

# Saint Lucia's Preparedness Diagnosis

CARICOM

2022-06-26



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# Welcome

This is the website for Saint Lucia'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:

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# Acronyms and abbreviations

**CARICOM** - The Caribbean Community

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

**GEI** – Global Evaluation Initiative

**KRA** – Key Result Areas

**MED** - Ministry of Economic Development, Housing, Urban Renewal, Transport and Civil Aviation

**MOF** - Ministry of Finance, Economic Growth, Job Creation, External Affairs and the Public Service

**MTDS** – Medium Term Development Strategy

**PCM** - Project Monitoring Committees



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# Definitions and concepts

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

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

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

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

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

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

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

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 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 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 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 Saint Lucia. The report provides information on the existing strengthens and opportunities to develop a sustainable RBM System in the Member State.

The report consists of six sections, including the introduction presented in section 1. Section 2 will present Saint Lucia's position on the results of the Preparedness Diagnostic. Section 3 presents the methodology (including the Theory of Change of this activity); the Preparedness Diagnostic stages; and the "Ideal RBM System," which consists of a four-dimension benchmark for this assessment).

Section 4 contains general and contextual information about Saint Lucia. This section also addresses the interest, expectations and challenges that may arise through the implementation of an RBM system using a whole of government approach. Additionally progress on the development of their RBM system based on the four dimensions is presented under this section.

Section 5 presents the main findings highlighting the level of progress for Jamaica in each of the four dimensions, and a stakeholder's analysis. Finally, Section 6 introduces the process for building a contextualized roadmap for advancing a sustainable RBM system for Jamaica, 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 strength on and advance towards achieving a sustainable RBM system based on key elements. The report may also be used to guide discussions among relevant stakeholders to support sensitization of key stakeholders in the area of RBM practices; to share best practices with other Member States; as well as to promote existing promising practices that are being implemented.

Specifically, within the framework of this collaboration, the report represents the main input for the development of the contextualized medium-term roadmaps which will be facilitated through participatory workshops and engagements.

## Chapter 2

# Saint Lucia'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 Jamaica. 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 Saint Lucia's 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).

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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"



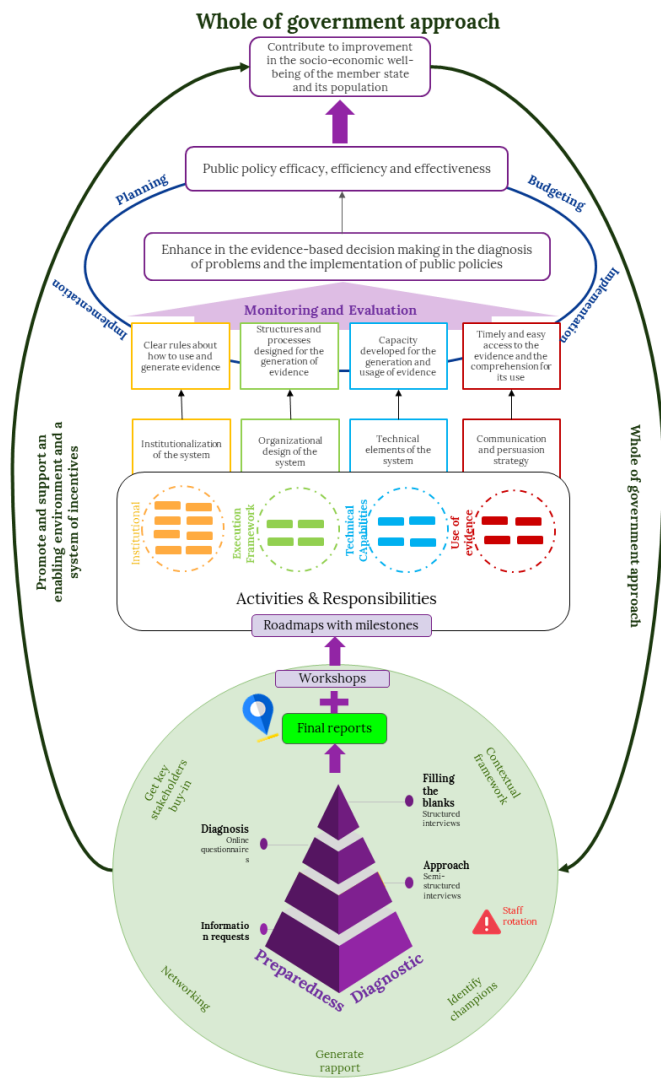


Figure 3.1: Theory of Change

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):

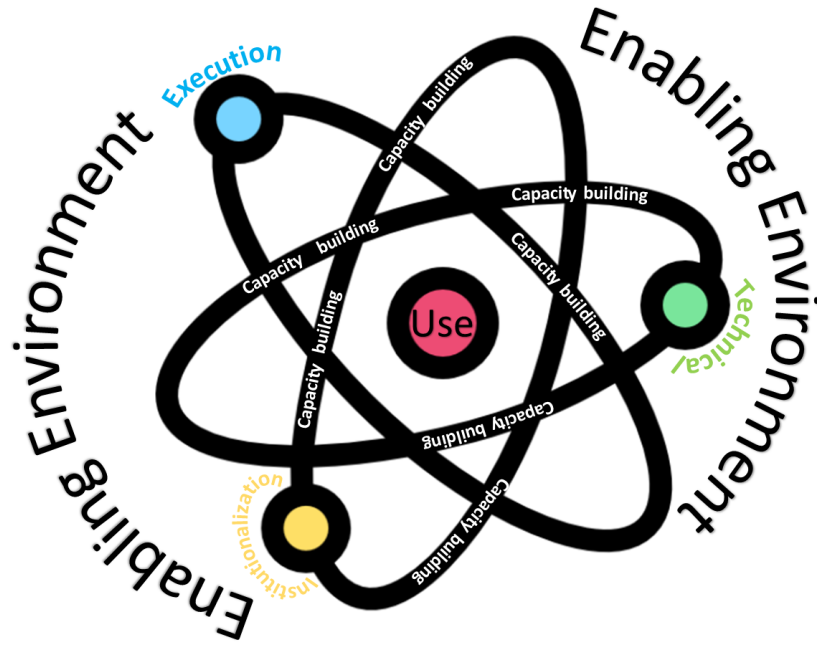


Figure 3.2: Dimensions of an ideal RBM system

- *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)<sup>1</sup>.

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

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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).

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<sup>1</sup>For more details on the 3-level scale see appendix A

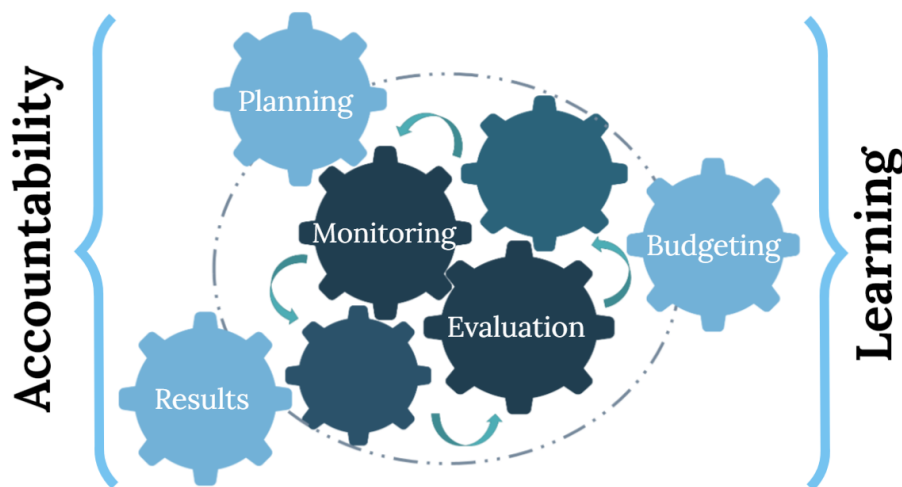


Figure 3.3: Working Process defined for the CARICOM Collaboration

### 3.3 Stages of the Preparedness Diagnostic

The Preparedness Diagnostic (PD) is a four-stage methodology designed to gain a deep understanding of the characteristics of the Member State to inform the development of an RBM System.

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

To successfully execute the PD, the CLEAR LAC team, in collaboration with the 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 CARICOM Development Fund, the Caribbean Examinations Council and the CARICOM Implementation Agency for Crime and Security).

The role of the Executive Coordinators was key to execute the PD as they have an overall knowledge of their Member State or Regional Institution and have experience in RBM. As Executive Coordinators and key informants, they acted as focal points and contributed to identifying and engaging relevant stakeholders at the different stages of the PD.

## Stages of the PD

The four stages of the PD (presented in Figure 4 ) are implemented according to a specific sequence and were customized 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. The figure below provides a brief description of the approach for implementing the stages.

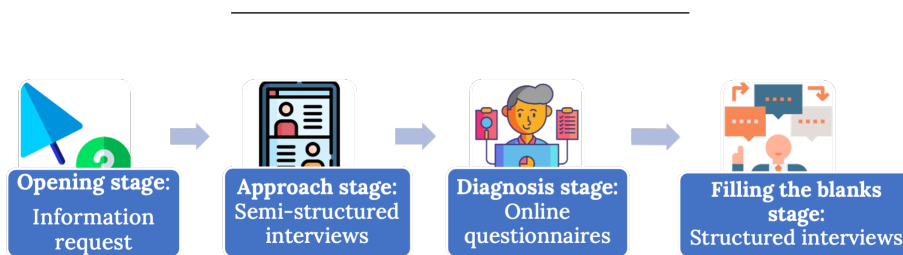


Figure 3.4: Stages of the Preparedness Diagnostic

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: Jamaica's Preparedness Diagnostic Numbers

<b>Stage 1 – Opening</b>	Information request to Executive Coordinator + document analysis (+20 documents) + research on official websites.
<b>Stage 2 – Approach</b>	4 semi-structured interviews were conducted by the CLEAR LAC team with relevant stakeholders from the Attorney General's Chambers, Department of Economic Development and Youth Economy and the Ministry of Finance, among others.
<b>Stage 3 – Diagnosis</b>	+100 online questionnaires were sent to MDAs and were answered with both the whole-of-government and MDA approaches.
	<b>Stage 4 – Filling the blanks</b>
	5 structured interviews were conducted by the CLEAR LAC team with relevant stakeholders from the Ministry of Finance, the Office of the Cabinet, representatives from IFIs, among others.

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

# Saint Lucia's profile

Saint Lucia is an island country in the Caribbean, part of the windward island chain of the eastern Caribbean region, located in the West Indies. It has a population of 186,629 people and a GDP of 1.617 billion as of 2020<sup>1</sup>. St. Lucia first achieved a representative government in 1924 and an autonomous internal government as a member of the West Indian Federation until it achieved its independence in 1979, becoming a parliamentary democracy within the Commonwealth<sup>2</sup>.

As a parliamentary democracy, the head of State is the British monarch, Queen Elizabeth II, who is represented in the country by the governor-general, appointed by the Queen. The head of the government lies with the Prime Minister, who is the leader of the majority party or majority coalition that wins the legislative elections; The legislative branch is made up of the House of Assembly, which has 17 members elected by universal suffrage for a period of five years, and the Senate, which has 11 members appointed by the governor-general. The two major political parties are the Saint Lucia Labour Party and the United Workers Party (UWP).

Last general elections were held in July 2021 and resulted in a massive victory for the SLP, winning 13 over the 17 seats, while the UWP, who had been the party in power since 2016.

These are the fourth consecutive elections in which the incumbent government loses to the opposition, however the country has long experienced peaceful transfers of power between the opposite parties<sup>3</sup>.

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<sup>1</sup>World Bank Data. (2020). St. Lucia. <https://data.worldbank.org/country/st-lucia>

<sup>2</sup>Tolson, R., Niddrie, D. L., & Momsen, J. D. (s. f.). Saint Lucia - History. Encyclopedia Britannica. <https://www.britannica.com/place/Saint-Lucia/History>

<sup>3</sup>Freedom House. (2021). St. Lucia Overview. <https://freedomhouse.org/country/st-lucia/freedom-world/2021>

Some of the persistent challenges the country has faced in later years, include government corruption and inadequate transparency as well as a perception of impunity for abuses such as policy brutality and discrimination against minorities<sup>4</sup>.

Regarding the country's foreign policy, St. Lucia is part of CARICOM and maintains close relations with the Caribbean countries, and countries with the greatest presence in the region, such as Venezuela, Cuba, Brazil, the United States, the United Kingdom, Canada, France, and Spain. It is also important to mention that St. Lucia traditionally has been one of the most active countries in advocating for the added value of Caribbean integration<sup>5</sup>.

Table 4.1: General Statistics of Saint Lucia<sup>6</sup>

<b>Gross Domestic Product</b>	1,703M USD (nominal, 2020) Position 188/216
<b>Main economic activities</b>	Services (86.9%) Industries (10.9%) Agriculture (2.2%)
<b>Inflation rate</b>	3.8% (Consumer Price Index)
<b>Population</b>	184,751 (2021)
<b>Poverty</b>	20.3% (headcount ratio at national poverty lines, 2016)

## 4.1 Saint Lucia RBM Profile

The government of Saint Lucia has made efforts to have a system in place where all its MDAs can generate and communicate reports on the most important aspects of planning and budgeting to decision-makers and thus improve the performance of the government. In this way, various frameworks have been created for strategic planning, budgeting, monitoring and evaluation. However, there are still challenges in being able to coordinate monitoring, evaluation, and reporting efforts with those of planning and budgeting. The planning process, both at the national level and at the MDA level, is clear and the relevant stakeholders and timeframes are identified<sup>7</sup>. Meanwhile, the budgeting process is inertial, that is, resources are systematically distributed to the same priorities and only based on their availability.

<sup>4</sup>Freedom House. (2021). St. Lucia Overview. <https://freedomhouse.org/country/st-lucia/freedom-world/2021>

<sup>5</sup>Ministerio de Asuntos Exteriores de España. Ficha País Santa Lucía. [http://www.exteriores.gob.es/Documents/FichasPais/SANTALUCIA\\_FICHA%20PAIS.pdf](http://www.exteriores.gob.es/Documents/FichasPais/SANTALUCIA_FICHA%20PAIS.pdf)

<sup>6</sup>All data was consulted on the World Bank data website: <https://data.worldbank.org/indicator>

<sup>7</sup>Saint Lucia's planning is done in a mid-term basis (there is a Medium-term Development Strategy each triennium)

The activities and findings of a monitoring and evaluation system and RBM practices have not been able to contribute to improving budgeting and planning decision-making. However, there are efforts that have materialized into good practices within the government, such as the creation of the Project Monitoring Committee for each government project, which seeks to monitor the results of the programs based on the indicators that were raised from the moment of their design; the monitoring and evaluation reports requested from each project within the framework of the Medium-term Development Strategy; the preparation of budget reports based on the templates delivered by the Ministry of Finance where budget ceilings are established, the objectives of each MDA and the programs that seek to achieve those objectives and how it is aligned with national planning.

Despite the efforts by the government of Saint Lucia mentioned above regarding planning, budgeting, and performance management, there seem to be significant deficiencies in articulating them in order to better implement, evaluate, and improve policies, programmes, and projects. Regarding implementation, the government of Saint Lucia, as well as CARICOM Secretariat, are associated with a deficit in terms of policies, programs, projects, and processes (planning, budgeting, adjustments, etc.). This deficit can be seen through the progress rates of the implementation of programs, which are usually around 60% (or even lower), and whose terms of reference, plans and timeframes are often postponed, generating losses of resources and a lack of confidence of investors and donors in government. In addition, the deficit translates into a sharp decrease in the government's capacity to meet the demands of citizens, as well as the public problems that most afflict the country. In turn, the government's accountability and effectiveness undermine its position vis-a-vis the private, external sectors, and international aid.

As mentioned before, having a whole-of-government RBM system in place and running will have effects on different processes, being planning and budgeting two of the most relevant ones. The government of Saint Lucia has clearly defined planning and budgeting processes (see Appendix C) that should be considered as the national RBM policy is developed; this will help identify specific needs and guide the RBM policy towards its use, privileging timeliness of the information generated. The overall national planning and budgeting processes are briefly explained below:

#### 4.1.1 National planning process

Saint Lucia's planning process is consistent over time and identifies the times, resources and personnel necessary to carry it out. Saint Lucia's planning is done in mid-term basis, and there is no long-term national development plan. However, government's priorities will be given to the preparation of a Medium-Term Development Strategy (MTDS) which will be the key element in terms of

national planning (MTDS includes 6 main sectors: health, tourism, agriculture, infrastructure, citizen security, and education).

There is a proposed investment to achieve these mid-term goals, the majority is oriented to health (46.6%) and infrastructure (39.5%). The Ministry of Economic Development, Housing, Urban Renewal, Transport, and Civil Aviation is responsible for national planning. As such, this Ministry plays a pivotal role in the coordination of development planning; mobilisation of public resources; and ensuring effective accountability for the use of such resources for the benefit of all stakeholders.

A participatory approach should be employed in preparing the MTDS and NDP to ensure that the views and ideas of all stakeholders (public, private, NGOs, CBOs, civil society, academia, statutory organisations, etc.) are incorporated. This is essential to ensure ownership of the plan and successful implementation of the various strategies and actions. The MTDS and NDP should also inform the various strategies outlined in the strategic/sector plans of the various line agencies. Additionally, the various sector plans would serve as a guide for Agencies to develop and prioritise projects and programs, which would ultimately feed into the Government's public sector investment programs and successive annual budget estimates<sup>8</sup>.

### 4.1.2 National budgeting process<sup>9</sup>

Saint Lucia's budgeting process consists of three main stages: 1. Budget planning and preparation; 2. Finalisation and 3. Budget implementation and monitoring. The stages are comprised as follow.

#### 4.1.2.1 Budget planning and preparation

1. The Ministry of Finance (MOF) prepares the Macroeconomic Outlook for the upcoming fiscal year where macroeconomic indicators are reviewed and projections for recurrent revenue, recurrent expenditure, and capital expenditure are formulated.
2. A request/call for new initiatives for recurrent revenue, recurrent expenditure as well as capital expenditure are sent to ministries.
3. The fiscal targets including economic indicators are established to determine revenue and expenditure projections, which aid in establishing overall spending limits for the new fiscal year.

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<sup>8</sup>Planning of Saint Lucia. <https://observatorioplanificacion.cepal.org/en/planning-systems/planning-saint-lucia>

<sup>9</sup>The Citizen's Guide to the 2021-2022 budget. Ministry of Finance, Economic Growth, Job Creation, External Affairs and the Public Service. Consulted in: <https://www.govt.lc/media.govt.lc/www/pressroom/news/attachments/the-citizen-s-guide-to-the-2021-2022-budget.pdf>

4. The MOF issues the Estimates Call. In this circular, the preliminary allocations are outlined as well as other requirements of the MOF.
5. The Minister for Finance invites the private sector to submit inputs for the budget.
6. The agencies submit their new initiatives. The MOF reviews the submission and prepares recommendations in consultation with agencies.
7. Technical Budget Committee meetings are held with staff of the MOF and Department of Economic Development and Youth Economy to discuss recommendations, indicators and fiscal targets from the Budget Office, Debt Unit, Research Department and Department of Economic Development and Youth Economy. This committee then formulates recommendations and submits to the Budget Policy committee for approval through several iterations.

#### 4.1.2.2 Finalisation

8. After extensive reviews and dialogue the MOF present the draft estimates to the Minister for Finance.
9. The Minister and Finance Officials meet with Cabinet to finalise the estimates.
10. A second call circular is sent to the agencies communicating cabinet final approval of the Budget and changes required to be reflected in the estimates book, and any other relevant instructions.
11. Following the Cabinet meeting, MOF prepares the printed estimates and develops the budget papers.
12. The Ministry for Finance prepares and submits a draft appropriation bill to the Attorney General
13. The Attorney General reviews the Appropriation Bill and prepares the Resolution.
14. Minister for Finance tables the Resolution in the House of Parliament.
15. Members of the Lower House debate the Estimates.
16. The Appropriation Bill is tabled and debated.
17. When passed the Appropriation Act is then assented to by the Governor-General and Gazetted.

**4.1.2.3 Budget implementation and monitoring**

18. The MOF sends out a call to agencies to submit their expenditure request (recurrent expenditure, capital), revenue (actual and projections), and procurement plans on a quarterly basis.
19. The MOF releases the allocation to agencies on a quarterly basis. The release of allocation is based in part on the current revenue performance and projections for the year. Capital expenditure allocation is determined based on the availability of the loan, grant, bond, or other fundraising and the status of the projects.
20. Agencies are required to submit monthly revenue reports and quarterly performance reports to the MOF.
21. The MOF is also required to produce and submit quarterly performance reports to the Minister for Finance.

## Chapter 5

# Main findings

As mentioned above, this Preparedness Diagnostic uses as a reference a four dimensions/bundles analysis, each one contains elements considered relevant to have an “Ideal RBM System”. This Ideal RBM System serves as a benchmark that allow to compare the current situation in Saint Lucia in relation to the best possible scenario regarding practices, uses, and results of RBM. In this way, figure 5 shows the rate of progress that Saint Lucia 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, a country 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 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 Saint Lucia 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	9%
EXECUTION	3%
FRAMEWORK	
TECHNICAL	3%
CAPABILITIES	
USE OF EVIDENCE	14%

Considering this rate of progress, a metric was built to progressively identify

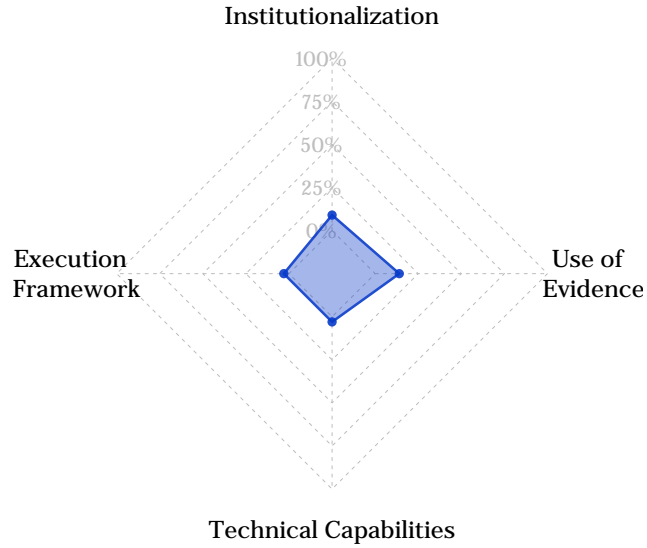


Figure 5.1: Level of progress of the Ideal RBM System

five levels of maturity of RBM systems. In this way, the data presented above are averaged and a graph is generated for all the dimensions and a graph that contains the average of the dimensions, identifying the level in which the country falls. The 5 levels are:

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

For the case of Saint Lucia, the findings regarding the level of maturity of its RBM system are the following:

Saint Lucia is currently at the Early initiatives level. This occurs because even though the country has a few RBM tools and activities in place within the government, they are not articulated and regulated by any guideline, so they are also not incorporated in the planning and budgeting processes.

However, as mentioned before, this does not mean that Saint Lucia's efforts will be dismissed in some way, but rather that we will be able to find the starting point to build a strong RBM system that considers the country's contextual factors so that Saint Lucia gets closer and closer to the ideal scenario.



## 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:** Saint Lucia has institutionalized planning and budgeting processes. Its medium-term planning has key results areas and these, in turn, have clear monitoring indicators, although they focus on outputs, not outcomes. However, the necessary mechanisms do not exist to formally establish who (relevant coordination and operation actors), how (methodologies) and when (timeframes) will carry out the M&E and RBM activities to improve decision-making and thus obtain the desired results. Therefore, there is not an integrated normative framework for RBM and M&E in the country.

Ideal Element	Main results/findings
<b>1. There is a documented, approved and binding RBM Policy within the government</b>	In Saint Lucia there is no RBM legislation nor policies that delegate RBM to a government body. The Department of Economic Development and Youth Economy and the Department of Finance lead RBM activities in the country, but not according to formal laws and procedures.
<b>2. There are laws/regulations/norms recognizing M&amp;E activities across the government</b>	There are no laws/regulations/norms recognizing M&E activities across the government.
<b>3. There are guidelines that establish the rules and processes to perform monitoring activities</b>	Although there are no guidelines that establish the rules and processes to perform monitoring activities across government, there are monitoring activities regarding the development strategies of the government.
<b>4. There are guidelines that establish the rules and processes to perform evaluation activities</b>	There are no guidelines that establish the rules and processes to perform evaluation activities.
<b>5. There are guidelines that establish the rules and processes to address and use M&amp;E results</b>	There are no guidelines that establish the rules and processes to address and use of M&E results.
<b>6. There are formal actions towards building an enabling environment</b>	Although there is an interest coming from the government of Saint Lucia to have an RBM system in place, there have been no formal efforts to institutionalize the development and use of M&E and RBM tools and activities.
<b>7. There is a Results Oriented National Plan defined for a given period in the country</b>	Although there is no long-term National Development Plan, Saint Lucia has worked with mid-term development strategies. The current mid-term development strategy is the Medium-Term Development Strategy 2020 - 2023 and it identifies six Key Results Areas: Agriculture,

### 5.1.2 Execution Framework

**Key Message:** Saint Lucia has personnel dedicated to monitoring projects within the MDAs, such as the Project Monitoring Committee and the chief economists. However, these groups do not usually carry out monitoring and evaluation activities in a systematic way and are not coordinated or articulated with the planning, budgeting, and implementation processes to improve the results of the MDAs. In addition, in the MDAs there are no defined processes or specific resources allocated, nor a common language on M&E and RBM.

Ideal Element	Main results/findings
<b>9. There are operative handbooks to implement the monitoring functions (i.e., Logic Framework)</b>	There are no operative guidelines/handbooks/norms regarding Monitoring functions. However, there are some informal monitoring functions within MDAs.
<b>10. There are operative handbooks that establish specific steps to develop each stage of the evaluation function</b>	As there are no operative guide-lines/handbooks/norms/informal activities regarding Evaluation functions, stages of the evaluation process are not identified.
<b>11. There is an operating and functioning coordination of M&amp;E at the national or/and subnational levels</b>	There is no M&E system at the national or/and subnational levels in Saint Lucia.
<b>12. There is a defined human resources structure for M&amp;E activities</b>	Despite there are Project Monitoring Committees, in charge of gathering information regarding projects undertaken by MDAs, there is no defined human resources structure for M&E activities within Saint Lucia's government.

### 5.1.3 Technical capabilities

**Key Message:** There is no sufficient offer (both private or public) or demand (from the government) for M&E services and capacity building in RBM within Saint Lucia. Also, there are no sufficient skilled personnel within the government with the capability to identify M&E needs and conduct M&E activities with the objective of orienting planning and budgeting towards results.

Ideal Element	Main results/findings
<b>13. There are sufficient private and public entities providing M&amp;E services, including training, to the public sector</b>	There are insufficient private and public entities providing M&E services, including training to the public sector.
<b>14. There are skilled personnel in government with technical capacity and competencies to conduct planning and budgeting for results</b>	There are nosufficient skilled personnel in government with technical capacity and competencies to conduct planning and budgeting for results.
<b>15. There are skilled personnel in government with technical capacity and competencies to conduct monitoring activities</b>	Although there are personnel doing some monitoring activities (of programmes and projects mainly), there are no sufficient skilled personnel in government with technical capacity and competencies to conduct monitoring activities.
<b>16. There are skilled personnel in government with technical capacity and competencies to conduct evaluations and evaluation activities</b>	There are no sufficient skilled personnel in government with technical capacity and competencies to conduct evaluations and evaluation activities.

### 5.1.4 Use of evidence

**Key Message:** Saint Lucia has planning and budgeting information publicly available, but not regarding government performance. Although there are efforts to monitor and use its results, such as the Project Monitoring Committee, there are just compliance-oriented and not results-oriented. As there are no eval-

uation activities, there is no use regarding evaluation findings/evidence. Also, a strategy to generate a culture of evidence use is not identified.

Ideal Element	Main results/findings
<b>17. RBM documents and government performance information are available and accessible for consultation</b>	National planning and budgeting documents are publicly available, such as the Medium-Term Development Strategies, and the Citizen's Guide to the 2021-2022 Budget where indicators can be found and then tracked in order to measure performance. However, there are no documents publicly available with information on government performance.
<b>18. There is an enabling environment for the use of M&amp;E results</b>	There are heterogeneous incentives for the use of monitoring results. Although there are efforts to generate and use the information derived from the monitoring of government projects, as in the case of the Project Monitoring Committee, there are no incentives for them to be recognized by decision-makers. Monitoring results are not necessarily binding within the government. In addition to this, by not having personnel dedicated to monitoring programs, projects and activities, the incentives for its use are very few, being almost nil.
<b>19. M&amp;E results are systematically included in the planning and budgeting</b>	As there are no mechanisms (both formal or informal) to do so, M&E results are not systematically included in the planning of Saint Lucia's programmes, policies, and projects. Regarding budgeting, although some MDAs use the budget templates that ask for budget allocation accordingly to objectives, there is not a mechanism to include M&E information in the budgeting process.
<b>20. The government has</b>	Saint Lucia's government has

## 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 medium term, that allows public servants to identify the importance to have this mindset change in pursuit of RBM. In other words, on a regular basis, there needs to be reminders on the importance of RBM and its impact on improving performance and lives of all citizens.
2. Since this collaboration constitutes a whole-of-government approach, it is necessary to have a top-down commitment in which leaders and decision-makers demonstrate the benefits of the RBM system through evidence informed actions that are generated by the RBM system. This means that a top-down approach should be used demonstrate its usefulness of the information and evidence derived from the RBM system in improving the planning and budgeting decisions. Also, considering the whole-of-government approach, a coordination strategy that speaks to this scope should be prioritized to get the expected results and leave the silo approach behind.
3. For the RBM system to be sustainable, it is critical to generate a system of incentives and ensure that there is a balance between positive and negative incentives (such as potential penalties for non-compliance), to advance and sustain the system. The positive incentives can take different forms, from monetary to symbolic actions, such as the presentation of awards to staff and units and recognition for good performance in public service.

During the diagnosis it was mentioned several times that the scarcity of financial resources is a major impediment to the formalization of M&E and RBM activities. However, to start building an RBM system, it is important to be aware that public servants can receive benefits beyond monetary ones, such as recognition of their work within the public sector, whose ultimate value is improving the quality of life of the citizens.





## Chapter 6

# Next steps to building the roadmap

RBM entails more than compliance to specific requirements. Compliance is just not enough; it has to do with a change of mindset on the way things are done. This change of mindset involves different areas and stages 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 pathways to influence planning, budgeting, implementation, and the M&E functions, as well as accountability and learning promotion. The main objective is for Saint Lucia to have a defined action course that also specifies responsibilities and shows the importance of the participation of all relevant stakeholders.

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The whole process has a coproduction approach, were aside of 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.

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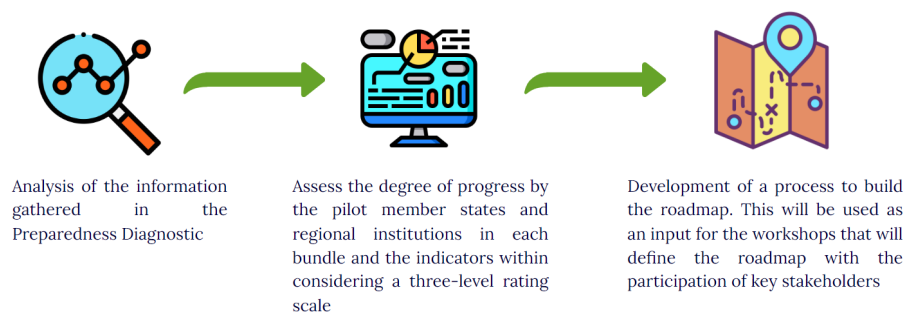


Figure 6.1: From an ideal RBM system to the roadmaps



Figure 6.2: Learning loop

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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, identifying the main actors that should be involved in the process. Each of these stakeholders are involved in the decision making and execution at varied levels. Based on the CLEAR LAC's team analysis, a proposal of the possible contribution of the stakeholders (considering positions and experience) is summarised below to support the improvement of the system which will generate the necessary evidence and results for decision-making regarding planning, and budgeting and thus achieve the expected results of the Government of Saint Lucia is presented here based on the CLEAR LAC's team analysis considering their positions and experience.

The analysis is summarized (but not limited only, due to the constant change in the dynamics in which the stakeholders relate) in the following table. During

the roadmap development workshops that will be held with government stakeholders, new stakeholders could be identified or some of those presented here could be discarded.

Table 6.1: Stakeholders' contribution analysis

Stakeholder / Position	Responsibilities / Role in the system	Incentives to be part of the system
<b>Cabinet Secretary</b>	<ul style="list-style-type: none"> <li>• Under the direction of the Prime Minister, the Cabinet Secretary is responsible for the development, approval, and implementation of the RBM across government</li> </ul>	<ul style="list-style-type: none"> <li>• Good performance of MDAs (oversee, promote and communicate)</li> </ul>
	<ul style="list-style-type: none"> <li>• Provides direction and guidance to the development and implementation of RBM frameworks and guidelines and outputs of the RBM</li> </ul>	
	<ul style="list-style-type: none"> <li>• Provide leadership guidance and direction to Permanent Secretaries on the implementation of RBM</li> </ul>	
	<ul style="list-style-type: none"> <li>• Reviews the performance of Permanent Secretaries in accordance with the government's performance guidelines</li> </ul>	
<b>CARICOM Secretariat</b>	<ul style="list-style-type: none"> <li>• Demand better results from the Government of Saint Lucia, as well as transparency and accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Achieve better results to the region</li> </ul>
	<ul style="list-style-type: none"> <li>• Develop incentives for the good Member States</li> </ul>	<ul style="list-style-type: none"> <li>• Accountability to donors and governments</li> </ul>
	<ul style="list-style-type: none"> <li>• Create a best RBM practice repository and disseminate them</li> </ul>	



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

The rest of the sources are official websites of the Government of Saint Lucia or regional institutions/initiatives, such as (but not limited only):

- Government of Saint Lucia. <https://www.govt.lc/>
- Cabinet of Ministers. <https://www.govt.lc/cabinet-rejected>

- Departments of the Government of Saint Lucia. <https://www.govt.lc/departments> (and all the microsites located in this page)



## 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
<b>1. There is a documented, approved and binding RBM Policy within the government:</b>
It is relevant across the government at all levels
It outlines guiding principles / pillars that are aligned to a results-oriented approach
It communicates what RBM entails (i.e., clear definitions for key concepts) and clearly states how it works
It identifies key actors who are responsible for the coordination and the measurement of the overall results of the RBM
It identifies key actors who are responsible for supervising the implementation of the RBM policy and their functions
It is use-oriented in planning, budgeting and implementing towards results (cronograma)
The funding for M&E activities and the responsables are identified
<b>2. There are laws/regulations/norms* recognizing M&amp;E activities across the government</b>
They are additional to the RBM Policy
They delegate M&E responsibilities to a single national body or to multiple MDAs
It is relevant across the government at all levels and branches (i.e. scope of action) and defines the M&E subject
They establish that the M&E results affect planning, budgeting and implementing activities
(If more than one) They are consistent with each other
It establishes the need to designate focal points in each MDA across government
<b>3. There are guidelines that establish the rules and processes to perform monitoring activities:</b>
• They identify indicator types and the dimensions they want to measure (e.g., efficiency, efficacy), and monitor them
• They identify specific timeframes to collect indicator data and develop monitoring tools to measure the indicators
They have criteria to ensure data collection quality (design, measurement, report)
They integrate the indicators as a monitoring system
The monitoring system has a established process to update its information periodically
The monitoring system has a established process to update its indicators periodically
There are rules providing all parts in the monitoring process with a way of presenting their opinion (i.e. institutionalized)
<b>4. There are guidelines that establish the rules and processes to perform evaluation activities:</b>
They identify key stakeholders to be part of the evaluation process (e.g. evaluation process coordinators, evaluators)
They identify specific evaluation types
They identify specific timeframes for each evaluation type
They identify specific characteristics and functions of evaluators
It establishes an iterative process of evaluation (i.e. is not a one-time exercise)
They identify the elements to be included in the evaluation's ToRs (e.g. objectives of the evaluation, the role and responsibilities of stakeholders)
They outline the operationalization process of the national evaluation agenda (i.e. it is agreed among relevant stakeholders)
There are quality control mechanisms for evaluation activities (e.g. quality attribute listings, quality evaluation criteria)
There are rules providing all parts in the evaluation process with a way of presenting their opinion (i.e. institutionalized)
<b>5. There are guidelines that establish the rules and processes to address and use of M&amp;E results</b>
They identify instruments to measure the RBM System results
They identify mechanisms to use monitoring results
They identify mechanisms to use evaluation results
They establish rules and processes that require the budgeting process to consider the results of M&E activities
<b>6. There are formal actions towards building an enabling environment</b>
There are key stakeholders identified as responsables for these formal actions.
There are strategies to enhance or attenuate positive or negative incentives for the use of monitoring
There are strategies to enhance or attenuate positive or negative incentives for the use of evaluation
There are mechanisms for the participation of stakeholders in the definition of monitoring activities and needs
There are mechanisms for the participation of stakeholders in the definition of evaluation activities and needs
There are periodic meetings involving relevant stakeholders to review the M&E information as an RBM System
There is a permanent strategy to communicate and sensitize about the benefits and challenges of RBM.
<b>7. There is a Results Oriented National Plan defined for a given period in the country:</b>
It has defined objectives
It is constructed in a participatory process
It is constructed using the information generated by the RBM System
It has defined strategies to implement the plan
It has defined indicators and monitoring tools by mandate, and they measure outcomes and outputs
It is evaluated by mandate

II. Execution Framework Ideal elements
<b>9. There are operative handbooks to implement the monitoring functions (i.e. Logic Frameworks)</b>
They identify all the relevant activities to develop each stage of the process (e.g. specific activities within the process)
They outline specific timeframes to implement every stage of the process
They identify the responsible in every stage of the process (specific MDAs and units within the MDAs)
They outline a dissemination strategy of the LF results (what, how, when and to who do you want to disseminate)
The indicators are oriented to results and outcomes
<b>10. There are operative handbooks that establish specific steps to develop each stage of the evaluation process</b>
They identify all the relevant activities to develop each stage of the evaluation process (e.g. evaluation process)
They outline specific timeframes to implement every stage of the process
They outline a dissemination strategy of the evaluation results (what, how, when and to who do you want to disseminate)
They identify the responsible (specific MDAs and units within the MDAs) in every stage of the process
<b>11. There is an operating and functioning coordination of M&amp;E at the national or/and subnational level</b>
It is homogeneous across the government and holds a common language in concepts of M&E
It is integrated at various levels of government (national and subnational)
It is known by all sectors and MDAs* in government
It is relevant (e.g. it recollects indicator data that is necessary, pertinent, and timely, it involves key stakeholders)
It generates timely documents for specific evidence users*
It generates use-oriented documents for specific evidence users*
It is sufficiently funded (specific financial resources are allocated)
<b>12. There is a defined human resources structure for M&amp;E activities:</b>
It has specific focal points in each MDA across the government
The MDA focal points constitute a coordinated network that is part of the M&E System
The MDA focal points have clear functions, responsibilities and expected outcomes
The MDAs focal points become recognized strategic areas of information about the performance and

III. Technical Capabilities Ideal elements
<b>13. There are sufficient private and public entities providing M&amp;E services, including training, to t</b>
They provide a variety of M&E services (e.g conduct diagnostics, evaluations, assessments)
MDAs demand those M&E services based on their needs
They provide a broad academic offer for RBM capacity building (e.g continous courses / diplomas in M&E topics)
There is an M&E capacity building strategy demanding RBM training, that is periodic, targeted to the capacity
<b>14. There are skilled personnel in government with technical capacity and competencies to conduct</b>
They have technical skills to use derived evidence from M&E to improve planning (identify priorities, vulnerable
They have competences to use M&E results to define results-oriented budgeting ( e.g., identify priorities, new pr
They have competences to coordinate with other MDAs and relevant actors
<b>15. There are skilled personnel in government with technical capacity and competencies to conduct</b>
They have technical skills to collect indicator data
They have technical skills to use monitoring tools
They have the competences to identify monitoring needs in order to collect relevant, pertinent and timely data
<b>16. There are skilled personnel in government with technical capacity and competencies to conduct</b>
They have the competences to perform different evaluation types (e.g. design, process, impact) and use different
They have the competences to identify evaluation needs and match them with proper evaluation types and meth
They have the competences to formulate reports that include relevant, pertinent and timely information for diff
There is a capacity strengthening plan for on-going training in RBM and M&E

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 established and limited evaluation activities
- Level 3.. Growing RBM system: there are RBM-related structures being established and limited evaluation activities
- Level 4. Consolidated practices: there are integrated efforts (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

IV. Use of Evidence Ideal elements
<b>17. RBM documents and government performance information are available and accessible</b>
National planning documents are publicly available
National budget plans are publicly available
Documents that mention the results/findings/recommendations of monitoring and evaluation activities
M&E manuals / guidelines /ToRs are publicly available
There is a dissemination strategy of evidence about government performance targeted to different stakeholders
<b>18. There is an enabling environment for the use of M&amp;E results:</b>
There are explicit positive or negative incentives for the use of monitoring results
There are explicit positive or negative incentives for the use of evaluation results
There are knowledge management practices
<b>19. M&amp;E results are systematically included in the planning &amp; budgeting:</b>
They are used in an institutionalized way: they follow a established procedure
There are action plans or other management instruments to ensure M&E results/recommendations are implemented
They justify the creation and design of government interventions
They identify the target population of government interventions
They identify general and specific recommendations to improve the implementation of government interventions
They inform the design/redesign of government interventions
They inform the initial budget allocations of government interventions
They inform the budget increase/decrease/suspension of government interventions
Evaluation findings/reports are updated periodically
The M&E results are used to define the MDAs budget
<b>20. The government has mechanisms to measure the use of the evidence that the RBM system has</b>
There are mechanisms to know how much the reports and publications on M&E are downloaded or accessed
There are use-of-evidence measurements to improve the use of M&E results strategy

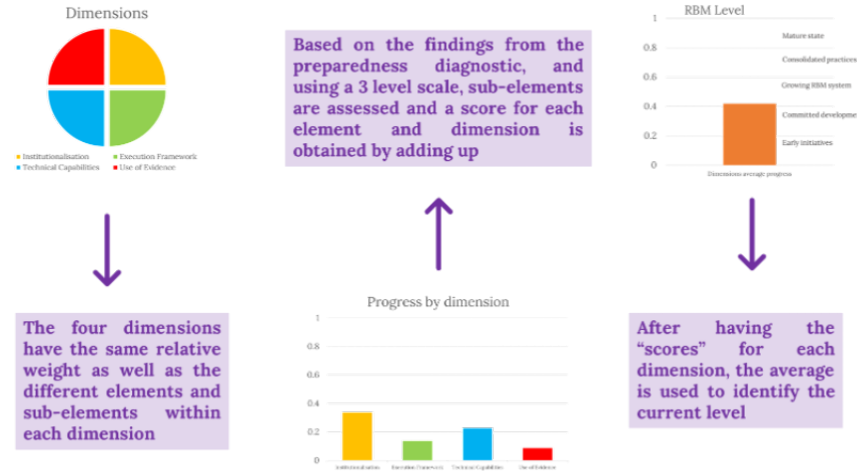


Figure A.1: How to identify the current level of the RBM system maturity

## 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 government:**

- 1.1 It is relevant across the government at all levels
- 1.2 It outlines guiding principles / pillars that are aligned to a results-oriented approach
- 1.3 It communicates what RBM entails (e.g., clear definitions for key concepts) and clearly states how it is implemented
- 1.4 It identifies key actors who are responsible for the coordination and the measurement of the overall RBM performance
- 1.5 It identifies key actors who are responsible for supervising the implementation of the RBM policy
- 1.6 It is use-oriented in planning, budgeting, and implementing towards results, transparency and accountability
- 1.7 The funding for M&E activities and the responsible are identified

**2. There are laws/regulations/norms\* recognizing M&E activities across the government:**

- 2.1 They are additional to the RBM Policy
- 2.2 They delegate M&E responsibilities to a single national body or to multiple MDAs
- 2.3 It is relevant across the government at all levels and branches (e.g., scope of action) and defines the responsibilities
- 2.4 They establish that the M&E results affect planning, budgeting and implementing activities
- 2.5 (If more than one) They are consistent with each other
- 2.6 It establishes the need to designate focal points in each MDA across government

**3. There are guidelines that establish the rules and processes to perform monitoring activities:**

- 3.1 They identify indicators types and the dimensions they want to measure (e.g. efficiency, efficacy, equity, sustainability)
- 3.2 They identify specific timeframes to collect indicator data and develop monitoring tools to measure the indicators
- 3.3 They have criteria to ensure data collection quality (design, measurement, report)
- 3.4 They integrate the indicators as a monitoring system
- 3.5 The monitoring system has a established process to update its information periodically
- 3.6 The monitoring system has a established process to update its indicators periodically
- 3.7 There are rules providing all parts in the monitoring process with a way of presenting their opinions

**4. There are guidelines that establish the rules and processes to perform evaluation activities:**

- 4.1 They identify key stakeholders to be part of the evaluation process (e.g., evaluation process coordinators)
- 4.2 They identify specific evaluation types
- 4.3 They identify specific timeframes for each evaluation type
- 4.4 They identify specific characteristics and functions of evaluators
- 4.5 It establishes an iterative process of evaluation (e.g., is not a one-time exercise)
- 4.6 They identify the elements to be included in the evaluation's ToRs (e.g., objectives of the evaluation, scope, etc.)
- 4.7 They outline the operationalization process of the national evaluation agenda (e.g., it is agreed and approved by the government)
- 4.8 There are quality control mechanisms for evaluation activities (e.g., quality attribute listings, etc.)
- 4.9 There are rules providing all parts in the evaluation process with a way of presenting their opinions

**5. There are guidelines that establish the rules and processes to address and use of M&E results:**

- 5.1 They identify instruments to measure the RBM System results
- 5.2 They identify mechanisms to use monitoring results
- 5.3 They identify mechanisms to use evaluation results
- 5.4 They establish rules and processes that require the budgeting process to consider the results of M&E

**6. There are formal actions towards building an enabling environment**

- 6.1 There are key stakeholders identified as responsible for these formal actions
- 6.2 There are strategies to enhance or attenuate positive or negative incentives for the use of monitoring and evaluation
- 6.3 There are strategies to enhance or attenuate positive or negative incentives for the use of evaluation results
- 6.4 There are mechanisms for the participation of stakeholders in the definition of monitoring activities
- 6.5 There are mechanisms for the participation of stakeholders in the definition of evaluation activities
- 6.6 There are periodic meetings involving relevant stakeholders to review the M&E information as a basis for decision making
- 6.7 There is a permanent strategy to communicate and sensitize about the benefits and challenges of M&E

**7. There is a Results Oriented National Plan defined for a given period in the country:**

- 7.1 It has defined objectives
- 7.2 It is constructed in a participatory process
- 7.3 It is constructed using the information generated by the RBM System
- 7.4 It has defined strategies to implement the plan
- 7.5 It has defined indicators and monitoring tools by mandate, and they measure outcomes and outputs
- 7.6 It is evaluated by mandate



II. Execution Framework Detailed Findings	
<b>9. There are operative handbooks to implement the monitoring functions (i.e. Logic Framework):</b>	
9.1 They identify all the relevant activities to develop each stage of the process (e.g., Specific activities within the	
9.2 They outline specific timeframes to implement every stage of the process	
9.3 They identify the responsible in every stage of the process (specific MDAs and units within the MDAs)	
9.4 They outline a dissemination strategy of the LF results (what, how, when and to who do you want to diffuse	
9.5 The indicators are oriented to results and outcomes	
<b>10. There are operative handbooks that establish specific steps to develop each stage of the evaluation</b>	
10.1 They identify all the relevant activities to develop each stage of the evaluation process (e.g., evaluators sele	
10.2 They outline specific timeframes to implement every stage of the process	
10.3 They outline a dissemination strategy of the evaluation results (what, how, when and to who do you want	
10.4 They identify the responsible (specific MDAs and units within the MDAs) in every stage of the process	
<b>11. There is an operating and functioning coordination of M&amp;E at the national or/and subnational</b>	
11.1 It is homogeneous across the government and holds a common language in concepts of M&E	
11.2 It is integrated at various levels of government (national and subnational)	
11.3 It is known by all sectors and MDAs in government	
11.4 It is relevant (e.g., it recollects indicator data that is necessary, pertinent, and timely, it involves key stakeh	
11.5 It generates timely documents for specific evidence users	
11.6 It generates use-oriented documents for specific evidence users	
11.7 It is sufficiently funded (specific financial resources are allocated)	
<b>12. There is a defined human resources structure for M&amp;E activities:</b>	
12.1 It has specific focal points in each MDA across the government	
12.2 The MDA focal points constitute a coordinated network that is part of the M&E System	
12.3 The MDA focal points have clear functions, responsibilities and expected outcomes	
12.4 The MDAs focal points become recognized strategic areas of information about the performance and impac	

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## Appendix C

# Planning & budgeting process

### C.1 National budgeting process<sup>1</sup>

Saint Lucia's budgeting process consists of three main stages: 1. Budget planning and preparation; 2. Finalisation and 3. Budget implementation and monitoring. The stages are comprised as follow.

#### C.1.1 Budget planning and preparation

1. The Ministry of Finance (MOF) prepares the Macroeconomic Outlook for the upcoming fiscal year where macroeconomic indicators are reviewed and projections for recurrent revenue, recurrent expenditure, and capital expenditure are formulated.
2. A request/call for new initiatives for recurrent revenue, recurrent expenditure as well as capital expenditure are sent to ministries.
3. The fiscal targets including economic indicators are established to determine revenue and expenditure projections, which aid in establishing overall spending limits for the new fiscal year.
4. The MOF issues the Estimates Call. In this circular, the preliminary allocations are outlined as well as other requirements of the MOF.

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<sup>1</sup>The Citizen's Guide to the 2021-2022 budget. Ministry of Finance, Economic Growth, Job Creation, External Affairs and the Public Service. Consulted in: <https://www.govt.lc/media.govt.lc/www/pressroom/news/attachments/the-citizen-s-guide-to-the-2021-2022-budget.pdf>

5. The Minister for Finance invites the private sector to submit inputs for the budget.
6. The agencies submit their new initiatives. The MOF reviews the submission and prepares recommendations in consultation with agencies.
7. Technical Budget Committee meetings are held with staff of the MOF and Department of Economic Development and Youth Economy to discuss recommendations, indicators and fiscal targets from the Budget Office, Debt Unit, Research Department and Department of Economic Development and Youth Economy. This committee then formulates recommendations and submits to the Budget Policy committee for approval through several iterations.

### C.1.2 Finalisation

8. After extensive reviews and dialogue the MOF present the draft estimates to the Minister for Finance.
9. The Minister and Finance Officials meet with Cabinet to finalise the estimates.
10. A second call circular is sent to the agencies communicating cabinet final approval of the Budget and changes required to be reflected in the estimates book, and any other relevant instructions.
11. Following the Cabinet meeting, MOF prepares the printed estimates and develops the budget papers.
12. The Ministry for Finance prepares and submits a draft appropriation bill to the Attorney General
13. The Attorney General reviews the Appropriation Bill and prepares the Resolution.
14. Minister for Finance tables the Resolution in the House of Parliament.
15. Members of the Lower House debate the Estimates.
16. The Appropriation Bill is tabled and debated.
17. When passed the Appropriation Act is then assented to by the Governor-General and Gazetted.

### C.1.3 Budget implementation and monitoring

18. The MOF sends out a call to agencies to submit their expenditure request (recurrent expenditure, capital), revenue (actual and projections), and procurement plans on a quarterly basis.
19. The MOF releases the allocation to agencies on a quarterly basis. The release of allocation is based in part on the current revenue performance and projections for the year. Capital expenditure allocation is determined based on the availability of the loan, grant, bond, or other fundraising and the status of the projects.
20. Agencies are required to submit monthly revenue reports and quarterly performance reports to the MOF.
21. The MOF is also required to produce and submit quarterly performance reports to the Minister for Finance.



## Appendix D

### List of participants in the Preparedness Diagnostic

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

Last name	First name	Organisation	Position
<b>Alcee</b>	Mandille	Performance Management & Delivery Unit	Deputy Head
<b>Alcindor</b>	Pearl	Department of Economic Development	(Acting) Chief Economist
<b>Barnard</b>	Janet	Department of Economic Development, Transport and Civil Aviation	Deputy Permanent Secretary
<b>Bernard</b>	Karen	Attorney General's Chambers	Crown counsel
<b>Boshkovski</b>	Denis	The World Bank	Sr. Country Officer for the Eastern Caribbean countries
<b>Emmanuel</b>	Claudius	Department of Economic Development, Transport and Civil Aviation	Permanent Secretary
<b>Emmanuel</b>	Benjamin	Office of the Prime Minister	Cabinet Secretary
<b>Joseph Mathew</b>	Kerry	Department of Economic Development, Transport	Deputy Chief Economist



## Appendix E

### List of shared documents

Various and diverse documents were consulted on the official websites of the Government of Saint Lucia. Those that are for internal government use were shared through our Executive Coordinator and through information requests directly with the MDAs (via online questionnaires). These documents are:

- **Finance Administration Act (2005)**
- **Listing of the House of Assembly and Cabinet of Ministers**
- **Medium Term Development Strategy 2020-2023**
- **Order of Precedence**
- **Organisational chart of the Department of Commerce**
- **Organisational chart of the Department of Finance**
- **Organisational chart of the Department of Justice**
- **Organisational structure of the Department of Agriculture**
- **Public Procurement and Asset Disposal Act and Public Finance Management Act**
- **Standard Operation Procedures (Department of Economic, Development, Transport & Civil Aviation)**
- **Strategic Plan 2020-2023 (Division of Economic Development)**