



**ASSESSMENT OF DEVELOPMENT RESULTS: EVALUATION OF UNDP CONTRIBUTION  
COUNTRIES OF THE ORGANISATION OF EASTERN CARIBBEAN STATES & BARBADOS**

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### EVALUATION TEAM

<b>Team Leader</b>	Anne Gillies
<b>Team Members</b>	Trevor Hockley Pat Holden Lynette Joseph-Brown Alison Moses
<b>EO Task Manager</b>	Michael Reynolds
<b>EO Research Assistant</b>	Kutisha Ebron

#### ASSESSMENT OF DEVELOPMENT RESULTS: EVALUATION OF UNDP CONTRIBUTION – COUNTRIES OF THE ORGANISATION OF EASTERN CARIBBEAN STATES & BARBADOS

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**Report editing and design:** Suazion, Inc. (NY, suazion.com)  
**Production:** A.K. Office Supplies (NY)

# FOREWORD

This is an independent evaluation conducted by the Evaluation Office of UNDP in the subregion of Barbados and the member countries of the Organisation of Eastern Caribbean States (OECS). This type of evaluation, named an Assessment of Development Results (ADR), assesses the relevance and strategic positioning of UNDP support and contribution to the subregion's development between 2001 and 2007. The ADR examines UNDP interventions under various thematic areas of the ongoing and previous subregional programmes, with the aim of providing forward-looking recommendations meant to assist UNDP Barbados and its development partners in the formulation of programmes for the next programme cycle.

The ADR notes that UNDP is working in a challenging and multifaceted development context, where relatively high levels of gross domestic product per capita and economic growth, financial prosperity, political stability and infrastructure development occur side by side with considerable poverty, underemployment, gender and social inequities, institutional capacity weaknesses and vulnerability to risk, including extreme weather events. In this context, UNDP has a mandate to support the governments of the Eastern Caribbean (Barbados and nine OECS countries) in achieving their development goals through working at the regional, subregional and national levels.

The ADR concluded that UNDP has undertaken a subregional programme with a strong profile and reputation, though it has achieved only moderate progress towards longer-term outcomes. The ADR also found that the UNDP subregional programme had many commendable features and is respected by stakeholders and partners due to its consistent focus on improving human and social development in the Eastern

Caribbean. The ADR concluded that in order to maximize the synergies inherent to proactively linking development concerns at the national, subregional and regional levels, a subregional programme—as opposed to a multi-country office—approach appeared to be justified.

A number of people contributed to this evaluation. I would like to thank the evaluation team composed of Trevor Hockley, Pat Holden, Lynette Joseph-Brown, Alison Moses and, especially, evaluation team leader Anne Gilles, for her professionalism and dedication in the face of a complex evaluation process. From the side of the Evaluation Office, I would like to thank Michael Reynolds, evaluation task manager; Kutisha Ebron, who provided valuable research and logistical support; Thuy Hang To and Anish Pradhan for their administrative support; and Jeffrey Stern for editing the report. In addition, I would like to thank the external reviewers of the evaluation, Denis Benn and Osvaldo Feinstein, whose inputs helped assure the quality of the report.

The evaluation was also completed thanks to the collaboration and openness of the staff of the UNDP office in Barbados. I would like to give special thanks to the former UNDP Resident Representative Rosina Wiltshire, who supported the Evaluation Office and the evaluation team during the preparation and mission to the subregion, and her successor Michelle Gyles-McDonnough, who helped in finalizing the report and organizing the successful stakeholder meeting. Special thanks also go to programme managers in UNDP Barbados, in particular Paula Mohamed and Leisa Perch, for their support to the evaluation team. I would also like to thank the UNDP Regional Bureau for Latin America and the Caribbean, particularly Carla Khammar and her predecessor Thomas Gittens. Finally, the stakeholder meeting held at the end of the

evaluation process benefited from the participation by videoconference of the Associate Administrator, Ad Melkhert, and for this I would also like to offer my thanks.

This report would not have been possible without the commitment and support of numerous officials from the governments of OECS countries and Barbados, as well as from the OECS Secretariat. Given that the ADR covered 10 countries and territories, there are too many people to mention here. The team is also indebted to the representatives of civil society and non-governmental organizations, donor countries and the United Nations Subregional

Team, including those from international financial institutions, who generously gave their time and frank views.

I hope that the findings and recommendations of this report will assist UNDP in responding to the subregion's challenges and provide broader lessons that may be of relevance to UNDP and its partners internationally.



Saraswathi Menon  
Director, Evaluation Office

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# ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
BOT	British Overseas Territory
CARICOM	Caribbean Community
CARTAC	Caribbean Regional Technical Assistance Centre
CARUTA	Caribbean Regional Unit for Technical Assistance
CDB	Caribbean Development Bank
CDERA	Caribbean Disaster Emergency Relief Agency
CIDA	Canadian International Development Agency
CoRICs	Community Resource and Internet Centres
CPAP	Country programme action plan
CRMI	Caribbean Risk Management Initiative
CSME	Caribbean Single Market and Economy
CSOs	Civil society organizations
DFID	Department For International Development
EC	European Community
ECCB	Eastern Caribbean Central Bank
ECDG	Eastern Caribbean Donor Group
ECDG/DM	Eastern Caribbean Donor Group for Disaster Management
ECLAC	(UN) Economic Commission for Latin America and the Caribbean
ECOSOC	(UN) Economic and Social Council
EO	Evaluation Office
EU	European Union
GDP	Gross domestic product
GEF	Global Environment Facility
HDR	Human Development Report
HIV/AIDS	Human immunodeficiency virus/acquired immune deficiency syndrome
ICT	Information and communication technologies
IMF	International Monetary Fund
MDGs	Millennium Development Goals
NCCs	Net contributor countries
NGOs	Non-governmental organizations
OECD-DAC	Organization for Economic Cooperation and Development – Development Assistance Committee
OECS	Organisation of Eastern Caribbean States
OECSEU	Organisation of Eastern Caribbean States Economic Union
PRSP	Poverty Reduction Strategy Paper
RBM	Results-based management
RRF	Results and Resources Frameworks for the OECS and Barbados 2005–2009
SCF	Subregional Cooperation Framework

SGP	Small Grants Programme
SIDS	Small island developing states
SPARC	Support for Poverty Assessment and Reduction in the Caribbean
SPD	Subregional Programme Document
TOR	Terms of reference
TRAC	Target for resource assignment from the core
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCAC	United Nations Convention Against Corruption
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNICEF	United Nations International Children's Fund
UNIFEM	United Nations Development Fund for Women
UNTFHS	United Nations Trust Fund for Human Security
UWI	University of the West Indies
VDA	Virtual Development Academy
WB	The World Bank
WFP	World Food Programme

# EXECUTIVE SUMMARY

'Assessment of Development Results: Evaluation of UNDP Contribution – Countries of the Organisation of Eastern Caribbean States and Barbados' was planned by the United Nations Development Programme (UNDP) Evaluation Office and conducted by a team of five independent consultants between May and August 2008, in line with Executive Board Decision 2007/24. The Assessment of Development Results (ADR) covers the period since 2001, when UNDP took a subregional approach to programming in 10 countries: Barbados and the nine members and associate members of the Organisation of Eastern Caribbean States (OECS).<sup>1</sup>

The programme is managed from a single subregional office in Barbados, headed by a Resident Representative, a Deputy Resident Representative and staffed by approximately 30 people. In 2007, the approximate total expenditure for the subregional office was \$9.9 million. The subregional programme covers four thematic areas: governance, poverty reduction, environment and disaster management/response, as well as cross-cutting themes such as gender and HIV/AIDS. According to information available from the subregional office, as of March 2008 it was actively managing and/or implementing approximately 60 projects or initiatives. Since 2001, approximately 52 other projects have been completed and closed.

The ADR objectives were to:

- Provide an independent assessment of the degree of progress towards the expected outcomes envisaged in UNDP programming documents;

- Provide an analysis of how UNDP has positioned itself to add value in response to subregional needs and changes in the subregional development context; and
- Present key findings, draw key lessons and provide a set of clear and forward-looking options for management to make adjustments in the current subregional strategy and programming cycle.

The ADR focused on several criteria and topics, including development effectiveness, efficiency, relevance and sustainability, as well as the quality of partnership and coordination arrangements. It examined (in a limited way) operational or management factors that enabled or constrained the functioning and delivery of the subregional programme. Other topics and issues covered included capacity building, South-South cooperation and gender as cross-cutting themes. In addition, due to the special nature of the development context in the Eastern Caribbean, the ADR briefly reviewed the relationship between UNDP and several Net Contributing Countries (NCCs) in the subregion.<sup>2</sup>

## MAIN CONCLUSIONS

**Conclusion 1: Given the complexity of the Eastern Caribbean subregional context, the situation can be characterized as a 'development paradox'.**

The development paradox for the Eastern Caribbean revolves around the fact that most countries in the subregion have achieved and/or

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1. The nine OECS countries are: 1) Anguilla (associate member); 2) Antigua and Barbuda; 3) the British Virgin Islands (associate member); 4) Commonwealth of Dominica; 5) Grenada; 6) Montserrat; 7) Saint Kitts and Nevis; 8) Saint Lucia; and 9) Saint Vincent and the Grenadines. The Secretariat of the OECS is located in Saint Lucia. Three of the islands included in the UNDP subregional programme (Anguilla, Montserrat and the British Virgin Islands) are British Overseas Territories.

2. This is a UNDP classification for countries with GDP per capita above a certain threshold. NCCs do not receive the same regular programming resources from UNDP as other countries. See Section 3.2.1 for more details.

maintained relatively high levels of GDP per capita and economic growth, financial prosperity, political stability and infrastructure development, while at the same time there remains considerable poverty, under-employment, institutional capacity weaknesses, and gender and social inequities. Moreover, rising fuel and food costs, weak government accountability, poor overall economic diversification, poor distributive mechanisms within societies and vulnerability to extreme weather events and climate change point to the many pressing and sensitive challenges that face the subregion in balancing prosperity and risk. Overall, all major development stakeholders (including UNDP) agree (and the ADR concurs) that the region and subregion need a more nuanced classification of countries to depict the special circumstances and vulnerabilities of small island developing states (SIDS).

**Conclusion 2: UNDP has a commendable programme with a strong profile and reputation. However, although many useful short-term results (i.e., outputs) have been achieved, including good contributions to country-level and subregional development objectives, only moderate progress has been made towards longer-term development results (i.e., outcomes) in the programme plan.**

The ADR documents many strong features of the UNDP subregional programme. UNDP was quite successful in maintaining its relevance over time, responding to evolving partner needs and maintaining key partnerships. Due to the development paradox noted in Conclusion 1, national stakeholders (including NCCs) considered the presence of UNDP to be very important in highlighting the considerable remaining economic disparities and vulnerabilities among and within countries in the subregion. In general, UNDP is highly respected by stakeholders and partners due to its consistent focus on improving human and social development in the Eastern Caribbean. Social policy analysts and public sector managers at different levels said that they depended on UNDP to advocate on their behalf with politicians and policy makers regarding the importance

of ensuring equitable and sustainable economic growth through the continued integration of social protection and anti-poverty measures.

At a broader level, in order to maximize the synergies inherent in proactively linking development concerns at the national, subregional and regional levels, the ADR concluded that an overarching subregional programme framework (as opposed to a multi-country approach where each country is dealt with separately) appeared to be fully justified.

However, the ADR concluded that the overall development performance and effectiveness of the subregional programme varied, especially in terms of the degree to which long-term, measurable and sustainable results were achieved. While many short-term results were achieved, the level of outcome progress appeared to be less than expected for a programme more than halfway through its cycle.

**Conclusion 3: The comparative advantage of UNDP is related to addressing social development issues across the subregion, mainly in the broader upstream areas of leadership, policy consultation, advocacy, technical capacity development and networking.**

This comparative advantage exists mainly in the context of the geographic scope of the subregion and the difficulty of working in depth on a country-by-country basis with limited programme resources. Effective examples of this type of broader support were observed in the work with the OECS Secretariat and with the Support for Poverty Assessment and Reduction in the Caribbean (SPARC) project (a best practice for direct UNDP engagement with cross-cutting regional and subregional social policy issues related to addressing the roots of poverty).

A complete withdrawal from direct implementation within countries (i.e., downstream initiatives) could lead to a decline in visibility—one of the factors underlying UNDP credibility in some areas. However, too much involvement in direct

project support in small countries did not seem feasible given the large number of countries, their widely differing development status and the relatively small amount of available resources. In most cases, strategic leveraging of resources or cooperative arrangements with agencies that have appropriate expertise in community implementation would be more appropriate, as UNDP must guard against the risk of getting drawn into initiatives in which it cannot maintain a steady presence or is unlikely to contribute to long-term, sustainable results.

**Conclusion 4: There appeared to be missed opportunities for UNDP in terms of establishing more effective development partnerships with NCCs, non-governmental organizations and the private sector.**

The missed opportunities with NCCs were related to the potential ability of these countries to contribute more fully to the subregional programme (not only monetarily, but also in knowledge sharing). The subregional approach to development gives UNDP an opportunity to capitalize on South-South knowledge exchange opportunities and potential synergies available where countries are at different levels of economic growth and development. Examples include building stronger linkages between NCCs and non-NCCs in order to share expertise about the challenges facing emerging knowledge-based economies and SIDS at varying development stages. UNDP also lacked a clear strategy for consistently engaging with non-governmental organizations (NGOs) and the private sector in support of planned development results.

**Conclusion 5: There were weaknesses in UNDP subregional programme management systems.**

There was a marked absence of adequate internal monitoring and evaluation across the programme. In addition, there were no linkages made by the programme between critical review of progress towards development results and ongoing tracking of resource expenditures. It was therefore impossible for the ADR to accurately judge the overall cost-effectiveness or cost-efficiency of the

subregional programme. The lack of available overheads from project-based work for the subregional office appeared to lead to chronic understaffing, overwork and unsustainable multitasking on the part of staff. It does not appear that current management and administrative resources are adequate to support the range of demands UNDP headquarters and others placed on the subregional office, taking into account the multi-country, multi-level and multi-partner programme situation. Financial sustainability of the subregional programme appeared to need more attention, given the UNDP subregional office's dependence on a single cost-sharing arrangement for one large regional initiative.

## RECOMMENDATIONS

**Recommendation 1: The UNDP subregional programme should focus its priorities on upstream initiatives (e.g., policy, advocacy, multi-stakeholder coordination, networking, knowledge brokering and capacity-building) that will concretely address broad underlying issues, particularly related to poverty and social vulnerability in the Eastern Caribbean as a key development theme.**

This approach should build on increased consultations with partner countries and institutions to ensure that ways are found to 'knit together' their multiple concerns into overarching upstream initiatives that attempt to address the underlying capacity, policy and/or advocacy issues related to poverty, social exclusion and marginalization for vulnerable groups in the entire subregion. An upstream approach would not exclude work on selected downstream activities at the country level, but these activities should be carefully chosen. An enhanced focus on social vulnerability reduction at various levels should involve strategically addressing both climate change adaptation and SIDS issues at broader policy and advocacy levels, as well as linking this with enhanced promotion and use of the subregional Human Development Report and continued focus on the importance of customizing the Millennium Development Goals in the subregion and at the country level.

**Recommendation 2: The UNDP subregional programme should increase its focus on South-South cooperation and define a clear action plan for implementing and measuring the effects of these activities in a more systematic way in order to build on the inherent opportunities for enhanced South-South knowledge exchange, particularly between NCCs and non-NCCs.**

This could include improved and increased systematic strategies for South-South exchanges of expertise and lessons on pressing social vulnerability and environmental issues (such as climate change adaptation) among stakeholders within the Eastern Caribbean, the broader region, and beyond.<sup>3</sup>

**Recommendation 3: The UNDP subregional programme should increase consultation with, as well as revise, update and expand its relationships with NCCs in order to maximize emerging opportunities for upstream, knowledge-based programming involving countries at this stage of development.**

Increased engagement and consultation with NCCs in particular should involve more regular interchanges, as well as piloting the development and use of more formalized country partnership frameworks as the basis for ongoing cooperation and joint performance review. At the corporate level, there is the potential for the Eastern Caribbean to become a pilot area for UNDP in terms of experimenting with new programme modalities for Small Island Developing States–Net Contributor Countries globally.<sup>4</sup>

**Recommendation 4: UNDP should strengthen its partnerships with the private sector as well as play a more proactive advocacy role in linking government, the private sector and NGOs on a range of environmental, social and climate change adaptation issues.**

Specific areas where UNDP should play a more proactive role in forging public-private partnerships include helping governments negotiate better terms for the exploitation of natural

resources, helping governments lobby for more private-sector investment in environmental or climate change projects, and encouraging stricter adherence to building codes, construction standards and coastal land-use policies. A clear strategy should also be formulated for working with NGOs in order to strengthen their public accountability role with government.

**Recommendation 5: The subregional office should develop a detailed resource mobilization strategy with specific targets and timelines.**

The strategy should help the subregional programme achieve a more diversified financial base and reduce its dependence on one key regional initiative. The subregional office should work with UNDP Headquarters (the Regional Bureau for Latin America and the Caribbean and the Partnership Bureau) to develop the strategy.

**Recommendation 6: UNDP should integrate climate change adaptation as a cross-cutting issue across all programme areas.**

Given the importance of climate change adaptation to the subregion and the need for further reduction of SIDS vulnerability factors related to weather or environmental disasters, this issue should be fully mainstreamed as a cross-cutting theme across all areas of the subregional programme. UNDP should explicitly articulate (either in the current or new Subregional Programme Document) how these new climate change initiatives will complement and enhance its broader strategic advocacy role in human and social vulnerability reduction. Specifically, UNDP should lobby stakeholders to provide more commitments to address areas of vulnerability unique to SIDS in terms of both disaster mitigation and longer-term structural adaptation.

**Recommendation 7: UNDP should help convene and coordinate key stakeholders in order to support the creation of a standardized vulnerability analysis tool or index that can be used to more accurately describe and rank the countries**

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3. As part of the process of defining a stronger strategy for South-South cooperation, the subregional office could also forge stronger linkages with the Special Unit for South-South Cooperation at UNDP headquarters.

4. In order to support this, closer links would need to be forged with the UNDP Pacific Islands programme in order to share experiences and strategies for working more effectively with SIDS.

**of the Caribbean, especially Small Island Developing States–Net Contributor Countries.**

Key stakeholders in ensuring a stronger focus on accurately mapping SIDS issues include the Caribbean Community, the Eastern Caribbean Donor Group, the OECS Secretariat and the United Nations Economic Commission for Latin America and the Caribbean. Better vulnerability analysis for SIDS would not only make a strong strategic contribution to improved development planning through enhanced assessment of development status, risk factors and where to provide targeted assistance, but also contribute to the global strategic agenda on SIDS and improve the overall Human Development Index incorporation of and classification for SIDS.<sup>5</sup>

**Recommendation 8: UNDP headquarters should formally designate UNDP Barbados as a subregional office (with an appropriate name such as ‘UNDP Eastern Caribbean’) rather than as a country office, and should work closely with the Resident Representative and senior managers in order to develop a customized management strategy and set of procedures or tools that are better suited to the special requirements of this type of office.**

At the corporate level, this process of developing more appropriate management tools for the subregional office could become a pilot to determine how UNDP could best support and expand the role of other subregional programmes and offices on a global level.

**Recommendation 9: The overall coherence and results focus of the subregional programme should be improved by strengthening the capacity of the subregional office to utilize results-based management and by ensuring that all funded initiatives clearly contribute to**

**achievement of longer-term programme outcomes, with priority given to upstream policy/advocacy objectives.**

In line with select recommendations made in a recent management audit of UNDP Barbados, activities are recommended in several key areas in order to lead to greater developmental effectiveness and improved results achievement, including: provision of results-based management training for a clearer understanding of activities, outputs and outcomes; revision/review and updating of the Subregional Programme Document (SPD) in order to create more precise results statements and indicators; careful design of the new SPD (post 2012) to ensure improved results and indicator precision; creation of a strategy and a designated role/unit in the subregional office for results-based monitoring and evaluation; and enhanced documentation of results and achievements through the creation of a centralized project inventory and programme performance summary dating back to 2000.<sup>6</sup> In addition, there should be increased rigor and selectivity regarding involvement in discrete, one-off and/or pilot projects and more careful attention paid to distinguishing between completion of short-term activities and progress towards long-term development results. When these projects take place, UNDP should ensure it carefully documents lessons and results from these experiences for use in future programme planning and implementation.

**Recommendation 10: Well-defined sustainability strategies should be incorporated into every subregional programme initiative.**

The sustainability strategies should include a UNDP exit strategy and explicit capacity-building aims for key partners who will assume

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5. Both the United Nations Economic Commission for Latin America and the Caribbean and the OECS Secretariat (via work done on the first OECS Human Development Report) are committed to developing more accurate tools for broader vulnerability analysis for the region and subregion. At a much broader level, the Committee for Development Policy of the UN Economic and Social Council has also been involved in the development of an economic vulnerability index as one of the criteria for improved classification of least developed countries. With UNDP encouragement, a Caribbean-based vulnerability index could combine these initiatives under one umbrella and incorporate a number of variables, such as fluctuations in gross national income/gross domestic product, food and fuel prices, poverty rates, MDG-based social indicators, natural/technological disaster and/or emergency-related risks or capacities (as captured by vulnerability and capacity assessments), to more accurately illustrate the unique development challenges facing Caribbean nations.

6. This would enhance corporate memory and improve ongoing documentation and retrospective performance analysis, and would assist the subregional office better market its accomplishments for fund-raising and donor relations.

responsibility for maintaining or expanding progress towards developmental results initiated with UNDP support.

**Recommendation 11: UNDP should selectively increase its on-the-ground presence in countries receiving target for resource assignment from the core (TRAC) funds, at least on a short-term or temporary basis, in order to build technical and implementation capacity within countries.**

Placement of UNDP project officers at the country level would improve the planning, implementation and performance monitoring of country-level initiatives, improve specific technical assistance to help build government planning and absorptive capacity, and would increase the likelihood of effective linkages being made with upstream activities. Placement should also directly build country partner expertise in programme management and ensure the sustainable transfer of technical skills.<sup>7</sup>

## LESSONS LEARNED

The following lessons (both developmental and operational) can be derived from the ADR for wider application by UNDP:

- **Limitations on the utility of standard country ranking systems.** While country gross domestic product/gross national income and human development index rankings are useful, the situation of SIDS requires a sensitive and specialized approach. The tools appear to be lacking to accurately capture the

unique development status of many countries, especially in terms of climatic, human and/or economic vulnerability.

- **Value-added of a subregional programme approach.** Integration of regional and subregional programme initiatives is a necessity in the current global development environment. As demonstrated in the current Eastern Caribbean programme, there is a strong strategic value in the subregional approach. However, this requires additional investment in complex partnership transactions related to coordination, harmonization, alignment and oversight, as well as a willingness to take risks and creatively approach programme funding and management. It also requires a greater investment in analysing and documenting the strengths and weaknesses of this approach.
- **Specialized or unique programme structures may require extra corporate investment.** Efficiencies can be created through the use of multi-country or subregional offices within UNDP. However, as demonstrated in UNDP Barbados, special management attention and inputs are required to help adapt generic programme tools and systems to individual requirements. In addition, so-called ‘pilots’, such as the launch of a subregional programme in the Eastern Caribbean in the early 2000s, may require more hands-on management support from UNDP headquarters than originally anticipated.

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7. At the time of finalizing the ADR report, it was learned that a new initiative is now under way in the Pacific Islands, where UN Joint Country Presence Offices (representing multiple UN partners, including UNDP) are in the process of being set up in select countries. UNDP Barbados should learn more about this initiative to determine if such a model can be applied in the Eastern Caribbean, and should open a dialogue with other UN agencies regarding the possibility of establishing similar joint UN subregional programme delivery and oversight structures under the new United Nations Development Assistance Framework.

## Chapter 1

# INTRODUCTION

Chapter 1 of this report describes the background and approach to the Countries of the Organisation of Eastern Caribbean States and Barbados Assessment of Development Results (ADR). The ADR was planned and conducted by the United Nations Development Programme (UNDP) Evaluation Office and a team of independent consultants between May and August 2008, in line with Executive Board Decision 2007/24.

The UNDP subregional programme covers 10 countries: Barbados and nine countries that are members or associate members of the OECS.<sup>8</sup> The programme is managed from a single subregional office in Barbados, which covers all 10 countries and is led by a Resident Representative and Deputy Resident Representative. The Resident Representative is also the UN Resident Coordinator. In 2007, the approximate total expenditure for the subregional office was \$9.9 million (including programme implementation and management costs). The subregional programme covers four thematic areas: governance, poverty reduction, environment, and disaster management/response, as well as cross-cutting themes such as gender and HIV/AIDS.<sup>9</sup>

According to information available from the subregional office at the time of the ADR, there were approximately 60 projects or initiatives being actively managed and/or implemented as

of March 2008.<sup>10</sup> Since 2001, 52 projects have been completed and closed.

The ADR objectives were as follows:<sup>11</sup>

- To provide an independent assessment of the degree of progress towards the expected outcomes envisaged in UNDP programme documents (i.e., the Subregional Cooperation Framework and the Subregional Programme Document);
- To provide an analysis of how UNDP has positioned itself to add value in response to subregional needs and changes in the subregional development context; and
- To present key findings, draw key lessons and provide a set of clear and forward-looking options in order for management to make adjustments in the current subregional strategy and programme cycle.

The objectives and approach of the ADR were based on the overall UNDP ADR guidelines (2007), as summarized in Box 1.

## 1.1 METHODOLOGY

### 1.1.1 EVALUATION SCOPE

In 2001, the UNDP Executive Board approved a subregional programme approach for the 10

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8. The Organisation of Eastern Caribbean States came into being on 18 June 1981, when seven Eastern Caribbean countries signed the Treaty of Basseterre in order to support functional cooperation and promote unity and solidarity among its members. The Treaty is named in honour of the capital city of Saint Kitts and Nevis where it was signed. The nine current OECS member countries are: 1) Anguilla (associate member); 2) Antigua and Barbuda; 3) the British Virgin Islands (associate member); 4) Commonwealth of Dominica; 5) Grenada; 6) Montserrat; 7) Saint Kitts and Nevis; 8) Saint Lucia; and 9) Saint Vincent and the Grenadines. The Secretariat of the OECS is located in Saint Lucia. Three of the islands included in the UNDP subregional programme (Anguilla, Montserrat and the British Virgin Islands) are British Overseas Territories.

9. See Chapter 3 for additional details on the distribution and percentage of programme resources dedicated to each thematic area.

10. This includes some initiatives that are not formal projects, but are administrative activities such as support for the development of Country Programme Action Plans. It does not include projects funded under the Global Environment Facility Small Grants Programme. See Section 3.2 of the report for more details.

11. See Annex I for the ADR Terms of Reference.

## Box 1. What is an Assessment of Development Results?

An ADR is an independent programme-level evaluation of UNDP attainment of its intended and achieved results, as well as its contributions to the development results of the countries where it works. It is carried out by the UNDP Evaluation Office and addresses three sets of questions:

- Is UNDP “doing the right things,” with a focus on relevance to the partners’ development goals, partnership and strategic positioning in the future?
- Is UNDP “doing things right,” with a focus on the effectiveness of its activities, efficiency of execution, and efficacy given internal and external contextual factors? Are there better ways of achieving the results?
- Are the results sustainable? Do they ensure sustainability with a focus on national and/or partner ownership, an enabling policy environment, capacity development, gender equality and other key drivers UNDP considers in assessing development effectiveness?

The ADR is not limited to assessing the current programme, but rather captures key results and effects over a five to seven year time period. It is, however, a forward-looking exercise and assesses whether the past results represent a sufficient foundation for future progress or if UNDP should take corrective measures.

The ADR focuses on outcomes, i.e., the changes in specific development conditions, but it does not assess a country or subregion’s overall achievements, nor is it the sum of evaluations of discrete projects and programme activities. It therefore does not go into detail of all the programmes or projects in a UNDP programme but is selective depending on the scope and design of the review.

countries making up Barbados and the Organisation of Eastern Caribbean States (OECS). The ADR was therefore designed to assess UNDP contribution to national development results for the period covered by the Subregional Cooperation Framework (SCF) for 2001–2003 and the Subregional Programme Document (SPD) for 2005–2009.

The scope of the evaluation was clearly defined in the Terms of Reference and then modified during the inception phase of the ADR. The evaluation covered the entire subregional programme from 2001, when the subregional programme was launched, but given that recent programme information was more readily available it focused primarily on the current SPD. The ADR was tasked with applying the main evaluation criteria found in the Terms of Reference, including the quality of partnership and coordination arrangements in the subregional context. In a limited way, the ADR examined the operational and management

factors that enabled or constrained the function and delivery of the subregional programme, as well as issues related to capacity development, South-South cooperation and gender. In addition, due to the special nature of the development context in the Eastern Caribbean, the ADR examined the specialized relationship between UNDP and the higher income countries and territories in the subregion designated by UNDP as Net Contributing Countries (NCCs).<sup>12</sup>

### 1.1.2 VALUATION CRITERIA

The evaluation criteria and questions used in the ADR were derived from the Terms of Reference. A detailed evaluation framework was prepared by the team as a guide in planning and analysis, which provided extensive details on the main topics and sub-topics for inquiry, the lines of inquiry and/or specific questions to be asked and the key informants to be used.

The ADR focused on examining several main criteria and topics, including relevance, develop-

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12. The category of NCC is defined in Chapter 3 of the report.

ment effectiveness, efficiency, and sustainability of the current subregional programme. A total of five evaluation criteria were used in the evaluation to structure the research and analysis (see Box 2 and Annex II, which provide a condensed version of the evaluation framework).<sup>13</sup>

### 1.1.3 ADR PROCESS

The following steps were used to plan and implement the ADR:

- Team pre-planning meetings were held at UNDP in New York in mid-May in order to develop the overall strategy for the ADR, collect and review background materials and orient the team;
- An inception mission to Barbados took place from 26 to 29 May, 2008. This involved obtaining an overview of the programme, its

structure and activities, and its main stakeholders in order to assist planning the main mission; and

- The main data collection mission took place from 16 to 30 June, 2008.

During the ADR process, approximately 160 individuals were interviewed, either individually or in small groups. All 10 countries covered by the UNDP subregional programme were visited for one to two days.<sup>14</sup> For optimal coverage, the team was divided into sub-teams of one to three people to visit each island. For some countries, where there was less programme implementation activity, only one team member visited. This approach was necessary due to the number of countries to be visited in a short time period. At the end of the main mission, the ADR team

#### Box 2. Evaluation criteria for the Barbados and the Organisation of Eastern Caribbean States ADR

**Effectiveness:** To what extent was UNDP able to achieve its planned development results as reflected in subregional programming frameworks and County Programme Action Plans? Were results appropriately defined, and what was the level of outcome and outputs achieved at the community, national, and subregional levels? What could have been done differently to improve results achievement? What can be done to improve results effectiveness in the future?

**Efficiency:** Were the resources available and used by the programme to support results achievement appropriate to the needs of the development context? Were programme resources deployed in the most cost-efficient and prudent manner possible in order to support the achievement of planned development results? What could have been done to improve efficiency? What can be done in the future to improve efficiency?

**Sustainability:** To what extent were the development results achieved under the programme able to be repeated, replicated, sustained or carried forward? How could sustainability of effects and results have been improved? What can be done in the future to improve sustainability?

**Relevance:** Were the objectives proposed by the UNDP programme appropriate to the development requirements and context of the subregion and/or the development needs of specific stakeholders at different levels (i.e., national and subregional)? Were the right objectives identified and achieved in relation to the overall subregional development context and the specific needs of stakeholders? How could relevance have been improved? What can be done to improve relevance in the future?

**Partnership:** Did UNDP use the most appropriate methods for consultative planning and co-implementation with its subregional and national stakeholders? Were equitable and transparent partnerships achieved, and what effect did they have on results achievement? Were resources distributed equitably? How could partnership and equity have been improved? What can be done in the future to improve partnership and equity?

13. There were seven evaluation criteria in the Terms of Reference. Following the scoping mission and planning process, which involved extensive discussion with key stakeholders, the two original criteria of responsiveness and equity were absorbed under other criteria, i.e., responsiveness under relevance, and equity under relevance and partnership.

14. The only exception was Barbados, where additional time was spent with development agencies and in the subregional office for document review and data collection.

prepared a preliminary analysis and presented a debriefing to senior UNDP personnel for the subregional office, from which additional feedback and information was obtained.

This report has also gone through an external and internal review process and was discussed extensively with partners from across the subregion at a stakeholder workshop held in Barbados in February 2009.

#### 1.1.4 SOURCES OF INFORMATION

There were two main sources of information for the ADR: 1) individuals, and 2) documents.<sup>15</sup> The details are as follows:

**1) Individuals:** Purposive sampling<sup>16</sup> was used to select a range of informants from the following categories: UNDP managers and staff members in UNDP Barbados; UNDP government focal persons in each country; representatives of government line ministries with strategic, programmatic or funding links to the UNDP subregional programme; and key informants from UNDP strategic partners, including regional or subregional institutions, civil society, bilateral and multilateral development agencies and UN organizations. Especially in the latter three categories, efforts were made to ensure that information was obtained from direct beneficiaries of UNDP support, including those who received UNDP-funded project assistance, training or technical support in line ministries, subregional institutions or civil

society organizations, or who interacted with UNDP for the purpose of strategic partnerships.<sup>17</sup>

**2) Documents:** A large number of key documents and Web sites were consulted, including UNDP subregional programme planning documents, programme and/or project evaluations or assessments, research documents, specialized studies, background literature and government documents.<sup>18</sup>

#### 1.1.5 DATA COLLECTION METHODS AND PROCESS

The ADR involved qualitative assessment of programme-wide performance and employed qualitative data collection methods, including semi-structured interviews (either face-to-face or by telephone), focus group discussions and group interviews. Triangulation was used throughout the process to validate and cross-check information from a range of primary and secondary sources. Document content analysis was used to extract information from written materials.

The team organized its data collection process to create efficiencies, reduce overlap and ensure standardization of approaches. For example, standardized open-ended interview checklists were used with specific categories of informants, and summary sheets were used to collate interview information collected by each team member so that qualitative data analysis could be done systematically and quickly. Responses to questions at the individual informant level were

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15. Project-based sampling was not used in the ADR, given that the main focus of inquiry was not at the project level and the impossibility of obtaining a complete project list and descriptions during advance planning.

16. See William M. Trochim, *The Research Methods Knowledge Base*, 2nd Edition. Internet page at: [www.socialresearchmethods.net/kb/](http://www.socialresearchmethods.net/kb/), current version as of October 20th, 2006, for details on the use of purposive (non-probabilistic) sampling methods for qualitative social research studies such as the ADR. This is sometimes also referred to as 'pragmatic' sampling, in which individual (primary) informants are selected on the basis of 1) their availability at the time the research is taking place, and 2) their connection with and/or expert knowledge about specific topics, issues or projects/initiatives (as beneficiaries, partners or implementers). The validity of qualitative information from purposive sampling is mainly assured via triangulation and cross-checking of information obtained from multiple informants. See also Michael Quinn Patton, *Qualitative Research and Evaluation Methods*, 3rd Edition. Newbury Park, Ca: Sage Publications, 2001 and E.G., Guba and Y.S. Lincoln, *Fourth Generation Evaluation*. Newbury Park, Ca: Sage Publications, 1989 for more information on the qualitative evaluation techniques used to support the planning and implementation of the ADR.

17. See Annex III for a list of individuals consulted.

18. See Annex IV for a list of documents consulted.

collated and synthesized across categories of informants to extract information that could be used to respond to the overarching evaluation criteria and questions.

The ADR focused on past performance and progress towards results, as well as on supporting continuous learning and improvement within UNDP as a whole and in the subregional programme. As such, performance analysis is woven throughout the process in terms of highlighting the UNDP subregional programme's main achievements, positive effects and benefits for stakeholders within the broader development context, in combination with critical analysis to identify gaps, missed opportunities and areas for improvement.

## 1.2 CHALLENGES AND LIMITATIONS

The overall challenge facing the ADR was that the methods and approaches normally used for country-specific ADRs had to be adapted to the needs of a multi-country process within a limited time-frame, while taking into account the complexities of a multi-layered subregional programme. Specifically, the following technical and logistical limitations applied:

- Due to lack of a centralized information management system for project materials in the UNDP Barbados office, it was difficult to obtain an accurate inventory or historical overview of all programme initiatives and to compile required documentation;
- The planning and implementation process for the ADR was greatly condensed due to delays with confirming the appropriate timing for the inception process and the main data collection mission. The approach of the hurricane season in the Caribbean constrained the length of the field mission;
- With the departure of the Resident Representative, the subregional office was undergoing a major management transition at the time of the ADR mission. Some key positions were vacant or in the process of

being vacated, leading to a high workload for staff and difficulties with assigning planning and logistical tasks to support the ADR process. Furthermore, several key staff members were unavailable due to vacations, complicating the planning process; and

- Coverage of 10 countries necessitated short visits to each, leading to challenges with ensuring that the team met with the key informants in the time period available. Some key informants were travelling at the time of the ADR mission. Due to these constraints, the team took a flexible approach to data collection and conducted some telephone interviews.

The limitations were addressed or ameliorated in the following ways:

- The use of a five-person team, although challenging logistically, enabled a wider area to be covered in a relatively short time-frame. This also allowed for ongoing information sharing and triangulation of data in the field among team members;
- The team and the subregional office took an opportunistic and purposive approach to selection of informants based on their availability and the timing for the fieldwork, so that good stakeholder coverage was achieved as evidenced by the number and range of informants reached; and
- A dedicated administrative support person was hired on a temporary basis by the subregional office to support the ADR, which greatly assisted the scheduling and logistical process.

## 1.3 STRUCTURE OF THE ADR REPORT

Following this introduction, Chapter 2 describes the subregional context, including the main developmental, socio-economic and institutional factors that influenced the programme's implementation approach for the period under review. Chapter 3 provides more background information on the UN in the subregion and on

the UNDP subregional programme itself, including the major partnership, funding, management and programme implementation arrangements. Chapter 4 provides the ADR findings for the four main thematic areas of the programme (governance, poverty reduction, environment and disaster management, as well as gender and HIV/AIDS as cross-cutting themes). Chapter 5 provides the findings for major cross-cutting themes (gender and HIV/AIDS, South-South cooperation, capacity development and

programme operations), while Chapter 6 summarizes key observations about the UNDP strategic role in the subregion. Chapter 7 concludes the report by summarizing the main conclusions on the overall performance of the subregional programme and then offers several key recommendations for programme improvement, both for the remainder of the current programme cycle (which will be extended to the end of 2011) and for the next UNDP subregional programme from 2012 onwards.

## Chapter 2

# SUBREGIONAL DEVELOPMENT CONTEXT

This Chapter provides an overview of the main development issues, themes and trends in the Eastern Caribbean subregion, including key demographic, socio-economic and institutional factors that directly influenced the UNDP programme planning and implementation approach.

### 2.1 HISTORICAL AND DEMOGRAPHIC BACKGROUND<sup>19</sup>

The islands of Barbados and the Lesser Antilles (including the Windward and Leeward Islands) are located in the geographic area referred to as the Eastern Caribbean. The islands have very small land masses, ranging from 91 km<sup>2</sup> for Anguilla to 750 km<sup>2</sup> for the Commonwealth of Dominica. Population size varies greatly, while population density for most of the Eastern Caribbean islands averages around 272 persons per km<sup>2</sup>. In general, population growth rates are stable or slightly declining throughout the Eastern Caribbean. Life expectancy is relatively high, averaging around 70 years. Total population for the subregion is approximately 875,000 people.

In terms of historical background, the British, Dutch, French, and Spanish colonized different Caribbean islands from the early 1600s to the late 1800s. The main reason for settlement was the establishment of agricultural plantations for production of bananas, cotton, and sugar cane based on the use of slave labour imported from Africa. Fisheries were also important to the colonial economy. Each colonial power imposed its own style of agricultural development, education, governance, and social welfare.

Despite the abolition of slavery in the 19th century, racism-based labour and social stratification continued to exist in all islands, and some of these inequities continue to be reflected in Caribbean social and economic structures. While there are many similarities among the Eastern Caribbean countries, there are significant differences that relate to each countries' social, political and institutional evolution stemming from their colonial influences. In addition, there are differences deriving from countries' current political situation. One important anomaly, for example, is the continued existence of three British Overseas Territories (BOTs) which are still partially governed by the United Kingdom (see Box 3).

### 2.2 SOCIO-ECONOMIC CONTEXT

At both the regional and subregional levels, the Eastern Caribbean is undergoing enormous structural economic change due to globalization and the push towards market liberalization and economic integration. This process is linked to the Caribbean Single Market and Economy (CSME) initiative sponsored by the Caribbean Community (CARICOM), which seeks to transform the region into a more sustainable, globally-oriented model of development linked to world markets (see Section 2.8). Over the past several years, these changes have benefited the economies of Eastern Caribbean states. However, these changes have also created challenges related to the equitable distribution of resources and the need to harmonize political and economic management systems.

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19. The primary sources of data presented in this section are the 2007–2008 UNDP Human Development Report, as well as recent statistical data available from the Caribbean Community, the Caribbean Development Bank, and OECS. Some data was not available for Anguilla, the British Virgin Islands and Montserrat due to their special status as British Overseas Territories.

### Box 3. British Overseas Territories

British Overseas Territories (BOTs) fall under the British Overseas Territory Act (2002), and are under the direct sovereignty of the British government in London. Anguilla, the British Virgin Islands and Montserrat are BOTs and therefore have different governance and administrative structures than other islands in the Eastern Caribbean. The head of state is the Queen, and they are governed by an appointed governor general and a chief minister selected from the legislative council, which has political parties. These internal governments handle domestic affairs, but foreign affairs and defence are handled from the United Kingdom. Anguilla and the British Virgin Islands have now graduated from Department of Foreign and International Development aid due to high economic growth, but are still eligible for other UK funds, for example, the Overseas Territories Programme Fund and the Overseas Territories Environment Programme, both of which provide modest funding to support sustainable development. Montserrat continues to receive international assistance due to the civil emergency associated with the volcanic eruptions of 1995.<sup>20</sup> The three BOTs are limited in their autonomy in terms of formation of independent foreign policy and interactions with other countries.

Barbados and the Eastern Caribbean states are generally characterized in the UNDP Human Development Report as having a high to medium human development index (see Table 1). Due to rising income levels, all are now classified as either high or middle income according to The World Bank.<sup>21</sup> However, “the economic performance of the region during recent years has been characterized by a marked unevenness and a failure to attain a steady growth pattern.”<sup>22</sup> In recent years, economic growth stagnated or even reversed for several countries, and the use of standardized economic data sometimes fails to capture these wide variations.

The most important productive sectors in the Eastern Caribbean economy are agriculture, construction, manufacturing and tourism. International financial and business services are also important contributors to GDP for Anguilla, Antigua and Barbuda, and the British

Virgin Islands. According to recent figures from CARICOM, the services sector (including tourism), has grown steadily over the past decade and is now the largest sector of the regional economy. It accounts for more than 66 percent of GDP and employment, and at least 70 percent of export earnings. However, the productivity of the services and tourism sectors fluctuated greatly in recent years in response to global events, local stimuli and natural disasters. There is also continued high dependence on remittances due to the emigration of skilled workers to the rest of the world.<sup>23</sup>

Agriculture has suffered the most adversity due to bad weather and rising trade barriers, although Saint Kitts and Nevis recorded a 6.9 percent growth in this sector in 2007, reversing a 21.2 percent decline in 2006 due partly to the collapse of the sugar industry.<sup>24</sup> Recently, tourism showed absolute declines or deceleration in some

20. UK National Audit Office. Foreign and Commonwealth Office, ‘Managing risk in overseas territories: Report by the Comptroller and Auditor General’, 2007.

21. The World Bank divides economies according to 2007 gross national income per capita, calculated using The World Bank Atlas method. The groups are: low income, \$935 or less; lower middle income, \$936–\$3,705; upper middle income, \$3,706–\$11,455; and high income, \$11,456 or more.

22. CARICOM, ‘CARICOM Environment in Figures 2002’.

23. The World Bank data shows that in 2003, emigrants’ remittances formed 5.3 percent of Grenada’s GDP, with smaller but still substantial proportions for Barbados (4.5 percent), Antigua and Barbuda (1.4 percent) and Dominica (1.5 percent). Between 1965 and 2000, about 12 percent of the labour force of the Caribbean region migrated to OECD member countries making it the world’s largest per capita source of emigrants for that period. See Laurie Ritchie Dawson, ‘Brain Drain, Brain Circulation, Remittances and Development: Prospects for the Caribbean’, Centre for International Governance Innovation, 2007.

24. CDB. ‘Annual Economic Review 2007’.

**Table 1. Summary of key development indicators for the Eastern Caribbean<sup>25</sup>**

Country	Human development index ranking 2005	GDP/capita (US \$) 2007 <sup>26</sup>	Average economic growth rate 2002–2005 <sup>27</sup>	The World Bank income level classification 2007 <sup>28</sup>
Anguilla	N/A	\$12,314	6.8	N/A
Antigua and Barbuda	57 (high)	\$10,513	4.2	High
Barbados	31 (high)	\$11,009	2.8	High
British Virgin Islands	N/A	\$40,529 <sup>29</sup>	N/A	N/A
Commonwealth of Dominica	71 (medium)	\$4,236	0.4	Upper-Middle
Grenada	82 (medium)	\$4,758	3.3	Upper-Middle
Montserrat	N/A	\$8,410	1.1	N/A
Saint Kitts and Nevis	54 (high)	\$8,696	3.5	Upper-Middle
Saint Lucia	72 (medium)	\$5,374	5	Upper-Middle
Saint Vincent and the Grenadines	93 (medium)	\$4,101	3.8	Upper-Middle

countries due primarily to natural disasters that destroyed some of the tourist infrastructure, as well as uncertainties in the US economy and the reduction in international travel by US citizens (the major source of tourists).

In recent years, trade and market access issues have become a major concern of Eastern Caribbean countries (as well as throughout the Caribbean), mainly affecting the agricultural sector. Global pressures to liberalize trade tariffs have led to “increased exposure to economic insecurity and the growing asymmetries in the distribution of gains and losses among countries

participating in the global marketplace.”<sup>30</sup> Traditional trading opportunities and preferences were eroded in this more liberalized economy, with declines in the banana and sugar industries being the most apparent. For example, the 2008 CARICOM Heads of Government meeting noted that developments in negotiations under The World Trade Organization Doha Development Agenda threatened to severely reduce the Caribbean’s previous quota-free access of bananas to the European Union (EU) market, a process that began in January 2006. The recently concluded Economic Partnership Agreement between the CARICOM countries and the EU

25. Figures for 2005 are taken from the 2007–2008 UNDP Human Development Report. Some data was not available for the three British Overseas Territories.

26. CDB, ‘Annual Economic Review 2007’.

27. Calculated from GDP per capita at constant 1990 prices. Source: CDB ‘Annual Economic Review 2007’.

28. See footnote 21.

29. 2004 data.

30. Clive Thomas. ‘The Development Glass: Half Empty or Half Full – Perspectives on Caribbean Development’, Sixth William G. Demas Memorial Lecture (no date).

is likely to require significant adjustments in the economies of countries with prior access for some key commodities, but this will presumably increase their productive capacity over time so that they can compete on an equal basis in the larger world economy.

Even countries with strong growth rates have relatively high poverty rates, as shown by recent Country Poverty Assessments summarized in Table 2. These also revealed that there are significant levels of working poor in the subregion.<sup>31</sup> Indigence levels provide a clearer picture of the severity of poverty as it relates to the proportion of people below the poverty line who cannot afford the required daily caloric intake. In Antigua and Barbuda, it was found that 79.5 percent of persons classified as living below the poverty line worked regular hours (35–40 per week), while 13.3 percent of these persons worked more than 40 hours, many of them in more than one job and in the informal sector.<sup>32</sup> In the British Virgin Islands, 84 percent of persons in the poorest 20 percent of the population had no unemployed person in their household.<sup>33</sup> Chronic under-employment suggests that in some instances, wages are not meeting the needs of the household despite rising official growth rates.

A number of social problems are associated with pockets of endemic poverty as well as less diversified and stable economies. Persistent rural poverty issues include poor infrastructure, inadequate access to basic services, high unemployment, poor quality housing, and low returns to agricultural and other primary production upon which the majority of rural residents depend for their livelihood.<sup>34</sup> These conditions impact on

urban poverty since they help push the rural population, especially young people, into urban areas as they seek to improve and expand their life chances.

Urban poverty is also affected by the legal and illegal migration of persons from Caribbean countries that are experiencing low levels of economic growth (e.g., Dominican Republic, Guyana, Haiti, Jamaica) to countries that are seen as relatively more prosperous (e.g., Anguilla, Antigua and Barbuda, Barbados, the British Virgin Islands). Though migrant workers help sustain the agricultural and tourism sectors, they have few rights and services in their host societies.

Some of the characteristics of urban poverty in the Eastern Caribbean include substandard housing conditions, poor sanitation, high unemployment, low-wage employment and criminal activity. Informal sector employment is often used to cushion high levels of unemployment in the formal sector. The OECS Human Development Report (2002)<sup>35</sup> also points to the high incidence of poverty in female-headed households and the high incidence of malnutrition among children in poor households.

Educational access and levels of education also are a growing concern in the region, although the rate of adult literacy and rates of school enrolment are relatively high (ranging from 88 to 100 percent, according to *Human Development Report 2007–2008*). The poor and working poor tend to have lower levels of education, which is related to their employment in low wage sectors. Low levels of education among certain groups, such as the rural poor, point to human resource and capacity-building challenges to achieving

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31. The working poor is comprised of individuals engaged in either paid or self-employment who belong to households that fall below the poverty line. (UWI Department of Economics, 'Statistical Report on the Working Poor in the Caribbean', Trinidad and Tobago, April 2006).

32. Government of Antigua and Barbuda (with Kairi Consultants Ltd.) 'Living Conditions in Antigua and Barbuda: Poverty in a Services Economy in Transition', August 2007.

33. CDB (with Halcrow Group Ltd.), 'Government of the British Virgin Islands Country Poverty Assessment: Final Report', May 2003.

34. CDB, 'Annual Economic Review 2007'.

35. OECS Secretariat 'Human Development Report for the Organisation of Eastern Caribbean States' 2002.

**Table 2. Poverty data for selected Eastern Caribbean countries**

Country	Headcount Index (percent)	Indigence (percent)	Month and year of survey
Anguilla	23	2	December 2002 (Halcrow Group Ltd.)
Antigua and Barbuda	18	4	August 2007 (Kairi Consultants)
British Virgin Islands	22	<0.5	May 2003 (Halcrow)
Commonwealth of Dominica	39	15	June 2003 (Halcrow)
Grenada	32	13	October 1999 (Kairi Consultants)
Saint Kitts and Nevis	31 32	11 17	March 2001 (Kairi Consultants)
Saint Lucia - 1995	25	7	December 1995 (Kairi Consultants)
Saint Lucia - 2005/2006	29	2	June 2007 (Kairi Consultants)
Saint Vincent and the Grenadines	38	26	April 1996 (Kairi Consultants)

sustained economic growth and fully diversified economies. Information and communication technologies have been identified as a means of closing the skills gap. All Caribbean states have begun to make some progress towards building knowledge-based societies. However, the difference in progress means that some countries run the risk of being left behind.

### 2.3 MILLENNIUM DEVELOPMENT GOALS

Support for the Millennium Development Goals (MDGs) has steadily increased in the Eastern Caribbean since their introduction in the early 2000s. According to the UN Development Group, country-specific status reports for the MDGs were produced by Antigua and Barbuda, Barbados, the Commonwealth of Dominica and Grenada for use in global reporting (see Table 3), but unfortunately reports were not available for other countries in the subregion. However, an Eastern Caribbean MDG report in 2003 showed wide variations in existing information and progress

to date.<sup>36</sup> Relatively good progress and adequate data was found relating to education (MDG 2), gender equality (MDG 3), child mortality (MDG 4) and maternal health (MDG 5). However, there were important data gaps as well as weak progress relating to poverty (MDG 1), HIV/AIDS (MDG 6), environmental sustainability (MDG 7) and global partnership (MDG 8).

This information provided a baseline against which to begin more intense work on the MDGs, and served to highlight—for both national governments and regional and subregional institutions—the need to focus on more precise definitions of objectives and measurement strategies under certain goals. Moreover, institutions such as the Caribbean Development Bank (CDB) made available special development funds in order to assist borrowing countries meet MDG targets, and the UN Economic Commission on the Caribbean and Latin America has analysed the main statistical gaps in social data for MDG monitoring in small island states.<sup>37</sup>

36. Andrew S. Downes and Doris Downes, 'The Millennium Development Goals in the Eastern Caribbean: A Progress Report', UNDP 2003.

37. UN Economic Commission for Latin America and the Caribbean, 'Challenges in Meeting the Monitoring Requirements of the MDGs', 2004.

**Table 3. Summary of MDG progress for selected Eastern Caribbean countries<sup>38</sup>**

Country	Progress by Goal (2007)							
	One Poverty	Two Education	Three Gender	Four Child Mortality	Five Maternal Health	Six HIV/AIDS	Seven Environment	Eight Partnership
Barbados	Partial	Achieved	Achieved	Achieved	Achieved	Changes needed	Changes needed	Insufficient information
Antigua and Barbuda	Partial	Partial	Insufficient information	Partial	Achieved	Changes needed	Insufficient information	Insufficient information
Commonwealth of Dominica	Insufficient information	Achieved	Partial	Achieved	Achieved	Changes needed	Partial	Insufficient information
Grenada	Changes needed	Partial	Insufficient information	Insufficient information	Achieved	Insufficient information	Changes needed	Insufficient information

The process of MDG monitoring has encouraged countries to commit to poverty monitoring as a regular process, and/or to begin to undertake poverty assessments where they were not previously done. There are also continuing efforts to design a specialized social vulnerability index to accurately reflect the unique combination of development constraints facing many Eastern Caribbean island countries. These poverty monitoring initiatives (many of which were either directly or indirectly supported by UNDP) have helped in the development of interim or final poverty reduction strategies in the Commonwealth of Dominica, Grenada, Saint Lucia and Saint Vincent.

Production of accurate and timely national-level information on the MDGs has been very slow, however, leading to incomplete or partial aggregation of MDG data. Lack of data, especially for poverty issues, remains a major developmental challenge as it creates barriers to effective planning, policy analysis or strategy development.

## 2.4 GENDER

Gender equality is a stated goal of governments in the Eastern Caribbean subregion and a cross-

cutting mandate for many development agencies. According to data from the *Human Development Report 2007–2008*, both men and women play a large role in the economy and society, with women's employment averaging around 75 percent in the service sector and approximately 10 percent in both the agricultural and industrial sectors. According to 2004 figures, women's political representation in governments of the Eastern Caribbean averages around 18 to 20 percent for a number of countries, though there are wide variations.<sup>39</sup> Women are highly visible in Caribbean society as caregivers, public servants, service workers, social organizers and teachers, and have higher levels of education than in many other regions of the world.

Following the 2000 Beijing Conference, CARICOM (in consultation with its member governments), recommended that gender mainstreaming take place and identified several priority areas for gender equality and mainstreaming in the region. Key priorities for gender mainstreaming in the region include addressing women's higher poverty rates and the related feminization of poverty, lack of political and social power for women and girls, sexual and reproductive health, violence against women and

38. All data obtained from UNDG Web site for tracking the MDGs ([www.mdgmonitor.org/factsheets](http://www.mdgmonitor.org/factsheets)).

39. See 2004 figures available on the UNIFEM/UNDP 'Catalysts for Change: Caribbean Women and Governance' Web site, <http://cfcportal.net/>.

the advancement of women in governance, leadership and decision-making.<sup>40</sup>

Progress in addressing gender inequality has been inconsistent. This inconsistency is largely due to inadequate resources, changing economic situations that reinforce existing inequities between men and women, and deeply entrenched cultural values regarding the role and status of men and women. Lack of government knowledge and capacity, as well as low levels of human and financial resources (both in the government and non-governmental sectors), have in many cases resulted in slow progress or a failure of gender mainstreaming initiatives.<sup>41</sup>

## 2.5 HIV/AIDS

Of the 30 million people living with HIV/AIDS in the world, approximately 330,000 are in the Caribbean region, making it the second most affected region in the world after southern Africa. The nine small islands of the OECS subregion (excluding Barbados) have an estimated 5,000 persons living with HIV/AIDS (under 1 percent prevalence rate). HIV prevalence for Barbados is estimated to be 1.7 percent. The demographic impact of AIDS could be significant in the Caribbean region. For example, by the year 2010, the population would be 95 percent of what it would have been in the absence of HIV/AIDS, and 92 percent by the year 2020. HIV/AIDS is now the leading cause of death among those aged 15 to 44.<sup>42</sup>

The United Nations Development Fund for Women (UNIFEM) has identified an increase in the spread of HIV/AIDS among women as an emerging area for concern.<sup>43</sup> In the Caribbean,

37 percent of adults living with HIV in 2001 were women, increasing to 43 percent in 2007.<sup>44</sup> This trend is largely due to women's greater vulnerability and susceptibility to exposure, given their lower sociocultural and economic status in nearly all countries in the region.

HIV imposes many direct costs on the subregion through the increased burden on the health care system, more resources required for anti-retroviral treatments and palliative care services, losses to societal investment in education and social services of people dying prematurely, and the costs for orphan care. Women can be particularly hard-hit by HIV/AIDS, as they often take on unpaid caregiver roles at the expense of their own careers and personal well-being. The economic impact, both in terms of caring for AIDS patients and loss of productivity, could reach between 5 and 6 percent of regional GDP.

The Eastern Caribbean has seen an increased focus on the implementation of the Three Ones Programme of the Joint United Nations Programme on HIV/AIDS (UNAIDS) in recent years. UNAIDS has a regional HIV/AIDS office in Trinidad and a subregional office for the Eastern Caribbean in Barbados. Most countries in the Eastern Caribbean now have multisectoral national plans, and national HIV programmes have been in existence in all countries for at least 10 years. The OECS Secretariat has an HIV/AIDS unit that contributes to policy and strategic analysis at the national and subregional levels. These successes appear to be linked to a high level of coordination and harmonization among stakeholders, including national partners and international donors. The linkage between the HIV/AIDS response and poverty reduction

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40. CARICOM, 'Plan of Action to 2005: Framework for Mainstreaming Gender into Key CARICOM Programmes', 2003.

41. See for example, 'Report of the ECLAC/CDCC Fourth Caribbean Ministerial Conference on Women: Review and Appraisal of the Beijing Platform for Action' (2004), and Gemma Tag Nain, Barbara Evelyn Bailey and Barbara Bailey, *Gender Equality in the Caribbean: Reality or Illusion*. Ian Randle Publishers/CARICOM/UNIFEM (2003).

42. See UNAIDS, 'Epidemic Update Regional Summary for the Caribbean 2007' and Henry J. Kaiser Family Foundation, 'HIV/AIDS Policy Fact Sheet', June 2006.

43. See <http://www.unifemcar.org/> for more information on these priorities and trends.

44. Henry J. Kaiser Family Foundation, 'Reporting Manual on HIV/AIDS', July 2008.

activities that have been promoted by UNDP and other donors has underscored the need for strong policy formulation and clear action plans.

## **2.6 ENVIRONMENT AND CLIMATE CHANGE**

As documented in the *Human Development Report 2007–2008*, climate change and other environmental issues pose significant risks for the Eastern Caribbean. The subregion is the most active part of the world for hurricanes and tropical cyclones, and faces a range of risks related to environmental changes including coastal erosion, water shortages and deforestation. Other related crises could be triggered by seismic events and localized flooding and landslides. Climate change will lead to sea level rise, an increased incidence of hurricanes, a reduction in biodiversity and other adverse environmental changes. As a result, small island states in the Eastern Caribbean and elsewhere are strong advocates for the implementation of international frameworks such as the International Convention on Biodiversity, the Montreal Protocol, and the United Nations Framework Convention on Climate Change.

Prevention of unregulated tourism development and compliance with existing environmental regulations will help build a culture of sustainable environmental development. UNDP and other agencies, as well as some national leaders, have stressed the need for Eastern Caribbean countries to focus on environmental education. As tourism typically leads to environmental degradation, there is the need to balance the demands of tourism with the needs of the environment. Unfortunately, the need for income tends to overshadow environmental realities and often drives policy-making.

The rapid increase in fuel and food costs are also major concerns, which may lead to increased interest in alternative energy sources (such as

geothermal and solar) and experimentation with intensive, sustainable agriculture. These may necessitate introduction of broad policy measures to control access to energy and land resources that may be unpopular with both residents and tourists. Efforts at slope stabilization and control of the effects of storm surges are other areas for further research and policy development. Other key environmental issues include problems with water resources and waste disposal.

Disaster preparedness includes the creation of early warning systems, construction of hurricane shelters and hurricane-proof buildings, and the establishment of reliable search and rescue facilities. CARICOM and the OECS states, in cooperation with institutions such as CDB and international partners, are working to establish these systems. There is general agreement that disaster preparedness needs to be addressed at the policy level in order to address underlying issues related to the broader state of the environment (many linked to sustainable livelihoods and poverty reduction for vulnerable populations). The challenge will be to find the appropriate balance between investing in preparations for the short- and medium-term, and instituting long-term environmental protection programmes to prevent or mitigate effects.

## **2.7 SPECIAL DEVELOPMENT CHALLENGES**

The persistence of poverty in the subregion is linked to the unique situation of small island developing states (SIDS) as both political and geographic entities. SIDS share many characteristics that make them economically, environmentally and socially vulnerable to shocks over which they exercise little or no control.<sup>45</sup> Specific challenges include geographic dispersion across wide ocean areas, poor communications and Internet connectivity, limited human and technological capacity (due to a small population base), continuous emigration, and the need for ongoing

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45. The programme of action was endorsed by the UN general assembly in 1994. Background information on the situation of SIDS used in this report can be found on the SIDS network Web site at [www.sidsnet.com](http://www.sidsnet.com).

assistance to reduce economic and environmental vulnerability. SIDS economies tend to be under-diversified, leaving them open to frequent and profound market fluctuations.

These vulnerabilities (both socio-economic and environmental) undermine and contradict the relatively high global economic ranking of countries in the Eastern Caribbean. The SIDS concept recognizes that although an Eastern Caribbean country may show similar social and economic progress when compared to a country at the same point in its development trajectory, the ability of a small island state to maintain this path over time may be substantially different. As yet, there are no global indicators that account for the qualitative differences in the attainment of development goals and the specific challenges SIDS face. For the Eastern Caribbean, there is a need for further documentation of the specific vulnerabilities facing SIDS and to ensure that policies and programmes account for these challenges.

## **2.8 INSTITUTIONAL CONTEXT**

### **2.8.1 GOVERNANCE AND PUBLIC SECTOR REFORM**

Barbados and the Eastern Caribbean countries have long standing, well-established democratic processes in place with a track record of regular, peaceful, relatively fair elections. However, despite good overall economic growth rates, the recent introduction of budgetary and fiscal reforms (e.g., a value-added tax) linked to structural adjustment programmes from the 1980s and 1990s has caused political tensions. These tensions are largely due to persistent social inequities, poverty, low wages, underemployment and the rising cost of living. Therefore, building public sector staff capacity and creating an enabling environment for the effective delivery of social services (including disaster assistance) to those that need them remains an important measure for promoting poverty reduction. To this end, organizations such as The World Bank and

CARICOM have supported OECS countries, which have all undertaken public sector reform and modernization programmes.

The Caribbean Centre for Development Administration is a CARICOM institution set up to provide technical assistance in public sector reform through training, needs assessments and policy advice. Some countries have made better progress than others. Barbados produced a white paper on public sector reform in 1997 that has been largely implemented, while Saint Lucia improved the effectiveness of its public sector through a policy framework introduced in 1999.<sup>46</sup> In contrast, other countries, such as the Commonwealth of Dominica and Grenada, have had difficulties creating strong reform frameworks. Inadequate pay, understaffing leading to overwork and burnout, poor managerial skills, lack of promotions and professional development opportunities, and increased competition from the private sector have been identified as problems for the public sector. These experiences point to the need to customize public sector reform strategies to the specific needs of the Eastern Caribbean as well as to the essential role of political leadership and commitment to broad-based governance reforms.

Reform of the public sector is directly linked with updating and expanding public accountabilities at the political, social and economic levels. National priorities include increasing capacities to ensure greater efficiency, transparency and accountability among key institutions, as well as empowering local government and increasing the participation of women in politics and civil society in order to strengthen inclusive governance. However, reform initiatives, while widespread, are not well-resourced enough to make a significant difference. In some cases, the political will is not yet present to support deep-rooted change. Governments, regional and subregional institutions, and international agencies are well aware of these continuing challenges, as the challenges often affect options for economic

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46. Paul Sutton, 'Governance, Public Sector Reform and New Public Management: the Commonwealth Caribbean Experience', Economic and Social Research Council 2003.

growth and movement towards knowledge-based economies.

### 2.8.2 INSTITUTIONAL FRAMEWORK FOR ECONOMIC INTEGRATION

The main indigenous regional and subregional institutions covering the Eastern Caribbean are CARICOM, CDB and the OECS.<sup>47</sup> These groups provide a strong institutional framework for intergovernmental partnerships and economic cooperation, and are closely linked with international partners such as The World Bank and the Inter-American Development Bank. In addition, they have strong institutional ties with the Organization of American States, to which all countries in the subregion belong.

CARICOM, formed in 1973 and consisting of 15 member states, supports the Caribbean Single Market and Economy (CSME). Over half of its members are from the Eastern Caribbean, including Barbados. The CDB, with a membership from all Caribbean states, plays a key role in supporting and enhancing economic growth and integration in the Eastern Caribbean. The OECS has nine member states (including two associate members). Barbados, while not a member of the OECS, is linked closely through CARICOM and the CDB membership with the OECS countries. All the OECS members and associate states, as well as Barbados, receive loans and development funds from CDB to support infrastructure strengthening and modernization.

The CARICOM-sponsored CSME is an important institutional and intergovernmental process currently underway in the region. It is a response of member states to the international financial system and the challenges of rapid globalization and trade liberalization. The OECS Economic Union (OECSEU), launched in 2001, is a parallel initiative on a smaller scale to support and complement the CSME. Some analysts have noted “among the micro-states, the

OECS countries have a unique opportunity for success because of their proximity and affinity to major markets in Europe and the Americas, and a head start on integration within the subregion and the Caribbean.”<sup>48</sup>

Common systems, such as a monetary council which supports a common currency, have been established by the OECS to support the development of its members. Other functional cooperation programmes include common transportation, judicial, health and other integration measures. The aim of OECS is to help Eastern Caribbean countries manage and benefit from the effects of globalization on small, dependent island economies through building on their comparative advantages as relatively stable countries with a strong human resource base. This process is closely interlinked with the larger CSME initiative, and is significant due to its potential to shape the future development context of the subregion and its potential to attract substantial external investment.

The CSME, despite having many benefits, will change governance systems and place greater emphasis on public sector capacities in terms of the public administration required to support the implementation of key policies and increased inter-country mobility of people and resources. For example, financial, trading and tariff systems will need to be rearranged (a process which has already started). It may also affect the provision of health care and social welfare systems, as they will need to be harmonized to facilitate movement of money, goods and services. Introduction of fiscal reform measures has already begun in several countries so that their budgetary systems will meet international standards. Recent critiques applaud the efforts of CARICOM in pressing forward with these issues, but also indicate that more innovative and proactive approaches may be needed in order to support increased global competitiveness for the Caribbean as whole.<sup>49</sup>

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47. See Chapter 3 for information on UNDP as an external development partner within the subregion.

48. The World Bank, ‘OECS: Towards a new Agenda for Growth’, 2005.

49. Anthony Payne and Paul Sutton, ‘Repositioning the Caribbean within Globalization’, Centre for International Governance Innovation, 2007.

### 2.8.3 CIVIL SOCIETY

The voluntary or non-governmental sector is generally considered to be weak in the Eastern Caribbean. Aside from trade unions (which, in many countries, were active in the push towards political independence), civil society has historically taken the form of local voluntary groups related to churches or delivery of community charitable assistance. Since the 1980s, more non-governmental organizations (NGOs) were registered and became active in many aspects of development including micro-enterprise development, the environment, cooperatives, youth activities, sports and women's empowerment. More recently, groups dedicated to working with the disabled and with people living with HIV/AIDS have been established.

The level of interaction and dialogue between NGOs and governments is sporadic in most countries due to a history of poor accountability between elected officials and the public sector. The recent introduction of poverty reduction strategies (see Section 2.9) and national multisectoral HIV/AIDS programmes (see Section 2.5) required increased input from civil society. In turn, this increased input necessitated capacity-building of international partners and governments' greater recognition of the need for sustained consultation with NGOs.

The other aspect of civil society is the role of the private sector, deemed very important to fuel investment, economic growth and sustainable development. The main areas of investment for the private sector are tourism, banking, financial services, agriculture, light industry and some small-scale manufacturing. However, levels of capitalization are quite low in some sectors and in most countries, mechanisms for consultation with government by offshore companies and investors are not fully developed. For example, there is occasional lack of constructive dialogue between government and the private sector on developers' environmental impact or construction standards.

## 2.9 INTERNATIONAL COOPERATION AND DEVELOPMENT ASSISTANCE

Over the past four decades, the context for international cooperation and the provision of development assistance in the Eastern Caribbean evolved. In the 1970s, Eastern Caribbean countries faced serious socio-economic problems associated with state-centred fiscal policies, high levels of external debt and wider structural problems of the world economy. By the 1980s, structural adjustment policies were implemented that required strict anti-inflationary measures, cuts in public expenditures and privatization of public assets and services. These were critiqued for their harsh effects on poor populations.

Beginning in the 1990s, capacity building, partnerships, accountability, transparency and good governance became prominent approaches for most development agencies, both globally and in the Eastern Caribbean. The UN system was an integral part of this evolution, and agencies such as UNDP positioned themselves within this new development paradigm to provide strong support for the MDGs as catalysts for improved approaches to human-centred development, combined with greater fiscal rigour and enhanced aid coordination.

As result of the push towards improved aid flows, enhanced fiscal management by governments, global competitiveness and economic integration, Poverty Reduction Strategy Papers (PRSPs) began to be developed voluntarily in the mid-2000s. UNDP provided technical support in several countries (e.g., the Commonwealth of Dominica, Grenada, Saint Lucia, and Saint Vincent). The CDB also played a leading role in policy dialogue with governments related to PRSP design. The voluntary PRSP process enabled countries to establish their development and economic planning on a new footing and gain access to fresh funds from international lending institutions.

Combining growth-oriented development with concerns for social inclusion and poverty reduction, as well as greater interest in integrated

**Table 4. Total official development assistance flows by source of funds for the Eastern Caribbean, 2001–2008<sup>50</sup>**

Donor/Source	Total (US\$ millions)	Percent of Total Official Development Assistance
All donors	836	100
OECD-DAC countries	461	55
Multilateral	355	42
Non-DAC countries	20	3

regional approaches, are now the main focal areas for the Eastern Caribbean. This sharpened the focus of international agencies on cooperation and partnerships in delivering better-targeted development assistance in order to promote economic integration via the CSME, and on linking national and subregional work to broader, regional initiatives. For example, the Eastern Caribbean Donor Group provides a forum for information sharing among donors and development partners, and helps donors make strategic decisions regarding program development and coordination. This committee is chaired by the United Nations Resident Coordinator and consists of donor and development partners serving Barbados and the OECS. A number of subcommittees have been consolidated into four thematic groups: Governance, chaired by the UK Department for International Development (DFID); Trade, chaired by the European Union; Poverty and Social Sector Development Issues, chaired by UNDP; and Environment, Climate Change and Disaster Management, chaired by the Canadian International Development Agency (CIDA). These mechanisms, in which UNDP and other UN agencies are key players, have allowed stronger dialogue about how to create effective aid partnerships in the subregion.

Because of the high and upper middle income status of many OECS countries, some donors find it increasingly difficult to justify remaining

in the region, and a number do so only for trade and political reasons. Nonetheless, a number of donors remain active in the subregion. These include UN programmes and specialized agencies, development banks, bilateral donors such as CIDA and DFID, international NGOs such as CARE and OXFAM, private foundations and regional bodies such as the EU/EC and the Commonwealth Secretariat. Some Organization for Economic Cooperation and Development (OECD) Development Assistance Committee countries do not have bilateral programmes, but provide funding through multilateral agencies or contribute to CDB and other development banks. In recent years, newer donors have entered the region, including Brazil, China, Taiwan, and Venezuela. Traditional bilateral donors, such as CIDA and DFID, now provide limited support to individual countries, but have maintained their funding for regional bodies and programmes.

Table 4 summarizes the major overseas development flows into the subregion from the main donor sources from 2001 to 2008. The largest single bilateral donor to the subregion was DFID (30 percent of official development assistance), with smaller proportions contributed by the European Union (20 percent), Japan (17 percent), the CDB (14 percent), the Inter-American Development Bank (7 percent) and Canada (4 percent). Other, smaller donors made up the

50. Source for Table 4: OECD-DAC, 2008. This information may vary slightly from national data due to different approaches to measuring aid but is used for purposes of comparison only.

remaining amount, with UNDP contributing less than 1 percent of the total for this time period (approximately \$32 million since 2000).

Over the past several years the level of development assistance to the Eastern Caribbean from key bilateral and multilateral donors to individual countries has either declined dramatically or fluctuated. According to OECD-DAC, the total amount of regular official development assistance disbursements per country from all sources declined from roughly \$78.6 million in 1997 to \$43.8 million in 2006. However, these figures do not include emergency hurricane recovery funds disbursed following Hurricanes Dean, Emily and Ivan.<sup>51</sup>

Since 1990, there has been a steady decline in many Eastern Caribbean countries' total official development assistance as a percentage of GDP (as shown in Table 5 and in the *Human Development Report 2007–2008*), with the exception of the poorest and most heavily indebted (i.e., the Commonwealth of Dominica, Grenada, and Saint Lucia), as well as Montserrat due to the volcanic eruption and subsequent evacuation.<sup>52</sup> These statistics illustrate the extent to which variability of aid flows made planning and budgeting difficult for countries in the subregion. Donor adherence to the Paris Declaration on Aid Effectiveness in such a complex donor environment has therefore been weak.

**Table 5: Official development assistance as a percentage of total GDP for select countries: 1990, 2000 and 2006<sup>53</sup>**

Country	1990	2000	2006
Anguilla	7.0	3.3	2.2
Antigua and Barbuda	1.2	1.5	0.3
Barbados	0.2	0.0	0.0
Commonwealth of Dominica	11.7	5.6	6.1
Grenada	7.8	4.9	6.5
Montserrat	12.5	88.3	70.4
St Kitts-Nevis	5.1	1.2	1.1
St Lucia	3.0	1.6	2.0
St Vincent	7.8	1.9	1.0

51. The exact amount of funds pledged, received and ultimately disbursed for hurricane recovery is difficult to determine, but it is estimated that Grenada received around \$80 million for assistance following Hurricane Ivan from the UN, NGOs and bilateral agencies.

52. See *Human Development Report 2007–2008*, Table 18.

53. Figures in Table 5 were calculated from data obtained from the UN Conference on Trade and Development Handbook of Statistics 2008.



## Chapter 3

# THE UN AND UNDP ROLE

Chapter 3 provides background information about the UN role and presence in the Eastern Caribbean subregion, as well as on the UNDP subregional programme's organization, management systems and financial and budgetary arrangements.

### 3.1 THE UN IN THE SUBREGION

The UN system is visible and present in the Eastern Caribbean, although not all UN agencies have field offices. Due to the number of countries and their relatively small size, several regional or subregional UN agency offices are headquartered in Barbados (e.g., UNDP, the Pan-American Health Organization, The World Health Organization, and the United Nations International Children's Fund). The UN Economic Commission for Latin America and the Caribbean (ECLAC) has a subregional headquarters for the Caribbean based in Trinidad and Tobago. The Commission plays a key role in subregional coordination, research, technical advisory and development activities both within and outside the UN system.

At the global level, the UN system is actively engaged in reviewing and reforming itself in order to ensure that it responds more efficiently and effectively to the needs of member states.<sup>54</sup> UNDP facilitates this process at the subregional level through the Resident Coordinator system. UNDP continues to work with other UN agencies and within its own programmes to champion an improved UN-wide focus on national capacity development as the key for countries to manage their own sustainable and

equitable development paths, including through South-South cooperation.

Under the leadership of UNDP Barbados, a joint UN development assistance framework (UNDAF) is now in place. The framework identifies areas for improved aid delivery and coordination among UN agencies through a subregional common assessment based on consultation with governments and intergovernmental institutions such as CARICOM, CDB, the OECS Secretariat, the Organization of American States, and The World Bank. All UN agencies working in the subregion belong to the UN subregional team that are signatories to UNDAF.<sup>55</sup>

The 2002 UNDAF identified poverty as the main issue facing the Eastern Caribbean. This conclusion was based on information from country poverty assessments conducted in the mid to late 1990s and other specialized social and economic development research carried out in the subregion. UNDP played a lead role in several key strategic areas, including sustainable livelihood development, poverty reduction for vulnerable groups, environmental management, food security, social development, technological development and CSO capacity building. HIV/AIDS was a cross-cutting area of work for each agency. However, at this point in time the UNDAF does not include a monitoring strategy to assess whether the collaborative system was working or the extent to which collective aims were achieved.

An updated version of the UNDAF for 2008 to 2011 was released in December 2007. The new

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54. See UNDP Annual Report 2007 for more details on the UN reform process.

55. Including the Food and Agriculture Organization, the International Labour Organization, the Pan-American Health Organization, the World Health Organization, UNAIDS, UNDP, ECLAC, UNEP, the United Nations Educational, Scientific and Cultural Organization, the United Nations Population Fund, the United Nations Information Centre, UNICEF, UNIFEM and the World Food Programme.

UNDAF is seen as an intermediate step towards all UN agencies producing a unified work plan by 2012, when all programme cycles will be fully harmonized and aligned.<sup>56</sup> Five priority areas were identified for the new UNDAF, including integration of the MDGs, HIV/AIDS advocacy and capacity building, disaster risk reduction and management, human security (including child, youth and adolescent development), and food security. It also included a more precise definition of the UN division of labour and joint results. At the time of the ADR, the UNDAF had been approved in principle but had not yet been completed.

### **3.2 UNDP SUBREGIONAL PROGRAMME 2001–2008**

#### **3.2.1 MANDATE, STRUCTURE, PARTNERSHIPS AND RESOURCES**

The UNDP subregional office, located in Barbados, has a mandate to support the governments of the Eastern Caribbean achieve their development goals through work at the regional, subregional and national levels. UNDP programme planning, as embodied in the 2001–2003 Subregional Cooperation Framework (SCF) and the 2004–2009 Subregional Programme Document (SPD), which in turn are closely linked to the UNDAF process, has been based on extensive consultation with partner countries, subregional and regional institutions and development agencies. In order to ensure that appropriate priorities are identified, UNDP programme planning is based on the Subregional Common Assessment (SRCA) process conducted jointly by UN agencies in the subregion.

Both the former (SCF) and current (SPD) programme documents reflect the desire to balance the needs of individual countries with the priorities set for the subregion as a whole.<sup>57</sup> The SCF and SPD are also characterized by strong coherence with overarching UNDP global planning frameworks, such as the UNDP multi-year funding framework for 2004–2007, which was in effect at the time of the design and launch of the SPD. The SPD in particular has evolved over the programme time period to take shifting needs and priorities into account, although the ADR found that these ongoing adjustments had not always been adequately or officially documented.

The UNDP subregional office is headed by the Resident Representative, with the Deputy Resident Representative and four programme managers responsible for overseeing the main thematic areas of work (governance, poverty reduction, energy/environment, and disaster mitigation/management). There are approximately 30 staff members, including administrative and support persons, as well as a handful of contract or short-term positions.

In line with UNDP principles<sup>58</sup> and its classification of countries with which it works, the following partnership funding arrangements are found in the UNDP subregional programme:

- Core resources from UNDP (so-called TRAC<sup>59</sup>) are allocated directly to one-half of the programme countries covered by the office. In the subregion, four countries receive TRAC funds: the Commonwealth of

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56. During the evaluation mission, the ADR team was informed by the UNDP subregional office that the current UNDP SPD will likely be extended to the end of 2011 so that the new UNDP programme framework will be aligned with the UNDAF multi-agency programming cycle from 2012 onwards.

57. As reflected in the OECS Development Charter and via regular dialogue and collaboration with the OECS Secretariat as the lead institutional partner.

58. UNDP operates under two main principles. First, the principle of universality that applies to the overall UN development system and is meant to ensure that all eligible countries are able to participate in UN development programmes. This is reflected by UNDP commitment to working in middle-income and indeed some high-income countries that have demanded a UNDP programme. Second, the principle of progressivity, which supports and promotes greater resource allocation to low-income countries.

59. Target for Resource Assignments from the Core.

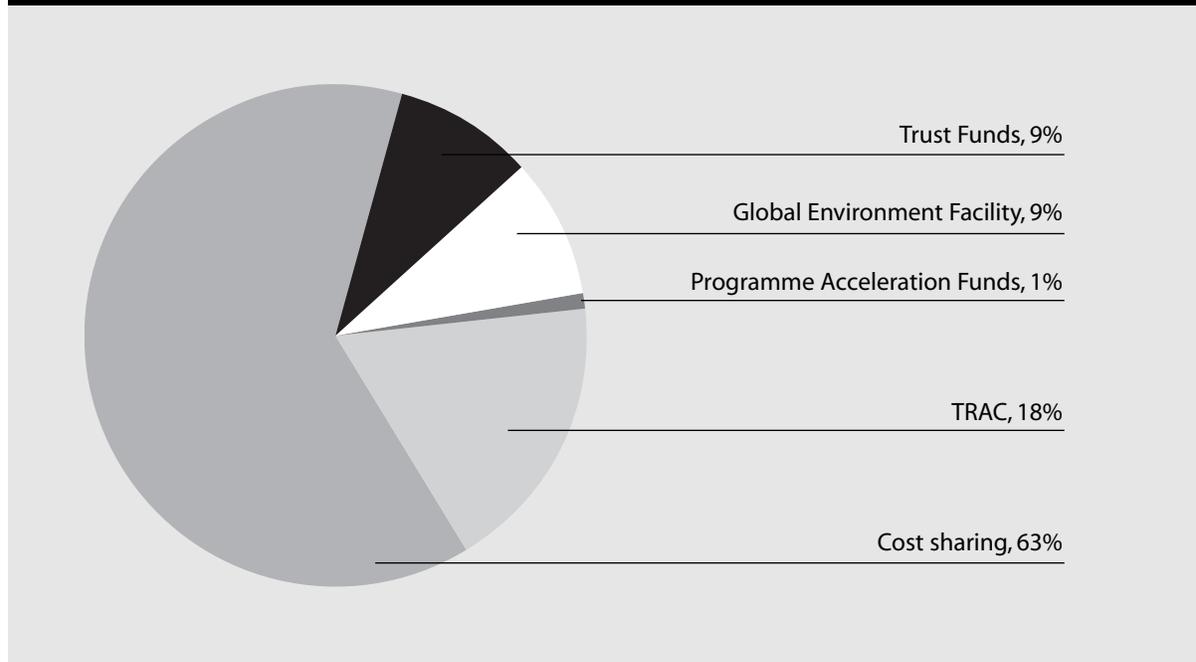
Dominica, Grenada, Saint Lucia, and Saint Vincent and the Grenadines.<sup>60</sup>

- Countries with higher levels of income (determined in 1997 to be a programme country with a gross national income per capita above \$4,700<sup>61</sup>) are classified as net contributor countries (NCCs). The main implication for countries in this category is that they do not receive core or TRAC funds from UNDP through the normal distribution channels as do other programme countries, but they are eligible to receive other forms of funding support from the programme via regional or subregional initiatives. In the subregion, the following countries are classified as NCCs: Anguilla, Antigua and Barbuda, Barbados, the British

Virgin Islands, and Saint Kitts and Nevis. Montserrat is a hybrid, in that though it is officially classified as an NCC, it has received limited TRAC III resources due to the emergency situation.<sup>62</sup> NCCs should be making additional contributions to UNDP, but in practice it is recognized that for countries still in transition from middle-income status, this would be difficult.

In line with the above, the main funding sources on an annual basis for the subregional programme include UNDP TRAC funds directly allocated to the four eligible programme countries. These funds are received by the subregional office, and then channelled to projects that support these countries' national development priorities as jointly planned with

**Figure 1. UNDP Barbados and OECS programme expenditures by source of funds 2001–2007**



60. It should be noted that there are three Types of TRAC: TRAC I is allocated to countries at the start of the programme cycle, TRAC II is allocated depending on performance and TRAC III is allocated for emergency situations only.

61. The threshold has been increased to \$5,500 for the 2008–2011 programming cycle.

62. Montserrat is designated as a Special Development Situation by UNDP due to its volcanic eruption and aftermath, which necessitated the evacuation of the majority of the population. Although its GDP per capita of \$8,410 (2007) officially places it as an upper-middle-income country, the country has been in recovery mode from ongoing volcanic activity over the past 10 years and still receives emergency assistance from DFID and other donors. The country received a nominal amount of UNDP TRAC funds (approximately \$23,000) over the past two years.

UNDP. Other sources of income for the subregional programme for the time period under review by the ADR included:

- Specialized trust funds, such as the UN Trust Fund for Human Security, which is being utilized for livelihoods reconstruction after major hurricanes in the subregion;
- Specialized resources, such as UNAIDS Programme Acceleration Funds, which UNDP helped manage and disburse for a limited time period;
- Cost-sharing contributions by other donors (both bilateral and multilateral) for regional or subregional initiatives which are implemented or managed by UNDP;
- Direct allocations to the OECS Secretariat (approximately \$375,000 to \$400,000 per year from UNDP regional funds); and
- Global Environment Facility resources that were channelled directly into the environment programme for disbursement to countries and NGOs.

As a source of funds to cover basic operational costs of the subregional programme, UNDP requested contributions from all countries in the subregion. According to figures provided by the subregional office, government contributions did not meet their targets for the past several years. In 2006, a target of \$589,000 was set for country contributions, but only 36 percent of this was collected. In 2007, the contribution increased by roughly 2 percent. This shortfall meant that the office had to cover some of its ongoing administrative expenses from other sources of funding.

Figure 1 provides an overview of expenditures according to source of funds from 2001 to 2008, showing the subregional programme's reliance on funds from cost-sharing via large-scale regional initiatives such as the Caribbean Technical Assistance Centre (CARTAC).

### 3.2.2 PROJECTS AND FUNDING FLOWS

With the pool of funding derived from the multiple sources listed in Section 3.2.1, which fluctuates

from year to year, the subregional programme undertakes both to respond to emerging country and subregional needs and to steadily direct resources on an ongoing basis towards previously planned initiatives or projects, as captured in both subregional programme frameworks or country-specific plans. The subregional programme utilizes a very complex mixture of core and non-core resources to maintain its portfolio of projects at different levels.

There are multiple ways of analysing or depicting the budget of the subregional programme, to show both country-specific investments and the total amount invested through regional initiatives, and within specific thematic areas or by the main sources of funding. The following description provides a brief snapshot of the subregional resource flows, but it only captures the main aspects of the programme. Overall, in recent years there has been a steady increase in overall UNDP budget and expenditures for the subregional programme as a whole, with some fluctuations in expenditures in each programme area (governance, poverty reduction, environment and disaster management) and across countries. Total programme expenditures for 2001–2003 were \$12.3 million, which increased to \$27.7 million for 2004–2007.

**Country-level funding via TRAC and other sources:** The use of TRAC funds by the regular programme countries are governed throughout most of the UNDP system by the Country Programme Action Plan (CPAP), which is the standard management and partnership tool currently used by UNDP. In the case of the Eastern Caribbean subregion, CPAPs were prepared via extensive country-level consultation and multi-stakeholder dialogue for all four countries receiving TRAC funds. Within individual countries, the UNDP programme uses TRAC resources to fund projects that are identified and planned by countries under the CPAPs, and it also supports a number of broader regional and subregional initiatives that either directly or indirectly provide benefits to these countries. Table 6 provides an overview of per-country expenditure patterns for UNDP since

**Table 6. UNDP Barbados and OECS programme expenditures by country 2004–2008 (\$)**

Country	2004	2005	2006	2007	2008*	Total Expenditure 2004–2008
Anguilla	7,253	0	0	0	0	7,253
Antigua and Barbuda	50,889	232,005	178,827	224,434	87,543	773,698
Barbados	16,444	54,424	63,680	216,641	432,913	784,102
British Virgin Islands	0	0	0	0	0	0
Commonwealth of Dominica	227,985	231,609	73,250	279,634	102,923	915,401
Grenada	99,194	283,286	195,968	134,893	102,121	815,462
Montserrat	104,287	60,094	59,798	49,049	775	274,003
Saint Kitts and Nevis	35,284	203,611	152,798	16,616	12,595	420,904
Saint Lucia	46,139	186,768	137,070	214,816	53,156	637,949
Saint Vincent and Grenadines	233,482	225,016	254,505	234,624	66,873	1,014,500
Regional Projects	5,106,874	4,655,383	6,396,596	6,734,794	2,379,357	25,273,004
Total Expenditure	5,927,831	6,132,196	7,512,492	8,105,501	3,238,256	30,916,276

\*As of 27 June 2008; figures for 2001–2003 were not available

2004, which combines both TRAC and non-core expenditures that were raised from a variety of sources for specific projects.<sup>63</sup>

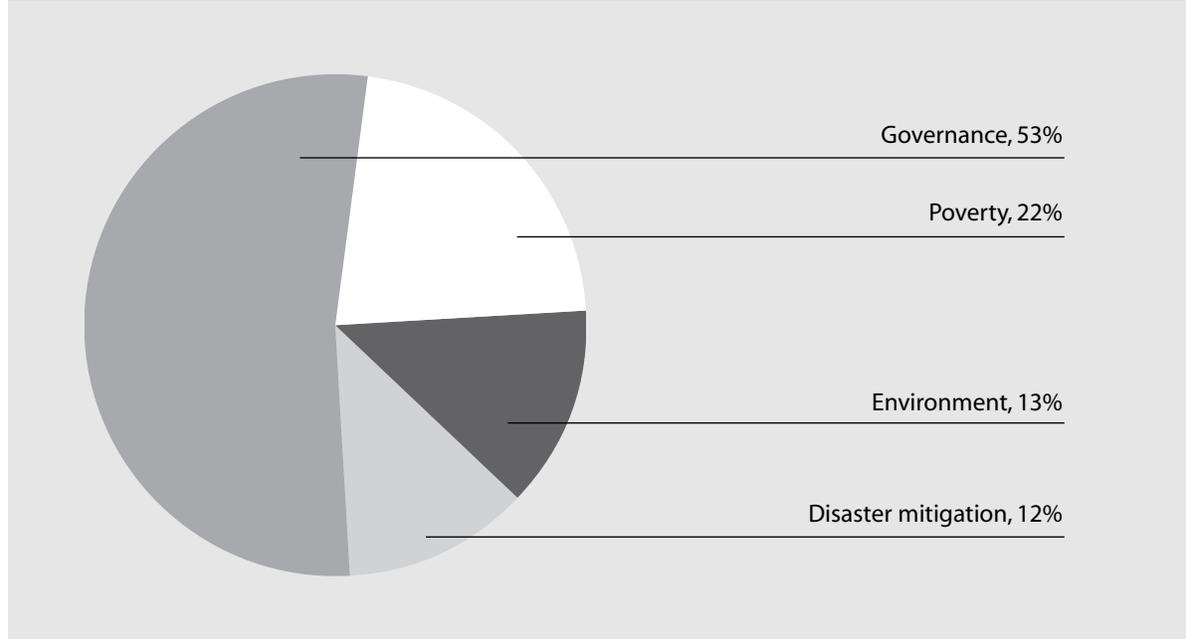
Countries eligible to receive TRAC funds from UNDP saw some fluctuations, but not dramatic changes over the time period under review by the ADR. It should be noted that the monetary value of TRAC funding was relatively small in relation to the overall country budget in all countries. The rate of disbursements from year to year was apparently closely linked to the countries' absorptive capacity (i.e., their ability to manage and disburse funds effectively), changing government priorities, and their ability to obtain development funding from a variety of bilateral and multilateral sources. Grenada saw the largest one-year spike in 2005 for national-level expenditures due

to the large-scale rebuilding efforts following Hurricane Ivan. In addition, it is difficult to determine how much of the resources flowing via regional projects are used within each country on an annual basis, as countries benefit from these broader initiatives that involve capacity development at the national level.

**Project portfolio and recent thematic expenditure patterns:** As of March 2008, approximately 60 projects were open or active in the UNDP subregional programme portfolio across all countries, including subregional and regional initiatives (out of approximately 110 projects implemented since the late 1990s). The highest number of projects was under the environment programme, with \$4.5 million budgeted for 2008 (with over 98 percent of resources coming from

63. The table indicates the value of projects implemented, not direct resource transfers.

**Figure 2. UNDP Barbados and OECS programme expenditures by thematic area 2001–2003**



The Global Environment Facility non-core resources). The second highest number of projects was in poverty reduction (\$1.1 million, with 30 percent from non-core resources). Governance programme activities had the largest overall budget planned for 2008 (approximately \$11.3 million) due to the leveraging of non-core resources (\$10.5 million, or 96 percent) from pooled donor funds to support CARTAC. The disaster programme was allocated \$349,000, of which 3 percent was non-core.

As shown in Figures 2 and 3, all thematic areas except poverty reduction saw steady increases in the amount of funds spent in recent years. Expenditures on governance-related activities experienced the largest growth, but this included a large proportion of non-core funds channelled through UNDP for CARTAC. For example, in

2004, CARTAC funds represented approximately 36 percent of all subregional programme expenditures, which by 2007 had increased to 62 percent. The subregional office receives a 5 percent overhead<sup>64</sup> for its role in helping manage the flow-through of donor-pooled funds to CARTAC. This overhead is an important source of income for the regional office.<sup>65</sup>

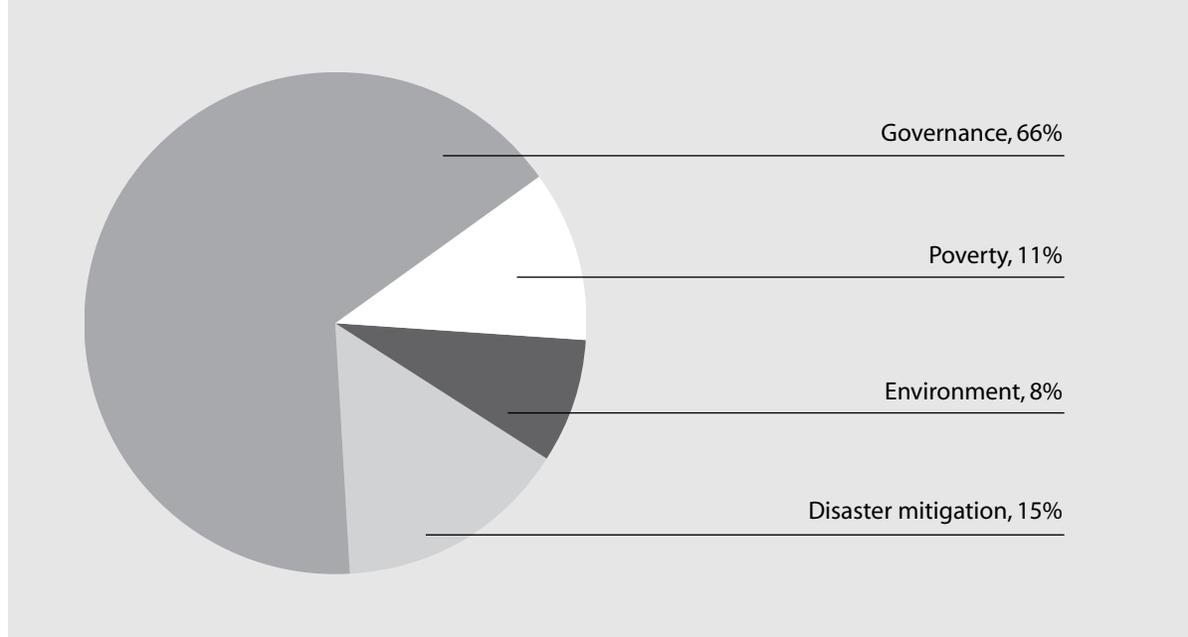
It is difficult to accurately depict the exact resources allocated to and expended for poverty reduction, due to extensive overlap with both governance and the disaster relief and management programme. In addition, the poverty programme included initiatives on HIV/AIDS and gender that were difficult to trace as separate expenditures.<sup>66</sup> The relatively low rate of expenditures for poverty initiatives in relation to the overall programme (especially from 2004 to

64. This is also referred to as cost recovery.

65. See also Figure 3 for a breakdown of expenditures by source of funds.

66. It should be noted that it was not possible to obtain a separate, detailed breakdown under the poverty reduction programme of specific expenditures related to gender and HIV/AIDS as distinct areas of work, given their interconnections with both governance and poverty reduction. However, it appears that for the past two years, roughly \$50,000 per year has been mobilized to support various specialized research initiatives on HIV/AIDS or spent on gender, related to both governance and poverty reduction.

**Figure 3. UNDP Barbados and OECS programme expenditures by thematic area 2004–2007**



2008, in which poverty reduction was paradoxically highlighted as a key area of work in the SPD) may have been partly due to the capacity of national partners to plan for effective use of core of TRAC funds. In addition, there were unexpected demands on the poverty programme for follow-up and reconstruction after Hurricane Ivan in Grenada. From 2004 to 2006, the poverty programme obtained and implemented roughly \$700,000 from external sources linked to initiatives for rebuilding communities in Grenada. These amounts were not included under poverty, but shown as part of disaster mitigation and management programme expenditures.

**Resource allocations for NCCs:** The five countries in the Eastern Caribbean programme that are considered by UNDP as NCCs are all high- or upper-middle income countries, and as noted are no longer automatically allocated UNDP TRAC funds. These countries have received less bilateral funding over time; for example, Anguilla and the British Virgin Islands have graduated from receiving support from DFID due to their high socio-economic status and, as shown in Table 6, their support from

UNDP has also declined overall. They and the other NCCs are, however, still eligible on an as-needed or on-demand basis for non-core or other specialized support (e.g., funding from the Global Environment Facility or technical assistance from large-scale regional programmes such as CARTAC or Support for Poverty Assessment and Reduction in the Caribbean). Unfortunately, the exact amount of these annual resource flows to each of the NCCs could not be extracted from the summary figures for regional projects shown in Table 6.

In summary, the UNDP programme can be characterized as complex and unique in terms of the range and scope of its projects and funding arrangements across multiple countries, which clearly indicates the special nature of this subregion. Although it was difficult to extract any specific patterns, the available data seemed to indicate that the programme has become adept at balancing different funding sources with the needs of multiple stakeholders. Specific findings and observations concerning financial and programme management are provided in Section 5.5 of the ADR.



## Chapter 4

# CONTRIBUTION TO DEVELOPMENT RESULTS

This Chapter summarizes the main findings concerning UNDP work in Barbados and the Eastern Caribbean from 2001 to the present. The focus is on analysing progress towards the original results identified in both the SCF (2001–2003) and SPD (2005–2009) according to the four thematic areas of governance, poverty reduction, environment and disaster management/mitigation. For each area, a table summarizing performance has been prepared.

### 4.1 GOVERNANCE

**Main Finding: From 2001–2008, UNDP made positive contributions to improved subregional cooperation and country-level governance in Barbados and the Eastern Caribbean. Accomplishments included ongoing capacity support to fiscal management and public sector reform through the UNDP facilitated multi-donor CARTAC project and the Virtual Development Academy (VDA) pilot initiative, as well as to the OECS Secretariat. UNDP assisted the OECS Secretariat and member states respond to the challenges posed by regional integration. However, the implementation of many discrete, pilot, short-term and/or responsive initiatives have as yet failed to create sufficient synergies and sustainable results. Due the diverse range of governance initiatives, overall, the programme lacked a coherent strategy for increasing the effectiveness and sustainability of its governance programmes in the subregion.**

The UNDP subregional programme on governance spent \$6.6 million from 2001 to 2003, and \$19.6 million from 2004 to 2007. The primary reason for the increase in expenditures was the creation of the CARTAC regional initiative. Since 2001, governance was consistently the largest single expenditure area.

The ADR found that UNDP consistently supported work that responded to the process of regional integration, to a large extent by strengthening the OECS Secretariat as the key subregional intergovernmental institution. This helped create a foundation for initiatives related to public sector modernization, constitutional reform, national fiscal management improvements, training/ learning for government capacity building, knowledge management and youth leadership development. However, aside from general information provided in the SCF and SPD, there was a lack of documentation regarding the overall UNDP approach to its governance programme work. In addition, no information was available to demonstrate how isolated activities were linked to an overarching vision for improved governance in the subregion.

From this perspective, many smaller governance programme plans and activities lacked coherence in that they were comprised of a series of experimental and somewhat unconnected activities that did not link clearly to a broader strategy to produce observable long-term changes in governance systems at either the subregional or national levels. It should be acknowledged that at the start of the current planning cycle, governance was a new programme area which had to simultaneously mobilize resources and build partnerships while implementing a wide range of both national and regional initiatives. The ADR found that this learning process involved a few false starts and disconnected initiatives.

Table 7 provides an overview of the main results, initiatives and achievements for work in governance since 2001.

**Table 7. Governance performance assessment summary 2001–2008**

<b>SUBREGIONAL COOPERATION FRAMEWORK 2001–2003</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Improved integration and cooperation among OECS countries <sup>67</sup> via the outputs or intermediate results in the following three cells	Provided staffing and equipment for the OECS Social Policy Unit (see poverty reduction programme information).	Governance programme plans were largely experimental. There is some evidence of increased integration and cooperation over the time period, although overall UNDP strategies and results were not clearly conceptualized and defined in this area. There was extensive overlap between governance and social development programming. There was some limited output achievement (i.e., establishment of the OECS Social Policy Unit and the creation of first subregional Human Development Report published in 2002). However, there was little evidence of broader outcome achievement.
Preparation of analytical studies on role/scope of integration and assessment of institutional arrangements, including networks and linkages <sup>68</sup>	No specific examples found.	N/A
Strengthening capacity of the OECS Secretariat for aid coordination using information and communications technologies <sup>69</sup>	OECS information and communications technologies capacity-building support provided (exact dates unavailable).	The OECS Secretariat increased its overall communication and networking capacities (i.e., improved use of email, videoconferencing and distribution/promotion of analytical materials such as the subregional Human Development Report).
Support for environment and resources sector management (through Global Environment Facility) and for OECS Environmental Policy Committee <sup>70</sup>	See environment programme information.	N/A
<b>Unplanned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Improved dialogue and awareness on constitutional reform among select OECS countries	Research and workshops conducted on constitutional reform (2001–2002). Subregional workshop(s) on constitutional reform (2002–2004).	According to involved stakeholders, constitutional reform research conducted in Saint Kitts and Nevis made some limited contributions to national democratic dialogue.  No details available on effects or follow-up from constitutional reform workshop(s) held.

67. See Subregional Cooperation Framework, paragraph 33.

68. *Ibid.*, paragraph 33.

69. *Ibid.*, paragraph 34.

70. *Ibid.*, paragraph 34.

**Table 7 (cont-d). Governance performance assessment summary 2001–2008**

<b>SUBREGIONAL PROGRAMME DOCUMENT 2005–2009</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Democratic governance issues addressed in the context of national programmes, the OECS Development Charter and MDGs, <sup>71</sup> via improved policy and institutional arrangements and policy/strategy work on the OECSEU	Ongoing funding of OECS Social Policy Unit (staffing and research activities).  Support for subregional Human Development Report (published in 2002).	Moderate progress towards this outcome based on successful establishment of Social Policy Unit within OECS Secretariat (see poverty reduction programme for more details).
Improved governance tools including multi-stakeholder dialogue and participation, sport, cultural development, women participation and youth development <sup>72</sup> via increased input of civil society organizations towards the achievement of the MDGs, and increased contribution of information and communications technologies, sports and culture to national development	Limited, small-scale support for civil society organizations (one-off grants or projects) – no details available.	Results progress was slow to non-existent for these two outcomes, as the original results were not well-defined and there was no explicit strategy in place for this area. Civil society organizations were involved in community-level consultations for development of Country Programme Action Plans in at least four countries (Barbados, Grenada, Saint Lucia and Saint Vincent), but there were no details on effects. Small grant funds were not linked to a comprehensive capacity-building or partnership approach for civil society.
Public sector OECS Economic Union modernized and strengthened by human resource development, information and communications technologies inputs, public/private dialogues, and enhanced transparency and accountability programmes via: <sup>73</sup>  <ul style="list-style-type: none"> <li>■ Improved public-sector financial management, budgeting, debt management, revenue policy formulation, introduction of the value-added tax, and investment financial supervision, collection of economic statistics</li> <li>■ Enhanced public-sector capacity in OECS countries for project management, implementation, and evaluation</li> </ul>	Caribbean Regional Technical Assistance Centre project – a region-wide, multi-donor initiative (in two phases) to provide technical support for improve fiscal management supported by CDB, CIDA, DFID, UNDP and others – implemented by the International Monetary Fund.  Virtual Development Academy – a pilot programme in Grenada and Saint Lucia to increase civil servants’ access to e-learning.	Moderate progress for this outcome. Outputs include capacity building for Eastern Caribbean governments in fiscal and budgetary management, via targeted technical support from CARTAC. UNDP and other donors made a strong contribution to improved public sector management capacity of government ministries of finance.  Virtual Development Academy, a useful pilot exercise, but no evidence yet of sustainability, roll-out or replication plans, or broader effects. No integration as yet with existing public sector reform initiatives.
<b>Unplanned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Improved dialogue and consultation among donor agencies and between donors and national governments	Creation/facilitation of multi-donor consultations with governments in the British Virgin Islands, the Commonwealth of Dominica, and Saint Kitts and Nevis (2006-2008).  Ongoing coordination/ leadership of UNDAF process and agencies.	Moderate to good performance overall – some evidence of improved donor coordination and harmonization, both within and outside the UN system (e.g., mechanisms, tools and frameworks for cooperation strengthened in line with Paris Declaration principles). Increase in the number and type of inter-donor consultations as well as joint donor (regional and subregional) initiatives. Feedback received from individual countries indicates that further improvements are needed.

71. Ref Results and Resources Frameworks for the OECS and Barbados 2005–2009 (RRF) Outcome 1 in the Subregional Programme Document.

72. Ref RRF Outcome 2 and 3 (note: the two outcomes appeared to be combined in practice).

73. Ref RRF Outcome 4.

#### **4.1.1 GOVERNANCE UNDER THE SUBREGIONAL COOPERATION FRAMEWORK (2001–2003)**

The Subregional Cooperation Framework planned to enhance subregional institutional coordination and integration capacities, in order to build on prior UNDP support to formulate and disseminate the first OECS Development Strategy (2000). The ADR learned that this was a trial-and-error period for governance work by UNDP. However, there were no dedicated funds as governance was not identified as a specific UNDP thematic area during this time period.

The relationship with OECS involved the implementation of the first OECS development strategy. In addition, UNDP supported activities related to development and publication of the first subregional Human Development Report (HDR) in 2002, implementation of the SIDS plan of action, and regionalization of the prison service as part of broader regional integration efforts in partnership with CARICOM and OECS. According to both donors and national governments, the first OECS HDR made a significant contribution to understanding the development context in the Eastern Caribbean. The HDR encouraged OECS governments to begin to develop more evidence-based plans and policies related to poverty reduction and social development.

The ADR team found evidence that UNDP sought to respond to the needs of the Caribbean Single Market and Economy by focusing on constitutional reform. UNDP involvement in constitutional reform was appreciated by subregional partners, with the main theme being the enhancement of public and multi-stakeholder participation (which led directly to later initiatives on youth in governance). For example, national stakeholders told the ADR team that UNDP research and facilitation input from the late 1990s through 2006 was “crucial” to the ongoing process of constitutional reform: it promoted greater understanding and clearer dialogue among parties. Another initiative in 2002 was UNDP joint sponsorship of a regional

conference on constitutional reform with the Organization of American States, followed by a second conference in 2004. However, the longer-term effects and follow-up remain unclear.

#### **4.1.2 GOVERNANCE UNDER THE SPD (2005–2009)**

The SPD marked the beginning of a thematic approach by UNDP to governance. The SPD proposed a complex, multi-layered and ambitious mix of initiatives including continued support for subregional integration with support to the OECS Economic Union and wider regional initiatives, enhancing the capacity and skills of national public sector management systems, and strengthening the role of civil society. Capacity-building support for the OECS Secretariat under the poverty reduction theme was closely linked to governance as a means of supporting the effective functioning of subregional institutions. At a broader level, UNDP support for the OECS Secretariat during this time period covered a wide range of small- to medium-scale research, networking, consultative and policy development initiatives on topics such as poverty monitoring, gender, sustainable livelihoods, HIV/AIDS, the environment and rural agricultural development. The ADR team found that many of these individual initiatives were successful in building knowledge and skills inside the OECS Secretariat, so that their capacity to play an ongoing leadership role was strengthened. However, long-term sustainability of some initiatives (due to lack of core programme funds by the Secretariat itself) was problematic.

Aside from the direct capacity-building work with the OECS Secretariat, the ADR identified five major components of recent governance-related activities:

- 1) Public sector modernization;
- 2) Financial reform/management;
- 3) Civil society;
- 4) Youth; and
- 5) Institutional coordination.

These components corresponded roughly to the four governance outcomes identified in the original SPD, but as the implementation approach evolved the aims were partially consolidated.

### **Component 1: Public sector modernization**

The major UNDP initiative in this area was the Virtual Development Academy (VDA).<sup>74</sup> It offered public sector middle-managers in two pilot countries (Grenada and Saint Lucia) access to high-quality public administration education not ordinarily available in the subregion. VDA is actually the UNDP global virtual campus, aiming to provide accessible online learning through approximately 3,000 courses. The transfer of the VDA on a pilot basis to the Eastern Caribbean was a UNDP-driven initiative, in that it was based on the internal UNDP virtual learning model. UNDP undertook extensive consultations over a two-year period with partner governments to ensure that it was tailored to their needs. As a result of this effort, national informants told the ADR team that the VDA had responded to an important need at the national level for increased professional development of public-sector managers.

In 2006 and 2007, approximately 80 participants completed the course over two phases in Saint Lucia (out of approximately 7,000 public servants), and a smaller cohort of approximately 50 went through the first part of the course in Grenada. Participant evaluations were excellent and the rate of successful completion was very high (78 to 87 percent). Approximately 50 percent of the participants were women. The project provided considerable backup support and face-to-face learning for the participants by Harvard and the Massachusetts Institute of Technology. It also pioneered close working relationships with the University of the West Indies (UWI) Distance Education Centre. At the time of the ADR, plans were underway for extending the pilot to Saint Vincent.

The ADR found that both government officials and participants were uniformly pleased with the VDA, even though it was offered on a small scale. However, there was no evaluation of the learning process during its implementation. According to stakeholders, several key practical and technical challenges were identified during the pilot phase. However, a full evaluation had not yet been completed at the time of the ADR, and no evidence was available comparing participants' baseline knowledge against what was learned in the course, how the information obtained was put to use or whether it added value to the public-sector reform strategy in each country.

The ADR noted that the VDA was a useful short-term initiative, but that real impact and results on public sector reform could not be judged. Due to the high costs of setting up a broader system of access and the relatively high level of technical support required for replication and roll-out, the sustainability of the pilot initiative is not clear. Most importantly, the linkages to broader public sector reform strategies and initiatives were not clearly articulated. For example, Caribbean Centre for Development Administration officials said that they knew about the VDA, but had not been invited to discuss its wider role in public-sector reform with UNDP or other partners.

### **Component 2: Financial reform/management**

CARTAC is a multi-donor financed UNDP project, which began operations in 2001 and has continued through two phases. The International Monetary Fund (IMF) is the implementing agency. CARTAC provides specialized technical assistance in economic and financial management in 21 countries in the region, including Barbados and all nine countries in the OECS that fall under the UNDP subregional programme. UNDP facilitates this pooled funding arrangement supported by bilateral agencies, member countries and multilateral organizations (with the majority of resources coming from CDB, CIDA, DFID, the EU, the

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74. The official title is 'UWI-UWIDEC and UNDP Barbados and the OECS Distance Learning Capacity Building Programme: UNDP/Learning Resource Centre (LRC) Virtual Development Academy (VDA) World Campus Caribbean Programme'.

International Bank for Reconstruction and Development, the IMF and the United States Agency for International Development).

From the UNDP perspective, CARTAC constitutes an effective and highly successful cost-sharing arrangement that is frequently cited as the centrepiece of its governance programme. Pooled donor funds are used to deliver high quality public-sector financial management expertise to UNDP partner countries. The ADR team found that attribution for CARTAC success and overall technical effectiveness lies not just with UNDP, but with a wide range of stakeholders and donors (particularly the IMF, which is responsible for delivering technical assistance to partners). However, UNDP did an effective job in providing the administrative structure for flow-through of pooled donor funds to the IMF CARTAC office, mainly through provision of a 50 percent programme officer housed in the UNDP office. The programme officer ensures that donor requirements for the transfer of funds and financial reporting are met.

The CARTAC experience clearly demonstrated how two traditionally disparate elements of the development paradigm (economic/financial and social) can be brought together to provide a more holistic and sensitive approach. UNDP is partially responsible for brokering this complex partnership and for ensuring the smooth functioning of the harmonized donor arrangement.<sup>75</sup> External reviews of CARTAC in 2003 and 2006 concluded that it was extremely successful in providing effective and timely advice-on-demand to governments in the region on topics such as public financial management, revenue administration and the formulation of macroeconomic projections and frameworks for

fiscal policy analysis.<sup>76</sup> ADR informants in all countries, including officials in the ministries of finance and in the Eastern Caribbean Central Bank, were unanimous in their praise for the high quality and relevance of CARTAC technical assistance. This was partly due to the consistent involvement of UNDP in highlighting the social and poverty-related dimensions of fiscal reform.

UNDP helped integrate a social development perspective into CARTAC work. ADR informants stated that there continued to be some negative perceptions in countries about the agenda of the IMF and its approach, given the history of structural adjustment in the region and subregion.<sup>77</sup> These tensions appear to have been well-managed by the steering committee and the IMF, and UNDP involvement influenced countries' receptiveness to IMF technical advice. At the request of the steering committee, UNDP recently facilitated integration of results-based management and gender into CARTAC work.

Stakeholders were very interested in having UNDP apply more of its specific social development competencies to CARTAC. For example, some donors suggested that poverty and social impact assessments should be integrated into future phases of CARTAC, and one donor has already offered to fund these and provide technical support. They stated that this is an area for UNDP to collaborate on in order to more fully demonstrate its additive value.

### **Component 3: Civil society**

The SPD included specific outcomes directed at strengthening community-based institutions and organizations. The CPAPs prepared in some UNDP partner countries included strong input from civil society groups, including women,

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75. According to the UNDP Barbados, CARTAC is the first multi-donor initiative in the Caribbean which supports the Paris Declaration. This statement could not be independently verified by the ADR team.

76. Consulting and Audit Canada, 'Mid-Term review of Caribbean Regional Technical Assistance Centre (CARTAC)', August 2003; Osborne Nurse and Euric Bobb, 'Second Mid-Term Review of the Caribbean Regional Technical Assistance Centre (CARTAC)', September 2006.

77. Jose Faigenbaum (Deputy Director Western Hemisphere, IMF) in a speech in 2004, acknowledged "Caribbean countries are generally not keen to avail themselves of financial assistance from the IMF." The 2004 CARTAC mid-term review noted that there were initial concerns that the IMF might attempt to introduce or impose a proactive programme of fiscal reform on the Caribbean through CARTAC.

youth and people living with AIDS, and referred to the need for civil society organization (CSO) capacity-building. There were several examples of small-scale, short-term, and one-off small project grants to CSOs. The grants were provided under the auspices of poverty reduction, HIV/AIDS, environmental management and disaster mitigation. The role of CSOs was particularly vital during the recovery process from Hurricane Ivan in Grenada, and UNDP was able to ensure that there was full involvement of community-based groups.

In recognition of the need to strengthen its work with civil society in the subregion, UNDP commissioned a study in 2006.<sup>78</sup> The study was structured as an audit in order to create an inventory of major groups and make recommendations as to how to work with them. The study noted that the level of development support in the subregion for CSOs was inadequate, that CSOs were still seen as a political threat in many countries, and that there was a lack of trained human resources, leadership development and institutional strengthening. The report suggested a much stronger role for the OECS Secretariat and the UN system in developing linkages with and support for CSOs, but at the time of the ADR these had not yet been transformed into a practical action plan. UNDP managers acknowledged it as an area for future improvement.

#### **Component 4: Youth**

The issue of youth development (including training and political/social empowerment) is long-standing in the Caribbean, and currently a major focal area for CARICOM and bilateral donors. The SPD specifically mentioned the need to improve youth leadership, participation and engagement as an aspect of governance. However, there were few measurable or observable effects related to youth development. Similar to the situation with civil society, there was little concrete evidence of a strategic approach to working

with youth. UNDP subregional office staff acknowledged that this was another experimental area where only a few pilot initiatives were begun.

For example, in collaboration with the UNDP Subregional Resource Facility based in Trinidad, a series of workshops was held in 2006 to build regional capacity for youth in governance. The workshop's objectives were to stimulate dialogue on governance issues, encourage youth to seek greater accountability and action from their governments, motivate them to become change agents in their communities, and encourage participation in national and regional consultations. Approximately 30 youth from 15 countries attended, including several in the Eastern Caribbean. However, no information was available on follow-up, sustainability or linkages with other thematic areas under the programme. UNDP managers told the ADR team that they planned to increase support to youth development in the future, and planned to implement a youth ambassadors' project that would support policy dialogue on youth issues within the context of CARICOM, the OECS Secretariat and national governments.

#### **Component 5: Institutional coordination and cooperation**

Over the past several years, UNDP played a key role in coordinating agencies within the UN system and the broader donor community (see Section 3.1), and contributed to improved governance and institutional cooperation mechanisms on a broader scale. UNDP helped support in-country consultation among donors and between donors and governments through support for multi-stakeholder consultations in three countries,<sup>79</sup> and through leadership in the coordinated relief effort in Grenada after Hurricane Ivan. Governments said that UNDP was suited to play this role, given that it was well respected by all partners. As part of its work to promote anti-corruption initiatives in the subregion, UNDP

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78. 'Research Report: An Audit of Eastern Caribbean National/Regional NGOs', prepared for UNDP by Don D. Marshall with assistance from Halimah Deshong, Nelia Robinson and Saskia Scotland, October 2006.

79. The British Virgin Islands, the Commonwealth of Dominica, and Saint Kitts and Nevis.

was involved in organizing and convening two key regional meetings on the United Nations Convention against Corruption (UNCAC).<sup>80</sup>

In 2002, UNDP agreed to fund a review of existing aid/donor coordination mechanisms in the Eastern Caribbean subregion and support the development (in collaboration with The World Bank) of an online tool to inventory and document donor activities. Though supported by donors in the region, technical difficulties with the software led to its termination.

Ongoing UNDP support for the OECS Secretariat was moderately effective in developing institutional capacity for policy, research and analysis (more details in Section 4.2). According to UNDP subregional staff, the Barbados office provided effective and consistent on-demand support to the UNDP regional bureau in New York. Support included maintaining and strengthening the agency's programme relationships with regional institutions such as CARICOM and CDB, and ensuring that Eastern Caribbean issues were fully integrated within larger regional programmes.

The main challenge for the subregional office appeared to be balancing its available time and resources among requested regional interactions, simultaneously with specific TRAC-funded subregional and national programme demands. In addition, UNDP did not have adequate time or resources to undertake donor consultations on a country-by-country basis. For example, only three countries received assistance from UNDP in undertaking multi-donor consultations.

## 4.2 POVERTY REDUCTION

**Main Finding: UNDP provided good overall support for MDG integration and improved**

**poverty monitoring in Barbados and the Eastern Caribbean from 2001 to 2008 (particularly via targeted support to the OECS Secretariat and involvement in the Support to Poverty Assessment and Reduction in the Caribbean initiative). UNDP maintained a consistently high profile and reputation as a lead actor, advocate and adviser on poverty reduction issues. However, at times poverty-related work was thinly distributed across a myriad of intervention levels and partnerships, including regional or subregional networking and advocacy, capacity development with line ministries and direct community implementation. Poverty reduction also included targeted work on gender and HIV/AIDS, which further stretched programme resources and expertise. UNDP was sometimes challenged to respond adequately on all levels.**

Between 2001 and 2007, approximately \$5.9 million was spent on poverty reduction by UNDP in the subregion, not counting resources leveraged through regional or subregional initiatives.<sup>81</sup> In general, poverty reduction initiatives undertaken by UNDP were designed to improve the ability of governments to respond to poverty issues, as well as increase the visibility, inclusion and participation of many marginalized stakeholders (e.g., the poor, minority groups, women and youth). Other key aims were to create an enabling environment for the effective delivery of social services and to provide the poor with skills and opportunities for income generation. UNDP attempted to integrate governance and poverty reduction as dual areas of programme implementation. There was also extensive overlap with disaster management and mitigation efforts, including a strong involvement in rebuilding communities and addressing ongoing social development, poverty and livelihood issues following Hurricane Ivan in Grenada in 2005 and 2006.

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80. The Caribbean Regional Consultation on anti-corruption took place at UN House in Barbados from 7 to 9 April 2008 in order to support the accelerated ratification of the UNCAC by all Caribbean states and to identify areas of technical assistance delivery related to the implementation of the UNCAC. One of the outputs of the consultation was the creation of a mechanism to assist with the delivery of technical assistance to further support UNCAC implementation, which will receive support from the UNDP subregional programme.

81. As noted in Section 3.2, it was challenging to obtain an accurate picture of expenditures and resources deployed under the poverty reduction programme area for the time period under review, due to extensive overlap in the programme with disaster management (in terms of post-disaster livelihoods support in Grenada), and gender and HIV/AIDS as areas of cross-cutting work with governance in particular.

The ADR identified several strengths of UNDP poverty reduction efforts in the subregion, including promoting the MDG agenda at both the country and subregional levels (mainly via the OECS Secretariat), building skills in poverty monitoring, and consistently focusing stakeholder attention on social development concerns. UNDP personnel consistently offered strong professional and technical expertise in this area of work. UNDP took advantage of its role and credibility as a global social development leader in order to create numerous advocacy, information-sharing, networking and mobilization opportunities for social development partners in the region. For example, the UNDP role in the multi-agency Poverty and Social Sector Development Donor Group was cited repeatedly as crucial to the subregion. Poverty reduction was also noteworthy for its consistent attempts to increase the focus on gender equality and HIV/AIDS as cross-cutting issues, although there were gaps in these areas as well.<sup>82</sup>

However, the ADR noted that while poverty reduction and related social development work is central to UNDP identity in the subregion, there were weaknesses in terms of staffing, rationalization, focus and coherence that require further attention. The poverty reduction programme faced challenges in deciding whether to direct implementation at the community level or to focus primarily on government-level capacity-building and policy initiatives. The rationale for involvement in some community-based initiatives (such as Community Resource and Internet Centres) was not always clear, and it was difficult to obtain a strategic picture of the diverse projects undertaken and their concrete contribution to overarching programme results as shown in the SPD. Laudably, UNDP is seen by many stakeholders as the go-to organization for supporting or collaborating on social development and poverty reduction issues. However, there did not appear to be sufficient staffing or

other technical resources to respond efficiently to requests for networking, knowledge brokering, policy/advocacy work, analytical input and/or project funding, nor did there appear to be a coherent method to prioritize the many requests for involvement that were received.

Table 8 provides an overview of the main results, initiatives and achievements for work in poverty reduction since 2001.

#### **4.2.1 POVERTY REDUCTION UNDER THE SUBREGIONAL COOPERATION FRAMEWORK (2001–2003)**

The Subregional Cooperation Framework focused on poverty reduction via employment creation (to be done jointly with the International Labour Organization), improved policies for labour productivity, employment and subregional economic integration. In addition, there was a commitment to mainstream gender and HIV/AIDS, as well as undertake some micro-finance activities. Even though it was not stated explicitly in the document, ongoing capacity-building support for the OECS Social Policy Unit was also included. The Subregional Cooperation Framework mentioned poverty surveys, but only in the context of promoting macroeconomic growth and employment creation.

During the assessment, it was difficult to obtain any details on specific work done for labour market rationalization with the International Labour Organization, but it was unclear whether this was due to lack of corporate memory, the small scale of any initiatives undertaken, unsuccessful implementation or subsequent adjustments in the poverty reduction focus.

Starting in 1999 and based on the initial Country Poverty Assessment conducted in 1995, UNDP funded a micro-enterprise project for select poor rural and urban communities of Saint Vincent and the Grenadines. With the support of UNDP, the government took over the project in 2002–2003.

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82. See Section 5.1 for more detailed discussion of HIV/AIDS and gender as cross-cutting programme issues that are closely inter-linked with the implementation of the poverty reduction programme area in terms of personnel and resources.

**Table 8. Poverty reduction performance assessment summary 2001–2008**

<b>SUBREGIONAL COOPERATION FRAMEWORK 2001–2003</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Comprehensive labour market and approved labour productivity legislation, and formulation of a subregional framework for micro-enterprise development <sup>83</sup>	No specific examples found of any projects or initiatives to improve labour productivity legislation or development of regional micro-enterprise framework.  UNDP assumed interim management of a regional micro-enterprise project on behalf of CIDA.	No results found for labour productivity legislation (supposed to be done jointly with the International Labour Organization).  No results found for micro-enterprise framework.  CIDA regional micro-enterprise project closed in 2004.  It was deemed to be largely unsuccessful due to poor design and lack of suitability for the region.
Strengthen capacity to develop and implement social policy, monitor and analyse human and social development, poverty and the impacts of economic and social change, <sup>84</sup> via production of data sets on social and economic development through the first subregional Human Development Report, and establishment of local information and communications technologies centres <sup>85</sup>	Seminar on the harmonization of social development concepts and definitions held in 200.  Support for OECS Population and Housing Census.  Funding for formation of Social Policy Unit in OECS Secretariat and first subregional Human Development Report.  Social policy framework design for OECS countries.  Social development and poverty eradication programmes for two countries assessed.  Initial planning for the Community Resource and Internet Centres project on community-based information technology facilities.	See Subregional Programme Document achievements. Most activities started between 2001 and 2003 were continued and built on in the subsequent programme period. Some limited, short-term effects achieved related to support for national census-taking and country-level social research related to creation of first Human Development Report.  Successful establishment of OECS Social Policy Unit and creation of first subregional Human Development Report (published 2002); initial social policy research papers and framework created and disseminated by OECS Social Policy Unit.  First Human Development Report widely utilized outside the subregion and by international agencies/partners.
<b>SUBREGIONAL PROGRAMME DOCUMENT 2005–2009</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Capacity development for poverty and social development monitoring <sup>86</sup> via enhanced capacity of institutions to do data collection, analysis and monitoring of social issues, and strengthened capacity of the OECS Social Policy Unit to provide statistical and policy formulation	Continued core funding of staffing and ongoing research projects for the OECS Social Policy Unit.  Support for Poverty Assessment and Reduction in the Caribbean project, both direct and via linked initiatives (e.g., conduct of country poverty assessments, use of Core Welfare Indicators Questionnaires, support to DEVINFO and training in social policy analysis).  Formation and coordination of multi-stakeholder Poverty and Social Sector Development Donor Group (linked to Support for Poverty Assessment and Reduction in the Caribbean steering committee).	Strong results achievement to date in this area, closely linked to support for capacity-building in the OECS Social Policy Unit (see below). Well-focused set of activities and initiatives, and strong evidence of increased OECS and country-level capacity to conduct surveys and Country Poverty Assessments.  Core Welfare Indicators Questionnaires successfully completed in Grenada and Saint Lucia, leading to improved availability and use of data to support Country Poverty Assessments and for the targeting of beneficiaries in projects.  Research completed for the second OECS Human Development Report. Research underway for the first Barbados Human Development Report, to be published in 2009.

83. See Subregional Cooperation Framework, paragraphs 29, 30, and 35.

84. *Ibid.*, paragraph 31.

85. *Ibid.*, paragraph 36.

86. Ref RRF Outcome 5 (closely linked to Outcome 6) in the Subregional Programme Framework.

**Table 8 (cont-d). Poverty reduction performance assessment summary 2001–2008**

<p>Formulation and implementation of poverty reduction policies and strategies<sup>87</sup> via strengthened capacity of the OECS Social Policy Unit<sup>88</sup> and formulation of gender-sensitive and pro-poor poverty reduction strategies and policies, regionalization of the MDGs within context of OECS development strategy, and finalization of poverty reduction strategies in at least three countries</p>	<p>Formulation of poverty reduction strategies and interim/final papers in the Commonwealth of Dominica, Grenada, Saint Lucia and Saint Vincent.</p> <p>Workshops, information and training events in various countries on localization of MDGs within the Eastern Caribbean.</p> <p>Ongoing collaboration with UNIFEM in gender analysis of poverty papers/strategies and gender sensitivity training.</p>	<p>Moderate results achievement in this area. Only two poverty reduction strategies completed so far (the Commonwealth of Dominica and Grenada), but all poverty reduction policy work deemed to be successful in focusing attention on this area.</p> <p>Countries in the subregion appear to be engaged in the process of producing national MDG reports based on poverty monitoring supported by UNDP through Support for Poverty Assessment and Reduction in the Caribbean and other initiatives.</p> <p>Gaps in gender mainstreaming approach and lack of formal systems for collaboration with UNIFEM.</p>
<p>Comprehensive strategies to address the HIV/AIDS pandemic,<sup>89</sup> via enhanced institutional planning and implementation capacities and integration of HIV/AIDS social development policies and national level programming</p>	<p>Participation in the joint UNAIDS theme group.</p> <p>Support for implementation of UNAIDS Programme Acceleration Funds financing for national counterpart groups.</p> <p>Research and production of major paper on HIV/AIDS mainstreaming within UNDP programme implementation.</p>	<p>Several discrete programme activities were completed, but the overall outcome related to this area of work has not been achieved to date. Collaboration and discussion continues in terms of how to best position UNDP within work on HIV/AIDS (especially linked to poverty).</p> <p>Programme Acceleration Funds small grants implemented by UNDP on behalf of UNAIDS were relatively successful on a limited scale in strengthening national HIV responses.</p>
<p>Direct interventions at the community level to reduce income and resource poverty,<sup>90</sup> via reduced unemployment levels, increased training in information and communications technologies, development of new jobs and businesses, and diversification of the agricultural sector</p>	<p>Selected/pilot Community Resource and Information Centres in the Commonwealth of Dominica, Grenada and Saint Vincent.</p> <p>Micro-enterprise development (selected small projects/initiatives).</p> <p>Planning for the Caribbean Region Unit for Technical Assistance project in the agricultural sector to be launched in early 2009.</p>	<p>Poor results achievement in this area so far. Low sustainability likely for both information technology and micro-enterprise development. Weak implementation capacity at the community level appears to have been a major factor, combined with lack of UNDP human resources to directly manage and monitor community-based implementation of activities/projects.</p>
<p><b>Unplanned results</b></p>	<p><b>Selected examples of projects/initiatives</b></p>	<p><b>Performance summary: actual results achieved</b></p>
<p>Improved stakeholder collaboration and coordination regarding support for poverty issues in the subregion</p>	<p>Formation and coordination of Poverty and Social Sector Development Donor Group.</p>	<p>Poverty and Social Sector Development Donor Group continues to play an active role with good effect in terms of providing a forum for multi-stakeholder collaboration on poverty reduction issues.</p>

87. Ref RRF Outcome 6.

88. Same as for RRF Outcome 5.

89. Ref RRF Outcome 6.

90. Ref RRF Outcome 7.

Subsequent reviews showed that poor progress was made, mainly due to the very low implementation capacity at the community level. The project was eventually closed. UNDP also took over as the implementing agency for a larger subregional initiative on micro-finance in the early 2000s, funded by CIDA. Poor design of the project was cited as a factor in its eventual demise, as the micro-finance model was found to have not been properly adapted to the Caribbean context and UNDP found that it was not well-suited to directly implement technical projects of this type.

#### **4.2.2 POVERTY REDUCTION UNDER THE SUBREGIONAL PROGRAMME DOCUMENT (2005–2009)**

The Subregional Programme Document outlined in detail several areas for poverty reduction work, including:

- 1) Poverty monitoring to support to the MDGs;
- 2) Poverty planning, advocacy and policy development; and
- 3) Local poverty initiatives.

These components overlapped significantly with each other and with governance activities. HIV/AIDS was subsumed under the second component, while gender was to be mainstreamed throughout. The following gives a brief overview of the strengths, weaknesses and accomplishments of major initiatives under each component.

##### **Component 1: Poverty monitoring**

This component mainly involved UNDP strategic and financial support to the Support for Poverty Assessment and Reduction in the Caribbean (SPARC) regional initiative (and a related cluster of activities) as a major capacity-building project to support improved statistical research on poverty issues at the country, subregional and regional levels. SPARC was designed through a multi-stakeholder and multi-government consultation process from 2002 onwards in order to encourage governments to make a formal commitment to the MDGs, adapt

them to each country situation and then implement data collection on progress towards their achievement. This overlapped with support for the subregional Human Development Report produced by the OECS and with strengthening the statistical and social research capacity of the OECS Social Policy Unit. UNDP and OECS sponsored workshops in individual countries in order to discuss how to tailor the goals, indicators and measurement requirements for the MDGs to each country's situation. This process, sometimes referred to as MDG+, allowed Eastern Caribbean countries to focus on specific MDGs where there was less information and develop and use indicators that would uncover data relevant to their level of development as high- or middle-income countries.

Under the auspices of SPARC, UNDP provided training and mentoring to support the Country Poverty Assessments, the Core Welfare Indicators Questionnaire, and the Population and Housing Census. The UNICEF DevInfo database for capturing MDG data was introduced, which provided countries with the ability to store and document data in a user-friendly and standardized manner, as well as to allow rapid analysis of available information. Some work on developing gender-specific indicators for MDG and poverty monitoring also took place.

The Assessment found that SPARC provided a number of best practices for UNDP including:

- Donor collaboration and partnership: UNDP played a key role in the negotiations to establish SPARC as a functioning initiative and to solidify a multi-donor funding arrangement involving thirteen agencies. Partnerships between individual donors on the steering committee (e.g., between UNDP and the European Union to support social data capture in Saint Lucia) and other collaborations to support implementation of country poverty surveys in Antigua and Barbuda, Grenada, and Saint Vincent and the Grenadines were viewed by stakeholders as highly effective. The assessment found numerous examples of how UNDP collabo-

rated with donors to convince them to invest substantial resources in parallel initiatives that complemented SPARC.<sup>91</sup>

- Leadership, facilitation and advocacy: UNDP acted as convener and coordinator of the collaborating partners, as well as an advocate of the initiative with governments and other stakeholders. UNDP also agreed to employ and house the regional coordinator for SPARC in order to initiate the project.
- Sub-initiatives to support upstream objectives: UNDP funded a number of discrete sub-initiatives related to SPARC. For example, between 2005 and 2008, workshops and training were offered for localization of the MDGs, which assisted countries in integrating the MDGs into their national plans and/or in conducting national poverty surveys or assessments.<sup>92</sup> UNDP also funded rapid assessment of socio-economic conditions using the Core Welfare Indicators Questionnaire in order to provide countries with consistent data for their social development reporting and planning.

### **Component 2: Poverty planning, advocacy and policy development**

UNDP work in this area included support for formulation of poverty reduction strategies and, in the mid-2000s, the writing of Poverty Reduction Strategy Papers (PRSPs) via the OECS Secretariat for the Commonwealth of Dominica, Grenada, Saint Lucia, and Saint Vincent and the Grenadines. Poverty monitoring initiatives such as SPARC were designed to help

support development of better PRSPs, which have been described in the past as “weak due ... to the lack of recent relevant data on many of the social development concerns facing the countries.”<sup>93</sup> The papers were prepared by member countries, with technical assistance and financial support to facilitate consultations through the OECS in order to ensure that the process involved stakeholders at the national, regional and international levels. The Commonwealth of Dominica’s PRSP helped the country considerably in negotiations with the IMF, while Grenada’s interim PRSP helped donors in supporting country priorities during the hurricane recovery period after 2005.<sup>94</sup>

Stakeholders considered support for producing the first subregional Human Development Report by the OECS Secretariat and funding towards preparation of a second subregional HDR report (to be published in 2009) to be among the most significant contributions to poverty advocacy and planning under the UNDP subregional programme for the time period under review. The first Human Development Report was used primarily by international agencies, and the plan was to increase dissemination and use of the second more widely, particularly by policy makers within the subregion.

Social and poverty monitoring data produced under SPARC and related sub-initiatives supported by UNDP were used in several countries for policy and planning purposes. In Saint Lucia, for example, the Country Poverty Assessment was used to help plan both a water project funded by The World Bank and a poverty

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91. For example, The World Bank approved a \$400,000 grant to support the institutional capacity of OECS member countries. There were delays in implementation, but UNDP will manage these funds when released and also expects to commit \$150,000 of its own funds from a regional allocation to support direct technical advice to countries. The International Development Bank approved \$350,000 to support SPARC in the strengthening of institutional capacity in statistical offices in Caribbean countries (to be managed by CDB).

92. Specific examples of MDG localization efforts supported by UNDP through the OECS Social Policy Unit include technical consultancies in the Commonwealth of Dominica and Saint Kitts and Nevis, as well as more recently in the British Virgin Islands and Saint Lucia. Via SPARC, UNDP also supported work in Montserrat in 2007 in support of the Child Health Database, which was part of their request for MDG monitoring support.

93. UNDP, ‘Framework for Monitoring the MDGs and Sustainable Human Development in the CARICOM Region’, 2005.

94. At the present time, however, only the Commonwealth of Dominica’s PRSP is technically complete, with Grenada pending, and Saint Lucia and Saint Vincent and the Grenadines still to be completed.

reduction scheme from the European Union. In Barbados, a soon-to-be-completed poverty assessment (with UNDP technical input) will be used to produce the first Human Development Report for the country in 2009. Once fully in place and used as a repository for MDG and other social data, data management tools (e.g., DevInfo) have the potential to support advocacy and policy development on social issues.

Under UNDP leadership, the Poverty and Social Sector Development Donor Group (comprising the main donor agencies in the subregion concerned with social development) functioned well as the subregional coordination mechanism for poverty and social development in the Eastern Caribbean.<sup>95</sup> The Donor Group was considered to be very important to donor partnership, resulting in multilateral and bilateral agreements that benefited the region in a number of ways. Some members, such as the IDB and The World Bank, contributed financial resources to important projects such as SPARC, while both CDB and DFID attested to the benefits of networking and collaboration. In addition, the Project Steering Committee for SPARC was comprised largely of Donor Group members, which resulted in synergies and focused support on poverty monitoring and evidence-based social policy development.

### **Component 3: Local poverty initiatives**

Support for local, community-based interventions in poverty reduction was found to be the weakest area of UNDP work, with the noteworthy exception of the reconstruction efforts supported in Grenada from 2005 to the present.

The Community Resource and Internet Centers initiative (CoRICs) was a series of pilot information and communications technologies (ICT) projects co-implemented from 2004 to 2006 by UNDP and select countries in the subregion,

including Dominica, Grenada, Saint Lucia and Saint Vincent and the Grenadines. CoRICs were designed to promote computer literacy, increase employment prospects (particularly for unemployed youths and women), and foster community empowerment and youth entrepreneurship. The project was funded jointly by France, local governments, the International Telecommunications Union, OECS and UNDP. Implementation was carried out by local government and community partners with UNDP management support.

The concept behind the CoRICs was to support upstream poverty reduction and MDG policy reforms through linking community level work on ICT and employment generation to these broader initiatives. However, this was not fully achieved in two of the three countries. In contrast, the most successful example, the Commonwealth of Dominica, created conditions for sustainability in the building of an ICT Centre through cost-sharing with the local government and a community-based women's group. Gaps in local community capacity were addressed through the provision of a United Nations Volunteer and via linkages to existing community-based groups. In Grenada, however, there was limited evidence of conscious collaboration between government-led information technology and employment programmes and CoRICs.

CoRICs project reports, as well as stakeholder feedback received during the ADR, indicated that the initiative was mainly donor-driven and poorly conceived with limited follow-through and little evidence of longer-term development effectiveness. The main weaknesses were lack of prior capacity and sustainability assessments at the community level, poor ongoing support by governments, weak monitoring by project managers and by UNDP itself, lack of telecommunications infrastructure to sustain rural

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95. The Poverty and Social Sector Development Donor Group members are CDB, CIDA, EU/EC, ECLAC, DFID (UK and Caribbean offices), the Food and Agriculture Organization, IDB, OECS Social Policy Unit, the Pan-American Health Organization, UNDP, the United Nations Educational, Scientific and Cultural Organization, UNICEF, the United Nations Population Fund, UNIFEM, the United States Agency for International Development, and The World Bank.

Internet access, and poor identification of the community-level beneficiaries with whom the most sustainable, long-term results were likely to be achieved. There was no clear evidence that the pilot projects achieved full community ownership as originally envisaged or that sustainable employment was generated. Limited positive effects achieved in the Commonwealth of Dominica showed what could be done in an enabling environment.

Several small-scale, one-off or discretionary initiatives were also undertaken at various times in order to support local level community groups and NGOs. For example, in Antigua and Barbuda, Grenada and Saint Lucia, small grants were offered to groups working with the physically disabled or involved in HIV/AIDS.

The strongest work of UNDP at the local level appeared to be during the post-hurricane reconstruction period in Grenada from 2005 to 2008. During this period, the role of community-based groups in recovery and reconstruction was supported both directly and indirectly by UNDP through its own funding and with donor funding from the Governments of the US, Australia and New Zealand. Further from February 2008, a joint programme of four UN agencies and led by UNDP has been in place to provide further interventions to sustain the post-Ivan and Emily recovery process. The agencies involved are UNIFEM, UNICEF and FAO. This is the sole joint programme for Barbados and the OECS. After the initial response by disaster response agencies to urgent humanitarian needs, UNDP supported longer-term, NGO-driven initiatives through which vulnerable rural communities could recover their access to livelihoods. By leading the conceptualization and design of the UNTFHS initiative in Grenada, UNDP has played a valuable role in ensuring strong community involvement and coordinating effective and efficient implementation. However, it appeared that this heavy involvement in Grenada during the post-hurricane period strained the resources of the poverty reduction programme and necessitated an unanticipated shift in priorities.

In general, much of the direct anti-poverty work with civil society appeared to be quite fragmented. For example, UNDP openly acknowledged that the small-scale and micro-credit schemes it had previously supported under the Subregional Cooperation Framework were unproductive and unsustainable in the long term. Nonetheless, UNDP is well positioned to undertake more high-level advocacy with governments and private financial institutions to enhance the rural poor's access to credit, training and technology.

The Caribbean Unit for Regional Technical Assistance project (CARUTA), is a new UNDP initiative, launched in collaboration with the International Fund for Agriculture and Development, CARICOM and the OECS Secretariat. Although mentioned in the Subregional Programme Document, due to planning and funding delays CARUTA had not yet started at the time of the ADR. It was designed to directly reduce poverty through empowering vulnerable rural populations. A strategy document for addressing poverty alleviation in the context of agriculture and rural development was also developed to help guide its work. However, CARUTA may experience challenges related to community-level implementation similar to the CoRICs project (in terms of follow-up and sustainability), unless lessons learned from the CoRICs implementation are carefully applied.

### 4.3 ENVIRONMENT

**Main Finding: UNDP played a relatively effective role as the implementing agency for the Global Environment Facility (GEF) in the Eastern Caribbean countries, forming the core of the UNDP environment programme from the early 2000s. UNDP also provided direct support to the OECS Secretariat's environment unit. Since 2007, UNDP started to seek new opportunities to directly implement new climate change and alternative energy activities. UNDP currently faces the challenge of moving from its GEF-identified role to developing a coherent and proactive environment approach that is better integrated with other thematic areas, especially poverty reduction and governance.**

From 2001 to 2007, UNDP facilitated disbursement of approximately \$3.9 million of Global Environment Facility (GEF) resources on environment activities in the Eastern Caribbean. UNDP collaborated with funding and technical partners both within and outside the UN system, including the United Nations Environment Programme (UNEP) and many multilateral and bilateral agencies. UNDP supported some mainstreaming of environmental issues and, according to stakeholders, forged some useful (albeit limited) connections between the environment and broader advocacy on social development issues.

As interlocutor between GEF and national governments, UNDP improved country-level access to these funds; previously, most countries had not received any GEF funding. However, there were ongoing challenges with implementation capacity at the country level in terms of environment ministries' technical and managerial ability to deal directly with planning and accounting for the use of GEF funds.

National partners wanted UNDP to be more engaged in international environmental and climate change policy and advocacy work on behalf of the Eastern Caribbean. Partners believed that UNDP had the potential to lobby for beneficial action at all levels by pressuring Caribbean governments to put more resources into environmental programmes and by connecting national, subregional and international issues. In addition, stakeholders felt that more resources should be devoted to broader adaptation strategies than to short-term mitigation efforts, and that UNDP should offer additional technical assistance in better utilizing GEF funds and undertaking other initiatives.

Table 9 provides an overview of the main results, initiatives and achievements for work on the environment and energy since 2001.

#### **4.3.1 ENVIRONMENT UNDER THE SUBREGIONAL COOPERATION FRAMEWORK (2001–2003)**

The Subregional Cooperation Framework did not address environmental issues directly. The

framework stated the need to strengthen the basis for sustainable human development in the subregion, which presumably included environmental concerns. No specific programme objectives were formulated, and the ADR team did not find any examples of environmental initiatives or results. However, some limited support for the OECS Secretariat's environment unit began at this time.

#### **4.3.2 ENVIRONMENT AND ENERGY UNDER THE SUBREGIONAL PROGRAMME DOCUMENT (2005–2009)**

The Subregional Programme Document identified several outcomes related to the environment that were linked to the UNDP executing role on behalf of GEF. The main aim of UNDP under the Subregional Programme Document was to ensure that individual countries were able to access and utilize GEF resources effectively, in exchange for which the subregional office received allocations to cover office and management costs.

UNDP supervised two main components for GEF: funding for national governments to undertake national policy development and/or direct programme implementation on environmental issues (including preparation of resource management plans, biodiversity strategies and/or incremental costs towards meeting the requirements of the Montreal Protocol on Substances That Deplete the Ozone Layer); and Small Grants Programme funding for NGOs and community groups for local, small-scale projects. Overall, both components were well-managed by UNDP Barbados and in accord with GEF requirements.

Several issues relate to the UNDP environment and energy programme:

- As the GEF interlocutor and executing agency in the subregion, both government and NGO partners often misidentified UNDP as being identical to GEF. Some partners expressed frustration with GEF bureaucratic processes, and this negative perception was sometimes transferred to the UNDP executing role on behalf of GEF.

**Table 9. Environment and energy performance assessment summary 2001–2008**

<b>SUBREGIONAL COOPERATION FRAMEWORK 2001–2003</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
None defined	Core funding for OECS Natural Resource Management Unit  Linkages/support for GEF funding at the national level	Unit established and functioning to provide support to OECS member countries.  No information is available on GEF activities.
<b>SUBREGIONAL PROGRAMME DOCUMENT 2005–2009</b>		
<b>Unplanned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Sustainable management of the environment and natural resources incorporated into poverty reduction and national development frameworks <sup>96</sup>	Ongoing core funding for OECS Environment and Sustainable Development Unit  GEF government and small grants support at national level	Moderate performance on this outcome. OECS Environment and Sustainable Development Unit now playing functional subregional coordination role with ongoing UNDP consultation, input and support.  No evidence available regarding integration of environment and natural resources into poverty reduction strategies; still under development.
Sustainable land management to combat desertification and land degradation <sup>97</sup>	GEF government and small grants support at national level	Moderate performance on this outcome, with some evidence for: land use policies and/or legislation in select countries developed or under development; strengthened capacity of environmental and natural resource management agencies in select countries; memorandum of understanding on technical cooperation adopted and implemented; and greater engagement of civil society organizations and communities in the management of environmental issues via Small Grants Programme (SGP) projects.  GEF/SGP Regional Programme Strategy approved and implemented to support governments and civil society organizations to use the GEF/SGP funded projects as the first phase of a longer-term intervention. Strategy can potentially be scaled up to a full-sized GEF project.
Progress towards environmental sustainability demonstrated <sup>98</sup>	GEF government and small grants support at national level	As above.

- Partners were occasionally confused about the division of labour between UNDP and UNEP in terms of which agency had lead responsibility for environment work. Several partners were concerned about administrative mix-ups between UNDP and UNEP in terms of accountability and communications.
- Some national partners were very satisfied with the support they received from GEF,

96. Ref RRF Outcome 8 in the Subregional Programme Framework.

97. Ref RRF Outcome 9.

98. Ref RRF Outcome 10.

but others were frustrated by what they perceived as an overly bureaucratic and top-down process that constrained them from accessing funds in a timely fashion. In Barbados, there was concern that UNDP needed other forms of environment partnership and funding outside of GEF, as it was not able to respond to their evolving needs. In at least two countries (the Commonwealth of Dominica and Grenada), there were delays in receipt of funding and/or with equipment procurement due to perceived administrative problems with the receipt of GEF funds—which they partially blamed on UNDP. Other countries, such as Antigua and Barbuda, saw UNDP as more sympathetic and able to provide vital technical and policy support in environmental issues in addition to the flow-through of funds. Several countries preferred to deal directly with GEF or other levels of UNDP administration, such as the regional technical support facility in Panama and/or UNEP, rather than with UNDP Barbados.

- Major organizational capacity challenges for both government and NGOs existed at the country level that occasionally prevented them from benefiting fully from GEF support. However, UNDP was not directly involved in resolving these capacity gaps and was unable to provide direct skills-building for local facilitators (e.g., Small Grants Programme focal points) to fill this role, as the allocations received did not cover these costs. Stakeholders expressed the need for UNDP itself to offer more direct technical or managerial capacity-building support at the country level in order to assist in GEF implementation by country partners.
- It was outside the mandate of the ADR to conduct a detailed analysis of the GEF/SGP work in the subregion. However, according to what could be learned from the UNDP subregional office (as well as from select project-level interviews), the small-scale projects implemented in the subregion were largely successful in meeting their aims. In

the past, several projects have served as the basis for up-scaling to a broader level (both national and regional). Pre-existing capacity for successful planning and implementation at the national level (especially in terms of the level of involvement and technical/managerial skills of the national focal point and advisory group) appeared to be the main factor in project success. Unfortunately, some successful small projects could not be easily extended or brought to a sustainable level. In addition, there appeared to be little or no monitoring and evaluation follow-up on some projects that would likely support improved sustainability and learning for future small-scale initiatives. These challenges were not a negative reflection on the UNDP role as implementing agency per se, rather, they were an indication of the bureaucratic challenges faced by the GEF/SGP as a whole (despite its acknowledged successes).

- During a visit to Barbados in 2007, the UN Secretary General tasked UNDP Barbados with helping the subregion deal with climate change and with ensuring that when climate change was discussed globally, the plight of SIDS was brought to the forefront. The subregional programme took up this challenge, and since 2007, the Deputy Resident Representative has devoted considerable time to the promotion of new initiatives to deal with alternative energy as an emerging area in the environment programme. This is highly commendable, but also presents some challenges in terms of ensuring clear linkages between the environment area under GEF and the rest of the UNDP programme. There is some risk of new climate change initiatives being driven by available external funding or the UNDP strategic approach rather than directly by country-level priority-setting. However, overall it appeared to be a good direction for UNDP to move in given the overwhelming importance of this issue and the increased need to focus attention on it in the context of SIDS.

#### 4.4 DISASTER RESPONSE AND MITIGATION

**Main Finding: UNDP Barbados played an important role in partnership with a number of other agencies in ongoing disaster risk reduction, specifically in reconstruction efforts following Hurricane Ivan in 2004. Although UNDP is not a disaster response agency, it helped to catalyse and coordinate the input of a number of different actors during this crisis. Many valuable lessons were learned, as reflected in the heightened emphasis on risk reduction and disaster mitigation (in addition to immediate response preparedness) in Subregional Programme Documents after 2005. Since the mid-2000s, UNDP has taken active steps to intensify capacity-building with the Caribbean Disaster Emergency Relief Agency and the OECS, and to support the design and implementation of comprehensive, long-term disaster monitoring, management and mitigation strategies.**

In the Eastern Caribbean, the long term UNDP presence, as well its relatively high profile and credibility as a development partner, meant that it could not help but be drawn into short-term disaster response. From 2001 to 2003, UNDP directly disbursed approximately \$1.2 million on disaster-related activities, and more than \$2.9 million from 2004 to 2007. In addition, the agency was able to facilitate the effective disbursement of large amounts (approximately \$80 million) on behalf of donors and international relief agencies—particularly in the immediate aftermath of Hurricane Ivan in Grenada in 2004, as well as in the subsequent design and implementation of community-level reconstruction efforts (jointly with the UNDP Poverty Reduction Programme).

UNDP was involved mainly in capacity-building for national governments and subregional institutions in disaster risk reduction. UNDP helped bring attention to the underlying factors that needed to be addressed in order to prevent the negative effects of weather events, especially on the poor and vulnerable. For example, UNDP helped CDB set up the Caribbean Disaster Emergency Relief Agency (CDERA) in the late 1990s, which it has continued to fund up through

the present (though on a declining basis). This support involved helping CDERA establish procedures and infrastructure for disaster monitoring and management, as well as providing regional coordination services in case of emergencies. CDERA is now a well-established regional organization based in Barbados, and is tasked with managing all disaster related activities for the entire Caribbean region on behalf of its member states.

Other key initiatives undertaken, both in collaboration with CDERA and directly with Eastern Caribbean countries, included: the Caribbean Risk Management Initiative (implemented jointly with the OECS Secretariat); support for CDERA search and rescue functions; ongoing collaboration with the Caribbean Community Climate Change Centre (involving capacity-building for conducting vulnerability and capacity assessments at the national level); funding for implementation of the Comprehensive Approach for Disaster Management in the Caribbean; and assistance in coordination of multi-donor relief efforts in response to hurricanes or tropical storms. UNDP helped set up and provided leadership for the Eastern Caribbean Donor Group Disaster Management working group, which regularly meets during the hurricane season in order to monitor and respond to disasters. It is co-chaired by the UN Resident Coordinator and CDERA.

Table 10 provides an overview of the main work completed in disaster management since 2001.

##### 4.4.1 DISASTER UNDER THE SUBREGIONAL COOPERATION FRAMEWORK (2001–2003)

The Subregional Cooperation Framework did not explicitly identify any specific outcomes related to disaster response issues. However, it did mention that disaster management activities had been carried out in collaboration with CDERA and national institutions. It also recognized that disaster mitigation and preparedness strategies should be pursued in parallel with emergency relief measures.

**Table 10. Disaster management performance assessment summary 2001–2008**

<b>SUBREGIONAL COOPERATION FRAMEWORK 2001–2003</b>		
<b>Planned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
None defined	Preliminary phases: support for comprehensive approach for disaster management in the Caribbean, support for search and rescue capability of CDERA	Strengthened CDERA capacity partly achieved, through provision of basic search and rescue equipment and training to beneficiary states. Preliminary enhancement of coordinating capacity of CDERA.
<b>SUBREGIONAL PROGRAMME DOCUMENT 2005–2009</b>		
<b>Unplanned results</b>	<b>Selected examples of projects/initiatives</b>	<b>Performance summary: actual results achieved</b>
Enhanced regional and national capacities for disaster risk reduction associated with natural, environmental and technological hazards within the broader context of climate change <sup>99</sup>	CDERA: support for search and rescue capacity  Caribbean Risk Management Initiative project: provided funding for post-disaster assessments as well as capacity-building for national disaster management offices  Various training workshops (country or subregional level) on disaster assessment technologies, either directly or through the OECS Secretariat	Moderate to good results achievement, including: formulation of a regional risk reduction and disaster response strategy to complement the role of CDERA; and continued capacity-strengthening for CDERA and at the national level to implement the Caribbean-wide Comprehensive Disaster Management strategy and enhance search and rescue capacity.  Caribbean Risk Management Initiative gave rise to recovery and reconstruction strategies and plans at national and sectoral levels, with supporting procedures' manuals and a cadre of trained personnel.  Early stages of long-range climate and weather forecasting systems established.
Enhanced national capacity for effective disaster recovery <sup>100</sup>	Coordination of the post-Ivan recovery process in Grenada 2004-2006  Caribbean Risk Management Initiative continued to 2005 (as above)	Moderate to good results achievement, but as yet little evidence for overall reduction in the social and economic impacts of extreme weather events (risk level still extremely high).  Some capacity strengthening in post-disaster recovery and reconstruction in Grenada and Montserrat at community levels, with tools to monitor progress and increased evidence of networking systems allowing national and local authorities and community-based organizations to participate effectively in recovery and reconstruction.  National risk reduction disaster management systems now largely operational. UNDP assisted the subregion in improving disaster management systems and planning mechanisms for disaster risk reduction.

During this time period, UNDP supported the development and gradual, preliminary introduction of a comprehensive approach for disaster management in the subregion (as well as the

region as a whole), which sought to reduce vulnerability to loss of life and property damage. UNDP was responsible for setting up the Caribbean Risk Management Initiative in 2001

99. Ref RRF Outcome 10 in the Subregional Programme Framework.

100. Ref RRF Outcome 10.

in order to build the Caribbean region's capacity to address natural hazards and environmental risks. This took place through strengthening CDERA in order to institutionalize disaster planning at the regional, subregional and national levels, and through preliminary support for search and rescue coordination capability (expanded in the next programme period).

#### **4.4.2 DISASTER UNDER THE SUBREGIONAL PROGRAMME DOCUMENT (2005–2009)**

In order to mitigate the impacts of natural disasters and contribute to good governance, the Subregional Programme Document planned to build resilience capacities at the national and subregional levels. Ironically, the destruction caused by Hurricane Ivan in 2004 (while the programme document was under development) led to increased acceptance of climate change by governments and policy makers as an urgent reality in the subregion. In addition, the 2003 volcanic eruption in Montserrat helped boost national interest in UNDP support to strengthen country-level disaster response systems. The experience gained from post-hurricane recovery work in Grenada and the associated recognition of the key leadership role of UNDP, prompted UNDP to intensify work on the Caribbean Risk Management Initiative and to further enhance CDERA capabilities.

The following initiatives are worth noting:

- UNDP was the executing agency for a project to further build the CDERA search and rescue capability from 2005 onwards, partly funded by the United Nations Trust Fund on Human Security. According to external reviews and what was learned during the ADR mission, the project successfully

created the infrastructure for search and rescue operations through the training of national teams and the provision of specialized equipment and materials that were warehoused throughout the region.

- UNDP supported the Eastern Caribbean Donor Group for Disaster Management (ECDG/DM) upgrade its role and functions to allow for better collaboration and preparation for future disasters. The ECDG/DM was praised by all stakeholders and deemed to be extremely effective in promoting a standardized approach to disaster assessment, both pre- and post-event.<sup>101</sup> However, some members felt that they needed more regular contact with UNDP between scheduled meetings.
- To promote policy development and concrete skills for ongoing disaster risk reduction, UNDP continued to provide consistent and much-needed support at the regional, subregional and national levels in order to implement the comprehensive disaster management strategy first begun under the Caribbean Risk Management Initiative (CRMI) project.<sup>102</sup> For example, UNDP promoted the mainstreaming of disaster management into the national plans and budgets of governments in the subregion (via both CDERA and the OECS Secretariat). However, UNDP could have done more to undertake and support advocacy for the enforcement of appropriate building standards in hurricane-prone areas.

The ADR revealed several issues with regard to the UNDP role in disaster management:

- UNDP was seen by some country counterparts as too slow to conduct post-disaster

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101. For example, see the ECDG/DM Operations Plan, May 2007.

102. CRMI is an umbrella programme managed by UNDP Barbados. It is a regional programme, and considered a key programming component of the UNDP Regional Bureau for Latin America and the Caribbean and the Bureau for Crisis Prevention and Recovery in the Caribbean subregion. In 2004, CRMI was launched following a high profile preparatory assistance process that included the active involvement of UNDP staff and regional stakeholders who felt strongly about the need for a CRMI-type programme. It was designed to build capacity across the Caribbean region for the management of climate-related risk and to share information on disaster risk reduction and related issues among stakeholder communities.

needs assessments and was criticized by some partners for its overly bureaucratic approach to the subsequent disbursement of recovery funds.

- National partners complimented UNDP in organizing a number of training workshops in the subregion, including public awareness of building codes, hurricane awareness, community preparedness planning and capacity-building, and the stabilization of slopes. However, they requested additional follow-up in order to ensure that workshop information was translated into concrete policy and programme actions.
- Some country stakeholders noted that UNDP had its greatest effectiveness in advocacy and higher-level coordination with the top echelons of donors and government in disaster planning and relief situations. In a few countries, such as Saint Vincent and the Grenadines, UNDP needed to be more strategic in consulting with various levels of government in order to effectively integrate disaster management approaches within national plans and bureaucracies.
- The CRMI was relatively successful in encouraging improved national disaster planning approaches through the introduction of methods for community preparedness, conducting improved hazard assessments and risk mapping, improved building codes and practices, and linking property insurance to the quality of construction. Some stakeholders perceived this as consisting of too many small, scattered initiatives,

which reduced UNDP effectiveness and created challenges in managing such a diverse range of activities. A recent independent evaluation of CRMI concluded that the program was effective in enhancing multi-country collaboration for disaster risk reduction, as well as in supporting improved climate modelling and building stakeholder capacity through a wide variety of training initiatives.<sup>103</sup>

- UNDP ensured that more tasks and roles were assumed by CDERA in partnership with national governments, leading to greater sustainability of disaster management efforts in the subregion. UNDP was a regular participant in the Comprehensive Disaster Management Coordination and Harmonization Council convened by CDERA to help build broad-based leadership and capacity for disaster risk reduction and response. However, this involved simultaneous work at the regional, subregional and national levels, which required considerable UNDP time and resources.
- The importance of climate change adaptation as a cross-cutting area pertaining to both environment and disaster management has become more urgent since the UN Secretary General's 2007 visit to the subregion. The UNDP plan to increase its focus on this area was justified, as noted in Section 4.3. However, little discussion has taken place—despite the acknowledged need to make mainstreaming climate change into UNDP work in disaster risk reduction a major part of all programme work, especially in the next subregional programme cycle.

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103. Evaluation of the Caribbean Risk Management Initiative (CRMI) Dean Pallen 20 May 2008.

## Chapter 5

# CROSS-CUTTING AND OPERATIONAL ISSUES

This Chapter summarizes the main findings concerning cross-cutting and operational issues in the UNDP subregional programme, including gender, HIV/AIDS, South-South cooperation, capacity development and programme management.

## 5.1 GENDER

**Main Finding: Since 2001, UNDP work on gender in the subregion combined a variety of programming, coordination and internal mainstreaming approaches, with the main focus on strengthening ongoing poverty and governance work through incorporating improved gender analysis. In spite of good progress, there were challenges in practical and consistent application of gender mainstreaming within UNDP programming. A recent study on improving the strategic approach to gender mainstreaming was conducted for UNDP and will be helpful as the basis for continuing to improve this work in the future.**

The ADR found that since the early 2000s, UNDP has improved gender mainstreaming within its subregional programme by working with various development partners—ranging from the OECS Secretariat to national line ministries and NGOs—to incorporate gender analysis into UNDP-funded projects. UNDP focused on ensuring that many programme initiatives in poverty and governance helped address the so-called ‘gender-poverty nexus’ in the subregion, for example, by integrating gender within poverty monitoring and by supporting capacity-building on women and political leadership.

The ADR also found that UNDP made commendable internal efforts to increase gender mainstreaming skills and commitment among its

programme staff. However, the absence of a concrete mainstreaming strategy until relatively recently, combined with the lack of dedicated resources, constrained the overall effectiveness of UNDP work.

### 5.1.1 GENDER UNDER THE SCF (2001–2003) AND SPD (2005–2009)

Both the SCF and the SPD incorporated gender analysis to a limited degree, and gender was incorporated as a cross-cutting theme. Issues regarding men and women’s disparate access to resources and services in the region were noted, and poverty reduction activities in both phases aimed to incorporate gender as a cross-cutting issue within ongoing UNDP initiatives.

In general, the ADR team found that UNDP had a good reputation for consistently raising gender issues in ongoing dialogue with its programme partners, and that UNDP was extremely well positioned to play a gender advocacy role with the national stakeholders in line ministries. This complemented the gender mainstreaming work being done in parallel by UNIFEM as the lead agency with national gender machineries. The credibility of UNDP in gender was bolstered by the recently retired Resident Representative and senior managers (the majority of whom are women), all of who had demonstrated high levels of personal knowledge of and commitment to gender issues. Via SPARC, UNDP played an important role in ensuring that gender-sensitive indicators and research were integrated into national poverty monitoring activities in, for example, Grenada and Saint Lucia. The main UNDP value added in both gender programming and coordination (related to its ongoing participation in technical

working groups dedicated to gender issues in the region) appeared to be its strong support for an equitable, rights-based approach to human development, with a particular focus on continuously addressing the links that persist among poverty, economic vulnerability and gender in the subregion.

There were several major issues and challenges related to gender:

- UNDP ensured that gender issues were integrated to some extent into the CPAPs prepared in Grenada, Saint Lucia and Saint Vincent and the Grenadines during 2005–2006. The CPAPs mentioned the need to take gender issues into account when planning and implementing country-level activities or initiatives. In practice, the degree to which this was done was quite limited. However, the attempt to integrate gender analysis into these plans, in an environment in which the cultural norms and understanding were and sometimes remain antagonistic to gender equality, was an important first step. Country partners interviewed for the ADR were generally aware of the need for more gender analysis, but remained unclear how to accomplish this in concrete ways, as no training or checklists had been provided by UNDP or other development agencies.
- As noted earlier, a major study on gender mainstreaming within the UNDP subregional programme was launched in 2006 and completed in 2007, with technical support from UNIFEM.<sup>104</sup> The study focused on resistance to gender mainstreaming, both within UNDP itself and in relation to its programme environment, and proposed concrete solutions and recommendations to address a number of key gaps and issues in UNDP work. As a first step in responding to these recommendations, UNDP conducted some internal gender mainstreaming training

for its staff in 2007. The ADR team was informed that such efforts increased knowledge and skills on gender issues, but little follow-up and technical support had been offered to reinforce the initial training.

- The ADR team found that the subregional gender focal person was the manager of the poverty reduction programme. Although this allowed for strong strategic linkages between gender and poverty reduction (both in terms of mainstreaming and programming), these multiple responsibilities made it difficult for this person to concentrate specifically on gender. At the time of the ADR, there were no plans or budget for dedicated gender staffing in the subregional office, and no resources were allocated to provide technical support for integrating gender analysis within specific UNDP-funded initiatives.
- The ADR team found that in general, UNDP collaborated formally and informally very effectively with UNIFEM (as the designated lead agency on gender) at the institutional level during the time period under review. UNDP played a major role in advocating the importance of the broad-level work of UNIFEM in gender mainstreaming. In addition, UNDP and UNIFEM worked in close partnership on a number of regional and subregional consultative and technical committees on gender. The two organizations also supported a joint initiative on women and political participation that led to the establishment of the Caribbean Institute of Women in Leadership. However, UNIFEM identified the need for increased functional cooperation with UNDP, and stated that additional resources needed to be dedicated to strengthening this collaborative partnership and supporting more joint programming.
- During the post-hurricane reconstruction process in Grenada, UNDP partnered with NGOs in conducting a gender assessment to

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104. UNDP, 'Towards Clarity, Consistency and Capacity: A Gender Mainstreaming Assessment of the UNDP Subregional Office for the Eastern Caribbean and Barbados', January 2006.

support improved implementation of community-based projects and in ensuring that both men and women were involved. Also in Grenada, UNDP supported the government in developing a national gender policy. However, due to lack of follow-up and possibly some resistance among senior government officials, it appeared unlikely that the policy would actually be implemented in the short term.

In spite of the many positive aspects of UNDP gender work, the ADR found that challenges still existed in strengthening the mainstreaming approach. This is unsurprising, given the lack of dedicated resources. The 2007 gender mainstreaming study also identified the lack of consistent programme focus on gender, but observed that this was partially due to widespread resistance towards gender issues on the part of senior policy makers of the subregion. The OECS Secretariat and others interviewed for the ADR corroborated that such attitudes had created barriers for some UNDP initiatives, possibly reinforcing a reduced focus on gender in view of other urgent programme priorities.

## 5.2 HIV/AIDS

**Main Finding: In addressing HIV/AIDS, UNDP focused mainly on coordination and networking related to its ongoing participation in technical working groups and the UN regional team. UNDP also supported a limited number of direct advocacy and programming initiatives. In 2007, a review of UNDP HIV/AIDS programme mainstreaming strategy was conducted to provide a more solid basis for further work in this area.**

Since the mid-2000s, UNDP has endeavoured to clarify and expand on the practical linkages between HIV/AIDS issues and the agency's ongoing poverty reduction and, to a lesser extent, governance programming. During this time period, UNDP demonstrated significant knowledge of and commitment to addressing the underlying factors that influence national HIV/AIDS responses: UNDP maintained an ongoing engagement and dialogue with develop-

ment partners at both national and subregional levels regarding the poverty and governance dimensions of HIV/AIDS work.

The ADR found it commendable that HIV/AIDS issues were considered important enough to be cited as a distinct sub-outcome area in the SPD under poverty reduction. Some preparatory steps were also taken towards eventually mainstreaming HIV/AIDS across the entire programme, in addition to and in combination with gender issues. However, partly due to the inherent challenges in launching this specialized area of development programming, these preliminary efforts to link UNDP work on HIV/AIDS, poverty and governance appeared to be incomplete.

### 5.2.1 HIV/AIDS UNDER THE SCF (2001–2003) AND SPD (2005–2009)

Both the SCF and the SPD alluded to HIV/AIDS as an important development issue, and the SPD incorporated a specific sub-outcome related to HIV/AIDS under poverty reduction. The ADR found that UNDP responded strongly to the changing context for HIV/AIDS work and developed a robust partnership with the lead thematic agency, UNAIDS, to advocate for an increased social development focus within HIV/AIDS programming—for example, through initiatives such as support for the design and promotion of a UNDP tool kit on HIV/AIDS and development. Stakeholders interviewed for the ADR also noted that UNDP, in line with the requirements of the Three Ones programme, helped foster an enabling policy and research environment for HIV/AIDS programming and coordination, both within the UN system and among national and subregional stakeholders such as the OECS Secretariat.

The main focus of UNDP HIV/AIDS programming was on linking HIV/AIDS work to ongoing initiatives under the poverty reduction thematic area in the SPD. Support for integrating HIV/AIDS into poverty reduction policies and programmes was provided to some national

and subregional partners on a demand-driven basis. For example, joint UNDP/UNAIDS support is being provided for mainstreaming HIV/AIDS into Grenada's interim Poverty Reduction Strategy and has been provided to assist the OECS Secretariat in the development of a subregional proposal for The Global Fund to fight AIDS, Tuberculosis and Malaria. The UN Resident Coordinator also played an ongoing coordination and networking role in subregional and regional UN technical coordination mechanisms on HIV/AIDS.

However, UNDP work on HIV/AIDS had to be balanced with a number of other programme priorities and demands. As a consequence, the agency's HIV/AIDS programming did not yet appear to be focused enough to support effective achievement of the relatively ambitious SPD outcome statement.

In addition, the ADR team noted several specific issues regarding UNDP work in HIV/AIDS:

- Through administering the Programme Acceleration Funds and ongoing collaboration, UNDP and UNAIDS developed a strong relationship based on a joint commitment to expanding the multisectoral response. However, it took time to define the best working arrangements for Programme Acceleration Funds implementation, such as reporting and accountability mechanisms between the two agencies. Most issues have now been resolved, and the process eventually helped reinforce the need for improved inter-agency HIV/AIDS programming.
- UNDP support for people living with HIV/AIDS and women's groups via small-scale grants in several countries helped foster attention to specific related issues. For example, in Antigua and Barbuda in 2005, UNDP sponsored a two-day nutrition workshop for people living with HIV/AIDS and their caregivers. For local communities,

such as those in Antigua and Barbuda, activities were effective in providing information and enabling NGOs to take an active role in HIV/AIDS issues. In Barbados, the training offered for community 'change agents' to become public advocates of HIV/AIDS issues was highly successful.

- In order to strengthen its work on HIV/AIDS, UNDP commissioned a detailed study on mainstreaming HIV/AIDS interventions in its work in the Eastern Caribbean.<sup>105</sup> Completed during 2006–2007, the study identified the need for improved comparative advantage-based division of labour among UN agencies and better mainstreaming of HIV/AIDS across all UNDP programme activity areas, with a stronger focus on HIV/AIDS mainstreaming in disaster mitigation activities in particular. The study provided a solid basis for sounder HIV/AIDS approaches, but many key recommendations had yet to be applied at the time of the ADR.
- According to stakeholders such as UNIFEM and UNAIDS, UNDP created strong synergies and linkages between gender and HIV/AIDS as conjoined subregional issues. In 2007, for example, UNDP helped organize a series of focus group discussions in the Commonwealth of Dominica and Saint Lucia. These focused on gender and HIV prevention among young people and targeted men and women aged 16 to 25 years, effectively linking gender and HIV/AIDS in a youth-friendly way.

In the future, UNDP intends to undertake more specific HIV/AIDS mainstreaming work within its programmes in order to focus on improving integration of combined gender and HIV/AIDS work into broader poverty reduction and governance initiatives. This is an excellent approach, given the agency's goal of strengthening knowledge about the links between poverty, gender inequality and the spread of HIV/AIDS

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105. UNDP Barbados 'Mainstreaming HIV/AIDS Interventions in the Eastern Caribbean', 2006, draft.

in the Eastern Caribbean. An example of such activity is UNDP work to ensure that SPARC promoted the use of poverty data in HIV/AIDS prevention and service delivery planning, particularly as these related to migrant workers and commercial sex workers, many of whom are women.

### 5.3 SOUTH-SOUTH COOPERATION

**Main Finding: UNDP has not clearly defined the processes and methods for promoting South-South cooperation in the Eastern Caribbean. However, the agency provided some support for intergovernmental information sharing, as well as strengthening regional and subregional integration processes under the Caribbean Single Market and Economy initiative. Several programming objectives of the UNDP SCF and SPD touched on South-South cooperation, but there remains unrealized potential for additional knowledge exchange among countries.**

South-South cooperation and knowledge sharing is a global UNDP priority. In 2007, UNDP commissioned an external evaluation of its South-South cooperation activities. The evaluation found a lack of a corporate South-South cooperation strategy, inconsistencies in how existing cooperation mechanisms were applied, and inadequate funding.<sup>106</sup> As a predictable consequence of these corporate weaknesses, the ADR found that UNDP did not yet have a coherent strategy or platform from which to promote and expand South-South cooperation in the Eastern Caribbean.

The subregion provides a logical backdrop for knowledge-based South-South cooperation to emerge in a more systematic way. This represents a missed opportunity, given that the UNDP programming approach is firmly based on a subregional platform that could facilitate inter-country interaction. While extensive information sharing among countries has taken place formally and informally, via the OECS and a range of regional and subregional consultations (some

sponsored by UNDP), no systematic documentation was available on how such activities contributed to longer-term South-South cooperation.

In particular, potential for improved knowledge sharing exists among middle- and higher-income countries with emerging needs in development and reform of public sector capacity; transition to more knowledge-based economies; and sharing emerging technologies that address natural disasters and climate change. Nearly all country stakeholders interviewed for the ADR noted the potential for knowledge exchange and better UNDP coordination of this effort.

According to the government officials interviewed, middle-income countries' transition to knowledge-based economies and the demands of greater economic integration require specialized policy and public sector reform input from subregional and regional countries grappling with similar issues. Similarly, the pressing needs of climate change adaptation and disaster response demand increased cooperation and knowledge sharing.

A positive example was UNDP support to the production of a 2007 best practice case study of disaster management in the British Virgin Islands, which outlined the lessons that could be shared under a subregional approach. Another example was documentation of best practices and lessons learned from the response to Hurricane Ivan, prepared for wider regional dissemination.

### 5.4 CAPACITY DEVELOPMENT

**Main Finding: UNDP made quality contributions to national and subregional institutional capacity development through training, information-brokering and technical advice. The agency provided institutional support to subregional bodies—such as the OECS Secretariat and CDERA—and to government line ministries, via specific projects, including CARTAC, CRMI and SPARC. These initiatives had**

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106. UNDP, 'Evaluation on UNDP Contribution to South-South Cooperation', 2007.

**a positive effect on national planning, design and implementation of country poverty assessments, planning and service delivery. The next challenge for UNDP will be increasing the capacity for evidence-based policy development and advocacy for poverty and social development issues, both within individual countries and at the OECS Secretariat.**

Because UNDP Barbados did not compile figures on person-hours of training or capacity-building activities supported under the subregional programme, it was not possible to quantify the range or scope of training or other capacity development opportunities provided over the past several years, either directly implemented by UNDP or funded in partnership with others. Nonetheless, many workshops, networking events, consultations and other knowledge exchange activities conducted with UNDP involvement were important in developing individual and institutional capacities, given the dearth of other opportunities for public sector professional development.

Stakeholders—in particular at the country level—attested to the value and importance of technical training and resources in improving public policy research and advocacy skills. The main UNDP contribution to country-level capacity strengthening was its support to developing technical, managerial and analytical skills for statistical research and analysis related to poverty monitoring. Such support focused specifically on the MDGs and was delivered primarily via the SPARC project. Lesser, but still significant, support was provided to CDERA and the national agencies involved in disaster preparedness and relief.

UNDP commitment to building capacity for the collection of data related to poverty monitoring was a major contribution that had substantial subregional benefits. Some capacity-building within the public sector was also done through the VDA initiative in selected pilot countries.

However, as VDA sustainability is not certain,<sup>107</sup> it was not linked to broader strategies for public sector reform and renewal.

Whenever UNDP partnered with governments or others with existing human resources, management and accountability capacity, the implementation of specific projects was much more successful. However, where countries and/or specific partners needed extensive, hands-on support in the areas of programme or project management; poverty plan formulation; conducting poverty surveys and housing censuses; or analysis of survey data and/or accountability and reporting for project results, the success rate of UNDP-funded interventions was much lower. Many countries had unfilled positions in the public sector and found it challenging to design and implement projects. Some countries' ability to access GEF funds was similarly constrained by lacking human resources and technical implementation capacity within environment-focused units. A key programme shortcoming was lack of an institutional capacity assessment tool that would enable partners to identify weaknesses and gaps that required specific capacity-building support.<sup>108</sup> There were challenges with the planning, managerial and absorptive capacity of partners that UNDP needed to address more directly in order to facilitate more effective use of available development funds, especially for countries with CPAPs.

In theory, UNDP could play more of a hands-on technical capacity-building role across many sectors, but it would require increased funding to offer any significant support. One positive example of direct capacity-building support for national implementation can be found in Saint Vincent and the Grenadines, where in 2006 UNDP hired a local project officer—on a pilot basis, using funds from the country's TRAC budget—to facilitate greater country use of UNDP resources. This was a successful initiative

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107. See 'Component 1: Public sector modernization' in Section 4.1.

108. See, for example, IADB and IDRC, 'Organizational Assessment: A Framework for Improving Performance', 2002.

that allowed UNDP to offer more direct capacity-building and management support to country implementation partners, thereby increasing effective use of TRAC resources. A similar initiative, which offered local management and implementation support during post-hurricane recovery in Grenada, was also very effective in increasing capacity-building and programme effectiveness.

## 5.5 PROGRAMME MANAGEMENT

**Main Finding: The UNDP subregional programme was generally well managed, and all UNDP personnel were found to be very professional and highly respected throughout the subregion. However, overall programme management remains hindered by several key systemic challenges, including the lack of staff and overhead resources, planning and reporting tools that are not matched to the specific needs of a subregional office, and weak monitoring and evaluation capacity.**

Although the management systems of the UNDP subregional programme office were outside the scope of the review, the ADR briefly examined how management issues affected overall development performance. There were several issues and concerns related to subregional programme management:

- The CPAPs are designed to be used to plan annual expenditures of TRAC funds and as the basis for annual review at the country level. However, the ADR found little evidence that the subregional programme consistently undertook the CPAP review process.
- According to the subregional office, and based on what could be learned by the ADR team, there was confusion about whether CPAPs needed to be prepared for countries that did not receive TRAC funds (i.e., the NCCs). Aside from the larger question of whether or not such countries warranted greater financial support from UNDP, the

absence of any formal programming document or joint agreement—even if it were not of the same level of detail as a CPAP—offered no basis for countries and UNDP to discuss and review their partnership in a structured way.

- In recent years, UNDP has made considerable effort to integrate results-based management (RBM).<sup>109</sup> As with most development agencies, the overall challenge for UNDP in RBM lies in adapting a rigorous performance-oriented model derived from the private sector to the realities of a largely demand-driven environment. There is the perception within the subregional programme that completing discrete activities and checking off boxes in UNDP headquarters' data collection instruments (e.g., result reports and ATLAS) constitutes 'managing for results'. The general weakness appears to be a lack of understanding, possibly linked to poor information or training, that as a management system RBM necessitates rigorous results definition, continuous iteration, internal critique, consultation, adaptation, learning, feedback loops and other processes linked to critical self-analysis of progress towards development results. The programme also appears to be largely activity-driven and activity-focused, making it difficult to trace the connections or linkages between discrete initiatives and among broader developmental results, especially at the outcome level.
- There is little evidence of ongoing formal programme monitoring based on the performance indicators or targets identified in the SCF and SPD. Performance monitoring at the project level appears to be sporadic, *ad hoc* and informal, such as personal discussions or occasional visits in lieu of structured monitoring exercises. The subregional office has no designated unit, role or office for monitoring and evaluation. UNDP managers

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109. See UNDP Evaluation Office 'Evaluation of Results-Based Management at UNDP', 2007.

stated that they had previously requested technical support from UNDP headquarters on these issues, but did not receive it.

- The subregional office has no central repository of information and statistics for discrete activities or projects funded under the subregional programme. There was a heavy reliance on key individuals with a long history in the programme who serve as the ‘institutional memory’ of the office, which leaves the programme highly vulnerable to loss of information. Information appears to be highly decentralized within each programme unit, and many non-project initiatives are poorly documented. Information on specific projects and the more general research or strategic documents are housed in a number of separate computers and files. For example, it was difficult for the ADR team to obtain a clear picture of the level and type of resources flowing to each country from regional programmes and in general, different areas of the programme exhibited a significant amount of fluidity in terms of how resources were categorized (for example, as an expenditure under poverty reduction or some other programme area).
- Budgetary information was difficult to link to development performance analysis of the programme. The ATLAS system for financial monitoring and reporting to UNDP headquarters in New York has been in use since 2004 and appears to have substantially improved financial monitoring for the programme as a whole. However, the ATLAS system does not appear to break the financial data down in sufficient detail—such as long-term expenditure patterns in specific countries, thematic or programme areas—to be used in ongoing programme results management. This is a key gap for the subregional programme. Consequently, this gap made it difficult for the ADR team to review programmatic cost-efficiency and to examine historical trends in the relationship of expenditures to results.
- UNDP Barbados appeared to be highly dependent on overhead or administrative funds derived from involvement in CARTAC as a major source of financial support. As such, attention to diversification of the resource base to support core office costs—in case the arrangement with CARTAC changes in future—was probably insufficient.
- Many of the centralized or generic UNDP management, RBM and performance monitoring tools available to UNDP Barbados are not easily adapted to its needs of planning and reporting on work within and across multiple countries. This creates confusion and extra work for programme managers seeking to accurately capture information about the subregional programme and report to headquarters. One specific example, the lack of advance guidance from UNDP headquarters on how to properly complete reports for a multi-country office using the standard framework for single-country reporting provided by the Multi-Year Funding Framework and the Results-Oriented Annual Report. This resulted in a number of errors that required additional work to resolve.
- In terms of efficiency, the 2006–2007 internal programme financial summary for the subregional office highlights that UNDP had some difficulties in meeting its planned expenditure targets, especially for TRAC funds. Delivery rates for 2006 core financial resources ranged from a low of 33 percent in the governance programme to 65 percent for disaster management and 77 percent for poverty reduction. Delivery rate for non-core resources in environment was 43 percent (there were no core resources in environment). Three of these rates improved somewhat in 2007 (74 percent for governance, 91 percent for poverty reduction and 99 percent for disaster management); however, expenditure rates for environment decreased to 25 percent. The fluctuations in these figures highlight the challenge of funds disbursement in a multi-country context,

where the subregional office staffing levels are low relative to the scope of work undertaken, and where there is considerable variation in the implementation and absorptive capacity of development partners at the country and subregional levels.

- As the programme grew in size, budget and expenditures over the past several years, so has the need for additional managerial, logistical and technical human-resource support within the subregional office. However, given the total size of the programme's resource envelope, funds to pay for these were not always available, either from regional programme allocations or from discrete project funds. As a result, the ADR noted very high levels of multitasking and overworking, which lead to an increased risk of staff burnout.

- The complexity of the programme demanded greater attention to compilation of summary information describing the programme's overall development effectiveness. However, no funds were available for this endeavour, despite its need in publicity, fund-raising and donor relations. Consequently, no easy-to-read brochures, performance analysis reports or publicity materials were available to demonstrate the effectiveness of UNDP work to donors and development partners.

Overall, the ADR is concerned that the human and financial resources available to the subregional office to oversee a subregional programme are not commensurate with partner and UNDP headquarters' expectations of its role. Under these circumstances, the subregional office had done a good job of balancing the many competing demands of various stakeholders within and outside the UN system.



# UNDP STRATEGIC POSITIONING

This Chapter summarizes the main findings related to the overall strategic role and positioning of UNDP in the Eastern Caribbean. Further key findings are presented to elaborate some of the initial information presented in Chapter 4 and to offer additional evidence or examples.

## 6.1 UNDP STRATEGIC ROLE

**Main Finding: UNDP plays an important broad strategic role in the subregion, because many common development concerns require a coordinated ‘big picture’ response. Despite the challenging and multifaceted development context of the Eastern Caribbean, UNDP has filled a key niche since 2001 and is well positioned—although some adjustments are needed—to continue as a lead actor on issues of small island developing states, regional economic integration, the MDGs and climate change adaptation.**

UNDP has effectively and diligently fulfilled multiple roles at different levels, often in a responsive, demand-driven manner. However, this occasionally placed high demand on the agency’s relatively limited resources and led to the perception among some stakeholders that UNDP tries to be all things to all people. International and government partners suggested that UNDP should continue to concentrate on initiatives related to broader advocacy, knowledge building, coordination or networking efforts, and that UNDP should more clearly define its niche and comparative advantage within various themes (particularly poverty reduction and reduction of social vulnerabilities) and at various levels (i.e., national, subregional and regional).

UNDP main contributions and assets include:

**Knowledge building:** Policy makers and government officials attested to the crucial role of UNDP in providing on-demand information and

creating a strong platform for multi-stakeholder knowledge sharing. Directors of planning and senior government officials offered numerous examples of seeking and receiving specific advice from respected UNDP managers, who were knowledgeable and accessible. This form of peer support, although not formally captured in the SPD, is of high importance to development partners.

**Capacity development and provision of targeted technical advice or assistance:**

Partners, particularly at the country level, repeatedly praised UNDP for its ability to provide targeted training or general and technical skills-building in areas of low human-resource capacity in the public sector, and for encouraging partners to carry out training needs analyses. Most key partners firmly identified UNDP as the go-to agency for training or capacity development at many different levels, with a particular focus on social and human development issues, including poverty and social exclusion of key groups such as women and the poor.

**Advocacy:** Stakeholders viewed UNDP as playing a vital advocacy role at two distinct levels: on behalf of specific government ministries with senior elected officials and on behalf of vulnerable groups in society with government as a whole. The agency’s perceived neutrality and its reputation of an honest broker enabled it to raise sensitive issues and lobby for the implementation of new and relevant ideas for social development with governments and donors. Partners stressed the importance of the UNDP role in poverty reduction and social inclusion as an integral part of sound and sustainable economic growth in the subregion. During crisis situations in particular—for example, in the aftermath of Hurricane Ivan in Grenada—UNDP encouraged elected officials to broadly consult with their constituents to define development needs and priorities.

**Resource leveraging and mobilization:** UNDP had done a good job of leveraging additional donor funds for development. For example, in the case of CARTAC and SPARC, UNDP helped leverage new regional multi-donor cost-sharing arrangements. Some development partners referred to the “catalytic effect” of UNDP in mobilizing resources on behalf of national partners, while others noted that UNDP retained its visibility and prominence not only due to the amount of resources it offered or was able to raise, but also because of its strategic and diplomatic role.

**Leadership, consultation and partnerships:** Stakeholders identified the UNDP ability to advocate for development partners as an asset for the subregional office and for helping build the leadership capacities of key subregional institutions, such as the OECS Secretariat and CDERA. The credibility of the former Resident Representative and senior UNDP staff was a major factor in the degree of trust accorded to the agency. Stakeholders also commended the agency’s ability to increase donor harmonization, convene dialogue on key policy and practical issues among national and regional partners at all levels—for example, through its involvement in the ECDG/DM working group—and lead sensitive multi-stakeholder consultations, as was the case of anti-corruption work. In addition, national counterparts complimented UNDP sensitivity to country-driven approaches and its role in convening and leading discussions about the MDGs, regional integration and constitutional reform.

**Crisis management, coordination and long-term reconstruction:** UNDP offered constructive support to other agencies in their response to the major hurricanes of the past several years, with noteworthy activities in follow-up, disaster preparedness and ongoing capacity-building for disaster mitigation. Most notably, UNDP demonstrated its strong commitment to long-

term development and reconstruction efforts linked to poverty reduction—for example, by supporting a community-based livelihoods projects in Grenada after Hurricane Ivan. Stakeholders viewed the UNDP role as crucial to creating a coordinated response and finding long-term solutions that would help mitigate or prevent some disasters from taking place in future. The agency’s support to CDERA in building stronger regional and country monitoring and response systems to mitigate the long-term risks of natural disasters was considered as extremely important.

## 6.2 UNDP AND NET CONTRIBUTOR COUNTRIES

**Main Finding: Due to their unique needs and the lack of a clear strategy and framework for cooperation, UNDP faced challenges in working with Net Contributor Countries. Inadequate engagement with NCCs on a strategic level, needed to promote South-South cooperation and knowledge exchange in particular, was a missed opportunity. There remains considerable potential to create more synergies between NCCs and non-NCCs under the subregional programme umbrella.**

All countries that fall within the UNDP Eastern Caribbean programme are classified as either high- or middle-income. As noted in Section 3.2, half of these countries are now officially considered to be NCCs. At the corporate level, UNDP recently established a high-level task force on NCCs to examine how it should proceed in working with such countries.<sup>110</sup> The task force found that UNDP policies and operational guidelines for making the transition to NCC status are not clearly defined, and that there is sound strategic and development rationale for UNDP to continue working in most upper-middle-income and some high-income countries.

Overall, it is difficult to accurately depict small island states’ risk of suffering economic or development reversals due to the relative and absolute size of their economies, as well as

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110. Thierry Lemaesquier, ‘Task Force on UNDP’s Role in Middle-Income and Net Contributor Countries, Context and Options: Contribution to a Strategic Policy Approach’, report for UNDP, March 2008.

uncontrollable external factors (e.g., climate change). All national and subregional stakeholders were concerned that the standard economic indicators used to describe the Eastern Caribbean did not accurately reflect their reality and, in fact, created a distorted external view of the current development situation. There is no doubt that these countries have made substantial economic and social progress in recent years, but their situation as SIDS adds further development challenges that must be taken into consideration by donors, subregional and regional institutions and the countries themselves when planning and implementing change strategies.

The NCCs in the Eastern Caribbean are in a special situation. While they are no longer eligible to receive TRAC funds, they also appear to be in the difficult position of losing crucial financial and strategic development support while transitioning towards more stable economies. For example, the subregional countries considered as both high-income and upper-middle-income are all SIDS, and their economies are not yet diversified enough to decrease their vulnerability to major economic or climate shocks. These challenges are not accurately reflected in current development indices that use income rankings alone as the main criteria for placing countries in the NCC category.

Both national and subregional NCC stakeholders expressed strong concerns about the lack of a clear understanding about the implications and practical meaning of their NCC status; many were sceptical. Specifically, government representatives in Anguilla, Antigua and Barbuda, Barbados, the British Virgin Islands, and Saint Kitts and Nevis expressed apprehension about the loss or decline of direct project support and consistent dialogue with UNDP. Similar concerns were expressed by sources from Montserrat; the country is no longer eligible to receive UNDP TRAC I or II funds, and yet its emergency situation appears to warrant a stronger response.<sup>111</sup>

Stakeholders in all NCC countries expressed concerns to the ADR team that their relatively high economic status—according to standard statistical indicators—was not an accurate reflection of their reality as SIDS, where many unforeseen circumstances might cause them to slip back to a lower economic status. Interviewees felt that some targeted financial and technical support was still needed from UNDP to diversify and stabilize subregional economies, as well as to continue building governance capacities and strengthening disaster preparedness and climate change adaptation.

Government officials in the three British Overseas Territories of Anguilla, British Virgin Islands and Montserrat were particularly eager to increase regular contact with UNDP for knowledge sharing and networking. They were cautious about approaches that appeared to put them in the position of contributing more than they would be receiving, but they did, however, express the desire to continue to participate in the subregional programme—as long as there was a stronger framework for cooperation between UNDP and themselves. Barbados officials also expressed interest in more exchanges among NCCs around moving to a knowledge-based economy, which they said might be fruitfully brokered by UNDP.

Overall, UNDP had missed some crucial opportunities to effectively position itself in a manner necessary to proactively and creatively engage with the subregion's NCCs. The most important ADR finding was that little or no headquarters guidance had been provided to UNDP Barbados in order to assist in developing a more consistent approach to working with NCCs. Furthermore, virtually no opportunities had been provided for UNDP and NCCs to discuss, as a group, how to cooperate most effectively in context of the unique role and status of NCCs in the subregional programme.

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111. As noted, it has already received a small amount of TRAC III funds from UNDP.

### 6.3 UNDP PARTNERSHIPS

**Main Finding: UNDP had strong partnership arrangements with the main local stakeholders and effectively supported national ownership. UNDP and its partners demonstrated an extremely high level of dialogue, consultation, respect for differing viewpoints, interchange and information sharing, both formal and informal. However, there were gaps in building and maintaining strategic partnerships with the private sector, NGOs and NCCs.**

In general, equitable and transparent partnerships were in place to support UNDP work. In turn, UNDP was instrumental in supporting enhanced partnership and economic integration efforts in the Eastern Caribbean. International donors, UN agencies, the OECS Secretariat, governments, and many civil society and non-governmental organizations—to the limited extent that UNDP worked with them—were largely very complimentary about the ability of UNDP to stay connected and ask for stakeholder input and participation on key issues. At the subregional level, the partnership with the OECS Secretariat was very strong and involved extensive communication and joint coordination of activities. UNDP was also at the forefront of improved partnership and harmonization arrangements among donors, both within the UN system and with other agencies.

International partners and country governments described missed opportunities for better integration of the strengths and expertise of donors and UN agencies in the planning and implementation of subregional projects and joint UN programming. Harmonization of the programming cycles of all UN agencies, as well as stronger communications and coordination under UNDAF after 2012, will continue to improve this situation—but there are still substantial challenges to making this work in reality. Stakeholders noted that additional effort was needed to develop stronger and more transparent joint donor programming frameworks at the country and subregional levels. Some cited Grenada's Sustainable Livelihoods Project—which was a collaborative effort under

UNTFHS and with UNDP leadership and management—as a strong example for multi-agency cooperation that demonstrated the positive effects of a concrete partnership. However, it also highlighted the substantial transaction costs and challenges involved in creating a coordinated multi-country response.

Government representatives interviewed for the ADR were pleased about the UNDP partnership approach and the way in which it stressed equity with its partner countries. Officials deemed the overall UNDP commitment to fostering the CSME and improved country ownership in line with the Paris Declaration to be consistent and strong.

Challenges cited by UNDP partners included inadequate consultation in setting of deadlines, lack of attention to specific events that were taking place within countries (which resulted in unreasonable time-frames for delivering project outputs), receipt of last-minute invitations to training or capacity-building workshops and unannounced appearances of UNDP personnel for monitoring visits. These and other concerns highlight the continuing challenge of achieving an adequate balance between donor-driven and country-demand-driven approaches to programming. In addition, the consistently low contributions of national governments to general office expenses for the UNDP subregional programme illustrate the challenges UNDP faces in ensuring the programme's relevance and visibility to lead national stakeholders such that they are willing to contribute to some of its core operating costs.

The ADR found partnerships with the private sector, NCCs and NGOs to be weak UNDP areas needing a new and more explicit strategy. There were missed opportunities to support governments and NGOs in conducting additional private-sector lobbying to invest in social development opportunities and to help governments reduce vulnerability to climate change. In addition, NGOs needed further advocacy support to improve their relationships with governments. As noted in Section 6.2,

UNDP needs to develop additional strategic and innovative partnership arrangements with NCCs, in order to increase effectiveness of linkages and knowledge-based programme delivery opportunities that would allow sharing of socio-economic development ideas and lessons among NCCs and between NCCs and other countries.

## 6.4 UN COORDINATION

**Main Finding: The UNDP role in coordinating the UN response in the subregion was largely positive and constructive. It centred on effective planning and implementation of UNDAF and country-level coordination and harmonization efforts, with hurricane relief cited by stakeholders as the best example of effective UNDP leadership. However, challenges persist in developing an appropriate strategy for multiple agencies to work together across a number of diverse countries, and the UNDAF process still needs considerably more attention.**

Major subregional stakeholders, including country partners, currently view the UN role in a very positive light; however, some national counterparts remain concerned that coordination among UN partners is not always as effective as it should be. The subregion is very well covered by the UN in a wide variety of sectors—including agriculture, education, gender, health, HIV/AIDS, poverty and youth—but coordination remains a challenge given the large number of countries. Many UN agencies' Barbados offices service the entire subregion and, therefore, operate in a similar manner to UNDP, needing to link with multiple governments and partners. Some UN agencies, such as the International Fund for Agriculture and Development, do not have local offices and can potentially benefit from the field presence of UNDP, as is the case of the new CARUTA project.

UN agencies interviewed for the ADR were highly complimentary of the UNDP coordination role in the UN system and commended the Resident Representative for having spearheaded many effective inter-agency relationships and initiatives. The role of the UNDP Resident Representative as the UN Resident Coordinator

was considered to be an important factor in creating a strategic and unified presence for the UN system with subregional governments and development partners. However, the ADR team observed that this multifaceted programme implementation role of UNDP was also a challenge, in that it had to engage effectively over a much wider range of topics, development themes and issues than most other UN agencies, thus placing an enormous strain on programme staff and resources.

The complexities of joint UN programme planning and delivery continue to be quite daunting, even though much progress has been made to date, partly due to UNDP leadership. There are still constraints based on regulatory frameworks and administrative policies for different agencies that have to be resolved at the headquarters level. The UNDAF process remains hindered by slow commitment to a unified work plan and budget, as well as by the difficulty of setting realistic multi-agency targets and objectively measuring and monitoring overall UN effectiveness. Interviewees from UN agencies suggested there was room for greater collaboration, supported by appropriate resources to ensure accountability of the collaborators to the UNDAF as a whole. Bilateral development partners interviewed for the ADR were generally more critical of UN coordination efforts than others, but they also noted that coordination had gradually improved and that UNDP had made positive contributions to this process.

The donor trend away from country-specific to regional programming was clearly reflected in the UN system change to a unified subregional approach. However, UN agencies, including UNDP, face the continuous challenge of balancing a multi-country and multi-layered development strategy with the recognition that there is no one size fits all solution. While each country faces many similar threats and challenges, there are substantial differences in the level of human development, population, size of the economy, income, infrastructure and many key social indicators. UNDP and many other

agencies within and outside the UN system face the challenge of simultaneously maintaining presence, dialogue and networking at the national, subregional and regional levels. However, in spite of these logistical and partnership challenges for day-to-day work, from a coordination perspective stakeholders viewed the UN multi-agency response to the 2005 hurricane in Grenada and other smaller-scale weather events as having been quite effective and yielding a number of best practices.

Other ongoing challenges include the need to coordinate programme delivery responsibilities and roles at different levels among and within UN agencies, in order to avoid confusion and

overlap. For example, the UNDP Regional Bureau for Latin America and the Caribbean and the subregional office of UNDP Barbados must continuously coordinate communications and interactions with key regional and subregional stakeholders in order to manage interconnected programmes carried out simultaneously at different levels. Although this has been done quite effectively, according to CARICOM and other stakeholders, the relatively high transaction costs related to such coordination had to be absorbed by available UNDP subregional programme management budgets, as no resources were allocated for UNDP Barbados to work at the higher regional level.

## Chapter 7

# CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS

The final Chapter summarizes the main conclusions from the ADR, followed by specific recommendations for consideration by UNDP. Given that conclusions are only meant to be a general overview of the programme, note that conclusions and recommendations do not correspond on a one-to-one basis. Lessons learned are intended to be generalized to the broader programme and/or organizational context, if applicable. Recommendations are aimed at addressing the main challenges identified in the previous sections in order to strengthen UNDP contribution to national and subregional development results. They are presented in such a way as to help the main stakeholders generate further multi-stakeholder consultations, leading to options or alternatives for programme improvement.

### 7.1 MAIN CONCLUSIONS

**Conclusion 1: Given the complexity of the Eastern Caribbean subregional context, the situation can be characterized as a ‘development paradox’.**

The development paradox for the Eastern Caribbean revolves around the fact that most countries in the subregion have achieved and/or maintained relatively high levels of GDP per capita and economic growth, financial prosperity, political stability and infrastructure development, while at the same time there remains considerable poverty, under-employment, institutional capacity weaknesses, and gender and social inequities. Moreover, rising fuel and food costs, weak government accountability, poor overall economic diversification, poor distributive mechanisms within societies and vulnerability to extreme weather events and climate change point

to the many pressing and sensitive challenges that face the subregion in balancing prosperity and risk. Overall, all major development stakeholders (including UNDP) agree (and the ADR concurs) that the region and subregion need a more nuanced classification of countries to depict the special circumstances and vulnerabilities of small island developing states.

**Conclusion 2: UNDP has a commendable programme with a strong profile and reputation. However, although many useful short-term results (i.e., outputs) have been achieved, including good contributions to country-level and subregional development objectives, only moderate progress has been made towards longer-term development results (i.e., outcomes) in the programme plan.**

The ADR documents many strong features of the UNDP subregional programme. UNDP was quite successful in maintaining its relevance over time, responding to evolving partner needs and maintaining key partnerships. Due to the development paradox noted in conclusion 1, national stakeholders (including NCCs) considered the presence of UNDP to be very important in highlighting the considerable remaining economic disparities and vulnerabilities among and within countries in the subregion. In general, UNDP is highly respected by stakeholders and partners due to its consistent focus on improving human and social development in the Eastern Caribbean. Social policy analysts and public sector managers at different levels said that they depended on UNDP to advocate on their behalf with politicians and policy makers regarding the importance of ensuring equitable and sustainable economic growth through the continued integration of social protection and anti-poverty measures.

At a broader level, in order to maximize the synergies inherent in proactively linking development concerns at the national, subregional and regional levels, the ADR concluded that an overarching subregional programme framework (as opposed to a multi-country approach where each country is dealt with separately) appeared to be fully justified.

However, the ADR concluded that the overall development performance and effectiveness of the subregional programme varied, especially in terms of the degree to which long-term, measurable and sustainable results were achieved. While many short-term results were achieved, the level of outcome progress appeared to be less than expected for a programme more than halfway through its cycle. The following details can be noted:

- A combination of qualitative and document-based evidence collected through the ADR revealed generally good progress at the output level of the UNDP SPD.<sup>112</sup> The ADR concluded that specific regional investments made by UNDP via non-core or leveraged funds, CARTAC and Support for Poverty Assessment and Reduction in the Caribbean, were producing some immediate benefits in terms of contribution to development results for both countries and for subregional institutional partners. Key immediate effects included: institutional capacity development for the OECS Secretariat; knowledge exchange among stakeholders on poverty and social development issues; research/statistical skills for poverty monitoring; and enhancement of policy/advocacy expertise for social development.
- Progress towards broader subregional development outcomes as formulated in the UNDP SPD was much more difficult to judge with the available evidence, and the level of outcome achievement appeared to be relatively modest.

It was not always evident to the ADR team how some of the discrete development activities and outputs noted above coalesced to support achievement of the stated long-term outcomes. This analysis, however, must also take into account the challenges inherent in the subregional development context and the long learning curve associated with a somewhat experimental approach to implementing a subregional programme in 10 countries over four programme areas with relatively limited resources.

- Given the above analysis, the ADR concluded that there were limitations on overall development effectiveness of the subregional programme due to a lack of coherence in terms of which specific investments to support, for how long, with which partners, and at what levels (i.e., up- or downstream). There appeared to be low likelihood of sustainability of results for some UNDP-funded initiatives due to the lack of clear exit strategies to ensure that development activities continued after UNDP intervention ended. In terms of overall programme efficiency, there appeared to be some past challenges with UNDP capacity to disburse funds in a timely manner, due to low absorptive capacity in some countries receiving TRAC funds, programme understaffing and inadequate programme management resources. Some of these problems have been largely addressed from an administrative perspective, but they still require attention in order to ensure that available funds are being deployed in the most timely, effective, strategic and sustainable manner possible.
- It should also be noted that the original results framework for the SPD lacked precise definitions of outcomes and clear distinctions between outcomes, outputs and indicators. In addition, there was poor formulation,

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112. Under a results-based management approach, the degree of output achievement (measurable progress towards immediate products, services or deliverables) usually indicates that some progress is being made towards outcomes (medium- to long-term development change at an institutional, organizational and/or societal level). See also Tables 7 through 10 in Section 4, which provide a summary of programme performance in relation to the original Subregional Cooperation Framework and subregional programme document results for each sub-programme area.

lack of testing/verification and inadequate subsequent use of indicators in regular performance monitoring.

**Conclusion 3: The comparative advantage of UNDP is related to addressing social development issues across the subregion, mainly in the broader upstream areas of leadership, policy consultation, advocacy, technical capacity development and networking.**

This comparative advantage exists mainly in the context of the geographic scope of the subregion and the difficulty of working in depth on a country-by-country basis with limited programme resources. Effective examples of this type of broader support were observed in the work with the OECS Secretariat and with the SPARC project (a best practice for direct UNDP engagement with cross-cutting regional and subregional social policy issues related to addressing the roots of poverty).

A complete withdrawal from direct implementation within countries (i.e., downstream initiatives) could lead to a decline in visibility—one of the factors underlying UNDP credibility in some areas. However, too much involvement in direct project support in small countries did not seem feasible given the large number of countries, their widely differing development status and the relatively small amount of available resources. In most cases, strategic leveraging of resources or cooperative arrangements with agencies that have appropriate expertise in community implementation would be more appropriate, as UNDP must guard against the risk of getting drawn into initiatives in which it cannot maintain a steady presence or is unlikely to contribute to long-term, sustainable results.

**Conclusion 4: There appeared to be missed opportunities for UNDP in terms of establishing more effective development partnerships with NCCs, non-governmental organizations and the private sector.**

The missed opportunities with NCCs were related to the potential ability of these countries to contribute more fully to the subregional

programme (not only monetarily, but also in knowledge sharing). The subregional approach to development gives UNDP an opportunity to capitalize on South-South knowledge exchange opportunities and potential synergies available where countries are at different levels of economic growth and development. Examples include building stronger linkages between NCCs and non-NCCs in order to share expertise about the challenges facing emerging knowledge-based economies and SIDS at varying development stages. UNDP also lacked a clear strategy for consistently engaging with non-governmental organizations and the private sector in support of planned development results.

**Conclusion 5: There were weaknesses in UNDP subregional programme management systems.**

The following points were noted by the ADR:

- There was a marked absence of adequate internal monitoring and evaluation across the programme. This was especially noticeable in terms of critically measuring and analysing progress towards overall planned development results on an ongoing basis, as well as in linking the rate of ongoing programme expenditures and human resource investments to cumulative results performance.
- Lack of available overheads from project-based work for the subregional office appeared to lead to chronic understaffing, overwork and unsustainable multitasking on the part of staff. It does not appear that current management and administrative resources are adequate to support the range of demands UNDP headquarters and others placed on the subregional office, taking into account the multi-country, multi-level and multi-partner programme situation.
- The financial sustainability of the subregional programme appeared to need more attention, given the UNDP subregional office's dependence on a single cost-sharing arrangement for one large regional initiative (CARTAC). Paradoxically, however, given the relatively small monetary size of the programme, the limited availability of

development funds in the subregion, and the relatively low profile of this subregion within UNDP and the development community, it may be difficult to advocate for increased overheads without first more thoroughly documenting the programme's accomplishments and the subregion's needs.

- There were no linkages made by the programme between critical review of progress towards development results and ongoing tracking of resource expenditures. Therefore, it was impossible for the ADR to accurately judge overall cost-effectiveness or cost-efficiency of the subregional programme.<sup>113</sup> There was evidence that expenditure rates were relatively consistent over time and that they met planned disbursement targets, in spite of some challenges noted earlier regarding under-expenditure of TRAC funds at the country level during 2006 and 2007. The ratio of programme to overhead expenditures was relatively stable (averaging around 15 to 20 percent), and appeared to be justified given the complex nature of the subregional programme arrangements. However, a full value-for-money analysis could not be derived from the available information.

## 7.2 RECOMMENDATIONS

**Recommendation 1: The UNDP subregional programme should focus its priorities on upstream initiatives (e.g., policy, advocacy, multi-stakeholder coordination, networking, knowledge brokering and capacity building) that will concretely address broad underlying issues, particularly related to poverty and social vulnerability in the Eastern Caribbean as a key development theme.**

This approach should build on increased consultations with partner countries and institutions to ensure that ways are found to 'knit together' their multiple concerns into overarching upstream initiatives that attempt to address the underlying capacity, policy and/or advocacy issues related to poverty, social exclusion and marginalization for vulnerable groups in the entire subregion. An upstream approach would not exclude work on selected downstream activities at the country level, but these activities should be carefully chosen. An enhanced focus on social vulnerability reduction at various levels should involve strategically addressing both climate change adaptation and SIDS issues at broader policy and advocacy levels, as well as linking this with enhanced promotion and use of the subregional Human Development Report and continued focus on the importance of customizing the Millennium Development Goals in the subregion and at the country level.

**Recommendation 2: The UNDP subregional programme should increase its focus on South-South cooperation and define a clear action plan for implementing and measuring the effects of these activities in a more systematic way in order to build on the inherent opportunities for enhanced South-South knowledge exchange, particularly between NCCs and non-NCCs.**

This could include improved and increased systematic strategies for South-South exchanges of expertise and lessons on pressing social vulnerability and environmental issues (such as climate change adaptation) among stakeholders within the Eastern Caribbean, the broader region, and beyond.<sup>114</sup>

**Recommendation 3: The UNDP subregional programme should increase consultation with, as well as revise, update and expand its relation-**

113. Cost-effectiveness involves calculating the overall cost of outcomes and then dividing them by the changes obtained (as measured in 'natural units', such as the type or number of completed activities or beneficiaries reached). Cost-efficiency calculation replicates this at the output level. Value-for-money is then based on analysing the rationale or relevance of a programme (i.e., 'value'), in relation to its 'net impact' (measured both qualitatively and quantitatively). Source: Dr. Gary Mason, PRA Inc. and University of Manitoba (September 16th, 2008, personal communication).

114. As part of the process of defining a stronger strategy for South-South cooperation, the subregional office could also forge stronger linkages with the Special Unit for South-South Cooperation at UNDP headquarters.

**ships with NCCs in order to maximize emerging opportunities for upstream, knowledge-based programming involving countries at this stage of development.**

Increased engagement and consultation with NCCs in particular should involve more regular interchanges, as well as piloting the development and use of more formalized country partnership frameworks as the basis for ongoing cooperation and joint performance review. At the corporate level, there is the potential for the Eastern Caribbean to become a pilot area for UNDP in terms of experimenting with new programme modalities for Small Island Developing States–Net Contributor Countries globally.<sup>115</sup>

**Recommendation 4: UNDP should strengthen its partnerships with the private sector as well as play a more proactive advocacy role in linking government, the private sector and NGOs on a range of environmental, social and climate change adaptation issues.**

Specific areas where UNDP should play a more proactive role in forging public-private partnerships include helping governments negotiate better terms for the exploitation of natural resources, helping governments lobby for more private-sector investment in environmental or climate change projects, and encouraging stricter adherence to building codes, construction standards and coastal land-use policies. A clear strategy should also be formulated for working with NGOs in order to strengthen their public accountability role with government.

**Recommendation 5: The subregional office should develop a detailed resource mobilization strategy with specific targets and timelines.**

The strategy should help the subregional programme achieve a more diversified financial base and reduce its dependence on one key regional initiative. The subregional office should work with UNDP Headquarters (the Regional

Bureau for Latin America and the Caribbean and the Partnership Bureau) to develop the strategy.

**Recommendation 6: UNDP should integrate climate change adaptation as a cross-cutting issue across all programme areas.**

Given the importance of climate change adaptation to the subregion and the need for further reduction of SIDS vulnerability factors related to weather or environmental disasters, this issue should be fully mainstreamed as a cross-cutting theme across all areas of the subregional programme. UNDP should explicitly articulate (either in the current or new Subregional Programme Document) how these new climate change initiatives will complement and enhance its broader strategic advocacy role in human and social vulnerability reduction. Specifically, UNDP should lobby stakeholders to provide more commitments to address areas of vulnerability unique to SIDS in terms of both disaster mitigation and longer-term structural adaptation.

**Recommendation 7: UNDP should help convene and coordinate key stakeholders in order to support the creation of a standardized vulnerability analysis tool or index that can be used to more accurately describe and rank the countries of the Caribbean, especially Small Island Developing States–Net Contributor Countries.**

Key stakeholders in ensuring a stronger focus on accurately mapping SIDS issues include the Caribbean Community, the Eastern Caribbean Donor Group, the OECS Secretariat and the United Nations Economic Commission for Latin America and the Caribbean. Developing better vulnerability analysis for SIDS would not only make a strong strategic contribution to improved development planning through enhanced assessment of development status, risk factors and where to provide targeted assistance, but also contribute to the global strategic agenda on SIDS and improve the overall Human

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115. In order to support this, closer links would need to be forged with the UNDP Pacific Islands programme in order to share experiences and strategies for working more effectively with SIDS.

Development Index incorporation of and classification for SIDS.<sup>116</sup>

**Recommendation 8: UNDP headquarters should formally designate UNDP Barbados as a subregional office (with an appropriate name such as 'UNDP Eastern Caribbean') rather than as a country office, and should work closely with the Resident Representative and senior managers in order to develop a customized management strategy and set of procedures or tools that are better suited to the special requirements of this type of office.**

At the corporate level, this process of developing more appropriate management tools for the subregional office could become a pilot to determine how UNDP could best support and expand the role of other subregional programmes and offices on a global level.

**Recommendation 9: The overall coherence and results focus of the subregional programme should be improved by strengthening the capacity of the subregional office to utilize results-based management and by ensuring that all funded initiatives clearly contribute to achievement of longer-term programme outcomes, with priority given to upstream policy/advocacy objectives.**

In line with select recommendations made in a recent management audit of UNDP Barbados, activities are recommended in several key areas in order to lead to greater developmental effectiveness and improved results achievement, including: provision of results-based management training for a clearer understanding of activities, outputs and outcomes; revision/review and updating of the Subregional Programme Document in order to create more precise results

statements and indicators; careful design of the new SPD (post 2012) to ensure improved results and indicator precision; creation of a strategy and a designated role/unit in the subregional office for results-based monitoring and evaluation; and enhanced documentation of results and achievements through the creation of a centralized project inventory and programme performance summary dating back to 2000.<sup>117</sup> In addition, there should be increased rigor and selectivity regarding involvement in discrete, one-off and/or pilot projects and more careful attention paid to distinguishing between completion of short-term activities and progress towards long-term development results. When these projects take place, UNDP should ensure it carefully documents lessons and results from these experiences for use in future programme planning and implementation.

**Recommendation 10: Well-defined sustainability strategies should be incorporated into every subregional programme initiative.**

The sustainability strategies should include a UNDP exit strategy and explicit capacity building aims for key partners who will assume responsibility for maintaining or expanding progress towards developmental results initiated with UNDP support.

**Recommendation 11: UNDP should selectively increase its on-the-ground presence in countries receiving target for resource assignment from the core (TRAC) funds, at least on a short-term or temporary basis, in order to build technical and implementation capacity within countries.**

Placement of UNDP project officers at the country level would improve the planning,

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116. Both the United Nations Economic Commission for Latin America and the Caribbean and the OECS Secretariat (via work done on the first OECS Human Development Report) are committed to developing more accurate tools for broader vulnerability analysis for the region and subregion. At a much broader level, the Committee for Development Policy of the UN Economic and Social Council has also been involved in the development of an economic vulnerability index as one of the criteria for improved classification of least developed countries. With UNDP encouragement, a Caribbean-based vulnerability index could combine these initiatives under one umbrella and incorporate a number of variables, such as fluctuations in gross national income/gross domestic product, food and fuel prices, poverty rates, MDG-based social indicators, natural/technological disaster and/or emergency-related risks or capacities (as captured by vulnerability and capacity assessments), to more accurately illustrate the unique development challenges facing Caribbean nations.

117. This would enhance corporate memory and improve ongoing documentation and retrospective performance analysis, and would assist the subregional office better market its accomplishments for fund-raising and donor relations.

implementation and performance monitoring of country-level initiatives, improve specific technical assistance to help build government planning and absorptive capacity, and would increase the likelihood of effective linkages being made with upstream activities. Placement should also directly build country partner expertise in programme management and ensure the sustainable transfer of technical skills.<sup>118</sup>

### 7.3 LESSONS LEARNED

The following lessons (both developmental and operational) can be derived from the ADR for wider application by UNDP:

- **Limitations on the utility of standard country ranking systems.** While country gross domestic product/gross national income and human development index rankings are useful, the situation of SIDS requires a sensitive and specialized approach. The tools appear to be lacking to accurately capture the unique development status of many countries, especially in terms of climatic, human and/or economic vulnerability.
- **Value-added of a subregional programme approach.** Integration of regional and
- **Specialized or unique programme structures may require extra corporate investment.** Efficiencies can be created through the use of multi-country or subregional offices within UNDP. However, as demonstrated in UNDP Barbados, special management attention and inputs are required to help adapt generic programme tools and systems to individual requirements. In addition, so-called ‘pilots’, such as the launch of a subregional programme in the Eastern Caribbean in the early 2000s, may require more hands-on management support from headquarters than originally anticipated.

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118. At the time of finalizing the ADR report, it was learned that a new initiative is now under way in the Pacific Islands, where UN Joint Country Presence Offices (representing multiple UN partners, including UNDP) are in the process of being set up in select countries. UNDP Barbados should learn more about this initiative to determine if such a model can be applied in the Eastern Caribbean, and should open a dialogue with other UN agencies regarding the possibility of establishing similar joint UN subregional programme delivery and oversight structures under the new United Nations Development Assistance Framework.



# TERMS OF REFERENCE

## 1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations referred to as Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP contributions to development results at the country level. ADRs are carried out within the provisions of the UNDP Evaluation Policy.<sup>119</sup>

The overall goals of an ADR are to:

- Support greater UNDP accountability to national stakeholders and provide substantive support to the Administrator's accountability function in reporting to the Executive Board partners in the programme country;
- Serve as a means of quality assurance for UNDP interventions at the country level; and
- Contribute to learning at the corporate, regional and country levels.

In 2008, the EO plans to conduct an ADR in Barbados and the UNDP Multi-island Programme for the Organisation of Eastern Caribbean States (OECS). This ADR will contribute to a new subregional programme, which will be prepared by the subregional office and national stakeholders.

## 2. BACKGROUND

Most ADRs are conducted at the country level; however, since 2001, UNDP has taken a subregional approach to the 10 countries that make up Barbados and OECS. Rather than individual programme instruments, this provides a single subregional programme document. Table 1 sets out the broad areas of focus of the two subregional programmes under review (2001–2003 and 2005–2009).

Despite having geographic proximity and an island status in common, the countries of the subregion vary significantly in a number of ways. Populations range from over 280,000 in Barbados to less than 10,000 in Montserrat,<sup>120</sup> according to July 2007 estimates. Three of the countries have high human development ranks, while four are in the medium human development category.<sup>121</sup> Politically, Anguilla, the British Virgin Islands and Montserrat are British Overseas Territories,<sup>122</sup> with the United Kingdom bearing responsibility for foreign affairs.

UNDP classifies Anguilla, Antigua and Barbuda, Barbados, the British Virgin Islands, and Saint Kitts and Nevis as Net Contributor Countries (NCCs).<sup>123</sup> As such, these countries receive no regular national programming resources from UNDP. The remaining countries and territories receive core programming resources, which are

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119. <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>

120. An estimated 8,000 refugees left the island following the resumption of volcanic activity in July 1995; some have since returned. See [http://www.oecs.org/membs\\_monst.html](http://www.oecs.org/membs_monst.html).

121. The UNDP Human Development Reports do not capture data from the three British Overseas Territories.

122. British Overseas Territories are independent in their interior policy, while the United Kingdom bears responsibility for foreign affairs, *de facto* the local Governor General. These countries are part of Great Britain, but not of the European Union (EU). Nevertheless, they can benefit from EU structural funds.

123. NCCs are countries that have a per-capita gross domestic product of above US \$4,700.

Subregional Cooperation Framework 2001–2003	Subregional Programme Document 2005–2009
Employment creation	Governance reform and institutional development
Social policy and development planning – poverty eradication	Poverty and social sector development
Integration and cooperation among the OECS countries	Capacity enhancement for sound, integrated environmental and natural resource management
	Risk reduction and disaster management (pre- and post-disaster)

subsequently pooled within the subregional programme. In addition to core UNDP funds, the subregion relies heavily on the UNDP Caribbean Multi-Island Programme and a number of other large regional programmes that cover countries in the larger Caribbean region. The programme is managed by a single Subregional Office in Barbados.

The UNDP programme in Barbados and the OECS has been selected for an ADR for a number of reasons. First, the near completion of the 2005–2009 Country Cooperation Framework (CCF) presents an opportunity to evaluate the achievements and results over the current and previous programme cycles and incorporate these lessons into the formulation of the next programme cycle. Second, at the corporate level UNDP is examining its role in middle-income countries and NCCs and this evaluation can provide an important input into the process of developing an appropriate corporate strategy for engaging with such countries. Third, UNDP rarely uses a subregional approach, and this evaluation provides an opportunity to learn from implementation for possible replication elsewhere as appropriate.

### 3. OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the Barbados and the OECS ADR are:

- To provide an independent assessment of the progress, or lack thereof, towards the expected outcomes envisaged in UNDP

programming documents. Where appropriate, the ADR will also highlight unexpected—positive or negative—outcomes and missed opportunities;

- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context; and
- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for UNDP management to make adjustments to the current strategy and the next subregional programme.

The ADR will review the UNDP experience in Barbados and the OECS, as well as the agency’s contribution to solving social, economic and political challenges. The evaluation will cover the 2001–2003 and 2005–2009 country programme cycles. Although it is likely that greater emphasis will be placed on more recent interventions (due to greater availability of data), efforts will be made to examine the development and implementation of UNDP programmes since the start of the period. The identification of existing evaluative evidence and potential constraints (e.g., lack of records or institutional memory) will occur during the initial Scoping Mission (see Section 4 for more details on the process).

The overall methodology will be consistent with the EO ADR Guidelines of January 2007. The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities, specifically examining the UNDP contribu-

tion to national development results across subregional countries. Factors assessed will include key results, specifically outcomes (anticipated and unanticipated, positive and negative, intentional and unintentional), and UNDP assistance funded by core and non-core resources.

The evaluation has two main components: analysis of development outcomes and review of UNDP strategic positioning.

## DEVELOPMENT RESULTS

The assessment of development outcomes will entail a comprehensive review of the UNDP programme portfolio during the two programme cycles. This includes an assessment of: development results achieved and UNDP contribution in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (e.g., UNDP positioning and capacity, partnerships, and policy support); UNDP achievements, progress and contribution in practice areas (both in policy and advocacy); and the crosscutting linkages and their relationship to the Millennium Development Goals and the United Nations Development Assistance Framework. The analysis of development results will identify challenges and strategies for future interventions.

In addition to using available information, the evaluation will document and analyse achievements in view of intended outcomes, as well as the linkages between activities, outputs and outcomes. The evaluation will qualify the UNDP contribution to outcomes with a reasonable degree of plausibility. There is a core set of evaluative criteria related to the design, management and implementation of UNDP interventions at the country level; additional criteria may be added during the inception phase of this evaluation, as required. Core criteria include:

**Effectiveness:** Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should the programme

continue in the same direction, or should its main tenets be reviewed for the new cycle?

**Efficiency:** How well did UNDP use its human and financial resources in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country and subregional context?

**Sustainability:** Is the UNDP contribution sustainable? Are the development results achieved through such contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

Special efforts will be made to examine the UNDP contribution to capacity development, knowledge management and gender equality.

## STRATEGIC POSITIONING

The evaluation will assess the strategic positioning of UNDP from both its own perspective and that of each country's development priorities. This will entail: i) a systematic analysis of the UNDP place and niche within the development and policy space in Barbados and the OECS; ii) the strategies used by UNDP Barbados and the OECS to strengthen the UNDP position in the development space and create a position for the organization in its core practice areas; iii) an assessment, from the perspective of the development results for each country, of the policy support and advocacy initiatives of the UNDP programme vis-à-vis other stakeholders.

In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP (more criteria will be added as required):

**Relevance of UNDP programmes:** How relevant are UNDP programmes to the priority needs of each country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across practice areas? What are the critical gaps of UNDP programming?

**Responsiveness:** How did UNDP anticipate and respond to significant changes in each country's national development context? How did UNDP respond to long-term national development needs? What were the missed opportunities in UNDP programming?

**Equity:** Did UNDP programmes and interventions lead to reduced vulnerabilities in the countries? Did UNDP interventions in any way influence existing inequities (e.g., exclusion) in the society? Was selection of geographical areas of intervention guided by need?

**Partnerships:** How has UNDP leveraged partnerships within the UN system and national civil societies and private sectors?

The evaluation will also consider the influence of administrative constraints affecting the programme, specifically the UNDP contribution, including issues related to the relevance and effectiveness of the monitoring and evaluation system. If such considerations emerge as important during the initial analysis, they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the evaluation will also highlight the issue of joint programming.

#### 4. EVALUATION METHODS AND APPROACHES

##### DATA COLLECTION

The evaluation will use a multiple-method approach that could include desk reviews, workshops, group and individual interviews (at both headquarter and country levels), project and field visits, and surveys. The appropriate set of methods will depend on local context; the precise mix will be determined during the Scoping Mission and detailed in an Inception Report.<sup>124</sup>

##### VALIDATION

The Evaluation Team will use a variety of methods, including triangulation, to ensure that

the data is valid. Specific validation methods will be detailed in the Inception Report.

##### STAKEHOLDER PARTICIPATION

The evaluation will use a participatory approach that involves a broad range of stakeholders. Stakeholders will be identified among government ministries and agencies, civil society organizations, private sector representatives, UN agencies, multilateral organizations, bilateral donors, and beneficiaries. To facilitate this approach, all ADRs include a process of stakeholder mapping that includes both direct UNDP partners and the stakeholders that do not have direct involvement with the agency.

#### 5. EVALUATION PROCESS

The process will also follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

##### PHASE 1: PREPARATION

**Desk review:** A desk review is initially carried out by the EO (identification, collection and mapping of relevant documentation and other data) and continued by the Evaluation Team. This process will include review of general development-related documentation of specific countries and a comprehensive overview of the UNDP programme over the period under evaluation.

**Stakeholder mapping:** A stakeholder mapping identifies the stakeholders relevant to an evaluation. Identified stakeholders will include state and civil society actors and go beyond direct UNDP partners. The mapping exercise will also indicate the relationships among different sets of stakeholders.

**Inception meetings:** Meetings will include headquarters-based interviews and discussions with the EO (regarding process and methodology), the Regional Bureau for Latin America and the Caribbean (context and county programme) and other relevant bureaux, including the Bureau

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124. The Scoping Mission and Inception Report are described in Section 5 on the evaluation process.

for Development Policy, the Bureau for Crisis Prevention and Recovery, and the United Nations Development Group Office.

**Scoping mission:** A mission by the Task Manager to Barbados and the OECS (Saint Lucia to visit OECS Secretariat) in order to:

- Identify and collect further documentation;
- Validate the mapping of the country programmes;
- Get key stakeholder perspectives on key issues that should be examined;
- Address logistical issues related to the main mission, including timing;
- Identify the appropriate set of data collection and analysis methods;
- Address management issues related to the rest of the evaluation process, including division of labour among the team members; and
- Ensure that country office staff and key stakeholders understand the ADR objectives, methodology and process.

**Inception report:** The development of a short Inception Report, including: the final evaluation design and plan; background to the evaluation; key evaluation questions; detailed methodology; information sources and instruments and plan for data collection; design for data analysis; and format for reporting.

## PHASE 2: CONDUCTING ADR AND DRAFTING EVALUATION REPORT

**Main ADR mission:** The mission of two (possibly three) weeks will be conducted by the independent Evaluation Team and will focus on data collection and validation. An important part of this process will be an Entry Workshop where the ADR objectives, methods and process will be explained to stakeholders. The team will visit significant project/field sites as identified in the scoping mission.

**Analysis and reporting:** The information collected will be analysed in the draft ADR report by the Evaluation Team within three weeks after the departure of the team from the country.

**Review:** The draft will be subject to (a) factual corrections and views on interpretation by key clients (including the UNDP country office, Regional Bureau for Latin American and the Caribbean, and government), (b) a technical review by the EO, and (c) a review by external experts. The EO will prepare an audit trail to show how these comments were taken in to account. The Team Leader, in close cooperation with the EO Task Manager shall finalize the ADR report based on these final reviews.

**Stakeholder meeting:** A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Barbados and the OECS. The main purposes of the meeting will be to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward, and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at the country level. It may be necessary for the Evaluation Team Leader to incorporate significant comments into the final Evaluation Report.

## PHASE 3: FOLLOW-UP

**Management response:** UNDP Associate Administrator will request relevant units (in the case of an ADR, usually the relevant country office and Regional Bureaux) to jointly prepare a management response to the ADR. As a unit exercising oversight, the Regional Bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

**Communication:** The ADR report and brief will be widely distributed in both hard and electronic versions. The Evaluation Report will be made available to the UNDP Executive Board by the time of approving a new Country Programme Document. It will be widely distributed in Barbados and the OECS, as well as at UNDP headquarters. Copies will be sent to evaluation outfits of other international organizations, as well as to evaluation societies and research institutions in the region. Furthermore,

Activity	Estimated date
Collection and mapping of documentation by the Research Assistant	Apr-08
Desk Review by the Evaluation Team	May-08
Scoping Mission to Barbados and OECS	6-9 May
Inception Report and Full ADR Terms of Reference	14-May
Evaluation Team meeting at UNDP New York	21-23 May
The following are tentative and will be firmed during the scoping mission in consultation with the country office and government(s):	
Main ADR mission to Barbados and the OECS	May
Submission of First Draft Report	June
Comments from EO and Advisory Panel	July
Submission of Second Draft Report	July
Factual corrections from country office, RB, Government	July
Issuance of Final Report	August
Stakeholder workshop	November

the Evaluation Report and the management response will be published on the UNDP Web site<sup>125</sup> and made available to the public. Its availability will be announced on UNDP and external networks.

As June is the start of the Eastern Caribbean hurricane season, the main mission should be completed by the end of May. The tentative time-frame and responsibilities for the evaluation process are detailed in the table above.

## 6. MANAGEMENT ARRANGEMENTS

### UNDP EO

The UNDP EO Task Manager will manage the evaluation and ensure coordination and liaison with the Regional Bureau for Latin America and the Caribbean, other concerned units at headquarters level, and the Barbados and the OECS subregional office management. The EO will also contract a Research Assistant to facili-

tate the initial desk review and a Programme Assistant to support logistical and administrative matters. The EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the Team Leader, international and national consultants, as well as the preliminary research and the issuance of the final ADR report. EO will also cover the costs of any stakeholder workshops conducted as part of the evaluation.

### THE EVALUATION TEAM

The team will be constituted of five members:

- Consultant Team Leader: with overall responsibility for providing guidance and leadership, and in coordinating the draft and Final Report;
- Consultant Policy Specialist: who will provide the expertise in the core subject areas of the evaluation and be responsible for drafting key parts of the report;

125. [www.undp.org/eo/](http://www.undp.org/eo/)

- Two Regional Consultant: who will undertake data collection and analyses at the country-level, as well as support the work of the missions; and
- A Disaster Management Specialist.

The Team Leader must have a demonstrated capacity in the evaluation of complex programmes in the field, strategic thinking and policy advice. All team members should have in-depth knowledge of development issues in Barbados and the OECS and/or the wider Caribbean region.

The Evaluation Team will be supported by a Research Assistant based in the Evaluation Office in New York. The Task Manager of the Evaluation Office will support the team in designing the evaluation, will participate in the scoping mission and will provide ongoing feedback for quality assurance during the preparation of the inception and Final Report. Depending on need, the EO Task Manager may participate to the main mission.

The evaluation team will orient its work by United Nations Evaluation Group norms and standards for evaluation, and will adhere to the ethical Code of Conduct.<sup>126</sup>

#### **THE BARBADOS AND THE OECS SUBREGIONAL OFFICE**

The subregional office will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaison with the key partners, and make available to the team all necessary information regarding UNDP activities in the country. The office will also be requested to

provide additional logistical support to evaluation team as required. The subregional office will contribute support in kind (e.g., office space for the Evaluation Team), while the EO will cover local transportation costs.

## **7. EXPECTED OUTPUTS**

The expected outputs from the Evaluation Team are:

- An Inception Report (maximum 20 pages);
- A comprehensive final report on the Barbados and the OECS Assessment of Development Results (maximum 50 pages plus annexes);
- A two-page evaluation brief; and
- A presentation for the Stakeholder Workshop.

The final report of the ADR to be produced by the Evaluation Team will follow the following format:

- Chapter 1: Introduction;
- Chapter 2: Country Context;
- Chapter 3: The UN and UNDP in the Country;
- Chapter 4: UNDP Contribution to National Development Results;
- Chapter 5: Strategic Positioning of the UNDP Country Programme; and
- Chapter 6: Conclusions, Lessons and Recommendations.

Detailed outlines for the Inception Report, main ADR report and evaluation brief will be provided to the evaluation team by the Task Manager.

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126. The UN Evaluation Group Guidelines “Norms for Evaluation in the UN System” and “Standards for Evaluation in the UN System” (April 2005).



# EVALUATION FRAMEWORK

Evaluation Topic or Criteria	Description	Key Questions to be Addressed via the Evaluation
Development Context and Strategic Positioning of UNDP	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ The overall development context for UNDP in Barbados and the Eastern Caribbean, including the way in which UNDP is positioned both strategically and developmentally in relation to key trends, issues and agencies;</li> <li>■ The relationship between the evolving approach of UNDP and key trends, such as the introduction of the Millennium Development Goals and their integration into country-level planning for certain country partners;</li> <li>■ UNDP added value in relation to what other development partners are doing (including the UN subregional team), both in terms of projects and other non-project initiatives; and</li> <li>■ In the case of middle-income countries and NCCs, other factors will be explored and documented, including the extent to which UNDP is justifying its role in relation to NCCs in the subregion and whether new strategies are being developed to ensure strong synergies between NCCs and less-developed countries in the subregion.</li> </ul>	<p>What were the main political, economic and social development challenges for Barbados and the OECS over the past 10 years? What are the key current and likely future priorities for development in the subregion? How has the subregional programme responded to these challenges and needs?</p> <p>How has the global environment and development context evolved, and how has it affected the subregion? What are emerging issues that may affect future directions for development in the subregion as well as the UNDP programmatic response?</p> <p>To what extent has UNDP support (both project and non-project) been strategic, necessary and/or added value to the subregion's own development directions since 2001, in particular when a subregional programming approach was introduced? How well-positioned is UNDP in the subregional development context, and how might it adjust its approach or positioning in future?</p>
Relevance and Responsiveness	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ Whether UNDP has been able to meet the priority needs of development partners in a timely fashion;</li> <li>■ Whether UNDP has been able to adapt its programme through iterative approaches (i.e., where there is a continuous critical assessment of the appropriateness and applicability of programme delivery approaches); and</li> <li>■ The extent to which country, agency and subregional partners are satisfied with the level of UNDP responsiveness to the changing development context.</li> </ul>	<p>To what extent has the UNDP subregional programme responded adequately or appropriately to the priority needs of the subregion as a whole, as well as to the specific needs of individual countries in the subregion?</p> <p>Were the objectives proposed by the UNDP programme appropriate to the development requirements and context of the subregion and/or the development needs of specific stakeholders at different levels (i.e., national and subregional)?</p> <p>Were the right objectives identified in relation to the evolving conjuncture and the specific needs of stakeholders?</p> <p>Has the UNDP subregional programme been adaptive and flexible enough to respond to emerging needs?</p> <p>Has UNDP applied the right strategy and identified the appropriate objectives to pursue within the specific political, economic and social context of the subregion, given the many variations and issues?</p> <p>What were critical gaps or missed opportunities in the UNDP subregional programme? What could be done to improve the situation in future?</p>

Evaluation Topic or Criteria	Description	Key Questions to be Addressed via the Evaluation
Effectiveness	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ The extent to which the original results identified in UNDP programming frameworks since 2001 were appropriate, measurable and clearly defined, and how they have been modified and measured over time;</li> <li>■ Whether cross-cutting results related to capacity development, knowledge management and gender were achieved (as implied or integrated within programme-specific results areas);</li> <li>■ Based on the type of actual results achieved (as compared to planned), the overall development performance of the UNDP programme in Barbados and the Eastern Caribbean based on a synthesis of information from projects and other non-project initiatives; and</li> <li>■ UNDP overall contribution to developmental change (including country-specific development priorities) in the subregion since the early 2000s.</li> </ul>	<p>To what extent have the development objectives identified in the SCF (2001–2004) and the SPD (2005–2009) evolved over time, and what is the degree of achievement or progress against the outcomes as measured by the indicators or other means of assessment?</p> <p>Assuming that these outcomes are based on what was accomplished during the earlier SCF (2001–2004), what is the overall cumulative effect of UNDP development interventions in the subregion (i.e., in governance, poverty reduction, gender, HIV/AIDS, environment, disaster management and other areas) since 2001?</p> <p>What can be done to improve UNDP development effectiveness in future, including improving alignment with subregional and country priorities?</p>
Relevance and Responsiveness	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ The relationship between resources and results, given that a finite amount of resources were used for specific projects and initiatives and that judgements were made about how to utilize these resources most effectively (both proactively and responsively);</li> <li>■ The processes used to determine the amount and timing of resource allocations, and whether these were rational and equitable;</li> <li>■ Whether appropriate value-for-money was achieved from the UNDP use of resources and/or leveraging or cost-sharing of funds to support development initiatives; and</li> <li>■ Whether resources could have been allocated differently to achieve different or more effective development results.</li> </ul>	<p>How optimally did UNDP use its resources (human and financial) in implementing the programme? How were decisions made to allocate resources among programme areas, partners, projects and/or countries, and was appropriate value-for-money achieved in terms of the resource allocation decisions made?</p> <p>Were sufficient resources available to meet the requirements of the subregional programme?</p> <p>What could be done to ensure a more efficient use of resources in the specific subregional context?</p>
Sustainability	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ The degree to which any developmental results achieved at the programme, subregional, country and/or project levels are replicable and likely to be maintained after the cessation of UNDP funding; and</li> <li>■ Whether adequate organizational or institutional capacity transfers have taken place under the auspices of UNDP-sponsored or managed projects, in order to ensure that partners have integrated new models for management, ownership and continuation.</li> </ul>	<p>Are the benefits of UNDP interventions owned by the stakeholders and beneficiaries at the subregional and/or country level?</p> <p>Has sufficient capacity been transferred to key development stakeholders and partners (e.g., OECS Secretariat, Caribbean Disaster Emergency Relief Agency, national governments) from UNDP-supported interventions such that it is likely the benefits or effects of various investments will be maintained over time?</p> <p>What are the barriers and challenges to effective capacity transfer in various programme areas, and how might these be addressed in future?</p>

Evaluation Topic or Criteria	Description	Key Questions to be Addressed via the Evaluation
Relationship with the Net Contributing Countries	<p>This area is related to the Context section in the table above, therefore the data collection and analysis will synthesize these two areas.</p> <p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ Assessing whether the UNDP approach to combining programming with NCCs and non-NCCs in the same subregion is appropriate, flexible and effective;</li> <li>■ Understanding the unique situation with regards to development and equity facing small island developing states in relation to the programme delivery approaches used by UNDP; and</li> <li>■ Understanding whether new approaches or options should be considered regarding how to blend or balance these interests.</li> </ul>	<p>How do the unique situational needs of small island developing states, in terms of economic inequalities and climatic or other vulnerabilities, shape the subregional programme context?</p> <p>What is the situation that exists with the mix of NCCs and non-NCCs in the subregion? Has the UNDP subregional programme dealt equitably and reasonably with their different needs? What could be improved in future?</p> <p>What is the situation that exists with blending NCC and non-NCC countries within the UNDP subregional portfolio? What influence does this situation have on the UNDP approach to programming and overall development effectiveness in the subregion? What could be improved in future?</p>
Partnership and Equity	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ Understanding how the UNDP subregional programme views partnership relations and treats the needs and priorities of different strategic and developmental partners; and</li> <li>■ Assessing how UNDP cooperates and forges relationships with different partners, including members of the UN system, international agencies, subregional institutions, non-governmental organizations, civil society organizations and others.</li> </ul>	<p>Who are the major subregional actors and stakeholders (e.g., intergovernmental organizations) in the subregion, and what roles do they play?</p> <p>What types of project and non-project partnership arrangements are in play in the subregional programme? How effective are these, and to what extent do they contribute to achievement of development results?</p> <p>How could partnership and collaboration at different levels (regional, subregional and national) be strengthened in future for the subregional programme?</p>
Gender	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ Understanding how UNDP has contributed to work on gender issues in the subregion and in specific countries over the past several years;</li> <li>■ Assessing how appropriate or effective the overall UNDP gender approach has been, including any training, mainstreaming and/or networking activities;</li> <li>■ What specific challenges or issues related to gender UNDP has been focusing on; and</li> <li>■ Understanding how UNDP is forging strategic and practical partnerships around gender issues, both inside and outside the UN system.</li> </ul>	<p>What has the UNDP subregional programme done to promote and mainstream gender issues within its programmes and initiatives?</p> <p>What specific partnerships have been forged to advance work on gender? How effective have these been?</p> <p>Has UNDP been able to contribute to the advancement of women, including to more equitable gender relations within the subregion and specific countries?</p> <p>What specific gender issues in the subregion or within countries are likely to be priorities in the future, and how could UNDP support these areas, either alone or in conjunction with other agencies or partners?</p>
Operational and Corporate Issues	<p>The data collection process will focus on:</p> <ul style="list-style-type: none"> <li>■ Understanding how the UNDP subregional office functions to manage its programme, with specific attention to the resources, systems, tools and processes used to manage for development results and performance;</li> <li>■ Understanding how funding flows and resource allocations work for the UNDP subregional office, including the flow of available funds into the programme, how funds are leveraged and how these resources are then reallocated into various programme areas; and</li> <li>■ Assessing whether different arrangements, processes or tools could be used to increase overall development and operational effectiveness of the programme.</li> </ul>	<p>What are the subregional programme financing implications regarding different funding sources and use of core and non-core resources?</p> <p>What is the situation with NCCs in the subregion, and should there be a financing arrangement change for these countries?</p> <p>Following up on some of the operational issues identified in the recent audit, how effective are the current corporate management tools and systems in the subregional context, and what can be done to improve these tools and systems in future?</p> <p>What is the quality and usefulness of various performance indicators identified in the SPD, and how might indicator design and use be improved in future? Is there sufficient performance monitoring of both financial and developmental performance and the relationship between the two? What can be done, if anything, to improve this situation?</p> <p>Is the staffing capacity in the subregional office and programme sufficient to support effective programme management?</p>



## Annex III

# LIST OF INDIVIDUALS CONSULTED

### GOVERNMENT OF BARBADOS

Mr. Simon Alleyne, Department of Emergency Management

Mr. Mark Durant, Senior Economist, Ministry of Finance, Economic Affairs and Energy

Mr. Siebert Fredericks, Director, Ministry of Finance, Economic Affairs and Energy (Economic Affairs Division)

Mr. Derek Gibbs, Senior Economist, Ministry of Finance, Economic Affairs and Energy (Economic Affairs Division)

Mr. Fabian Griffin, Chief Project Analyst, Public Investment Unit, Ministry of Finance, Economic Affairs and Development

Ms. Kerrie Hinds, Deputy Director, Department of Emergency Management

Mr. Kirk Humphrey, Director, Bureau of Social Policy, Research and Planning, Ministry of Finance, Economic Affairs and Development

Mr. Travis Sinckler, Ministry of Family, Youth Affairs, Sports and the Environment

Ms. Karen Smith, Ministry of Family, Youth Affairs, Sports and the Environment

Ms. Judy Thomas, Director, Department of Emergency Management

Ms. Juanita Thorington-Powlett, Permanent Secretary, Ministry of Economic Affairs and Development

Mr. Leigh Trotman, Auditor-General's Office

Ms. Rozanne Walrond, National Focal Point GEF/SGP

Mr. Ricardo Ward, Ministry of Family, Youth Affairs, Sports and the Environment

Dr. Marion V. Williams, Governor of the Central Bank of Barbados

### GOVERNMENT OF SAINT LUCIA

Ms. Lydia Anselm-Leonie, Director of Training (Retired), Training Division, Ministry of the Public Service and Human Resource Development

Mr. Isaac Anthony, Director of Finance, Ministry of Finance, International Financial Services and Economic Affairs

Ms. Elizabeth Bailey, Acting Director of Training, Training Division, Ministry of the Public Service and Human Resource Development

Ms. Dale Bernard, Economist, Ministry of Finance

Mr. John Calixte, Deputy Permanent Secretary, Ministry of Economic Affairs, Economic Planning and National Development

Ms. Debra Charlery, Training Officer, Ministry of the Public Service and Human Resource Development

Ms. Dawn French, National Disaster Coordinator, Disaster Management Programme, National Emergency Management Organization

Mr. Michael Gittens, Deputy Chief Economist, Ministry of Economic Affairs, Economic Planning and National Development

Ms. Alma Jean, Project Coordinator, Sustainable Development and Environment Section, Ministry of Economic Affairs, Economic Planning and National Development

Mr. Marinus Pascal, Director of Social Research, Ministry of Social Transformations

Ms. Cointha Thomas, Budget Director, Budget Office, Ministry of Finance

Mr. Edwin St. Catherine, Director of Statistics, Statistics Office

Mr. Bishnu Tulsie, Director, Saint Lucia National Trust, Focal Point GEF/SGP

Mr. Donovan Williams, Permanent Secretary, Department of Economic Planning, Ministry of Economic Affairs, Economic Planning and National Development

## **GOVERNMENT OF ANTIGUA AND BARBUDA**

- Ms. Almira Benjamin-Henry, Acting Director,  
Social Policy Unit, Ministry of Housing and  
Social Transformation
- Ms. Ruleta Camacho, Environment Division,  
Ministry of Works, Transport and  
Environment
- Mr. Dean Evanson, Deputy Financial Secretary,  
Ministry of Finance and the Economy
- Ms. Paula Frederick, Acting Principal Assistant  
Secretary, Office of the Prime Minister
- Ms. Bernadette George, Acting Permanent  
Secretary, Office of the Prime Minister
- Mr. Whitfield Harris Jr., Financial Secretary,  
Ministry of Finance
- Ms. Denise Hodge, National Focal Point  
GEF/SGP
- Mr. Ato Lewis, Environment Division, Ministry  
of Works, Transport and Environment
- Mr. David Matthias, Director of Budget,  
Ministry of Finance and the Economy
- Mr. Pilmore Mullin, Acting Director, Disaster  
Management Programme, National Office  
of Disaster Services
- Ms. Janet Weston, AIDS Programme Manager,  
AIDS Secretariat, Ministry of Health

## **GOVERNMENT OF THE COMMONWEALTH OF DOMINICA**

- Mr. Alvin Bernard, Acting Social Development  
Planner, Ministry of Finance and Planning
- Ms. Prayma Carrette, Chief Statistician, Central  
Statistical Office
- Mr. John Fontaine, Local Government Division,  
Ministry of Community Development,  
Gender Affairs and Information
- Ms. Kongith Gabriel, Environment Programme,  
Environmental Coordinating Unit, Fisheries  
Department
- Mr. Collin Guiste, Environment Programme,  
Environmental Coordinating Unit, Fisheries  
Department
- Mr. Lloyd Pascal, Director of Env. Coordinating  
Unit, National Focal Point GEF/SGP
- Mr. Albert Bellot, National Coordinator GEF/SGP
- Ms. Lisa Valmond, Ministry of Finance and Planning

## **GOVERNMENT OF BRITISH VIRGIN ISLANDS**

- Ms. Rosalie Adams, Permanent Secretary, Chief  
Minister's Office
- Ms. Phillipa Barry, Nutritionist, BVI Health  
Services Authority
- Mr. Najan Christopher, Assistant Secretary,  
External Affairs, International Affairs  
Secretariat
- Ms. Sharleen DaBreo, Director, Department of  
Disaster Management
- Dr. Ronald Georges, Director of Primary  
Health Care, BVI Health Services  
Authority
- Ms. Marlene Harrigan, Assistant Director,  
Ministry of Development and Planning
- Ms. Patlian Johnson, Deputy Director, Ministry  
of Development and Planning
- Dr. Ronald W. McAnaney, National AIDS  
Programme Coordinator, Ministry of  
Health and Social Development
- Mr. Raymond Phillips, Acting Director,  
Ministry of Development and Planning
- Ms. Ritzia Turnbull-Smith, Deputy Permanent  
Secretary, Ministry of Health and Social  
Development

## **GOVERNMENT OF ANGUILLA**

- Mr. Aidan Harrigan, Permanent Secretary,  
Economic Development, Investment and  
Commerce, Ministry of Finance and  
Economic Development
- Mr. Karl Harrigan, Permanent Secretary,  
Ministry of Finance and Economic  
Development
- Ms. Elizabeth F. Klute, Director, Department  
of Disaster Management, Deputy  
Governor's Office

## **GOVERNMENT OF SAINT KITTS AND NEVIS**

- Mr. Goldwyn Caines, Public Relations Officer,  
National Emergency Management Agency
- Ms. Angela Delpeche, Acting Director,  
Physical Planning Department,  
Nevis Island Administration

Mr. Randolph Edmead, Director, Physical Planning and Environment, Ministry of Sustainable Development

Ms. Hilary Hazel, Permanent Secretary, Ministry of Sustainable Development and Assistant Director, Ministry of Finance, Development and Planning

Mr. Carl Herbert, Natural Disaster Coordinator, National Emergency Management Agency

Ms. June Hughes, Environment Officer, Ministry of Sustainable Development

Mr. Patrice Nesbit, Legal Advisor, Nevis Island Administration

Ms. Lillith Richards, Director of Planning, Ministry of Finance, Planning and Development

Ms. Angela Walters-Delpeche, Acting Director of Planning, Ministry of Communications, Works, Public Utilities and Posts, Physical Planning, Natural Resources and Environment

Ms. Lavern Queeley, Director, Economic Affairs and Public Sector Investment Planning, Ministry of Sustainable Development

#### **GOVERNMENT OF MONTSERRAT**

Ms. Teresina Bodkin, Chief Statistician, Development Unit, Ministry of Finance, Economic Development and Trade

Ms. Angela Greenaway, Director of Development, Development Unit, Ministry of Finance and Economic Planning

Ms. Aldean Moore, Development Unit, Ministry of Finance, Economic Development and Trade

Ms. Arlene Ponteen, Project Manager, Ministry of Health

Mr. Captain Horatio Tuitt, Director, Disaster Management Coordination Agency

#### **GOVERNMENT OF GRENADA**

Ms. Anne-Denise Ashton, Technical Officer, National Disaster Management Agency

Mr. John Auguste, Sr. Energy Officer, Energy Department, Ministry of Agriculture

Mr. Timothy N.J. Antoine, Permanent Secretary, Ministry of Economic Development and Planning

Ms. Sandra Fergusson, Secretary General, Agency for Rural Transformation Grenada

Ms. Thourla Friday, Gender Specialist, Ministry of Social Development

Ms. Beryl Isaac, Permanent Secretary, Governance Programme, Department of Human Resource Management

Mr. Christopher Joseph, Environment Officer, Ministry of Health and the Environment

Ms. Anna Lewis, Human Resource Management Officer, Department of Human Resource Management

Mr. Michael Mason, Land Use Officer, Ministry of Agriculture

Supt. Sylvan McIntyre, National Disaster Coordinator (Acting), National Disaster Management Agency

Ms. Jocelyn Paul, Environment Programme, Ministry of Economic Affairs

Mr. Leslie Smith, Sr. Energy Officer, Energy Department, Ministry of Agriculture

Mr. Dexter Telesford, Ministry of Finance

Mr. Augustus Thomas, Sr. Forestry Officer, Ministry of Agriculture

Dr. Spencer Thomas, Economic Adviser, National Telecoms Regulatory Commission Office, Ministry of Finance

#### **GOVERNMENT OF SAINT VINCENT AND THE GRENADINES**

Ms. Laura Anthony-Browne, Director of Planning, Central Planning Unit, Ministry of Finance and Economic Planning

Ms. Michelle Forbes, Disaster Management Programme, National Emergency Management Office, Office of the Prime Minister

Mr. Edmund Jackson, Ministry of Health and the Environment

Ms. Marilyn Phills, Director of Public Reform Unit, Governance Programme, Ministry of National Security, Air and Seaport Development

Mr. Howie Prince, Director, Disaster Management Programme, National Emergency Management Office, Office of the Prime Minister

Mr. Roger Young, Community Development Supervisor, Ministry of National Mobilization

## **REGIONAL AND SUBREGIONAL ORGANIZATIONS**

Mr. Daniel Arthurton, Deputy Director, Financial and Enterprise Development, Eastern Caribbean Central Bank (Saint Kitts)

Ms. Jennifer Astaphan, Executive Director, Caribbean Centre for Development Administration (Barbados)

Ms. Laurel Bain, Senior Director, Statistical Department, Eastern Caribbean Central Bank (Saint Kitts)

Mr. Ezra Jn Baptiste, Head, Social Policy Unit, Organization of Eastern Caribbean States (Saint Lucia)

Ms. Beverly Best, Head, Functional Cooperation and Programme Management Unit, Organization of Eastern Caribbean States (Saint Lucia)

Ms. Anne-Marie Chandler, Operations Officer, Social Analysis, Acting Project Services Division, Caribbean Development Bank (Barbados)

Mr. Jeremy Collymore, Coordinator, Caribbean Disaster Emergency Response Agency (Barbados)

Mr. Adrian DeBique, Deputy Director, Corporate Planning Division, Caribbean Development Bank (Barbados)

Ms. Cheryl Dixon, Operations Officer, Caribbean Development Bank (Barbados)

Mr. Ian Durant, Country Economist, Country Analysis and Policy Unit, Caribbean Development Bank (Barbados)

Mr. Elbert Ellis, Social Analyst, Project Services Division, Caribbean Development Bank (Barbados)

Ms. Andrea Grosvenor, Technical Manager, Caribbean Disaster Emergency Response Agency (Barbados)

Ms. Valerie Isaacs, Operations Officer, Environment, Caribbean Development Bank (Barbados)

Dr. Len Ishmael, Director General, Organization of Eastern Caribbean States (Saint Lucia)

Joan John-Norville, Benchmarking Tool Specialist, Environment and Sustainable Development Unit, Organization of Eastern Caribbean States (Saint Lucia)

Mr. Richard Madavo, Senior Advisor, Caribbean Centre for Development Administration (Barbados)

Prof. Robin Mahon, Director, CERMES, University of West Indies (Barbados)

Mr. McDonald Thomas, Operations Officer (Social Analyst), Caribbean Development Bank (Barbados)

Mr. Peter Murray, Programme Officer, Environment and Sustainable Development Unit, Organization of Eastern Caribbean States (Saint Lucia)

Ms. Jacqueline Massiah, Research Officer, Social Policy Unit, Organization of Eastern Caribbean States (Saint Lucia)

Mr. David Popo, Programme Officer, Environment and Sustainable Development Unit, Organization of Eastern Caribbean States (Saint Lucia)

Ms. Elizabeth Riley, Programme Manager, Caribbean Disaster Emergency Response Agency (Barbados)

Ms. Teresa Smith, Deputy Director, Research Department, Eastern Caribbean Central Bank (Saint Kitts)

Dr. James St. Catherine, Head, HIV/AIDS Project Unit, Organization of Eastern Caribbean States (Saint Lucia)

Ms. Therese Turner-Jones, Programme Coordinator, Caribbean Regional Centre for Technical Assistance (Barbados)

Ms. Sharon Welcome, Deputy Director, Bank Supervision Department, Eastern Caribbean Central Bank (Saint Kitts)

## **UNDP SUBREGIONAL OFFICE**

Ms. Avril Alexander, Programme Officer, Disaster Management Programme

Ms. Anne-Marie Diop, Programme Assistant, Governance Programme

Ms. Chanda Davis, UNDP Country Project Officer (Saint Vincent and the Grenadines)

Ms. Amory Hamilton-Henry, Programme Coordinator, Support to Poverty Assessment and Reduction in the Caribbean

Mr. Stein Hansen, Deputy Resident Representative

Mr. Ian King, Programme Manager, Disaster Management Programme

- Ms. Paula Mohamed, Programme Manager,  
Governance Programme
- Mr. Reynold Murray, Programme Manager,  
Environment and Energy Programme
- Ms. Leisa Perch, Programme Manager, Poverty  
Reduction Programme
- Mr. Giles Romulus, Subregional Coordinator  
GEF/SGP, Environment and Energy  
Programme
- Ms. Renette Royer, Programme Assistant,  
Governance Programme
- Ms. Rosina Wiltshire, Resident Representative  
and UN Resident Coordinator (out-going)

### **UN AGENCIES**

- Ms. Reeta Bhatia, Country Coordinator,  
UNAIDS (Barbados)
- Ms. Roberta Clarke, Regional Director,  
Caribbean Office, UNIFEM (Barbados)
- Ms. Sandra Edwards, Programme Manager,  
UNIFEM (Barbados)
- Ms. Barbara Graham, Sub Regional  
Representative for the Caribbean, FAO  
(Barbados)
- Mr. Leonard O'Garro, Programme Coordinator,  
UN Environment Programme (Barbados)
- Mr. Tom Olsen, Representative, UNICEF  
(Barbados)
- Mr. Neil Pierre, Director, Subregional Office,  
UN Economic Commission for Latin  
America and the Caribbean (Trinidad  
and Tobago)
- Ms. Niloufar Pourzand, Deputy Representative,  
UNICEF (Barbados)
- Mr. Koen Rossel-Cambier, Social Policy  
Officer, UNICEF (Barbados)

### **CONSULTANTS AND ADVISORS**

- Ms. Stephanie Hunte, Assistant Curriculum  
Development Specialist/Editor, University  
of the West Indies Distance Education  
Centre (Barbados)
- Mr. Franklyn Michael, Management Consultant  
(Barbados)
- Mr. Dennie Walker, CoRICS Tutor, Pearls and  
River Sallee Communities (Saint Vincent  
and the Grenadines)

### **INTERNATIONAL DEVELOPMENT AGENCIES**

- Mr. Richard Carter, Social Policy Adviser,  
Department for International Development  
in the Caribbean (Barbados)
- Ms. Katherine Dunlop, Head of Aid, Canadian  
International Development Agency (Barbados)
- Mr. Phil Mason, Head of the Overseas  
Territories Department, Department for  
International Development (London)
- Mr. Sergio Marinelli, Head of Infrastructure  
Section, European Commission (Barbados)
- Mr. Paul Mondesir, Project Officer, Infrastructure,  
European Commission (Barbados)
- Mr. Sterling Mungal, Health Project Officer,  
European Commission (Barbados)
- Ms. Darran Newman, former Social  
Development Adviser, European  
Commission (Barbados)
- Ms. Phyllis Roett, Senior Development Officer,  
Canadian International Development Agency

### **CIVIL SOCIETY**

- Ms. Sandra Fergusson, Secretary-General,  
Agency for Rural Transformation (Grenada)
- Ms. Hilary Gabriel, Grenada National Council  
for the Disabled (Grenada)
- Ms. Lancia Isidore, Director, National Coalition  
for Persons with Disabilities (Saint Lucia)
- Mr. Herman Mayers, Vice President, Health,  
Hope and HIV Network (Antigua and  
Barbuda)
- Mr. Gerald Price, Antigua and Barbuda Fisheries  
Cooperative (Antigua and Barbuda)
- Ms. Winifred Teague, Administrator, Grenada  
Education and Development Programme  
(Grenada)
- Ms. Evelyn Weekes, Project Director, Antigua  
and Barbuda Fisheries Cooperative  
(Antigua and Barbuda)
- Dr. Dessima Williams, Director, Grenada  
Education and Development Programme  
(Grenada)
- Ms. Glenda Williams, Programme Officer,  
Grenada Education and Development  
Programme (Grenada)



## Annex IV

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