



**United Nations Development Programme: Barbados Sub-regional Office**

**DEMOCRATIC GOVERNANCE: CARIBBEAN SMALL ISLAND DEVELOPING STATES (SIDS)  
GOVERNANCE ASSESSMENTS AND MEASUREMENTS: BARBADOS & THE EASTERN  
CARIBBEAN**

## SIGNATURE PAGE

### United Nations Development Programme COUNTRY: SUB-REGIONAL PROJECT DOCUMENT

#### UNDAF Outcome:

- Integration of the MDGs into the Planning Framework: Focusing on data collection, information-sharing and capacity-building - Coherent, comprehensive and functional systems of poverty and MDG monitoring established regionally, supporting sound evidence, analyses, and policy making processes

#### Expected Outcome(s)

- Formulation of SIDS democratic governance indicators and established coordinated processes and frameworks to support development of democratic governance indicators
- Increased public awareness of SIDS democracy challenges and opportunities to facilitate citizens' engagement on new and emerging governance issues

#### Expected Output(s)

- A Caribbean specific governance assessment programme developed and anchored in national development plans such as Poverty Reduction Strategy Paper (PRSPs) and/or other national policy documents;
- Methodologies, based on global technical and scientific standards, used to inform SIDS governance assessments and inform SIDS policy reforms;
- Inclusive and consultative processes developed to inform indicators' selection through transparent, participatory processes, supported by broad based national and regional dialogues;
- UWI network and platform institutionalized with procedures to collect data from diverse sources - surveys, administrative data, national statistics, civil society;
- Targeted sensitisation to facilitate enhanced knowledge and capacities of national stakeholders i.e. government policy makers, civil society, academia, the media, parliament, political parties and national statistical agencies
- Government assessments disseminated and communicated to regional, national and sub-national stakeholders

**Executing Agency:** UNDP Barbados and the OECS

**Implementing Partners:** Faculty of Social Sciences, University of the West Indies (UWI) – Cave Hill, UWI Network, UNDP Oslo Centre

### Brief Description

The primary objective of this project is to modernize and strengthen evidence-based policy development in Barbados and the Eastern Caribbean. Project activities are designed to strengthen capacities of Caribbean decision-makers in the use of data generated from the democratic governance assessments (DGA) to support policy formulation, monitoring and implementation. This capacity development project will support country-led governance assessments, utilize a mix of global research methodologies including public/poll surveys to generate comprehensive, comparable, country specific, disaggregated, accurate, useful and user-friendly data for use by governance stakeholders which include governments, political parties, civil society organizations, research and learning institutions, and development partner agencies, at national, regional and international levels. The identification and selection of the indicators to be assessed will be the result of a highly participatory process led by the University of the West Indies (UWI) in collaboration with state and non-state actors in Barbados and the Eastern Caribbean (OECS) Small Island Developing States (SIDS). With these approaches, the project will capture both satellite indicators unique to Caribbean SIDS socio-cultural, economic and political specificities as well as internationally recognized core indicators central to democratic governance assessments.

The project will focus on the following 5 primary areas of relevance to democratic governance in the Caribbean:

- (1) strengthening of the democratic architecture, institutions and practices addressing issues of constitutional and justice sector reforms, decentralization and local governance, public sector reform, e-government and political parties;
- (2) public participation and civil society;
- (3) public education and awareness;
- (4) gender advancement;
- (5) systems' threats - multi-ethnicity, multiculturalism, economic crisis, crime, conflict management, resolution and consensus building.

Programme Period: 2009-2011  
Atlas Award ID: 00058109  
Project ID: 00072038  
SP Result Area: Fostering Inclusive  
Participation  
Start date: December 2009  
End Date: December 2010  
PAC Meeting Date: March 2009

Total resources required: US\$250,000 Total allocated resources: USD 200,000

- o Unfunded budget: US\$50,000
- o In-kind Contributions US25,000

Agreed by UNDP Barbados and the OECS:

*Paul Marshall - Officer-in-Charge*

## Situation Analysis

While countries in the English-speaking Caribbean can boast of relatively robust traditions of building and consolidation of democracy, there is an awareness of a history of persistent stress and challenge which have negatively impacted democratic practices and traditions.<sup>1</sup> Notwithstanding, most countries in the Region have embraced and adopted constitutional and legislative systems and strive to maintain and promote the ideals of democracy, in a Region perceived by stakeholders, both internally and externally, as being democratic. Yet, until relatively recent times, not much attention, has been given to reviewing concepts, progress and implications of democratic governance through the use of assessments that monitor and measure democracy its development, quality and nature.

Increasingly local, regional and international discourses have intersected and coalesced to generate more focus on the issue of effective democratic governance and its significance for sustainable human and national development. Academic institutions, civil society organizations, and various regional and international organizations - United Nations Development Programme (UNDP), the Organization of American States (OAS), the Caribbean Development Bank (CDB), CARICOM, the Inter-American Development Bank (IADB) and the World Bank (WB) have done much to create a broad-based public and institutional awareness that without good governance, countries' achievement and maintenance of short and long term sustainable economic, social, and political development is limited. The concept of fragile states is often characterized by weak state capacity, weak state legitimacy combined low income status. One common measure of state fragility is to use the World Bank's Country Policy and Institutional Assessment index, but more complex indexes, for example including the security dimension, are increasingly being used. Country contexts vary widely in this group of countries ranging from Haiti to Nepal, from Uzbekistan to Burundi. Some are trapped in a vicious cycle of violent conflict and poverty or suffer from a natural resource 'curse'; others face a legacy of poor governance<sup>2</sup>; many emerging from crisis cannot deliver even the most basic services to their citizens, such as the Democratic Republic of Congo. In terms of dynamics, fragile states include (i) post-conflict/crisis or political transition situations; (ii) deteriorating governance environments, (iii) situations of gradual improvement; and (iv) situations of prolonged crisis or impasse.

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<sup>1</sup> Well known examples include of a culmination of these challenges were events which led to the October 1983 execution of the Grenadian Prime Minister Maurice Bishop and other Ministers of Government which led to, the subsequent invasion by forces from the USA and other Caribbean countries to restore democracy. Other dramatic examples include the 1990 attack and siege of the Parliament of Trinidad & Tobago and the shooting/injuring of the Prime Minister A.N.R. Robinson by a local Islamist group (Jamaat al-Muslimeen) led by Yasin Abu Bakr, as well as political violence in Trinidad and Guyana emanating in part from ethnic conflict, or in the case of Jamaica as a result of competition between the two main political parties. Various countries have experienced community based civil unrest as a result of the perceived heavy-handed actions of law enforcement agencies and alleged extra-judicial killings.

<sup>2</sup> Source - [http://www.oecd.org/department/0,3355,en\\_2649\\_33693550\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/department/0,3355,en_2649_33693550_1_1_1_1_1,00.html)

For the Caribbean region, over the last decade or more there has been growing consensus that the constitutional models of governance and democracy, based on the Westminster Parliamentary system are in need of modernizing and overhaul. As a result several countries in the English-speaking Caribbean have undertaken or are currently in the process of constitutional reforms. The goals of these reforms often include and facilitate greater political decentralization and more active participation by civil society in decision-making processes, both at the national and regional levels. It is also frequently and popularly argued that the Westminster Parliamentary system, as practiced in the Caribbean, tends to emphasize division, exclusion and executive ascendancy, and does not foster participatory governance.<sup>3</sup>

Recently, societies throughout the region as well as systems of governance and democracy have experienced and have had to cope with increasing governance threats that emanate from stretched existing systems of accountability. These threats include corruption, globalisation, conflict rooted in ethnic and cultural differences, civil society disengagement, global health pandemics i.e. HIV/AIDS, flu viruses and chronic diseases, security and energy issues, the impact of natural disasters, economic distress related to global crime and violence threats linked to the drug trade and money laundering. The combined and interacting effects of these forces and issues have time and again created challenges that erode effective democratic governance, undermine human security<sup>4</sup> which impact human development gains and Small Island Developing States (SIDS) vulnerabilities. Caribbean SIDS recognize that these new development challenges which often deteriorate good and effective governance institutions and practices, cannot be ignored.

Despite challenging realities presenting new issues of governance and democracy, governance measurements and assessments are largely unknown and unused. Consequently, even though governments may occasionally express support for various dimensions and aspects of democratic governance assessments, in reality, promoting or even facilitating such assessments are often not a priority. Part of the problem also has to do with perceptions that these assessments are usually externally driven and conducted by

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<sup>3</sup> Cedric Grant, *Governance in the Caribbean Community*. Report prepared for United Nations Development Programme, December 2004.

<sup>4</sup> Dr. Mahbub ul Haq first drew global attention to the concept of human security in the United Nations Development Programme's 1994 Human Development Report and sought to influence the UN's 1995 World Summit on Social Development in Copenhagen. The UNDP's 1994 Human Development Report's definition of human security argues that the scope of global security should be expanded to include *threats in seven areas: Economic security, food security, health security, environmental security, personal security, community security, political security*. Since then, human security has been receiving more attention from the key global development institutions, such as the World Bank. Tadjbakhsh, among others, traces the evolution of human security in international organizations, concluding that the concept has been manipulated and transformed considerably since 1994 to fit organizational interests.<sup>[7][1]</sup>  
[http://en.wikipedia.org/wiki/Human\\_security](http://en.wikipedia.org/wiki/Human_security)

foreign entities whose motives and priorities might be at variance to national interests, institutions and practices. At other times, the effective utilization of these assessments and their perceived usefulness may be compromised by weak institutional capacities, uneven stakeholder engagement, unsustainable resources, poor coordination, weak political commitment and limited national or regional ownership.

### **Project Rationale**

Nevertheless, as past experience and the implementation of democratic governance assessments in other regions and countries have illustrated, there are real and tangible benefits to developing and updating governance frameworks. These assessments, once successfully executed can serve the following purposes which are relevant to, and indeed among the objectives of this project focusing on Barbados and Eastern Caribbean, as small island developing states.<sup>5</sup> Such assessments can:

- Provide an instrument for assessing the state of democracy by national and regional stakeholders processes
- Foster inclusive processes and governance practices
- Create critical accountability mechanisms for the public sector
- Help enhance national and regional capacities to identify the strengths and weaknesses of current democratic practices, in a systematic manner, and track changes in governance over time
- Raise public consciousness about democracy challenges and opportunities, allow citizens to engage on governance issues and give a focus to popular concerns about the politics of democracy
- Provide a framework for national consensus building, social partnerships and more participatory agenda-setting processes, with the engagement of all stakeholders leading to democracy consolidation
- Contribute to consolidation of democracy in Barbados and the Eastern Caribbean in a SIDS context supported by initiating, designing, and coordinating multi-stakeholder processes and frameworks for democratic governance indicators development
- Facilitate the designing, monitoring and evaluating of progress to development in the SIDS context and inform updating of national development plans and specific policy initiatives through the provision of reliable, disaggregated and contextualized data

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<sup>5</sup> For a fuller discussion on the various objectives for developing a nationally owned democratic governance assessment framework see, UNDP. *Global programme Capacity Development for Democratic Governance: Assessments and Measurements programme proposal 2008-2011*, UNDP 2008, pp.7-12; UNDP-Mongolia. Fifth international Conference of new and restored democracies. <http://www.un-mongolia.mn/icnrd5/dgi-1.htm>

- Build capacity of national and regional academic institutions through the introduction of specialized training, use of global methodologies and democratic governance assessments
- Expand the use of statistical and other methodologies to enhance the use of evidence-based policy formulation, supporting the generation of new development agenda and institutional reform

Initiating this assessment exercise, at this particular juncture of Caribbean development, is arguably then both timely and necessary to provide sign-posts and development options which can contribute to strengthening democratic governance in Barbados and Eastern Caribbean states as they face challenging globalized development contexts, which challenge traditional governance norms and practices. Indeed, the successful implementation of the democratic governance assessments in Barbados and the Eastern Caribbean can have significant positive implications to inform the achievement of MDG goals, specifically MDG 8<sup>6</sup> which addresses the development goals of small island developing states in all regions, as the search for ways to assess and strengthen democracy, human rights as pillars that support sustainable development and prosperity. Caribbean SIDS also can illustrate the challenges faced as middle income countries in the political, social and economic contexts of development.

### **Strategy**

This project supports a corporate strategic initiative of the UNDP Democratic Governance Practice, which supports the UNDP Strategic Plan 2008-2011 outcomes and that of the Paris Declaration<sup>7</sup>, that democratic governance assessments ought to be led by national/local stakeholders within states and aimed at helping these stakeholders to, “identify governance problems that need to be addressed, and to have at their disposal the means for assessing the effectiveness of policy reforms to address these problems”, using quality international assessment standards, methodologies and practices<sup>8</sup>. Governance assessments support enhanced democratic governance if designed to incorporate and make use of nationally and locally developed indicators to support policy decision-making and policy reforms. The focus of this Democratic Governance Assessment (DGA) project is to contextualize and adapt global DGA methodologies to meet the needs of Caribbean Small Island Developing States (SIDS). The processes will be guided

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<sup>6</sup> Target 8c: Address the special needs of landlocked developing countries and small island developing States (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)

<sup>7</sup> See for details [http://www.oecd.org/document/18/0,2340,en\\_2649\\_3236398\\_35401554\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html)

<sup>8</sup> UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008, pp.14-15

by the UNDP articulated country-led governance assessments processes which emphasize national ownership, capacity development and harmonization as detailed below:

#### 10 KEY POINTERS FOR COUNTRY-LED GOVERNANCE ASSESSMENTS<sup>9</sup>

1. The governance assessment system is anchored in the national development plan or other national political commitment such as the Poverty Reduction Strategy Paper (PRSP), African Peer Review Mechanism, national governance/anti-corruption strategy or similar.<sup>10</sup>
2. The assessment is country contextualised and focuses on national governance priorities.
3. A methodology is used that conforms to global standards in terms of technical and scientific rigour.
4. Indicators for the assessment are selected and generated through a transparent, participatory and inclusive process and the assessment process and results form part of a wide society dialogue.
5. There is an institutionalized procedure to collect data from a variety of sources (surveys, administrative data, national statistics, civil society) and a national database base for storing this information and making it publicly accessible.
6. The assessment is poverty and gender sensitive and sensitive to other vulnerable groups in the country.
7. There is a targeted approach to developing the capacities of national stakeholders including government policy makers, civil society, academia, the media, parliament, political parties as well as the national statistics agency, especially in regards to governance data collection, storage and analysis.
8. The assessment is cost effective and timely.
9. The results of the governance assessment are widely disseminated and communicated to stakeholders including vulnerable groups and are used by a broad range of stakeholders to inform governance policy reform.
10. Resources are available to ensure repetition of the assessment to enable monitoring of improvements/deterioration in the quality of democratic governance.

National ownership in line the aforementioned Paris Declaration would be achieved through inclusive and consultative processes involving government, civil society, elected

<sup>9</sup> UNDP. *Supporting Country-led democratic governance assessments*, pp.14-15

<sup>10</sup> In the context of Barbados and the Eastern Caribbean constitutional reform, poverty reduction strategies and plans supported by governments, UNDP and regional development agencies such as the Caribbean Development Bank (CDB), CARICOM and OECS articulated functional cooperation programmes and strategies will be utilized to inform a SIDS conceptual framework and DGA process



representatives and other key governance stakeholders. Capacity development is the catalytic entry point for enhancing capacities of national stakeholders to collect, collate, analyze, produce and use governance related data. Finally, harmonization speaks to the alignment of nationally owned governance assessments and monitoring systems to national development and sector specific plans, and related instruments such as the PRSPs, MDG progress reports, local development plans).

The managing and sequencing of the assessment processes both at the national and regional levels will be shaped by the steps identified in the following diagram and build on Oslo Global Programme methodologies and lessons learnt in support of the following activities :

1. Mapping existing governance indicators
2. Developing governance assessment frameworks
3. Design of data collection and governance databases
4. Use of governance indicators to inform policy-making.
5. Effective use of governance assessments by state and non-state partners
6. Advocacy based on enhanced monitoring and evidence-based policy inputs i.e. development of country-based or civil society governance indexes, thematic and sectoral governance assessments

#### Proposed Scope of Assessment: relevance of Mongolia model

In most large developed countries it often makes sense, for practical implementation and cost perspective reasons, among others, for a project of this nature to focus on a few selected areas of governance for assessment and analytical purposes. However, in the case of small island developing states such as Barbados and the Eastern Caribbean, it is proposed as an appropriate, relevant and cost effective undertaking a more broad-based and comprehensive DGA strategy and implementation exercise. For this reason, the assessment model developed and utilized by Mongolia, to good effect, seems an attractive and appropriate option for Barbados and the Eastern Caribbean SIDS. A comprehensive yet disaggregated approach similar to the Mongolia model of identifying governance indicators, would allow for a capturing of both the primary universal indicators of democratic governance, while also appropriately accommodating through the use of the notion of "satellite indicators", any areas of difference or peculiarity of each of the island-states' assessment for identification and analysis. Additionally, the bottom-up approach applied in the Mongolia model)<sup>11</sup> when used in Barbados and the OECS would ensure that public opinion from diverse social groups would be reflected throughout the assessment process and complemented with a heightened public awareness of governance issues and a level of transparency that would enhance accountability and provide effective tool for participating stakeholders.

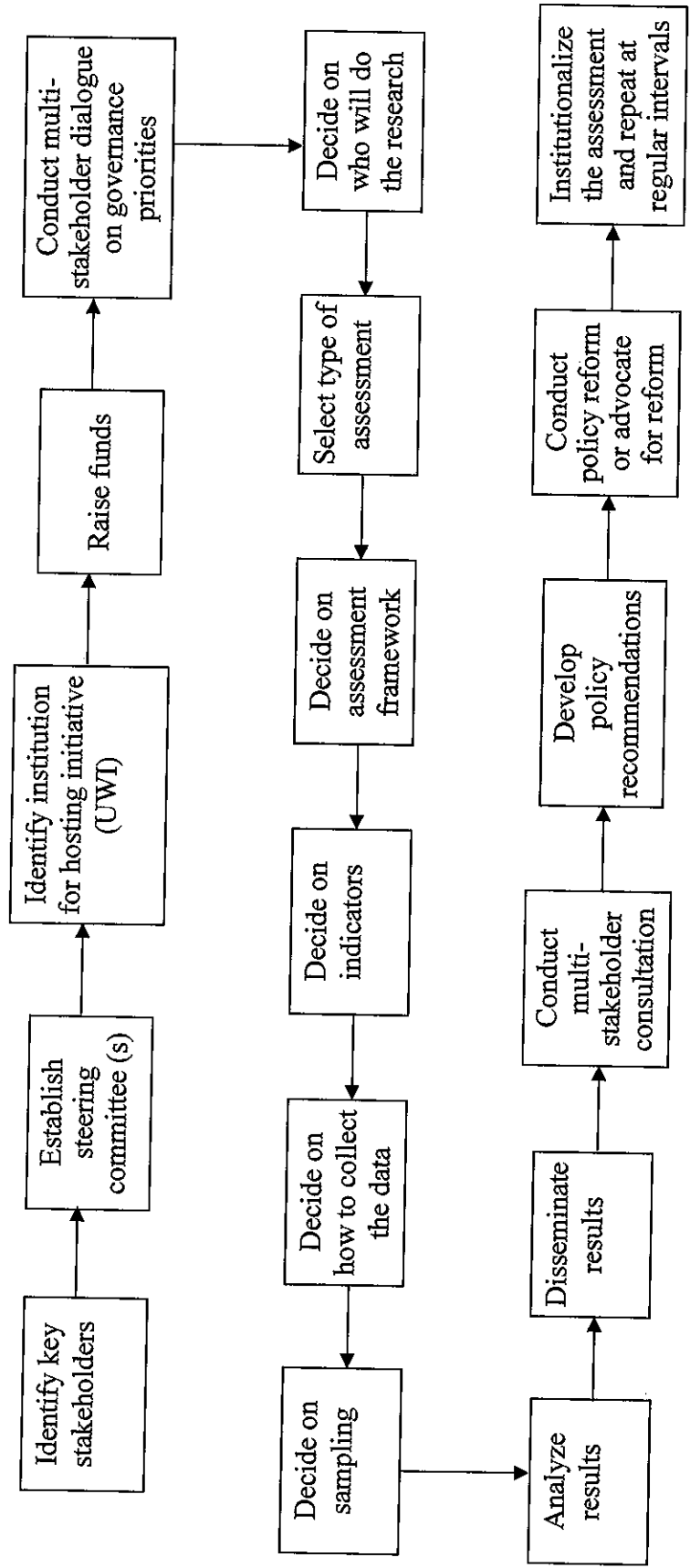
A combination of a multi-stakeholder workshops and a research exercise such as an initial survey of policy/decision makers and other stakeholders including CSOs should be

<sup>11</sup> UNDP, Mongolia: Handbook on Democratic Governance Indicators (DGIs). Methods, Process and Lessons learned from Mongolia. <http://www.un-mongolia.mn/icnrd5/dgi-1.htm>

considered as the basis for identifying and developing some of the core and satellite democratic governance indicators for Barbados and the Eastern Caribbean.

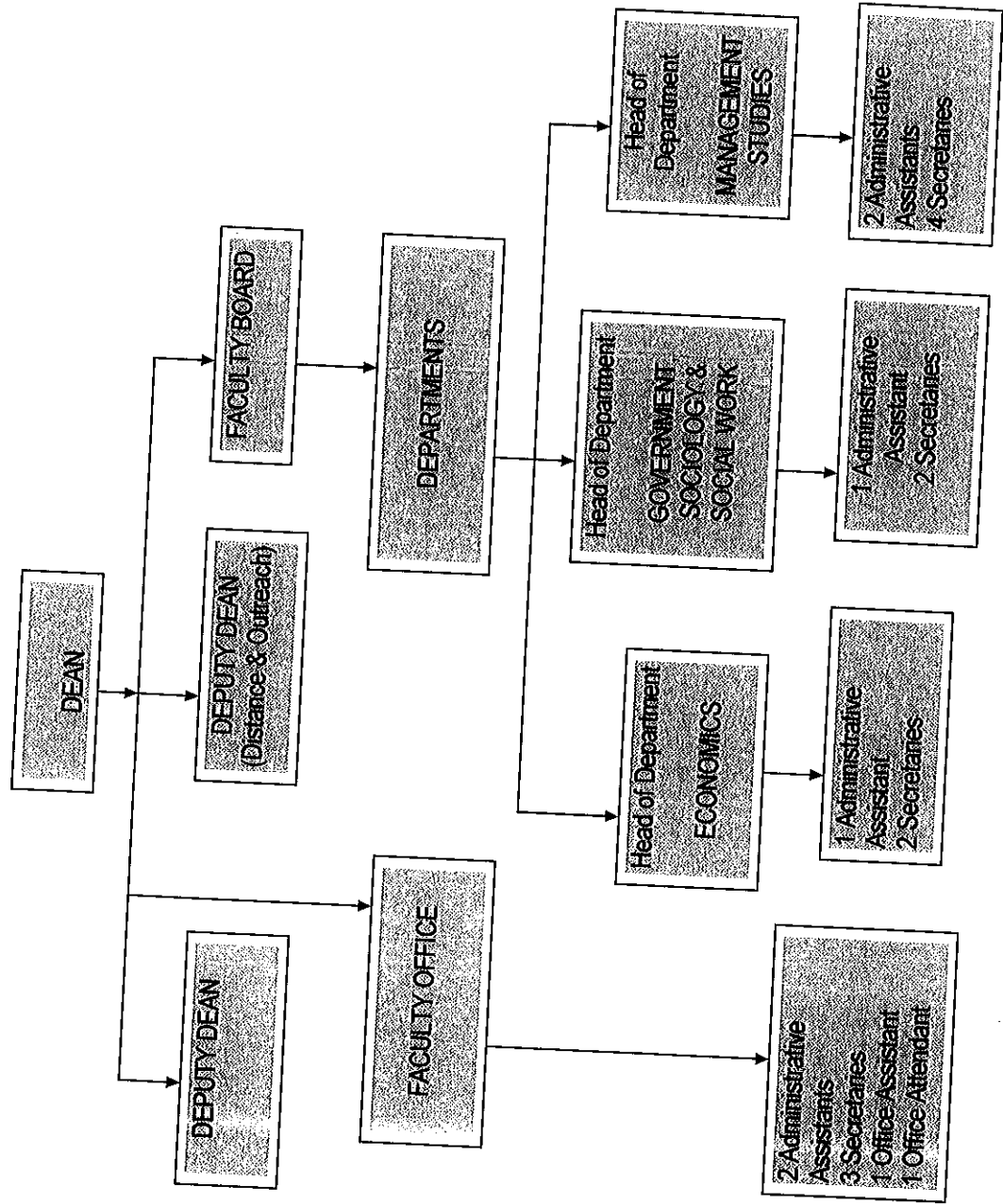
The proposed adoption or adaptation of the Mongolia model facilitates governance data ultimately produced to be of greater relevance to the primary target audiences at the national level, namely the public and governments, while at the regional level regional institutions and agencies such as CARICOM, OECS and the Caribbean Development Bank and officials working in the judicial, social, economic, political, advocacy and development sectors who would apply and use the data to implement targeted responses to democratic governance challenges.

Key steps in conducting country-led governance assessments<sup>12</sup>



<sup>12</sup> UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008, 9. The democratic governance assessment for Barbados and the Eastern Caribbean will be led by the University of the West Indies, in collaboration with multiple stakeholders including the governments, civil society regional development institutions, among others. The Mongolian process - G. Chuluunbaatar. Assessment of Mongolia's Democratic Governance, [http://www.un-mongolia.rm/icnrds/pdf/06\\_Chuluunbaatar\\_DGI.pdf](http://www.un-mongolia.rm/icnrds/pdf/06_Chuluunbaatar_DGI.pdf) will be provided to inform programme development by UWI.

**Faculty of Social Sciences, UWI Cave Hill Organisational Chart**



The above organization chart which details the UWI support network with its proposed research clusters and faculty research centres under the governance of the Dean, Faculty of Social Science will support the design and development of Caribbean SIDS/DGA processes, which will include:

1. An initial identification, construction and eventual refining of a comprehensive conceptual framework with governance indicators
2. Coordination of the implementation of bottom-up participatory processes involving inputs from multiple local, regional and international stakeholders.
3. Hosting public consultations promoting active involvement at regional and national levels with media support to raise public awareness and initiate accountability mechanisms by local stakeholder which will include marginalized or disadvantaged groups such as youth, women, migrants and the poor "to provide upward internal rather than external pressure for reform"<sup>13</sup>

### **Overall Objective and Expected Results**

This project is designed to support the delivery of country-led governance assessments, utilising a mix of global research methodologies including public/poll surveys to generate country-specific disaggregated data, in support of evidenced-based policy and the development of SIDS-specific governance indicators.

### **Specific Objectives:**

Since the undertaking of democratic governance assessments on this scale is a new area of support for the UNDP Barbados Sub-regional Office as well as its global and regional implementing partners, there is an identified need for preliminary training to facilitate effective project implementation. This support will be first accessed from the UNDP Oslo Governance Centre,<sup>14</sup> the primary technical project resource. These inputs will be complemented by assistance sourced from other development partners such as the OAS, the Council of Europe, Bureau for Development Policy (BDP)- Democratic Governance Group (DGG).

<sup>13</sup> UNDP. *Global Programme Capacity Development for Democratic Governance*, p.46

<sup>14</sup> The UNDP Oslo Centre, has a roster of experts to support the various governance assessments components. This is supplemented by a web-based portal [www.gaportal.org](http://www.gaportal.org) providing access to 'how-to' information on evaluating country preparedness to undertake a DGA; mapping existing governance indicators; developing assessment frameworks; defining and selection of indicators; collection of data and developing national/regional databases; communication and dissemination of the findings/results and use indicators for policy making ;DGA M&E

In addition to providing training, the UNDP Oslo Governance Centre and UWI implementing partners will develop networking opportunities and share lessons learned opportunities to further support and enhance the development of DGA assessment indicators, based local/Caribbean knowledge, experience and research.

The transparency of information and the DGA assessment process is seen as a catalyst to promote citizen engagement in democracy processes and to support greater effectiveness of governance actors. The information accessed from the active participation of, and dialogues with, civil society groups, the media, academics and think tanks throughout the entire process, will be used to complement data obtained from official sources to round out the picture of governance both at the national and regional level with more timely, relevant, useful and reflective information on marginalized groups, not adequately represented in the official data.<sup>15</sup>

### **Results and Resources Framework**

See attached Implementation Plan in Annex 2.

### **Management Arrangements and Annual Work Plan**

This Barbados and the OECS DGA project will be housed in the Faculty of Social Sciences at the Cave Hill Campus of the University of the West Indies. As the implementing partner, the Faculty of Social Sciences will support an implementation/research team and mutually agreed project implementation arrangements in consultation with UNDP. A Project Manager will be assigned primary responsibility for the day-to-day management of the project.

The Annual Work Plan will be formulated by the Project Manager and approved by the Project Coordinator in consultation with UNDP Final Project Manager TORs will be formulated and agreed between UNDP and UWI. A UNDP/UWI Letter of Agreement will be signed to support the provision of services and general oversight for the democratic governance assessments project. UNDP

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<sup>15</sup> For discussion of this point see, Ibid, p.12.

Barbados in collaboration with the Oslo Global Programme<sup>16</sup> will support the implementation of these services will include assistance inputs as follows:

Advisory support to UWI to support:

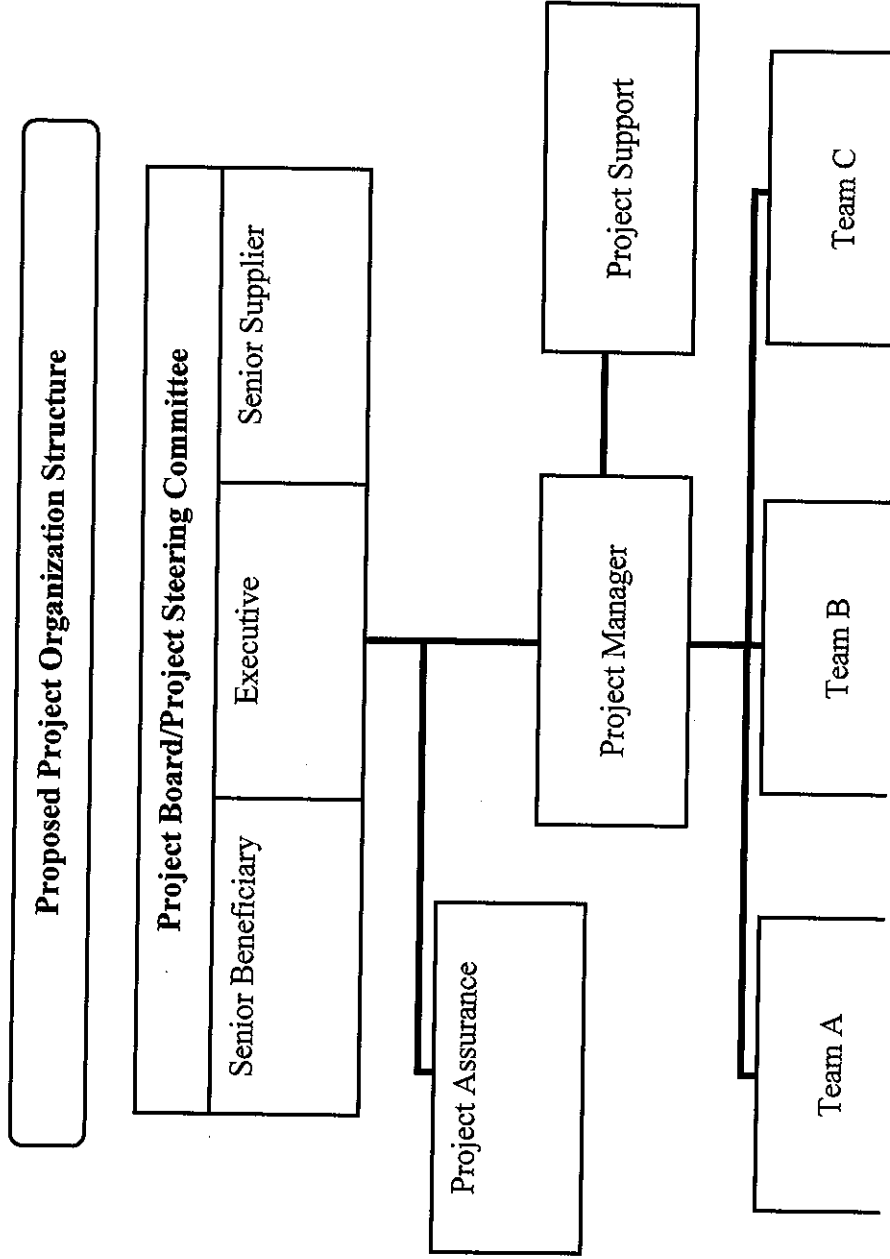
- ⇒ Framework design and effective multi-stakeholder engagement processes.
  - ⇒ Governance assessment 'research team' identification comprised of measurement experts from UWI, national/regional statistical systems other relevant. The research team acts as the lead advisor on technical questions and executes data collection and analysis tasks.
  - ⇒ National workshops on the assessment and regional consultations to raise awareness, review and validate the assessment framework as well as dialogues on the results.
  - ⇒ Partnerships between other academic and policy making international experts and local/national experts on governance assessments.
  - ⇒ Balanced stakeholder coordination and engagement including external development partners, particularly donors, civil society organizations (including those that represent marginalized groups), and representatives from the private sector.
  - ⇒ South-South cooperation and exchanges of experience between countries that have implemented DGA assessments.
- Annual Work Plans (AWPs) and budget will be submitted by the Programme Coordinator for review and approval of the Project Board review meetings, which will also assess substantive progress and financial status. The executing agency shall, in particular, ensure that the monitoring process includes the following activities:
- verify the effectiveness of all Programme activities
  - periodic reports on the Programme achievements and results
  - engagement of external expertise if technical assistance needs improvement
  - follow-up on accountability of funding

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<sup>16</sup> UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008, p.22

Throughout the duration of the project the following will be done:

- An Issue Log shall be activated in Atlas and updated by UNDP to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events
- The final report shall include recommendations and useful advice to improve DGA processes for the Caribbean region.





### **Provisional Composition of the Regional Steering Committee**

- UWI Representative
- Political Parties (Opposition) Representative
- Political Parties (Government) Representative
- Regional umbrella Civil Society Organization Representative (e.g. Caribbean Policy Development Centre (CPDC))
- Media Representative/ Caribbean Media Association Representative
- Caribbean Statistical Association Representative
- Judicial Sector Representative/Legal Counsel
- Faith based Organization Representative (Caribbean Conference of Churches)
- OECS Secretariat Representative
- UNDP Representative
- CARICOM Representative
- Independent Think Tank/ Research Institute Representative
- Caribbean Development Bank Representative
- Organization of American States Representative
- Caribbean Congress of Labour Representative
- Association of Caribbean States (ACS)
- Inter-American Commission on Human Rights (IACHR)

### **Role of National and Regional Steering Committees**

National Steering Committees, as required, will be established to support the Regional Steering Committee and will play a critical role assisting and supporting the UWI project manager and the implementation/research team in the execution of the various assessment related activities and will also act as an M&E and quality control mechanism for the project. Its members will also make contributions informally and formally within the context of multi-stakeholder workshops whenever these are convened.

The Regional Steering Committee has the primary function of bringing a regional perspective and oversight to the democratic governance assessment exercise. It will also act as a quality control mechanism for the project and have direct participation in the multi-stakeholder workshops. A key aspect of the work of this committee will be the monitoring and evaluating of the progress of the project against its stated objectives and outputs by regular reviews of the various progress reports prepared by the Project Manager and the implementation/research team. This committee will be required to assist with coordinating the dispersal of the various project outputs across the sub-region and assist with the mobilization of relevant human and financial resources.

The facilitation of collaboration and interaction between the National Committees and the Regional Committee through sharing of data, ideas and concerns through the dedicated internet mechanism set up by UNDP/UWI to facilitate the assessment exercise is recommended.

### **Quality Assurance, Monitoring and Evaluation Framework**

Maintaining the integrity of the assessment process at all stages to ensure high quality outputs is an imperative of this project. The International Institute for Democracy and Electoral Assistance (IDEA) handbook is recommended as a resource to support processes to maintain maximum public impact through effective presentations and public recognition of its legitimacy from start to finish.<sup>17</sup> Additionally, resource personnel with expertise in the field of governance and governance assessments from the UNDP Oslo

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<sup>17</sup> For details on the IDEA handbook and its State of Democracy project which offers a comprehensive tested methodological tool for conducting democratic governance assessments see <http://www.idea.int/publications/sod/democracvassessemnt.cfm>

Governance Centre will be utilized in collaboration with local and regional expertise to support effective peer reviews, guidance of the assessment processes and resultant outcomes including reporting modalities, as required.<sup>18</sup>

In accordance with the UNDP Programme and Operations Policies and Procedures (POPP) the project will include a monitoring, evaluation and reporting component to facilitate timely and efficient implementation and achievement of stated activities, objectives and intended outcomes and allows for timely corrective actions if required. Quarterly progress reports will be provided to UNDP and the Regional Steering Committee by UWI as implementing partner and principal executing agency, in accordance with the signed LOA. An Annual Project Report will be prepared at the end of the first and successive year(s) of the project, as well as a final impact evaluation report at the end of the project which has the specific goal of assessing in what ways new lessons were learned from the conducting of the assessment exercise in Barbados and the OECS SIDS context.

The final evaluation will be conducted by UNDP in consultation with UWI and other implementing partners.

#### **Institutionalizing the DGA Mechanism: Prospects**

This project with its capacity building focus provides a platform for sustainable activities by many of the local and regional stakeholders. The matrix below gives some indication of the ways in which selected stakeholders might be able to continue the process and utilize project data outputs for specific organizational or individual needs. The final stakeholder workshop which will be held with the various participating stakeholders will serve as the main forum for the discussion of the uptake of the DGA results.

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<sup>18</sup> Some of the strategies outlined in this paper aimed at achieving the most credible outputs from the assessment exercise are informed by other exercises which have been successfully carried out by UNDP or other agencies in other parts of the world. One such example was a democratic governance assessment project implemented in Mongolia by UNDP. See for example UNDP, Mongolia: Handbook on Democratic Governance Indicators (DGIs). Methods, Process and Lessons learned from Mongolia. <http://www.un-mongolia.mn/icnrd5/dgi-1.htm>

**Table 1: Matrix of Post DGA Uptake Possibilities for Selected Stakeholders**

| Stakeholder name/type/descriptor               | Examples of possible ways in which the DGA can be utilized by the named stakeholder   |
|--|---|
| Civil Society Organizations and General Public | <p>DGAs can provide CSOs with relevant and timely data which can be used for advocacy and monitoring of diverse governance issues which can be catalytic for revival of CSO activity in the Caribbean; The project supports capacity building activities for CSOs in terms of research, networking and coalition building skills and capacity. Provides a platform for greater awareness of multiple issues that support effective democracies and more informed assessment by the general public in Barbados and the OECS</p>  |
| Government & Opposition parties                | <p>Use the data obtained to inform the debates pertaining to national development plans and strategies of each country in order to, for example, make them more gender and pro-poor sensitive, and cognizant of the issues affecting disadvantaged groups such as migrants, and indigenous peoples like the Caribbean populations in St Vincent and Dominica. The data would also be important in measuring progress with respect to democracy consolidation in any given area. The DGA data could be used as the basis to strengthen citizen security and professionalization of various state institutions and agencies including law enforcement and departments which provide services directly to the public. It would also create more transparency and accountability and reduce the opportunities for corruption and provide opportunity to work with BDP-DGG to implement the BRAC analysis framework.</p> |

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| <p>University of the West Indies</p>  | <p>UWI would now have institutional capacity to: (1) conduct DGAs at regular intervals in Barbados and the OECS; (2) launch DGAs in other Caribbean countries not covered in this initial pilot phase of the Project; (3) provide training of post graduate students in DGA methodologies (4) collect and process data relevant to a whole range of governance related issues; (5) develop its research cluster capacity to enhance identification of critical research issues; (6) apply research on areas highlighted by assessments for policy at national, regional and local levels; (7) help to inform the focus of the next UWI Strategic Plan. (8) support South-South collaboration and exchanges with its collaborating Universities in other regions</p> |
| <p>Regional governance/administrative organizations e.g. CARICOM and OECS Secretariat</p>   | <p>DGAs would spotlight key governance issues requiring urgent attention, focus and priority for more timely and effective action. DGAs support identification of issues which require research from a regional perspective. Information obtained could be used to reshape various regional development plans (e.g. the OECS Development Plan). In the context of the CARICOM Civil Society Charter, strengthen issues and action needed within the region as a collective space, and in the context regional integration policies to strengthening of the CARICOM Single Market and Economy.</p>   |
| <p>Regional &amp; International Development Organizations e.g. CDB; UNDP &amp; other UN Agencies; Inter-American Development Bank; DIFID; CIDA; OAS; IMF; World Bank etc.</p> | <p>DGA would facilitate more effective targeting of funding/development assistance with the provision of key data/indicators on critical issues as well as providing a sense of the scope of particular governance challenges. The conducting of successive DGAs would also provide a platform of evidence-based information to support the measurement of progress on development issues and challenges</p>  |

**Tale 2: Analysis of Selected DGA Risks<sup>19</sup>**

| Risk  | Risk Explained  | Risk Mitigation Measure   |
|---|---|---|
| Global funding inadequate to fund local project   | The global funds allocated might not be enough to complete the assessment exercise as a result of unforeseen circumstances such as rising project costs   | UWI and UNDP local office to emphasize local and regional stakeholder ownership of the project. Seek in-kind and financial support from other agencies including CDB, and OAS, as well as regional governments  |
| Inadequate or deficient capacity on the part of implementing partner (UWI) to implement project | Given that democratic governance assessment is a relatively new UWI area of technical/research/analytical competencies. Capacity deficiencies will have to be supplemented with Oslo Centre and Global DGA programme expertise to achieve intended outputs within the specified timeframe | UNDP LOA and partnerships with other national/ regional stakeholders will be mobilized to assist UWI overcome any such challenges by facilitating access to regional and international expertise from, for example, the OAS, the UNDP/BDP Democratic Governance Group, and Oslo Governance Centre, among other institutions or countries which have successfully undertaken such assessments. |
|   | The implementing partner (UWI)  | Devise effective communication  |

<sup>19</sup> The risks identified are based on an understanding of the Caribbean politics and society, and also derived from international experiences of countries or institutions which have carried out democratic governance assessments. See for example UNDP, Mongolia: Handbook on Democratic Governance Indicators (DGIs). Methods, Process and Lessons learned from Mongolia. <http://www.un-mongolia.mn/icnrd5/dgi-1.htm>. For analysis of other relevant risks see UNDP. *Global Programme Capacity Development for Democratic Governance*, p.33-34.

|   |   |   |
|---|---|---|
| <p>Inability to effectively convince and bring on board all critical local and regional stakeholders.</p>         | <p>and UNDP might find it difficult to convince and educate the political community and other stakeholders such as the media and CSOs on the concept and application of the democratic governance assessment exercise</p> | <p>and participatory strategies to overcome the challenges of promoting the idea of a democratic governance assessment to the public and other stakeholders who constitute the main audience of the project. Move from “technical language” to a more “public language”</p> |
| <p>Individuals in regional partner organizations (e.g. UWI) are trained and then they leave the organization.</p> | <p>This risk is real and at times difficult to avoid as persons migrate to other jobs within the organization, the country, or even overseas.</p>   | <p>Attention will be paid to this risk when designing training programmes and selecting individuals for training. The selection criteria for access to training will be carefully elaborated and followed.</p>  |

**Budget and Audit Requirements**

A budget will be prepared for the two year period of the project. The implementing partner, UWI, will provide UNDP with certified quarterly financial statements and with an annual and final audit of the financial statements of the project funds, in accordance with UNDP POPP requirements

**Time Frame**

The project will be implemented over a two year period beginning from a specified and agreed to date in 2009.

**Legal Context**

This project document shall be the instrument referred to as such in (a) Article 1 of the Standard Basic Assistance Agreement between the Barbados and Governments and the United Nations Development Programme and (b) Article 1 of the Standard Basic Agreement

between the Governments of Member Nations of the Organization of Eastern Caribbean States (OECS) and of the Caribbean Community (Caricom) and the United Nations Development Programme, signed by the parties as given below:

OECS Member States

Anguilla 7 January 1960  
Antigua & Barbuda 26 August 1983\*  
British Virgin Islands 7 January 1960  
Grenada 17 May 1976\*  
St. Christopher & Nevis 30 January 1985\*  
St. Lucia 22 July 1981\*  
St. Vincent & the Grenadines 29 April 1983\*

Caricom Member States

all OECS member states marked \*  
Barbados 21 October 1974

**APPENDICES**

Annex II: TORs  
Annex III: Draft Implementation Plan with Results and Resources Framework  
Annex IV: Letter of Agreement



## REFERENCES AND ADDITIONAL RESOURCES

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- UNDP. *Governance Indicators: A User's Guide* (2<sup>nd</sup> edition), UNDP Bureau for Development Policy, Democratic Governance Group, New York, 2006/2007. Online version available at [www.undp.org/oslocentre](http://www.undp.org/oslocentre)

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Latinobarometro: Step by step guide

<http://www.esds.ac.uk/international/access/15712.asp>

Mapping of Corruption and Governance Measurements tools in Latin American countries  
[http://www.undp.org/oslocentre/flagship/democratic\\_governance\\_assessments.html](http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html)

Guide developed by the Council of Europe for Measuring “Social Cohesion”: Council of Europe Social Cohesion development Division [http://www.coe.int/t/e/social\\_cohesion/](http://www.coe.int/t/e/social_cohesion/)

Assessing the quality of Democracy: An Overview of the International IDEA Framework  
<http://www.idea.int/publications/agd/overview.cfm>

UNDP Oslo Governance Centre: Multiple guides and toolkits pertaining to various dimensions of the assessment of Democratic Governance.

<http://www.undp.org/oslocentre/resources/publications.html> The range of toolkits, documents and research papers cover such important topics as, governance indicators; land governance, non-renewable natural resources, local governance and conflict, civil society, political parties, communication and empowerment, access to information, Among those relating to assessing democratic governance are the following:

- *Governance Indicators: A User's Guide, 2<sup>nd</sup> Edition*
- *Measuring Democratic Governance: A framework for selecting pro-poor and gender sensitive indicators*
- *UNDP National Human Development Reports (NHGR) and the use of Democratic Governance Indicators*

- *Sources for Democratic Governance Indicators*
- *Democratic Governance Indicators: Assessing the State of Governance in Mongolia*