

United Nations Development Programme - Barbados and Eastern
Caribbean Sub-regional Office

Democratic Governance Capacity Development: Caribbean Small
Island Developing States (SIDS) Governance Assessments and
Measurements - Barbados & the Eastern Caribbean

Brief Description

The overall objective of this project is to modernize and strengthen evidence-based policy development in Barbados and the Eastern Caribbean, with project activities 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 and utilize a mix of global research methodologies including public/poll surveys to generate comprehensive, comparable, country specific, disaggregated, accurate, useful and user-friendly data which for use by stakeholders such as 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 peculiar 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 thematic areas of relevance and challenge to democratic governance in the Caribbean:

- (1) the 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.

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UNDP Expected outcome(s)/Indicator(s)

Expected outcome(s)/Indicator(s):

Expected Output(s)/Annual Targets:

Implementing Agencies/partner
(designated institution/executing agency): University of the West Indies

Responsible Parties

Other Partners: Regional Governments; CSOs; Private Sectors etc.

Programme Period	Total Budget US\$200,000
Programme Component	Allocated resources
Project title	UNDP
Project ID	Government
Project Duration 2009-2010	Other
Management Arrangement	In kind contributions
	Unfunded budget

Agreed by (Implementing partner)

Agreed by (UNDP)

Situation Analysis

While countries in the English-speaking Caribbean can boast of a long tradition of building and consolidation of democracy, most are also conscious of a history of persistent stress and challenge which has impacts negatively on democratic institutions and practices.¹ Most countries in the Region 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, was paid to the concepts and implications of democratic governance progress and the use of assessments as a means of monitoring and measuring, in a reliable way, 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 more 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

More important perhaps, 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, 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. Among the goals of these reform has been a desire to facilitate

¹ One well known example 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, among others, by Marxist/Leninist colleagues, and 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. Also, various countries have experienced community based civil unrest resulting from the perceived heavy-handed actions of law enforcement agencies with alleged extra-judicial killings.

greater political decentralization and more active participation by civil society in the 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.²

Recently societies throughout the region and systems of governance and democracy have experienced and have had to cope with increasing threats that stretch existing systems of accountability. These threats include corruption, conflict rooted in ethnic and cultural differences, civil society disengagement, health issues relating HIV/AIDS and chronic diseases, security and energy issues, and the impact of natural disasters, economic distress associated crime and violence linked to global threats such as the drug trade, money laundering. The combined and interacting effects of these forces and issues have time and again create challenges to effective democratic governance and overall human development and undermined human security³ and increased small island developing states vulnerabilities. Caribbean small-island developing states cannot afford not to address these new development challenges which often erode good and effective governance.

Despite challenging realities presenting new issues of governance and democracy, governance measurement and assessment presents problematical issues for some governments in the region. Consequently, even though governments may occasionally express support for various dimensions and aspects of democratic governance assessments, especially when they functioned as the opposition political parties, in reality promoting or even facilitating such assessments might not be a priority. Part of the problem also has to do with perceptions that these assessments are usually conducted by foreign entities whose motives and priorities might be of concern to the country whose institutions and practices are being assessed. At other times, the effective utilization of these assessments and their perceived usefulness may be compromised by weak institutional capacities and uneven stakeholder engagement as well as unsustainable

² Cedric Grant, *Governance in the Caribbean Community*. Report prepared for United Nations Development Programme, December 2004.

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 countries have shown, there are very real benefits to developing these governance frameworks. These assessments, once carefully and 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.⁴ Such assessments can:

- Provide an instrument for assessing the state of democracy by national and regional stakeholders in an all-inclusive process
- Provide a critical accountability mechanism for government
- Help enhance the national and regional capacity to identify the strengths and weaknesses of current democratic practice in a systematic manner, and to 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 to national consensus building and more participatory agenda-setting processes, with the engagement of all stakeholders leading to democracy consolidation.
- Contribute to democracy consolidation in Barbados and the Eastern Caribbean by initiating, designing, and coordinating a multi-stakeholder process and framework for democratic governance indicators development
- Help to facilitate the designing, monitoring and evaluating of progress to development in the various islands and inform their respective national

⁴ 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>

development plans as well as specific policy initiatives through the provision of reliable, nuanced, disaggregated and contextualized data.

- Build capacity of national and regional academic institutions through the training of a cohort or more of post graduate students in all areas of democratic governance assessment, including the use of statistical and other methodologies for these purposes.
- Provide information for the generation of ideas for institutional reform.

The initiating of this assessment exercise at this particular juncture of Caribbean history is arguably then both timely and necessary to provide sign-posts for options of consolidating and strengthening democratic governance in Barbados and the Eastern Caribbean. Indeed, the successful implementation of the democratic governance assessments in Barbados and the Eastern Caribbean can have significant positive implications for other small island developing states searching for ways to assess and strengthen democracy as a means of promoting human rights, sustainable development and prosperity.

Strategy

This project will seek to adhere to the UNDP position, and that of the Paris Declaration⁵, 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 practices⁶. Governance assessments are most effective as a tool to bring about better democratic governance when designed in this way, incorporating nationally and locally developed indicators and with policy makers and policy reform in mind. The focus of the proposed assessment while being on small

⁵ See for details http://www.oecd.org/document/18/0,2340,en_2649_3236398_35401554_1_1_1_1,00.html

⁶ UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008, pp.14-15

island developing states in the Caribbean will be rooted in and guided by the following pointers for country-led governance assessments identified by UNDP which emphasise national ownership, capacity development and harmonisation.

TEN POINTERS FOR COUNTRY-LED GOVERNANCE ASSESSMENTS⁷

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.⁸
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 wider society dialogue.
5. There is an institutionalized procedure to collect data from a variety of sources (surveys, administrative data, national statistic, 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 government assessment are widely disseminated, are communicated to stakeholders including vulnerable groups and are used by a broad range of stakeholders to inform governance policy reform.

⁷ UNDP. *Supporting Country-led democratic governance assessments*, pp.14-15

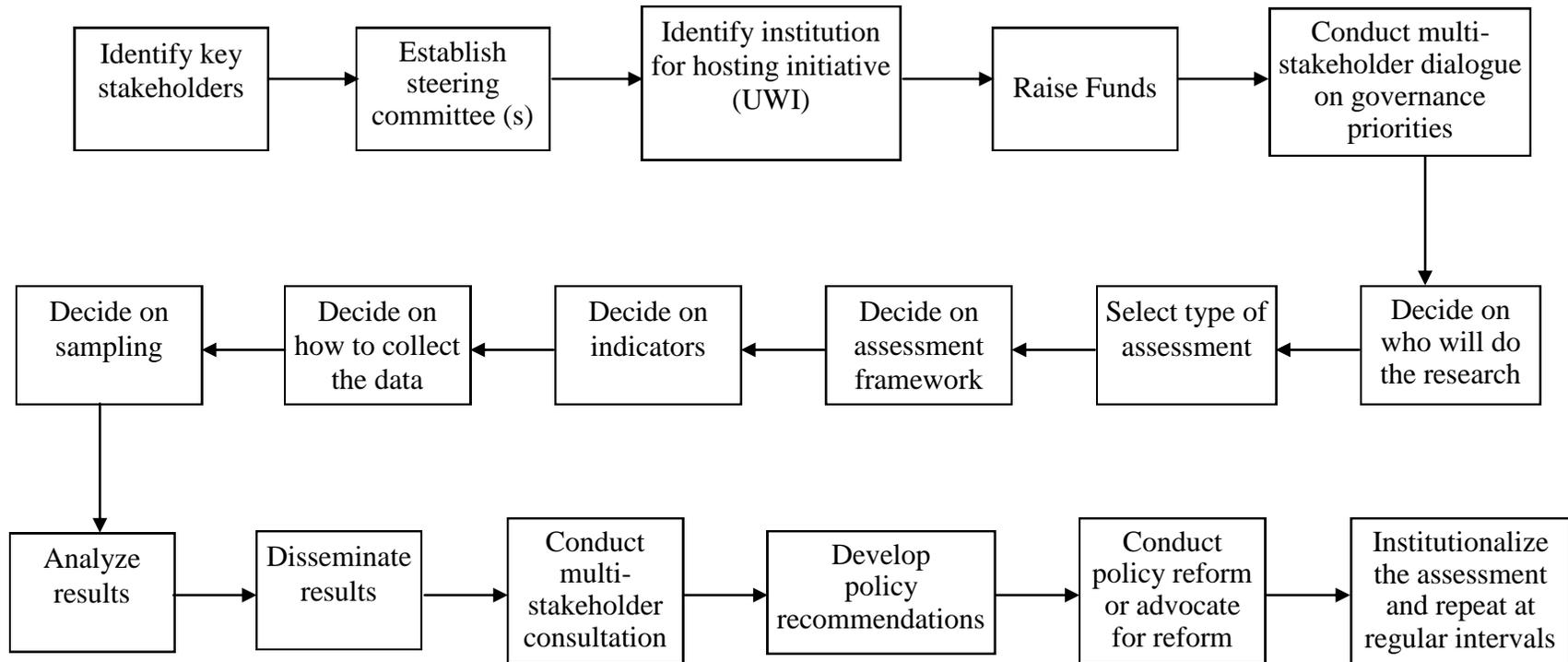
⁸ In the context of Barbados and the Eastern Caribbean the process of constitutional reforms as well as the various poverty reduction strategies and initiatives being undertaken by institutions like the Caribbean Development Bank and the various governments can be utilized to provide the conceptual basis for the democratic governance assessments

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 with the position of the aforementioned Paris Declaration would be achieved through an inclusive and consultative process involving government, civil society, elected representatives and other key stakeholders. The second focus on capacity development represents a critical entry point for building the capacities of national stakeholders in the production and application of governance related data. Finally, harmonisation speaks to the alignment of nationally owned governance assessments and monitoring systems, as well as sector specific plans, with national development plans and related instruments where relevant such as the PRSPs, MDG progress reports, local development plans).

The managing and sequencing of the evolving assessment process both at the national and regional levels will therefore be strongly infused with and guided by the listed pointers, as well as the steps identified in the following diagram.

Key steps in conducting a country-led governance assessment⁹



⁹ 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, but in collaboration with multiple other stakeholders including the governments, civil society and regional development and administrative institutions, among others. For a step by step guide of how the Mongolian process evolved see. G. Chuluunbaatar. *Assessment of Mongolia's Democratic Governance*, http://www.un-mongolia.mn/icnrd5/pdf/06_Chuluunbaatar_DGI.pdf

One of the critical tasks of this assessment process will be to make the initial identification and eventual refining and construction of a comprehensive conceptual framework of these governance indicators the result of a highly participatory process involving inputs from multiple local, regional and international stakeholders. Ultimately it is anticipated that the adoption of a bottom-up approach to the assessment involving several national/public consultations and the active involvement of the local media to raise public awareness of the exercise will ensure that the resultant assessment data will serve a critical accountability mechanism for local stakeholders, especially for marginalized or disadvantaged groups including women, migrants and the poor, and also help “to provide upward internal rather than external pressure for reform” wherever these may be needed.¹⁰ The transparency of information stemming from the assessment should also act to provide a catalyst for greater citizen engagement in democracy processes and for demanding greater effectiveness of governance actors. The active participation of, and dialogues with civil society groups, the media, academics and think tanks throughout the entire process will also serve to compliment data obtained through official sources so that the picture of governance in the countries, both at the national and regional levels, would be more accurate, relevant, useful and reflective of those marginalized groups which might not be adequately represented in the official data.¹¹

Preparatory Training/Information sharing to facilitate DGA

Since the undertaking of a democratic governance assessment on this scale will be a novelty to the UNDP Barbados and OECS office and the implementing partner (UWI), there will be need for preliminary training to facilitate the smooth, knowledgeable and effective implementation of the project. There are several sources from which this assistance might be sourced including the OAS, the Council of Europe and perhaps most critical to this project, the UNDP Oslo Governance Centre which should be urged to sponsor and to take the lead in providing this training. The focus of this component of the governance assessment preparations will be on the following areas:¹²

¹⁰ UNDP. *Global Programme Capacity Development for Democratic Governance*, p.46

¹¹ For discussion of this point see, *Ibid*, p.12.

¹² The UNDP Oslo Centre, in addition to having experts in the various aspects of governance assessments is also now developing a web-based “storehouse” of information which will provide valuable information on the various areas of training identified in this document.

- How to evaluate country preparedness to undertake a governance assessment
- How to map existing governance indicators
- How to develop an assessment framework
- How to define and select indicators
- How to collect data
- How to develop a national/regional database
- How to communicate and disseminate the findings/results
- How to use indicators for policy making
- How to monitor and evaluate a DGA exercise

In addition to providing training relating to these specific areas this mission should be used as an opportunity for the UNDP Oslo Governance Centre and the local implementing partners to explore mutual networking opportunities and the sharing of lessons learned from other countries where such assessments have been undertaken. Even though the development of assessment indicators will emanate from local/Caribbean knowledge, experience and research, it would make sense to seek to mobilize the experience and data of international agencies such as the UNDP Oslo Governance Centre to help facilitate this process. The Oslo Governance Centre should be lobbied to provide from their vast repository of data on governance assessments a range of tools from which the UWI as implementing partner can draw on to develop and design an assessment framework which is Caribbean specific.

Scope of Assessment-(relevance of Mongolia model)

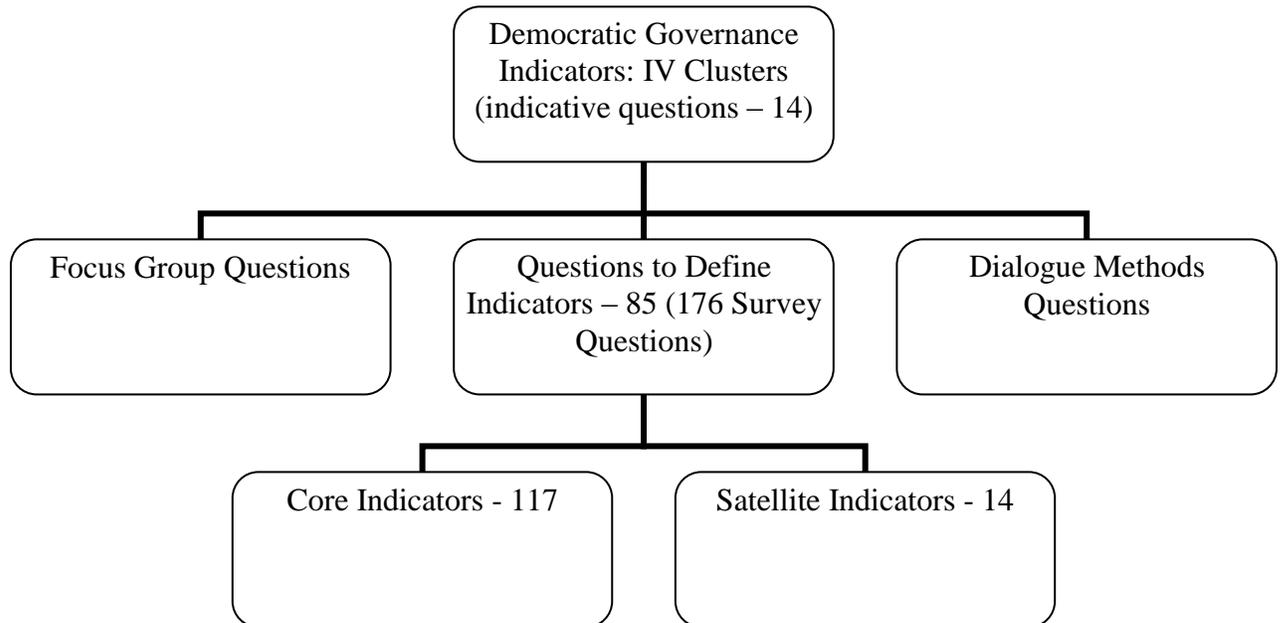
In most large developed countries it often makes sense, for practical implementation and cost perspective reasons, among others, for a project of this nature to focus on a few selected areas of governance for assessment and analytical purposes. However, in the case of small island developing states such as Barbados and the Eastern Caribbean islands, it seems to be more appropriate, relevant and cost effective to undertake a more broad-based and comprehensive strategy to the democratic governance assessment 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 islands. The comprehensive yet disaggregated approach of the Mongolia model to identifying the governance indicators, would allow for a capturing of both the main common or universal indicators of democratic governance, while also appropriately accommodating through the use of the notion of “satellite indicators”, any areas of difference or peculiarity among each of the islands which the assessment might want to identify and emphasize for analysis.

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

The bottom-up approach employed in the Mongolia model would ensure, that when implemented in Barbados and the OECS, public opinion from diverse social groups would be reflected throughout the assessment process; a heightened public awareness of governance issues and a level of transparency that would allow for the assessment to be an effective accountability tool for local stakeholders.

DEMOCRATIC GOVERNANCE INDICATORS CHART (The Mongolia Model)¹³



Questions to Define Indicators: Questions formulated to identify indicators

Core Indicators: Democratic governance indicators that reflect commonalities in democratic countries

Satellite Indicators: Democratic governance indicators reflecting unique or national characteristic features of a particular democratic country

It is important to note that indicators are a mean rather than an end and that they are useful, as a tool for promoting governance reforms, only to the extent that they are well embedded in a country's long term political process.

The adoption or adaptation of the Mongolia model would also allow for the 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, the Caribbean Development Bank and others in the

¹³ UNDP, Mongolia: Handbook on Democratic Governance Indicators (DGIs). Methods, Process and Lessons learned from Mongolia. <http://www.un-mongolia.mn/icnrd5/dgi-1.htm>

judicial, social, economic, political, advocacy and development spheres would find the data most useful in making targeted responses to the challenges to democratic governance.

Management Arrangements

The Barbados and the OECS democratic assessment project will be housed in the Faculty of Social Sciences at the Cave Hill Campus of the University of the West Indies which will in effect be the principal executing agency for the project. The project will be managed by a Project Manager appointed by the UWI in consultation with UNDP, and supported by an implementation/research team. The Project Manager will have primary responsibility for the following:

- a. The day-to-day management of the project
- b. Preparation of all progress reports and ensuring that UNDP and all other stakeholders are provided with such reports in a timely manner so as to facilitate their input and participation in the process.
- c. Manage the project finances and the allocation of resources but ensuring full consultation with UNDP on the preparation of statements on these finances, especially with respect to budget revisions.
- d. Coordinating with both the National Committees and the Regional Committee to ensure satisfactory progress of the assessment exercise and their full participation.
- e. Maintaining and establishing additional links with other related national and international programmes and projects in the field of democratic governance assessment.
- f. Preparation of the Terms of Reference for consultants and experts and ensuring their timely hiring.
- g. Provision of guidance to the consultants and experts and monitoring their compliance with agreed work-plans.

- h. Assume overall responsibility, and in collaboration with UNDP, for the proper handling of logistics related to all project activities, workshops and events.
- i. Ensuring that the project adds significant value to the faculty/department's capacity and academic mission through the active involvement and participation of postgraduate students being trained in such areas as the innovative use of statistics for governance assessments.
- j. Provision of guidance and supervision of all staff, part-time or full time, working on the project, including postgraduate students.
- k. Ensuring delivery of project deliverables, including drafts and the final version of the final report.

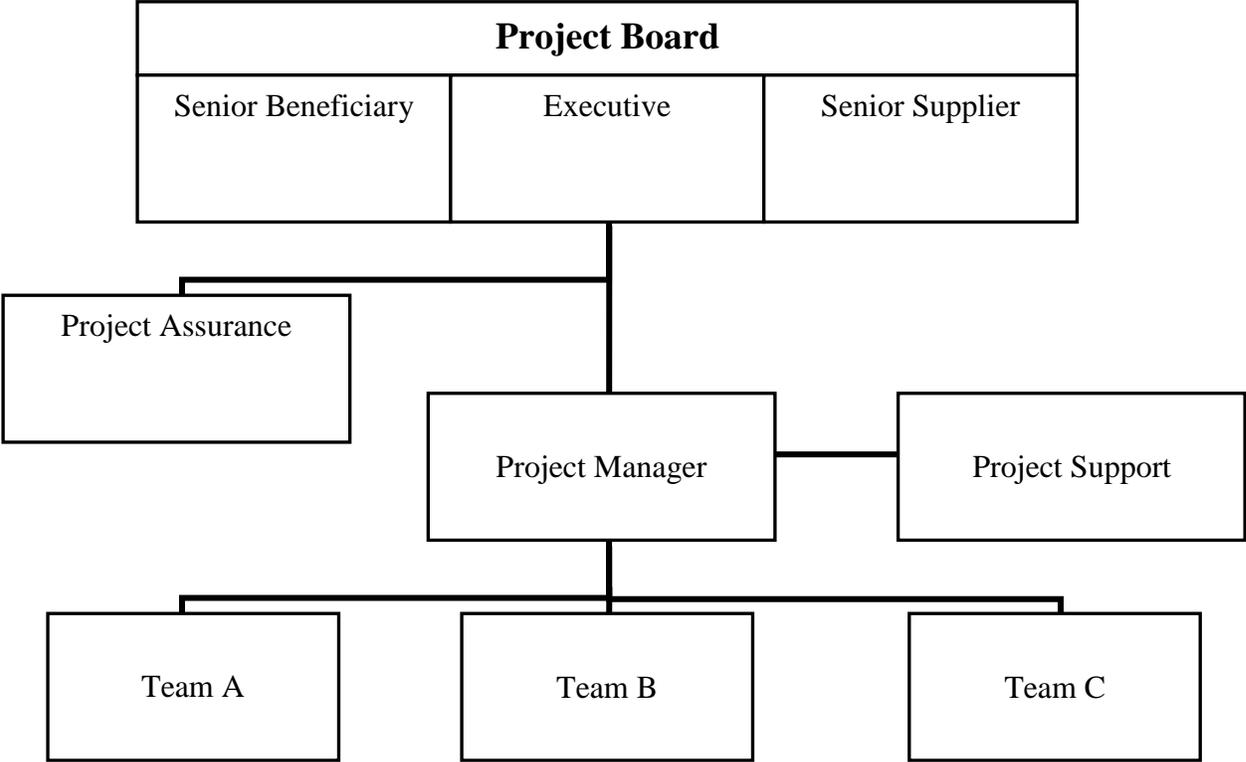
It is anticipated that in addition to providing general oversight for the democratic assessment project, UNDP will offer assistance in the following ways:¹⁴

- Provide advice to the implementing agency (UWI) on designing a framework for an effective multi-stakeholder engagement process.
- Assist with the identification of a governance assessment 'research team' comprised of measurement experts from UWI and the national/regional statistical system, and other relevant stakeholder institutions. The research team acts as the lead advisor on technical questions and executes data collection and analysis tasks.
- Facilitate the involvement of a broad range of citizens groups including vulnerable groups, through participation in surveys and focus group discussions. The survey and focus groups are important opportunities for capturing distinct voices on the quality of governance.
- Assist with the establishment of the national and regional steering groups comprised of representatives from government counterparts, elected officials, CSOs, academia and the national statistical system, among other stakeholders.

¹⁴ UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008, p.22

- Support the convening of national/regional conferences or workshops on the assessment including; a conference to raise awareness before the assessment, a conference to review and validate the assessment framework; and a conference for dialogue on the results.
- Connect and create partnerships between other academic and policy making international experts and local/national experts on governance assessments.
- Ensure a balanced stakeholder engagement including external development partners, particularly donors, civil society organizations (including those that represent marginalized groups), and representatives from the private sector.
- Facilitate exchange of experience between countries that have already undertaken an assessment or are in the process of doing one.

Project Organization Structure



Proposed Composition of a National Steering Committee (Barbados Example)¹⁵

- UWI Representative (Head of UWI Open campus Site in each country)
- Political Parties (Opposition) Representative
- Political Parties (Government) Representative
- Civil Society Representative (local CSO network)
- Local Media Representative
- Government Statistical Office Representative
- Judicial Sector Representative/Legal Counsel
- Faith based Organization Representative
- UNDP Representative
- Independent Think Tank/ Research Institute Representative
- Labour Union Representative

Provisional Composition of the Regional Steering Committee

- UWI Representative (Project Director)
- Political Parties (Opposition) Representative
- Political Parties (Government) Representative
- Regional umbrella Civil Society Organization Representative (eg 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

¹⁵ A National committee will be created in each of the countries in the portfolio of the UNDP Barbados and the OECS.

- 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

Each National Steering Committee will play the critical role of assisting and supporting the project manager and the implementation/research team in the execution of the various assessment related activities and will also act as a quality control mechanism to assist with reviewing and monitoring 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 reviewing 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

Maintaining the integrity of the assessment process at all stages so that high quality outputs may be achieved will also be an imperative of this project. The International Institute for Democracy and Electoral Assistance (IDEA) handbook provides some insights of how the evolving process can attain maximum public impact through effective presentations and, perhaps more important, by public recognition of its legitimacy from start to finish. As reflected in the chart above showing the steps in conducting the assessment exercise, emphasis will be placed on not only the active involvement of a broad selection of stakeholders at all stages but also on having their feedback through the convening of workshops to discuss and refine the indicators and outcomes.¹⁶ Equally important, attention will be paid to ensuring that credible, high quality assessors who are acknowledged experts in their respective fields are chosen to conduct the assessment exercise. Additionally, resource personnel with expertise in the field of governance and governance assessments from the UNDP system (including from the UNDP's Oslo Governance Centre) will be utilized in conjunction with local and regional scholars to ensure effective peer review, and guidance of the assessment process and any resultant outcomes including reports as required. Careful attention will also be paid to ensure that there is a balance to any political affiliations that any of the researchers may have with political parties or causes.¹⁷

In accordance with, and guided by, UNDP's Programme and Operations Policies and Procedures the project will include a monitoring, evaluation and reporting component to facilitate the timely and efficient implementation and achievement of stated activities, objectives and intended outcomes and allows for timely corrective actions if required.

¹⁶ 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/democracypassesmnt.cfm>

¹⁷ 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>

Quarterly progress reports will be provided to UNDP and the Regional Steering Committee by the UWI as the principal executing agency. Preparation of all reports will be the responsibility of the project Director or coordinator appointed by the UWI in consultation with UNDP and the Regional Steering Committee. The reports will detail the status of activities and deliverables as well as explain any variations from the agreed work plan, one of which must be presented and agreed to by UNDP and the Regional Steering Committee, for each successive quarter for review and endorsement. An Annual Project Report will also be required to be prepared at the end of the first and successive year(s) of the project, as well as a final report at the end of the project. These reports will summarize and evaluate the project and indicate lessons learned. The final report will be peer reviewed and will be the most detailed one, containing all the findings and presentations with respect to the assessment. Copies of the final report will be circulated to all participating stakeholders and made available to the public via UNDP's and the executing agency's official website.

At the end of the project an evaluation may (this is optional) be conducted with the specific goal of assessing in what ways new lessons were learned from the conducting of the assessment exercise in Barbados and the OECS countries, and to ascertain how these can be used to add value to similar exercises if conducted in other small island developing states.

Table 2: Analysis of Selected DGA Risks¹⁸

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	Because democratic governance assessment is a relatively new area the UWI might not be able to achieve all the intended outputs within the specified timeframe as a result of technical/research/analytical capacity deficiencies.	UNDP and other national/ regional stakeholders will be urged to work with UWI to overcome any such challenges by facilitating access to regional and international expertise from, for example, the OAS, the UNDP Democratic Governance group, and its Oslo Governance Centre, among other institutions or countries which have successfully undertaken such assessments.
Inability to effectively convince and bring on board all critical local and regional stakeholders.	The implementing partner (UWI) 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	Devise effective communication and participatory strategies to overcome the challenges of selling 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”
Individuals in national partner organizations (eg UWI) are trained and then they leave the organization.	This risk is real and at times difficult to avoid as persons migrate to other jobs within the organization, the country, or even overseas.	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.

¹⁸ 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.

Budget and Audit Requirements

The budget will be prepared for the two year period of the project. The principal executing agency, namely 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 financial standards and practices outlined in the UNDP Programming and Finance Manuals.

Time Frame

The project will be implemented over a two year period beginning from a specified and agreed to date in 2009. See Work-plan for further details.

Institutionalizing the DGA Mechanism: Prospects

It is anticipated that this project will through its capacity building focus provide the basis for many of the local and regional stakeholders to continue the process of democratic governance assessments over the long term. The matrix below gives some indication of the ways in which selected stakeholders might be able to continue the process and utilize the resultant data for their own particular needs. Ultimately however each of the stakeholders will have to decide upon the most appropriate and relevant manner in which the findings and data of the democratic governance assessment will be harnessed for their own specific needs. The final stakeholder workshop which will be held with the various participating stakeholders will serve as the principal forum for the discussion of the uptake of the DGA results.

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 for/by specific stakeholders
Civil Society Organizations and the general public	DGAs can provide CSOs with relevant and timely data which can be used for advocacy and watchdog purposes on a range of different governance related issues, and thereby perhaps enable a revival of CSO activity in the Caribbean; Can also serve as a capacity building activity for CSOs in terms of research capacity/skills and their networking/coalition building skills. Would create greater awareness among the general public in Barbados and the OECS of multiple issues related democracy and its assessment.
Government & Opposition parties	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 Carib 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 for the further professionalization of various state institutions and agencies including law enforcement and departments which provide services directly to the public. It would likewise create more transparency and accountability and reduce the opportunities for corruption

University of the West Indies	UWI would now have the capacity to: (1) conduct DGAs at regular intervals in Barbados and the OECS; (2) launch DGAs in other Caribbean countries not covered in this round; (3) undertake further training of post graduate students in DGA methodologies (4) collect and process data relevant to a whole range of governance related issues; (5) help with 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.
Regional governance/administrative organizations eg CARICOM and OECS Secretariat	DGAs would highlight key areas and issues requiring their urgent attention, and generally enable them to prioritize issues in a more timely and effective manner. Would also help to identify the central issues which require research from a regional perspective. Information obtained could be used to reshape various regional development plans (eg the OECS Regional Development Plan) to make them more sensitive and responsive to the needs of the various groups and issues within the region as a collective space, and in the context of the policies of the regional integration movement, and the strengthening of the Single Market and Economy.
Regional & International Development Organizations eg CDB; UNDP & other UN Agencies; Inter-American Development Bank; DIFID; CIDA; OAS; IMF; World Bank etc.	DGA would facilitate a more effective targeting of funding/development assistance by providing key data on critical issues and indicators, and providing a sense of the scope of a particular issue or challenge. The conducting of successive DGAs would also provide a sense of progress with respect to development issues and challenges focused on in previous funding allocations.

Legal Context

TO BE PROVIDED BY UNDP

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Olowu, Dele. *Governance in developing countries: the challenge of multi-level governance*. The Hague, Netherlands: Institute of social Sciences (n.d)
<http://www.gisdevelopment.net/proceedings/gisdeco/sessions/key>

Payne, Anthony and Sutton Paul. *Repositioning the Caribbean within globalization. The Centre for International Governance Innovation*, Caribbean paper No.1 June 2007. Online version available at www.cigionline.org

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

UNDP. *Supporting Country-led democratic governance assessments. A Practice Note*, October 2008.

UNDP. *The Millennium Development Goals Report*. New York: United Nations, 2008

Additional Resources

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

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/

Assessing the quality of Democracy: An Overview of the International IDEA Framework

<http://www.idea.int/publications/aqd/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, 2nd 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*

APPENDICES

Appendix 1: PROJECT RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as Stated in the Sub-Regional Programme Results and Resources Framework: Democratic governance issues i.e. accountability, transparency, integrity and gender responsive initiatives addressed in the context of national programmes MDGs,, OECS Development and CARICOM Civil Society Charters				
Outcome indicators as stated in the Sub-Regional Programme Results and Resources Framework, including baseline targets: Detailed national, regional plans and policies to support OECS Development Strategy (with MDGs integrated) approved and developed				
Applicable MYFF Service Line: 2.1 Policy Support for Democratic Governance				
Partnership Strategy: UNDP and UWI and will be responsible for ensuring broad-based, active and meaningful participation from all key national and regional stakeholders including CSOs, governments, opposition parties, other research institutions, etc., in the democratic governance assessment process to be launched in Barbados and the Eastern Caribbean, from the inception of the project to its conclusion and any follow-up phase.				
Project Title and ID (Atlas Award ID):				
Intended Outputs	Output Targets for (years) 2009-2010	Indicative Activities	Responsible parties	Inputs
1. DGA public awareness and broad-based education programme established and sustained/Initial information collected		1.1. Conduct initial sensitization workshop/conference for all stakeholders		

		<p>1.2. Conduct in-country public consultations</p> <p>1.3. Conduct sustained DGA project media campaign to educate public and target populations of the DGA</p> <p>1.4 Conduct initial poll survey of critical stakeholders to seek perceptions of priority governance areas/issues/indicators to be assessed</p>	<p>UNDP/UWI/Governments/Private Sector collaborators</p>	
<p>2. Research/Training framework and critical benchmarks to support effective DGA pilot phase implementation developed</p>		<p>2.1 Recruit and train research team including field researchers, and participating cohort of post graduate students.</p> <p>2.2 Conduct training sessions on indicator selection, data collection, data analysis, data presentation and uptake.¹⁹</p>	<p>UWI/ UNDP B/dos & OECS office</p> <p>UNDP Oslo Centre & other local, regional and international partners</p>	

¹⁹ For training requirement details see section “*Preparatory training/information sharing to facilitate DGA*” in Project Document.

		2.3. Create and finalize research and operational guidelines for DGA pilot implementation	UWI/UNDP/Government/International collaborators	
3. Governance indicators mapped, developed and DGA Indicators Framework finalized		<p>3.1. Conduct multi-stakeholder workshops to dialogue on indicators developed.</p> <p>3.2 Finalize governance indicators and frameworks for SIDS.</p> <p>3.3 Finalize research strategies, logistics, and DGA managerial processes.</p> <p>3.4 Establish/clarify DGA peer review mechanism</p> <p>3.5 Create interactive web portal for sharing and dissemination of data and information</p>	UWI/UNDP/Government/International collaborators	
4. DGA framework/activities operationalized		<p>4.1 Full scale implementation of research and mapping of indicators</p> <p>4.2 Prepare interim and final reports</p> <p>4.3 Convene final multi-</p>		

		<p>stakeholder workshop to review and discuss DGA findings</p> <p>4.4 Finalize mechanisms for dissemination of findings to public and other stakeholders and facilitate open access to all documents, reports etc.</p> <p>4.5 Develop Action Plans for:</p> <ul style="list-style-type: none"> (a) policy uptake of DGA findings, recommendations (b) identification of follow-up DGA exercises, and other related/spin-off projects (c) mechanism for ongoing training of postgraduate students in DGA methodologies (perhaps creation of course as part of Faculty Social Sciences/Dept of government and Political Science or Centre for Regional Integration curriculum/activities). 	<p>UWI/UNDP/Government/International collaborators</p>	
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APPENDIX 2: ANNUAL WORK PLAN BUDGET SHEET

Expected Outputs	Planned Activities	Timeframe				Responsible Party	Planned Budget		
		Q1	Q2	Q3	Q4		Funding source	Budget description	Amount US\$200,000.00
Output 1 DGA public awareness and broad-based education programme established and sustained/Initial information collected						UWI/UNDP	UWI/UNDP/Government/International collaborators		10,000
Output 2 Research/Training framework and critical benchmarks to support effective DGA pilot phase implementation developed						UWI/UNDP	UWI/UNDP/Government/International collaborators		30,000
Output 3 Governance indicators mapped, developed and DGA Indicators Framework finalized						UWI/UNDP	UWI/UNDP/Government/International collaborators		40,000
Output 4 DGA framework/activities operationalized						UWI/UNDP	UWI/UNDP/Government/International collaborators		120,000
Total									US\$200,000.00

Appendix 3: Anticipated/Suggested In- Kind Contribution from UWI (and Other Stakeholders) 2009-2010

Technical, Administrative and Clerical Support	US\$
Technical supervision	20,000
Administrative Assistance	20,000
Secretary and Receptionist Support	10,000
Driver and Transportation costs	6,000
Component subtotal	
Workshops/Conferences/Town Hall meetings	
3 Regional Committee & Local Stakeholder Representatives Workshops/conferences	15,000
20 Town Hall (public) meetings (2 per country- 10 countries)	20,000
National Advertising Campaigns (10 countries) – logistical, financial and other support	15,000
Component Subtotal	
Miscellaneous	
Sundries	14,000
Component Subtotal	
Total In Kind Contribution	US\$120,000.00

The UNDP Barbados and OECS will be operating at two distinct levels with regards to the execution of the proposed assessment – the country and regional – with each level having distinct objectives.

At the country level, the programme will seek to enhance national ownership and support capacity development as noted earlier in addition to promoting the sustainability of national governance monitoring and increase the policy relevance of governance indicators.

At the regional level, the primary objectives are to enhance the understanding of nationally driven governance assessments and to produce knowledge products responsive to regional priorities and context.