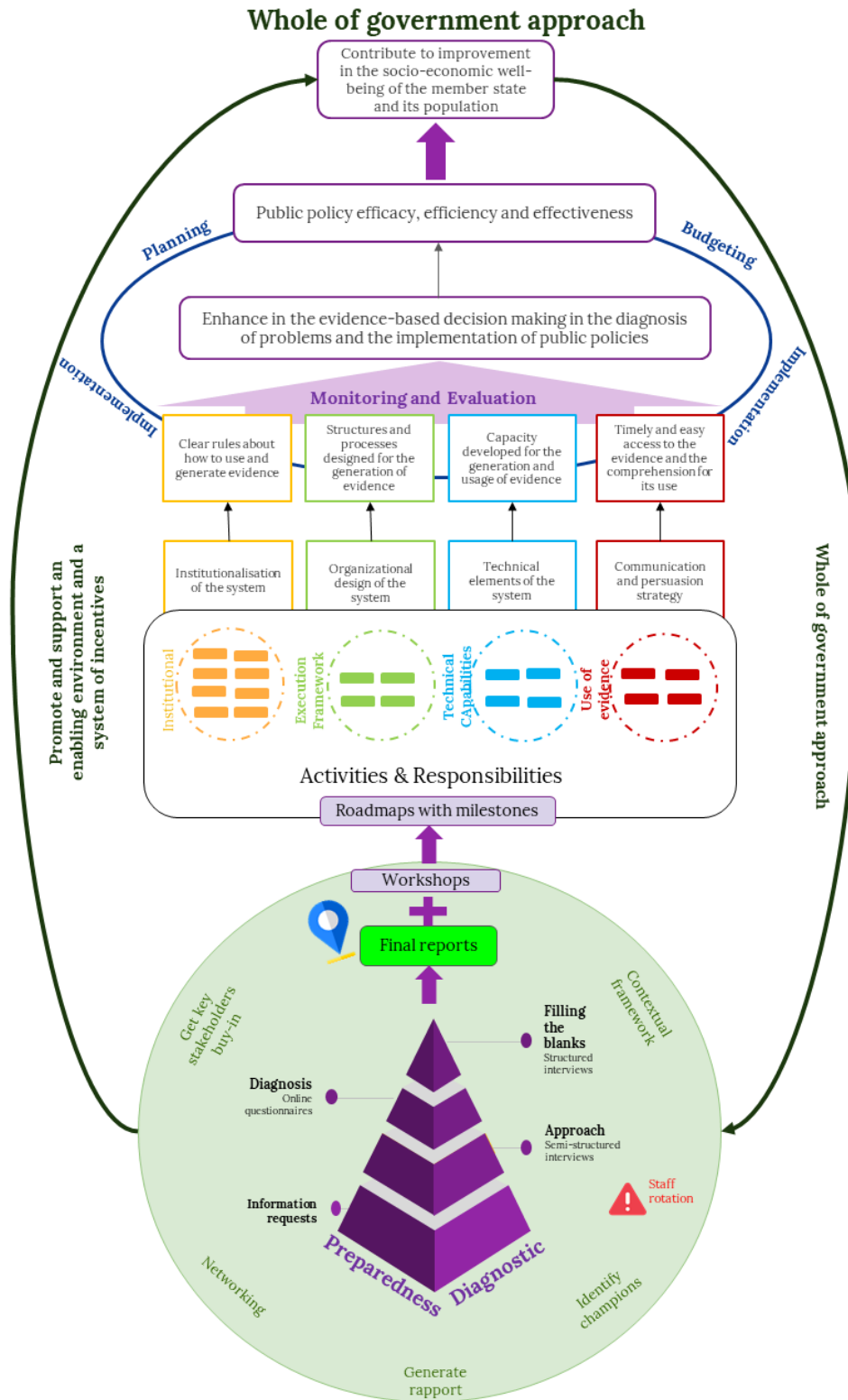


generating and using the evidence that feeds the system); to having an organizational design and actual roll-out of the system (understood as having structures and processes designed and implemented for generating evidence and enabling the fulfilment of the normative framework); and finally, to a communication and persuasion strategy (understood as having timely access to evidence and knowing the paths to promote, ensure and measure its use).

As these four dimensions advance and become solid practices beyond compliance, the system moves towards an increase in evidence-based decision making across the Regional Institutions and Member States; and across planning, budgeting, and implementation that makes it possible to increase public policies' efficiency, efficacy, and effectiveness.

As the system stays in place and becomes mature, all the dimensions will be strengthened, the enabling environment will advance towards an RBM culture, and all of these will end up contributing to improve the socio-economic well-being of the Member State's citizens.

Figure 1. Theory of Change



Source: Developed by the GEI technical team in charge of the collaboration

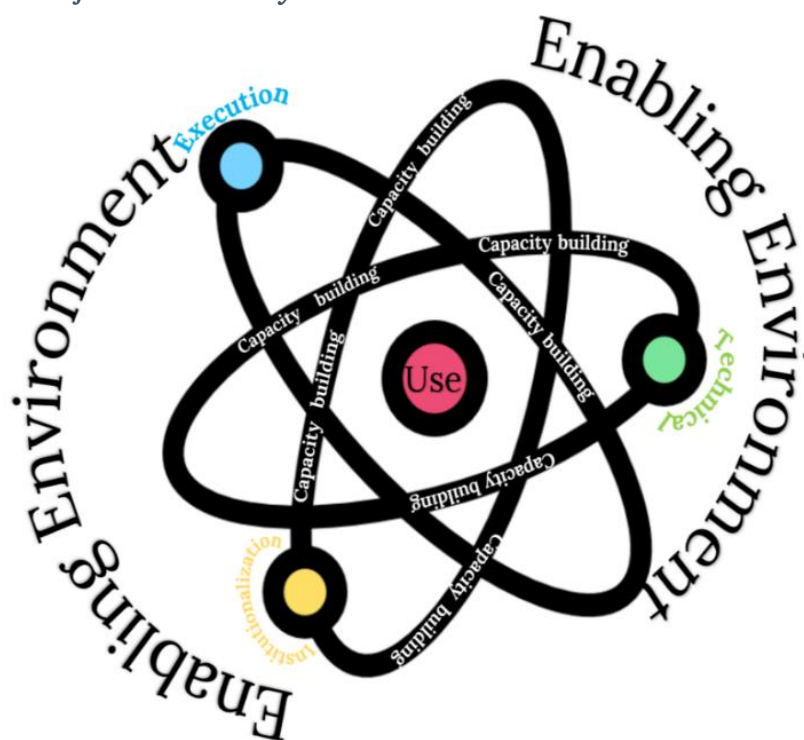
3.2 Ideal RBM system and working process

The development of an RBM System is a complex and nonlinear process that must be contextualized to the specific context, in this case to each Member State. Three elements were considered to establish a roadmap with clear activities to strengthen or build an RBM system:

1. A benchmark against which to assess the level of maturity referred to as “Ideal RBM System”.
2. A methodology to obtain general and specific recommendations.
3. A process and approach to generate ownership and empowerment.

To establish the Ideal RBM system, multiple efforts done over time allow us to learn from experiences in different settings and identify good practices. These good practices represented useful inputs to determine ideal features of an RBM System. The GEI team engaged in this collaboration defined four dimensions of an ideal sustainable RBM system to guide the analysis and the way forward (see Figure 2).

Figure 2. Dimensions of an ideal RBM system



Source: Developed by the GEI technical team in charge of the collaboration

- **Institutionalisation:** this dimension focuses on the formal rules that outline the RBM policy in the Member States.



- **Execution framework:** this dimension focuses on the systems, resources, processes, methodologies, and tools necessary for the implementation of an RBM system, as well as on the enabling environment.
- **Technical capabilities:** this dimension focuses on the necessary capacities and abilities (mainly of human resources) to implement an RBM System.
- **Use of evidence:** this dimension focuses on the dissemination strategies and incentives aimed at stakeholders with the purpose that they use the evidence generated by the RBM System.

Each dimension is integrated by key elements that constitute specific documents, normative frameworks, activities, incentives, among others. These different elements facilitate the operationalisation of the dimensions as part of an RBM System. In a third level (beneath dimensions and elements), each element has been further described with sub-elements that list their ideal characteristics.

Once all the required information is gathered and analysed (based on the dimension-element-sub-element structure) the dimensions will be assessed using a 3-level scale for each sub-element (no, yes, need of improvement)³. For this last step, the progress rate in each sub-element within the element is added and a cumulative value will be generated to rate the element. Subsequently, all the element values within each dimension are added and averaged to determine the progress rate of each dimension. Finally, the average from the progress of the four dimensions will place each Member State at a specific level of progress (Early initiatives; Committed development; Growing RBM system, Consolidated practices, or Mature state) in the development and implementation of an RBM System (see Appendix for more details).

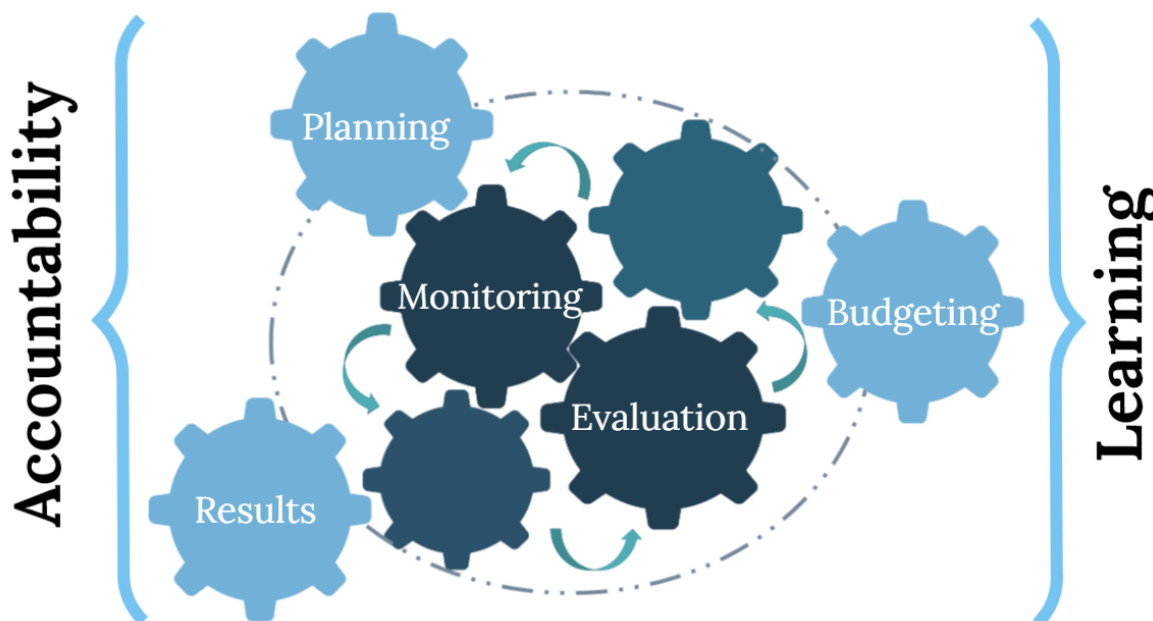
Unlike the dimensions, as RBM Systems are designed and built considering contextual factors, some elements and sub-elements should be taken as a guide as different contexts will result in variations on their interpretation and level of relevance/priorities for each of the Member State. This framework allows for adaptations, recognizing that every context is particular and that there is no unique checklist or recipe that may apply to all contexts; but provides a framework and benchmark that after used, and analysed, will allow for differentiated plans to be developed for each Member State.

The working process defined for this collaboration, identifies Monitoring and Evaluation (M&E) activities as central elements to be developed and applied in order to affect planning, budgeting, and implementation. Figure 3 presents the working process and highlights the importance of evidence-based decision making (guided and made

³ For more details on the 3-level scale see Appendix C

feasible by M&E activities and supported, strengthened, and made sustainable through learning and accountability).

Figure 3. Working Process defined for the CARICOM Collaboration



Source: Developed by the GEI technical team in charge of the collaboration

One significant component of this collaboration to strengthen RBM in the Community, is to build, in a participatory process, specific roadmaps to continue the development of RBM Systems for each pilot Member State. The three pilots have relevant but heterogeneous advances achieving this goal. To identify these advances, guide the analysis of the MESA diagnostic stages, and develop ownership, the roadmaps have been drafted and defined in workshops with key stakeholders involved in different levels (management, coordination, and operation), who have integrated RBM Steering Committees within the three participating Member States: Dominica, Jamaica, and St. Lucia. Advances on the roadmaps can be seen within the Individual MESA reports for each Member State.

3.3 Stages of the Monitoring and Evaluation Systems Analysis (MESA)

The Monitoring and Evaluation Systems Analysis (MESA) was implemented using a four-stage methodology designed to gain a deep understanding of the characteristics of the

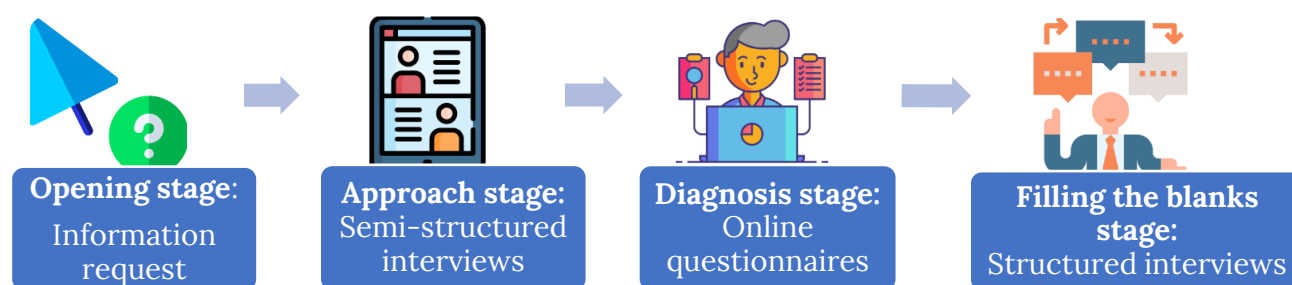
Member States to inform the development and strengthening of an RBM System. One main assumption underpinning the methodological design of the MESA, is that building a sustainable RBM System requires the active involvement of multiple stakeholders. The methodology designed to implement the MESA uses different data collection methods to identify and engage these stakeholders at different stages as well as to obtain information to understand the current policy environment; stakeholder's interests, their roles, motivations, relationship dynamics; map existing institutional structures, practices, and mechanisms; and define capacity building needs.

To successfully execute the MESA, the GEI team, in collaboration with the CARICOM Secretariat, selected Executive Coordinators who are representatives for the collaboration from the three Member States (Dominica, Jamaica and Saint Lucia). The role of the Executive Coordinators was key to execute the MESA as they have an overall knowledge of their Member State and have experience in RBM. As Executive Coordinators and key informants, they acted as focal points and contributed to identifying and engaging relevant stakeholders at the different stages of the diagnostic.

Stages of the MESA

The four stages of the MESA (presented in Figure 4) were implemented according to a specific sequence and were customized based on the findings of each previous stage. They also involve the participation of different stakeholders to obtain a broad perspective of the pilot Member States. The figure below provides a brief description of the approach for implementing the stages.

Figure 4. Stages of the Monitoring and Evaluation Systems Analysis



Source: Developed by the GEI technical team in charge of the collaboration

The **Opening stage** consisted of a request for different documents from the Member States directed to the Executive Coordinators, regarding the pilots' current planning, budgeting, and M&E practices. The desk review and analysis of these documents, in

addition to other publicly available information, allowed the design of targeted customized questions for each pilot in the next stage.

The **Approach stage** involved the identification of various key stakeholders with the support of the Executive Coordinators and the CARICOM Secretariat. The semi-structured interviews, designed and implemented at this stage, addressed general themes that allowed the team to develop rapport with relevant actors within the pilots, as well as to obtain additional information about the pilots' current RBM environment.

The **Diagnosis stage** consisted of a series of online questionnaires for the Ministries, Agencies, and Departments of Member States and to some stakeholders that still had some information to share. This stage aimed to gather more in-depth information which would complement information gathered in previous stages and to strengthen the whole of government approach of the diagnostic. Participants were able to respond to questions and upload documents in an established timeframe, as well as consult with other stakeholders for any additional information within their Member State.

Finally, the **Filling-the-blanks stage** was aimed at addressing information gaps from the previous stages through a series of structured short interviews. This stage also targeted other stakeholders such as members of Parliament, representatives of multilateral international organizations, development partners, etc.

Table 1: Pilot Member States MESA numbers

	<p>Stage 1 – Opening</p>	<p>Information request to Executive Coordinator + document analysis (+200 documents) + research on official websites.</p>
	<p>Stage 2 – Approach</p>	<p>+40 semi-structured interviews were designed and conducted by the GEI team with relevant stakeholders from the Member States.</p>
	<p>Stage 3 – Diagnosis</p>	<p>+350 online questionnaires were sent to MDAs and were answered with both the whole-of-government and MDA approaches.</p>
	<p>Stage 4 – Filling the blanks</p>	<p>+20 structured interviews were designed and conducted by the GEI team with relevant stakeholders from the Member States and from International Development Partners and Organizations.</p>

Source: Developed by the GEI technical team in charge of the collaboration



All the information gathered in the four stages was systematized and analysed to present the findings in this document and in the individual reports.

Strengths of the MESA developed in the three pilot Member States

- Different stages designed to identify specific stakeholders and to generate rapport with them.
- As the stages are implemented and analysed sequentially, different layers of information are gathered.
- Participatory process that leads to the Member States ownership of the collaboration and the results.
- Qualitative and quantitative mixed methods used.
- All stages adapted to consider the context of each Member State.
- Overcoming the single informant bias.

Limitations of the MESA developed in the three pilot Member States

- The scope of this diagnostic is limited by the number and perceptions of the people involved in the process.
- Specific results for one pilot cannot be generalized to others given the customization of the instruments and contextual differences among them.
- There are time limitations due to tight agendas of stakeholders that complicates reaching all the desired informants.
- All stages were implemented remotely, and it is preferred to have some face-to-face contact with the stakeholders in at least one of the stages to generate more rapport.
- The ideal duration of the MESA is approximately six effective months; however, this was extended due to the whole of government approach and the stakeholders' agendas.

4. Main findings

As mentioned above, this diagnostic uses as a reference a four dimensions analysis, each one contains elements considered relevant to have an "Ideal RBM System". This Ideal RBM System serves as a benchmark that allow to compare the current situation in the pilot Member States in relation to the referenced "best" possible scenario regarding practices, uses, and results of RBM. In this way, table 2 and figure 5 shows the rate of progress that Dominica, Jamaica and Saint Lucia have in each of the dimensions of analysis, with respect to the ideal scenario. The elements and sub-elements of the referenced Ideal RBM System are not usually part of the status quo; they should be



identified, designed, and developed; following this, a country that has not considered adopting RBM practices or has just begun, could not comply or show advances in any of the analysed elements. In this sense, all the advances identified in this diagnosis represent valuable progress and existing basis to build on.

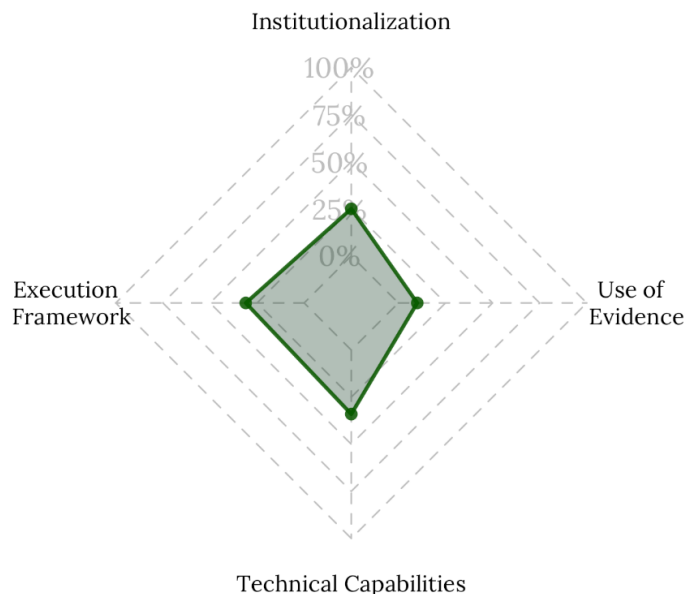
It is important to mention that, although there is a numerical value for each dimension, behind the numbers there was a qualitative analysis that determined the current situation of the pilot Member States regarding RBM. Furthermore, these "ratings" are in terms of the ideal scenario, so in no way does it represent an outright success or failure, but rather an approximation to the defined best possible situation of the RBM. Results refer to the moment the collaboration started, and information was gathered, so they do not reflect the sometimes-great advances and efforts made by the Member States after that moment and until the publication of this document.

Table 2. Rate of progress of the pilot Member States

Dimension	Rate of progress		
	Dominica	Jamaica	Saint Lucia
Institutionalisation	22%	25%	9%
Execution framework	9%	31%	3%
Technical Capabilities	28%	34%	3%
Use of Evidence	14%	10%	14%

Source: Developed by the GEI technical team in charge of the collaboration

Figure 5. Rate of progress of the Ideal RBM System



Source: Developed by the GEI technical team in charge of the collaboration

Considering this rate of progress, a metric was built to progressively identify five levels of maturity of RBM systems, following on previous work developed by the CARICOM Secretariat during Phase 1 of the CARICOM RBM System. In this way, the data presented above was averaged, identifying the level in which the country is placed⁴. The 5 levels are:

1. Early initiatives
2. Committed development
3. RBM System
4. Consolidated practices
5. Mature State

The three pilot Member States show advances in the four analysed dimensions. The MESA and the process used to identify the degree of progress showed different advances for each country In the four dimensions.

Based on the results from the MESA analysis, Dominica is currently in the Early initiatives level. The government of Dominica has set a clear long-term goal to be achieved: to become the first climate-resilient country in the world. After the passage of a Category 5 Hurricane in 2017, the nation was challenged to recover from damages and losses estimated at 226% of its GDP. It was acknowledged that an integrated national RBM System must be implemented to achieve this ambitious goal and there

⁴ For more information, please see the Appendix of this document.



have been significant efforts in terms of planning to translate Dominica's bold vision into a reality, using a results-oriented approach.

There are also initial efforts in monitoring activities such as the implementation of coordinated monitoring activities by the Ministry of Planning, Economic Development, Climate Resilience, Sustainable Development, and Renewable Energy who coordinates periodic monitoring exercises with all the ministries. Even though these efforts have been identified, they are not articulated and there are no clear responsible stakeholders in the monitoring process. Dominica is yet to start the drafting of an RBM Policy and the building of a whole-of-government strategy, to develop evaluation activities, to define an incentive's structure and to build an enabling environment that ensures the sustainability of an RBM System.

For the case of Jamaica, the Member State is currently at the *Committed development* level. This occurs because even though the country has various RBM tools and activities in place, they are not articulated/integrated and regulated with a whole-of-government approach and completely and systematically incorporated in the planning and budgeting processes. Undoubtedly, one of the great efforts intended to correct this is the drafting of its RBM Policy, in which all government efforts will be articulated/integrated to strengthen the RBM system and obtain the expected results. However, as this Policy is not published yet, we cannot incorporate it into this diagnosis.

Jamaica is considered the RBM Champion in the Caribbean region. The country has made many efforts that have served as a guide for the rest of the countries, and it is considered a leader in this matter. According to the MESA results, Jamaica seeks to have a fully functional RBM system in place to strengthen the Government of Jamaica (GoJ) accountability, to incorporate better and more recurrent evidence in the processes of decision making regarding planning, budgeting and implementation in order to 1) improve performance; 2) measure the results and impacts of policies and programmes; 3) each MDA to become the leader in their respective sector of action (e.g. health, telecommunications, energy, etc.) and work vis-à-vis the private sector; and 4) reduce duplication of actions and waste of resources (financial and human).

The government of Saint Lucia has made efforts to have a system in place where all its MDAs can generate and communicate reports on the most important aspects of planning and budgeting to decision-makers and thus improve the performance of the government. In this way, various frameworks have been created for strategic planning, budgeting, monitoring, and evaluation. Challenges remain in being able to coordinate these efforts as part of a system; as well as in having systematic and homogeneous use of these tools.

Saint Lucia is currently at the Early initiatives level. This occurs because even though the country has a few RBM tools and activities in place within the government, they are



not articulated and regulated by any guideline, so they are also not incorporated in the planning and budgeting processes. There seem to be significant deficiencies in articulating these tools in order to better implement, evaluate, and improve policies, programmes, and projects. Regarding implementation, the government of Saint Lucia, as well as CARICOM Secretariat, are associated with a deficit in terms of policies, programs, projects, and processes (planning, budgeting, adjustments, etc.). This deficit can be seen through the progress rates of the implementation of programs, which are usually around 60% (or even lower), and whose terms of reference, plans and timeframes are often postponed, generating losses of resources and a lack of confidence of investors and donors in government. Nevertheless, as mentioned before, this does not mean that Saint Lucia's efforts will be dismissed in some way, but rather that we will be able to find the starting point to build a strong RBM system that considers the country's contextual factors so that Saint Lucia gets closer and closer to the ideal scenario.

The three Member States have started developing activities and carrying out coordination activities that are expected to directly improve their RBM systems as a result of the MESA diagnostic and the accompaniment of the GEI team in interpreting the findings and translating them into actionable roadmaps. More about this will be discussed in the next sections and details on each Member State's efforts can be found in the individual MESA reports.

4.1 Results by dimension

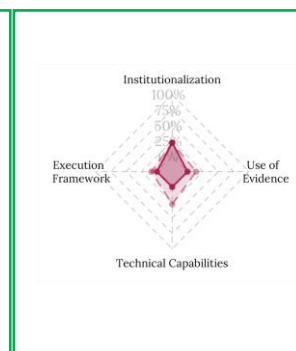
The results of this diagnosis for each of the dimensions analysed (and their ideal elements) are presented below in a synthetic way for each country. For more detailed information on each dimension, element, and sub-element, review Appendix C and visit the interactive platform with all the disaggregated findings of each Member State diagnostic.

Institutionalisation

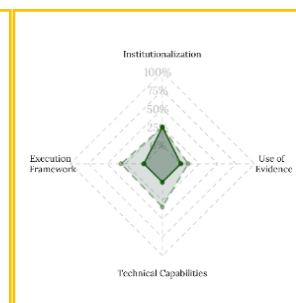
This dimension focuses on the formal rules that outline the RBM policy in the countries or regional institutions.



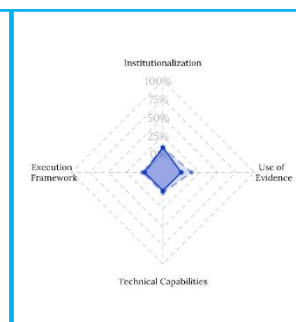
Key message: Dominica has broad normative frameworks in planning, significant advances in budgeting, and slight advances in monitoring. The Climate Resilience Executive Agency for Dominica (CREAD), a cross-cutting and temporary institution created to achieve Dominica's long-term goal (become the first climate resilient nation), plays a relevant role in supporting MDAs in the monitoring and implementation of programmes. However, there are not enough norms and clear responsibilities to foster the continuous improvement in planning, budgeting, and implementation based on the use of M&E results, and to articulate a whole of government RBM system.



Key message: Jamaica has regulations/frameworks to define its RBM system, identifying the relevant actors that coordinate and implement it (e.g., PMEB, PIOJ, MOFPS Performance and Monitoring Branch that is to be established). However, although there are regulations/frameworks and processes in place regarding RBM, these are not articulated/integrated, so there is no connection between the RBM system and the continuous improvement of planning and budgeting decision-making to be more results-oriented.



Key message: Saint Lucia has institutionalised planning and budgeting processes. Its medium-term planning has key results areas and these, in turn, have clear monitoring indicators, although they focus on outputs, not outcomes. However, the necessary mechanisms do not exist to formally establish who (relevant coordination and operation actors), how (methodologies) and when (timeframes) will carry out the M&E and RBM activities to improve decision-making and thus obtain the desired results. Therefore, there is not an integrated normative framework for RBM and M&E in the country.





Ideal element	Dominica	Jamaica	Saint Lucia
<p>1. There is a documented, approved and binding RBM Policy within the government</p>	<p>Dominica doesn't have a draft of an RBM policy yet. CREAD recommends the adoption of the CARICOM Results-Based System, a monitoring, evaluation, and reporting framework.</p>	<p>Jamaica has had a long process of drafting its whole-of-government RBM Policy, and this process has incorporated inputs from different relevant stakeholders (both internal and external). In the first semester of 2022 the draft of the policy is being finalised, to be approved by the Cabinet by the end of the year.</p>	<p>In Saint Lucia there is no RBM legislation nor policies that delegate RBM to a government body. The Department of Economic Development and Youth Economy and the Department of Finance lead RBM activities in the country, but not according to formal laws and procedures.</p>
<p>2. There are laws/regulations/norms recognizing M&E activities across the government</p>	<p>The CREAD Act grants CREAD the responsibility to “monitor progress against reconstruction targets and evaluate the social and economic impact of interventions”. However, it is not clear if M&E activities are to be performed by the agency. Additionally, the government of Dominica is currently developing a M&E framework for the Public Sector Investment Program (PSIP).</p>	<p>Although there are M&E activities in some MDAs, there are no laws/regulations/norms recognizing them across all the government.</p>	<p>There are no laws/regulations/norms recognizing M&E activities across the government.</p>



Ideal element	Dominica	Jamaica	Saint Lucia
<p>3. There are guidelines that establish the rules and processes to perform monitoring activities</p>	<p>In practice, the MDAs deliver a monthly progress report to the Ministry of Planning. However, there is no framework guiding and regulating the monitoring activities of public policies in Dominica.</p>	<p>The PIOJ oversees monitoring and evaluating the Medium-Term Socio-Economic Framework. For doing so, there are Technical Monitoring Committees (TMC) and thematic working groups (consultative bodies to improve planning, implementation, and monitoring). These are the only efforts to formally recognize policy monitoring in Jamaica. Though there are no guidelines regarding monitoring, there are monitoring activities across government in terms of budget and expenditure, however, in terms of the national plan and social policy, Jamaica does not have a mature set of indicators. Nevertheless, the ministries do the planning in accordance with the PMES framework.</p>	<p>Although there are no guidelines that establish the rules and processes to perform monitoring activities across government, there are monitoring activities regarding the development strategies of the government.</p>



Ideal element	Dominica	Jamaica	Saint Lucia
<p>4. There are guidelines that establish the rules and processes to perform evaluation activities</p>	<p>There is no framework guiding and regulating the evaluation activities of public policies in Dominica.</p>	<p>There is not a specific governing body or agency in Jamaica responsible for assisting/leading the evaluation function. However, there are some micro-projects evaluating practices within the government.</p>	<p>There are no guidelines that establish the rules and processes to perform evaluation activities.</p>
<p>5. There are guidelines that establish the rules and processes to address and use M&E results</p>	<p>There are no publicly available frameworks or guidelines regulating the use of M&E results in Dominica.</p>	<p>Even though there are no guidelines to address and use M&E results, budget monitoring and corporate planning are tools helping to allocate resources in priority programmes of the MDAs. However, there is no substantive use of information from M&E to improve planning and budgeting.</p>	<p>There are no guidelines that establish the rules and processes to address and use of M&E results.</p>



Ideal element	Dominica	Jamaica	Saint Lucia
<p>6. There are formal actions towards building an enabling environment</p>	<p>There are no formal actions identified toward building an enabling environment.</p>	<p>Although there is a long way to go, Jamaica has been working on building an enabling environment for the institutionalisation, implementation, and use of an RBM system with Monitoring and Evaluation activities in its core. The GoJ has been creating incentives to use the findings of M&E and the RBM system, such as the M&E considerations and frameworks during the planning and budgeting processes of the MDAs (when elaborating Operational and Business Plans). However, they have not been sufficiently institutionalized to be able to obtain the expected results.</p>	<p>Although there is an interest coming from the government of Saint Lucia to have an RBM system in place, there have been no formal efforts to institutionalize the development and use of M&E and RBM tools and activities.</p>

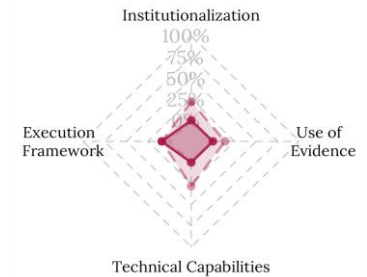


Ideal element	Dominica	Jamaica	Saint Lucia
<p>7. There is a Results Oriented National Plan defined for a given period in the country</p>	<p>There are two national planning exercises defined for a long-term period: the National Resilience Development Strategy (NRDS) 2030 and the Climate Resilience and Recovery Plan 2020-2030 (CRRP), that fully operationalizes the NRDS.</p>	<p>Jamaica's National Development Plan is called Vision 2030 Jamaica and provides a comprehensive planning framework that integrates the economic, social, environmental, and governance aspects of national development. Vision 2030 is addressed in the Medium-Term Socio-Economic Policy Frameworks, which are the operationalisation of the national planning.</p>	<p>Although there is no long-term National Development Plan, Saint Lucia has worked with mid-term development strategies. The current mid-term development strategy is the Medium-Term Development Strategy 2020 - 2023 and it identifies six Key Results Areas: Agriculture, Citizen Security, Education, Healthcare, Infrastructure and Tourism. Now the drafting of the period up to 2026 is in progress.</p>
<p>8. There is a national budgeting strategy for a given period in the country</p>	<p>Dominica has a three-year national budgeting strategy divided in two “sides”: capital projects/development (PSIP) and recurrent expenditures. The Ministry of Planning oversees the development side and the Ministry of Finance of the recurrent side. Finance is overall responsible for the compilation of the budget (capital and recurrent).</p>	<p>There is a clear, systematic, and consistent process for the national budget.</p>	<p>The national budgeting process of Saint Lucia consists of three main sub-processes: Budget Planning and Preparation, Budget finalisation and the Budget Implementation and Monitoring. And there is also a Citizen's Guide to the budget.</p>

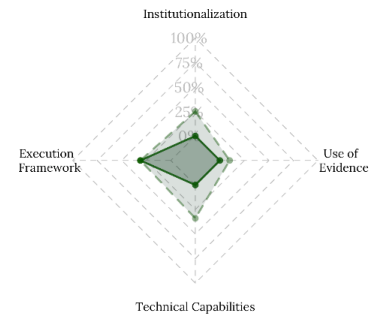
Execution Framework

This dimension focuses on the systems, resources, processes, methodologies, and tools necessary for the implementation of an RBM system, as well as on the enabling environment.

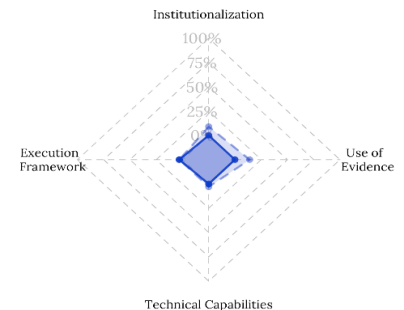
Key message: In **Dominica**, the Ministry of Planning gathers monthly reports from all the MDAs regarding their performance. Also, both national planning documents (NRDS and CRRP) have monitoring frameworks. However, these monitoring exercises are not structured in a clear process and are not articulated. There is no common language among MDAs around M&E as well as no M&E network to perform M&E activities. Also, there is no transparency regarding the monitoring activities and the results.



Key message: **Jamaica** has in the Office of the Cabinet the Performance Management and Evaluation Branch which acts as the coordinator of the RBM system and oversees the performance of the MDAs and harmonizing their Business Plans aligned with national objectives. The PMEB coordinates the development of a common language around M&E and RBM, and it is recognized across government at all levels. However, to consolidate the M&E system, it is necessary to guide and structure the processes and the management of human and financial resources to generate the evidence derived from M&E activities that link MDAs' planning, budgeting, and implementation of their activities to achieve the desired results.



Key message: **Saint Lucia** has personnel dedicated to monitoring projects within the MDAs, such as the Project Monitoring Committee and the chief economists. However, these groups do not usually carry out monitoring and evaluation activities in a systematic way and are not coordinated or articulated with the planning, budgeting, and implementation processes to improve the results of the MDAs. In addition, in the MDAs there are no defined processes or specific resources allocated, nor a common language on M&E and RBM.





Ideal element	Dominica	Jamaica	Saint Lucia
<p>9. There are operative handbooks to implement the monitoring functions (i.e., Logic Framework)</p>	<p>In practice, the MDAs deliver a monthly progress report to the Ministry of Planning. Also, there are monitoring instruments in the national planning documents. However, there are no operative handbooks to implement the monitoring functions.</p>	<p>There are informal and dispersed monitoring functions in some of the MDAs, but no operative guidelines/handbooks/norms regarding Monitoring functions. However, some public agencies use monitoring tools such as the Logic Framework.</p>	<p>There are no operative guidelines/handbooks/norms regarding Monitoring functions. However, there are some informal monitoring functions within MDAs.</p>
<p>10. There are operative handbooks that establish specific steps to develop each stage of the evaluation function</p>	<p>There are no operative handbooks that define and establish specific steps to develop each stage of the evaluation function.</p>	<p>There are informal and spread evaluation activities in some of the MDAs, but no operative guidelines/handbooks/norms regarding Evaluation functions.</p>	<p>As there are no operative guidelines/handbooks/norms/informal activities regarding Evaluation functions, stages of the evaluation process are not identified.</p>
<p>11. There is an operating and functioning coordination of M&E at the national or/and subnational levels</p>	<p>The MDAs deliver a monthly progress report to the Ministry of Planning, entity who coordinates these efforts. These reports allow the Ministry of Planning to track if the interventions implemented by the MDAs are delivering the expected results, to achieve the defined targets in the national planning.</p>	<p>There is no formal M&E system in Jamaica, however, the PMES works as a system for the setting of performance goals; selecting useful performance indicators and targets; reporting on results; and implementing the core components of the managing for results programme.</p>	<p>There is no M&E system at the national or/and subnational levels in Saint Lucia.</p>

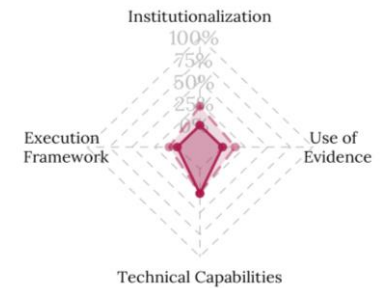


<p>12. There is a defined human resources structure for M&E activities</p>	<p>There is no defined human resource structure for M&E activities across government. Also, it was mentioned that some MDAs lack a specific unit responsible of M&E activities.</p>	<p>There are different and heterogeneous M&E capacities among MDAs, and there are no homogeneous structures within them regarding M&E.</p>	<p>Despite that there are Project Monitoring Committees, in charge of gathering information regarding projects undertaken by MDAs, there is no defined human resources structure for M&E activities within Saint Lucia's government.</p>
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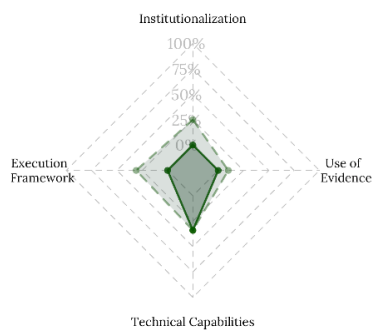
Technical capabilities

This dimension focuses on the necessary capacities and abilities to implement an RBM System.

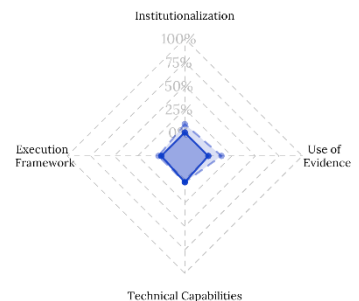
Key message: There are skills to conduct planning, budgeting, and monitoring for results. The creation of CREAD and the development of the CRRP has translated the national's planning into action with clear priorities and targets to be achieved. The national budgeting function is fulfilled based on the collaboration between planning and finance. Also, ministries such as planning conduct regular monitoring, coordinating with the other MDAs. However, these skills are not homogeneous among MDAs.



Key message: Although there are some efforts to strengthen RBM and M&E capabilities within the Government of Jamaica, there is no sufficient offer (both private or public) or demand (from the government) for M&E services and capacity building in RBM. Also, there are no sufficient skilled personnel within the government with the capability to identify M&E needs and conduct M&E activities to orientate planning and budgeting towards results. A plan to increase capacity building activities is being developed.



Key message: There is no sufficient offer (both private or public) or demand (from the government) for M&E services and capacity building in RBM within Saint Lucia. Also, there are no sufficient skilled personnel within the government with the capability to identify M&E needs and conduct M&E activities with the objective of orienting planning and budgeting towards results.





Ideal element	Dominica	Jamaica	Saint Lucia
<p>13. There are sufficient private and public entities providing M&E services, including training, to the public sector</p>	<p>There aren't sufficient entities providing continuous capacity building activities in M&E. The World Bank and the Caribbean Development Bank have provided M&E training to some MDAs such as the Ministry of Agriculture. Additionally, CREAD started developing a capacity building programme; however, it isn't clear if it includes M&E courses.</p>	<p>Both Public and Private entities are not producing evaluations. The University of West Indies (UWI) has done some studies of public policies, probably those have some information on M&E, but there are no verification means, as they are not publicly available. Regarding training, the Management Institute for National Development (MIND) offers a diverse set of services on performance, and hard/soft skills needed in the public sector. The Strategic and Corporate and Planning course is one of the most relevant for Jamaica in terms of some M&E components. There has also been some training in M&E and RBM tools, however, training is focalized in the MOFPS, Ministry of Health and Wellness, the PIOJ and the Office of the Cabinet. The PMEB has begun to implement its capacity building project with one course in MEAL recently completed. This could be extended to the rest of the government.</p>	<p>There are insufficient private and public entities providing M&E services, including training to the public sector.</p>



Ideal element	Dominica	Jamaica	Saint Lucia
<p>14. There are skilled personnel in government with technical capacity and competencies to conduct planning and budgeting for results</p>	<p>The Ministry of Planning and the Office of the Cabinet Secretary has staff with high competences in planning. The Ministry of Planning and the Ministry of Finance has staff with high competences in budgeting</p>	<p>There are skilled personnel in government with technical capability and competencies to conduct planning and budgeting for results. However, these personnel are widely dispersed throughout the government and without the possibility (time and material resources) to effectively plan and budget for results.</p>	<p>There are no sufficient skilled personnel in government with technical capability and competencies to conduct planning and budgeting for results.</p>
<p>15. There are skilled personnel in government with technical capacity and competencies to conduct monitoring activities</p>	<p>The Ministry of Planning has staff with high competences in monitoring. Also, selected staff of most MDAs have received some training in implementation of monitoring activities as part of major efforts in 2019 to train staff across the public service in M&E through an initiative with the Caribbean Development Bank.</p>	<p>In general, there are skilled personnel in government with the technical capacity and competencies to conduct monitoring activities within the government.</p>	<p>Although there are personnel doing some monitoring activities (of programmes and projects mainly), there are no sufficient skilled personnel in government with technical capability and competencies to conduct monitoring activities.</p>
<p>16. There are skilled personnel in government with technical capacity and competencies to conduct evaluations and</p>	<p>Selected staff of most MDAs have received some training in evaluation as part of major efforts in 2019 to train staff across the public service in M&E through an initiative with the Caribbean Development Bank.</p>	<p>There are few skilled personnel in government with the technical capacity and competencies to conduct evaluations and evaluation activities, and they are centralized in the MOFPS, PIOJ, and the Office of the Cabinet. These entities have</p>	<p>There are no sufficient skilled personnel in government with technical capacity and competencies to conduct evaluations and evaluation activities.</p>

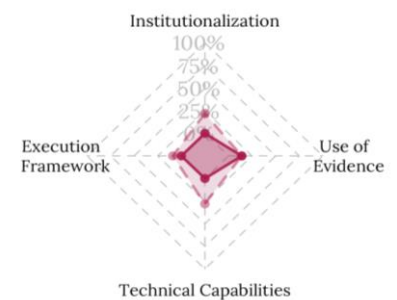


Ideal element	Dominica	Jamaica	Saint Lucia
<i>evaluation activities</i>		personnel with the technical capacity to perform different evaluation types.	

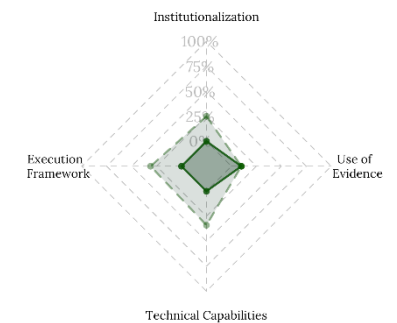
Use of evidence

This dimension focuses on the dissemination strategies and incentives aimed at stakeholders with the purpose that they use the evidence generated by the RBM System.

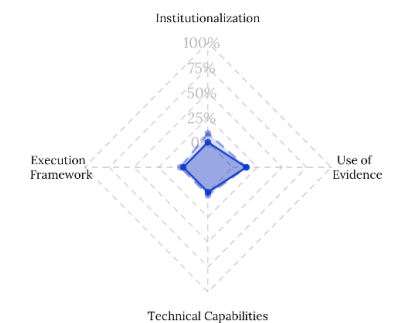
Key message: There is transparency in accessing planning and budgeting documents, as they are publicly available on official websites of the Government of Dominica. There are accountability mechanisms such as the “question tank” in Parliament, a space where the opposition can make requests for information regarding a specific topic and the government must provide it. However, there is a lack of processes, mechanisms, and incentives to improve planning, budgeting and implementation based on the use of M&E results was identified. A strategy to generate a culture of evidence use was not identified.



Key message: Jamaica has some planning and budgeting information publicly available, but not regarding GoJ’s performance. Also, there are no incentives to undertake knowledge management activities and use that knowledge. The evidence derived from the RBM system and M&E practices is not systematically included in the planning, budgeting, and implementing processes. A strategy to generate a culture of evidence use is not clearly identified.



Key message: Saint Lucia has planning and budgeting information publicly available, but not regarding government performance. Although there are efforts to monitor and use its results, such as the Project Monitoring Committee, there are just compliance-oriented and not results-oriented. As there are no evaluation activities, there is no use regarding evaluation findings/evidence. Also, a strategy to generate a culture of evidence use is not identified.





Ideal element	Dominica	Jamaica	Saint Lucia
<p>17. RBM documents and government performance information are available and accessible for consultation</p>	<p>National planning and budgeting documents such as the NRDS, the CRRP, the Budget Estimates and Budget Addresses are publicly available and accessible to download in official websites. However, there are no available documents regarding the monitoring of activities performed by the government.</p>	<p>Although the RBM Policy document is not yet available, there are some documents regarding the RBM system available. However, these documents are fragmented and dispersed, so there is no alignment to have a whole of government RBM system approach.</p>	<p>National planning and budgeting documents are publicly available, such as the Medium-Term Development Strategies, and the Citizen's Guide to the 2021-2022 Budget where indicators can be found and then tracked to measure performance. However, there are no documents publicly available with information on government performance.</p>
<p>18. There is an enabling environment for the use of M&E results</p>	<p>There were no incentives identified to enhance the development of an enabling environment for the use of M&E results.</p>	<p>Although there are still some challenges, there are efforts to grow and strengthen the enabling environment for the use of M&E results within the government. Nevertheless, they are not well articulated and coordinated, so their benefits are not achieved yet.</p>	<p>There are heterogeneous incentives for the use of monitoring results. Although there are efforts to generate and use the information derived from the monitoring of government projects, as in the case of the Project Monitoring Committee, there are no incentives for them to be recognized by decision-makers. Monitoring results are not necessarily binding within the government. In addition to this, by not having personnel dedicated to monitoring programs, projects and activities, the incentives for its use are very few, being almost none.</p>



Ideal element	Dominica	Jamaica	Saint Lucia
<p>19. M&E results are systematically included in the planning and budgeting</p>	<p>There are monitoring instruments to track the national planning documents. However, it is not clear if there is a systematic procedure to include the results of the monitoring activities in the planning and budgeting.</p>	<p>M&E results are not systematically included in the planning of Jamaica's programmes, policies, and projects. Regarding budgeting, there is the MTRBB template and system, however, there is no information derived from M&E contemplated when preparing the budget.</p>	<p>As there are no mechanisms (both formal or informal) to do so, M&E results are not systematically included in the planning of Saint Lucia's programmes, policies, and projects. Regarding budgeting, although some MDAs use the budget templates that ask for budget allocation accordingly to objectives, there is not a mechanism to include M&E information in the budgeting process.</p>
<p>20. The government has mechanisms to measure the use of the evidence that the RBM system generates</p>	<p>There is no evidence that the MDAs measure the use of evidence.</p>	<p>The GoJ does not have mechanisms in place to measure the use of the evidence that the RBM system generates, both internally and externally.</p>	<p>Saint Lucia's government does not have mechanisms in place to measure the use of the evidence that the RBM (or M&E) system generates.</p>



4.2 Main challenges to strengthen the RBM system

As mentioned in previous sections, the development of an RBM System is a complex, nonlinear, and continuous process that must be contextualized to each country's needs. In doing so, it is important to consider the main challenges that the three pilot Member States face when it comes to strengthening their RBM systems.

Even if the three pilot Member States show differentiated advances in the road towards institutionalized whole of government RBM Systems, they face similar challenges that are also reflected into regional challenges. The way the collaboration has been designed and implemented, together with the role of the CARICOM Secretariat, allow for creating spaces to share best practices and lessons learnt among the Member States and promote a knowledge management strategy. The pilot Member States, as well as the remaining ones, can deeply benefit of sharing experiences, identifying common challenges and examples of solutions. As part of a community, it is expected that the more advanced members serve as an example for the rest. The CARICOM RBM Leadership Group (CRLG) is an example of coordination and available spaces to foster the continues communication and regional experience sharing.

From the MESA results and process, the following main challenges have been identified:

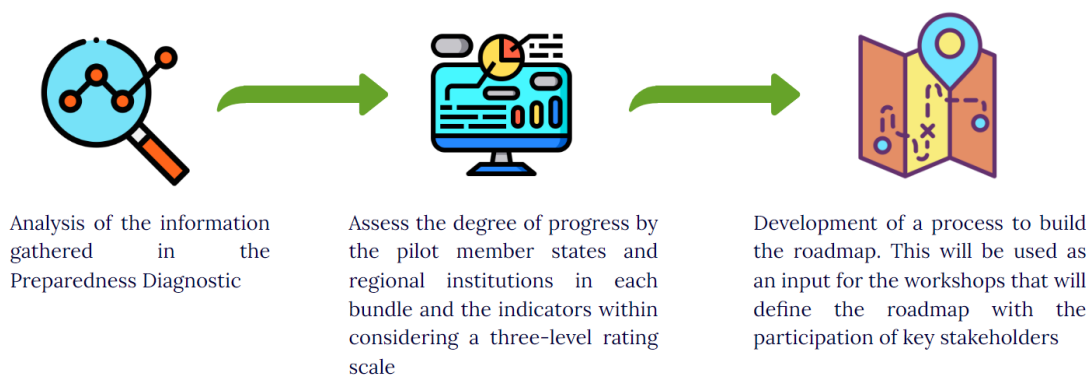
1. Changing the culture and fostering the enabling environment to have an RBM system in place implies a change of mindset of public servants at all levels. It should be considered that throughout the process there must be a constant awareness/sensitization strategy, both in the short and medium term, that allows public servants to identify the importance to have this mindset change in pursuit of RBM. In other words, on a regular basis, there needs to be reminders on the importance of RBM and its impact on improving performance and lives of all citizens.
2. Since this collaboration constitutes a whole-of-government approach, it is necessary to have a top-down commitment in which leaders and decision-makers demonstrate the benefits of the RBM system through evidence informed actions that are generated by the RBM system. This means that a top-down approach should be used to demonstrate its usefulness of the information and evidence derived from the RBM system in improving the planning and budgeting decisions.
3. For the RBM system to be sustainable, it is critical to generate a system of incentives and ensure that there is a balance between positive and negative incentives (such as potential penalties for non-compliance), to advance and sustain the system. The positive incentives can take different forms, from monetary to symbolic actions, such as the presentation of awards to staff and units and recognition for good performance in public service.

5. Next steps to build the roadmaps

RBM entails more than compliance to specific requirements. Compliance is just not enough; successful strategies have to do with a change of mindset that reflects on the way things are done. This change of mindset involves different areas and stages of the public administrations. Having reviewed the main results from the MESA in terms of the dimensions of elements considered as part of an ideal RBM system, this section introduces the next steps that have initiated and carried out as part of the process of building contextualized RBM roadmaps.

The roadmap will present pathways to influence planning, budgeting, implementation, and the M&E functions, as well as accountability and learning promotion. The main objective is for Dominica, Jamaica, and St. Lucia to have defined action courses that also specify responsibilities and show the importance of the participation of all relevant stakeholders.

Figure 6. From an ideal RBM system to the roadmaps



Source: Developed by the GEI technical team in charge of the collaboration

The whole process has a co-production approach, were aside of the GEI team, the CARICOM Secretariat, and the Executive Coordinators, key stakeholders are getting involved in a process to develop a learning loop that provides feedback and improves itself.

RBM Steering Committees (SC) have been established within the three pilot Member States. These groups are integrated by these relevant stakeholders. The objective is that these committees will be responsible for following up on the construction of the roadmaps, promoting ownership towards implementation, and maintain the general course of their operation, ensuring as much as possible their relevance and feasibility, considering the country's context and needs. Additionally, the Steering Committees' members will have a regional role to play, as it is expected that communication is sustained among the committees in the pilot member states as they take the place of regional RBM champions. The members of this committee should have three

characteristics: first, they should have decision-making power or leveraging capacities in the planning, budgeting, and/or implementation processes; second, they should have leverage in the MDAs; and third, they should have the capacity to decide on elements of the collaboration (once they gather, they can make decisions on the spot). Information on each country's Steering Committee can be found in the individual reports.

Figure 7. Learning loop



Source: Developed by the GEI technical team in charge of the collaboration

This report is considered as the **starting point** in this process; take into consideration that, as figure 7 illustrates, the process started before its publication.

Once the first draft was completed, it was shared with key stakeholders for review and validation, starting with the Executive Coordinators and following with the Steering Committee members. Once the feedback period concluded, the report itself became an



input for what is to come and will be distributed with multiple purposes (including generating knowledge, aiding in empowering key stakeholders in the path of strengthening RBM practices, and promoting appropriation of the next steps).

The next steps start with **defining the roadmap**, engaging key stakeholders to coproduce contextualized mid-term roadmaps that will include specific activities and milestones that sought to materialize their implementation. To develop the roadmap, the GEI team has designed and implemented a series of workshops with the participation of each pilot's Steering Committees, stakeholders involved in the different areas and levels of what is to be the national RBM system, and that have been carefully identified as part of the collaboration process.

To **move forward**, this first draft of the roadmap is presented to other relevant stakeholders to build a consensus and support for the process. It is crucial to gain whole-of-government ownership, so it is important to define and implement a dissemination strategy for **sharing clearly define milestones** in different levels: internal, external, and regional once they have been clearly defined and responsibilities have been assigned. Finally, it is important to **track the progress** of implementation and communicate results to assure that the Member State learns from the process, adjusts, and stays on the recommended path, as well as communicating results. The continuum process of identifying, sharing, reviewing, and adjusting represents a learning loop.

Dominica, Jamaica, and St. Lucia initiated the development of their roadmaps and have reached different levels of progress in their validation and initial implementation. More details on the specific work of each pilot may be consulted in the individual MESA reports.



5.1 Stakeholders' contribution analysis

For each of the Member States, a stakeholder' contribution analysis was developed, aiming to identify which of them are relevant to strengthening the RBM system, identifying the main actors that should be involved in the process. Each of these stakeholders are involved in the decision making and execution at varied levels. Based on the GEI's team analysis, a proposal of the possible contribution of the stakeholders (considering positions and experience) identified is presented in the individual reports.

The analysis was summarized in a synthetic table presenting: the stakeholders' positions, their existing or possible responsibilities/roles within the RBM system and the incentives they may have (and should be considered) to be part of the system. During the roadmap development workshops that were held with government stakeholders, new stakeholders have been identified and some of those presented in the individual reports were discarded.



6. Appendix

A. Conceptual framework

a. Key dimensions of a sustainable RBM System

The development of an RBM System is a complex and nonlinear process that must be contextualized to the specific region, country, or regional institution. However, the multiple efforts done over time allow us to learn from experiences in different settings and identify good practices. These good practices represent useful inputs to be considered when embarked on this road.

One significant component to strengthen RBM in the Community is to build, in a participatory process, specific roadmaps to continue the development of RBM Systems for each pilot member state and regional institution. The member states and regional institutions participating in the pilot have significant but heterogeneous advances achieving this goal. To identify these advances and guide the analysis of the MESA stages, the GEI team defined four dimensions of an ideal and sustainable RBM System:

- **Institutionalisation:** this dimension focuses on the formal rules that define, outline and formalize the RBM Systems in the countries or regional institutions.
- **Execution framework:** this dimension focuses on the systems, resources, processes, methodologies, and tools necessary for the implementation of the RBM system, as well as incentives that promote an enabling environment.
- **Technical capabilities:** this dimension focuses on the capacities, abilities, and resources necessary to implement and sustain the RBM System.
- **Use of evidence:** this dimension focuses on the dissemination strategies and incentives aimed at stakeholders with the purpose that they use the evidence generated by the RBM System and its measurement.

b. Ideal elements & sub-elements

The four dimensions previously mentioned were conceptualized as necessary components when building an operating and sustainable RBM system. To have a better understanding of what the progress in each dimension entails, we propose a set of ideal elements and sub-elements taken from different contexts and experiences where they have been successfully implemented or recommended. Each dimension has a set of elements that represent activities, documents, normative frameworks, skills, incentives, etc.; and every element has a set of sub-elements that describe the ideal characteristics of the element. The sub-elements allow to translate concepts into



practice, and, after gathering and analysing information, this knowledge can be translated into specific actions.

Unlike the dimensions, as RBM Systems are designed and built considering contextual factors, some elements and sub-elements should be taken as a guide as different contexts will result in variations on their interpretation and level of relevance/priorities. This framework allows for adaptations, recognizing that every context is particular and that there is no unique checklist that may apply to all contexts.

Table 3: Elements and sub-elements of the Ideal RBM System

Institutionalisation		
1. There is a documented, approved, and binding RBM Policy within the government		
1.1 It is relevant across the government at all levels	1.2 It outlines guiding principles / pillars that are aligned to a results-oriented approach	1.3 It communicates what RBM entails (e.g., clear definitions for key concepts) and clearly states how it works
1.4 It identifies key actors who are responsible for the coordination and the measurement of the overall supervision and coordination of the RBM policy	1.5 It identifies key actors who are responsible for supervising the implementation of the RBM policy and their functions (within MDAs)	1.6 It is use-oriented in planning, budgeting, and implementing towards results, transparency and accountability
1.7 The funding for M&E activities and the responsible are identified		
2. There are laws/regulations/norms recognizing M&E activities across the government		
2.1 They are additional to the RBM Policy	2.2 They delegate M&E responsibilities to a single national body or to multiple MDAs	2.3 It is relevant across the government at all levels and branches (e.g., scope of action) and defines the M&E subjects
2.4 They establish that the M&E results affect planning, budgeting and implementing activities	2.5 (If more than one) They are consistent with each other	2.6 It establishes the need to designate focal points in each MDA across government
3. There are guidelines that establish the rules and processes to perform monitoring activities		
3.1 They identify indicator types and the dimensions they want to measure (e.g. efficiency, efficacy), and monitoring tools (e.g. logic framework) to be developed for each project / social programme	3.2 They identify specific timeframes to collect indicator data and develop monitoring tools to measure the indicators (e.g., collect every six months) for each project	3.3 They have criteria to ensure data collection quality (design, measurement, report)
3.4 They integrate the indicators as a monitoring system	3.5 The monitoring system has an established process to update its information periodically	3.6 The monitoring system has an established process to update its indicators periodically
3.7 There are rules providing all parts in the monitoring process with a way of presenting their opinion (e.g., institutional positions)		



4. There are guidelines that establish the rules and processes to perform evaluation activities

4.1 They identify key stakeholders to be part of the evaluation process (e.g., evaluation process coordinators, evaluation subjects, evaluation process implementors)	4.2 They identify specific evaluation types	4.3 They identify specific timeframes for each evaluation type
4.4 They identify specific characteristics and functions of evaluators	4.5 It establishes an iterative process of evaluation (e.g., is not a one-time exercise)	4.6 They identify the elements to be included in the evaluation's ToRs (e.g., objectives of the evaluation, the role and responsibilities of the evaluator and evaluation client and the resources available to conduct the evaluation)
4.7 They outline the operationalization process of the national evaluation agenda (e.g., it is agreed among relevant stakeholders)	4.8 There are quality control mechanisms for evaluation activities (e.g., quality attribute listings, quality evaluations, peer review, satisfaction surveys, evaluate the evaluator)	4.9 There are rules providing all parts in the evaluation process with a way of presenting their opinion (e.g., institutional position)

5. There are guidelines that establish the rules and processes to address and use M&E results

5.1 They identify instruments to measure the RBM System results	5.2 They identify mechanisms to use monitoring results	5.3 They identify mechanisms to use evaluation results
5.4 They establish rules and processes that require the budgeting process to consider the results of M&E activities (they make explicit the link between planning and budgeting)		

6. There are formal actions towards building an enabling environment

6.1 There are key stakeholders identified as responsible for these formal actions	6.2 There are strategies to enhance or attenuate positive or negative incentives for the use of monitoring	6.3 There are strategies to enhance or attenuate positive or negative incentives for the use of evaluation
6.4 There are mechanisms for the participation of stakeholders in the definition of monitoring activities and needs	6.5 There are mechanisms for the participation of stakeholders in the definition of evaluation activities and needs	6.6 There are periodic meetings involving relevant stakeholders to review the M&E information as an RBM System feedback exercise
6.7 There is a permanent strategy to communicate and sensitize		



about the benefits and challenges of M&E

7. There is a Results Oriented National Plan defined for a given period in the country

7.1 It has defined objectives	7.2 It is constructed in a participatory process	7.3 It is constructed using the information generated by the RBM System
7.4 It has defined strategies to implement the plan	7.5 It has defined indicators and monitoring tools by mandate, and they measure outcomes and outputs	7.6 It is evaluated by mandate
7.7 It has specific evaluation activities	7.8 It has defined responsible actors	7.9 It considers regional (CARICOM) objectives

8. There is a national budgeting strategy for a given period in the country

8.1 It is allocated according to the objectives/goals/activities of the national planning	8.2 It considers the prioritization of the objectives/goals/activities identified in the national planning	8.3 It is allocated using the information generated by evidence and the RBM System
8.4 The budget allocation is defined in annual terms (e.g., it specifies the starting date, relevant milestones dates, and the end date)	8.5 It establishes a specific allocation of resources for M&E activities according to the budget period	8.6 It considers other available information to define its allocation (e.g., national statistics/poverty measurements/etc.)
8.7 The key actors and their responsibilities are clearly defined		

Execution Framework

9. There are operative handbooks to implement the monitoring functions (e.g., Logic Framework)

9.1 They identify all the relevant activities to develop each stage of the process (e.g., Specific activities within the analysis of the project's context, stakeholder)	9.2 They outline specific timeframes to implement every stage of the process	9.3 They identify the responsible in every stage of the process (specific MDAs and units within the MDAs)
9.4 They outline a dissemination strategy of the LF results (what, how, when and to who do you want to diffuse the results)	9.5 The indicators are oriented to results and outcomes	

10. There are operative handbooks that establish specific steps to develop each stage of the evaluation function



10.1 They identify all the relevant activities to develop each stage of the evaluation process (e.g., evaluators selection, ToR definition for each evaluation, evaluation supervision)	10.2 They outline specific timeframes to implement every stage of the process	10.3 They outline a dissemination strategy of the evaluation results (what, how, when and to who do you want to diffuse the results)
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10.4 They identify the responsible (specific MDAs and units within the MDAs) in every stage of the process

11. There is an operating and functioning coordination of M&E at the national or/and subnational levels

11.1 It is homogeneous across the government and holds a common language in concepts of M&E	11.2 It is integrated at various levels of government (national and subnational)	11.3 It is known by all sectors and MDAs in government
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11.4 It is relevant (e.g., it recollects indicator data that is necessary, pertinent, and timely, it involves key stakeholders at different levels)	11.5 It generates timely documents for specific evidence users	11.6 It generates use-oriented documents for specific evidence users
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11.7 It is sufficiently funded (specific financial resources are allocated)

12. There is a defined human resources structure for M&E activities:

12.1 It has specific focal points in each MDA across the government	12.2 The MDA focal points constitute a coordinated network that is part of the M&E System	12.3 The MDA focal points have clear functions, responsibilities and expected outcomes
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12.4 The MDAs focal points become recognized strategic areas of information about the performance and impact of the MDAs projects / programmes

Technical Capabilities

13. There are sufficient private and public entities providing M&E services, including training, to the public sector

13.1 They provide a variety of M&E services (e.g., conduct diagnostics, evaluations, assessments)	13.2 MDAs demand those M&E services based on their needs	13.3 They provide a broad academic offer for RBM capacity building (e.g., continuous courses / diplomas in M&E topics, specific training to the public sector)
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13.4 There is an M&E capacity building strategy demanding RBM training, which is periodic, targeted to the capacity building needs and with a whole-of-government approach

14. There are skilled personnel in government with technical capacity and competencies to conduct planning and budgeting for results

14.1 They have technical skills to use derived evidence from M&E to improve planning (identify priorities, vulnerable population, what works to attend that priorities)

14.2 They have competencies to use M&E results to define results-oriented budgeting (e.g., identify priorities, new public problems that should be addressed, policies that work, compare between policies)

14.3 They have competencies to coordinate with other MDAs and relevant actors

15. There are skilled personnel in government with technical capacity and competencies to conduct monitoring activities

15.1 They have technical skills to collect indicator data

15.2 They have technical skills to use monitoring tools

15.3 They have the competences to identify monitoring needs in order to collect relevant, pertinent and timely data

16. There are skilled personnel in government with technical capacity and competencies to conduct evaluations and evaluation activities

16.1 They have the competences to perform different evaluation types (e.g., design, process, impact) and use different methodologies (e.g., quantitative, qualitative, mixed methods)

16.2 They have the competences to identify evaluation needs and match them with proper evaluation types and methodologies: define evaluation horizon and ask relevant evaluation questions

16.3 They have the competences to formulate reports that include relevant, pertinent, and timely information for different stakeholders

16.4 There is a capacity strengthening plan for on-going training in RBM and M&E

Use of Evidence

17. RBM documents and government performance information are available and accessible for consultation

17.1 National planning documents and are publicly available

17.2 National budget plans are publicly available

17.3 Documents that mention the results/findings/recommendations of monitoring and evaluation activities are publicly available

17.4 M&E manuals / guidelines /ToRs are publicly available

17.5 There is a dissemination strategy of evidence about government performance targeted to different stakeholders (e.g., citizens,



	parliamentarians, decision-makers, private sector, NGOs)	
18. There is an enabling environment for the use of M&E results		
18.1 There are explicit positive or negative incentives for the use of monitoring results	18.2 There are explicit positive or negative incentives for the use of evaluation results	18.3 There are knowledge management practices
19. M&E results are systematically included in the planning and budgeting		
19.1 They are used in an institutionalized way: they follow an established procedure	19.2 There are action plans or other management instruments to ensure M&E results/recommendations are implemented	19.3 They justify the creation and design of government interventions
19.4 They identify the target population of government interventions	19.5 They identify general and specific recommendations to improve the implementation of government interventions	19.6 They inform the design/redesign of government interventions
19.7 They inform the initial budget allocations of government interventions	19.8 They inform the budget increase/decrease/suspension of government interventions	19.9 Evaluation findings/reports are updated periodically
19.10 The M&E results are used to define the MDAs budget		
20. The government has mechanisms to measure the use of the evidence that the RBM system generates		
20.1 There are mechanisms to know how much the reports and publications on M&E are downloaded or used by citizens	20.2 There are use-of-evidence measurements to improve the use of M&E results strategy	

Source: Developed by the GEI technical team in charge of the collaboration



c. Levels of progress

The MESA methodology is designed to gain a deep understanding of a country or institution's relevant aspects/characteristics when developing an RBM System. The different stages are meant to gather information from different stakeholders to achieve a whole of government / institutional outlook. The dimensions with ideal elements and sub-elements guide the analysis of the information gathered in order to identify the level of progress of a specific government or institution.

The scale used to assess the sub-elements are:

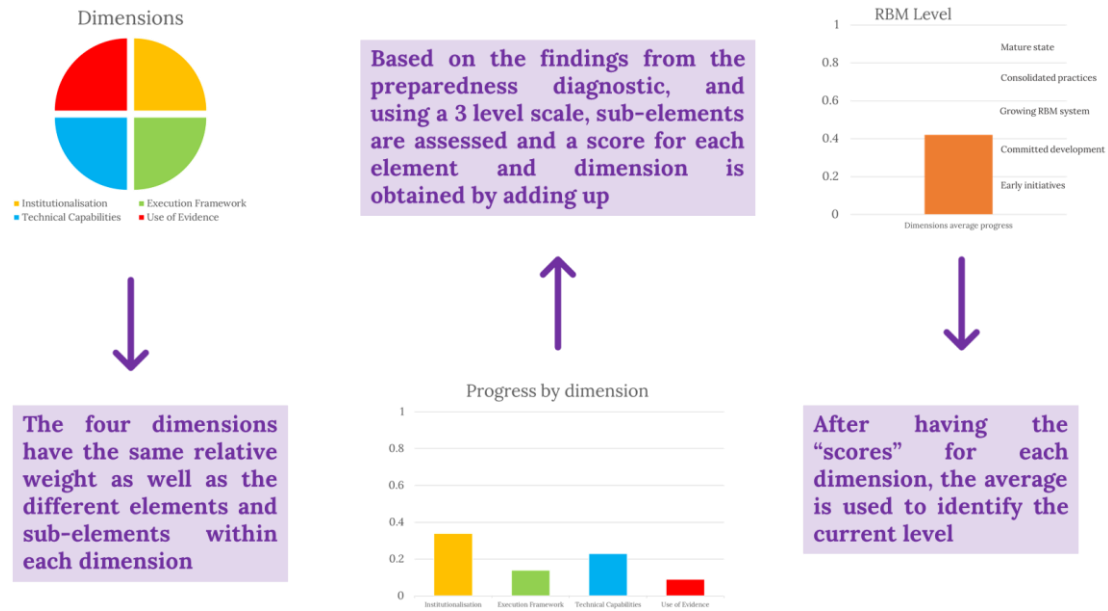
- No: there is no documented advance in the sub-element,
- Needs improvement: there is documented advance in the sub-element, but there are opportunity areas,
- Yes: there is documented proof that the sub-element complies with the needed/ideal characteristics,

Each scale level has an assigned value, and every element will have a result obtained from the total sum of its sub-element's scores. The average score of the elements per dimension results in the dimension's score, and the average score of the four dimensions will place the Member state/regional Institution in one of the following **levels of progress** of their RBM Systems:

- Level 1. Early initiatives: there are minimal or no commitment and capacities on RBM/M&E.
- Level 2. Committed development: there are some initiatives to develop RBM-related structures and focus on monitoring activities.
- Level 3. Growing RBM system: there are RBM-related structures being established and limited evaluation activities.
- Level 4. Consolidated practices: there are integrated efforts (political will, capacity building and some whole-of-government consensus) to develop the RBM System.
- Level 5. Mature state: Functioning and sustainable RBM System in place that generates credible, reliable, and timely information that improves public policies.



Figure 8. How to identify the current level of the RBM system maturity



Source: Developed by the GEI technical team in charge of the collaboration