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in the field of external cooperation with partner countries

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**EVALUATION OF THE
COMMISSION'S REGIONAL
STRATEGY FOR THE
CARIBBEAN**

INCEPTION NOTE

Final

30 June 2004

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List of Acronyms

ACP	Africa Caribbean and Pacific countries
AIDS	Acquired Immune Deficiency Syndrome
CANA	Caribbean News Agency
CARICOM	Caribbean Community
CARIFORUM	Forum of Caribbean States
CCJ	Caribbean Court of Justice
CDE	Centre for the Development of Enterprises
CEDA	Caribbean Export Development Agency
CHA	Caribbean Hotel Association
CGCED	Caribbean Group for Cooperation in Economic Development
CRIP	Caribbean Regional Indicative Programme
CRIS	Common Relx Information System
CSME	Caribbean Single Market and Economy
CSP	Country Strategy Paper
CTO	Caribbean Tourism Organisation
DAC	Development Cooperation Directorate
DDA	Doha Development Agenda
DOMs	Départements d'Outre Mer
EBAS	EU-ACP Business Assistance Scheme
ECCU	Eastern Caribbean Currency Union
ECHO	European Commission Humanitarian Office
EDF	European Development Fund
EIB	European Investment Bank
EPAs	Economic Partnership Agreements
FTA	Free Trade Area
FTAA	Free Trade Area of the Americas
IMF	International Monetary Fund
LDCs	Least Developed Countries (CARICOM definition)
MS	Member States
NIP	National Indicative Programme
OCTs	Overseas Countries and Territories
ODA	Official B30Development Assistance
OECS	Organisation of Eastern Caribbean States
OLAS	Online Accounting System
PRSP	Poverty Reduction Strategy Paper
PU	Programming Unit
RIDS	Regional Integration and Development Strategy
RNM	Regional Negotiating Machinery
RSP	Regional Strategy Paper
SIA	Sustainability Impact Assessment
TPR	Trade Policy Review
TPS	Tous Pays
WB	World Bank
WIRSPA	West Indies Rum and Spirits Producers' Association
WTO	World Trade Organisation

1. Introduction

1.1 Purpose and structure of the inception note

The discussion of the draft inception note¹ with the Reference Group at the meeting of 27th May led to the formulation of a number of remarks about the preliminary evaluation questions. It was agreed that a revised version of the Inception Note would be produced adapting the presentation of the evaluation questions to take into account the comments on the questions themselves and the judgement criteria. It was also agreed that the final identification of indicators and sources of information would be included in the Desk Phase Report together with the deepening of the analysis of the background, the finalisation of the intervention logic and the methodological aspects. This revised version of the Inception Note therefore incorporates only these agreed modifications.

In addition to these modifications requested by the Reference Group this revised version also provides (section 6) a justified proposal for the selection of case studies and field visits. In view of the short schedule (the field visits are expected to take place between the 18th of July and mid August) it is essential that the case studies and countries to visit are approved without delay if the missions are to take place at the programmed dates.

The purpose of this note is to report on the work done so far and, to provide a first illustration of the intervention logic and of the hierarchy of objectives of the Commission's co-operation strategy with the Caribbean. The note also present a first draft of the Evaluation Questions and of the tasks and organisation for the second (and main) part of the desk phase and the preparation of the field visits.

Section 1.2 is a reminder of the scope and objectives of the evaluation, and section 1.3 provides an update of activities carried out. Section 2 describes the context of the development co-operation in the Caribbean with an analytical overview of the characteristics of the region and of the main features of the Commission's cooperation. Section 3, 4 and 5 present respectively the intervention logic, an overview of the Commission's interventions in the Caribbean, and a preliminary version of the evaluation questions. Section 6 deals with organisation for the next steps. The note is completed by a series of annexes comprising information on the conduct of the evaluation² and data on the projects³.

1.2 Scope and objectives of the evaluation

According to the TOR, this study is meant to be an evaluation :

- of the Commission's co-operation strategy with the Caribbean, and its implementation over the period 1996-2002;
- of the relevance, logic and coherence, as well as the intended impacts of the Commission's regional strategy and RIP for 2003-2007.

1.3 Update of activities carried so far

The inception phase started on 5th April 2004 with a kick off meeting in Brussels⁴. Work started immediately with documentary and data collection. Interviews with key people in the Commission

¹ Evaluation of the Commission's Regional Strategy for the Caribbean, Inception Note, Draft, May 2004.

² Annex 7: Terms of reference. Annex 1: Minutes of the first meeting of the Reference Group. Annex 2: List of persons met. Annex 3: List of documentation.

³ Annex 3: List of regional projects. Annex 4: Synthesis of regional projects (aggregates computed from annex 3). Annex 6: List of main bilateral interventions with a regional scope.

⁴ Minutes of the 1st meeting of the Reference Group for the Evaluation of the Commission's Regional Strategy for the Caribbean, European Commission, EuropeAid, Note for the file, Brussels, 5 March 2004. Cf. annex 1.

services in Brussels and a short visit to Barbados and Guyana, the two Delegations with most regional responsibilities, were conducted from 2nd to 7th May in order to collect information on the Commission's activities in the region, on the regional policy and cooperation context, on the Commission's priorities and on the main issues⁵.

The evaluation team has assembled documentation⁶ in the following areas:

- Specific country and regional programming documents (CSP, RSP, NIP, RIP, annual review of regional cooperation etc.) for the different EDF covered by this evaluation.
- Background country and regional papers (PRSP, IMF article IV consultations, WB studies, WTO TPRs).
- Documents on important projects (Financial agreements, feasibility studies, progress reports, monitoring reports, evaluations).

The documentation will have to be completed during the second part of the desk phase. In particular, country programming documents and NIPs for the 6th, 7th and 8th EDF are largely missing. The annual review of the cooperation with the Caribbean region for 2003 will soon be available and the annual reviews for 1996, 1997, 1998 and 2001, 2002 have been asked and will be communicated to the team. Comprehensive collection of project documents cannot be realistically envisaged and search for documentation will be focused on the main case studies.

The CRIS and OLAS databases have been consulted in order to construct an inventory of the interventions in the region. This served as the basis for section 4.

2. Development co-operation context in the Caribbean

2.1 Broad characteristics of the Caribbean region

The Caribbean region comprises small countries, mostly islands, scattered over a wide geographical area, and characterised by a diversity of cultures, languages and economic regimes. Since the early seventies different regional groupings were organised (see table 1) aiming at the development of a Caribbean community.

⁵ Annex 2 provides the list of persons met.

⁶ Annex 3 provides the list of documentation collected so far.



CARICOM, the Caribbean Community (Headquarter Georgetown, Guyana), was established in 1973 (Treaty of Chaguaramas) to strengthen economic and trade relations among member countries in view of accelerating development and economic expansion. The Treaty was signed by four countries (Barbados, Guyana, Jamaica, Trinidad and Tobago) joined by the other English speaking islands. Suriname joined in 1995 and Haïti in 1998⁷. From its inception the Community has concentrated on the promotion of functional cooperation, especially in relation to human and social development, and in integrating the economies of its Member States. Since 1989 it decided to advance towards CARICOM Single Market and Economy (CSME) as a platform into wider international environment. Bahamas, however did not join the CSME. CARICOM concluded an FTA with the Dominican Republic in 2001.

OECS, the Organisation of Eastern Caribbean States. (Headquarter in St Lucia) was established in 1980 (Treaty of Basseterre) to pursue economic integration at the sub-regional level. Its members have formed the ECCU (Eastern Caribbean Currency Union).

CARIFORUM was established in 1992 (Headquarter: Georgetown, Guyana). It regrouped the members of CARICOM at that time and the new signatories of the Lomé Convention, the Dominican Republic, Suriname and Haïti (the last two joined CARICOM since). Cuba joined in 2001⁸. Its purpose is to manage and co-ordinate the policy dialogue with the EU and to manage EDF regional support in the Caribbean region. Prior to the establishment of CARIFORUM regional co-operation was limited to the English speaking countries of CARICOM. Recently the Council of Minister of CARIFORUM decided to deepen the regional integration process and the elaboration of the Regional Integration and Development Strategy (RIDS), and to promote the widening of regional integration and cooperation with the Caribbean OCTs

⁷ Provisional membership; full membership in 2002.

⁸ Cuba is not a direct beneficiary of EU-ACP financing but benefits from Commission budget lines.

and the French DOMs. CARIFORUM countries are engaged into the preparatory process of the FTAA (Free Trade Agreement of the Americas).

Table 2 illustrates the main economic characteristics of the region: the economies are small in terms of population, geographical area and GDP. Only 4 countries count more than 500 000 inhabitants. Three countries, the Dominican Republic, Jamaica and Trinidad and Tobago account for 70% of the total GDP. Economic performance, as measured by GDP growth over the last decade, has varied from sluggish in Jamaica to quite substantial in the Dominican Republic. Nine out of 15 countries have experienced average annual growth superior to 2.5% over the 10 years period. All countries belong to the upper middle income group, except for Guyana (lower middle income) and Haïti, the only low income country of the region, but also one of the most populated. As reflected by the index of economic freedom, several economies in the region can be considered as full free market economies whereas other are still significantly un-free. A major characteristic is the economic vulnerability evidenced by the high current account and fiscal deficits and the debt ratios, and by the heavy dependency on foreign aid. Whereas average ODA per capita and in % of national income amount respectively to 11 \$US and 0.9%, the corresponding figures for the Caribbean countries are significantly higher, in particular for the small countries.

In terms of trade, table 3 shows the relatively high degree of openness of the Caribbean economies but most of all their heavy reliance on a very limited number of products. In several countries 30% to 60% of exports are accounted for by one or two commodities. Data on the direction of exports and imports lack consistency and are scant. They indicate a fairly high degree of intra-regional trade in the small economies, but, overall, intra-regional trade does not exceed 10% and has not been progressing significantly over the recent years. The United States are a major trading partner of the region, but the EU is significant, and is in particular a large importer of bananas. These data relate to merchandises. Tourism and financial services constitute an essential export for several Caribbean countries.

Table 4 provides human and social development indicators. Overall these point to a high degree of education and health in the region. The level of human development is medium or high with the exception of Haïti. However, HIV prevalence is significantly higher than in the average groups to which the region can be compared. The transparency international index, available only for a limited number of countries, reveals that most countries in the region do not rank favourably in terms of governance.

This rapid overview highlights a number of key factors that militate in favour of integrating the regional economic space and others which constitute significant constraints to such integration.

In favour of regional integration:

- the large economies of scale that could result from pooling the resources and the institutional capacities of such small economies;
- the development of a larger domestic market and the strengthening of the capacity to engage in the multilateral trading system;

the trans-national nature of a number of issues, particularly in terms of environment, natural resources such as fish, and disaster management.

Important obstacles are:

- the diversity of languages, cultures and political systems, and, in extreme cases conflictual situations.
- sub-regional nationalisms resulting from historical factors and leading to difficult integration (Dominican republic, former British Commonwealth Caribbean,...);
- the competition among the countries and hence the reluctance to recourse to supranational institutions;
- the large differences in the level of development between the countries and in particular between Haïti (the only Least Developed Country) and the rest of the region;
- the differences in trade orientations, implying that for some countries regional trade arrangements with North or Latin American partners are more appealing than Caribbean regional trade arrangements.

Table 1: Cariforum countries: status in regional integration, MTS, etc.							
Cariforum countries	Member of Caricom	CMSE	Member of OECS	LDMC (1)	LDC (2)	WTO membership	PRSP Status/HIPC
Antigua & Barbuda	x	x	x	x		1/01/1995	
Bahamas	1983					Observer (2001)	
Barbados	1973	x				1/01/1995	
Belize	x	x		x		1/01/1995	
Cuba		x				20/04/1995	
Dominica	x	x	x	x		1/01/1995	-
Dominican Republic		x				9/03/1995	i-PRSP 01/04
Grenada	x	x	x	x		22/02/1996	
Guyana	1973	x				1/01/1995	Full PRSP finalised 11/01; supp.4/02. HIPC: DP: 11/00, CP 12/03
Haïti	1998/02	x			x	30/01/1996	
Jamaica	1973	x				9/03/1995	
St. Kitts & Nevis	x	x	x	x		21/02/1996	
St. Lucia	x	x	x	x		1/01/1995	
St. Vincent & Grenadines	x	x	x	x		1/01/1995	
Suriname	1995	x				1/01/1995	
Trinidad & Tobago	1973	x				1/03/1995	
Caribbean OCTs							
<i>British Virgin Islands</i>	Ass. 1991						
<i>Montserrat</i>	x		x	x			
<i>Turks & Caicos</i>	Ass. 1991						
<i>Cayman Islands</i>	Ass. 2002						
<i>Anguilla</i>	Ass. 1999						
<i>Aruba</i>							
<i>Dutch Antillas</i>							
French DOMs							
French Guyana							
Guadeloupe							
Martinique							
(1) LDMC: Least Developed Member Countries of Caricom							
(2) LDC: Least Developed Countries (according to UN definition)							
<i>Sources:</i>							
PRSP Status: IMF, PRSPs-Detailed Analysis and Progress Implementation, September 2003.							
HIPC Status: IMF, HIPC Initiative, Statistical Update, March 2004.							

Table 2: Selected Economic Indicators

Cariforum countries	Area km ²	Population in 2002		Index of economic freedom Rank on 155	Nominal GDP in 2002		Average annual GDP growth 1992-02	GNP per capita		ODA per capita (US \$) 2002	ODA in % of GNI 2002	Current account balance/GDP in 2001	Gov. Def. % GDP (2001 or 2002)	Debt/GDP ratio (2001 or 2002)
		000 persons	In % of Carriforum (excl. Cuba)		\$ Million	In % of Carriforum (excl. Cuba)		In 2002 (\$ 2002)	Average annual growth 1992-02					
		Antigua & Barbuda	442		69	0.3%		na	647					
Bahamas	13 888	314	1.3%	25 (F)	4 533	8.8%	2.5%	14 860	0.7%	16.0	na	-6.3%	-3.4%	na
Barbados	431	269	1.1%	33 (F)	2 614	5.1%		9 750		12.6	na	-3.8%	-3.8%	na
Belize	22 966	253	1.1%	46 (MF)	750	1.5%	4.2%	2 960	1.3%	88.0	2.9%	-12.2%	-5.0%	95.7%
Cuba	110 900	11 263		144 (R)	na	na		na		5.4	na			
Dominica	750	72	0.3%	na	228	0.4%	1.1%	3 180	1.1%	416.6	12.8%	-18.9%	-18.6%	81.2%
Dominican Republic	48 308	8 600	36.7%	na	20 000	38.8%	6.2%	2 320	4.5%	18.2	0.8%	-4.0%	-2.6%	24.0%
Grenada	345	102	0.4%	na	356	0.7%	4.0%	3 500	3.1%	90.0	2.5%	-25.2%	-7.9%	81.9%
Guyana	214 970	772	3.3%	83 (MU)	651	1.3%	3.5%	840	3.0%	84.4	9.9%	-11.0%	-1.0%	205.6%
Haïti	27 750	8 400	35.8%	137 (MU)	3 700	7.2%	0.8%	440	-1.3%	18.7	4.3%	-4.7%	-3.1%	33.4%
Jamaica	10 991	2 543	10.8%	56 (MF)	7 400	14.4%	0.1%	2 820	-0.7%	9.2	0.3%	-10.1%	-4.1%	67.5%
St. Kitts & Nevis	269	46	0.2%	na	293	0.6%	4.0%	6 370	2.9%	580.0	9.3%	-34.2%	-6.4%	74.8%
St. Lucia	616	159	0.7%	na	609	1.2%	1.4%	3 840	0.0%	212.5	5.4%	-12.7%	-7.3%	26.9%
St. Vincent & Grenadines	389	117	0.5%	na	329	0.6%	1.7%	2 812	1.0%	41.6	1.4%	-11.8%	-3.6%	57.2%
Suriname	163 820	423	1.8%	143 (MU)	828	1.6%	2.9%	1 960	2.5%	28.5	1.3%	-25.2%	-7.0%	na
Trinidad & Tobago	5 128	1 318	5.6%	36 (F)	8 553	16.6%	4.2%	6 490	3.5%	-5.3		2.6%	-1.5%	26.4%
Total Cariforum	621 963	34 720	148.0%		na	na								
Total Cariforum excl. Cuba	511 063	23 457	100.0%		51 491	100.0%		2 195						
<i>Sources:</i>														
World Bank: World Development Reports. Country at a Glance. IMF: article IV consultation reports.														
Index of Economic Freedom: Rank in 155 countries; The Heritage Foundation, the Wall Street Journal, 2004. (F: Free; MF: Mostly Free; MU: Mostly Unfree; R: Repressed)														

Table 3: Selected Trade Indicators

Cariforum countries	Openness coefficient (1)	Main export product(s) share in total exports		Share of total exports by destination			Main import product(s) share in Total imports		Share of total imports by origin		
		Products	Share of Total Export	Caricom countries	USA	EU (15)	Products	Share of Total Imports	Caricom countries	USA	EU (15)
Antigua & Barbuda	74.1%	Food prod	48.3%	na	21%	34.6%	Machinery & Tpt. Equip.	29.4%	na	35.2%	22.5%
Bahamas	??	na	na	na		na	na	na			
Barbados	??	Food prod.	27.8%	44.2%	15.8%	16.3%	Machinery & Tpt. Equip.	27.8%	19.9%	41.6%	15.4%
Belize	64.6%	na	na	na	na	na	na	na	na	na	na
Cuba	??	na	na	na	na	na	na	na	na	na	na
Dominica	58.4%	Bananas	30.8%	54.3%	6.4%	34.7	Machinery & Tpt. Equip.	25.9%	17.8%	41.5%	14.4%
Dominican Republic	28.0%	Iron and steel	21.0%	5.9%	39.6%	20.5%	Machinery & Tpt. Equip.	26.5%	na	52.3%	9.5%
Grenada	64.1%	Nutmeg	41.6%	16.0%	18.8%	42.1%	Machinery & Tpt. Equip.	29.0%	24.2%	41.8%	12.1%
Guyana	103.1%	Sugar, Rice, Bauxite	45.2%	9.5%					9.3%		
Haiti	23.0%	Manufact.	32.0%		88%		Food Prdcts	24.6%	7.0%	70.0%	15.0%
Jamaica	43.0%	Mining	51.7%	3.5%	36.7%	31.2%	Machinery & Tpt. Equip.	26.7%	9.4%	52.3%	11.2%
St. Kitts & Nevis	58.5%	Raw sugar,cane	53.0%	2.6%	57.4%	33.7%	Machinery & Tpt. Equip.	29.1%	5.3%	56.0%	12.2%
St. Lucia	54.6%	Bananas	60.4%	14.6%	15.7%	63.2%	Food Prdcts	26.3%	18.0%	40.1%	19.0%
St. Vincent & Grenadines	54.9%	Bananas	42.1%	50.0%	3.3%	42.2%	Machinery & Tpt. Equip.	24.3%	21.0%	38.4%	22.9%
Suriname	76.9%	Bauxite	na	na	na	na	na	na	na	na	na
Trinidad & Tobago	47.2%	Fuels (crude & refined oil products, NGL)	52.6%	24.8%	48.3%	9.9%	Machinery & Tpt. Equip.	30.8%	3.8%	38.1%	17.2%

(1): (Exports+Imports of goods and service)/2GDP

Sources: World Bank: World Development Reports. Country at a WTO: Trade Policy Reviews.

Table 4: Selected human development and social indicators

Cariforum countries	Popul.	Index of Human Development 2001		Life expectancy 2001	Literacy rates adults 2001	Infant mortality 2001	Population with income < 1\$/day	HIV prevalence	Governance indicator: Transparency International corruption index (2003)	
	000 persons in 2002	Rank	Group	Years	% pop. Above 15	(per 1000 live births)	% of popul.	% of popul. 15-49	Rank	Score
Antigua & Barbuda	69	56	Medium	73.9	86.6	12	na	na	na	na
Bahamas	314	49	High	67.2	95.5	13	na	3.5	na	na
Barbados	269	27	High	76.9	99.7	12	na	1.2	na	na
Belize	253	67	Medium	71.7	93.4	34	na	2.0	46	4.5
Cuba	11 263	52	High	76.5	96.8	7	<2%	<0.1	43	4.6
Dominica	72	68	Medium	72.9	96.4	14	na	na	na	na
Dominican Republic	8 600	94	Medium	66.7	84.0	41	<2%	2.5	70	3.3
Grenada	102	93	Medium	65.3	94.4	20	<2%	na	na	na
Guyana	772	92	Medium	63.3	98.6	54	<2%	2.7	na	na
Haïti	8 400	150	Low	50.8	52.0	79	na	6.1	131	1.5
Jamaica	2 543	78	Medium	75.5	87.3	17	<2%	1.2	57	3.8
St. Kitts & Nevis	46	51	High	70.0	97.8	20	na	na	na	na
St. Lucia	159	71	Medium	72.2	90.2	17	na	na	na	na
St. Vincent & Grenadines	117	80	Medium	73.8	88.9	22	na	na	na	na
Suriname	423	77	Medium	70.8	94.0	26	na	1.2	na	na
Trinidad & Tobago	1 318	54	High	73.1	91.4	17	12%	2.5	43	4.6
<i>Latin America & Carib.</i>	<i>34 720</i>			<i>70.3</i>	<i>89.2</i>	<i>28</i>		<i>0.6</i>		
<i>Middle Inc. Countries</i>	<i>23 457</i>			<i>69.8</i>	<i>86.6</i>	<i>31</i>		<i>0.6</i>		
<i>Sources:</i>										
UNDP, Human Development Report, 2003.										
Corruption index: source http://www.user.gwdg.de/~uwwv/corruption.cpi_2003_data.html . Rank is based on 133 countries; maximum score (minimum corruption is 10)										

2.2 A general view of Commission's development co-operation in the Caribbean.

The regional cooperation

The Commission's cooperation with the Caribbean has a long history and the region has benefited from a preferential treatment with the EU for more than 30 years. The cooperation with the Caribbean Region started in 1975 through Caribbean Regional Indicative Programs (CRIPS) and was funded under successive European Development Fund (EDF) Overall Commission/Caribbean cooperation targeted the development of an enabling environment to facilitate integration into the global economy, sustainable socio-economic development, and the observance of the principles of democracy, human rights, good governance and the rule of law.

The Caribbean Regional Indicative Programme (CRIP) financed under the 6th EDF targeted agriculture and tourism, the supported sectors being trade, transport and human resources. The CRIP, under the 7th EDF, included support for regional integration and cooperation (private sector and trade development, agriculture, tourism and communications) and sustainable development (human resource development and environmental management). Non-focal areas included technical assistance, studies and cultural and linguistic programmes. The CRIP of the 8th EDF focused on trade facilitation and private sector development, tourism, agriculture, infrastructure, human development and capacity building, drug trafficking and money laundering and disaster mitigation. The aim of the current CRIP under the 9th EDF is the beneficial integration of the Caribbean into the world economy through a global repositioning aimed at achieving sustainable growth, regional cohesion and sustainability and continued improvements in living conditions. EDF financed CRIPs were meant to contribute to the enhancement of cohesion and intensification of cooperation in the region as well as promotion of economies of scale and greater efficiencies on economic, social and human development areas.

Other funds and instruments available to the region

In addition to the funds allocated under the regional programs the EC support strategy, is complemented by regional initiatives funded under the National Indicative Programmes (NIP). The projects under these NIPs also aim at facilitating and supporting regional integration and therefore support the EU regional integration strategy.

From EDF resources and its own budget lines the Commission also supporting a range of ACP-wide programs to which Caribbean countries have access. These programs include support to restructuring of the banana, sugar, rum, rice and fish industries. It also provides technical assistance to support individual companies in improving competitiveness through instruments such as CDI, EBAS, and more recently Proinvest. Assistance in preparing EPA's with the EU include also initiatives aimed at supporting the integration and negotiation process. A large programme Trade.com is under preparation to provide trade related technical assistance.

CARIFORUM

To plan, co-ordinate and monitor the spending of EDF resources the Forum of Caribbean States (CARIFORUM) was established in 1991⁹. The policy and final decision authority of CARIFORUM is the Council of Minister, in which each member state is represented by a designated Minister. The actual management of EDF resources is performed by the CARIFORUM Secretariat, which is composed of the CARIFORUM Secretary General and a Programming Unit (PU). The Secretary General of CARIFORUM is also the Secretary General of CARICOM. The PU is the technical body of the CARIFORUM

⁹ CARIFORUM Member States are: Antigua and Barbuda, The Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Suriname, St. Christopher and Nevis, St. Lucia, St. Vincent and the Grenadines, and Trinidad and Tobago.

Secretariat and works under the direction of the Secretary General. The PU receives all of its funding from the Regional Indicative Programs financed by the EDF.

CARIFORUM pursues the objective of widening and deepening of the Caribbean economic space through closer economic cooperation and eventual integration of the national economies of its Member States. CARIFORUM also pursues closer and deeper functional cooperation as an integration mechanism. One pillar of that multi-faceted strategy is the establishment and operation of the CARICOM Single Market and Economy (CSME). The CSME aims to integrate the economies of the Caribbean Community (CARICOM) into a unified single market in which people, goods, services and capital can move freely, and into a single economy which functions under the same coordinated and harmonised economic policies. An evaluation of this institution is currently underway.

The intervention of the EDF programs and the available funding from country programs, as well as from other budget lines comprises the overall cooperation program to achieve the proposed Commission's objectives in the Caribbean region. Under this evaluation the assessment will be focused over the 1996-2004 implementation period, which is covered under parts of the 6th and 7th EDF and under the 8th and 9th EDF.

3. Intervention Logic

3.1 The general framework and principles of the Commission's co-operation in the Caribbean

The Commission support to the Caribbean is in accordance with the global principles of the Commission's cooperation with third world countries, as stated in art.177 of the Treaty establishing the European Community. In particular, it should be seen within the context of *promoting the smooth and gradual integration of developing countries into the world economy; assisting the sustainable and economic development of the developing countries, and more particularly the most disadvantaged among them; and promoting the campaign against poverty in the developing countries.*

The objectives of the above mentioned article have been confirmed and reinforced in the ACP-EU Partnership Agreement signed in Cotonou on June 23 of 2000. Furthermore, the Commission support to the Caribbean also incorporates its conviction, know how and experience in promoting regional integration as a vehicle for development and integration into the world economy¹⁰. Thus, the mix of the EU policy principles and its experience in supporting regional integration and poverty alleviation, are the main pillars whereby the EU cooperation strategy in the Caribbean is to be framed.

3.2 The evolution of the Commission's intervention logic across the successive EDFs

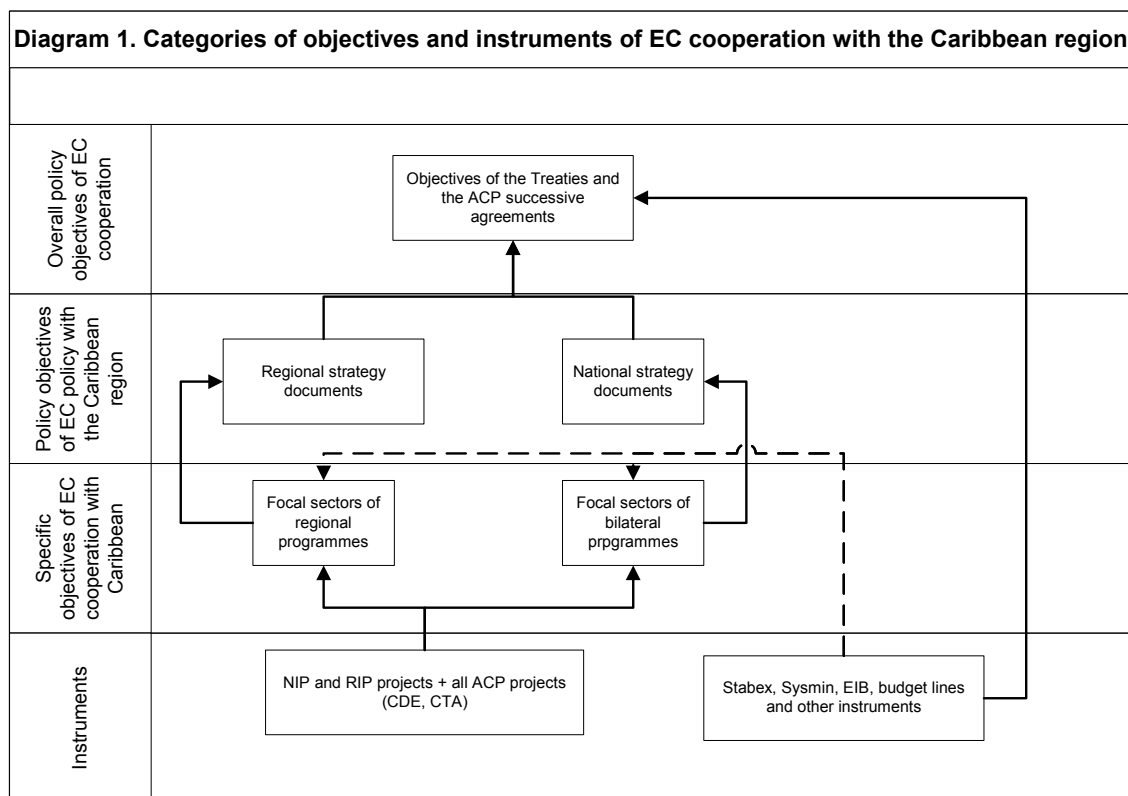
The intervention logic has been reconstructed from the main policy and programming documents, in particular, the Communication COM(2000) 212 on the European Community Development Policy, the 4th Lomé Convention and the Cotonou Agreement reflecting the orientations in terms of the Commission's development policy, the RSPs/RIP corresponding to the 7th, 8th and 9th EDF as well as the 9th EDF CSPs/NIPs of the region's countries.

One must carefully define the scope and the area of the interventions we consider. Indeed, the main coverage of this evaluation is the Commission's co-operation strategy with the Caribbean. It extends beyond the strict framework the regional strategy to encompass its articulation with national programmes and non-programmable activities.

The overall objectives of the Commission's interventions in the Caribbean region correspond to those of the Commission's development policy and of the ACP successive agreements, namely that of poverty

¹⁰ See also COM (95) 212: EC support to regional integration initiatives in developing countries.

reduction¹¹, sustainable development and integration into the world economy, the alleviation of poverty being in part served by the two latter. As mentioned above, in the Caribbean region, the Commission has adopted a strategy of open regionalism by supporting the achievement of these objectives through the construction of a regional integrated space to which both the regional and parts of the national programmes together with non-programmable instruments contribute. Diagram 1 schematizes the articulation between these different elements.



The period covered by the evaluation (since 1996) principally corresponds to the 7th, 8th and 9th EDF¹². Although reflecting coherent and recurrent broad strategy orientations, the successive programming periods are characterised by differences concerning the instruments and channels selected to achieve the overall regional objectives. In particular, the 7th EDF RSP/RIP elaborates a strategy along which the regional integration and cooperation objective is supported on the one hand by actions concentrated in the areas of trade, tourism, agriculture, transport and communication and, on the other hand by activities focused on the development of human resources and environmental issues. The strategy followed under the 8th EDF RSP/RIP largely builds upon the one developed under the 7th EDF to the exception that it incorporates support to institution and capacity building in the areas of environment management, good governance and fight against drug production and trafficking as a component of the human development objective.

The strategy established under the 9th EDF lines up with the provisions of the Cotonou Agreement where the ACP countries and the EU agreed to conclude WTO-compatible trading arrangements which should materialise under the form of Economic Partnership Agreements (EPA's). It also further integrates the

¹¹ One should note, however, that the objective of poverty reduction was more emphasized by the Cotonou Agreement than by the IVth Lomé Convention.

¹² The VIth EDF is not taken into consideration because very few projects of this programme have started after 1996.

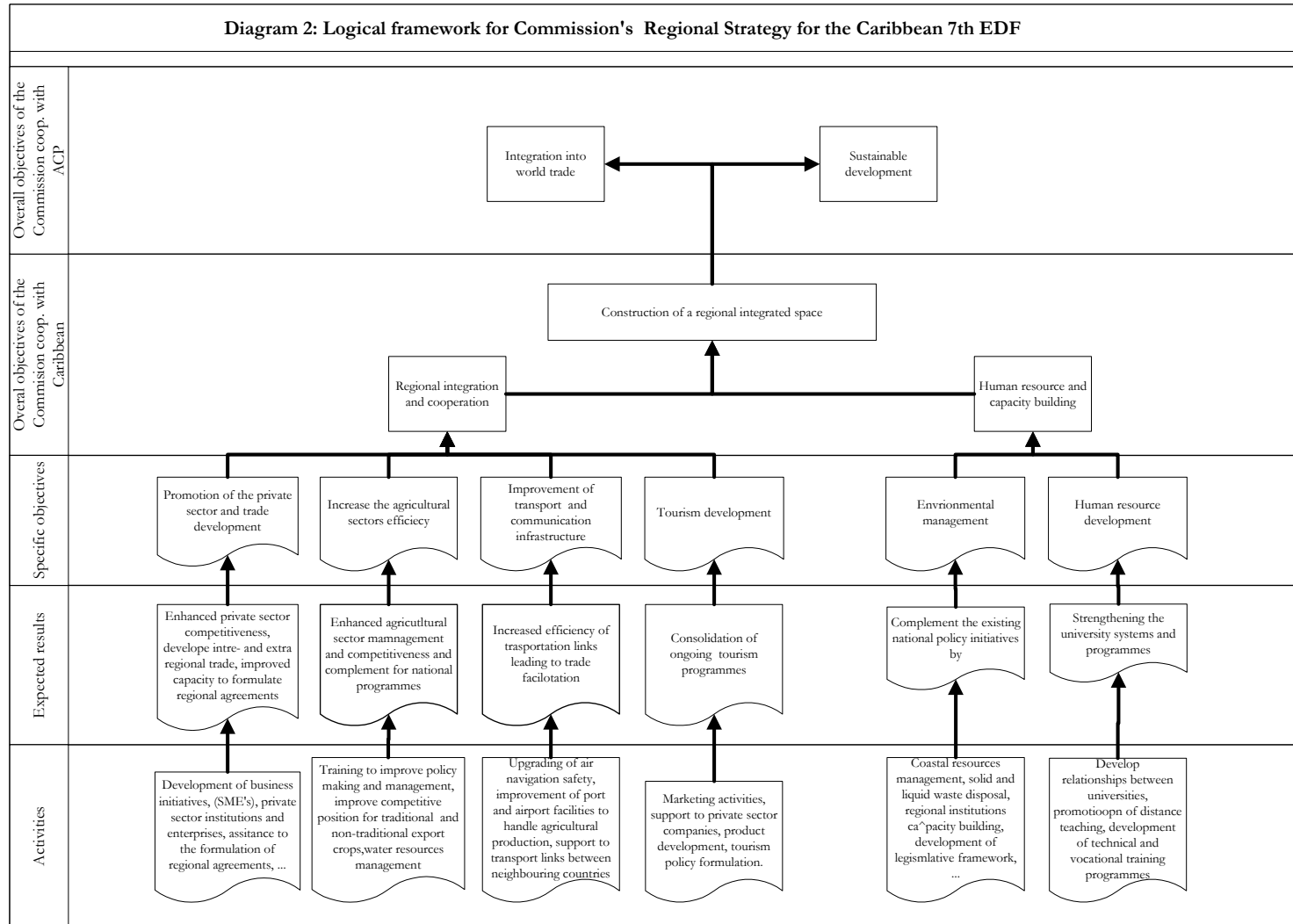
major trade negotiations to which the Caribbean region participates (WTO, FTAA and other bilateral agreements in the Hemisphere) by focusing on the need to reinforce trade and trade negotiation capacities. The Commission's response strategy therefore mainly concentrates on the intensification of regional integration, both in terms of the economic integration of the region as well as in terms of its integration into the world economy. The regional economic integration components aim at a full participation of the Caribbean countries in regional integration structures (CARIFORUM/CARICOM), the enhancement of linkages with non-CARICOM members (Dominican Republic and Cuba) as well as with the Caribbean OCTs and the French DOMs. This support to the regional economic integration is based on the full implementation of the Caribbean Single Market Economy (CSME) and the development, strengthening and rationalisation of the associated institutional machinery and regulatory framework as well as on the enhancement of the community stability and justice, channelled through the establishment of the Caribbean Court of Justice (CCJ). Integration into the world economy is directed to strengthening the trade related capacity so as to allow the region to take full advantage of international trade. This includes support to the Regional Negotiating Machinery (RNM) and the provision of specific support to the preparation and implementation of the EPAs, the Doha Development Agenda (DDA), the FTAA and other trade negotiations in the region. Finally, in the prospect of enabling the region's productive base to seize the opportunities related to deeper integration, the regional strategy also focuses on economic repositioning and provides support to the improvement of the regional business environment as well as of the private sector organisations and service providers while promoting the new forms of business collaboration, clustering and trade facilitation. It also aims at developing new factors of competitiveness, in particular in the line of reinforcing the knowledge-based economic capacity of the region.

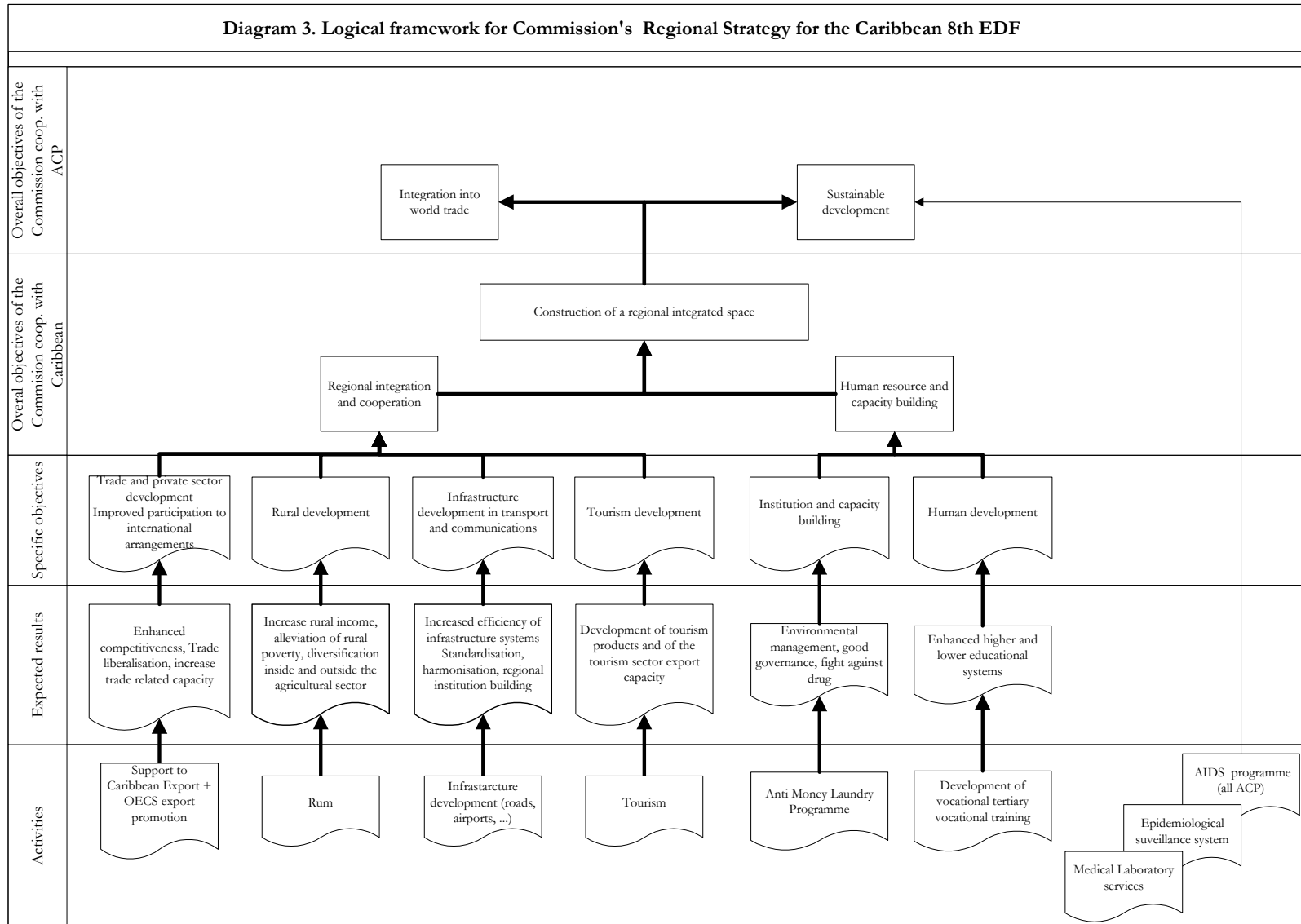
Diagrams 2, 3 and 4 represent respectively the hierarchy of objectives as it emerges from the regional programming documents.

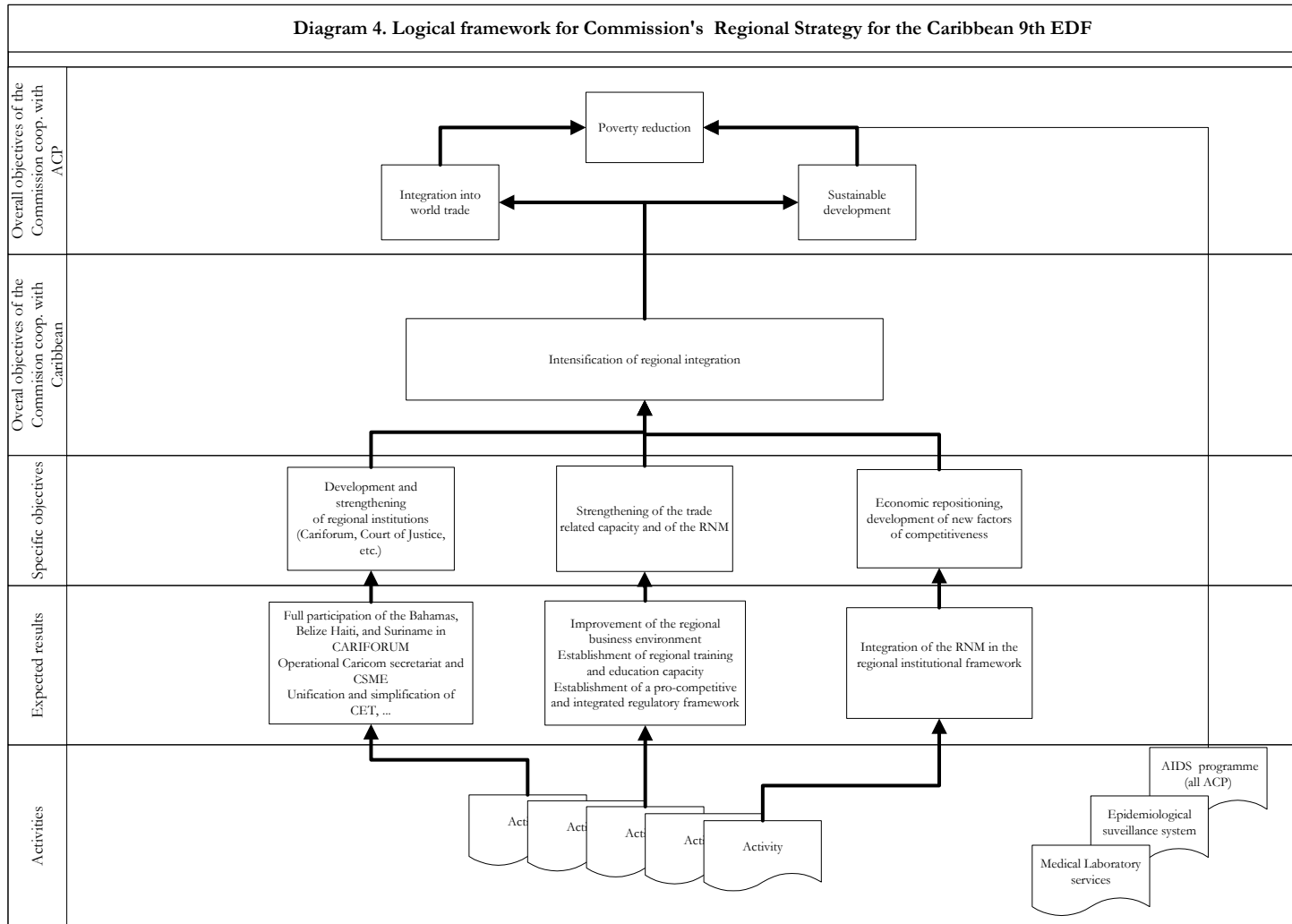
These diagrams are divided in two tiers. The upper one in the hierarchy of objectives and includes three categories:

- The overall objectives of the European Community cooperation with the ACPs. These result from the Treaties and the agreements signed with the ACP (Lomé IV and Cotonou in the present evaluation).
- The strategic objectives of the Commission Cooperation with the Region. There are the policy objectives that the Commission pursues specifically in the region, through its regional and country programmes and other interventions, in order to achieve the superior cooperation goals. They correspond to the focal areas of cooperation.
- The operational objectives correspond to the objectives pursued through the main components of the focal sectors.

The lower tier comprises the two categories at the bottom of the diagrams: activities and expected results. It includes the activities programmed and implemented and their expected results meant to contribute to the operational objectives.







3.3 The synthesis intervention logic

The analysis of the Commission's regional strategies designed under the successive EDFs highlights an evolution from a programming dominated by national issues, with regional programmes meant to provide additional funding to national programmes (e.g. by including projects involving two countries or by focusing on areas for which the justification of regional coverage is not strong) towards the progressive elaboration of a strategy clearly supportive of the regional integration (CARICOM/CARIFORUM) process, fostering trade policies and institutions reforms and used to channel the Commission's assistance in building a "regional vision" when dealing with issues involving a regional dimension. Diagram 5 summarises the articulation of the principal elements constituting the Commission's regional strategy through the different programming periods.

The overall objectives of the Commission cooperation with the Caribbean encompass the two major objectives appearing in the successive EDFs and aiming at the construction of a regional integrated space: regional integration and cooperation, on the one hand, building the regional capacity, on the other hand. The latter overall objective is directly strengthening the former through its institutional capacity building component. Four specific objectives are pursued with various projects and are meant to contribute to the overall objectives.

i° Infrastructure development and strengthening of trade and productive sector are directed more specifically at the objective of regional economic integration and cooperation.

ii° Over time trade and productive sector have increased in importance both in terms of resources allocated and in terms of their strategic role in supporting regional economic integration. Under the IXth EDF strategy the pursuit of this objective absorbs most resources.

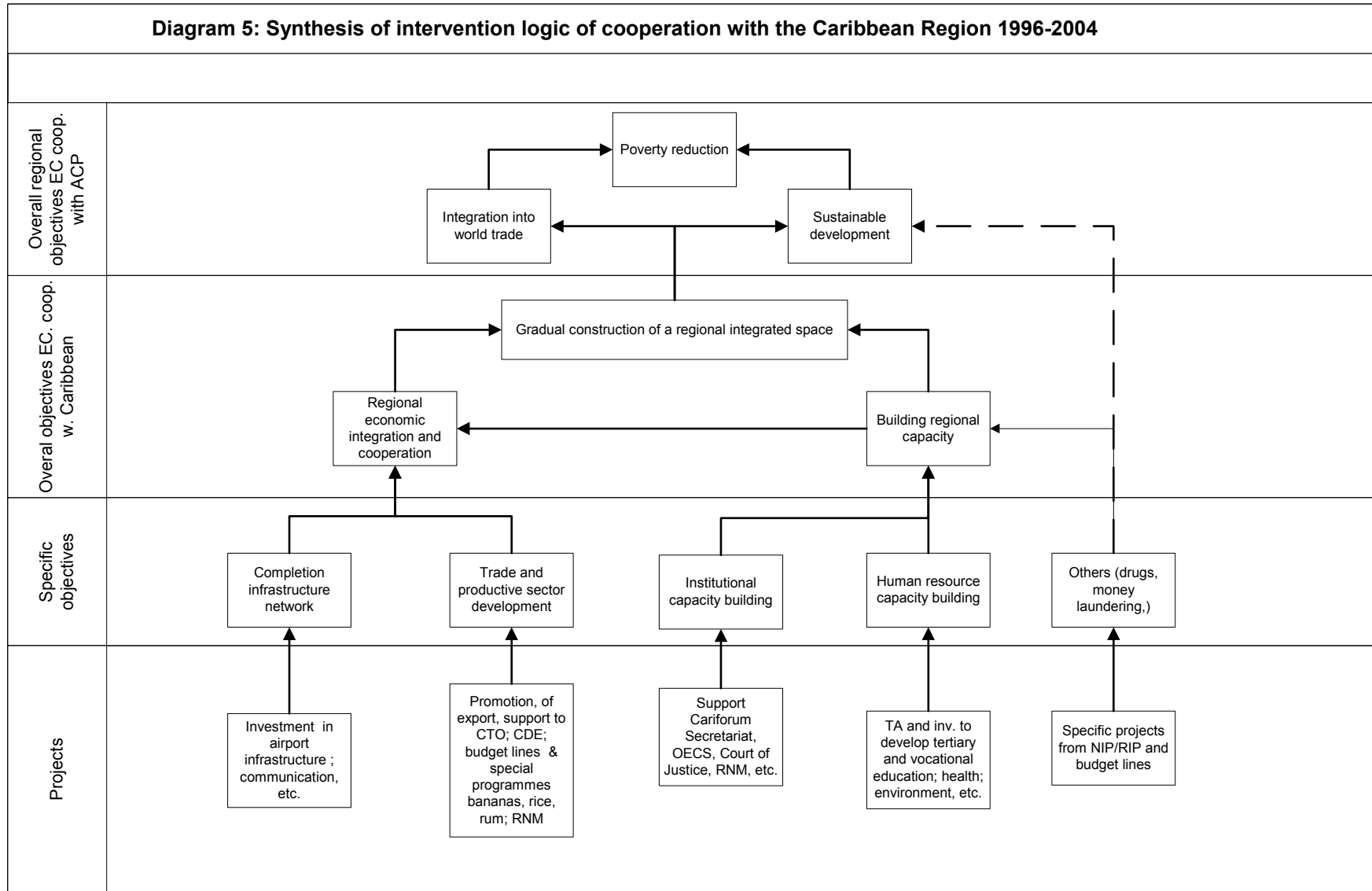
iii° Institutional capacity building, aiming at the development of the institutions capable to play a leading role in the initiation of regional integration policies and in the implementation of its organisational and regulatory aspects constitutes the third specific objective of the synthesis strategy. In the early EDFs the main effort was directed to CARIFORUM and to the development of its capacity to identify and manage efficiently the Commission's assistance resources. With the successive EDF institutional capacity building has become central to support regional economic integration as well as the other major objective, the building of regional capacity. The role of CARIFORUM in deepening the regional integration process and elaborating a Regional Integration and Development Strategy has been recently endorsed by the Council of Ministers of CARICOM. The institutional strengthening of CARIFORUM together with that of the Court of Justice and the Regional Negotiation Machinery and other integrating bodies occupies therefore a central position in the Commission's assistance strategy to the Caribbean and has a major contribution to regional capacity building.

iv° Aside institutional capacity building, human resource capacity building, particularly in the areas of tertiary education, health and environment constitutes the fourth specific objectives.

Finally a series of interventions in the area of drugs, money laundering, etc. do not directly fit into the overall strategy of construction of a regional integrated space but contribute to the superior objective of sustainable development and the fulfilment of the principles of democracy and rule of law underlying the Commission's cooperation with third countries.

The rationale for such evolution can be understood by taking into account the particular regional context in which the Commission's cooperation has been developed. At the early time of the period considered for this evaluation, the integration of the region is still weak and faces many challenges. In particular, the Commission's definition of the Caribbean region encompasses countries featuring fundamental differences in terms of their economic development, history (belonging to various blocks inherited from the colonial past), culture and institutional frameworks and between which competition dominates cooperation. The approach has therefore been to build the regional strategy around programmes that were likely to foster cross-countries contacts, exchange and discussions, even if their contribution to the construction of an integrated regional space was not immediate and clear. It is only when the regional identity has been considered as sufficient that the Commission's programming has progressively moved towards the elaboration of a genuine regional strategy concentrated on the development and strengthening of regional institutions.

Diagram 5: Synthesis of intervention logic of cooperation with the Caribbean Region 1996-2004



4. Coverage of Commission intervention in The Caribbean

The above intervention logic is mainly derived from the regional programming documents and reflects the intentions of the Commission and the ways it envisaged to articulate its interventions to its strategic and overall objectives.

The analysis of the portfolio of projects which is conducted in the present section indicates what the Commission effectively programmed and implemented. Table 5 indicates the focal sectors in the successive national and regional indicative programmes. Table 6 contains similar information with mention of the indicative allocations of resources; it also includes, when available, the resources allocated under the "envelope B" (i.e. the non programmable resources to be used for unforeseen needs). These tables as well as chart 1 are based on the programming documents and the data compiled from the databases¹³. Because of the diversity of financing instruments and the incomplete coverage of the Commission databases it is not possible at this stage to provide an accurate table of total resources allocated to the region; in particular data on the share of all ACP projects accruing to the Caribbean region, data on some credit lines and stabex. The following summary is, however, an indication of the total resources programmed in the strategy documents for the Caribbean region.

Allocation to the Caribbean (million €)

	RIPs		NIPs	
	Envelope A	Envelope B	Envelope A	Envelope B
7th EDF	105	na	194	na
8th EDF	90	na	258	na
9th EDF	57	na	295	156
Total	252	na	746	

The diversity of the Caribbean region, evoked in section 2.1, is reflected in the sector distribution of projects funded through NIPs. Support to the agricultural sector under 7th EDF was confined to four countries (Dominica, Grenada, St Lucia and St Vincent & Grenadine) arguably among the poorer smaller island communities and still highly dependent upon this sector. The emphasis upon human resources development is reflected in the substantial levels of support to the education sector in NIPs. For example the majority of the 7th-9th EDF NIP budgets for Antigua & Barbuda were allocated to the education sector, similarly for Barbados significant proportions of the 7th & 8th EDF NIPs were also directed at this sector almost 50% of 9th EDF in the Dominican Republic NIP and 80% of 9th EDF NIP for Trinidad and Tobago. Support to the health sector has taken a significant part of NIPs in Barbados (9th EDF), Dominican Republic and St Kitts and Nevis (7th and 8th EDF) and St Lucia (8th & 9th EDF) and the remaining 20% of the NIP for Trinidad and Tobago under 9th EDF. Basic infrastructure in terms of water represents 50% of the 9th EDF NIP for the Dominican Republic. These different levels of emphasis serve to illustrate the diverse nature and perceived needs of the individual island communities of the region.

Broadly the sector support under the NIPs under 7th-9th EDF addressed the « branch » of human resource and capacity building under the logical framework set out in diagram 2 for Caribbean 7th EDF. and only limited coherent support to economic growth within the context of a regional strategy (the one exception possibly being tourism and related infrastructure upgrading).

Chart 1 illustrates the amounts planned and contracted per regional project per sector of intervention from 6th EDF to 9th EDF IX. Its source is annex 5 which provides the synthesis (compiled from annex 4) of the sector allocation of the regional funds. The chart shows the overall emphasis on productive sector development (business, industry, tourism, agriculture), trade and infrastructure.

¹³ See note on data compilation at end of this section

Data of annex 5 include resources planned, i.e. the indicative allocations foreseen in the strategic and/or programming documents, resources contracted and disbursements. The distribution within each EDF and reflect the changes in emphasis to respond to the needs of integration into world trade. 6th EDF support was predominantly directed at the transport sector and included such projects as support to the Government of St. Kitts and Nevis in the development of its air transportation links. This support is provided in the form of grant financing to assist in runway construction and sea defences to protect runway and ancillary buildings and equipment. Under 6th EDF smaller amounts were allocated to government capacity development and tourism development. 7th EDF finances a broader spectrum of support that included basic needs such as water and also regional collaboration in education, for example :

- the establishment of regionally integrated Masters Degrees programmes in economic development and reform, public sector management, international business, agricultural diversification, natural resource management, tropical architecture and monument conservation;
- the promotion of professional interaction across the region and with the EU;
- the development of ODL and IT systems;
- the promotion of cooperative research.

Other programmes under 7th EDF sought to strengthen Cariforum by providing TA, support staff and other facilities and services for preparing, appraise, implement and monitor-evaluate regional programmes financed by the EDF.

Of significance is that under 7th EDF regional support was provided to trade, business development, agriculture and fish, and the financial sector and commerce and included such projects aimed at :

- improving the performance of the tourism sector by developing capacity in the following areas: Marketing and promotion; Product development; HR development; Research; Cultural heritage [RPS]
- strengthening the economies of CARIFORUM Member States through support of overall trade diversification and growth efforts. As part of the programme, the Caribbean Export was created as the implementing agency by an Inter-Governmental Agreement among CARIFORUM Member States. It involves the coordination of macro-economic and trade policy measures for the MS, assistance to exporting firms in areas such as trade promotion, quality improvement, production efficiency, market information and training as well as support to public and private sector trade promotion organisations;
- private sector and marketing development in the agriculture and fish sector.

Regional support for the environmental sector was provided through the project to strengthen regional cooperation capacity in conservation management and sustainability Development of amenity areas in order to assure that greater attention is given to environmental issues through the :

- Development of a regional environmental information network;
- Promotion of education and awareness;
- Institutional Capacity Building;
- Enhancement of management of amenity areas (marine; terrestrial, watersheds).

Under the 8th EDF support was provided to both broaden and consolidate the regional initiatives under the 7th EDF. Other projects aimed, among others, at :

- Mitigating the economic and social losses arising from adverse weather conditions and to improve weather data for sensitive productive activities,
- reinforcing the capacity and cooperation of Haiti and the Dominican Republic the protection and conservation of the lakes bordering area;
- contributing to the improvement and integration of regional air transport by (i) improving and coordination ATM; (ii) enhancing human resources capacity;

- enhancing the competitiveness of the rum sector by making it export-ready in the segment of branded products. Components of this intervention: (i) Institutional Capacity Building to WISPA; (ii) marketing and distribution strategy; (iii) plant modernisation and meeting environmental needs;
- improving management and coordination between public and private laboratories in the region thus leading to increased availability of high quality laboratory information.

Thus a significant component of the support under 8th EDF was directed at either establishing or further developing the institutional enabling environment that *may contribute* regional integration across a broad spectrum of sectors.

Under 9th EDF support has been confined to four sectors with business development making up a significant share of the budget. Notwithstanding this it is not clear at this stage how these clearly fit into the overall strategy as set out in the generic logical framework for the period 1996–2004. The apparent absence of articulation between the RIP and the implementation of some NIPs will need to be addressed in the evaluation questions. In particular, the evaluation will have to verify whether the enabling institutional frameworks at a regional level have been appropriate and if so have been developed sufficient levels of efficiency and effectiveness to ensure the achievement of coherent goals for integration at a regional level and for the regions integration into the world economy.

It is not clear from the statistics but the delivery schedule, measured in terms of projects contracted, may point to the existence of bottlenecks.

The CRIS databases (CRIS Saisie and the CRIS Consultation¹⁴) provide on line information about the technical, financial and accounting progresses. They display the names of the country and region where the interventions are planned, the project title and numbers, the budget planned¹⁵ and the corresponding budget lines as well as the DAC Code referring to the sector of intervention. The evaluators used the information collected from the databases to compile a comprehensive “project list” providing an overview on the Commission interventions in the Caribbean from 1996 to 2004.

The research was conducted on the basis of geographical criteria. For each Caribbean country, the full list of projects carried out by the European Commission was downloaded together with the lists of regional (RPR and RCA) and all-ACP projects (TPS). Irrelevant entries were deleted from the list¹⁶.

The data collected were compared with those recorded in the Online Accounting System (OLAS), which contains also the exact start and end dates for each projects. This allowed the team to identify the interventions falling outside the scope of the evaluation for temporal reasons¹⁷. Other data sources were consulted: the Joint Annual Reports on the Implementation of the Regional Cooperation between the CARIFORUM states and the European Union (when available), the Regional and National Strategy Papers and the lists provided by the Commission services.

The regional projects list was sorted by period of intervention (EDF) and funding source (EDF, EIB and Budget Lines). DAC Codes allowed to identify the main sector of interventions and to carry out a sector analysis¹⁸. Bilateral projects with regional impact have been listed in a separate table¹⁹.

¹⁴ CRIS Consultation contains updated information only for EDF funded projects and programmes. CRIS Saisie was consulted for updated information on other financing instruments, such as thematic Budget Lines

¹⁵ In addition to the planned budget, CRIS Consultation provides also the amounts contracted and paid .

¹⁶ For instance all the pre-financing agreements, the all ACP projects not relevant for the Caribbean, the emergency programmes funded by ECHO among the rest.

¹⁷ As stated in the Inception Note, the evaluation will cover all the interventions planned and implemented under the VIII and IX EDF. With regards to projects funded under the VI and VII EDF, the evaluation will take into consideration only those started in or after 1996.

¹⁸ Annex 5 provides the Synthesis table.

¹⁹ Annex 6 provides the list of the bilateral projects with regional relevance.

Table 5: Focal sectors in the Caribbean NIPs and RIPs under VII, VIII and IX EDF.

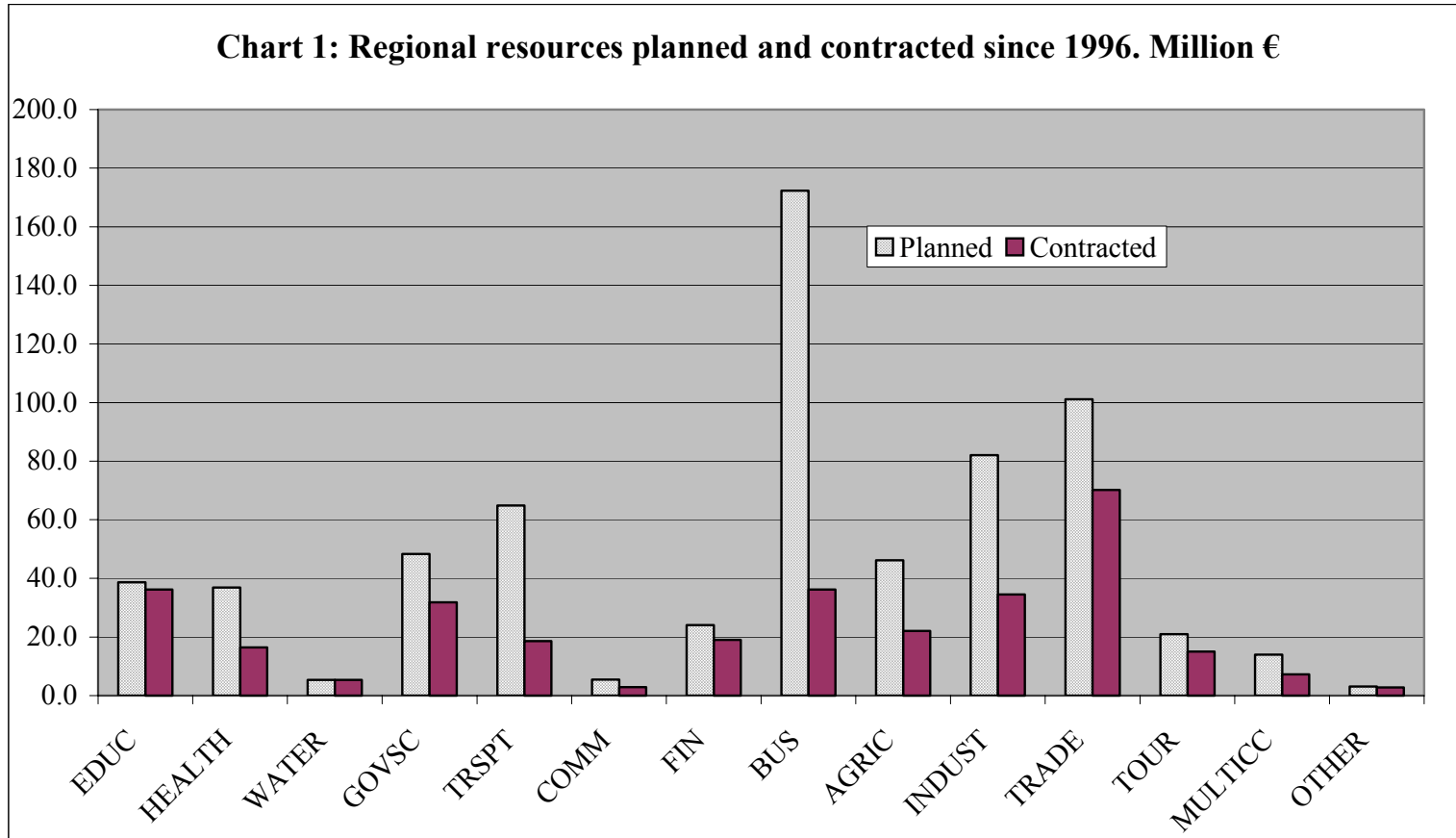
Country/Region	EDF	EDUC	HEALTH	WATER	GOVSC	TRSPRT	COMM	ENERGY	FIN	BUS	AGRIC	INDUST	MINING	CONST	TRADE	TOUR	MULTIACC	EMER	DRUGS	OTHER
Antigua & Barbuda	IX	F1																		NF
	VIII	F1																	F2	
	VII	F1																		
Bahamas	IX																			F1
Barbados	IX		F1																	NF
	VIII	F1										F2								
	VII	F1																		
Belize	IX				NF						F1									
	VIII		F2			F1														
	VII	F3	F2			F1											F3			
Dominica	IX					F1														
	VIII	F3														F1			F2	
	VII			F2							F1					F3				
Dominican Rep	IX	F1		F2																NF
	VIII	F3	F3	F2	F1															
Grenada	IX															F1				
	VIII			F1												F2			F3	
	VII	F3									F1					F2				
Guyana	IX				F2									F1						
Jamaica	IX				F1	F3				F2										
St Kitts & Nevis	IX	F1																		
	VIII		F1																F2	
	VII	F2	F1													F3				
St Lucia	IX	F1																		
	VIII		F1																	
	VII	F3									F2									F1
St Vincent & Grenadine	IX	F1																		
	VIII	F1																		
	VII		F1								F1									
Suriname						F1								F3						
Trinidad & Tobago	IX	F1	F2																	
Cariforum	IX														F1					
	VIII														F1					F1; F2
	VII														F1					

NF Non Focal F1 = Focal F2 = Focal F3 = Focal

Table 6: Resources allocated per sector under successive EDF programmes.

Country	Envelope A (in Meur)																				Total Env A	Envelope B									
	EDF	EDUC	HEALTH	WATER	GOVSC	TRSP	COMM	ENERGY	FIN	BUS	AGRIC	INDUST	MINING	CONST	TRADE	TOUR	MULTICC	EMER	DRUGS	OTHER											
Antigua & Barbuda	IX	2.34																		0.26	2.6	0.4									
	VIII	4.05																	0.45		4.5	na									
	VII	F1																				3.5	na								
Bahamas	IX				3.9																	3.9	0.6								
	VIII																					na	na								
	VII																					na	na								
Barbados	IX		5.85																		0.65	6.5	0.3								
	VIII	F1												F2									7	na							
	VII	F1																					5.5	na							
Belize	IX				0.936						6.864												7.8	1							
	VIII	F2	F1			F1														F2			9.5	na							
	VII		F1			F1																	9	na							
Dominica	IX					3.7																	3.7	12							
	VIII	0.26																			5.98		6.5	na							
	VII	0.55		1.65							2.25											0.55		5.5	na						
Dominican Rep	IX	53.55		53.55		F1																	11.9	57							
	VIII	F3	F3	F2																				110	na						
	VII	F2	F2										F3											85	na						
Grenada	IX																							3.15	3.9						
	VIII			F1																					3.5	na					
	VII	F3																							6.5	na					
Guyana	IX				14.9																				5	14					
	VIII													19											34	na					
	VII																								32	na					
Jamaica	IX				25,55-31,39	21,9-27,74					14,6-19,71														3,65-7,3	73	27				
	VIII																									26	na				
	VII																									7	na				
St Kitts & Nevis	IX	2.89																								0.51	3.4	0.6			
	VIII		2.7																								3	na			
	VII	0.25	2.25																								2.5	na			
St Lucia	IX		4.05																								0.45	4.5	15		
	VIII	0.3	5.4																								6	na			
	VII	F3										F2														F1	5	na			
St Vincent & Grenadine	IX	4.5																									0.5	5	16		
	VIII	F1																									F2	6	na		
	VII																											5.4	na		
Suriname	IX				1.55	8.1					0.675																	11	7		
	VIII																											26	na		
	VII																											8	na		
Trinidad & Tobago	IX	13.6	3.4																									17	0.9		
	VIII																											14.7	na		
	VII																											18.1	na		
Cariforum	IX																											42,75-51,3	7,89-9,69	57	na
	VIII	F2																									F2	F2	90	na	
	VII	21																									57.75	21	5.25	105	na

Data concerning VIII, VII FED from IX EDF CSPs
F1 = Focal Sector 1 F2 = Focal F3 = Focal



5. Proposed Evaluation Questions

The following is a proposal of evaluation questions revised after the presentation of the inception note the reference group and incorporating the comments formulated on that occasion. The questions are closely articulated on the intervention logic as it is schematised in diagram 5 (which has also been reviewed).

They are based on an important assumption, namely that across the successive EDF the Commission strategy has been pursuing the objective of constructing a regional integrated space. As explained earlier the objective and the corresponding strategy have evolved from functional cooperation towards an increasingly more strategic approach. Under this assumption the evaluation will therefore concentrate essentially on the relevance, the efficiency, the effectiveness, the impact and the sustainability of the Commission's programme in creating the conditions and strengthening the capacities enabling the construction of the integrated economic space. It will also analyse the interaction of the assistance offered with the evolution of the situation and policy objectives of the partner countries and region, as well as the extent by which the Commission's strategy and interventions take cross-cutting issues into account.

This assumption of an evolving but unique and consistent strategy is important. The alternative would be to consider that each EDF had its own intervention logic against which the evaluation should be conducted. Under this alternative view the chain "support to regional integration" and the chain "support to human resource and capacity" observed in the 7th and 8th EDF would be considered as disconnected from each other or mutually supporting only by coincidence. However, the analysis of the intervention logic led the evaluation team to consider that the functional cooperation appearing under the second chain is meant to gradually enable and strengthen the construction of a regional integrated space. Analysing this relation and the evolution of the cooperation under this assumption seems relevant in view of the objective of the evaluation to draw lessons for future implementation.

Ten evaluation questions are proposed with a short description of their coverage, the corresponding evaluation criteria, and the main judgement criteria as well as the indicators to collect to answer them. The questions and the judgement criteria may require further refining during the desk phase with the availability of additional information²⁰ and progress of analytical work. The proposed indicators are a first elaboration and will be refined or even changed by the end of the Desk phase, taking into account the data available and the methodology selected for the field visit.

The evaluation questions are meant to give a more intuitive content to the evaluation criteria and are formulated in taking into account a number of important issues coming out of the first analysis of the data and the intervention logic. Two are particularly important:

- EDF resources have funded, in particular in the early periods, a number of activities in diverse areas and countries that do not immediately appear as proceeding from a strategic view of the cooperation with the whole region. It is worth evaluating whether these interventions contributed to the enhancement of cohesion and intensification of cooperation in the region and therefore were necessary preliminary steps to create the enabling background against which further elaboration of the regional integrated space could be engaged.
- The articulation of the regional and national assistance programmes. Are they mutually supporting and contributing to the objectives of the strategy or do they reflect more the competition among the partners for the aid resources.

The first two evaluation questions relate to relevance. The first one aims at analysing the justification of the major strategic objective of gradual construction of an integrated regional space. The second question assesses the process of identification of interventions as well as the quality of the underlying diagnosis. Questions 3 and 4 aim at assessing the efficiency of the strategy respectively in terms of flexibility and adaptability to changing circumstances and with respect to the organisation mechanisms and management structures involved in implementation. Question 5 and 6 assesses the contribution to the major objectives (regional economic integration and building regional capacity building) of the lines of interventions

²⁰ In particular, most annual reviews of regional cooperation.

dedicated to their pursuit. Question 7 assesses the sustainability of the operations conducted. Questions 8 investigates how the cross cutting issues are taken into account. Question 9 assesses the consistency and complementarity between the various assistance instruments. Question 10 is related to the "CCC" (Coherence, Complementarity and Coordination).

EQ1 : To what extent was the Commission's strategy to support the gradual construction of a regional integrated space designed to promote the region's integration into the world trade and its sustainable development?

Evaluation criteria: Relevance

Coverage of the question:

This question relates to the link between the strategic objectives of the Commission assistance to the Caribbean and its overall cooperation objectives (cf. diagram 5). It attempts to assess the justification for the central objective of supporting gradually the construction of an integrated regional economic space and to verify on which basis the Commission defined its strategic objectives. The judgement criteria track the justifications provided and check whether they are line with other donors analysis and the partners' views.

Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ The Commission strategic and programming documents clearly set out the rationale for the establishment a regional integrated space as a response to main development needs of the region. 	<ul style="list-style-type: none"> ▪ Existence in the Commission's programming documents of analysis related to the contribution of the regional economic space to the overall objectives. ▪ Existence of analysis of other donors/scientific authorities leading to similar conclusions 	<ul style="list-style-type: none"> ▪ Preparatory documents to national and regional programmes and references to partners' requests. ▪ Analytical documents supporting the pre-identification and identification stages of the project management cycle. ▪ Partner's official policy documents. ▪ Interview with Commission staff and partner representatives involved in programming. ▪ Documents from and interviews with other donors.
<ul style="list-style-type: none"> ▪ The objectives of the national and regional programmes reflect the views of the partners. 	<ul style="list-style-type: none"> ▪ Inclusion of partner's policy priorities in programming documents. ▪ References to consultations with partners in programming documents 	

EQ2 : Have the Commission projects and interventions been properly identified and designed to contribute to the gradual construction of the regional integrated space?		
Evaluation criteria: Relevance		
Coverage of the question:		
Whereas question 1 aims at verifying the rationale behind the strategic objective, this question verifies to what extent the selection of sectors of intervention and instruments addressed the priorities the achieve construction of the regional integrated space. It concerns the identification stage of the programming cycle.		
The judgement criteria question:		
<ul style="list-style-type: none"> ▪ The identification of the priorities (how was identification process carried out) ▪ Degree of participation of the partners (in particular from the regional institutions) ▪ Role of regional institutions in the identification 		
Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Analysis have been conducted and used to identify the priority needs relating to the construction of a regional integrated space. 	<ul style="list-style-type: none"> ▪ Reference in the programming documents to diagnosis studies (by the Commission, by the partners, in particular the regional institutions, or by other donors) of main constraints and priority needs to be addressed in view of the construction of a regional integrated space. ▪ Evidence of Commission initiatives to conduct such studies when there were not available, and to critically assess those provided by the partners (or other sources). ▪ Evidence of use of these studies 	<ul style="list-style-type: none"> ▪ Feasibility studies and other programming documents. ▪ Interviews with persons in charge of programming. ▪ Views of the partners. ▪ Studies and proposals of the regional institutions. ▪ Documents of other donors.
<ul style="list-style-type: none"> ▪ The mix of projects, resources and instruments proposed is designed so as to address the priority needs and to contribute to the proposed objectives. 	<ul style="list-style-type: none"> ▪ Existence ex ante analysis and justification of interventions and instruments proposed based on logical framework and similar programming tools. 	
<ul style="list-style-type: none"> ▪ The proposed interventions take into account the activities of other donors and the comparative advantages of the Commission's assistance. 	<ul style="list-style-type: none"> ▪ Existence of reference to and examination of other donors interventions. ▪ Existence of justification of instruments proposed. ▪ Evidence of consultation with other donors on distribution of work. 	

EQ3 : Has the Commission's strategy been able to adapt or modify to meet the needs and to fulfil the stated objectives? Was it flexible enough to accommodate evolving needs and priorities or to react to external events affecting particular interventions?

Evaluation criteria: Efficiency

Coverage of the question:

This question analyse the continuity and the adaptability of the strategy in providing support to the pursuit of the objectives while taking into account the evolution of the context as well as accidental factors.

Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ The support strategy has been consistent over the evaluation process. 	<ul style="list-style-type: none"> ▪ Justifications of intervention with respect to time continuity and space (regional consistency) 	<ul style="list-style-type: none"> ▪ Programming documents ▪ Interviews with resource person in Delegations responsible for programming and implementation of regional programmes. ▪ Interviews with deciders and stakeholders in partner countries. ▪ Monitoring reports.
<ul style="list-style-type: none"> ▪ The strategy could be adapted to accommodate shocks and change of context 	<ul style="list-style-type: none"> ▪ Adaptations of interventions (programmes and projects, terms of reference) to changing situations 	
<ul style="list-style-type: none"> ▪ The state of the regional integration process at the time of programming was assessed in view of identifying what could realistically be implemented. 	<ul style="list-style-type: none"> ▪ Existence in the programming documents of analysis of the current situation of the partners and the limitations it imposed. ▪ Adaptation of interventions to these constraints. 	

EQ4 : To what extent are the organisational and institutional frameworks and the responsibilities of the main actors involved in the management and implementation of the programmed activities contributing to the attainment of the specific objectives?

Evaluation criteria: Efficiency

Coverage of the question:

This is the second question on efficiency. Whereas question 3 assesses the overall flexibility and adaptability to changing situations in implementing the strategy, this question assesses the efficiency of the channels of implementation. It focuses on the main components of the overall institutional and organisation setting to deliver Commission's assistance to the region, i.e.:

- The Commission organisational framework (Commission services, Delegations) and responsibilities.
- CARIFORUM, the key institution created to prepare and manage EDF regional assistance.

The regional implementing institutions and agencies.

Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ The Commission's organisation framework and division of responsibilities foster delivery of programmes and projects. 	<ul style="list-style-type: none"> ▪ Clarity, comprehensiveness and absence of overlaps in the distribution of responsibilities. ▪ Existence of communication and information channels for managing projects. ▪ Evidence of fluent communication and consultation with the partners ▪ Procedures that reflect the regional needs and constraints. ▪ Administrative performance through the project cycle (delays, etc.) 	<ul style="list-style-type: none"> ▪ Organisational flow charts of Commission services ▪ Internal Commission documentation on distribution of tasks and responsibilities. ▪ Documents tracing the evolution and reforms in the distribution of responsibilities. ▪ Interviews with Commission services and partners in relation with them.

<ul style="list-style-type: none"> ▪ The CARIFORUM Secretariat contributed to the identification of activities and to their management and administration in a way that fostered delivery of results and ensured ownership by and coordination with the partners throughout the project cycle. 	<ul style="list-style-type: none"> ▪ Fulfilment of CARIFORUM mandate in terms of providing inputs into the strategic and programming documents ▪ Administrative performance through the project cycle (delays, disbursement rates etc.) ▪ Monitoring and evaluation activities commissioned by CARIFORUM and responsiveness to their conclusions. ▪ Regional coordination mechanisms set up and managed by CARIFORUM. ▪ Evidence of contacts between CARIFORUM secretariat and member countries/partners during implementation 	<ul style="list-style-type: none"> ▪ Consultation process and preparatory documents underlying the preparation of strategic documents ▪ Monitoring and evaluation reports ▪ Interviews with CARIFORUM staff ▪ Interviews with partners ▪ Interviews with
<ul style="list-style-type: none"> ▪ The regional institutions and agencies responsible for implementing the programmes/projects contributed to the delivery of the expected results in their area of responsibility. 	<ul style="list-style-type: none"> ▪ Evidence that the regional agency is at the centre or part of a regional network and extension of this network ▪ Technical performance indicators: outcomes of programmes/projects channelled through these institutions. 	<ul style="list-style-type: none"> ▪ List of institutions implementing regional institutions ▪ Mandates of the institutions ▪ Monitoring and evaluation reports ▪ Interviews with Commission and CARIFORUM project management ▪ Interviews with staff of institutions/agencies

EQ5 : To what extent has the Commission's support to the Caribbean region fostered the regional economic integration and cooperation process?		
Evaluation criteria: Effectiveness and impact		
Coverage of the question:		
The question analyses if the specific objectives (diagram 5: completion of infrastructure network, trade & productive sector development, institutional capacity building) have contributed to regional economic integration and cooperation.		
Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Intra regional trade has been facilitated and the extra regional trade capacity increased 	<ul style="list-style-type: none"> ▪ Evolution of regional and international trade ▪ Reforms aiming at liberalising and facilitating trade ▪ Organisation of trade fairs ▪ Marketing campaigns ▪ Evidence of quality certification capacity and of use of it ▪ Joint ventures concluded ▪ Foreign investments 	<ul style="list-style-type: none"> ▪ Trade statistics ▪ Interviews with entrepreneurs, professional organisations, and trade related institutions. ▪ Evaluation reports
<ul style="list-style-type: none"> ▪ The development of infrastructure networks (transport and communication) has facilitated exchanges across the region and internationally 	<ul style="list-style-type: none"> ▪ Volume of freight transiting through local airports and ports ▪ Passenger traffic for business and tourism. ▪ Transport and communication costs ▪ Reforms of transport and communication sector regulatory frameworks 	<ul style="list-style-type: none"> ▪ National and regional statistics

<ul style="list-style-type: none"> ▪ The regional institutions supported by the Commission assistance have contributed to the economic and trade cooperation among the countries, to the formulation of common policies and trade negotiation positions, and to the creation of an enabling environment for trade 	<ul style="list-style-type: none"> ▪ Evidence of consultation of the regional institutions by the policy makers ▪ Increase in the number of cooperation platforms between Caribbean countries; regional professional associations, etc. ▪ References to consultations between Caribbean countries. ▪ Adaptations of the legal and regulatory framework. 	<ul style="list-style-type: none"> ▪ Interviews ▪ Analysis/reports produced by the participating institutions
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EQ6 : To what extent has the Commission's support to the Caribbean contributed to strengthening the regional capacities?		
Evaluation criteria: Effectiveness and impact		
Coverage of the question:		
<p>The question analyses if the specific objectives of supporting human resources and institutional capacity building (diag. 5, left vertical line) have developed capacities to further support and sustain the construction of a regional integrated space.</p> <p>Whereas question 5 has analysed the contribution of institutional building to the regional economic integration, this question examines also contribution of institutional capacity building to the other aspects of the construction of the regional integrated space.</p>		
Judgment criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Human resource capacity building has permitted to achieve economies of scale 	<ul style="list-style-type: none"> ▪ Existence of regional mechanisms/institutions that replace or are substitute to several national ones (e.g. harmonisation of customs mechanism). 	<ul style="list-style-type: none"> ▪ Partner's official policy documents. ▪ Monitoring and evaluation reports. ▪ Countries and regional trade statistics. ▪ Interview with Commission staff and partner's representatives involved in regional institutions and/or international trade.
<ul style="list-style-type: none"> ▪ Human resource capacity building has improved the capacity to plan and manage activities with a regional or cross-border dimension 	<ul style="list-style-type: none"> ▪ Existence of regional planning and management mechanisms in specific areas 	
<ul style="list-style-type: none"> ▪ Human resource capacity building has contributed to creating a regional cultural identity. 	<ul style="list-style-type: none"> ▪ Existence of common centres of excellence in research and education ▪ Mutual recognition of diplomas, accreditations ▪ Regional cultural manifestations and organisation of cultural events 	

<p>EQ7 : To what extent are the institutions supported and the results achieved by the assistance likely to be sustained without further Commission support?</p>		
<p>Evaluation criteria: Sustainability</p> <p>Coverage of the question: This question attempts to assess the extent to which</p> <ul style="list-style-type: none"> ▪ the institutions created or supported by Commission's assistance can continue to provide their services when the support is terminated; ▪ the results achieved in terms of regional economic integration and regional capacity building can be maintained after the termination of the projects. 		
Judgement criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ The institutions developed with the support of the Commission's assistance are capable to survive foreign assistance and continue to deliver their expected services. 	<ul style="list-style-type: none"> ▪ List of institutions supported by the Commission and magnitude of the financial contribution of the Commission to their budget. ▪ Existence of arrangements or commitments of governments to support the institutions after the termination of Commission's funding 	<ul style="list-style-type: none"> ▪ Business and strategic plans ▪ Evaluation reports ▪ Interviews with national institutions ▪ Interviews with stakeholders ▪ Statistics and studies
<ul style="list-style-type: none"> ▪ Improvements in productive and human development sectors achieved through Commission assistance that can be maintained 	<ul style="list-style-type: none"> ▪ Viability of sectors that benefited from restructuring support ▪ Continuity of product development ▪ Retention of market shares ▪ Continued supply of tertiary educated people ▪ Continued provision of specific health care (vaccination, HIV treatment..) 	
<ul style="list-style-type: none"> ▪ The infrastructure developed is maintained 	<ul style="list-style-type: none"> ▪ Rules organising maintenance and financial provisions. 	

<p>EQ8 : To what extent were cross cutting issues taken into account in the programming and implementation of specific interventions implemented in the framework of the Commission's support to the Caribbean region?</p>		
<p>Evaluation criteria: Cross-cutting issues</p>		
<p>Coverage of the question: This question attempts to assess the extent by which the activities implemented under the Commission's support to the Caribbean region were designed and implemented so as to promote progresses in areas related to cross-cutting issues such as environment, gender and/or social standards.</p>		
Judgment criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Programming practices of the Commission's in the Caribbean regions takes cross-cutting issues into account. 	<ul style="list-style-type: none"> ▪ Programming documents systematically include an analysis related to cross-cutting issues aspects. ▪ Programming documents identify the main strategies that should be adopted so as to promote cross-cutting issues. 	<ul style="list-style-type: none"> ▪ Partner's official policy documents. ▪ Commission's programming documents. ▪ Monitoring and evaluation reports. ▪ Interview with Commission staff and partner's representatives. ▪ SIAs
<ul style="list-style-type: none"> ▪ The Commission's interventions in the Caribbean region are designed and implemented so as to promote cross-cutting issues. 	<ul style="list-style-type: none"> ▪ Programming documents identify the main strategies that should be adopted so as to promote cross-cutting issues. ▪ Inclusion in the Commission's interventions implemented in the Caribbean region of measures promoting cross-cutting issues. 	
<ul style="list-style-type: none"> ▪ The Commission's interventions in the Caribbean region are designed and implemented so that the regional integration in the Caribbean region acts as a promoting factor of cross-cutting issues. 	<ul style="list-style-type: none"> ▪ Evidence that the Commission's interventions implemented in the Caribbean region increased the capacity of regional institution to promote cross-cutting issues. 	

<p>EQ9 : To what extent are the different assistance instrument deployed by the Commission (RIPs, NIPs, and own credit lines, EIB funding etc.) consistent with each other and supporting the overall strategic approach?</p>		
<p>Evaluation criteria: Coherence aspect of the 3Cs</p>		
<p>Coverage of the question: This question aims at assessing the extent by which the activities implemented under the Commission's support to the Caribbean region are articulated to those related to national programmes and how far the various instruments are deployed so as to be mutually supportive in the conduct of the support strategy to the Caribbean.</p>		
Judgment criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Programmes and interventions implemented at the regional and national levels complement each other so as to ease the attainment of regional and national objectives. 	<ul style="list-style-type: none"> ▪ Regional programming documents refer to the relevant aspects pertaining to national strategies. ▪ Activities implemented under the Commission's support to the Caribbean region are articulated to those implemented under national programmes. 	<ul style="list-style-type: none"> ▪ Requests and programming documents relative to specific instruments outside NIPs and RIPs ▪ Monitoring and evaluation reports. ▪ Interview with Commission staff and partner's representatives.
<ul style="list-style-type: none"> ▪ The various funding instruments are supporting the strategic objectives and they are operated in coordination with and complementary to the main interventions programmed under the RIPs and NIPs. 	<ul style="list-style-type: none"> ▪ Reference in preparatory and programming documents of projects funded through specific instruments to their complementarity with other programmed interventions. ▪ Reference in preparatory and programming documents of projects funded through specific instruments to their expected contribution to the strategic objectives of the Commission's support to the Caribbean. ▪ Implementation of these activities in line with the development of other programmes. 	

<p>EQ10 : To what extent has the Commission's strategy in the Caribbean region has been designed so as to complement and to coordinate its actions with other donors programs or with other EU member states initiatives? To what extent the Commission's strategy and realisation in the Caribbean region has been affected by other EU policies?</p>		
<p>Evaluation criteria: 3Cs (Coherence, Complementarity, Coordination)</p>		
<p>Coverage of the question: This question is meant to capture the extent by which the Commission's interventions are coordinated with those of other donors and the extent of coherence between other EU policies and the strategy adopted by the Commission in the Caribbean region.</p>		
Judgment criteria	Requested data/indicators	Sources of information
<ul style="list-style-type: none"> ▪ Activities implemented under the Commission's support to the Caribbean region are co-ordinated with the set of other donors' interventions. 	<ul style="list-style-type: none"> ▪ The Commission's programming practices include devices favouring coordination with other donors. ▪ Extent of overlaps between the activities implemented under the Commission's support to the Caribbean region and those of other donors. 	<ul style="list-style-type: none"> ▪ Partner's official policy documents. ▪ Commission's programming documents. ▪ Monitoring and evaluation reports. ▪ Interview with Commission staff and partner's representatives.
<ul style="list-style-type: none"> ▪ The achievement of the regional objectives targeted by the Commission's support to the Caribbean region is not impeded or fostered by the provisions related to other EU policies. 	<ul style="list-style-type: none"> ▪ Evidence that the effectiveness and/or impact of the Commission's interventions implemented in the Caribbean region are not or positively affected by aspects related to other EU policy (EU trade policy, CAP, ...). ▪ Complaints by the partner concerning aspects related to other EU policy. 	

6. Organisation of the remaining part of the desk phase

6.1 Remaining tasks

The remaining part of the desk phase will involve two broad categories of tasks.

i. Completion of the basic information and structuring analysis.

It will consist in:

- Completing collection and analysis of past interventions (refining the projects list, analysing project documents for the most significant projects, gathering documentation on past NIPs, etc.)
- Refining and developing the evaluation questions, judgement criteria and indicators to serve as a methodological basis for the evaluation.

These tasks will take into account the comments of the Reference Group on the Inception Note.

ii. Organising the collection of the elements necessary for answering the evaluation questions.

A distinction must be made between the elements necessary for assessing the relevance and the intended impact of the 9th EDF strategy and those required for evaluating the strategies already implemented.

On the first point the most important task will be to obtain information on the current state of programming under the 9th EDF. This will require contacts with the Commission services in Brussels, with a number of Delegation in the Caribbean countries, with the regional and national authorities involved and with other donors.

The second point will be based on a selected number of case studies, i.e. projects or groups of projects representative of the different vertical lines of “instruments-specific objectives-overall objectives Commission cooperation with the Caribbean” identified in the intervention logic as summarised in diagram 5. Section 6.2 proposes a selection.

As soon as the complementary work indicated on i^o ends, the main task will be to identify selection criteria and to derive a sample of projects to analyse and countries to visit. When this sample is agreed with the Reference Group and/or the Evaluation Unit, the next tasks will be to set out the methodological (identification of the material to collect, interview grids, questionnaires, meetings to organise, preparation of reporting material and briefing of experts) and logistic (mobilisation of required expertise, preparation of the field visits, organisation of contacts, etc).

The timing of the field visits remains as scheduled, i.e. the last two weeks of July and the 1st week of August. Although it is a difficult period (absence of the regional advisor in the Guyana Delegation during part of the period; absence of the main responsible staff in CARIFORUM; simultaneous event of an important festival in Barbados) it appears from the contacts taken during the preliminary visit to the region that it should be possible to conduct the missions during this period. However, it is of the utmost importance that the case studies and field visits are rapidly approved for preliminary enquiries with the airlines point to the fact that many flights to the Caribbean are already fully booked due to the holiday period.

6.2 Overall methodological approach for the field phase

The objective of the field phase is to collect the information and the analytical elements to answer the evaluation questions.

According to a well established evaluation methodology, a limited number of judgement criteria has been associated to each evaluation question. These judgement criteria are more focused and more concrete than the evaluation questions and their validation will serve to provide a qualified answer to the question they refer to. The validation of the judgement criteria is based on indicators designed precisely to capture the information needed to substantiate them. This approach will be developed in the desk phase report.

The information will be collected through three main channels, which will all form the basis for answering the evaluation questions and drawing the conclusions of this evaluation:

- Analysis of relevant documents.
- Direct interviews in the field and in Brussels and, if possible, focus group meetings in the field with the parties involved in the strategy as actors or stakeholders: national and regional authorities, beneficiaries, EC Delegations, other donors and international institutions and experts who have been involved in identification, implementation and monitoring and evaluation.
- Conduct of a limited number of case studies permitting to track, through the analysis of selected interventions, their role and relevance in the cooperation strategy with the Caribbean, their coherence with other activities, and their contribution to the effectiveness and impact of the Commission's strategy.

These case studies are essential tool for data analysis because they permit to analyse the whole sequence of a particular type of intervention, from the stage of pre-identification to that of evaluation. The comprehensiveness of the case studies is particularly interesting because it permits to derive a more accurate picture than just a number of fragmented indicators and in this sense allow extracting valuable lessons learnt. Case studies analyse a concrete action that is derived from the policy and strategy and the processes of identification, implementation and management of that action. They illustrate the participation of the beneficiaries and they reflect the intended achievements from the policy and strategy points of view (the benefits and the impacts). They should also reflect the needs of the regional institution.

However, the case studies cannot cover all the ground of this evaluation and they need to be complemented by and combined with information collected from other sources. For instance, the implications of the Commission's option to privilege CARIFORUM as a focal point to formulate and implement its interventions, cannot be analysed only through a case study. For this reason, the field visits will also be devoted to the collection of information beyond what can be obtained from the case studies through interviews with relevant actors outside those involved in the case studies, particularly on strategy issues. The case studies are thus an additional analytical instrument to the evaluation (and to the Evaluation Questions), whereby an abstraction will be made to go from the concrete actions to the strategy issues ("bottom up" approach and coherence).

The case studies, the interviews, and the review of documents are the basis for answering the evaluation questions and for drawing general conclusions .

5.2 Proposed field visits and case studies

The approach for the field visits is based on a combination of two main factors: the countries and the projects to be visited, given the budget constraints in order to maximise the information that could be collected and analyse the most of intervention logics and geographical coverage.

For the *countries*, the selection criteria proposed are:

- **countries which are "regional centres of decision or operations"**, i.e. the countries where the main regional organisations have their headquarters and those where the Commission's Delegations with the main regional responsibilities are located: **Guyana** (headquarter of CARIFORUM and CARICOM), **Barbados** (coordination centre for the implementation of a significant number of

- large regional Commission's interventions). But possibly also **St. Lucia**, headquarter of the OECS, or countries hosting large regional institutions;
- **countries of particular significance for the regional integration process** in view of their size, their **specific views and policies** regarding regional integration. From this point of view the **Dominican Republic** is a compulsory visit, as the largest economy in the region and member of CARIFORUM but not of CARICOM ;
 - **countries where case studies can be analysed.**

For the *case studies* , the criteria used to select them are the following:

- **Availability of documentation.** A cases study is not meant to be self a standing project/programme evaluation. This is not the object of the current study and the resources, allowing for about 10 working days per field visit, would not permit it.. The field work is not intended to conduct in depth assessment on the Commission' activities but to analyse their relevance to the Commission's strategic goals and their contribution their achievements. Therefore, a case study must be a fully documented project, or a succession of projects covering the successive phases of a same intervention. The documentation made available should include: preparatory and identification studies, financial proposal, financing agreement, technical and administrative provisions, project reports (inception, progress reports, final reports), monitoring reports, evaluation reports, minutes of steering group meetings and other internal documents. The field work is meant to complete what is found in the documents and to collect the information specifically required for the indicators. Existing projects/programmes evaluations are, therefore, part of the required material and this study cannot provide any substitute to them. The team can, and should, make use of them with a critical look and in the light of the specific objectives of this evaluation and complement them with additional information from case studies and other sources.
- **Representativeness of the strategic clusters identified in the intervention logic** (as illustrated on diagram 5: infrastructure network, trade and productive sector development, institutional capacity building, human resources capacity building, others). We propose to select one case study per area of intervention, but two from the area "trade and productive sector development" in view of its importance in terms of resources absorbed and programmed.
- **The geographical coverage.** In that regards it is particularly important that the sample analyses interventions covering CARICOM and non-CARICOM countries, and that a reasonable sample of countries is visited (at least 3). This is complementary with the need to have a sound coverage of countries as mentioned earlier.
- **The size of the projects.** In order to have projects of significant size it is suggested to select projects belonging to the 30% largest projects in their area.
- **The duration of interventions:** projects spanning over 2 or 3 yours should be preferred.
- Projects covering the **different EDF**
- Projects that permit to assess the **mix of funding instruments.**

Based on the funded project database (annex 5), the following ones are the projects meeting the above mentioned criteria. Within this list, for each area of intervention, the Evaluation Team has selected one for the case study for reasons which are briefly explained. The other projects are also included because the availability of information might impose other choices. The evaluation team is currently verifying the availability of documentation for all these projects, and the information obtained so far is mentioned in part 4 and annex 4.

The potential sample is regrouped by area of intervention corresponding to the five clusters of diagram 5.

▪ **Investment in infrastructure**

- ❖ Caribbean Broadcasting Union/Caribbean New Agency Development 7 ACP RPR 686; 4 million € (managed in Barbados, deals with most countries).
This six-year programme's objective is to establish a quality CARIFORUM Information Network supplied by CBU and CANA. The programme has been under implementation since May 1998.
- ❖ ACP RPR 441 Regional Airports Programme, 2 million €. *The project is to improve the air transport capabilities and increase the level of safety in the Caribbean South and, by upgrading the facilities at three airports, Timehri in Guyana, Zorg-en-Hoop and Nickerie in Suriname.*

Proposed case study: Caribbean Broadcasting Union/Caribbean New Agency Development 7 ACP RPR 686 ²¹

The Broadcasting project is particularly significant in view of the construction of an regional integrated space: it aims at building a regional organizational capacity and it faces the challenge of developing arbitration mechanisms at regional level. It is therefore likely to deliver interesting lessons. It is not a physical infrastructure project but the development of information/communication network.

More fundamentally, interviews with the person responsible for infrastructure projects in the Delegation of Barbados had led to the conclusion that the potential significance of the CBU for the regional construction is greater than that of the airport projects.

▪ **Trade and productive sector**

- ❖ Caribbean Trade sector programme 7 ACP RPR 447, 13 million € (managed Barbados, concerns all countries) + 8ACP RCA 4, 11 million €
The first two programmes (7th EDF) aimed at promoting trade flows from the Caribbean region by means of the strengthening of a regional agency: Caribbean Export Development Agency, and the setting up of market intelligence facilities, a matching grant fund to improve the competitiveness of exporting companies, the organisation and the support to companies in the participation to trade fairs. Their follow up (8th EDF) aims at improving the performance of CARIFORUM Member States in regional and extra-regional trade in goods and services. It should contribute to a higher degree of convergence in trade and financial markets policies within CARIFORUM and contribute to progress towards the Caribbean Single Market. Caribbean enterprises will be supported in their efforts to maintain and increase market shares, to bring about increases in export revenues, employment and the improved welfare of the people of the region.
- ❖ Tourism development: 7 ACP RPR 443 (11 million €) + 7 ACP RPR 444 (1.8 million €)+ follow up 8 ACP RCA 35 (8 mln €). Note also a link with budget line funded intervention B7-5040/94/10-VIII: Sustainable development of tourism in the wider Caribbean (85 thousand €)
The programmes' objective is to foster the sustainability and competitiveness of the Caribbean tourism sector. The first programme (7th EDF) included training, improvement of the quality and quantity of information available on the sector in the region, rehabilitation of historical buildings. The second (8th EDF) includes the establishment of a development policy framework, supplementing and strengthening of regional institutional capacities, development of skills and human resources, support to small operators and strengthening the links among CARIFORUM/CARICOM, CTO, CHA, national tourism/hotel associations and academic institutions.

²¹ A member of the Reference Group suggested the program Air Access Dominica (8 RCA 36, 0.55 € and 9 RCA 3, 11.95 €) to test its regional impact. However, this project is in an early stage and probably less suitable than 7 ACP RPR 441 to assess impact. Moreover, it is implemented in a small island with no other significant activities for this evaluation and this might increase the number of countries to visit beyond what the budget can afford.

- ❖ Integrated Caribbean Regional Agriculture & Fisheries Development Programme, 7 ACP RPR 385 (22 million €), managed Barbados
This project has 3 main purposes: to stimulate private sector interest in agribusiness development; contribute to diversification and market development of Caribbean agriculture; improve sector development support services with particular emphasis on the private sector. The programme consists of a number of subprojects and 8 sub-programmes: (originally 10)
- ❖ Integrated Development Programme for Caribbean Rum industry (70 million €, managed in Barbados) 8 ACP TPS 125
This five-year programme aims at tackling the most urgent needs of the Rum industry in terms of performance improvements of the distilleries, installation of waste treatment systems, quality assurance and assistance in market development. Further, it aims to assist in the transition from bulk rum exports to branded products by addressing technical and marketing issues and positioning Caribbean rum producers in a competitive situation. This should enable them to develop selected target markets and become at least as competitive as other rum producers. The programme is currently under implementation.

Proposed case studies²²: (i) **The Caribbean trade sector programme** in view of its importance in the regional economic integration process and the insertion of the region into the world economy; the programme covers all countries of the region; if it cannot be retained, for instance because of insufficient documentation, the Caribbean tourism programme would be a valid alternative; (ii) **The Integrated Development Programme for Caribbean Rum industry**, in view of its magnitude and the potential lessons it can deliver in terms of support to a productive sector. Moreover, it is a project operating at regional level through funds that are not coming from the regional envelope. It could be therefore interesting, given its magnitude to see which contribution has given to the objectives of the regional strategy and the coordination, complementarity and coherence with the actions foreseen under the regional strategy

▪ **Institutional capacity building**

- ❖ Cariforum Secretariat 6 ACP 557 (36 thousand €), 7 ACP 361 (3.9 million €), 7 ACP RPR 537 (2 million €), 7 ACP 556 (570 thousand €) , 9 ACP RCA 2 (0.75 million €). Guyana
The programmes' objectives are to provide technical assistance, support staff and other services and facilities in order to enable the Caribbean ACP states to efficiently prepare, appraise, implement, monitor, review and evaluate Caribbean regional programmes financed by the 7th, 8th and 9th EDF.
- ❖ 7 ACP RPR 414 Caribbean Examination Council (2.5 million €), Barbados
This programme's objective is to institute a single modular system of post secondary accreditation and examination accepted on a region-wide basis. The programme implementation finished at the end of 2003.

Proposed case study: CARIFORUM Secretariat. The project to establish and strengthen the CARIFORUM Secretariat is at the backbone of the intervention logic of the EC regional strategy and regional integration vision and therefore should be the preferred case study. Furthermore, the analysis of this case answers to specific concerns of the Reference Group.

▪ **Human resource capacity building**

²² Comments formulated by members of the reference group suggest as an alternative the Integrated Caribbean Regional Agricultural and fisheries programme because it has not yet been evaluated. This is undoubtedly an interesting potential case study. However, it includes a vast number of very different components and a proper analysis of that project would require more field visits than can be envisaged with the resources (for instance, the important fishery component is managed from Belize) . Moreover, in view of the arguments developed in the beginning of this section, the evaluation team considers essential to select fully documented projects as case studies.

- ❖ University of the West Indies, 7 ACP RPR 176, 400 K€ (important in terms of building a Caribbean identity but just an extension a project anterior to this evaluation coverage).
The aim of the project is to consolidate and expand UWI's activities at the three major campuses by focusing on three substantive areas and to improve degree training. The programme's principal components are: Agricultural & Food-Related Studies; Energy-Related Projects; Institutional Developments; Training and Technical Assistance.
- ❖ Caribbean University Level Programme CULP, 7ACP RPR 373 CULP. 21 € , Jamaica.
This programme's objective is to foster the regional capability to provide university education through appropriate tertiary level training for competent public and private sector professionals in the following areas: Economic Development and Reform; Public Sector Development; International Business; Agricultural Diversification; Natural Resources Management; Tropical (Caribbean) Architecture; Monument Conservation. The programme has been in implementation since March 1994. The implementation phase was closed on 30 June 2003.
- ❖ Development of vocational tertiary education and training capacity in the Caribbean, 8 ACP RCA 24 (NB: same as UTEC PREG-08-RCA), 2.6 million, Jamaica.
The objective of this six-year programme is (1) to contribute to the social and economic development of the Caribbean region, by strengthening the provision of, and giving wider access to tertiary level education and training (primarily in key technical and vocational fields) and (2) to extend the capacity of the University of Technology of Jamaica (UTech) to produce professional, technical and managerial graduates in order to increase the pool of skilled and qualified labour in the Caribbean. The programme has been under implementation since September 2001. The implementation phase should be completed by 30 September 2007.
- ❖ OECS Human resources development tertiary level programme, 7 ACP RPR 580, 5.9 million €.
The objective of this four-year programme is to bring about increased levels of trained human resources in labour markets. The programme implementation was completed.
- ❖ Strengthening Medical Laboratory services in Caribbean, 8 ACP RCA 20, 8 million €, (Trinidad).
This project's main purpose is to improve the management of and coordination between public and private laboratories in the CARIFORUM region leading to increased availability of high quality laboratory information.
- ❖ Epidemiological Surveillance System, 8 ACP RAC 13, 1.3 million €, (Trinidad).
The objective of this three-year programme is to establish a sound database and "early warning" surveillance system to assist national and regional policy makers in drug demand reduction. The programme has been in its implementation phase since January 2000 and the Financing Agreement expired at the end of December 2003. Most of the activities have been subcontracted with UNDCP and OAS/CICAD.
- ❖ 8 ACP TPS 18 Strengthening the institutional response to HIV/AIDS/STI; 20 million €.
The aim of the Caribbean programme is to strengthen the capacity of existing regional institutions to plan and coordinate an effective response to HIV/AIDS/STI, especially in the worst affected countries by (1) increasing a pool of skilled staff, (2) increasing regional awareness, (3) expanding the regional network of advocacy, (4) reducing high-risk behaviour and (5) improving surveillance, monitoring and evaluation. The programme has been under implementation since 2001; for the Caribbean component, cumulative commitments and disbursements at December 2003 are 6,388,000 EURO and 3,149,000 respectively. This programme is sufficiently innovative to be considered a showcase project in the field of HIV/AIDS in the Region by others working in this field, including other donors. Implementation is expected to end on 31/12/2005.
- ❖ 7 ACP 754 CREP Caribbean Environment Project, 9.4 million €.
This four-year programme is aimed at strengthening regional co-operation and capacity in conservation management and sustainable development of amenity areas, in order to assure that greater attention is given to environmental issues in the CARIFORUM region. The programme has been in its implementation phase since 2000 and implementation should be completed by 31/12/2004.

Proposed case study: Caribbean University Level Programme CULP. Tertiary education, with the CULP programme, is proposed as case study in view of its importance to build the Caribbean identity and to develop economies of scale in the area of human resources in the Caribbean. The CULP is also a project the study of which has been recommended by most persons interviewed in the Caribbean and in Brussels during the inception phase. A final argument is the localisation of the project in Jamaica, an important country to visit in this evaluation that might be overlooked, given the limited resources, if a project managed from an other country were selected.

▪ Others:

❖ Anti Money Laundering Program, 8 ACP RCA 1, 4million €, Trinidad

This four-year programme, recently extended for a fifth year aims

- to establish a regional capability to deliver the technical assistance and support needed by the countries covered by the project within the region. (CARICOM/CARIFORUM and some OCTs and DOMs);

- to establish legal and judicial institutional capacity within the region to ensure timely, effective and fair prosecution of money laundering and asset confiscation cases.

- to establish enforcement agency institutional capacity to ensure effective and timely, financial investigations of the illegal laundering of the proceeds of all serious crime in support of criminal prosecutions, and to develop institutional capacity to seize and forfeit assets connected to money laundering activity.

- to establish institutional capacity to protect the financial sector from misuse by criminals and to empower the financial sector institutions to effectively support the criminal justice process.

❖ Cariforum Cultural Centres, 7 ACP RPR 610, 2 million € + 8 ACP RCA 21 (40 thousand €) (Dominican Republic, Jamaica)

The purpose of the programme is to promote CARICOM cultural identities and cultural exchanges and encourage intra-CARIFORUM cultural communications. It has contributed to the strengthening and preservation of national cultures and sub-cultures. Cultural centres have been established in Jamaica, Dominican Republic and Trinidad and Tobago as a first phase in the creation of a network of CARICOM cultural centres.

Proposed case study: Anti-money laundering programme. The project was selected following comments from members of the Reference Group. The argument is that it has an institutional dimension directly linked to the economic integration and development aspects of the Caribbean Regional Integration Program, whereas the cultural centres, originally selected as case study, are more ad hoc interventions. Furthermore, it also appears that there is no documentation available on the Cariforum Cultural Centre.

The next table summarises the proposed selection.

Area	Projects name	EDF	Planned amounts (million €)	Main Delegation in charge of Management	Main countries of implementation
<i>Investment in infrastructure</i>	Caribbean Broadcasting Union	6th	4.00	Barbados	
<i>Trade and productive sector development</i>	Caribbean Trade Sector Programme	7th, 8th	24.00	Barbados	All CARICOM countries
	Caribbean Rum Industry		70.00	Barbados	Most countries
<i>Institutional capacity building</i>	Support to CARIFORUM	6th, 7th, 9th	7.25	Guyana	Guyana
<i>Human Resource Capacity Building</i>	CULP Programme	7th	21.00	Jamaica	Jamaica
<i>Others</i>	Anti-Money Laundering Programme	8th	4.00	Trinidad	Trinidad

This selection of case studies will permit to cover the main dimensions of the intervention logic and to go, for each particular intervention analysed, throughout all the aspects of the evaluation questions and the evaluation criteria. This selection of projects meets the criteria indicated earlier, is compatible with the resources available and permits to shed light on some particularly important issues of the Commission's cooperation with the region:

- The justification of a regional vision centred on the CARIFORUM countries rather than on CARICOM and the political implications should be captured through the analysis of the support to CARIFORUM and also through the analysis of the management and operations of the regional programmes developed across both groups of countries, like, the trade sector programme for example.
- The long term sustainability of the institutions developed is a major issue that will be addressed directly through the analysis of the support to CARIFORUM, the trade sector, the CULP.
- The market conformity of the interventions in the productive sector and their impact in terms of sustainable competitiveness.
- Complementarities and overlaps between interventions programmed and implemented at bilateral and regional level are another crucial issues for which the interventions in the trade sector and the rum sector will be valuable sources of information.
- The construction of the non economic aspects of regional integration (capacity to regulate trans-national issues, cooperation in health and education, etc..) will be dealt with the CBU, CULP and anti-money laundering projects.

The selection of the above proposed case studies, include **visits to five countries: Guyana, Barbados, the Dominican Republic, Jamaica, Trinidad** which correspond to the criteria above mentioned for the geographical coverage. The following table indicates tentatively for each case studies the countries were information will be sought after. A double X indicates the country of the Delegation responsible for the management of the project, single X indicate countries where significant elements of implementation have taken place. It is understood that each evaluator visiting a country will collect as much as possible information about the elements of the case studies which are dealt with in that country.

Case study	Guyana	Barbados	Dom. Rep.	Jamaica	Trinidad
Broadcasting		XX		X	X
Trade sector programme	X	XX	XX	X	X

Rum	X	XX			
CARIFORUM	XX				
CULP				XX	X
Ant-money Laundering					XX

It must be clearly understood than apart from conducting case studies during the field visits the team will also collect all relevant information to substantiate the indicators and judgement criteria required to answer the evaluation questions.

7. The Evaluation Team

The team proposed in the Launch Note is confirmed. The interviews and the short field visit carried out during the Inception period indicate that the different issues can be covered by the team. Each member of the team will spend two weeks in the field and visit one or two countries to collect information for the case studies and the evaluation questions.

8. The Work Plan for the study

The timing of the field visits will cover the last two weeks of July and the first two weeks of August. Although it is a difficult period (absence of the regional advisor in the Guyana Delegation during part of the period; absence of the main responsible staff in CARIFORUM; simultaneous event of an important festival in Barbados) it appears that it should be possible to conduct the missions during this period.

Phases and activities	April				May				June				July				August				September				October				November				December												
	5	12	19	26	3	10	17	24	31	7	14	21	28	5	12	19	26	2	11	16	23	30	6	13	20	27	4	11	18	25	1	8	15	22	29	6	13	20							
Phase I: Desk review																																													
Kick off meeting with RG	●	5/04																																											
Easter break	■																																												
Document collection		■	■	■																																									
data collection		■	■	■																																									
meeting with the stakeholders in Bxl		■	■	■																																									
Preparatory mission to the Caribbean					■	■																																							
Data Analysis				■	■	■																																							
Preparation of the Inception Note					■	■																																							
Internal quality control						■																																							
Inception Note								●	21/05																																				
Meeting with the RG								●	28/05																																				
Meetings with key stakeholders								■																																					
deadline for wrtten feedback														●	25/0	3/06																													
Submission of final Inception Note																																													
Desk Phase report writing								■	■	■																																			
Internal quality control								■	■	■																																			
Submission Draft Desk Phase Report																																													
Meeting with the RG																																													
deadline for wrtten feedback																																													
Submission Final Desk Phase Report																																													
Phase II: Field visits																																													
Organisation of the field missions														■	■	■	■																												
Field visits														■	■	■	■	■																											
Summer break																																													
Meeting with the SG																																													
Phase III: Synthesis report																																													
Data Analysis																																													
Preparation of the draft report																																													
Internal quality control																																													
Submission of the draft Synthesis Report																																													
Meeting with the SG																																													
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Quality control																																													
Submission of the draft final Synthesis Report																																													
Organisation of theseminar																																													
Seminar in the Caribbean																																													
finalisation of the report																																													
Submission of the final Synthesis report																																													