



# CARICOM Results-Based Management Collaboration

## Monitoring and Evaluation Systems Analysis (MESA): Regional Institutions

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## Acronyms and abbreviations

**CARICOM** -The Caribbean Community

**GEI** – Global Evaluation Initiative

**BSC** – Balance Scorecard

**CARMES** - CARICOM Monitoring, Evaluation and Reporting System

**CPSM** – Corporate Planning and Strategy Management Unit

**CCS** – Caribbean Community Secretariat

**CDB** – Caribbean Development Bank

**CDF** – Caribbean Development Fund

**CNRP** – CARICOM Network of RBM Professionals



**CONSLE** – Council for National Security and Law Enforcement

**CRLG** – CARICOM Results-Based Management Leadership Group

**CXC®** – Caribbean Examinations Council

**DCS** – Director of Corporate Services

**EMC** – Executive Management Committee

**FOMD** – Finance and Office Management Department

**EU** – European Union

**IDP** – International Development Partner

**IMPACS** – Implementation Agency for Crime & Security

**KPIs** – Key Performance Indicators

**MDA** – Ministry, Department and Agency

**MEAL** – Monitoring, Evaluation, Accountability and Learning

**MS** – Member States

**RBM** – Results-Based Management

**RI** – Regional Institutions

**SC** – Steering Committee

**SIS** – Spider Impact System

**SMF** – Strategy Management Framework

**SP** – CXC®'s Strategic Plan 2021 – 2025



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## Relevant definitions and concepts

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

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

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

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

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

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

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

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

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



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

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

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



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# 1. Introduction

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

Efforts to address the *implementation deficit*, to promote a more results-focused approach to program and project management, and to strengthen RBM in the Community commenced in 2016 with the development of the CARICOM RBM System Phase 1 and the support of its institutionalisation at the CARICOM Secretariat. In October 2019, the CARICOM Secretariat requested technical assistance<sup>2</sup> from the World Bank's Independent Evaluation Group (IEG) to continue these efforts by supporting CARICOM in strengthening a result-oriented culture across the Community, which includes three implementing partners, the Member States, Regional Institutions, and the CARICOM Secretariat.

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

The establishment of a customize roadmap to strengthen the pilot's RBM Systems was defined as an intended result. For this, a Monitoring and Evaluation System Analysis (MESA) referred to as MESA was identified as the first step of the collaboration and developed to assess the level of maturity of the systems and identify specific contextual and organizational features and milestones to be achieved over a five-year period.

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





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

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

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

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



## **2. CARICOM Secretariat's statement on the MESA**

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



## 3. Methodology

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

### 3.1 Theory of Change: towards a sustainable RBM System

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

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

The four stages of the MESA provided relevant information that served as inputs for this report. In addition, it provided a contextual framework, to identify a network of champions to support the process. These additional gains will inform the next steps required to develop and Implement the RBM roadmaps for the three pilots. The individual final reports are the main input for the participatory workshops, for which specific processes have been defined and are presented in section 6, and which development has started. The workshops lead to the development of contextualized roadmaps with activities and responsibilities to advance the implementation of sustainable RBM systems in the participant Regional Institutions, aligned to the four dimensions: Institutionalization, Execution Framework, Technical Capacity, and the Use of Evidence.

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



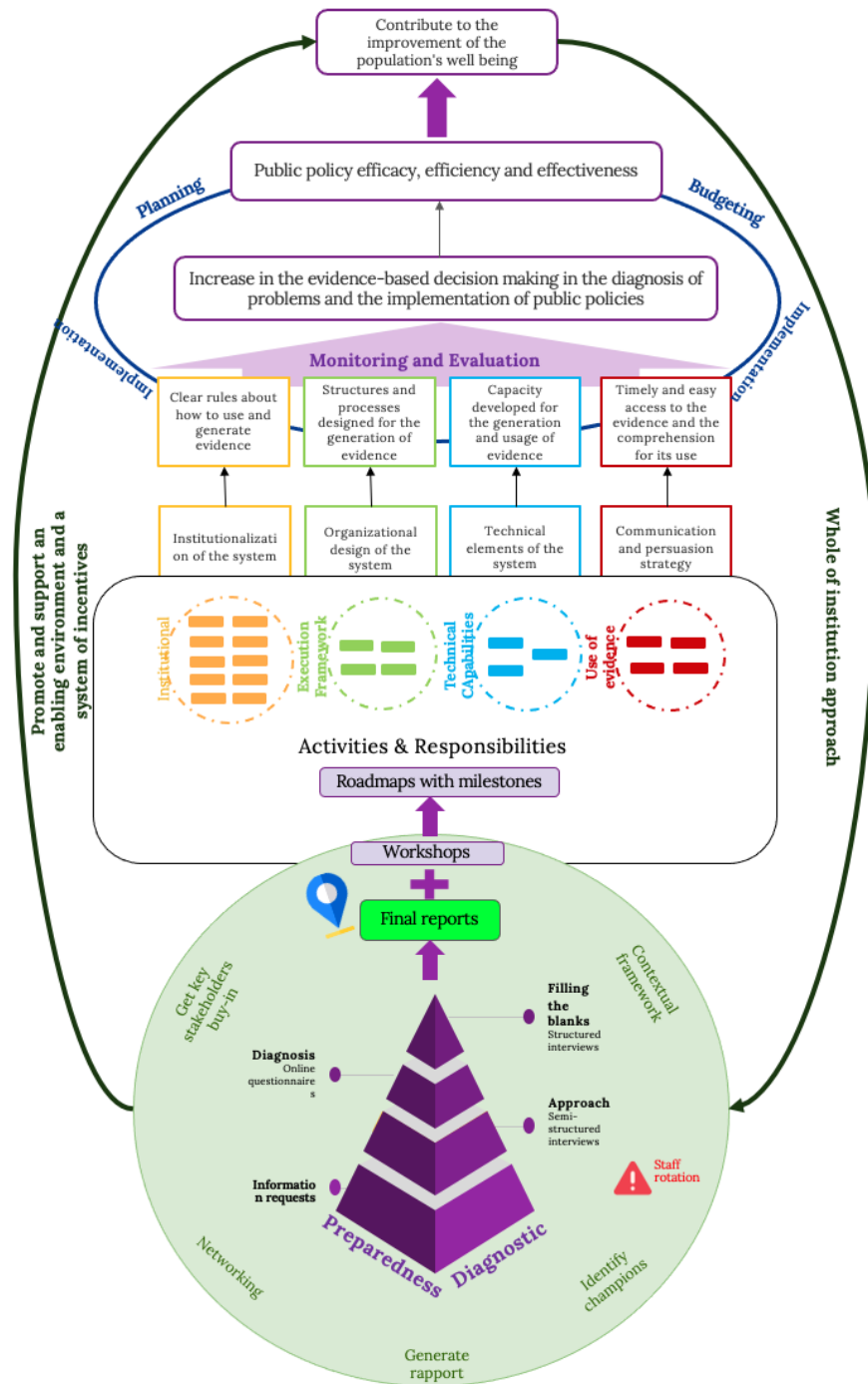
elements to support the system (understood as having developed capacity for generating and using the evidence that feeds the system); to having an organizational design and actual roll-out of the system (understood as having structures and processes designed and implemented for generating evidence and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

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

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

Figure 1. Theory of Change

**Whole of institution approach**



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

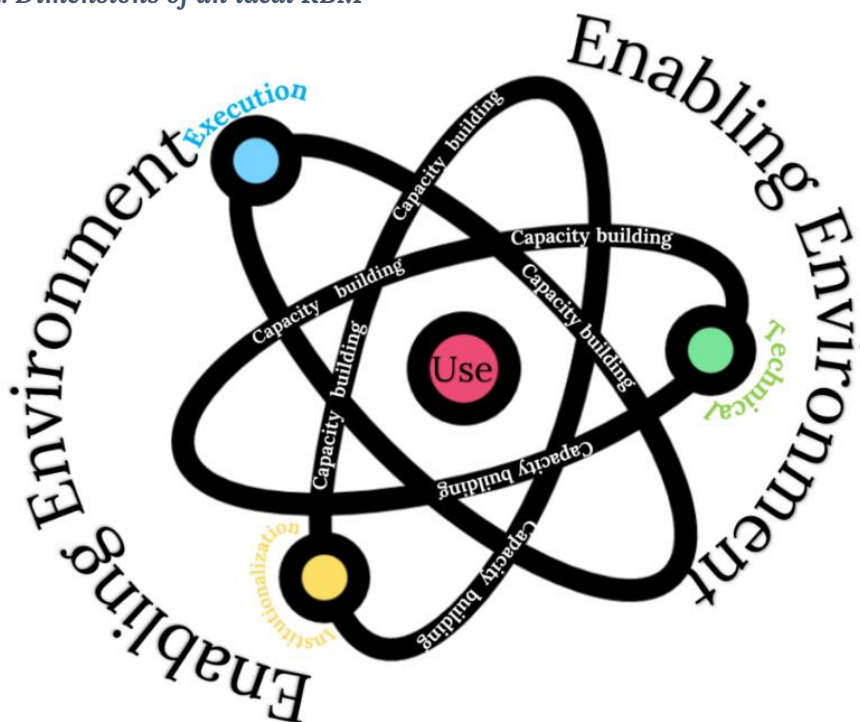
### 3.2 Ideal RBM system and working process

The development of an RBM System is a complex and nonlinear process that must be contextualized to the specific region, country, or institution. Three elements were considered to establish a roadmap with clear activities to strengthen or build an RBM system:

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

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

*Figure 2. Dimensions of an ideal RBM*



- **Institutionalisation:** this dimension focuses on the formal rules that outline the RBM policy in the countries or regional institutions.



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

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

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

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

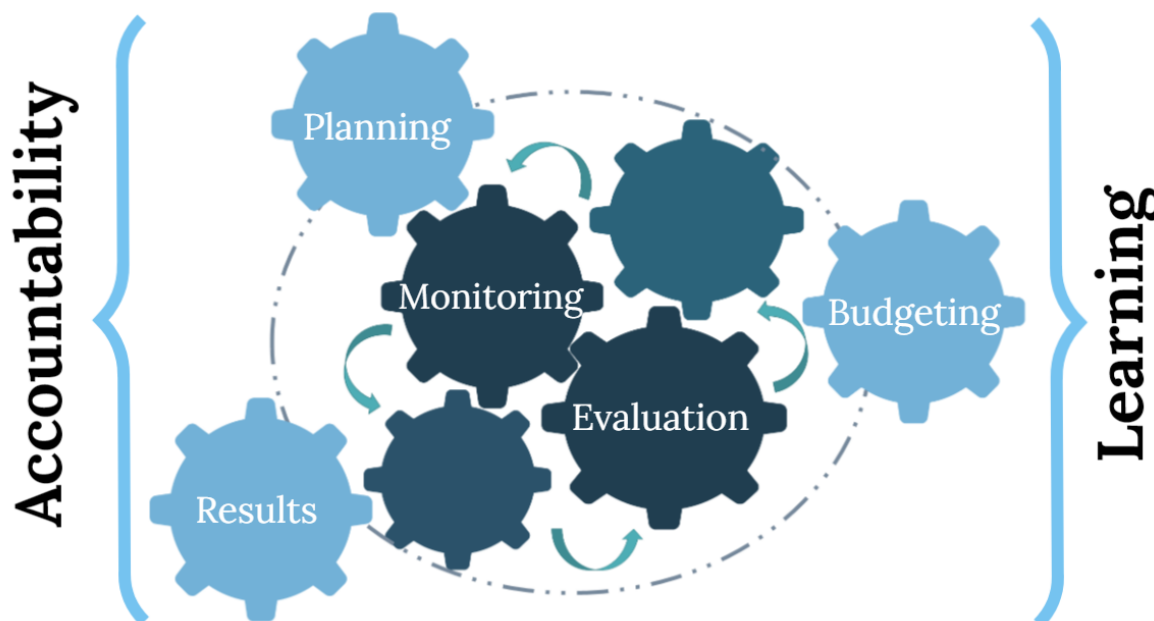
The working process defined for this collaboration, identifies Monitoring and Evaluation (M&E) activities as central elements to be developed and applied in order to affect planning, budgeting, and implementation. Figure 3 presents the working process and highlights the importance of evidence-based decision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

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<sup>3</sup> For more details on the 3-level scale see Appendix C

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

*Figure 3. Working Process defined for the CARICOM Collaboration*



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

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

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

The Monitoring and Evaluation Systems Analysis (MESA) was implemented using a four-stage methodology designed to gain a deep understanding of the characteristics of the Regional Institutions to inform the development and strengthening of an RBM System.



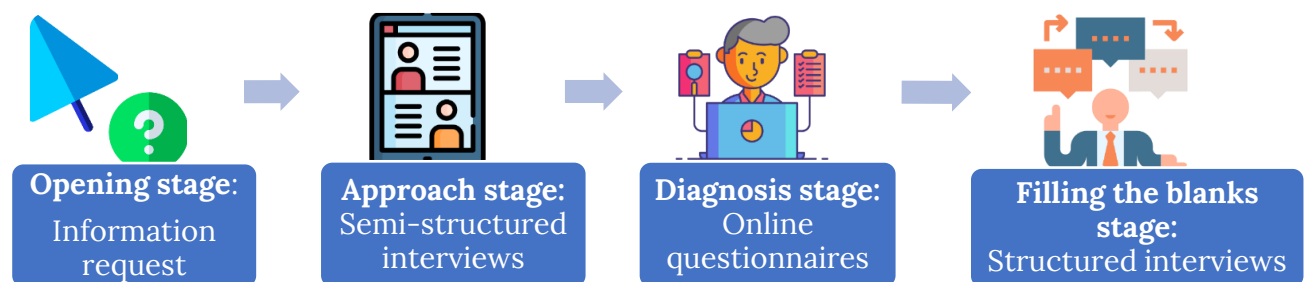
One main assumption underpinning the methodological design of the MESA, is that building a sustainable RBM System requires the active involvement of multiple stakeholders. The methodology designed to implement the MESA uses different data collection methods to identify and engage these stakeholders at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

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

#### Stages of the MESA

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

**Figure 4. Stages of the Monitoring and Evaluation Systems Analysis**



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

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

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

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

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

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

**Table 1: Regional Institutions MESA Numbers**

	<b>Stage 1 – Opening</b>	Information request to Executive Coordinator + document analysis (+35 documents) + research on official websites.
	<b>Stage 2 – Approach</b>	+15 semi-structured interviews were designed and conducted by the GEI team with relevant stakeholders from the Regional Institutions.
	<b>Stage 3 – Diagnosis</b>	+15 online questionnaires were sent to units or departments and answered with both the whole-of-Institution and unit or department approaches.
	<b>Stage 4 – Filling the blanks</b>	+3 structured interviews were designed and conducted by the GEI team with relevant stakeholders from the Regional Institutions and from International Development Partners and Organizations.

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

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



### Strengths of the MESA developed in the three pilot Regional Institutions

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

### Limitations of the MESA developed in the three pilot Regional Institutions

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

## **4. Main findings**

As mentioned above, this diagnostic uses as a reference a four dimensions analysis, each one contains elements considered relevant to have an "Ideal RBM System". This Ideal RBM System serves as a benchmark that allow to compare the current situation in the pilot Regional Institutions in relation to the referenced "best" possible scenario regarding practices, uses, and results of RBM. In this way, Table 2 shows the rate of progress that CDF, CXC and IMPACS have in each of the dimensions of analysis, with respect to the ideal scenario. The elements and sub-elements of the referenced Ideal RBM System are not usually part of the status quo; they should be identified, designed, and developed; following this, an institution that has not considered adopting RBM practices or has just begun, could not comply or show advances in any of the analysed



elements. In this sense, all the advances identified in this diagnosis represent valuable progress and existing basis to build on.

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

*Table 2. Rate of progress of the Regional Institutions*

Dimension	Rate of progress		
	CDF	CXC	IMPACS
<b>Institutionalisation</b>	<b>50%</b>	<b>71%</b>	<b>46%</b>
<b>Execution framework</b>	<b>34%</b>	<b>46%</b>	<b>54%</b>
<b>Technical Capabilities</b>	<b>88%</b>	<b>63%</b>	<b>56%</b>
<b>Use of Evidence</b>	<b>15%</b>	<b>43%</b>	<b>31%</b>

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

Considering this rate of progress, a metric was built to progressively identify five levels of maturity of RBM systems, following on previous work developed by the CARICOM Secretariat during Phase 1 of the CARICOM RBM System. In this way, the data presented above was averaged, identifying the level in which the country is placed<sup>4</sup>. The 5 levels are:

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

The three pilot Regional Institutions show advances in the four analysed dimensions. The MESA and the process used to identify the degree of progress, which allows to assign a level of maturity of RBM systems place the three pilots in the third level: "Growing RBM System".

Over the years, the CDF has been seeking ways in which it can enhance its operations and improve its level of efficiency as it designs and implements much needed infrastructure and investment projects for disadvantaged CARICOM Member States

<sup>4</sup> For more information, please see Appendix C.



and has identified RBM to achieve this. The MESA shows that the CDF is committed to the process which is required to implement RBM and expects that the benefits accruing from its implementation will enable it to focus more on other key areas of its mandate, thus enabling the institution to develop and be better able to serve the Community. Based on the information analyzed, CDF had demonstrated integrated efforts (political will, capacity building and some whole-of-institution consensus) to develop the RBM System.

The RBM approach is not new to the CDF and so the Institution has commenced adopting several RBM practices which can be demonstrated through the adoption and use of the CARICOM RBM Work Programme & budget template, quarterly reporting which is done using the CARICOM RBM Quarterly Progress Report template, and its adoption and use of the CARICOM Monitoring, Evaluation and Reporting System (CARMES). One of the greatest areas of progress for the CDF is the development and approval of its RBM Policy, designed by the CDF using a consultative approach and approved by its Board of Directors in July 2021. CDF expects to be able to implement their RBM policy but identifies capacity building needs among its staff to better achieve this.

The second pilot Regional Institution for which a MESA was developed is the Caribbean Examination Council (CXC<sup>®</sup>), who are considered an advanced results-oriented organisation among CARICOM's Regional Institutions and have made several efforts to adopt an RBM system to face and overcome some challenges. Significant efforts have been done in developing and implementing a medium-term results-oriented plan with clear strategies, KPIs and yearly targets to track the progress in achieving them. There are also significant efforts in monitoring activities with the use of the Balance Score Card methodology in an integrated system (SIS).

In 2020, CXC<sup>®</sup> created the Corporate Planning and Strategy Management Unit (CPSM) to oversee the institutional planning activities as well as the M&E of the implementation of the strategics' medium-term plan. The development of CXC<sup>®</sup>'s Strategic Plan 2021 – 2025 is another big step toward a systematic results-oriented approach. This Plan sets a clear general goal, specific strategies to achieve this, and specifies key performance indicators (KPI), yearly targets, and responsible units or departments. Another significant advance by CXC<sup>®</sup> was the adoption of the Spider Impact System (SIS), a management tool that uses the BSC to monitor the institution's performance and keep track of the achievement of defined goals.

Finally, the third Regional Institution participating in the collaboration as pilot and for which a MESA was developed is the Implementation Agency for Crime & Security (IMPACS). IMPACS has indicated that it strongly believes that the full adoption of RBM by the RI will serve as a tool which will enable it to: efficiently and effectively manage



its planning process, facilitate the implementation of the RI's Work Programme and enhance the capacity of the staff to measure their performance and results.

Significant efforts have been made in developing and implementing IMPACS's Annual Work Programme which highlights the activities which the RI pursues; for each activity there is a corresponding milestone which the RI intends to achieve for the year. There are also efforts in monitoring activities with the use of the CARICOM Quarterly Progress Report template and also by reporting on the Institution's performance by providing information and data on CARICOM indicators in the CARMES. IMPACS's reported that for each of its donor funded projects, it designs and uses the logframe methodology. As a requirement of the donor and to assess the performance of these projects, most of them are evaluated by external evaluators. IMPACS has an approved RBM Policy, however, there is a lack of established guidelines for M&E, clear activities and responsibilities.

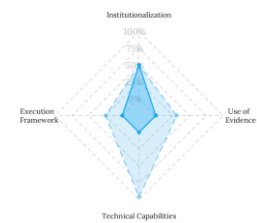
## **4.1 Results by dimension**

The results of this diagnosis for each of the dimensions analysed (and their ideal elements) are presented below in a synthetic way for each Regional Institution. For more detailed information on each dimension definition, element, and sub-element, review Appendix C and visit the interactive platform or the individual reports to review all the disaggregated findings of each Regional Institution's diagnostic.

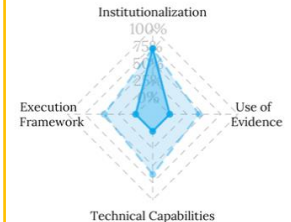
## Institutionalisation

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

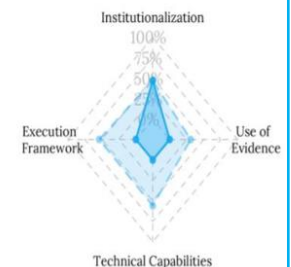
**Key message:** Results-based Management is internally driven and there is strong commitment to implement RBM at the highest level of the organization. Currently, **CDF** is in the preliminary phase of institutionalizing RBM. In 2021, the Board of Directors approved the RBM Policy for implementation across the organization. The organization is now focused on developing and implementing guidelines and an operational framework to support the integration of RBM in the operations processes. Knowledge Management will be operationalised within the organisation to ensure that promising and best practices are shared to support the achievement and retention of results.



**Key message:** **CXC**<sup>®</sup> has clear regulations on planning and M&E (specifically on strategic evaluation). There are important advances in the development of an RBM policy with the Strategic Management Framework (SMF); In addition, they are working on a new Corporate Performance Framework that will complement the SMF. However, there is no link between the budget process and the use of M&E results to improve it.



**Key message:** **IMPACS** is dedicated to responding positively to the mandate of implementing RBM throughout the Caribbean Community which includes the implementation of its RBM Policy in its Office and two sub-agencies. Given its dedication to this mandate, the RI has commenced implementation of its RBM Policy within the framework of the CARICOM RBM System. This is evident through its development and approval of an RBM Policy, adoption and use of various RBM tools which include the CARICOM RBM Work Programme & Budget template and logical frameworks which are developed and used with its projects. The RI has indicated its readiness to now fully operationalize its RBM Policy.





Ideal element	CDF	CXC	IMPACS
<p><b>1. There is a documented, approved, and binding RBM Policy within the Regional Institution (RI)</b></p>	<p>The Organization’s RBM Policy was approved by the Board of Directors in 2021 for implementation.</p>	<p>CXC® has been working in a Strategic Management Framework (SMF), a document that contains different elements of an RBM policy. This document is still to be approved.</p>	<p>IMPACS has an RBM Policy which was approved by the Council for National Security and Law Enforcement (CONSLE) in 2020. To facilitate its full implementation, there needs to be an institutional drive which will provide RBM sensitization training to all members of staff.</p>
<p><b>2. There are guidelines that establish the rules and processes to perform monitoring activities</b></p>	<p>There are no documented guidelines for performing monitoring activities although the CDF’s RBM policy acknowledged its importance and possible areas for use. The CDF GUIDELINES &amp; PROCEDURES FOR COUNTRY ASSISTANCE PROGRAMMES (CAPS) include guidelines for Project implementation and monitoring. However, the implementation of the RBM policy will enhance the institutionalisation of a robust Monitoring framework.</p>	<p>The SMF outlines a general monitoring process. Also, CXC® has defined key performance indicators (KPIs) and initiatives that are tracked periodically. However, there are no specific guidelines for monitoring activities.</p>	<p>IMPACS’s RBM Policy outlines its monitoring process. Additionally, the RI has protocols which guide its monitoring activities. These protocols have been developed internally and in collaboration with its external partners.</p>





Ideal element	CDF	CXC	IMPACS
<p><b>3. There are guidelines that establish the rules and processes to perform evaluation activities</b></p>	<p>There are no documented guidelines for evaluation activities although the CDF's RBM policy acknowledged its importance. The CDF GUIDELINES &amp; PROCEDURES FOR COUNTRY ASSISTANCE PROGRAMMES (CAPS) include guidelines for evaluation activities. However, the implementation of the RBM policy will enhance the institutionalisation of a robust Evaluation framework.</p>	<p>The SMF outlines a general evaluation process. However, there are no specific guidelines for performing evaluation activities.</p>	<p>IMPACS's has developed rules and processes on how to execute its evaluation activities and these are outlined found in its RBM Policy and or various Project documents approved by its management and their donors.</p>



Ideal element	CDF	CXC	IMPACS
<p><b>4. There are guidelines that establish the rules and processes to address and use of M&amp;E results</b></p>	<p>The RBM Policy addresses the use of M&amp;E Results through the use of a lessons learned database, the publication of reports and the use of data for planning. However, there are no guidelines establishing the use of results.</p>	<p>The SMF mentions that periodic status reports and Management review meetings will be held to discuss the achievement of the strategy through a review of key performance indicators (KPIs) accomplishments.</p>	<p>IMPACS's rules and processes to address the use M&amp;E results can be found in its RBM Policy.</p>
<p><b>5. There are actions towards building an enabling environment</b></p>	<p>The Organization has raised awareness of the importance of RBM at the highest level and has strengthened the staff complement with this in mind. However, there is no existing taskforce to operationalize, monitor and sustain the implementation of the RBM approach within CDF. Training for other technical staff in RBM will be addressed in the implementation phase. The Organization has raised awareness of the importance of RBM at the highest level and has strengthened the staff complement with this in mind. Although there is no existing task force to operationalize, monitor and sustain the implementation of the RBM approach within CDF, the CARICOM RBM System requires the establishment of a RBM Steering Committee. Training for</p>	<p>The Strategy Evaluation process in the SMF involves periodic meetings with relevant stakeholders from different departments and units within CXC® to discuss the achievement of KPIs and take necessary actions to keep CXC® in the road of accomplishing the targets and objectives in the Strategic Plan 2021 – 2025 (SP).</p>	<p>More needs to be done to create an RBM enabling environment at IMPACS. At present, incentives to use RBM are provided by external donors and to a limited extent, by the IMPACS programmes &amp; Projects Department.</p>



Ideal element	CDF	CXC	IMPACS
	<p>other technical staff in RBM will be addressed in the implementation phase.</p>		



Ideal element	CDF	CXC	IMPACS
<p><b>6. There is an institutional Results Oriented Plan defined for a given period</b></p>	<p>There is no results-oriented plan for the organization. CDF has an approved RBM Policy (status) and have piloted an Institutional level scorecard in the 8th Biennium Work Programme &amp; Budget.</p>	<p>CXC® has the SP, a document with strategic objectives, specific initiatives and KPIs, as well as responsible stakeholders. It was developed by the CPSM unit in a participatory process. Its progress is monitored with the Spider Impact System (SIS), a strategy and KPI management tool.</p>	<p>In 2021, IMPACS was in the process of completing an internal strategic review. This was being done by an external consultant and the results from this consultancy are to be used to inform the development of IMPACS's first Strategic Plan.</p>



Ideal element	CDF	CXC	IMPACS
<p><b>7. There is an institutional budgeting strategy for a given period</b></p>	<p>The Budgeting Strategy utilized by CDF utilizes a two-year budget cycle that considers the progress of the last cycle and the projected programme costs.</p>	<p>CXC® has a three-year budgeting strategy plus a two-year forecast. The SIS generates information that can help guide the budgetary process; however, it is perceived as complete.</p>	<p>IMPACS's budget cycle spans the period January - _December. Contributions to the development of the budget are given by each department manager and the compilation of the final draft budget is done by the Financial Controller, in collaboration with the Programmes &amp; Projects Department.</p>
<p><b>8. There is a specific unit / department within the Regional Institution responsible for the planning functions</b></p>	<p>The planning function is spearheaded by the corporate planner with the support of other technical officers within the organisation.</p>	<p>The Corporate Planning and Strategy Management Unit oversees coordinating the planning activities in CXC®. This unit ensures collaboration in planning among different departments and divisions.</p>	<p>There is no planning Department at IMPACS. At the time of the semi-structured interviews, the planning function was being supported by the Programmes &amp; Projects Department.</p>



Ideal element	CDF	CXC	IMPACS
<p><b>9. There is a specific unit / department within the Regional Institution responsible for the budgeting functions</b></p>	<p>The budgeting function is spearheaded by the Financial Comptroller.</p>	<p>The Finance and Office Management Department is responsible for budgeting activities in CXC®; it operates with a financial controller who leads a financial office management team. It oversees implementing and coordinating the budgeting activities within CXC®.</p>	<p>There is a Finance Department at IMPACS which works closely with the managers of the other departments to compile IMPACS's Annual Budget.</p>
<p><b>10. There is a specific unit / department within the Regional Institution responsible for the M&amp;E functions</b></p>	<p>The organization does not have a designated department for M&amp;E, however this function is subsumed under the roles and responsibilities of the Corporate Planner. Since the demand for evaluations does not require full-time support, CDF will engage external assistance to manage evaluations. The organization does not have a designated department for M&amp;E, however, M&amp;E is intended to occur at two levels – institutional and project. Project level monitoring, and self-evaluations in the form of Project Completion Reports, are the</p>	<p>The CPSM unit is also in charge of implementing and coordinating the M&amp;E activities in CXC®, such as the management of the SIS, which uses the BSC methodology for strategy management.</p>	<p>There is no M&amp;E Department at IMPACS, however, the M&amp;E functions are being led by the Programmes &amp; Project Department.</p>

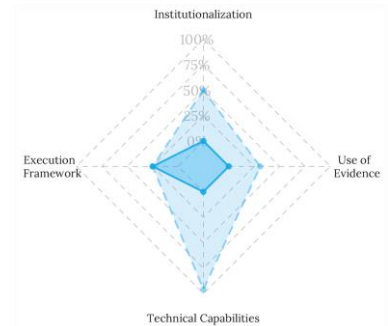


Ideal element	CDF	CXC	IMPACS
	<p>responsibility of the Regional Development Division. Institutional level monitoring, including quarterly monitoring at the institutional level and a mandatory, end-of-cycle independent evaluation is managed by the Corporate Planner. Since the demand for evaluations does not require full-time support, CDF will engage external assistance to manage evaluations when required.</p>		

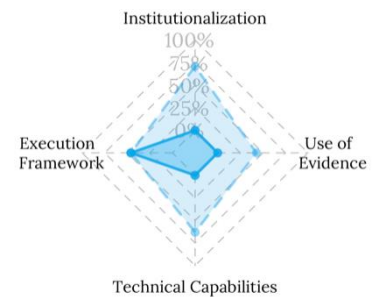
## Execution Framework

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

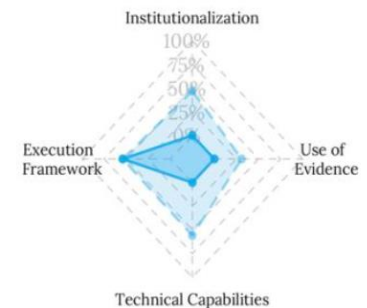
**Key message:** CDF is in the preliminary phase of operationalizing RBM which is focused on establishing the prerequisites for a functional and effective RBM System.



**Key message:** CXC<sup>®</sup> has strong monitoring practices, uses monitoring tools such as the BSC, and integrates the information in the Spider Impact System to follow-up the institution's performance. It also performs assessments of the KPIs to derive recommendations. However, there is a lack of use-oriented M&E activities for budgeting.



**Key message:** As IMPACS strives towards implementing the RBM Approach, it has continued to adopt various RBM tools such as the logic framework and the CARMES, which are intended to support how it collects and monitors information and data. Despite this, it is to be noted that IMPACS lacks written Monitoring and Evaluation Guidelines which are needed whilst implementing an RBM System.







Ideal element	CDF	CXC	IMPACS
<p><b>11. There are operative handbooks to implement the monitoring functions (i.e., Logic Framework</b></p>	<p>There are no operative handbooks for the monitoring functions. However, the Country Assistance Programmes which is a key intervention of the CDF is reflected in the CARICOM Logic Model and Performance Measurement Frameworks. CDF reports on the indicators aligned to the CAP. There are no operative handbooks for the monitoring functions, the Guidelines and Procedures for Country Assistance Programmes which is a key intervention of the CDF, provide information relating to the monitoring function. Also, the Country Assistance Programmes is reflected in the CARICOM Logic Model and Performance Measurement Frameworks. CDF reports on the indicators aligned to the CAP. This will be further addressed as CDF moves into the implementation phase of operationalizing RBM.</p>	<p>CXC® uses the BSC methodology to perform its monitoring activities. However, there are no available operative handbooks to implement the monitoring functions within CXC®.</p>	<p>There are no official handbooks to implement the monitoring function at IMPACS. However, IMPACS has adopted the use of Logic Frameworks for its donor funded projects. The work of IMPACS is also guided by the CARICOM Logic Model.</p>
<p><b>12. There are operative handbooks that establish specific steps to develop</b></p>	<p>There are no operative handbooks for the evaluation of the work of CDF. This will be addressed as CDF moves into the implementation phase of operationalizing RBM. There are no</p>	<p>There are no available operative handbooks to implement the evaluation functions within CXC®.</p>	<p>There are no official handbooks on how to implement the evaluation function at IMPACS. However, IMPACS's RBM Policy does outline the role of evaluation and how it is to be implemented and used in</p>

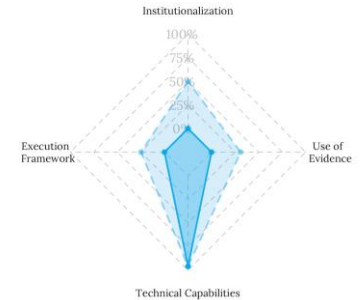


<p><i>each stage of the evaluation function</i></p>	<p>operative handbooks for the evaluation function, the Guidelines and Procedures for Country Assistance Programmes which is a key intervention of the CDF, provide information relating to the evaluation function. This will be further addressed as CDF moves into the implementation phase of operationalizing RBM.</p>		<p>the RI. It is envisaged that the RBM Policy will be operationalised in 2022.</p>
<p><b>13. The RI collects information to monitor its performance</b></p>	<p>CDF's projects all have specific key performance indicators which are used on a regular basis to measure and monitor performance. Performance-related data is collected at the project level and the data assessing the macro-level (Community results) is submitted through CARMES (Report on 9 indicators).</p>	<p>The CPSM unit collects information to monitor CXC®'s performance using the SIS. The CPSM unit has clear key performance indicators (KPIs) and the initiatives surrounding those objectives. The KPIs' data is captured on the initiative's performance, budget spending, issues, and CXC®'s target. After the information is captured, the units/departments analyze it.</p>	<p>There are several monitoring mechanisms that are used by IMPACS to collect information and data which are used to track its performance. At the institutional level, there are CARMES and the required CARICOM quarterly reports. At the project level, IMPACS collects data and uses it to monitor based on the requests of its donors.</p>
<p><b>14. The regional institution has an evaluation plan for its activities, interventions or programs</b></p>	<p>The Regional institution does not have an evaluation plan for its interventions and programmes but promotes the evaluation of its programmes. The RBM Policy acknowledges the importance of Evaluations (Ex-ante and Ex-post evaluations). However, Evaluations are not conducted routinely and are mainly requested by the CDF Board.</p>	<p>CXC® has an evaluation process that consists in the periodic and systematic analysis of the monitoring results.</p>	<p>Although IMPACS does not have an evaluation plan for its internal activities, it is important to highlight that, as a stipulation from its project donors, most of IMPACS's projects have to be evaluated by external evaluators.</p>

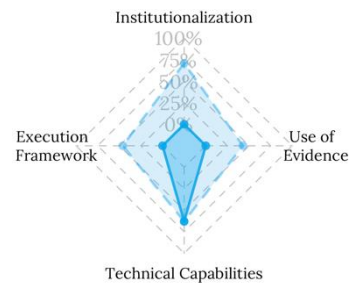
## Technical capabilities

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

**Key message:** CDF has the technical capabilities to support the RBM System. The organization has committed to building the capacity of other technical staff in RBM to strengthen the budget, planning and M&E functions of the organization.



**Key message:** There are strong capabilities in planning, budgeting, and monitoring activities in CXC®. It is also reported that some staff have received training in evaluation types. However, CXC®'s evaluation needs are not clearly identified.



**Key message:** Although the IMPACS Team is committed to successfully implementing RBM within its Office and Agencies, the lack of human and financial resources have prevented it from focusing on the development of an RBM Capacity Building Plan. This is of great significance, as at present, there are only a few members of staff who have been formally trained in some aspects of RBM. To fully implement RBM at IMPACS, the training of staff in RBM will have to be a priority.





Ideal element	CDF	CXC	IMPACS
<p><b>15. There are skilled personnel in the RI with technical capacity and competencies to conduct planning and budgeting for results</b></p>	<p>A Corporate Planner was hired to strengthen the planning function. The budgeting function is undertaken by the financial comptroller who has professional competencies in this area. Results-based budgeting is not undertaken by CDF and needs to be strengthened.</p>	<p>During the development of the Strategic Plan, some staff from different departments was involved in the planning activities to develop capacities.</p>	<p>The IMPACS team is comprised of many professionals who have either attained a Masters and or a Bachelors degree in areas such as Monitoring &amp; Evaluation, Project Management, Computer Science, Psychology, Human Resource and Mathematics. There are also trained professionals who have been certified with ACCAs and other internationally recognized certification. The team, however, requires more training in the area of RBM.</p>
<p><b>16. There are skilled personnel in the RI with technical capacity and competencies to conduct monitoring activities</b></p>	<p>CDF has existing competencies within its structure to conduct monitoring activities including the Corporate Planner, Resource Mobilization Officer, and the Regional Development Division.</p>	<p>There are certified staff in the Balance Scorecard Institute and indicator development. Also, there has been different training to use the Spider Impact System.</p>	<p>IMPACS has trained professionals who are able to conduct monitoring activities in a competent manner. However, there is need for more professionals who possess these skills.</p>
<p><b>17. There are skilled personnel in the RI with technical capacity and competencies to</b></p>	<p>External Evaluators are retained (using competence requirements and peer reviews) to support the evaluation function of the organization. There is a need to strengthen the organizational capacity to undertake routine</p>	<p>There are staff with training in evaluation types, but there is lack of training in how to conduct and use the results of evaluations.</p>	<p>IMPACS has trained professionals who are able to organize and conduct evaluations in a competent manner. However, at present, most of IMPACS's evaluations are conducted by external consultants who are engaged to evaluate their projects.</p>

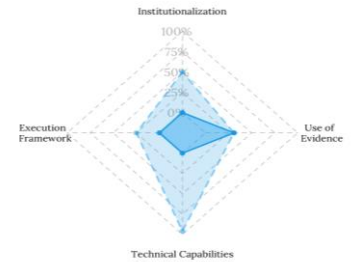


Ideal element	CDF	CXC	IMPACS
<b><i>conduct evaluations and evaluation activities</i></b>	evaluations and to understand the various evaluation types, methodologies and approaches that can be used to evaluate the performance of the CDF Programmes.		IMPACS staff does require additional training in the area of evaluation.

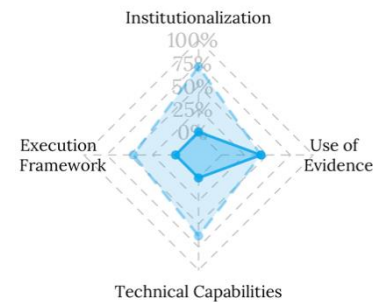
## Use of evidence

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

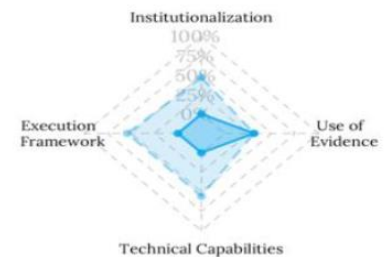
**Key message:** CDF has the technical capabilities to support the RBM System. The organization has committed to building the capacity of other technical staff in RBM to strengthen the budget, planning and M&E functions of the organization.



**Key message:** There is transparency in planning, and annual reports were delivered until 2019. In addition, there are mechanisms for the use of M&E results to improve planning and partially for budgeting. However, there is no transparency with budgeting. A strategy to generate a culture of evidence use is not identified.



**Key message:** IMPACS's RBM Policy clearly makes provision for the use of monitoring and evaluation results as IMPACS engages in its planning and budgeting processes. However, due to the lack of adequate human and financial resources, the use of monitoring and evaluation results to inform the decision-making process, is used in an unsystematic and ad hoc manner.



Ideal element	CDF	CXC	IMPACS
<p><b>18. RBM documents are publicly available for consultation</b></p>	<p>RBM related documents for the organization are shared with stakeholders upon request. However, those documents which inform or are required for decision-making are shared with the Board of Directors.</p>	<p>There are some publicly available documents such as the Strategic Plan 2021 – 2025 and annual reports. However, budget reports are not available for public consultation.</p>	<p>Some of IMPACS's documents are publicly available on its website. However, documents which are not posted on its website can be requested and access to these documents provided.</p>
<p><b>19. There are guidelines that establish the rules and processes to address and use of M&amp;E results</b></p>	<p>The RBM Policy highlights the importance of using M&amp;E Results, however there are no rules and processes.</p>	<p>The Strategic Management Framework has specific processes for monitoring and evaluation activities, and the final element of the processes is to deliver status reports and hold Management Review Meetings. The expected result of the meetings is to act in case the defined targets are not being achieved.</p>	<p>IMPACS does not have any guidelines which explicitly identifies positive or negative incentives for the use of monitoring results. Staff at IMPACS are aware of the benefits of using monitoring results, but some believe it is time consuming to collect, compile and analyse data which are used when monitoring results. The required time and effort needed when monitoring results is seen as a disincentive to the adoption and use of RBM/M&amp;E.</p>

Ideal element	CDF	CXC	IMPACS
<p><b>20. M&amp;E results are systematically included in the planning &amp; budgeting of programs and public policies</b></p>	<p>The progress made in implementing the projects under CDF portfolio informs decision-making related to budgeting, programmes and public policies.</p>	<p>The Corporate Planning and Strategy Management Unit produces progress reports in the implementation of CXC®'s Strategic Plan and Corporate Performance Reports. These reports are directed to the Internal - Line and Senior Management and Executive.</p>	<p>There are no formal institutionalised mechanisms implemented to ensure that M&amp;E results are included in the planning and budgeting of programmes and public policies. Instead, the planning and budgeting processes for programmes and public policies are highly influenced by the CONSLE, donors and the Member States. Allocations made in previous budgets also play a role in the development of IMPACS's budget.</p>
<p><b>21. The RI has mechanisms to measure the use of evidence that the RBM system generates</b></p>	<p>There are no mechanisms to measure the use of evidence generated by the RBM system. Currently, this is not being monitored.</p>	<p>The use of the Spider Impact System allows CXC® to track its progress in the achievement of defined targets. Also, the recommendations from monitoring information analysis and the Management Review Meetings allow for adjustments to be made. However, it is not clear if there are mechanisms to measure the use of this analysis and recommendations.</p>	<p>At present, IMPACS does not have a system in place which measures its use of evidence.</p>





## **4.2 Main challenges to strengthen the RBM system**

As mentioned in previous sections, the development of an RBM System is a complex, nonlinear, and continuous process that must be contextualized to each Institution needs. In doing so, it is important to consider some main that have been identified during this process.

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

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

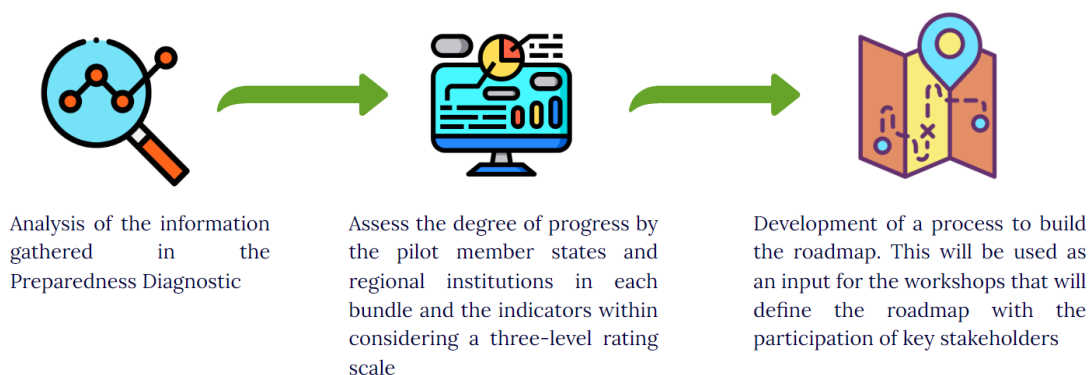
1. Changing the culture and fostering the enabling environment to have an RBM system in place implies a change of mindset of staff at all levels. It should be considered that throughout the process there must be a continuous awareness/sensitization strategy, both in the short and medium term, that all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

## 5. Next steps to build the roadmaps

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

The roadmaps will present pathways to influence planning, budgeting, implementation, and the M&E functions, as well as to promote accountability and learning. The main objective is for CDF, CXC and IMPACS to have defined action courses that also specify responsibilities and show the importance of the participation of all relevant stakeholders.

**Figure 6. From an ideal RBM system to the roadmaps**



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

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

RBM Steering Committees (SC) have been established or are in the process of being established within the pilot Regional Institutions. These groups are integrated by key stakeholders. The objective is that these committees will be responsible for following up on the construction of the roadmaps, promoting ownership towards implementation, and maintain the general course of their operation, ensuring as much as possible their relevance and feasibility, considering their institution's context and needs. Additionally, the Steering Committees' members will have a regional role to play,

as it is expected that communication is sustained among the committees as they take the place of regional RBM champions. The members of this committee should have three characteristics: first, they should have decision-making power or leveraging capacities in the planning, budgeting, and/or implementation processes; second, they should have leverage in the different units or departments; and third, they should have the capacity to decide on elements of the collaboration (once they gather, they can make decisions on the spot). Information on each Regional Institution's Steering Committee can be found in the individual reports.

**Figure 7. Learning loop**



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

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



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

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

It is crucial to gain whole-of-Institution ownership over the results and the process, so it is important to define and implement a dissemination strategy for **sharing clearly define milestones** in different levels: internal, external, and regional; once they have been clearly defined and responsibilities have been assigned. Finally, it is important to **track the progress** of implementation and communicate results to assure that the Regional Institutions learn from the process, adjusts, and stays on the recommended path, as well as communicating results. The continuum process of identifying, sharing, reviewing, and adjusting represents a learning loop.

CDF, CXC, and IMPACS have reached different levels of progress in the process to develop contextualized roadmaps, its validation and initial implementation. More details on the specific work of each pilot may be consulted in the individual MESA reports.

## **Stakeholders' contribution analysis**

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

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



## 6. Appendix

### A. Conceptual framework

#### a. Key dimensions of a sustainable RBM System

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

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

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

#### b. Ideal elements & sub-elements

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



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

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

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

<b>Institutionalisation</b>		
<b>1. There is a documented, approved and binding RBM Policy within the Regional Institution (RI)</b>		
1.1 It outlines guiding principles / pillars that are aligned to a results-oriented approach	1.2 It communicates what RBM entails (e.g., clear definitions for key concepts) and clearly states how it works	1.3 It identifies key actors within the regional institution, CARICOM Organs and Bodies who are responsible for the coordination and measurement of the overall results of the RBM policy
1.4 It identifies key actors who are responsible for supervising the implementation of the RBM policy and their functions	1.5 It is use-oriented in planning, budgeting and implementing towards results, transparency and accountability	1.6 The funding for M&E activities and the responsible are identified
<b>2. There are guidelines that establish the rules and processes to perform monitoring activities</b>		
2.1 They identify indicator types and the dimensions they want to measure (e.g. efficiency, efficacy), and monitoring tools (e.g. logic framework) to be developed for each project / social programme	2.2 They identify specific timeframes to collect indicator data and develop monitoring tools to measure the indicators (e.g., collect every six months) for each project	2.3 They have criteria to ensure data collection quality (design, measurement, report)
2.4 They integrate the indicators as a monitoring system	2.5 The monitoring system has a stablished process to update its information periodically	2.6 The monitoring system has a stablished process to update its indicators periodically
2.7 There are rules providing all parts in the monitoring process with a way of presenting their opinion (e.g., institutional positions)		
<b>3. There are guidelines that establish the rules and processes to perform evaluation activities</b>		
3.1 They identify key stakeholders to be part of the evaluation process (e.g., evaluation process coordinators, evaluation subjects, evaluation process implementors)	3.2 They identify specific evaluation types	3.3 They identify specific timeframes for each evaluation type
3.4 They identify specific characteristics and functions of evaluators	3.5 It establishes an iterative process of evaluation (e.g., it is not a one-time exercise)	3.6 They identify the elements to be included in the evaluation's ToRs (e.g., objectives of the evaluation, the role and responsibilities of the



		evaluator and evaluation client and the resources available to conduct the evaluation)
3.7 They outline the operationalization process of the national evaluation agenda (e.g., it is agreed among relevant stakeholders)	3.8 There have quality control mechanisms for evaluation activities (e.g., quality attribute listings, quality evaluations, peer review, satisfaction surveys, evaluate the evaluator)	3.9 There are rules providing all parts in the evaluation process with a way of presenting their opinion (e.g., institutional position)
<b>4. There are guidelines that establish the rules and processes to address and use M&amp;E results</b>		
4.1 They identify instruments to measure the RBM System results	4.2 They identify mechanisms to use monitoring results	4.3 They identify mechanisms to use evaluation results
4.4 They establish rules and processes that require the budgeting process to consider the results of M&E activities (they make explicit the link between planning and budgeting)		
<b>5. There are formal actions towards building an enabling environment</b>		
5.1 There are key stakeholders identified as responsible for these formal actions	5.2 There are strategies to enhance or attenuate positive or negative incentives for the use of monitoring	5.3 There are strategies to enhance or attenuate positive or negative incentives for the use of evaluation
5.4 There are mechanisms for the participation of stakeholders in the definition of monitoring activities and needs	5.5 There are mechanisms for the participation of stakeholders in the definition of evaluation activities and needs	5.6 There are periodic meetings involving relevant stakeholders to review the M&E information as an RBM System feedback exercise
5.7 There is a permanent strategy to communicate and sensitize about the benefits and challenges of M&E		
<b>6. There is an institutional Results Oriented Plan defined for a given period</b>		
6.1 It has defined objectives	6.2 It is constructed in a participatory process	6.3 It is constructed using the information generated by the RBM System
6.4 It has defined strategies to implement the plan	6.5 It has defined indicators and monitoring tools by mandate, and they measure outcomes and outputs	6.6 It is evaluated by mandate



6.7 It has specific evaluation activities	6.8 It has defined responsible actors	6.9 It considers regional (CARICOM) objectives
<b>7. There is an institutional budgeting strategy for a given period</b>		
7.1 It is allocated according to the objectives/goals/activities of the institutional planning	7.2 It considers the prioritization of the objectives/goals/activities identified in the institutional planning	7.3 It is allocated using the information generated by evidence and the RBM System
7.4 The budget allocation is defined in annual terms (e.g., it specifies the starting date, relevant milestones dates, and the end date)	7.5 It establishes a specific allocation of resources for M&E activities according to the budget period	7.6 It considers other available information to define its allocation (e.g., national statistics/poverty measurements/etc.)
7.7 It considers regional planning, objectives/goals/activities	7.8 The key actors and their responsibilities are clearly defined	
<b>8. There is a specific unit / department within the Regional Institution responsible for the planning functions</b>		
8.1 The unit / department has the necessary financial and infrastructural resources to undertake its functions and activities	8.2 The unit / department has the necessary human resources to undertake its functions and activities	8.3 The unit / department is known by all the other institution's departments and holds regular communication with relevant decision-making actors within the institution
<b>9. There is a specific unit / department within the Regional Institution responsible for the budgeting functions</b>		
9.1 The unit / department has the necessary financial and infrastructural resources to undertake its functions and activities	9.2 The unit / department has the necessary human resources to undertake its functions and activities	9.3 The unit / department is known by all the other institution's departments and holds regular communication with relevant decision-making actors within the institution
<b>10. There is a specific unit / department within the Regional Institution responsible for the M&amp;E functions</b>		
10.1 The unit / department has the necessary financial and infrastructural resources to undertake its functions and activities	10.2 The unit / department has the necessary human resources to undertake its functions and activities	10.3 The unit / department is known by all the other institution's departments and holds regular communication with relevant decision-making actors within the institution



## Execution Framework

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

11.1 They identify all the relevant activities to develop each stage of the process (e.g., Specific activities within the analysis of the project's context, stakeholder)	11.2 They outline specific timeframes to implement every stage of the process	11.3 They identify the responsible in every stage of the process
11.4 They outline a dissemination strategy of the LF results (what, how, when and to who do you want to diffuse the results)	11.5 The indicators are oriented to results and outcomes	

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

12.1 They identify all the relevant activities to develop each stage of the evaluation process (e.g., evaluators selection, ToR definition for each evaluation, evaluation supervision)	12.2 They outline specific timeframes to implement every stage of the process	12.3 They outline a dissemination strategy of the evaluation results (what, how, when and to who do you want to diffuse the results)
12.4 They identify the responsible		

### 13. The RI collects information to monitor its performance

13.1 It is timely: it is available when making policy decisions	13.2 It is trustworthy: there is a validation mechanism	13.3 It is systematized: it is organized for easy understanding
13.4 It is relevant regarding its management: it allows to measure the indicators of planning and budgeting for results	13.5 It has a defined update period	13.6 It is monitored periodically within the time horizon of planning and budgeting for results
13.7 It is replicable: anyone with access to the information may obtain the same results	13.8 It is collected considering vulnerable populations (e.g., they measure the access of women/indigenous/disabled people to the institution's interventions, they measure improvements in the goal to achieve gender equality). Please provide examples of gender approach	13.9 It is public/accessible to citizens



	strategies considered by your institution	
13.10 It is analysed in periodic reports	13.11 It is documented in a user-friendly way (simple, concise, and easy-to-use decision-making reports)	13.12 It considers the Performance Measurement Framework (CARICOM's monitoring tool for the Strategic Plan)
13.13 The regional institution reports its monitoring results in the CARMES web portal		

**14. The regional institution has an evaluation plan for its activities, interventions or programs**

14.1 It has a specific evaluation strategy for a given period	14.2 It has evaluation activities delegated to specific actors (e.g. institution's M&E unit, external agencies)	14.3 It is the result of institutionalized planning exercises; that is, it follows an established procedure
14.4 It is known by those responsible for the areas/units of the institution	14.5 It has established the activities, interventions or programs to evaluate	14.6 It is designed considering vulnerable populations approach (e.g., the evaluations involve gender analytical tools and methodologies, etc.)
14.7 The document is public/accessible to citizens		

**Technical Capabilities**

**15. There are skilled personnel in the RI with technical capacity and competencies to conduct planning and budgeting for results**

15.1 They have technical skills to use derived evidence from M&E to improve planning (identify priorities, vulnerable population, what works to attend that priorities)	15.2 They have competences to use M&E results to define results-oriented budgeting (e.g., identify priorities, new public problems that should be addressed, policies that work, compare between policies), as well as soft skills	15.3 They have competencies to coordinate with other institutions and relevant actors
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**16. There are skilled personnel in the RI with technical capacity and competencies to conduct monitoring activities**

16.1 They have technical skills to collect indicator data	16.2 They have technical skills to use monitoring tools	16.3 They have the competences to identify monitoring needs in order to collect relevant, pertinent and timely data
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**17. There are skilled personnel in the RI with technical capacity and competencies to conduct evaluations and evaluation activities**

17.1 They have the competences to perform different evaluation types (e.g. design, process, impact) and use different methodologies (i.e., quantitative, qualitative, mixed-methods)	17.2 They have the competences to identify evaluation needs and match them with proper evaluation types and methodologies: define evaluation horizon and ask relevant evaluation questions	17.3 They have the competences to formulate reports that include relevant, pertinent and timely information for different stakeholders
17.4 There is a capacity strengthening plan for on-going training in RBM and M&E		

**Use of Evidence**

**18. RBM documents and the RIs performance information are publicly available for consultation**

18.1 Institutional planning documents are publicly available	18.2 Institutional budget plans are publicly available	18.3 Documents that mention the results/findings/recommendations of monitoring and evaluation activities are publicly available
18.4 M&E manuals / guidelines /ToRs are publicly available		

**19. There is an enabling environment for the use of M&E results**

19.1 There are explicit positive or negative incentives for the use of monitoring results	19.2 There are explicit positive or negative incentives for the use of evaluation results	19.3 There are knowledge management practices
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**20. M&E results are systematically included in the planning and budgeting**

20.1 They are used in an institutionalized way: they follow an established procedure	20.2 There are action plans or other management instruments to ensure M&E results/recommendations are implemented	20.3 They identify the target population of institutional interventions
20.4 They identify general and specific recommendations to improve the implementation of institutional interventions	20.5 They inform the design/redesign of institutional interventions	20.6 They inform the initial budget allocations of institutional interventions
20.7 They inform the budget increase/decrease/suspension of institutional interventions	20.8 Evaluation findings/reports are updated periodically	20.9 M&E results are used to define the RIs budget



## 21. The RI has mechanisms to measure the use of the evidence that the RBM system generates

21.1 There are mechanisms to know how much the reports and publications on M&E are downloaded or used by citizens

21.2 There are use-of-evidence measurements to improve the use of M&E results strategy

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

### c. Levels of progress

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

The scale used to assess the sub-elements are:

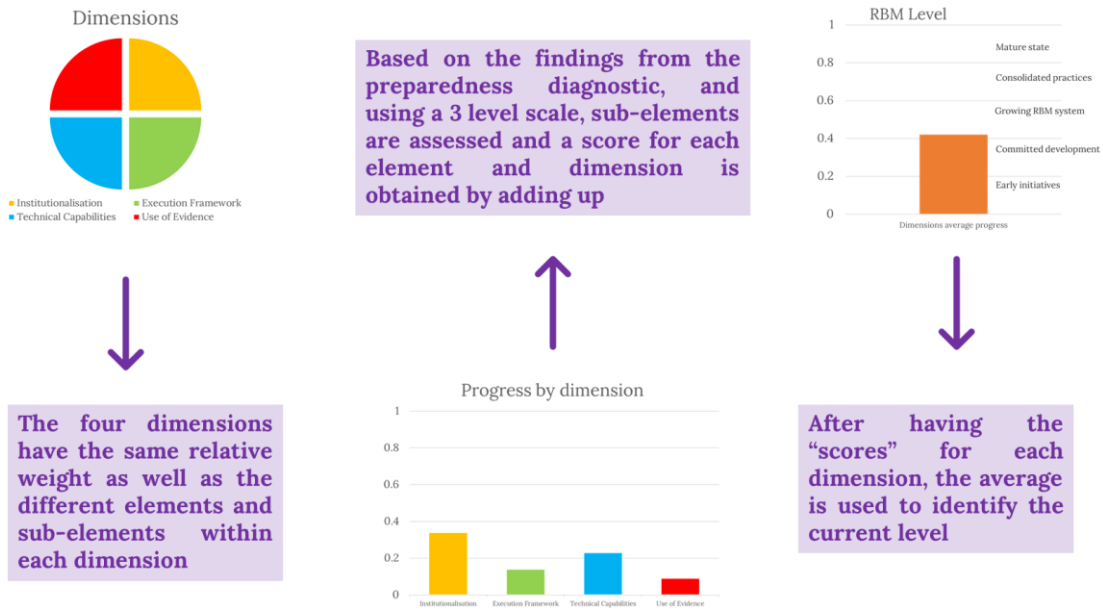
- No: there is no documented advance in the sub-element
- Needs improvement: there is documented advance in the sub-element, but there are opportunity areas
- Yes: there is documented proof that the sub-element complies with the needed/ideal characteristics

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

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



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



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