

CARIBBEAN REGIONAL PROGRAMME EVALUATION (RPE)

Authors:

Nick Chapman, Paul Collins, Muriel Visser, Michael Julien, Joel Miller & Kerstin Hinds



Top left Haiti (*Simon Bannister*)
Left middle South Coast, Barbados (*Lindsay Block*)
Bottom left Guyana - People on the way to vote in the general election (*Sandra Pepera*)
Bottom right St Kitts (*Sandra Pepera*)

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

Evaluation Report EV678

**CARIBBEAN REGIONAL
PROGRAMME EVALUATION
(RPE)**

**By
Nick Chapman, Paul Collins, Muriel Visser, Michael Julien,
Joel Miller and Kerstin Hinds**

May 2007



PREFACE

This evaluation of DFID's regional programme in the Caribbean is one of a series of regular Country Programme Evaluations (CPEs) commissioned by DFID's Evaluation Department – and the first to cover a regional programme. The studies are intended to improve performance, contribute to lesson learning and inform the development of future strategy at country or regional level. Collectively, the CPEs are important in terms of DFID's corporate accountability and enable wider lessons across the organisation to be identified and shared.

The evaluation was carried out by a team of independent UK, Dutch and local consultants led by ITAD Ltd. The process was managed by Kerstin Hinds, Iain Murray and Lynn Quinn of Evaluation Department (EvD). Kerstin was also part of the team that visited the Caribbean.

The study focused on DFID's programme during the period 2000–2005. The evaluation was carried out between October 2006 and January 2007. This included a one week inception visit carried out by EvD and a three week field visit carried out by the consultancy team. The field visits included interviews with DFID staff, local stakeholders and key partners.

In accordance with EvD policy, considerable emphasis was placed on involving the country office staff during the process and on communicating findings. Staff in the region were invited to discuss findings at a session at the end of the evaluation period, offered written comments on draft reports and participated in a video conference discussing the findings during the report-drafting phase. However, this does not mean that the country office necessarily agrees with all the findings presented. The views expressed are those of the independent consultants and the office's 'management response' can be found in the Evaluation Summary linked to this main report.

EvD is delighted that this evaluation was well synchronised with DFID Caribbean's preparation of their new Regional Assistance Plan and that they have found the study valuable in thinking about the design of this. We will be following up on all the recommendations outlined in the report to ensure that DFID – in the Caribbean and Corporate Divisions – gives these due consideration.

The success of this evaluation is due to the efforts of many people. EvD would like to acknowledge the contribution made by the evaluation team itself, recognising that covering a regional programme presented particular methodological and logistical challenges that the team rose to admirably, despite having to cope with the replacement of a team member due to sickness. The level of engagement of DFID staff was excellent, as was the engagement from development partners in the Caribbean. Many thanks to those involved.

Nick York
Head of Evaluation Department

ACKNOWLEDGEMENTS

This report has been prepared by an independent team from ITAD Ltd and the Dutch Royal Tropical Institute (KIT). The team was led by Nick Chapman and consisted of Kerstin Hinds (DFID, Evaluation Department), Paul Collins, Muriel Visser, Michael Julien and Joel Miller. The team is very grateful to all those people who have provided support, information and comments.

The team was greatly assisted by the Head of Office and all the staff of the DFID Caribbean Regional Office and DFID country offices in Guyana and Jamaica. However, full responsibility for the text of this report rests with the authors. In common with all evaluation reports commissioned by DFID's Evaluation Department, the views contained in this report do not necessarily represent those of DFID or of the people consulted.

LIST OF ACRONYMS

ACP	Africa-Caribbean-Pacific
APPR	Annual Plan and Performance Review
CAP	Country Action Plan
CAREC	Caribbean Epidemiology Centre
CARICAD	Caribbean Centre for Development Administration
CARICOM	Caribbean Community
CARTAC	Caribbean Regional Technical Assistance Centre
CDB	Caribbean Development Bank.
CDERA	Caribbean Disaster Emergency Response Agency
CDI	Commonwealth Debt Initiative
CDM	Comprehensive Disaster Management
CHASE	Conflict and Humanitarian and Security Affairs (DFID)
CIDA	Canadian Development Assistance
CRNM	Caribbean Regional Negotiating Machinery
CSME	Caribbean Single Market and Economy
DAC	Development Assistance Committee
DDP	Director's Delivery Plan
DFERP	Dominica Fiscal and Economic Recovery Programme
DFIDC	Department for International Development (Caribbean)
EC	European Commission
EPA	Economic Partnership Agreements
EUD	European Union Department of DFID
EvD	Evaluation Department of DFID
FCO	Foreign and Commonwealth Office
FTAA	Free Trade Area of the America
GEAP	Guyana Education Access Project
GECOM	Guyana Elections Commission
HIPC	Highly Indebted Poor Country
HMG	Her Majesty's Government of UK
IDB	Inter American Development Bank
IDP	International Development Partner
IFI	International Financing Institution
IMF	International Monetary Fund
IPO	International Police Officer
ISP	Institutional Strategy Paper
JAASP	Jamaica All Age Schools Project
JASPEV	Jamaica Social Policy Evaluation
JCCP	Jamaica Cluster Competitiveness Programme
JCF	Jamaica Constabulary Force
JCFRMP	Jamaica Constabulary Force Reform and Modernisation Project
JUPP	Jamaica Urban Poverty Project
LACD	Latin America and Caribbean Division
LIC	Low Income Country
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MEFF	Multilateral Effectiveness Framework
MIC	Middle Income Country
MICS	Middle Income Countries Strategy

Acronyms and Abbreviations

MOD	Ministry of Defence
MoU	Memorandum of Understanding
MTF	Jamaica's Medium Term Socio-Economic Policy Framework
NCS	National Competitiveness Strategy
NGO	Non-governmental Organisation
ODA	Official Development Assistance
OECS	Organisation of Eastern Caribbean States
OPR	Output to Purpose Review
PANCAP	Pan-Caribbean Partnership Against HIV/AIDS
PARP	Policy and Resource Plans
PCR	Project Completion Report
PIOJ	Planning Institute of Jamaica
PRISM	DFID's Performance Reporting Information System for Management
PRSP	Poverty Reduction Strategy Paper
PSA	Public Service Agreement
PSMIP	Public Sector Management Improvement Project (Guyana)
PSR	Public Sector Reform
RAP	Regional Assistance Plan
RPE	Regional Programme Evaluation
SAIC	Staff Appointed In-Country
SDC	Social Development Commission
SDF	Special Development Fund
SFA	Special Framework of Assistance
SWAp	Sector Wide Approach
TA	Technical Assistance
UN	United Nations
UNIFEM	United Nations Fund for Women
USAID	United States Agency for International Development
WB	World Bank

CONTENTS

PREFACE	i
ACKNOWLEDGEMENTS	iii
ACRONYMS AND ABBREVIATIONS	iv
EXECUTIVE SUMMARY	ix
1. INTRODUCTION	1
2. CONTEXT	3
Political Socio-Economic and Environmental Context	3
Development Assistance	5
DFID	7
3. STRATEGY, PROGRAMME CONTENT AND PROCESS	11
Strategy	11
Strategy Assessment	16
Influencing	21
Civil Society	24
Risks	25
Portfolio of Activities	26
Portfolio Assessment	27
Managing the Portfolio	27
Crosscutting Issues	28
Monitoring and Evaluation (M&E)	30
Communications	30
4. PROGRAMME EFFECTIVENESS	33
Results	33
Education	34
Trade, Debt and Privatisation	34
Public Sector Reform	35
Security	35
HIV/AIDS	36
Environment and Disaster response and management	36
Public Service Agreement	46
5. DEVELOPMENT PROGRESS	51
Development Progress	51
Aid Effectiveness	52
6. CONCLUSIONS AND LESSONS	53
DFID Contribution and Value Added	53
Strengths and Weaknesses	53
Lessons	55
Recommendations for next RAP	59

LIST OF TABLES

Table 1	Selected Socio-economic Indicators	4
Table 2	Selected Economic Indicators	5
Table 3	EC SFA Funding since 1999	6
Table 4	Total DFID bilateral expenditure in the Caribbean (£ million)	8
Table 5	Sector Foci of DFID Caribbean's Strategic Plans 2000-2005	15
Table 6	Prism Scores available	33
Table 7	LACD 2005/6 Business Plan targets and achievements	45
Table 8	Assessment of PSA targets and achievements	47

LIST OF FIGURES

Fig 1	Total Grant Aid by Main Donors, 2000-2005	6
Fig 2	Total Loans Extended 2000-2005	7
Fig 3	Debt relief component of DFID total bilateral expenditure 2000/01-2005/06	8
Fig 4	Sector distribution of bilateral Caribbean portfolio 2000-2006	27

LIST OF BOXES

Box 1	Summary of Chapter 2	9
Box 2	Summary of Findings (Chapter 3)	31
Box 3	Summary of Findings (Chapter 4)	49
Box 4	Lessons on Security Reform	58
Box 5	Lessons on Public Sector Reform	59

ANNEXES

1	Terms of Reference	63
2	List of Persons Consulted by REP Team	66
3	Bibliography	71
4	Regional/Country Programme Evaluations Matrix	73
5	Timeline of Key Events	78
6	Staff Timeline	81
7	Progress on 2005/06 DDP and 2005/06 Business Plan	84
8	MDGs in Jamaica, Guyana and East Caribbean	88

EXECUTIVE SUMMARY

Introduction

S1 This report is an evaluation of DFID's regional programme in the Caribbean covering the period 2000–2005. It is one of a number of country programme evaluations commissioned by DFID's Evaluation Department in 2006/07, and is the first to examine programmes from a regional perspective. This difference represents a relatively complex evaluation challenge given that it includes two separate country programmes, Guyana and Jamaica, as well as encompassing bilateral and regional assistance to the smaller Anglophone countries within a region comprising of fifteen states. The evaluation asks three main questions: within the context of an emerging regional approach and a declining resource envelope, (i) *how relevant was DFID's strategy in the Caribbean*, (ii) *how well was that strategy interpreted through the programme portfolio and implementation processes*; and (iii) *what has the programme achieved?*

S2 As a region populated by largely middle income countries (MICs), the development challenges are recognised by DFID as different and special. MIC status means they are not subject to significant levels of concessional aid or debt relief programmes. Citizens do not suffer generally from food insecurity, chronic disease or lack of basic services, with the exception of those in particular pockets, and in Haiti. They do however face particular challenges in terms of inequality, social exclusion and economic vulnerability. These problems are increasingly exacerbated by HIV/AIDS and by serious crime and illicit drugs.

S3 The region holds a special interest for the UK because of historical connections and the presence of a significant and vocal diaspora living in the UK. Both positive and negative links are associated with these connections, in terms of remittances and knowledge transfer on the one hand and crime and illegal drug connections on the other. Because the UK is the only European Community (EC) member state in most Anglophone Caribbean countries, the work the UK does to improve the delivery of EC funds is a very relevant concern to governments and to development partners. The delivery of EC assistance has been extremely slow in the past yet it is a critical window of support given the combination of a narrow export base and an eroding preferential trade system that many states in the region face for their banana and sugar exports.

S4 The aid environment comprises a relatively small number of donors, and given the highly indebted nature of many states plus their MIC status, grant financing is especially important. This places the EC centre stage, yet while its potential grant resources are huge in comparison to the region's population, disbursement levels have been extremely poor. DFID's own resource levels have declined by over 25% since 2000, as the DFID policy of spending at least 90% of its bilateral funds in low income countries and hence no more than 10% in MICs has led to funding reductions in the region and accompanying head count pressures.

Programme content and effectiveness

S5 Between 2000 and 2005, the regional programme saw the publication of a number of strategy documents (covering the region as a whole, the Windward Islands, Jamaica and Guyana)¹. These statements of intent expressed a **shift in direction** that was driven above all by resource constraints and a corporate shift in priorities away from the Caribbean. The Regional Assistance Plan (RAP),

¹ The main themes of these different strategies are summarised in Table 5 in the main report.

published in June 2004, was the key strategic framework put in place to guide this transition. It aimed to narrow DFID's profile into three areas: 1) trade and competitiveness, 2) public sector reform and economic management, and 3) security and HIV/AIDS. Over the three years of the RAP the UK planned to allocate approximately £96 million to the Caribbean (excluding debt relief) with DFID's bilateral programme representing 37%, contributions to the EC 36% and Caribbean Development Bank (CDB) 26%.

S6 During this period, **country offices were set up** in Guyana and Jamaica in 2001-02, and each had their own country plans that were to fit in with the new regional plan. A Windward Island Strategy (2001) was replaced by a decision to withdraw from bilateral engagement in the Eastern Caribbean sub-region and a move to engage more deeply at a regional level. This was to match the growing regionalisation process being put in place through the Caribbean Community (CARICOM), and to align with DFID's priorities in working to improve multilateral effectiveness.

S7 The evaluation judges that a better focus was outlined in the RAP, but that DFID's regional programme remained ambitious given the decline in staff and financial resources. While the RAP reflects DFID's principles for working with MICs, the choice of sectors with which to engage or disengage was also driven by management-imposed resource constraints, and compounded by a lack of sector-level strategies. There is a lack of coherence between the RAP and the national strategies for Guyana and Jamaica. This is understandable given the different national priorities (Jamaica has a strong security agenda while Guyana a focus on governance and social cohesion), the difficulty of creating unifying regional themes in a highly diverse region and the strategy sequencing.

S8 While the various strategies reviewed show high consistency with a large part of DFID's corporate agenda, especially in terms of globalisation, aid effectiveness, influencing and fragile states, they are less aligned in one or two areas. There could have been a more transparent explanation and sounder planning for the graduation out of bilateral assistance, and from programmes that were closed, such as in education and natural resources. The evaluation also concludes that there could have been better knowledge management, and a stronger results focus. Monitoring and evaluation has not been easy because of the larger number of small projects, many of which fell below the threshold for DFID's formal monitoring system, and because of reducing staff and large number of countries and stakeholders.

S9 DFIDC operations have been well **harmonised** with the activities of others, with active and sometimes leading involvement in the relevant aid fora in Guyana and Jamaica, and many examples in sector work, such as education and disaster response, and recently in the Competitiveness Strategy in Guyana. There are also good examples of cross-Whitehall working, notably in the context of security reform in Jamaica, and secondly at regional level in working with other DFID departments to improve EC performance.

S10 In terms of **influencing**, DFIDC has developed internal strategies to improve EC and CDB effectiveness during the evaluation period, and these combine local actions through providing secondees and engaging at Head of Mission level (or at Board level for the CDB), with a greater level of headquarters activity in terms of lobbying and higher level political influencing.

S11 These strategies have only begun to bite in terms improving **EC performance** towards the end of the evaluation period, when a step change in its engagement brought significant results, particularly in sugar transition assistance. Gains in EC performance have been seen as a result of both DFID's EU Department (EUD) and regional engagement in terms of lobbying to soften rigid

mechanisms, raising the social and poverty relevance in programming, and in analytical work to prepare countries to qualify for receipt of EC funds. But the view of the evaluation is that DFID in conjunction with head quarters might have begun to engage even earlier on this issue and more strongly given the UK's unique position in the Anglophone Caribbean, and that this should remain a key area of focus in the future.

S12 DFID's consistent engagement with the **CDB** has shown some positive returns on poverty targeting, social analysis and operational efficiency, although DFID itself remains concerned at the slow pace of reform. One well targeted poverty intervention worth highlighting is the Basic Needs Trust Fund, financed through DFID support of the Special Development Fund (SDF). This has provided US\$13 million for 310 projects reaching some 377,000 persons in vulnerable communities between 2001-05. Through the CDB's new programme with Haiti, DFID will have an important window to provide funding to the poorest country in the hemisphere.

S13 DFIDC worked effectively with the governments of Guyana and Jamaica, but adopted a reduced role in the Organisation of Eastern Caribbean States (OECS) Secretariat following DFID's shift to a regional platform. The regional presence did allow opportunistic and very valuable engagement in such events as the post-hurricane Ivan relief and the Dominica fiscal crisis.

S14 Overall, there is a fair record on **risk** analysis (the best example is in the Jamaica CAP), and a weaker record on risk mitigation. Risks were noted in most strategy documents often in general terms, and where assessed in project design documents, were then monitored during implementation. However, there is limited evidence that risk minimization strategies were put in place.

S15 In general, **civil society** engagement has not been at the forefront of the DFID Caribbean programme, and civil society is described by DFID as fragmented and weak. This ostensibly has made the prospects for collaboration difficult and accounts for the absence of explicit strategies for their engagement. Within various programmes, however, civil society has played an important role.

S16 Portfolio **management** reflects four trends: overall reduction in UK-based advisory staff (from around 12 to 3), the shifting of staff positions from Barbados to Guyana and Jamaica, the downward shift in advisor grades and a growing number of programme management staff who have been appointed in-country. Work demands nevertheless remain high given (i) the new ways of working (including extensive engagement with key partners), (ii) managing existing commitments across a diverse and physically scattered set of countries, and (iii) planning for possible areas of expansion (to Haiti for example).

S17 In terms of **cross-cutting issues**, the overall judgement of the evaluation is that the strategy documents and the sector interventions are weak in terms of incorporating such issues, especially gender and environment. HIV/AIDS is recognised as a theme in itself and has been addressed with increasing effectiveness, but it has yet to be mainstreamed across other parts of the programme. To address all such issues in a programme of this size and range of country contexts would however be quite difficult.

S18 In terms of **programme effectiveness**, DFID's own project rating system indicates a comparatively good record for the 35 projects measured – with 70% rated as having achieved all or most of their outputs and purposes. These projects account for some 80% of bilateral project expenditure (excluding debt relief and various UK-led projects). Many smaller projects are not rated however, and

more importantly it is hard to gauge overall programme performance as the strategies do not provide a framework for synthesising the discrete achievements at a higher level, such as programme area.

S19 At a sector level, bilateral projects initiated prior to or at the early stage of the evaluation period in Guyana, Jamaica and the Organisation of Eastern Caribbean States (OECS) have produced some clear benefits in certain sectors (such as in education, natural resources, trade and privatisation), perhaps reflecting the higher advisory input, the significant levels of investment and the lower risk of these kinds of investments. Important efforts to tackle governance and security reforms have also shown initial improvements, and there have been encouraging successes from pilot projects. But objectives have often been ambitious, the pace of reform slow, and deeper more sustainable changes are still to be achieved.

S20 Delivery effectiveness through regional and sub-regional agencies (for HIV/AIDS, trade, public administration, education) has had a mixed record, and while capacity has been built, benefits at national level have been slow to emerge. The advantages of building economies of scale, of setting common standards and approaches, and of providing a common position for external partners, strikingly well achieved by the regional trade negotiating machinery support, are offset by the lack of recognition and support provided to these entities by member governments, who at times appear to pay them little more than lip service. Gaining greater impact at national level is difficult unless DFID can engender greater political commitment towards a regional vision, and also more explicitly build stronger linkages between regional agencies and their counterparts at national level.

S21 The use of different aid instruments is not a particular feature of the Caribbean regional programme. Given DFID's reducing financial commitment and the smaller pool of donors, poverty reduction budget support has not been pursued, although others, such as the EC and World Bank, with larger resources have found it effective to move in this direction. After project financing, debt forgiveness is the second largest instrument in value terms, and one that deserves greater recognition as a key policy tool in the region's strategies and evaluations. Although the total volume is relatively small (£67 million over the period 2000-2005), given the highly indebted nature of most regional economies, it does account for one third of all UK's bilateral assistance. It has been effectively used as a tool to improve macro-economic management in Jamaica and Belize, for example. DFID's assistance over rescheduling of other sources of debt, particularly in Dominica and Grenada, though high cost given the specialist expertise involved, has been widely recognised as very effective - even critical.

S22 Building **sustainability** is particularly difficult in a setting where trade, environmental and security risks are so prevalent. However, DFID has made positive contributions through supporting important regional entities that aim to bolster the capacity of the smaller economies in terms of public administration and finance, or to represent them more effectively in critical trade negotiations. DFID has restricted its choice of which entities to support to good effect, and has built effective joint funding mechanisms. But these improvements are not easily translated to national settings, where capacity remains weak and/or commitment to public sector reform and wider governance issues remain a concern.

S23 In sum, the evaluation judges that over the review period DFIDC has made an effective contribution to the region's development while dealing with the challenge of programme down-scaling. This contribution is mainly but not exclusively anchored around (i) its support to certain regional processes, particularly trade and public sector reform, (ii) its country programmes in Guyana and Jamaica that have tackled sensitive areas, and linked up well with other arms of the UK government, (iii) its flexible and opportunistic actions in emergency aid, debt relief, and (iv) its work

to improve the effectiveness of the EC and CDB.

S24 Achievements under the most recent Directors Delivery Plan and Public Service Agreement (PSA) have been mixed, with mainly good results for CDB, sugar assistance, trade negotiation capacity and debt relief. Positive trends have been noted in Jamaica in terms of security and in Guyana around elections and social cohesion, and around HIV/AIDS capacity. But less progress is evident on HIV/AIDS at regional level and in the level of EC disbursements.

Lessons

S25 Key lessons arising from this evaluation include:

- (i) that a regional approach can prove relevant in a middle income country setting where aid flows have declined but DFID has a valued role because of both its historical connections and the contribution that it can make in areas where it has a comparative advantage such as improving multilateral effectiveness or disaster management.
- (ii) in order to balance its support for weak regional organisations, DFID is most effective when it also works at country level in order to build synergies. This has proved the case in public sector reform work for example where regional support through the Caribbean Centre for Development Administration and the Caribbean Regional Technical Assistance Centre (CARICAD and CARTAC) has been complemented by specific technical assistance at country level.
- (iii) DFID also can be a valued partner not necessarily due to its funding but also due to its technical capacity and experience in improving coordination and harmonization.
- (iv) support to regional agencies may require long-term engagement with a substantial focus on institutional strengthening.
- (v) DFID should disengage from sectors in a more careful or extended way so that valuable lessons are not lost, sustainability issues are sufficiently addressed and gaps that may arise can be filled by others.

S26 Above all, the process of downscaling of DFID's programme in the Caribbean in the past five years provides relevant lessons to other regions particularly in MIC areas. These include: (i) ensuring that ongoing programmes are adapted and supported; (ii) where needed, planning exit strategies better; and (iii) providing explicit rather than implicit transitional country strategies so that partners are more aware of DFID's direction. The two country offices in Guyana and Jamaica have demonstrated good value for money in terms of the size of the programmes and the size of the offices. The local presence has allowed timely and opportunistic interventions to be made, greater levels of influence with partners, and better cross-UK Government working than might have been the case otherwise.

S27 The regional programme can also provide useful lessons about DFID secondments to partner organisations. Amongst these are that well placed seconded advisors are a useful tool and have maximum impact when specific influencing objectives are clear, where the placement time-frame is sufficient to gain understanding and trust, where the secondee role is integrated with DFID

approaches and instruments, and finally where a partnership philosophy supersedes a one-way influencing agenda.

S28 The Caribbean programme provides lessons on ways to engage with smaller countries and in regions characterised by diversity. DFID's strategy to focus on a multilateral and regional level engagement has generally proved a sound response as it maximises its ability to influence in a situation where it cannot afford to be present in many small national settings. But DFID's effectiveness in addressing poverty may as a result be more indirect, risky and hostage to slowly emerging regional institutional platforms in areas such as governance, trade and crime control.

S29 A separate set of lessons have been developed on security reform and the HMG joint working experience. The record of sharing expertise and resources towards a common goal – in Jamaica, reducing crime and insecurity through police reform, community involvement and off-island drug and crime prevention – can deliver some success, at least in terms of internal reforms, but engagement must be long-term, targets more realistic and the results of what works more rigorously evaluated.

Recommendations

Based upon the lessons found, the report proposes the following specific recommendations for consideration by DFIDC in preparing its next RAP in 2007:

S30 Discussions about the content of the next RAP (2007) still appear to be ambitious given available resources. Our recommendation is to seek to **narrow the next RAP's focus** to match DFID's existing advantages and corporate priorities, the known poverty gaps, as well as anticipated capacity and funds.

S31 Given the mixed record on planning and communicating the shift out of programmes and of bilateral relations, DFIDC needs to **explain better how the new RAP will transit from the existing RAP** and how ongoing programmes will be continued or phased out and how lessons will be learned and shared.

S32 Past programming would have benefited from further analysis to guide choices at sector level or within regional agency choices. For future programming, it is recommended that DFID undertake in a selective manner, **more substantive analysis to ensure DFID makes sound choices** not just at sector level but also in selecting interventions and regional partners.

S33 Given the size of the EC grant aid budget, the indebtedness of the region, and the UK's presence as the main member state, **the EC must take a much higher priority** for DFIDC. This will require work at different levels (UK, region, country, and advisor) to improve EC disbursement performance, poverty focus and harmonisation.

S34 The CDB is a key partner for DFID, partly for historical reasons and also because of DFID's need to work through a local partner, as DFID itself downscales its bilateral programme. While the pace of reforms in the CDB has been slower than expected, the Multilateral Effectiveness Framework (MEFF) and the new SDF6 commitment demonstrate the importance of this relationship and of DFID's partnership role. Based on the experience of the last Institutional Strategy Paper (ISP), there is now a case for **an updated Institutional Strategy that sets fewer but realistic targets**.

S35 The challenge of assessing programme impact in the medium term, and the need to communicate the effectiveness of DFIDC's role, lead to the need to strengthen the assessment of outcomes. In particular, the links between interventions and measurable outcomes need to be made more explicit and measurable. Therefore, DFIDC should aim **to measure outcomes better and report more systematically**, and in the process seek to build accountability of supported institutions and governments.

S36 The location of the regional office in Barbados has proven advantageous during the early part of the evaluation period because of its proximity to the OECS and to Guyana, as well as to other important partners such as CDB. Nevertheless, **an alternative regional office location could be considered** in future for a number of reasons. DFID's emphasis on working on poverty could suggest a move of the regional office to Guyana (and even, pursuing the poverty agenda to its logical point, Haiti at some time in the future). If this occurred, the Jamaica programme might be run independently or with looser regional oversight.

S37 Given that DFID's work in Jamaica and Guyana has been positive and influential, particularly in sensitive crime and security areas, in public sector reform and with partners, we recommend that regardless of the future of the regional office, **the Jamaica and Guyana Country offices should be continued**, with greater linkages to and responsibility for regional issues.

S38 DFIDC's risk assessment has been variable and its mitigation strategies weak. In future, therefore, DFID should **include more overt risk mitigation measures** as well as risk assessment and ensure that the measures are addressed through the strategy and/or by other partners.

S39 While the level of civil society involvement may be relatively weak compared to other regions (particularly, say, in nearby Central America), more opportunities may exist in the region than have hitherto been exploited, particularly in sensitive areas such as crime, drugs and electoral processes. Therefore, DFID should seek to **engage further with civil society organisations** to assist in key programme areas where they have added value, and also to check on real poverty outcomes.

S40 HIV/AIDS should continue to be a priority area with a strong focus on making sure that the substantial amounts of money available are used effectively. DFIDC should further **build awareness of HIV/AIDS through regional dialogue and through deepening the involvement of key sectors such as labour and education** particularly at the country level.

S41 It will be important in future to **match staff skills and experience to future strategic needs and ways of working**. This would mean emphasizing in recruitment or training such areas as influencing skills, experience of working with multilaterals especially the EC, of debt and economic management issues, and of security and governance.

S42 Finally, this evaluation notes the weak record on monitoring and evaluation in terms of preparation of frameworks or producing periodic collective progress reports. **Improvements to M&E** can be recommended in a number of areas including: (i) Use a rapid but triangulated scoring system to assess performance of small projects (under £1m) that are not routinely assessed by OPRs; (ii) Set more realistic objectives for some reform programmes; (iii) Undertake (and publish) a periodic (annual preferably) synthesis of results; (iv) Build indicators for mainstreaming results into logframes, so that subsequent project reviews address this issue and (v) Attach a performance framework to the next RAP that draws these points together for the programme as a whole.

1. INTRODUCTION

1.1 Against a background of a substantial increase in resources² and a focus on poverty reduction and achievement of Millennium Development Goals (MDGs), DFID has adopted a policy of decentralisation in order to achieve greater relevance, responsiveness and impact for its aid resources. DFID country offices have been able to design and implement growing programmes of development assistance with increasing delegated authority³, while at the same time efficiency drives have reduced staff resources and country teams must deliver ‘more with less’. Given the opportunities and challenges that these conditions place on DFID, there is considerable interest in assessing the effectiveness of the aid budget and learning lessons to improve delivery performance and impact in order to assist countries to meet their respective millennium targets.

1.2 The Evaluation Department of DFID (EvD) has therefore contracted ITAD and KIT⁴ to undertake a series of country programme evaluations (CPEs) with the aim of assessing the relevance, efficiency, effectiveness and impact of DFID assistance at country level. Each CPE takes a five year perspective; in this case the focus is 2000–2005. DFID’s Caribbean regional programme is the first evaluation to look at these issues from a regional perspective, and represents a relatively complex evaluation challenge given that it includes two separate country programmes, Guyana and Jamaica, as well as encompassing bilateral and regional assistance to the smaller Anglophone countries within CARICOM⁵.

1.3 **Methodology:** The Regional Programme Evaluation (RPE) exercise, which is characterised as a ‘light evaluation’, was conducted in three stages (see TOR in Annex 1). An initial one week country visit was made in November 2006 to plan the evaluation with the country office, to collect documentation, to conduct some initial interviews and assess the most salient issues for evaluation. For the second stage, a three week field visit by a team of five independent consultants took place in November–December 2006⁶. Given the scope of the study and the time frame, the field work did not involve project visits but concentrated on gathering evidence from a large volume of documentation and a range of stakeholders, including DFID country staff (past and present), donors, NGOs, consultants and government staff. A list of persons consulted is given in Annex 2 and of documents in Annex 3. The exercise was guided by a matrix of pertinent evaluation questions (the pro-forma matrix is presented in Annex 4). Preliminary feedback was given by the CPE team to the country office before departure. The third stage of the CPE was the drafting of the main report, followed by circulation for comment, a video conference discussion and report finalisation.

1.4 **Limitations:** this is the first RPE and is a particularly complex evaluation model – given the heterogeneity of the countries, the fact that there are two countries with separate Country Strategy Papers (CSPs) and their successors, Country Assistance Plans (CAPs), a sub-regional CSP for the Windwards, and finally a Regional Assistance Plan. The evaluation encompasses three DFID offices (Bridgetown, Georgetown and Kingston) who engage with partners in different combinations. Apart from its bilateral spend, approximately twice as much DFID money is channelled into the region through the European Commission (EC) and the Caribbean Development Bank (CDB).

² From £3 to £4 billion per year between 2000 and 2005.

³ Heads of Offices depending on grade can approve projects up to £7.5 million.

⁴ ITAD: Information Training and Development, UK KIT: Royal Tropical Institute, Netherlands.

⁵ CARICOM Members: Antigua and Barbuda, The Bahamas (community but not common market member), Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago.

⁶ The team consisted of a team leader and specialists in education and HIV/AIDS, governance, and trade and economics. An EvD staff member accompanied the mission, and also reviewed the disaster management portfolio.

1.5 **Report Structure:** the RPE report follows a standard structure that mirrors the evaluation matrix (Annex 4). Chapter 2 describes the pertinent country context in the Caribbean, the level of development assistance and DFID's own history of assistance since 2000. Chapter 3 then outlines the programme content and process, outlining (i) the evolution of the strategy, and assessing relevance and policy consistency and the emergence of a regional approach, (ii) the nature of DFID relationships with key partners and (iii) describing and assessing the portfolio of activities. This leads to a review of the programme's effectiveness in Chapter 4, where the results achieved by different projects at national and regional level and through different instruments are examined. In so far as documented evidence is available or the views of informants can be triangulated, the contribution of these different interventions on broader strategy objectives, towards DFID's public service agreement and key policy themes are then addressed. In Chapter 5, the results of the support provided are placed in the context of the Caribbean's development progress over the period under review. Then in the final chapter, conclusions are made on DFID's added value and its strengths and weaknesses, and a set of lessons are presented that may guide future assistance in the Region (especially within the context of the new Regional Assistance Plan currently under preparation) and be of use for DFID globally.

1.6 In addition to this report, two short, separate pieces of work have been undertaken on topics of interest to the DFIDC team. These issues papers look at DFID's regional experience in *education* and in *sugar assistance*. They examine in more detail the interventions in these areas, and draw specific lessons⁷.

⁷These sector papers will be released by the Evaluation Dept. of DFID separately.

2. CONTEXT

Political, Socio-Economic and Environmental Context

2.1 The regional programme in principle covers all Caribbean Community (CARICOM) members plus Cuba and Dominican Republic, with a spread of 2,200 miles from Belize to Guyana. The immense diversity of the region is illustrated in Table 1 below, as a striking range can be seen in development terms with Barbados 29th in the HDI rank, Guyana 104th and Haiti 153rd. At the same time the relatively small scale of the region can be judged by the fact that the total GDP of CARICOM is equivalent to that of Ecuador.

2.2 As a region populated by largely middle income countries (MICs), the development challenges are recognised by DFID as different and special⁸. MIC status means they are not subject to significant levels of concessional aid or substantial debt relief programmes. Citizens do not suffer generally from food insecurity, chronic disease or lack of basic services, with the exception of those in particular pockets, and in Haiti, which contains one of the largest populations in the region and the highest concentration of poor. They do however face particular challenges in terms of inequality, social exclusion and economic vulnerability. These problems are increasingly exacerbated by HIV/AIDS and by serious crime and illicit drugs.

2.3 The key characteristics of the Caribbean are:

- Economic fragility: Seven out of the ten most indebted countries (and 14 out of 30) are in the Caribbean. Average Caribbean debt in 2003 was 96 percent of GDP. Most are highly dependent on banana and sugar exports which have faced reducing preferential arrangements to EC market since the nineties.
- Environmental vulnerability: many countries face regular disasters (hurricanes, earthquakes, floods) that in the context of small economies have profound impacts on their growth⁹. In 2004, Hurricane Ivan was estimated to have destroyed Grenada's nutmeg industry – the second biggest global producer and caused damage equivalent to 200% of GDP. The effects of the 1995 volcanic eruption on Montserrat are well known, including destruction of the capital Plymouth and exodus from the island of about half of the population.
- MDGs are largely on track: the exceptions are in specific aspects of health : with second highest HIV/AIDS rates after Africa, a significant tuberculosis infection rate and little progress on under five child mortality; and in education, particularly at secondary level where participation of boys lags substantially behind that of girls.
- Insecurity and drugs : growing crime levels and drug trafficking affect all levels of society, and as traditional industries decline, and unemployment especially amongst youth rises, so crime levels, especially violent crime, have risen. Jamaica saw 1600 murders in 2005, while Guyana has a severe drug trafficking problem that fuels armed violence¹⁰. There is strong UK government interest in ameliorating the effects of these

⁸ Achieving the MDGs: Middle Income Countries, A Strategy for DFID 2005–2008.

⁹ The Caribbean and Central America region has seen a 50% increase in the number of severe hurricanes in the last 15 years (DFID Dept Report 2006, para 4.34).

¹⁰ The UN has estimated the value of the drug industry in the Caribbean at \$3.3 billion, or half Jamaica's GDP.

trends, both for the benefit of the UK and of the Caribbean.

- Importance of the diaspora – a large proportion of the region’s population have migrated and live abroad, and this brings benefits in terms of substantial remittances¹¹, knowledge transfer and investment and lobbying influence in key partner states such as US, Canada, UK and in Europe. However, the negative effects include loss of skills and criminal linkages.
- UK historic links in the region have given DFID a high profile and raised interest in the UK government’s role. Since the EC is the largest grant donor in the region, and the UK is the only EU member state in most Anglophone Caribbean countries, the work that the UK does to improve the delivery of EC funds is of concern to many governments and partners.

Annex 5 provides a timeline of some of the key events in the Caribbean, as well as of DFID’s presence.

Table 1 Selected Socio-economic Indicators

COUNTRY	POPULATION	INEQUALITY	HDI RANK	ILLITERACY	LIFE EXPECTANCY AT BIRTH	POVERTY	HIV/AIDS	CHILD MORTALITY	WATER ACCESS
Footnote	1	2	3	4	5	6	7	8	9
Antigua and Barbuda	73	0.5	55	13	74	12	-	14	9
Barbados	270	0.39	29	0	77	14	1.5	14	0
Belize	256	-	99	7	71	-	-	40	8
Dominica	79	0.3	95	4	73	33	-	15	3
Dominican Republic	8,745	0.47	98	16	67	21	1.1	38	14
Grenada	80	0.2	93	6	65	32	-	25	5
Guyana	765	0.45	104	1	63	35	-	72	6
Haiti	8,326	0.65	153	49	50	66	3.8	123	54
Jamaica	2,651	0.38	79	13	76	19	1.5	20	16
St. Kitts & Nevis	42	0.1	39	2	70	31	-	24	2
St. Lucia	149	0.43	71	10	73	19	-	1	2
St. Vincent & the Grenadines	120	0.6	87	11	74	33	-	25	7
Trinidad and Tobago	1,303	0.4	54	2	71	21	2.6	20	10
Caribbean	23,609	0.38	78	10	69	28	1.6	34	10
OECS	543	0.36	73	8	72	27		20	5
Non-OECS	23,066	0.42	81	11	68	29		43	14
Sub Saharan Africa					46		6.1		42

Source: A Time to Choose, Caribbean Development in 21st Century, World Bank, April 2005.

1. In thousands (2003)
2. Gini coefficient (most recent survey)
3. Out of 175 countries (2004)
4. Percent of population age 15 years and over (2001)
5. Average 2001-05
6. Percent of population below poverty line (most recent survey)
7. Infection rates, % of population aged 15-49 (2001)
8. Under 5 mortality per 1,000 births (2002)
9. % population without access to improved water (2000)

¹¹ Remittances from the Jamaican Diaspora (US \$1,425 million in 2003) represent the single largest source of foreign exchange inflows to the country.

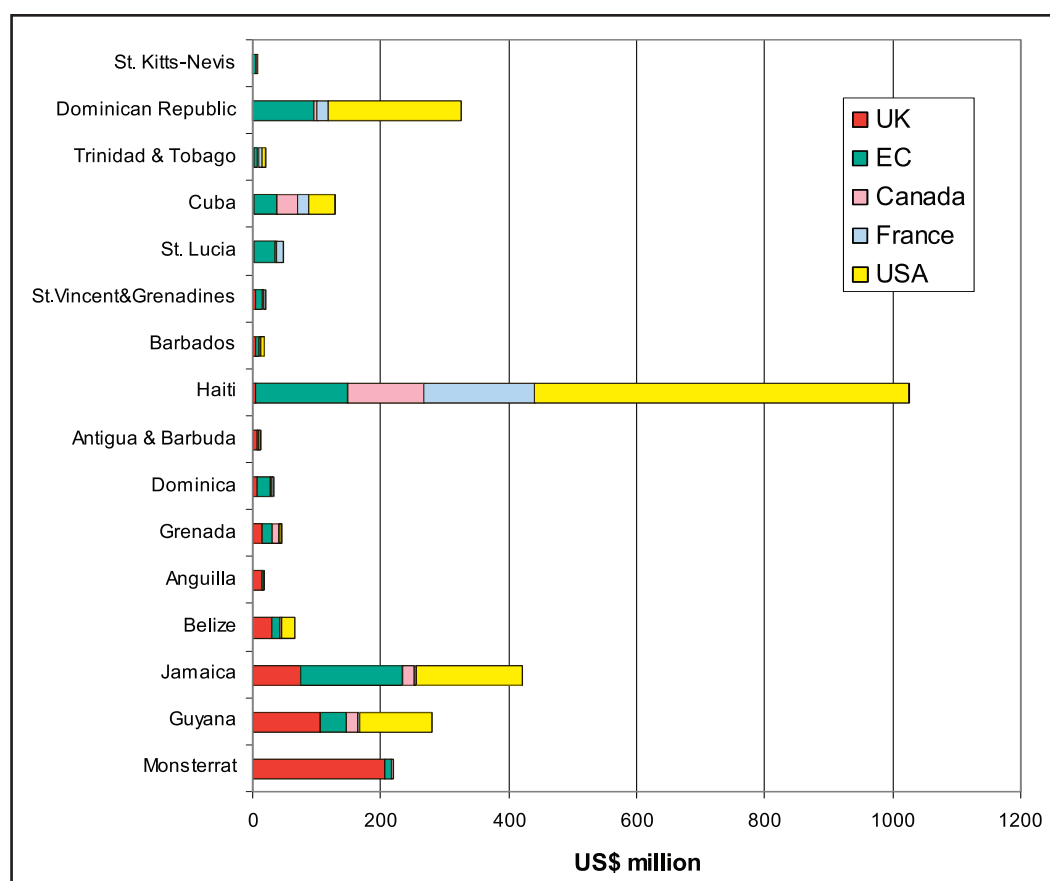
Table 2. Selected Economic Indicators

	ODA as %	GDP per	Debt (% of GDP)		Remit-	Grant
	GNI (2000- 2005)	Capita US\$ (2003)	1997	2003	tances (% of GDP)	assistance US\$ M (2000-2005)
Antigua and Barbuda	.07	11,124	102	142	3	16
Barbados	.09	9,651	62	84	4	18
Belize	.73	3,891	41	100	5	65
Dominica	2.98	3,554	61	122	6	51
Dominican Republic	.42	1,825	23	56	8	559
Grenada	2.33	4,103	42	113	6	55
Guyana	6.49	911	211	179	6	306
Haiti	5.11	460	n.a.	44	14	1141
Jamaica	-0.03	2,962	103	142	12	389
St. Kitts & Nevis	.45	7,641	86	171	10	13
St. Lucia	.25	4,048	36	69	4	41
St. Vincent & Grenadines	1.01	3,329	48	73	6	22
Trinidad and Tobago	.06	7,836	52	54	1	33
Caribbean		5,366	67	96	6	2709
OECS		5,633	63	115	6	249
Non-OECS		5,189	70	83	5	2493

Source: World Bank / OECD-DAC database

Development Assistance

2.4 Over the period under review, development assistance has been highly varied, linked to a relatively small number of agencies and bilateral partners. Grant financing has been dominated by 5 main partners: USA, EC, UK, Canada and France, with 35% of all grant assistance targeting Haiti in the period 2000–2005 (Figure 1). Total grants in 16 countries are recorded as \$3.2 billion, and volumes have grown 75%. The US has been the largest grant donor during this period (40% of grant lending) followed by the EC (20%).

Figure 1 Total Grant Aid by Main Donor, 2000–2005¹²

2.5 A key feature has been the poor disbursement of the different EC funding windows¹³ compared to the huge amounts promised. The Special Framework of Assistance (SFA) in particular has had slow disbursement, with the total amounts remaining unspent across Africa-Caribbean-Pacific (ACP) countries for the years 2001 to 2005 averaging 43%¹⁴ (Table 3).

Table 3 EC SFA funding since 1999¹⁵

	Forecasts		Outturn		% of outturn commitments disbursed
	Commitment	Payment	Commitment	Payment	
2001	-	-	€43,500,000	€16,861,368	39%
2002	-	-	€44,000,000	€33,820,713	77%
2003	€40,000,000	€40,000,000	€40,000,000	€17,248,716	43%
2004	€40,000,000	€40,000,000	€37,290,819	€6,840,999	18%
2005	€34,500,000	€33,000,000	€34,519,571	€10,122,048	29%
Total			€199,310,390	€84,893,844	43%

¹² OECD–DAC International Development Statistics database.

¹³ The main funds are the European Development Funds, which include Stabex payments for loss of export earnings, and the Special Framework of Assistance which comes under the main EC budget.

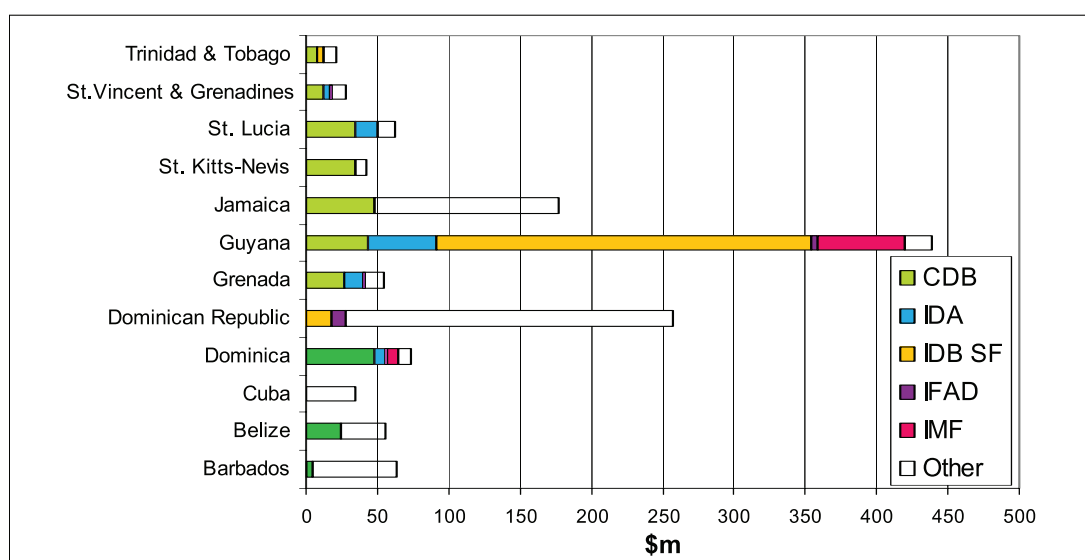
¹⁴ In 2002 the need to adapt all projects to the new Financial Regulation has been a major cause of delayed payments, and also caused delays in project implementation. However, a recent shift towards decentralised project management in most countries should improve the situation for the future.

¹⁵ Source: EUD, DFID.

2.6 High levels of debt (rising from an average of 67% to 96% of GDP), accompanied by negative resource flows, has to some extent constrained the effectiveness of multilateral concessionary lending, particularly in Jamaica, though less so in Guyana as a Highly Indebted Poor Country (HIPC) country¹⁶. There are three main actors: CDB, World Bank (WB) and Inter American Development Bank (IDB) who together account for 50% of the \$1.3 billion of financing over 2000–2005 (Figure 2).

2.7 A number of non traditional aid partners have growing importance in the region, such as China, Taiwan, Venezuela and India. China and Venezuela are members of CDB, but along with the others have different influencing / aid agendas to the Development Assistance Committee (DAC) group. In addition, many countries have used corporate and other non-concessional financing in the past and this has had implications in terms of current high debt levels that constrain the fiscal options available to traditional aid agencies, as well as on macro-economic performance monitoring systems.

Figure 2 Total Loans Extended 2000–2005¹⁷



DFID

2.8 Over the period under review, the quantity of assistance through DFID-managed programmes at national and regional level has declined by over a quarter, as shown in Table 4. This reflects the shift in corporate priorities away from Middle Income to Low Income Countries, and adherence to the 90:10 resource balance between countries in the lower income category and those with middle income country (MIC) status. DFIDC has graduated its direct programmes towards the poorer members of the Anglophone Caribbean. In the 1990s, DFID ceased direct funding to Antigua and Barbuda and St Kitts & Nevis (although since 2004 DFIDC has been a key partner to St Kitts and Nevis during its transition from sugar), and concentrated on the Windward Islands in the OECS as well as Jamaica, Guyana and Belize.

¹⁶ Although the Inter-American Development Bank (IDB) has a very significant pipeline programme for its members, particularly some countries not targeted by DFID (Barbados, Haiti, Dominican Republic, Trinidad).

¹⁷ OECD-DAC International Development Statistics database.

Table 4 Total DFID bilateral expenditure in the Caribbean (£ million)*

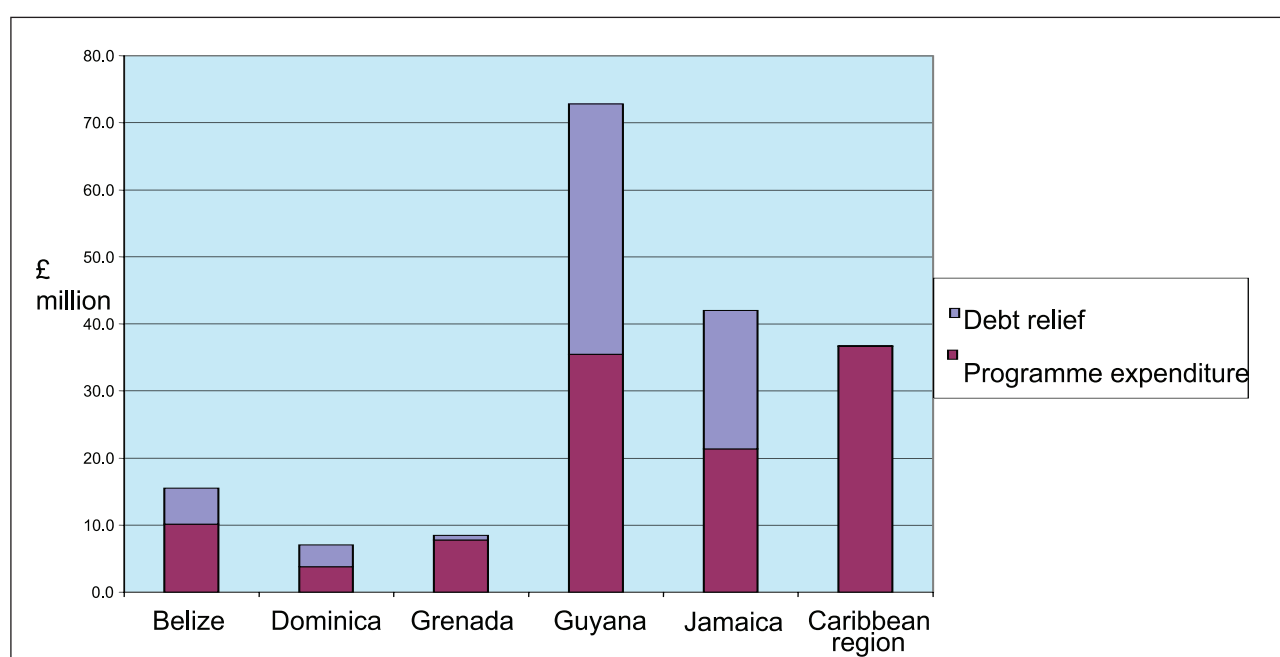
	2000/01	2001/02	2002/03	2003/04	2004/05	2005/06	Total
Belize	4.8	3.5	2.8	1.7	1.6	1.2	15.6
Dominica	1.2	0.9	1.5	1.3	1.1	1.1	7.1
Grenada	0.6	0.4	0.5	0.6	6.0	0.3	8.4
Guyana	13.8	12.5	12.0	17.1	8.7	8.7	72.8
Jamaica	7.5	8.4	8.2	5.1	6.4	6.3	41.9
Other Caribbean bilaterals**	3.0	1.6	4.0	0.7	0.7	0.9	10.9
Caribbean regional & sub-regional***	5.9	5.2	4.8	3.1	5.1	5.2	29.3
Total	36.8	32.5	33.8	29.6	29.6	23.7	186.0

*includes all financial aid, technical cooperation, grants, humanitarian aid and debt relief; but excludes bilateral support to the British Overseas Territories in Caribbean.

** Antigua and Barbuda, Bahamas, Barbados, Dominican Republic, St. Lucia, St. Kitts - Nevis, St. Vincent, Trinidad & Tobago

*** Caribbean regional expenditure e.g. to CARICOM agencies and expenditure to the Windward Islands as a group.

2.9 At the same time, DFID resources channelled through multilateral agencies in the region have grown, although accurate figures are hard to obtain. CDB received £17 million during the fifth replenishment of its Special Development Fund in 2001, and a further £24 million during the sixth replenishment in 2005¹⁸. The imputed value of DFID's contribution to the EC is £35 million for 2004-7¹⁹. Other multilaterals with substantial DFID contributions active in the region include the WB and the IDB, and the United Nations (UN). A key additional element has been debt forgiveness under the Commonwealth Debt Initiative (CDI) for the MICs, and HIPC relief in the only eligible country, Guyana. This has accounted for an estimated £67m (Figure 3).

Figure 3 Debt relief component of DFID total bilateral expenditure 2000/01-2005/06

Source: Statistical Reporting and Support Group, October 2006.

¹⁸ DFID Dept. Report 2006, p.226.

¹⁹ RAP 2004, p.10.

2.10 DFID's role is different in the Caribbean from its work in other regions. The importance of improving the effectiveness of international partners is higher and has dominated funding levels. DFID's own programme to the Caribbean reflects the trend in the Latin America and Caribbean Division (LACD) region more widely, and has seen a decline of £7 million over 5 years or 23% as DFID globally has shifted resources to poorer countries elsewhere. This is in marked contrast to DFID globally where its country programmes have doubled, rising in value from £1 billion to £2 billion over the period

Box 1 Summary of Chapter 2

- DFID's Caribbean regional programme encompasses a highly diverse set of nations, ranging from tiny island states to medium size countries, across a wide geographic area.
- These countries share an Anglophone and Commonwealth background with important historic links to the UK, and a vocal diaspora that has significant political influence.
- Most are fragile economies relying on a narrow export base and an eroding preferential system.
- Development assistance is characterised by a relatively small number of players. Grant funding is critical in such a highly indebted environment and in view of the MIC status of all the countries*.
- This places the EC centre stage, yet while its potential grant resources are huge in comparison to the region's population, disbursement levels have been very slow.
- DFID's own aid programme has seen a steady decline by over 25% since 2000, as the 90:10 balance for LICs v MICs has brought head count pressure and funding reductions.

* This excludes Haiti and Guyana. Guyana is a MIC under DAC classification (which is what DFID uses) but a LIC according to the World Bank.

3. STRATEGY, PROGRAMME CONTENT AND PROCESS

Strategy

3.1 There are five elements to the DFID Caribbean programme. These cover the Regional programme, Guyana, Jamaica, the Windwards and Belize.

Region

3.2 From 2000, resources were allocated using the Policy and Resource Plans (PARP). These summarise²⁰ an ambitious range of interventions covering regional initiatives in growth, social protection, trade and multilateral effectiveness. They sought to reflect the priorities in the 1997 and 2000 DFID White Papers around the need to align with international poverty reduction targets, to focus on public services, to enhance human development and to meet the challenge of globalisation.

3.3 At the same time, a range of other strategic initiatives were on DFID's table: an Institutional Strategy Paper (ISP) was developed with the CDB (2001), and CDI frameworks were approved and implemented in Jamaica, St Vincent, and Belize. Ongoing work with the EC - though not at a strategic level - was of considerable importance in terms of addressing the crisis in the banana industry and in determining what strategies Windward Island governments should pursue to access EC Stabex²¹ funds.

3.4 During this period, a regional strategy paper was under preparation which was to set out the overall direction of DFID's role in the Caribbean. Drafts were discussed from 2001 on, but it was not until 2004 that the Regional Assistance Plan for the Caribbean (RAP-C) was published. This aimed to narrow down the DFID programme in three areas: 1) trade and competitiveness, 2) public sector reform and economic management, and 3) security and HIV/AIDS. It would '*point the way towards graduation from our smaller bilateral programmes in the Windwards and in Belize, to be replaced over time by support at the sub-regional and regional level in areas where DFID can add... value underpinned by increased collaboration with our multilateral partners*'²².

3.5 The regional strategies were heavily influenced by resource constraints and structural reorganisation. The decision to establish separate DFID offices in Guyana and Jamaica (which emerged in 2000), built a more effective platform for DFID's work in those countries. The reduction in advisory capacity in Barbados shaped the regional strategies, which concentrated increasingly on strengthening regional actors. The ability to continue working bilaterally with the Organisation of Eastern Caribbean States (OECS) and with Belize was limited as the Bridgetown office took on a larger regional coordination role and had fewer advisors to support the OECS states and associated projects. Haiti was briefly mentioned in the RAP in terms of improving DFID understanding and identifying whether DFID can add value and in what way. Cuba was also to be 'better understood though with no direct involvement' (para. C17, RAP).

Guyana

3.6 The CSP (1999) is anchored in Guyana's economic recovery during the nineties and its

²⁰ The PARPs are each only 6-7 pages of text plus a policy matrix and cover 2001-2004 and 2002-2005.

²¹ Système de Stabilisation des Recettes d'Exportation is an EC compensatory finance scheme to stabilise export earnings of the ACP countries.

²² PARP 2002-5, para 2.1.

achievement of HIPC status in 1999, together with its status as the poorest Commonwealth Caribbean country. The Paper targets quite large investments in a set of key sectors (education, water, land reform and forestry) that address poverty eradication through improved services and a better enabling environment. The international financing institutions especially IDB and WB are major sources of external support, and the CSP stresses DFID's role in working with these agencies as well as with the EC, through co-funding and policy dialogue, to improve their effectiveness. Other themes covered privatisation, support for elections and debt relief. Improved governance was to be addressed not centrally but through improved management of key services particularly in water and land.

3.7 The CSP, which ran for 3 years, was never formally replaced. Following the setting up of the DFID Guyana office, which took over a year and was affected by security concerns, a draft CAP was produced in 2003, but this document remained unapproved by DFID. A subsequent revised Strategy was prepared by the next Head of Office (third draft, January 2006), but this too remains an informal document, and was essentially a transition paper leading to an all-inclusive new RAP to be prepared in 2007²³.

3.8 Implementation delays in the large water and education projects meant that these two strategy papers first stressed the need to complete these projects. They also underlined adherence to and support for the Government's PRSP, and emphasised the growing importance of governance in addressing poverty, particularly social cohesion initiatives around support to parliament, to elections and to civil society. From an economic perspective, the management of the preference erosion in sugar, Guyana's key export crop also emerged as a critical theme.

Jamaica

3.9 Given the anticipated resource envelope of £5 million per year, the CSP (2001-04) proposed an ambitious range of interventions:

'We intend to focus our development support on... public sector reform, education, community development, justice and enterprise development. We will review the opportunities to address rural livelihoods. We will also explore ways in which we can assist the Caribbean region more effectively to represent its interests in the globalising world.' (CSP, p.1).

3.10 With huge levels of debt (60% of revenues in 1999/2000), and intense financial restructuring programmes, Jamaica presents a different kind of challenge to development partners. In this context, the UK's programme of CDI debt relief initiative was to provide the UK's main contribution (£24.5 million between 1998 and 2003) to the country. In addition to country level activities, the CSP also reflects the expected regional support in trade negotiations and a greater importance being attached to preventing and addressing the impact of HIV/AIDS.

3.11 The subsequent CAP (2005) benefited from the installation of a dedicated DFID office in 2002, the evolution of a widely agreed government economic planning framework (the MTSEPF²⁴) and a thorough CAP consultation process²⁵. It is evident that it was also written under the light of

²³ DFID's corporate CAP guidance during the period was that a formal CAP was not needed for country programmes of under £20 million per year.

²⁴ The Medium Term Socio-Economic Policy Framework, later shortened to the MTF

²⁵ During CAP formulation, there was an attempt to jointly programme with the World Bank and IDB, but in the end this did not happen, mainly because of incompatible timing and reducing investment programmes amidst the mini-financial crisis in 2004.

clearer CAP guidance. It achieved a much stronger programme focus, recognising the need to avoid the thin spread of the earlier CSP. Two main themes were singled out where DFID's bilateral engagement would concentrate: *effectiveness and accountability of public services* and *community safety and security*.

3.12 The CAP drew on past lessons, and argued that DFID had specific comparative advantages which were:

'...our overall capacity for political and social analysis; our ability to add a poverty focus on issues of security and justice; exploiting the strong relationships with GoJ and other partners built by other UK Departments; our corporate knowledge of harmonisation and our ability to convene other partners on this issue; and our ability to work together coherently with other Departments in the UK, for example on trade and security issues' (para E10).

3.13 The CAP also responded to a wider context, recognising the risk of Jamaica-linked crime to the UK and the wider Caribbean has been recognised at UK Cabinet level and has driven a more proactive and coordinated response through the High Commission both against crime but also for issues such as sugar and HIV/AIDS²⁶.

3.14 The CAP, revealingly, reflects DFID's temporary commitment to Jamaica, based on DFID's overall uncertainty of presence in the Caribbean:

'DFID is committing to three to five more years of programming in Jamaica. Bilateral assistance of some £24 million is envisaged for the next three years (2005/06-2007/08) - £7.5 million through projects and programmes and £16.5 million through a series of annual debt write-offs dependent on Government performance'. (Jamaica CAP, para A6) .

OECS

3.15 The Windwards Island Strategy (2001) was published at a time when DFIDC was withdrawing from these four countries²⁷, and transferring its support to regional bodies and through local cooperation with the EC as well as the UK contribution to EC funds.

'We shall therefore emphasise the need to collaborate with other agencies, both regional and multilateral, in preference to promoting free-standing DFID projects. Our strategy is to complement the support available from the multilateral agencies, especially the EC, and help strengthen the islands capacity to make more effective use of these and other resources.'

3.16 The islands inherited a substantial raft of DFID projects and advisory capacity, yet it was argued that DFID's role needed to change and focus on eliminating vulnerability to poverty. Given declining resources and the emergence of such factors as climate change and of globalisation, the strategy envisaged support in four areas: livelihoods, education, environmental (and disaster) management, and trade negotiations.

3.17 More emphasis was also needed on building the effectiveness of key partners such as the EC, with its huge levels of under-spent grant funds, and the OECS Secretariat as the sub-regional

²⁶ A striking fact is that while UK is spending £19m a year on its collective engagement in Jamaica, the cost of keeping 2,500 Jamaican citizens in UK jails (the largest foreign contingent) is £91m per year. (Countries at Risk of Instability, Jamaica Pilot, Cabinet Office 2004).

²⁷ St. Vincent and the Grenadines, St. Lucia, Dominica and Grenada. These are the poorest of the OECS group, which also included Barbados and the Leeward Islands.

government body. Additionally, regional agencies such as the Caribbean Epidemiology Centre (CAREC), the Caribbean Disaster Emergency Response Agency (CDERA), the Caribbean Regional Negotiating Machinery (CRNM), the Caribbean Centre for Development Administration (CARICAD), would play a greater role under the DFID regional programme.

Belize

3.18 Although no explicit strategy existed, the case for DFID presence there was considered reasonably strong, though there were mixed views. There had been concerns over the absence of a strong pro-poor commitment by the Government of Belize, and this had played a part in the at times tense CDI dialogue between DFID and the Government of Belize. While DFID in the region worked out a strategy to shift from infrastructure and police reform work to technical cooperation, the decision to withdraw in 2004 was made at a higher level.

Table 5 Sector Foci of DFID Caribbean's Strategic Plans 2000-2005²⁸

REGION		
PARP 01-04	PARP 02-05	RAP 2004
Sustainable and equitable Growth (education, environment mgt, private sector)	Sustainable and equitable Growth (poverty reduction frameworks, better services, competitive private sector, less crime)	Economic management & public service delivery
Minimise social costs of change (globalisation, public services, private sector-govt relations)	Regional approaches (CSME, environment, HIV/AIDS, CARI-CAD, CDB)	Trade, regional integration and competitiveness
Strong Caribbean bargaining capacity & participation in globalisation process	Regional bargaining capacity and globalisation	HIV/AIDS and Violent Crime
DFID organisational alignment	Increased effectiveness of partners (EC/ IDB/WB)	(improve understanding Haiti)
	DFIDC effectively organised	
<i>Budget (£21m, £20m, £18m)</i>	<i>Budget (20.6m, 19.3m 16.5m)</i>	<i>Budget £96m over 3 years (of which £36m bilateral)</i>
GUYANA		
CSP (1999)	Draft CAP (2003)	Draft CAP (2006)
Education	Public sector delivery (education, water)	Complete existing programmes
Water & sanitation	National Governance / stability	Use water sector to improve aid modalities
Forestry	PRSP implementation	Support national competitiveness
Land Reform	Pro-poor economic growth	Align to govt. priorities (PRS)
Public Sector Reform Enterprise Development (region)	(sugar, land) HIV (region)	shared analysis work closely with IDPs esp. IDB and EC
Civil society (region) Trade (region CRNM) Alignment with PRSP <i>Growth in budget £4m-£6.25m</i>	Alignment with PRSP <i>Budget £14.5m for 2004-2007</i>	

²⁸ A Belize CSP is mentioned in the PARP 2001-4 but no document was published.

JAMAICA		
CSP (2001)	CAP (2005)	
Justice & personal security	Community Safety/ Security	
Macro-economic/ social context for growth	Effectiveness & accountability of public services for poor	
Public sector reform	MTSEPF harmonisation	
Education	Sugar transition	
Social planning policies	(HIV mainstreaming)	
Voice & rights for poor		
Enterprise Development	Alignment with MTSEPF	
HIV (region) <i>Budget £5m /yr</i>	<i>Budget £2.5m/yr plus debt from £9.5m - £5.3m/yr (04/5-06/7)</i>	
WINDWARDS		
CSP (2001)		
Sustainable livelihoods		
Education		
Protect environment/disaster management		
Caribbean regional voice in international negotiations (region)		
HIV (region) <i>Budget £6m/yr</i>		

Strategy Assessment

3.19 The strategy evolution in the Caribbean has followed DFID's emerging policy frameworks around MIC issues, the commitment to globalisation, particularly in trade issues, and an increasing concentration on governance and public sector reform. It has also sought to narrow DFID's own programmes into fewer areas where its comparative advantage lies, most recently in Jamaica and has also ensured greater focus on HIV/AIDS in recognition of its impact on the region.

3.20 The RAP gives greater focus but it is still ambitious given the continuing decline in money and staff resources available. Strategy is still broad as a result of several factors: the new ways of working (including building engagement with key IDPs, particularly the CDB, EC and CIDA, and

working with a range of regional agencies), the need to manage existing commitments, and planning for possible new areas or initiatives, for example the placing of advisory support in the CIDA office in Haiti.

3.21 Reflecting MICS priorities, a stronger influencing agenda for DFID partners has rightly been promoted, based on stronger country presence in two targeted countries (Guyana and Jamaica) which are especially fragile from a political and socio-economic perspective, and which have vulnerable groups of poorer inhabitants subject to declining economic prospects from banana and sugar industries, as well as growing crime and violence.

3.22 While tough choices had to be made as the regional programme moved to a new platform based on reduced support and closer working with regional partners, the analysis to justify the difficult choices on sectoral / sub region (dis)engagement has not been found. The RAP, while showing that the direction to move to a regional approach was right, was unclear on (i) how DFID would disengage from the Windwards, (ii) how DFID would disengage from commitments in certain sectors, such as in education, and (iii) how it would selectively engage with the best regional agencies in the most efficient way for best returns.

3.23 There were good arguments in the view of the evaluation mission for retaining elements of a bilateral programme in the OECS. These included the need for continuity or completion of existing programmes such as in education, building on partnerships with the OECS Secretariat in areas such as natural resources, and recognition of the growing governance and security issues that affect the fragility of these small states. At the same time it is difficult to see any area retained in the programme where cuts would have been clearly warranted.

3.24 The sequencing of the regional and country strategies, with their preparation and publication at different times, has meant that there is a lack of coherence between RAP and CSPs/CAPs. The 2004 RAP recognised the Guyana and Jamaica programmes, but does not fully capture the different country contexts or show how the region will specifically contribute to the country programmes. This is hard in the Guyana case, because there is no explicit country strategy on which to mould a regional programme. In Jamaica, the very specific context and programme challenges²⁹, as well as the physical separation, make regional support as loosely relevant as Jamaica itself is to the wider Anglophone Caribbean.

3.25 The Jamaica CAP is a good model, with extremely good analysis, relevant choices and a pertinent focus, and its relative distance from the RAP is in contrast to its closer alignment to other UK government agency programmes in Jamaica built around the joint Whitehall Strategy 2003 and its successor³⁰. By contrast, in Guyana in the post-CSP era, the lack of an approved and explicit DFID strategy is a concern – both from an accountability point of view but also in terms of DFID's work to be an open and well harmonised partner. Those involved in this period argue that the need for a CAP was offset to some extent by the extended implementation of a number of the CSP's major programmes, and by delays in the government's PRSP, around which a new DFID CAP would be built.

3.26 There is a layer of programming that is not reflected in the formal strategies. This is seen in interventions that are either negotiated from the UK such as debt relief initiatives and the support

²⁹ These are captured in the Jamaica CAP, and cover Jamaica's relatively more serious crime and indebtedness, as well as its relatively higher government capacity and service provision levels.

³⁰ Countries at Risk of Instability, Jamaica Pilot, Cabinet Office, 2004.

through the EC, or reflect opportunistic assistance such as in disaster response. Yet these areas do still require staff energy and time to coordinate or manage and as such impact on the ability to deliver the recognised strategy.

3.27 There is also a missing sense of connectivity between the broad strategies and the actual project and agency choices made during implementation. This is partly connected to the fact that few explicit sector strategies have been prepared – only for HIV/AIDS. Also there is an absence of annual work plans (with the exception of the PARPs) that translate the strategic direction into sets of intervention at region or country level. This leaves the explanation of why certain investments are made to the individual project memoranda, and subsequent reviews, which depending on the size of funding may or may not be undertaken or written up (See Section 4) and do not always contain the necessary detail about choices.

‘The PARP process has refocused priorities on existing commitments and pipeline proposals. However, momentum and a coherent strategic framework in which to operate have been affected by the slow production or the lack of CSPs. For example, it has taken two years and twelve drafts to prepare the Jamaican CSP. The process was poorly managed, key consultations with GoJ were overlooked and the CSP was so delayed that a four-year strategy became a three-year strategy.’ (Internal Audit Report No. 105/01/02, 2002, p3.)

3.28 Given the narrowing resource base and existing political and programme commitments, it was on balance correct to concentrate on existing Anglophone countries throughout the review period. Greater involvement in Haiti, Cuba or the Dominican Republic where the majority of the Caribbean poor reside would only have been practical if sufficient backing had been in place at ministerial level in the UK. A radical shift to address poverty in Haiti might have been a bold and justified move under different circumstances.

Results Focus

3.29 The country strategies reviewed, particularly the earlier ones in 1999–2001 generally have a weak results focus, with limited attention to identification of indicators or to setting out a reporting framework.

‘There is also a need to introduce APPR review procedures and project scoring. DFIDC Management need to ensure the timely completion of PCRs and that PRISM and forecasting cubes are utilised to complement the strategies and inform management decisions. Current in house systems for monitoring progress are not used consistently nor do they make best use of corporate data.’ (Internal Audit Report No. 2002, ibid.)

3.30 At the intervention level, results orientation was good for larger projects. Generally, these were results-focussed and monitored via a combination of Output-to-Purpose Reviews (OPRs), Project Completion Reviews (PCRs) and (for technical assistance contracts) deliverables. Logical frameworks were used for a number of project designs, and revisited during implementation and completion reviews. There is less evidence of the use of similar tools and logframe referencing methods in smaller projects partly because DFID’s internal rules require less intensive monitoring for projects/programmes below £1 million.

3.31 It would help build greater understanding of how project outputs are able to reach the expected outcomes if more intermediate measures could be identified. Examples of the use of intermediate outcome indicators include the number of companies being privatized in Guyana, financial sector exit timelines for Government and the use of technical assistance resources for CRNM training programmes in Barbados.

Relevance to context

3.32 Generally the strategies were well aligned to the region and national context. In the 1999–2003 period, the Guyana strategy though pre-dating the emerging PRSP, was a good fit and moreover answered the Government's call for donors to work in specific sectors. The later move away from certain sectors, such as education, was driven by DFID's need to engage in fewer sectors, and left gaps in certain national programmes – especially in Guyana and in the Windwards, although DFIDC did make some attempt to ensure that these gaps would be covered.

3.33 The convergence on governance issues including public sector reform, financial management, social policy and security has been highly relevant in Jamaica, Guyana, Belize and elsewhere, as these are areas where other donors are less willing to work, and where DFID has recognised expertise.

3.34 The shift to support regional bodies, such as CARICAD and the Caribbean Regional Technical Assistance Centre (CARTAC) and key multilateral players (such as CDB and EC) is consistent with the growing regionalisation agenda in the Caribbean and DFID's aid effectiveness principles. Not all regional agencies could be supported, but it is noted by some international development partners (IDPs) (CIDA, World Bank and EC) that DFID had chosen not to support the overall regional government agency, CARICOM, or its sub-regional partner, the OECS Secretariat, even though these were acknowledged to have weaknesses. IDPs were critical of this decision in view of the fact that it throws regional organizations into a state of imbalance where they are no longer in charge of determining relative priorities, since donors are doing that for them.

Consistency with DFID policies

3.35 DFID's approach in the Caribbean is highly consistent with the broad White Papers particularly the second paper with its emphasis on globalisation, trade and multilateral effectiveness, and also with DFID's Middle Income Country Strategy³¹. The latter captures many of the problems faced in the region, and the areas where DFID can contribute. The emphasis on improving the effectiveness of multilateral partners, of building coordination mechanisms, and strengthening the poverty targeting of regional banks have all been underscored in DFID's Caribbean regional and country strategies. This has been evident in DFID's membership and active engagement with the CDB, in its work to enhance the EC effectiveness, and in working with the PRSP process in Guyana and the Medium Term Socio-Economic Policy Framework (MTF) in Jamaica. Alignment with the MIC strategy is seen in DFIDC's decisions to place secondments in the EC and CDB, in its funding of WB coordination positions in Guyana, and in supporting the preparation of poverty assessments. The reduction in resources to the Caribbean is in accordance with the Public Service Agreement (PSA) target of committing no more than 10% of total bilateral resources to MICs.

3.36 At sector level, there is good alignment with specific DFID policies in the areas of disaster recovery and subsequently risk reduction³². The sustained emphasis on public sector reform through improved services (to land and water in Guyana) and pioneering participatory, community based planning in Jamaica matches corporate commitments. The strong focus on security reform is also very clearly in line with DFID's global concerns in this area³³ and the UK government's joined up approach in Jamaica reflects this.

³¹ Achieving the Millennium Development Goals: The Middle-Income Countries. A strategy for DFID: 2005–2008, DFID 2004.

³² 'Responding to Rapid Onset Disasters', 2003, and 'Reducing the Risk of Disasters – Helping to Achieve Sustainable Poverty Reduction in a Vulnerable World' March 2006

³³ As expressed in 'Security Sector Reform Policy Brief', 2003, and 'Safety Security and Accessible Justice (SSAJ): Putting Policy into Practice, 2002.

3.37 For HIV/AIDS, DFID's focus is consistent with corporate policy by aiming at increasing awareness, strengthening leadership and developing a regional response. However, neither the RAP nor the CSPs/CAPs mention direct support to civil society, although subsequent programming, since 2004, has had a large civil society and private sector focus.

3.38 Possible inconsistencies with DFID corporate approaches may have occurred in:

- (i) the commitment to 'develop clear graduation plans for DFID bilateral assistance in all MICs, which will be negotiated and shared with governments and other bilateral donors' (MICS strategy para 4.11). None of the strategies raise the possibility of graduation or how it might be negotiated. The move out of direct support with the Windwards does not appear to have benefited from such negotiated and shared planning.
- (ii) More could have been done to address the promise to support better knowledge management, lesson learning, results and M&E (MICS strategy para 4.5). While the strategies incorporate past experience, the direction of travel is principally concerned with managing a declining resource envelope. Programme results are monitored in an informal and internal way with insufficient periodic summaries or annual reporting.

Consultation

3.39 On consultation over strategies there is a fair record. Good efforts to consult occurred for the Guyana 1999 CSP and the Jamaica CAP. The 2004 RAP did go through consultation exercises, although some partners expressed concerns that the exercises were too managed by DFID, and that a London-based agenda was driving the process so that choices had already been made that could not be seriously adjusted locally. The evolution of strategies in Guyana after 1999, appears to show that while DFID kept its partners informed, the lack of a final document meant that there was no formal conclusion to consultations.

3.40 The departure of advisors has also reduced the ability to consult and communicate widely. For example, in Jamaica, the temporary absence of one Policy Advisor was felt by some partners to have reduced their awareness of the security programme in the interim.

Harmonisation

3.41 Although DFID's strategy in this area has not been explicit, there are some strong examples of harmonisation across the programme: with other HMG departments, with international financing institutions (IFIs) and with other bilaterals especially with CIDA, where it has had a close working relationship across the region. DFID works with International Monetary Fund (IMF), UNDP, CDB, CIDA, USAID, and the EC in the case of CARTAC, and has led on multi donor funding basket mechanisms in the case of CARICAD for public sector reform work. Alignment with government systems in accordance with the Paris Declaration has occurred in some instances (Grenada emergency aid, second phase of police reform in Jamaica).

3.42 On environment matters, DFID has participated in the East Caribbean Donor Group led by CIDA. With regard to the OECS Natural Resource Management Unit, there was clear complementarity with other work funded by CIDA and attempts were made to maximise the benefits of this. In other cases harmonisation was less effective, for example the PCR for the Dominica Sea Defences Project early in the evaluation period notes that donor coordination was poor with

donors engaged in building in different parts of the island with varying models.

3.43 Work on disaster response and risk reduction is well coordinated and DFIDC is represented by a member of programme staff, plus co-sponsored with advisory support from DFID's Conflict Humanitarian and Security Dept (CHASE) for the 2005 and 2006 hurricane seasons. There are clear rules of engagement in the case of response to a specific disaster which all donors follow and CDERA has a lead role. In the 2005 Guyana floods, UNDP, who lead on disasters in Guyana, found DFID a strong and supportive donor who was very effective in helping to coordinate support. Guyana was an exceptional case since the Government did not declare an emergency which is the trigger for a coordinated response.

3.44 The harmonisation challenges in HIV/AIDS are particularly daunting because of the very large players such as the Global Fund³⁴ and the US PEPFAR³⁵ initiative. DFIDC efforts in this area really started from 2004 on, but since then it has been actively promoting the need for better coordination through the Regional Co-ordination Mechanism with some success, as acknowledged by the Pan-Caribbean Partnership Against HIV/AIDS (PANCAP), the CARICOM HIV/AIDS agency.

3.45 In Guyana, DFID orchestrated donor cooperation in the case of Guyana water; while its recent lead role on donor coordination of the new National Competitiveness Strategy (NCS) is serving as a "pilot" to address further meaningful harmonisation at the country level. DFID had played a similar role on CRNM (trade); on the MTF in Jamaica and on Dominica's implementation of its growth strategy via the Dominica Fiscal and Economic Recovery Programme (DFERP).

3.46 DFID also played an important role in education in Guyana, and is credited with having provided essential inputs into various education reform processes, particularly in secondary education as well as with starting a donor coordination group that is still functioning today. Several interviewees noted though that the technical input provided by DFID in these donor coordination discussions is sorely missed since DFID moved out of the education sector.

3.47 In Jamaica, DFID has collaborated with CIDA in the case of support to Public Sector Reform Unit, and has engaged strongly in the MTF process with a range of partners. It has worked closely with other HMG departments in security reform work, and from a sole funding position initially in Police reform, and in social policy initiatives such as the Jamaica Social Policy Evaluation (Jaspev), it has latterly provided funds for a Multi-Donor Security Programme Facilitator who has begun work to map the work of donor and other agencies doing work in the security sector. A Thematic Working Group on Security was set up by the Planning Institute of Jamaica (PIOJ) in November of 2005, as part of the institutional arrangements for taking forward the MTF, and is co-chaired by the Permanent Secretary of the Ministry of National Security and by DFID.

Influencing

3.48 In line with MICS and the reducing resources for direct investments, over the 2000-2005 period, DFIDC has moved towards a greater influencing role. In the case of the 2004 RAP, the actual mix of instruments shifted toward influencing because of DFID's own budgetary constraints, but

³⁴ Global Fund to Fight AIDS, Tuberculosis and Malaria is a financing instrument established in 2002 with approvals of US\$ 7.1 billion to support programs in 136 countries.

³⁵ US President's Emergency Plan for AIDS Relief is a five-year, \$15 billion, multifaceted approach to combating the disease around the world, launched in 2004.

also because of a) the regional challenges faced in the areas of governance, debt and fiscal management that require close, high level engagement, b) DFID's historical and unique relationship with Anglophone Caribbean countries, and c) its presence as the sole EC member state in most of these countries.

3.49 **Working with EC** – DFID has recognised the EC as a very important player in the region, given the high level of indebtedness and the large volume of EC grant funding available. The strategic approach to working with the EC has evolved from being an implicit recognised priority as a key partner to one of increasing concern and high level political engagement³⁶. At the start of the evaluation period, although an ISP for the EC had been published in 2001, DFID's involvement with the EC was more at a technical and coordinating level than strategic, both in the UK and in the region. Two 'mini-strategies'³⁷ have been prepared by DFID advisors which have reflected the growing awareness of the EC's weak disbursement performance, and the need for DFID to have a step change in addressing it partly as a result of its own withdrawal from bilateral lending and also because of its presence as the only member state in many countries in the region.

3.50 The DFID strategy with regard to the EC has emerged only in the second half of the review period, despite the issues of poor disbursement, complex instruments and procedures, and a lack of poverty focus being well known and predating this period. The strategy is well considered and includes five elements: assistance to EC transitional support for bananas and to sugar, improving EC harmonisation with other donors, increasing the poverty reduction focus of EC programmes, and supporting the forthcoming Economic Partnership Agreements. The strategies were however seen as internal working documents and they have not been communicated with partners or governments, which would have perhaps improved the appreciation of DFID's efforts to address EC performance.

3.51 A series of four social advisors have been assigned since 1997 in the Barbados and OECS Delegation to enhance the EC's awareness of social aspects of poverty. These placements have supported banana and sugar transition programmes and latterly the preparation of country assessments to trigger budget support funding. No similar secondments have been arranged in other Delegations in the region (Jamaica, Guyana, Haiti), even though the EC's regional programme is managed from Georgetown, Guyana. These Delegations might have made suitable additional secondment postings, assuming the Delegations would have agreed to their attachment.

3.52 **Working with CDB** – DFID has had a long partnership with CDB built on its strong historical ties, as a founding member of the Bank, since 1969. The 2001 ISP sets out a comprehensive if very ambitious framework with 10 objectives to provide the basis for DFID's commitment to funding the 5th Special Development Fund (SDF) \$25 million (2001-2005). The main objectives are to strengthen the CDB's poverty focus and to make it a more effective regional development institution. These require using Country Strategy Papers to integrate with local poverty strategies, providing more policy advice and broadening its regional base and its partnerships, and building private sector engagement.

3.53 The CDB has a reputation as a financially solid if rather cautious financing institution. Yet it has digested the DFID-CIDA reform agenda, and its Strategic Plan (2000-04) is closely aligned with the ISP objectives, highlighting poverty reduction, partnerships, operational effectiveness and private

³⁶ DFID corporately has also recently upgraded its declared intentions to tackle the EC, through its PSA 2005-08, and the EU Institutional Strategy Paper produced in 2005.

³⁷ Objectives For Working With The European Union In The Wider Caribbean Region, 2003, by M.Munro; and DFID Caribbean's Strategy to Work with the EC, S. Dunn, 2005.

sector strategy development. The effectiveness of this reform process is discussed in Section 4, along with an assessment of CDB's achievements.

3.54 DFID has worked in close partnership with CIDA at board level, and through sustained technical advisory support, to encourage a reform agenda to make the Bank more effective, and to build an awareness of social issues alongside its traditional economic perspective. Yet the process is time consuming and hindered by the Bank's staffing profile and cumbersome operational procedures³⁸.

3.55 **Other Partners:** Though less prominent, DFID has worked extensively with its other traditional development partners, especially CIDA, the World Bank, and the UN. CIDA has been a close partner in various contexts, especially with regard to the CDB where they provide matching SDF contributions, and there are close relations and co-funding in other areas such as in environment, HIV/AIDS and public administration. CIDA's presence in Haiti has allowed DFID to place an advisory resource in the country to work with the international community on harmonisation and disaster risk reduction. DFID has worked closely with the World Bank especially in Guyana, the only HIPC state, and has funded the WB office there during the review period, a step that ensured a Bank presence. In Jamaica, efforts to develop a joint CAS between DFID and the WB were made but not completed due mainly to timing issues. The IMF has also been an important strategic partner around debt issues and CARTAC, which is IMF staffed. Linkages with IDB have been less pronounced, partly due its limited presence in the East Caribbean (providing funding mainly through the CDB) and also in Jamaica due to the high debt levels. Relations have been stronger in Guyana, where DFID has interacted on PRSP and debt issues and co-funded in the water sector. Finally, USAID have seen less strategic interaction with DFID, partly since some of USAID's Caribbean programmes have a falling budget (e.g. halving in Jamaica). But there has been useful joint work in Jamaica around community security work, and regionally on trade through CRNM and on disaster mitigation.

3.56 DFID has found less opportunity to work with the non-traditional and increasingly important development partners in the region such as Venezuela, China, India, and Brazil, and other non-Paris Debt members (Taiwan, Libya, Kuwait) many of whom have provided credit that is not subject to forgiveness, and who do not normally operate under OECD-DAC or Paris aid harmonisation agreements.

3.57 **Working with Governments:** DFID has been effective in working with the governments of Guyana and Jamaica, as is evident from the central roles played in their respective PRSP and MTF frameworks, and in supporting, and for a period leading, the Guyanese National Competitiveness Strategy. DFID has also been willing to work in difficult sectors such as security and police reform, and the presence of in country DFID staff has strengthened the access to and cooperation with senior Government.

3.58 DFID's public sector reform work has had varying influence. In the case of Guyana Water and Land, the influencing strategy was to assist policy and institutional development through implementation support, backed by mobilisation of other donor support in the case of water. While results with the Land Commission have been successful, in terms of creating a viable para-statal, results with water services have been slow to emerge. The policy and institutional/legal development work to provide the basis for a new approach to water service delivery was achieved. However, at the implementation level, there have been problems with the organisational reform of Guyana Water, particularly regarding the role and composition of the Board in its role of providing strategic oversight

³⁸ A St. Lucian senior government official interviewed felt that the CDB was more bureaucratic and more rigid than other partners.

and effective management.

3.59 In Jamaica, DFID assisted with the development of the Public Sector Modernisation Programme as well as the new participatory methods for planning under Jaspev/Social Development Commission (SDC). DFID wisely insisted on the formal placing of these under the Cabinet Office to maximise chance of mainstreaming. DFID also sought to pursue a challenging but innovative Sector Wide Approach (SWAp) on governance with other donors (CIDA and WB). However, this approach faltered when World Bank assistance did not materialise. The purpose and outputs of the design were never scaled down accordingly and hence unrealistic expectations were in place.

3.60 In the education sector, no written strategy in any of the countries or for the work at sub-regional level has been seen, and no stakeholders interviewed were aware of such strategy documents. However, the influencing strategy appears to have consisted of: developing strategic partnerships with other donors; supporting policy and strategy development in key areas e.g. secondary education, literacy; providing technical assistance at country level; and enhancing dialogue and buy-in to education reforms.

3.61 Resources were judged to be adequate for the Guyana and Jamaica education programmes. However, two important issues stand out: the range and scope of the reforms attempted was very ambitious and the timeframes much too short and not negotiable given that DFIDC wanted to move out of the education sector. In the Windward Islands education programme, the resources were inadequate. With a budget of £2 million for four islands, and again ambitious designs, many of the key “influencing areas” were not brought to term. For example, just the process of curriculum reform, which was one of the seven project components, takes between 5 and 7 years in most countries and can cost over £2 million.

3.62 **Working with Regional Entities:** At the Regional level, the strategy is to support regional bodies who can engage relevant expertise to assist with policy analysis and development at the national level – from governance/public sector reform (PSR) to macro-economics and fiscal affairs, as well as in environmental management and HIV/AIDS. CARTAC has a healthy multi-donor budget, strong IMF management and a clear focus on financial reform advisory work. CARICAD is described as ‘the poor relative’, with more limited capacity, and yet faces a widening mandate as it copes with the Caribbean Single Market and Economy (CSME) and a growing regional agenda. DFID has worked to mobilise basket funding, but in the longer term – like all CARICOM agencies – it must generate revenues regionally to be sustainable.

3.63 In terms of disaster management, work to design a Comprehensive Disaster Management Strategy was supported with a number of partners involved, but DFID then moved out of this area. In 2006 CDERA produced its own strategy, building on this earlier work. CDERA continues to value DFID’s engagement even though it was not supported by core funding, and there is evidence of DFIDC and DFID HQs later policy work having influenced thinking in this area.

3.64 **Working with Sub Regional Entities:** No explicit written strategy for influencing the OECS Secretariat is available. However, individual funding streams have sought to do this – for example DFID’s support to the OECS Natural Resource Management Unit worked with country governments to set up watershed management policies and work in forestry in Grenada.

Civil Society

3.65 In general, civil society engagement has not been at the forefront of the DFID Caribbean

programme, and civil society is described as fragmented and weak by DFID. This ostensibly has made the prospects for collaboration difficult and accounts for the absence of explicit strategies for their engagement. Within various programmes, however, civil society has played an important role.

3.66 In education, for example, attempts were made to bring communities closer to the schools and in particular to ensure better parental and community involvement in education decision making. In Guyana this consisted of setting up committees which were consulted on the use of decentralized funding to education. In the Windward Islands this included strong community involvement in the promotion of literacy initiatives.

3.67 Civil society collaboration is a central plank within some individual projects, for example, in the regional project on Alternatives to Custodial Sentencing and within the Jamaica security strategy. This is most clear in Jamaica Urban Poverty Project (JUPP), JASPEV and the Community Security Initiative, because these explicitly seek to draw on the efforts of civil society groups, and indeed to mobilise – and if necessary create – neighbourhood-based civil society governance structures to galvanise communities to redevelop neighbourhoods. However, it also features in the work of Jamaica Constabulary Reform and Modernisation program, where the development of community policing has also explicitly targeted collaboration with civil society.

Risks

3.68 Overall, there is a fair record on risk analysis (the best example is in the Jamaica CAP), but a weaker record on risk mitigation. Risks were noted in most strategy documents often in general terms, and where assessed in project design documents, were then monitored during implementation. However, there is limited evidence that risk minimization strategies were put in place. This summary is illustrated by the following sector by sector examples:

3.69 Under **trade**, capacity and sustainability risks were not minimised or addressed in the CRNM activity, nor is there evidence that risk minimization strategies were used on smaller interventions like the Private Sector Commission and Caribbean Microfinance activities.

3.70 Little evidence was found of a comprehensive risk assessment strategy in the **education** sector. The design of the projects appears in most cases implicitly (and in some cases explicitly, as was the case for Guyana) to have departed from the premise of a long term engagement (beyond the three to four year duration of the projects themselves) so that issues of sustainability and scaling up would be addressed as they emerged and became critical. This was an important and prudent strategy given the ambitious nature of the projects, which in most cases attempted to address various key dimensions of education policy and practice. Once it became clear that the education sector was no longer a priority, a considerable effort was made in most cases (Guyana being an excellent example of this) to wrap up the projects i.e. concluding commitments made and documenting experiences and lessons learnt. But the risks associated with the kind of reforms that the projects had set out to address could no longer be addressed because they would have required a further and longer financial, technical and policy commitment.

3.71 With respect to **HIV/AIDS**, the 2004 RAP identifies the impact on the economy, family and nations of HIV/AIDS rightly as a significant risk. It also highlights the absence of co-ordination on HIV/AIDS and the need to negotiate reduced prices for medicines as a key risk. The RAP proposes to manage these risks through a series of priorities including: increased harmonisation of aid delivery, building up regional institutions, working with external partners, basing DFID staff in countries where it has substantial programmes, and deepening collaboration with other parts of DFID and with other

UK government departments. However, this is formulated in very broad terms and the implications in terms of programming and priorities could have been more adequately teased out.

3.72 In **public sector reform**, risk elements were variously defined, from just “high risk” in the case of the Guyana Water project to very specific and comprehensive risks in the case of the Jamaica Constabulary Force Reform and Modernisation Project (JCFRMP). CARICAD’s OPR process has been attentive to risks in terms of funding sustainability, staff and Board commitment to a Corporate Plan. In the case of Grenada’s Public Sector Management Improvement project, there were assumptions about acceptance of new public management approaches such as corporate planning and performance management in ministries. In Dominica, the risks in the Fiscal and Economic Recovery Programme were fully recognised and constant vigilance applied in monitoring the situation.

3.73 With Jamaica Public Sector Modernisation Programme, new risks have been identified such as the new PM and her possible re-election (to which a wait and see strategy has been adopted) and dwindling resources (both donor and Government). The latter will be countered by possible negotiation with MoF. With Jaspev, the major risk was seen to be possible loss of commitment by Government after elections. A DFID counterstrategy was to place Jaspev under the Cabinet Office. It was also felt that Jaspev has become quite popular and grass roots pressures would keep it alive.

3.74 In the case of **crime and police reform** of the JCF, capacity to absorb change, corruption and political commitment were not considered a risk at the design stage, but recognised later. The counter-strategy includes dialogue with the Minister and Commissioner, more stress on implementation procedures, and a GOJ National Security Strategy.

3.75 Finally, in **environmental management**, there is some mention of risks of disasters as part of the Caribbean context sections, but there are no risk minimisation strategies evident.

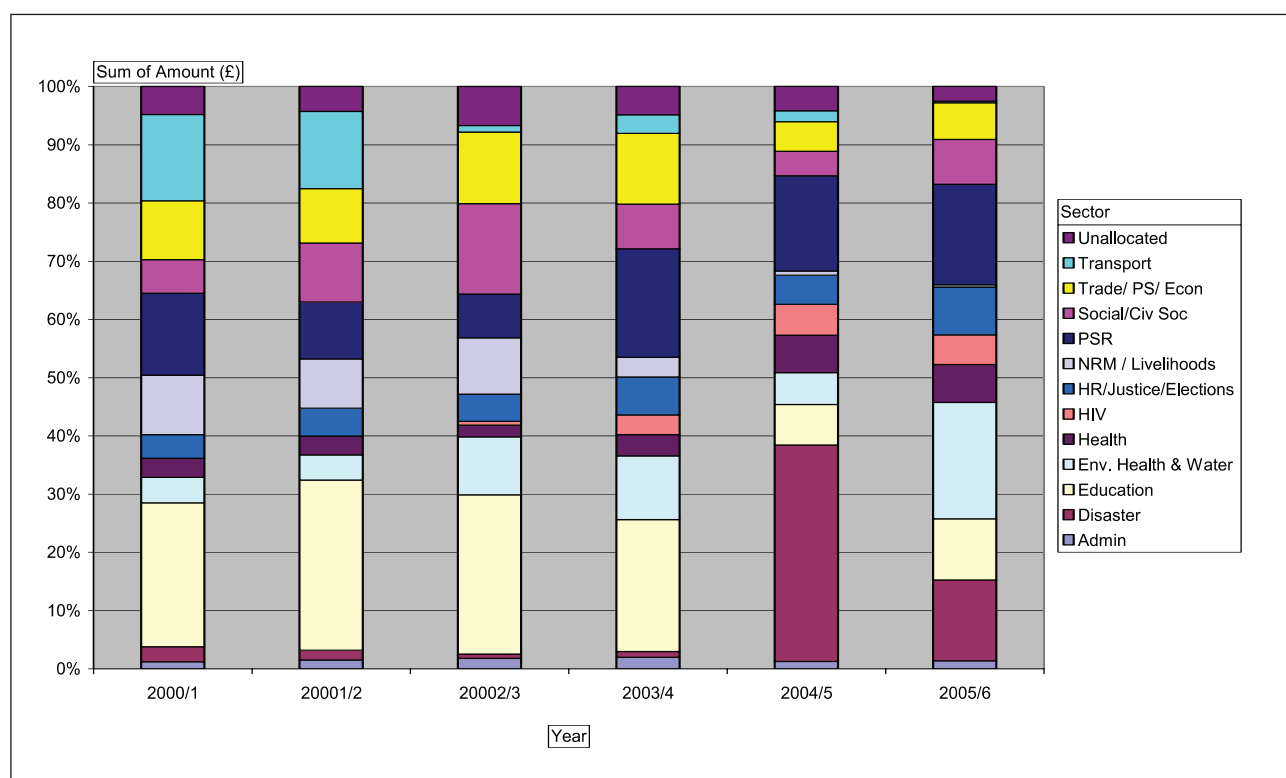
Portfolio of Activities

3.76 DFIDC has implemented projects in a wide range of sectors over the period. Debt relief accounts for around one third of UK’s bilateral assistance (see Figure 3).

3.77 Of the 150 or so projects which ran over the 2000–2005 period, there are 32 over £1million. The review period has seen significant change in the balance between sectors (Figure 4). There has been a decline in education, natural resource management and infrastructure; and notable growth in public sector reform (regionally, and in Dominica, Jamaica and Anguilla), HIV/AIDS and disaster (mainly Hurricane Ivan response in 2004). The bulk of the portfolio is through traditional project aid, with the only **budget support** occurring in the form of debt relief and emergency relief.

3.78 Annual spending as shown in Table 6 above has fallen by over a quarter over the past 4 years from £37 million in 2000/01 to £24 million in 2005/06. As Figure 1 shows, Guyana accounts for some 42% of the total programme spend, Jamaica 24%, the Caribbean regional programme 13% Windwards 11% and Belize 9%³⁹.

³⁹ These figures exclude Antigua & Barbuda and Barbados and the Overseas Territories.

Figure 4 Sector distribution of bilateral Caribbean portfolio 2000–2006

Source: SRS Database, Oct 2006

Portfolio Assessment

3.79 Generally the portfolio appears to fit with the strategic direction of travel pursued by DFID, an achievement that may have arisen because of the need to rationalise a broad programme within declining resources, and the lack of many large or long-term commitments that in other country programmes have continued implementation causing a lag to changes in strategic direction⁴⁰. The aim of rationalising the portfolio was successful in the context of natural resources, transport, education and health interventions ending. However, education and water continued in Guyana as a result of implementation delays and in the case of water, difficulties encountered in achieving public service reforms.

Managing the Portfolio

3.80 The staffing timeline in Annex 6 indicates the number of staff by location and position over the 2000–2006 period. The picture reflects four trends: overall reduction in UK-based advisory staff (from around 12 in 2000–01 to 6–7 from 2003 on and finally to 3 in late 2006); the shifting of staff positions from Barbados to Guyana and Jamaica where each office has 4–5 programme posts from 2003; the downward shift in advisor grades with fewer A1s; and the growing number of Staff Appointed In-Country (SAIC) programme management staff – from 1 to 6.

3.81 The decision to manage the programme from a regional hub has presented something of a challenge to the Barbados team. Covering such a diverse and physically scattered set of countries is

⁴⁰ A point noted in other Country Programme Evaluations: see the Synthesis of 2005/6 Evaluations, DFID CPEs, Report EV671.

logistically costly, and while the local context in the Eastern Caribbean has some strong commonalities, this is less so with countries as diverse as Jamaica, Guyana and Belize (with their South American/Central American contiguity and interdependencies).

3.82 Regional advisory support has often worked well, for example with governance, private sector and debt relief support to Guyana, social development support to JASPEV in Jamaica and environmental and education support to the Windwards. But coverage has weakened after staff cutbacks and after the development of the RAP. For instance, in Jamaica after the departure of the private sector advisor the Jamaica Cluster Competitiveness Programme (JCCP) did not get sufficient advisory input⁴¹. With the reduction in economic/private sector advisor positions, the SAIC staff, without special skills in these areas, has been hard tasked to manage these activities. This has partly been addressed by support from London-based advisors, particularly in HIV/AIDS, disaster response and statistics.

3.83 Note should be made of DFID's recruitment problem in the Caribbean. It is not seen as an important posting within DFID. This reflects the small and reducing portfolio, and the lack of perceived 'development challenge' or use of new instruments such as budget support. Thus the advisory post in Guyana took 18 months to fill in 2002-3, and the regional governance advisor post has been difficult to recruit.

3.84 Recruitment of SAIC advisory staff has also been a challenge. There have also been issues around the handling of the downsizing process, particularly the reorganisation in 2003 which affected staff morale.

Crosscutting issues

3.85 This section looks at the extent to which to which the Caribbean portfolio addresses key issues that it is DFID's policy to mainstream as appropriate throughout its investments, particularly gender, governance, HIV/AIDS, environment and poverty. The overall judgement is that the quality of strategy documents and sector interventions in terms of the extent to which they incorporate crosscutting issues is generally weak. To address all such issues in a programme of this size and range of country contexts would however be quite difficult.

3.86 **Gender:** little attention is given to gender in any of DFID's strategies. Within sectors, attention to gender is more mixed. For example, the DFIDC HIV/AIDS strategy does not make specific reference to gender issues, although a partnership with UNIFEM has grown since 2004 in this area. Gender was however an important dimension of the education initiatives. The education interventions in secondary education sought to specifically address issues of equity and to promote modalities of education that would encourage boys and young men to stay in school.

3.87 There may have been some opportunities to work gender into programming that have been overlooked. Notably, the failure so far to have addressed the disadvantages faced by women in recruitment and promotion within the JCF may have been a missed opportunity, and one that might have strengthened reform efforts more generally: women may be a strong asset in community policing, they also tend to be more qualified.

3.88 Of the environment projects, the only one to mention gender in its project memorandum is the Grenada forest project and this does not translate into any specific indicator in the log frame and

⁴¹ This was supposed to have been provided by a new partnership in JCCP with USAID, but they faced unexpected cuts and shifts in their programme and finally confirmed that this would no longer be possible.

as a consequence does not generate any comment in the last available annual review.

3.89 **Governance** is seen as central in Guyana and Jamaica, and important in the regional programme. While there are no explicit regional or individual national strategies, the theme of governance increasingly resonates through the programmes. Particularly in Guyana and Jamaica, governance in various forms is a central element of DFID's work across various sectors (water, land, elections, social cohesion).

3.90 **HIV/AIDS:** there is no mention of HIV/AIDS in the early strategies (1999, 2000). In the RAP, HIV/AIDS emerges alongside violence and crime in an uneasy alliance which was driven by recognition (particularly from headquarters) of the need to include this important sector, but with the reluctance to add a fourth area to the strategy given the overall emphasis on streamlining the programme.

3.91 For the regional programme, DFIDC decided to focus on Strategic Objective Six of the CARICOM Secretariat's Regional Strategic Framework on HIV/AIDS, which addresses national and regional analytical and management capabilities. This decision was not because other objectives were less important, but because the prior analysis of donor support done by DFIDC had indicated that other objectives were receiving substantial support.

3.92 HIV/AIDS is recognised as an important issue to be addressed in the Jamaica CSP and CAP, and in the draft Guyana CAP, but since it is to be managed through a DFID's regional programme, it is not directly tackled in the bilateral programmes.

3.93 A separate point has been the lack of mainstreaming of HIV/AIDS across DFIDC's programme. DFIDC started working on this towards the end of the evaluation period, organizing workshops for its staff, but this still needs to be translated in to concrete action. In practice "*we have placed much stronger focus on DFIDC role in external mainstreaming*" (DFID HIV/AIDS Advisor i.e. in encouraging other partners to take HIV/AIDS on board in an integral manner).

3.94 **Environment:** The view of the DFIDC environment adviser at the start of the evaluation period was that attempts to mainstream environment into other aspects of DFID's work met with limited success and that this would not have improved once the adviser left.

3.95 DFID corporately was seeking to mainstream issues of environment over the period 2000-2005 and in fact all projects of £1 million and over have required an environmental screening note since 2003, as have other projects likely to have significant environmental impact. The only project in this portfolio eligible for an environmental screening is the Grenada Emergency Financial Aid (produced by an environment adviser in London). This is very comprehensive and in fact looks like it might have taken more time to draft than all the rest of the project documentation. No evidence has been found to determine whether or not the issues identified were taken into account as the project was rolled out and discussions were held with members of the Government (unfortunately no member of the Grenada Finance Ministry was available to speak with the evaluation team) and these issues are not discussed in the PCR for the project.

3.96 **Poverty and social exclusion:** The record here is better than for gender or environment. All the published strategies do attempt to define poverty in the Caribbean context so that DFID's programme can target the specific and different poverty characteristics and mainstream them. This is especially true of social exclusion, where DFID aimed to address marginalised groups (in urban Kingston, in producers of traditional crops, and in households without access to education, water or land).

Monitoring and Evaluation (M&E)

3.97 M&E frameworks are generally weak at the regional or country programme level – the RAP provides an outline of key indicators but few are measurable⁴² and no resources or plans are provided to collect or report on results. Regular progress assessments, such as Annual Plan and Performance Reviews (APPRs), are not regularly used. Internal process monitoring consists of in-weeks and informal discussion. OPRs/PCRs are good but limited in applicability given the small size of projects. 126 out of 158 projects (80%) are under £1 million in commitment value, and therefore not subject to the OPR/PCR requirement. In fact 13 projects under this value were still reviewed and scored.

3.98 The monitoring system could have been designed to cope better with a programme involving many countries and actors, and to adjust it to be more relevant to a portfolio of mostly small (< £1 million) projects. However, there was a conscious attempt to involve partners in reviewing progress, according to a former Head of Office, in order to improve local leadership and build capacity. Annual reviews were sometimes jointly prepared by DFID advisors and project stakeholders, and such reviews were sometimes done for projects of a smaller size. A general comment from both donor and government partners was also that DFID's reporting requirements were less bureaucratic and burdensome than others.

3.99 The results at project level highlight:

- Generally very ambitious target setting (for example JCF, with sharp decreases in crime rates anticipated in a difficult security environment, or the Guyana Education Access Project (GEAP);
- In some cases absence of base lines against which to measure progress;
- Reporting in terms of percentage increase without reference to original and final levels or number of beneficiaries reached.

3.100 Also, many project indicators reflect longer-term outcomes. So for the Jamaica All Age Schools Project (JAASP), the target of having “at least 95% of the students in the project completing nine years of schooling” could only be measured a number of years later. The same goes for the target of having a “10% increase in pupils progressing to secondary school”. There was a need for better intermediate indicators which would have provided an indication of trends in these projects.

Communications

3.101 The consultation on the RAP and CAPs were usually thorough involving workshops and meetings with partners and civil society. Some partners did feel that the RAP process in particular was a UK-driven agenda however and consultation was less effective than it could have been. In particular some of the partners highlighted the ‘rubber stamping’ nature of some of the consultative processes and the limited impact that critique could have on the reformulation of policy given the human resource and financial constraints faced by DFIDC.

3.102 The quality of the publications themselves were cited as models by some partners. CIDA felt

⁴² As an example, the success criteria for the CDB work is to show ‘greater leadership/ dialogue role achieved in Windwards and Belize’, and for Trade: ‘effective trade negotiations for CRNM’.

that publication was itself an achievement— as they couldn't complete theirs after 6 years. In Jamaica, the CAP was widely recognised as a clear statement of DFID's intentions. This was in contrast to Guyana, where no formal strategy was presented after the CSP.

3.103 In other respects communications could have explained sector shifts and programming better, though annual published reports or briefs. The shift to a regional approach also reduced transparency. For example, in the OECS countries the understanding of DFID's new regional role was less clear, as direct advisory contact reduced.

3.104 On economic reform and trade issues, this was limited to relatively confidential communications between DFID and relevant Government entities or trade bodies. On HIV/AIDS, stakeholders were generally aware of the regional nature of DFID's work and of its commitment to HIV/AIDS through both PANCAP and CAREC. They were less familiar with the work on the Private Sector (probably in part because this is a recent initiative – started in 2005), of the specifics of the HIV/AIDS strategy and of DFID's priority areas.

Box 2 Summary of Findings (Chapter 3)

- The RAP outlined a better focused programme, than earlier plans, but the regional programme is still ambitious given the decline in staff and financial resources. The RAP reflects DFID's MICS principles, but the choice of sectors to engage with and disengage from was also driven by management-imposed resource constraints, and compounded by a lack of sector-level strategies.
- There is a lack of coherence between the RAP and the national strategies, due to national priorities and strategy sequencing, leading to some separation in areas of focus.
- The two Jamaica strategies show a good progression, with an increasing focus on areas related to DFID's comparative advantage, Government priorities and wider UK concerns.
- The first Guyana strategy in 1999 was appropriate at the time, but its replacement was not approved and will now be overtaken by a single all embracing RAP instead of separate country plans for Jamaica and Guyana. There has nevertheless been an extended transition process in Guyana, affected by slow implementation of education and water investments, towards a new focus on governance and security.
- The results focus of the strategies was limited due to the identification of few measurable indicators or annual progress tables. Larger projects had better frameworks, but the portfolio consists of many small projects that are not monitored systematically.
- While the strategies reviewed show high consistency with a large part of DFID's corporate agenda, especially in terms of globalisation, aid effectiveness, influencing and fragile states, they are less aligned in one or two areas: how they explain and plan for the graduation out of bilateral assistance, and how they will achieve better knowledge management, results focus and M&E.
- DFIDC operations have been well harmonised: with active and sometimes leading involvement in the relevant aid fora in Guyana and Jamaica, and also there are many examples in sector work.
- In terms of influencing, DFIDC has developed internal strategies to improve EC effectiveness during the evaluation period, and has provided secondees to the Barbados Delegation. DFID's 35 year partnership with the CDB has continued with an ISP agreement that provided financing for soft lending, regular Board support and social policy advice to encourage reforms that aim to increase the Bank's poverty focus and operational efficiency.
- DFIDC worked effectively with the governments of Guyana and Jamaica, but had a reduced role in the OECS following its shift to a regional platform. The regional presence did allow opportunistic and critical engagement in such events as the post Hurricane Ivan relief and the Dominica fiscal crisis.
- While the staff complement has declined, work demands remain high given the new ways of working (including extensive engagement with key IDPs), managing existing commitments and planning for possible areas of expansion (to Haiti for example).

4. PROGRAMME EFFECTIVENESS

Results

Table 6. PRISM Scores available*

SCORE	OUTPUT				PURPOSE			
	Jamaica	Guyana	Region	All	Jamaica	Guyana	Region	All
1	1	-	3	4	2	-	4	6
2	4	5	12	21	3	5	13	21
3	3	2	3	8	3		2	5
4	-	-	2	2	-	2	1	3

*35 project records contained PRISM scores (out of a total of around 160).

4.1 DFID's Performance Reporting Information System for Management (PRISM) is used to record performance scores for all bilateral projects and programmes of £1 million and over during annual reviews and in completion reports. Scores are given relating to the project purpose as defined in the logical framework and against the outputs the project is due to deliver. Scores denote that the purpose/ outputs have been/are likely to be fully achieved (1) largely achieved (2), partly achieved (3), 'only achieved to a very limited extent' (4) or not achieved (5).

4.2 The PRISM scores indicate a comparatively good record for DFIDC for the sample measured – with 70% rated 1 or 2 for output and purpose. The 35 projects account for some 80% of bilateral project expenditure (excluding debt relief and various UK-led projects). Note should be taken of the fact that some of scores reflect 'interim' results as they come from ongoing reviews, and that a large number of smaller projects are not rated as they fall under the £1 million threshold where a review has been obligatory since early 2002. A more general cautionary point is that the individual project scores account for discrete achievements but do not necessarily provide in combination a good means of assessing programme performance. For this, an intermediate outcome judgement is required, which if not constructed in the RAP or annual performance tools, presents a challenging task for an ex-post evaluator.

Results by sector

4.3 This section looks at results that can be found in DFIDC's reviews of projects/ programmes which relate to the purpose and outputs these projects/ programmes were expected to deliver. Findings have been backed up by interviews in the field. For the support provided through multilaterals such as the CDB and EC, evidence is drawn from multilateral effectiveness reports, where available, and from interviews.

Education⁴³

4.4 For education, results achieved so far include: (i) Influence on selected areas of policy (e.g. modalities and delivery of secondary education, health screening for children); (ii) Selected improvements in quality, retention, performance, literacy levels; (iii) Increased involvement of communities and other stakeholders in education processes; (iv) Improved school management, including decentralization of planning and service delivery; and (v) Increased availability of tools and manuals, including documentation on models for replication.

4.5 In Jamaica, the JAASP PCR in 2003 mentions: a 10% improvement per year in the number of children achieving mastery in Grade 4 literacy tests (target reached); 10% reduction in the number of children categorized as at risk in Grade 4 literacy tests (target reached). A 30% improvement in attainment levels in more than 80% of the schools. 13 out of 14 school rehabilitated and equipped to acceptable standard (target was 100% improvement). School attendance of at least 85% in nine out of 14 schools (the target was 85% for all 14 schools).

4.6 Specific results for the secondary education GEAP project in Guyana include the creation of 2940 new school places, with two new schools constructed and six refurbished, in two disadvantaged regions. The recent PCR in December 2006 gave an overall score of 2 for purpose and outputs, with significant improvements in secondary access and pass rates, and adoption of model teaching methods into the Education Strategic Plan.

4.7 DFID has been less successful in a number of areas. These include : (i) Institutionalizing change processes within government structures; (ii) Addressing some of the systemic causes of education weaknesses (related to human resource management and to incentives, both of which are notoriously difficult to address); (iii) Strengthening the capacity of regional institutions – in particular the OECS Education Unit – and using local and regional human resources; (iv) Getting other donors to fill the gap when they left – according to a Guyanese Ministry official “No other donor stepped in to fill the gap left by DFID in Education”; (v) Developing good exit/transition strategies for the sectors it leaves (with persons interviewed during the evaluation highlighting that expectations were generated which were not met).

Trade, debt and privatisation

4.8 **Trade** - Two of the three objectives on trade set out in the RAP were achieved: effective trade negotiations for the Caribbean by the Regional Negotiation Machinery (RNM) is now operational and progress is being made towards harmonised support by donors to RNM. CRNM is now the main source of technical advice for CARICOM and individual Caribbean states on negotiations under the Free Trade Area of the America (FTAA) and the Economic Partnership Agreements (EPAs) with the EU.

4.9 The third objective – accelerated development of the institutional infrastructure for completion of the CSME – was not achieved, mainly because of the slow pace of integration followed by regional governments, and (in the view of a former DFID economic advisor) because DFID did not find any concrete features of this CARICOM activity to support.

4.10 **Privatization** - The objectives and performance indicators for the privatization programme

⁴³ A separate paper produced by M.Visser as part of RPE mission elaborates further the findings on education. Contact EVD for details.

were largely achieved. In Guyana, over \$100 million in nationalized assets were privatised (over 100 nationalised companies were privatized over an eight-year period), and government's financial and human resource burden associated with public ownership of physical assets markedly reduced or eliminated. Policy level commitments to continue to improve the business/investment environment have been recently introduced and a NCS established as a major component of Guyana's economic development strategy.

4.11 **Debt Relief** – DFID-initiated debt relief (Commonwealth Debt Initiative, HPIC, Multilateral Debt Relief) amounting to £67m over the period⁴⁴ has alleviated debt service obligations and freed up equivalent government revenue for use on PRS-type priorities. Thus it has proved a success in that it both a) helped to alleviate fiscal constraints in Guyana, Dominica, Grenada, Jamaica and Belize and b) created opportunistic entry points for DFID to play a supportive coordinating role on resulting broad-based national economic reform agenda. (e.g. the Belize Strategic Fund).

Public Sector Reform

4.12 For public sector reform, the strongest results occurred in land reform in Guyana, where 9,424 land titles have been issued as compared with 500 pre 2000. Water delivery has shown improvements in urban delivery and treatment, but reviews have been cautious, with the latest OPR stating it was too early to judge achievement.

4.13 In Jamaica, interventions remain “work in progress” – though the earlier DFID work on PSR by way of Agency creation has changed radically the approach to service delivery. The remaining agencies scheduled for creation are the subject of final work by DFID consultants before the project closes early in 2007. The 2006 Annual Review refers to “weak reporting” because of “lack of clarity and purpose in absence of a logframe”. Nevertheless, the main result is the enhancement of customer orientation by way of the Citizens Guide to Consultation and training of ministry/agency officers in participative methods.

4.14 At the regional level, CARTAC has delivered impressive results, especially in the area of VAT in the smaller island states although this cannot be attributed exclusively to DFID's support. CARICAD remains at the cross roads with an ongoing programme of strategic and corporate capacity building and a proposal for a multi-donor basket funding mechanism.

Security

4.15 **Jamaica:** the primary overarching objective in the security sector articulated across both the 2001 CSP and 2005 CAP is the improvement in community safety—something that has yet to be achieved substantially: 2005 set a record for homicides, though there have been some declines in 2006.

4.16 Output indicators related to security in the 2005 CAP show some successes. These include, for example: the launch of the government National Security Strategy, the Community Service Initiative becoming operational, the beginning of a coordination effort among actors (government, donors, and civil society) in the security sector – all of which have moved forward.

4.17 In the 2001-2005 JCF Reform Programme, some implementation progress has been partially

⁴⁴ DFID's database between 2000-2005 shows UK debt forgiveness was £5.6m to Belize, £37m to Guyana, £21m to Jamaica and £3.2m to Dominica.

achieved, broadly in line with the expectations of original project memo. Thus, work has progressed on the JCF programme to include a series of community policing initiatives, the development of divisional intelligence units, the refurbishment of police stations, training on service and ethics, the establishment of a professional standards bureau and an anti-corruption strategy. Some limited gains are also evident from a study tracking police and public perceptions in 2001 and 2005 that show some modest improvements in policing and perceptions of policing, which in part may be attributed to the JCF reform programme, though might be attributable to separate developments.

4.18 Thus, modest improvements are suggested (according to the 2001-2005 PCR) in perceptions of police adherence to values and ethics, respect for human rights, courtesy and customer service, ability to maintain law and order, ability to protect life and property, ability to investigate crime, ability to preserve peace. The outcome indicators were either less successful (a '30% reduction in crime' was not achieved, and was unreasonable to expect), or were not measurable (a '20% increase in quality of services by year 2002').

4.19 Probably the best evidence of security improvements linked to DFID assistance emerges from evidence from the JUPP. This project, which developed and promoted new methods of community mobilisation to tackle poverty issues in Jones Town and other poor neighbourhoods of Kingston, may have led to some gains in security (or at least perceptions of security) in these neighbourhoods. Notably, the PCR reports that crime rates were down in certain communities of Kingston, and some communities previously in conflict were now talking instead of fighting. Interviews with KRC staff clarify that community level assessments indicated improvements in people's feelings of safety and reductions in conflict. JUPP also has a spin off credit union supported by CIDA, which only took off because of DFID catalytic work.

HIV/AIDS

4.20 Although the programme is still on-going, some of the results achieved so far include: (i) Increased awareness on the importance of addressing HIV & AIDS among regional decision makers; (ii) Evidence of gradually reducing levels of stigma and discrimination and increased number of organizations now working on stigma and discrimination; (iii) Gradually increasing involvement of the private sector in HIV and AIDS awareness, care and support (best results so far have been in Barbados, but Jamaica is lagging behind); (iv) Significant impact on smaller countries (OECS) which alone cannot address HIV/AIDS e.g. in the area of pricing and delivery of drugs where DFID with the Clinton Foundation contributed to putting over 300 children on antiretrovirals.

4.21 DFID had been less successful in: (i) Ensuring measurable impact at national level – through the work of regional institutions. To date the regional institutions through which DFID provides support do not have the capacity to monitor to what extent changes are occurring. As a result, the first RAP target on HIV/AIDS concerning the strengthening of national HIV/AIDS plans by regional organizations is at risk; (ii) Significantly impacting on the institutional capacity building needs of PANCAP itself. DFID's support has helped strengthen the institution (although "*some aspects of PANCAP's work have been disappointing*" – DFID HIV Advisor) but support has not been based on a comprehensive assessment of PANCAP's overall needs; (iii) building capacity of and providing direct support to civil society (noted by Marcus Day of the Caribbean Drug Research Institute).

Environment and Disaster response and management

4.22 Only the Windwards CSP of 2001 and the Guyana CSP of 1999 mention work on

environmental issues and even in these cases, clear expression of what DFIDC thought success would look like are missing. At project level though there are some valuable results, as detailed below.

4.23 In forestry, the Grenada forestry management project led to the development of policy which was approved along with 10 year Strategic Plan. In Guyana, forest policy and legislation were both prepared and presented for public consultation, although at the time of the PCR the Government had not formally approved the former, and Parliament had not passed the latter. The PCR stated that despite some notable successes, particularly in the more technical areas addressed by the project, benefits were finely balanced against shortcomings in the areas of social development and approaches to institutional change.

4.24 The emergency financial aid to the Government of Grenada in November 2004 in the aftermath of Hurricane Ivan was highly successful with 97% of the £5.5 million committed spent on staff salaries for public sector workers as planned. Subsequent IMF analysis indicated that DFID's emergency financial aid, along with that provided by other donors, was instrumental in averting a financial crisis and ensuring that the Government of Grenada met its budget commitments. DFID made additional contributions to Pan American Health Organisation and civil society groups working on the hurricane recovery and reconstruction effort (e.g., through OXFAM and local NGOs, DFID contributed to repairing rural dwellings, establishing chicken rearing enterprises and providing schooling, and small cash for work programme aimed at the clearing of debris, which lasted 18 weeks and employed 344 people).

4.25 In Guyana, DFID helped the coordination effort following 2005 floods, where the response mechanisms of the Guyanese government failed to operate effectively. DFID funding assisted in supporting emergency repairs to the water/flood management system, as well as with emergency relief (money was used to buy relief items including water purification sachets and water containers, survival items such as blankets and treated mosquito nets). In the first initiative of a new partnership, DFID funded the services of a 20-person Royal National Lifeboat Institution rapid response team with six lifeboats from the U.K. to help distribute supplies in areas cut off by the floods⁴⁵. The Flood Defences in Dominica were appreciated by local communities as the coastal road is now passable, and produce marketing and tourism potential has improved.

4.26 In Jamaica, potable water was supplied via Oxfam to over 50,000 people following Hurricane Ivan. Training was also provided in Kingston to allow community members to prevent water and sanitation related communicable diseases.

Influencing results

4.27 **CDB:** The Special Development Fund (SDF)⁴⁶ is the key vehicle for poverty-based concessionary lending, and DFID has contributed \$25m under the fifth replenishment (2001-4) (the same level of support as CIDA). This strong support has enabled DFID to have a wider reach in the region, especially the poorer states (for example, less developed member states received \$73 million in loans and \$9 million in grants in 2005), and to pursue reforms in the CDB.

4.28 The Baseline Multilateral Effectiveness Framework (MEFF) in 2005 gave a generally positive

⁴⁵ The lifeboats and associated equipment were subsequently given to the Guyana Coastguard to strengthen Guyana's ability to respond to any future disaster.

⁴⁶ This Fund targets poverty reduction investments, and has concessionary terms for poorer borrower member countries. In its six cycles of operation since 1983, US\$ 767m has been contributed, and US\$712m allocated to loans and grants (SDF Report, CDB, Dec. 2005).

score of the CDB as a regional financier, while noting that many of the reforms instigated under the Strategic Plan, though difficult and time consuming, were still in process. CDB is more focused on poverty reduction and tackling the off-track MDGs, working in a more efficient yet flexible way and improving disbursement ratios. Improvements are still sought on streamlining procedures, quality assurance, M&E and human resource management.

4.29 DFID increased its contribution to the CDB in the 2005-8 replenishment to \$44m, based on the positive MEFF finding, CDB-DFID agreement on continuing the reform and performance improvement process, and DFID's commitment to provide support to Haiti through multilateral channels. It had expected to do so with a performance incentive mechanism that would be tied to the Bank meeting its reform targets, but this was not supported by allies at the Board, and so was not taken forward⁴⁷.

4.30 CDB performance highlights of relevance to DFID's agenda include the adoption of poverty reduction and social development strategies and social impact assessment guidelines, two country poverty assessments and other surveys, and the integration of gender analysis. The Basic Needs Trust Fund is the Bank's most targeted poverty reduction programme under the SDF, and has provided \$13m for 310 projects over the period 2001-05 reaching some 377,000 persons in vulnerable communities, mainly in Guyana, Belize, St. Lucia and Grenada⁴⁸. Through the CDB's new programme with Haiti, DFID will have an important window to provide funding to the poorest country in the hemisphere⁴⁹.

4.31 DFID has successfully influenced CDB in several areas. At Board level, DFID plays a pro-active role in 'bringing the bank into line with international aid agendas, encouraging participation in different IFI fora and adopting improved operating practices' (views of CDB Directors). The DFID social development advisor position has been judged effective (the last OPR scores are 2 at purpose and output level). Positive changes have included the establishment of a Socio Economic Research Unit, a modest increase in social advisory staff (from 1 to 3). Support to a Senior Social Policy Advisor with links to senior management has yet to be finalised.

4.32 **EC:** The importance of improving the EC's performance has been a key issue amongst host governments and other partners, many of whom look to DFID to assist. DFID's engagement has been seen by some, including the World Bank, as insufficient or late – where the focus is more on 'working with' the EC as a partner rather than as an agency to 'influence and hold accountable'. This view may be partly because of a lack of awareness of the work DFID has been doing through discussions and supporting studies with Delegations, and through seconded advisors.

4.33 Achievements can be noted in several areas – though success has been quite recent. At the *UK level* there has been senior level interaction between Brussels and Whitehall on sugar transition assistance⁵⁰, and on reform of rules governing key funds. These interactions have contributed to greater flexibility in the regulations governing the SFA and Stabex funds, which have allowed them to be used more flexibly than was the case for bananas support previously. This includes diversification activities, and most recently for general budget support (SFA) and targeted budget support (Stabex). It is important to note that these changes are not attributable only to DFID influence but to a variety of other factors including a major review of Stabex⁵¹.

⁴⁷ Minute to PSPUSS from Head of Caribbean on SDF Sixth Replenishment Negotiations, 11/7/05

⁴⁸ Annual Report, Special Development Fund, 2005, CDB, p.16.

⁴⁹ Haiti will add some 8.3 million people to the current 6.5 million covered by the CDB.

⁵⁰ The role of DFID in EC sugar assistance is discussed more fully in a separate paper produced during the RPE mission by the team economist, M. Julien.

⁵¹ Letters from Commissioner L. Michel 25/1/05, and Director General, Europe Aid, K.Richelle 21/11/05.

4.34 Within the *region*, DFIDC has worked constructively to undertake studies (impact studies, poverty reviews and macro-economic assessments) through the timely provision of technical assistance to provide the basis for EC funds to be released to the OECS for sugar support and for SFA and Stabex funds. DFIDC (with the International Trade and EU Departments) have commissioned work to establish the impact of trade preference erosion, the level of compensation and programming of EC funds for sugar in Barbados, Belize, Guyana, Jamaica, St. Kitts & Trinidad⁵². DFIDC also held a series of consensus-building workshops on the sugar transition in the region, with the EC and regional governments/stakeholder.

4.35 The in-country macro-assessments have been particularly important in a region with few IMF programmes, due to the absence of HIPC's and political resistance. According to EC rules, where an IMF programme is in place (as in Dominica, Grenada, and Guyana), this is a sufficient condition for the release of European development funds as budget support. The EC Delegations also value DFID's flexibility and the ability to recruit strong technical advisors, compared to the EC which has restrictive framework procedures.

4.36 The effectiveness of the *seconded advisor* in the Barbados and OECS Delegation has been periodically scrutinised by DFIDC, particularly in a penetrating review in 2004⁵³. The results, although generally positive, have been affected by the challenges of working with a vast and centralised bureaucracy, the autocracy of some Delegates, the dominance of financial and administrative procedures, and even the underlying perceived illegitimacy of the UK working locally to redirect activities approved by other EC members at committee level centrally. Influencing work requires a good institutional analysis and a more precise appreciation of the influencing goals by DFID.

4.37 In this light the impact of the secondments has not been on achieving reforms of structures or procedures, but on a better understanding of social dimensions of economic change, and taking this into account in SFA and Stabex programming. The role has changed and broadened from social impacts of banana restructuring to wider social development issues covering trade, gender, sugar transition and budget support. The Delegation has set up a Social Development Section, and the Seconded National Expert has been more integrated into the Delegation's work with also some cost-sharing. Recent DFIDC reviews note that the post had been 'largely successful' as the post has become more strategic in integrating poverty reduction focus into EC programmes, despite the still considerable administrative workload. It also provides a channel for DFIDC to engage with EC programmes. The achievements of the post must also be related to the supportive role of the Delegate, the EC's de-concentration processes, and the growing flexibility of its aid instruments.

4.38 The EC in Jamaica also recognises the complementarity of DFID and EC approaches, and the supportive role of DFID in its flexibility and rapid mobilisation in support of EC programmes (as in sugar) and around the Medium Term Socio-Economic Policy Framework. In Guyana, as DFID has reduced its funding so influencing has become more critical yet its role with the EC office (national and regional) has been less productive partly due to DFID's perceived closer alignment with the World Bank and CIDA.

4.39 DFID has been influential, though to a lesser extent, with other regional development institutions such as the UN, IDB and World Bank. However in Guyana the funding of the World Bank office has been significant in coordination terms. The Bank would not have had an office in country without DFID support, and this has led to joint reviews and better PRSP coordination. IDB has been a less easy partner for DFID across the region because of its disbursement agenda and less politicised

⁵² 'Addressing the impact of preference erosion on sugar in developing countries', OPM/LMC, 2003

⁵³ Review of Secondments / Influencing Placements funded by DFID's EMAD, by Harrison and Keeling, 2004.

view. There is considerable potential, in the view of the WB, for DFID to play a greater role in coordination and aid harmonisation and effectiveness.

4.40 **Governments:** In Guyana, DFID has built a good position of trust through its sustained support in difficult areas, and by targeting sensitive political and social issues, around elections for example, without pushing an overt agenda and being responsive and flexible. Although governance is a difficult area, policies and institutional frameworks are now in place in land, with an independent self-financing Land Commission, and in education, where the secondary school model developed through the GEAP project has influenced education policy. Less successful influencing of reform processes has been achieved so far in the case of the water utility. Government ministers also expressed concern to the mission that DFID was not as ahead as other partners, such as EC and WB, in introducing budget support.

4.41 In Jamaica, an almost completed programme of executive agency creation has been achieved and development of participative methods for policy and budget formulation and service delivery monitoring by citizens. The Planning Institute appreciates DFID's role in the security sector, in debt relief and in its support to the MTF process. In Jamaica also some of the education materials and methodologies that have been produced in the context of the education programme supported by DFID have been adopted by the Ministry of Education. A particular success has been the adoption of health screening for all children in Jamaica allowing for early diagnosis and referral of problem cases.

4.42 In the Eastern Caribbean, however, processes in education and in environment that sought to bring about policy changes appear not to have been sufficiently sustained – “*The project never properly compensated some countries (Grenada, St. Vincent) with extra time and resources needed to properly carry out the reform process, particularly as the scale of what was required became more apparent*” (OECS Education Development Project – Final Report, 2006). Arguably some of these processes are still on-going – as is the case in St. Lucia – but without further DFID support there is a considerable risk that the foreseen changes will not occur.

4.43 Examples of positive influencing evidence include the coordinating role on the reform agenda in Dominica under the Financial and Economic Recovery Project and also in that country's successful debt restructuring in 2003.

Effectiveness of different instruments

4.44 The use of different aid instruments needs to be assessed within the MIC status of the Caribbean, where access to concessional aid is restricted, the donor community is narrow and ‘new’ players are unaligned with Paris harmonisation principles.

4.45 **Project financing** has been the predominant aid instrument, and has allowed DFID to intervene in a range of areas to pilot new approaches or assist in key reforms. As staff resources have declined the management requirements have increased, especially as over the five year review period there have been a large number of small projects (35 projects less than £100,000 and 100 less than £500,000 out of a portfolio of 160 projects).

4.46 Small flexible funds have been a valuable instrument – for example in providing for the preparation of action plans in the six Caribbean sugar producing countries. Similarly in education, small projects have been instrumental in providing support to policy reform processes in Guyana, and in HIV/AIDS the Champions of Change initiative has yielded high value for money in enhancing the profile and engagement of key actors in the fight against the disease. The British High Commissions

also found the Small Grants Scheme useful in the early part of the review period for community interventions.

4.47 DFID's resources are such that **budget support** is a limited option and its benefits less clear given the smaller aid community and the lack of PRS frameworks. However given the growing potential for this instrument with others (the EC especially), DFID's role in using technical cooperation to provide poverty assessments has proven highly pertinent.

4.48 **Debt forgiveness** is the second largest instrument in value terms, yet one that has been 'under-recognised' as a key policy tool in the region's strategies and evaluations according to a former DFIDC economist). In practice, UK has forgiven virtually all the debt that it could through CDI and HIPC to Guyana. It has been used in Belize and Jamaica, for example, as a budget support instrument, with regular assessments conducted to determine progress on broad benchmarks around good governance, public scrutiny, fiscal management and strategic orientation of economic strategies. Nevertheless, the volumes of money were relatively small and their impact on overall debt limited, given that most debt in region is held by non-Paris Club members. DFID's assistance over rescheduling of other sources of debt, particularly in Dominica and Grenada, though high cost given the specialist expertise involved, has been widely recognised as very effective – even critical to these small and vulnerable economies.

4.49 **Technical assistance** has been very effective in a range of contexts – supporting security reforms, piloting social policy initiatives, and in advisory attachments to the EC and CDB. Technical Assistance has been effectively combined with financial aid to maximise results (for example with Social Funds, Seconded Advisors). DFID worked with CIDA to mobilise specialist high cost expertise rapidly, an intervention that was seen as highly effective by the WB and IMF as well as the Government. Similar support was also given to Belize under the Belize Strategic Fund and CDI monitoring.

4.50 Harmonisation around different aid instruments is less of an issue in a smaller donor pool. Coordination mechanisms, though they do exist in the OECS, have therefore delivered fewer benefits for the effort required. However this is not the case in Guyana and Jamaica where aid coordination has proved useful, and will be increasingly relevant as OECD and non-OECD actors as well as private sector investors make up a competitive financing landscape.

Deviations from Strategy

4.51 In general the interventions followed the stated strategies in the region, as discussed under 3.32 above. DFIDC did nevertheless use its discretion not to proceed with supporting programmes in high priority areas if it was not feasible to do so (e.g. the decision not to support CSME beyond a preliminary study to identify opportunities for that purpose). According to one DFIDC advisor "the work (i.e. study) did not produce any strong opportunities for DFID to support and so no further support was forthcoming through DFIDC". By contrast, DFIDC did proceed with civil society work on HIV/AIDS, even though this was not foreseen in the RAP or country strategies (3.37).

4.52 Note may be taken of the marked shift in strategic direction for some sectors between the pre-RAP and post-RAP period. Thus, early education strategies, which committed to substantial and long-term support, were in actual fact rapidly converted into an exit from the sector as the implications of DFID's Middle Income Country Strategy and reducing budgets became clear. In

security reform, while in Jamaica a sustained engagement ran through the evaluation period, reform efforts were dropped in the Windwards in 2003 (and have since been taken up by the High Commission with funding from the Trinidad Petroleum Stabilisation Fund). There has been limited engagement in security reform work in Guyana, also, despite high concerns over security and the drug economy⁵⁴, and this lack of engagement is reportedly due to concerns over government commitment, a weak working relationship until recently with the High Commission, and DFID's own transition process in the country.

Sustainability

4.53 The Caribbean as a region faces a range of issues that affect the sustainability of development outcomes. These have been referred to in the introduction but particular mention should be made of:

- The brain drain, where due to proximity of major better paid employment markets to the north, many countries lose their best managers and leaders abroad and cannot find staff locally;
- Trade uncertainty, lead to declining or unstable prices and markets that affects the prospects for both traditional sectors and new ones;
- Insecurity (related to drugs and crime) provides a threat to maintaining services and attracting investment;
- Environmental disasters are frequent and serious enough to present a major source of disruption to development outcomes;
- HIV/AIDS prevalence rates are high, with a total of 250,000 persons living with the disease according to UNAIDS⁵⁵.

4.54 Within this context, though, there are some good examples of capacity having been built. In environment projects, key management tasks were often undertaken by local agencies – reducing the speed of completion, but increasing capacity (e.g. Dominica sea defences, Grenada Forestry). After emergency aid to Grenada, however, concern was expressed (by the UK High Commissioner at the time) over the lack of follow up DFID support – as no funds from DFID were then available to build on the initial relief. DFID had argued though that there was no commitment by DFID to reopen a bilateral partnership with Grenada, given its broad move to a regional programme approach.

4.55 In education, the programmes built the capacity of teachers, school directors and others. The out-migration of qualified staff continues to present a serious threat, however. Not enough was done to use and build capacity of local support institutions e.g. universities, research institutes, consultancy services. Instead the arrangements for contracting a management agency in all cases resulted in the contracting of a UK based staff to provide support in areas which might also have been done through regional expertise or a combination of both.

4.56 In HIV/AIDS, some local capacity building has taken place within governments and civil

⁵⁴ Illegal drug trafficking is thought to account for as much as 50% of the economy according to the British High Commissioner in Guyana.

⁵⁵ Although 'guarded optimism' from 2005 statistics that the epidemic may have reach a plateau.

society organizations through the Champions for Change initiative. However there has not been any systematic follow up after these events to assess to what extent the awareness raising has translated into changes on the ground (DFIDC is now considering doing an assessment of this kind in 2007). Support to PANCAP has helped build capacity for coordination, staffing, and in research/monitoring and evaluation. In contrast, there has been very limited success in building capacity among National Aids Programmes, with the exception of the Quick Start Initiative in the OECS. There is no clear evidence of the impact of the regional HIV/AIDS programme on the national policy and governance environment.

4.57 Capacity has been built in the case of CRNM but its sustainability is in question given that donor support accounts for about two-thirds of that entity's annual operating budget. CRNM will not be sustainable unless support from Caribbean governments' budgets increases to replace donor funding.

4.58 In Guyana, the Privatisation Unit management and technical capacity has been substantially developed requiring no further DFID technical assistance in this area. Government is now at the next level of "privatisation", namely public/private partnerships, and is adopting debt sustainability management systems and moving towards public sector investment programme prioritisation.

4.59 In other cases, such as the Caribbean Microfinance and the Jamaica Cluster Competitiveness projects, while these were not intended to be financially sustainable, concerns still exist over the wider absorption of these catalytic inputs into the broader economy, and the retention of local capacity seems dependent on continued donor support.

4.60 For PSR, in Guyana, sustainable capacity has been developed in land administration, whilst in water, capacity building has been frustrated by failures in the internal recruitment system to enable local staff recruitment/retention in the water utility, to conduct procurement efficiently and a lack of effective understanding of roles between the ministry, board and management. In Jamaica, DFID support to the JCF, whilst it has led to a corporate planning process, may be undermined by the secondment of UK police officers to top management positions – but DFID has set in place some mitigating actions involving mentoring of local counterparts. Local capacities are being developed by Jaspev/SDC with respect for participative, community based planning but these are yet to be mainstreamed and ultimately introduced into the formal budget planning system. Capacities for enhanced public service delivery are now in place through the creation of some 8 agencies; and 6 more are in preparation in areas such as forestry and fisheries.

4.61 At the regional level, CARTAC is addressing capacity building amongst participating countries by training and advice and concrete results are emerging especially in the area of national VAT systems. These achievements could however be undermined if the overarching civil services in the countries concerned do not have the flexibility to retain key technical staff. CARICAD is currently in the course of developing its internal strategic planning and corporate capacities but this has yet to lead to multiple donor financing and ultimately to financial self sufficiency.

Outcomes

4.62 At the broad programme level, there are some significant achievements particularly in debt, in emergency relief and programmes delivered through multilateral support (EC's sugar support and CDB's basic needs projects). Estimation of outcome achievement – which tries to sum up the overall impact of the programme taking account of the discussion around relevance, effectiveness, efficiency

and sustainability earlier in this chapter, is nevertheless constrained by several factors. These include the changes in strategic direction in Jamaica, Guyana and the Region, the long-term nature of some of the reforms, and the fact that most of the strategies were unclear on what measurable outcomes were expected.

4.63 Education and social policy provide examples of where some innovative experiences were developed and evidence found of improvement (in access, equity in specific areas and schools, and greater community engagement in social planning). However, many of the results and outcomes have yet to be measured making it difficult to make a full assessment of whether the objectives in education were achieved. A greater return on investment would have been expected if further support had been provided to completing, scaling up and institutionalizing the changes although this was not possible given the resource constraints imposed on the programme. The real challenge in many cases is to move from relatively concentrated pilots to broad sector interventions with sustainable reforms that achieve widespread service delivery improvements.

4.64 For HIV/AIDS, there is evidence of increased awareness among regional decision makers and of a gradual reduction in levels of stigma and discrimination and an increased number of organizations now working on stigma and discrimination. The private sector has displayed greater involvement in HIV and AIDS awareness, care and support. There is a significant impact on smaller countries in the OECS, which alone cannot address HIV/AIDS.

4.65 In security and public services reform, too, DFID's engagement has helped provide a modest alleviation of security problems in some quarters, and some key policies have been adopted. However, it is too early to judge the long-term benefits of the work. If support by DFID tapers off and is not picked up by other donors, modest gains may reverse. For long-term gains, support must continue and it must be coupled with committed leadership from within the government (and key agencies like the police) —something that has sometimes been elusive.

4.66 In the area of natural resources and environment, DFID has had a long history which continued into the early part of the evaluation period. Individual projects made significant gains including capacity building and the strengthening of policy and governance arrangements, although there were also instances of delays in achieving objectives and some aspects remain incomplete. Once DFID withdrew from the sector, sustainability became a key factor for many of the organisations being supported and the consequences of DFID no longer being an active partner in the sector may be a slowing down of progress. DFID is now in 2006 thinking about re-engaging in this sector through work on climate change

Divisional Delivery Plan

4.67 The Caribbean region forms part of the Latin America and Caribbean Division and DFID commits to broad targets through the Divisional Delivery Plan on a periodic basis. A detailed picture is given in Annex 7 of the most recent LACD Business Plan (2005/6), but the main results are shown here for each relevant regional priority:

Table 7 LACD 2005/6 Business Plan targets and achievements

LACD Business Plan	RPE Team comments
<p>The most important priority is to complete the process for developing a clear framework of measurable objectives for delivering the two RAPs as well as completion of the Jamaican CAP (August) and preparation of a Guyana CAP (December).</p>	<p>Result: The RAP does not yet have a clear framework for goal measurement.</p> <p>The Jamaican CAP was completed and a draft Guyana CAP prepared but not approved.</p>
<p>We will support CDB's ambitious agenda in 2005, which includes negotiations for a General Capital Increase, and for the replenishment of its concessional lending window.</p> <p>We will support ETID in seeking to bring about EU and Caribbean regional agreement on transitional assistance to be ready for the cut in the ACP sugar price that avoids the problems of the banana equivalent (SFA); as well as help the EC to show a notable improvement in SFA disbursement and Caribbean countries to access the new sugar resources.</p>	<p>Result: UK contribution to SDF6 set at £24m with a significant uplift for work on Haiti. No GCI process initiated by Bank.</p> <p>DFID has assisted in preparing sugar action plans and in working with EC to prepare new procedures to ease disbursement. However progress is still slow. Although new budget support mechanisms have been approved, the disbursement levels have yet to improve substantially (see Table 3).</p>
<p>We will support the establishment of an effective multi-donor performance assessment framework in Jamaica (by February) and Grenada (by June) and a draft PRS in Colombia (December).</p> <p>We will appraise a three-year debt write-off for Jamaica (February) and the case for any further budget support to Grenada (June). We will review future debt relief for Belize in the light of the political and financial issues that arose in 2004.</p>	<p>In Jamaica, the performance assessment framework has been discussed and most donors are well aligned. But links to budget process yet to be put in place.</p> <p>The debt write-off has proceeded.</p> <p>On Grenada following reviews in 2005 and 2006, no further financial support was provided.</p> <p>DFID has since closed its office in Belize, and is managing the remainder of the CDI process from Barbados with support from BHC in Belize.</p>
<p>We will seek to make further progress in enhancing the capacity of the Caribbean to tackle HIV/AIDS (both in the public and private sector).</p>	<p>PANCAP has been strengthened although its accountability is uncertain; an initiative has started to enhance private sector awareness and involvement, but national agencies remain weak and regional initiatives are still seen as disconnected from local reality. Progress has been made in general in enhancing awareness of the issue and working towards better coordination at regional level.</p>

LACD Business Plan	RPE Team comments
<p>We also aim to show an improvement in the disbursement record of the Global Fund and World Bank across the region.</p> <p>We will aim to reach agreement in a harmonised framework of support for the Caribbean Regional Negotiating Machinery (CRNM).</p> <p>We will work with other donors to strengthen the disaster preparedness capacity of key Caribbean regional institutions, working together with OTD.</p>	<p>This objective is likely to be achieved by facilitating the WB review of disbursement difficulties in the Caribbean, the Quick Start OECS programme, and by a DFID-funded GFATM Manager placed in PANCAP. Success is measured by the fact that both PANCAP and the OECS have been given the go-ahead to apply for second phase GFATM funding.</p> <p>Some progress had been made towards harmonising donor support for CRNM, but reporting has been slow and accountability concerns remain. Sustainability also uncertain while member government funding is poor.</p> <p>DFIDC has endeavoured to remain an engaged partner in the area of disaster risk reduction in terms of participation in donor groups and wider meetings but other donor partners have been stronger players in terms of provision of core funding for CDERA. In 2005 CHASE funded a consultant to be based in Barbados for the Hurricane season and this was repeated in 2006 and is likely to be repeated in future. With increased capacity in this area DFID has reviewed its relationship with CDERA and may in future provide core funding.</p>
<p>We will continue to support HMG-wide efforts to tackle conflict and crime, and promote better security. We will complete appraisal of two community safety and security projects in Jamaica (July).</p> <p>We will seek to bring about timely and coordinated support for the 2006 elections in Guyana.</p> <p>We will continue to play a constructive role in Whitehall-wide anti-narcotic and security coordination in the Caribbean and in improving the strategic nature of GCPP allocations for the region as a whole.</p>	<p>The JCF phase 2 and the new CSI pilot have been approved. The newly drafted Jamaica Forward Strategy sets out the HMG wide approach in this area</p> <p>DFID provided successful support to the 2006 elections</p> <p>Limited information on this issue, but Cabinet Office has prioritised security based on Countries at Risk of Instability report. DFIDC is facilitating the review of the GCPP Caribbean strategy.</p>

Public Service Agreement

4.67 “DFID seeks to maximise its impact in the region by focusing on trade, HIV/AIDS and improving the impact of key multilateral organisations and institutions in reducing poverty.” (DFID Departmental Report 2006, p.98). The PSA Objective III encompassing the Caribbean is to: ‘Reduce poverty in Europe, Central Asia, Latin America, the Caribbean, the Middle East and North Africa. Although ‘there are no formal targets set for this objective’ according to DFID’s website, there are a number of actions and changes specified for the Caribbean. These are summarised in Table 8.

Table 8 Assessment of PSA targets and achievements

PSA OBJECTIVE III: Reduce poverty in Europe, Central Asia, Latin America, the Caribbean, the Middle East and North Africa. 2003-2006	
V. DFID will:	<u>Evaluation comment</u>
a) Support the implementation of integrated programmes in three priority middle-income countries (Jamaica , Brazil and Romania) that target poverty, address the needs of vulnerable groups and tackle inequality.	Jamaica has seen a good CAP strategy emerge that targets poverty in a focused way in two key areas (governance and security).
b) Work to improve the impact on poverty of EC assistance programmes in Europe, the Middle East and the Americas through effective implementation of existing and negotiation of new regulations governing the EC programmes.	The EC <u>disbursement</u> record has been slow and unresponsive in the Caribbean. DFID has worked in various ways to improve aid delivery, and has had some key results in sugar, poverty assessment work and social development. There is considerably more to be done.
c) Support the development and implementation of HIV/AIDS strategies in Russia and the Caribbean .	DFIDC has had some success in increasing awareness, beginning to involve the private sector and in drug pricing and delivery in smaller countries. But it has not achieved as much through PANCAP the regional body as was hoped, and has not directly supported civil society sufficiently.
OBJECTIVE IV: Increase impact of key multilateral agencies in reducing poverty and effective response to conflict and humanitarian crises.	

<p>Target 3:</p> <p>Improved effectiveness of international system demonstrated by:</p> <ul style="list-style-type: none"> • Ensuring that three-quarters of all eligible HIPC countries committed to poverty reduction receive irrevocable debt relief by 2006 and work with international partners to make progress towards the United Nations 2015 Millennium Development Goals. (Joint with HMT); <p>VI Together with HM Treasury, DFID will:</p> <p>a) Work with other partners to ensure that three quarters of all eligible HIPC countries receive irrevocable debt relief by 2006.</p> <ul style="list-style-type: none"> • Greater impact of EC external programmes on poverty reduction, including through working for agreement to increase the proportion of EC ODA to low income countries from 38% to 70%. <p>a) In support of the HMT/DFID Debt/Millennium Goal PSA and DFID's EC aid PSA, DFID and the Treasury will seek to improve the effectiveness of EC development assistance by working with other Government Departments (especially FCO), EU member states, the Commission and the EP to:</p> <p>b) Gain agreement in the Council, Commission and Parliament to implement these objectives, including by increasing the share of EC ODA going to low-income countries in each annual budget process; and</p> <p>VI DFID, FCO, and MOD, together and with others, will work to:</p> <p>a) improve the international community's response to conflict by strengthening UN Conflict Management capacity; mobilising and supporting coherent bilateral and international action; and implementing agreements to reduce the proliferation of small arms and light weapons;</p> <p>b) resolve existing violent conflicts and prevent new conflicts in priority countries and regions, and;</p> <p>c) address the national and regional causes of conflict by strengthening local conflict management systems.</p>	<p>Guyana has seen successful debt relief arrangements under HIPC.</p> <p>DFID has seen some important (but quite recent) successes, in so far as aid flows have been improved through adoption of new mechanisms (budget support), and by funding studies required to trigger EC fund release. EUD has increased its staff capacity by 40%. Much of the achievement is a result of high-level interventions. DFID's role has been proactive in terms of mediation with the EC, supporting 3 workshops on sugar and providing TA on sugar protocol countries.</p> <p>Jamaica has received considerable attention and a joint approach has had successes in terms of drug control and supporting the government's national security strategy. In Guyana, too, DFID has placed increasingly high priority in this area and has worked effectively on elections and political mediation with the FCO.</p> <p>On the other hand, DFID's withdrawal from the Windward Islands has affected DFID's ability to support smaller governments to cope with growing security concerns</p>
---	--

<p>Target 4:</p> <p>To secure agreement by 2005 to a significant reduction in trade barriers leading to improved trading opportunities for the UK and developing countries. (Joint with DTI & FCO).</p> <p>V DFID will promote increased access to markets for developing countries and enhanced capacity to exploit trade opportunities. <i>(This will be assessed in relation both to progress made in the Doha trade round and to the implementation of DFID programmes to support developing countries capacity to participate effectively in trade negotiations)</i></p>	<p>DFID has worked with others on trade (through CRNM) and in supporting access to EC assistance for sugar and banana exporters through studies (Sugar Transition Plans). While regional capacity for trade negotiation work is stronger, national capacity remains weak and until the CSME progresses, national trade positions determine the effectiveness of trade deals.</p>
---	--

(Progress on these measures will be assessed through country level data, annual reviews of DFID Country Assistance Plans and by evidence of increased impact of DFID interventions. On the EC, progress will be assessed through country level data and progress with the objectives in DFID's published EC Institutional Strategy Paper. On governance, measures include independent governance climate assessments).

Box 3 Summary of Findings (Chapter 4)

- 70% of rated projects score 1 or 2 for output and purpose: a reasonably good record of achievement. These 35 projects account for some 80% of bilateral project expenditure (excluding debt relief).
- The earlier bilateral projects in Guyana, Jamaica and the OECS have produced some clear benefits in certain sectors (for example education, natural resources, trade and privatisation).
- Important efforts to tackle governance and security reforms have shown initial improvements, and there have been encouraging successes from pilot projects, despite the difficulties of working in these areas. But objectives have often been ambitious, the pace of reform slow and deeper more sustainable changes are still to be achieved.
- Delivery effectiveness through regional agencies (for HIV/AIDS, trade, public administration, disaster management) has had a mixed record, and while capacity has been built, benefits at national level have been slow to emerge.
- DFID's consistent engagement with the CDB has shown some positive returns on poverty targeting, social analysis and operational efficiency.
- Some gains in EC performance can be partially attributed to DFID's UK and regional engagement, in terms of improvements in rigid mechanisms and raising social and poverty relevance, but a stronger and earlier engagement was called for given the UK's unique position in the Anglophone Caribbean.
- Influencing of government in partnerships and policy reform has been stronger where DFID has had a country presence (Guyana, Belize and Jamaica).
- Achievements under the most recent Directors Delivery Plan and PSA have been mixed, with mainly good results for CDB SDF6, sugar assistance, trade negotiation capacity, debt relief. Positive trends have been noted in Jamaica in terms of security and in Guyana around elections and social cohesion, and around HIV/AIDS capacity. But less progress is evident on HIV/AIDS at national level, on disaster preparedness and in the level of EC disbursements.

5. DEVELOPMENT PROGRESS

Development Progress

5.1 While DFID's role and contribution is assessed above, this section looks at the overall development changes during the evaluation period. In terms of the Millennium Development Goals, most of the indicators are on track (see Annex 8), but the overall assessment hides some very vulnerable groups whose poor quality of life is masked by the very wealthy sections of society that drive up the indicator averages, and it is these vulnerable groups that DFID should aim to target. Identifying these groups is not easy, since accurate data are not always available because of lack of statistical capacity in many smaller states.

5.2 The education MDGs have been largely met. In Jamaica, for example, primary enrolment in 1990 was 95.6% and in 2001 97.8%. However, these rates hide significant gender disparities as well as issues of education quality. In Jamaica as in other countries in the region this is reflected in the 3rd MDG "promote gender equity and empower women" which is lagging behind with disparities in secondary and tertiary ratios of girls to boys on the rise, in favour of females. DFID's move out of education has meant that it has made only a modest direct contribution to these gender disparities, although in Guyana the results have been the most significant.

5.3 Other important off track MDGs are in health, with respect to infant mortality, maternal mortality and HIV/AIDS which are either "behind" or "far behind". HIV in particular threatens to reverse the development gains made over recent decades. In Guyana, tuberculosis and malaria infections are also not showing signs of decrease. DFID can take credit for tackling key areas in meeting the HIV/AIDS challenge, and for building a regional response. Its direct contribution to other health related indicators has been limited given its absence from the sector.

5.4 Growing crime related to drugs presents the other major obstacle to progress in the region. The World Bank has estimated the direct cost of crime and violence on the Jamaican economy as 3.7% of GDP; the indirect cost may be over 14%. But smaller and hitherto more stable states in the OECS also face growing insecurity as cartels and trafficking bring greater threats to small islands. DFID can take credit for playing an active and direct role especially in Jamaica, and indirectly through its wider economic and social support in the region. Given the external vulnerability of many small states, though, this issue requires a much more comprehensive effort by local and international stakeholders.

5.5 In sum, the Caribbean is characterised by continued but slowing growth over the past two decades, with an increasing gap between the poorer and the richer countries⁵⁶. The challenge of building a regional approach is immense in a part of the world where insularity and sovereignty remain strong and where the differences between countries are tremendous. Building competitiveness in a global economy is equally daunting, given the high costs of labour, energy and transport and where small size affects negotiating influence. Critically, the aid environment with its history of preferential treatment for inefficient producers and poor debt management has raised moral hazard concerns. Some commentators judge that some of the states in the region may slip from Middle income to Low Income status if they do not meet the adjustments required from globalisation, and the threats from climate change, and deepening insecurity.

⁵⁶ A Time to Choose, Caribbean Development in 21st Century, World Bank, April 2005.

Aid effectiveness

5.6 The potential for improved aid effectiveness is limited by the relatively small share of national income represented by ODA (Table 2), excepting Guyana, and by the smaller group of donors present. There are nevertheless significant gains to be achieved through improving CDB and EC effectiveness, and through debt management.

5.7 DFID has worked consistently and in a mutually beneficial fashion with CDB and, given the Bank's historically conservative lending profile, has made significant progress in supporting the Bank's increasing alignment with principles of improved aid effectiveness. The performance of the most important aid partner, the EC still has much room for improvement, and DFID should have played a greater role earlier on, given the known disbursement issues from the 1990s on. The most significant changes relating to reforms in procedures that will allow greater flexibility have been catalysed by strong regional policy dialogues and high-level political engagement, but only in the latter half of the evaluation period.

5.8 DFID was not able to adopt key instruments such as budget support (except in debt relief and in emergency aid) due to its declining portfolio, but has used its role to further the use of such instruments by others – particularly by the EC and to a lesser extent by the CDB.

5.9 There are good examples of aid coordination around national poverty strategies, particularly in Jamaica and Guyana. Donor working groups are being fostered in these settings, as well as in the Eastern Caribbean where the UN plays an active role.

6. CONCLUSIONS AND LESSONS

DFID Contribution and Value Added

6.1 In a region where there is such diversity and deep adherence to small state sovereignty, bringing the advantages of regionalism to bear is a challenge. DFID has signalled its intention to support regional processes (along with CIDA, USAID and others) and has provided valuable support to some key regional institutions, particularly CARTAC, CARICAD, CRNM and PANCAP, which have enabled them to improve their capacity and relevance. At the same time some of these agencies are beset with their own capacity and credibility problems, and their effectiveness also depends on national capacities and demand, a point particularly relevant for instance to the CARICOM Secretariat.

6.2 Establishing country offices in Guyana and Jamaica has allowed DFID to interact effectively on the ground with government and other partners, and has maximised the value of the limited number of staff in post through for example very close HMG working, with joint strategies in place, and a trusted position with upper reaches of government.

6.3 DFID has also been an effective opportunistic player, using its regional presence to assist smaller countries such as Dominica and Grenada when environmental and financial crises have erupted.

6.4 DFID has been able to provide effective technical assistance in several areas (through support for water, education, police reform in Jamaica, in social and poverty analysis work for the EC, and debt restructuring assistance to Dominica) of a quite specialised nature that delivered important international knowledge and experience.

6.5 DFID's emergency relief and mitigation work (floods, sea defences, financial aid to Grenada) has been effective, delivered efficiently and has addressed poverty reduction at least in the short term, while the long term benefits could for some of these be considerable. DFID has also led the way with some innovative work in social policy, the environment and in education during the period. The value of this work has been proven by other donors and countries themselves providing continued funding to elements that DFID helped to set up (for example, for the OECS Natural Resource Management Unit).

6.6 DFID has used its influence and multilateral funding to improve the performance of key regional partners. The CDB has been supported to sustain major reforms, address poverty reduction more directly and adopt a more influential role itself as a regional development actor. Improving the effectiveness of the EC is a major challenge, but DFID has begun to add value in a number of areas, particularly in lobbying terms with sugar transition support, targeting social investment funds, and facilitating studies to prepare the budget support modality.

Strengths and Weaknesses

6.7 The following six areas can be highlighted in terms of DFIDC's strengths. DFIDC:

1. Has been good at providing small amounts of money to leverage reforms and playing a catalytic role (as observed for Jaspev, JUPP and in the HIV/AIDS work for instance through its support to the Champions for Change fora). It has supported the processes

and actions of larger partners and governments though good coordination and opportunistic interventions, and helped overcome implementation bottlenecks faced by other larger partners. This has been noted in a number of areas, including the work on sugar transition (with the EC), on debt rescheduling (with the IMF), and in elections in Guyana.

2. Has been able to adjust its programme within a reducing resource envelope and in line with corporate priorities, and has broadly maintained effective partner relations though this process. Though not all interlocutors expressed support for or acquiescence to DFID's changing role with regard to the OECS sub-region, the overall view was that given the corporate direction under the MIC strategy, the regional team had managed the programme realignment well.
3. Has set up country offices that have added value and strengthened DFID's ability to harmonise and to play a catalytic role within government-led frameworks. Both DFID Guyana and DFID Jamaica in different ways demonstrate this.
4. Is seen as an unobtrusive, dependable partner, with 'light' reporting requirements and the ability to rapidly respond to needs. This characteristic was noted by both the donor community (EC valued the provision of technical assistance) and governments.
5. Is recognised for its ability to provide high quality advisors and technical assistance. This is ably demonstrated in the environment, water, social policy and privatisation sectors.
6. Has been willing to sustain engagement in some programmes that are complex and require long-term engagement (such as in public sector reform, water and security).

6.8 There are five main weaknesses that the evaluation has identified:

1. Disengagement from some sectors and bilateral partners led to initial disappointment and to missed opportunities for achieving sustained longer-term outcomes and mainstreaming of successful initiatives. This applies to education in the OECS and in Jamaica, and to some environmental work in the Windward Islands.
2. A regional approach does not sufficiently cater for country level specificities and for the large diversity in the region. It is a hard balance to strike given the economic and geographic diversity of the region, but the evaluation noted the tension between on the ground programme evolution in two relatively strong countries (Jamaica and Guyana) over the evaluation period, and the need to maintain a regional agenda that matched their needs while strengthening regional processes to benefit smaller countries where DFID does not have the resources to engage bilaterally. To an extent this mirrors the wider problem of building effective regionalisation in the Caribbean.
3. Weak identification of measurable outcomes at the strategic level has led to a lack of analysis of overall results and of reporting of progress against strategies. This has been aggravated by a large (though declining) portfolio with many small projects, and by reducing staff numbers and capacity. In addition, the move towards regional initiatives has made it even harder to identify and attribute outcomes, and extra effort should be invested in measuring what impact regional initiatives are having.

4. Weak communications – some partners are insufficiently aware of DFID’s approach, the lessons it could generate from its work, and its successes. In such a heterogeneous region, with DFIDC’s reducing spend levels, the added value of its role could have been better disseminated.
5. Insufficient attention to mainstreaming crosscutting issues in programmes and initiatives supported by DFIDC, especially with respect to environment, gender and HIV/AIDS. Though efforts have improved in the latter area, there has been a disappointing level of attention to the first two areas.

Lessons

6.9 Lessons are divided into those more pertinent to DFID Caribbean and those with a wider relevance to DFID. In terms of DFID Caribbean, eight lessons have been identified:

1. The regional approach was particularly relevant in middle income countries such as most of those in the Caribbean, where aid flows have declined in recent years. The possible limitation of this approach is the weak capacity that the regional institutions meet when working with smaller countries and the fact that less work by DFID or others has taken place to tackle this issue. There is also the weak capacity of the regional institutions themselves, and as a consequence, their lack of (perceived) relevance to local level priorities especially in the larger countries in the region.
2. One counter-strategy may be to engage more at country level on regional issues, so as to ensure greater synergies between regional and national priorities and strategies. This could be especially effective in countries such as Jamaica and Guyana where DFID has an established presence. Other partners see a role for DFID in this respect – not necessarily by providing funding but rather by participating at country level in improving coordination and harmonization. They highlight that DFID has both the technical capacity and the experience to provide this kind of crucial input. This would nonetheless present DFID with resourcing challenges.
3. When working with and through multi-donor funded regional institutions, it is not easy for DFIDC to agree and demonstrate results at national level, particularly where the institutions concerned have weak credibility or effectiveness. This is further underscored where former bilateral relationships have ceased. The lesson here is perhaps to seek to link the regional investments with outcomes that can be anticipated in selected national contexts, and to ensure directly or indirectly that these are supported and measured.
4. Support to regional institutions requires long term engagement with a substantial focus on institutional strengthening. This is well demonstrated with the CDB partnership, where substantial resources plus Board level presence and technical advice have combined to see gradual improvements in the Bank’s poverty focus and in some areas of operational performance.
5. In disengaging from sectors over a relatively short space of time (such as education or environment particularly in the OECS sub-region but also to some extent in Jamaica

and Guyana) valuable lessons are lost, sustainability issues are not sufficiently addressed and gaps left which are not filled by others⁵⁷.

6. The relatively quick disengagement noted above also lead to a loss of comparative advantage in some areas, and to the overlooking of potential synergies (e.g. the possibility of addressing HIV/AIDS or environmental issues through education). DFIDC could have capitalized on the leverage it had in programmes where it exited to further cross-cutting issues such as HIV/AIDS or the environment.
7. While important inputs were provided into key areas of education reform, critical DFID support was missing in effectively scaling up and in developing integrated and sustainable models for replication in education (a gap which has not been filled by others). The complexities of such scaling up appear to have been consistently underestimated. In particular many of the professional and administrative/human resource issues that would need to be addressed within education systems to sustain processes were not sufficiently examined or addressed.
8. DFID's work in improving the aid delivery of the EC has grown in effectiveness, but the lesson for DFIDC is that this requires a focused approach that combines local interventions by staff with good experience of the EC with a closer engagement at a higher and more political level in UK to raise the profile of the region and solve underlying procedural constraints.

6.10 For DFID globally, there are five broad lessons and two specific sets of lessons relating to security reform and to public sector reform respectively:

1. The strategic evolution under the RAP and the changes induced through the process of down-scaling and realignment of relations with partners provides relevant lessons to other regions, particularly in MIC areas. These relate to the need to manage ongoing programmes better while introducing new strategies so as to:
 - Ensure ongoing programmes are adapted and supported (for instance, Jamaica's PSR reforms);
 - Where needed, exit strategies need to be better planned (from the Windwards, from education);
 - Explicit rather than implicit transitional country strategies are provided so that partners are more aware of DFID's direction (Guyana).
2. Even though DFID should not and cannot seek to have a presence everywhere, the experience in the Caribbean of the establishing an office and the deployment of staff in Jamaica and Guyana during the evaluation period, even though on a small scale, is likely to have brought better 'value for money' compared to running the same

⁵⁷ These issues are more fully addressed in the education sector paper that has been prepared for the DFIDC as an additional output of the RPE.

programme from the regional base in Barbados, as was the case before⁵⁸. Guyana and Jamaica together account for two thirds of the regional programme, and are managed by a team of 4-5 staff in each country (with management and advisory support from the region). The local presence has allowed timely and opportunistic interventions to be made, greater levels of influence with partners, and better cross-UK Government working than might have been the case otherwise.

3. DFID secondments, which have generally been rated as effective by DFIDC and valued contributions by the recipients, can provide useful lessons. Amongst these are that seconded advisors have maximum impact when specific influencing objectives are clear, where the host partner is receptive, where the placement time-frame is sufficient to gain understanding and trust, where the secondee role is integrated with DFID approaches and instruments, and finally where a partnership philosophy supersedes a one-way influencing agenda.
4. The Caribbean programme provides lessons on ways to engage with smaller countries and in regions characterised by diversity. This a complex topic, but one can say that DFID's strategy to focus on a multilateral and regional level engagement has during the review period generally proved a sound response. But DFID's effectiveness in addressing poverty may as a result be more indirect, risky and hostage to slowly emerging regional institutional platforms in areas such as governance, trade and crime control. DFID has performed well where it has identified clear and selective areas of engagement that maximise DFID's expertise (such as HIV/AIDS, environment or social policy) and built on historical 'Anglophone' links and joint HMG working (such as in police reform and governance).
5. A separate set of lessons can be developed on the HMG joint working experience. The record of sharing expertise and resources towards a common goal – in Jamaica, reducing crime and insecurity through police reform, community involvement and off-island drug and crime prevention – has delivered success at least in terms of internal reforms though there is much more to do in securing sustainable reductions in crime levels.

⁵⁸ The comparative costs of administrative to programme spending for each office would need to be calculated to confirm this assessment.

Box 4 Lessons on Security Reform

The experience in security reform in Jamaica provides some wider lessons for DFID.

- Given that security reform is extremely difficult with a high risk of failure, and that successes are at best incremental and localised, with substantial change requiring efforts over many years, designing projects and setting objectives needs to involve sound problem diagnosis (which assess both the crime problem and the institutional context), appropriate and workable intervention methods, and modest and localised benchmarks for success. This approach also cautions against overselling the likely impact of projects in short time-frames (despite the political pressures to do so) in place of strategies that explicitly recognise the need for long-term assistance (even if it is not all DFID) which extend beyond 3 to 5 year time cycles.
- Genuine, reliable knowledge about “what works” in security sector reform in developing countries is extremely thin on the ground. Therefore, at least some of the security sector initiatives being undertaken in Jamaica and elsewhere should be subject to rigorous scientific evaluation that deploys high quality experimental or quasi-experimental design methods, not only short-term rapid assessments from short-term consultants in the form of OPRs or PCRs. This will help build a cumulative knowledge base that will inform future efforts in the security sector. Where “best practice” emerges from rigorous evaluation methods rather than compelling anecdotes alone, the prospects of improving working practices in this area are greatly enhanced.
- It may be that the appointment of four IPOs in 2005/6 has already given the JCF more traction against the crime problem than six years of police reform led by consultants. It is worth reflecting therefore whether, in other contexts where there are urgent security problems, the ideals of ownership and sustainability should be balanced with shorter-term interventions that produce some immediate pay-offs, even if these are more controversial. In other words, bringing in outsiders to help run failing institutions may be a more effective way of galvanising quick changes, even if this is controversial.
- Based on the successes of the JUPP project, and given similar strategies tried by other agencies (including USAID) mobilising communities that have been ravaged by chronic violence and insecurity to improve governance, infrastructure, social capital, and social cohesion, remains one of the most promising approaches to tackling acute security problems. This is particularly true in a context where police and other criminal justice agencies function only weakly, and timescales for their reform are very long. More investment, experimentation and evaluation in this area will inevitably help refine an understanding of the kinds of approaches that are most successful at the community level.

Box 5 Lessons on Public Sector Reform

A number of lessons can be drawn from DFID's experience in Jamaica, Guyana, Grenada, and Dominica:

- Long term engagement is needed if difficult reforms in areas such as public service reform are to succeed.
- Anchoring the reform unit at the highest possible level (e.g. under the Cabinet Secretary) whilst at the same time engineering good connection with major line ministries.
- Setting realistic targets and timeframes and proceeding on an incremental and partnership basis.
- Adopting an integrated approach working with both government internal reforms and community-led participatory solutions (as has occurred in Jamaica) can prove more effective than single entry approaches.
- Introducing tools is not enough and appropriate entry points into civil service systems have to be found.
- Importance of cultural and political adaptability of technical assistance when engaging in sensitive and long-term reform processes.
- Developing civil society organisational capacities and a communications strategy to disseminate a language that the common person can understand.
- Linking such innovative initiatives to the centre of government is vital in order to encourage more evidence-based social policy formulation and to provide a means for user performance assessment of agency service delivery.
- Not to let innovative zeal outstrip local conditions and expectations. Focus more on basic procedures such as accounting and record systems and less on more sophisticated approaches (such as Public Service Agreements). In the words of the Grenada PSMIP PCR: "it is sometimes necessary to walk before running. The solution may be resuscitated when the time is ripe".

Recommendations for next RAP

6.11 Based upon the evaluation mission's programme assessment and lessons found, a number of recommendations are proposed for DFIDC in preparing its next RAP in 2007. In addition, more detailed recommendations on education and on working with the EC on assistance to sugar producing countries are captured in two separate studies conducted as part of this mission⁵⁹.

RAP Planning and Evaluation

1. The past five years has seen a broad regional programme seek to narrow its focus, but the last RAP (2004) and current discussions about the next RAP (2007) still appear to the evaluation team to be ambitious given available resources. Our recommendation is **to seek to narrow the next RAP's focus** to match DFID's existing advantages and corporate priorities, the known poverty gaps, as well as anticipated capacity and funds.
2. The evaluation has noted the mixed record on planning and communicating the shift out of programmes and of bilateral relations, and of how country and regional strategies should fit together as DFID moved its agenda to fit in with the global corporate agenda. Given the above recommendation, DFIDC needs **to explain**

⁵⁹ These additional sector papers are available from EvD.

better in future how the new RAP will transit from the existing RAP and how ongoing programmes will be continued or phased out and how lessons will be learned and shared.

3. The evaluation has noted that past programming would have benefited from further analysis to guide choices at sector level or within regional agency choices. For future programming, it is recommended that DFID undertake in a selective manner, **more substantive analysis to ensure DFID makes sound choices not just at sector level but also in selecting interventions and regional partners**. This might be relevant in the area of regional institutional assessment. It would also help avoid the impression that strategic choices are being driven by resource constraints than by comparative advantage.
4. DFIDC's risk assessment has been variable and its mitigation strategies weak. In future, therefore, DFID should **include more overt risk mitigation measures** as well as risk assessment and ensure that the measures are addressed through the strategy and/or by other partners.
5. HIV/AIDS should continue to be a priority area with a strong focus on making sure that the substantial amounts of money now available actually work. DFIDC has made a contribution to extending the scope of the response to non-health actors (such as faith based organizations) but should further **build awareness of HIV/AIDS through regional dialogue and on deepening the involvement of key sectors such as labour and education** particularly at the country level.
6. As far as possible and in proportion to programme resources, DFID should also seek to **mainstream gender** issues further across its work, in line with DFID's recent Gender Equality Action Plan (2006), as well as **environment**. This could be underscored by having gender-related indicators appended to project logframes.
7. The challenge of assessing programme impact in the medium term (3.97) and the need to communicate the effectiveness of DFIDC's role (3.103) lead to the need to strengthen the links between interventions and measurable outcomes. Therefore, DFIDC should aim **to measure outcomes better in the next RAP and report more systematically**, and in the process seek to build accountability of supported institutions and governments.
8. This evaluation notes the weak record on monitoring and evaluation in terms of preparation of frameworks or producing periodic collective progress reports (3.97). **Improvements to M&E** can be recommended in a number of areas including:
 - Use a rapid but triangulated scoring system to assess performance of small projects (under £1m) that are not routinely assessed by OPRs;
 - Set more realistic objectives for some reform programmes;
 - Undertake and publish a periodic (annual preferably) synthesis of results that reflect key RAP objectives;
 - Build indicators for mainstreaming results into logframes so that subsequent project reviews address this issue.

Working with Partners

- 9, Given the size of the EC grant aid budget, the indebtedness of the region, and the UK's presence as the main member state, **the EC must take much higher priority** for DFID. This will require work at different levels (UK, region, country, and advisor) to improve EC disbursement performance, poverty focus and harmonisation. The strategy must address existing and new EC instruments under the Cotonou Agreement (such as the Economic Partnership Agreements).
10. The CDB is a key partner for DFID partly for historical reasons and also because of DFID's need to work through a local partner as DFID itself downscales its bilateral programme. While the pace of reforms in the CDB has been slower than expected, the MEFF and the new SDF6 commitment demonstrate the importance of this relationship and of DFID's partnership role (4.29). Based on the experience of the last ISP, there is now a case of **an updated ISP that sets fewer, but more realistic targets**.
11. Although DFID's harmonisation work has not been explicit, there is a good record of initiatives in this area (3.41). There may be more opportunities to **deepen joint programming**, especially with closely aligned partners, such as CIDA, or with the EC, particularly in Guyana.
12. While the level of civil society involvement may be relatively weak compared to other regions (particularly say in nearby Central America), more opportunities may exist in the region than have hitherto been exploited particularly in sensitive areas such as crime, drugs and electoral processes. This has been demonstrated already in Jamaica (4.18). Therefore, DFID should seek to **engage further with civil society organisations** to assist in key programme areas where they have added value, and also to check on real poverty outcomes.

Programme Management and Location

13. The location of the regional office in Barbados proved advantageous in the early part of the evaluation period because of its proximity to the OECS and to Guyana, as well to other important partners such as CDB. Nevertheless, **an alternative regional office location could be considered** for a number of reasons. DFID's emphasis on working on poverty – and on ensuring a closer fit with location and MDG gaps – could suggest a move of the regional office to Guyana (and even, pursuing the poverty agenda to its logical point, Haiti at some time in the future). The lesson from this evaluation that there is a need to work as effectively as possible with the EC – and the fact that the EC regional office is in Guyana – could also support such a move. With the regional office in Guyana, it would be difficult to oversee the Jamaica programme effectively, and therefore this office could be run on a stand alone basis or with much looser oversight from the region.
14. DFID's work in the two main country offices of Jamaica and Guyana has been positive and influential, particularly in sensitive crime and security areas, in public sector reform and with partners such as the EC and WB. This represents good value given the small office size, and demonstrates the value of on the ground presence. We recommend that regardless of the future of the regional office, therefore, **the Jamaica and Guyana**

Country offices should be continued, with greater linkages to and responsibility for regional issues.

15. The importance of issues such as debt, multilateral effectiveness, crime and security have presented challenges to the reduced and less experienced staff complement in the region (3.82). It will important in future to **match advisory and programme skills and experience to strategic needs and ways of working**. This would mean for example emphasizing in recruitment or training such areas as influencing skills, experience of working with multilaterals especially the EC, of debt and economic management issues, and of security and governance.

ANNEX 1

Terms of Reference

TERMS OF REFERENCE FOR EVALUATION OF DFID COUNTRY PROGRAMMES - 2006-7

(Extension of Consultants Services June 2006- May 2007)

1. Introduction

DFID's performance management system is supported by periodic independent evaluations at project, programme, sector and thematic level. Evaluation Department (EvD) carry out four to five Country Programme Evaluations (CPEs) annually. These terms of reference (ToRs) set out the scope of work for the 2006/7 period.

Countries proposed for evaluation in 2006/7 are Zambia (or Kenya), Nepal, India (West Bengal State), and Indonesia. The Caribbean Regional Programme will also be included in the schedule. The evaluation will use the countries' most recent Country Assistance Plan (CAP)/Regional Assistance Plan (RAP), and related policy documents.

Lessons from earlier CPEs indicate that where they will add the most value is in performing an accountability function in DFID's decentralised country programmes. The primary audience of the evaluation will therefore be the UK government and DFID senior managers including heads of country offices. While the CPEs will also support and facilitate delivery of a lesson learning function, on the whole, this will be the remit of devolved and joint evaluation processes in country offices and among partners.

While country-led approaches are central to the way that DFID works, socio-political and environmental contexts will influence the progress and form of the development process. The CAPs articulate the country offices' plans for operationalising corporate objectives within the country context, and in most cases they will build upon or reflect the national Poverty Reduction Strategy Paper (PRSP). These plans are therefore the logical starting point for the evaluation.

2. Overarching objectives

The main objective of the evaluation is to draw the cause and effect links between:

- Programme direction and the poverty outcomes to which they are linked;
- Choice of instruments and objectives;
- DFID as a development partner.

The CPEs will also assess the country programmes in terms of:

DFID Processes

- The **relevance** of country programme objectives and the logic behind them given domestic policy objectives for poverty reduction, as well as DFID's own corporate level objectives;
- The **efficiency** with which programme plans are translated into activities, including human resource and office management, collaboration and harmonisation with other stakeholders, policy dialogue and influencing, the use of financial instruments, and the quality of DFID as a development partner;
- The **effectiveness** of the overall programme in achieving intermediate poverty reduction outcomes and the systems for measuring and monitoring success;
- The success with which the programmed had mainstreamed the cross-cutting issues of **poverty, gender, HIV/AIDS and environment** into all of its activities. What were the variables influencing the process of inclusion? What was the impact on the achievement of wider programme objectives?

To the extent possible, the studies will also assess:

- What can be said about impact and sustainability and at what level this occurs. What changes intended or unintended can be attributed to the interventions.

3. Outputs & Timing

The consultants will produce one study report and executive summary for each country. The report shall be approximately 30–40 pages long (excluding annexes).

EvD will carry out the initial data collection, with support from the consultant, which will produce a programme history. DFID will produce an initial context summary which will provide additional background information and outline issues identified by key stakeholders, other donors and DFID country staff. The consultants will work to the evaluation framework for the study (Annex A) as well as addressing country-specific issues raised by the EvD team in the context summary.

The consultant will:

- identify key issues for the evaluation, including understanding the development environment and history of DFID's recent programme;
- identify key stakeholders, internal and external to DFID, who they will interview;
- set up and plan the main field visit including consulting with local DFID staff and getting their support;
- identify and engage a consultant locally as part of the evaluation team.

The consultants will work to the strict deadlines set out in Annex B. Any changes to these deliverables

must be agreed in advance with EvD. Team composition and timelines will be agreed prior to commencement of each of the country studies. The consultancy should start around June 2006 and outputs will be produced to firm timetable.

On completion of the final report, the consultants will produce an evaluation summary (EvSum), of approximately 4–6 pages, which will include the response from the relevant DFID office/Department.

At the end of each of the CPE yearly cycles, a Synthesis report of approximately 20 pages will be produced by the consultants. The Synthesis Report will be guided by a framework developed in a workshop, scheduled for May 2006, focused on emerging themes and methods.

4. Competence and Expertise Requirements

One consultancy organisation will be appointed to deliver the outputs described above. The team members should have an up to date knowledge of the development issues in the CPE countries, including relevant experience in cross-cutting issues like gender mainstreaming, HIV and AIDS and the environment. The team must also include a strong national/regional component.

A managing consultant with extensive evaluation experience and a track record of managing country/strategic level evaluations will be required to manage the planning and delivery this study. The individual will also be expected to have strong written and oral communications skills as he/she will play a major role in communicating lessons learned both to country programme personnel and to a wider DFID audience.

Each country team will need to be familiar with country programme evaluation, monitoring and performance management issues, including DFID policies, performance, planning and data systems. The team will be made up of a combined skill set covering economics, social and institutional development and human resource management.

The consultancy team will have responsibility for:

- maintaining ethical standards in implementing the evaluation;
- the timely production of evidence based conclusions and recommendations to demanding quality standards;
- managing logistics in country.

5. Reporting

The consultants will report to the Country Programme Evaluation Team Leader or the Deputy Programme Manager in DFID Evaluation Department.

An appropriate dissemination strategy for each country evaluation will be finalised, reflecting audience, potential impact and targeting opportunistically other DFID dissemination events. Reports will be published and distributed, electronically and hard copy, to a wide ranging internal and external audience. The consultants should also be prepared to present their findings in a DFID wide seminar in Palace St. Specific arrangements for each seminar will be determined on completion of each country report.

ANNEX 2

List of Persons Consulted by REP Team

Barbados

DFID

Sandra Pepera, Head DFIDC
Jane Armstrong, Head of Regional Programme Team
Simone Banister, Head Corporate Management Team
Sherry Levi, Executive Assistant to Sandra Pepera/Programme Assistant
Sandee Layne, Office Manager
Cherianne Clarke, Deputy Head Regional Programme Team
Lindsey Block, Economic Advisor
Pat Holden, Senior Social Development Advisor
Simon Little, Disaster Advisor
Coreen Delice, IT Administrator/Programme Assistant
Tamara Lovell, Programme Officer

Jennifer Astafan, Executive Director, CARICAD
Richard Madavo, Senior Public Sector Adviser, CARICAD

Ann Bramble, Evaluation Dept, CDB
Paul Morgan, Economist, Evaluation Dept, CDB
Desmond Brunton, Vice President Operations, CDB
Warren Smith, Director Finance & Corporate Planning, CDB
Allan Slusher, Director, Economics Dept., CDB
Elbert Ellis, Social Analyst, CDB
McDonald Thomas, Operations Officer, CDB
Marcellus Albertin, Operations Officer, CDB (former OECA Adviser)

Amos Tincani, Ambassador and Head of Delegation, EC Delegation
Darran Newman, First Secretary, Social Development Adviser, EC Delegation
Cecile Tassin-Pelzer, Head of Section, Economics and Private Sector, EC Delegation
Joachim Zeller, Head of Corporation, EC Delegation
Collette O'Driscoll, Economics, Advisor, EC Delegation

Dr Marion Williams, Chair Steering Committee CRNM, and Governor of the Central Bank
Henry Gill, Senior Director, CRNM
Ramish, Service Sector, CRNM
Trevor Boothe, Director Technical Cooperation and Partnerships, CRNM

Kathryn Dunlop, Head, CIDA
Joanne Goulet, Former Head CIDA
Tracie Henriksen, Second Secretary, CIDA
Yuri Chakalal, Environment/ Disaster specialist CIDA

Richard Abrams, Programme Coordinator, CARTAC
 Diane Mendoza, Financial Sector Supervision Adviser, CARTAC
 Denis Lepage, Public Finance Management Adviser, CARTAC
 Brian Dawes, Tax and Customs Policy, CARTAC

Duncan Taylor, British High Commissioner, Barbados
 Gilly Metzgen, Policy Officer, British High Commission, Barbados

Paula Mohamed, Senior Programme Manager, UNDP
 Leisa Perch, Program Manager Poverty / HIV/ Gender, UNDP
 Giles Romulus, Manager GEF small grants, UNDP
 Carrie Taylor, Programme Officer, Governance, UNDP
 Roberta Clarke, Head, UNIFEM

Donavon Gentiles, Preparedness and Response Manager, CDERA
 Jeremy Collymore, Director, CDERA
 Mansfield Blackwood, Senior Technical Specialist, USAID
 Ivor Carroll, Programme Manager, CSME
 Laurence Telson, Project Specialist, IADB
 Christopher Sinkler, CPDC

St Lucia

Kelvin Green, Resident British Commissioner
 Dr Vasantha Chase, Director of OECS Social and Sustainable Division, OECS
 Marcus Paul Day, CDARI, Caribbean Drug Research Institute
 Jacinthe Lee, Director, National Community Foundation
 Marcus Edward, Deputy Chief Education Officer, Ministry of Education, Human Resource Development, Youth and Sports
 Donovan Williams, National Authorising Officer, Ministry of Planning
 Anne Jean Batiste, Programme Officer, Ministry of Education, Human Resource Development, Youth and Sports
 Yves Renard, Natural Resources Consultant and Facilitator

Jamaica

DFID

Tamsin Ayliffe, Head
 Jean Gakwaya, Office Manager/Programme Officer
 Antonette Grant, Senior Programme Officer

Jeremy Cresswell, High Commissioner, BHC
 Demelza North, BHC

Assheton Bogg, Management Advisor, Jamaica Constabulary Force
 Norman Hayward, Police Superintendent, Jamaica Constabulary Force
 Mark Shields, Deputy Commissioner (IPO), Jamaica Constabulary Force
 Les Green, Assistant Commissioner (IPO), Jamaica Constabulary Force
 John McLean, Assistant Commissioner (IPO), Jamaica Constabulary Force
 Novelette Grant, Assistant Commissioner, Jamaica Constabulary Force

Annexes

Gilbert Scott, Permanent Secretary Ministry of National Security
Vivian Brown, Ministry of National Security
Anne Marie Barnes, Ministry of National Security
Keesha Right, Ministry of National Security

Alain Williams, Kingston Restoration Company
Wayne Manderson, Kingston Restoration Company
Morin Seymour, (Executive Director) Kingston Restoration Company

Carlo Pettinato, First Secretary/ Head of Section, European Commission
Francesca Romagnoli, Task Manager, European Commission

Dr Wayne Henry, Liaison Officer/ Economist, World Bank
Richard Billings, Social Development Commission
Patricia Johnson, Programme Mgr, Jamaica All Age Schools Programme
George Briggs, Public Sector Reform Unit, Cabinet Office
Scarlett Gillings, Director, Jamaica Social Investment Fund
Beverley Morgan, Jamaica Cluster Competitiveness Project
Patricia Balls (Director of Community Service Initiative) Office of the Prime Minister

Juan Carlos Espinola, Res. Coordinator, UNDP
Diane McIntosh, Governance Officer, UNDP
Dr Karen Turner, Mission Director, Jamaica-Caribbean Regional Program, USAID
James Harmon, Deputy Mission Director, USAID
Patricia Chaplin, Director, Office of Program Dev. and Mgt, USAID
Terri-Ann Gilbert-Roberts, Development Officer, CIDA

Jenny Jones, JASPEV
Steadman Noble, JASPEV
Verdayne Wallace, Director, Loan Admin. Management Unit, Ministry of Finance

Barbara Scott, Director External Aid, PIOJ
Pauline Morrison, Manager Bilateral Programs, PIOJ
Marsha Wilcox, Direct of External Cooperation Management, PIOJ

Oscar Spenser, Deputy Representative, IADB
Gerard Johnson, Representative, IADB

Leith Dunn, Head, Gender and Development Centre, Univ. of West Indies

Guyana

DFID

Johnny Baxter, Head
Albena Melin PRS Adviser
Kevin Bonnett Programme Officer
Rosanne Singh, Programme Assistant

Fraser Wheeler, High Commissioner, BHC

Brett Maitland, First Secretary (Development), CIDA
 Sarada Leclerc, Field Coordinator HIV/AIDS, CIDA
 Anna Iles, CIDA Program Officer

Helen Jenkinson, Head of Section, Regional Advisor, EC Delegation
 Ritva Sallmen, Economic Adviser, EC Delegation

Patrica Lopez, Country Representative, World Bank
 Tamara Amoroso Whalen, Operations Analyst, The World Bank Guyana

Carla Khammar, Res. Rep., UNDP
 Patsy Ross, Environment, UNDP

Winston Harlequin, Office of Economic Growth, USAID

Nativa Anganu, Finance and Accounting Specialist, IADB

Manzoor Madir, MP, Minister of Labour

Tarachand Balgobin, Division Head, Ministry of Finance
 Winston Brassington, Executive Secretary and Head, Privatization Unit, MOF
 Donna Yearwood, Manager, Debt Management Unit, MOF
 Ed Humphriy, ODI Fellow, Debt Management Unit, MOF

Bal Persaud, Executive Director, The Private Sector Commission of Guyana Ltd

Mike Clark, Managing Director, Guyana Water Inc.
 Deborah Montouth, Permanent Secretary (acting) and Technical Assistant, Ministry of Housing &
 Water
 Andrew Bishop, Commissioner / CEO, Guyana Lands & Surveys Commission

Eddie Greene, Assistant Sec. General, Human & Social Development, CARICOM
 Carl Brown, Director, PANCAP
 Linden Harlequin, Business Development Manager, DFLSA Inc, Georgetown
 Evelyn Hamilton, Chief Planning Officer, Ministry of Education
 Dr Singh, Head of the National AIDS Council
 Dr. Harvey, Senior Medical Officer, Ministry of Health
 Douglas Lyon, Chief of Party, Centre for Disease Control
 Carolyn Kennedy, BEAMS PIU, Communication Specialist, Ministry of Education, Guyana

Telecons / VCs

Belinda Brady, Clinton Foundation
 John Harrison, (former Social Development Advisor and CDB Advisor)
 Sarah Dunn, (former Private Sector Advisor, DFIDC)
 Greg Briffa, (former Head Guyana Office, DFIDC)
 Miranda Munroe, (former Social Advisor, DFIDC)
 Malcolm McNeil, Health Adviser, LACAD PS
 Kathy Higgins, (former Governance Advisor, DFIDC)
 Kevin Quinlan, (former Private Sector Advisor, DFIDC)
 Mark James (former Policy Adviser, Jamaica)

Joanne Moore, CAREC
Caroline Anstey, Head, Caribbean Country Management Unit, World Bank
Antonella Bassani, Lead Economist, Caribbean Country Management Unit, WB
Errol Graham, Sector Leader, WB
Badrul Haque, Economist, WB
Peter Smith, TCO, Water Sector, Guyana
John White, (former High Commissioner, Barbados)
Edward Glover, (former High Commissioner, Guyana)

Email

Rob Bateson (former HR and Finance Manger, DFIDC)
Richard Beales former Natural Resources Adviser, DFIDC)
Elizabeth Carriere (former Head DFIDC Jamaica)
Gordon Saggars (former Deputy Head DFIDC Jamaica)

DFID UK

Saul Morris, Statistician, PS
Joanne Alston, (former Head, DFIDC)
Paul Mullard, (former Economist, DFIDC)
Gerry Duffy, IFID, PS
Tamar Bello, IFID, PS
Martin Dinham, Director, EMAD

ANNEX 3

Bibliography

(DFID's OPRs and PCRs are not listed here)

CDB (2005) *Special Development Fund, Annual Report 2005*

CDB (1999) *Strategic Plan 2000 – 2004, The Road Into The New Millennium*

DFID (2001) *Jamaica Country Strategy Plan*, London DFID

DFID (2001) *Working in Partnership with Caribbean Development Bank*, London DFID

DFID (2001) *Windwards Islands Strategy*, London DFID

DFID (1999) *Guyana Country Strategy Plan*, London DFID

DFID (2000) *Policy and Resource Plan 2001/4*, Barbados DFID

DFID (2002) *Policy and Resource Plan 2002/5*, Barbados DFID

DFID (2002) *Bilateral Country Programmes DFID Caribbean*, Internal Audit Report

DFID (2002) *DFID Service Delivery Agreement 2003–2006*, London: DFID

DFID (2003) *Addressing the Impact of Preference Erosion in Sugar on Developing Countries* by LMC Int. and Oxford Policy Management

DFID (2003) *Jamaica Whitehall Strategy*, London DFID

DFID (2003) *Draft Guyana Country Assistance Plan*, Guyana DFID

DFID (2003) *Objectives For Working With The European Union In The Wider Caribbean Region*, by M.Munro Barbados DFID

DFID (2004) *Regional Assistance Plan for the Caribbean*, London DFID

DFID (2004) *Review of Secondments/Influencing Placements Funded by DFID's EMAD* Harrison J and Keeling, A, London DFID

DFID (2005) *Social Development Seconded National Expert, EC Delegation Barbados*, Office Memo, Barbados DFID

DFID (2005) *Multilateral Effectiveness Framework Baseline Assessment 2005 CDB*, London DFID

DFID (2004) *Achieving the MDGs: Middle Income Countries, A Strategy for DFID 2005-2008*, London DFID

DFID (2005) *Jamaica Country Assistance Plan*, London DFID

DFID (2005) *Working in Partnership with The European Union*, London DFID

DFID (2005) *DFID Caribbean's Strategy to Work with the EC*, S. Dunn, Barbados DFID

DFID (2005) *Reducing poverty by tackling social exclusion*, London DFID

DFID (2005) *DFID's work on international trade and development 2005-2007*, London DFID

DFID (2006) *Departmental Report*, London DFID

DFID (2006) *Guyana Strategy (draft 3 – 4/1/06)*, Guyana DFID

DFID (2006) *Submission for SDF 6*, Barbados DFID

DFID (2006) *Jamaica Forward Strategy* London DFID

EC (2002) *Guyana – Country Strategy Paper 2002-2007*

EC (2006) *EU-Caribbean Partnership for Growth, Stability and Development*, General Secretariat of the Council, Doc 34/06, Brussels EC.

Govt of Jamaica (2005) , *Medium Term Socio Economic Policy Framework 2004-7*

HMG (2004), *Countries at Risk of Instability, Jamaica Pilot*, Strategy Unit, Cabinet Office

CRNM (2006) *Aid For Trade: A Caribbean Perspective*, E. Parsons, Barbados,

UNDP (2004) *The Millennium Development Goals, Barbados and E. Caribbean*

World Bank (2005) *A Time to Choose, Caribbean Development in 21st Century*, Washington, World Bank

ANNEX 4

Evaluation Matrix
REGIONAL / COUNTRY PROGRAMME EVALUATIONS MATRIX
 (Caribbean, December 2006)

Sector: _____

EVALUATION CRITERIA	QUESTIONS	Findings and Evidence Base Guyana / Jamaica/ Region (and EC/CDB where available)
I. Relevance How far did DFID do the right thing? Overall strategy and areas/sectors selected for intervention	<ol style="list-style-type: none"> 1. Does DFID have a clear and focussed country strategy that explains the rationale for the programme? (eg. options considered, choices made and why, prioritisation, selection of sectors etc) 2. How far is the country strategy aligned with development needs and policy priorities of the partner country, eg is the programme aligned with the PRS? 3. How far was the country strategy based on a realistic analysis of the PRS, and to what extent did it attempt to address gaps in the PRS? 4. What progress has the country made on the MDGs? 5. Which are the off-track MDGs? 6. How did the country strategy aim to address off-track MDGs? 7. Were some national development objectives given lower priority by DFID? 8. To what extent is DFID strategy for this country in line with corporate priorities, and how did the CAP balance country context and corporate policy? 9. How was the balance between budget support, other forms of financial aid and technical assistance determined? 10. How far was the political economy and governance context taken into account in determining the aid instruments to be used? 11. How far did the actual mix of instruments reflect the plans? 12. What were the reasons for any departures from the planned mix? 	
DFID's choice of aid instruments	<ol style="list-style-type: none"> 13. To what extent did DFID have an explicit strategy for influencing Government? 14. Was influencing work adequately resourced and effectively managed? 15. To what extent did DFID seek to strengthen harmonisation across the donor community? 	
DFID's partnership strategy		

EVALUATION CRITERIA	QUESTIONS	Findings and Evidence Base Guyana / Jamaica/ Region (and EC/CDB where available)
	16. To what extent did DFID have an explicit strategy for influencing and collaborating with individual donors? 17. To what extent did DFID have an explicit strategy for working with civil society? 18. How far did DFID communicate its aims and objectives to all development partners, civil society and government?	
DFID's approach to cross-cutting themes	19. Did DFID have a strategy for mainstreaming cross-cutting issues such as gender, social exclusion, governance and environmental protection? 20. How far was the strategy/approach consistent with corporate policy on cross cutting issues?	
Level and allocation of resources	21. Was the country strategy appropriate to the level of resources available? 22. How far did spending and use of staff time reflect country programme objectives?	
Results focus-RAP / CAP Part 3	23. How far were DFID's planned interventions sufficiently results-focused and monitorable? 24. Did the country office use a results based performance framework to assess progress? 25. To what extent did DFID identify and use intermediate outcome indicators to track results?	
Risk Management	26. How systematically did DFID assess the external risks (ie political governance and economic) and the internal threats to the country strategy? 27. How comprehensive was the DFID risk minimisation strategy?	
II. Effectiveness "How far did DFID do what it said it would do?"		
Overall strategy and areas selected for intervention	1. How far were objectives set out in the country strategy achieved in practice? 2. What were the areas of success/failure and what lessons have been learned? 3. How far were CAP performance indicators achieved in practice? 4. To what extent was the programme that DFID implemented different to the one set out in its strategy? 5. What factors and rationale explain areas of divergence from the initial country strategy? 6. How effectively did the country office manage the risks that emerged? 7. Were there any unexpected outcomes?	
DFID's choice of aid instruments	8. How effective was the mix of aid instruments in achieving planned objectives? 9. Is there any evidence about the relative effectiveness of the different instruments? 10. Were the different instruments used sufficiently complementary?	

EVALUATION CRITERIA	QUESTIONS	Findings and Evidence Base Guyana / Jamaica/ Region (and EC/CDB where available)
DFID's partnership strategy	<ol style="list-style-type: none"> 11. What has been achieved from efforts to influence Government? 12. Has DFID been effective in pursuing its influencing agenda with Government? 13. Was harmonisation strengthened? 14. To what extent did DFID work effectively with other donors to achieve common objectives or to change their policy? 15. To what extent did DFID work well with civil society? 16. To what extent was DFID effective in communicating its aims and objectives to all development partners, civil society and government? 	
DFID's approach to cross-cutting themes	<ol style="list-style-type: none"> 17. Were issues of gender, social exclusion, governance and environmental protection addressed as planned? 	
Level and allocation of resources	<ol style="list-style-type: none"> 18. Was DFID's actual disbursement of aid to the country in line with expectations and according to the prescribed timetable? 19. Was the sectoral allocation of resources consistent with the country strategy? 20. How far did HQ spending targets influence country allocations? 	
Results focus	<ol style="list-style-type: none"> 21. Were the results of DFID interventions adequately monitored and acted upon by country office managers e.g. to make mid course corrections to the country strategy or individual programmes? 22. How far were the objectives and performance indicators for main programmes eg of budget support, SWAPs etc achieved? 23. How has the quality and performance of the overall portfolio changed over time? 24. Have efforts been made to consolidate and improve the performance of the portfolio? 25. Have results frameworks for budget support (GBS and SBS) instruments been used and what is the performance record? 	
III. Efficiency "How efficiently did DFID deliver its objectives? "		
	<ol style="list-style-type: none"> 1. Was the skill mix and continuity of staff planned and then aligned with the country strategy? 2. Compared to other country programmes over the same evaluation period, what was the ratio of administrative to programme spending? (Allowing for different programme contexts). 3. Were there any significant delays in disbursing programme funds? 4. What effort was made to ensure the monitoring system could cope with the size of the programme? 5. How far were the results of monitoring reports used to reconsider resourcing and staff allocation priorities? 	

EVALUATION CRITERIA	QUESTIONS	Findings and Evidence Base Guyana / Jamaica/ Region (and EC/CDB where available)
IV. Sustainability “Are the reforms/changes supported by DFIDs country programme moving in the right direction and are they likely to be sustained / difficult to reverse?”	<ol style="list-style-type: none"> 1. To what extent has local capacity been built? 2. To what extent has the policy and Governance environment been strengthened? 3. To what extent has government developed effective programming, budgeting and service delivery systems <ol style="list-style-type: none"> a. national budget based on PRS b. adoption of medium term budgeting integrating capital and recurrent; budget execution improved c. spending increased in pro poor areas d. service delivery improvements 4. To what extent has transparency and accountability increased? <ol style="list-style-type: none"> f. improved information flows g. responsiveness to public on service delivery h. action on corruption and reduced wastage of public resources 5. To what extent has government taken steps to earmark the budget needed to maintain mutually agreed areas of priority? 6. Has there been a sustainable improvement in the responsiveness of Government to civil society and the poorest members of society 	
V. Outcome “Taking into account criteria I through IV, was the net result of DFID intervention satisfactory?”	<ol style="list-style-type: none"> 1. How far did the country programme achieve the objectives set? 2. Did DFID achieve sufficient positive outcomes to justify the financial and human resources used in the programme? 3. What overall rating can be given to the country programme? 4. To what extent is the country’s political economy conducive to efforts to reduce poverty and improve governance? 5. What factors beyond the control of development partners—natural disasters, civil disturbances, terms of trade shocks, etc—had a positive or negative effect on the outcome of DFID’s interventions? 6. Given the direction of travel and external factors, overall how far did the country programme 	
Country context		

EVALUATION CRITERIA	QUESTIONS	Findings and Evidence Base Guyana / Jamaica/ Region (and EC/CDB where available)
Government actions	<p>make a positive contribution to poverty reduction?</p> <p>7. How effective was the government in preparing, implementing and monitoring DFID-supported operations?</p>	
Actions by DFID	<p>8. How effective was DFID at identifying and delivering added value from its interventions?</p> <p>9. To what extent was DFID's policy framework adapted to the needs of the country?</p> <p>10. How did DFID's HR and operational procedures and practices affect the implementation of the strategy?</p>	
Actions by other development partners	<p>11. How effective were other development partners in supporting DFID-supported operations?</p>	
V1. Lessons "What lessons can DFID draw from the evaluation for informing future country, regional or corporate planning and operations?"		
1. What lessons be drawn for DFID's future work in country / region?		
2. What lessons be drawn more widely for DFID's global work or in similar contexts elsewhere?		

ANNEX 5

Timeline of Key Events

Year	2000	2001	2002	2003	2004	2005	2006
DFID events	PARP 2001/4 Published 2 nd White Paper DFID Reorganisation	Draft Regional Strategy Paper circulated for consultation PARP 2002/5 published New Head DFIDC	Internal Audit of DFID Caribbean PARP review (July)	DFIDC Transition Plan (Dec)	RAP published 'Achieving the MDGs: The MICs' Strategy published (August) New Head DFIDC (Oct)	DFID's Policy Paper: Work on International Trade (Sept)	3 rd Whote Paper on Governance
EC / CDB	CDB Strategic Plan (March) Pan Caribbean HIV/AIDS partnership launched (Feb)	CDB ISP published (Feb) CDB SDF 5 (2001-04) approved (Jan)	CDB ISP Review	Phase 1 negotiations of EPA	EC Sugar Reform Plan (July)	Multi-lateral effectiveness Baseline Assessment CDB SDF6 submission (July) UNDP ISP published mini EC ISP Caribbean	EC ISP published (May) EU-Caribbean Partnership Paper (March)

Year	2000	2001	2002	2003	2004	2005	2006
Region events	Cotonou EC-ACP agreement signed (March)	Sept 11 terrorist attack	ACP-EU Economic Partnership Agreements negotiations (Sept)	Rome declaration	Hurricane Ivan	published (May)	
Guyana		EU 'Everything but Arms Initiative' approved (Feb)	Enhanced HIPC completion? Security problems		Floods (Dec)	PRSP progress report (Aug)	Elections (June)
	HIPC completion (May) Interim PRSP	Elections (March) PRSP approved (Nov)	Slow recruitment process	DFID Guyana assumes management responsibility PUSS Visits (Oct)	New Head of office (Jan)		
Jamaica	Debt servicing represents 60% of revenue IMF monitored programme agreed (July)	DFID Guyana Head posted (Nov) Thematic groups on Water & Education led by DFID	Fiscal crisis Jamaica	PUSS Visits (Oct)	MDG Report (April)	MTSEPF draft (04-07)(Feb) CSME implemented	

Year	2000	2001	2002	2003	2004	2005	2006
DFID	3 yr CDI agreement signed by SoS (March)	DFID Dep Head appointed (July) PM visits Jamaica CSP (01-04) approved CSP approved	Jamaica Country office established	Whitehall Strategy (Nov)	Countries at Risks analysis by PM Strategy Unit		
Windwards			Fiscal crisis Dominica				

ANNEX 6

Staff Timeline

	1999	2000	2001	2002	2003	2004	2005	2006
Directors - EMAD								
Carolyn Miller			X	X	X	X	X	X
Martin Dinham			X	X	X	X	X	X
Deputy Director LACD								
Brenda Killen			X	X	X	X	X	X
Richard Teuten						X	X	X
Paul Spray								X
Heads -DFIDC								
Desmond Curran	X	X	X	X	X	X	X	X
Joanne Alston			X	X	X	X	X	X
Sandra Pepera							X	X
Corporate Management								
Jane Armstrong (Office Manager)	X	X	X	X	X	X	X	X
Rob Bateson (Office Manager)	X	X	X	X	X	X	X	X
Simone Banister (Head Corp Mgt)								X
								X
Advisers /Programme Staff								
Richard Beales (Natural Res Adv)	X	X	X	X	X	X	X	X
Robert Bateson (Prog Off)	X	X	X	X	X			
Kate English (Prog Off)	X	X	X	X	X	X	X	
Liz Harmer (Prog Off)	X	X	X	X	X	X	X	
Sherry Levi (Prog Asst)	X	X	X	X	X	X	X	X
Darran Newman (Social Dev Asst)	X	X	X	X	X	X	X	X
Roger Cunningham (senior education adviser)	X	X	X	X				
Greg Briffa (Engineering Adviser)	X	X	X	X				
Ann Keeling (Social Dev Adviser)	X	X	X	X	X	X	X	X
Robert Smith (Dept Head)	X	X	X	X	X	X	X	X
Kevin Quinlan (Private Sec Adviser)								
Jane Armstrong (Head Reg Unit)					X	X	X	X
Sandee Layne (Prog Off)					X	X	X	X
Cherianne Clarke (Prog Off)						X	X	X
Sarah Dunn (Private Sec Adviser)						X	X	X

Directors - EMAD

Carolyn Miller

Martin Dinham

Deputy Director LACD

Brenda Killen

Richard Teuten

Paul Spray

Heads -DFIDC

Desmond Curran

Joanne Alston

Sandra Pepera

Corporate Management

Jane Armstrong (Office Manager)

Rob Bateson (Office Manager)

Simone Banister (Head Corp Mgt)

	1999	2000	2001	2002	2003	2004	2005	2006
Macro Economic Stability								
Andrew Hall (Economic Adv)	X	X	X	X	X	X	X	X
John Piper (Economist BID)	X	X	X	X	X	X	X	X
Paul Mullard (Economic Adv)	X	X	X	X	X	X	X	X
Lindsey Block (Economic Adv)								
Graeme Buckley (Economic Adv)							X	X
Governance and PFM								
William Baker	X	X	X	X	X	X	X	X
Kathy Higgins	X	X	X	X	X	X	X	X
Marcellus Albertin (TCO Edu)	X	X	X	X	X	X	X	X
Crime and HIV								
Paul Mathias (Police Adv)	X	X	X	X	X	X	X	X
Miranda Munro (Social Adv)	X	X	X	X	X	X	X	X
Malcolm McNeil (HIV Adv) (part-time)	X	X	X	X	X	X	X	X
Pat Holden (Social Adv)	X	X	X	X	X	X	X	X
Disasters								
Simon Little (part-time)								X
Jamaica								
Elizabeth Carriere (Head)				X	X	X	X	X
Gordon Sagers (Dep Head)			X	X	X	X	X	X
Mark James (Policy Adviser)							X	X
Tamsin Ayliffe (Head)							X	X
Jean Gakwaya (Off Mgr / Prog Off)							X	X
Antoinette Grant (Snr Prog Officer)						X	X	X
Guyana								
Johnny Baxter (Head)				X	X	X	X	X
Greg Briffa (Head)			X	X	X	X	X	X
Lynn Macaulay (Dep Head)				X	X	X	X	X
Simone Banister (Prog Off)				X	X	X	X	X
Peter Smith (Infrastructure Adv)				X	X	X	X	X
Albena Melin (PRS Adviser)							X	X
Amisha Patel (Dep Head)							X	X
Kevin Bonnett (Prog. Off)							X	X

	1999	2000	2001	2002	2003	2004	2005	2006
Belize			X X X X X X	X X X X X X	X X X X X X	X X X X X X	X X X X X X	X X X X X X
Secondees								
James Droop (WB Office, Guyana)						X X X	X X X	X X X
Darran Newman (EC Delegation, Barbados)							X X X	X X X
Lucia Hamner (WB Office, Guyana)					X X X	X X X	X X X	X X X

ANNEX 7

LATIN AMERICA AND CARIBBEAN DEPARTMENT: PROGRESS ON 2005/06 DDP AND 2005/06 BUSINESS PLAN

CARIBBEAN RESULTS

DDP TARGET	BUSINESS PLAN TARGET (WHERE RELEVANT)	SCORE	PROGRESS SO FAR	FUTURE DIRECTION
Annual poverty reduction progress reporting in Guyana by 2006/7, which engages communities and results in more effective Government and donor expenditure (4.12)		3 Partial achievement't at this stage, but more can be expected	PRSP Final Progress Report (PR) published August 2005 (after 2 previous Draft Progress Reports); wider consultation took place, incl. debate in Parliament; difficulties remain linking activities in the PR to more effective budget expenditure. Donor community not providing the necessary support to ensure that the Progress Reporting is better than previous years (PR 2005 isn't much of an improvement on PR 2004).	Stronger engagement with other donors needed to ensure better progress reporting. Some Government perception of PRSP as a WB/IMF document still strong; need better understanding of usefulness of PRSP as a locally owned document/overall framework. Amongst donors a more unified perception of the relevance of the PRSP as an overall framework document needed, as well as acknowledgement of necessity for stronger and more coherent donor engagement to ensure better progress reporting; work on data/ social statistics as a basis for evidence based policy needs to be resuscitated in a joint donor effort.
	Credible Guyanese national elections conducted before August 2006, which encourage an enhanced commitment to effective Parliamentary governance by all political parties: a) needs assessment agreed, and funding requirements met by June 2005;	2	a) Needs assessment was attached as annex to MoU signed (20/7/05) between donors, Gov't and Guyana Elections Commission (GECOM). Funding requirements have been identified and external funding levels clarified.	Despite concerns about the delays and disagreements between GECOM Commissioners, issues concerning biometric data and verification of the electoral database are being resolved. There are still widespread concerns that the tight timetable will be

	<p>b) timetable for elections preparation to achieve free and fair elections in 2006, agreed by June 2005</p> <p>c) GECOM, political parties and donors meet their agreed commitment to the timetable laid out, including any required legislation enacted and donor support delivered.</p>	<p>2</p> <p>2</p>	<p>b) GECOM formally submitted a timetable to donors 16/9/05.</p> <p>c) GECOM, political parties and donors are actively pursuing a range of activities as covered by the MoU. Appropriate legislation is being enacted.</p>	<p>challenging to achieve and that the main opposition party may decide not to fight the election. There is currently debate about smaller parties forming a coalition of some form.</p>
<p>Donors align their programming with the <u>Jamaican Government's Medium Term Socio-Economic Policy Framework by 2007/8 (4.12)</u></p>	<p><u>Monitoring framework</u> for the MTSEPF agreed by GoJ and donors by February, sets clear linkage between social outcomes and fiscal expenditure, and provides an effective performance assessment framework for budget support donors</p>	<p>3 (2)</p>	<p>EC budget support is now conditional on achievement of MTSEPF targets. DFID and World Bank have made explicit commitments in their respective country plans to align with MTSEPF. UN, CIDA and USAID actively engaged in discussions on MTSEPF. Further development of MTSEPF monitoring framework has been undertaken with EC TA. Strategic focus and mainstreaming of poverty issues still need strengthening. GoJ still working on development of linkages with budgeting processes.</p>	<p>DFID TA will help establish thematic working groups to engage key stakeholders around key strategic issues in the MTSEPF. May be scope for emergence of SWAPs in one or two sectors. We continue to press for increased high-level GoJ engagement and for integration of MTSEPF with GoJ systems and processes.</p>
<p>Achieve agreed milestones within <u>transitional support programmes for ACP sugar producers by 2007/08 (4.13)</u></p>	<p>a) Support ETID in achievement of long-term funding secured for EC transitional assistance, including for the preparatory phase (2006), and new EC instrument designed in a manner that addresses disbursement constraints;</p>	<p>2</p>	<p>a) DFIDC has been instrumental in facilitating 5 of the 6 Caribbean sugar producers to make progress in developing their action plans and achieving less strained relations between Gov'ts and EC. Progress is slow, but DFID resources are being disbursed or ready to be disbursed to support the drawing up of action plans. New EC instrument designed for assistance in 2006, intended to ease disbursement. Progress on securing adequate funding for 2006 has proved difficult, but DFID and UKREP are working with the EP and MSs to take forward.</p>	<p>DFID will need to work to keep this moving ahead in timely fashion. In-country DFID offices will have to continue dialogue, ensuring clear communication to Gov't. Funding support to assist plan development will start or continue. DFIDC will continue to work with ITD and EUD to influence Brussels on the instruments for delivering the transition assistance, regulations, the funding available and the allocation formula.</p>

	<p>b) substantial improvement in disbursement of STABEX and SFA funds in 2005 over 1999-2004 performance.</p>	<p style="text-align: center;">3</p>	<p>Longer-term funding still to be decided through negotiations on next Financial Perspective.</p> <p>b) The EC has shifted towards the idea of using direct budget support to speed up disbursement of residual STABEX and SFA funds. Governments in St Vincent and the Grenadines, Dominica and Grenada have agreed to this approach and the proposals are currently with the Commission in Brussels. If agreed, disbursement of these DBS programmes is unlikely to start before the end of 2005. Following DFID lobbying, Louis Michel confirmed a wider interpretation of the use of SFA monies, moving away from a narrow rural sector bias, which should also speed up design and disbursement. The DFID funded July workshop with the EC and regional participants on Whether the rural sector in the Windward Islands has stimulated a more consultative and participative approach for SFA programme design by the EC in the Windward Islands. The delegation is taking forward follow-up workshops jointly with the World Bank in each country.</p>	
<p>Help the Caribbean Regional Negotiating Machinery to achieve a successful outcome to trade negotiations for the Caribbean by 2008 (4.13)</p>		<p style="text-align: center;">2</p>	<p>Testpiece harmonised donor report for period April-Sept 05, to be discussed in October 05. Overall harmonised performance management framework being worked on; to be discussed before end of 2005.</p>	<p>Slight risk to target if identified financial management issues remain outstanding and unresolved. DFIDC to monitor and act accordingly.</p>
<p>World Bank and GFA TM funding to be effectively used in the Caribbean, with the private sector engaged and stigma</p>	<p>a) Establishment of <u>international centre for TC</u> and training activities in Brazil by December</p>	<p style="text-align: center;">1</p>	<p>a) Finalisation of harmonised support to the international centre (ICTC) planned for mid-October. Brazil leading south-south cooperation on 3 Ones following successful UNAIDS/DFID conference in mid September. Brazil providing TC to 5 LA national programmes; link</p>	<p>a) DFID expertise will be provided to ICTC during 2006.</p>

<p>and discrimination reduced: and for Brazil to be able top provide effective HIV/AIDS TC to others in Latin America and the Caribbean (4.13)</p>	<p>b) An <u>anti-stigma and discrimination programme established within Caribbean regional institution</u> by December.</p> <p>c) <u>Improved implementation of World Bank and GFATM programmes</u> by March 2006</p>	<p>2</p>	<p>established with Caribbean June 2005.</p> <p>b) Follow up to 2004 Stigma conference on target with "Champions 2" conference for faith based groups on schedule for November 2005. Base for further support to be determined following the conference. DFID's Private Sector Programme will be launched at the end of October 2005. HIV stigma and discrimination component incorporated into new Jamaica Police programme.</p> <p>c) Brazil working closely with PD team to enhance WB programmes. OECS has signed its grant agreement with GFATM. Consultancy commenced to support the Global Fund in Honduras and Bolivia and ensure that future funding is not lost. Nicaragua & Honduras have presented technical assistance proposals relating to HIV-AIDS to Brazil</p>	<p>c) We will participate in a review of WB/GFATM programmes in the region in October 2005, to identify blockages impeding speedy disbursement of both WB and GFATM funds. El Salvador, Honduras & Nicaragua to explore sub-regional Central American arrangement with Brazil.</p>
---	---	----------	--	--

1. Well on track and expected to be achieved fully.
2. Progress being made and likely to be largely achieved.
3. Only partial achievement can be expected.
4. Limited achievement expected.
5. No progress expected.

ANNEX 8

MDGs in Jamaica, Guyana and E. Caribbean

GOALS	Selected Target(s)	Selected Data	General Status Re Goal	Main Concerns
1. Eradicate extreme poverty and hunger	Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	Poverty levels 1990 : 28.4 2001 : 16.8	On Track	<ul style="list-style-type: none"> • Chronic public and private poverty in the rural areas • Chronic public poverty in some marginalized urban communities
2. Achieve universal primary education	Ensure that by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	Enrolment at the primary levels 1990 : 95.6 2001 : 96.2	Achieved	<ul style="list-style-type: none"> • Quality of access, especially among the poor and in the Rural Areas • The quality of primary level teachers
3. Promote gender equality and empower women	Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015	Ratio of girls to boys at the primary level 1990 : 0.99 2001 : 0.96 Ratio of girls to boys at the secondary level 1990 : 1.07 2001 : 1.03 Ratio of girls to boys at the tertiary level 1990 : 1.26 2001 : 1.99	Lagging	<ul style="list-style-type: none"> • Women are not adequately participating in the major political decision-making spheres • Cultural norms constrain gender equality at the household level • Men are under-represented at upper-secondary and tertiary levels of the education system
4. Reduce child mortality	Reduce by two thirds between 1990 and 2015, the under-five mortality rate	Under-five Mortality Rate (per 1000) 1993 : 25.5 2000 : 26.6	Far behind	<ul style="list-style-type: none"> • Under-registration of births • No sustained policy action to reduce the rates
5. Improve maternal health	Reduce by three quarter, between 1990 and 2015, the mortality rate	Maternal Mortality Rate (per 100,000) 1990 : 119.7 2001 : 106.2	Far behind	<ul style="list-style-type: none"> • No sustained policy action to reduce the rates
6. Combat HIV/AIDS, malaria and other diseases	Have halted by 2015 and begun to reverse the spread of HIV/AIDS	Number of reported HIV/AIDS cases 1990 : 70 2002 : 6401	Achieved re control of Malaria Lagging re HIV/AIDS	<ul style="list-style-type: none"> • Cultural context is a major hindrance to progress • Not prominent enough on the political agenda
7. Ensure environmental sustainability	Halve by 2015 the proportion of people without sustainable access to safe drinking water	Proportion of persons without piped water 1990 : 38.8 2001 : 29.1	On Track	<ul style="list-style-type: none"> • Poverty inhibits progress

Box 1 MDGs in Guyana - the baseline¹

The head count index for absolute poverty which was measured at 43% in 1992, declined to 36% in 1999. The numbers in critical poverty declined from 28% in 1992 to 19% in 1999. In the urban areas, critical poverty was halved. Poverty among rural coastal people declined more slowly than in towns and hardly at all in the forests and savannahs of the interior. 14% of children under 5 years of age are underweight.

More than 25% of households are in absolute poverty and 13% in critical poverty. The poverty gap declined from 16% in 1992 to 12% in 1999. It can be inferred that the total consumption of those in absolute poverty needed to be increased by US \$17 million to bring them to the poverty line, compared to US\$ 18million in 1992.

Nationally, the **labour force** declined from 60% of the working aged population to 57% although unemployment showed a decline to 9% in 1999 compared to 12% in 1992.

The data quality for MDG targets tends to be generally deficient, making it very difficult to make time series comparisons. **Infant mortality rates** showed a slight decline from 57 per 1000 live births in 2000 to 54 per 1000 in 2003². **Maternal mortality** also declined, from 240 per 100,000 live births in 1990 to 168 in 2003³. The target for universal primary education has been met, since net enrolment in primary education was 98% in 2000, and 92% of pupils reach grade 5. However, the rate of functional literacy in the 15–24 age group is reported to be below 75%.

The trend in combating HIV/AIDS, malaria and other diseases has not been reversed in Guyana. The number of children orphaned by **HIV/AIDS** which was at 4,200 in 2001, is predicted to increase to 9,000 in 2010.⁴ **Tuberculosis** case notifications had doubled by 2000 from 21 notifications per 100,000 in 1992,⁵ although death rates remained marginal (0.5% in 1990 to 0.1% in 2000). **Malaria** continues to persist increasing from 24,018 cases in 2000 to 27,627 in 2003.⁶

In terms of **gender equality** and women's empowerment, although the female to male literacy ratio of 15–24 year olds was at 112% in 1990, the baseline data is largely incomplete. Yet, it is positively noted that gender disparities in primary and secondary schooling have largely been eradicated. The proportion of seats held by women in national parliament decreased from 26.2% in 1990 to 18.5% in 2000.

In terms of global partnership for development, Guyana is the recipient of very significant **external assistance** with ODA amounting to US\$ 133/capita or 14.6% of GDP⁷. Only an estimated 20% of ODA was targeted towards basic social services from 1998 – 2002 (education 10%, health 1%, water and urban infrastructure 8%)⁸. 66% of the official bilateral HIPC was cancelled under the Naples terms and service constituted 18% of exports of goods and services in 2000.

Source: UNDAF FOR Guyana 2006-2010

¹ Unless otherwise indicated, the data in this box is drawn from the Government of Guyana MDG indicators database, 2000.

² Guyana Poverty Reduction Strategy, Progress Report 2004, p.29.

³ The Strategic Plan of the Ministry of Health, Guyana. March 2003. Table 4, p. 23.

⁴ UNAIDS/USAID/UNICEF 2002.

⁵ Status Report on HIV/AIDS in Guyana 1987-2001. Prepared by Dr. Navindra Persaud, Epidemiologist, Ministry of Health. Table 2, Page 11.

⁶ Malaria Control Programme Annual Report 2003, Ministry of Health.

⁷ See footnote 5 above.

⁸ Guyana External Financial Assistance 2001-2002, World Bank, July 2003.

Eastern Caribbean Progress Towards Achieving the MDGs: Status at a Glance*

Goals	Will developmental goals be reached?	Status of supportive environment
Extreme Poverty Halve the proportion of people living below the poverty line	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Hunger Halve the proportion of people who suffer from hunger between 1990 and 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Universal Primary Education Ensure that by 2015 children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Gender Equality Achieve equal access for boys and girls to primary and secondary schooling by 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Child Mortality Reduce under-five mortality by two-thirds by 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Maternal Health Reduce maternal mortality ratio by three quarters by 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
HIV/AIDS Halt and reverse the spread of HIV/AIDS by 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Malaria and Other Major Diseases Halt and reverse the incidence of malaria and other diseases by 2015	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Environmental Resources Reverse loss of environmental resources	Probably potentially unlikely lack of data	Strong fair weak but improving weak
Access to Safe Drinking Water Halve the proportion of people without access to safe drinking water	Probably potentially unlikely lack of data	Strong fair weak but improving weak

*The achievement of a specific goal and status of the corresponding supportive environment are highlighted in red.

Source: MDGs, A Progress Report, Barbados and Eastern Caribbean, UNDP, 2004.

DEPARTMENT FOR INTERNATIONAL DEVELOPMENT

DFID, the Department for International Development: leading the British government's fight against world poverty.

One in five people in the world today, over 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution, and diseases such as HIV and AIDS – are caused or made worse by poverty.

DFID supports long-term programmes to help eliminate the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made. DFID's work aims to reduce poverty and disease and increase the number of children in school, as part of the internationally agreed UN 'Millennium Development Goals'.

DFID works in partnership with governments, civil society, the private sector and researchers. It also works with multilateral institutions, including the World Bank, United Nations agencies, and the European Commission.

DFID works directly in over 150 countries worldwide, with a budget of nearly £4 billion in 2004.

Its headquarters are in London and East Kilbride, near Glasgow.

LONDON

1 Palace Street
London
SW1E 5HE
UK

GLASGOW

Abercrombie House
Eaglesham Road
East Kilbride
Glasgow
G75 8EA
UK

Tel: +44 (0) 20 7023 0000 Fax: +44 (0) 20 7023 0016

Website: www.dfid.gov.uk

E-mail: enquiry@dfid.gov.uk

Public Enquiry Point: 0845 300 4100

If calling from abroad: +44 1355 84 3132

ISBN: 1 86192 900 5