

**MULTI-COUNTRY PROJECT DOCUMENT****Project Title:** Caribbean Criminal Justice Reform**Project Number:** 01000412**Start Date:** 1 March 2023 **End Date:** 1 March 2027**PAC Meeting date:** 24 March 2023**Countries Participating:**

Country	Implementing Partner	Outputs to be delivered by country
1. Barbados	TBD	Outputs 1, 2 and 3
2. Belize	TBD	Outputs 1, 2 and 3
3. Guyana	TBD	Outputs 1 and 2
4. Trinidad and Tobago	TBD	Outputs 1, 2 and 3

**Brief Description**

*Efficient access to justice is being undermined across the region by delays within several key stages of the criminal justice process, resulting in major backlogs of cases. The identified backlogs have been occasioned by pervasive human and technological resource and capacity constraints, which, in turn, have contributed to massive bottlenecks in the work of the investigators, public prosecutors and courts. As a result, these backlogs directly contribute to the worryingly high levels of prisoners on remand for extended periods<sup>1</sup> and serve to increase overall incarceration rates in the region – which are already among the highest globally. The impact of these backlogs are disproportionately borne by young males, with the vast majority of those on remand being males between the ages of 18 and 35 years.*

*The reasons for these backlogs are numerous, ranging from weaknesses in police data capture, out-dated course case handling systems and processes, paper-based evidence management systems, limited digitalisation of corrections system processes and witness tampering and intimidation, which disproportionately affects women and victims of gender-based violence and intimate partner violence.*

*The project's ultimate objective is therefore to enhance the institutional capacities of police forces, prosecutors, lawyers, courts and prisons in the Caribbean to effectively and efficiently manage criminal cases. To achieve this objective, UNDP and partners will develop interventions along three well-defined, but strongly connected dimensions, including the deployment of enabling technology and systems training to improve efficiency of criminal justice administration; the empowerment of stakeholders through gender-aware capacity building across all elements of the administration of justice, with a focus on service design and delivery and strengthening national and regional processes and procedures for improved efficiency and accountability within the justice sector.*

*The UNDP outputs will be aligned in the framework of the overall EU Europe Latin America Programme of Assistance against Transnational Organised Crime (EL PACCTO) which seeks to address the entire criminal chain from an integral perspective through its work in three components: police, justice and penitentiary and will work in coordination with other related activities being undertaken by the EU Delegation in Barbados.*

**Contributing Outcome (UNSDCF, CPD, RPD):****SP Outcome**

Strategic Plan Outcome 2.2 Civic space and access to justice expanded, racism and discrimination addressed, and rule of law, human rights and equity strengthened

**MSDCF/SPD Outcome**

Regional and national laws, policies, systems and institutions improve access to justice and promote peace,

<b>Total resources required:</b>	EUR 10, 313, 433	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	EUR 563,433
	<b>Donor:</b>	EUR 9,750,000
	<b>Government:</b>	

<sup>1</sup> The NAR revealed that in some countries, such as Barbados, over 50% of the prison population comprises those on remand and these individuals may face years before their case is heard in court.



social cohesion and security  
Indicative Output(s) with gender marker<sup>2</sup>:  
SP Output 4.1 National and regional actors have enhanced capacity for improved governance, crime data management, crime-response management and coordination; **GEN 2**

	<b>In-Kind:</b>
<b>Unfunded:</b>	


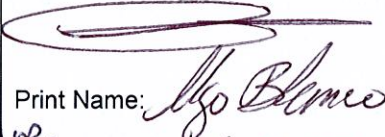
Agreed by (signatures)<sup>3</sup>:

Government [Country 1]	UNDP [Country 1]	Implementing Partner [Country 1]
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

Government [Country 2]	UNDP [Country 2]	Implementing Partner [Country 2]
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

Government [Country 3]	UNDP [Country 3]	Implementing Partner [Country 3]
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Date:	Date:	Date:

Agreed by (signatures)<sup>4</sup>:

Government [Country 4]	UNDP	Implementing Partner
 Print Name: <b>REGINALD ARMOUR</b>	 Print Name: <b>Ngo Blume</b>	Print Name:
Date:	Date: <b>31 July 2023</b>	Date:

<sup>2</sup> The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

<sup>3</sup> Note: This document, including the signature page, may be customized as needed. Separate signature pages (one per country) can be created and signed if needed to facilitate timely approval and budget revision if multiple countries are participating. Separate signature pages should still reflect all participating partners.

<sup>4</sup> Note: Adjust signatures as needed

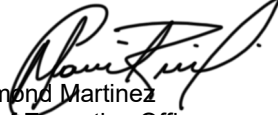
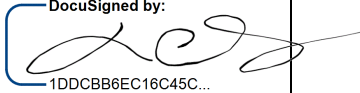
United Nations Development Programme  
Project Document

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Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

Government Belize	UNDP Belize	Implementing Partner [Country 2]
 Osmond Martinez Chief Executive Officer Ministry of Economic Development	 Ian King Deputy Resident Representative	Print Name:
Date:	Date: 05-Aug-2023	Date:

Government [Country 3]	UNDP [Country 3]	Implementing Partner [Country 3]
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

Agreed by (signatures)<sup>4</sup>:

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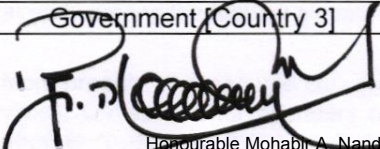

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Date:	Date:	Date:

Government [Country 2]	UNDP [Country 2]	Implementing Partner [Country 2]
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

Government [Country 3]	UNDP [Country 3]	Implementing Partner [Country 3]
 Honourable Mohabin A. Nandlal Attorney General and Minister of Legal Affairs, Guyana Print Name:	DocuSigned by:  Gerardo Neri UNDP Resident Representative Guyana and Suriname Print Name:	Print Name:
Date: July 20, 2023	Date: July 20, 2023	Date:

Agreed by (signatures)<sup>4</sup>:

Government	UNDP	Implementing Partner
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

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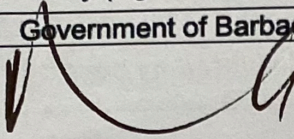
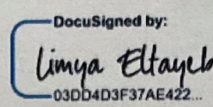


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Agreed by (signatures)<sup>3</sup>:

Government of Barbados	UNDP Barbados	]
		
Print Name: <b>David D. Moore</b>	Print Name: <b>Limya Eltayeb</b>	Print Name:
Date: <b>September 22, 2023</b>	Date: <b>05-Jul-2023</b>	Date:

Government [Country 2]	UNDP [Country 2]	Implementing Partner [Country 2]
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Date:	Date:	Date:

Government [Country 3]	UNDP [Country 3]	Implementing Partner [Country 3]
Print Name:	Print Name:	Print Name:
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**I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)**

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The Caribbean region has a strong tradition of democracy, and the application of the rule of law and the protection of human rights is enshrined by all Caribbean National Constitutions. In addition, most countries in the region are party to major international instruments governing access to justice, including the International Covenant on Civil and Political Rights (ICCPR). These legal provisions offer a framework for the promotion and protection of human rights and the consistent application of justice to all citizens.

Moreover, Caribbean countries have endorsed the Sustainable Development Goals (SDGs) which include Goal 16 on peaceful, just, and inclusive societies. SDG 16 provides the guidelines for the equitable administration of justice with a specific target on ‘promoting the rule of law at the national and international levels and ensuring access to justice for all.’<sup>7</sup>

Caribbean governments have identified justice sector improvement as a core priority, and it is a key element of the CARICOM Strategic Plan. Also, the CARICOM Crime & Security Strategy (CCSS) 2013 stresses the paramount importance of a strengthened criminal justice sector<sup>5</sup>. Over the past two decades, countries in the Caribbean have made notable progress toward enhancing citizen security and access to justice. Nonetheless, several critical challenges remain to ensuring that national and regional justice systems are accessible, equal, and consistently deliver efficient justice.

A Judicial Needs Assessment of 9 Caribbean Countries released by UNDP in 2020<sup>6</sup> (hereinafter referred to as the NAR) revealed that efficient access to justice is being undermined across the region by delays within several key stages of the criminal justice process, resulting in major backlogs of cases. The identified backlogs have been occasioned by pervasive human and technological resource and capacity constraints, which, in turn, have contributed to massive bottlenecks in the work of the investigators, public prosecutors and courts. As a result, these backlogs directly contribute to the worryingly high levels of prisoners on remand for extended periods<sup>7</sup> and serve to increase overall incarceration rates in the region – which are already among the highest globally.<sup>8</sup>

More broadly, the resource constraints have also resulted in gaps in the provision of support to survivors of violent crimes and for offenders re-entering society. The COVID-19 pandemic has also underscored the need to respond to these challenges. Preliminary analyses have pointed to an increase in cases putting further pressure on the already strained justice systems of the Caribbean.

Additionally, there are gender considerations that are important to the diagnosis of the challenges leading to case backlogs. While men are disproportionately represented in the number of individuals on remand and imprisoned, women are disproportionately represented as victims and survivors, particularly of violent crimes. The Saint Lucia National Crime Victimization Survey (2020) revealed that in that country women were more likely than men to be victims of multiple crimes. National surveys<sup>9</sup> conducted in Grenada and Trinidad and Tobago also revealed that around 40% of women had experienced intimate partner violence in various forms, including physical, sexual, emotional and economic.

Backlogs in these types of cases can significantly affect the right of victims to access to justice in a timely fashion. This is particularly true in the case of women and children, who risk re-traumatization when resolution

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<sup>5</sup> Strategic Goal 5: *Enhance Law Enforcement and Security Capabilities and Strengthen Regional Security Systems*, Strategic Goal 7: *Strengthen the Effectiveness of Criminal Investigation Through Modern Technologies and Scientific Techniques*; Strategic Goal 10: *Strengthen the Justice Sector*; Strategic Goal 11: *Modernise and Enhance Correctional Services and Institutions Management*

<sup>6</sup> [Caribbean Judicial Needs Assessment Report 2020](#)

<sup>7</sup> The NAR revealed that in some countries, such as Barbados, over 50% of the prison population comprises those on remand and these individuals may face years before their case is heard in court.

<sup>8</sup> As measured by the World Prison Population List  
[https://www.prisonstudies.org/sites/default/files/resources/downloads/wppl\\_12.pdf](https://www.prisonstudies.org/sites/default/files/resources/downloads/wppl_12.pdf)

<sup>9</sup> Grenada/Trinidad and Tobago Women’s Health and Life Experiences Study 2018 Report

of cases such as sexual offences are inordinately delayed. Discrimination also hinders their access to justice; gender is linked with other factors that affect women, such as race, ethnicity, religion, health status, age, class, sexual orientation, etc. These various groups have particular needs from the justice system that are not being adequately met: women and children; Rastafarians, who have been often mistreated and incarcerated for behaviours that are increasingly being decriminalized;9 LGBTIQ individuals; persons with disabilities, and indigenous populations. A lack of accessibility to Courts both in terms of infrastructure and distance disproportionately affect people with disabilities and indigenous populations. This lack of accessible justice facilities and services to persons with diverse forms of disability (e.g., visual, physical, hearing, intellectual, mental) results in exclusion from protection and remedies.

The NAR confirmed that while many countries are establishing Specialized Courts, facilities and support services to deal with the scourge of gender-based violence, much still needs to be done to bring the judicial system up to international standards in dealing with both perpetrators and victims. An urgent approach that confronts and addresses the underlying causes of the criminal case backlogs is needed to improve the functioning of the judicial system and promote equitable access to justice in the region.

The backlogs in the criminal justice system have adverse effects on the rights of victims and accused, interfere with pro-social rehabilitation, clog up courts, waste public resources, and undermine public confidence in the administration of justice. The scope and scale of the backlog of cases in the criminal justice system in the Caribbean varies across jurisdictions, with each country dealing with its own matrix of aggregating factors at play in its own specific blend of institutional strengths and weaknesses. In Belize for example, according to an official memorandum from the General Civil Registry Department, of the 465 criminal cases active at the end of 2021, 24.5% were indictments from 2017 or earlier – one stretching back to 2008.

In Trinidad and Tobago, the Chief Public Defender, in response to a 2021 UNDP questionnaire, stated that, in the 2019/2020 Law Term only 5% of criminal matters were disposed. Most matters had been pending for 6 - 10 years, with several cases pending for 11 - 14 years, and an estimated 5% pending for 15 - 20 years.

These major delays in the disposal of court matters result in remand population rates in the region that are among the highest in the world. While the exact percentage of people held on remand in each country varies from day to day, it averages greater than 50% across the region. The following prison services provided total population compared to remand populations as follows:

Country	Total Prison Population per 100,000	Female Prisoners as a % of total	Remand population total	Remand population as a %	Remand population per 100,000	Date reported
Antigua & Barbuda	243	5.5	103	43.3	105	2022
Barbados	267	3.4	465	54.7	162	2018
Belize	N/A	N/A	407	36.5	99	2022
Dominica	275	1.5	112	54.4	149	2022
Guyana	N/A	N/A	880	46.0	111	2021
Saint Lucia	263	3.1	342	70.7	186	2021
Saint Kitts & Nevis	347	3.6	67	30.5	120	2017
Trinidad & Tobago	276	2.9	2389	59.7	174	2018

### Understanding Specific Needs

During the course of project development, extensive consultations were held with 40 criminal justice institutions in potential beneficiary countries, including Ministries of National Security and justice/legal affairs, Chief Justices and Magistrates, Directors of Public Prosecution, Commissioners of Police, Commissioners of Prisons, Forensic services, Bar Associations, and regional bodies such as the Eastern Caribbean Supreme

Court, the Caribbean Court of Justice and representatives of the Regional Witness Protection Working Group. Stakeholders were asked to provide detailed (budgeted) requests for support which were then filtered by relevance to the primary aim of the project, i.e.: backlog reduction in the criminal justice system.

After a review of these requests, gaps in the request details were identified by an independent team of experts retained to validate the requests and assess the connection between proposed activities and the backlogs in the criminal justice system. In-person missions in Saint Lucia, Dominica, Barbados and Antigua & Barbuda took place in September 2022 and virtual discussions took place in October with institutions in Belize, Guyana, Saint Kitts and Nevis and Trinidad & Tobago.

Lesson learned from UNDP's previous work in the region, specifically from the CariSecure initiative, and conclusions from the NAR were integrated with direct requests, stakeholder input and experts' observations about the administration of criminal justice across the region.

During project inception and implementation, analyses of the differential needs of women and men will guide the design, development and roll-out of project activities. In particular, assessments of the needs of women and men on remand, national and regional witness protection systems and policies, access to justice infrastructure and support, will all be undertaken using a gender lens, identifying the varying needs and designing tailored interventions.

### **The Causes of the Problem**

The countries targeted by this proposal have regional commonalities and country-specific contexts that will affect the mix of interventions needed to reduce backlogs in each jurisdiction. The size of the geography and population base affects the number of institutional offices, personnel, specialised leadership, IT support and dedicated funding. National laws vary, with different legal processes, privacy protections and appellate rights. Each jurisdiction has its own climate challenges, level of infrastructure and utility stability. Migration and border control vary from state to state. Patterns of trafficking, the presence of criminal organisations, and historic responses to crime have resulted in different challenges in each country. These backlogs not only violate the rights of accused persons to speedy access to justice, but also undermine public confidence in the efficacy of the judicial system.

Despite these national variations, there are common barriers to the administration of criminal justice causing the backlog. The causes have been organised into six stages of the criminal justice process, based on the institution that will be the primary focus at each stage, though there is overlap and integration with other institutions:

- Policing
- Witnesses
- Evidence
- Court Case Handling
- Corrections
- Programs

#### **Policing**

Police officers and police prosecutors have limited digital tools either for case management or for investigations. The slow pace of investigation and reliance on paper record-keeping extends the time between incident and indictment or committal. Police prosecutors have inconsistent skill levels. Lack of digital records of witnesses lead to inability to produce or deliver summons on witnesses at the time of trial due to lack of recorded addresses, confirmed identification in officer's notes. Meanwhile, outdated police records, included sex offender registries, inhibit police investigations and delay case handling.

Across the board, there is also a lack of forensic evidence collection and processing. Police therefore rely heavily on eye-witness evidence with limited corroborating evidence leading to the collapse of prosecutions when witnesses refuse to appear or change their testimony. Outdated evidence collection methods lead to lengthy processing times and expense. Availability of evidence is a frequent reason for trial delays.



At the same time, there is also inconsistent or inaccurate police recording of offences. While this has been supported by other programmes, including the USAID-funded UNDP-implemented CariSecure programme, the maintenance of records of previous convictions remains inconsistent, and is often dependent on analogue communication between police stations or officers, DPP offices, courts and prisons. Without an accurate record of past offences, sentencing processes are delayed as prosecutors ask prison staff to generate an ad hoc record of past periods of incarceration as a substitute for accurate records of arrest or conviction. In some cases, during a trial, a discrepancy in the identity of the accused(s) or errors in the record of past convictions is discovered, requiring the judge and lawyers to verify conflicting records. Prosecutors often rely on prison records to verify identity, in the absence of identifying information in police records.

Upon arrival at prison, whether on remand or post-conviction, only the committal warrant accompanies the prisoner. The prison collects basic intake information but does not have the benefit of the details of past convictions, known associates, or other details that would assist with managing safety and programs in the prison.

Foreign nationals are not linked to border security records, nor are there sufficient details on record to confirm identity, link to outstanding warrants, or manage regional risks of organised crime or trafficking.

### **Witnesses**

There is a key lack of witness protection systems to ensure the safety and security of witnesses. There are no witness protection programs in the region. The small geographic and population size of each county makes it easy to influence or threaten witnesses. There is also a lack of systemic/institutionalised support for witnesses, ranging from psycho-social supports for witnesses experiencing trauma to travel expenses for witnesses attending court, discourages people from participation in the trial process. This issue tends to disproportionately affect women who are often the victims of and only witnesses to instances of domestic and other forms of intimate partner violence.

Witness tampering is also a significant issue, which results in people being reluctant to testify, contradict their earlier statements once in court, or fail to appear at trial. Witnesses evade summons, leaving the prosecution wondering if they will appear at trial.

### **Course Case Handling**

Backlogs are also caused by delayed disclosure of defence in the context of criminal court cases. Paper files prepared by the police must be compiled, shared with the prosecutor, vetted, and then disclosed to the defence counsel. At each step, there are delays and security concerns because of the hardcopy nature of the police file.

Moreover, Magistrate Courts have limited or no technology and rely heavily on antiquated procedures often conducted by the Magistrates themselves. This slows down the progress of cases through these early stages and requires additional resources to move the process forward. Without access to electronic case management or digital tools in the Magistrates Courts, data collection is limited and requires considerable court staff time. Most courts are not tracking or analysing time-to-trial statistics, nor do they have access to information about the frequency of types of cases, demand for services or trends in case processing that might reveal opportunities for faster or more effective case handling by police or prosecutors.

Some countries also face difficulties finding enough jurors to fill juries for scheduled criminal matters. In some cases, a jury assize has been postponed as a result until the next assize, resulting in a delay of 3-4 months.

In Trinidad and Tobago, certain case types, such as juvenile offences and sexual offences, require specialized expertise in both the investigation and the trial phase. Without expertise and procedures in place, these cases make up a significant part of the backlog. For example, in Trinidad and Tobago, sexual offences comprise almost 25% of all pending charges, with over 60% of the indictments being filed over 5 years ago.

Many justice institutions in the region also rely on centralised government IT support for all infrastructure, troubleshooting and upgrading. These ICT units have their own considerable backlogs and lack specialised knowledge of court processes. When tech support is delayed, cases have been delayed, evidence lost, or court processes stopped, sometimes for months. Most of the professionals working in these justice institutions are also using gmail accounts instead of secure, backed-up government email addresses because there is

insufficient support to set up, update or migrate email services. Correspondence is lost or misdirected because of duplicate accounts.

The lack of ICT knowledge within court administration or justice institutions has resulted in a failure to take advantage of the capacity of current systems or request the appropriate upgrades. People are resorting to analogue, paper systems because the digital system is out-of-commission or out-of-date.

### **Evidence**

Transcripts of the proceedings in the Magistrate Court are required as a case proceeds to the High Court and is required in any appeal. When cases are recorded by hand, in notebooks, the process for generating a transcript is slow and unpredictable. Hand transcribing testimony and case events is slow and open to inaccuracies. The resulting records, in notebooks, are at risk of theft, loss or damage, resulting in privacy and data risks.

In some countries a typist transcribes the Magistrate's notes that are then reviewed by the Magistrate, and then generated in duplicate and sent in paper format to each of the parties. In other countries the court audio records the case and then sends the cassettes to a transcriptionist, often out of the country. Transcripts then need to be reviewed, approved and distributed in paper format. This lack of in-country transcriptionists, limited deployment of audio-recording technology, cost of paying for transcripts and backlog in processing payment has been cited for reasons that transcripts are not available, resulting in case delays. Out-of-country experts are required in many cases, ranging from forensic analysis to health professionals to experts in gang culture or trafficking. Some countries do not allow video appearances. Others have limited capacity to allow experts to testify remotely.

Experts who conduct mental health assessments or advise prior to sentencing are also in short supply. In some countries there is only one professional in country, leading to delays in bail and sentencing decisions, during which time people with health conditions may be held in prison without access to any medical or rehabilitative supports, exacerbating the very condition that the court is concerned about.

Forensic expertise is being developed within some countries, but is not consistently used due to both lack of awareness by police and lawyers and because of logistic barriers.

### **Corrections**

The lack of rehabilitation programs misses the opportunity to retrain inmates, provide access to basic education or skill development, or address their anti-social tendencies. People arrested for minor crimes who spend years waiting for trial and then serve a sentence with no rehabilitation supports have difficulty reintegrating into society or finding housing or jobs, leading to more recidivism.

In some cases, courts are ordering rehabilitation programs as part of a sentence, linked to early release. However, that program is not offered at the prison or elsewhere and so people are either held in prison for longer or are arrested for breach of conditions because they are unable to meet their conditions. As a result, there is a greater cost and demand on prison in both the remand and the convicted population and a missed opportunity to reduce the harm to society.

Where there are programs for rehabilitation or prosocial supports, there is no assessment process to help prison administrators develop a plan for health, educational or behavioural programs.

Many systems keep only paper records of their residents. Others have very basic digital files that do not include details of people's sentences, participation in prison programs, records of violence of incidents, or services over the time someone is in the prison. Release from prison is not accurately linked to completion of a sentence or behaviour while in prison, in some cases leading to people being held for too long. In other cases, prisoners are released despite a pattern of violence. Inmates' access to basic provisions, medical appointments, and family visits are inconsistently tracked. Without digital systems to record and manage inmates during their time in the prison, whether before trial or after conviction, prisons are not managed efficiently. Staff spend time making written reports of incidents.



Prosecutors request reports of past convictions prior to sentencing. Prison staff manually review paper files to generate a record of previous convictions, wasting prison staff time and resulting in delays in sentencing hearings.

The paper system is vulnerable to human error and climate disruption, and is neither secure nor backed-up.

### **Programmes**

The lack of alternatives to formal criminal prosecution adds to the backlog. Criminal mediation, or diversion could be used for minor summary cases of neighbour disputes, trespass, vandalism, minor threat, and damage to property.

Juveniles and young people charged with a crime in the context of long remand periods and backlog are further isolated from educational opportunities and family supports, cementing a path to dependence on crime for economic and social supports. Guyana's model of youth diversion is successfully engaging youth in educational and rehabilitative options in a separate facility without resulting in criminal records and this model presents good practice and lessons for the programme.

A lack of available and affordable lawyers delays trial preparation and scheduling and leads to people representing themselves in court. Cases with self-represented litigants generally take longer and are often frustrating for everyone as processes need to be explained. People may plead guilty inappropriately or be left with a sense of injustice because they did not have legal representation.

Where the process of selecting counsel and funding legal aid is not aligned, there are added delays because a small number of lawyers are perceived as the only available defence counsel.

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## **II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)**

### **UNDP's offer, strategic advantage and value added**

UNDP approaches justice administration through the goal of ensuring equal access, and focuses both on reducing the number of cases entering the justice system and on dealing effectively and efficiently with cases that cannot be diverted. The UNDP proposition reflects a gender-responsive, whole system approach that addresses individual elements of the system as well as the system itself. This approach is further elaborated in the UNDP Report on Innovation, Resilience and Urgent Transformations Towards Inclusive Justice in Latin America and the Caribbean.<sup>10</sup>

Applying this lens to case backlogs in the Caribbean, the UNDP strategic approach will focus on reform interventions in the criminal system that will reduce caseloads, including developing and operationalising effective criminal procedures, pre-trial settlement mechanisms, and rules of evidence and jury processes. UNDP's approach will help to improve court and case management systems, deploy information and communication technology, train police, prosecutors, judges and court staff, and prioritise interoperability and coordination across the justice sector.

A complex intervention such as this requires an experienced, flexible, and well-accepted implementer. UNDP leads development coordination at the country level with a broad network of partners within the justice sector in Caribbean countries. It also holds strong relationships with stakeholders at the national and regional level, as demonstrated by the 2020 Needs Assessment of the Administration of Justice in 9 Caribbean countries. With 5 national and multi-country offices in the English-speaking Caribbean, UNDP brings technical, administrative, and operational expertise to its support to Caribbean states. This support is enhanced by technical expertise from the Regional Hub in Panama and its Global Policy Network, Chief Digital Office and DigitalX platform, all of which provide access to good practices and innovation from across the world. UNDP has established links with national and regional judiciaries through its previous and ongoing programming and has demonstrated expertise in assessing needs in the sector and deploying resources to address these

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<sup>10</sup> [https://www.latinamerica.undp.org/content/rblac/en/home/library/democratic\\_governance/innovacion--resiliencia-y-transformaciones-urgentes-hacia-una-ju.html](https://www.latinamerica.undp.org/content/rblac/en/home/library/democratic_governance/innovacion--resiliencia-y-transformaciones-urgentes-hacia-una-ju.html).

challenges. The USAID-funded CariSECURE and EU Spotlight projects provide clear examples in which UNDP has deployed purpose-built ICT systems and provided relevant training to national and regional judicial institutions in 8 Eastern and Southern Caribbean countries to collect and analyse disaggregated citizen security data. In the case of Spotlight, UNDP also provided support for advocacy efforts at the national level. UNDP brings together key partners in the criminal justice sector to effect meaningful, institutional change that can have lasting impacts on the effectiveness and efficiency of justice administration.

UNDP's response to the COVID-19 pandemic included its assessment of the effects of the pandemic on the provision of judicial services in the region, particularly as they affected human rights and vulnerable groups; its flexibility in quickly reprogramming resources to address the crisis (for example the provision of PPE to security sector officials and technological tools to provide distance-based judicial services); and the production of expert knowledge products and policy recommendations to help decision-makers look beyond recovery, towards 2030.

The proposal is aligned with the UNDP's Strategic Plan 2022-2025, the new phase of the Global Programme on Rule of Law and human rights, and the UNDP's Regional Program. It contributes to achieving the SDG 16 goal, to output 3 of our Global Programme, and to the regional output on Governance. The programme also contributes directly to the UNDP Gender Equality Strategy 2022-2025, with a focus on Signature Solution 2: Governance and "*Achieving gender justice to realize rights*". The Effective Governance outcome focuses on addressing structural challenges related to how stakeholders reach and maintain agreements to resolve conflicts and promote development. The theory of change advocates that by:

- improving mechanisms for inclusive civic engagement and dialogue, particularly for women, which strengthens the legitimacy of institutions and builds trust;
- enabling solutions to strengthen the rule of law, citizen security and access to justice to improve social cohesion, peaceful coexistence and the protection of human rights; and
- increasing capacities at national and local levels for evidence-based decision-making and harnessing innovation,
- countries will benefit from structural transformations towards resilient and sustainable societies, underpinned by effective governance.

The proposal is oriented by UNDP's guiding principles:

**People-centred:** UNDP puts people, their justice and security needs and their human rights at the centre of our work. It focuses on identifying and addressing the root causes of inequality and exclusion that can fuel injustice and insecurity, empowering and promoting human agency and participation, and ensuring that no one is left behind.

**Politically informed and conflict-sensitive:** It seeks to better understand and tackle unequal power structures within societies that enable and perpetuate exclusion, marginalization, discrimination and violence. Its interventions are underpinned by a strong understanding and analysis of cultural, political, social and conflict dynamics and trends.

**Gender equality:** UNDP is committed to better understanding and tackling the persistent, structural obstacles to gender equality, and to advancing the empowerment of women.

**Human rights:** UNDP aims to ensure that dignity and equality are afforded to all people through the enjoyment of their human rights and protected by the rule of law.

**Transformative:** UNDP works to fundamentally transform the structures and systems that enable and perpetuate injustice, insecurity, and inequality. Transformation requires us to harness innovative tools and approaches for tackling complexity, applying a multi-disciplinary perspective, and building coalitions for change.



### **Geographical focus**

The project will be carried out in Antigua and Barbuda, Barbados, Belize, Dominica, Guyana, Saint Kitts and Nevis, Saint Lucia, and Trinidad and Tobago and possibly other interested countries after agreement with the EU.

### **Sustainable Development Goals**

This intervention is relevant for the 2030 Agenda. It contributes primarily to the progressive achievement of SDG 16 (Peace, Justice, and Strong Institutions), while also contributing to SDG 10 (Reduced Inequalities) and SDG 5 (Gender Equality).

### **Project Development Process**

This project, informed by the NAR, reached out to stakeholders, held consultations and had detailed discussions about technology, training and system capacity needs to prepare this proposal. The proposal is detailed below, segregated into the 3 outputs, and linked to the theory of change. The project budget includes the detailed requests per country and institution:

- Output 1: Digital solutions to strengthen the capacity of national institutions to deliver digitised people centred services
- Output 2: Increased knowledge, tools, and skills of judicial institution members through innovative training courses implemented
- Output 3: Solutions enabled to strengthen national institutional transformation for enhanced people centred justice services through legislation/rules/procedures (includes the specific amendments per country)

The costs in the budget are based on input from the experts regarding feasible pricing of the specific activities. The ICT expert has costed hardware and estimated the cost of software development. The Senior Criminal Justice Expert has estimated the cost of national and regional trainings and law reform activities. The costing reflects amalgamated data from country partners, analysis by the UNDP Barbados MCO ICT Unit, review of value for money analyses from previous procurement cases undertaken within the last 18 months, and a basic market survey. It assumes the cost benefits scaling software development across the region and bulk procurements in line with the UNDP procurement rules.

To avoid duplication and overlap, existing and ongoing support being received from other international partners were reviewed (and an overview displayed in the table above). This analysis is reflected in the differentiation of activities between countries.

### **Cross-Sectoral Approach**

Justice transformation requires a system-wide approach, aligning the operations of institutions across each stage of the justice process. Defining and measuring activities at the individual institutional level may be easier (e.g., arrest rates, trial resolution timelines, etc.), but it fails to address the interoperability of the system as a whole. The public, and those who come in contact with the justice system, whether as accused, witnesses, victims or jurors, care about the overall outcomes of the system, not just whether specific individuals or institutions have played their role diligently.

Justice system reform requires coordination and collaboration among the various agencies and institutions in order to mitigate the effect of the potentially conflicting approaches to the causes of the backlog. Aligning or

federating the information management systems across each stage of the process – from police to prosecutors, to defence counsel to courts, to prisons - through data exchange and integration will allow for this systematic approach.

With the adoption of a system-wide approach, the line between institution-specific outcomes and a system-wide performance is blurred with greater appreciation for the deep interdependencies that exist. Timely disposition of cases, for example, is no longer seen as a judicial responsibility, but rather as the result of shared responsibility for prompt investigation, evidence processing, prosecutorial review, timely disclosure, case scheduling, jury selection, trial, and sentence management. At each of these stages, data and processes can interact through a comprehensive, integrated approach to information management, with a holistic view of the criminal justice process.

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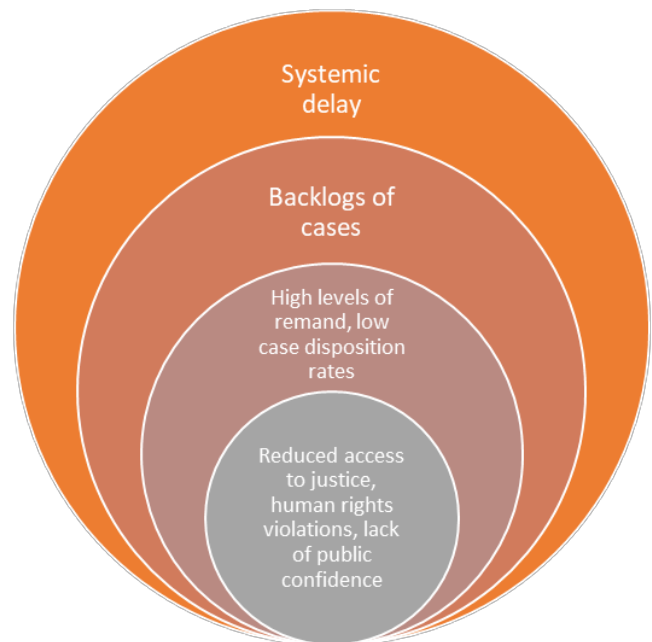
### III. THEORY OF CHANGE

#### The Problem

Across the criminal justice system in the Caribbean, there are multiple systemic points of delay that have resulted in major backlogs of cases. The backlogs have contributed to high levels of prisoners on remand for extended periods and low case disposition rates, which in turn result in reduced access to justice, human rights violations and a lack of public confidence in the justice system.

#### The Causes

- Limited human and technological resource and capacity limits the ability of agencies to leverage efficiency-enhancing data management systems
- Paper-based systems throughout the judicial agencies creates significant administrative drag across police, DPP, courts and prisons and leads to inefficient and lengthy processing times for laying charges and completing criminal trials
- Outdated legislative and procedural frameworks reduces accountability and inhibits the scope for agencies to utilise technology in the context of managing criminal trials
- Lack of pre-trial and diversionary options in case management constrains the options available to DPP offices to redirect criminal cases away from the courts
- Public perception of the legal system is punitive rather than rehabilitative, leading to low national acceptance of non-custodial programmes or rehabilitative justice interventions
- Lack of uniform criteria in data collection and classification systems are in place across government agencies, leading to inefficient planning and sharing of best practices for crime prevention, resulting in inefficiencies as countries attempt to implement programs without information for assessing effectiveness
- Lack of interoperability between justice sector institutions exists, leading to duplication of functions, opportunities for human error and inefficient use of staff resources





## Objectives

The project's ultimate objective is to enhance the institutional capacities of police forces, prosecutors, lawyers, courts and prisons in the Caribbean to effectively and efficiently manage criminal cases. To achieve this objective, UNDP and partners will develop interventions along three well-defined, but strongly connected dimensions:

1. Enabling technology and systems training to improve efficiency of criminal justice administration
2. Empowering stakeholders through capacity building across all elements of the administration of justice, with a focus on service design and delivery
3. Strengthening national and regional processes and procedures for improved efficiency and accountability within the justice sector







## Impact Statement of Change

*If* there is a stronger capacity, oversight, and transparency of the actors within the different layers of the justice systems *and* there is increased presence of fair, effective and up to date justice services at all levels *and* stakeholders are empowered within their role, *then* there will be fairer and more efficient outcomes for the duty bearers and rights holders in criminal justice systems in the Caribbean. *Resulting in* increased access to justice, public confidence in the judicial system, decline in human rights violations and better adherence to the rule of law.

Key assumptions underpinning this theory of change include:

- Modern digital knowledge management systems support faster completion of all necessary procedures required to lay criminal charges
- Interoperability between agency systems supports improved coordination, enhanced decision-making speed and reduced wait times
- Efficient operation of justice institutions frees up existing human resources to focus on meeting international and national standards and improving operations
- Legislative, policy and procedural reform will empower agencies to leverage new technology and processes
- Diversionary options mainstreamed for specific crime classifications will reduce the total number of cases going to trial
- Robust, data-informed rehabilitative measures and post-incarceration support services implemented at scale will reduce recidivism and minimise the burden of repeat offenders on the judicial system
- Public confidence in the criminal justice system will be enhanced if more efficient, transparent, and timely outcomes of criminal matters become routine

**Visualisation of the Theory of Change**

<b>Building Blocks</b> <i>What is the framework?</i>	<b>Actions</b> <i>What are we doing?</i>	<b>Outcomes</b> <i>What are the results of our contributions?</i>	<b>Evidence of Change</b> <i>How do we know we are making a change?</i>	<b>Impact</b> <i>What is the change we are trying to achieve?</i>
 Capacity, oversight and transparency of actors   Fair, effective and up to date justice services   Stakeholders are empowered within their role	 Strengthened national and regional processes and procedures	Increased accountability within the sector  Improved efficiency of criminal justice administration  Empowered stakeholders	  Increased effective case management   Reduced backlog	Increased access to justice  Public confidence in the judicial system  Decline in human rights violations  Better adherence to the rule of law

Other assumptions regarding implementation of this project include:

- Regional governments have the political will to commit to improving their criminal justice procedures and legal frameworks
- Judicial agencies, including police forces, prosecutors, investigators, and courts, embrace and build capacity in the use of enabling technology
- Existing resources are sufficient to achieve the desired results
- Enactment of legislative amendments is feasible in the proposed time frame

**Tracking Progress Across the System**

Technology makes it possible to digitise, store, analyse and use administrative and other data on a very large scale and at low cost. Using data to monitor, assess and improve performance is routine in both the public and private spheres, but is less common in the field of justice. There are certainly examples of data being used to improve policing strategies, to improve court scheduling, to assign caseloads, to develop sophisticated risk assessment tools, to facilitate parole decision-making, to measure cost efficiency, and even to increase the overall accountability and transparency of the justice system. However, even among countries that have an extensive data gathering capacity, very few have managed to put this enormous capacity to the service of criminal justice reform and institution building. Developing countries, in particular, face significant obstacles in setting in place the necessary routine data gathering mechanisms to monitor some of the most basic



operations of justice institutions. The availability of new technology, it turns out, is not always sufficient to generate good justice performance data.

Justice metrics can be used to summarise and communicate large amounts of critical data on various aspects of the justice system. They are useful tools to evaluate performance, draw attention to issues, establish benchmarks, monitor progress, and evaluate the impact of interventions or reforms. Metrics, together with other monitoring and evaluation mechanisms, are essential to making justice institutions more transparent and accountable. They are also necessary for providing valuable feedback to policy makers and reformers.

The use of justice metrics relies on a process through which information about the justice system is collected, packaged and communicated so as to serve as a basis for learning, experimenting and decision-making within that system.

Robust justice metrics can generate a virtuous feedback loop to support organisational change and reforms in systems as complex as the criminal justice system, including the development of justice indicators.

The need for high level justice indicators is being recognized and discussed at every level - local, national and international. Several countries have experimented with or are in the process of developing performance and outcome indicators for justice and public safety institutions, aligning to the Sustainable Development Goals, including SDG 16. In the context of institution building and peace consolidation in conflict-affected and fragile societies, the United Nations Rule of Law Indicators provide a basis for measuring change over time and progress in aligning justice institutions with rule of law principles.

There is not a single “right way” to proceed on the use of justice indicators and on how to develop and apply indicators in support of criminal justice reform and capacity building initiatives, nor a list of “right” metrics. Rather it is a question of determining what is important at a given point in time, what information is available or could be available to indicate how the system is performing, and how that data will be used to monitor and improve that system. The agile methodology being recommended to develop and upgrade the different justice information systems in the Caribbean should consider the context when initiating each iteration when deciding which metrics should be the focus for the iteration.

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#### **IV. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)**

Informed by the NAR, survey, stakeholder consultations, in-person missions, virtual consultations, desk review and lessons learned from other national and regional programmes, the current project is expected to meet the following outcomes based on the associated outputs and activities detailed below.

Integrating the development of software, introduction of new hardware and system-wide training in a phased approach will facilitate changes in operations to maximize the willingness to change while also ensuring the sustainability of the investments. The opportunities for regional adoption of similar or aligned digital processes will give each country opportunities to collaborate on both common legal issues and common ICT needs. There is a real opportunity in this project, by working across the region, to develop responses in one country – building on existing strengths, and then sharing these resources across the region at much reduced costs. Not only is this a strategic use of funds, but it will avoid patterns of dependence on unsupported or unsustainable gifts of technology and will build local system capacity.

<b>Project Outcome: Improved Universal Access to Justice in the Caribbean</b>						
<b>Output 1: Technology and Infrastructure Systems Enhanced</b>		<b>Output 2: Empowered Stakeholders and Enhanced Capacities</b>			<b>Output 3: Processes, Procedures and Coordination Improved</b>	
<b>Activity 1.1</b> Technology and equipment procured, deployed, and operationalised to facilitate case /court /inmate management, and infrastructure resilience	<b>Activity 1.2</b> Purpose developed software for police, courts, and prisons designed, tested and scaled across the region with interoperability as a primary functionality	<b>Activity 2.1</b> Training and upskilling at all levels of the justice system	<b>Activity 2.2</b> Specialised support for victims, witnesses, and the rehabilitation of offenders	<b>Activity 2.3</b> Public awareness raising on access to justice and legal rights	<b>Activity 3.1</b> Technical assistance for development and deployment of rules and standards across the continuum of justice administration	<b>Activity 3.2</b> National/ Regional coordination frameworks developed and strengthened around strategic planning, case management and monitoring and evaluation

### **Output 1: Technology and Infrastructure Systems Enhanced**

The deployment of robust, cost-effective, and scalable technology is essential to improve the efficiency of both national and regional justice administration. The roll-out of ICT equipment is designed to narrow the technology gap within the justice sector as paper-based methods often cause inaccuracies and delays.

#### **Activity 1.1 Technology and Equipment**

- Based on prioritised needs, the project will undertake deployment of context-specific technology that responds to the Hardware needs of national counterparts.

The purchase of hardware, upgrading and networking of existing technology or addition of added functionalities like audio recording or surveillance into existing systems is a relatively simple process that will be conducted with bulk buying savings through UNDP's procurement processes. While new hardware is often the most visible part of a digital transformation process, it typically also the easiest and cheapest stage that must be timed to align with new software, training and infrastructure upgrades to facilitate its functionality, adoption and maintenance.

The project has estimated hardware needs based on current staffing levels and assessments from requesting institutions. The hardware expenditures are phased across the project timeline. The purchase schedule will be driven by justice system capacity and training activities. Year 1 will focus on procuring forensics and virtual court technology that does not require the development of software or the system-wide training of users. In Year 2, the focus will be on software development and training, with hardware purchases limited to what is required for those activities. In Year 3, a larger deployment of new hardware selected to meet users' needs, informed by the software development, will take place. This phased approach will ensure that the technology is as current as possible when purchased and that people have the skills to integrate the technology into their workstreams in a sustainable manner.

The pricing of hardware is based on concrete assessment of the number of users and both current and anticipated price fluctuations. Per unit estimates anticipate some fluctuation in pricing due to supply chain stabilisation over the four-year period. The bulk purchasing through UNDP's procurement process allows for



the flexibility to time purchases well, take advantage of economies of scale and define hardware needs based on the actual software demands. Consequently, there is some anticipated flexibility in the precise timing of the hardware purchases to reflect both user readiness through training and software deployment and economic and industry fluctuations.

### **Activity 1.2 Purpose-Developed Software**

- Working with institutions, as well as through a country specific interoperability committee, the project will develop locally owned, purpose-built software for police, courts, and prisons designed, tested and scaled across the region with interoperability as a primary functionality
- Complementary to the technology analyses in Activity 1.1, the project will undertake business process reviews and workflow assessments and assess regional and international experience to define effective approaches to court process re-engineering. Through this process, UNDP will work with partners to establish performance standards and benchmarks in court offices and develop robust case-flow management systems.

The need for digital case management is evident in every one of the target countries, whether a complete system across the justice sector, or an update and integration between systems. While some case managements are in use by specific courts, the potential of full interoperability has not been realized. Magistrate Courts are particularly reliant on paper, requiring police, prosecutors and defence counsel to maintain paper-based processes.

Many people who work in the courts have not used digital tools in the legal workplace and are unfamiliar with the options or functionalities. They do not have the skills to customize complex software packages or maximize the suite of tools offered by off-the-shelf solutions. Court clerks, police and prison staff include those hired before computer use was expected in the workplace, resulting in gaps in basic computing. There is very limited ICT support, with many justice institutions dependent on centralized IT services for the entire public service to solve both mundane issues such as password resets and specialized issues such as the security of the identity of a witness.

Given the wide range of computer use and literacy, infrastructure stability and IT adoption evident in the consultations, a ready-made, advanced case management system is not appropriate in the region. Some countries have already adopted electronic case management in civil courts or for some stages of criminal cases. Other countries lack the infrastructure for a plug-and-play solution. Therefore, digital case management systems need to be locally developed, targeting simple processes that will maximise user satisfaction and learning or link existing, well-functioning systems. Rather than procuring commercial off-the-shelf systems, a process of embedding development teams in the different institutions and agencies will collect direct user experience, allow the system to respond to specific pain points and develop the in-country IT expertise to sustain the system.

The implementation of a cross-sectoral approach to digital case management depends on establishing and strengthening the capacity to gather, maintain and analyse valid and reliable data.

Developing software to address discrete stages of the process, tested on small scale, or on a pilot basis in different locations, can then be scaled up progressively over the course of the project. As the product is incrementally upgraded with new features over short iterations that meet realistic objectives, innovations are tested and refined and successes are demonstrated and scaled. Users stay invested in the transformation of processes that meet their needs and work well. This iterative methodology is key to pace the development with the different stakeholders' ability to absorb new tools and processes. The methodology for this stage of software development will rely on established adoption of lean software building integrated with organisational change management.

A federated case management information system (CMS) developed through this project will automate processes, providing police, DPP, lawyers and courts with case information, evidence, filings and events. Each institution will remain autonomous in the definition and control of its information systems, but the coordination of systems is built in so that data exchanges can happen automatically to facilitate cross-institutional processes and the interoperability of the system.

The ECSC has developed a case management system in seven out of its nine countries. Their E-Litigation Portal (ELP) is funded directly through the nine national governments and the ECSC is preparing for the introduction of the Criminal Module.

### **Workflow for Software Development Process**

The process envisioned for developing the software maximizes the benefits of coordinated work to benefit countries while still retaining room for country specification.

In the initial scoping stage of the project, stakeholder champions and those immersed in the system operation will be identified and brought together to discuss national priorities and opportunities for alignment. The Development team will then be staffed up and trained on the regional context, drawing on the work of the Project Team Lead and the Justice Systems Specialist. This smaller core team will design the iterative process of working with the country users in preparation for the expanded development team.

Once the scope is well understood by stakeholders, the first members of the development team will meet over three to five days with users from different countries and institutions to identify and design the first features to be developed. These first features will be selected to be both foundational to the system as a whole and to produce a demonstration of the potential of the system. The outcome of this stage typically results in first version software features such as:

- > screen listing all cases and current status
- > simple form with basic details about a case based on data collected in this first iteration
- > a calendaring feature for each case identifying next actions on a case and involved actors
- > a description of the challenges in the case using pre-defined categories such as unreachable witnesses, lawyer scheduling etc.

Based on these first features, a user and contact management module will be developed in which each event is linked by user and contact management module. For this first iteration, workflows and status will not be constrained to specific roles or institutions across the system. The events sequence will remain flexible to allow for country specific and complexity-based adaptation. Automated report features will allow filtering case lists by status, date of next event, date of creation, average case length and case age distribution per year. The system will rely on a database and an API – an application programming interface – for later data exchange with different sectorial information systems.

Once the first version of the software development is underway, data entry begins by establishing space equipped with appropriate terminals for inputting case file information. Once the first version of the system is released, data clerks assigned to each country start the inventory and data inputting of the cases.

Shortly after the start of data entry, reports will be issued from the new system, based on the partial data, and discussed with the champions and users in each country for early, ongoing feedback to inform iterations of the software. These meetings will result in identifying functionalities and reports that can immediately be operationalised, providing justice sector institutions with a glance into the potential of the process, thereby motivating training and system change efforts. The early input process will also identify indicators of system performance (such as average age of case) with reporting and communications on data tracking and successes.

Next improvements or features in the system are then identified and new performance indicators are defined and incorporated. The development team will continue this iterative process of building, refining and testing with the users and champions over the course of Year 2. As the core functions are programmed, the basic features will be modified by the growing development team to meet country specific requirements. The development team will start to focus its time on more specialised features to reflect the interoperability of specific institutions or the constraints of the legal system in each country. During the period, the development team will expand to have software analysts and engineers focused on each country.

The support units required for Activity 1.2 include the Software Development Team and the Helpdesk / Data Entry Team. For both teams, there will be a gradual staffing up over the first 18 months reflecting the need for a smaller team at the beginning focusing on the overall scoping and relationship building with the champions and users. This period of ramping up the units also reflects the reality of recruiting specialised analysts and engineers. The data entry clerks and ICT technicians are scheduled for Year 2, recognising the need for the initial scoping, user meetings and first feature development to get underway prior to inputting case data.

The IT Digitalisation Specialist will bridge between the Project Management Team and the Development Team to ensure that the software development program integrates functionally and schedule-wise with the other project activities.

### **Support Teams**

The software development team is composed of computer engineering apprentices (centralized), country focal points software analysts and developers, one quality manager, one technical writer, one graphics designer, and an international IT Digitalization Specialist.

A data entry unit, embedded across institutions. One clerk per country with a legal background, one overall full international coordinator, specialized in legal procedures/processes, and ideally, with experience and background in management. One ICT technician (apprentice) per country will staff the helpdesk.

## **Output 2: Capacity Enhanced and Communities Empowered**

Training, capacity building and facilitation of community empowerment are paramount for national governments to be able to respond to both long-standing criminal justice issues and emerging challenges. The consultations revealed an extreme range of uncertainty and variety over the pain points. While there was a consistent interest in digitalisation, different institutions and individuals are at different stages of learning and adapting to change. Training is key to addressing resistance to change and preparing for implementation setbacks.

Capacity building will prioritise local expertise but will undoubtedly rely on regional and international supports. Technical cooperation within the EU will be a priority subject to UNDP procurement rules and regulations.

### **Activity 2.1 Training and upskilling at all levels of the justice system**

- All users of the federated case management systems (police, DPP, court staff, judges, defence counsel, prison staff) will be trained in the use of the new information management approach using a train-the-trainer model to build long-term capacity in each institution
- The project will develop and deliver gender-sensitive capacity building exercises among judges, prosecutors, case managers, registrars and court clerks, police officers and crime laboratories in critical areas including forensics, digital evidence collection, and case management, as well as contemporary issues such as alternative dispute resolution (ADR)
- The project will facilitate gender-sensitive training for prosecutors, legal aid attorneys, paralegals, lawyers' associations, universities, and other civil society actors, judges, DPP offices, court registrars and clerks and police investigators to build capacities and enhance access to justice particularly to underserved and vulnerable groups, including, but not limited to women, indigenous populations and members of the LGBTQI community, including a focus on GBV and family violence.

Trainings will ensure the effective mainstreaming of the new technologies deployed under Output 1 as digital solutions will ensure transparency and improved communications among agencies providing sustainable, equitable opportunities for survivors and perpetrators of crime. Police and the DPP have stipulated the need for the police to be trained in the investigative process and the collection of electronic evidence. Training in the collection of forensics is required to corroborate eye-witness accounts, as is prosecutor and defence counsel training in the effective courtroom use of forensic evidence.



Training will be conducted within an institution's staff team, or regionally for those working in the same roles or across the sector, as appropriate. This will provide opportunities for skill development and process expectations to be cultivated consistently across stages of the criminal process. In the case of the ECSC, the movement of judges between countries, and in the context of appeals, these trainings will benefit systems regionally. Trainings will be designed to build the capacity of teams to pass on the knowledge to new employees through a train-the-trainer model. The following are the training needs for the judicial counterparts identified from the project design process:

<b>Police</b>	Electronic case management Pre-charge diversion Investigative processes Forensic evidence (collection and use) Fingerprint analysis Case preparation
<b>Police Prosecutors</b>	Electronic case management Forensic evidence (collection and use) Case preparation and inputting for timely disclosure
<b>Forensics personnel</b>	DNA collection, processing and certification Ballistics analysis/gun crime scene processing Drug and other substance detection
<b>DPP</b>	Electronic case management (including vetting for e-disclosure) Forensic evidence (use)
<b>Defence lawyers</b>	Electronic case management Forensic evidence (use)
<b>Magistrates</b>	Electronic case management Pre-trial diversion options Templates for charges and indictments Forensic evidence (use) Introduction of a systematic manner in writing judgements Sentencing guidelines Virtual hearing procedures
<b>Judges</b>	Electronic case management Forensic evidence (use) Purposes of Judge Alone Trials Range of available rehabilitation programs
<b>Court staff</b>	Electronic case management Digital evidence storage Digital court recording technology and Transcript generation Record keeping and data dissemination Virtual hearing procedures
<b>Prison Officers</b>	Electronic inmate information management Rehabilitation programs (purpose and delivery) Assessment and intake

## Activity 2.2 Specialised support for victims, witnesses, and the rehabilitation of offenders

- The project will support the expansion of the bi-lateral arrangements for witness protection by delivering adequate specialised support and advice to beneficiary countries. The project will explore with, and support regional security organisations, in the development of a regional witness protection programme including (but not limited to) development of standard operating procedures, appropriate structures, training, strengthened international cooperation, necessary legislative processes, identification of applicable models from other regions, etc.
- Applying the model from the first crime victimisation survey undertaken by UNDP in St. Lucia, the project will explore similar options for data collection on victimisation to inform the development of new programmes, systems, and tools to support survivors. These will include the development and expansion of survivor support units/councils, establishment of call centres, and other relevant initiatives designed to take account of the differential impacts of crime on different groups, including, but not limited to, women and members of minority groups such as members of the LGBTQI community and indigenous populations.
- The project will work with prison administrations, probation and social protection mechanisms, community stakeholders and the private sector to establish support for reintegration and social inclusion of offenders. This will include support to introduce or expand dedicated mental health resources, development of after-care programmes, entrepreneurship & vocational training and transitional housing and other social protection systems to prepare prisoners for release. There should be a special focus on youth offenders who are often left out of overarching rehabilitation mechanisms
- The project will introduce concepts of pre-charge and pre-trial diversion and criminal mediation to divert incidents of minor offences without charge. This will include focus on the role of victims and witnesses in mediation processes and options for de-escalation of conflict and mediation of neighbour disputes. Training of criminal mediators will be offered in the context of diversion pilot projects

### **Activity 2.3 Public awareness raising on access to justice and legal rights**

- Using the survey responses in the NAR as a baseline, the project will leverage the UNDP Country Office network to undertake additional data collection on knowledge, attitudes and behaviours at the national and community levels, including assessing gender and other nuanced differences, and develop awareness and engagement tools and communication products to support enhanced knowledge and behavioural change
- The project will release periodic project updates and rationale, introducing the media and public to system transformation efforts focused on changes in the approach to crime (diversion, rehabilitation) and the potential of modern techniques (forensic evidence rather than eye-witness evidence, expanded jury lists, etc.)
- Informed by overall project scoping in the first few months of the project, a public awareness plan for each country will be developed to identify key issues, opportunities and a schedule for public awareness on key issues

Transformation requires complementary efforts to build up public confidence in the justice system. The high number of people held on remand reflects the overwhelmingly punitive public views towards crime. Backlogs and delays getting to trial leaves victims frustrated or scared (a trend more evident in women than in men), and feeling that there is impunity for offenders. Public awareness of new approaches to Diversion, Rehabilitation, Witness Protection, and Legal Aid will be critical to adopting these practices.

### **Output 3: Processes, Procedures and Coordination Improved**

To achieve the benefits of a modernised, technologically-equipped justice system, a number of legislative changes are required in each country. In some cases, these are minor amendments to update the rules of evidence or the provisions for remote hearings. In other cases, new justice procedures or options need to be reflected in legislation prior to being piloted, such as diversion or judge-alone trials. Other process

improvements require changes to related legislation such as privacy protections to permit the compilation of electronic jury lists.

The project will assess the state of current legislation on each of these issues at the beginning of the project and develop a timeline for drafting and proposing amendments that align with the electoral schedule in each country. Proposed amendments will be prepared centrally, with input from the ECSC and the CCJ, as appropriate, and based on the successes of regional and COVID-19 era experiments with remote hearings, judge-alone trials, electronic evidence submission and storage, and other innovations that can be made permanent through legislative updating. Criminal procedures that can be streamlined by Practice Direction will be prepared, aligned to related legislative changes.

There are multiple challenges with respect to legal aid, including a lack of legislative framework, a non-existent or limited scope for criminal cases, and a lack of legal aid staff and defence counsel in the country. Legal aid resources are woefully low in most countries, relative to the need. As a result, adjournments are rampant. Individuals charged with crimes are frequently unrepresented or are represented by a lawyer who is overworked and unavailable in a reasonable time frame. In many countries, an accused must wait for the defence counsel to find time in their practice to travel to see them or to appear in remote court. This is exacerbated even further by the challenges that justice system organisations, including police, prosecution and prisons, face in terms of sharing information with defence counsel in a timely manner. In some countries such as Belize, they have noted a disproportionate impact on indigent, impoverished or Indigenous victims, witnesses and defendants. They have also noted that the lack of legal aid resources reduces the ability of the offices to provide legal education, assistance and advice to the community, reducing overall legal literacy and public confidence in the system. Some countries are exploring alternative models to address the gap, including through strategic partnerships with bar associations.

Many aspects of the criminal process rely on specialised expertise, ranging from transcriptionists, to mental health practitioners to forensic analysts. In some countries there is one professional contracted to perform these steps. Their schedule and overlapping requests lead to unnecessary delays. Creating a regional inventory of professionals providing these services and socialisation of their availability and credentials will give judges more options when ordering assessments.

Coordinated data collection and evidence-based discussions of human rights and rule of law issues will be facilitated by both greater cross-sectoral and regional engagement through this project and by a digital platform for tracking justice services. With more information about the time to trial and resolution rates, governments, civil society and human rights defenders will be able to focus efforts for ongoing system improvements. By building the national and regional coordination frameworks in Output 3 for collaboration, the project will facilitate the strategic use of data collected through Output 1 to support ongoing attention to human rights, rule of law and equality concerns.

### **Activity 3.1 Technical Assistance for the development and deployment of rules and standards across the continuum of justice administration**

- To fill the gaps in laws, rules and procedures, the project will support countries in developing or adapting model criminal laws and conducting studies on reform initiatives, such as on jury systems, pre-sentencing reports, practice directions in the criminal justice rules for early guilty pleas, etc. The project will leverage its strong relationships to:
  - o support continued cross-country sharing of lessons learned and to explore opportunities for adapting regional innovations
  - o improve processes for collection of high-quality, disaggregated data & analysis and provide (access to) justice assessments as evidence base for reform and planning
  - o support new or strengthened legal aid models through legislative and policy reform, strategic partnerships with bar associations, defence lawyers and government

In the first year, the funds allotted to these legislative amendments will be used to work with local governments to develop a realistic timeframe for legislative reform that determines the best order to approach each change.



In some countries, this might result in a single bill that introduces a suite of legal system reforms. In others there may be opportunities to pass some changes quickly and devote more time to consultations and public awareness about other changes. The funding may be used for a salaried legislative drafter for one year, followed by contract-based country-level support the next, or a concentrated approach for the countries that are part of the Eastern Caribbean Supreme Court, for example. The structure of this activity gives flexibility to schedule the tasks with a realistic view of the election and political cycle in each country.

Efforts to improve coordination and processes will prioritise local expertise but will undoubtedly rely on regional and international supports. Relevant EU expertise will be a priority for technical assistance assignments, subject to UNDP procurement rules and regulations.

### **Activity 3.2 National/Regional Coordination frameworks developed and strengthened around strategic planning, case management, sustainability and monitoring and evaluation**

- Meetings, seminars, and workshops will be conducted to improve coordination of national and regional justice sector institutions through cross-agency dialogue, and common strategic actions
- The project will develop rosters of regional experts, identified throughout the mapping of justice processes and coordination efforts
- The project will work with the University of the West Indies and other proximate university ICT programs to develop internships and align academic opportunities with the developing demand for ICT expertise in the justice sector. This will involve cultivating a tech ecosystem to support the development and retention of in country ICT expertise to ensure the continuity and sustainability of project interventions
- The project will develop a monitoring and evaluation program in the Inception stage that identifies basic measures of criminal court backlogs (investigation period, length of time to trial, types of cases, etc.) and require all beneficiary agencies to provide baseline data and begin sharing data twice annually through the duration of the project. Additional data collection will be integrated into the development of information management systems, trainings and legislative amendments to facilitate sustained and expanded data collection. All data collection will be disaggregated by sex to allow for analysis of differential impacts of criminal court backlogs on both men and women.

### **Areas for Legislative Reform**

**Paper Committals and Preliminary Inquiries:** Paper committals have been assisting with the backlog of cases where the Magistrates are inclined to do so. However, this transfers the backlog to the High Court. After the preliminary procedure, all the matters go to the DPP Office for review and decision. Preliminary inquiries also contribute to the backlog of cases. The process requires witnesses to participate in two separate judicial proceedings. Simplifying the process at this stage would assist with the backlog of cases.

**Early Pleas:** Plea bargaining has the potential to assist with the backlog. Persons in the initial stage for indictable charges may want to plead guilty, but must now wait for the case to be heard in the High Court, causing a further backlog. Changes to criminal procedure would allow for an expedited process in the event of a guilty plea, avoiding multiple court dates.

**Simplified Jury Directions:** Judges' directions to the jury are often overly complicated and difficult to understand. Simplified jury instructions in plain language will be easier for jurors to understand and return with a verdict that is fair and just. This will also ease the burden on appellate courts based on misdirection to the jury.

**Judge-Along Trials:** Judge-alone trials allow for a streamlined process by both avoiding the delay of jury selection and offering a faster trial process. Ideal for cases involving complex legal tests, judge-alone trials meet expectations of fair trials and facilitate faster depositions. Judge-alone trials have been used

in Belize, Trinidad and Tobago. After the ECSC encouraged its nine states to consider judge-alone trials, Antigua and Barbuda implemented judge-alone trials and St. Lucia has pursued the change in process.

**Increased Master Duties:** Masters can be tasked with case management, reviewing case information, the charge, sufficiency of evidence, early guilty pleas and pre-trials. Case Management Masters will ease the burden on the Court, assisting with the backlog of cases.

**Criminal Mediation:** Legislation could be enacted to provide for the use of criminal mediation. As an alternative to a trial, criminal mediation allows for people to discuss minor issues and have help finding a resolution that meets their needs. Magistrates often attempt to settle matters informally. Criminal mediation would formalise this process and allow it to be offered earlier in the process. Criminal mediation training is currently being pursued by the ECSC.

**Amending Criminal Code/Rules to include Time Limits:** The criminal procedure rules can be amended to provide timelines for different types of cases requiring indictments to be filled on time. Timelines can require the police or the prosecutor to manage the case on schedule or report to the judge or magistrate about delays. Saint Lucia has piloted new criminal procedures including strict timelines.

The following table lists the legislative needs identified by the national stakeholders and through consultations:

Country	Legislative Needs
Antigua & Barbuda	<ul style="list-style-type: none"> <li>● Introduction of Criminal Procedure Rules</li> <li>● Introduction of Plea-Bargaining Act</li> <li>● Updating of rules for jury selection</li> <li>● Amendments to make adaptations for virtual hearing, judge-alone trials and changes to the evidence act adopted during COVID19 lockdowns permanent</li> <li>● Introduction of diversion, criminal mediation options</li> </ul>
Barbados	<ul style="list-style-type: none"> <li>● Introduction of Criminal Procedure Rules</li> <li>● Introduction of the Plea-Bargaining Act</li> <li>● Amendment to the Juries Act</li> <li>● Update of the Evidence Act</li> <li>● Introduction of diversion, criminal mediation options</li> </ul>
Belize	<ul style="list-style-type: none"> <li>● Amendments to Legal Aid Act</li> <li>● Amendment to Evidence Act</li> <li>● Introduction of DNA Act</li> </ul>
Dominica	<ul style="list-style-type: none"> <li>● Introduction of Criminal Procedure Rules</li> <li>● Amendment to the Juries Act</li> <li>● Introduction of diversion, criminal mediation options</li> <li>● Amendments to Prison Act</li> <li>● Propose new Evidence Act</li> <li>● Introduction of Plea-Bargaining</li> </ul>
Guyana	<ul style="list-style-type: none"> <li>● Update of the Evidence Act</li> <li>● Introduction of DNA Act</li> </ul>
St. Kitts	<ul style="list-style-type: none"> <li>● Amendment of Criminal Procedure Act</li> <li>● Update of the Evidence Act</li> <li>● Amendment to the Juries Act</li> <li>● Introduction of Plea-Bargaining</li> </ul>
St. Lucia	<ul style="list-style-type: none"> <li>● Amendment - Criminal Code/ Criminal Procedure Rules</li> <li>● Amendment to the Juries Act</li> <li>● Introduction of Plea-Bargaining</li> </ul>
Trinidad and Tobago	<ul style="list-style-type: none"> <li>● Amendment - Criminal Code/Criminal Procedure Rules</li> </ul>

## Partnerships

The project will work closely with the various key stakeholders in the criminal justice system, including the DPP Offices, Police, Legal Aid, Prisons and Courts in each country. The project implementation will facilitate knowledge exchange and capacity building with civil society organisations, non-governmental organisations, national gender machineries, bar associations, the Eastern Supreme Court, and the Caribbean Court of Justice.

Youth and women's organisations will be consulted in the implementation and monitoring of the output strategies, including Young Women in Leadership, FEMINTT, Caribbean Centre for Human Rights, the Willow Foundation, Youth Advocacy Network, Intersect Antigua, International Planned Parenthood Federation-Americas and the Caribbean, YAM Barbados. This will bring a gender lens to training and implementation decisions, particularly for procedures like investigations of intimate partner violence or treatment of vulnerable witnesses.

The project will align with existing, ongoing initiatives focused on criminal law and justice system administration to avoid duplication or conflicting processes and to promote the efficient use of resources.

## V. RISKS ASSESSMENT

#	Description	Type	Impact and Probability	Countermeasures / Mngt response
	Support to criminal justice activities carry inherent risk of political and cultural sensitives. For example, Caribbean societies in general approach criminal justice from a punitive point of view with widespread support for the death penalty, rather than a rehabilitative one. Governments can be sensitive about drawing attention to low conviction rates and long pretrial incarceration.	<b>Political</b>	<b>I = 4 P = 2 4 x 2 = 8</b>	UNDP held extensive consultations with government stakeholders at the highest-level, including Ministers of Judicial Affairs, Chief Justices and Commissioners of Police, to ensure that ownership of all activities by national counterparts has been explicitly obtained. UNDP will renew this support throughout the life of the project via regular assessments and consultations.
	UNDP may be exposed to reputational risks when working in criminal justice and law enforcement due to the highly sensitive nature of some crimes and the high degree of visibility associated with justice sector reforms	<b>Organisational</b>	<b>I = 3 P = 2 3 x 2 = 6</b>	In the case of this project the risk is low because activities do not involve providing crime fighting equipment to police forces or other support that could be potentially used against citizens in a manner not originally intended. However, the possibility of reputational risk will be continually assessed through ongoing monitoring and evaluation.
	With Caribbean society on punitive rather than rehabilitative interventions, some elements of this project related to the latter may be resisted. For example, the proposal recommends mediation, but in the criminal justice sector mediation is still a voluntary act where the parties must consent. Because there has	<b>Operational</b>	<b>I = 3 P = 3 3 x 3 = 9</b>	UNDP will engage in sustained, widespread communication and sensitisation to the public advocating on the benefits of criminal mediation for victims/survivors, perpetrators, families and the state, over and above lengthy, costly trial and imprisonment.



	not been any national or regional criminal mediation projects, there is a lack of data on the subject and on the willingness of the participants involved.			
	Although this is a technical project implemented largely at the administrative level, political change in any of the partner countries could lead to changes in policy direction and of key personnel.	<b>Political</b>	<b>I = 3 P = 2 3 x 2 = 6</b>	This will be mitigated by demonstrating to all officials and political parties, and the public, the benefits of the project, thereby securing ongoing buy-in.
	The Caribbean is susceptible to hurricanes and other extreme weather events. This brings a risk that such an event may delay implementation of activities, and the risk that government officials may be distracted from this project's long-term development processes by the need to respond to extreme or catastrophic weather events.	<b>Environmental</b>	<b>I = 4 P = 3 4 x 3 = 12</b>	This risk will be mitigated by front-loading of activities, wherever possible, and dynamic replanning, allowing partners to shift the focus of work across different countries as required, if, for instance, one country needs to slow down implementation for a period.
	The unpredictability of the spread of the COVID-19 virus and immunisation responses in Caribbean countries pose the risk of delays to implementation of activities.	<b>Other</b>	<b>I = 3 P = 2 3 x 2 = 6</b>	This will be mitigated by continuing to use virtual tools as much and as creatively as possible.
	There is a risk that the prevention of sexual exploitation and abuse (PSEA) of project affected persons, particularly those that are most vulnerable, will not be sufficiently considered during project inception and implementation.	<b>Other</b>	<b>I = 3 P = 2 3 x 2 = 6</b>	To address this, the PMU will be adequately trained by the PSEA focal point for the Barbados MCO and relevant training/awareness raising will be undertaken during year 1 and at mid-project among stakeholders, beneficiaries and other project affected persons.

## Management Approach

The Project will be managed by the Regional Coordination Unit located in Barbados, under the overall supervision of UNDP Barbados. The latter will be primarily accountable for the overall leadership, decision-making and management of the Project, including budget and financial management (achievement of results, approval of budget revisions, and allocation of financial resources and overall reporting). UNDP Barbados will coordinate the activities of UNDP Offices in target countries and will provide services of its technical and operational staff to backstop project activities with the support of the Regional Hub, when necessary.

UNDP Country Offices will each be accountable for activities in their respective countries under the overall oversight of the Project Team Leader. The Country Offices will be responsible for financial disbursements and provision of administrative/operational support for the implementation of national components in each target country. The Offices will facilitate the liaison with the key government stakeholders and ensure linkages with other on-going Citizen Security and Criminal Justice projects and programs to maximise the impact of interventions and ensure long-term sustainability of results. At the national level, the Project oversight will be the responsibility of the respective Country Office. In addition to backstopping national and regional activities carried out in their respective countries, the country offices will also facilitate linkages and communication with regional institutions.

Quality assurance and technical expertise will be the responsibility of the UNDP Regional Hub for Latin America and the Caribbean and the UNDP Global Policy Network. Policy advisors and technical experts from Citizen Security, Gender, Knowledge and Innovation, Rule of Law, Security and Access to Justice teams will provide continuous technical support and assist in the implementation of Project activities, review and development of policy papers and analytical reports, training, indicators and protocols. The Regional Hub will provide support with south-south cooperation linking the stakeholders with other UNDP initiatives outside of the Eastern and Southern Caribbean. The Regional Hub will also provide advisory services of regional experts to support the implementation of the monitoring and evaluation, communication and knowledge management strategies upon request from the Project Team Leader.

The Project will receive strategic guidance from the Project Board (PB) composed of the representatives of: the EU; Director of UNDP Regional Hub for Latin America and the Caribbean; UN Resident Representative in Barbados and the EC; and Representatives of the Governments of the beneficiary countries. Country Office representatives from participating countries will be invited to attend Board meetings. The Project Team Lead will act as secretary of the Project Board. The Project Board will be convened and chaired by the UNDP in coordination with the EU. The Project Board will meet every six months to review the Project progress, approve annual work plans and address any issue deemed of importance by UNDP and the EU. Final decisions will be taken by the Project Board based on the majority vote.

UNDP and the EU will coordinate through monthly meetings between the UNDP Country Office and the EU Delegation to Barbados. After the first year of implementation, a joint decision will be taken on frequency of the meetings. The meetings will serve to discuss and approve annual work plans before submission to the Project Board. They will discuss project implementation and monitor process.

The Project will establish a Project Review Committee (PRC), which will be comprised of the policy advisers from the UNDP Regional Hub along with international, regional and national experts on criminal justice and citizen security and other technical experts as required. The Project Review Committee will be responsible for advising on technical aspects of the Project and will provide recommendations and issues to the Project Board for consideration and decision-making. The PRC will meet on a semi-annual basis, with the major decisions and agreements being presented to the Project Board for sign-off. Select observers, national experts and/or strategic partners will be invited to the project Board meetings as needed and subject to the approval of the EU-UNDP.

## Stakeholder Engagement

UNDP will continue to engage stakeholders that were identified and consulted during project development including DPP Offices, Police, Legal Aid, Prisons and Courts in each country. Youth and women's organisations will be consulted in the implementation and monitoring of the output strategies, including Young Women in Leadership, FEMINTT, Caribbean Centre for Human Rights, the Willow Foundation, Youth Advocacy Network, Intersect Antigua, International Planned Parenthood Federation-Americas and the Caribbean, YAM Barbados. This will bring a gender lens to training and implementation decisions, particularly for procedures like investigations of intimate partner violence or treatment of vulnerable witnesses.

In addition to the above and in terms of effective development coordination, the project will work in collaboration with the following stakeholders groups.

Stakeholder	Initiative
<b>Caribbean Policy Centre (CPDC)</b>	<p>The Steering Committee is responsible for providing governance oversight on behalf of the participating member organisations of the Caribbean (Civil Society) Consultative Working Group (CCWG). CCWG is the consultative mechanism that provides NGOs and CSOs with an opportunity to have input into the regional policy making process and to influence regional policy dialogue. It consists of a consortium of NGOs from across the Caribbean region, tasked with the responsibility of discussing priority areas for the development and sustainable livelihoods of Caribbean people.</p> <p>Participatory Governance The work of the CCWG underscores the very notion of participatory governance by encouraging civil society participation, including the vulnerable, and by providing a forum to voice concerns, collaborate and outline solutions to development challenges. Participatory governance also allows for advocacy. One of the tasks of the CCWG in this context will be drafting and advocating a policy which promotes the legislation for institutionalisation of civil society engagement at the national and regional level.</p> <p>The SDGs directly respond to Caribbean realities and vulnerabilities. The development goals can only be attained through partnership. The CCWG introduces a regional civil society collaboration to address the SDGs through exploring how targets can be met and sustained.</p>
<b>(CariSECURE) Strengthening Evidence-based Decision-Making for Citizen Security in the Caribbean</b>	<p>The beneficiary countries were Antigua and Barbuda, Barbados, Grenada, Guyana, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, and Suriname.</p> <p>The goal of the CARISECURE activity is to improve youth crime and violence policymaking and programming in the Southern and Eastern Caribbean using quality, comparable, and reliable national citizen security information. It is expected that by 2020, target countries will use evidence-based decision-making to develop and approve policies and programs supported with national budgetary allocations, which effectively target youth crime and violence risk factors, thereby contributing to the reduction of youth involvement in crime and violence. The information generated will target a wide range of decision-makers including security services (e.g., police); social services (e.g., youth, education, health, welfare); the justice sector (e.g., magistrates); media; government, academic and private sector researchers to inform policy, budgeting, and programming; and, at the local level, youth, families, communities, service providers, advocates, and other local stakeholders.</p>
<b>CariSECURE 2.0</b>	<p>The beneficiary countries are Antigua and Barbuda, Barbados, Grenada, St Lucia, St Vincent and the Grenadines and Trinidad and Tobago.</p> <p>CariSECURE 2.0 builds upon the past work of CariSECURE, which equipped national institutions and agencies with the technology, equipment, and training</p>

	<p>to better collect and analyse crime data, in order to create evidence-informed approaches to reducing crime. CariSECURE 2.0 ventures even further, using this robust and reliable information to design programs and support policy geared towards the reduction of youth involvement in crime, whether as perpetrators or victims. The project also helps build the capacity of countries to fight trafficking in persons (TIP).</p>
<b>CCJ Academy for Law</b>	<p>The key objectives of the CCJ Academy for Law are:</p> <ul style="list-style-type: none"> <li>- To provide a forum for discussing legal concepts and rules in the areas particularly of, general international law, international trade law, regional integration law, and comparative law.</li> <li>- To provide advanced tutelage in International Law to achieve and maintain a high level of awareness of, and advocacy and passion for, regional integration law and Caribbean jurisprudence.</li> <li>- To instigate and encourage debate on the role and content of the discipline of Comparative Law bearing particularly in mind that the major traditions of the common law and civil law systems are represented in the Member States of CARICOM over which the CCJ exercises appellate and original jurisdiction.</li> <li>- To facilitate training and evaluation and to develop problem-solving capability to enhance all areas of court administration.</li> <li>- To deliver programmes to enhance practical learning in court administration and a deeper understanding of the role of court administration in judicial independence and accountability and in promoting access to justice.</li> <li>- To decrease backlogs in case determinations and enhance access to justice in the judiciaries of the region.</li> <li>- To deliver programmes to enhance practical learning in court administration and a deeper understanding of the role of court administration in judicial independence and accountability and in promoting access to justice.</li> </ul> <p>Using various modes of delivery, the Academy develops, coordinates and facilitates seminars, workshops, exchanges, and special lectures, as the primary vehicles for the achievement of its stated objectives. In this regard, the Academy prepares an annual programme of activities based upon an assessment of need. In executing its mandate CALCA forges linkages with regional and international partners.</p>
<b>Council of Legal Education</b>	<p>The Council has been in existence for over 40 years and trains legal practitioners in the Commonwealth Caribbean in fulfilment of its Mission Statement:</p> <p>" To facilitate the development of competent legal practitioners for the region who, appreciating their responsibility as members of an honourable profession and recognising the needs of their socio-economic environment, are inspired in the pursuit of excellence, the maintenance of high ethical standards, the promotion of social justice and the strengthening of the rule of law."</p> <ul style="list-style-type: none"> <li>- <a href="#">The Hugh Wooding Law School</a>: Established in 1973 in Trinidad and Tobago.</li> <li>- <a href="#">The Norman Manley Law School</a>: Opened its doors to its first students in September 1973 in Jamaica.</li> <li>- <a href="#">Eugene Dupuch Law School</a>: Established in The Bahamas in September 1998 is the third Law school to be established within the Caribbean community.</li> </ul>
<b>IMPACT Justice: Government of Canada</b>	<p>The Judicial Reform and Institutional Strengthening (JURIST) Project is a multi-year (2014-2023) regional Caribbean judicial reform initiative funded under an arrangement with the Government of Canada. The Project is being implemented on behalf of Global Affairs Canada (GAC) and the Conference of Heads of Judiciary of CARICOM (the Conference), by the Caribbean Court of</p>



	<p>Justice (CCJ), which was appointed by the Conference as its Regional Executing Agency (REA).</p> <p>The Project seeks to improve court administration and the administration of justice by strengthening the ability of the courts and the judiciary to resolve cases efficiently and fairly. Special attention will be paid to improving the capacity and skills of judges, court administrators, and court personnel to deliver services that address the different needs of women, men, girls and boys as well as those of their “customers” from the governmental and private sectors.</p> <p>Published Model Guidelines</p> <ul style="list-style-type: none"> <li>- Frequently Asked Questions: Model Guidelines for Sexual Offence Cases in the Caribbean Region</li> <li>- Guidelines for the Police Forensic Interview in Sexual Assault Cases</li> <li>- Understanding Sexual Assault</li> <li>- Survivor’s Rights Charter for Sexual Assaults</li> <li>- Guidelines for the Medical Forensic Examination in Sexual Assault Cases</li> <li>- Guidelines for Collection and Preservation of Evidence in Sexual Assault Cases</li> <li>- Model Guidelines for Sexual Offence Cases in the Caribbean Region</li> </ul> <p>Projects</p> <ul style="list-style-type: none"> <li>- Delay and Backlog Elimination Mechanisms</li> <li>- Regional Information and Communication Technology (ICT)</li> <li>- Regional Court Performance Standards</li> </ul>
<p><b>Inter-American Development Bank (IDB)</b></p>	<p>IDB’s aim is to achieve development in a sustainable, climate-friendly way maintaining a strong commitment to achieving measurable results and the highest standards of integrity, transparency, and accountability.</p> <p>The IDB’s rationale for producing the Digital Technologies for Better Justice: A Toolkit for Action is because practitioners in the justice sector confront difficult challenges in sorting through how the plethora of different e-justice technologies affect the accessibility, legitimacy, legality, and economy of judicial systems. These judicial values are crucial determinants of the quality of justice and the adoption of e-justice technologies should depend on how they affect those values. The IDB’s report presents a methodology and toolkit that practitioners and analysts can use to navigate the design and assessment of e-justice projects to guide decisions on e-justice investments. It highlights factors that must be considered in deciding whether an information and communication technology project is likely to improve the judiciary performance and, in turn, support political and economic development in Latin America and the Caribbean.</p>
<p><b>United States Agency for International Development (USAID)</b></p>	<p>The United States Agency for International Development (USAID), under the Caribbean Basin Security Initiative (CBSI), supports citizen security, youth development, and juvenile justice programs that benefit youth (ages 10–29) at risk for involvement in crime and violence. Some may have already conflicted with the law, while others may be at risk after dropping out of school, facing dysfunctional families and disengaged parents, and suffering from domestic violence and/or substance abuse.</p> <p>USAID’s multifaceted approach targets the multiple levels of a country’s systems that affect youth: the policies of the country (national and local); the institutions of the justice system (police, courts, and prisons); the education system; and the communities and families where at-risk youth live.</p> <p>An integral aspect of USAID’s approach is promoting evidence-based decision-making so that crime and violence data underpins prevention policy and programming, while shifting the focus of the juvenile justice system from punishment to rehabilitation and reintegration.</p>

### **South-South and Triangular Cooperation (SSC/TrC)**

Four country offices will be involved in the programme, namely the Barbados and Easter Caribbean, Trinidad and Tobago, Belize and Guyana. All COs will work collaboratively to share knowledge and lessons learned and will explore opportunities for joint implementation of activities wherever practical.

### **Sustainability and Scaling Up**

Sustainability will be achieved through:

- Integrating the development of software, introduction of new hardware and system-wide training in a phased approach into operations to maximize the willingness to change while also ensuring the sustainability of the investments. The opportunities for regional adoption of similar or aligned digital processes will give each country opportunities to collaborate on both common legal issues and common ICT needs.
- Working with regional academia to develop internships and align academic opportunities with the developing demand for ICT expertise in the justice sector. This will involve cultivating a tech ecosystem to support the development and retention of in country ICT expertise to ensure the continuity and sustainability of project interventions

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## **VI. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)**

- The programme will take advantage of economies of scale, where relevant, to maximise value for money and ensure that outputs are delivered on the basis of the optimal considerations of costs and quality. This approach will mirror that taken under the CariSecure 1.0 project and the EnGender programme, both of which utilise a similar approach to maximising operational efficiency. Specifically, in this approach some activities that are country-specific and require bespoke solutions are implemented at the national level, with the Project Management Unit providing quality assurance and ensuring project coherence, while others will be centralised to leverage economies of scale.
- Additionally, given the similar programmatic area between this project and the CariSecure 2.0 programme, some project officers will dedicate their time to these projects in a 50-50 allocation. These positions (detailed below) will deliver support to the current project while ensuring coherence with the other project and taking advantage of scale economies from joint procurement, monitoring and evaluation and communications.

### **Key Personnel**

Project Team: The Project will establish a Project Team that will include: A. PROJECT MANAGEMENT Unit (PMU); and B. National Implementation Units, (NIU), comprised of national level staff and consultants.

#### PROJECT MANAGEMENT UNIT (PMU) based in Barbados:

The Project Management Unit will be based in Barbados and will operate under the overall supervision of the UNDP Resident Representative for Barbados and the OECS, providing guidance on Project implementation, including contracts, travel, workshops, and payments. The PMU will also coordinate and liaise with the UNDP regional centre for Latin America and the Caribbean based in Panama. The PMU will facilitate the liaison and daily contact with the senior beneficiaries as well as with the EU.

The PMU will provide technical assistance to National Officers based in beneficiary countries and will closely coordinate with the Implementers of the EU. All PMU staff will be recruited by open competitions in compliance with UNDO standards. Terms of References for each dedicated position will be agreed with the EU Delegation to Barbados prior to publications. EU Delegation to Barbados will participate in quality of observer to all selection phases and interview panels of dedicated staff.

Title	Role
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<b>Project Team Leader</b>	<p>The Project Team Leader ensures overall efficient coordination of the program, with the objective of expanding institutional capacity for reduction of backlogs and bottlenecks in the criminal justice system. He/she will provide intellectual leadership through identification of key policy issues and formulation of best possible and alternative policy and program options at national and regional levels; provide political guidance and advice to the Regional Coordination Unit and National Units responsible for implementation and coordination with national level authorities; oversee project implementation through close monitoring of results; liaise with UNDP's regional centre for Latin America and the Caribbean based in Panama and also key regional stakeholders to gain agreement on project activities and goals; stimulate strategic thinking in the subject area, taking into account the needs of Government, local authorities, non-government and development partners as well as opportunities to develop national public policies; and promote the use of data and evidence at the national and regional levels to inform citizen security policy making and programming. The Team Leader will support the functioning of Inter-Ministerial Committees at the national levels; provide strategic guidance and policy advice to improve coordination and collaboration at the regional level for effective national, sub-regional and regional crime and security strategies, with a focus on building national capacity for reduction of backlogs and bottlenecks within the criminal justice system; monitor the process of implementing the project, ensuring the application of UNDP standards in the provision of technical and advisory inputs, organisation of workshops, seminars, training and delivery of outputs; and ensure full compliance with audit requirements and timely follow-up to audit recommendations. The Project Team Leader will also serve as the primary liaison with the EU.</p> <p>Key Functions:</p> <ul style="list-style-type: none"> <li>● Strategic Program Planning, Coordination, and Implementation</li> <li>● Project Management</li> <li>● Representation and Coordination</li> <li>● Communication</li> <li>● Partnership Building</li> </ul> <p>The cost of this position is paid 100% by the Project.</p>
<b>Liaison Officer with EL PAcCTO</b>	<p>EL PAcCTO (Europe Latin America Programme of Assistance against Transnational Organised Crime: the Liaison Officer will ensure synergies and coordination with EL PAcCTO and will facilitate access and possible partnerships between beneficiary agencies and institutions with counterparts from Latin America and the EU participating in EL PAcCTO. It will also serve to mobilise additional support for beneficiary countries on issues of priorities addressed under this programme. The post will be paid 100% by the Project for the first 24 months of implementation. An extension may be granted through external funds upon evaluation of results.</p>
<b>Justice Systems Specialist</b>	<p>Key areas of focus include: justice systems within the English-speaking Caribbean with an emphasis on the functioning and processes of the criminal justice system including legislation, procedures, and challenges. The incumbent is responsible for leading the following:</p> <ol style="list-style-type: none"> <li>1. Project and policy advice</li> <li>2. Support development for the program agenda</li> <li>3. Partnerships, representation and advocacy</li> <li>4. Knowledge management</li> </ol> <p>The cost of this position is paid 100% by the Project.</p>

<b>Project Monitoring and Evaluation (M&amp;E) Officer</b>	<p>The M&amp;E Officer will work under the direct supervision of the Team Leader and will be responsible for the development and implementation of the Project monitoring and evaluation strategy and plan, ensuring quality of performance indicators and their timely collection. The M&amp;E specialist will receive advisory support from the M&amp;E advisors in the UNDP Regional Hub in Panama.</p> <p>Key Functions:</p> <ol style="list-style-type: none"> <li>1. Liaise with the Project Team Leader and project team regarding M&amp;E approaches and methodologies, ensuring that the project meets the UNDP corporate requirements for M&amp;E, including the conduct of mandatory project evaluations</li> <li>2. Be directly responsible and accountable for the implementation of evaluation policies and strategies as well as producing the project monitoring and evaluation reports on a regular basis</li> <li>3. Manage and coordinate the implementation of evaluation policies and strategies</li> <li>4. Facilitate knowledge building and knowledge sharing on monitoring and evaluation</li> <li>5. Develop the capacity of the implementing and responsible parties to monitor project baselines and indicators as specified in the project document</li> </ol> <p>The cost of this position is paid 100% by the Project.</p>
<b>Project Procurement Officer</b>	<p>The Officer will work under the direct supervision of the Team Leader and will be responsible for the procurement of goods of services, management of sub-grants, preparation of financial reports and funds requests.</p> <p>Key Functions:</p> <ul style="list-style-type: none"> <li>• Administration and implementation of procurement strategies</li> <li>• Management and coordination of procurement processes</li> <li>• Implementation of sourcing strategy and e-procurement tools</li> <li>• Facilitation of knowledge building and knowledge sharing</li> </ul> <p>The cost of this position is paid 50% by the Project.</p>
<b>Project IT/Digitalisation Specialist</b>	<p>The IT/Digitalisation Specialist will be part of the Software Development Process. The key functions will be to:</p> <ol style="list-style-type: none"> <li>1. Work closely with the concerned service providers to provide technical support related to the development and launching of the ICT. The tasks also include detail review and feedback</li> <li>2. Support the design, implementation, and monitoring of software and hardware. This includes the design and testing of work placement models, partnership models with relevant private sector and government mechanisms</li> <li>3. Identify opportunities to scale and institutionalise the upgrading models that are tested and effective within the institutions</li> <li>4. Assess result and impact as well as compile lessons learnt of the software implementation and initiatives to promote backlog reduction. Using available evidence from the projects, UNDP and partners, design advocacy campaign to influence public, relevant policy development and program interventions to promote inclusive access to digital literacy, skills development, and workplace support</li> <li>5. Lead and facilitate visioning exercises, aiming to develop digital transformation strategic solutions and interventions</li> <li>6. Provide overall support to the development of digital capacities in creating an enabling ecosystem and culture of digital innovation and strengthen this competency amongst stakeholders</li> </ol>



	The cost of this position is paid 50% by the Project.
<b>Project Support Associate</b>	<p>The Associate will be responsible for administrative, operational and financial support to the Team Leader and the PMU, including preparation of financial documents, budget management in ATLAS and IPSAS, and providing inputs for financial reports. The Project Support Associate will be responsible for implementation and execution of project strategies by:</p> <ol style="list-style-type: none"> <li>1. Assuring implementation of project activities to achieve project results</li> <li>2. Monitoring project performance to meet project aims</li> <li>3. Building partnerships to support successful execution of the project</li> <li>4. Facilitating knowledge management and sharing</li> </ol> <p>The cost of this position is paid 100% by the Project.</p>
<b>Project Communications Officer</b>	<p>The Communications Support will work under the direct supervision of the Team Leader and will be responsible for the design and implementation of the communication strategy. The RCO will advise the Team Leader and organise public relations, communications and advocacy activities and events.</p> <p>Key Functions:</p> <ol style="list-style-type: none"> <li>1. Develop, implement and monitor the country office communications strategy</li> <li>2. Market project in and outside of the region</li> <li>3. Lead media outreach in the priority countries and region working closely with national, regional and international media</li> </ol> <p>The cost of this position is paid 50% by the Project.</p>
<b>Monitoring and Evaluation Analyst</b>	<p>The post of Monitoring and Evaluation Analyst will dedicate 50% of her/his time to supporting the outcomes of the Project. The Monitoring and Evaluation Analyst is responsible for overseeing the design and implementation of monitoring, reporting and evaluation exercises for the UNDP-PMU and across the other UNDP Country Offices in the execution of the Justice Sector Reform project. The M&amp;E Analyst will provide guidance and oversight to the Project M&amp;E Officer and undertake quality assurance for all M&amp;E products, ensuring compliance with all donor and corporate reporting requirements.</p> <p>The cost of this position is pro-rated at 50% to the Project.</p>
<b>Communications Analyst</b>	<p>The post of Communications Analyst will dedicate 50% of her/his time to supporting the outcomes of the Project. The Communications Analyst is responsible for overseeing the design and implementation of all communications products for the UNDP-PMU and across the other UNDP Country Offices in the execution of the Justice Sector Reform project. The MCO Analyst will provide guidance and oversight to the Project M&amp;E Officer and undertake quality assurance for all M&amp;E products, ensuring compliance with all donor and corporate reporting requirements.</p> <p>The cost of this position is pro-rated at 50% to the Project.</p>
<b>Procurement Analyst</b>	<p>The post of Procurement Analyst will dedicate 50% of her/his time to supporting the outcomes of the Project. The Procurement Analyst will provide guidance to the Project Procurement Officer and will be responsible for the overall procurement management and oversight of UNDP's contribution to the Justice Sector Reform Programme, accompanying tendering processes, contract preparation and implementation and ensuring compliance of all procurement processes with UNDP rules and regulations.</p> <p>The cost of this position is pro-rated at 50% to the Project.</p>

<b>National officer (x 3),</b>	The post of Project National Officer x2 will dedicate 100% of her/his time to supporting the outcomes of the Project. The National Officers will be responsible for the coordination of in-country activities in Belize, Guyana and Trinidad and Tobago (countries that are not covered by the Barbados and Eastern Caribbean Multi-Country Office), liaise with government counterparts and other stakeholders and provide intelligence to the Project Management Unit on important developments in country. The cost of this position is paid 100% by the Project.
<b>Abd Short-term Technical Experts</b> (consultants)	Short-term Technical Experts will be responsible for providing specific technical expertise to the Project on issues related to access to justice, crime and violence, backlog reduction strategies, criminology, gender, LGBTQ, technology, crime and justice statistics, institutional capacity building, change management, and other issues as required. These consultants will be providing services that cannot be met from the existing staff resources and therefore will be hired as Individual Consultants under the UNDP Policy on Individual Consultants. These consultants will be identified and selected through UNDP competitive procurement processes.

At key stages of the project short-term national staff or Individual Consultants will be placed in pivotal organisations in beneficiary countries, and will be responsible for the management, implementation, and monitoring of activities under the Annual Work Plan (AWP). They will be responsible for ensuring regular communication between the national government institutions and will coordinate technical assistance and training, supervise activities, and perform regular monitoring in the field. They will engage with local stakeholders, conduct continuous analysis of criminal justice information, coordinate activities with national counterparts and provide technical advice to the Regional Coordination Unit.

Project Support Associates (PSA) will support Project implementation and support Project team in ensuring high quality delivery of Project outputs and timely completion of planned activities. The incumbents will provide finance, administrative and logistical support to the Regional and National Implementation Units and support the procurement processes, reporting and knowledge management.

Technical and operational assistance will include the following functions/activities: Logistics support services, equipment and furniture expenses related to project office rent, communication and internet, office equipment such as desks, chairs, laptops, printers, telecom equipment, as well as stationery and other office supplies, and rent of a project office.

**VII. RESULTS FRAMEWORK<sup>11</sup>**

<p><b>Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework: UN MSDCF 7: Regional and national laws, policies, systems and institutions improve access to justice and promote peace, social cohesion and security</b></p> <p><b>Outcome indicators as stated in the Country Programme [or Regional] Results and Resources Framework, including baseline and targets: UNMSDCF Indicator 16.3.2</b></p> <p>unsentenced detainees as a proportion of the overall prison population</p> <p><b>Baseline: TBD</b></p> <p><b>Target: TBD</b></p> <p><b>Applicable Output(s) from the UNDP Strategic Plan: 2.2 Civic space and access to justice expanded, racism and discrimination addressed, and rule of law, human rights and equity strengthened.</b></p> <p><b>Indicator: 2.2.3 Number and proportion of people supported, who have access to justice:</b></p> <ul style="list-style-type: none"> <li>• Female</li> <li>• Male</li> <li>• Sex-disaggregated data unavailable</li> <li>• Youth</li> <li>• Poor (income measure)</li> <li>• Persons with disabilities</li> <li>• Displaced populations</li> <li>• Ethnic minorities</li> </ul>	
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**Project title and Quantum Project Number: Caribbean Criminal Justice Reform (010000412)**

EXPECTED OUTPUTS	ACTIVITY	OUTPUT INDICATORS[1]	DATA SOURCE	BASELINE		TARGETS			
				Value	Year	Year 1	Year 2	Year 3	FINAL
Output 1: Specify each output that is planned to help achieve the outcome.	Activity 1.1 Technology and equipment procured, deployed, and operationalised to facilitate case /court /inmate management, and infrastructure resilience	1.1 Number of countries with new systems operationalised in justice institutions	National reports Project reports	0	2022	TBD	TBD	TBD	8

<sup>11</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

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<b>Output 2: Empowered Stakeholders and Enhanced Capacities</b>	<b>Activity 1.2</b> Purpose developed software for police, courts, and prisons designed, tested and scaled across the region with interoperability as a primary functionality	1.2 Percentage adoption of new technology/systems across institutions	0	2022	TBD	TBD	TBD	60
		1.3 Number of countries with pilot sites operational	0	2022	TBD	TBD	TBD	4
		1.4 Number of interoperability agreements in place	0	2022	TBD	TBD	TBD	5
	<b>Activity 2.1</b> Training and upskilling at all levels of the justice system with a focus on specialized trainings in new resolutions options offered to judges, lawyers and prosecutors on 6 topics	1.5 Number of operational eCMS terminals	0	2022	TBD	TBD	TBD	TBD
		2.1 Number of institutions receiving training	0	2022	TBD	TBD	TBD	32
		2.2 Number of training attendees in total, disaggregated by sex	0	2022	TBD	TBD	TBD	TBD
		2.3 Status of witness protection working group (1: Established; 2: Operational)	0	2022	TBD	TBD	TBD	2
	<b>Activity 2.2</b> Specialised support for victims, witnesses, and the rehabilitation of offenders	2.3 Number of specialised support models piloted	0	2022	TBD	TBD	TBD	3
		2.4 Percentage of specialized support models focused on victims of GBV/IPV	0	2022	TBD	TBD	TBD	30%



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<b>Output 3: Processes, and Coordination Improved</b>	<b>Activity 2.3 Public awareness raising on access to justice and legal rights</b>	2.5 Number of countries with specialists trained to provide support to victims, witnesses and offenders	National reports Project reports	0	2022	TBD	TBD	TBD	4
		2.6 Number of annual project reports prepared for media release	Annual Project Reports Media reports	0	2022	TBD	TBD	TBD	4
	<b>Activity 3.1 Technical assistance for development and deployment of rules and standards across the continuum of justice administration</b>	3.1 Number of countries with draft amendments or legislation	Draft Legislation/A mendments	0	2022	TBD	TBD	TBD	8
		3.2 Number of legislative changes timelines developed	Legislative reform documents	0	2022	TBD	TBD	TBD	8
		3.3 Number of legislative changes introduced or adopted	New legislation Parliamentary documents	0	2022	TBD	TBD	TBD	TBD
		3.4 Number of countries with ongoing cross-agency dialogue established	National reports Project reports	0		TBD	TBD	TBD	5
	<b>Activity 3.2 National/ Regional coordination frameworks developed and strengthened around strategic planning, case management and monitoring and evaluation</b>	3.5 Number of regional rosters established in specific support areas (transcription, mental health, etc.)	National reports Project reports	0	2022	TBD	TBD	TBD	5
		3.6 Case backlog data collection system to support monitoring and evaluation operationalised	National reports Project reports	NO	2022	TBD	TBD	TBD	YES

### VIII. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

#### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			

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Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

**Evaluation Plan<sup>12</sup>**

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation	EU			December 2024	Country Offices National Courts/ECCU National Directors of Public Prosecution Prison Administration	45,000
Terminal Evaluation	EU			December 2026	Country Offices National Courts/ECCU National Directors of Public Prosecution Prison Administration	55,000

<sup>12</sup> Optional, if needed

**IX. MULTI-YEAR WORK PLAN** 1314

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

Description	Year 1	Year 2	Year 3	Year 4	Partner	Programme Subtotal
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€12,000.00	€73,700.00	€73,700.00	€0.00	All	€159,400.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€10,000.00	€60,900.00	€60,900.00	€0.00	All	€131,800.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€256,000.00	€52,600.00	€52,600.00	€0.00	All	€361,200.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€25,000.00	€54,000.00	€54,000.00	€0.00	All	€133,000.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€270,000.00	€10,000.00	€0.00	€0.00	All	€280,000.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€11,500.00	€38,500.00	€38,500.00	€0.00	All	€88,500.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€50,000.00	€66,000.00	€66,000.00	€0.00	All	€182,000.00
Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€20,000.00	€80,500.00	€80,500.00	€0.00	All	€181,000.00

<sup>13</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>14</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

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Equipment (laptops, desktops computers, and SMB MFPs Forensics, Audio, Video)	€0.00	€37,500.00	€37,500.00	€0.00	€0.00	€0.00	All	€75,000.00
<b>Hardware Subtotal</b>	<b>€654,500.00</b>	<b>€473,700.00</b>	<b>€463,700.00</b>	<b>€0.00</b>	<b>€0.00</b>	<b>€0.00</b>		<b>€1,591,900.00</b>
<b>Software Development Subtotal</b>								
Development Team Salaries	€303,476.00	€365,100.00	€486,800.00	€486,800.00	€486,800.00	€1,642,176.00	All	€1,642,176.00
Server rentals	€10,000.00	€20,000.00	€30,000.00	€30,000.00	€40,000.00	€100,000.00	All	€100,000.00
Helpdesk/Data entry team Salaries	€0.00	€253,600.00	€253,600.00	€253,600.00	€253,600.00	€760,800.00	All	€760,800.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€35,476.00	€89,418.00	€107,856.00	€107,856.00	€109,256.00	€342,006.00	All	€342,006.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€25,340.00	€63,870.00	€77,040.00	€77,040.00	€78,040.00	€244,290.00	All	€244,290.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€25,340.00	€63,870.00	€77,040.00	€77,040.00	€78,040.00	€244,290.00	All	€244,290.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€44,345.00	€111,772.50	€134,820.00	€134,820.00	€136,570.00	€427,507.50	All	€427,507.50
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€66,547.00	€92,241.50				€158,788.50	All	€158,788.50
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€35,476.00	€89,418.00	€107,856.00	€107,856.00	€109,256.00	€342,006.00	All	€342,006.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€35,476.00	€89,418.00	€107,856.00	€107,856.00	€109,256.00	€342,006.00	All	€342,006.00
Development of federated software tailored to institutional needs and designed to connect existing information management systems	€22,806.00	€57,483.00	€69,336.00	€69,336.00	€70,236.00	€219,861.00	All	€219,861.00



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Development of federated software tailored to institutional needs and designed to connect existing information management systems	€12,670.00	€31,935.00	€38,520.00	€39,020.00	All	€122,145.00
<b>Software Development Subtotal</b>	<b>€303,476.00</b>	<b>€889,426.00</b>	<b>€720,324.00</b>	<b>€729,674.00</b>		<b>€2,442,900.00</b>
<b>Sub-Total for Output 1</b>	<b>€957,976.00</b>	<b>€1,163,126.00</b>	<b>€1,184,024.00</b>	<b>€729,674.00</b>		<b>€4,034,800.00</b>
Regional Protocols and Training for Witness Protection Program	€0.00	€50,000.00	€120,000.00	€40,000.00		€210,000.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
Regional Protocols and Training for Witness Protection Program	€0.00	€6,250.00	€15,000.00	€0.00	DPP	€21,250.00
eCMS Training for users across the system (full-time trainers to train differed user groups)	€0.00	€0.00	€125,000.00	€115,000.00		€240,000.00
Travel for eCMS Training	€0.00	€0.00	€50,000.00	€50,000.00		€100,000.00
ECSC (Antigua and Barbuda, Dominica, St. Kitts and Nevis and Saint Lucia) - Judicial Settlement and Case Management training for Judges	€45,000.00	€0.00	€0.00	€0.00	ECSC/JUDICIARY/IUNDP	€45,000.00
ECSC - Training on Audio Recording for Judges and Magistrates	€0.00	€20,000.00	€0.00	€0.00	ECSC/JUDICIARY/IUNDP	€20,000.00
ECSC - Commonwealth Judicial Education Institute	€21,999.00	€0.00	€0.00	€0.00	ECSC/JUDICIARY/IUNDP	€21,999.00

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ECSC - Audio Recording for Judges and Magistrates - training of Judges, Magistrates and Court staff	€20,000.00	€0.00	€0.00	€0.00	€0.00	€0.00	ECSC/JUDICIARY/UNDP	€20,000.00
Police Investigative Training (Antigua and Barbuda, Dominica, St. Kitts and Nevis, St. Lucia)	€30,000.00	€50,000.00	€0.00	€0.00	€0.00	€0.00	POLICE/UNDP	€80,000.00
Prison Training Programs - (Barbados, Antigua and Barbuda, Dominica, St. Lucia)	€0.00	€20,000.00	€20,000.00	€20,000.00	€0.00	€0.00	PRISON/UNDP	€40,000.00
Capacity building to Strengthen legal aid office including requisite training	€0.00	€35,000.00	€25,000.00	€25,000.00	€0.00	€0.00	AG Ministry/Judiciary/UNDP	€60,000.00
Strategic partnerships with the Bar association, civil society and academia to establish legal advice outreach and clinics	€0.00	€20,000.00	€0.00	€0.00	€0.00	€0.00	AG Ministry/Bar Association/ UNDP	€20,000.00
Creation of specialized legal aid service streams by training of legal aid personnel to provide services for juveniles and women	€0.00	€0.00	€30,000.00	€30,000.00	€0.00	€0.00	AG Ministry/Bar Association/ UNDP	€30,000.00
Develop Strategy and pilot Innovative solutions for Juvenile Restorative Justice and Diversion	€0.00	€15,000.00	€20,000.00	€20,000.00	€0.00	€0.00	Ministries of Youth, Sports and E-Governance, AG, Home Affairs, Prison	€35,000.00
Institutional Reform Plan for the Belize Police Department including guidance/protocol on use of force; training on investigative training, case management and crime information management	€20,000.00	€22,500.00	€23,500.00	€23,500.00	€0.00	€0.00	AG Ministry/ Ministry of Home Affairs	€66,000.00
Belize National Forensic Science Services Prefabricated building	€0.00	€0.00	€20,000.00	€20,000.00	€0.00	€0.00	AG Ministry/ Ministry of Home Affairs	€20,000.00
Training of the Belize National Forensic Science Service in shooting scene reconstruction, intelligence gathering/taskforce management for ballistics	€0.00	€20,000.00	€0.00	€0.00	€0.00	€0.00	BNFSS/ Ministry of Home Affairs	€20,000.00
Training in forensic equipment	€10,000.00	€20,000.00	€20,000.00	€20,000.00	€0.00	€0.00	UNDP	€50,000.00
Provision of Training for Magistrates and Court Staff in use of Audio Recording Equipment	€20,000.00	€0.00	€0.00	€0.00	€0.00	€0.00	Judiciary/UNDP	€20,000.00
Conduct training on the use of Pre-Trial Remedies	€10,000.00	€10,000.00	€10,000.00	€10,000.00	€0.00	€0.00	AG's Office/UNDP	€30,000.00

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Internal and External Training in investigations and technology, early swearing, standardization of probation, restorative justice etc.	€0.00	€10,000.00	€10,000.00	€0.00	AG's Office/UNDP	€20,000.00
Case management training for judges and judicial officers including case-flow mechanisms and tools in new criminal proceedings rules	€0.00	€35,000.00	€0.00	€0.00	Judiciary/UNDP	€35,000.00
Establish National Prosecution service framework	€0.00	€25,000.00	€25,000.00	€0.00	Judiciary/UNDP	€50,000.00
Establish Protocols Between the TTPS and DPP	€0.00	€30,000.00	€0.00	€0.00	Judiciary/UNDP	€30,000.00
Develop policies for Out of Court Disposals	€0.00	€0.00	€20,000.00	€0.00	Judiciary/UNDP	€20,000.00
<b>Sub-Total for Output 2</b>	<b>€176,999.00</b>	<b>€382,500.00</b>	<b>€518,500.00</b>	<b>€205,000.00</b>		<b>€1,282,999.00</b>
Travel expenses for consultations and legislative strategy development	€7,000.00	€25,000.00	€25,000.00	€25,000.00	ALL	€82,000.00
Project and Public Awareness Communications	€40,000.00	€51,500.00	€55,000.00	€43,000.00	All	€189,500.00
Legislative Amendments	€10,000.00	€10,000.00	€10,000.00	€10,000.00	AG/DPP/UNDP	€40,000.00
Legislative Amendments	€12,500.00	€12,500.00	€12,500.00	€12,500.00	AG/DPP/UNDP	€50,000.00
Legislative Amendments	€15,000.00	€15,000.00	€15,000.00	€15,000.00	AG/DPP/UNDP	€60,000.00
Legislative Amendments	€10,000.00	€10,000.00	€10,000.00	€10,000.00	AG/DPP/UNDP	€40,000.00
Legislative Amendments	€15,000.00	€15,000.00	€15,000.00	€15,000.00	AG/DPP/UNDP	€60,000.00
Legislative Amendments	€10,000.00	€0.00	€10,000.00	€10,000.00	AG/DPP/UNDP	€30,000.00
Legislative Amendments	€5,000.00	€5,000.00	€5,000.00	€5,000.00	AG/DPP/UNDP	€20,000.00
Inter country travel expenses for Legislative amendment process (based on 5 days per country per year)	€20,000.00	€26,000.00	€26,000.00	€26,000.00	All	€98,000.00
Develop Case Management Practices.	€0.00	€40,000.00	€30,000.00	€0.00	AG Ministry/Judiciary/UNDP	€70,000.00
Implement Court Administration Improvement Plan	€30,000.00	€30,000.00	€0.00	€0.00	AG Ministry/Judiciary/UNDP	€60,000.00
Develop and Implement Magistrates Professional Development Program (MPDP)	€35,000.00	€20,000.00	€15,000.00	€0.00	AG Ministry/Judiciary/UNDP	€70,000.00

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Build on National Diversion Programme	€0.00	€0.00	€30,000.00	€30,000.00	€30,000.00	AG Ministry/Judiciary/ UNDP	€60,000.00
Develop a sexual offences court with appropriate processes, standards and rules	€30,000.00	€50,000.00	€0.00	€0.00	€0.00	Judiciary/UNDP	€80,000.00
Establish research project to establish standards for time to determination of criminal matters	€12,000.00	€12,000.00	€0.00	€0.00	€0.00	Judiciary/UNDP	€24,000.00
<b>Sub-Total for Output 3</b>	<b>€251,500.00</b>	<b>€322,000.00</b>	<b>€258,500.00</b>	<b>€258,500.00</b>	<b>€201,500.00</b>		<b>€1,033,500.00</b>
<b>Project Management Unit</b>							
Project Team Lead (P4)	€201,715.42	€201,715.42	€201,715.42	€201,715.42	€201,715.42	EU	€806,861.67
Liaison Officer with EL PACCTO (P3)	€200,236.35	€200,236.35	€0.00	€0.00	€0.00	EU	€400,472.70
Project Justice Systems Specialist	€58,189.04	€58,189.04	€58,189.04	€58,189.04	€58,189.04	EU	€232,756.16
Project Support Associate	€38,540.43	€36,917.59	€36,917.59	€36,917.59	€36,917.59	EU	€149,293.20
Project National Officer	€25,855.95	€25,855.95	€25,855.95	€25,855.95	€25,855.95	EU	€103,423.80
Project National Officer	€36,093.49	€36,093.49	€36,093.49	€36,093.49	€36,093.49	EU	€144,373.97
Project National Officer	€38,625.22	€36,350.00	€36,350.00	€36,350.00	€36,350.00	EU	€147,675.22
Project IT/Digitalization Specialist	€19,270.22	€19,270.22	€19,270.22	€19,270.22	€19,270.22	EU	€77,080.88
Project M&E Officer	€21,779.87	€21,779.87	€21,779.87	€21,779.87	€21,779.87	EU	€87,119.46
Project Procurement Officer	€21,779.87	€21,779.87	€21,779.87	€21,779.87	€21,779.87	EU	€87,119.46
Project Communications Officer	€21,779.87	€21,779.87	€21,779.87	€21,779.87	€21,779.87	EU	€87,119.46
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€50,176.46	€50,176.46	€50,176.46	€50,176.46	€50,176.46	EU	€200,705.85
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06		€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06		€25,088.23

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Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Travel costs associated with Monitoring, Evaluation and Oversight activities for the Project Management Unit	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€6,272.06	€25,088.23
Office Costs	€59,212.18	€59,212.18	€59,212.18	€59,212.18	€59,212.18	EU	€236,848.71
Office Costs	€2,960.61	€2,960.61	€2,960.61	€2,960.61	€2,960.61	EU	€11,842.44
Office Costs	€2,960.61	€2,960.61	€2,960.61	€2,960.61	€2,960.61	EU	€11,842.44
Office Costs	€14,803.04	€14,803.04	€14,803.04	€14,803.04	€14,803.04	EU	€59,212.18
Office Costs	€2,960.61	€2,960.61	€2,960.61	€2,960.61	€2,960.61	EU	€11,842.44
Office Costs	€14,803.04	€14,803.04	€14,803.04	€14,803.04	€14,803.04	EU	€59,212.18
Office Costs	€2,960.61	€2,960.61	€2,960.61	€2,960.61	€2,960.61	EU	€11,842.44
Office Costs	€14,803.04	€14,803.04	€14,803.04	€14,803.04	€14,803.04	EU	€59,212.18
Office Costs	€14,803.04	€14,803.04	€14,803.04	€14,803.04	€14,803.04	EU	€59,212.18
Office Costs and technical assistance	€187,811.06	€175,622.13	€100,000.00	€175,622.13	€100,000.00	UNDP	€375,622.13
Office Costs and technical assistance	€187,811.06					UNDP	€187,811.06
<b>Sub-Total for Output 4</b>	<b>€981,065.42</b>	<b>€889,356.29</b>	<b>€764,742.07</b>	<b>€689,119.94</b>	<b>€0.00</b>	<b>€0.00</b>	<b>€3,324,283.72</b>
<b>Programme Sub-Total</b>	<b>€2,367,540.42</b>	<b>€2,756,982.29</b>	<b>€2,725,766.07</b>	<b>€1,825,293.94</b>	<b>€0.00</b>	<b>€0.00</b>	<b>€9,675,582.72</b>



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General Management Support (7%)	€152,581.05	€185,988.76	€178,510.08	€120,770.58	€637,850.47
<b>TOTAL COST OF THE ACTION (EU + UNDP contributions)</b>	<b>€2,520,121.47</b>	<b>€2,942,971.05</b>	<b>€2,904,276.15</b>	<b>€1,946,064.52</b>	<b>€10,313,433.19</b>

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## **X. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**

This present programme will employ a Multi-Country Project approach. Under this approach, the country offices responsible for each country will be responsible for efficiently, effectively and accountably delivering all of the results for the relevant country.

Under this multi-country approach, the project will be considered a single project for the purposes of project management and will maintain a single, unified project document that includes a joint results and resources framework describing interventions in each participating country. In Quantum, under one award, the project will be set up as a set of subsidiary 'related' outputs, 1 one for each country office covering interventions there on the basis of a subsidiary results and resources framework.

Specifically, the UNDP Multi-Country Office (MCO) for Barbados and the Eastern Caribbean will be responsible for implementation in Barbados, Antigua and Barbuda, the Commonwealth of Dominica, Saint Lucia, Saint Kitts and Nevis while. UNDP Country Offices (CO) in Trinidad and Tobago, Guyana and Belize will be responsible for implementation in each of those countries, with support, quality assurance and strategic coordination undertaken by the Project Management Unit (PMU).

Representatives from the three COs will participate in the Project Steering Committee (PSC). The PSC will provide:

Overall guidance and direction to the project, ensuring it remains within any specified constraints;

- Address project issues as raised by the Project Team Lead;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Team Lead's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next Annual WorkPlan, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions
- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the Annual Work Plan and other plans as required for the Project Coordinator
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible

Given that a board may only be meeting once or several times per year, it's role and remit should be limited to high-level oversight and approval of key decisions. Routine oversight of project operations and recurring quality assurance should be undertaken by the UNDP entity playing the 'project assurance' role in the project structure while routine project execution decisions should be taken by the highest ranking person within the project management unit (compliant with specified tolerance).

UNDP will establish a PMU. The UNDP-PMU will act as the central internal coordination unit among the UNDP Country Offices involved in the execution of the Programme. The support provided by the PMU will ensure that all information between the UNDP COs is streamlined and CO support is provided in the jurisdictions where UNDP has responsibility for implementation of the Programme.

This internal coordination support among the UNDP CO's is meant to be a core feature of the Project Team Lead as head of the UNDP PMU.

The overall responsibility of the UNDP-PMU is as follows:

### **Project Management**

- Ensure timely and effectively planning and implementation of the project
- Ensure timely and effective financial management of the project in accordance with UNDP financial and operational policies, rules and regulations for National Implementation, through effective partnership with implementing partners, responsible partners, and UNDP.
- Manage and assist implementing pilot projects through guidance and administrative support;
- Delivery of the regional components of the project with National Coordinators;  
**Coordination and Networking**
- Coordination with other international, multilateral and bilateral activities among regional countries related to the implementation of the project, including sourcing additional funding to ensure future sustainability of project interventions
- Facilitate networking between Provincial and National stakeholders;
- Establishment of and assistance in networking between specialized institutions, stakeholders, and technical specialists from elsewhere;

### **Technical Support to Project Implementation**

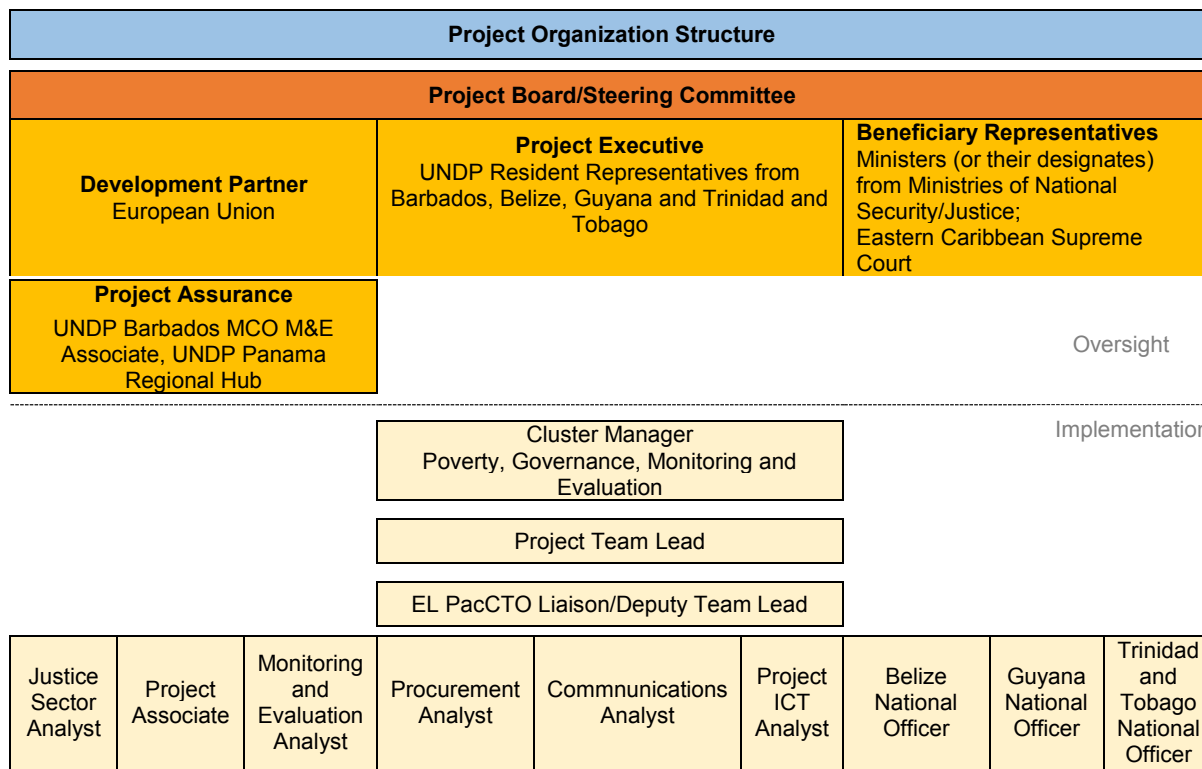
- Organization of technical cooperation activities between national organizations for capacity building, climate change, water and environmental policy, and management related to the implementation of the project;
- Organization of consultative meetings for introducing and implementing programme activities;
- Collection and dissemination of information on policy, economic, scientific and technical issues related to the project;
- Provision of support for the preparation of technical and feasibility studies;

### **Project Monitoring and Reporting**

- Timely and effective preparation of progress reports (technical and financial) concerning programme results, outputs and activities in accordance with Project monitoring and reporting requirements based on UNDP and GEF policies and formats;

### **Knowledge Management and Communication**

- Maintenance of project information archives- photos, video, documents, outputs, etc,
- Appropriate dissemination and publication of materials and outputs from the project;
- Capturing Pilot Project, national activities, and project process lessons learned and disseminating them in appropriate formats



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**XI. LEGAL CONTEXT****Where the country has signed the [Standard Basic Assistance Agreement \(SBAA\)](#)**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

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**XII. RISK MANAGEMENT****Option b. UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>15</sup> [UNDP funds received pursuant to the Project Document]<sup>16</sup> are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

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<sup>15</sup> To be used where UNDP is the Implementing Partner

<sup>16</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner



5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:

- a. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
  - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient (each a “sub-party” and together “sub-parties”) acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
  - (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).
  - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the

form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
- (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
  - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
  - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
  - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
  - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
- f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
- g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

- h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.
- Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.
- k. *Choose one of the three following options:*
- Option 1:* UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption, other financial irregularities or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

*Option 2:* Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud corruption or other financial irregularities or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Option 3:* UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption or other

financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

### **XIII. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template** [\[English\]](#) [\[French\]](#) [\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*
- 3. Risk Analysis.** Use the standard [Risk Register template](#). Please refer to the [Deliverable Description of the Risk Register](#) for instructions
- 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including Partner Capacity Assessment Tool (PCAT) and HACT Micro Assessment)
- 5. Project Board Terms of Reference and TORs of key management positions.** The standard Project Board TOR can be found [here](#).
- 6. On-Granting Provisions Applicable to the Implementing Partner<sup>17</sup>.** On-granting clauses for non-UNDP Implementing Partners can be found [here](#).

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<sup>17</sup> Applicable for non-UNDP Implementing Partner as Grant Making Institution facilitating on-granting.