CXC®'s Preparedness Diagnosis

CARICOM

2022-06-20

Contents

Welcome

This is the website for Jamaica's Preparedness Diagnosis Report by GEI and CLEAR LAC!

Part I

Preface

Acknowledgements

The CLEAR LAC team wishes to thank everyone involved in preparing this document. Especially to:

- Dr. Kyra Paul, Dominica´s Executive Coordinator for the Collaboration on RBM.

- Mrs. Leah St. Jean, Dominica's Junior Executive Coordinator for the Collaboration on RBM.

- Mrs. Maurya West-Myers and Mr. Leonardo Lemes from the Global Evaluation Initiative

- Mrs. Hipolina Joseph and Ms. Stacy-Ann Barnes, from the CARICOM Secretariat

- The team of the CLEAR LAC´s interns who supported in the process of preparing this diagnosis: Alexia Galarza, Carolina Zepeda, Gisela Hurtado, Mariana Espinoza, Emilio Olmos and Lothar Rojas.

Acronyms and abbreviations

CARICOM -The Caribbean Community

CLEAR LAC - Center for Learning on Evaluation and Results for Latin America and Caribbean

BSC – Balance Scorecard

CPSM – Corporate Management and Strategy Management Unit

CXC® – Caribbean Examinations Council

DCS – Director of Corporate Services

EMC – Executive Management Committee

FOMD – Finance and Office Management Department

SIS – Spider Impact Software

RI – Regional Institution

SMF – Strategy Management Framework

SP – Strategic Plan 2021 – 2025

List of figures and tables

Definitions and concepts

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

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

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

Results-Based Management System (RBM System)[1] - - It is a global and systemic approach to management that orients all strategies, actions, and resources (both human and material) towards improving decision-making and the achievement and measurement of clearly defined and demonstrable results expected by governments and institutions, whether national, regional, or global.

This systemic approach can be analysed at three levels (considering all the relationships that may exist between them) for CARICOM: the national level, the regional institutions level, and the whole-regional / CARICOM level. These levels are individual and do not have a defined hierarchy, as they have their own institutional, human, financial and multidimensional contextual characteristics that make them independent of each other. Nevertheless, the articulation between them is relevant to understanding how RBM operates in the region.

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

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[1]This concept was developed following internationally recognised standards and approaches and contextualised to the particular case of CARICOM

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

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

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

Part II

Preparedness Diagnosis

Chapter 1

Introduction

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

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

As part of the collaboration, the IEG and CLEAR LAC under the Global Evaluation Initiative (GEI) agreed to provide technical assistance in the establishment and institutionalisation of RBM policies, in addition to the Secretariat, to three pilot Member States (Dominica, Jamaica, and Saint Lucia) and three pilot

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

Regional Institutions (the Caribbean Development Fund, the Caribbean Examinations Council, and the CARICOM Implementation Agency for Crime and Security). These pilots will serve as champions to support capacity strengthening in the remaining Member States and Regional Institutions, in collaboration with IEG and the CARICOM Secretariat.

In order to establish a customize roadmap to strengthen the pilot´s RBM Systems, a Preparedness Diagnostic was identified as a first step of the collaboration to assess the level of maturity of the systems and identify specific contextual and organizational features and milestones to be achieved over a over a five-year period.

This report presents the findings from the Preparedness Diagnostic for the Caribbean Examinations Council (CXC® from here on). The Report provides information on the existing strengthens and opportunities to operationalise RBM in the Regional Institution.

The report consists of six sections, including the introduction. Section 2 will present CXC's position on the results of the Preparedness Diagnostic. Section 3 presents the methodology description which includes the Theory of Change of this activity; the Preparedness Diagnostic stages, and the "Ideal RBM System," which consists of a four dimension the benchmark for the assessment.

Section 4 4 contains general and contextual information of CXC®. This section also presents the interest, expectations and challenges that may arise by the implementation of an RBM system with a whole of institution approach; as well as the progress on the development of their RBM system based on the four dimensions mentioned above.

Section 5 presents the main findings and level of progress for Dominica in each of the four dimensions. Finally, Section 6 introduces the process for building a contextualized roadmap for advancing towards a sustainable RBM system for CXC®, as well as a stakeholders' contribution analysis.

After reading this report, the reader will obtain a clear idea of the existing practices and elements to build on and move forward towards achieving a sustainable RBM system, as well as key elements to accomplish these. The report may also be used to guide discussions among relevant stakeholders; to aid in empowering key stakeholders in the path of strengthening RBM practices; to share best practices with other Regional Institutions; as well as to bring to light characteristics of practices already being implemented.

Specifically, within the framework of this collaboration, the report represents the main input for the development of the contextualized medium-term roadmaps, through workshops following a participatory process.

Chapter 2

CXC®'s position on the Preparedness Diagnostic

Once the final report has been finalised including the development of the roadmaps, this section will present a position from the Member State (coordinated by the Executive Coordinator for this collaboration) on the process of the preparedness diagnostic, the main findings identified, and the role of the CLEAR LAC team and the CARICOM Secretariat while developing it.

Chapter 3

Methodology

This section presents the methodology and approach of the preparedness diagnostic used under this collaboration to strengthen RBM in the Community. It also presents the strengths and limitations of the methodology that should be considered when analysing the results or future replication exercises.

3.1 Theory of Change of a sustainable RBM System

The collaboration addresses an implementation deficit of public policies of CARICOM Member States that results in poor resolution of socio-economic problems which affects the well-being of the citizens..

The diagram below shows a summarized theory of change of the collaborations' activity. As described in previous sections, this report is intended to communicate the findings of a thorough RBM preparedness diagnostic which was conducted with CXC®. The four stages of the preparedness diagnostic provided relevant information that served as inputs for this report. In addition, it provided a contextual framework, to identify a network of champions to support the process. These additional gains will inform the next steps required to develop the CXC® RBM roadmap

This final report is the main input for the participatory workshops, for which specific processes have been defined and are presented in section 5.The workshops will lead to the development of a contextualized roadmap with activities and responsibilities to advance the implementation of a sustainable RBM system, aligned to the four dimensions: *Institutionalization, Operational Framework, Technical Capacity, and the Use of Evidence.* These dimensions are further described in the following subsection and Appendix A.

The fulfilment and continuity of the activities integrating the roadmap, together with the continuous promotion and support of an enabling environment and a system of incentives with a whole of government/institution approach are:

- expected to lead to the institutionalisation of the RBM system (understood as the existence, acknowledgement, and communication of clear rules);

- to the development of technical elements to support the system (understood as having developed capacity for generating and using the evidence that feeds the system);

- to having an organizational design and actual roll-out of the system (understood as having structures and processes designed and implemented for generating evidence and enabling the fulfilment of the normative framework);

- and finally, to a communication and persuasion strategy (understood as having timely access to evidence and knowing the paths to promote and measure its use).

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

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

3.2   Ideal RBM system and working process

The development of an RBM System is a complex and nonlinear process that must be contextualized to the specific Member State. To establish a roadmap to strengthen or build an RBM system, the following three elements were considered:

1. A benchmark against which to assess the level of maturity dubbed as "Ideal RBM System"
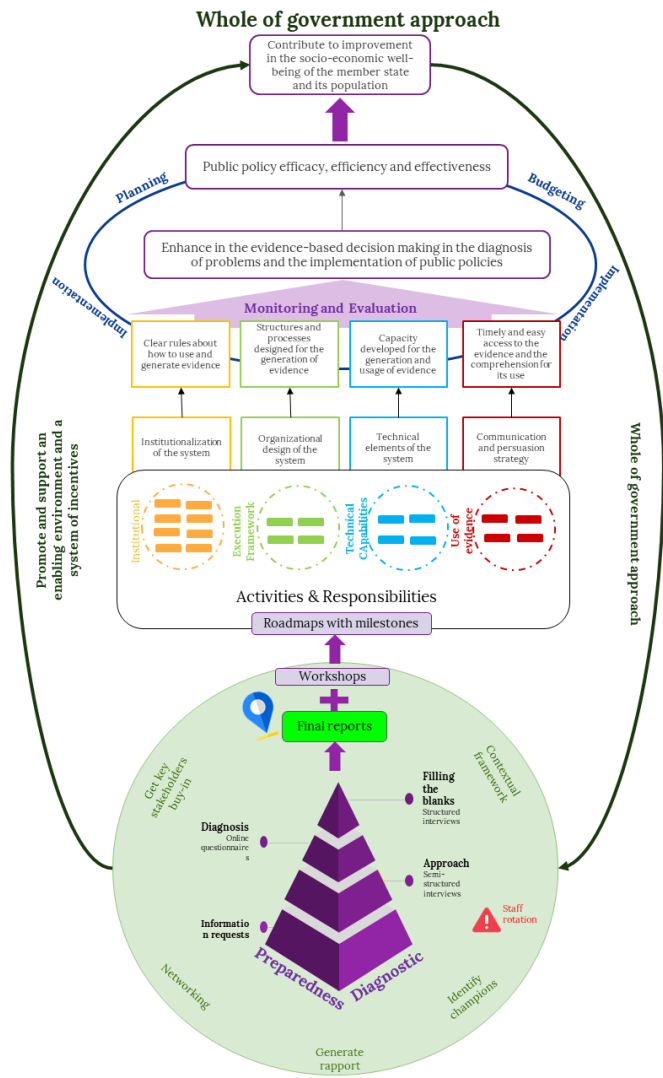
Figure 3.1: Theory of Change

2. A methodology to obtain general and specific recommendations and,

3. A working process and approach to generate ownership

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

Figure 3.2: Dimensions of an ideal RBM system

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

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

- *Technical capabilities:* this dimension focuses on the necessary capacities and abilities to implement an RBM System.

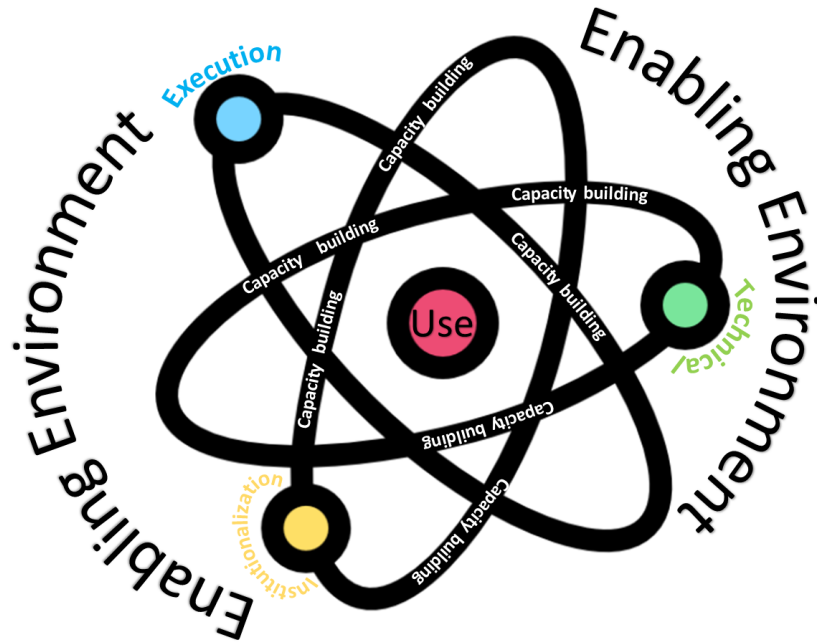- *Use of evidence:* this dimension focuses on the dissemination strategies and incentives aimed at stakeholders with the purpose that they use the evidence generated by the RBM System.

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

Once all the required information is gathered and analysed (based on the dimension-element-subelement structure) the dimensions will be assessed using a 3-level scale for each sub-element (no, yes, need of improvement)[1] .

For this last step, the progress rate in each sub-element within the element is added end and a cumulative value will be generated to rate the element. Subsequently, all the element values within each dimension are added to determine the progress rate of each dimension.

Finally, the average from the progress of the four dimensions will place each Member State at a specific level of progress (Early initiatives; Committed development; Growing RBM system; Consolidated practices, or Mature state) in the development and implementation of an RBM System (see Appendix C for more details).

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

One significant component to strengthen RBM in the Community is to build, in a participatory process, specific roadmaps to continue the development of RBM Systems for each pilot member state and regional institution. The member states and regional institutions participating in the pilot have relevant but heterogeneous advances achieving this goal. To identify these advances, guide the analysis of the Preparedness Diagnostic stages, and develop ownership, the roadmap will be defined in workshops with key stakeholders involved in different levels (management, coordination, and operation).

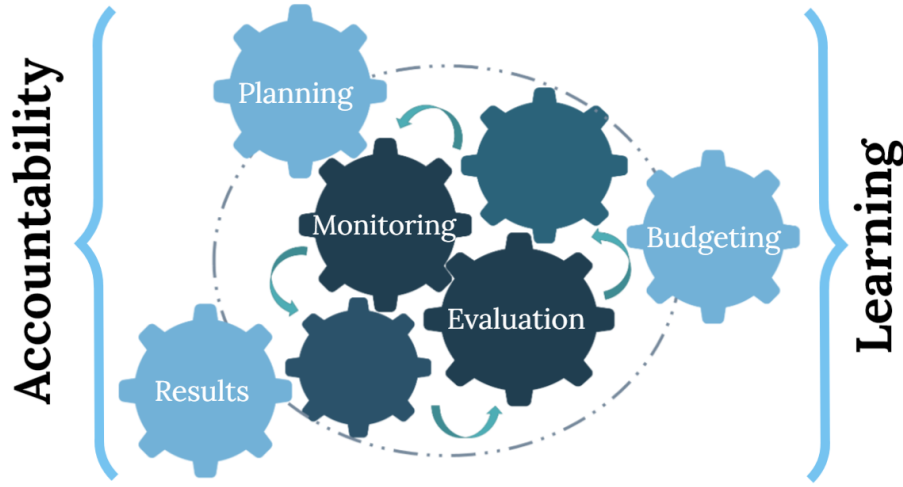[1]For more details on the 3-level scale see appendix C

Figure 3.3: Working Process defined for the CARICOM Collaboration

3.3   Stages of the Preparedness Diagnostic

The Preparedness Diagnostic (PD) is a four-stage methodology designed to gain a deep understanding of a Regional Institution's relevant aspects/characteristics when developing an RBM System. One main assumption behind the methodological design of the PD is that building a sustainable RBM System requires the active involvement of multiple stakeholders. The stages of the PD use different data collection methods to identify and engage these stakeholders as well as obtaining information to understand the current policy environment; stakeholder's interests, their roles, motivations, relationship dynamics; map existing institutional structures, practices, and mechanisms; and define capacity building needs.

To have a successful implementation of the PD for this collaboration, the CLEAR LAC team, in coordination with CARICOM Secretariat, selected Executive Coordinators who are representatives for the collaboration from the three Member States (Dominica, Jamaica and Saint Lucia) and the three Regional Institutions (the Caribbean Development Fund, the Caribbean Examinations Council and the CARICOM Implementation Agency for Crime and Security). The role of the Executive Coordinators was key to develop the PD as they have an overall knowledge of their Member State or Regional Institution and have experience in RBM as they have been part of the efforts of their Member State or Regional Institution. As Executive Coordinators for this collaboration they acted as focal points and contributed to identifying and reaching relevant stakeholders in the different stages of the PD and acted as key informants given their experience.

Stages of the PD

The four stages of the PD (presented in Figure 4) are implemented in sequence and personalized based on the findings of the previous stage. They also involve the participation of different stakeholders to obtain a broad perspective of the pilot Member States and Regional Institutions. Below, a brief description of the stages is presented and how they were implemented with the pilots.
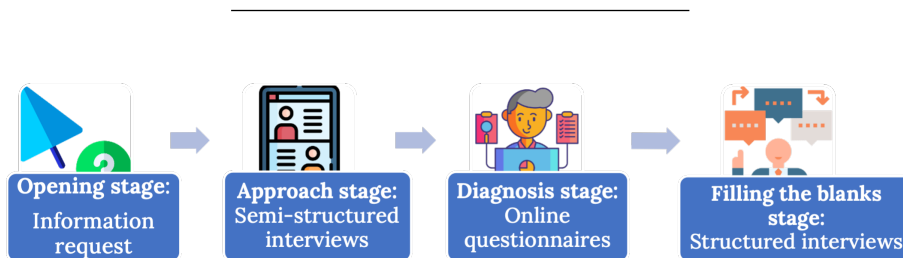

Figure 3.4: Stages of the Preparedness Diagnostic

The **Opening stage** consisted of a request for different documents from the Executive Coordinators, regarding the pilots' planning, budgeting, and M&E practices. The desk review and analysis of these documents, in addition to other publicly available information, allowed the design of targeted customized questions for each pilot in the next stage.

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

The **Diagnosis stage** consisted of a series of online questionnaires for the Ministries, Agencies, and Departments of Member States, and Units of Regional Institutions. This stage aimed to gather more in-depth information which would complement information gathered in previous stages and to strengthen the whole of government approach for RBM. The participants were able to respond to questions and upload documents in a timeframe of approximately four weeks, as well as consult with other stakeholders for any additional information within their pilot Member States or Regional Institutions.

Finally, the **Filling-the-blanks** was aimed at addressing information gaps from the previous stages through a series of structured interviews. This stage targeted

other stakeholders such as members of Parliament, representatives of multilateral international organizations, development partners, etc.

Table 3.1: CXC®'s Preparedness Diagnostic Numbers

Stage 1 − Opening	Information request to Executive Coordinator + document analysis (+10 documents) + research on official websites.
Stage 2 − Approach	4 semi-structured interviews were conducted by the CLEAR LAC team with relevant stakeholders
Stage 3 − Diagnosis	+5 online questionnaires were sent to MDAs and were answered with both the whole-of-institutional approach
Stage 4 − Filling the blanks	No structured interviews were conducted by the CLEAR LAC team.

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

Strengths of the PD

- Different stages designed to identify specific stakeholders and to generate rapport with them.

- As the stages are implemented and analysed sequentially, different layers of information are gathered

- Participatory process that leads to the Member States or RI's ownership of the collaboration

- Qualitative and quantitative mixed methods used

- All stages are adapted for to consider the context of each Member State or RI

Limitations of the PD

- Specific results for one pilot cannot be generalized to others given the customization of the instruments and contextual differences among them

- There are time limitations due to tight agendas of stakeholders that complicates reaching all the desired informants.

- All stages were implemented remotely, and it is preferred to have some face-to-face contact with the stakeholders in at least one of the stages to generate rapport

- The duration of the PD is approximately six effective months; however this was extended due to the whole of government/institution approach and the stakeholders' agendas.

Chapter 4

CXC®'s profile

The Caribbean Examination Council (CXC®) is an examination board active since 1972 under an agreement by 15 Commonwealth Caribbean countries (Agreement by the Participating Governments in the Caribbean Community (CARICOM)). The organization was formed with the aim of transforming education in the Caribbean at a time when British examination boards were the leading examination bodies but also when countries in the region were asserting themselves as independent states or advocating for independence, therefore the necessity for internal regional examinations was born to shape future development.

As of today, the Council has 16 English-speaking participating countries and three Dutch-speaking territories that offer examinations. The two main offices of the Council are the Headquarters or Eastern Zone Office (EZO) in Barbados and the Western Zone Office (WZO) in Jamaica.

CXC® provides examinations and certifications for secondary and post-secondary candidates in Caribbean countries in a variety of subjects in academic, technical, and vocational areas. The organization works with educators across the Caribbean who work in sixth form schools, community, state, and teacher-training colleges and universities, as well as specialists from the private sector.

CXC® also uses its expertise and technologies to provide assistance and consultancy services such as the development of syllabuses, preparation and administration of national examinations, training in school-based assessment, item writing, and other aspects of measurement and evaluation, analysis and preparation of reports of students' performance, and preparation of resource materials for both the public and private sector across the region.

The vision of the institution is to be a digitally transformed enterprise that provides quality, relevant, and globally recognised educational services and its

mission is to develop the human capital of Caribbean people through partnerships for global competitiveness.

The structure of the Council currently consists of the Vice-Chancellor of the University of West Indies, the Vice-Chancellor of the University of Guyana, three representatives of the University of West Indies, one representative of the University of Guyana, two representatives appointed by each of the Participating Governments (Barbados, Jamaica, Guyana and Trinidad and Tobago), one representative appointed by each of the other Participating Governments, and one representative of the teaching profession appointed by each National Committee from among its members. Members of the Council hold office for a period of three years and Chairmanship is held by one of the Vice-Chancellors or their representatives. The council meets annually to decide on policy framework, and this is carried out by the Administrative and Finance Committee (AFC), the School Examinations Committee (SEC), and its Sub-Committee (SUBSEC).

Other stakeholders are also important to support the organization and its mandates. At the national level, these stakeholders include Ministries of Education, CXC® National Committees, national education authorities, schools, post-secondary and tertiary education institutions, and employers. At the regional level, the stakeholders are the CARICOM Secretariat, OECS Commission, the Caribbean Development Bank, The University of the West Indies, Regional accreditation agencies, the Caribbean Union of Teachers, and regional commercial and employer bodies. Finally, at the international level, these include international development partners such as UNESCO, UNECLAC, UNICEF, UN-WEF, COL, IADB, EU and OAS, international universities and colleges, international examinations and assessment bodies, as well as international qualifications authorities and accreditation agencies and international awarding bodies.

4.1   CXC®'s RBM profile

CXC® is considered an advanced results-oriented organisation among CARICOM's Regional Institutions. As the regional examinations board, improving performance with learning is in its essence. It is an institution that, like many others, faces different challenges such as scarce resources, the COVID-19 pandemic, and a constant need to adapt to the changing needs of its customers. To face these challenges and keep delivering services of excellence in the region, CXC® has made relevant efforts into the adoption of an RBM System.

In 2020, CXC® created the Corporate Planning and Strategy Management Unit (CPSM). This unit oversees the institutional planning activities as well as the monitoring and evaluation of the implementation of the strategics' medium-term plan. The development of CXC®'s Strategic Plan 2021 – 2025, a bold plan intended to guide the institution's initiatives considering the regional needs with a global perspective, is another big step toward a systematic results-oriented approach. The Strategic Plan sets a clear general goal, becoming a globally

recognized and top technological educational service provider, and 13 specific strategies to achieve this. All strategies have at least one key performance indicator (KPI), yearly targets, and responsible units or departments.

Another significant advance by CXC® was the adoption of the Spider Impact Software (SIS), a management tool that uses the Balance Scorecard methodology (BSC) to monitor the institution's performance and keep track of the achievement of defined goals. The information captured by the system brings a deep insight into how the initiatives are performing, the budget expenditure, and how much on track CXC® is; and the analysis of this information allows to learn and improve performance. On the road to developing the institutional RBM System, CXC® is committed and motivated to continue the journey.

Chapter 5

Main findings

As mentioned above, this Preparedness Diagnostic uses a four dimensions analysis as reference. Each dimension contains elements considered relevant to have an "Ideal RBM System". This Ideal RBM System serves as a benchmark that allows to compare the current situation in CXC® in relation to the best possible scenario regarding practices, uses and results of RBM. Figure 5 shows the degree of progress that CXC® has in each of the dimensions of analysis, with respect to the ideal scenario.

The elements and sub-elements of the reference Ideal RBM System are not usually part of the status quo, they should be identified, designed, and developed; following this, an institution that has not considered adopting RBM practices would probably not comply or show advances in any of the analysed elements. In this sense, all the advances identified in this diagnosis represent a valuable progress.

It is important to mention that, although there is a numerical value for each dimension, behind the numbers there was a qualitative analysis that determined the current situation of CXC® regarding RBM. Furthermore, these "ratings" are in terms of the ideal scenario, so in no way does it represent an outright success or failure, but rather an approximation to the best possible situation of the RBM.

DIMENSION	LEVEL OF PROGRESS
INSTITUTIONALISATION	71%
EXECUTION FRAMEWORK	46%
TECHNICAL CAPABILITIES	63%
USE OF EVIDENCE	43%
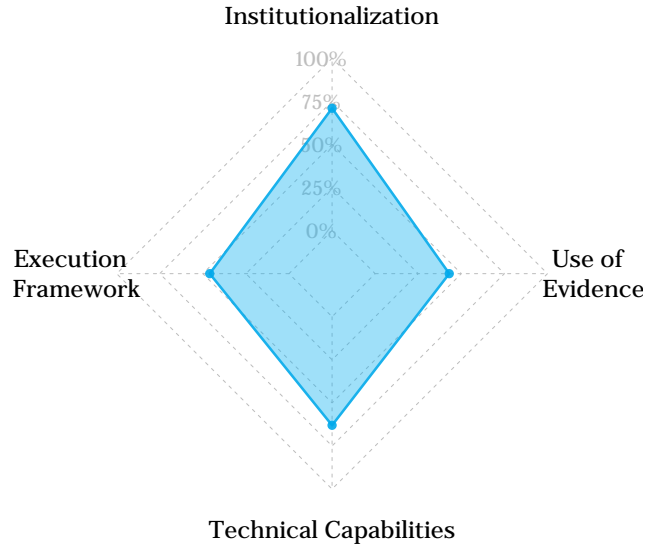
Figure 5.1: Level of progress of the Ideal RBM System

Considering this degree of progress, a metric was built to progressively iden-
tify five levels of maturity of RBM systems. In this way, the progress levels
presented above are averaged to identify the RBM level in which CXC® is cur-
rently located[1]. The 5 levels are:

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

Considering the results in the Preparedness Diagnostic analysis, CXC® is cur-
rently in a Growing RBM System level. Significant efforts have been done in
developing and implementing a medium-term results-oriented plan with clear
strategies, KPIs and yearly targets to track the progress in achieving them.
There are also significant efforts in monitoring activities with the use of the
BSC methodology in an integrated system (SIS). Also, the Strategic Manage-
ment mentions an evaluation process that consists in the analysis of the moni-
toring results, as well as its communication to different stakeholders within the
institution to guide decision making. The development of an RBM Policy is still
in progress; however, there is a lack of stablished guidelines for M&E activities
with clear activities and responsibilities.

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[1]For more information, please see appendix C.

5.1 Results by dimension

The results of this diagnosis for each of the dimensions analysed (and their ideal elements) are presented below in a synthetic manner. For more detailed information on each dimension, elements, and sub-elements, please see appendix B and visit the interactive platform with all the disaggregated findings of this PD.

5.1.1 Institutionalisation

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

Ideal Element	Main results/findings
1. There is a documented, approved, and binding RBM Policy within the Regional Institution (RI) or a CARICOM RBM general policy for all RIs	CXC® has been working in a Strategic Management Framework (SMF), a document that contains different elements of an RBM policy. This document is still to be approved.
2. There are guidelines that establish the rules and processes to perform monitoring activities:	The SMF outlines a general monitoring process. Also, CXC® has defined key performance indicators (KPIs) and initiatives that are tracked periodically. However, there are no specific guidelines for monitoring activities.
3. There are guidelines that establish the rules and processes to perform evaluation activities:	The SMF outlines a general evaluation process. However, there are no specific guidelines for performing evaluation activities.
4. There are guidelines that establish the rules and processes to address and use of M&E results	The SMF mentions that periodic status reports and Management review meetings will be held to discuss the achievement of the strategy through a review of key performance indicators (KPIs) accomplishments.
5. There are actions towards building an enabling environment	The Strategy Evaluation process in the SMF involves periodic meetings with relevant stakeholders from different departments and units within CXC® to discuss the achievement of KPIs and take necessary actions to keep CXC® in the road of accomplishing the targets and objectives in the Strategic Plan 2021 – 2025 (SP).
6. There is an institutional Results Oriented Plan defined for a given period:	CXC® has the SP, a document with strategic objectives, specific initiatives and KPIs, as well as responsible stakeholders. It was developed by the CPSM unit in a participatory process. Its progress is monitored with the

5.1.2   Execution Framework

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

Ideal Element	Main results/findings
11. There are operative handbooks to implement the monitoring functions (i.e. Logic Framework)	CXC® uses the BSC methodology to perform its monitoring activities. However, there are no available operative handbooks to implement the monitoring functions within CXC®.
12. There are operative handbooks that establish specific steps to develop each stage of the evaluation function	There are no available operative handbooks to implement the evaluation functions within CXC®.
13. The RI collects information to monitor its performance	The CPSM unit collects information to monitor CXC®s performance using the SIS. The CPSM unit has clear key performance indicators (KPIs) and the initiatives surrounding those objectives. The KPIs' data is captured on the initiative's performance, budget spending, issues, and CXC®'s target. After the information is captured, the units/departments analyze it.
14. The regional institution has an evaluation plan for its activities, interventions or programs	CXC® has an evaluation process that consists in the periodic and systematic analysis of the monitoring results.

5.1.3 Technical capabilities

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

Ideal Element	Main results/findings
15. There are skilled personnel in the RI with technical capacity and competencies to conduct planning and budgeting for results	During the development of the Strategic Plan, some staff from different departments was involved in the planning activities to develop capacities.
16. There are skilled personnel in the RI with technical capacity and competencies to conduct monitoring activities	There are certified staff in the Balance Scorecard Institute and indicator development. Also, there has been different training to use the Spider Impact Software.
17. There are skilled personnel in the RI with technical capacity and competencies to conduct evaluations and evaluation activities:	There are staff with training in evaluation types, but there is lack of training in how to conduct and use the results of evaluations.

5.1.4 Use of evidence

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

Ideal Element	Main results/findings
18. RBM documents are publicly available for consultation	There are some publicly available documents such as the Strategic Plan 2021 – 2025 and annual reports. However, budget reports are not available for public consultation.
19. There are guidelines that establish the rules and processes to address and use of M&E results	The Strategic Management Framework has specific processes for monitoring and evaluation activities, and the final element of the processes is to deliver status reports and hold Management Review Meetings. The expected result of the meetings is to act in case the defined targets are not being achieved.
20. M&E results are systematically included in the planning & budgeting of programs and public policies	The Corporate Planning and Strategy Management Unit produces progress reports in the implementation of CXC®'s Strategic Plan and Corporate Performance Reports. These reports are directed to the Internal - Line and Senior Management and Executive.
21. The RI has mechanisms to measure the use of evidence that the RBM system generates	The use of the Spider Impact Software allows CXC® to track its progress in the achievement of defined targets. Also, the recommendations from monitoring information analysis and the Management Review Meetings allow for adjustments to be made. However, it is not clear if there are mechanisms to measure the use of this analysis and recommendations.

5.2   Main challenges to strengthen the RBM system

As mentioned in section 2.2, the development of an RBM System is a complex, nonlinear, and continuous process that must be contextualized in each country. In doing so, it is important to consider the main challenges that Dominica faces when it comes to strengthening its RBM system. This diagnosis identifies three major challenges:

1.Changing the culture and fostering the enabling environment to have an RBM system in place implies a change of mindset of public servants at all levels. It should be considered that throughout the process there must be a constant awareness/sensitization strategy, both in the short and mid-term, that allows public servants to identify why it is important to have this mindset change in pursuit of RBM. In other words, in a constant way, remember why RBM is important and how it can improve performance and lives.

2. Since this collaboration has a whole-of-institution approach, it is necessary to have a top-bottom commitment in which leaders and decision-makers show the benefits of the RBM system through actions that consider the evidence derived from the system. This means that we need a top-bottom approach to use, and thereby demonstrate its usefulness, the information and evidence derived from the RBM system to improve planning and budgeting decisions.

3. For the RBM system to be sustainable, it is of the utmost importance to generate a system of incentives and ensure that there is a balance between positive and negative incentives (such as potential penalties for non-compliance), to keep the system moving forward. The positive incentives can take different forms, from monetary to symbolic, such as the delivery of awards and recognition for good performance in public service.

Chapter 6

Next steps to building the roadmap

RBM entails more than just abiding with certain requirements. Compliance is just not enough; it has to do with a change of mindset about the way things are done. This change of mindset involves different areas and moments of the administration. Having reviewed the main results from the preparedness diagnostic in terms of the dimensions of elements considered as part of an ideal RBM system, this section introduces the next steps that will be carried out as part of the process of building contextualized roadmaps.

The roadmap will present paths to influence planning, budgeting, implementation, and the M&E functions, as well as accountability and learning promotion. The main objective is for CXC® to have a defined action course that also specifies responsibilities and shows the importance of the participation of all relevant stakeholders.

The whole process has a coproduction approach, were aside of the CLEAR LAC team, the CARICOM Secretariat, and the Executive Coordinators, key stakeholders will be involved in a fluid process to develop a learning loop that provides feedback and improves the process. ***

Analysis of the information gathered in the Preparedness Diagnostic

Assess the degree of progress by the pilot member states and regional institutions in each bundle and the indicators within considering a three-level rating scale

Development of a process to build the roadmap. This will be used as an input for the workshops that will define the roadmap with the participation of key stakeholders
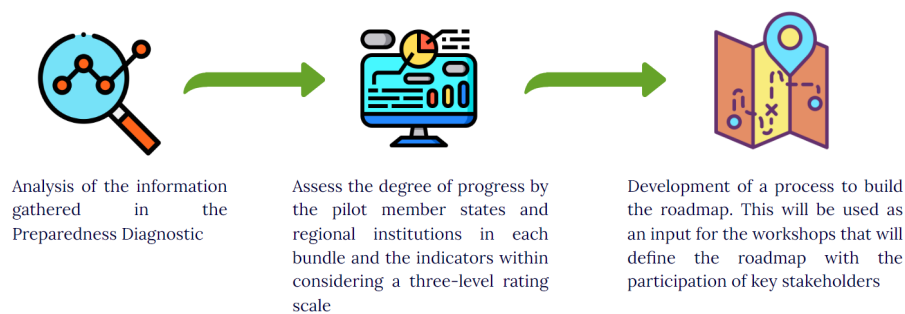
Figure 6.1: From an ideal RBM system to the roadmaps

Figure 6.2: Learning loop

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

Once the first draft was completed, it will be shared with key stakeholders for review and validation, starting with the Executive Coordinators. Once the feedback period concluded, the report itself became an input for what is to come and will be distributed with multiple purposes (including generating knowledge, aiding in empowering key stakeholders in the path of strengthening RBM practices, and promoting appropriation of the next steps).

The next steps start with *defining the road*, engaging key stakeholders to co-produce contextualized mid-term roadmaps that will include specific activities and milestones that sought to materialize their implementation. To develop the roadmap, the CLEAR LAC team has designed a series of workshops with the participation of stakeholders involved in the different areas and levels of what is to be the national RBM system, and that have been carefully identified as part of the Preparedness Diagnostic process.

To *move forward*, this first draft of the roadmap is presented to other relevant stakeholders to build a consensus and support for the process. It is crucial to gain whole-of-government ownership, so it is important to define and implement a dissemination strategy for *sharing clearly define milestones* in different levels: internal, external, and regional once they have been clearly defined and responsibilities have been assigned. Finally, it is important to *track the progress* of implementation and communicate results to assure that the Member State learns from the process, adjusts, and stays on the recommended path, as well as communicating results. The continuum process of identifying, sharing, reviewing, and adjusting represents a learning loop.

6.1 Stakeholders' contribution analysis

This section presents an analysis of stakeholders to identify which of them are relevant to strengthening the RBM system. Each of these actors has different levels of decision and execution. A proposal of their possible contribution to improve the system and generate the necessary evidence to improve decision-making regarding planning, budgeting and thus achieve the expected results of CXC® is presented here based on the CLEAR LAC's team analysis considering their positions and experience.

The analysis is summarized in the following table . During the roadmap development workshops that will be held with institution's stakeholders, new stakeholders could be identified or some of those presented here could be discarded. Once its RBM Policy is approved and published, we will be able to have greater clarity on the roles, responsibilities, capacities, and relevance of the stakeholders that will integrate the system in a whole-of-institutional approach.

Table 6.1: Stakeholders' contribution analysis

Stakeholder / Position	Responsibilities / Role in the system	Incentives to be part of the system
Administrative and Finance Committee (AFC)	• Define M&E information needs	• Achieve better results for CXC®
	• Demand for M&E information to guide decision-making	• Provide better educational services to the regional citizens
CARICOM Secretariat	• Demand better results from CXC®, as well as transparency and accountability	• Achieve regional objectives in terms of educational services provided to the region citizens
	• Develop incentives for the good performance of CXC® and the rest of Regional Institutions	
	• Create a best RBM practice repository and disseminate them among the Regional Institutions	
Citizens	• Demand better services from CXC®	• Not Applicable
Corporate Planning and Strategy Management Unit (CPSM)	• Coordinate the operationalisation of CXC®'s RBM System	• Achieve the targets defined in the Strategic Plan 2021 – 2025
	• Coordinate the implementation of the Strategic Plan 2021 – 2025	• CXC®'s RBM System as an example among the Regional Institutions
	• Gather the specific M&E needs from CXC®'s different departments to guide planning, budgeting and implementation	

References & Sources

- CXC® / Education / Examinations / Certifications. (2021, August 31st). Caribbean Examinations Council. https://CXC®.org

Appendix A

Conceptual framework (CLEAR LAC)

A.1   Key dimensions of a sustainable RBM System

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

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

- *Institutionalisation:* this dimension focuses on the formal rules that defines, outlines and formalize the RBM Systems in the countries.

- *Execution framework:* this dimension focuses on the systems, resources, processes, methodologies, and tools necessary for the implementation of the RBM system, as well as incentives that promote an enabling environment.

- *Technical capabilities:* this dimension focuses on the capacities, abilities, and resources necessary to implement and sustain the RBM System.

- *Use of evidence:* this dimension focuses on the dissemination strategies and incentives aimed at stakeholders with the purpose that they use the evidence generated by the RBM System and its measurement.

A.2   Ideal elements & sub-elements

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

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

A.3   Levels of progress

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

The scale used to assess the sub-elements are:

- **No:** there is no documented advance in the sub-element
- **Needs improvement:** there is documented advance in the sub-element, but do not cover all the criteria express in the sub-element.
- **Yes:** there is documented proof that the sub-element complies with the needed/ideal characteristics

Each scale level has an assigned value, and every element will have a result obtained from the total sum of its sub-element's scores. The average score of

I. Institutionalisation Ideal elements
1. There is a documented, approved, and binding RBM Policy within the CXC®.
1.1 It outlines guiding principles / pillars that are aligned to a results-oriented approach
1.2 It communicates what RBM entails (e.g., clear definitions for key concepts) and clearly states how it works
1.3 It identifies key actors who are responsible for the coordination and the measurement of the overall results o
1.4 It identifies key actors who are responsible for supervising the implementation of the RBM policy and their
1.5 It is use-oriented in planning, budgeting, and implementing towards results, transparency and accountability
1.6 The funding for M&E activities and the responsible are identified
2. There are guidelines that establish the rules and processes to perform monitoring activities
2.1 They identify indicator types and the dimensions they want to measure (e.g. efficiency, efficacy), and monito
2.2 They identify specific timeframes to collect indicator data and develop monitoring tools to measure the indic
2.3 They have criteria to ensure data collection quality (design, measurement, report)
2.4 They integrate the indicators as a monitoring system
2.5 The monitoring system has a stablished process to update its information periodically
2.6 The monitoring system has a stablished process to update its indicators periodically
2.7 There are rules providing all parts in the monitoring process with a way of presenting their opinion (e.g., ins
3. There are guidelines that establish the rules and processes to perform evaluation activities
3.1 They identify key stakeholders to be part of the evaluation process (e.g., evaluation process coordinators, ev
3.2 They identify specific evaluation types
3.3 The identify specific timeframes for each evaluation type
3.4 They identify specific characteristics and functions of evaluators
3.5 It establishes an iterative process of evaluation (e.g., is not a one-time exercise)
3.6 They identify the elements to be included in the evaluation's ToRs (e.g., objectives of the evaluation, the rol
3.7 They outline the operationalization process of the institution's evaluation agenda (e.g., it is agreed among re
3.8 There have quality control mechanisms for evaluation activities (e.g., quality attribute listings, quality evalu
3.9 There are rules providing all parts in the evaluation process with a way of presenting their opinion (e.g., inst
4. There are guidelines that establish the rules and processes to address and use M&E results
4.1 They identify instruments to measure the RBM System results
4.2 They identify mechanisms to use monitoring results
4.3 They identify mechanisms to use evaluation results
4.4 They establish rules and processes that require the budgeting process to consider the results of M&E activit
5. There are formal actions towards building an enabling environment
5.1 There are key stakeholders identified as responsible for these formal actions
5.2 There are strategies to enhance or attenuate positive or negative incentives for the use of monitoring
5.3 There are strategies to enhance or attenuate positive or negative incentives for the use of evaluation
5.4 There are mechanisms for the participation of stakeholders in the definition of monitoring activities and nee
5.5 There are mechanisms for the participation of stakeholders in the definition of evaluation activities and need
5.6 There are periodic meetings involving relevant stakeholders to review the M&E information as an RBM Syst
5.7 There is a permanent strategy to communicate and sensitize about the benefits and challenges of M&E
6. There is an institutional Results Oriented Plan defined for a given period:
6.1 It has defined objectives
6.2 It is constructed in a participatory process
6.3 It is constructed using the information generated by the RBM System
6.4 It has defined strategies to implement the plan
6.5 It has defined indicators and monitoring tools by mandate, and they measure outcomes and outputs
6.6 It is evaluated by mandate
6.7 It has specific evaluation activities
6.8 It has defined responsible actors
6.9 It considers regional (CARICOM) objectives
7. There is an institutional budgeting strategy for a given period :
7.1 It is allocated according to the objectives/goals/activities of the institutional planning
7.2 It considers the prioritization of the objectives/goals/activities identified in the institutional planning
7.3 It is allocated using the information generated by evidence and the RBM System
7.4 The budget allocation is defined in annual terms (e.g., it specifies the starting date, relevant milestones date

II. Execcution Framework Ideal elements
9. There is a specific unit / department within the Regional Institution responsible for t
9.1 The unit / department has the necessary financial and infrastructural resources to undertake its
9.2 The unit / department has the necessary human resources to undertake its functions and activit
9.3 The unit / department is known by all the other institution's departments and holds regular cor
10. There is a specific unit / department within the Regional Institution responsible for
10.1 The unit / department has the necessary financial and infrastructural resources to undertake it
10.2 The unit / department has the necessary human resources to undertake its functions and activ
10.3 The unit / department is known by all the other institution's departments and holds regular co
11. There are operative handbooks to implement the monitoring functions (e.g., Logic F
11.1 They identify all the relevant activities to develop each stage of the process (e.g., Specific act
11.2 They outline specific timeframes to implement every stage of the process
11.3 They identify the responsible in every stage of the process
11.4 They outline a dissemination strategy of the LF results (what, how, when and to who do you v
11.5 The indicators are oriented to results and outcomes
12. There are operative handbooks that establish specific steps to develop each stage of
12.1 They identify all the relevant activities to develop each stage of the evaluation process (e.g., ev
12.2 They outline specific timeframes to implement every stage of the process
12.3 They outline a dissemination strategy of the evaluation results (what, how, when and to who d
12.4 They identify the responsible in every stage of the process

the elements per dimension results in the dimension's score, and the average
score of the four dimensions will place the Member state/regional Institution in
one of the following **levels of progress** of their RBM Systems:

- Level 0. No RBM
- Level 1. Early initiatives: there are some initiatives to develop RBM-related structures and focus on monitoring activities
- Level 2. Committed development: there are RBM-related structures being stablished and limited evaluation activities
- Level 3.. Growing RBM system: there are RBM-related structures being stablished and limited evaluation activities
- Level 4. Consolidated practices: there are integrated efforts (political will, capacity building and some whole-of-government consensus) to develop the RBM System
- Level 5. Mature state: Functioning and sustainable RBM System in place that generates credible, reliable and timely information that improves public policies

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III. Technical Capabilities Ideal elements
13. The RI collects information to monitor its performance:
13.1 It is timely: it is available when making policy decisions
13.2 It is trustworthy: there is a validation mechanism.
13.3 It is systematized: it is organized for easy understanding.
13.4 It is relevant regarding its management: it allows to measure the indicators of planning and budgeting for r
13.5 It has a defined update period
13.6 It is monitored periodically within the time horizon of planning and budgeting for results.
13.7 It is replicable: anyone with access to the information may obtain the same results.
13.8 It is collected considering vulnerable populations (e.g., they measure the access of women/indigenous/disab
13.9 It is public/accessible to citizens.
13.10 It is analyzed in periodic reports
13.11 It is documented in a user-friendly way (simple, concise, and easy-to-use decision-making reports).
13.12 It considers the Performance Measurement Framework (CARICOM´s monitoring tool for the Strategic Pl
13.13 The regional institution reports its monitoring results in the CARMES web portal
14. The regional institution has an evaluation plan for its activities, interventions or programs:
14.1 It has a specific evaluation strategy for a given period.
14.2 It has evaluation activities delegated to specific actors (e.g. institution's M&E unit, external agencies)
14.3 It is the result of institutionalized planning exercises; that is, it follows an established procedure.
14.4 It is known by those responsible for the areas/units of the institution.
14.5 It has established the activities, interventions or programs to evaluate.
14.6 It is designed considering vulnerable populations approach (e.g., the evaluations involve gender analytical t
14.7 The document is public/accessible to citizens.
15. There are skilled personnel in CXC® with technical capacity and competencies to conduct plan
15.1 They have technical skills to use derived evidence from M&E to improve planning (identify priorities, vulne
15.2 They have competencies to use M&E results to define results-oriented budgeting (e.g., identify priorities, ne
15.3 They have competencies to coordinate with other with other institutions and relevant actors
16. There are skilled personnel in the RI with technical capacity and competencies to conduct mon
16.1 They have technical skills to collect indicator data
16.2 They have technical skills to use monitoring tools
16.3 They have the competences to identify monitoring needs in order to collect relevant, pertinent and timely c

| IV. Use of Evidence Ideal elements |
| --- |
| **17. There are skilled personnel in the RI with technical capacity and competencies to co** |
| 17.1 They have the competences to perform different evaluation types (e.g., design, process, impact) |
| 17.2 They have the competences to identify evaluation needs and match them with proper evaluatio |
| 17.3 They have the competences to formulate reports that include relevant, pertinent, and timely in |
| 17.4 There is a capacity strengthening plan for on-going training in RBM and M&E |
| **18. RBM documents and the RIs performance information are publicly available for con** |
| 18.1 Institutional planning documents are publicly available |
| 18.2 Institutional budget plans are publicly available |
| 18.3 Documents that mention the results/findings/recommendations of monitoring and evaluation a |
| 18.4 M&E manuals / guidelines /ToRs are publicly available |
| 18.5 There is a dissemination strategy of evidence about the institution's performance targeted to diff |
| **19. There is an enabling environment for the use of M&E results** |
| 19.1 There are explicit positive or negative incentives for the use of monitoring results |
| 19.2 There are explicit positive or negative incentives for the use of evaluation results |
| 19.3 There are knowledge management practices |
| **20. M&E results are systematically included in the planning and budgeting** |
| 20.1 They are used in an institutionalized way: they follow a established procedure |
| 20.2 There are action plans or other management instruments to ensure M&E results/recommend |
| 20.3 They identify the target population of institutional interventions |
| 20.4 They identify general and specific recommendations to improve the implementation of institu |
| 20.5 They inform the design/redesign of institutional interventions |
| 20.6 They inform the initial budget allocations of institutional interventions |
| 20.7 They inform the budget increase/decrease/suspension of institutional interventions |
| 20.8 Evaluation findings/reports are updated periodically |
| 20.9 The M&E results are used to define the RIs budget |
| **21. CXC® has mechanisms to measure the use of the evidence that the RBM system ge** |
| 21.1 There are mechanisms to know how much the reports and publications on M&E are downloade |
| 21.2 There are use-of-evidence measurements to improve the use of M&E results strategy |
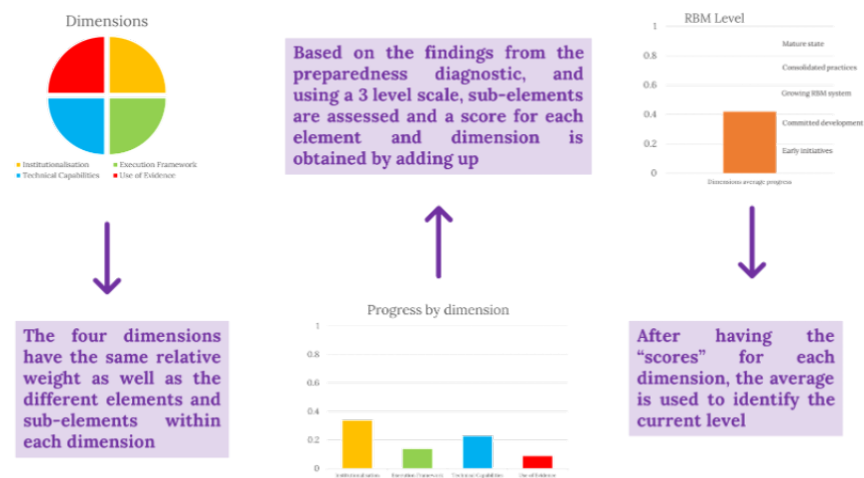
Figure A.1: How to identify the current level of the RBM system maturity

Appendix B

Detailed findings

In the following table, you can consult all the findings found in this PD in detail.

I. Institutionalisation Detailed Findings
1. There is a documented, approved, and binding RBM Policy within the CXC®.
1.1 It outlines guiding principles / pillars that are aligned to a results-oriented approach
1.2 It communicates what RBM entails (e.g., clear definitions for key concepts) and clearly states h(
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2. There are guidelines that establish the rules and processes to perform monitoring acti
2.1 They identify indicator types and the dimensions they want to measure (e.g. efficiency, efficacy)
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2.3 They have criteria to ensure data collection quality (design, measurement, report)
2.4 They integrate the indicators as a monitoring system
2.5 The monitoring system has a stablished process to update its information periodically
2.6 The monitoring system has a stablished process to update its indicators periodically
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3.1 They identify key stakeholders to be part of the evaluation process (e.g., evaluation process coor
3.2 They identify specific evaluation types
3.3 The identify specific timeframes for each evaluation type
3.4 They identify specific characteristics and functions of evaluators
3.5 It establishes an iterative process of evaluation (e.g., is not a one-time exercise)
3.6 They identify the elements to be included in the evaluation's ToRs (e.g., objectives of the evalua
3.7 They outline the operationalization process of the institution's evaluation agenda (e.g., it is agre
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3.9 There are rules providing all parts in the evaluation process with a way of presenting their opini
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4.3 They identify mechanisms to use evaluation results
4.4 They establish rules and processes that require the budgeting process to consider the results of l
5. There are formal actions towards building an enabling environment
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5.5 There are mechanisms for the participation of stakeholders in the definition of evaluation activit
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5.7 There is a permanent strategy to communicate and sensitize about the benefits and challenges c
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6.6 It is evaluated by mandate
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7.4 The budget allocation is defined in annual terms (e.g., it specifies the starting date, relevant mil

II. Execcution Framework Detailed Findings
9. There is a specific unit / department within the Regional Institution responsible for the budgeti
9.1 The unit / department has the necessary financial and infrastructural resources to undertake its functions ar
9.2 The unit / department has the necessary human resources to undertake its functions and activities
9.3 The unit / department is known by all the other institution's departments and holds regular communication
10. There is a specific unit / department within the Regional Institution responsible for the M&E
10.1 The unit / department has the necessary financial and infrastructural resources to undertake its functions a
10.2 The unit / department has the necessary human resources to undertake its functions and activities
10.3 The unit / department is known by all the other institution's departments and holds regular communicatio
11. There are operative handbooks to implement the monitoring functions (e.g., Logic Framework)
11.1 They identify all the relevant activities to develop each stage of the process (e.g., Specific activities withi
11.2 They outline specific timeframes to implement every stage of the process
11.3 They identify the responsible in every stage of the process
11.4 They outline a dissemination strategy of the LF results (what, how, when and to who do you want to diffu
11.5 The indicators are oriented to results and outcomes
12. There are operative handbooks that establish specific steps to develop each stage of the evaluat
12.1 They identify all the relevant activities to develop each stage of the evaluation process (e.g., evaluators sele
12.2 They outline specific timeframes to implement every stage of the process
12.3 They outline a dissemination strategy of the evaluation results (what, how, when and to who do you want
12.4 They identify the responsible in every stage of the process

III. Technical Capabilities Detailed Findings
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13.2 It is trustworthy: there is a validation mechanism.
13.3 It is systematized: it is organized for easy understanding.
13.4 It is relevant regarding its management: it allows to measure the indicators of planning and bu
13.5 It has a defined update period
13.6 It is monitored periodically within the time horizon of planning and budgeting for results.
13.7 It is replicable: anyone with access to the information may obtain the same results.
13.8 It is collected considering vulnerable populations (e.g., they measure the access of women/indig
13.9 It is public/accessible to citizens.
13.10 It is analyzed in periodic reports
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14.4 It is known by those responsible for the areas/units of the institution.
14.5 It has established the activities, interventions or programs to evaluate.
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15. There are skilled personnel in CXC® with technical capacity and competencies to co
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15.2 They have competencies to use M&E results to define results-oriented budgeting (e.g., identify
15.3 They have competencies to coordinate with other with other institutions and relevant actors
16. There are skilled personnel in the RI with technical capacity and competencies to co
16.1 They have technical skills to collect indicator data
16.2 They have technical skills to use monitoring tools
16.3 They have the competences to identify monitoring needs in order to collect relevant, pertinent

IV. Use of Evidence Detailed Findings
17. There are skilled personnel in the RI with technical capacity and competencies to conduct eval
17.1 They have the competences to perform different evaluation types (e.g., design, process, impact) and use dif
17.2 They have the competences to identify evaluation needs and match them with proper evaluation types and
17.3 They have the competences to formulate reports that include relevant, pertinent, and timely information fo
17.4 There is a capacity strengthening plan for on-going training in RBM and M&E
18. RBM documents and the RIs performance information are publicly available for consultation
18.1 Institutional planning documents are publicly available
18.2 Institutional budget plans are publicly available
18.3 Documents that mention the results/findings/recommendations of monitoring and evaluation activities are
18.4 M&E manuals / guidelines /ToRs are publicly available
18.5 There is a dissemination strategy of evidence about the institution's performance targeted to different stakeho
19. There is an enabling environment for the use of M&E results
19.1 There are explicit positive or negative incentives for the use of monitoring results
19.2 There are explicit positive or negative incentives for the use of evaluation results
19.3 There are knowledge management practices
20. M&E results are systematically included in the planning and budgeting
20.1 They are used in an institutionalized way: they follow a established procedure
20.2 There are action plans or other management instruments to ensure M&E results/recommendations are in
20.3 They identify the target population of institutional interventions
20.4 They identify general and specific recommendations to improve the implementation of institutional interv
20.5 They inform the design/redesign of institutional interventions
20.6 They inform the initial budget allocations of institutional interventions
20.7 They inform the budget increase/decrease/suspension of institutional interventions
20.8 Evaluation findings/reports are updated periodically
20.9 The M&E results are used to define the RIs budget
21. CXC® has mechanisms to measure the use of the evidence that the RBM system generates
21.1 There are mechanisms to know how much the reports and publications on M&E are downloaded or used by
21.2 There are use-of-evidence measurements to improve the use of M&E results strategy

Appendix C

List of participants in the Preparedness Diagnostic

Table C.1: List of participants in the Preparedness Diagnostic

Last name	First name	Organisation	Position
Griffith	Atiba	CXC®	Senior Manager of Corporate Planning and Strategic Management
Lowe	Angela	CXC®	Quality Manager
NA	NA	NA	NA
Marshall	Kwesi	CXC®	Financial Controller
Deslandes	Sheree	CXC®	Director of Corporate Services
Clarke	Suzette	CXC®	Strategy Officer
Harewood-Blackman	Roslyn	CXC®	Human Resource Manager

Note:

Anonymously, 5+ public servants answered the online questionnaires to co

Appendix D

List of shared documents

- **CXC® Annual Report 2019**
- **CXC® Strategic Plan 2021-2025**
- **CXC® Structure - Macro level 2022**
- **Master Document List 2022**
- **Proposed Department Structure 2019**
- **Strategic Management Framework - March 2020**