

**EVALUATION OF THE COMMISSION OF
THE EUROPEAN UNION'S CO-OPERATION
WITH DOMINICAN REPUBLIC
Country Level Evaluation**

Final Report

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Annexes

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The opinions expressed in this document represent the views of the authors, which are not necessarily shared by the Commission of the European Union or by the authorities of the countries concerned.

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ACRONYMS

AAP	Annual Action Program
ACCPP	Asamblea de Cooperación por la Paz
ACP	African-Caribbean-Pacific
ACS	Association of Caribbean States
ADELO	Agencia de Desarrollo Local
ADEMI	Ahorro y Credito Ademi
ADN	Ayuntamiento del Distrito Nacional
ADOEXPO	Dominican Association of Exporters
ADOPEM	Dominican Association for Women Development
AECDI	Spanish Agency for International Development Cooperation
AECID	Agencia Española de Cooperación Internacional para el Desarrollo
AF	Action Fiche
AIDCO	EuropeAid Cooperation Office
AL	Américas Latinas
ALA	Asia and Latin America
AMALA	Association des Maires Unidas para el Medio Ambiente
AMCHAMDR	American Chamber of Commerce of the Dominican Republic
ANE	Actores No Estatales
ANMF	National Association of Mayors at the Border
APMAE	Asociaciones de Padres y Madres de las Escuelas
ASFL	Asociaciones Sin Fines de Lucro
ASODIFIMO	Asociación de Personas con Discapacidad Físico-Motora
ASOMURE	Municipal Association of the Enriquillo Network
ASONAHORES	DR National Hotels and Restaurant Association
ATI	Asistencia Técnica Internacional
B&B	Bed & Breakfast
BEICA	Barceló Export Import CxA
BID	Banco Interamericano de Desarrollo
BIRF	Banco Internacional de Reconstrucción y Fomento
BM	Banco Mundial
bn	Billion
BOM	Board of Management
BPA	Buenas Prácticas Agrícolas
BPM	Buenas Prácticas de Manufactura
BS	Budget Support
Ca	Caribbean
CA	Centroamericana
CABEI	Central American Bank for Economic Integration
CACMA	Centro de Análisis del Comercio Mundial de Armas
CAFTA	Central American Free Trade Agreement
CARICOM	Caribbean Community
CARIFORUM	Caribbean Forum
CAS	Country Assistance Strategy
CASCO	Coordinadora de Asociación Sociocultural

CBO	Community-based organization
CCC	Comisiones de Construcción Curricular
CCLIP	Linea de Crédito Condicional
CDE	Centre for the Development of Enterprises
CEDA	Caribbean Export Development Agency
CEDAW	Convention on the Elimination of All Forms of Discrimination
CEDECO	Centro Dominicano de Educación Ecológica
CEDEPAR	Centro de Desarrollo y Participación
CEDOPEX	Centro Dominicano de Promoción de Exportaciones
CEI	Centro de Exportación e Inversión
CEIE	Consortio de Evaluación e Investigación Educativa
CEIRD	Centro de Exportación e Inversión
CEPAL	Comisión Económica para América Latina
CEPOCS	Centro de Educación Popular de la Cordillera Septentrional
CEPROCH	Centro de Promoción y Solidaridad Humana
CEUR	Centro de Estudios Urbanos y Regionales
CHD	Comisión Haiti-Dominicana
CIDA	Canadian International Development Agency
CIG	Centro de Información Gubernamental
CIPROS	Centro de Investigación y Promoción Social
CISP	Caribbean Integration Support Programme
CLAD	Centro Latinoamericano de Administración y Desarrollo
CMRD	Catastro Minero de la República Dominicana
CNC	National Competitive Council
CoA	Chamber of Accounts
CoDs	Chamber of Deputies
CODOPYME	Confederación Dominicana de la Pequeña y Mediana Empresa
CONAMUCA	Confederación Nacional de Mujeres Campesinas
CONARE	Consejo Nacional de Reforma del Estado
CONAU	Consejo Nacional de Asuntos Urbanos
COPADEBA	Comité para la Defensa de los Derechos Barriales
CORMIDOM	Corporación Minera Dominicana
COTEDO	Comisión de Trabajo Ecumenico Dominicano
CPRyME	Comisión Presidencial para la Reforma y Modernización del Estado
CRIS	Common Relex Information System
CS / CSO	Civil Society (Organization)
CSME	CARICOM Single Market and Economy
CSP	Country Strategy Paper
CSR	Corporate Social Responsibility
DCI	Development Cooperation Instrument
DEV	DG for Development and Cooperation, European Commission
DEVCO	Directorate General Development and Cooperation
DFID	United Kingdom Department for International Developmen
DG	Directorate General
DGA	Directorate General of Audit

DGDEV	Directorate General for Development
DGM	Directorate General for Mining
DHS	Demographic and Health Survey
DIA	Declaración de Impacto Ambiental
DIGECOM	Dirección General de Comunicación
DIGECOOM	Directorate-General for Multilateral Cooperation
DIPECHO	Action Plan on Community Disaster Preparations
DPC	Development Policy Loan
DR / RD	Dominican Republic
EAMR	External Assistance Management Rapport
EC / CE	European Commission
ECHO	Humanitarian Aid department of the European Commission
ECLAC	Economic Commission for Latin America and the Caribbean
EDEESTE	Empresas Distribuidores de Electricidad
EDF	European Development Fund
EEAS	European External Action Service
EFW	Economic Freedom of the World
EIA	Environmental Impact Assessment
EIB	European Investment Bank
EIDHR	European Instrument for Democracy and Human Rights
EITI	Extractive Industries for Mining
EMIS	Education Management Information System
ENCOVI	Encuesta Nacional de Condiciones de Vida
ENDESA	Encuesta Demográfica y de Salud
ENHOGAR	Encuesta Nacional de Hogares
EPA	Economic Partnership Agreement
EQ	Evaluation Question
EU / UE	European Union
EUD	European Union Delegation
FA	Financing Agreement
FAO	Food and Agriculture Organization of the United Nations
FDI	Foreign Direct Investment
FED	European Development Fund
FEDOMU	Federación Dominicana de Municipios
FIDEP	Fundación Integral de Desarrollo de Elías Piña
FIMEB	Initial Training of Basic Education for Teachers Programmes
FMIS	Financial Management Information System
FONDESA	Fondo para el Desarrollo
FONDESIN	Grant for Institutional Development of the Civil Society (within PRIL)
FTA	Free Trade Agreement
FTAA	Free Trade of the Americas
FTZ	Free Trade Zone
FUDEVA	Fundación para el Desarrollo de Villa Altagracia
FUNGLODE	Fundación Global Democracia y Desarrollo
GAR	Gross Attendance Ratio
GBS	Global Budget Support

GDP	Gross Domestic Product
GEC	Grupo asociativa empresarial
GER	Gross Enrolment Ratio
GIP	Gross Internal Product
GoDR	Government of the Dominican Republic
GTZ	Gesellschaft für Technische Zusammenarbeit
H	Haiti
HACCP	Hazard Analysis and Critical Control Points
HIPC	Heavily Indebted Poor Countries
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HQ	Headquarter
I	Indicator
IADB	Inter-American Development Bank
ICMM	International Council on Mining and Metals
ICT	Information and Communication Technology
IDAC	Dominican Institute for Community <i>Action</i>
IDB	Inter-American Development Bank
IDDI	Instituto Dominicano de Desarrollo Integral
IDEAC	Instituto de Desarrollo de la Economía Asociativa
IDEICE	Instituto Dominicano de Evaluación e Investigación de la Calidad Educativa
IEC	International Electrotechnical Commission
IED	Inversión Extranjera Directa
IEDDH	Instrumento Europeo para la Democracia y los Derechos Humanos
IES	Instituciones de Educación Superior
IFAD	International Fund for Agricultural Development
IFC	International Finance Cooperation
IFI	International Financial Institution
ILO	International Labour Organization
IMF	International Monetary Fund
INAFOCAM	Instituto Nacional de Formación y Capacitación del Magisterio
INDRHi	Instituto Nacional de Recursos Hidráulicos
INFOTEP	National Institute of Technical and Vocational Training
INSALUD	Instituto Nacional de Salud
INTEC	Instituto Tecnológico de Santo Domingo
INTOSAI	International Organization of Supreme Audit Institutions
IO	International Organization
ISFODOSU	Instituto Superior de Formación Docente Salome Ureña
ISO	International Organization for Standardization
ISPRI	Institutional Support Programme for Regional Integration
ITIE	Iniciativa para la Transparencia de la Industria Extractiva (ITIE)
JAD	Dominican Agribusiness Board
JAR	Joint Annual Review
JC	Judgement Criteria
JEU	Joint Evaluation Unit

JICA	Japan International Cooperation Agency
LA	Latin America
LAC	Latin American Countries
LLECE	Laboratorio Latinoamericano de Evaluación de la Calidad de la Educación
M&E	Monitoring and Evaluation
MANCOMUDES	Mamcomunidad de Municipios del Sur de la Cordillera Central para el Desarrollo Sostenible
MAP	Ministerio de Administración Pública
MARENA	Ministry of Environment and Natural Resources
MDG	Millennium Development Goal
ME	Ministerio de Educación
MEC	Microempresas Comunitarias
MEPyD / MEPD	Ministry of the Economy, Planning and Development
MFN	Most-Favoured-Nation
MinERD	Ministry of Education
MinHacienda	Ministerio de Hacienda
MIPYMES	Micro, pequeñas y medianas empresas
MIS	Management Information System
MOSTCHA	Movimiento Socio Cultural de los Trabajadores Haitiano
MPEC	Ministry of Planning and External Cooperation
MS	Member States
MTEF	Medium Term Expenditure Framework
MTR	Mid-Term Review
MUDE	Asociación de Mujeres en Desarrollo
NAO	National Audit Office
NAR	Net Attendance Rate
NATO	North Atlantic Treaty Organization
NC	North Corridor
NCC	National Competitiveness Council
NCP	National Competiveness Programme
NDP	National Development Plan
NDS	National Development Strategy
NER	Net Enrolment Ratio
NGO	Non-Governmental Organization
NGS	National Geological Services
NIP	National Indicative Programme
NPSC	National Plan for Systemic Competitiveness
NSA	Non-State Actors
NTIC	Nueva Tecnología de la Información y Comunicación
OCB	Organizaciones Comunitarias Barriales
ODA	Official Development Assistance
ODM	Objetivos de Desarrollo del Milenio
OECD	Organization of Economic Cooperation and Development
OECS	Organization of Eastern Caribbean States
OEI	Organización de Estados Iberoamericanos
OHSAS	Occupational Health & Safety Advisory Services

OIT	Organización Internacional de Trabajo
ONAP	Oficina Nacional de Administración y Personal
ONAPLAN	Oficina Nacional de Planificación
ONFED	Oficina del Ordenador Nacional para los Fondos Europeos De Desarrollo
ONG	Organización no gubernamental
ONP	Oficina de Normalización Previsional
OPS	Organización Panamericana de la Salud
OREALC	Oficina Regional de la Educación para América Latina y el Caribe
OSC	Organizaciones de la Sociedad Civil
PAF	Performance Assessment Framework
PAHO	Pan-American Health Organization
PAIGFP	Programa de Apoyo Institucional a la Gestión de Finanzas Públicas
PAIRE	Programa de Apoyo Inmediato para la Reforma y Modernización del Estado
PAO	Plan de Acción Operativa
PAPSE	Programa de Apoyo a la Política Sectorial Educativa
PARAP	Public Administration Reform Project
PARME	Programa de Apoyo a la Reforma y Modernización del Estado
PASCAL	European Commission Project to establish an expertise network on Learning Regions
PASP	Support to the Private Sector Program
PASS	Performance and Accountability of Social Sector
PBA	Programme Based Approach
PDE	Plan Decenal de Educación
PDE	Plan Estratégico de la Gestión Educativa
PDU	Planning and Development Unit
PEDEP	Plan for Education
PEDEP	Strategic Development Plan of the Dominican Republic
PEFA	Public Expenditure and Financial Accountability
PEGE	Plan Estratégico de la Gestión Educativa
PET/TEP	Transborder Environmental Project
PFM	Public Financial Management
PFMISP	Public Financial Management Institutional Support Programme
PGR	Procuraduría General de la República Dominicana
PIB	Producto Interno Bruto
PIN	Plan Indicativo Nacional
PISA	OECD Programme for International Students Assessment
PIU	Parallel Implementation Unit
PMT	Programa Medioambiental Transfronterizo
PMU	Power Management Uni
PNCS	National Plan for Systematic Competitiveness
PNPSP	Plan Nacional Plurianual del Sector Público
PNUD	Programa de las Naciones Unidas para el Desarrollo
PNUMA	Programa de las Naciones Unidas para el Medio Ambiente
POA	Plan Operativo Annual
PPMB	Programa de Profesionalización de Maestros Bachilleres
PREAL	Programa de Promoción de la Reforma Educativa de América Latina y el Caribe

PRIDEP	Programa Integrado de Desarrollo de la Educación primaria
PRIL	Civil Society Programme
PRISA	Proyecto de Salud Integral de la Región Sudoeste
PRM	Public Resource Management
PROBANANO	Project to Support Competitiveness of the Banana Sector
PRoComUnidad	Fondo de Promoción a las Iniciativas Comunitarias
PRODEP	Development Project of Primary Education
PROEMPRESA	Programa para Pequeña Empresa Privada Dominicana
PRO-ETP	Support programme for Vocational Technical Education
PROLINO	Desarrollo rural integrado de la línea Noroeste
PROMIPYME	Programa para la Micro, Pequeña y Mediana Empresa
PROMUS	Promocion de la Mujer del Sur
PROSIP	Programa Sectorial de Importación de Productos Petroleros
PRSP	Poverty Reduction Strategy Paper
PUCMM	Pontifica Universidad Católica Madre y Maestra
PVDC	Proyecto Pueblo Viejo Dominicana Corporación
QA	Quality Assurance
R&D	Research and development
RD\$	Dominican Republic Peso
REDSAM	Red Dominicana por la Salud de las Mujeres
REDESOL	Red para una Economía Solidaria
RELEX	Commission for External Relations and Decentralised Cooperation
REVIDA	Red para una Vida sin Violencia
RIP	Regional Indicative Programme
ROM	Results Oriented Monitoring
RPTF	Regional Preparatory Task Force
RS	Regional Strategy
RSE	Responsabilidad Social Empresarial
RSP	Regional Strategy Paper
RSU	Residuos Sólidos Urbanos
SABAMAR	Proyecto de Saneamiento Ambiental en Barrios Urbanos Marginales de Santo Domingo
SAI	Supreme Audit Institution
SASCO	Sistema de Autorregulación de la Sociedad Civil Organizada
SB	Sector Budget
SBS	Sector Budget Support
SC	Civil Society
SEAP	Secretaría de Estado de la Administración Pública
SEE	Secretaría de Estado de Educación
SEMARENA	Secretaría de Estado de Medio Ambiente y Recursos Naturales
SERCE	Segundo Estudio Regional Comparativo y Explicativo
SESPAS	Sociedad Española de Salud Pública y Administración Sanitaria
SGCE	Sistema de Gestión de Centro Escolar
SGN	National Geological Services
SI	Sistema de Información
SIFMUN	Sistema Integrado de Finanzas Municipales

SIGE	Sistema de Información para Gestión Educativa
SIGEF	Integrated System of Financial Management
SIMAPRO	System for the Measurement and Improvement of Productivity
SIMUPAC	Sistema Municipal de Participación Comunitaria
SINACID	Sistema Nacional de la Cooperación Internacional para el Desarrollo de la Rep. Dom.
SITC	Standard International Trade Classification
SME	Small and Medium Enterprise
SoF	Secretary of Finance
SPS	Sanitary and Phyto-Sanitary
SPSP	Support Programme to Sector Policy
SPSPE	Support Programme to Sector Policy in Education
STABEX	Système de Stabilisation des Recettes d'Exportation
STP	Secretariado Técnico de la Presidencia
SUPLAN	Subsecretaría de Planificación
SW	South-West
SWAp	Sector-Wide Approach
SYSMIN	System of Stabilization of Export Earnings from Mining Products
TA	Technical Assistance
TCF	Technical Cooperation Facility
TEP/PET	Transborder Environmental Project
TMDL	Total Maximum Daily Load
ToR	Terms of Reference
UAFAM	Units of Municipal Environmental Management
UGAM	Unidades de la Gestión Ambiental/ Units of Municipal Environmental Management
UN	United Nations
UNCTAD	Unidad Asesora de Análisis Económico y Social
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nation's International Children's Emergency Fund
UNPD	United Nations Program for Development
US	United States
USAID	United States Agency for International Development
US\$	United States Dollar
USDA	United States Department of Agriculture
UTG	Unidad Técnica de Gestión
UVA	Unión de Vecinos Activos
VET	Vocational and Education Training
VIH/SIDA	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
WB	The World Bank
WS	Workshop
WTO	World Trade Organization

1. EVALUATION MATRICES

1.1. EQ1: To what extent have European Commission (EC) support strategies reflected the strategic priorities of the Government of the Dominican Republic (GoDR) and needs of the poor?

JC 1.1: EC strategic priorities between 2001 and 2009 reflect Dominican Republic's (DR) formal priorities in the same period.

Overall analysis of JC 1.1

The majority of disbursements are directed at the Millennium Development Goals (MDGs) during the European Development Fund (EDF) 9, and a good part of EDF10 funding is directed at the MDGs through a Global Budget Support (GBS). Some important country-level developmental issues were not specifically addressed by the EC, including health and urban poverty, and economic activities related to growth such as tourism and agriculture. Overall, however, the EU Delegation in Santo Domingo has focussed its attention in order to respond to the 2003 Country-Level Evaluation, and it does not appear to have the internal capability¹ to handle a broader scope of interventions especially if natural disasters and the Haiti earthquake and follow-up are factored in.

The EC's contributions are largely geared to reducing poverty but are not specifically targeted at reducing the socio-economic equity gap that is a major problem in the DR, especially in the short to medium term (**I 1.1.1**). Its education programme is set at the primary school level and it does not address secondary or third level education and their job-specific skills focus, for example. It has also all but eliminated its health-related (water and sanitation) programme that would have helped improve the well-being of the poorest due to the lack of GoDR response (it has, however, used a water facility programme to this end).

In terms of being consistent, the EC has stayed within a small number of sectors in the evaluation period, especially in relation to education, institutional reform, civil society organization (CSO) capacity, joint Haiti-DR border area development and private sector capacity and competitiveness development. But it has not necessarily remained consistently within the sub-sectors (ex. from technical and professional education to primary; from support to small enterprise to support to large industries such as bananas) ; the result has been a slight spreading of effort and investment across a wide number of development fields. Most of the change has been due to the EC's attempts to respond to the evolution of the needs of the Country, and have shown that the EC has been a consistent partner with enough flexibility to meet emerging challenges over at least the mid-term. (**I 1.1.2**). It is important to note in this context that official national publications have been consistently ambiguous in establishing clear priorities. For example, even though official DR documents recognise that the country cannot meet all of its MDGs and cannot invest the capital required to eliminate the socio-economic equity gap, it nevertheless does not prioritize between the different development strategies and goals (**I 1.1.3**).

¹¹ A more accurate way of stating this is that it may have the people but not in the right places. There are currently three officers in the „social“ areas, one in trade and three in infrastructures. The latter are likely underutilized as the EC has only one important infrastructure project in its pipeline (the Dajabon market).

Analysis of indicators

Indicator 1.1.1: Extent of coverage between the EC cooperation objectives and the GoDR objectives described in its strategic documents

Much of the EC's strategies in the DR relates directly to the MDGs so it is important to define the priorities associated with them. The most recent² comprehensive analysis of the MDGs obtained by the evaluation team was that contained in a joint United Nations (UN)-GoDR document published in 2007³. From that document, and subsequent analysis published by the UN, the status of the progress on the MDGs in that country can be summarized as:

Table 1: Status of Progress on MDGs in Dominican Republic

Goals and Targets	2015 Target	Likelihood of success	Source of Prediction
Goal I: Eradicate extreme poverty and hunger			
<i>Target 1: Halve the proportion of people whose income is less than US\$1 per day</i>	To 14% from 28%	Possible	UNDP
<i>Target 2: Halve the proportion of people who suffer from hunger</i>	To 13.5% from 27%	No (now 22%)	FAO
Goal II: Achieve universal primary education			
<i>Target 3: Ensure that, children everywhere, boys and girls alike, will be able to complete a full programme of primary schooling</i>	To 100% from 22%	No (now 87%)	ENDSA
Goal III: Promote gender equality and empowerment of women			
<i>Target 4: Eliminate gender disparity in primary and secondary education and in all levels educ.</i>	To 1:1 Ratio from 1:1.25	Yes	SEE
Goal IV: Reduce infant mortality			
<i>Target 5: Reduce by two thirds, the under-five mortality rate</i>	From 58/1000 to 19/1000	Yes	ENDESA
Goal V: Improve maternal health			
<i>Target 6: Reduce by three-quarters, the maternal mortality ratio</i>	229/100,000 to 57/100,000	No	ENDESA
Goal VI: Combat HIV, malaria & other diseases			
<i>Target 7: Halt and begin to reverse the spread of HIV/AIDS</i>	From 1 to -1.0	Probable	ENDESA PAHO SESPAS
<i>Target 8: Have halted by 2015 and begun to reverse the incidence of Tuberculosis, Dengue Fever and Malaria</i>		Yes except for Dengue which is Improbable	ENDESA PAHO SESPAS
Goal VII: Ensure environmental sustainability			
<i>Target 9: Integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental resources: Plant coverage, Protected areas, and CO2 Emissions per capita</i>	n.a.	Improbable (plant cov.); Yes (Protected areas) Improbable (CO2)	USDA Law 64-00 UNDP
<i>Target 10: Halve the proportion of people without sustainable access to safe drinking water and basic sanitation</i>	Water 17% to 8.5%, Sanit. 60% to 30%	No (water) Yes (sanitation services)	UNICEF OPS/UNICEF
<i>Target 11: Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers</i>	From 800,000 units to 700,000 units	Improbable	WB

Source: "Invirtiendo en el Desarrollo Sostenible de la República Dominicana - Evaluación de Necesidades para Cumplir con los Objetivos de Desarrollo del Milenio (ODM)" Comisión Presidencial y Naciones Unidas, 2007

The 2007 analysis noted in the referenced footnote contained a costing analysis to determine what it would take to financially enable the achievement of the MDGs. Five scenarios were used to identify

² The JAR 2009 contains a few figures that relate to 2008, especially those that refer to growth rate of GDP per capita and those that identify the gender distribution within the DR parliament. None of these "updates" changes the information for 2007.

³ « Invirtiendo en el Desarrollo Sostenible de la República Dominicana - Evaluación de Necesidades para Cumplir con los Objetivos de Desarrollo del Milenio (ODM) » Comisión Presidencial y Naciones Unidas, 2007

the financial feasibility of meeting the MDGs. The scenarios were analyzed according to the following variables:

1. Fiscal pressure (revenue);
2. Increases in the Gross Internal Product (GIP)
3. Percentage of public expenses within the GIP in order to meet MDGs.

The total amount required to finance the MDGs varied (total requirement 2005-2016 expressed in constant US\$):

Scenario 1: 19.5bn

Scenario 2: 10.5bn

Scenario 3: 8.5bn

Scenario 4: 4.6bn

Scenario 5: 2.3bn

Overall, even the most pessimistic scenario (1) was based on 4% growth and public expenditures at 15% of GIP, but that has not happened in recent years. The GoDR will therefore not, as stated in our economic context section in the Main Report, meet all of its key MDGs, and this fact helps to determine what the priorities for international assistance could be.

In fact, a 2007 study commissioned by the World Bank indicated that many of the MDGs related to poverty would not be reached. The study indicated that these include⁴:

- Halving the proportion of the population living in poverty
- Halving the proportion of the population below the minimum level of dietary consumption
- Assuring a full course of primary education to both boys and girls and addressing the higher participation of boys in primary education
- Reducing by two-thirds the rate of child and infant mortality
- Reversing the spread of HIV/AIDS
- Reversing the incidence of tuberculosis
- Halving the urban population without access to safe drinking water sources
- Raising access to urban sanitation among slum dwellers
- Developing decent and productive work opportunities for Dominican youth

The authors of that report further suggested that concerns about data insufficiencies and inconsistencies be addressed. These are important because it supports the contention of the evaluation team (based on observing that even the GoDR provides different versions of its indicators and different definitions) that the MDG figures for the DR are interesting as relative comparisons but the absolute values need to be questioned. Examples of the authors' (noted previously) comments on this issue include:

“For instance, the high rates of infant and child mortality do not fully square with the apparently good - or at least average – performance in indicators of maternal health. Likewise, good performance in child nutrition may not be consistent with an overall high proportion of the population living below the minimum dietary consumption. A number of shortfalls also exist in HIV/AIDS related data vis-à-vis prevalence among certain groups, detection and treatment. Another source of data uncertainty lies in the question of access to essential drugs referred to above. There is also a dearth of high quality of information available on environmental sustainability in the Dominican Republic. Finally, the task of grappling with the impact of Haitian immigration on many of these indicators has yet to be adequately addressed.”⁵

⁴ Suki, L. and Vial, J., “Meeting the Millennium Development Goals in the Dominican Republic: Identifying Critical Areas for Policy Action” 2007, Columbia University, obtained from www.earthinstitute.columbia.edu/cgsd/.../suki_mdg_assessment.pdf on Jan 12, 2011.

⁵ IBID, p. 51.

The question then becomes “among the various priorities and strategies of the GoDR and the population, what are the priorities?”

Table 2: Total costs to implement MDG targets, by year and MDG

Cuadro 12
Costo total, por año y por ODM

INTERVENCIÓN	TOTAL	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
(en millones US\$)*													
Población total anual		9.1	9.23	9.36	9.5	9.64	9.79	9.91	10.05	10.18	10.32	10.44	
HAMBRE Y DESNUTRICIÓN													
Total General	1,716.68		176.42	176.42	206.38	251.33	251.33	238.84	126.47	126.47	126.47	36.57	
Total Per Cápita (en US\$)	17.17		19.11	18.84	\$21.72	26.06	25.67	24.1	12.59	12.42	12.25	3.5	
EDUCACIÓN**													
Total General	12,693.32	631.62	988.63	1,049.70	1,110.30	1,157.90	991.88	1,026.28	1,061.06	1,106.43	1,150.62	1,190.42	1,228.48
Total Per Cápita (en US\$)	106.38	69.41	107.11	112.1	116.85	120.06	101.3	103.56	105.62	108.65	111.49	114.07	117.71
IGUALDAD DE GÉNERO													
Total General	199.78	3.41	14.61	17.17	19.03	17.71	19.04	19.88	20.92	21.97	23.2	22.83	
Total Per Cápita (en US\$)	1.84	0.37	1.58	1.83	2	1.84	1.94	2.01	2.08	2.16	2.25	2.19	
SALUD****													
Total General	8,623.83	429.01	498.49	520.47	626.65	664.13	939.62	884.9	914.74	960.04	1,028.48	1,157.31	
Total Per Cápita (en US\$)	79.34	47.14	54.01	55.58	65.95	68.86	95.96	89.3	91.05	94.28	99.66	110.89	
SOSTENIBILIDAD AMBIENTAL													
Total General	4,751.97		483.03	472.43	464.77	469.4	475.82	464.1	473.06	479.89	484.17	485.3	
Total Per Cápita (en US\$)	48.34		52.33	50.45	48.91	48.67	48.6	46.83	47.09	47.13	46.92	46.5	
INFRAESTRUCTURA (electrificación, viabilidad y género)													
Total General	1,511.85	0	153.56	153.73	153.57	152.96	152.94	149.02	149.04	149.04	149	148.99	
Total Per Cápita (en US\$)	15.39		16.64	16.42	16.16	15.86	15.62	15.04	14.84	14.64	14.44	14.28	
TOTAL GENERAL ODM	29,497.43	1,064.04	2,314.72	2,389.93	2,580.69	2,713.42	2,830.62	2,783.03	2,745.29	2,843.85	2,961.95	3,041.41	1,228.48
TOTAL PER CAPITA ODM (en US\$)	261.53	116.92	250.79	255.23	271.6	281.35	289.09	280.84	273.26	279.27	287.01	291.43	117.71

*Tasa de cambio US\$1:RD\$30 Fuente: Banco Central de la República Dominicana

Source: « *Invirtiendo en el Desarrollo Sostenible de la República Dominicana - Evaluación de Necesidades para Cumplir con los Objetivos de Desarrollo del Milenio (ODM)* » Comisión Presidencial y Naciones Unidas., 2007

The documents published by the GoDR concerning its strategies for the MDGs do not prioritize among them. For example, a key document published in 2007, which was used as a basis for the National Development Strategy, identified the likelihood of achieving the various targets and indicated the costs associated with that effort. Of the total expenditures needed in each sector to meet MDGs, education and health require a little over 50% of the total required (US\$21.4bn out of US\$29.4bn), but again were not stated as priorities per se.

That the DR does not prioritize among its strategies is not new, as will be shown in the following paragraphs. The scoping period for this evaluation begins in 2001. At that time, the 2000 election had just brought into power Hipolito Mejía, the opposition party's candidate, who promised to improve living

standards, fight corruption and spend more on health, education and other social services. The Mejia administration placed its priorities on agriculture, education, health and the environment and reiterated its support for macroeconomic stability and economic modernization. In March 2001, the administration launched a programme of economic reform and a social strategy for the poor, which were not, as will be seen in the next paragraph, a prioritized and structured document that maintained its integrity over time.

Official strategies of the Mejia administration did not remain fixed, especially during and immediately after the financial (banking) crisis in the early part of the decade. During that time, relative levels of spending on education and rural development (two of the key pillars of the pro-poor strategy outlined in 2001) dropped, for example. But the World Bank Country Assistance Strategy (CAS) for the period identified what it (and the government) had concluded as a fundamental strategy for the development of the country. It reads:

“The Government needs to continue with prudent fiscal, monetary and exchange rate policies. It also needs to improve the transparency in the use of public funds, enhance policy coordination, strengthen public administration, and create conditions to deepen the financial sector and intensify domestic competition. High effective protection, poorly targeted subsidies, price controls on agricultural products, and multiple currency practices still create distortions and waste resources. Regulations and cumbersome procedures make it costly to start new companies in traditional industry and agricultural productions continue to operate under strong state intervention and barriers to competition. State ownership of vast holdings of crop land and of the irrigation system, together with ill-defined property rights in rural and urban land, distort factor markets and discourage investment in agriculture and urban areas. Free water encourages excessive irrigation and degrades the environment. The electricity company continues to absorb about US\$250m per year in fiscal transfers. The recent remarkable growth benefited urban areas more than rural areas; faster growth of agriculture and targeted social policies are needed to reduce rural poverty.

There are opportunities that exist for improving the performance of the country. The country still exhibits elements of a dualistic economy, with some sectors like tourism and the free trade zones operating at international competitive levels, and others producing for the domestic market, like agriculture and industry, protected from international competition and burdened by regulations. The rules and regulations that govern economic activity in sectors serving the domestic market should be equalized with the ones that apply to the tourism and export processing zones sectors, to unleash the economy's full potential.”⁶

As a result of that evaluation, the World Bank concluded that its objectives and strategies (i.e. those included in the Bank's strategic documents including the CASs) rightly focused on the need for stabilization policies and structural reforms to bring stability and growth. **It also concluded that it had targeted assistance to those sectors whose development was essential for growth: tourism, transport, agriculture, education, health, telecommunications, and free trade zones. The increased focus (by the Bank) on the social sectors in the 2001-2003 period had also been appropriate, according to the Bank.**

The next important document defining the strategy of the GoDR towards development is the Poverty Reduction Strategy in the Dominican Republic (*Estrategia para la reducción de la Pobreza en la República Dominicana*)⁷ of 2003. It recognized the multidimensionality of poverty and focused on the need to increase the efficiency of social expenditure, improving its quality and focusing on poverty reduction. But again it was not prioritized per se, presenting instead a broad-sweeping set of actions that were to be executed in parallel. No mention was made of the criteria that would be used to select among the strategies; that would have been very useful in the wake of the financial crisis that soon followed the publication of this plan.

There are still no official documents that prioritize the MDGs. For example, the GoDR's National Development Strategy (2009 version) contained the following four objectives, again without priorities:

- “Un Estado con instituciones eficientes y transparentes, al servicio de una ciudadanía responsable y participativa, que garantiza la seguridad y promueve el desarrollo y la convivencia pacífica.

⁶ Report No. 26483-DO Dominican Republic Country Assistance Evaluation, World Bank OED, 2004.

⁷ Presidencia de la República Gabinete Social Oficina Nacional de Planificación *Estrategia para la Reducción de la Pobreza en la República Dominicana* 2003.

- Una sociedad cohesionada, con igualdad de oportunidades y bajos niveles de pobreza y desigualdad.
- Una economía articulada, innovadora y ambientalmente sostenible, con una estructura productiva que genera crecimiento alto y sostenido con empleo decente, se inserta de forma, y competitiva en la economía global.
- Un manejo sostenible del medio ambiente y una adecuada adaptación al cambio climático.⁸

Within this backdrop, it is interesting to note that the EC identified in its CSPs that its support would be concentrated in the following areas:

2001-2007:

1. **Education:** literacy, service delivery quality, teacher qualifications, geographic coverage, infrastructure and de-concentration.
2. **Water and sanitation:** direct impact on health for the poorest, (this sector-wide strategy was abandoned after the Mid Term Review - MTR).
3. **Civil society:** improve participation in policy discussion. The civil society (CS) focus was part of the water and sewer focus.
4. **Mining** and its various impacts on people and the environment.
5. **Private sector support** through regional programmes and budget lines.

2008-2013

1. Governance and support for economic and institutional reforms (1/3 of Envelope A)
2. General Budget Support – directed at the MDGs (about half of envelope A)
3. Joint development of Haiti-DR border region (8% of Envelope A and part of Envelope B)
4. Technical Cooperation Facility (4%)

These Country Strategy Papers (CSP) show that the EC was in line with the overall official needs and strategies (priorities) of the GoDR in the 2001-2009 period. Almost half (46%) the indicative allocations arising from EDF9 were spent in Education (following the MTR decisions) and about half of EDF10 funding will be spent on supporting MDGs (assuming that it can be shown to have happened). Water was identified as a focus sector in EDF9 but was discarded. The support for mining (under SYSMIN) was directed towards reducing the impact of the industry on the environment and on creating better living and working conditions for the poor, all of which are, directly or indirectly, stated priorities.

What is also evident is that the EC has not directed its support to health or to a number of other priorities established either in the MDGs or by the GoDR (e.g. other than those noted above). Hunger reduction (through such measures as employment and rural reform), health (especially in terms of maternal health and access to water and sanitation), urban poverty and economic development in the sectors noted by the WB and the GoDR are not specifically stated as EC priorities. The large amount of funding set aside for governance in EDF10 corresponds to one of the four goals in the National Development Strategy, but the specific disposition of those funds (i.e. on what interventions will the funds be spent in the governance domain, and whether or not the interventions will result in transparency or on processes that provide tighter administrative and macroeconomic controls) was not fully identified at the end of the evaluation period. One can argue that under the protocols for the use of a GBS modality they should not be identified either, but the policy dialogue that accompanies the GBS should identify those issues as priorities and a monitoring system should track progress.

It would have been interesting to identify what DR's civil society proposed as the priority of the population, but the evaluation team did not find any document that could have represented that. Various CSOs have proposed that donors support their agendas and initiatives, but we could not find a document that spoke to the needs of the population as a whole. We did find documents that stressed the need for initiative-specific funding in environment, health, education, community activism, gender equity, and other topics; all of these were very specifically oriented towards the funding of NGOs in specific projects.

⁸ National Development Strategy draft summer 2009 version.

It must be noted that the Evaluation of the EC Country Strategy 1996-2000 as well as the MTR concluded that the EC's programme activities were overly dispersed, given the available funds and the level of aid officials on the ground working for the EC. Recent discussion with the European Union Delegation (EUD) has identified that the Delegation may still be over-dispersed, with too few resources to effectively implement the types of support that is being contemplated (many grants, for example).

As will be expanded upon in JC 1.2 below, the EC has not always included detailed justification for its choices of strategies in its key documents, at least not those that are accessible. The CSP for EDF9 was poorly justified (in terms of statistics and targets) but EDF10's CSP was much better, but the entire focus was on alignment with GoDR strategies and the development of export-led growth. The reason for such alignment is clear (Paris, Accra, priority use of Budget Support, etc.) but the EC itself points to a number of serious constraints in strategic planning in the DR context, suggesting that more on-the-ground research and independent validation/determination of needs by the EC might be in order.

Finally, the evaluation team has not been able to find documents that would indicate what other sectors or priorities were considered by the EC. The CSPs contain a short section on the justification for the NIP and the strategic responses selected, but do not go into why other strategies were discarded.

Indicator 1.1.2: Level of consistency between the EC's choice of focal sectors and the socio-economic equity gap in DR

Note: Under EDF9, the focal sectors were education and water/sanitation. Since the socio-economic equity gap is largely measured in terms of income (including GINI), the only part of the EC's support that would have directly addressed this equity gap is education. The documentation we examined focused on the measurement of that gap and not the effort being made to address the driving factors of the equity gap in DR.

The pre-school access gap is still very high in the DR, with 32% of children having access in 2007, the vast majority being better-off urban dwellers. This could well be a subsidy to the richer population but that level of disaggregation was not available to the evaluation team and research on that particular topic was not conducted. The EC does not directly touch the pre-primary education sub-sector, having focused on the primary education sub-sector. But given international experience, it is likely that there is some spill-over, especially in terms of administrative and institutional fixed and variable costs (sharing schools, same administrative system, etc.). The targets proposed by the DR's National Development Strategy only foresee a small improvement in this area by 2030.

In terms of net attendance at the primary level, the DR reports that has achieved a 95% coverage rate in 2006. While this may appear to be high, it places the DR in the 60 percentile rate with about half the countries doing better. The DR targets a 98% record by 2020, but his figure must be qualified by remembering that there is likely a considerable gap in access between the rural and urban children. Nor does it reflect the importance of doubling or tripling of classes in some schools, where some children receive only a few hours of schooling in the morning so that the same classroom can be used again in the afternoon and again in the evening for other classes. The figures also do not speak to the issue of quality of education. Unless the rural and urban poor are specifically targeted, the socio-economic gap will not be affected.

Strategies for reducing regional differences in education access and service delivery were not accessible to the evaluation team at this time; they are only now being made generated as the EMIS is rolled out. Analyses of quality (see EQ 3) indicate that this is a very weak point in the education sector.

Figures for quality are notoriously difficult to develop. The National Development Plan offers an insight into this area by pointing out that the DR scored LAST among 16 Latin American countries on UNESCO-sponsored tests at the 3rd and 6th levels of primary school in **BOTH reading and mathematics**. This is illustrated in the following table:

Table 3: *International Comparison of Results of Reading Exams*

Puntuación pruebas internacionales de lectura					
<i>Una sociedad cohesionada, con igualdad de oportunidades y bajos niveles de pobreza y desigualdad</i>					
Indicador	Unidad/ escala	Situación al último año disponible	Meta 2020	Meta 2030	Fuente
Puntaje promedio de estudiantes de 6to. grado de primaria en prueba de lectura OREALC/UNESCO	Puntaje Promedio Nivel I > 299.64 Nivel II > 413.58 Nivel III > 514.41 Nivel IV > 621.68	2005 421 Nivel I	Pertenecer al Nivel III	Pertenecer al Nivel IV	UNESCO
Promedio de los puntajes de los estudiantes de 3er. grado de primaria en la prueba de lectura OREALC/UNESCO	Puntaje Promedio Nivel I > 367,36 Nivel II > 461.32 Nivel III > 552.14 Nivel IV > 637.49	2005 395.4 Nivel I	Pertenecer al Nivel III	Pertenecer al Nivel IV	UNESCO

País	3er Grado 2005	Percentil	6to Grado 2005	Percentil	Comentarios adicionales <ul style="list-style-type: none"> • En 2005, RD obtuvo la puntuación más baja, entre 16 países de América Latina, en la prueba de lectura aplicada por OREALC/UNESCO a estudiantes de 3ro. Y 6to. grado de primaria. • Para 2030, el gran reto para RD es ubicarse en el Nivel IV de las Pruebas de Lectura de OREALC/UNESCO. • A fin de comparar el desempeño de los estudiantes de República Dominicana con los de todo el mundo, es necesario plantearse el objetivo de participar en las pruebas PISA en el futuro cercano y, una vez establecida la línea de base, proceder a fijarse metas de puntajes a ser obtenidos en dichas pruebas en 2020 y 2030.
Cuba	626.9	100	595.9	100	
Costa Rica	562.7	93	563.2	94	
Chile	562.3	87	546.1	88	
Colombia	510.6	67	514.9	59	
El Salvador	496.2	47	484.2	41	
Ecuador	452.4	13	451.5	12	
Guatemala	447.0	7	447.4	6	
República Dominicana	395.4	0	421.5	0	

Source: « Propuesta Estrategia Nacional de Desarrollo 2010 – 2030: Indicadores y metas », Ministerio de Economía, Planificación y Desarrollo, Consejo Nacional para la Reforma del Estado, 2010

The statistics for secondary education in DR are worth noting. The net coverage for secondary education was only 53% in 2007, placing the DR near the bottom of the list of countries. Secondary education appears to have been identified as a priority by the government in that the National Development strategy sees that percentage increasing to 77% in 2020 and to 100% by 2030. Again, it is not known if recent investments in secondary education have specifically targeted the poorest. This question was not examined further since it was outside of the temporal scope of this evaluation but it is an important consideration that the EC will need to take into account in future policy dialogue.

The investment in education during EDF9, when complemented by the General Budget support focus in EDF10, points to the fact that the EC's focal sectors do address a critical part of the socio-economic gap in the DR (education), but it does so in a highly future-driven (long-term) perspective. For example, primary education will eventually increase the household per capita income (GINI) but it takes a great deal of time to do so, thus it has little effect on the equity gap even over the long term.

Other than education, there is little direct support for a conclusion that the EC is directly influencing the reduction in the socioeconomic gap. The EC has not focused on income-generation or income-sharing in the DR except tangentially (SYSMIN, the border region and support to trade, for example). The support provided there was also long-term and was, in fact, minimal in terms of disbursements. The EC also has not invested significantly in secondary education, even though that might provide much faster relief from poverty than primary education, especially if it is tied to a demand-driven strategy for Vocational and Education Training (VET).

Under EDF10, the focal sectors are:

1. Governance and support for economic and institutional reforms (1/3 of Envelope A)
2. General Budget Support – directed at the MDGs

That half the A envelope directly addresses MDGs indicates that the EC may be indirectly addressing socio-economic equity, but that is not a guarantee. If the funds are spent on improving service delivery in existing health centers, for example, it will mean that the rural poorest will receive relatively less than before, and that argument applies as well to the other sectors.

Indicator 1.1.3: Level of consistency between the choice and priority given to sectors and national policy priorities of the EC in DR

From the information provided in the analyses of indicators 1.1.1 and 1.1.2 above, we can state that the EC has aligned its strategic priorities through the choice of sectors and relative allocation of funding to the overall priorities of the DR and its population. Over the years from 2001 to 2009, the EC has been relatively consistent in its choice of sectors, but its interventions do not seem to correspond to an EC-developed long-term strategy. Consider:

1. Health:

The evaluation carried out in 2000 indicated that the focus on strengthening government institutions increased considerably in the 1996-2000 period, especially in health and technical and professional education, but that the effectiveness of the support was limited⁹. In EDF9, "health" per se was dropped in favor of water and sanitation (later dropped). In EDF10, Health is subsumed under the GBS-MDG. So the direct support of a health strategy in the country cannot be said to have been a consistent EC thread.

2. Education:

The EC's support for education in EDF8 was through Technical and Professional Education. The 2000 evaluation notes that the success of the EC in that sub-sector was limited due to problems at the ministry itself. The EC support in EDF9 was focused on the institutional capacity and the service delivery of primary education. Although there were indications from the World Bank, the International Labour Organization (ILO) and other bodies that the productivity of the private sector and its ability to engage in trade were critical to growth¹⁰, the EC did not continue in Technical and Vocational Education, or even secondary education. The Ministry may have capitalized on the sector budget support to develop some of its capacity in these domains but the evaluation team could not validate this possibility through its field research.

EDF10's support to education is limited to meeting the MDGs through a GBS. While laudable, the MDGs are not focused on secondary education or on Technical and Professional Education, the latter not being an MDG at all.

In this sector therefore, it is clear that the EC has consistently supported primary education in the period under review, but that it dropped a very important sub-sector for poverty reduction and equity.

3. Institutional reform:

The EC supported institutional reform and development in EDF8 but the 2000 evaluation noted that it had consistently engaged in reform in ministries that were not committed or engaged in reform. Strictly speaking, the EC's strategies for EDF9 did not include institutional reform (except for the possible exception of the education sector although the term "reform" is not generally used to describe that evolution). The water and sanitation focus was to support a sector-wide reform but the sector was dropped at the Mid Term Review stage. The Country Strategy Paper (CSP) and National Indicative Programme (NIP) of EDF10 contain a significant amount of funding for "Governance and support for economic and institutional reforms"; the description of its application, however, indicates that it will be used in a great many widely diverging domains, from corruption reduction to energy competitiveness to audit and evaluation of the EC's programme. It will also be used to support the pre-qualifications for eligibility of the DR for the EC's GBS, in that it will be applied to public sector administration and public finance management, both being subject areas where a significant number of donors are already present. It is interesting to note that in the CSP for EDF10, the EC identifies that its €61m over five years for institutional support can be applied to 12 areas or more. They vary widely from prison reform to energy sector capacity development, and are not prioritized. Interestingly, most "reforms" are planned in terms of policy, regulatory framework and organizational terms, but not in terms of capacity per se.

⁹ See "Evaluation of EC Country strategy: the Dominican Republic 1996-2000".

¹⁰ See, for example, the "Dominican Republic Country Assistance Evaluation" 2003, OED, pp 1-15.

In this domain, it is therefore clear that the EC has consistently supported the need for “reform” or at least what could be called “significant capacity development” in the DR, specifically with respect to education. It has not been consistent in its reform support in other sectors.

4. Other sectors:

Mining was only addressed in EDF8 and 9 through SYSMIN.

Civil society support has consistently been part of the EC’s operationalization of its NIP, but CSO support has only been identified as a specific focus (but not a concentration) in EDF9. It is not specifically developed as a strategy in EDF10.

The joint development of the DR-Haiti border area has been part of the EC’s programming since EDF8, including within regional strategic plans.

Private sector support through the NIP was a part of EDF8 and EDF9. EDF10 refers to the “Investment Facility” managed by the European Investment Bank, but it specifies that it is not funded under the NIP. There were also interventions dealing with Competitiveness under the “non-focal sector” rubric.

With respect to this sub-section (4) it is clear that the EC has changes its strategies somewhat between EDF9 and EDF10 largely focusing on GBS in the latter. The DR-Haiti border is the only constant in the non-focal areas, at least under the NIP. If budget lines were to be considered, then civil society support is a consistent factor through EDF8 to EDF10.

JC 1.2: EC strategic priorities reflect pressing developmental needs of the population of the Dominican Republic.

Overall analysis of JC 1.2

Through a) its analyses for the preparation of its CSPs b) its focus on the selected focal and non-focal sectors, c) its alignment with the set of overall plans of the GoDR, and d) its support to the GoDR during the consultative process leading up to the NDS, the EC is addressing the needs of, the population of the DR.

While JC 1.1 established the link between the EC and the GoDR in terms of priorities, this JC 1.2 seeks to make the link between the EC and the population of the DR. Overall, the EC has examined the overall developmental situation of the country and its people on at least two occasions during the scope of this evaluation: in preparing the CSP for EDF9 and that for EDF10. In both of these exercises, the EC carried out broad-sweeping analyses of development needs and participated in a consultative process involving civil society and other stakeholders such as Non-State Actors (NSAs). The contents of those documents clearly refer to the priorities and plans of the Government and not specifically to the needs of the people, a refinement that is more evident than real in those documents (they could have been written that way for editorial simplicity, for example). Both of these CSP's were written in the absence of an accepted (by Congress) National Development Strategy, although a very first draft was available in 2008 when the CSP for EDF10 was signed. Every focal sector and non-focal sector retained by the EC can be directly found in one part or the other of the various national plans (sector-specific or otherwise) of the country and, moreover, has been identified as being a priority by key multilaterals and International Financial Institution (IFI). (Education, competitiveness, civil society, mining and the environment, etc.). Further, the EC has participated actively in consultative processes (with Civil Society) leading up to the National Development Strategy (NDS) being promulgated, thereby being in a position to be intimately familiar with its axes and targets. In that way, it can be deduced that the CSP reflected the needs of the population. It needs to be borne in mind that even today many important "social and economic problems" in the country remain poorly documented, such as the corruption costs to the poor and the social costs of access to education, health and other basic social services. Further, civil society organisations that publish data concerning the needs of the people tend to be very concentrated in their physical coverage and scope, so it is difficult to establish what the "exact need" of the population of the country actually is and what the consequences might be of not resolving these problems. Comparing the analysis of other donors concerning the needs of the population and the country (including the WB CAS and the Country Plans of the United Nations Development Programme (UNDP) as well as the Country Strategies of Canada and USAID) with the choice of sectors found in the CSP, it is clear that the EC is active in key sectors relating to poverty. It could have chosen to be active in other important sectors such as health, and water-sanitation, but there is no intrinsic reason to conclude that these sectors are more critical than the ones identified in the CSP. Moreover, there are other donors that are active already in these fields, as the detailed table in the WB CAS 2010 will attest.

The EC does not independently monitor and analyse the evolution of the "needs" of the population or progress made in meeting those needs but relies on the analyses of the GoDR and other major donors, as well as a combination of its own pre-CSP country analyses and various consultative mechanisms with civil society (such as for the NDS). The combination of these mechanisms is considered to be sufficient to ensure that the "needs" of the population are made clear to the EC. Since its CSPs reflect these mechanisms, it can be concluded that the EC's programmes reflect the needs of the population. A much more rigorous monitoring or "intelligence" system is needed by the EUD however.

The EC has not always included detailed justification for its choices of strategies in its key documents. The CSP for EDF9 was poorly justified (in terms of statistics and targets) but EDF10's CSP was much better, but the focus was on alignment with GoDR strategies including the development of export-led growth for competitiveness (along with continuing

support to civil society capacity). The reason for such alignment is clear (Paris, ACCRA, priority use of Budget Support etc.) but the EC itself (in JARs and during discussions with the EUD) points to a number of serious constraints in strategic planning in the DR context, suggesting that more on-the-ground research and independent validation/determination of needs by the donor community generally and even the EC specifically are in order. Discussions with the EUD has shown that it has, after all, only one resource that is partially dedicated to this specific analytical function out of only four or five in the entire EUD (not counting vacancies). **(I 1.2.1)**. Interviews with stakeholders in the field show that they perceive that the EC works in domains that are related to needs of the nation, even if some stakeholders would recommend changing the means. **(I 1.2.2)**

The evaluation team could not validly conclude on the relationship between the EC contribution in the country and the geographical distribution of that support towards poorer parts of the country. Discussions with the EUD confirmed that the EC does not maintain databases or monitor the performance of its country-level programme based on geographical distribution of beneficiaries. The National Audit Office (NAO) also confirmed that the GoDR does not have that information either (for the EC or the country at large). Discussions with stakeholders in GoDR Ministries also confirmed that a small number of GoDR departments report on ratios that contain “urban-rural” splits, but that these are not correlated to the EC contributions per se and refer to their own mandates for service delivery.

Evaluation findings do, however, indicate that the EC has supported, through SBS, the education sector which has established a priority for access to primary education (rural and urban). The EC has also supported border-zone projects where the profile of the beneficiaries indicates very low levels of family income. Other key interventions, including those based on competitiveness, may have a bias towards more urban centres, but there Pro-Banana and other interventions were clearly spread out over the entire country. While some interventions can clearly be identified with a geographical region (ex. Border Zone with Haiti), these are the exception. Much of the EC's NIP is spent on national-level programmes. **(I 1.2.3)**

Analysis of indicators

Indicator 1.2.1: Existence of sound information and analyses on national needs and the high socio-economic equity gap within EC programming documents

As identified in the various indicators relating to JC 1.1, there are a number of official documents and studies that describe or identify the existence of national needs and a high socio-equity gap. Discussions with donors in the field also noted that the GINI is now stable but internal studies show that it will not be reduced in the mid term. A fairly recent document published by Colombia University¹¹ shows that valid and statistically relevant data and definitions are not a feature of reporting on the DR's socio-economic status, including its MDGs. As well a presentation prepared in 2007 shows the extent to which there are important discrepancies in data relating to poverty. Part of that presentation is reproduced below:

¹¹ IBID Suli and Vial, pp. 1-4.

Table 4: *Example of Discrepancies Between Data Sources for DR*

Tres datos, una misma fuente de información
 Con la Encuesta de Gastos e Ingresos de los Hogares realizada por el Banco Central en el año 1998 se han realizado diversas estimaciones de la pobreza tal como se puede observar en el siguiente cuadro:

Cálculo	Dato en % población	Línea de pobreza mensual per cápita
Banco Central, 1999	25,8	RD\$894.0
BM, 2001	28,6	RD\$867,7
Morillo, 2003	44,2	RD\$1,278

El Banco Central con una línea de pobreza ligeramente superior a la del Banco Mundial obtuvo un valor de incidencia de la pobreza menor que el Banco Mundial. Esto se explica por las diferencias de ajustes realizados a los ingresos de las personas que en consideración del Banco Mundial estuvieron sobre ajustados, lo que subestimó el nivel de pobreza. La estimación de Morillo es consistente con una línea de pobreza mensual per cápita mayor similar a la utilizada por la CEPAL.

Source: volensamerica.org/IMG/ppt/Pobreza_en_Republica_Dominicana-4.ppt

What the evaluation team observed is that even the latest versions of the National Development Strategy do not prioritize “needs” or “strategies”. Nor do these documents take the entire national well-being into account: they do not deal with macro-economic policy requirements, trade development, the size of the public service and the policies related thereto, crime reduction policies, the plight and integration issues of Haitian (illegal) immigrants into DR society and the extension of protection and rights to them or wide spread corruption, to name a few.

The CSP for EDF9 contains a section describing the five key objectives of a “national plan for development”, and then proceeds to describe the policy areas within which the GoDR will act. No targets or analysis is provided, possibly because the GoDR did not have any to provide at the time, given that a consultative process on the national development plan had just started in March 2001. The CSP then proceeds to describe challenges and opportunities but does so at a very high level of abstraction¹². No data is offered to support the analysis, nor are references provided, but officials at the EUD informed the evaluation that many studies were in fact carried out, some with the financial and technical support of the EC.

The CSP for EDF10 provides a much deeper analysis than its EDF9 counterpart. Some figures for economic, social and other issues are given as are targets. A request to DGDEV (Directorate General for Development) for copies of specific analyses done by the EC to justify its choice of sectors, or any analysis that would include scenario development for options to the EC’s strategy did not result in any documentation being received¹³. The field research confirmed that documents containing such analyses were not easily available there either, partly as a result of a poorly functioning archiving system that is still being developed.

Even if the strategy contained in the CSP appears to be aligned with the key areas of the National Development Plan (the CSP is signed before the NDP is approved), the EC’s obvious strategy is to support what the GoDR wants to do and this in spite of what is written on page 17 of the CSP which indicates that:

- “No single entity (i.e. in the GoDR) is responsible for follow-up to ensure coherence between them (i.e. national strategies).
- Monitoring mechanisms are inadequate and timely progress reports on implementation are not available
- *Budget allocations do not follow strategic planning*
- *Efficiency, Effectiveness and transparency of public expenditure remains weak.*”

In the presence of a statement by the EC that such formidable constraints exist (note that widespread corruption was not mentioned), it is noteworthy that no analysis exists on how the EC will manage these important risks as they apply to meeting national needs and reducing the socio-economic equity gap. Robust risk-monitoring systems were not in place, being replaced by internal meetings to share

¹² See CSP EDF9, p. 10-13.

¹³ E-mail to EUD.

information. Furthermore, our review of a number of financing agreements indicated that detailed and sound information and analyses on national needs and the socio-economic equity gap were not there either¹⁴.

Notwithstanding the observations above, we found that only a relatively small part of the EC's cooperation efforts in the country could be assumed to DIRECTLY address the equity gap, education being the obvious example. The GBS, the work with CSO, border zone development, macroeconomic support, SYSMIN, State reform, etc. do not necessarily **directly** address the equity gap although there are indirect effects.

Indicator 1.2.2: Confirmation of other stakeholders (GoDR, donors, NSAs, other specialists) that EC support relates directly to the real needs (as expressed by the MDGs)

This indicator was integrated with I 1.2.1, see above. Also see EQ2, 4, 5, 6 and 7. Overall, all interviewees perceived that the EC support (all modalities) dealt with the most critical national needs as expressed in the MDGs.

Indicator 1.2.3: Degree of correspondence between geographical distribution of project interventions and mapping of poverty

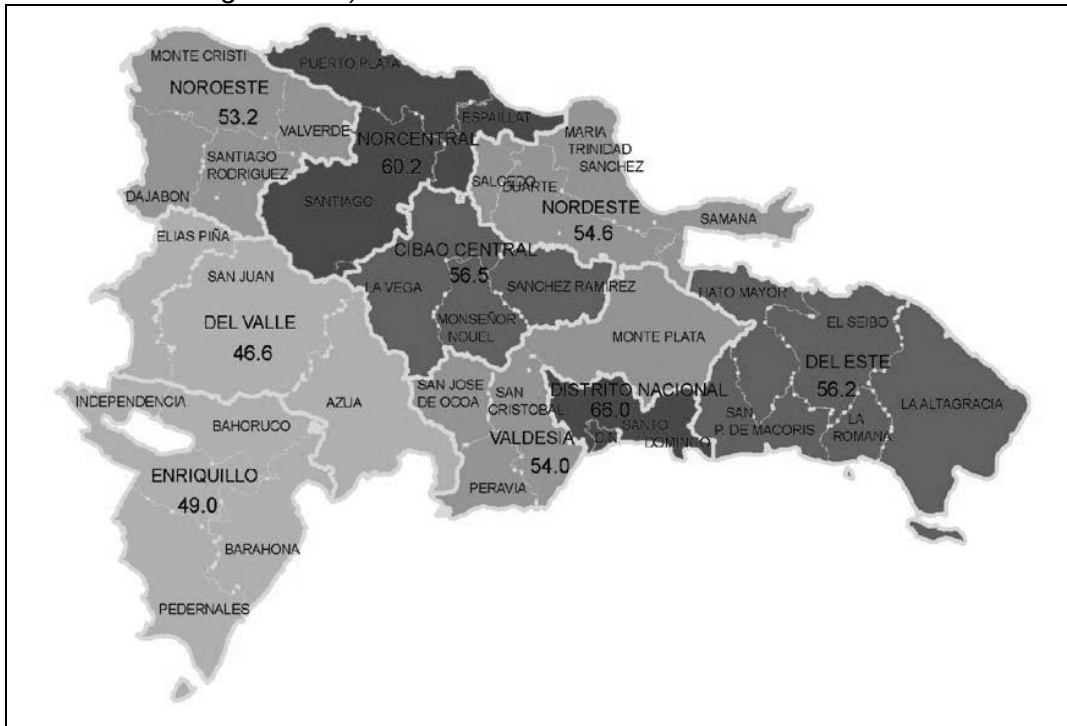
It has been an impossible task to assign geographical distribution of project interventions to a poverty map of DR. That being said, a recent GoDR publication specifying targets for the National Development Plan from 2010 to 2030 contains interesting maps that identify where, by province, poverty is distributed¹⁵.

The evaluation team used these maps during its field mission but was unable to update them either with information from the EUD or from the NAO's office. Both of these sources informed the team that the GoDR publication referred to above was a one-off and there is no spatial distribution of benefits covering the evaluation period being developed. An example of such a map, indicating the percentage of homes in extreme poverty per region, 2005, follows:

¹⁴ See for example Financing Agreement 9526/DO for GBS project for poverty reduction.

¹⁵ Perez, A. M., « Focalisacion de la Pobreza en la Republica Dominicana segunda edicion, » Publicacion del secretariado Tecnico de la Presidencia, ONP, 2003-2005. See also « Atlas de la Pobreza, 2005 » by same author.

Figure 1: Geographical distribution of poverty (in % of homes in extreme poverty per region 2005)



Source: Perez, A. M., "Atlas de la Pobreza", 2005

The EC is, however, supporting a UNDP initiative to monitor poverty but, as reported by the EUD, results are not yet available. The EC may be concluding an arrangement with UNICEF to monitor the MDGs in education, but data is not available there either.

JC 1.3: Emerging issues were incorporated quickly and effectively by the EC into its programming and policy dialogue with GoDR.Overall analysis of JC 1.3

Major evolving priority issues in the DR, such as macroeconomic stability, mining impacts on small communities and families and primary education, have been supported by the EC's interventions. The higher-level value-added that could be made possible through donor coordination and policy dialogue has not generally been achieved, except partially through the GBS dialogue mechanisms and two sector roundtables.

In EDF9 and EDF10 a significant portion of the strategic directions and options are directly geared towards resolving emerging priorities. For example, EDF10 GBS in institutional reform is specifically intended to improve the control framework of the GoDR in banking and macroeconomic management, an evolving priority in the latter part of the decade, especially since the financial crises in the early-mid past decade. Before that, other donors worked on those issues and the need for high-performing PFM was not viewed as critical by the national government and the international donor/financing/banking community.

Various reports point to the level of corruption in the country having increased dramatically in the decade. The Governance GBS is directed at managing this. The exports of agricultural products has decreased in the decade and, given the imbalance in the trade deficit, new markets must be found to support the need for hard currencies. The regional EPA relates to this in large measure, even if it is not DR specific.

The EC'S SYSMIN also provides an example of rapid responses to emerging issues. The growth of the mining sector provided an opportunity for the EC to fill an important void in the regulatory framework that governed the sector. SYSMIN also provided a form of social security net for families that were dependent upon the mining sector. Has the EC not provided that support when it did, it is doubtful that the negative impacts of new mining activities would have been mitigated to the extent they were. (refer to EQ 7 on SYSMIN)

Haiti (and to a lesser extent the DR) have been hit with natural disasters in the decade. That and the political instability in Haiti have made it imperative to create a buffer zone at the border to contain the flow of illegal immigrants. This has been part of the EC's strategic intent since EDF8, but the nature of the specific strategies have focussed more and more on economic development in the border zone since EDF9, responding to a Hispanola-wide set of strategies to stabilize the Haitian economy. (I1.3.1)

Internal EC correspondence points to a conclusion on the part of EC officers and managers that a satisfactory level of compliance concerning policy dialogue commitments on the part of the GoDR through the GBS has been achieved. The evaluation team questions that conclusion in that the dialogue achieved does not constitute the basis of a development partnership between the EC and the GoDR based on mutual accountability. Since a significant portion of the dialogue is not well documented, the quality of that dialogue and the impact it has on the decisions of the GoDR can only be analysed in terms of the perceptions of stakeholders on the ground, and on that point it is interesting to note that the EC is perceived as having played a significant and positive role in a number of sensitive dossiers through what might be termed "informal" policy dialogue. Its consistency in keeping both Haiti and the DR engaged in joint approaches to development through informal dialogue is widely recognised, as is its efforts in competitiveness frameworks, human rights and social issues. Many stakeholders were of the opinion that these dossiers have advanced in good measure thanks to the EC's informal dialogue and influence. Unfortunately, the evaluation team was unable to document these observations, but many individuals from different organisations referred to the same "influences".

In terms of value-added, the JAR from 2006 to 2009 consistently point to the fact that donor coordination is a difficult problem in the DR. The GoDR insists that wants to coordinate

donor support but has not done so effectively. Only a small number of sector committees function at all with the leadership being provided by interested donors.

A key case involving the ability of the EC to meet « Emerging issues» was the decision to halt further cooperation in the area of potable water during EDF9. It was recognised during the Mid-Term Review that the GoDR had blocked key laws and a law on sector reform in the water sector. These approvals had been identified as conditions for disbursements by the EC. An extension has been granted to the GoDR and an analysis done by the EC in 2003 concluded that:

- The reform of the water sector was not a GoDR priority, given its political difficulties with the privatisation of the energy (electricity) sector.
- The impact of the EC in the sector was going to be marginal. The overall financial needs for the sector were enormous as compared to the planned EC PIN for that sector. The IDB was already prepared to finance the sector and to work on reform (but did not do so due to the GoDR resistance)
- Due to the 2003 crisis in the country, the EC and other donors were exiting or preparing to exit the country.
- It proved to be impossible to obtain data for feasibility studies under the circumstances and intervention design was very short on facts.

The EC therefore decided to re-allocate the funds earmarked for the water sector to budget support in macroeconomic reform. The strategy was to use the budget support to quicken the pace of the reform under the new government that had been established.

The political and economic conditions at the time were difficult, in that the 2003 financial crisis had shaken the government and reduced the pace of reform across all sectors. The EC responded quickly to the situation and provided financial support in an area that had begun to be important during EDF8 (macroeconomic reform) but which had taken on much higher importance in the aftermath of the 2003 financial (banking) crisis. Based on the reporting that is provided in the Joint Annual Review (JAR) 2004 concerning the reasoning behind the exiting of the EC support from the water sector(outlined above), and the economic and social analysis the evaluation team has done concerning the 2003-2005 period showing the relative lack of priority for social spending, the evaluation team supports the decision to exit the sector.

The JAR 2004 provides information concerning the intense level of political and policy dialogue that were required to bring about the re-allocation. **(I 1.3.1 and 1.3.2)**

Mechanisms that would improve the coordination and complementarity of EU-wide donor actions have not been effective and were still, at the end of the evaluation period, at an “identification” stage. Donor coordination at a wider level is not effective either, caused by a number of factors including issues of coordination that are internal to the GoDR and, in the case of the invitation to the EC to join various IFIs in a budget support programme, on the internal complexities of the EC's own programming. **(I1.3.3)**

Analysis of indicators

Indicator 1.3.1: Existence of evidence within programming documents that the modifications of the CSP over time have reflected the evolution of Dominican priorities, including in relation to its perceived needs

As noted in our analysis of Indicators 1.1.2 and 1.1.3 above, the EC has not tended to stay within the same sectors over time; more precisely, the sector-focused approach in EDF9 was replaced with a GBS-driven approach in EDF10 that supported the MDGs generally and governance and institutional reforms. These remain priority areas of the GoDR and the people of the country (especially the support to MDGs).

The country that was the Dominican Republic in 2000 is not quite the same country in 2009. For instance:

- *Two important fiscal and economic crises (2002-3 and the global crisis in 2007-9) demonstrated that the control framework of the GoDR in banking and macroeconomic management was deficient and needed to be improved¹⁶. The EDF10 GBS in institutional reform is specifically intended to improve both of these.*
- *The level of corruption in the country has increased dramatically in the decade. The Governance GBS is directed at managing this.*
- *The social-economic equity gap has increased since the beginning of the decade.*
- *The exports of agricultural products has decreased in the decade and, given the imbalance in the trade deficit, new markets must be found to support the need for hard currencies.*
- *Haiti (and to a lesser extent the DR) have been hit with natural disasters in the decade. That and the political instability in Haiti have made it imperative to create a buffer zone at the border to contain the flow of illegal immigrants.*
- *Key MDGs that were set before the turn of this century are now evidently not going to be achieved. This has had the effect of focusing attention on certain MDGs such as education and health. These therefore appear to be evolving as new priorities, even if, in fact, the performance in the sub-sectors may be improving.*
- *Even within a sector, the DR's priorities have changed. In education, the emphasis has evolved from an across-the-board approach (i.e. pre-school, primary, secondary, professional and technical) to one that is focused on primary education and its universal access.*

Given the evolution shown above the analysis shows that the sectors that were chosen for EDF9 and EDF10 have definitely EVOLVED towards the "emerging" priorities. Education has evolved towards the primary sub-sector. Health has become part of the priorities indicated in the MDG-GBS. Better fiscal and regulatory bases as well as a more stable and predictable public financial administration are now priorities; Corruption management is now included as a priority.

But important needs still persist:

- *Progress on the joint development of the DR-Haiti border is not happening¹⁷.*
- *The effect of the EPA, while promising, is not yet clear and quantifiable, and it is not yet clear how the EPA will improve employment in the country¹⁸. It is too early to tell what will be the impact of the EC's regional programmes focused on trade facilitation and support to regional trade facilitation,*
- *The focus on primary education may not enable employment to improve dramatically in the medium term.*
- *Equitable access to healthcare and water and sanitation for the rural poor may not be progressing as it should, particularly when it is considered that access must be paid for. The rural poor are thus more vulnerable, in spite of the introduction, in 2008, of family health insurance¹⁹.*
- *Uncontrolled urbanization is causing considerable problems from a health and environmental perspective. The DR must find solutions in the short term or suffer the impact in terms of welfare, health and morbidity, to name a few.²⁰*
- *Progress in the relations between the DR and CARICOM is very slow²¹.*
- *There is still a lack of financial regulation with a regional incidence²²*

The WATSAN case as an example of EC reactions to emerging issues

¹⁶ See latest World Bank CAS.

¹⁷ "Risk Analysis in Delegations - MP 2010", p. 2.

¹⁸ See our analysis on EQ6 in this document and in the main report.

¹⁹ JAR 2009 p. 12.

²⁰ JAR 2009 p.14.

²¹ JAR 2009 p. 7.

²² IBID p. 7.

A key case involving the ability of the EC to meet « Emerging issues» was the decision to halt further cooperation in the area of potable water during EDF9. It was recognised during the Mid-Term Review that the GoDR had blocked key laws and a law on sector reform in the water sector. These approvals had been identified as conditions for disbursements by the EC. An extension has been granted to the GoDR and an analysis done by the EC in 2003 concluded that:

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The political and economic conditions at the time were difficult, in that the 2003 financial crisis had shaken the government and reduced the pace of reform across all sectors. The EC responded quickly to the situation and provided financial support in an area that had begun to be important during EDF8 (macroeconomic reform) but which had taken on much higher importance in the aftermath of the 2003 financial (banking) crisis. Based on the reporting that is provided in the JAR 2004 concerning the reasoning behind the exiting of the EC support from the water sector(outlined above),, and the economic and social analysis the evaluation team has done concerning the 2003-2005 period showing the relative lack of priority for social spending, the evaluation team supports the decision to exit the sector.

The EC'S SYSMIN also provides an example of rapid responses to emerging issues. The growth of the mining sector provided an opportunity for the EC to fill an important void in the regulatory framework that governed the sector. SYSMIN also provided a form of social security net for families that were dependent upon the mining sector. Had the EC not provided that support when it did, it is doubtful that the negative impacts of new mining activities would have been mitigated to the extent they were. (refer to EQ 7 on SYSMIN)

These examples point to concrete cases where the EC has adapted its responses to emerging and priority issues.

With respect to the relations between the GoDR and the EC with respect to the role that the latter could play as a partner concerned about emerging issues, it is clear that the main mechanisms for this exchange are political dialogue and policy dialogue. The JAR 2004 provides information concerning the intense level of political and policy dialogue that were required to bring about the re-allocation. **(11.3.2)**

Internal correspondence within the EC²³ points to a transition from a poor to a satisfactory level of compliance in policy dialogue on the part of the GoDR through the GBS. A quote from that document reads:

²³ Note to file 24 June 2009, Concerning the GBS 9 ACP DO 17 payment justification for tranches. Section 2.

The GoDR involves the EC in a budget support related policy dialogue on economic and fiscal policies

Compared to the rather timid performance against this condition in the context of the previous disbursement in June 2008, significant developments have taken place during end 2008 and 2009: closer cooperation with IMF in the context of the PPM review, presentation by DR government of economic, social situation and macroeconomic policy and first Cotonou political dialogue meeting in February 2009.

This condition is therefore met.

The topics that were the subject of the dialogue (noted above) do not appear to bear witness to a significant level of positive political dialogue between the EC and the GoDR. That the GoDR works better with the IMF, presents its policy to the international community and holds political dialogue meetings in the shadow of a particular one-off event does not appear to constitute a value-added dialogue between the EC and the GoDR. Nevertheless, the quality of that dialogue and the impact it has on the decisions of the GoDR (and the EC) was reviewed with various stakeholders in the field. Overwhelmingly, the response was that the EC's potential for changing or dramatically modifying positions or policy was very limited, in part because of the size of its contribution, but also because it generally appeared to prefer to act bilaterally. It does, however, hold a considerable amount of respect and can influence process and dialogue between intervenants. Examples given were the critical role it has played in keeping the dialogue window open for joint DR-Haiti discussions and approaches, and the sensitization it has achieved with elected officials on women's rights and social issues concerning illegal Haitian immigrants.

Indicator 1.3.2: Existence and degree of effectiveness of mechanisms to document the use of evaluation and monitoring results/ appropriate responses to lessons learnt and recommendations and to build those into future planning processes including policy dialogue

Note: the expression “and to build those into future planning processes including policy dialogue” has been added to this indicator to ensure that the entire statement of the JC was covered.

The evaluation team did not find any document that directly spoke to this issue. The 2009 JAR, however, implies that the internalization of “lessons learnt” is still an important gap:

Donor alignment and harmonization are hindered by a lack of policies²⁴, but the current systems for monitoring policies are not robust and as a result these policies are not used in policy dialogue²⁵. “These (monitoring) systems should be at the heart of results-based management”, notes the JAR 2009.

There is not enough emphasis on the organization of reviews, joint missions and the use of basket fund mechanisms²⁶.

The ROM reports contain observations and conclusions but discussions in the field showed that the EUD needs management mechanisms to systematically examine these reports from a programme-wide perspective and ensure follow-up.

Indicator 1.3.3: Degree of effectiveness of mechanisms to coordinate EC programme coverage with that of other donors, including MS

With respect to intra-EU coordination, the JAR 2009 notes on page 22 that the EUD “organized several meetings to discuss possible ways of implementing the EU Code of Conduct. These meetings were identified potential powerful synergies between the EU and MS in education, environment and bi-national cooperation”. Specific and observable results were not indicated in the JAR. It is clear from the quote above that the EUD and MS are still at the stage of identification, having used the term “possible ways”.

²⁴ JAR 2009 p. 22.

²⁵ IBID, p.22.

²⁶ IBID, p. 22.

Various JARs (2009, 2008 and 2003 for example) describe the donor landscape in the DR. For example, section 1.2.2 of the 2009 version²⁷ contains a description of the “*most active donors*” as well as a statement that “*other donors are backing the development of the private sector...*” Finally, there is a “donor matrix” for grants and contributions and another for loan commitments.

The JAR does not, however, describe the results of any donor coordination mechanism; what it does do (pp. 20-21) is describe the poor level of donor coordination due, in large measure, to the overly-distributed responsibility for its execution. The following quote is relevant:

“...the EC, along with the World Bank and the Spanish cooperation, recently proposed to the Dominican government the joint signature of a memorandum of understanding for budgetary support providers. This suggestion has been well received by the State Secretariat of Economic Affairs, Planning and Development. If this strategic association were to take place, it could be an incentive for other development donors to consider this modality of aid. Any action would have to comply with the new rules and mechanisms established in the framework of the National Planning System.

In general, donor coordination was relatively weak during this period, given the lack of ownership of development cooperation – the Dominican government having taken on its coordination, with the mandate scattered amongst several public institutions

Some sector coordination meetings were held during 2008, e.g. in the education, governance, competitiveness and environment sectors. The agenda of these meetings was, however, for the most part limited to an information exchange between donors, with no real discussion of sector policy.”²⁸

The same types of comments are included in the 2008 JAR. The 2003 JAR only contains a table of donors and their main interests. The other EUD reports to HQ, including administrative and risk reports, do not describe the coordination mechanisms in any detail.

²⁷ IBID p. 9.

²⁸ JAR 2009 pp. 21-22.

JC 1.4: EC strategic priorities identified in CSP/RSP reflect EC policy frameworks and regulations applicable to DR.

Overall analysis of JC 1.4

The EC strategic priorities spelled out in the CSPs/RSPs clearly reflect the policy framework and intent of the EC, both through EDF-related funding and through other funding mechanisms made available through the EC.

Overall, the entire set of EC policies has been applied in the DR including those dealing with MDGs and the development of a special trading relationship with the EC that will directly and indirectly bring about growth. The USA-DR relationship is framed by the fact that they are each other's largest trading partner, that the majority of foreign investment is American, that the DR has had preferential tariff relief with the USA for many years and that the DR is a major jumping off point for drugs into the USA. No contradictions or aberrations were found; therefore the strategic priorities contained in the CSP are compatible with overall EC policies and regulations. (I 1.4.1)

There is evidence that shows that there is a direct link between the strategies expressed in the CSP and NIPs and the actual programmed interventions (in both focal and non-focal sectors). Finally there is a high degree of relevance between the EDF-related cooperation and the support to development provided through other EC funding modalities such as ECHO, water and energy facilities, RSPs etc. (I 1.4.2)

Analysis of indicators

Indicator 1.4.1: Degree of consistency between EC CSP/RSP objectives for DR and the overall set of development and trade policies stipulated in EC strategic documents and regulations (as applied to DR)

The evaluation team examined various EC development and trade policies and did not find any that were specifically directed at the DR except for EPA, RSP and CSP-related documents. However, the overall set of EC policies have been found to have been applied in the CSPs and RSPs.

The primary and overarching objective of EU development policy is to eradicate poverty in a sustainable way²⁹.

“The Millennium Development Goals (MDGs) are key to the policy. The eight MDGs were adopted by world leaders in 2000 with a 2015 deadline and range from halving extreme poverty and halting the spread of HIV/AIDS, to providing universal primary education. The EU has asked national authorities to set financial targets for development funding so as to demonstrate their commitment to the MDGs.”

The CSPs for the DR are directly in line with the above-noted thrust. The MDGs are the focal point for the CSP for both EDF9 and EDF10. Specifically, the EC's intent for its development assistance in the DR (as noted through its CSPs and RSPs) has consistently been on education and, to some extent, on extreme poverty (including in the mining domain and the development of the DR-Haiti border) and health (planned actions for water and sanitation). For details of the DR-Haiti contribution of the EC, refer to the analysis in EQ 5).

With respect to trade, Europe's website³⁰ notes that:

“Since 2001, the EU's Everything But Arms initiative has eliminated all duties and quotas for all products (except arms) originating from the world's least developed countries. The EU was the first developed market bloc to do so. The special trading relationship between the Union and its 79 partners in the Africa-Caribbean-Pacific (ACP) group has been a model for how rich countries can open their markets to poor ones.”

“This is why the Union has designed a new series of economic partnership agreements with the ACP countries.+. The idea is to help ACP countries integrate with their regional neighbors as a step

²⁹ European Consensus. The same basic objective has been re-inserted into the recent Green Paper.

towards global integration. At the same time, the EU will continue to open its markets and remove barriers to exports from the ACP group.”

The EC's programme in the DR has been in line with these statements on trade. An EPA is in place for the region that has the potential of supporting the export and manufacturing expansion of DR firms (EDF10). Special initiatives are in place to bolster competitiveness and the EC is supporting various efforts of the GoDR to improve its enabling environment for trade (for details, see below and the analysis found in EQ 6). The EC has also supported regional integration, including the expansion of market access among and between DR's neighbors (see EQ 6 for details of the regional and trade efforts).

A concern that needs to be taken into account under this indicator is the potential for inconsistency that could arise if the execution (i.e. interventions) did not reflect the national strategy. In that case it would be possible for CSP strategies to be consistent with EC policies but the interventions would not support that consistency. In EDF10, there is a direct link between the strategies expressed in the NIP and the actual programmed interventions. The JAR 2009 (p. 24) notes that:

First focal sector:

"Focal Sector: Budget Support to Promote Poverty Eradication, Foster Social and Human Development and Social Cohesion (€106.2m or 59% of the MTR A Envelope vs. €91.3m or 51% of the CSP A Envelope)

In the first focal sector, EU cooperation will seek to improve social and human development by supporting the achievement of MDGs through budget support operations. The areas in which performance criteria will be selected include prominently poverty alleviation, health and, particularly, education. It has been considered appropriate to include the sector budget support modality along with a major programme of general budget support to foster policy dialogue and reforms in the priority sector of education."

The planned EC response for this sector includes the following interventions:

- *"General Budget Support in support of ODM for an amount of €76.2m (AF scheduled for December 2009 through an ad-Eval. coord. for the EUD decision)*

During 2009 the resumption of the dialogue and analysis regarding the progress in public finance management, the negotiation of an agreement with the IMF and the preparation of a National Development Strategy have allowed for the resumption of the budget support disbursements, which were suspended in 2008, because the GoDR did not fulfill conditions it had agreed to and have made possible the possibility of the new general budget support programme planned for 2009 under the EDF10 initial strategy.

The amount proposed for this programme is lower than the one initially foreseen in the current strategy (€76.2m vs. €91.3m) due to the proposal to introduce a new sector budget support programme, as described below.

- *Sector Budget Support in Education or, alternatively, in Vocational Training for an amount of €30m (AF scheduled for April 2010 – AAP (Annual Action Program) 2010)*

Building on the promising experience of the EDF9 PAPSE programme and, to a lesser extent, on the EDF8 PRO-ETP programme, a sector budget support in the education area would allow for furthering the dialogue and coordination already initiated in both sectors, while providing the additional budgetary resources necessary to make a difference as regards the effective implementation of the sectors' medium term strategic plans.

The disbursement of the FLEX 2009 allocation as a last 2010 tranche of the PAPSE programme would ensure the continuity of the EDF budget support to the education sector."

³⁰ http://europa.eu/pol/dev/index_en.htm.

Second Focal Sector: Consolidating Governance and Support for Institutional & Economic Reforms (€36m or 20% of the MTR A Envelope vs. €61.7m or 34% of the CSP A Envelope)

The main policy objective in the second focal sector for EDF cooperation includes giving a fresh impetus to public administration reforms, in particular the implementation of the career civil service:

The planned EC interventions in the second focal sector are:

- *Decentralized Project in Support to the SEAP (Ministry of Public Administration) for an amount of €8m (AF submitted in June 2009 - AAP 2009)*

This project has a preparatory nature and duration of 4 years. Its implementation would allow for a continuation of support in this area (if relevant) in the framework of the EDF11.

Moreover, addressing economic governance and competitiveness is essential to make trade work for development and further integrating the Dominican economy with the world. EDF cooperation needs therefore to focus on the development of competitive advantages, facilitating the development of products, quality and processes and the required human skills etc. that are competitive on an international level. Public services need to be made available for companies to benefit from liberalization (norms, standards, certification systems, SPS, etc.):

- *Decentralized Project in Support to the CNC (National Competitiveness Council) for an amount of €5.1m (AF submitted in June 2008 - AAP 2008)*

This project has a preparatory nature and duration of 4 years. Its implementation would allow for designing, launching and monitoring of the strategic actions to develop competitiveness of enterprises.

- *Sector Budget Support in Competitiveness for an amount of €23m (AF scheduled for April 2010 – AAP 2010)*

Assuming that the relevant competitiveness strategy is effectively designed, ready to be operational, and that the other conditions for a sector budget support programme are met by the end of 2010, this programme would provide the additional budgetary resources necessary to make a difference as regards the effective implementation of the corresponding strategic plans.³¹

Non-focal sector

Non-Focal Sector: Bi-national Programme (€15m or 8% of the CSP/MTR A Envelope)

As a response to crisis prevention concerns, relations with neighboring Haiti deserve specific attention in order to assist both countries in developing their complex relationship, addressing in the framework of bi-national policy strategy issues of migration, commerce and economic development, infrastructure links, public health and the environment:

The EC's responses to this non-focal sector are

- *Centralized Project for Border Infrastructures for an amount of €10m (AF submitted in April 2010 - AAP 2010)*

This project has a regional nature and would require contribution from the RIP to the level of €10-15m. Its implementation would allow for long overdue completion of infrastructures financed under previous EDFs (for instance, the Dajabon bi-national market and Customs) and for undertaking additional works of a bi-national nature, such as Customs facilities, finalization of the rehabilitation of the transboundary

³¹ JAR 2009.

corridor (road section between Dajabon and Montecristi), road accesses and effective insertion of the bi-national market into its local socio-economic and development reality.

- *Contribution to the non-infrastructure Bi-national Programme for an amount of €5m (AF scheduled for April 2011 – AAP 2011).*

This project has a regional nature and would require contribution from the RIP and from the Haiti NIP. Issues of migration, commerce and economic development, border links, public health, culture, bi-national institutions, environment and others might be addressed under this cluster programme being designed with the assistance of consultants to be recruited by the EU Delegation in Haiti.

Each of these planned or actual interventions are clearly in line with the objectives set out in the sector descriptions and objectives in the CSPs.

Indicator 1.4.2: Degree of consistency between the EDF-related cooperation strategies and those of other funding modalities that are available to the EC in the DR (multilateral agency-related interventions, budget lines, Sysmin, NGO budget-line funding, EIB, ECHO, etc.)

Overall, the 2009 JAR does not report on the full scale of EC activities in the DR. Reporting on the integration (or at least complementarity) of ECHO, budget-lines (in environment or NGOs for example) and multilateral agency related interventions are not part of the reporting process.

The 2008 JAR was more comprehensive.

European Investment Bank

EIB activities in the DR can be characterized as being complementary to the trade and private sector development policies and strategies of the EC. *It provides loans to small and medium enterprises (€20m in the DR) through existing facilities in the ADEMI and ADOPEM banks and the FONDESA agency. A new credit line for €40m is in the process of being approved for the Atlantic Touristic Boulevard. The EIB is active in the Dominican Republic since 1994 and has invested in the electricity and banking sectors*³² The choice of the electricity sector by the EIB is also in keeping with the CSP objectives for EDF10 (i.e. energy sector reforms-CSP p. 33).

Regional or Intra-ACP projects

In terms of regional and intra-ACP cooperation, the Dominican Republic recently benefitted from three regional or intra-ACP projects: Bi-national Environment Program, Economic Development of the Northern Corridor of Hispaniola (Mercado de Dajabón) and an intra-ACP Program in Support of the Rum Industry, which involves Brugal & Cía and Barceló Export Import CxA (BEICA). The Rum Industry interventions (€70m) will deal with:

*“...waste management; development of a regional brand; modernization of distilleries and marketing. The Dominican Republic has managed to place two projects, one for Brugal y Compañía to modernize its distillery, enabling it to sell part of its shares to a European undertaking for US\$1,200m, and the other one for BEICA, which started building a new distillery in 2009. This programme supported the distribution and marketing of Caribbean rums, with Dominican rum exports rising to some 3 million cases of rum per year.”*³³

SYSMIN

It is noted in JAR 2008 that SYSMIN 2 focuses on institutional capacity building and the provision of geoscientific data, environmental remediation measures for a specific mine and support for non-industrial mining. SYSMIN 2 was significantly reduced in scope and in budget. The results of SYSMIN (1 and 2) are not easily tied into the development objectives set out in EDF9, in that the key beneficiaries are not only the poorest (with the very real exception of the effort to improve the well-being of families that rely in “non-industrial mining” (a term that is most often used to describe very dangerous forms of mining involving children and for which the annual revenues are quite low). EQ 7 deals entirely with the mining issue.

³² IBID p. 20.

³³ JAR 2008.

Regional Mechanisms

With respect to the use of regional mechanisms, the EC has constantly supported CARICOM and its role in regional integration, including through the EPS process and the Caribbean Common Economic Market. A Contribution Agreement was signed with Caribbean Export in 2008 that launched phase two of the Caribbean Development and Trade Programme. The EC also continued to support the work of the Regional Preparatory Task Force (RPTF) enabling it to continue drafting studies in line with the chapters approved in the EPA to be used as a basis for preparing the programmes and/or projects to help countries assume the commitments laid down in that agreement. The effectiveness of that Task Force was not detailed in any report that the evaluation team examined.

Another important aspect of regional cooperation related to the DR is bi-national cooperation with Haiti; an amount of €23.1m has been approved for this purpose. The NAOs of Haiti and the Dominican Republic signed the Santo Domingo Declaration, which lays down the main guidelines governing joint work under the RIP and the amounts allocated for bi-national NIP cooperation in both countries. Two key interventions were planned: a) an economic development project in the northern corridor and a cross-border environment project. The objectives of these interventions are to:

“...reinforce and develop the economic and social capacity of the area in order to enhance and protect its natural and environmental resources, facilitating the management and development of the lake region, while at the same time boosting bi-national cooperation through measures to project and develop the tourism potential of the region”³⁴.

Based on the above, the CSP strategies are therefore consistent with regional-level mechanisms.

Water Facility

A Water Facility was in place during EDF9. It provided for the “Sustainable supply of water and sanitation for 63 poor communities” through World Vision. The project ran into some project management problems but an Addendum was required. A “Water culture against poverty” project” was planned in 2008 and was to have been executed through the National Institute for Water resources. A third project: “Improving water and environmental sanitation conditions in the marginal neighborhood of Juana Saltitopa, Los Alcarrizos municipality and Santo Domingo”, proposed by the Dominican Institute for Integrated Development:”, started in 2008. The project is clearly a grass-roots intervention that will affect almost 15, 000 people. These types of interventions are directly in line with the policies and priorities of the EC overall and in the DR as noted in the CSP.

Energy Facility

An Energy Facility has been in place all during EDF9. Four interventions were approved:

1. IDDI (Instituto Dominicano de Desarrollo Integral – Dominican integrated development institute. This project's achievements in 2008 include: 300 hectares of land going to waste being replanted with *Jatropha Curcas* within a community-based framework.
2. EDEESTE (Empresas Distribuidores de Electricidad de Este (it is unclear if this project went ahead)
3. UNPD• renewable energy generation systems installed and in operation
4. Consorcio Tecno DEAH: conversion of biomass into electricity at Mata de Palma, a traditional sugarcane community in the El Seibo province. (It is unclear if this project went ahead)

These four interventions reflect the strategies of the CSPs (i.e. environment and energy)

Budget Lines

In addition to the EU-DR cooperation activities financed by the EDF, the European Commission budget has several lines to finance projects in predefined areas. The thematic projects managed by the Delegation in the Dominican Republic covered the following during the evaluation period: co-financing of NGOs; democracy/human rights; health and the environment.

³⁴ JAR 2008, p. 23.

The actions carried out under the thematic lines in the DR have included many areas of intervention: rural and socio-economic development, civil society capacity-building, natural resources, sexual and reproductive health, and gender and education. In geographical terms, projects were quite well dispersed in several areas of the country: Cibao, Monseñor Novel, marginal neighborhoods of Santo Domingo and Santiago, Hato Mayor, Independencia, Santiago Rodríguez, Montecristi and San Cristóbal.

"At the end of 2008, eight thematic projects had been started, of which five were still involved in operational and/or financial activities, for an amount of €3.5m. The Delegation continued with the positive assessment of summary notes which could be converted into new thematic projects in 2009. Overall the implementation of the budget-line projects is progressing well"³⁵.

From the above, it is clear that the Budget lines supported the non-focal sectors outlined in EDFs 9 and 10, especially with respect to civil society.

ECHO

The 2008 JAR also refers to ECHO, in that:

"Under the 6th Action Plan on Community Disaster Preparations (DIPECHO) in the Caribbean, three projects were completed in the Dominican Republic between 2007 and the end of 2008 for an amount of almost €1m. The projects were implemented through Plan UK, the Asamblea de Cooperación por la Paz (ACCPP - Asamblea de Cooperación por la Paz) and Intermón-Oxfam. The Intermón-Oxfam project, implemented with the local partner IDDI, reduced the vulnerability of three neighborhoods in the north of Santo Domingo which are regularly flooded when the River Ozama bursts its banks. The Commission's contribution to this project was €378,415. The Plan UK project was carried out in four vulnerable communities in the south (provinces of Independence and Barahona) which also suffer often from considerable flooding. The European Commission's contribution to this project was €338,197. Lastly, the ACCPP and its local member, the local action institute (IDAC), prepared the population of three "bat eyes" in the province of San Pedro de Macorís to cope effectively with the effects of hurricanes and tropical storms. The Commission's contribution to this project was €190,207."

Although these ECHO interventions addressed the needs of the poor for personal security and possibly reduced risk to health through water-borne vectors, it is unclear if or how they were integrated into the other programmes and strategies of the EC in the DR.

³⁵ JAR 2008, p. 26.

JC 1.5: The choice of sectors to support (in the CSP-NIP) and any eventual changes to those strategies they include are based on objective (ex-ante) analyses that include risk assessment.

Overall analysis of JC 1.5

The EC's key strategic documents (CSPs, RSPs, etc.) do not contain a risk analysis that is sufficiently detailed to enable decision-making related to the changes in the strategies or to the likelihood of success of the proposed strategies.

The EC's key strategic documents (CSPs, RSPs, etc) do not contain references to ex ante detailed analyses that would be sufficiently detailed to enable decision-making related to the changes in the strategies or to the likelihood of success of the proposed strategies.

According to the EUD, detailed ex ante risk analyses are not systematically carried out and if they exist they are not easily accessible on the EC's databases, even to EC staff. The risk matrix attached to the CSPs (the Operations Framework and Performance Indicators Annex) does not contain a credible set of assumptions concerning the risks associated with the programmes. Assumptions and risks that are written there are superficial, overly vague and/or relatively evident to the point of being corollaries of the outputs statements; they do not address the likelihood of success or the scenarios that the success might adopt.

The experience of the EC with respect to the re-allocation of funds from the water sector to macroeconomic support was analysed to determine if ex ante risk analysis could have foreseen the reaction (or non-reaction) of the GoDR to its commitments in the sector. The CSP does, in fact, refer to a commitment being made by the GoDR and so the EC was justified in principle in pursuing the strategies it outlined for the sector. A significant part of the reasons why the GoDR reacted as it did was its management of the banking crisis of 2002- 2004, and even the WB and IMF were not prepared for the GoDR's reaction to the crisis. However, the extent to which the banking system was overextended was matter of public knowledge for some time, and the EC could have predicted an upcoming period of financial and macroeconomic crisis at the time of the drafting of the CSP. The importance of the water sector to health and other MDGs, and the commitment given by the GoDR to support that sector, would likely have been determinant factors in the inclusion of the sector in the EC's strategic plans nevertheless. **(I1.5.1)**

Although it is not an ex ante type of analysis per se, the Risk Analysis the Delegation Document fails to provide explicit information on the programme risks including comprehensive information on what the risk factors are likely to be, why these are risk factors in the first place, what is the likelihood of occurrence, what is the likely direct and indirect impact of the risks, what the EC should put in place as mitigation strategies, and how the strategic intents of the EC will be affected in the event of a risk event. **(I1.5.2)**

Analysis of indicators

Indicator 1.5.1: Existence of ex-ante objective analyses to support the original choice of sectors or any proposed changes

The evaluation team asked DGDEV for copies of this type of analyses at the beginning of the inception stage and was informed that such files were not available. The same question was asked in the summer to the EUD with the same response. A third request in January 2011 was greeted by the same response, only this time it was specifically geared to analyses since the creation of the European External Action Service (which took over the AMP exercise).

The question we asked is: "Do you recall ever seeing an ex-ante objective (i.e. structured) analysis that would have been performed during the design of the EDF9 or EDF10? This analysis would have supported the EUD and Brussels to CHOOSE the sectors it would include in its CSP/NIP. It would

also, for instance, have helped determine the level of indicative funding that was put aside for each sector.”

Our interlocutor's response was in the negative. To be fair, the responsibility for coordinating this type of analysis in the field is historically that of the EUD officer responsible for economic affairs, and our interlocutor might not have been part of that process at that time.

There must be files that relate to that process, but we have not found them. Interestingly, these files were not shared with the evaluation teams in some other country-level evaluations either³⁶. Interviews with the EUD in the field point to a problem with accessing archived material and a severe shortage of corporate memory. We therefore hypothesize that these analyses are probably scattered amongst a number of files and are in the hands of various players, but that the team was unable to access them for the reasons identified.

Indicator 1.5.2: Existence of risk analyses concerning likelihood of success for strategies selected

Interviews with DGDEV (early 2010) and the EUD (early fall 2010) indicated that documents containing these specific types of analyses did not exist in the files in Brussels. CSP strategies are based on perceived needs (as defined by the GoDR) and not on expected deliverables, so risk analyses would have to be at a relatively high level, but even these are not there.

Close analysis of the CSPs for EDF9 and EDF10 indicate that the “Operations Framework and Performance Indicators” Annexes do not have a credible set of assumptions and those that are written are overly vague or relatively evident (ex: Donor resources continue to flow”, found in EDF10 CSP, Section 1.6.2 p. 37, or “sound macro-economic management” in section 1.5.2 on p. 39). None or few assumptions have been identified under the “results” row.

An interesting note to the above is the paragraph spelled out in the section of the 2009 JAR that refers to proposed adjustments to EDF10³⁷. In proposing a change, it notes that:

“The risk associated with this strategy is considered to be rather high. Against the background of a chronic gap in the country between the word and the deed, the implementation of the new national development strategy might prove tougher than expected confronting an economic situation much worse than initially admitted. Other factors might also have a possible high impact in the rhythm of the necessary reforms: 2010 will see very hard fought legislative and municipal elections, which could monopolize and distort the government's efforts and attention.

More specifically, in response to the needs identified in the country analysis, the main objectives of the EDF cooperation programme for the Dominican Republic in the period 2010-2013 are twofold: greater social and regional cohesion and strengthening the governance of the country. EDF cooperation will thus be concentrated on two focal sectors: budget support for promoting poverty eradication, foster social, human development and social cohesion, on the one hand, and consolidating governance and support for institutional and economic reforms, on the other.”

While very useful in and of itself, the information remains at a conceptual level and does not speak to consequences of the risk on the programme (or to mitigation). In fact, the report identifies that the country does not have an approved development strategy, proceeds to indicate that public financial management is weak, indicates that reporting mechanisms from the GoDR are very poor and not always trustworthy and then suggests the continued use of GBS, without indicating mechanisms to ensure accountability.

Information concerning the structured analysis of risk associated with the strategies selected may exist somewhere but was not recovered by the team. Interviews with EUD officials confirmed that the EC managers in the field need these types of management systems but they are not part of the EC “toolkit”.

Indicator 1.5.3: Existence of a risk management and mitigation plan that is monitored regularly and monitored against

The only EUD-level risk assessment reporting tool that was found by the team is the “Risk Analysis in Delegation – MP 2010”³⁸, While the report format itself corresponds to the main items that are

³⁶ Refer to experience of the authors in the Uganda and Djibouti evaluations.

³⁷ JAR 2009 p. 24.

required for risk assessments by most donors, the information itself is not explicit and the risk description as well as the mitigation suggestions are overly general.

Ex:

1. "Fragile technical capacity on IT issues in the delegation may hamper effectiveness of activities, including on critical deadlines". As a risk descriptor, this sentence fails to identify the extent, likelihood or consequences of the risk.
2. "The Delegation will support PFM processes together with other donors". This mitigation "action" is not, in fact, a mitigation action at all but a general statement of intent. No specific actions are spelled out, and there is no indication of the effect such an action might have on the impact of the original risk that was described.

While performance monitoring is an inherent part of all EC administrative processes (see for example the "Note of the delegation 00485 of 19/5/2009 on the GBS ACP DO 017") the practice is to compare progress against plans. In fact, a marginal note added to that report notes "Agreed. However, DR situation requires close follow-up on both PFM and PRSP"; one could ask why a plan to do just that was not included in the document or an annex to it. We therefore found that monitoring reports concerning future risks and adjustments required to plans as a result of the risks are a rarity.

³⁸ The evaluation team looked at the ROM reports and asked the EUD what they prepared. It also looked at a few QSG reports but the issue of risk is not a Quality criteria per se.

1.2. EQ2: To what extent has the EC's support through sector budget support in the education sector contributed to improving the sector policy framework and increasing the operational service delivery levels of the primary education sub-sector?

JC 2.1: Specific inputs provided by the SBS, as well as the design mix of these inputs, correspond to the political, economic and institutional context (need) in the sector and sub-sector and to EC policy on the provision of BS.

Overall analysis of JC 2.1

Specific inputs provided by the SBS, like the transfer of funds to the government's treasury and TA, as well as the design mix of these inputs, have corresponded rather well to the political, economic and institutional context in the primary education sub-sector, as well as to EC policy on the provision of BS. There were correspondence of objectives and existence of favourable entry conditions. However, a GoDR led multi-donor policy dialogue did not take place and the long-term capacity development strategy contained in the Ten-Year Plan still needs to take form.

In terms of inputs relating to the EC budget support to the sector, the disbursement of the first tranche under the PAPSE took place in 2007 for an amount of €10m; a second disbursement of €20m, which included €14m from the fixed and the rest from the variable tranches, took place in 2008. A third disbursement of €9.45m (€5m fixed and €4.45m variable) was made in October 2009. A rider to the FA 9579/DO signed in February 2010 provided for an increase of €15.33m (from the FLEX 2008 allocation) and increased the execution period to December 2010. A final disbursement of €24.08m was therefore made in 2010 (€16.33m fixed and €7.75m variable).

The MTR 2009 noted that, with respect to Focal Sector: Budget Support to Promote Human Development and Social Cohesion (€106.2m or 59% of the MTR A Envelope vs. €91.3m or 51% of the CSP A Envelope), "EU cooperation will seek to improve social and human development by supporting the achievement of MDGs through budget support operations. In consequence, performance criteria of GBS will focus on education, health and other poverty related issues. Considering the particular relevance of education for social and economic development in Dominican Republic as well as the favorable conditions for budget support in the sector, the NAO and the delegation consider appropriate to include – in addition to the general budget support programme – a specific sector program to support implementation of the sector plan, established partly with the support of EC support under EDF9". In fact, an indicative amount of €30m was reserved for an SBS in education to support the effective implementation of the medium term strategic plans (established with previous EC support).

As part of its support to the education sector, the EC also provided a broad range of technical assistance. The EU - SEE report entitled "Informe Final 2009 Asistencia Técnica al Programa de Apoyo a la Política Sectorial Educativa (PAPS-E)" describes in detail the nature of that support and the results produced. The report notes that the TA was focused in those areas that would "facilitate the disbursements of the budget support". TA was assigned to a wide variety of tasks in the first year, from the preparation of financial agreements and their supporting strategies (within the SEE) to assisting with the setting up of systems within the SEE to manage the EC requirements under budget support. The TA during the second year was much more operational and focused on the provision of advice on a wide number of topics concerning the education reform (advice was provided not only on "education" but on institutional management issues such as decentralized models). The third year and until the end of TA support in May 2009, the TA were tasked to support a number of activities that enabled the SEE to link together various parts of its sector and institutional frameworks. These included very specific sector-related designs to meet SEE requirements (such as capacity development in specialized areas); reengineering of the entire SEE; the design of education policies and the 10-year Plan 2008-2018; community participation strategies; EMIS and M&E. Over the course of the life of the TA support, the "Oficina de Planificación Educativa", which directed and managed the TA, was credited with supporting a number of management and sector improvement initiatives as well. The report

further confirms that the TA provided did, in fact, correspond to the result areas agreed to between the EC and the SEE.

All stakeholders interviewed during field visits agree on that there exists a high degree of correspondence between the objectives and approach of EC-supported SBS and the GoDR's strategic and policy framework concerning education. This is sustained when looking at the national policies and EC programming documents for the Dominican Republic. The EC (with other partners) has been an outstanding partner of the Government in the formulation of the present National Development Strategy (it was consulted on previous versions) and through TA of the Ten-Year Education Plan 2008-18. As a result, the Ten-Year Plan and the Strategic Plan for Education Management 2008-12 are basically consistent in objectives, actions and expected results with the education provisions in the draft NDS and Multi-Annual Public Sector Plan for Education 2010-13. In changing to BS for education the EC has taken into consideration the needs arising from the long-term and the systemic perspective adopted by the GoDR.

The BS to the primary education subsector has also been in accordance with EC related policy goals of aid effectiveness. No specific conditions for SBS were made and general conditions (satisfactory macroeconomic management, PFM reforms and preparation of an MTEF, Multiyear Budget and MT Strategic Plan) seemed to be in satisfactory progress. The TA delivered has helped to install the concept and practice of a new planning and budgeting in the subsector. However, there are still some doubts (expressed during field visit) on whether GoDR understands the BS concept, as sometimes procedures are not followed (on time) causing unnecessary delays. At the same time, BS continues to be the best alternative, according to all respondents. The EC has also played an important role in starting policy dialogue and donor coordination in the sector and has made efforts to align budget support with the policy issues of interest of other donors, leading to the fully coordinated participation of Spain in the BS approach in the subsector. (See also JC 2.3).

As for political commitment of GoDR no specific data have been found, but this commitment presumably existed, as the government agreed to work on "re-engineering the structure and organization of the SEE ...". The Strategy Framework (FA) has been adjusted to the specific characteristics of GoDR, splitting the major invention into: Phase I (€3.9m) for institutional support to the Ministry of Education and other involved national institutes, and Phase II (€48.2m) conditioned to the fulfillment of the necessary conditions for BS (FA No.9579/DO). Weaknesses in PFM have been further addressed with the GBS modality accompanying SBS, aimed at contributing to progress in public financial management (PFM) reform and stronger accountability in this field. (Draft Country Note DR).

Overall, the application of SBS has been flexible, motivating discipline and at the same time allowing the MinERD to define clearer priorities and to work on continuity; it was adapted according to changes occurred and has shown to be most appreciated by GoDR. This has been confirmed by the interviews during field visit as well as in the Draft Country Note DR.

Capacity development has been to the forefront of EC Budget Support to the education sector, and has been built on analyses of institutional capacity, which was reportedly low. Long-term capacity development plans are expressed in the Ten-Year Educational Plan and the Strategic Plan for Education Management 2008-2012, and training activities in management and M&E have been reported by MinERD. Still it can be questioned whether capacity at global level is already matched by sufficient implementation. Several respondents consider that EUD needs to be actively involved in monitoring and not leave this completely to the Ministry.

Finally, the EC has played a leadership role in donor coordination at sector level since it has started the sector Donor Coordination Board (*Mesa de Donantes*) and provided a reference for GoDR's decision on aid modalities. As a result Spain has taken over the SBS aid modality to the sector and articulation with WB and IDB support has taken place. Nevertheless, during field visit the *Mesa Sectorial de Educación* resulted to be not operational.

Analysis of indicators

Indicator 2.1.1: Correspondence between the objectives and approach of EC-supported SBS and the GoDR's strategic and policy framework concerning education.

The PRS in the Dominican Republic³⁹ of 2003 recognized the multidimensionality of poverty, identifying two education-related objectives: universal primary education and the reduction of illiteracy. Being one of the characteristics of poverty low human capital, the GoDR decided to increase social expenditure. In this strategy framework education is recognized as a priority, after the reduction occurred in the 80s and partial recovery in the 90s as a result of accelerated economic growth.⁴⁰

In 2009, a National Development Strategy has been launched by the Dominican Republic.⁴¹ This document identifies reduction of poverty, of social imbalances and inequalities as some of the major challenges for the national development process. In education, the most important problems to be dealt with are identified as access, equity and quality. According to the NDS, the future policies in education will have to address these problems by: a) widening the coverage of the education system and facilitating access; b) fostering improvements in the teaching-learning process to promote education relevance, better curricula, and better conditions for the teachers; c) building the capacity of education policy makers and implementers at all levels.

Education has been one of the focal sectors of *EDF9 (2000-2007) and the CSP/NIP (2001-2007)* for the Dominican Republic. EC intervention has evolved over time. In previous programming periods the project approach was implemented. Eventually EC intervention in education has taken into consideration the needs arising from the long-term and the systemic perspective adopted by the GoDR. The Plan for Education (PEDEP 2003-2012), the Ten-Year Plan 2008-18 and the objectives of the Strategic Orientation Document (MDG Objectives) outlined the need for an integrated budgetary planning and execution control mechanism. Consequently, the 2004 Mid Term Review (MTR) of CSP/NIP recommended a change towards the *Budget Support* modality at both macro-economic and education sector levels. This change in modality was reinforced by the good results brought by the first Education SPSPs in other ACP & ALA countries⁴² and by similar decisions taken in other ACP countries as a result of the Guidelines for EC support to Sector Policy Support Programmes adopted by the EC in February 2003. A further step was taken by the adoption of the GBS modality in 2006 with the aim of promoting the rationalization of public finance management in favor of social sectors (education and health), enabling the GoDR to implement its Sustainable Development policies and strategies thereby reducing poverty.

The BS to the primary education subsector has been in accordance with EC related policy goals of aid effectiveness, to promote national ownership, strengthen results orientation and coordinate donor inputs with other resources.⁴³ EC BS aims at increasing education sector effectiveness and efficiency⁴⁴, and promoting coherent planning, budgeting and expenditure.⁴⁵ The core elements for receiving BS (sector strategy, sector budget MTEF with Multiyear Budget and MT Strategic Plan and a coordination framework) were in place although not all functioning optimally. The “re-engineering” of the MinERD has not yet been completed.

During field visit, all relevant stakeholders confirmed the high degree of correspondence between the objectives and approach of EC-supported SBS and the GoDR's strategic and policy framework concerning education. EC budget support through PAPSE 1 has helped to get long- and midterm education reform plans off the ground. The following are key supporting documents relating to this indicator.

Data, sources, extracts:

Camino a la Segunda Reforma del Sector Educación en la RD. Proyecto de AT Institucional (ATI) Unión Europea – Documentos Finales: “El Programa de Apoyo a la Política Sectorial en Educación

³⁹ Presidencia de la República Gabinete Social Oficina Nacional de Planificación *Estrategia para la Reducción de la Pobreza en la República Dominicana* 2003.

⁴⁰ Public Education sector expenses in relation to GDP were the lowest in the region, although registering an increase in absolute terms in 1992 – 2002 period, related to the increase of the GDP.

⁴¹ Ministerio De Economía, Planificación Y Desarrollo Consejo Nacional De Reforma Del Estado Estrategia Nacional de Desarrollo 2010-2030 END – 2009.

⁴² Overseas Development Initiative Common funds for sector support- Briefing Paper 2008.

⁴³ Support to Sector Programmes Covering the three financing modalities: Sector Budget Support, Pool Funding and EC project procedures July 2007.

⁴⁴ Support Programme to Sector Policy in Education (SPSPE)(DO/002/03rev)EDFIX (SBS Sector Budget Support).

⁴⁵ GBS- General Budget Support for Poverty Reduction (DO/005/05)EDFIX.

(PAPSE) tiene por objetivo mejorar el acceso a una educación básica de calidad y la eficiencia del sector educativo en la República Dominicana, además de impulsar el Plan Decenal de Educación 2008-2018, a través de la Secretaría de Estado de Educación (SEE)."

Draft Country Note DR: *"By recognizing that one of the conspicuous characteristics of poverty is low human capital, the GoDR decided to increase social expenditure, improving its quality."* < >

There existed a high degree of relevance and alignment between these priority programmes of government in the education sector, and the particular projects that were supported by the EC during the period under review. All aspects of the EC projects, including school infrastructure reconstruction and development⁴⁶, improving access and increasing education sector effectiveness and efficiency⁴⁷, and promoting coherent planning, budgeting and expenditure and increased resources for education.⁴⁸ The SBS has shown to be the most consolidated aid modality and the most appreciated by GoDR.⁴⁹ The adoption of a second phase of Sector Budget Support is due to the successful implementation of the first phase. < >

The performance of this aid modality has been very high, quick decisions have been taken, transaction costs have been reduced, no parallel structures have been created, as GoDR procedures have been adopted, and the ownership and satisfaction of partners⁵⁰ have been increased. On the other hand, the performance of the remaining few projects related to education⁵¹ (and not involving the SEE-MINERD as implementing partner) has been shown to have been somewhat problematic."

MRT 2009: *"In the first focal sector, EU cooperation will seek to improve social and human development by supporting the achievement of MDGs through budget support operations. In consequence, performance criteria of GBS will focus on education, health and other poverty related issues. Considering the particular relevance of education for social and economic development in Dominican Republic as well as the favorable conditions for budget support in the sector, the NAO and the delegation consider appropriate to include – in addition to the general budget support programme – a specific sector programme to support the implementation of the sector plan, established partly with the support of EC support under EDF9.*

Building on the promising experience of the EDF9 PAPSE programme, a sector budget support in education would allow to support the effective implementation of the sectors' medium term strategic plans (established with previous EC support) and for continuing the dialogue and coordination already initiated in the sector."

EUD Disbursement calculation Table 2008, p. 1: *"Even though the SEE has carried out substantive regulatory and legal work creating the framework and the conditions to facilitate and support new roles and responsibilities in the public administration of the education system, there is no evidence, neither of the real application of the adopted measures, nor of their approval by the National Council of Education."*

Note to the Attention of Mr Gary Quincy, Director AIDCO/C, April 16, 2010. p.6: *"The findings of the 2009 PEFA auto-evaluation highlight lack of progress since 2006 in the field of multi-annual investment and budgetary framework. The Dominican Republic does not have any functional MTEF at general level or in any specific sector, although some line ministries made progress in translating their strategic policies into multi-annual expenditures frameworks."*

Indicator 2.1.2: Existence of favourable entry conditions for budget support operations at the time of design of SBS operations (as defined by the EC), in particular political commitment and positive dynamics in PFM.

In the Financial Agreement for the Education SBS (Agreement No. 9579/DO) no specific conditions for SBS to the sector were made. General conditions for tranches disbursement like satisfactory

⁴⁶ School Reconstruction Project DO/7007-001)EDFVIII and Reconstruction of schools in the Eastern Region (phase II) 8 ACP DO 013.

⁴⁷ Support Programme to Sector Policy in Education (SPSPE)(DO/002/03rev)EDFIX (SBS Sector Budget Support).

⁴⁸ GBS- General Budget Support for Poverty Reduction (DO/005/05)EDFIX.

⁴⁹ See: http://diariolibre.com/noticias_det.php?id=247041.

⁵⁰ SEE Oficina de Planificación Educativa Informe de Seguimiento a las Políticas Educativas en el marco del Programa de Apoyo a la Política Sectorial 2007-2009.

⁵¹ The Schools Reconstruction Project for example has produced delays by creating a parallel structure (interview with Francisco Carreras Siqueros and Lorenzo Marchetti at EUD). Interview with Victor Sanchez at ONFED).

macroeconomic management, PFM reforms and preparation of an MTEF for the sector seemed to be in satisfactory progress⁵². However, the JAR 2006 reports that *“The management of public finances suffers from serious deficiencies in organization, methodology, regulation and human resources”*. The design of an education MTEF was one of the expected results (2009-11) of the Agreement, and therefore not in place when SBS started.

According to the JAR 2006, *“...as regards European cooperation, 2006 was an excellent year in terms of new commitments. Under EDF9, the education support project resulted in the identification of indicators and the formulation of a support programme for sectoral policies. In October 2006 the financing agreement for the General Budgetary Support Programme was signed and fulfillment of the general conditions for the first payment of €10m was assessed, but not in time for payment before the end of the year.”*

However, during field work the EUD referred to the BS conditionality as rather old-fashioned (“ridiculous”) and expressed its doubts on whether the GoDR understands what BS is about, its procedures⁵³, the fungibility of the funds etc. It was observed that the variable tranches might be too small to be of real interest to GoDR.

No specific assessment of the entry conditions for SBS is reported and EC Guidelines for budget support were not yet available. As for political commitment of GoDR no specific documented evidences have been found, but it is likely that this commitment existed, as the government agreed to work on *“re-engineering the structure and organization of the SEE thus respecting more closely the General Law on Education (Ley 66/97)”* (FA No. 9579/DO). During field visit, the EUD expressed the opinion that the favorable conditions at the start of SBS are no longer present (change of minister, still no approval of NDS etc.) and therefore SBS might no longer be justified, but still the best alternative.

Data, sources, extracts:

JAR 2006: “The Dominican Republic has the largest economy in the Central America/Caribbean region with a GDP of €29.3bn in 2005. Its per capita GDP places it in the middle-income category, a little lower than the CARICOM countries and above the countries of Central America. After the severe economic crisis of 2003/2004 macroeconomic stability was restored and the country returned to the stable growth that it had known throughout most of the 1990s, thanks to strict adherence to the IMF Stand-By Arrangement of 2005. An essential element of this refund stability is a set of macroeconomic and structural policies designed to ensure price stability and revive sustainable growth. The macroeconomic figures have improved markedly. In 2006 the economy recorded growth of 10.7%, the highest in the last 20 years and one of the highest in the hemisphere. Inflation for that year stood at 5%. < > However, the IMF predicts a small slowdown in growth in 2007 and 2008 with rates of 4.5% and &% respectively. The deficit on the current account in 2006 was 2.4%.

EDF9 cooperation programmes: the education support project resulted in the identification of indicators and the formulation of a support programme for sectoral policies. In October 2006 the financing agreement for the General Budgetary Support Programme was signed and fulfillment of the general conditions for the first payment of €10m was assessed, but not in time for payment before the end of the year. Implementation of the Institutional Support Programme for Public Finances started with the mobilization of international TA and the appointment of the project's national coordinator. < >

“6. Local dialogue with ONFED and non-state actors - Relations between the EU Delegation and the Office of the NAO are very fluid. The political dialogue with the Dominican authorities ought to be better structured and planned. Since 2005 the Delegation and the Member States have been establishing contacts at high government levels (Ministry of the Presidency, External Relations Ministry, Finance Ministry, etc.) with a view to: (i) preparation of a general budgetary support programme (€38m, EDF9); (ii) the future reorganization of the administration and the setting-up of a planning and development ministry, which would also be responsible for coordination of international cooperation; (iii) consultations on the programming of EDF10.”

⁵² EUD March and October 2007, Note to the attention of the director of AIDCO/C.

⁵³ Ex. EUD has to prepare disbursement requests, as the Government will not automatically produce these required documents (“Why do you give us this money?”).

Indicator 2.1.3: Correlation between the design of SBS as a whole (i.e. the quantitative and qualitative allocation of inputs, their expected interactions, their explicit and implicit prioritization) and the documented strengths and weaknesses of the GoDR with regard to sound PFM and sector policies.

The Strategy Framework for the FA has been adjusted to the specific characteristics of GoDR regarding the education sector (policies and management). From the initial allocation to the Education sector of €54m, after the MTR of 2004, €2m were transferred to a programme supporting Civil Society development and reinforcing the network of CS organizations working in Education, and the major invention of €52m was split into 2 phases: Phase I (€3.9m) for institutional support to the Ministry of Education and other involved national institutes, and Phase II (€48.2m) conditioned to the fulfillment of the necessary conditions for BS (FA No.9579/DO). This indicates that there is a consistency between the allocations and the interventions and the strength and weaknesses of the GoDR insofar as sector analysis is concerned. This was also confirmed by EUD and MinERD during field visit. Adjustments were made responding to new demands (MTEF) and articulating with MinHacienda, timely addressing the weaknesses encountered (according to EUD and Vice-Ministry of Planning MinERD).

Weaknesses in PFM have been addressed specifically with the adoption of the GBS modality accompanying SBS, aimed at allowing for increased public spending in education and at contributing to progress in PFM reform and stronger accountability. EC GBS is aimed at contributing to progress in public financial management (PFM) reform and stronger accountability in this field though the selection of specific PFM performance indicators to base variable tranches disbursements. .

As regarding the sector policies, the *PRSP - 2003* defined the increase in social expenditure as a priority and identified education among the most important priorities. More recent policy developments are expressed in the 10 Year Plan 2008-2018⁵⁴ which has further developed the above approach, namely: a) the GoDR has clearly expressed its willingness to improve institutional capacity and cross-sectoral collaboration between the Ministry of Education and Solidarity so as to monitor beneficiary compliance with programme co-responsibilities and education outcomes; b) the GoDR has started to calculate supply gaps in education services and is dedicated to progressively reducing these gaps through a targeted approach.

The government's draft for a National Development Strategy (NDS) follows a long formulation and analytical process, steered by the Ministry of the Economy, Planning and Development (MEPyD) from 2007 to date. The EC (as well as other donors and development partners) has been an outstanding partner of the Government in the formulation of the National Development Strategy. The education chapter is inserted in axis 2 of the draft NDS, and actions, indicators and targets are based on previous strategic sector plans. As a result, the Ten-Year Education Plan 2008-18 and the Strategic Plan 2008-12 are basically consistent in objectives, actions and expected results with the education provisions in the draft NDS and Multi-Annual Public Sector Plan for Education 2010-13.

The Technical Assistance provided by the EC to the SEE (now MinERD) has produced an MTEF-like document likely to encourage and stimulate cooperation within the Ministry and across the Ministries involved in education development over the period 2008-2012⁵⁵. This document is a prominent component of the 1,000 x 1,000 Strategic Plan for Education Management 2008-2012, which together with the NDS and the later Plan Nacional Plurianual del Sector Público PNPSP 2010-2013 can be considered as progressive steps in GoDR efforts to establish a PFM⁵⁶. It is concluded that there was correlation at that time between the design of SBS and the strengths and weaknesses of GoDR.

Data, sources, extracts:

Draft Country Note DR: 4.6.3. JC6.3: Evidence of linkages between education sector reform and broader national reforms; decentralization, civil service reform and public finance management reform. There is evidence of the linkage between education sector reform and the broader national reform of public financial management.

EC intervention specifically foresees the above condition. This becomes evident when looking at EC GBS. In fact it is aimed at:

⁵⁴ National 10-Year Education Plan (*Plan Decenal de Educación 2008-2018*).

⁵⁵ In PAPSE 2 no TA is foreseen, but it could be introduced.

⁵⁶ As is the production of a Sistema Nacional de Planificación (2008) and a Sistema Nacional de Inversión Pública SNIP (2010).

3. *supporting DR government efforts at achieving the MDGs through the proper implementation of its National Development Strategy;*
4. *contributing to progress in public financial management (PFM) reform and stronger accountability in this field through the selection of specific PFM performance indicators to base variable tranches disbursements and the strengthening of the PFM coordination group which will monitor progress against a PFM reform action plan;*
5. *contributing to alignment and harmonization processes in DR in line with Paris Declaration objectives through the creation of a joint budget support group comprising the EC, the WB and Spanish cooperation;*
6. *contributing to the effective implementation of the Government's strategies concerning Sustainable Development and specific health and education sector policy targets by providing additional resources and an increased focus through variable tranches. < >*

Indicator 2.1.4: Existence of mechanisms to ensure that the design of SBS operations is flexible and can be adapted in response to changes that may occur as suggested by embedded feedback and learning mechanisms.

FAs: Flexibility as such is not addressed in the FA (No. 9579/DO); however, in practice flexibility was the case in the modification of the FA (Rider 1, Extension in time limit for implementation and execution and increase of financial ceiling). The Rider was directly related to the earthquake in neighboring Haiti, leading to the identification of advanced budget support disbursements as one of the measures to assist GoDR in coping with immediate relief and assistance, required for displaced Haitian population on its territory. The EU Delegation concluded that all general conditions were complied with (Rider 1).

The adoption of SBS as such is an example of a feedback and learning mechanism in EC aid delivery. As stated before, the EC learned that in education the project approach missed the long-term and the systemic perspective (adopted by the GoDR), and in particular did not allow for a strong leadership by the Government in policy reforms, such as the Plan for Education (PEDEP 2003-2012), the 10-year Plan 2008-18 and the objectives of the Strategic Orientation Document (MDG Objectives) (FA). During field visit, both EUD and GoDR appeared to consider SBS to have been flexible (enough)⁵⁷, motivating discipline and at the same time allowing the MinERD to define clearer priorities and work on continuity. However, several respondents consider that EUD needs to be actively involved in monitoring and not leave this completely to the Ministry.

Indicator 2.1.5: Existence of specific features in the EC SBS design that ensure alignment and harmonization with SBS providers and the GoDR (ex. focus of policy dialogue and specific conditionalities).

The specific objectives of the PAPS-E programme (EC SB to the Education sector) are to support the SEE to plan and implement the reform of the Education Sector in all its elements, which indicates complete alignment and harmonization with GoDR policy.

According to the Draft Country Note DR, “*There existed a high degree of relevance and alignment between these priority programmes of government in the education sector, and the particular projects that were supported by the EC during the period under review. < > The SBS has shown to be the most consolidated aid modality and the most appreciated by GoDR.*⁵⁸ < > *By adopting the SBS and GBS modality a gradual alignment of EC disbursements to the country's fiscal cycles and the requisites and goals for variable tranches are being attained, allowing for timely disbursement.*”

It can be concluded that the search for alignment and harmonization has been a priority feature of EC Budget Support to the Education Sector in DR. Furthermore, stakeholders from all parties in the education sector have confirmed the existence of this alignment, and harmonization with the only other SBS provider in the sector (AECID) has been achieved completely (see JC2.3). Other donors in the education sector (WB, IDB) provide loans and apparently are not interested (or not requested by GoDR because of less conditionality) to step into the SBS modality. The EC provides with 36.3% the largest amount of foreign funding to the education sector (MinERD 2011).

⁵⁷ EDF is considered to be not very flexible by EUD.

⁵⁸ See: http://diariolibre.com/noticias_det.php?id=247041

Data, sources, extracts:

Draft Country Note DR, p. 9: *“The overall EC approach to support the Dominican Republic has been guided by an increasing emphasis on harmonization with other donors. The lack of an all-embracing development strategy or PRSP, and instead parallel sector development plans (MDGs Strategy, a Plan for Public Administration Reforms, a Development and Financing Strategy Outline) has sometimes been cumbersome in organizing policy dialogue and ensuring that all donors concur around the same Government effort. The Commission has worked alongside the other budget support donors (World Bank, IADB, IMF) and coordinates its institutional support measures with those of the other interested donors. In the recent past, the World Bank and IADB's analytical work related to PFM was used by the EC and others as the basis for their programmes.*

FA: *“The main objective of the PAPS-E programme (EC support to the Education sector) is to improve the access of all to a basic education of recognized and sustainable quality while developing the efficiency and effectiveness of the Sector conceived as a multi-institutional system closely related with the national efforts of social and economic development.”*

Indicator 2.1.6: Existence of a long-term capacity development strategy and plan based on institutional capacity.

Capacity development has been to the forefront of EC Budget Support to the education sector, and has been built on analyses of institutional capacity, which was reportedly low. *“In the 10 Year Plan 2008-2018⁵⁹ < > the GoDR clearly expressed its willingness to improve institutional capacity and cross-sectoral collaboration between the Ministry of Education and Solidarity so as to monitor beneficiary compliance with programme co-responsibilities and education outcomes”* (Draft Country Note DR p. 18). According to the draft NDS, the future policy in education is to address amongst other problems the building of capacity of education policy makers and implementers at all levels. This ambition is allegedly expressed in the Ten-Year Educational Plan and the Strategic Plan for Education Management 2008-2012. Institutional, pedagogical and administrative/financial management are core elements of the Strategic Plan, as are research, information and accountability of management. However, it can be questioned whether capacity at global POA level is already matched by sufficient implementation (EUD).⁶⁰

The Strategy Framework for the FA has been adjusted to the specific characteristics of GoDR regarding the sector (policies and management). Weaknesses in PFM have been addressed with the adoption of the GBS modality accompanying SBS, aimed at allowing for increased public spending in education and at contributing to progress in PFM reform and stronger accountability. EC GBS is aimed at *“contributing to progress in public financial management (PFM) reform and stronger accountability in this field through the selection of specific PFM performance indicators to base variable tranches disbursements and the strengthening of the PFM coordination group.”* (Draft Country Note DR p. 21).

In EC support, the strengthening of (institutional) capacities has been the first of the expected results or “support areas” of the ATI to PAPSE, not only in design of equipment, systems and tools (like EMIS), but also in training of personal to sustain them. This however might be counteracted by the changing of politicians like (Vice) Ministers and the concomitant replacement of lower cadre.⁶¹ It has to be mentioned that during field visits, respondents from distinct education segments were critical on the institutional capacity of the Ministry to manage the education reform, and above all of the monitoring of its results. In this regard, more TA in PAPSE 2 would be recommendable.

Data, sources, extracts:

EU- SEE evaluation report entitled “Informe Final 2009 Asistencia Técnica al Programa de Apoyo a la Política Sectorial Educativa (PAPS-E).” *En primer lugar, cabe señalar que, si bien el Objetivo Específico de la Asistencia Técnica Institucional (ATI) al Sector Educativo Dominicano era “establecer, proponer y apoyar el cumplimiento de un Plan de Acción a nivel del Sector Educación y de las Finanzas Públicas que permita alcanzar las condiciones necesarias exigidas por la Unión Europea para un apoyo presupuestario sectorial – PAPS”, lo cierto es que este apoyo presupuestario se llevó a cabo de forma simultánea a la actividad de la Asistencia Técnica. Por ello, la Asistencia*

⁵⁹ National 10-Year Education Plan (*Plan Decenal de Educación 2008-2018*).

⁶⁰ According to the MinERD Vice-Ministry of Planning, the newly appointed Minister prioritizes a capacity building plan.

⁶¹ However, although MINERD has not yet adhered to the “administrative career”, lower technical personal is reported to be more stable.

Técnica, durante la mayor parte del tiempo, se dedicó a acompañar este apoyo presupuestario, actuando en distintas áreas de interés para la adecuada absorción de los fondos.

Así, durante el primer semestre de trabajo de la ATI, desde marzo de 2006, la principal actividad consistió en apoyar tanto la SEE como la Delegación CE en la preparación del Convenio de Financiación del Programa de Apoyo Presupuestario de la UE a la Política del Sector Educación (PAPSE), firmado en el mes de febrero de 2007. < >

Durante el segundo año, la asistencia técnica tuvo un carácter mucho más operativo en cuanto a la preparación de reformas y/o ajustes de políticas y modalidades educativas aunque con una tónica permanente de capacitación continua, no solamente en los aspectos técnicos específicos para los cuales se contrataron consultores especializados sino también en los aspectos de métodos de trabajo tanto institucionales como individuales a niveles central (mandos altos y medios) y descentralizados (oficinas regionales y distritales). Como consecuencia de ello, se redactó el Plan Decenal 2008-2018, < > se adoptó un Presupuesto Programa a título experimental a partir de 2007 y a título operacional a partir de su versión 2008 y se adoptó un Plan Operativo Anual para el año 2008 (POA 2008).

Finalmente, durante el tercer año de actividad de la ATI y hasta su finalización en mayo de 2009, bajo la orientación y dirección de sendos directores nacionales del PAPSE y de la ATI, se trató de dar continuidad a las acciones concretadas en dos grandes áreas estrechamente ligadas y convergentes:

- *Respuestas técnicamente ajustadas a los requerimientos específicos de las distintas dependencias de la SEE (incluyendo la propia titular) y a la vez “sistémicas” lo que ha resultado diferentes informes de estudios, acciones de capacitación y recomendaciones en las siguientes áreas:*
 - *Reingeniería (Modernización Institucional) de la Secretaría de Estado de Educación- SEE*
 - *Políticas Educativas y Plan Decenal 2008-2018*
 - *Modelo de Gestión de la Calidad Educativa, Currículo, Supervisión, Enseñanza Básica y Media.*
 - *Participación comunitaria.*
 - *Planes Operativos y Presupuestos anuales*
 - *Sistema de Información para la Gestión Educativa*
 - *Sistema de Monitoreo y Evaluación*
- *Orientaciones estratégicas en los tres componentes del Proyecto (Planificación Educativa, Políticas educativas, Programación presupuestaria) para ajustar las políticas y modalidades educativas plasmadas en la primera versión del Plan Decenal (editado en abril 2008) a las expectativas de la población dominicana y a la sociedad civil en el marco de la globalización y la actual crisis económica.*

Entre los diferentes logros alcanzados, destaca el que la Oficina de Planificación Educativa (donde se radicó la dirección del proyecto) haya logrado fortalecer de manera significativa sus funciones de Planificación y Presupuestación, movilizándolo a este efecto a todas las dependencias de la SEE, en particular aquellas del área Técnico- Pedagógica. Este avance se ha plasmado mediante el diseño y aplicación de herramientas específicas de planificación estratégica, programática y presupuestaria.

En lo que se respecta al acompañamiento del Apoyo Presupuestario al Sector Educativo, la Asistencia Técnica, tuvo un papel preponderante en la transmisión de conocimiento al interior de la Secretaría de Educación en lo que se refiere al cambio de enfoque en materia de rendición de cuentas al donante, basado esta vez en indicadores de resultado y de proceso, acordados y definidos previamente en el Convenio de Financiación correspondiente, y no en base a justificación de gastos elegibles de acuerdo a procedimientos específicos, como en los proyectos tradicionales. < >

Al cierre de la Asistencia Técnica, se han transferido a la Secretaría todos los materiales y equipos utilizados durante sus tres años de actividad y se ha querido hacer un balance del estado de situación de las distintas variables a analizar en todo programa de apoyo sectorial con el fin de que sean tenidos en cuenta en próximos programas de esta naturaleza. (Op. Cit.)

En este marco la ATI debía promover el refuerzo, asesoría y acompañamiento a las instituciones del Estado, aportando el conocimiento específico sobre los mecanismos, instrumentos y procedimientos que más se adecuasen los tres requerimientos básicos antes señalados. Así se definieron los siguientes resultados o áreas de apoyo:

- *R1 – Reforma Organizacional – Reforzadas las capacidades organizativas, de gestión y financieras de las Entidades del sistema educativo.*
- *R2 – Formulación de una Política Sectorial – Marco de planificación de la política sectorial de medio plazo mejorado bajo el liderazgo de la SEE.*

- *R3 - Mejora de la calidad de la Educación – Iniciado el proceso de mejora de la calidad educativa en términos de contenido y organización.*
- *R4 - Sistemas de Información, Monitoreo y Evaluación – Establecido y operativo un sistema automatizado de Información, Monitoreo y Evaluación incluyendo tres subsistemas: estadísticas escolares, Información geográfica para los servicios educativos y Monitoreo de Planes, Programas y Proyectos.*
- *R5 - Plan de Gastos Sectorial de medio Plazo – Plan de Gastos Sectorial de medio Plazo aprobado por el Gobierno y aceptado por los donantes.*
- *R6 – Coordinación de donantes – Mejorada la coordinación y armonización de los donantes*

Draft Country Note DR p. 10: “In parallel, GBS aims to reinforce capacity and provide for effective policy dialogue on the PFM reforms which should also lead to a harmonization of requirements with other budget support donors and to reducing the financial gap between plans and budgets. Nevertheless, it has to be said that the level of mutual coordination between SBS and GBS is very low or non-existent.”

Ibid. p.20: “The PAPSE I project channeled around €54m, out of which €48m was direct budget support and €6m Technical Assistance. The latter support has laid the ground for the education management system and tools and has built capacity at Ministry and decentralized level for PAPSE II by developing, within the MINERD, a culture of education planning, accountability, identification and pursuing of annual goals, a very efficient education statistics system (based on the UNESCO standards), and new curricula and syllabi.”⁶²

Ibid. p.22: JC6.4: “Increased capacity for addressing education reform and management issues. Within the TA⁶³ provided to the SEE in the framework of PAPSE I, an Institutional Modernization has been carried out to contribute to the institutional reform process launched by SEE aimed at: a) implementing the 2008-2018 Education Management Plan; b) implementing the National System for the Evaluation of Education Quality; c) giving special attention to Dominican Magistry; d) democratization; e) using new technologies.

At the central level almost all organs of SEE have been strengthened by PAPSE TA in their capacities, rationalized in their organization, strengthened in administrative systems, and at decentralized (regional and district) level; and management functions have been reorganized/strengthened (Regional Directorate, District Directorate, Planning Units, Advisory Services and Monitoring, Supervision and Evaluation, Administration and Finance and Legal Advisor). The main operation processes have been optimized. < >

Very recently, with the support of AECID, an Indicators’ Analysis and Early Alert System ([Sistema de Análisis de Indicadores y Alerta Temprana](#)) has been developed⁶⁴. This system deploys the main features accompanied by interpretation keys to foster reflections and facilitate decision-making. It is supported by an Early Alert System on situations likely to threaten education opportunities for Dominican youth. The system is currently completing the technical migration to the MINERD Database.

Moreover, the Ministry of Education has made important efforts to develop an EMIS. Currently, in the framework of the World Bank DPC PASS Loan, a new EMIS is being designed and tested, the Sistema de Información de la Secretaría de Estado de Educación (SI-SEE), a nation-wide Management Information System (MIS) based on the development and full implementation of the school-based management information system SGCE (Sistema de Gestión de Centro Escolar “SGCE”). The SGCE will store information on infrastructure needs, facilitate utilization, student administrative and academic records, human resources management and other school-level processes. It will rely on school-level information collected through student and family formats (fichas) that are fed directly into the SGCE. “

Ibid. p. 27: “Direct Beneficiaries have expressed a very good level of satisfaction with the compliance of SBS with SEE-MINERD’s policy priorities, since most of these priorities have been built with the support of technical assistance provided by PAPSE. At the higher Ministry level it is acknowledged how PAPSE has provided outstanding funding support accompanied by a substantive TA and has

⁶² This organizational culture change is still questioned by some stakeholders, who consider it to continue being personalistic and not based on accountability.

⁶³ Camino a la Segunda Reforma del Sector Educación en la RD. Proyecto de AT Institucional (ATI) Unión Europea – Documentos Finales.

⁶⁴ See: <http://www.todospuedenaprender.org.ar/REPDOMINICANA/index.asp>

contributed to building capacity and to facilitating the pursuit of important objectives such as widening of coverage and improving access to schools.”

Asistencia Técnica al Programa de Apoyo a la Política Sectorial Educativa (PAPS-E) INFORME FINAL JUNIO 2009, p.23: *“Capacidad Institucional; El desarrollo de capacidades en el interior de la secretaría y fuera de ella, ha sido siempre una de las grandes preocupaciones de la ATI en general y de este componente en particular, constituyendo la capacitación y el entrenamiento, dos de los principales tipos de actividad desarrollados. < >*

El refuerzo de la capacidad Institucional de la SEE también se ha desarrollado a través de las labores para la reorganización orgánica, en la cual se destaca el rol de las consultorías en Desarrollo Organizacional y la estrecha colaboración e intercambio de ideas y propuestas con el experto en Programación y Apoyo Presupuestario, el cual presentó una primer propuesta de reorganización, en el año 2006 y una segunda, a finales de 2008.”

Indicator 2.1.7: Existence of coordination and planning mechanism led by the GoDR for the integration and provision of Technical assistance and capacity building initiatives.

Inter-institutional coordination has been one of the directive principles of ATI to the education sector (ATI Informe final p. 11: *“Formulación de una Política Sectorial – Marco de planificación de la política sectorial de medio plazo mejorado bajo el liderazgo de la SEE.”*).

According to the Draft Country Note DR (p. 15), donor coordination was one of the outcomes of EC support to the education sector and coordination mechanisms are in place. Early coordination has been led by GoDR, but later on leadership was taken over by the EC. More recently (Sept. 2008), the so-called “Mesa sectorial” on education is non-operational as the Ministry of Economy (MEPyD) claims to be responsible for the “Mesas Sectoriales” and still needs to define their functioning.

Resuming, a coordination and planning mechanism for the education sector (not specifically on primary education) existed, started by the ED and later on led by the Government. As a result Spain has taken over the SBS aid modality to the sector and articulation with WB and IDB support has taken place. However, during field visit it became quite clear that the *Mesa Sectorial de Educación* is not operational since months, although all informants, from different education subsectors, agree on its importance.⁶⁵ The EUD and AECID are engaged in a full-fledged coordination of their SBS in direct consultation, alignment and harmonization with the Ministry, whose agenda and NDS are being followed (interview AECID).

Data, sources, extracts:

The Draft Country Note DR concludes (p.32) that:

“The EC has played a leading role in donor coordination and in the harmonization and alignment of donor support to education in the Dominican Republic, not only by stimulating coordination and participation in the Donor Coordination Board (Mesa de Donantes) but also by promoting a referential framework for donors and development partners and by promoting the use of the country’s procedures and the involvement of civil society.

Aid modalities are coordinated, since currently other interventions from development banks are based on budget support or policy support and there is a specific division of work to target different levels of education. This has been triggered by the starting of SBS, since within the EC cooperation portfolio, the forthcoming PAPSE II has been built by drawing on the lessons learned and the policy basis created by PAPSE I. <Coordination of modalities with other donor and development partners has been made possible through effects of substantial EC input into that sphere.”

Also, it notes:

“By contributing to the improvement of PFM, of financial management within the SEE-MINERD and to the MTEF, the EC has very much contributed to enhancing the coordination of development support intervention not only of its support, but it has also created a reference framework for other donors and development partners and for the full adoption of country procedures in the implementation of support by the EC but also by other development partners and the World Bank that has accepted this condition for the implementation of its DPC PASS Loan.”

⁶⁵ During field visit MinERD informed that the Mesa was convened after nearly 1,5 year for March 2011 on the day after the former Minister was removed, reason for cancelling the meeting.

JC 2.2: Sector budget support has contributed to the establishment of a framework of policy dialogue, focused on key government strategies and priorities, as well as to a larger share of the national budget for the education sector.

Overall analysis of JC 2.2

The EC has worked towards the establishment of a framework for policy dialogue, focused on key government strategies and priorities, as well as towards the allocation of a larger share of the national budget for the education sector. This has been done by way of SBS, but also through earlier project support. However, results in this respect are still weak, with no coordinated policy dialogue or proper PAF, EMIS and M&E systems in place and national budget for primary education still far below legal and regional standards. It can be stated that the EC contributed, but the degree to which success in this regard has been influenced by the SBS is difficult to assess.

The EC has made many efforts to bring about a policy dialogue for the education sector with the GoDR and other donors. This dialogue was not very developed but with the development of successive sector plans on (primary) education became more focused on sector strategic BS related issues. A *Mesa Sectorial* on education was constituted and some education sector coordination meetings were held during 2008-09. In general, donor coordination was relatively weak during the evaluation period, given the lack of ownership of the DR Government⁶⁶. According to the Draft Country Note DR (p. 15), donor coordination was one of the outcomes of EC support to the education sector and coordination mechanisms were led by GoDR, but later on leadership was taken over by the EC and more recently (Sept. 2008), the so-called “Mesa sectorial” on education became less operational. Parallel to drawing up the National Development Strategy, the Dominican government has made important efforts to define an international cooperation policy but had not put a structured policy (with corresponding strategies and actions) in place by the end of 2009. The result was a long period of coordination through a sector committee format, thereby focusing in on technical issues within the education sector but not establishing ties or links to a wider leveraging and coordination effort across many sectors (at least those that dealt with MDGs). For example, education was not tied to (public) health or to governance discussions even though the three are closely linked.

EDF cooperation was to support these efforts through a regular policy dialogue. With respect to regional and district deconcentration, some results in terms of effectiveness of public expenditure, increased ownership and community participation in support to education have been reported. However, EC contribution has been less important on this policy. At this moment (May 2011), in the absence of PRSP and the National Development strategy still under discussion, a coordinated, government-led policy dialogue is not in place. Partnership within the DR educational sector is searched for by encouraging family and community participation, along with the involvement of NGOs in the implementation of instructional policies, programmes and projects (Ten-Year Plan), and with other donors in the SBS approach (harmonization by way of policy dialogue etc.). There is some progress reported here (with AECID), but according to JAR 2009, structured high-level dialogue between GoDR and donors was weak.

A Performance Assessment Framework as such has not (yet) been developed for the (primary) education sector. For PAPSE 1 general conditions for the fixed disbursement tranches and specific conditions for the variable disbursements were elaborated, which in their totality can be considered as a kind of PAF (EUD). Before 2009 a kind of MTEF for the subsector was already available as part of the PNPS, as were Annual Action Plans, budgeting and monitoring. However, systems were still largely in development and even during field visit in 2011 several informants (outside MinERD) consider that there does not

⁶⁶ This weakness has been recorded in a number of JARs since 2005.

yet exist a proper PAF for the education sector and that the EMIS, supposed to provide the basis of PAF, is only partially functional. Recently progress is made with the development of the Educational Centers Management System (SGCE), the Indicators System and Early Warning System (see also JC 2.5). In general it can be concluded that performance assessment, adequate monitoring (on the basis of an EMIS) to facilitate accountability are included in overall GoDR strategic plans and SBS goals and expected results, and have been part of overall policy dialogue, but critical support instruments (EMIS, M&E) are still in development in 2011 and the reliability and comparability of data and the monitoring and accounting of results of SBS is considered weak and insufficient.

Regarding the efficiently and timely delivery of financial SBS inputs, it has been observed that disbursements have not taken place on the moments agreed upon, but this was no major concern to GoDR, although according to the Head of EU Delegation GoDR had serious liquidity problems at the start of the school year.

As for the size and share of national budgets applied to (primary) education, public expenditure on education, both in nominal terms and in % of total government spending, shows a positive trend (increase) in recent years but has not recovered levels reached in the late 1990s. From an average of 2.6% in 1997-2002, public expenditure in education dropped to 1.3% in 2004; it has started to recover slowly but steadily to reach approximately 2.4% in 2009 (and 1.85% in 2010). However, overall public DR expenditure on (primary) education has been reportedly low for a middle-income country and all the time the budget for education was lower than established by law. In the Latin American region the DR is lagging behind. During SBS, the EC has made efforts to increase public expenditure on education which were only limitedly successful. However, "*The ratio of resources invested in education as a percentage of GDP has been identified as one of the disbursement criteria for the forthcoming GBS.*" But apparently an increase in this ratio was not included as disbursement criterion for PAPSE 2. Civil Society organizations and networks are also lobbying for an increase in these resources conform to legislation.

It can be stated that the size and share of national resources spent on (primary) education have increased over the years, but still remain considerably below levels established by law; furthermore, investment in primary education does not conform the country's needs.

The results in the area of policy dialogue have already been addressed partially in the former JC. At this moment (2011) it can be concluded that, in the absence of PRSP and the National Development strategy still under discussion, there is not in place a coordinated policy dialogue. Donor coordination was one of the outcomes of EC support to the education sector and coordination mechanisms were in place, and led by GoDR, but later on leadership was taken over by the EC and more recently (Sept. 2008), the so-called *Mesa Sectorial* on education became non-operational as the Ministry of Economy, Planning and Development was expected to define the methodology for Sectoral "Mesas". Donors mentioned they more often meet without the presence of GoDR and MinERD mentions bilateral meetings, waiting for the *Mesa* to resume.

Both gender equality and the fight against HIV/AIDS are mentioned in the CSP 2008-13, and women's equality problems are briefly described. The potential risks for HIV amongst girls are also referred to. Reference is made to the UNDP progress report on MDGs, showing that in spite of some positive steps, weakness persist regarding gender balance and the fight against HIV/AIDS. The conclusion is that gender equality and HIV/AIDS are not directly related to the contents/thematic of primary education, are not treated in policy dialogue and programming of EC support to the primary education sector, or laterally (and as a cross-cutting issue) in overall policy dialogue.

Analysis of indicators

Indicator 2.2.1: Evidence of a shift in focus of policy dialogue toward more sector strategic issues, including government strategy to overcome disparities in the education system; policy management/implementation at different levels (including regions and districts) and performance assessment

Evidence on the first indicator of this JC is based on JARs (2006-08), MTR 2010, the draft Country Note DR (see below for abstracts) and interviews in the field with EUD, MinERD, former TA and other donors. Other possible sources like donor coordination reports are either not available (and mostly non-existent).

On the basis of the information available so far it becomes clear that the EC has made many efforts to bring about a policy dialogue for the education sector with the GoDR and other donors, and has been partly successful in these efforts. This dialogue was not very developed when BS started, and improved since then, albeit slowly. With the development of successive sector plans on (primary) education the dialogue became more focused on sector strategic BS related issues. A *Mesa Sectorial* on education was constituted. Some education sector coordination meetings were held during 2008 and 2009. The EC, along with the WB and AECID, proposed to the GoDR the joint signature of a memorandum of understanding for budgetary support providers which could be an incentive for other development donors to consider this aid modality. In general, donor coordination was relatively weak during this period, given the lack of ownership of the DR Government, detailed by the 2008 and 2009 JARs, even though the sector committee on education was referred to by the JAR as being one of a small number of coordination mechanisms that continued to function. Parallel to drawing up the NDS, the Dominican government has made important efforts to define an international cooperation policy in accordance with this strategy. The policy could be a welcome qualitative change in the dynamics of the dialogue on cooperation between the government and the international community. EDF cooperation was to support these efforts through a regular policy dialogue, the support to the pertinent sector policies and providing for technical and analytical assistance, where required.

According to the Draft Country Note DR (p. 15), donor coordination is one of the outcomes of EC support to the education sector, and led by GoDR, but later on the EUD took over and in September 2008 the so-called “Mesa sectorial” on education became non-operational as the Ministry of Economy, Planning and Development was expected to define the methodology for Sectoral “Mesas”. The Draft Country Note DR (p. 10) reads: “By adopting SBS as an aid modality, the EC has aimed at promoting national ownership of sector policies and strategies by: a) supporting a government-owned policy and strategy; b) promoting coherence between policy, budgeting and actual results. < > In parallel, GBS aims to reinforce capacity and provide for effective policy dialogue on the PFM reforms which should also lead to a harmonization of requirements with other BS donors ...”

With respect to regional and district deconcentration in education, the Draft Country Note (p. 21) reads that “the decentralization process has produced important results in terms of: effectiveness of public expenditure (there is empirical evidence⁶⁷ that investment costs are reduced by 30 to 50% through budget transfers to “Juntas Escolares”/School Councils), increased ownership of and community participation in school management, running and maintenance, and of social/institutional mobilization in support to education.” However, in the JARs hardly any progress is reported and EC contribution has been less important on this policy, although it is supposed to be part of the concerns for the policy dialogue. Equity, the inclusion of students from socially more vulnerable sectors (including rural areas) has been a more pronounced priority of GoDR than decentralization. (Ten-Year Plan p. 15).

Both family participation (number is educational centers with a Parents Association (APMAE) and increase in financial decentralization were criteria for variable tranche disbursement in PAPSE 1, and were considered to be satisfactory in October 2010⁶⁸ (% of APMAEs grew from 73 to 74.9, and there was an increase from 3.40 to 3.49% of budgetary allocation of MinERD to districts and educational centers over 2009-2010 period).

Finally, performance assessment has been part of overall policy dialogue (according to informants during field visit) and TA (reports) but was weak during the evaluation period and instruments (EMIS,

⁶⁷ Several reports from procurement activities and a specific review of the SEE- OCI confirm this.

⁶⁸ In 2008 (3rd disbursement), the implementation of the re-engineered structure at 100% central level, 100% regional level and 50% district level was still considered inadequate (EUD Disbursement Calculation Table).

M&E) are still in development in 2011. During field visits stakeholders, even some from within MinERD, were skeptical on the reliability and comparability of data and overall the monitoring and accounting of results of SBS and of education reform outcomes are considered weak and insufficient.

Data, sources, extracts:

JAR 2006 p. 20: “On a more general level, the institutional dialogue among government representatives and all the donors is not very developed and most donors consult each other without the presence of the government. The government has not acted with sufficient consistency to create sectoral or general forums for discussions on policy with one or more donors. More efforts are needed to make the government aware that the political dialogue, especially with the EU, is not effective enough and that it deserves more attention and prominence (as for the IMF, World Bank and IDB).”

JAR 2007. p. 29: “The political dialogue with the Dominican authorities continues to be weak and ought to be better structured and planned. During 2007, the EC initiated a strategy of strengthening this dialogue, and at a meeting of MS heads of mission the EC presented its views on the need to strengthen this dialogue, which all ambassadors received very favorably. A first joint meeting (of the Troika) has been held with the Secretary for the Economy, Planning & Development, Mr. Temístocles Montás. At that meeting, the Secretary of State described himself as being in favor of more and improved dialogue.”

JAR 2008 p. 23: “During 2008, there was limited progress in the Dominican Republic in the implementation of the Paris Declaration principles – ownership, harmonization, alignment, mutual accountability and managing for results. Project support was still predominant, and the European Commission, the World Bank, IDB and to an extent the Spanish cooperation are the only donors providing budgetary support. However, the EC, along with the World Bank and the Spanish cooperation, recently proposed to the Dominican government the joint signature of a memorandum of understanding for budgetary support providers. This suggestion has been well received by the State Secretariat of Economic Affairs, Planning and Development. If this strategic association were to take place, it could be an incentive for other development donors to consider this modality of aid. < >

In general, donor coordination was relatively weak during this period, given the lack of ownership of development cooperation – the Dominican government having taken on its coordination, with the mandate scattered amongst several public institutions. < > Some sector coordination meetings were held during 2008, e.g. in the education, governance, competitiveness and environment sectors. The agenda of these meetings was, however, for the most part limited to an information exchange between donors, with no real discussion of sector policy. < >

Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management.

Regarding internal donor coordination within the European Union in 2008, the EU Delegation organized several meetings to discuss possible ways of implementing the EU Code of Conduct. These meetings identified potential powerful synergies between the European Commission and Member States in education, environment and bi-national cooperation (Dominican Republic and Haiti).”

Ibid. p. 26: “The context of EC cooperation and its focus on general and sectoral budget support increases the need for a smooth political dialogue that needs, however, to be specific in essential areas such as combating poverty, macroeconomic policy, economic governance and management of public finances. The entry into force of an EPA with the region is another reason to develop an in-depth dialogue culture with the Government.”

Ibid. p. 30: “Monitoring of sectoral policies is not sufficiently strong and is not used by the government in its dialogue with development partners to establish result-oriented management. In the context of cooperation with the European Union, the main objective of which is to combat and eradicate poverty, social investment is a key concept which must undoubtedly be discussed in the political dialogue which, while not very structured in 2008, is expected to be boosted and deepened in 2009.”

JAR 2009 p. 20: “Political dialogue between the EU and the Dominican authorities has a formal structure and requires some planning, in the framework of Article 8 of the Cotonou Agreement. During 2008, the EC conceived a strategy to strengthen this dialogue. A structure of formal high-level meetings every six months was decided upon, preceded by technical preparatory meetings. A first joint meeting between the EU Troika and the Secretary of State of Economic Affairs, Planning and Development, Temístocles Montás, produced a list of topics to be discussed at the first formal political dialogue meeting, which took place in March 2009. < > Matters discussed were the global financial

crisis and its impact on the country, as well as the implementation of the EPA (agenda item) and budgetary support (not on the agenda).

More generally, institutional dialogue between government representatives and donors is coordinated by the Directorate for International Cooperation of State Secretariat of Economic Affairs, Planning and Development, taking place through sector meetings organized by the government. These meetings and their follow-up are not as frequent as they could be. < >

During 2009 and parallel to drawing up the National Development Strategy, the Dominican government has made important efforts to define an international cooperation policy in accordance with this strategy.”

Ibid. p. 25: “On a global and strategic policy-making level, the Dominican Republic needs to put in place a new development strategy, taking account of the need for greater social cohesion, economic competitiveness and regional integration. EDF cooperation will seek to support these efforts through a regular policy dialogue, the support to the pertinent sector policies and providing for technical and analytical assistance, where required. As a consequence, the EDF cooperation in both focal areas should be primarily provided as budget support, if conditions remain favorable.< > Fully consistent with the Commission international commitments in the area of development cooperation, budget support provides an opportunity to support the process of turning the Government's political visions into concrete actions through an active political dialogue and provides a marginal incentive to encourage the implementation and follow-up of adopted policies, going beyond the immediate situation to the medium term.”

MTR 2010 (EDF10), p. 4: “A middle-income non-HIPC country, the Dominican Republic does not have to date a proper poverty reduction general strategy or national development plan in place. Sector strategies have been prepared during the latest years and are starting to be operational. Legal, administrative and participatory steps have been taken since 2006 to establish such a national strategy, which is about to see the light at the end of 2009 and will likely include adequate prioritization, monitoring and performance assessment mechanisms.

General Budget Support in support of ODM (indicative amount: €76.2m, in early 2010)

The resumption of the dialogue and analysis regarding the progress in public finance management, the negotiation of an agreement with the IMF and the preparation of a National Development Strategy have allowed for the resumption of budget support disbursements, which had been suspended in 2008, and allowed to envisage the preparation of the new general budget support programme originally foreseen for 2009 – albeit with a somewhat reduced amount in order to mitigate risks.

Sector Budget Support in Education (indicative amount €30m, 2010)

Building on the promising experience of the EDF9 PAPSE programme, a sector budget support in education would allow to support the effective implementation of the sectors' medium term strategic plans (established with previous EC support) and for continuing the dialogue and coordination already initiated in the sector.”

Draft Country Note DR p. 9: “The overall EC approach to support the Dominican Republic has been guided by an increasing emphasis on harmonization with other donors. The lack of an all-embracing development strategy or PRSP, and instead parallel sector development plans (MDGs Strategy, a Plan for Public Administration Reforms, a Development and Financing Strategy Outline) has sometimes been cumbersome in organizing policy dialogue and ensuring that all donors concur around the same Government effort. The Commission has worked alongside the other budget support donors (World Bank, IADB, IMP) and coordinates its institutional support measures with those of the other interested donors. < > . In the recent past, the World Bank and IADB's analytical work related to PFM was used by the EC and others as the basis for their programmes.”

Ibid. p. 10: “The decentralization process has produced important results in terms of: effectiveness of public expenditure (there is empirical evidence⁶⁹ that investment costs are reduced by 30 to 50% through budget transfers to “Juntas Escolares”/School Councils), increased ownership of and community participation in school management, running and maintenance, and of social/institutional mobilization in support to education. It is substantially a situation where the application of the principle of subsidiarity has shown to work well as an important component of democratization and participation. In some cases, lessons learned from the education sector are spontaneously being transferred to other sectors by the involvement of Local Authorities (Alcaldes). The decentralized

⁶⁹ Several reports from procurement activities and a specific review of the SEE- OCI confirm this.

procedures being used to implement IADB financed operation are currently subject to a scaling-up process at District and Regional levels.⁷⁰ Although this is not a result of EC support but rather a product of national efforts it could be mainstreamed in the EC's forthcoming support to education decentralization.

Draft Country Note DR p. 31: “The EC contribution to the decentralization process has been less important. At decentralized levels very important good practice has been developed by Education Districts and School Councils (Juntas escolares). This level of intervention could be explored in PAPSE II and GBS, given the high level of experience of the EC in assisting good governance and sectoral/general decentralization processes and the potential added value of EC support in this field.”

Ibid. p. 56: “Decentralization has occurred in the country but decision-making is still centralized in subjects such as curricular and teacher's development planning and decision-making. Teachers are selected on the basis of open oppositions and hire and fire on a central basis. Teachers and principals of schools are in charge of the design of educational projects for their schools (Proyectos Educativos de Centro) but do not take decisions concerning other policies. Although parents and community participation has been institutionalized since the application of the policies of the Plan Decenal, school-based management is reduced to management of the resources for school equipment and local fundraising to complement these expenditures.”

Indicator 2.2.2: Existence and implementation of a Performance Assessment Framework, supported by adequate monitoring systems, as the basis for mutual accountability and partnership

A Performance Assessment Framework as such has not (yet) been developed for the (primary) education sector (like for PFM) but a more results based orientation, supported by proper monitoring mechanisms was looked for in the SBS to the education sector from the very start, as can be appreciated in the FA for SPSPE (DO/002/03rev, 2070) which has among its 9 expected results the “effective administrative deconcentration and more efficient administrative and financial management systems in place at all levels of the SEE (Central, district, Region, Municipality); established and operating MTEF, a unified EMIS for providing all necessary information”.

Performance assessment and adequate monitoring (on the basis of an EMIS) to facilitate accountability are included in overall GoDR strategic plans and SBS goals and expected results. Furthermore, one of the policies of the Ten-Year Plan is “to establish clear quality standards and an evaluation system that ensures the monitoring of education performance and encourages the mobilization of the school, the family and the community toward the improvement of education” (Draft Country Note DR p. 6).

For PAPSE 1 general conditions (3) for the fixed disbursement tranches and specific conditions (10, on access, quality, financing and process) for the variable disbursements were elaborated, which in their totality can be considered as a kind of PAF (EUD). Before 2009 a kind of MTEF for the subsector was already available as part of the PNPSP, as were Annual Action Plans, budgeting and monitoring. In the delegation's Disbursement report for PAPSE - 4th Variable Tranche (Oct.) 2010, the EUD mentions some progress in the translation of strategic policies into a multi-annual expenditure framework. However, systems were still largely in development and even during field visit in 2011 several informants (outside MinERD) consider that there does not yet exist a proper PAF for the education sector and that the EMIS which is supposed to provide the basis for the PAF, is only partially functional.⁷¹ However, recently progress is made with the development of the Educational Centers Management System (SGCE), including the Indicators System and Early Warning System (see also JC 2.5).

Data, sources, extracts:

JAR 2008 p. 15: “The result-based approach initiated with the current budget support programme will have to be strengthened to allow appropriate monitoring of result indicators in areas that are crucial for achieving the Millennium Development Goals (MDGs). The institutional support programme for management of public finances provided for support with implementing the National Statistical Office's strategic plan.”

⁷⁰ Information emerged in the group interview at the OCI Oficina de Cooperacion Internacional MINERD and in the visits and focus group with local authorities, technical assistants and members of the local “Juntas” in Altamira District, north-east of the country.

⁷¹ One stakeholder mentions that it has not been the MinERD's organizational culture to make decisions based on properly analyzed information from the (primary education sub)sector.

JAR 2009 p. 23: “Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management. All in all, there is a need for continued improvement of effectiveness, transparency and accountability in public sector management.”

Draft Country Note DR p. 6: “To establish clear quality standards and an evaluation system that ensures the monitoring of education performance and encourages the mobilization of the school, the family and the community toward the improvement of education.”

Ibid. p. 22: “In 2004, a system called SIGE (Sistema de Información para Gestión Educativa) has been launched. EC Technical Assistance has contributed to the development of the system on the basis of an overall design that had been deemed rather obsolete. This system is based on six levels: a) Operational systems and processes; b) Information Services; c) Quality management; d) Project management; e) Product technological management; and f) Support to Decision Making. The system is sufficiently coherent with the strategic and programmatic framework adopted for the sector. Monthly Reports are produced and distributed with limited access. However, no active matrices allowing for interactive utilization and upgrading are made available and the system is excessively focused on administrative issues and too closed. Innovations were envisaged but so far have not been implemented.

The MTEF at its early stage is highly compatible with the four-year period identified by the Budget Law (Ley Orgánica de Presupuesto), with the structure of Program-Based Budget⁷² and is a reliable financial expression of the Ten Year Education Plan.

The MTEF is structured on the basis of: a) Policies, objectives and programmatic goals of the Ten Year Education Plan over the period 2009-2012; b) Technical Criteria to calculate production and provision of education services at different levels; c) Detailed break-down according to programmatic category, organizational unit in charge, specific goals, expenditure forecast by economic classification category and source of financing. This structure is likely to increase accountability of different government stakeholders and to overcome the difficulties currently faced with the use of SIGE. Meanwhile SIGE is being upgraded.

The EC contribution in this process has been fundamental for the design of MTEF and its coherence with national laws.”

Ibid. p. 25: “The World Bank DPC PASS Loan is direct budget support disbursed on the basis of performance and indicators⁷³. Both the WB and IADB and the whole donor community acknowledge to the EC the pioneering role played in the sector.”

Indicator 2.2.3: Records of SBS financial inputs having been efficiently delivered on time, as determined by the annual deviation of actual budget support from the forecast provided by donor agencies; in-year timeliness of donor disbursements

According to the Vice-Ministry of Planning of MinERD, SBS financial inputs have been delivered timely. However, EUD reports that this did not happen according to the planning, on the one hand because funds were not delivered on time by HQ (which according to the Head of Delegation caused serious liquidity problems to GoDR at the beginning of the school year) and on the other hand because the Government usually does not present (on time) the necessary disbursements requests (perhaps because the variable tranches are too small to be of interest to GoDR).

In 2007-2009 budget support had difficulties to disburse; the last disbursement was retained because the EUD considered that the three fixed tranche conditions were not met. HQ eventually released some funds, saying that “progress towards” was acceptable. A Rider to the FA 9579/DO signed in February 2010 provided for an increase of €15.33m (from the FLEX 2008 allocation) and increased the execution period to December 2010. The last 2009 tranche was paid in 2010 along with FLEX funds that were available and so a final disbursement of €24.08 million was made in 2010 (€16.33m fixed and €7.75m variable).⁷⁴

⁷² Regulations established by the Ministry of Finance (Ministerio de Hacienda) and the Ministry of Economy, Planning and Development.

⁷³ The agreement foresees that goals have to be 100 % attained, no variable tranches are foreseen. In the first year (2009) objectives have been attained and 100 % of the amount foreseen has been disbursed.

⁷⁴ Another problem signalled here by the EUD is that HQ obliges the delegation to “increase” its disbursement forecast, leading later on to underspending because operations cannot be ramped up fast enough to meet the somewhat arbitrary increases.

In short, disbursements have not taken place on the moments agreed upon, but this does not seem to have been a major problem to GoDR.

Data, sources, extracts:

JAR 2007 p. 29: “Regarding the European Cooperation, the year 2007 has been a year with a good execution rhythm of the programs (level of payments was more than double than in 2006).”

According to the Draft Country Note DR, “By adopting the SBS and GBS modality a gradual alignment of EC disbursements to the country’s fiscal cycles and the requisites and goals for variable tranches are being attained, allowing for timely disbursement.”

Indicator 2.2.4: The size and share of national budgets applied to education (and thus primary education) have increased⁷⁵

During the last decade public expenditure on education, both in nominal terms and in % of total government spending, shows a positive trend (increase): from €11.7m and 8.2% resp. in 2002 to €34.4m and 10.2% in 2009 (see abstract below). However, overall public DR expenditure on (primary) education has been reportedly low for a middle-income country. Expenditure as % of GDP was less than 2% at the end of the 70’s, increased a bit in 1979-83 but decreased again till fewer than 2%. According to recent MinERD documentation it was 1.82% in 2009 (and 1.89% in 2010).⁷⁶ All the time the budget for education was lower than established by law (General Law on Education: 4% of GDP or 16% from the public expenditure budget should be designated to education). According to the Draft Country Note DR the country ranks 141st of 145 countries with respect to public expenditure in education as a percentage of GDP⁷⁷. In the Latin American region the DR is lagging behind: in the year 2001 the average public expenditure on education was 4.7% of GDP, and among 26 countries of the region, the DR held position no. 24. “Public investment on education of a 2,18% of the GDP in 2008 set the Dominican Republic is a lower place than the average for Latin America and the Caribbean” (Draft Country Note DR p. 56).

During SBS, the EC has made efforts to increase public expenditure on education which were only limitedly successful, as will be further explained. Overall, it has not been possible to be precise concerning the make-up or the marginal increases in education spending that have been brought about by the SBS, as MinERD reports are somewhat contradictory. What is even more difficult to identify is the level of expenditure that would have been made if the SBS had not been in place. In that case the figures for the past fifteen years can serve as a trend: the education budget’s share of the GDP has been less than 2% but it still has not regained its position it had achieved a decade ago, essentially in the absence of donor support. This analysis continues in the next paragraphs. The increase in overall budget levels is a key target indicator for the EC. “The ratio of resources invested in education as a percentage of GDP has been identified as one of the disbursement criteria for the forthcoming GBS.” (Draft Country Note DR p. 31). However, the ratio was no criterion for disbursement in PAPSE I (Delegation Disbursement Report) nor is mentioned as criterion for PAPSE 2 (Letter of MinERD to EUD May 06, 2011).

Civil Society organizations and networks also have been and are lobbying for an increase in these resources to conform to legislation. The 4% movement (striving for compliance with the legal norm of spending 4% of GDP to education) has become a widely respected CS player and an example of peaceful societal mobilization and protest against Government. According to some, it is only by way of pressure of civil society that changes can be obtained in the DR. Nevertheless, the level of budgets does not appear to be rising as far or as fast as it could, given the economic condition of the country and the relative position it has when compared to the rest of Latin America insofar. In the 4th Delegation Disbursement Report for SBS to the education sector the prognosis of 2.54% of GDP budget allocation is considered to be the most realistic (but far below Ten-Year Plan 2008-18 and Strategic Plan 2008-12), but will not be attained at the current rate of increase (1.89% in 2011).

A high percentage of the education budget is directed at recurrent costs. The increase of capital investment (construction of schools, equipment) was and is a disbursement criterion for PAPSE.

Resuming, it can be stated that the size and share of national resources spent on (primary) education have increased over the years until 2009, but still remain considerably below levels established by law

⁷⁵ The underlying assumption is “proportionate to EC financial input”.

⁷⁶ The same documentation informs that the Ten-Year Plan for 2010 budgeted 3.15% of PIB, but only 1.89 was actually spent, resulting in an underspending of 32.2% (1/3) of the budget. This is also indicative of the low capacity of the Ministry to implement the Education Plan.

⁷⁷ UNDP 2009.

as well as regional and country-income standards; furthermore, investment in primary education is relatively low and not according to the country's needs. The causality of increased public expenditure for (primary) education and EU (budget) support cannot be established.

Data, sources, extracts:

Draft Country Note DR p. 6: “**Public Expenditure for Education** The Dominican Republic's expenditure on education is low by international standards and remains below the Government's own target. Central government expenditure on education was less than 2% of GDP during 1975-78, exceeded 2% of GDP during 1979-83 but reverted to less than 2% of GDP during 1984-96. Since 1997, central government education expenditures have been kept at levels higher than 2% of GDP, averaging 2.6% of GDP during 1997-2002. In more recent years public expenditure in education has dropped to 1.3% of GDP in 2004 and has started to recover slowly but steadily. However, the < > budget allocated only 2.4% for 2009 < > The analysis of the Ministry of Education expenditures reveals that fiscal resources are disproportionately allocated among the different expenditure categories. A high share of resources is allocated to recurrent expenditure.”

Ibid. p. 13: “The Strategic Education Plan 2008-12 refers to the first years of the reform envisaged in the sector's longer-term Ten Year Plan 2008-18. This Plan is embedded in a broad sector development plan with an appropriate financing framework, containing the key elements of a sectoral Medium Term Expenditure Framework (consistency with the long-term strategy, strategic actions, indicators, targets and budgetary quantification). It foresees a dramatic increase in public spending in the sector, reversing the historical trend (around 2% of GDP spent in education) to reach a record spending of 4.1% of GDP by 2012.”⁷⁸

Ibid. p. 14: “EC support through PAPSE has been important to qualify the education **expenditure** in the Dominican Republic. In fact around 92% of expenditure in education is made up of national resources while external resources amounted to around 8% in 2009.⁷⁹ < > Total EC support over the period is around 4% of total expenditure⁸⁰ but it has to be considered that from the data available, the budget allocation to salaries (and related expenditure) reaches almost 63.1% and that the recurrent expenditure amounts to 23.1% while only 13.9% are spent on physical investments. The EC allocations being spent only on innovation issues thus provide an important leverage effect that otherwise would not have been possible.”

Ibid. p. 19-20: “According to the Institute of Statistics of UNESCO, in its report on progress towards Education for All 2005, with 2.5% of government expenditure on education in relation to GDP, the Dominican Republic only surpasses Ecuador and Guatemala (2001: Ecuador 1.1% and Guatemala 1.7%⁸¹).

This percentage is comparably low, as in the year 2001, the public expenditure average on education amounted to 4.7% of GDP in Latin America. Among 26 countries of the region, the Dominican Republic occupied position 24. With the recent economic crisis and the drastic reduction of the financing of education, the Dominican Republic could be one of the countries with the lowest level of resources earmarked to education in the region.

The Strategic Plan for Dominican Republic Educational Development acknowledges that over the last years the budgetary resources have been less than what was needed and that important investment increases have been requested. The Ley General de Educación 66/97 (General Law on Education), establishes that 4% of GDP from the government or 16% from the budget should be designated to education, depending on which one is the highest. These levels have never been attained. The following tables summarize the trends over the period 2004-2009.

⁷⁸ During field visit it became clear that this target will absolutely not be met.

⁷⁹ External Resources from donations and loans amount to 831% of the total budget in 2009 and 7.81% on average over the period 1990-2008 - Source SEE Dir. Planificación Financiera Evolución de los Recursos Externos en el Presupuesto de la SEE 2010 in <http://www.see.gob.do/portalSEE/planificacion/documentos/Nuevos%20Documentos/Evolución%20Recursos%20Externos%201990-2009.pdf>

⁸⁰SEE - Fondo General Presupuesto Educación 2009. http://www.see.gob.do/portalSEE/planificacion/estudios_economicos.html

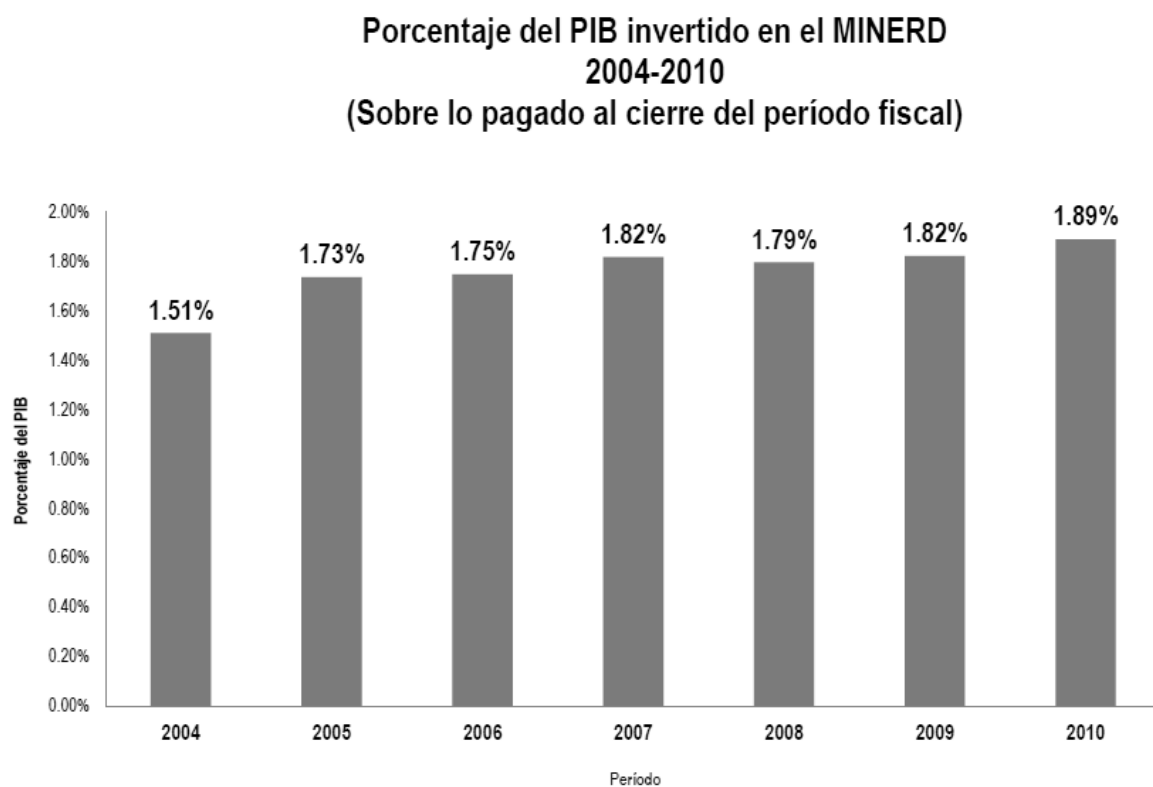
⁸¹ Recently, Guatemala has won over DR.

Table 5: *Dominican Republic: Expenditure on Education as a share of Public Expenditure (in millions of RD\$)*

<i>Macro-economic data</i>	<i>2004</i>	<i>2005</i>	<i>2006</i>	<i>2007</i>	<i>2008</i>	<i>2009*</i>
GDP**	777,187	884,938	1,018,564	1,327,087	1,550,000	1,643,191
Total Public Expenditure	142,062	188,832	220,618	270,803	328,999	328,999
% of GDP	18.28%	21.34%	21.66%	20.41%	21.23%	20.02%
Expenditure in Education	11,724	15,352	17,783	24,110	27,809	33,432
% of Public expenditure	8.25%	8.13 %	8.06%	8.90%	8.45 %	10.16%
% of GDP	1.3 %	1.7 %	1.8 %	2.1%	2.2%	2.4%

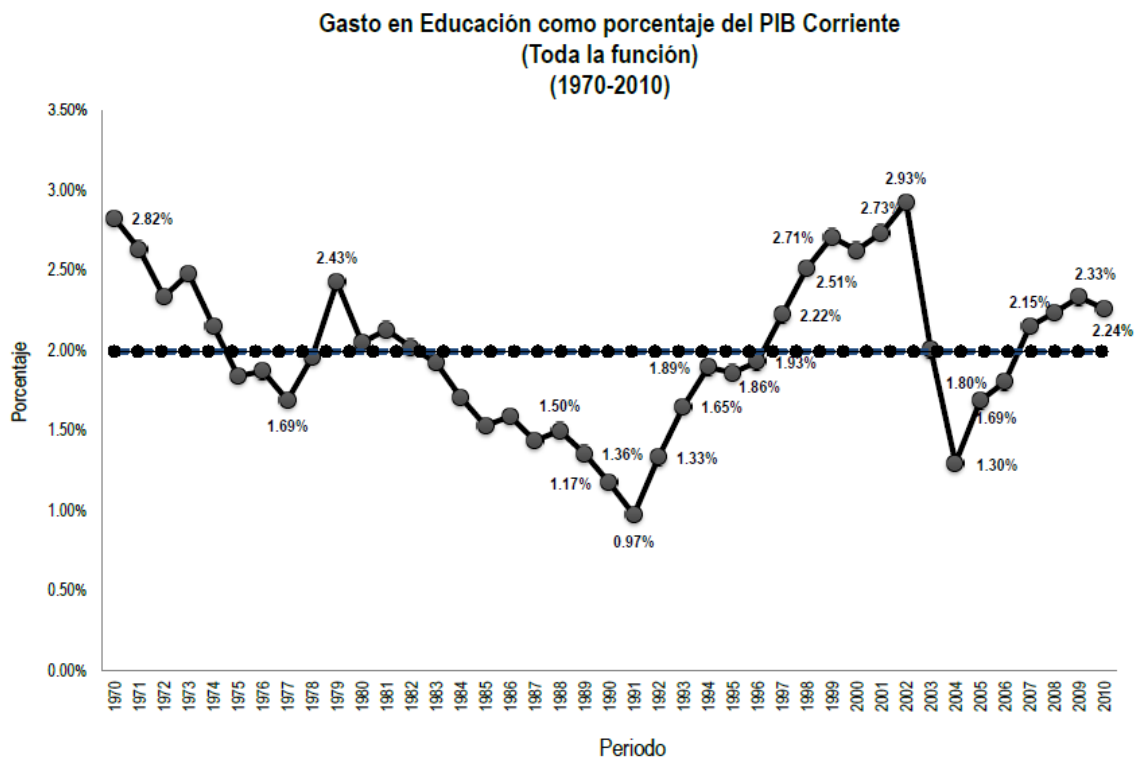
Source: Data processing on the basis of National Budget Data by the evaluation team

Figure 2: *Porcentaje del PIB invertido en el MINERD 2004-2010*



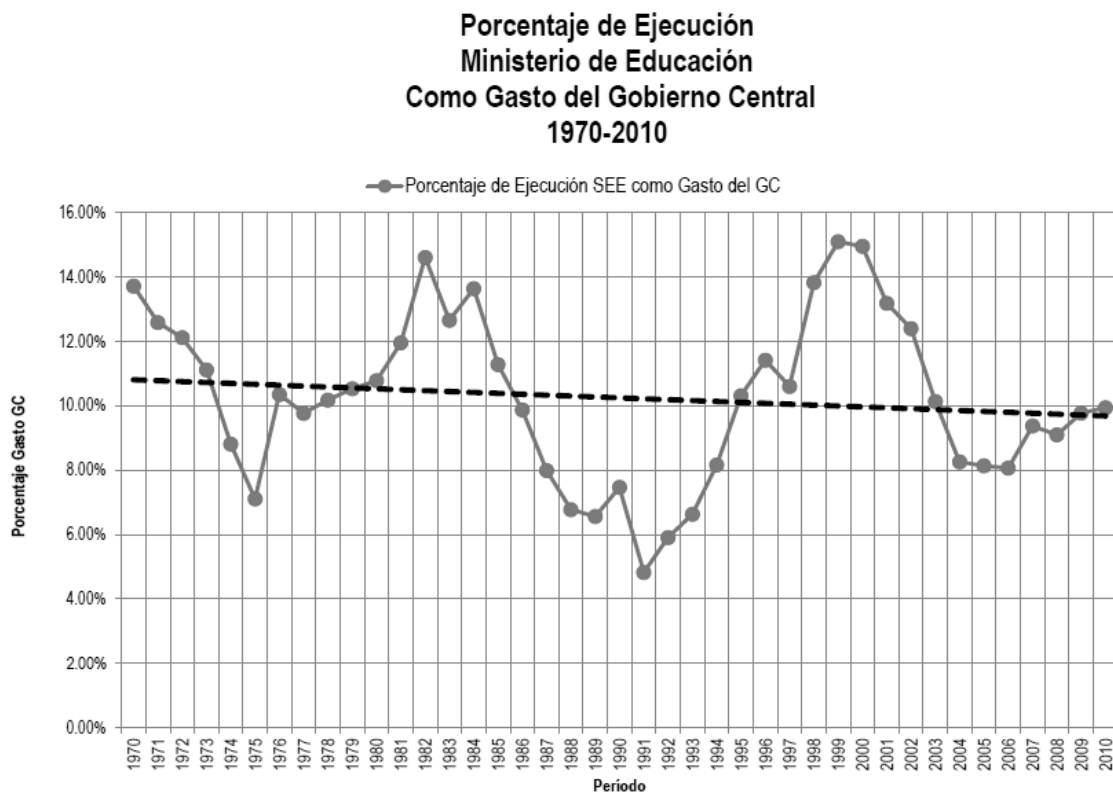
Source: National Budget Directorate

Figure 3: Gasto en Educación como porcentaje del PIB Corriente (1970-2010)



Source: National Budget Directorate

Figure 4: Porcentaje de ejecución MINERD como gasto del gobierno central 1970-2010



Source: National Budget Directorate

An effort has been made by government to increase public investments in education as the table shows. The current share of 10.16 % is the result of a long-lasting process to which the EC has contributed by providing the resources to run innovation and investment activities, likely to produce a leverage effect on the overall system performance with regard to access, equity, internal efficiency and quality.⁸²

Ibid. p. 23: “Moreover, there is a very important presence of Civil Society Organizations (CSOs) in the decision-making process on education, especially on advocacy and lobbying for the increase of resources devoted to education in the National Budget and regarding the compliance with Law requisites. The most important of these initiatives has been funded by the EC.”⁸³

Ibid. p. 26: “The only indicator related to education is the “Budget Allocation to Education Budget” indicator. As can be seen in the following table this indicator has been slowly but steadily increasing over the implementation period of the GBS. In general, over the implementation period there has been a general improvement in social expenditure. In the education sector there has been an improvement in education access and plans and measures are being adopted to improve education quality. If it is true that no disbursement has been made for education throughout the GBS, over the period 2002-2009, national resources invested in education have been raised by 37.4%⁸⁴ according to national sources. Despite the financial crisis, goals belonging to other non-education related indicators (PFM and macro-economic stability) have improved in various measures.

The point open to discussion is whether the results attained are enough or, more specifically, whether it is the result of GBS or not. For the EC, budget support (both general and at sector level) has given the best value for money in the country according to most of the people interviewed in the Delegation.”

A relevant issue concerning educational finance in the Dominican Republic is the contribution made by Dominican families. There is a strong participation from the family budgets and private investments in education account for more than 50% of the national expenditure on education. The Dominican Republic report card, based on data from the Central Bank for 1998, estimated that the families contributed with 56% of the family budget to the education of their children. Most of the expenditure was made in fees when sending children to private schools and, in transportation, teaching and learning materials, uniforms and food when sending the children to free, compulsory education provided by public schools.”

GoDR documento base de la propuesta de estrategia nacional de desarrollo 2010-2030 Un viaje de transformación hacia un País mejor p. 55: “Ingresos del Fondo General especializados por Ley, Normas Legales Oficiales. Ley No. 66-97 Orgánica de Educación: 19.32%”

Informe de seguimiento a las políticas públicas educativas en el marco del programa de apoyo a la política sectorial p. 3: “El acuerdo de financiamiento inicial del Programa de Apoyo a la Política Sectorial (PAPSE) se estimó en €48.2m.”

Ibid p. 21: “Tabla Comparación del Presupuesto del Plan Decenal para el período 2009 y el Aprobado (En millones de US\$). Apoyo a la Educación Temprana, Presupuesto 2009: 2,189,369. Distribución Porcentual Presupuesto Plan Decenal 2008-2018 Plan Decenal: 0.22%. Inversión en Educación como % del PIB: 2.31%”

Ibid p. 23: “Gráfico # 2: Distribución del Gasto de la Secretaría de Estado de Educación Por categoría de gasto (Como % del total del Presupuesto 2009 Aprobado”

Ibid p. 28: “El organismo financiador con más peso en el Presupuesto 2009 para el renglón de recursos externos fue el BID con un nivel de participación de 51.97%, le sigue el Banco Mundial con 38.02% y la Unión Europea con 10.01%.”

Metas educativas 2021 p. 177: “El incremento de la cobertura se ha dado en medio de grandes limitaciones; en los últimos 36 años el país ha tenido el más rápido crecimiento de América Latina, pero su gasto en educación ha sido menos de la mitad del gasto regional y menos de la tercera parte del gasto en educación entre los países insulares del Caribe. Por ejemplo en el documento citado del Banco Mundial, para el 2005, de un grupo de 16 países de América Latina y el Caribe, RD ocupaba la tercera posición en términos del gasto por alumno/a.

⁸² According to recent MinERD documents, this % has fallen to 9.34 in 2010.

⁸³ A National Research, Advocacy, Lobbying and Institutional Education/Information campaign has been carried out by the Observatory for Social Policies within the Centro Juan Montalvo and the Bonó foundation, mobilising several Civil Society sectoral and general purpose for a such as: Acción Magistrada, Foro Socio-Educativo, Foro Ciudadano). The project has been funded by the EC under the PAIGFP Programa de Apoyo institucional a la Gestión de Finanzas Públicas Call for Proposal for CSOs.

⁸⁴ From 239.430.457 in 2006 to 328.999.387 in 2009 according to SEE and Banco Central de la República Dominicana.

Tal como lo expresan Flores y Lapaix (2008) en su diagnóstico de la educación dominicana, el problema del financiamiento de la educación en el país es que no ha sido consistente a través del tiempo: aumenta y luego cae (llega a un tope en los años 1970, 1979, 2002, 2007 y llega a un mínimo en los años 1977, 1991, 2004). El gráfico 1 presenta la evolución reciente del financiamiento de la educación en el país en el período 1995-2008.

Si se comparan los datos con la región, los resultados no son tampoco halagadores. En términos de PIB, el país ocupa el último lugar, con el 49% de los que en promedio gasta la región (4.8%); y, en términos de gasto per cápita, también ocupa los últimos lugares, con el 40% de lo que la región destina al sector educación (72 dólares del año 2000 versus 179 de gasto per cápita en la región).

El financiamiento a la educación primaria el país (Estudio de J. Lizardo, 2010) también ocupa las peores posiciones (el 3ero. más bajo). Para el año 2006, el gasto per cápita promedio de América Latina en educación primaria fue de 581 dólares, en comparación con 427 en la República Dominicana.”

JAR 2009 p. 10: “In the Dominican Republic, **public spending** in primary and secondary education has historically been lower than the minimum required by the General Law of Education⁸⁵: around 2.2% of GDP in the past 40 years.”

Ibid. p. 12: “In order to tackle this situation and with the aim of achieving a deep long term reform of the educational system, the State Secretariat of Education has drafted the **Ten-Year Education Plan 2008-2018**. This Plan has four main lines of action: (i) educational centers at the heart of the system; (ii) revision and reformulation of the teacher training policy; (iii) compliance with the school year and timetable; and (iv) continuous and systematic investment in education, in accordance with the State’s budgetary planning. The Plan is based on an Education Management Strategic Plan 2008-2012, which includes indicators and investment goals for the period (part seven). This kick-starts a process of design and approval of a ‘financial framework’, with the corresponding financial implications of its implementation for the whole decade, and which is to be approved by the Secretariat of Finance in coherence with the National Development Strategy which should be handed to congress in the last quarter of 2009.”

Ibid. p. 24: “In the area of social governance, the Dominican Republic displays a huge gap between the level of its GDP per capita and selected social indicators, as compared to other countries. Poverty eradication and social cohesion are clearly a question of political willingness and effective implementation, given the medium income level of the country and the macro-economic growth context: while the government declares to be committed to achieving the Millennium Development Goals, this commitment does not show in the annual budget. Low level of public expenditure is closely related to the low quality of social public services. A considerably higher budget allocation is absolutely necessary, if national and international targets are to be met. However, in a global crisis and high public deficit context, budgetary social allocations have been lower than planned in 2009.”

According to the UN Human Development Programme (see http://www.nationmaster.com/graph/edu_edu_spe-education-spending-of-gdp), in 2000-02 DR ranked 120 out of 132 countries with 2.3% of GDP spending on education, even after Nicaragua which spent 3.1%. In the same period DR held position 119 out of 126 countries with 2.8% of public expenditure per student at primary level (total reported current spending by the government on primary education, divided by the total number of pupils in primary education, expressed as a percentage of per capita GDP), after countries like Rwanda and Guatemala (SOURCE: UNESCO).

Indicator 2.2.5: Existence of government-led adequate mechanisms to ensure a coordinated policy dialogue process consistent with the key country development priorities

The results for this indicator relate directly to the indicators and key sources 1.1, 1.5 and 1.7 of JC2.1 and here reference to these indicators is made.

At this moment (2011) it can be concluded that, in the absence of PRSP and the National Development strategy still under discussion, there is not in place a coordinated policy dialogue. The Mesa Sectorial was allegedly to meet last March on the day after the former Minister of Education was replaced, and therefore postponed; MinERD has to take this up again.

⁸⁵ By law 4% of GDP or 16% of the national budget.

According to the Draft Country Note DR (p. 15), and this was confirmed in interviews during the field visit, donor coordination was one of the outcomes of EC support to the education sector and coordination mechanisms were in place (p. 24), and led by GoDR, but later on leadership was taken over by the EC and more recently (Sept. 2008), the so-called *Mesa Sectorial* on education became non-operational as the Ministry of Economy, Planning and Development was expected to define the methodology for Sectoral “Mesas”. Only a few Minutes of meetings of the *Mesa Sectorial* were obtained, dealing more with procedural issues than with content. Donors mentioned they more often meet without the presence of GoDR (no Minutes obtained). And MinERD mentions bilateral meetings (no Minutes), waiting for the *Mesa* to resume. This is also the case with the IDB: bilateral meetings are held to set priorities when a new government comes in, sometimes with participation of the World Bank and the Central American Bank for Economic Integration (CABEI).

Data, sources, extracts:

Draft Country Note D.R. p.9: *“The overall EC approach to support the Dominican Republic has been guided by an increasing emphasis on harmonization with other donors. The lack of an all-embracing development strategy or PRSP, and instead parallel sector development plans (MDGs Strategy, a Plan for Public Administration Reforms, a Development and Financing Strategy Outline) has sometimes been cumbersome in organizing policy dialogue and ensuring that all donors concur around the same Government effort. The Commission has worked alongside the other budget support donors (World Bank, IADB, IMP) and coordinates its institutional support measures with those of the other interested donors (who include the budget support donors together with the US and UNDP). In the recent past, the World Bank and IADB's analytical work related to PFM was used by the EC and others as the basis for their programmes.”*

EAMR July 2010 p. 3: *“C) Development of quality of assistance*

The formulation of the new three EDF10 budget support operations allowed for tangible progress in terms of sector policy dialogue (education, competitiveness), as well in public finance management. Following the successful 2009 auto-PEFA evaluation (supported by the EC and carried out by a peer, a former Budget Director of Peru), a new external PEFA diagnosis was launched in June 2010.

The new National Development Strategy, elaborated by the government and scheduled for approval in August 2010, is declined into key strategic objectives and priority activities and should pave the way for the full alignment of our cooperation programme on national strategy and policies.”

Ibid. p. 5: *“This programme is the continuation of the EDF9 PAPSE for three additional years. It was not included in the initial EDF10 strategy and was introduced in the 2009 MTR exercise. The MTR has not been approved yet, what constitutes a risk for 2010 approval of the programme. As with all other EDF10 budget supports, the pending approval of the National Development Strategy constitutes a risk for implementation.”*

Ibid p. 15: *“9.2 Report on co-ordination and co-operation with IOs in terms of policy dialogue and programme design*

In general, coordination with IOs is continuous in terms of exchange of information and relatively weak in terms of joint actions.

In terms of programme design some important improvements are being prepared, such as the possible conclusion of an agreement (memorandum of understanding) with AECID and, maybe, the WB for a joint analysis and coordinated implementation of education sector budget support or the possibility of a similar memorandum with the WB for coordinated implementation on PFM reform.”

Indicator 2.2.6: Evidence, through minutes of meetings, that gender equality and HIV/AIDS were being addressed in dialogue and programming of EC support to primary education

Gender equality and HIV/AIDS are important topics for the DR (youth), as can be appreciated in the extracts quoted below.

Both gender equality and the fight against HIV/AIDS are mentioned in the CSP 2008-13 as cross-cutting issues, but no specific reference is made in the former CSP 2001-07. In the latest CSP, women's equality problems are briefly described (unemployment and lower salaries, low representation in government and legislature) but at the same time mention is made of the fact that “girls outperform boys in school” (p. 12). The potential risks for HIV amongst girls (30% of deliveries

are of teenage girls) are also referred to (p. 13). It is important to note that the CSP never ties gender equality and HIV/AIDS to education.

In RSP 2008-13, gender equality is mentioned as a cross-cutting issue in all programmes to form part of the support strategy (p. 43).

Gender and HIV/AIDS are not mentioned in MTR 2010 (2009), gender only casually in EAMR 2010.

In JARs, gender and fight against HIV/AIDS are hardly mentioned, or only in relation to MDG achievement (HIV/AIDS).

The first FA (end 2005) mentions gender equality (HIV/AIDS not) as an issue to be worked on. Gender is not mentioned in *ATI Informe final* (2009).

During field visit it became clear that, according to MinERD and EUD, gender and or HIV/AIDS have never been discussed specifically in relation to support to the primary education subsector. MinERD mentions that the topic of gender is integrated in the Ministry (Gender department) and along with HIV/AIDS as cross-cutting issue in the curriculum (“curriculum is feminist, girls do far better and low performance of boys is worrisome”), but this is independent of EC support. Teachers mention that they try to treat gender and AIDS as good as possible in their classrooms but that they are badly prepared, and sometimes hesitant to do so. According to others, most teachers would not even understand how to treat these subjects.

Nevertheless, gender equality is almost a fact in primary education. Although the ratio of gross enrolment girls/boys had diminished from 100 in 2001 to 92 in 2008⁸⁶ and a relatively less proportion of all girls are enrolled than of all boys, girls do better in national exams and desert the system in a lesser degree (Valerio 2011; ODM Informe de Seguimiento 2010, MEPyD). As pointed out by the Ministry of Planning and Development in its Sept 12 comments to the Evaluation team, while gross rates are interesting but they may be biased because of the preponderance of boys in the system. Net rates may be better. They are equal at 99% according to the Ministry.

The conclusion is that gender equality and HIV/AIDS are not clearly related to and integrated in the contents/thematic of primary education, and not treated in policy dialogue and programming of EC support (SBS) to the primary education sector, Nor has there been found any evidence that these issues were treated laterally (as a cross-cutting issue) in overall policy dialogue.

Data, sources, extracts:

RSP and RIP 2008-2013: “Life expectancy has improved significantly in the region, with Haiti having the lowest life expectancy of 52 years. The available data suggest that most countries, except Haiti, are likely to achieve universal primary enrolment by 2015. Similarly, the region scores very high in terms of eliminating gender disparity in primary and secondary schools. < > Non-communicable diseases place a considerable health burden in the region, and are notably due to unhealthy lifestyles such as smoking. Among them, diabetes, cancer, heart disease and strokes were the 4 major causes of death in 2000, the latest for which complete mortality data is available. HIV was the fifth.

The HIV/AIDS epidemic in the Caribbean region is second in magnitude in the world, behind only Sub-Saharan Africa. According to UNAIDS, the Caribbean had an incidence of reported AIDS cases of between 210,000 and 270,000 in 2007 and an estimated 17,000 new infections occurred, of which approximately 50% were among women and 40% among young people in the 15-24 age group (the UNDP even estimates the total at more than 440,000 people infected with HIV). HIV prevalence reached or surpassed 1% in the Bahamas, Barbados, Belize, Guyana, Haiti, Jamaica, Suriname and Trinidad & Tobago. In general it seems that national adult HIV prevalence has stabilized in several Caribbean countries, including the Dominican Republic and Haiti. However, with some 170,000 people (270,000 according to UNDP!) living with HIV, Haiti bears the largest HIV burden in the region.”

Ibid. p. 15: “Gender inequality in the region persists and detracts from economic growth. Females in the Caribbean are more likely to be unemployed, have lower labor force participation rates and predominate in specific sectors of the economy which have comparatively lower rates of remuneration. The women's rights are reasonably well established in the region, although the issue of violence against women, and particularly domestic violence, is a serious concern.”

Ibid. p. 43: “Gender mainstreaming must be emphasized as a strategy for promoting gender equality in the region. Such an approach must take into account the social, cultural, economic and political

⁸⁶ Min. de Economía, Planificación y Desarrollo, Objetivos de Desarrollo del Milenio, Informe de Seguimiento 2010 República Dominicana, p. 55.

inequality between women and men in all activities (e.g. policy, administrative, human resource and financial) and promote the empowerment of women.”

*JAR 2009 p. 12: “Prevalence of **HIV/AIDS** affects approximately 0.8% of the sexually active population. An increase has been recorded amongst people between 30-39 years of age, inhabitants of rural areas and people with no formal education⁸⁷. There has been a reduction of 21% in adult mortality and in mortality of boys and girls between 2004 and 2007. Nevertheless, at the end of 2007 approximately 8000 people were receiving antiretroviral treatment, which represents 39% coverage of total need. One remaining challenge is the identification and reporting of patients that ignore their condition or have no access to services.”*

Ibid. p. 15: “Women and girls live in a complex, changing and contradictory environment in the Dominican Republic. On the one hand, there has been considerable progress towards gender equality in law (Law No. 24-97 against intra-family violence), a good national plan (National Plan of Gender Equality, 2006-2016) and an impressive participation of women in higher education (in 2005, 62% of university graduates were women; and at one of the most prestigious university, the PUCMM, in 2005, 69% of honors graduates were women). In the international arena, the country is signatory (1980) of the United Nations Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), and it ratified the Inter-American Convention on the Prevention, Punishment, and Eradication of Violence Against Women (Convention of Belém do Pará). The Dominican Republic also participated in the Beijing Platform for Action (1995) established in the Fourth World Conference on Women.

< > The context of gender inequality will change significantly with the approval by Congress, constituted as a Revising Assembly for the Constitution, of Article 30, a conservative clause against abortion. The new constitution establishes, beyond the legislative amendment, a judicial position with regard to abortion that will conflict with ongoing work to reach MDGs related to health and gender equality.”

Ibid. p. 21: “Political dialogue between the EU and the Dominican authorities has a formal structure and requires some planning, in the framework of Article 8 of the Cotonou Agreement. During 2008, the EC conceived a strategy to strengthen this dialogue. A structure of formal high-level meetings every six months was decided upon, preceded by technical preparatory meetings. A first joint meeting between the EU Troika and the Secretary of State of Economic Affairs, Planning and Development, Temístocles Montás, produced a list of topics to be discussed at the first formal political dialogue meeting, which took place in March 2009. The Dominican presence was high-level: two Secretaries of State (Economic Affairs, Planning & Development and Foreign Affairs), several Undersecretaries (including Finance) and the National Authorizing Officer. Matters discussed were the global financial crisis and its impact on the country, as well as the implementation of the EPA (agenda item) and budgetary support (not on the agenda). The challenge for subsequent meetings is to increase their relevance, addressing more sensitive subjects and those that could have a greater impact in the country's sustainable development, such as human and minority rights, gender equality, safety of foreign investment, etc.”

EAMR 2010 p. 4: “The second EU-DR political dialogue meeting with the Foreign Minister took place in April 2010 and allowed an open exchange of views on DR-Haiti relations, DR position in the Caribbean region, preparation of the national development strategy, forthcoming local and congressional elections and cooperation in drug trafficking. The challenge to make political dialogue more relevant in the Dominican Republic remains in finding the appropriate way to put sensitive issues (for instance good governance, human rights including gender issues and the rights of minorities or foreign investments security), which have a determinant impact in terms of sustainable development, on the agenda of future meetings.”

⁸⁷ ENDESA 2007.

JC 2.3: Sector budget support has contributed to the provision of harmonized processes for financial and non-financial inputs, such as technical assistance and capacity building, the latter being strategic and focused on government priorities.

Overall analysis of JC 2.3

Overall, evidence to corroborate this JC is weak. During field visit it has become clear that no overall donor coordination with a view on harmonizing input processes is in place, but bilateral meetings take place (EUD-AECID, IDB-WB, Government-individual donors).

In the JARs 2005-09, the EU Delegation is reported to have been pro-active in searching for harmonization of support, focusing on government priorities and looking for GoDR leadership. However, formal procedures and mechanisms, if constituted at some point, seem to be no longer operational; bilateral provisions are employed and rather functioning well (i.e. in case of EC-AECID) and at this moment no donor coordination reports are available.

The Delegation's Disbursement Report (2010) considers that *"there has been satisfactory progress towards the establishment of a serious and realistic MTEF for the <education> sector, both in terms of objectives/actions and in terms of financial resources..."* However, evidence of the progress towards the harmonization of processes for the management of financial and non-financial inputs as well as the overall alignment of external aid with the government budget cycle was not found at field level (EU Delegation, MINERD and Ministry of Finance files or through interviews with their personnel). According to MinERD, SBS financial inputs have been delivered on time but there is no evidence of better alignment with GoDR budget cycle.

The same applies to the indicators of coordination of TA and the adoption of a donor common approach: little evidence was found on the existence of inter-donor mechanisms regarding the provision support in the education sector. As the Draft Country Note DR states, the EU Delegation has been active in promoting donor coordination and meetings within the education sector (*Mesa Sectorial*) have taken place, but later on this dynamic was abandoned and GoDR leadership is not convincing. However, some progress in donor coordination is perceived (Draft Country Note DR) and there exists interest amongst donors to commonly support the MINERD in accordance with its policy priorities and planning. Furthermore, it is important to note that AECID has adopted the SBS modality for support to the primary education in DR and has fully harmonized its efforts with the EUD in this respect.

Analysis of indicators

Indicator 2.3.1: Existence of appropriate means and mechanisms to ensure progressive harmonization of budget support operations.

According to the Draft Country Note DR, the search for harmonization of SBS operations has been a priority feature of EC Budget Support to the Education Sector in DR.

It notes that *"Sectoral Donor coordination and harmonization work well, the EC plays a leading role and has produced the strategic reference framework for donor support, harmonization and government ownership."*(p. 34). But that quote is contradicted by information found in JARs, notably the 2009 JAR that notes that *"there was limited progress....in the implementation of the Paris Declaration principles – ownership, harmonization ..."* and *"Some sector coordination meetings were held.... The agenda for these meetings was....limited to an information exchange between donors..."*.

Formal procedures and mechanisms geared towards harmonization were inadequate during the period covered by the evaluation. As of the end of 2009, no donor coordination reports are available. The 2009 JAR confirms the weakness in harmonization (pp. 21-22).

Harmonization is not mentioned in MTR 2010.

See also indicator 2.1.5.

It is concluded that there do not exist proper mechanisms to ensure progressive harmonization of SBS but bilateral provisions are employed and rather functioning well (i.e. in case of EC-AECID), and the EC has played a central role in these processes.

Data, sources, extracts:

EAMR p. 8: “The disbursement request for the 2010 variable tranche will be a key one for assessing the results of the sector reform. The consequent joint donor analysis of the education sector performance scheduled for September 2010 is a local milestone for increased harmonization and for implementation of the EU Code of Conduct. The final disbursement should take place before the end of the year (end of operational period) and the timing will be certainly tight.”

JAR 2008 p. 28: “5. AID EFFECTIVENESS - Only limited progress was achieved in the Dominican Republic in 2008 in implementing the principles of the Paris Declaration on harmonization, alignment, coordination and result-oriented administration.

The main approach involved projects, with the EC, the World Bank, the Inter-American Development Bank and to a certain extent the Spanish Development Cooperation Agency being the only donors providing budget support. However, the EC recently agreed with the World Bank and the Spanish Development Cooperation Agency to propose to the Dominican Government the joint adoption of a memorandum of understanding for budget support donors. This proposal was favorably received by the Secretariat of State for Economic Affairs, Planning and Development. Should this strategic partnership materialize, it could encourage other donors to consider adopting the budget support approach, provided that this is based on the new rules laying down new instruments in the context of the Dominican National Planning System.

More generally, coordination of development donors was relatively weak because of failure to take on cooperation, which was assumed by the Dominican Government, and because of the splitting-up of these coordination functions between various public entities. Several sectoral coordination groups held meetings in 2008, for instance the education, governance, competitiveness and environment sectors, but the agendas of these meetings were generally confined to exchanging information between donors, with no in-depth sectoral policy discussions.”

JAR 2007 P. 27-28: “5. DONOR COORDINATION AND HARMONIZATION - Donor coordination during 2007 was based mainly on regular meetings between the donor community as a whole and between the European Commission and the member States (MSs) convened by the EU Delegation and the MS occupying the local EU presidency or acting in that role. MS representations generally meet at ambassador level (including the EC Head of Delegation) to coordinate their political agenda, including cooperation and visibility. The EU Delegation also invites the MSs to participate in regular exchanges of points of view on cooperation strategies and implementation, and on specific programmes on an ad-Eval. coord. for the EUD basis. In the course of 2007, there were a number of meetings to present and to discuss the new 2008-2013 Country Strategy Paper.

< > Regarding coordination between donors overall, a general donor coordination meeting is organized monthly at the premises of World Bank to discuss matters of general interest such as the continuation of the arrangement with the IMF, the crisis in the energy sector and issues arising from the general programming of the poverty-reduction strategy. This group is complemented by a number of groups in the sector, and one of the donors is chosen as lead donor. The current sectors are education, health, justice, transparency & anti-corruption, decentralization, gender, rural development & food security, management of natural resources & disaster prevention, public finances and competitiveness. Spain is acting as leader of the decentralization and gender groups, Germany is the lead for natural resources, while the EU is coordinating public finance aspects and competitiveness.”

Draft Country Note DR p. 9: “The overall EC approach to support the Dominican Republic has been guided by an increasing emphasis on harmonization with other donors. The lack of an all-embracing development strategy or PRSP, and instead parallel sector development plans (MDGs Strategy, a Plan for Public Administration Reforms, a Development and Financing Strategy Outline) has sometimes been cumbersome in organizing policy dialogue and ensuring that all donors concur around the same Government effort. The Commission has worked alongside the other budget support donors (World Bank, IADB, IMP) and coordinates its institutional support measures with those of the other interested donors (who include the budget support donors together with the US and UNDP). In the recent past, the World Bank and IADB's analytical work related to PFM was used by the EC and others as the basis for their programmes.”

ibid. p.10: "In parallel, GBS aims to reinforce capacity and provide for effective policy dialogue on the PFM reforms which should also lead to a harmonization of requirements with other budget support donors and to reducing the financial gap between plans and budgets. Nevertheless, it has to be said that the level of mutual coordination between SBS and GBS is very low or non-existent."

ibid. p.20: GBS Support is aimed at "...

3. contributing to alignment and harmonization processes in DR in line with Paris Declaration objectives through the creation of a joint budget support group comprising the EC, the WB and Spanish cooperation;

Country Note DR p. 28 (196): "EC support has been the first complete form of SBS in the DR. In spite of its limitations it has systematically helped enhancing the capacity and awareness needed to extend and generalise this form of aid modality for the sector. The choices made by some donors, like Spain for example, to join the next phase of EC Sector Budget Support and of the Multilateral Development Banks to adapt their intervention modalities to policy support, as well as the choice of providing non-loan technical assistance using resources entrusted by several donors, is a further step ahead towards full harmonisation. Finally, the EC has contributed to the formulation of the Strategic Education Plan that will be the reference for all donors and development partner support until 2020."

ibid. p. 32: Conclusion: "The EC has played a leading role in donor coordination and in the harmonization and alignment of donor support to education in the Dominican Republic, not only by stimulating coordination and participation in the Donor Coordination Board (Mesa de Donantes) but also by promoting a referential framework for donors and development partners and by promoting the use of the country's procedures and the involvement of civil society." "...interventions of Development Banks are supporting policies with modalities that show a gradual harmonization, that promotes the use of country's procurement procedures and the provision of TA funded by non-loan resources entrusted to the Banks;"

Indicator 2.3.2: Existence of progress towards the overall alignment of external aid with the government budget cycle (financial management and procurement systems).

According to the Draft Country Report DR p. 22 "SEE-MINERD is working on the development of a system "Finance 2000" "overseeing and controlling/monitoring all financial transactions between and within the Departments and between the departments responsible for finance and the treasury, internal and external financing sources and responsible departments,. The MTEF at its early stage is highly compatible with the four-year period identified by the Budget Law (Ley Orgánica de Presupuesto), with the structure of Program-Based Budget⁸⁸ and is a reliable financial expression of the Ten Year Education Plan." < > "Procurement systems are in place and transparency is enhanced at all levels. < > The EC contribution in this process has been fundamental for the design of MTEF and its coherence with national laws."

The Delegation's Disbursement Report (2010) considers that "there has been satisfactory progress towards the establishment of a serious and realistic MTEF for the <education> sector, both in terms of objectives/actions and in terms of financial resources...."

No document we obtained made the link between the disbursement by donors and the GoDR's budget cycle. Evidence of the progress towards overall alignment of external aid with the government budget cycle was not found at field level. The most recent PEFA analyses reports indicate that progress on the management of budget line items (required to be able to analyze performance in terms of cost-benefit analyses, has been slow. As a result, it is not possible for any organization, including the MinERD, to fully analyze alignment of external with internal revenues.

According to the EUD supposedly there is alignment with GoDR budget cycles, but in practice the EUD depends on disbursement requests that are not presented on time. In field interviews, the Vice-Ministry of Planning of MinERD considered SBS financial inputs to have been delivered timely but EUD reported that this did not happen according to the planning: funds were not delivered on time by HQ and the Government usually does not present (on time) the necessary disbursements requests. The GoDR experienced allegedly liquidity problems at the start of the school year. See also JC2.2.

⁸⁸ Regulations established by the Ministry of Finance (Ministerio de Hacienda) and the Ministry of Economy, Planning and Development.

Data, sources, extracts:

Delegation's Disbursement report 2010.

JAR 2009 p. 5: *“Progress in terms of **government effectiveness** has been relatively good. In 2006 and 2007 a new set of laws was passed to initiate a profound reform of the public finances management system. The actual pace of implementation of this reform has been moderate (the integrated system of financial management – SIGEF – launched in 2004 is not yet 100% operational), and it lacks a roadmap as well as a system to measure and monitor development. However, there have been tangible advances in public finances management, in the areas of accounting entry (sole treasury account) and credibility of the budget (restrictions in the discretionary nature of allocation of surplus income).”*

Draft Country Report DR p 20: *GBS is aimed at “contributing to progress in public financial management (PFM) reform and stronger accountability in this field through the selection of specific PFM performance indicators to base variable tranches disbursements and the strengthening of the PFM coordination group which will monitor progress against a PFM reform action plan,”*

Ibid. p. 22-23: *“Another system available within SEE-MINERD “Finance 2000” aimed at overseeing and controlling/monitoring all financial transactions between and within the Departments. The MTEF at its early stage is highly compatible with the four-year period identified by the Budget Law (Ley Orgánica de Presupuesto), with the structure of Program-Based Budget⁸⁹ and is a reliable financial expression of the Ten Year Education Plan.*

The MTEF is structured on the basis of: a) Policies, objectives and programmatic goals of the Ten Year Education Plan over the period 2009-2012; b) Technical Criteria to calculate production and provision of education services at different levels; c) Detailed break-down according to programmatic category, organizational unit in charge, specific goals, expenditure forecast by economic classification category and source of financing. This structure is likely to increase accountability of different government stakeholders and to overcome the difficulties currently faced with the use of SIGE. Meanwhile SIGE is being upgraded.

Procurement systems are in place and transparency is enhanced at all levels. Within decentralization and the budget transfer process, specific preventive measures have been taken with regard to earmarking of resources, responsibilities for procurement and disbursement, etc. Accountability has been very much enhanced. Mis-procurement cases have been reduced, although the fight against corruption is still said to be an issue in the country.

The EC contribution in this process has been fundamental for the design of MTEF and its coherence with national laws.”

Indicator 2.3.3: Existence of inter-donor mechanisms to harmonize and coordinate the provision of Technical cooperation inputs to the country

There is little evidence found on the existence of inter-donor mechanisms regarding the provision of TA inputs in the education sector. The ATI to PAPSE Final report (2009, see abstract below) does not refer to any coordination or harmonization on this point, nor is it mentioned in JARs and the only ROM on PAPSE (2007).

During field visit, a former TA mentioned there was an initiative to overall coordination with WB and IDB, and even NGOs (EDUCA) supported this, creating a good ambiance between consultants from different institutions. However, EUD considers a common approach, further than coordination between the four donors in primary education, difficult.

Data, sources, extracts:

Asistencia Técnica al Programa de Apoyo a la Política Sectorial Educativa (PAPS-E) INFORME FINAL JUNIO 2009. p. 7: *“...A pesar de ciertos logros parciales en cuanto a la coordinación de donantes en el sector educativo con el fin de realizar un apoyo global más coherente, éste proceso no ha tenido la suficiente continuidad y integralidad durante los últimos tres años. La SEE debe ejercer un liderazgo más efectivo en cuanto a la dinamización de la Mesa Sectorial con el fin de que se profundice la socialización y progresiva asimilación de los conceptos de Enfoque Sectorial y Apoyo Presupuestario. La existencia de un Plan Estratégico Decenal, con una clara definición de Políticas, de objetivos y resultados esperados, así como una cuantificación de recursos necesarios, humanos,*

⁸⁹ Regulations established by the Ministry of Finance (Ministerio de Hacienda) and the Ministry of Economy, Planning and Development.

materiales y financieros, debe facilitar esta compleja tarea de armonización y coordinación de donantes.

Ibid. P. 9.: “Por otro lado, desde hace algunos años, las diferentes evaluaciones relativas a la implementación de políticas de cooperación al desarrollo han revelado importantes deficiencias en su concepción e implementación. Entre ellas, las siguientes: < > - Escasa coordinación entre las políticas de ayuda de los distintos donantes.”

Indicator 2.3.4: Progress through EC support towards the adoption of a donor common approach, in agreement with GoDR and under its leadership.

The existence of a common donor approach towards primary education support in the DR has not been appreciated during field visit. As the Draft Country Note DR states, the EU Delegation has been active in promoting donor coordination and meetings within the education sector (*Mesa Sectorial*) have taken place, but later on this dynamic was abandoned and GoDR leadership is not convincing. There is no decisive report of a donor common approach in support to the sector in JARs or MTR 2010. In fact, the 2009 JAR notes exactly the opposite: “... donor coordination was relatively weak ...given the lack of ownership of development cooperation. The Dominican Government having taken on its coordination with the mandate scattered amongst several public institutions...with few results”. So although the GoDR may have taken on the leadership of donor coordination in theory (and in the past), the facts do not support the contention that it shows leadership or that a common donor coordination approach has been created or implemented. However, there exists interest amongst donors to commonly support the MINERD in accordance with its policy priorities and planning. Consultation of MINERD and other donors' personnel during field visit has confirmed this appreciation.

Added to this, according to AECID, WB and IDB have another attitude towards BS and GoDR is not requesting them to supply BS, probably preferring loans with less conditionalities. IDB also observes that BS might not be the objective of GoDR. On the other hand, MinERD informs that the World Bank is interested in the SBS approach.

Data, sources, extracts:

Draft Country Note p. 24: “JC81: Donor co-ordination mechanisms are in place or being set up with the EC providing value added - Institutional dialogue between government representatives and donors is coordinated by the MINERD over the whole of the programming period (especially from 2006 onwards) and takes place through sector roundtable meetings organized by the government. These meetings and their follow-up are not as frequent as they could be. During 2009, the government made efforts to define an international cooperation policy in accordance with the NDS. Initial proposals were judged by the donor community as too complex and difficult to implement and they are being revisited. As regards education, the donors group met on three different occasions in 2009, one of them as a formal roundtable meeting. The EU Delegation acted as facilitator in the meeting and launched the idea of joint 6-monthly analyses of the sector situation and performance.

The education round-table is chaired by the Minister of Education and is now coordinated by the EC and includes all the donors and government institutions involved in education. This table was expected to be the engine for the reforms in the education sector, so donors could contribute under the sector approach. So far the informal donor coordination platform in the Education Sector comprises the participation of IADB, EC, USAID, WB, Germany, Spain and France. This round table has been active over the period under evaluation and is currently inactive since September 2008 as the Ministry of Finance is expected to define the methodology for Sectoral “Mesas” (Coordination Boards). < >

In all the programme documents (FAs) the problem of donor coordination is adequately taken into account. The expected role of EC Budget Support (PAPSE I) was explicitly expected in the FA to provide the “opportunity for a rapid and somewhat drastic change of orientation in its role, aiming more and more towards concretizing achievements in terms of coordination between donors”.

The above modalities will match to a high extent the requirements of the Paris Declaration (alignment, use of beneficiary procedures) and of the Accra Agenda for Action (accountability, transparency, participation and cooperation with civil society).”

Ibid. p. 25: “JC82: Complementarity between the interventions of the EC, the EU Member States and other donor agencies active in the education sector - In the framework of the forthcoming PAPSE II, Spain (a major donor in the DR) is going to adopt budget support by incorporating its resources into PAPSE II. Moreover, both development banks (WB, IADB), although with different levels of intensity, have accepted to support government policies instead of specific stand-alone investments.

The World Bank DPC PASS Loan is direct budget support disbursed on the basis of performance and indicators⁹⁰. Both the WB and IADB and the whole donor community acknowledge to the EC the pioneering role played in the sector.

IADB has decided to support policies identified by the SEE-MINERD through the CCLIP⁹¹ loan, aimed at supporting the SEE in improving performance and effectiveness in primary and lower secondary schools that are supporting policies within a division of work between partners.

Both multilateral development banks have accepted to accompany their lending operations with Loan Technical Assistance activities funded by various donors and entrusted to the Banks in high coordination with PAPSE II Technical Assistance and the needs identified by the Ten Year Plan.

The provision of Technical Assistance as a component of donor support is acknowledged to the EC by both GoDR and the donor community.

As can be seen, there is a considerable drive towards ensuring complementarity between all parties involved in education in the country, with the EC playing a leading role mainly for its first Sector Budget Support accompanied by substantive Technical Assistance that has contributed to strengthening the education system at Ministry level and to building capacity.”

Ibid. P. 28 Conclusion: “Finally, the EC has played a leadership role in donor coordination at sector level since it has coordinated the sector Donor Coordination Board (Mesa de Donantes) and provided a reference for GoDR's decision on aid modalities. Donors are starting to adopt the sector support approach -Spain will be completely incorporated from 2010 and the World Bank has accepted to support Policies rather than stand-alone investments with direct support to the education budget.”

JAR 2007 p. 48: “1.1 Have the discussions with partner countries and other donors been held? (a) If yes, when and what was the result? Please describe in brief how these talks are progressing.

La Delegación de la Comisión europea en República Dominicana a transmis à l'Ordonnateur National du FED début septembre la note du Commissaire LM en vue de l'informer de l'adoption du Code de Conduite de l'inciter à assumer le leadership politique de cette importante initiative.

Deux réunions spécifiques ont été consacrées à la discussion de la mise en œuvre du Code de Conduite en RD avec les Etats membres. Cette initiative a reçu un accueil favorable de leur part et il a été possible de s'entendre sur un mécanisme de coordination renforcé dans les secteurs de l'environnement ou trois EM sont présents.

La mise en œuvre du Code de Conduite en République dominicaine n'entraînera peut-être pas de changements aussi radicaux dans la répartition des tâches des bailleurs que dans d'autres pays ACP faisant l'objet d'une aide externe beaucoup plus substantielle. En effet la présence des Etats membres et des autres bailleurs est relativement réduite et une répartition des tâches existe de ce fait déjà en pratique. Les véritables progrès consisteront plutôt dans un recours accru à l'appui budgétaire et / ou des mécanismes de fonds communs.”

Indicator 2.3.5: Existence of a Sector Group on (primary) Education (Mesa Educación), presided by GoDR

(This indicator has been moved to this position from its old position as Indicator 2.4.6)

As has already become clear in former indicators, there is evidence from different sources (see abstracts below) that a Sector Group on Education (Mesa) existed, albeit not specific on Primary Education, and that the EC has made many efforts and contributions to its constitution and functioning. Donor coordination was one of the expected results of the ITA to PAPSE 1.

At the same time, it is reported that from 2008 on this Sector Group is no longer meeting (Draft Country Report) that leadership of the GoDR has been weak and meeting agendas were often limited to “an information exchange between donors, with no real discussion of sector policy.” (JAR 2009 p. 22). Nevertheless, in September 2009 a meeting of the *Mesa de Cooperación Sector Educación* was held. In December 2010, an AIDCO officer mentioned that during her mission to DR in February 2010, the *Mesa de Educación* was not meeting: “it exists but at that moment there was (at Min of External Relations or Development Cooperation) a new initiative to coordinate all Development Cooperation and wanting to regulate all those platform meetings, and as a result the platforms ceased to meet.”

⁹⁰ The agreement foresees that goals have to be 100 % attained, no variable tranches are foreseen. In the first year (2009) objectives have been attained and 100 % of the amount foreseen has been disbursed.

⁹¹ Línea de Crédito Condicional (CCLIP) y Primer Préstamo Individual para el apoyo al Plan Decenal De Educación.

During field review, this finding was corroborated, as has already been shown in JC2.1.5, JC2.1.7 and JC2.2.5. MinERD has mentioned that in March 2011 meeting of the *Mesa Sectorial* was convened, but cancelled in view of the resignation of the Minister; MinERD is to take up the initiative for a new meeting.

Data, sources, extracts:

Draft Country Note DR p. 24: “At sector level, since 2004, the former “donors” coordination Round Table became the Education Table (“Mesa Sectorial”) chaired by the Ministry of Education that meets according to needs and has already started to prepare a working plan in order to integrate all the donors’ present and future individual projects in the framework of sector support. In this sense, it is acknowledged by several donors the fact that PAPSE has provided a reference framework for policy support. This has been pushed in particular by IADB, which wishes to closely coordinate its second phase of the Multiphase Basic Education support Project with the EU SBS.”

Ibid. p. 32: Conclusion: “The EC has played a leading role in donor coordination and in the harmonization and alignment of donor support to education in the Dominican Republic, not only by stimulating coordination and participation in the Donor Coordination Board (Mesa de Donantes) but also by promoting a referential framework for donors and development partners and by promoting the use of the country’s procedures and the involvement of civil society.”

AGENDA Mesa de Cooperación Sector Educación, Jueves 10 de septiembre del 2009, Oficina de Planificación Educativa.

ATI Informe Final 2009 p. 7. : “A pesar de ciertos logros parciales en cuanto a la coordinación de donantes en el sector educativo con el fin de realizar un apoyo global más coherente, éste proceso no ha tenido la suficiente continuidad ni integralidad durante los últimos tres años. La SEE debe ejercer un liderazgo más efectivo en cuanto a la dinamización de la Mesa Sectorial con el fin de que se profundice la socialización y progresiva asimilación de los conceptos de Enfoque Sectorial y Apoyo Presupuestario.”

Ibid. P. 44: (Valoración) “4. Coordinación de donantes - Debe hacerse efectiva y operante a través del funcionamiento regular de la Mesa Sectorial liderada por la SEE y de una socialización y progresiva asimilación de los conceptos de Enfoque Sectorial y Apoyo Presupuestario. Este proceso no ha tenido la suficiente continuidad ni integralidad durante los últimos tres años. Cabe sin embargo, reseñar dos logros importantes en la materia:

o la adhesión de la Cooperación Española a los principios del Apoyo Presupuestario y

o el manejo por la Mesa, en el marco de las Políticas y objetivos consignados en el Plan Decenal como instrumento de elección de áreas de apoyo por parte de los donantes.”

EAMR 2010 p. 4-5: “The EU Delegation has continued its efforts to strengthen coordination with the EU Member States along the lines of the EU Code of Conduct, with some success in the field of education with the Spanish cooperation agency AECID (joint missions and analytical approach to sector situation, preparation of a Delegation Agreement to top up the EC sector budget support programme with an AECID contribution).”

JAR 2009 p. 22: “In general, donor coordination was relatively weak during this period, given the lack of ownership of development cooperation – the Dominican government having taken on its coordination, with the mandate scattered amongst several public institutions.

Some sector coordination meetings were held during 2008, e.g. in the education, governance, competitiveness and environment sectors. The agenda of these meetings was, however, for the most part limited to an information exchange between donors, with no real discussion of sector policy.”

JC 2.4: The EC's SBS has contributed to improvements in the quality of policy processes and policy implementation at different levels, including districts/regions (including institutional capacity, ownership and transparency).

Overall analysis of JC 2.4

Overall, the EC by way of SBS support to the primary education sector has contributed in a considerable and comprehensive way to quality improvement in policy processes and implementation: through support to the policy definition process, institutional development and capacity building, development of M&E systems and an EMIS, the promotion of sectoral and donor coordination mechanisms etc. And alongside a considerable financial contribution to the primary education subsector, since 2006 TA has been provided to prepare and accompany the budget support process.

However, it has to be noted that these efforts have not always led to the expected results and there is little consensus on the perception of improvement in GoDR policy processes quality. DR leadership in the primary education policy and strategy implementation field is not always very well documented but overall there exists consensus between stakeholders that GoDR ownership and leadership in the sector were present, at least until recent changes in the Ministry. Transparency of policy processes has grown during SBS and increases in policy consultations with Civil Society are clearly demonstrated.

With respect to regional and district deconcentration processes, the Draft Country Note DR mentions important results in terms of effectiveness of public expenditure, increased ownership and community participation in school management, running and maintenance, etc. At the same time, in the JARs hardly any progress is reported and EC contribution has been less important in this area.

As for the correlation between the Government's capacity to implement policies and the legal, policy and regulatory frameworks in place, there is no direct evidence found in JARs, EAMR, MTR, etc. that corroborate this indicator. **TA has provided policy capacity support, but there is little consensus on its quality, as weaknesses in analysis instruments and integration of analysis into policy/delivery strategies remain.** MinERD has shown capability of meeting the conditions for disbursement releases under variable tranches and that it can get policies into place given its frameworks, or change them when needed. However, the main factor holding the sector in check seems to be financing. GoDR is not complying with the law and the Ten-Year Plan regarding the financing of the education plan. Stakeholders outside the Ministry hold the opinion that an increase in the budget is more than necessary to be able to provide quality education, achieve the Millennium Development Goals and bridge the educational gaps between rich and poor in the country. Implementation is failing here.

The development of Monitoring and Evaluation (M&E) instruments with clear output and outcome indicators for primary education performance assessment has been an area of permanent attention of GoDR, and one of the priorities of EC (budget) support to the subsector. In this regard, support was also given to the development of an Educational Management Information System (EMIS), needed for providing all the necessary information. All these systems are reported to have been in development in the period under evaluation. However, they were not yet operational and ready for use in planning and programming in the subsector, and regular monitoring reports were not produced. Today the situation has improved but is still not optimal.

Resuming, it can be stated that the EC, and especially by way of its SBS modality and instruments (TA), has made many efforts for and contributed to improvements in the quality of policy processes at different levels, but clear outcomes on this level still need to be delivered. Where DR ownership leadership were affirmed and transparency and accountability increased, proper information and monitoring systems and the concomitant preparation of human resources have been slow, and the Government has not been able to comply with the legal framework for financing of the education sector.

Analysis of indicators

Indicator 2.4.1: Existence of documents indicating increased government ownership and pro-active leadership in the definition of new /revised policies and strategies (ex. through JAR)

The Draft Country Note DR is quite positive on the existence of DR ownership and leadership in the primary education policy and strategy implementation field. However, other reports (JARs, MTR 2010, EAMR 2010, see abstracts below) are questioning this pro-active role. In the very past, leadership in the sector seems to have been more the role of EC support and the Delegation than of national government. However, EC support by way of TA has strongly devoted itself to the accompanying of GoDR in the development of national education policy and plans (as of the NDS) and to the development of institutional capacity to do so. During this process ownership and leadership were progressively assumed by the Ministry. According to the EUD, this is no longer the case as recent changes in the Ministry make for loss of prepared high level staff and for discontinuity. Other stakeholders hold on to the opinion that overall policy (Ten-Year plan 2008-14 and the Strategic Education Management Plan 2008-12) are not likely to be changed (nor is the NDS), although GoDR leadership may have suffered lately.

See also JC2.2, indicators 2.2.1 and 2.2.5.

Data, sources, extracts:

JAR 2006 p. 20: *“On a more general level, the institutional dialogue among government representatives and all the donors is not very developed and most donors consult each other without the presence of the government. The government has not acted with sufficient consistency to create sectoral or general forums for discussions on policy with one or more donors. More efforts are needed to make the government aware that the political dialogue, especially with the EU, is not effective enough and that it deserves more attention and prominence (as for the IMF, the World Bank of the IDB).”*

JAR 2008 p. 23: *“Some sector coordination meetings were held during 2008, e.g. in the education, governance, competitiveness and environment sectors. The agenda of these meetings was, however, for the most part limited to an information exchange between donors, with no real discussion of sector policy.”*

Ibid. p. 46: *“Furthermore coordination among development partners remain extremely weak due to DR lack of ownership on this coordination process, the absence of clear national and or sector policies on the basis of which donors could align their support and consider using basket funds mechanisms,”*

JAR 2009 p. 20: *“During 2009 and parallel to drawing up the National Development Strategy, the Dominican government has made important efforts to define an international cooperation policy in accordance with this strategy. The policy should be revealed in the last quarter of the year, and could be a welcome qualitative change in the dynamics of the dialogue on cooperation between the government and the international community.”*

MTR 2010 (EDF10), p. 4: *“A middle-income non-HIPC country, the Dominican Republic does not have to date a proper poverty reduction general strategy or national development plan in place. Sector strategies have been prepared during the latest years and are starting to be operational. Legal, administrative and participatory steps have been taken since 2006 to establish such a national strategy, which is about to see the light at the end of 2009 and will likely include adequate prioritization, monitoring and performance assessment mechanisms.*

Draft Country Note D.R. p. 9 *“By adopting SBS as an aid modality, the EC has aimed at promoting national ownership of sector policies and strategies by: a) supporting a government-owned policy and strategy; b) promoting coherence between policy, budgeting and actual results; and c) reducing transaction costs (in the medium to long-run).*

Ibid. p. 18: *“More recent policy developments are expressed in the 10 Year Plan 2008-2018⁹² which has further developed the above approach, namely: a) the GoDR has clearly expressed its willingness to improve institutional capacity and cross-sectoral collaboration between the Ministry of Education and Solidarity so as to monitor beneficiary compliance with programme co-responsibilities and*

⁹² National 10-Year Education Plan (*Plan Decenal de Educación 2008-2018*).

education outcomes; b) the GoDR has started to calculate supply gaps in education services and is dedicated to progressively reducing these gaps through a targeted approach.”

EAMR July 2010 p. 3: “**C) Development of quality of assistance** - The formulation of the new three EDF10 budget support operations allowed for tangible progress in terms of sector policy dialogue (education, competitiveness), as well in public finance management. Following the successful 2009 auto-PEFA evaluation (supported by the EC and carried out by a peer, a former Budget Director of Peru) a new external PEFA diagnosis was launched in June 2010.

The new National Development Strategy, elaborated by the government and scheduled for approval in August 2010, is declined into key strategic objectives and priority activities and should pave the way for the full alignment of our cooperation programme on national strategy and policies.”

Ibid p. 9: “*Weak strategic coordination and the absence of a PFM reform plan have been important obstacles. The project has been gaining momentum since 2009. Policy dialogue in the area of PFM improved, mainly as a consequence of a 2009 auto-PEFA exercise, and there are prospects of continuity for this improvement as a consequence of the 2010 external PEFA exercise. The extension of the programme to December 2010 would allow filling the gap until the start of operations of the complementary measures of the forthcoming GBS Programme from 2011 onwards.”*

Indicator 2.4.2: Consensus from stakeholders on the perception of improvement in quality of policy processes in the sub-sector

The improvement in quality of policy processes (not to be confused with quality of education) has surely been part of the GoDR strategic planning and programming in the (primary) education sector (see Ten-Year 2008-18 and earlier policy documents), and has been one of the priorities in EC support to the subsector.

Overall, in the documents available and consulted little reference is made to the appreciation of distinct donors and other stakeholders regarding changes in policy processes that will lead to improvement in education quality, as becomes clear from the abstracts below. This was also the case in the interviews held during the field visit: it was difficult to find a unanimous perception of (improvement of) the policy processes in the education sector. There is an overall impression that, although many funds were invested, quality improvement is lacking. While some informants (MinERD) argument that consultation, transparency and accountability have increased and management somehow improved (see below), others point out that the Laws (on Decentralization, on the financing of the education sector) that could improve quality, are not being implemented because of lack of political will (too much at stake for intermediaries). Topics like the quality and innovation of teaching are also mentioned to be addressed insufficiently.

With respect to regional and district deconcentration in education (see also **I.2.2.1**), the Draft Country Note (p. 21) reads that “*the decentralization process has produced important results in terms of: effectiveness of public expenditure (there is empirical evidence⁹³ that investment costs are reduced by 30 to 50% through budget transfers to “Juntas Escolares”/School Councils), increased ownership of and community participation in school management, running and maintenance, and of social/institutional mobilization in support to education.”* However, in the JARs hardly any progress is reported and EC contribution has been less important on this policy, although it is supposed to be part of the concerns for the policy dialogue. Equity, the inclusion of students from socially more vulnerable sectors (including rural areas) has been a more pronounced priority of GoDR than decentralization. (Ten-Year Plan p. 15) (note: because of logical overlaps, this paragraph is a duplicate of another from (I 2.1.1))

In short, there is no clear consensus on the appreciation that quality of policy processes in primary education has improved, and education in the private sector continues to have much higher quality. Note: The Ministry of Planning and Development in its September 12 comments, disagrees with the above analysis, and prosits that there is no real difference between private sector results and public sector results, at least in terms of national exams and is highly dependent on the year of education. It notes that a SERCE (2008) report has extensive data on urban and non-urban schools, and supports the idea that there is little difference overall. Without a specific research document on which to focus, the evaluation team nevertheless retains the findings it had, based on the sources and the consensus among education experts that were consulted.

⁹³ Several reports from procurement activities and a specific review of the SEE- OCI confirm this.

Data, sources, extracts:

Daft Country Note DR p. 5: “In accordance with General Education Law 66-97, the Strategic Development Plan, and the MDGs, the present management at the Department of Education has set a number of priorities aimed at ensuring the expansion of educational services and the optimization of the teaching staff, the quality and relevance of the system, as well as the design of a new open, horizontal and participatory management structure. This model should focus on equity, quality, innovation, modernization and education leading towards integration into the labor market.⁹⁴”

Ibid. p. 17: “The issue of quality is also of specific relevance to the EC SBS mechanism: A negative result of the forthcoming (July-September 2010) National Trials is likely to affect the disbursement of the forthcoming tranches of SBS and the decision-making process about PAPSE II.⁹⁵ This means that the planning of the SBS considered learning achievement as an important element of the programme, with specific indicators highlighting this importance such as:

Average final marks in 4th grade; Average final marks in 8th grade; Students per section. “

ATI Informe final 2009 p. 50: “7. Ligado al punto anterior, se recomienda profundizar en los procesos de descentralización y desconcentración iniciados de acuerdo a una nueva cultura que se base en la delegación de responsabilidades y en la correspondiente rendición de cuentas. La mejoría de la calidad del servicio público de educación obliga a una redefinición del rol del Estado en la administración de la educación, a través de acciones que reduzcan la centralización y la burocracia, que conduzcan a la descentralización y a la autonomía de los centros educativos. Sólo así podrán transformarse, de meros servicios periféricos y dependientes de la Secretaría, en auténticas organizaciones, dotadas de una visión, de una estrategia, de valores y culturas propios, de herramientas de gestión y de recursos planificados y responsablemente manejados y de los cuales rendirán cuentas.

JAR 2009 p. 12: “In spite of these limited resources allocated to education, it must be said that the Dominican Republic has taken giant steps to guarantee access to education to the majority of its population. < BUT ALSO > For UNESCO, this figure, along with the low quality of the Dominican educational system, could mean that the country will not reach the MDG in education within the given timeframe.”

JAR 2008 p. 7: “In education, progress was made in tackling the problems of quality of education, efficiency of the education system, school infrastructure and teacher quality, but a lot remains to be done. According to UNESCO, the Dominican Republic is one of the Latin American and Caribbean countries that will not meet the Millennium Goals in education owing to its poor quality education and low adult literacy rates. However, the Government is optimistic and is making efforts to alter this perception.”

Indicator 2.4.3: Demonstrated increases in the use of policy consultations and the transparency of policy processes

Since 2001, there has been an increase in the quality and quantity of consultation between the GoDR and stakeholders (donors, Civil Society, teachers, beneficiaries, etc.) concerning education policy and delivery. The extent to which the ministry integrates the results of these discussions is unknown, but there are a number of different reports that confirm that there are various mechanisms aimed at inclusion.

The Draft Country Note (p. 23) states that “In 2005, the Presidency created the Presidential Forum for the Education Excellence and made a public call to support the government in the revitalization of education and educational reform through better policy and policy-making both policy consultations within the sector, with other stakeholders and NGOs”. At the moment “Centrally, Non-State Actors (NSA) engaged in education and are funded by the MINERD⁹⁶ < > are consulted and < > A high level debate between state and non-state actors and circulation of ideas and proposals and lobbying towards policy makers and decision takers is ongoing.” During field visit this appreciation was corroborated by interviews at EU Delegation, MINERD and other stakeholders. There has been progress in the consultation process with Civil Society and the number of Parents Associations at

⁹⁴ UNESCO – Reinventar la escuela Reflexiones sobre el futuro de la escuela y educación en República Dominicana.

⁹⁵ Accountability and value for money are “must” for the EC and the EC taxpayers financial resources invested in Education should show positive results

⁹⁶ Ayuda Memoria 3era reunion ordinaria Comisión Técnica Mesa Sectorial Educación.

Educational Centers has increased (one of the criteria for variable tranche disbursements of PAPSE; the baseline for PAPSE 2 is 74.9% of all educational centre with a Parents Association in 2010).

As for increase in transparency of policy processes, the Draft Country Note is also positive (p. 31): *“Although the financial management system needs to be further improved, the availability of the education MTEF and the contribution given to the set-up of SIGE have contributed to enhancing transparency and accountability of the management of education service delivery. Further improvements are expected from the second phase of EC SBS and also from the GBS process, mostly in terms of availability and accessibility of financial and operational data.”*

The increase in transparency was also confirmed during field visits by EUD and the MinERD, who referred to the *Ley de Libre Acceso a la Información Pública*, according to which all information on operations and financing can be found on the Ministry's website. MinERD is progressing on the national Index of Transparency (www.optic.gov.do); 2011 is declared the Year of Transparency.

Data, sources, extracts:

JAR 2009 p. 23: *“Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management. All in all, there is a need for continued improvement of effectiveness, transparency and accountability in public sector management.”*

JAR 2008 p. 6: *“The social pillar, competitiveness and governance are regarded by international analysts such as the Inter-American Development Bank as strategic pillars for reducing and eradicating poverty. In this context, the main challenges facing the development of the Dominican Republic are the need to enhance the efficiency and transparency of public management, and the effectiveness of social expenditure.”*

Draft Country Note DR p. 22: *“EQ7-transparency: To what extent has EC support to education helped strengthening transparency and accountability of the management of education service delivery?”*

JC71: Strengthened and operational institutional and procedural framework in the education sector related to transparency and accountability issues at national and sub-national level

In 2004, a system called SIGE (Sistema de Información para Gestión Educativa) has been launched. EC Technical Assistance has contributed to the development of the system on the basis of an overall design that had been deemed rather obsolete. This system is based on six levels: a) Operational systems and processes; b) Information Services; c) Quality management; d) Project management; e) Product technological management; and f) Support to Decision Making. < > However, no active matrices allowing for interactive utilization and upgrading are made available and the system is excessively focused on administrative issues and too closed. Innovations were envisaged but so far have not been implemented.

Another system available within SEE-MINERD “Finance 2000” aimed at overseeing and controlling/monitoring all financial transactions between and within the Departments.

The MTEF at its early stage is highly compatible with the four-year period identified by the Budget Law (Ley Orgánica de Presupuesto), with the structure of Program-Based Budget⁹⁷ and is a reliable financial expression of the Ten Year Education Plan. < >

Procurement systems are in place and transparency is enhanced at all levels. Within decentralization and the budget transfer process, specific preventive measures have been taken with regard to earmarking of resources, responsibilities for procurement and disbursement, etc. Accountability has been very much enhanced. Mis-procurement cases have been reduced, although the fight against corruption is still said to be an issue in the country.”

Ibid. p. 23: *“JC72: Strengthened role and involvement of non-state actors, civil society and local government in education sector management processes*

The education budget is managed centrally; national resource management has not been decentralized. Resources from donations and loans have increasingly been decentralized and attributed to School Councils (Juntas) on the basis of a reliable mechanism based on fixed criteria such as transparency, community participation and mutual control and a check-and-balance mechanism.

⁹⁷ Regulations established by the Ministry of Finance (Ministerio de Hacienda) and the Ministry of Economy, Planning and Development

Decisions about school construction/ rehabilitation/ maintenance/ refurbishment are highly decentralized and a consolidated mechanism is available for mainstreaming. The mechanism is highly satisfactory for the beneficiaries and highly cost-effective allowing to provide schools with initially unplanned facilities with the same amount of financial resources as others.

In the school councils (Juntas escolares) the following stakeholders are represented: School Director (as chairman), a representative of the teachers (secretary); a representative of the households (treasurer), and representatives of civil society (CBOs, NGOs, Church, etc.).⁹⁸

Centrally, Non-State Actors (NSA) engaged in education and are funded by the MINERD⁹⁹ (for special needs education, support to education centers and complementary activities) are consulted and modalities for performance evaluation are discussed, agreed upon and enforced.¹⁰⁰ A high level debate between state and non-state actors and circulation of ideas and proposals and lobbying towards policy makers and decision takers is ongoing.

Moreover, there is a very important presence of Civil Society Organizations (CSOs) in the decision-making process on education, especially on advocacy and lobbying for the increase of resources devoted to education in the National Budget and regarding the compliance with Law requisites. The most important of these initiatives has been funded by the EC.¹⁰¹ < >

In 2005, the Presidency created the Foro Presidencial para la Excelencia de la Educación Dominicana (Presidential Forum for the Education Excellence) and made a public call to support the government in the revitalization of education and educational reform through better policy and policy-making (La escuela no puede sola: 2005).

This forum was thought of as a means to promote the participation of all national actors in the improvement of the educational system. Leadership involved the Secretaría de Estado de Educación Superior, Ciencia y Tecnología, Instituto Nacional de Formación Técnica y Profesional y la Secretaría de Estado de Educación. School representatives, business sector and parents' organizations, among other social actors, are organized in thematic working groups.

A specific but very important cooperation experience is the Regional Education System co-management with an outstanding expression of Civil Society specialized in Education, the "Centro Cultural Pedro Poveda" in the Regional Directorate X (Santo Domingo) being the most important one, gathering almost 30 % of the student's population. Of this experience, the Regional Directorate is very satisfied since it is producing a change in mentality and culture, a growth in teacher's capacity and the better performance of the system.

So overall, civil society and non-state actors are involved in service delivery, in the debate about education reform and planning and in advocacy and lobbying initiatives for the increase of public investments in education and the EC has supported some of these initiatives as well as gathered non-state actors for open discussions."

Ibid. p. 26: "Technical Assistance, enhancement of capacity for management accountability and transparency are clearly incorporated not only in SBS design (PAPSE II) but also in the non-loan component of the Development Bank Assistance."

Country Note DR p. 32 (200): "Conclusion 7: Transparency - EQ7 transparency: To what extent has EC support to education helped strengthening transparency and accountability of the management of education service delivery?"

"Although the financial management system needs to be further improved, the availability of the education MTEF and the contribution given to the set-up of SIGE have contributed to enhancing transparency and accountability of the management of education service delivery. Further improvements are expected from the second phase of EC SBS and also from the GBS process, mostly in terms of availability and accessibility of financial and operational data."

⁹⁸ Information emerged in the group interview at the OCI Oficina de Cooperación Internacional MINERD and in the visits and focus group with local authorities, technical assistants and members of the local "Juntas" in Altamira District, north-east of the country.

⁹⁹ Ayuda Memoria 3era reunion ordinaria Comisión Técnica Mesa Sectorial Educación.

¹⁰⁰ In 2009 32 NGOs which didn't comply with the agreed standards have not been re-admitted to funding.

¹⁰¹ A National Research, Advocacy, Lobbying and Institutional Education/Information campaign has been carried out by the Observatory for Social Policies within the Centro Juan Montalvo and the Bonó foundation, mobilising several Civil Society sectoral and general purpose for a such as: Acción Magistral, Foro Socio-Educativo, Foro Ciudadano). The project has been funded by the EC under the PAIGFP Programa de Apoyo institucional a la Gestión de Finanzas Públicas Call for Proposal for CSOs.

Rationale - An overall system for financial management and a Medium-Term Expenditure Framework have been developed with the contribution of the EC Technical Assistance component of SBS and a culture of planning, follow-up and accountability has been created and disseminated within the entire SEE-MINERD structure.

Some important problems have been detected by the evaluation team and pointed out by high level officials in MINERD, mostly originating from the fact that SIGE is governed by a closed architecture and accessibility of data is limited to a few offices (few dedicated computers are made available) and no activity matrices can be produced. These problems have been discussed in-depth and analyzed by the EC TA, solutions are available but not further studied and implemented. This is a task for the forthcoming PAPSE II.

Non-state actors are now being consulted and made aware of the changes by SEE-MINERD. The EC has contributed to such a shift, by the PRIL Project (EDF8) and by micro-initiatives to strengthen civil society capacity to advocate, mainly for the improvement of resources invested in education.

Finally, a good level of alignment between EC disbursement and national fiscal cycle has been attained.”

Ibid. p. 83: (Interview grid) “EQ7-transparency: To what extent has EC support to education helped strengthening transparency and accountability of the management of education service delivery?”

Quote:

Table 6: *Extent of strengthening transparency and accountability of the management of education service delivery*

	Ministries	Beneficiaries and Stakeholders	EU Delegation	Donors and Funding Agencies	NSA	Others
Strengthened and operational institutional and procedural framework in the education sector related to transparency and accountability issues at national and sub-national level	X	X	X	X	X	X
Strengthened role and involvement of non-state actors, civil society and local government in education sector management processes	X	X	X	X	X	X
Strengthened staff competencies related to accountability	X	X	X	X	X	X
Degree to which EC support for education is promoting mutual accountability and predictability with partner countries	X	X	X	X	X	X

Source: Country Note DR

END Quote

Indicator 2.4.4: Correlation between the Government's capacity to implement policies and the legal, policy and regulatory frameworks in place

The ministry responsible for education has a history of developing and putting in place legal, policy and regulatory frameworks, as shown by its performance in the 2007 and 2008 period and by its ability to meet all the conditions for disbursement releases under variable tranches (see below). What is not clear is the extent to which this performance was the work of internal capability or of external assistance. In either case, the ministry has shown that it can get policies into place given its frameworks (Ten-Year Plan 2008-18 and Strategic Educational Management Plan 2008-12). Moreover, it has shown that when the frameworks need to be changed they can do that too.

With this history as a reference point, the main factor holding the sector in check, besides insufficiently prepared human resources in spite of the TA provided (EUD) seems to be financing. GoDR is not complying with the law and the Ten-Year Plan regarding the financing of the education plan. Government reminds critics that the overall financial situation, with a debt service ratio of 40% of revenues, does not allow for raising the investment in (primary) education, and that, taking into account “graduality/relativity”, the education budget has increased considerably. However, all stakeholders outside MinERD hold the opinion that an increase in the budget (to at least 4% as reads

the Law) is more than necessary to be able to provide quality education, achieve the objectives of the Ten-Year Plan, the Strategic Plan and the Millennium Development Goals, and bridge the educational gaps (and consequent income gaps) between rich and poor in the country.¹⁰² Implementation is failing here.¹⁰³

Data, sources, extracts

EAMR p. 8: “The disbursement request for the 2010 variable tranche will be a key one for assessing the results of the sector reform. The consequent joint donor analysis of the education sector performance scheduled for September 2010 is a local milestone for increased harmonization and for implementation of the EU Code of Conduct. The final disbursement should take place before the end of the year (end of operational period) and the timing will be certainly tight.”

Draft Country Note DR p. 19: “During 2007 and 2008, the Ministry of Education (MINERD) carried out substantive regulatory and legal work creating the framework for reform of the education system. In order to tackle low performance, the MINERD has drafted the Decennial Plan 2008-2018.”

Ibid p.20: “JC63: Evidence of linkages between education sector reform and broader national reforms; decentralization, civil service reform and public finance management reform - There is evidence of the linkage between education sector reform and the broader national reform of public financial management. EC intervention specifically foresees the above condition. This becomes evident when looking at EC GBS. In fact it is aimed at:

1. supporting DR government efforts at achieving the MDGs through the proper implementation of its National Development Strategy;
2. contributing to progress in public financial management (PFM) reform and stronger accountability in this field through the selection of specific PFM performance indicators to base variable tranches disbursements and the strengthening of the PFM coordination group which will monitor progress against a PFM reform action plan;” < >

Ibid p. 21: “The PFM legal system was completely changed between 2006 and 2007 with the approval of a series of laws reforming key functions and creating new institutions. However, the effective implementation of this new regulatory framework has been slow.

On the other hand, tangible progress has been made in the areas of public procurement, extension of the new integrated financial management system or reform and consolidation of the Single Treasury Account. However, there are still major fields, especially the one of external controls (National Audit Office, Parliament), with limited signs of improvement.

The latest report of the Ministry of Finance on the PFM situation in 2009 shows considerable advances on most indicators. More specifically, progress achieved during 2009 derives from a sustained implementation of the current legal framework, both related to aspects pertaining to the institutional strengthening of the Ministry of Finance, < >

JC6.4: Increased capacity for addressing education reform and management issues - Within the TA¹⁰⁴ provided to the SEE in the framework of PAPSE I, an Institutional Modernization has been carried out to contribute to the institutional reform process launched by SEE.”

Ibid p. 80: “EC support objectives and approach: The overall objective of the budget support program is to support government's growth and poverty reduction objectives as stated its NDS. Given the medium income level of the country Poverty eradication and social cohesion are considered a matter of political willingness; hence the programme is intended to support the process of shifting from political visions into government priorities and interventions through political dialogue. The specific objective is to contribute to the NDS in the areas of pro-poor, sustainable economic growth, human development focusing in education and health and good governance through sound PFM practice. This is entirely consistent with axis 1 (governance), 2 (social) and 3 (economy and PFM) of the draft NDS.

Main expected results are: a) Social indicators are improved and the progress in MDG accelerated by providing an increased focus through variable tranches based on NDS performance indicators in these

¹⁰² The Minister is reported to aspire a 3% GDP investment in education for 2012.

¹⁰³ Another problem signalled concerns the lack of congruence between the fiscal and the school year, leading always to arrears at the beginning of a new school year.

¹⁰⁴ Camino a la Segunda Reforma del Sector Educación en la RD. Proyecto de AT Institucional (ATI) Unión Europea – Documentos Finales.

sectors; b) Public finance management improved by providing for an effective policy dialogue on PFM and through conditions and indicators related to PFM reform; c) Ownership and harmonization are promoted and transaction costs decreased by the own nature of the budget support instrument; d) National capacities are strengthened by using government systems. Complementary actions are also foreseen for capacity development.”

JAR 2009 p. 24: “A middle-income non-HIPC country, the Dominican Republic does not have to date a proper poverty reduction general strategy or national development plan in place. Sector strategies have been prepared during the latest years and are starting to be operational. Legal, administrative and participatory steps have been taken since 2006 to establish such a national strategy, which is about to see the light this year and will include adequate prioritization, monitoring and performance assessment mechanisms.”

Ibid. p. 25: “Focal Sector: Budget Support to Promote Poverty Eradication, Foster Social and Human Development and Social Cohesion (€106.2m or 59% of the MTR A Envelope vs. €91.3m or 51% of the CSP A Envelope) - In the first focal sector, EU cooperation will seek to improve social and human development by supporting the achievement of MDGs through budget support operations. The areas in which performance criteria will be selected include prominently poverty alleviation, health and, particularly, education. It has been considered appropriate to include the sector budget support modality along with a major programme of general budget support to foster policy dialogue and reforms in the priority sector of education.”

Indicator 2.4.5: Existence of defined monitoring and evaluation systems to measure output and outcome indicators, accompanied by institutionalized mechanisms to use these results.

Monitoring and Evaluation (M&E) of developments in the (primary) education sector has been an area of permanent attention of GoDR, and a major concern in EC support to the subsector, as is well demonstrated in the Draft Country Note DR: (p. 6) “*The Strategic Education Development Plan of the Dominican Republic (PEDEP) for 2003-2012 () identifies itself as the current overall sectoral policy and planning document for Dominican society.*” One of the policies defined was: “*To establish clear quality standards and an evaluation system that ensures the monitoring of education performance and encourages the mobilization of the school, the family and the community toward the improvement of education*”. And on p. 76 it reads: “*EC SBS to PAPSE: Result VIII: Unified Educational Management Information System (EMIS) for providing all necessary information for performing physical and budgetary Planning & Programming as well as Monitoring & Evaluation operations on the basis of permanently updated school and geographic statistical information.*”

The consolidation of Education Evaluation is one of the sub-programmes of the Strategic Plan for Dominican Republic Educational Development (Ten-Year Plan). The development of an Education Management Information System (EMIS) is also mentioned as an area of interest of DR education authorities and EC support to the sector, and is reported to be in development (or already in place), as can be seen in the abstracts below. International Technical Assistance has had the development of an EMIS as one of its major task fields, and the ATI Informe Final (2009) reports the creation of a M&E subsystem within the EMIS (SIGE in Spanish).

At the same time it has not been clear (from JARs, MTR, EAMR) whether these systems are fully operational, although an EC representative affirmed the existence of an EMIS and that the MINERD would be capable of providing any educational data. After the field visit the Evaluation Team has 2 monitoring reports available, one of 2010 which is merely focused on activities and budget execution, and not results oriented, and one of 2011 on procurements. In the evaluation period (until 2009) no monitoring reports were delivered regularly (this is recognized by the Ministry who mentions that monitoring is still being done manually since a new software programme is to be installed) and therefore the institutionalized use of the information gathered by these instruments cannot be assessed. On evaluation activities no mention has been made.

As for the EMIS, the panorama is (now, in 2011) slightly different. Although all respondents coincide in that this system is still in development (“not mature, not fully implemented and functional”), AECID considers it is working better than expected, while another donor says not to know whether an EMIS exists. Since all donors (incl. EUD) rely for their own monitoring on specific indicators’ progress reports of the Ministry, it is questionable to which degree financing decisions are based on truthful information.

Most informed stakeholders mention that, as a forerunner and partial EMIS, a *Sistema de Gestión de Centros Educativos* (SGCE) has been set up, into which all schools (should) import directly and regularly their data. The Ministry reports to have made great efforts to give access and accompanying

training to all educational centers. Parallel an Early Alert System has been set up (<http://apps.see.gob.do/analisisdeindicadores/>).

In all, GoDR is still not very well capable of showing achievements, outcomes with reference to the education policy plans and SBS objectives. Nor is it clear whether information rendered by the different systems operational is used adequately to adjust future programming. And this situation was the same in the evaluation period.

Data, sources, extracts:

Draft Country Note DR p. 18: “More recent policy developments are expressed in the TEN-Year Plan 2008-2018¹⁰⁵ which has further developed the above approach, namely: a) the GoDR has clearly expressed its willingness to improve institutional capacity and cross-sectoral collaboration between the Ministry of Education and Solidarity so as to monitor beneficiary compliance with programme co-responsibilities and education outcomes; b) the GoDR has started to calculate supply gaps in education services and is dedicated to progressively reducing these gaps through a targeted approach.”

Ibid. p. 21: “**JC6.4: Increased capacity for addressing education reform and management issues** - Within the TA¹⁰⁶ provided to the SEE in the framework of PAPSE I, an Institutional Modernization has been carried out to contribute to the institutional reform process launched by SEE aimed at: a) implementing the 2008-2018 Education Management Plan; b) implementing the National System for the Evaluation of Education Quality; c) giving special attention to Dominican Magistry; d) democratization; e) using new technologies. < >

Very recently, with the support of AECID, an Indicators' Analysis and Early Alert System (Sistema de Análisis de Indicadores y Alerta Temprana) has been developed¹⁰⁷. < >

Moreover, the Ministry of Education has made important efforts to develop an EMIS. Currently, in the framework of the World Bank DPC PASS Loan, a new EMIS is being designed and tested, the Sistema de Información de la Secretaría de Estado de Educación (SI-SEE), a nation-wide Management Information System (MIS) based on the development and full implementation of the school-based management information system SGCE (Sistema de Gestión de Centro Escolar “SGCE”). The SGCE will store information on infrastructure needs, facilitate utilization, student administrative and academic records, human resources management and other school-level processes. It will rely on school-level information collected through student and family formats (fichas) that are fed directly into the SGCE.

As noted before, EC Technical Assistance provided by PAPSE has contributed to all the above systems, mainly in the SGCE by important technical inputs.”

Ibid. p. 22: “In 2004, a system called SIGE (Sistema de Información para Gestión Educativa) has been launched¹⁰⁸. EC Technical Assistance has contributed to the development of the system on the basis of an overall design that had been deemed rather obsolete. This system is based on six levels: a) Operational systems and processes; b) Information Services; c) Quality management; d) Project management; e) Product technological management; and f) Support to Decision Making. The system is sufficiently coherent with the strategic and programmatic framework adopted for the sector. Monthly Reports are produced and distributed with limited access. However, no active matrices allowing for interactive utilization and upgrading are made available and the system is excessively focused on administrative issues and too closed. Innovations were envisaged but so far have not been implemented.

Ibid. p. 51: “There are no systematic monitoring and evaluation mechanisms to support policy design and implementation. At the present time, the Dominican Republic is trying to standardize the outcomes of national tests in order to see the progress made by students at primary and secondary level. < > The design of a systematic monitoring scheme, would allow all relevant actors to assess the effect of policies specially on quality standards, as it is relevant not only for policy makers, but also for society to be aware of the outcomes from the learning experience.”

ATI Informe Final 2009 p. 7: “Se considera de mucho valor la iniciativa de instaurar una dinámica de Seguimiento del Plan Decenal de Educación 2008- 2018, a través de la Comisión Nacional de

¹⁰⁵ National 10-Year Education Plan (Plan Decenal de Educación 2008-2018).

¹⁰⁶ Camino a la Segunda Reforma del Sector Educación en la RD. Proyecto de AT Institucional (ATI) Unión Europea – Documentos Finales.

¹⁰⁷ See: <http://www.todospuedenaprender.org.ar/REPDOMINICANA/index.asp>

¹⁰⁸ See above.

Seguimiento del Plan Decenal con participación de miembros que no sean de la SEE, así como el desarrollado de varios instrumentos de monitoreo y evaluación de los planes y proyectos durante 2007 y 2008 y la definición de un Subsistema de seguimiento y monitoreo del Sistema Integrado de Gestión Educativa (SIGE). “

Ibid. P. 45: “Definición del Subsistema de seguimiento y monitoreo del Sistema Integrado de Gestión Educativa (SIGE). El objetivo del SIGE es sistematizar todas las bases de datos de la SEE con el fin de obtener indicadores (de matrícula, finanzas, etc.) que sirvan para la gestión del sistema educativo en todos los niveles. Este sistema general incluye un subsistema de seguimiento y monitoreo de planes y proyectos, con el que se puede gestionar tanto la planificación estratégica (Plan Decenal) como la operativa y enlazada a las finanzas y los indicadores de resultados. Este sistema aún no está concluido pero presenta un alto grado de avance.”

JAR 2009 p. 23: “Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management.”

JAR 2008 p. 13-14 : “Progress in implementation Support for Education, Phase I. Implementation of the technical assistance project for the Secretariat of State for Education (9 ACP DO 10, €3.8m) is continuing with three long-term experts coordinating planning, education and education budget support. Other short-term consultants joined the team in the course of 2007 and 2008, and approximately 60 short-term consultancy services were provided. For this year, the identification instruments in budget support projects will be updated in the Planning Component, impetus will be given to the work of the Sectoral Committee and the Education Management Information System (SIGE) will be applied in practice. Civil society takes part in the planning and monitoring activities in the education sector. The Education Component will also support aspects relating to the primary school curriculum, together with the revision and updating of schoolbooks. In the budget component, the Financial Framework for the Ten-Year Plan 2008-2018 and the Medium-Term Plan 2009-2012 were drawn up, while the annual operational budget plans were drawn up for 2009. Significant progress was made on the budget support targets in 2008. Considerable progress has been made this year in relation to indicators which were only partly fulfilled in 2007, such as a start to work of the Education Conference (coordination of donors), implementing the EMIS statistics system and drawing up the medium-term budget. Generally speaking, the fixed indicators and some of the variable indicators have been adhered to.”

Ibid. p. 15: “The result-based approach initiated with the current budget support programme will have to be strengthened to allow appropriate monitoring of result indicators in areas that are crucial for achieving the Millennium Development Goals (MDGs). The institutional support programme for management of public finances provided for support with implementing the National Statistical office’s strategic plan. This would help to identify suitable poverty-reduction indicators.”

Ibid. p. 29: “Monitoring of sectoral policies is not sufficiently strong and is not used by the government in its dialogue with development partners to establish result-oriented management.”

Ibid. p. 42, quoting the “ANEXO 3: REPORTE ANUAL DE IMPLEMENTACIÓN DEL PROGRAMA DE APOYO PRESUPUESTARIO EN 2008: < > Por último, el enfoque orientado a resultados iniciado bajo el actual programa de APG, el cual utiliza algunos indicadores de resultados en el campo de salud y educación, tendrá que ser reforzado considerablemente para permitir un monitoreo apropiado de indicadores de resultado en los campos, esencial para lograr el Objetivos de Desarrollo del Milenio.”

Indicator 2.4.6: This indicator has been moved to its new position as Indicator 2.3.5

JC 2.5: The service levels for the delivery of primary education have increased, are likely to be sustainable, and are on target to meet the MDGs.

Overall analysis of JC 2.5

Overall, the levels of service delivery in primary education have increased, in budgetary terms and government expenditure, access and enrolment, numbers of school and pupil/section ratio etc. An EMIS and M&E structures are developed albeit slowly; National exams (end terms) exist but have bad results; a teacher qualification

system is lacking. Overall sustainability is not yet assured. Some progress towards meeting the 2015 MDGs has been made, but overall DR is off track regarding the achievement of universal primary education (Goal 2).

As confirmed in I 2.4.5, during the last decade public expenditure on education, both in nominal terms and in % of total government spending, shows a positive development but overall public expenditure on (primary) education continues to be low for a middle-income country, and is lower than established by law. Worldwide the country ranks 141st of 145 countries with respect to public expenditure in education as a percentage of GDP (UNDP 2009) and in the Latin American region the DR are lagging behind. As shown previously (I2.4.5), during the period covered by SBS, GoDR expenditure in education has increased.

While higher-level data on education are published, few detailed statistics covering the evaluation period have been found on indicators normally used to verify increased access to primary education, such as the number of classrooms in disadvantaged districts, distance to school, attendance etc., and these items have not been of special interest to EC budget support to the education subsector (although the (re)construction of schools was the main activity in former EC support by way of project modality).

Access to primary education has been expanding, but the country still faces challenges in providing access to certain populations. Notwithstanding, overall enrolment ratios have improved since the start of SBS from the EC to the Dominican Republic. The same applies to the regional differences in enrolment rates. In the lately installed SGCE (Early Alert System and Analysis of Education Indicators), all information is available at province level, but no cross-reference to poor/rich is made; however, rich-poor differences seem not important according to a recent study (see I2.5.6). Resuming, it can be stated that trends in output indicators like numbers of schools and students per section have improved, but far below targets; differences between urban and rural areas exist, to the detriment of the cities. The role of EC SBS in increase of educational service delivery is difficult to establish.

As for the MDGs targets for DR, according to the MDG monitoring report (Sep. 2010) of the MEPyD ("Objetivos de Desarrollo del Milenio, Informe de Seguimiento 2010 República Dominicana"), MinERD estimates that only in 2015 96% of all children will be enrolled in primary education and in 2019 this will be 100%, therefore failing to meet MDG 2. Delay is attributed mainly to lack of investment in the sector. As for MDG 3A, equality between sexes in primary education, it is emphasized that the equality ratio has decreased from 1.0 in 2003 to .92 in 2008 and even to .85 in 2009 in disfavour of girls.

Overall completion rates in primary education have improved over the (last) years, as has the transition rate to secondary school. As for regional differences, frequent mention is made in education reports and assessments of the lagging behind of rural areas and poorer neighborhoods in the cities, where it takes children more time to complete primary education, when completing at all. In 2002 at least, there was real and material difference between the performance of the urban versus the rural students, and between the rich, the poor and the poorest. Most studies mention that there does not exist significant difference between male and female enrolment and completion rates.

At the moment, there are no clear data on pupil/teacher ratios available. Numbers mentioned are somehow contradictory. The number of teachers qualified according to the law has increased, but there is no guarantee that they are capable of performing well their task. According to SGCE globally there are 21 students per section (or grade) in primary education (23.7 in public schools). According to Cerito y Cruz, the average number of students per class is 58. A document from the GoDR notes that the average is around 30. As indicator for PAPSE 1, % of schools with 40 students/section was applied (35 for PAPSE 2). In interviews an average of >40 is mentioned. Improvement is surely the case when comparing the available data over years. Little information is available on the ratio in poorer/more disadvantaged areas.

The existence of a teacher qualification system, national exams (end terms), an M&E system and an EMIS can be considered as elements of sustainability of the (increased) service levels in the primary education subsector. EMIS and M&E of developments in the

(primary) education sector has been an area of permanent attention of GoDR, and a major concern in EC support to the subsector, as is well demonstrated in the Draft Country Note DR. The consolidation of Education Evaluation was one of the sub-programmes of the Strategic Plan for Dominican Republic Educational Development. The development of an Education Management Information System (EMIS) is also mentioned as an area of interest of DR education authorities and EC support to the sector, and is already partially in place, but these systems are not yet fully operational. The Evaluation Team has no regular M&E or EMIS reports available, which makes the assessment of institutionalized use of the information gathered by these instruments impossible.

The quality of teachers is at the heart of the overall quality of an educational system and teacher qualification has been a major concern in DR policies for the (primary) education sector. Qualification of teachers is one of the policies of the Ten-Year Plan and therefore subject to EC budget support, as is the inclusion of disadvantaged areas; however, so far no evidence on a specific EC intervention has been found. At the same time, teacher performance is reported to have increased, but all documents consulted point out that overall quality of education is still low. No teacher qualification system has been developed in the educational reform plan, and there are no clear related targets in the plan, or reports on its deployment.

MinERD applies national exams (pruebas nacionales) which are end terms according to the law; these exams taken at the end of grade 8 give access to secondary school. Apart from these, the Dominican Republic, together with other LAC countries the help of UNESCO and Llece, implements since 2006 regular tests on student performance accordance to international standards. The scores on the national exams are reportedly low (although systematically higher than the international tests) and have not improved over the last 10 years. The Ministry of Planning and Development makes the point that national exams may be harder or easier from year to year; while we understand the possibility for bias, results are generally re-centered on a normal curve and the results are therefore comparable from year to year.

The DR is clearly engaged in the formulation and implementation of sustainable development plans, like the National Development Strategy, the Ten-Year Plan and the Plan Estratégico 2008-2012 for the education sector. In these plans, sustainability is mainly related to the quality (improvement) of education. On the other hand, the EC has looked for ways to promote and support sustainability in education development by way of its SBS (and former project support). However, there is no clear evidence on the existence of permanent resources that may guarantee the sustainability of the new services, nor on the existence of the corresponding organizational structure. Apart from training of functionaries in management and M&E, no such sustainability measures are mentioned in the reports available and interviews at field level express a critical opinion on this sustainability.

Resuming, it can be stated that considerable progress regarding the service levels for the delivery of primary education has been made, although sustainability of these level is not so obvious. The DR is progressing to meeting the MDGs, but low quality of education might still endanger this target. Regional differences still exists, as do differences between rich and poor areas both in cities and rural areas.

As for the role of EC budget support in this process, the increase of service delivery levels, their sustainability and effectiveness have always been core objectives of GoDR educational policies and planning, as well as of EC support to the primary education subsector. Certainly SBS will have had a contribution in the improvements in these matters. However, it will be not possible to assess how much of the success or results realized can be linked to the SBS of the EC. An EC focus on the more needed population groups has not been appreciated to have been present (or successful).

Analysis of indicators

Indicator 2.5.1: Level (% of GNP and in absolute budgetary terms) of government expenditure on education (primary and other sub-sectors)

This indicator corresponds directly to indicator 4 of JC2.2. Therefore, reference is made here to the concluding findings for that indicator:

Resuming, it can be stated that the size and share of national resources spent on (primary) education have increased over the years until 2009, but still remain considerably below levels established by law as well as regional and country-income standards; furthermore, investment in primary education is relatively low and not according to the country's needs. The causality between increased public expenditure for (primary) education and EU (budget) support cannot be established.

Data, sources, extracts:

See JC2.2.4.

DominicanToday, 15 December 2010: “Fernandez proposes 2.75% of GDP for education SANTO DOMINGO.- President Leonel Fernandez on Wednesday proposed allocating RD\$400m from the 2011 Complementary Budget to Education, with which the contribution to the sector would climb to RD\$10bn. The President's proposal came during the meeting with representatives of the Government's Social and Economic Council, as well as with those of the Coalition for a Dignified Education, which demands 4% of the Gross Domestic Product allocated for education. If the proposal is accepted, 2.75% of the GDP would be allocated to education, said monsignor and PUCMM university headmaster Agripino Núñez, who called the meeting a step forward. “

Indicator 2.5.2: Trends of output indicators in access to primary education (e.g. increased number of classrooms, distance to school, # of schools as % of eligible pupils, etc.)

There has been found little or no reliable information covering the evaluation period on the indicators normally used to verify increased access to primary education, like number of classrooms and distance to school (not available), and these items have not been of special interest to EC budget support to the education subsector (although the (re)construction of schools was the main activity in former EC support by way of project modality).

The Draft Country Note DR reports the following (p. 6): “Access to education in the Dominican Republic has been expanding, but the country still faces challenges in providing access to certain populations¹⁰⁹ and especially in moving students through the system to complete higher levels of education. The urban-rural gap is important¹¹⁰ (quantity and organization of schools do not facilitate access for the most disadvantaged).” And at 13 it reads: “The IADB programme is mostly related to promoting the availability of classrooms to increase access and capacity to provide quality education at the secondary level. It started in 2009.”

At p. 16: “Construction, repairing and maintenance of school buildings and classrooms is a priority for SEE-MINERD since the availability of education spaces is likely to promote an increase in quality by reducing shifts and increasing the average school time. Over the period 2007-2009, according to SEE-MINERD data, 1,209 new classrooms have been built and 1,114 have been repaired. It has to be noted that the construction of 4,189 classrooms had been foreseen for the end of 2009 and that 1,066 classrooms were under construction and 1,325 under repair.”¹¹¹

In this field it cannot be said that EC support has worked properly. In fact, the school reconstruction projects both in the first phase (8 ACP 13 DO) and in the second phase (9 ACP DO) can be characterized by several problems related to low quality of project design, incorrect technical decisions, and, for the latter, by problems related to the aid modality (project support) that has produced a duplication in structures and several delays in implementation. However, some 100

¹⁰⁹ Encuesta Nacional de Condiciones de Vida 2006 (ENCOVI 2006).

¹¹⁰ Encuesta demográfica y de salud 2007 and Alvarez, Carola (2004). La educación en la República Dominicana – logros y desafíos pendientes. In Washington: Inter-American Development Bank.

¹¹¹ .” According to Valerio (2011) the deficit of classrooms is about 9,200. NGO EDUCA president mentions 15.000 (Diario Libre 18/5/2011).

schools have been built under the two projects.¹¹² This intervention targets the needs of children in difficult circumstances as the schools reconstructed are located in the Eastern Area of the country, affected by Hurricane George in 1999 and most prone to natural disaster phenomena. Moreover, most of the schools are located in very remote areas.”

From the MinERD SGCE, Análisis de Indicadores Educativos system the following data is retrieved:

Table 7: Educational Indicators 2007-2008

Básico	Total	Por zona		Por-sector	
		Urbano	Rural	Público	Privado
Centros Educativos	8,155	3,966	4,131	5,545	2,605
Estudiantes	1,577,066	1,049,697	519,318	1,252,346	324,534
Secciones	69,884	41,752	27,751	51,566	18,298
Promedio estud./sección ¹¹³	22.6	25.2	18.7	24.3	18.0

Source: MinERD SGCE, Análisis de Indicadores Educativos

Table 8: Educational Indicators 2008-2009

Básico	Total	Por zona		Por-sector	
		Urbano	Rural	Público	Privado
Centros Educativos	8,490	4,451	4,039	5,179	3,311
Estudiantes	1,397,114	945,125	451,989	1,088,029	309,085
Secciones	67,048	39,676	27,372	46,041	21,007
Promedio estud./sección ¹¹⁴	20.8	23.9	16.6	23.6	14.7

Source: MinERD SGCE, Análisis de Indicadores Educativos

It can be appreciated that the total number of primary schools has increased between 2007 and 2010 with 335 (4.1%), but this increase took place in the private sector, as public school diminished in numbers (as they did in the rural areas). The average number students/section has decreased considerably, but far more at private schools (from 18.0 to 14.7) than in public schools (from 24.3 to 23.6), and more in rural areas than in the cities. It has to be born in mind that the situation is worse in the major urban centres, where 20% of the schools

¹¹² This is in sharp contrast to the Multiphase Programme for Equality in Basic Education funded by the IDB: It is based on rural education, access and equality in marginal areas, improvement of the education management and a fund for innovations in education. Under this programme 136 schools have been built, most of them in rural and isolated areas and in marginalised communities where schooling opportunities were very scarce before.

¹¹³ Sección is not the same as classroom. Most schools have 2 shifts, implicating that the number of students in a classroom per shift would be only half of the number of students per section. These numbers don't seem to be very reliable.

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concentrate 69% of the student populations (SEE, Cerrando Brechas: Oferta educativa y ambiente físico Escolar, 2009).

Anyway, these numbers have to be considered with due reserve, as the overall student population decreased inexplicably with 180,000 pupils in the same period.

The proportion of capital investment (vs. recurrent costs) was a criterion for PAPSE 1 viable tranche disbursements and was reported to have increased from 11.4 to 15.74% between 2009 and 2010. (EUD Disbursement report PAPSE – 4th Variable Tranche 2010). At the same time, over the period 2004-2008 MinERD executed only 78.33% of the budget allocated to school infrastructure and the average number of students/classroom or aula was 58, getting to over 60 in areas like Santo Domingo and others. (SEE, Cerrando brechas, 2009). In any case, it is unlikely that any increase in the access to primary education could be attributed to SBS provided by the EC due to unclear causality linkages.

According to Cerito y Cruz, education watch dog, the main problems of DR (primary) education continue to be¹¹⁵:

- Average of 58 students/classroom (25 recommended)
- Lack of teachers
- 2,5 teaching hours/day
- Lack of equipment
- Lack of investment (4%)
- 88% of pupils is in public schools, where the level is unacceptable (low quality);
- Only 68% finishes primary school (48% secondary).

According to the president of EDUCA (Diario Libre, 5/18/2011), the lack of funding has resulted directly in the classroom deficit to persist, as only 1,124 (of 15,000) were built. The target of Strategic Plan 1.000x1.000 Escuelas Efectivas (9.711 new classrooms in 2008-12) is far from being achieved.

A recent study of former Vice Minister Valerio (2011) shows that children enter the education system independently of their poverty level; however, scores on national exams are in general a bit lower in the poorer provinces than the national average, and poorer children are more prone to leave the system. Girls more probably finish primary (and secondary) school and pass on to higher education than boys, but no differences between urban and rural areas are observed; although, differences in literacy are considerable between urban and rural areas and poverty levels. Valerio concludes that socio-economic factors do not explain the results of the educational system, and problems related appoint more to lack of efficiency in service delivery of the system. Resuming, it can be stated that trends in output indicators like numbers of schools and students per section have improved, but far below targets; differences between urban and rural areas exist, to the detriment of the cities. The role of EC SBS is difficult to establish.

As for the MDGs targets for DR, according to the MDG monitoring report (Sep. 2010) of the MEPyD (“Objetivos de Desarrollo del Milenio, Informe de Seguimiento 2010 República Dominicana”), MinERD estimates that only in 2015 96% of all children will be enrolled in primary education and in 2019 this will be 100%, therefore failing to meet MDG 2. Delay is attributed mainly to lack of investment in the sector. As for MDG 3A, equality between sexes in primary education, it is emphasized that the equality ratio has decreased from 1.0 in 2003 to .92 in 2008 and even to .85 in 2009 in disfavour of girls. According to the www.mdgmonitor.org (January 2011), DR is off track regarding the achievement of universal primary education (Goal 2), is likely to achieve gender equality and empower women (Goal 3) and is there not enough information available on the Combat HIV/AIDS, malaria and other diseases (Goal 6).

For more data on service delivery (qualified teachers) see also I.2.5.6 and 7 below.

¹¹⁵ Cerito y Cruz, Acción ciudadana por la educación: Educación para mañana (canal oficial; video at YouTube).

Data, sources, extracts:

According to the Illiteracy Mapping, published in Diario Libre on 5/18/2011. The DR scores an average on illiteracy of 12.9% of the adult population, fifth from below in Central America and the Caribbean and after poor countries like Haiti (41.1%), Nicaragua, Guatemala, Honduras and El Salvador. This implies that over 1 million of people (10%) cannot read or write, and according to some functional illiteracy is even as high as 25%. Most affected regions are the Southern and Western provinces of Elias Piña (30.5%), Bahoruco, Azua and San Juan (all over 20%). Nevertheless, the trend is towards improvement as in 1970, illiteracy was still at 32.8%.

Table 9: *Other World Bank Education Sector indicators and Metrics*

	Most Recent Data	Year
School enrollment, preprimary (% gross)	37.3	2009
School enrollment, primary (% net)	87.0	2009
School enrollment, secondary (% net)	61.5	2009
School enrollment, tertiary (% gross)
GPI, gross enrollment ratio in primary	0.9	2009
Gross intake rate in grade 1, total (% of relevant age group)	99.7	2009
Primary dropout rates, total
Repeaters, primary, total (% of total enrollment)	6.8	2009
Children out of school, primary	93,056.0	2009
Primary completion rate, total (% of relevant age group)	89.5	2009
Repeaters, secondary, total (% of total enrollment)	8.4	2009
Trained teachers in primary education (% of total teachers)	83.6	2009
Trained teachers, secondary, total	84.5	2009
Pupil-teacher ratio, primary	25.2	2009
Pupil-teacher ratio, secondary	26.9	2009
Public spending on education, total (% of GDP)	2.2	2007

Source: <http://databank.worldbank.org/ddp/home.do?Step=2&id=4&hActiveDimensionId=STATS> Series Ext

Valerio 2011, p.108: “

Table 10: Average number of school years in DR

8.8 Escolaridad promedio de la población dominicana

DESAGREGACIÓN	AÑOS										
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
GÉNERO											
Masculino	7.2	7.2	7.4	7.6	7.7	7.6	7.7	8.0	7.9	8.0	8.0
Femenino	7.4	7.5	7.7	7.9	8.1	8.0	8.2	8.4	8.5	8.5	8.6
ZONA											
Urbana	8.4	8.4	8.6	8.7	8.8	8.7	8.8	9.0	9.1	9.1	9.2
Rural	5.1	5.2	5.4	6.0	6.3	6.1	6.4	6.7	6.3	6.4	6.6
NIVELES DE POBREZA											
Indigente	4.0	4.2	4.4	5.1	5.5	5.3	5.5	5.8	5.4	5.6	5.7
Pobre no Indigente	5.4	5.6	5.6	6.0	6.6	6.5	6.2	6.6	6.7	6.6	6.7
No Pobre	8.1	8.0	8.3	8.7	9.0	8.7	8.9	9.0	9.1	9.0	9.1
REGIONES DEMOGRÁFICAS											
Ozama o Metropolitana	9.0	9.1	9.4	9.4	9.6	9.5	9.6	9.7	9.8	9.8	9.8
Cibao Norte	7.5	7.3	7.4	7.5	7.6	7.3	7.6	7.8	8.0	8.2	8.4
Cibao Sur	6.9	6.8	7.2	7.2	7.2	6.9	7.3	7.9	7.6	7.7	7.8
Cibao Nordeste	6.4	6.1	6.5	7.2	7.4	7.2	7.4	7.6	7.5	7.5	7.5
Cibao Noroeste	5.6	6.3	6.6	6.1	6.3	6.4	6.4	6.9	7.1	7.1	7.3
Valdesia	6.3	6.2	6.2	6.8	7.1	7.0	7.1	7.2	7.0	7.2	7.4
Enriquillo	6.2	6.3	6.3	6.0	6.1	6.5	6.2	6.8	6.8	7.0	7.0
El Valle	4.1	4.8	4.1	6.1	6.6	6.3	6.5	6.6	5.3	5.4	5.5
Yuma	5.8	6.6	6.6	7.0	7.0	7.0	7.3	7.6	7.2	7.4	7.9
Higuamo	6.7	6.4	6.7	6.6	6.7	7.0	7.2	7.3	7.8	7.7	7.9
TOTAL	7.3	7.4	7.5	7.8	7.9	7.8	8.0	8.2	8.2	8.2	8.3

Fuente: Dirección Nacional de Planificación, Ministerio de Educación .

Source: Valerio (2011)

Ibid. p. 109: “

Table 11: *Illiteracy rate in DR*

8.9 Niveles de analfabetismo de la población dominicana

DESAGREGACIÓN	AÑOS										
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
GÉNERO											
Masculino	12.6	13.5	13.1	11.6	10.9	11.0	11.2	10.0	11.4	11.0	10.4
Femenino	13.0	13.4	12.8	11.5	10.9	11.1	10.4	10.1	10.7	10.4	10.5
ZONA											
Urbana	7.8	8.5	8.2	7.6	7.5	7.5	7.6	7.4	7.6	7.5	7.4
Rural	22.9	23.5	22.1	19.1	17.3	17.8	17.0	15.0	18.2	17.4	16.9
NIVELES DE POBREZA											
Indigente	33.0	32.8	30.0	24.0	22.0	22.3	20.8	19.3	24.3	22.3	22.4
Pobre no Indigente	20.1	21.0	20.2	16.7	14.2	13.6	16.1	15.8	15.0	15.5	15.4
No Pobre	9.4	10.3	9.5	8.3	7.2	8.1	7.7	7.0	7.8	8.0	7.6
REGIONES DEMOGRÁFICAS											
Ozama o Metropolitana	5.6	6.8	5.1	5.4	5.2	5.1	5.5	5.1	5.5	6.0	6.7
TOTAL	12.8	13.5	12.9	11.6	10.9	11.1	10.8	10.1	11.0	10.7	10.5

Fuente: Encuesta Nacional de Fuerza de Trabajo (NFT) del Banco Central.

Source: Valerio (2011)

Draft Country Report DR p. 6: “Several assessments¹¹⁶ have underlined that there are important deficits in student learning in the Dominican Republic's public basic schools, the schools that serve more than 80% of the nation's young children.

Ibid. p. 12 “The budgetary increase in school equipment and learning materials, as well as the improvement in school management have contributed to improving the internal efficiency of the education sector and to increasing the positive transition from primary to secondary.

Ibid. p. 44: “**Increased Access to Primary Education: meeting the goals** - Increased access to primary education has been the main achievement of the EfA goals in the Dominican Republic. The indices of efficiency of the system significantly improved during the 90s and stabilized in this decade.

There is clear country progress in relation to the number of years of schooling of the Dominican population with the figure having almost doubled in just one decade. < > According to Comisión Económica para América Latina-CEPAL (Economic Commission for Latin America-ECLA), the dropout rate at standard level (ages 14 to 19 years of age), in the Dominican Republic is the lowest among eight Latin American countries, being smaller than countries like Brazil, Colombia, Costa Rica, Ecuador, Mexico, Paraguay and Venezuela. In the case of rural education, where equity issues are more complex, for the range between 6 and 18 years, the country has the highest level of coverage of Latin America, with 88.7% of the population enrolled in school.

Due to being affected by low funding levels, increased coverage and efficiency would be offset by a lower quality. Indeed, since the mid-eighties, when they began to conduct evaluations, the problem of the quality of the system has become apparent. It is alleged that at the end of general secondary education, many young people do not attain the Basic Grade Level 6th training. The participation of

¹¹⁶ Concorcio de Evaluación e Investigación Educativa (CEIE) 2006, Bulletins Number 1, 2 and 3, USAID Dominican Republic in: [http://books.google.it/books?id=YXaaiT7UZw8C&pg=PA164&lpg=PA164&dq=Concorcio+de+Evaluaci%C3%B3n+e+Investigaci%C3%B3n+Educativa+\(CEIE\)+2006.+Bulletins+Number+1,+2+and+3.+USAID+Dominican+Republic&source](http://books.google.it/books?id=YXaaiT7UZw8C&pg=PA164&lpg=PA164&dq=Concorcio+de+Evaluaci%C3%B3n+e+Investigaci%C3%B3n+Educativa+(CEIE)+2006.+Bulletins+Number+1,+2+and+3.+USAID+Dominican+Republic&source)

the private sector had been growing consistently in the sixties, increasing from 19% in 2006 to over 35% in 2008. (figure of 35% has to be verified in the field with SEE)

Although improvements have been made on access, and there are almost no gender disparities, there are still a large number of children of primary school age outside the educational system. Child labor is a key issue on school dropouts and educational attainment in the Dominican Republic.

The net school attendance rates show that nearly 15% of the population of 6-13 years was not attending school at the basic level during the 2001-2002 school year and the attendance rate was higher for girls, with 87% against 84% for boys. In 2008, net primary attendance rate increased to 95% meanwhile net preschool attendance rate was 77,8% and the global attendance rate of people aged 14 to 17 years old jumped from 35% in period 2001-2002 to 82,2% in 2007-2008.

Repetition rates and dropout rates help describe the movement of students within the school system. Rates of repetition, for the first grade of primary school, are placed close to 4,0% and for second through fourth grades between 6% and 9% of students in each of these levels for the period 2004-2005. The values of these rates are slightly higher for males than for females and higher in rural areas than in urban areas.

The dropout rates, contrary to what occurs with repetition rates are generally on an upward trend when passing from first to eighth grade. It notes that the dropout affects more men than women, and it has to be emphasized that the dropout rate for the seventh and eighth grades in rural areas, have higher values than in urban areas. For school year 2008-2009 dropouts rate at the primary level was 10,8% and repetition rate 4,1%.

Unequal chances for the rich and the poor - *Equity gaps continue to be a big social debt in the Dominican Republic. According to a National survey of Labor Force –MEPD in September 2008, 11,8% of the population belonged to homes with a monthly per capita income under the national line of extreme poverty defined by the WB for DR (RD\$1.704). 19,8% of the rural population was under the national line of poverty.*

In 2009 GINI coefficient, which measures the inequality in the distribution of income from the area between the curve of Lorenz and the line of perfect equity, estimated in 50,4% the level of poverty for the DR. Miles of children and teenagers were working instead of studying.

A recent research establishes that the gap in years of schooling among poor and non-poor sectors is more than 10 percentage points at certain school levels, where universal coverage has not been achieved (preschool and secondary education). In the primary level, though, the net enrolment rate has increased significantly.

The Dominican Republic report card 2006 observes important differences in school efficiency, according to the different geographical zones and provinces. Thus, although in La Romana and Santo Domingo children take 8.9 years on average to complete primary education, in the poorer provinces and frontier provinces (San Juan, Bahoruco, Pedernales, and Elías Piña) it takes children 12 years to complete primary education. The proportion of children completing primary education goes from 90% in those provinces with better performance (La Romana, Santiago Rodríguez, Puerto Plata, etc.) to 50% for most of those provinces in the frontier with poorer performance in social, economic and educational indicators (Table below).

ibid p. 45: “Urban/rural disparities have been diminishing in primary education coverage. While in 1990, urban educational coverage was 20% higher than that of the rural areas; by 2002 both areas were almost equal in terms of access to schools and education (Figure 4). By the same year, the percentage of people aged 15 to 19 years old who declared to “easily be able to read” was almost the same in urban and rural areas.”

Metas educativas 2021. La educación que queremos para la generación de los Bicentenarios. Consulta nacional p. 14: *“De acuerdo con los datos del censo nacional del 2002, en algunas provincias el porcentaje de analfabetismo superó el 30%, mientras que otras regiones presentan tasas inferiores a las del promedio nacional (13%). La Encuesta de Fuerza de Trabajo del Banco Central aporta nuevos datos: el porcentaje de personas analfabetas en la población de 15 años y más ha venido disminuyendo. En el año 2000 era de 13% aproximadamente, mientras que en abril de 2008 había descendido a 10.2%. No se registran, sin embargo, los analfabetos inmigrantes haitianos, que legal o ilegalmente viven en el país, cuya cifra, aún en términos de número de emigrantes, es difícil de precisar y menos aun en la actual coyuntura, a partir de la terrible catástrofe que recientemente ha sufrido el pueblo haitiano.*

El nivel de escolaridad de las personas jóvenes ha aumentado. Según la Encuesta de Fuerza de Trabajo, una persona de 18 años tenía una escolaridad promedio de 8.4 años en el 2000, nivel que aumenta en el 2007 a 8.9 años a la vez que la distancia entre los niveles rural y urbano se reduce: una persona joven que vivía en la zona rural tenía una escolaridad de un 28% menor a la escolaridad urbana al inicio de la década, sin embargo, en el 2007 era apenas de un 10%.

Metas Educativas 2021 p. 176: "Según estudio de Urquiola M. Calderón V., "Manzanas y naranjas: Matrícula y escolaridad en países de América Latina y el Caribe" BID-2005; entre las naciones latinoamericanas, la República Dominicana tiene la mayor cobertura escolar para la población entre 6 y 18 años de edad con un 91%. En los últimos años el país ha alcanzado un 98% de asistencia escolar en el rango de 6-13 años de edad. De igual modo, al alcanzar los 18 años de edad, un joven dominicano ha estado inscrito en la escuela un promedio de 11.8 años, una cifra que solo es superada en América Latina por Argentina y Chile, con 12.1 años de escolaridad.

Durante el año escolar 2003-2004, la cobertura del Nivel Inicial (niñas y niños de cinco años) alcanzó el 75.5%, mientras que en América Latina y el Caribe, para el año 2007, la cobertura neta para niños y niñas de la misma edad alcanza el 67.3%. Para el año escolar 2008-2009 en nuestro país se alcanza la cobertura de un 82% de niños y niñas de cinco años inscritos en los centros educativos. La cobertura neta del Nivel Básico (6 a 13 años), al 2004 alcanza 91.7%, para el 2008-2009 a un 93.8%. Para el Nivel Medio, la cobertura neta alcanza al 2004 el 36.5%, y al 2008-2009 es de 51.54%.

Conforme a los datos de la ENDESA de 2007, más del 40% de los estudiantes en 1ro. de primaria tenían más de 6 años. Asimismo, más del 40% de los estudiantes de primaria tenían más de 10 años, y un 45% de los estudiantes en 8vo. de primaria tenían 16 años o más, aunque en la última década ha bajado sobre todo en las zonas rurales.

Sin embargo, el sistema no ha conseguido traducir esos altos índices de asistencia escolar en, por un lado, aumentos significativos en años de escolaridad y en tasas de graduación de los alumnos, y por otro, en mejoras en la calidad de los aprendizajes. A pesar de que la asistencia en el tramo de edades de Educación Básica, entre los 6 y 14 años es casi universal, a los 14 años los/las alumnos/as en promedio solo han logrado aprobar 6,3 grados, en lugar de los ocho grados del ciclo básico. A los 18 años, edad a la que termina la Educación Media, el promedio de grados aprobado es de 9,08 (en lugar de 12) y para los/as alumnos/as más pobres es de solo 6,7.

También el Banco Mundial en su World Development Indicators plantea que la tasa de graduación en primaria es relativamente baja en nuestro país, de 19 países de América Latina y el Caribe, nosotros ocupábamos la 5ª peor posición en el 2007. Por otro lado, los aprendizajes son bajos. El país ocupó el último lugar entre los 16 países que participaron en las pruebas del Segundo Estudio Regional Comparativo y Explicativo (SERCE) para 3er. y 6to. grados en el 2006. Las pruebas nacionales confirman esas tendencias y muestran estancamiento en los logros de los/as alumnos/as en los últimos años."

Ibid. p.180: "Buena parte de los problemas de eficiencia interna y calidad de la escuela dominicana se origina en el primer ciclo de básica. Si bien, como ya se indicó, casi todos/as los/as niños/as asisten a la escuela, desde el inicio del ciclo se observa la poca efectividad del sistema escolar en lograr que los/as alumnos/as se mantengan en el nivel de escolarización oportuno. A los ocho años una tercera parte de los/as niños/as se ha rezagado de grado. A los diez años, al final del primer ciclo, solo la mitad de los/las alumnos/as continúa en el grado adecuado.

Cuatro años después, a los 14 años, solo una tercera parte termina el ciclo básico a la edad correspondiente. Las brechas entre el grado en que deberían estar los/as alumnos/as y el grado que cursan indican la magnitud de varios fenómenos: ingreso precoz a la escuela, gran dispersión de edades por grado, y rezagos por repetición y abandono temporal."

Ibid. p. 182: "El Plan Estratégico de la Gestión Educativa-PEGE (2008-2012) establece dos medidas para lograr mejores resultados en el aprendizaje: aumentar el número de horas de clase (cantidad) de 2,5 que se tiene en el 2008 a 4 horas mínimo, y mejorar la docencia que se ofrece en el aula para que efectivamente propicie el aprendizaje esperado (calidad). A fin de reducir las tandas nocturnas y vespertinas, reducir el número de alumnos por sección y posibilitar una jornada diaria de 5 horas, el PEGE formula un Plan Maestro de Infraestructura Escolar, en el que se establece el diagnóstico de la infraestructura escolar considerando ubicación, utilización en tandas y matrícula, condiciones físicas y proyección de la demanda. Centrar la gestión escolar en el aprendizaje de los alumnos y mejorar el apoyo que el sistema educativo brinde a las escuelas, otros objetivos del PEGE son factores fundamentales para el mejoramiento de la calidad y el cumplimiento del horario y el calendario. Por

último, el PEGE también postula la necesidad de mejorar el sistema de evaluación de los aprendizajes y la formación de los docentes.”

Table 12: Aspects Of the Socio-Equity Gap in Education

Net attendance rate (%)	Total	Male	Female	Urban	Rural	Richest	Poorest
Primary school NAR	86.1	84.4	87.7	86.5	85.3	91.5	78.4
Secondary school NAR	32.5	26.7	38.6	36.5	24.9	59.5	11.0
Gross attendance rate (%)	Total	Male	Female	Urban	Rural	Richest	Poorest
Primary school GAR	116.5	119.0	114.0	116.9	116.0	112.7	112.5
Secondary school GAR	69.9	62.5	77.9	77.1	56.4	103.2	31.2

Source: Unicef Survey data: Dominican Republic 2002 DHS

http://www.childinfo.org/files/LAC_Dominican_Republic.pdf

Unicef Dominican Republic, Overview on Millennium Development Goals (MDG) www.unicef.org/republicadominicana/english/overview_12559.htm : “The goal of Ensuring Universal Primary Education appears to be achievable in a relatively short time period. The National Household Survey (ENHOGAR) in 2006 found that 92% of children go to primary school and that 89% of these reach 5th grade. As far as goal of Gender Equity is concerned, ENHOGAR indicates that 1.2 girls attend primary school for every boy. This is not related to an increase in primary school enrolment levels for girls, whose net attendance is 93,3%, but is more to do with the decline in male attendance at primary level, which stands at 91%.”

Informe de Seguimiento a las Políticas Educativas en el marco del Programa de Apoyo a la Política Sectorial Oficina de Planificación Educativa 2007-2009 p.24: “En la practica, esta falta de recursos, retrasa los esfuerzos ya planificados desde finales de 2007, de ir gradualmente descongestionando los espacios destinado a la enseñanza, los cuales en lo que respecta a las áreas urbanas marginales, los ratios de alumnos por aula alcanza más de 100 y la infraestructura es utilizada de manera intensiva en 3 o más tandas semanales con secciones que –en estas áreas que concentran el 70% de la población estudiantil del país llegan a niveles de hasta 60 alumnos por sección.”

Reviews of National Policies for Education: Dominican Republic, OECD 2008 p.46: “If the Dominican Republic is to honor its commitment to the Millennium Development Goals, the education system must replace, renovate or rebuild 14.000 schools, and provide an additional 10.000 classrooms in the short term. There is still a short term deficit of 24.000 classrooms. According to cost estimates related to the MDG the total expenditure needed for school infrastructure is about US\$1.446bn”.

Human Development Report, Dominican Republic 2008, p.38: “Assuming 25 students per classroom per school day period and 1.5 school day periods per classroom, it was estimated that more than 11.000 additional classrooms are required so that all students currently enrolled can learn under appropriate conditions. An additional 7.000 more classrooms would be necessary to incorporate the school-aged population not yet enrolled in formal education.”

Table 13: Objectives and Indicators for 2010-12 for Education in DR

METAS 2010-2012: aumentar el horario efectivo de clase; mejorar los logros de aprendizaje en el primer ciclo de Básica en lectura y matemáticas; mejorar la promoción efectiva en Educación Básica y Media; y disminuir la congestión en las aulas de las escuelas beneficiadas.

Indicadores

Indicadores	2007-08	2008-09	2012
Tasa neta de matrícula Inicial	35.50%	37.50%	46.10%
Tasa neta de cobertura de Pre-primario	77.80%	82.00%	85.80%
Tasa neta de matrícula Primaria	92.10%	93.80%	95.00%
Tasa de asistencia Primaria	95.00%	96.60%	98.00%
Tasa neta de matrícula Secundaria	49.50%	51.54%	53.60%
Tasa global de asistencia 14 a 17 años	82.20%	81.90%	88.10%
Repitencia Primaria (*)	4.10%	En proceso de captura	3.80%
Deserción Primaria (*)	10.80%		6.80%
Depitencia Secundaria (*)	2.20%		1.90%
Deserción Secundaria (*)	8.20%		5.70%
Sobre-edad Primaria	17.60%	16.54%	12.30%
Sobre-edad Secundaria	26.90%	25.14%	18.80%
Escolaridad promedio	8.1	8.2%	9%
Tasa de analfabetismo global	10.80	11.00%	7.00%
% del PIB	1.80	2.03%	4.10%
% del Presupuesto	8.50	10.16%	15.00%
Rendimiento Matemáticas en 3 ^{er} grado	396		2011
			Rango + 450
Rendimiento Matemáticas en 6 ^{to} grado	416		Rango + 450
Rendimiento Lectura en 3 ^{er} grado	395		Rango + 450
Rendimiento Lectura 6 ^{to} grado	421		Rango + 450

Source: Metas educativas 2021. La educación que queremos para la generación de los Bicentenarios. Consulta nacional p. 183

UNDP Human Development Report (Dominican Republic 2008) p.37: “The 2002 Census reported that 15.7% of boys and girls between ages 6 and 13 do not attend school. There are 15 provinces in which that percentage is higher, with the highest gaps recorded in Elías Piña, Pedernales, Peravia, La Altagracia and La Romana. This situation is even more acute among children ages 6 to 9. With respect secondary education, only 36,8% of boys and 51,9% of girls aged between 14 and 17 attended school.”

Reviews of National policies for Education: Dominican Republic OECD 2008 p. 38:

“(Output rates of the education system approximated by students in school”... by gender and age:

Age group 6 to 13 years old 91.7%; male= 90.9%; female= 92.6%

Age group 14 to 17 years old 36.5%; male= 31.5%; female= 41.7%”

Draft Country Note DR p. 23: “According to the 2008 OECD Review¹¹⁷ “the Dominican Republic made significant gains in access in the decade of the 1990s”. From 1991-1992 to 2001-2002, the gross ratio (GER) in the first cycle of basic education (grades 1-4) increased from 91% to 138% and the GER for the second cycle (grades 5-8) increased from 42% to 90%. The increases over the same period were of a similar magnitude at the secondary level: from 23% to 62%.”

Ibid p. 24: “Primary Schooling is compulsory and universal, and therefore the State has the constitutional responsibility to ensure that all children have access to eight years of primary education. No fee is charged. The provisions are established by General Education Law 66-97. No role has been played by the EC in this process.”

Ibid p. 23: “Furthermore, a specific study¹¹⁸ highlights that among Latin American Countries (LAC) the Dominican Republic has the highest level of school coverage for the 6-18 population with a level of 91%. According to SEE-MINERD data the net coverage at primary level is 92.3% in 2008-2009”.

“According to the Statistic Department of SEE, in 2007-2008 the net (education system output) ratio in primary education is 92.3% as compared to 94% in 2002 while the GER is 119.2% as compared with 104 % in 2002. The difference reflects the high percentage of over-age students in Dominican basic schools.”

Ibid p.38 : “Among Latin American nations, the Dominican Republic has the largest school coverage for the population between 6 and 18 years of age at 91%, and further the country has reached 98% coverage in the range of 8-13 years of age. Upon reaching 18 years of age, a young Dominican been enrolled in school an average of 11.8 years”.

Ibid. p. 43: “In the case of rural education, where equity issues are more complex, for the range between 6 and 18 years, the country has the highest level of coverage of Latin America, with 88.7% of the population ...in school.”

ECLAC 2010. Economic Survey of Latin America and the Caribbean p. 52: “Analysis of the statistics shows that the participation rate of women living in urban areas rose significantly in the 1990s, but has increased only slightly in recent years”

Ibid p. 59: “The decentralization of education and public health systems was encouraged, with the resulting problems in financing and providing services at the subnational level”.

World Development Indicators 2010, <http://data.worldbank.org/sites/default/files/section2.pdf>: “The ...GER””(%) of relevant age group) in Dominican Republic in 2008 was 104 in primary school, 75 in secondary education. The NER (% of relevant group) in 2008 was 80 in primary school and 58 in secondary school. The adjusted NER in primary school (% of primary school-aged children) in 2008 was 82 for male and 83 for female.”

Overall, the transition rate to secondary school has improved over the last few years. These data are amply recorded in studies from different sources (MINERD, WB, UNESCO etc.) and also mentioned in JAR 2008 (Primary Completion Rate increased from 77.9% in 2000 to 94% in 2006). According to the Reviews of National Policies for Education: Dominican Republic, OECD 2008 p. 41: “*The Dominican Republic ranks third among the countries of the region in terms of years of schooling completed on average by 18 years old (11.8). However, if one considers the average years of schooling at 18 years*

¹¹⁷ OECD Review of National Policies for Education – 2008.

¹¹⁸ Urquiola M. Calderón V., “Manzanas y Naranjas: Matrícula y escolaridad en Países de América Latina y el Caribe”. BID-2005.

old, the average falls to 8.3 and the ranking to 13. The average years of schooling are only 1.9 at 8 years old and 5.3 at the age of 13. Such percentages are due, among other factors, to late entry and repetition.”

As for regional differences, frequent mention is made in education-related reports and various poverty-reduction strategies of the GoDR of the lagging behind of rural areas and poorer neighborhoods in the cities, where it takes children more time to complete primary education, when completing at all.

Draft Country Note DR p. 6: “**Internal efficiency (repetitions and drop-outs)** - Through policy actions following initiatives of the Inter-American Development Bank¹¹⁹, and the special World Bank programme for basic education, the Dominican Republic made significant gains in internal efficiency. The report indicates that, according to cohort analysis, of every 100 children who enter formal education, only 75% complete grade 4, 63% grade 6, and only 52%, eight years of basic education. The situation is worse in rural zones where most education centers do not reach grade 6.”

Ibid. p. 16: “According to official SEE-MINERD data, the transition rate to secondary school has improved from the 87.8 % of 2002 to the 89.9% in 2008. So while illiteracy has been reduced, the transition rate from primary to secondary is improving, although since 2006 (rate of 95.8%) there has been a reduction of 5.9%.”

Ibid. p. 18: “JC61: Sound pro-poor sector policy framework in place - The Estrategia para la reducción de la Pobreza en la República Dominicana (PRSP - 2003) defined the increase in social expenditure as a priority and identified education among the most important priorities. < > Three areas of intervention, with significant gains for disadvantaged groups, are being considered: (a) increasing pre-school access among the poorest segments of the population; (b) increasing access to the second cycle of basic education (5th to 8th grades) especially in rural areas; and (c) expanding access to secondary education, particularly (9th and 10th grades). The Ministry of Education would also seek to prioritize infrastructure investments in schools located in regions with high poverty rates and concentrations of Solidaridad households, where under-provision and crowding are most prevalent.”

Ibid. p. 40: “An important gap is related to the students’ living in urban or rural areas. The richest urban quartile has 10,4 years of instruction while the poorest rural quartile has only 3,3 years of instruction. Lower differences (always in favor of urban residents) exist between the poorest urban quartile and the richest rural quartile. The EC PAPSE II sector budget support, whose specific objective is to provide quality education for all, was addressing the low performance of the educational system and achieving a deep long term reform.”

Estimations for 2003 considering the range of 15 to 24 year olds indicate that 52% of the poor had not completed primary education, while 70% of non-poor had achieved primary completion. Boys and girls from provinces in the frontier are in clear disadvantage in almost all educational indicators (See Informe de Progreso Educativo: Republica Dominicana, Preal & Educa, 2006).

JAR 2008, Appendix A-2 p. 31: “Table of indicators for the MDGs. Primary Completion Rate: 2000= 77,9; 2004= 82,9; 2005= 91,8; 2006= 94.”

Data on the achievement of MDGs targets for DR:

According to the MDG monitoring report (Sep. 2010) of the MEPyD (“Objetivos de Desarrollo del Milenio, Informe de Seguimiento 2010 República Dominicana”), MinERD estimates that only in 2015 96% of all children will be enrolled in primary education and in 2019 this will be 100%, therefore failing to meet MDG 2. In 2015 76-86% is supposed to finish primary school. Delay is attributed mainly to lack of investment in the sector. As for MDG 3A, equality between sexes in primary education, it is emphasized that the equality ratio has decreased from 1.0 in 2003 to .92 in 2008 and even to .85 in 2009 in disfavour of girls.

¹¹⁹ Primary level Multi phase for equity Program- IADB 2005.

Table 14: Millennium Development Goal 2: Achieve universal primary education (DR)

Anexo 5															
Valor de Indicadores de la Meta 2.A. 1990-2009															
Indicadores	1990	1991	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009
2.1 Tasa neta de matriculación en la enseñanza primaria. (Proyección ONE)							86.6 ^a	86.1 ^a	85.6 ^a	86.0 ^a	85.1 ^a	85.0 ^a	87.1 ^a	84.3 ^a	
Mujeres														86.70 ^a	
Hombres														81.90 ^a	
2.1 Tasa neta de matriculación en la enseñanza primaria. (Datos Encuesta) (e)						92.1	93.6	94.6	95.4	95.1	94.9	94.7	94.9	94.2	
2.1 Tasa neta de matriculación en la enseñanza primaria. (Proyección de población CELADE 2000) (e)			73.0	80.5	84.1	89.4	90.6	90.8	91.0	92.0	91.7	92.1	95.3	92.3	94.8
2.2 Proporción de alumnos que comienzan el primer grado y llegan a completar el último grado (8vo) de enseñanza primaria. (Tasa de retención o supervivencia escolar de octavo grado)*													69.7 ^e	65 ^e	77.5 ^e
Niños (a)															
Niñas(a)															
2.2a Proporción de alumnos que comienzan el primer grado y llegan a completar el último grado (8vo) de enseñanza primaria. (Sector Público)* (e)	23.2			43.0		62.7	53.4	64.1	61.0	67.8	57.8			63.0	75.8
2.2b Proporción de alumnos que comienzan el primer grado y llegan al último grado (8vo) de enseñanza primaria. (Tasa de retención o supervivencia escolar de octavo grado. Sector Privado)* (e)															83.8
Proporción de alumnos que comienzan el primer grado y llegan al último grado (5to) de enseñanza primaria. (Tasa de retención o supervivencia escolar de 5to grado %). (e)						76.4 ^f	80.4 ^f	76.8 ^f	67.3 ^f	89.2 ^f	75.8 ^f		79.7 ^e	73.8 ^e	84.0 ^e
Proporción de alumnos que comienzan el primer grado y llegan al último grado (5to) de enseñanza primaria. (Tasa de retención o supervivencia escolar de 5to grado %). (a)					70.6	72.1	67.0	61.5	53.9	82.9	61.1		68.8		
Niños					66.3 ^a	58.9 ^a					57.8 ^a		64.4 ^a		
Niñas					75.2 ^a	87.8 ^a					64.8 ^a		73.8 ^a		
Porcentaje de la población de 15-19 años que completo la primaria		44.8 ^g				59.4 ^g	60.8 ^g	60.8 ^g	64.1 ^g	66.0 ^g	67.3 ^g	69.7 ^g	73.3 ^g	73.5 ^g	73.0 ^g
2.3 Tasa de alfabetización de las personas de 15 a 24 años, mujeres y hombres		90.7 ^h				95.6 ^f	95.4 ^f	94.2 ^h	96.1 ^f	95.7 ^f	95.9 ^d	95.5 ^d	97.2 ^f	96.4 ^f	96.9 ^f
Hombres						94.7 ^f	94.1 ^f	93.0 ^h	94.9 ^f	95.0 ^f	94.7 ^d	94.7 ^d	96.5 ^f	95.7 ^f	96.1 ^f
Mujeres						96.5 ^f	96.6 ^f	95.4 ^h	97.3 ^f	96.5 ^f	97.12 ^d	96.4 ^d	98.0 ^f	97.0 ^f	97.7 ^f

Fuentes:

- (a) Naciones Unidas para los indicadores de los Objetivos de desarrollo del Milenio. Base de Datos para ODM actualizada al 23 de Junio 2010.
 (c) Centro de Estudios Sociales y Demográficos (CESDEM). Encuesta Demográfica y de Salud (ENDESA). 1991, 1996, 2002 y 2007
 (d) Oficina Nacional de Estadística (ONE). Encuesta Nacional de Hogares de propósitos múltiples. 2005 y 2006
 (e) Ministerio de Economía, Planificación y Desarrollo (SISDOM). 2010
 (f) Banco Central. Encuesta Nacional de la Fuerza de Trabajo (ENFT). 2000 -2009
 (g) Oficina Nacional de Estadística (ONE). Censo de Población y Vivienda. 2002
 (h) Ministerio de Economía, Planificación y Desarrollo. Procesado en la Unidad Asesora de Análisis Económico y Social (UAAES) en base a ENDESA 1991.
 (o) Oficina Nacional de Estadística (ONE). Cálculos en base a datos del Ministerio de Educación y Proyecciones de población de la ONE.
 Nota: Todos los datos de educación corresponden a años lectivos, el dato se posicionó en el año del límite superior del periodo lectivo.
 * Estos datos corresponden a las tasas de retención al 1ro de Media.

Source: MDG Monitoring Report 2010

Investing in the Sustainable Development of the Dominican Republic: Millennium Development Goals (MDGs) Needs Assessment p. 18: “

III. National situation

This document assumes, as its point of reference, the information available in the *2004 National Millennium Development Goals Report for the Dominican Republic*, which served as the first national progress report, written by the Presidential Commission on the Millennium Development Goals and Sustainable Development and the U.N. Country Team. It presents the current situation with respect to each MDG, the respective trends, and the projected analysis for achieving each Goal and Target. A summary of the Report's results appears in the table below:

Table 15: *MDG 3 & 4 (DR)*

Goal II: Achieve universal primary education								
Target 3. Ensure that, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	22%	1990	53%	2002	87%	100%	NO	ENDESA
Goal III: Promote gender equality and empowerment of women								
Target 4. Eliminate gender disparity in primary and secondary education	0.97	1996-1997	0.96	2001-2002	1	1	YES	SEE
and in all levels of education	1.25		1.24		1.2	1	YES	SEE

Source: Investing in the Sustainable Development of the Dominican Republic: Millennium Development Goals (MDGs) Needs Assessment

Ibid. p. 26: “

2. Education

The real objective of every educational process is that students learn. In the case of the MDGs, however, learning does not only mean that students attend school and graduate. It means that students attend school, graduate, and receive a quality education.

In the Dominican Republic, the education goal, within the context of MDG 2, is that, by 2015, all 15 year olds will have completed nine-years of quality primary education.

The “quality of education” is at the center of the Dominican approach to achieving MDG 2 which requires, at least:

- A full evaluation and re-designing of the education program;
- Updating teacher training and relevant curriculum with global content that unifies society and helps the country in its quest for sustainable and competitive global integration;
- Providing sufficient educational resources;
- Hiring educators for 35 hours per week, distributed according to their teaching responsibilities;
- Setting a timetable and school calendar that will facilitate the learning process;
- Implementation of a school infrastructure investment strategy that will reduce the overuse and abuse of current educational infrastructure, and;
- Elimination of the three primary challenges facing the Dominican education system: repetition, overage students, and early desertion.

To achieve MDG 2, the Dominican Republic cannot afford to invest in assistance and coverage only, without focusing on quality and effective teaching that produces results. Achieving MDG 2 will require effective policies and interventions that address:

1. School year 2007-2008, must ensure 100% matriculation of 6 year-old children to quality first grade primary level education.
2. School year 2008-2009, must ensure that children under the age of 5 attend preschool.
3. Directly confront challenges that students face in terms of school registration (i.e. creation of the school identification card – I.D.) in order to monitor repetition, overage student indexes, and early desertion within the system, while establishing legal mechanisms to compel mothers, fathers, guardians, and/or tutors to register their children in school and ensure they remain until they complete a full cycle of primary education and/or reach 16 years old.
4. Improve the quality of secondary education as an incentive for completing primary education, while at the same time, responding to the demand for quality education.
5. Drastically reduce the rates of repetition, overage student indexes, and early desertion, in order to ensure that children complete primary education on time

without extending the years of their cycle, which would overload both primary and secondary education.

6. Strengthen adult education to: ensure that all citizens receive a basic primary education, promote educated parents that are committed to sending their children to school, and help overage students who have been asked to leave schools due to their age.
7. Organize and strengthen the educational system as an institution, simplifying it; and promoting the active participation of different social, municipal, and community sectors.
8. Define the innovative participation of universities in training teachers, as well as administrative and technical staff, in the fields of research and educational innovation.
9. Reduce social challenges affecting adequate school attendance and performance.
10. Raise awareness and mobilize Dominican society towards the importance of quality education.
11. Eliminate job instability for teachers and staff as a means of institutionalizing the teaching-learning process and guaranteeing a fair remuneration based on performance evaluations.

According to the www.mdgmonitor.org (January 2011), DR is off track regarding the achievement of universal primary education (Goal 2), is likely to achieve gender equality and empower women (Goal 3) and is there not enough information available on the Combat HIV/AIDS, malaria and other diseases (Goal 6).

Goal 2: Achieve universal primary education

Net enrolment ratio in primary education (% both sexes): 79.7

Percentage of pupils starting Grade 1 and reaching Grade 5 (both sexes): 61.1

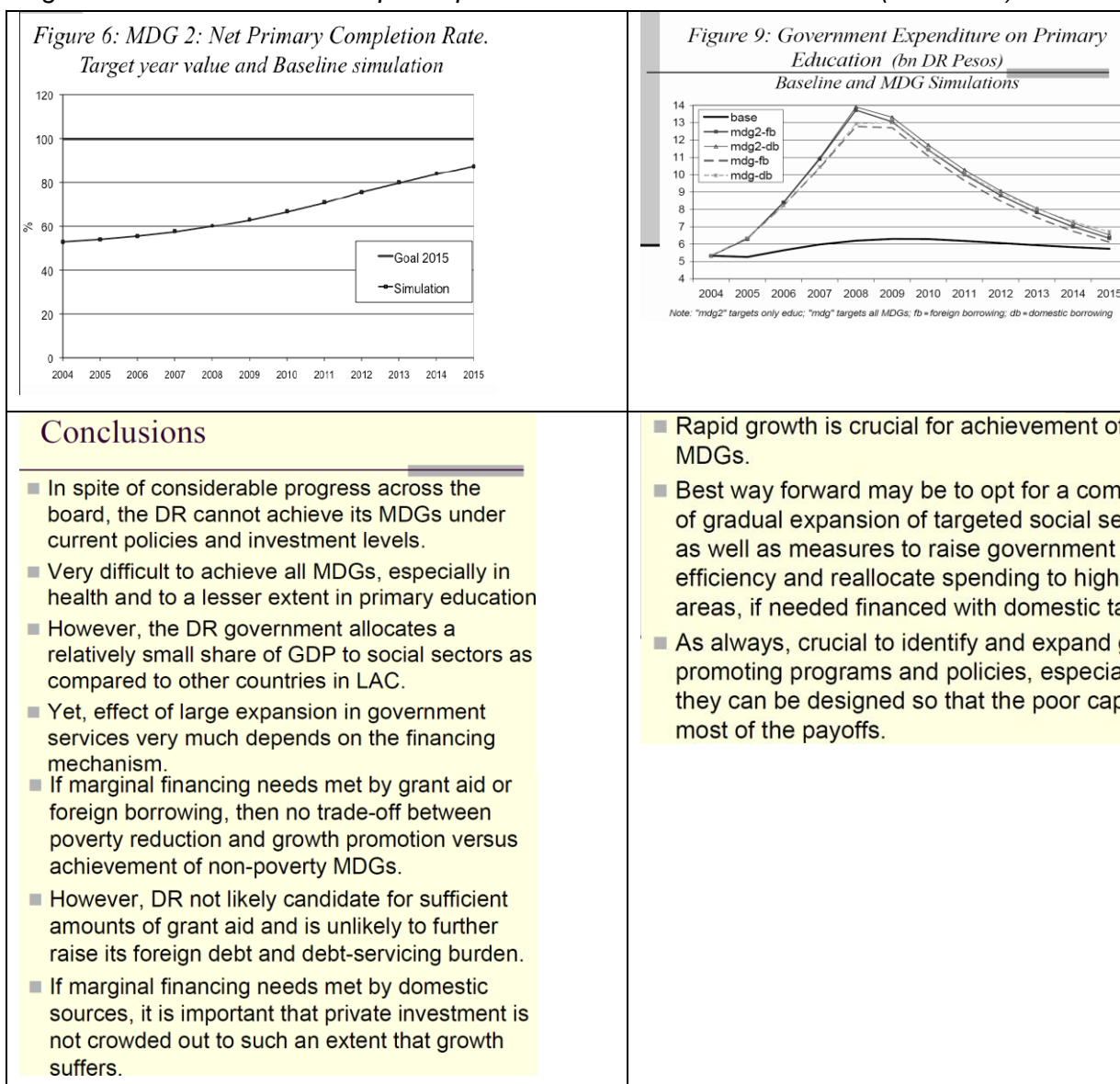
Goal 3: Promote gender equality and empower women

Gender parity Index in primary level enrolment (ratio of girls to boys): 1.0

Literacy rates of 15-24 years old (% both sexes): 96.0

Seats held by women in national parliament (%): 19.7

Figure 5: Assessment of public policies and achievement of MDGs (education)



Sources: Public Policies and the MDGs: The case of the Dominican Republic

Objetivos de Desarrollo del Milenio, Informe de Seguimiento 2010 DR: p. 22:

Table 16: Education Results for the MDGs Monitoring Report 2010

Objetivos y Metas	Indicador de meta	Valor Referencia (año y fuente)	Valor actualizado (año y fuente)	Metas 2015	Proyección 2015	Cumplimiento
	Proporción de población en trabajo por cuenta propia y no remunerado (%)	38.6(1991, Naciones Unidas, base datos ODM)	43.9 (2009, Banco Central, ENFT)	-	-	
Meta 1.C: Reducir a la mitad, entre 1990 y 2015, la proporción de personas que padecen hambre	Proporción de población que no alcanza consumo mínimo de energía alimentaria	27 (1991, FAO)	21 (2005, FAO)	13.5	17.2	No se logrará. Se mantiene muy alto el porcentaje de la población que padece malnutrición. Sin embargo, se ha reducido a más de la mitad la desnutrición global de la niñez.
	Niños menores de 5 años con peso inferior al normal (%)	10.4 (1990, ENDESA)	3.1 (2007, ENDESA)	5.2	-	
Objetivo 2: Lograr la enseñanza primaria universal						
Meta 2.A: Asegurar que, en 2015, los niños y niñas de todo el mundo puedan terminar un ciclo completo de enseñanza primaria	Proporción alumnos comienzan el 1er grado y llegan al último grado de la enseñanza primaria	23.2 (1990, Ministerio Economía)	75.8 (2009, Ministerio Economía)	100	86	No se logrará. La deserción sigue siendo alta. Para lograr que todos los niños y niñas terminasen el ciclo completo en 2015, debió haberse alcanzado con suficiente anticipación la total cobertura de la matriculación. Se ha avanzado en cobertura y se registra una alta tasa de alfabetización entre los jóvenes. El punto más crítico es la calidad.
	Tasa neta de matriculación en la enseñanza primaria	84.1 (1999, CELADE)	90.3 (2008, promedio ONE/CELADE/encuestas)	100	-	
	Tasa de alfabetización de las personas de entre 15 y 24 años	95.6 (2000, Ministerio Economía)	96.9 (2009, Ministerio Economía)	100	-	
Objetivo 3: Promover la igualdad entre los sexos y el empoderamiento de la mujer						
Meta 3.A: Eliminar las desigualdades entre los sexos en la enseñanza primaria y secundaria, preferiblemente para 2005, y en todos los niveles de la enseñanza, a más tardar en 2015	Relación entre niñas y niños en la enseñanza primaria.	1.0 (2001, Ministerio Economía)	0.92 (2009, Ministerio Educación)	1.0	-	Se ha logrado prácticamente eliminar las brechas de acceso de las mujeres a la educación. Preocupa que el problema de equidad de género en la enseñanza se esté invirtiendo; los varones aparecen en desventaja en relación a las hembras. En otro orden, tanto la proporción de mujeres con empleos en el sector no agrícola como de escaños en el Congreso ocupados por mujeres ha aumentado, aunque no al ritmo deseable, por lo que la meta de equidad en estas áreas difícilmente se logrará.
	Relación entre niñas y niños en la enseñanza secundaria.	1.24 (1999, ONU. Base datos ODM)	1.23 (2009, Ministerio Educación)	1.0	-	
	Relación entre niñas y niños en la enseñanza superior.	1.3 (2001, Ministerio de Economía)	1.6 (2008, BC-ENFT)	1.0	-	
	Proporción de mujeres con empleos remunerados en el sector no agrícola (%)	35 (1990, BC-ENFT)	39.2 (2009, BC-ENFT)	50	-	
	Proporción de escaños ocupados por mujeres en la Cámara de Diputados (%)	11.7 (1990, JCE, Congreso)	20.8 (2010, JCE, Congreso)	50	-	

Source:

<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTEDUCATION/0,,contentMDK:20573961~menuPK:282404~pagePK:148956~piPK:216618~theSitePK:282386,00.html>

Previous Indicators 2.5.3 and 2.5.4 have been eliminated.

Indicator 2.5.3: Existence of an Education Management Information System (EMIS)

As an Education Management Information System is the basic resource for M&E of developments in the (primary) education subsector, the existence of an EMIS is already addressed in indicator 5 of JC 2.4. For reference, main findings are repeated here.

Monitoring and Evaluation (M&E) of developments in the (primary) education sector has been an area of permanent attention of GoDR, and a major concern in EC support to the subsector, as is well demonstrated in the Draft Country Note DR. On p. 76 it reads: “EC SBS to PAPSE: Result VIII: Unified *Educational Management Information System (EMIS)* for providing all necessary information for performing *physical and budgetary Planning & Programming* as well as *Monitoring & Evaluation* operations on the basis of permanently updated school and geographic statistical information.”

The consolidation of Education Evaluation is one of the sub-programmes of the Plan for Dominican Republic Educational Development. The development of an Education Management Information System (EMIS) is also mentioned as an area of interest of DR education authorities and EC support to the sector, and is reported to be almost in place, as can be seen in the abstracts below. International Technical Assistance has had the development of an EMIS as one of its major task fields, and the ITA Informe Final (2009) reports the creation of an M&E subsystem within the EMIS (SIGE in Spanish).

At the same time it is not clear (from JARs, MTR, EAMR) whether this system is fully operational, although an EC representative affirmed the existence of an EMIS after field visit in 2010, and that the MINERD would be capable of providing any educational data. In the evaluation period (until 2009) no monitoring reports were delivered regularly and therefore the institutionalized use of the information gathered by an EMIS cannot be assessed. According to MinERD, the EMIS is only partially ready and modules for financial data and on human resources are still lacking.

The panorama is (now, in 2011) the following. Although all respondents coincide in that an EMIS is still in development (“not mature, not fully implemented and functional”), AECID considers it is working better than expected, while another donor says not to know whether an EMIS exists at all. Since all donors (incl. EUD) rely for their own monitoring on the progress reports of the Ministry, it is questionable to which degree financing decisions are based on truthful information.

Most informed stakeholders confirm that, as a forerunner and complementary to EMIS, a *Sistema de Gestión de Centros Educativos (SGCE)* has been set up, into which all schools (should) import directly and regularly their data. The Ministry reports to have made great efforts to give access and accompanying training to all educational centers (schools) in order to work with this system. Parallel an Early Alert System has been set up (<http://apps.see.gob.do/analisisdeindicadores/>).

In all, GoDR is still not very well capable of showing achievements, outcomes with reference to the education policy plans and SBS objectives, based on a sound EMIS. Nor is it clear whether information rendered by the different systems operational is used adequately to adjust future programming. And this situation has not been different in the evaluation period.

Data, sources, extracts:

Draft Country Note DR p. 22: “In 2004, a system called SIGE (*Sistema de Información para Gestión Educativa*) has been launched. EC Technical Assistance has contributed to the development of the system on the basis of an overall design that had been deemed rather obsolete. This system is based on six levels: a) Operational systems and processes; b) Information Services; c) Quality management; d) Project management; e) Product technological management; and f) Support to Decision Making. The system is sufficiently coherent with the strategic and programmatic framework adopted for the sector. Monthly Reports are produced and distributed with limited access. However, no active matrices allowing for interactive utilization and upgrading are made available and the system is excessively focused on administrative issues and not open to a wide audience for inputting or critique. Innovations were envisaged but so far have not been implemented. < > The MTEF is structured on the basis of: a) Policies, objectives and programmatic goals of the Ten-Year Education Plan over the period 2009-2012; b) Technical Criteria to calculate production and provision of education services at different levels; c) Detailed break-down according to programmatic category, organizational unit in charge, specific goals, expenditure forecast by economic classification category and source of financing. This structure is likely to increase accountability of different government stakeholders and to overcome the difficulties currently faced with the use of SIGE. Meanwhile SIGE is being upgraded.”

ATI Informe Final 2009: See I.2.4.5

Coordinación para el Desarrollo e Implementación del Sistema de Información para la Gestión de la Educación (SIGE/EMIS (Informe Final, 2008), p. 50 (from the ToR):

“**INTRODUCCION Y ANTECEDENTES** - La existencia de un Sistema de Información para la Gestión Educativa (SIGE) en República Dominicana que sea confiable es una necesidad imprescindible, ya

que la preparación y el monitoreo de progreso de los planes a largo plazo (*Plan Decenal, Objetivos del Milenio, etc.*) y de los programas de medio plazo (*PAO SEE, PAPSE*) en el Sector Educación tienen que apoyarse sobre estadísticas, datos e informaciones confiables, relevantes y compartidos según un modelo único por todas las entidades de la SEE participantes en la implementación de la Política Educativa.

Por estas razones, se ha adoptado en el Plan de Acción Operativa de la SEE dentro de los 10 programas que van a servir de ahora en adelante como el marco de programación presupuestaria y operativa, el Programa estratégico “P01/Sub-Programa 08”: Consolidación del Sistema de Información para la gestión (SIGE). Un grupo de trabajo, integrado por el DG de Planeamiento Educativo, el DG de Informática y expertos en el campo de sistemas de información, estadísticas y cartografía e indicadores de la calidad de la educación dominicana ha sido constituido para diseñar este SIGE con la meta de haberlo finalizado y presentado el diseño LOGICO Y ARQUITECTURA FISICA DEL SIGE para validación a las autoridades de la SEE antes de fines de 2007.”

JAR 2008: see I.2.4.5

Indicator 2.5.4: Existence of teacher qualification system

The quality of teachers is at the heart of the overall quality of an educational system, and “...the quality of the educational system will never be higher than the quality of its teachers ...” (Informe McKinsey 2007). Teacher qualification has been a major concern in DR policies for the (primary) education sector (see Ten-Year Plan and Strategic Plan) as well as of EC support (see ATI Informe final). As a result, the Draft Country Note (see quote below) notes that teacher performance has increased considerably. At the same time, all documents consulted (see abstracts below) and interviews held point out that overall quality of education is still low, partly due to a lack of well performing teachers (where not only their formal qualification plays a role).

Teachers used to be educated at Normal Schools, nowadays they are prepared at university or in one of the 5 *Institutos Superiores de Formación Docente Salomé Ureña* (now up to 90% is prepared here or in university). There is a Vice-Ministry in charge of technical-pedagogical issues of teaching (at all 3 levels), but NOT of the teaching of teachers themselves. The *Instituto Nacional de Formación y Capacitación del Magisterio* (INAFOCAM) is the institute responsible for teacher training policy and quality control, but the preparation of teachers is not evaluated: universities have autonomy by law and it is difficult to intervene directly from MinERD into the curriculum. The Vice Ministry mentions the existence of an evaluation plan of the performance of teachers, but results are “too contaminated”¹²⁰ and no certification system exists (talks on this are to start in 2011). MinERD recognizes the lack of quality in the (pedagogical) preparation of teachers. There is still a lack of qualified teachers.

Nowadays, teachers enter into office by competition, presenting their diplomas and making a test. Under contract, they receive a basic salary (RD\$12.500/shift according to the Ministry)¹²¹, increased by certain incentives for years on the job and actualization courses, diplomas etc. but these elements are not compulsory and there does not exist a teacher certification system. The highly politicized Teachers Union ADP is a strong player in the changes in the teacher qualification scene and it is quite impossible to fire a teacher. It is questioned by some if the teachers would pass national exams as their competences are low (ex. most do not have computer-based capacities (ICTs)).

Most teachers work double shifts, officially of 5 hours each, which in practice are not completed (2.5 hours). The campaign *1.000x1.000 Escuelas efectivas* was supposed to provide 1,000 hours of classes (per year) x 1,000 hours of quality teaching, but teachers reduce their hours in school which make quality of education suffer even more. In general, the afternoon (and the evening) shift admittedly render less (quality) results in national exams (*pruebas nacionales*, Newspaper HOY, 5/20/2011). And the common use of multi-grade classrooms is not contributing to quality either.

Resuming, there is no teacher qualification in place. The need of improvement of teacher performance is recognized by all (also in policy documents) as a priority for quality education, but specific actions towards this objective have not been reported. MinERD has little influence on teacher training at universities and institutes. Teachers are badly prepared and not motivated (low salaries, bad working conditions); there is no monitoring of their functioning. EC SBS has not had any significance in this

¹²⁰ The *Instituto Dominicano de Evaluación e Investigación de la Calidad Educativa IDEICE* is reported to have realized 2 evaluation of teacher performance, showing bad results.

¹²¹ This is also the average cost of the minimal living expenses basket for 1 person in this socio-economic segment of society, so a teacher, in order to maintain a family, needs to work at least a double shift.

regard. It would be recommendable to include a specific monitoring criterion (for variable disbursement) on this issue.

Data, sources, extracts:

OECD Education review DO 2008 p. 200: “As noted earlier in this report, the Dominican Republic has taken a number of major initiatives reflecting its interest in modernizing and reforming the education system. A declared aim of the < > and other reforms was to encourage students to engage critically, creatively and productively with the curricular content and to develop the values and skills to cope with the challenges of the contemporary world. Teachers were expected to be the key mediators to help students do this by new teaching methods and reflective practice.”

Draft Country Note DR. p. 25: “According to the Strategic Plan, quality in education has to be promoted by improving three fundamental elements: a) curriculum; and b) teacher’s capacity and capacity of all the actors involved in the education process. < > Teachers’ capacity: For the second strategic component the objectives are: a) attainment of capacity to teach effectively at the level for which teachers are formally recognized; b) an effective incentive system linked to performance evaluation; c) an adequate wage to allow teachers to attain a good standard of living and social status; d) actual completion of the school day and work performance compliant with ethical values.”

Ibid. p. 15: “According to SEE-MINERD data, almost 90% of the primary school teachers are qualified according to national standards.”

Ibid. 53: “**Weaknesses in the teaching profession** - Teacher training is a response to important demands and updating this was classed as a priority in the Ten-Year Plan, which proposed the establishment of a Training System and Development of Teachers in methodology and appropriate technology for the implementation and use of multimedia applied to education and to encourage creativity in their students. Law 66'97 General Education reaffirms this commitment to requiring each state to ensure training of superior teachers.

With the express intention of increasing the development and quality of Dominican education, and under the Ten-Year Plan, established in 1992, the Development Project of Primary Education (PRODEP) to train and provide normal updating of teachers in higher education (2 year degree partner) is still the same purpose with the service for the Professionalization of Teachers Bachelors (PPMB) and the Initial Training of Basic Education for Teachers (FIMEB) programmes for Masters in Supervision are developed with universities in Canada and the Dominican Republic.

As a result of these efforts, the Dominican Republic has improved teacher performance in classrooms, increased their abilities and their self-confidence and self-esteem, raising awareness of their role in society. In addition, teachers feel motivated to seek new knowledge and to be efficient in teaching and administrative work. It also highlights the improved relations between teachers and students, the democratization of the same, the use of new and a variety of participatory teaching strategies, the tendency to promote knowledge construction, participation of teachers and students in school management, improving the academic quality of teachers and frequent and meaningful relations between various educational centers.

Dominican teachers had an important participation in the formulation of the Plan Decenal de Educación as in the so called Comisiones de Construcción Curricular (CCC). Throughout the years, though this participation has been diminishing and needs some revitalization. Reasons differ according to the actors. For some, excessive centralization of policy making and policy implementation diminishes teacher participation and commitment with the reforms. Others consider that Asociación Dominicana de Profesores (ADP), the main teachers’ union, has been an obstacle to the improvement of the quality of education and learning improvements while struggling for better salaries and working conditions. The central government has not created spaces for teacher participation in policy and decision making: in fact, the Plan Estratégico de Desarrollo de la Educación 2002-2012 was not formulated by means of national consultations as the Plan Decenal was and its recommendations were disseminated through official publications. The fact is that the teaching profession continues to be unattractive to talented people and the living and working conditions of teachers are still difficult particularly in poor settings.”

Ibid. p. 55: “Teachers are trained at the best Dominican and foreign universities. Nonetheless there are no shared visions on what constitutes an adequate training or standards or descriptions of what teachers should learn during their training, nor references to the competences and skills they should have obtained at the end of this process. Profiles are defined on the bases of the curricular objectives at initial, primary and secondary levels.

This lack of standards makes it difficult to evaluate the quality and relevance of the teaching profession as well as the quality of the teachers being trained. An effort to develop and improve the teaching profession has been done within the framework of the activities of the Plan Decenal. Good practices in this area include the priority given in the Plan for the teaching profession and, particularly, the transformation of the Escuelas Normales into higher education organizations; higher education plans and programmes for teachers; postgraduate courses for school directors and managers; new curricula for teacher training and the establishment of an academic degree (licenciatura) as the entrance level for the profession.

A regional diagnosis of the Dominican Republic indicates that there are 46.173 teachers, of these 8,2% have a bachelors; 9,6% come from the Escuelas Normales, 45,0% have professional diplomas from the universities; 35,3% have graduate studies at the level of Licenciaturas; 1,1% have postgraduate studies and 0,7% have a Master's degree (Polanco, 2001:125/126).

One of the strategies implemented to strengthen the teaching profession has been the policies of in-service training. Teachers who are already working are offered the chance to update and develop their skills. Nonetheless, these policies do not have follow-up mechanisms neither are they linked to other incentives for the improvement of teachers and teaching in the classrooms. The Programa de Profesionalización de Maestros Bachilleres (PPMB) which the IDB supports; the Programa de Capacitación de Maestros y Maestros en Servicio with World Bank funding, under execution since the approval of the strategic plan for development of Dominican education are two examples of this.”

Ibid. p. 59: “Achieving good quality schooling has a direct relationship with investments in strengthening the teaching profession and evaluating teacher's performance institutionalises and improves the national assessment system; which could increase the instructional level as well as teacher's attendance at classes and the adequate use of teaching materials including NTICs.

The improvement of teacher selection and preparation is a policy option that should not be disregarded. It depends heavily on the quality of teachers and teaching. One strategy to address the shortage of good teachers is to open competition seats, so that all those can enter the system who wish to do so and meet their personal and professional goals of teaching or supervising at a school. However, although recruitment through competition is a new process, it is showing that many professionals with degrees in education are not adequately prepared for teaching. Therefore, the issue being raised is not only whether a teaching candidate has a degree in education or not, but if you have the right personality and the knowledge and skills to teach. No one can say in advance that the education graduate is better prepared than other professionals. In that sense, in the coming year's professional qualifications will become the mechanism to support professionals from different disciplines, inside and outside the system, in preparing to participate in the processes of competition and the related certification.

Various options experienced in Central American countries with a similar level of educational development could be helpful in the Dominican Republic. These include accreditation exams of in service teachers; non-monetary incentives for higher effective hours of work; monitoring and supervision of teacher's; empowerment of school directors and parents to hire and fire and monitor teacher's performance.”

*Jan 2009 p. 12: Poor investment in the sector has brought about deficiencies in the **quality of teaching staff**, short school days (75% of the prescribed time)¹²², overcrowding, double and even triple school shifts in one day (morning, afternoon and evening), multi-tasking of school staff and scarce and inadequate infrastructure. Given this, the quality of the education system, when compared to other countries in the region, is at a serious disadvantage. The Second Regional Comparative and Explanatory Study (SERCE) 2008, which evaluated the performance of students in 3rd and 6th grade, showed that the Dominican Republic ranks one of the worst of 16 Latin American and Caribbean countries in mathematics, reading, writing and science.*

*In order to tackle this situation and with the aim of achieving a deep long term reform of the educational system, the State Secretariat of Education has drafted the **Ten-Year Education Plan 2008-2018**. This Plan has four main lines of action: (i) educational centers at the heart of the system; (ii) revision and reformulation of the teacher training policy; (iii) compliance with the school year and timetable; and (iv) continuous and systematic investment in education, in accordance with the State's budgetary planning. The Plan is based on an Education Management Strategic Plan 2008-2012, which includes indicators and investment goals for the period (part seven). This kick-starts a process of design and approval of a 'financial framework', with the corresponding financial implications of its*

¹²² Gallup Poll survey “Use of time in the Dominican school”.

implementation for the whole decade, and which is to be approved by the Secretariat of Finance in coherence with the National Development Strategy which should be handed to congress in the last quarter of 2009.”

JAR 2008 p. 5: *“In education, progress was made in tackling the problems of quality of education, efficiency of the education system, school infrastructure and teacher quality, but a lot remains to be done. According to UNESCO, the Dominican Republic is one of the Latin American and Caribbean countries that will not meet the Millennium Goals in education owing to its poor quality education and low adult literacy rates. However, the Government is optimistic and is making efforts to alter this perception. An important success story in 2008 was the agreement on a new ten-year plan (2008-201) comprising the following strategies:” < including reform of teacher training >*

ATI Informe Final 2009 p. 51: *“Se recomienda que una de las responsabilidades específicas de los directores generales y de departamentos del Área Pedagógica sea identificar las necesidades y demandas reales de formación continua del personal técnico y administrativo con el que trabajan, así como la de gestionar las pertinentes modalidades de dicha formación con el INAFOCAM, el ISFODOSU, las universidades dominicanas y con otras instituciones del país y de otros países que tengan buenas prácticas de formación continua, por medio de diversas modalidades. < > Recomendación: Avanzar en la definición de un estatuto de carrera docente, ajustado a la Ley No4108, Ley de Función Pública, que deje claras las reglas en que se van a mover los maestros, desde su ingreso (por concurso, con criterios y procesos bien definidos), hasta su jubilación (también con reglas y procesos claros), que haga claros los deberes (de lealtad, de asiduidad, de responsabilidad, etc.), pero también las regalías (formación, vacaciones, faltas y licencias, promociones y progresiones, etc.), tiempo semanal de trabajo (definición del número de horas lectivas y no lectivas y sus reglamentaciones), sistema de evaluación del desempeño, sistema disciplinar, tablas salariales uniformes para cada nivel de enseñanza, etc.”*

Plan Estratégico de la Gestión Educativa 2008-2012, p.35: “

Componente 2. Magisterio Comprometido: formación y atención permanentes (Política 6 PDE)

Fundamentación: El magisterio hace la diferencia, por consiguiente, mejorar las condiciones en las que realiza su labor, como las competencias y el acompañamiento para que su trabajo sea digno y reconocido por la sociedad, requiere de la atención prioritaria de la Secretaría en el cuidado de su formación y capacitación. (Política No. 6 del PDE)

Alcance conceptual: Los sistemas educativos con mejor desempeño del mundo han sido capaces de lograr cuatro conceptos fundamentales: i) “La calidad de un sistema educativo tiene como techo la calidad de sus docentes”; ii) “La única manera de mejorar es mejorando la manera en que los docentes enseñan”; iii) “Alto rendimiento requiere que cada niño tenga éxito.”; y iv) “Toda escuela necesita un gran líder”.

Se debe tener claro que el o la docente son “Factor Determinante” por excelencia del proceso educativo; todo lo demás puede influir sin llegar a determinar tanto como lo hace un docente.

En la actual sociedad de la información del conocimiento el o la docente tienen retos impostergables en función de su eficiencia y desempeño; en el documento de reciente publicación: “Efectividad del desempeño docente. Una reseña de la literatura internacional y su relevancia para mejorar la educación en América Latina” (Barbara C. Hunt, Marzo, 2009), se delimita el concepto de eficiencia docente en los siguientes términos: el conjunto de características, competencias y conductas de los docentes en todos los niveles educativos que permitan a los estudiantes alcanzar los resultados deseados, que pueden incluir el logro de los objetivos de aprendizajes específicos, además de objetivos más amplios como la capacidad para resolver problemas, pensar críticamente, trabajar colaborativamente y transformarse en ciudadanos efectivos.

“End quote.

Metas educativas 2021: p. 116 “3. Metas 2021 y Plan de la Educación Dominicana - El Plan Decenal de la Educación Dominicana 2008-2018 plantea la evaluación como un elemento clave para lograr la

política de calidad. En ese sentido, existe una congruencia entre la política nacional y las Metas 2021 promovidas por la OEI. Se han seleccionado las metas y las políticas relacionadas con el tema de evaluación. El siguiente cuadro muestra la articulación de las mismas: < > Para poder responder a estas grandes metas desde una visión integral y sistémica, se asume un modelo de evaluación que abarque los aspectos principales vinculados con la calidad educativa. Un modelo integral debe incluir el contexto, los insumos, los procesos y los productos.

Para ello debe considerar las siguientes evaluaciones:

- Evaluación del aprendizaje de los estudiantes.
- Evaluación de los docentes.
- Evaluación de los centros educativos. < >

Meta general novena: Fortalecer la profesión docente.

Política 6. Priorizar la formación de recursos humanos de altas calificaciones para el sector educativo y promover la permanencia y crecimiento profesional del personal ya contratado.

Ibid. p. 151: "2. La profesionalización docente - En la República Dominicana la carrera docente ha sido estructurada, en lo formal, como un sistema integral. Han sido establecidas normas y procedimientos para el ingreso, permanencia, promoción y egreso de quienes ejercen la profesión, tanto en el sector público como en el privado. El Reglamento del Estatuto Docente del Ministerio de Educación define la "función docente" como las actividades que desarrollan los profesionales de la educación para la docencia y gestión curricular; así como las actividades de planificación, coordinación, facilitación y evaluación relacionadas directamente con el diseño y desarrollo de los procesos educativos y la eficiente administración de los recursos implicados.

La necesidad de vincular, en la práctica, el Estatuto de la Carrera Docente a un Programa de Desarrollo Profesional ha sido expresada de manera reiterada en el ámbito educativo dominicano desde hace más de una década. Se aboga por un modelo donde la formación inicial, la inducción y la formación continua se constituyan en un itinerario común para todos los docentes del Sistema."

"3.1 Plan para la reformulación de la formación docente - Para concretar los programas referidos a la formación docente, y en un esfuerzo coordinado por ambos Ministerios, se ha diseñado y está en ejecución el "Plan Reformulación de la Formación Docente", con la participación activa de las instituciones de educación superior (IES) dominicanas responsables de la formación de los profesionales de la Educación. Como parte del referido Plan se ha constituido una Comisión Interinstitucional, que inició sus trabajos en el año 2009, contándose ya con Comisiones Curriculares en las veinte IES con programas de formación vigentes, las cuales trabajan en la revisión y rediseño de sus currículos.

La citada Comisión ha realizado algunas recomendaciones, sustentadas en un ponderado análisis de estudios, propuestas y experiencias nacionales e internacionales que indican el marco de políticas a ser establecido. Las coincidencias de metas que evidencia el análisis de concordancia realizado por la Oficina de la OEI en el país ha posibilitado el desarrollo de un trabajo articulado entre la referida Comisión y la Mesa de Trabajo responsable del tema, las cuales se presentan a continuación.

Los Planes Decenales, 2008-2018, formulados por el Ministerio de Educación y la Ministerio de Educación Superior, Ciencia y Tecnología contemplan políticas, líneas estratégicas, programas y proyectos específicos, abordando la problemática educativa en convergencia con las políticas nacionales."

Ibid. p. 159: "Programa estratégico 2: Establecimiento de un Sistema Nacional de Acreditación de Profesores y Carrera Académica en la Educación Superior."

"Plan Estratégico de la Gestión Educativa 2008-2012 Ministerio de Educación, ME - Priorizar la formación de recursos humanos de altas calificaciones para el sector educativo y promover la permanencia y el crecimiento profesional del personal ya contratado."

Ibid. p. 169: "En este sentido, en el texto Plan Decenal de Educación 2008-2018, elaborado por el Ministerio de Educación (ME) de la República Dominicana, la comisión redactora de las políticas educativas enfatizó en la No. 4 el establecimiento de "claros estándares de calidad" (p.69) y estableció indicadores:

Indicator 2.5.5: Existence of national exams (end terms)

In the DR primary education system, national exams (*pruebas nacionales*) are held at the end of Grade 4¹²³ (end of first cycle) and grade 8 (end of second cycle/primary school). These exams are to be considered as end terms, regulated by law and decree of the National Education Council (2004), according to the Dir. Gral of Evaluation and Control of Education Quality of MinERD. In grade 8, the national exams make up 30% (30 points out of 100) of the students' final score for being admitted to Secondary Education, the other 70% is made up of school notes during the last years. As a result, although the average score of national exams is only 16.8 (out of 30), students almost always are promoted on the basis of their school notes, which are not nationally evaluable. This procedure rests importance to the national exams (which according to some can even be bought in the streets).

Furthermore, the Dominican Republic, together with other countries of Latin America and the Caribbean and the help of UNESCO and Llece (Laboratorio Latinoamericano de Evaluación de la Calidad de la Educación), implements since 2006 regular tests on student performance accordance to international standards. The results of these tests are also broadly used for analysis, programming of reform policy (Ten-Year Plan), evaluation etc. The DR also tried to enter the OECD Programme for International Students Assessment PISA during PAPSE 1, but was not yet ready for it,

Overall, national exams tend to have higher scores than the international tests. Also it is commonly recognized that national exams have not shown improvement over the last twelve years (1998-2010), although from 2009 to 2010 scores have improved (one of the criteria for variable tranche disbursement of EC's SBS). Average score was (out of 100) 55.63 on Spanish language (decrease), 55.8 on mathematics, 56.13 on Social Sciences and 56.1 on Nature Sciences, for an overall of 55.92 (corresponding to the above mentioned 16.8 weight in final evaluation).

Data, sources, extracts:

Delegation's Disbursement Report PAPSE – 4th Variable Tranche 2010, p.16: “

Chronic poor investment in the education sector has brought about deficiencies in the learning levels in the Dominican Republic. The quality of the education system, when compared to other countries in the region, is at a serious disadvantage, as evidenced by international studies. Thus, the country scored an average of 415.6 (base-1000) in Maths and 421.5 in Reading in the latest OREALC/UNESCO test for students in 6th grade. The National Exams show normally higher results than the international studies; likewise, secondary education shows higher results than primary education: 2005 national average for secondary education was 53.15 and for 2007, 56.98. Historic data seems to be consistent with the baseline level for our indicator. The Ministry's Annual Report 2009 indicates higher rate of approved students in Spanish (57.4%), then in Sciences (49.2% -Social- and 45.21%

¹²³ At the moment of field visit, these exams were being developed with TA support of IDB on a representative sample level, as a diagnosis without implications for the students. National exams also exist at the end of Secondary School.

Table 17: National average of general exams 8th grade (1998-2010)

Promedios Nacionales en la Prueba General de 8vo. Grado del Nivel Básico 1998-2010				
Años	Lengua Española	Matemática	Ciencias Sociales	Ciencias de la Naturaleza
1998	68,33	54,33	60,33	67
1999	71,67	72,67	66,33	58
2000	61	52,67	52	56,33
2001	72,33	60,67	57	51,33
2002	64,33	56,33	55,67	55,67
2003	63,33	53,33	61,67	60,33
2004	62,67	58,67	57,33	58,33
2005	58,67	57	48,67	53,67
2006	65,67	53	49,67	52,67
2007	53,67	53,67	54,67	51
2008	53	45	54	47,33
2009	57,2	41,07,	49,17	41,8
2010	55,63	55,8	56,13	56,1

Source: MinERD Annual Report, 2010

End quote.

Table 18: Comparison of Scholastic Results in Science, Math and Reading in Various LA countries

CUADRO 19 COMPARACIÓN DE LOS RESULTADOS ESCOLARES EN 6° GRADO DE PRIMARIA

Diferencia respecto a la media regional	Matemática	Lectura	Ciencias
Mayor que la media a más de una desviación estándar	Cuba		Cuba
Mayor que la media a menos de una desviación estándar de distancia	Argentina, Chile, Costa Rica, México, Uruguay y Nuevo León	Costa Rica, Cuba, Brasil, Chile, Colombia, México, Uruguay y Nuevo León	Uruguay y Nuevo León
Igual a la media regional	Brasil, Colombia y Perú	Argentina	Colombia
Menor que la media a menos de una desviación estándar de distancia	Ecuador, El Salvador, Guatemala, Nicaragua, Panamá, Paraguay y República Dominicana	Ecuador, El Salvador, Guatemala, Nicaragua, Panamá, Paraguay, Perú y República Dominicana	Argentina, El Salvador, Panamá, Paraguay, Perú y República Dominicana

Source: Segundo estudio regional comparative y explicativo SERCE, Los aprendizajes de los estudiantes de América Latina y el Caribe 2008, p. 49

GoDR Documento base de la propuesta de estrategia nacional de desarrollo 2010-2030 un viaje de transformación hacia un país mejor p. 57: "los resultados de las Pruebas Nacionales, aplicadas

anualmente a los estudiantes de educación básica y media para medir el conocimiento con respecto al currículo oficial, muestran que el país queda rezagado con respecto a sus propios estándares”.

Informe de seguimiento a las políticas públicas educativas en el marco del programa de apoyo a la política sectorial p. 4: “*Pruebas Nacionales 2007 – 2008: Promedio Lengua Española: 49.67% Lengua Española: -de Pruebas Matemáticas: 46.04% Ciencias Sociales: 54.52% -Ciencias de la Nat: 49.81%”*

Draft Country Note DR p. 16-17: “*By increasing resources and supporting the Education system at the higher level, EC support has helped produce improvements in the outcomes of most policies, except in quality results (average marks in national exams), illiteracy (slight increase) and financing (lower than planned¹²⁴).*

Improved core learning achievements - The SERCE¹²⁵ Second Comparative and Explanatory Study on student's performance in Mathematics, Spanish and Sciences shows the following results:

Concluding, the position of the country among the countries considered is very low and the study shows a very low level of mastery of the learning process by Dominican students.

The issue of quality is also of specific relevance to the EC SBS mechanism: A negative result of the forthcoming (July-September 2010) National Trials is likely to affect the disbursement of the forthcoming tranches of SBS and the decision-making process about PAPSE II.¹²⁶ This means that the planning of the SBS considered learning achievement as an important element of the programme, with specific indicators highlighting this importance such as:

- *Average final marks in 4th grade;*
- *Average final marks in 8th grade;*
- *Students per section.*

The EC has made an effort, mainly through the Technical Assistance of PAPSE, through design and testing with the main stakeholders of several systems and tools aimed at improving the effectiveness of the education problem and by this way, its contribution to the dissemination of basic skills. (It has to be noted that PAPSE TA has started in 2007 and the SERCE results are from 2006.)

PAPSE contributed to:

- *The formulation of the Ten Year Plan 2008-2018;*
- *Laying the basis for Curriculum Innovation;*
- *Laying the basis of the National Supervision System.*

These interventions have been made at central level but now the way is paved and PAPSE II will have to move towards the grassroots school level in order to improve the quality of the teaching-learning process.”

Reviews of National Policies for Education: Dominican Republic, OECD 2008 p. 49: “*The performance of eight-grade student taking the national exams at the primary level and the 3rd cycle of adult formal and non-formal education, as well as in the fourth year of secondary education, can be considered inadequate. According to the figures of the national examinations report corresponding to the last six years (1999-2005), the average scores of grade 8 pupils at the primary level in the four subject matters assessed fall generally below the passing grade (65), except in Spanish language, mathematics and social sciences (1999). The same pattern is found in the third cycle. Average figures for 2005 are low in Spanish (53.7), maths (50.1) and social sciences (52.1). The lowest average in natural science was 49.1% (2000). In non-formal adult education, the results are the same. The percentages for 2005 are: Spanish (55.3); maths (49.6); social sciences (51.8) and natural sciences (51.1).”*

Table 3.7 p.51: “*Fourth-grade pupils' averages in Spanish by competency: Communication (42.71); Intellectual (27.99); Linguistic (24.46); Average (31.72).”*

Informe sobre Desarrollo Humano Republica Dominicana 2008, Human Empowerment Index by regions p.51: “*Average qualification in national exams, primary school (2002-2006): North: 56,5; Metropolitan: 58,8; South: 58,0; East: 57,1; Total: 57,6.”*

¹²⁴ The analysis of the 2009 Budget shows that the function education amounts to 11.6% of the total Budget; of this, just 77% corresponds to the Ministry of Education, the rest corresponding to other 13 government departments with education activities.

¹²⁵ LLECE- Segundo Estudio Regional Comparativo y Explicativo (SERCE) 2006.

¹²⁶ Accountability and value for money are “must” for the EC and the EC taxpayers financial resources invested in Education should show positive results.

Human Development Report, Dominican Republic 2008 p.38: “National examinations scores are generally low, and there is not much difference across provinces. The highest average between 2002 and 2006 corresponds to the province of Independencia, with 64 points out of 100.”

Indicator 2.5.6: Improved pupil/teacher ratio in poorest/most disadvantaged areas of the country

The Educational Centers Management System (SGCE) mentioned before gives information on number of educational centers, sections and students. Globally there are 21 students per section (or class) in primary education (23.7 in public schools). According to several sources consulted during the field visit, the average number of students per aula is 58. As indicator for PAPSE 1, % of schools with 40 students/section was applied (35 for PAPSE 2). In interviews an average of >40 is mentioned, and the school visited during the field phase, being a semi-public church-related school and hosting approx. 35 students per classroom, was obliged by the Ministry to amplify to >40.

Improvement is surely the case when comparing the available data over years. However, little information is available on the ratio in poorer/more disadvantaged areas: the SGCE does not cross-reference region with poverty index.¹²⁷ The Ministry of Planning and Development in its September 12 comments proposed that the “clasificación de escuelas por zonas ubicadas” could provide an estimate. We agree that this is a possibility but the evaluation team did not obtain this data. Moreover, the idea is that the analysis should be made by the GoDR.

On the performance in poorer/less developed regions of the recent country, a study by the former Vice Minister of Planning of MinERD (Valerio 2011) reveals that students enter the education system independently of poverty level and their average scores are only slightly below national average, but finalizing is more difficult to the poor (more fall-out). More notorious are differences between urban and rural metrics: there is more literacy and years of schooling in urban areas. The same indicators are more advantageous amongst girls than amongst boys. The conclusion is that socio-economic factors do not explain the (bad) results of the education system; these indicate efficiency problems in the overall service delivery of the educational system (Valerio 2011).

The numbers mentioned below are not official and somewhat contradictory.

Data, sources, extracts:

Draft Country Note DR p. 15: “The pupil teacher ratio is quite high: In Primary Education (Nivel Básico) this rate stands at 33.7 and in Secondary (Nivel Medio) it stands at an even worse level: 43.3.

The pupil-teacher ratio could not be retrieved but a proxy is available: The Section / Classroom ratio is 1.86 in Primary Education and 2.10 in Secondary. This means that in the majority of the classrooms there are multiple shifts. Considering that the situation in rural schools is worse, in such schools triple shifts are frequently used (a night shift is used). Moreover, considering that most of the schools are not served by electrical power, we can deduct that either education is imparted in absolutely non-appropriate conditions or the duration of education is reduced and once there is no solar light the school closes.

The average duration of education in DR is 2.5 hours per day, meaning that on average 50% of school time is lost due to preliminary operations, breaks, cleaning of classrooms, etc.¹²⁸

UNESCO http://www.childinfo.org/files/LAC_Dominican_Republic.pdf: “Dominican Republic pupil-teacher ratio 2006:

preschool= 25,8

primary school= 22,5

secondary school= 24,3

The pupil-teacher ratio improved in 2008 in primary school from 22.5 to 20 (World Development Indicators 2010).”

Reviews of National Policies for Education: Dominican Republic, OECD 2008 p.45: “Another noteworthy aspect is the ratio of students to teaching staff. As can be observed in the table, from 2002 to 2005 the ratio registered an improvement: in 2002-2003 in primary school was 26.3, in 2003-2004

¹²⁷ In 2008, the EUD considered achievement on INDICATOR 10: Application of new working conditions (single shift) to 50% of BE 1st grade teachers and 30% of BE 2^o grade teachers for 2008-2009, inadequate (Disbursement Calculation Table).

¹²⁸ Source PEGE 2008-2012 School Management Plan.

reached 25.7 and in 2004-2005 decreased to 24.6. Whereas the ratio in secondary school was in 2002-2003 28.6, in 2003-2004 29.3 and in 2004-2005 27.9.”

Indicator 2.5.7: Increased ratio of qualified teachers in poorest/most disadvantaged areas or the country

First of all, the number of teachers that are qualified according to the law has increased, but as was explained before (I 2.5.4) there is no guarantee that qualified teachers are capable of performing well their task of educating the youngsters at primary school. Number and quality of teachers has been amply analyzed and annotated, and has been given due priority attention on the different education development plans of DR, as can be appreciated in the abstracts below. The qualification of teachers is one of the policies of the Ten-Year Plan and therefore subject to EC budget support (as is the inclusion of disadvantaged areas), however, from the documents available, no evidence on a specific project/intervention on (numbers of) teachers has been obtained. On the other hand, both IDB and WB seem to have been more explicitly involved in support to marginal areas. For the 3rd fixed SBS disbursement in 2008, **INDICATOR 1: "Re-engineering" of the structure of the SEE with new roles and responsibilities at all levels (central, regional and district) approved by National Council of Education**”, was considered only partial to satisfactory.

As mentioned before, the SGCE does not provide data for regions classified according to poverty rate. Contribution of EC budget support will be difficult to establish where both WB and IDB have been more directly engaged in support to primary education in these areas and, there has not been a focus on vulnerable groups in the (SBS) support to Education sector (B Bravo interview KV December 2010), notwithstanding overall EC policy. Note: refer to I 2.5.6 for a proposal by the GoDR to use a proxy indicator.

Data, sources, extracts:

Draft Country Note DR footnote on p. 16: *“This is in sharp contrast to the Multiphase Programme for Equality in Basic Education funded by the IDB: It is based on rural education, access and equality in marginal areas, improvement of the education management and a fund for innovations in education. Under this programme 136 schools have been built, most of them in rural and isolated areas and in marginalized communities where schooling opportunities were very scarce before.”*

Ibid. p. 49: *“On similar bases, the Programa Multifase para la Equidad de la Educación Básica (Primary level Multi phase for equity Program) is part of the Strategic Plan and was initiated by 2005 under the auspices of the Inter-American Development Bank (IDB). Its target population is children living under conditions of poverty and child labor. One of its components is a project called Mejora de la equidad educativa en áreas urbano-marginal, which aims at reducing educational disparities among middle sector urban schools and schools in poor urban settings with high rates of repetition and drop-outs. As such, it includes workshops to enhance learning outcomes for boys and girls with low educational attainment (1st to 4th grades) and workshops to accelerate learning processes. Last, but not least, the programme Fortalecimiento de la Educación para la Diversidad aims at creating conditions to include all children in the schools and develops the concept of escuelas inclusivas (Inclusive Schools) to cope with the educational needs of different social and cultural groups. < > Educando (Educational Website from Dominican Government) and Aula Virtual, are two strategies to provide relevant information and teaching materials to teachers and other actors. Both use ICTs as delivery mechanisms and created websites that offer on-line courses and specific materials online. It is prepared by the MINERD, implementing innovative and dynamic forms of education specifically focused on teachers, through training, consulting and constant updating of information. It is a non-formal strategy to support teachers and teaching but is not considered a modality of in-service teacher training and does not give them certificates to teach.”*

Ibid. p. 51: *“Throughout application it has been evident that teachers seldom plan their classes according to the orientations in the new curricula; pedagogy continues to be based upon mnemonic and passive teaching methods; teachers have little or no management of teaching and learning strategies to develop new contents in first and second grades; they do not manage the curricular approaches well in the different areas and have limited command of mathematics and Spanish contents (Zaiter J., et.al. Cambia la Escuela).*

A curriculum review claimed that science and technology requires that the content of science and technology in teacher training programmes be reviewed. As the teacher is the main protagonist in the claims of science and technology in the classroom, regular training programmes for teachers must be available to master those essential skills for working with their students. These programmes must ensure that each teacher is able to handle ICT, both in the classroom and administrative tasks associated with the classroom.

In order to answer society claims for curricular changes, the MINERD proposed a new curriculum with three components: 1) education system and society, 2) levels and areas and 3) classroom and actual prescribed curriculum, educational levels; transverse axes, among others. This is aimed to the creation of a teaching team-high-level curricular review and updates it with a focus on skills (curriculum alignment, books, standards-achievements). Also, development of Standards, teaching guides and didactic, design and publication of educational materials to the curriculum and standards set by competition, the integration of early education to basic education, emphasizing the teaching of language (reading and writing) and the teaching of Mathematics are being promoted. Teachers are preparing teaching guidelines for the use of materials contained in the digital media libraries according to grade, subject and theme, and creating the Dominican Network of Learning and distance learning and training in the use of materials. Finally, educational practices with their indicators of achievement for active learning with TV and video promote curricular coherence at different levels (Beginner, Intermediate and Middle) and integrate curriculum update training programs and training to define the profile of teachers and in line with the indicators.”

Indicator 2.5.8: Existence of an org. structure and additional permanent resources (financial, human, physical) that indicate that new service levels are likely to remain

The government of the DR is clearly engaged in the formulation and implementation of sustainable development plans, like the National Development Strategy (NDS, in process), the Ten-Year Plan and the Plan Estratégico 2008-2012 for the education sector. In these plans, sustainability is mainly related to the quality (improvement) of education. At the same time, the EC has looked for ways to promote and support sustainability in education development by way of its SBS (and former project support).

However, there is no clear evidence on the existence of permanent resources that may guarantee the sustainability of the new services, nor on the existence of the corresponding organizational structure. The financial resources to make service levels sustainable are lacking (see I.2.5.1) and other sustainability measures, apart from trainings on budgetary and M&E issues are not mentioned in the reports available so far. At the same time it is clear that financial measures (more funding by way of fiscal reform) alone are not enough, and even less so when this increase is absorbed by higher salaries for teachers, or more bureaucracy. And as far as the structure is in place, the organizational culture has not changed in the same direction, as clientelism and personalism are still prominently present, according to several informants. For real sustainability, more efforts should be displayed in the preparation, management and evaluation of human resources, above all at teacher level, and the Ministry has to become more functional. According to the Planning Department of MinERD, the main obstacles to sustainability are at the political and pedagogical levels, politicization of the Ministry being a threat to its efficiency.

Lately, there are some positive signs, according to the president of EDUCA (Diario Libre 5/18/2011), in the sense that the government is improving the reliability of the data it presents, is looking for public-private alliances and the role of the National Education Council as ruling entity, is reconfirmed.

Overall, the focus of EC SBS on education policy can be regarded as an element of sustainability, which can be corroborated at policy level. Systems and procedures (EMIS, M&E) have improved somewhat and/or are in development, while physical resources (at school level) are still deficient. At the human resources level, MinERD functionaries are reported to have been trained but there still has to be done a lot of work, as management is obsolete and suffering from discontinuities at the middle level staff. Adherence to the Administrative Career could help here.¹²⁹

Data, sources, extracts:

Draft Country Note DR p. 3: “Support Programme to Sector Policy in Education (Programa de Apoyo Presupuestario Sectorial para la Educación - PAPSE) (DO/002/03rev) EDFIX, with a budget of €48.2m. The objective of the programme is to improve access for all to basic education of recognized and sustainable quality while developing the efficiency and

¹²⁹ Ley 41-08, MAP, but no funding attributed to its implementation.

effectiveness of the Sector conceived as a multi-institutional system, closely related to the national efforts of social and economic development.”

Ibid. p. 20: “contributing to the effective implementation of the Government's strategies concerning Sustainable Development and specific health and education sector policy targets by providing additional resources and an increased focus through variable tranches.”

Ibid. p. 31: Moreover, the sectoral effort is coordinated with the implementation of the Government's strategies concerning sustainable development.”

Ibid. p. 50: “As in the rest of Latin America, the sustainability of the policies to ensure good quality learning is still weak in the Dominican Republic. Particularly quality schooling for all, boys and girls, is one of the persistent problems in basic education considering that access has been relatively guaranteed for boys and girls of school age.”

Ibid. p. 78: **“Project Objectives:**

The general objective of the Sector Budget Support Programme is to fight poverty, to contribute to a more equitable society and to sustainable development. This is fully aligned with the Second Strategic Axis of the draft National Development Strategy.”

Ibid. p. 79: **“Project objectives:**

The overall objective of the Budget Support is to enable the Government of the Dominican Republic to implement its Sustainable Development policies and strategies thereby reducing poverty, in an effective, efficient and transparent way. In order to achieve this objective, there are three purposes:

- Improved macroeconomic stability:
- Increased effectiveness, efficiency and transparency in the use of public funds enhancing the capacity of Government to comply with (social) spending and investment plans:
- Increased means of GoDR to implement its Sustainable Development investment strategy (Millennium Goals), particularly for the health and education sectors:”

Data on the achievement of MDGs and Education for All (EFA) targets for DR: -Investing in the Sustainable Development of the Dominican Republic: Millennium Development Goals (MDGs) Needs Assessment: see I.2.5.2.

1.3. EQ3: To what extent has the EC-provided Budget Support improved (or is likely to improve) the poverty-reduction focus of the GoDR public budget?

JC 3.1: GBS has contributed to increase the proportion of total national budgets that are being allocated to key MDG sectors

Overall analysis of JC 3.1

The introduction of GBS has not increased the percentage of total national budgets spent on poverty reduction over the evaluation period.

In large part the problem for the analysis of this EQ has been one of data access in disaggregated form. The table below identifies the percentage of the national budgets that have been allocated to three key poverty-reduction sectors (health, education and gender. These data are taken directly from the national Budgets that are presented to the GoDR Congress.

Table 19: Percentage of DR National Budgets Allocated to key Poverty-related Sectors (in millions)

Budgetary Programmes	2003	2004	2005	2006	2007	2008	2009
Education	10,900	11,800	16,600	18,000	23,000	27,000	26,400
As a % of total GC	13%	11%	14%	12%	14%	14%	12%
Public Health	7,100	8,800	17,300	18,000	20,000	27,000	30,800
As a % of total GC	9%	8%	14%	12%	13%	14%	14%
Status of Women	186	195	180	226	207	327	217
As a % of total GC	0.22%	0.18%	0.15%	0.15%	0.13%	0.17%	0.10%
Total Gastos Corrientes GC)	83,000	108,000	122,000	146,000	160,000	192,000	217,000

Notes

1. Annual budgets are taken from the Annual Budget Laws of the DR. "Ley ...que aprueba el Presupuesto de Ingresos y Ley de Gastos Públicos para el año XYYY"
2. Ending in 2003, total budgets (gastos corrientes) for each government programme were calculated in two parts: the annual budgets and the external financing. A total is provided
3. For all the calculations, the "Gastos Coorrientes Totales" were used
4. For the sake of simplicity, figures have been rounded

Source: Individual Parliamentary Budget Laws from 2003 to 2009. For link: <http://www.digepres.gob.do/LinkClick.aspx?fileticket=MUr3tpGZlYY%3d&tabid=78&mid=446>

Table compiled by authors of this evaluation report

Notwithstanding the table, the evaluation team found that the overly aggregated data may be misleading and was not necessarily analytically appropriate since the team could not identify the poverty-reduction portion of the individual line-item (organisationally-organised) budgets from all else. In fact, it was concerned that any increase in total budgets could be the result of shifts towards activities and programmes that have nothing to do with poverty reduction, such as (the hypothetical examples of) paying higher salaries to teachers and administrators or increasing spending in better-off urban facilities. However, these data are the most accurate available at this time and form the basis of our findings: a) Education, Health and Status of Women's budgets have not increased as a percentage of total budgets since pre-GBS days; b) In absolute terms, the total amount of money going to these three sectors has increased.

In analysing the entire budget documents, it was noted that the national budgets that are allocated to social programmes (key MDG) are not all allocated to social sector ministries so

that merely looking at their budgets could provide an inaccurate answer. Capital costs, for example, are not all allocated to these ministries. Second, the proportion of GBS within the national budget (all donors) is less than 4%, and all of that is not allocated to social programmes, ensuring that changes are not likely to be easily attributable to any factor including budget increases. In fact, sensitive monitoring systems should have been set up to measure not only the marginal increases in social-related budgets due to budget support, but to measure as well the leveraging effects on the national budget that these funds could generate. Third, while the education and health ministries provide updates to many MDG indicators (a reflection of performance), they (or any other relevant ministries) do not indicate the extent to which these “MDG improvements” are the result of increased or re-allocated budgets or, for example, internal efficiencies or changes in data definitions or capture. (I 3.1.1)

What is known is that the DR has had a poor record of spending in social programmes at the national level compared to other countries, and that the level of spending in those sectors, expressed as a percentage of GDP, is diminishing in comparison to Latin America and the Caribbean (as a percentage of the GDP). The situation for education is even more dramatic: in the latter part of the decade spending as a % of GDP in that sector is lower than it was at some periods in the 1990's, that is, before GBS was introduced. In that context, any significant investment made by the DR in social programmes could, and indeed should be viewed as a normal process of catch-up (compared to regional and Latin American levels), and not as a result of leveraging from the international community through budget support. (I 3.1.2)

There is essentially no evidence to support the contention that the GoDR is putting in place mechanisms to ensure that any increases in public spending in social sectors will remain sustainable. In fact, excluding MTEF and similar mechanisms, there is evidence that shows that there is lack of interest in putting sensitive monitoring and analytical mechanisms in place (or, at the very least, a lack of observable actions to that effect). (I 3.1.3)

Analysis of indicators

Indicator 3.1.1: Real increases in the levels of national budgets allocated to target sectors

Overall, the evaluation team was not able to identify any data sets that were disaggregated enough to show any evolution (increase or decrease) of national budget amounts to the key social sectors in the Dominican Republic. A thorough search of UN, World Bank, LAC and other external sources indicated a severe lack of data concerning the DR, and the official GoDR budget we obtained on official web sites was overly aggregated. While some gross national figures of budgets were found (mostly at the ministerial or secretarial level), they could not be adjusted to extrapolate the effects of increases in demography or from increases in revenue due to internal (as opposed to externally-financed) effects. It should also be noted that as recently as 2008, a report prepared for the EC noted that

“In two of the last three years, the actual primary expenditure, excluding external financing, deviated from the original budget by more than 20%”¹³⁰

The same report also noted that the GoDR's budget and expenditure miscalculations were not due to shortfalls in projected revenues.¹³¹ In view of these two observations, it would not be appropriate to develop a finding on the allocation of national budgets to target sectors at least until after 2007. The World Bank data bases¹³² indicate that the expenses of the DR as a percentage of GDP has not increased in the 2006-2008 period (15%), while the “goods and services expenses” portion of the GoDR budget has increased slightly from 17% in 2006 to 19% in 2008), indicating that a slightly larger share of the national budget is being allocated to the “Purchase” of goods and services.

¹³⁰ “Dominican Republic Public Financial Management Performance Report- Final report”, ECORYS, 2008 p. 31.

¹³¹ Ibid, p. 33.

¹³² <http://databank.worldbank.org/ddp/html->

[jsp/QuickViewReport.jsp?RowAxis=WDI_Ctry~&ColAxis=WDI_Time~&PageAxis=WDI_Series~&PageAxisCaption=Series~&RowAxisCaption=Country~&ColAxisCaption=Time~&NEW_REPORT_SCALE=1&NEW_REPORT_PRECISION=0&newReport=yes&IS_REPORT_IN_REFRESH_MODE=true&IS_CODE_REQUIRED=0&COMMA_SEP=true](http://databank.worldbank.org/ddp/html-jsp/QuickViewReport.jsp?RowAxis=WDI_Ctry~&ColAxis=WDI_Time~&PageAxis=WDI_Series~&PageAxisCaption=Series~&RowAxisCaption=Country~&ColAxisCaption=Time~&NEW_REPORT_SCALE=1&NEW_REPORT_PRECISION=0&newReport=yes&IS_REPORT_IN_REFRESH_MODE=true&IS_CODE_REQUIRED=0&COMMA_SEP=true)

The fact that the proportion of GBS from all donors in the national budget (and not only in social sectors) is less than 4% (see data further in this EQ) indicates that attributing increases within and between any programme agency (ex. secretariat or ministry) to a GBS will be statistically irrelevant unless it can be shown, for example, that an overt decision was made by the GoDR to allocate the majority of the increase in the level of budgets (at least equivalent to the amount of the GBS and hopefully leveraged with national funds) to specific expenditures. In this case, it was not yet possible to identify where the increases in budget levels (related to target sectors) occurred. A 1997 report dealt with percentages of total budgets, not amounts. It showed a positive trend in education but a negative or neutral trend in Health, Welfare and Water and sanitation in the 2004-2006 period. **It can be concluded that not only is the total share of national budgets going to MDG related expenditures not rising, but that the total share of GBS funding going to MDG-related expenditures is also not rising.**

Table 20: Execution of GBS by Function and by Sector as a percentage of total expenditure 2004-2006

Table 3 Execution of General Budget by Function and Sector (As a percentage of total expenditure)

	2004	2005	2006
General services	18,2%	19,4%	16,5%
General government administration	10,6%	7,0%	8,2%
Defense, public order and justice	6,3%	7,5%	7,2%
Other general services	1,3%	4,9%	1,1%
Social services	40,8%	37,9%	41,9%
Education	8,3%	9,1%	9,9%
Sport and recreation, cultural and religious services	1,2%	1,8%	1,4%
Health	6,8%	7,3%	7,3%
Welfare	9,2%	7,3%	8,1%
Housing and urban planning	1,3%	1,1%	2,6%
Potable water and sewage	5,7%	2,1%	2,0%
Municipal services	4,6%	4,9%	6,0%
Social security	3,8%	4,4%	4,6%
Economic services	16,0%	24,9%	19,7%
Public debt interest and expenditure	9,7%	5,3%	6,3%
Environment protection	0,6%	0,6%	0,4%
Others	14,7%	11,9%	15,2%

Sources: Budget execution reports (2004 and 2005) and data on budget execution supplied by SST (2004-2006).

The sector that seems to have the most prolific and detailed reporting overall is education, but even those reports are difficult to analyze because they are mostly performance-based (ex. number of children of a particular gender attending school in a particular district). Our analysis has shown that over the past decade, the proportion of GDP spent on education has fluctuated widely (see EQ2 for a detailed account of education spending). In the education sector, a high share of resources is allocated to recurrent expenditure, so it is not possible, from existing publications, to see if any real increase in service delivery or quality of service is happening.¹³³

It is interesting to note that even though a key strategy being sought by the EC in the use of the GBS modality is the additionality it affords for budgets in MDG-related sectors, there is not a word mentioned in the Joint Annual Reviews of the increases in sector budgets that have been put into place.

Part of the analysis for this indicator involved understanding the structure and process of national budgeting in the DR. The GoDR has a number of steps that are followed in the budget process. The following table, copied from a European Parliament Report on the accountability issues surrounding

¹³³ As recent as November 11, 2009, nine reknown educational organizations, defending the rise of the national budget, in accordance with the *Plan Decenal de Educación 2008-2018*, published a communiqué pointing out (in par. 2) "El país sigue apareciendo como uno de los que menos invierten en educación en América Latina y el Caribe. Todas las comparaciones internacionales (Unesco, CEPAL, Foro Económico Mundial, PNUD, Cuenta de Desafío del Milenio, PREAL, entre otras) han destacado sistemáticamente el bajo nivel de educación en el país. En los informes del PREAL de Progreso Educativo, el país continúa sacando una nota D (DEFICIENTE) en el tema de la inversión pública en educación. Por ello no es fortuito que también en otras comparaciones internacionales, el país siga saliendo con las peores calificaciones en términos de calidad educativa, no solo a nivel regional, sino también mundial".

GBS¹³⁴, outlines them. It is interesting to note that many of the steps do not result in published documents (it is important to note that the term “published” means that it is released from the GoDR. It does not mean that it is widely available via mass media). Overall, those that ARE published contain information at highly aggregated levels. The “adequacy” column in the table below indicates the regularity and the comprehensiveness of the information, and not the quality of the document. Only the “Enacted Budget” and the “In-year Reports” received a good grade, likely because they are linked to the financing and accounting functions that are the heart of public accounting and macroeconomic management.

Table 21: *Information in Public Budget Documents*

Adequacy & Availability of Eight Key Budget Document status		
Pre-Budget Statement	E	Produced, Not Published
Executive's Budget Proposal	E	Produced, Not Published
Enacted Budget	A	Published
Citizens Budget	E	Not Produced
In-Year Reports	B	Published
Mid-Year Review	E	Not Produced
Year-End Report	C	Published
Audit Report	D	Published

Source: own presentation

An **Executive's Budget Proposal** is the government's most important policy instrument. It presents the ways the government plans to raise revenues and where these funds are allocated, thus transforming policy goals into action. In the Dominican Republic, the budget proposal is produced for internal purposes, but it is not made public.

A **Pre-Budget Statement** sets forth the broad parameters that will define the government's forthcoming budget. The Dominican Republic produces a Pre-Budget Statement, but it is not made public.

An **Enacted Budget** becomes a country's law and provides the baseline information for all budget analyses conducted during the budget year. In general terms, the Enacted Budget should provide data the public can use to assess the government's stated policy priorities and hold it to account. The Dominican Republic publishes a comprehensive Enacted Budget.

A **Citizens Budget** is a nontechnical presentation of a government's budget that is intended to enable the public — including those who are not familiar with public finance — to understand a government's plans. The Dominican Republic does not produce a Citizens Budget.

In-Year Reports provide a snapshot of the budget's effects during the budget year. They allow for comparisons with the Enacted Budget figures and thus can facilitate adjustments. The Dominican Republic publishes fairly comprehensive In-Year Reports.

A **Mid-Year Review** provides a comprehensive overview of the budget's effects at the midpoint of a budget year and discusses any changes in economic assumptions that affect approved budget policies. Information in this report allows the government, legislature, and the public to identify whether or not adjustments related to revenues, expenditures, or borrowing should be made for the remainder of the budget year. The Dominican Republic does not produce a Mid-Year Review.

A **Year-End Report** compares the actual budget execution to the Enacted Budget. The Year-End Report can inform policymakers on tax policies, debt requirements, and major expenditure priorities, thus facilitating adjustments for upcoming budget years. The

¹³⁴ "Monitoring Budget Support In Developing Countries: A comparative analysis of national control mechanisms over budget support in developing countries", EXPO/B/DEVE/FWC/2009-01/Lot5/03 July 2010.

Dominican Republic publishes a Year-End Report, but it is insufficiently comprehensive. The Year-End Report does not make reference to macroeconomic predictions, and not all actual outcomes in the Year-End Report are audited.

An Audit Report is an evaluation of the government's accounts by the country's supreme audit institution (SAI). It reports whether the government has raised revenues and spent national revenue in line with the authorized budget, whether the government's bookkeeping is balanced and accurate, and whether there were problems in the management of public funds. The Dominican Republic publishes an Audit Report, but it is far from comprehensive.

As noted above, there are published reports that show that social spending in the DR has been a small part of the national budget even though, as some reports point out, during the past fifteen years the DR has had at least two important periods of very impressive economic growth. For example:

“Nonetheless, this rapid economic expansion sharply contrasts with the Dominican Republic's poor relative standing in social spending. In spite of recent improvements, this country has one of the worst records in Latin America in per capita and GDP terms. By the year 2001 and after almost a decade of vigorous economic growth, social spending in Dominican Republic was equivalent to 7.6% of GDP, basically half the Latin American average of 13.6%. Similarly, per capita social spending of US\$170 was less than one-third of the regional average of US\$540.”¹³⁵

It should be noted that the figures for 2007 are proportionately worse than those reported in the preceding paragraph. In that year, the Dominican Republic spent about 8.1% of its GDP in areas covered by human development indicators, far below regional figures (the average for the region was approximately 18%)¹³⁶. In fact, social spending in the DR has gone from representing 56% of the Latin American average in that domain to less than 45% of the LA average and this in spite of being a middle income country and 'one of the strongest economies in the region' according to the World Bank.

A recent study by the European Parliament's Directorate General for External Policies¹³⁷ found that, for the Dominican Republic:

Table 22: *KEY indicators of importance of GBS in National Budgets*

Indicator	Note	Finding
GDP	1	US\$6,706
Extreme Poverty	2	5%
ODA		US\$391m
Budget support	3	US\$183m
Budget support's share of ODA		47%
Budget support's share of the national budget		3.4% (revised by authors to reduce effects of non-operations items)

Notes:

1. Per capita, power purchase parity method
2. Poverty line set at US\$1.25 per day
3. in 2008

Source: UNDP Human Development report 2009, OECD 2008 survey on Monitoring the Paris Declaration

The following extracts are also relevant to this indicator:

“Similarly the World Bank report on Educational Performance in the Caribbean (2003) shows that Dominican Republic is among the worst performers in essentially every single indicator. Dominican Republic has the highest number of out-of-school teenagers in the Caribbean with the lowest level of spending on education as a percentage of GDP. One reason cited for high

¹³⁵ Suki, L. And Vial, J., "Meeting the Millennium Development Goals in the Dominican Republic: Identifying Critical Areas for Policy Action" Colombia University publication, p. 3.

¹³⁶ IBID ECLAC 2010 p.65.

¹³⁷ "Monitoring Budget Support In Developing Countries: A comparative analysis of national control mechanisms over budget support in developing countries", EXPO/B/DEVE/FWC/2009-01/Lot5/03 July 2010.

drop-out levels is that continuing to pursue education is not perceived as a good investment”¹³⁸

Perhaps part of the reason for the lower level of public spending is that the DR has not always had access to important support (in terms of grants) from the international donor/IFI community. GBS in poorer countries tends to be reserved or at least allocated to social spending. The DR is not in a position to receive those types of funds. The following recent quote is relevant:

“At 0.5% of GNI, Dominican Republic receives substantially less than average development assistance relative to other small islands. The value predicted by the regression is 6.3 percent. Because of the Dominican Republic’s impressive record of high sustained growth and its classification as a middle income country, its access to official development assistance has been limited in the late 1990s. For instance, annual net transfers from the World Bank were negative from 1985 to 1998, and have averaged only US\$12m since 1999. Nonetheless, the country still suffers from social ills and institutional weaknesses that would benefit from technical assistance and other forms international aid in line with shortcomings that have been addressed in the paper thus far (e.g. public health, poverty, nutrition, etc.).”¹³⁹

It is important to note that it is quite possible that the EC has access to information concerning the detailed allocation of funds to specific budget lines that is not generally available. For example, in order to manage the mutually-accountable aspects of the EC-DR partnership, the monitoring system for EDF9 GBS contains two indicators that refer to “Health Budget Allocation and Education Budget Allocation”; one EC report noted that the NAO provided information that was rejected by the EC based, ostensibly, on better information.

Indicator 3.1.2: Correlation between funds added to GoDR national budget and those allocated to social sectors

Note: This indicator was combined with 3.1.1. The main reason is the lack of disaggregated data in published media.

Indicator 3.1.3: Existence of a strategy to render the resource levels sustainable over the long term

The evaluation team has not found any official (i.e. governmental) document that even directly refers to this topic, at least from the perspective of the national government of the DR per se.

A key problem at this juncture is that the “resource levels” that are attributed to sectors are spread out over many departments within the GoDR. Capital costs for the construction of infrastructures, for example, so not necessarily come out of the operations budgets of social sector ministries but out of Public Works and Communications.

Finally, and to illustrate the difficulty of obtaining relevant data on this indicator, one of the GoDR’s key budget-related documents, the annual “Estado de Recaudación e Inversión de las Rentas” does not contain the information necessary for this indicator. The data there is at a ministerial level and, where the budget for the ministry responsible for education is concerned, contains errors. For example, the 2007 report notes that the original appropriation was 1,912,733,300 while the revised figures (actual appropriation) were 1,768,060,906, leaving a variance of 1,163,682,666. The latter figure should have been 144,672,394, a very significant difference.

An EC evaluation report¹⁴⁰ notes that sustainability is questioned largely due to the perception of complexity in financing: “Evidentemente, la sostenibilidad del PAIGFP estaría en gran parte garantizada, si a diferencia de lo que ha ocurrido hasta ahora y gracias entre otros a la implementación y uso de nuevas herramientas de programación, monitoreo y evaluación ... el Programa es capaz de gestionar efectiva y oportunamente los recursos de que dispone, pues actualmente hay un descontento generalizado en los beneficiarios por la “capacidad”, muy relacionada con la estabilidad, certeza y complejidad de los procedimientos para tramitar y aprobar los documentos. Estas dificultades, respecto de la facilidad de los procesos en las cooperaciones del BID y BIRF ocasionan una natural

¹³⁸ IBID, p. 14.

¹³⁹ OECD Country statistical Report 2006 (Dominican Republic).

¹⁴⁰ Evaluación de Medio Término del Programa de Apoyo a la Gestión de las Finanzas Públicas Febrero 2009.

desmotivación ante el PAIGFP, en la medida que existen otras fuentes de financiamiento disponible.”¹⁴¹

We were not able to find any documents that specifically addressed the extent to which the presumed higher levels of budgets in MDG-related sectors were going to be maintained, or the mechanisms in place to provide that assurance. What is clear is that the GoDR has put forth its position that it needs a considerable amount of external funding in order to meet MDG targets. Logically then, if the funds available through the GBS were to stop, the GoDR would find it very difficult to maintain the higher levels. On the other hand, considering that all GBS represents less than 4% of national budget, the sustainability issue is not really a financial issue but a political one.

The letter dated 6 July 2009 from the EC to the NAO concerning the GBS 9 ACP DO 017 FA 9526 provides a further indication of the possible risk to sustainability. In it, the EC notes that it is collaborating with IFI such as the IMF and the WB to develop the PFM, and that the success of the GBS (through the disbursement approvals) will be measured in terms of the success of the PFM. What is interesting is that the success of the GBS is not being determined by the success of the social programmes it seeks to support or by the resource-base sustainability of the equivalent of the GBS funding in those target areas. The SBS in education, however, is in place to do precisely that, and our research has shown that overall, the education sector is improving in terms of overall performance. (refer to EQ 2)

¹⁴¹ IBID p. 40.

JC 3.2: The policy domains monitored by the EC are consistent with its strategic response outlined in the CSP and are the core of its policy dialogue on poverty-reduction with GoDR.

Overall analysis of JC 3.2

There are few genuine policy dialogue mechanisms that are formalized between the EC and the GoDR. However, the EC appears to be satisfied with its frameworks for political dialogue. Policy dialogue is mostly concerned with technical issues and is undertaken almost exclusively with the executive and public service agencies and not with other democratic institutions, civil society or NSAs. The current sector policy monitoring systems are not robust enough to form the backbone of policy dialogue.

A detailed report on GBS was undertaken by the European Parliament on GBS in the Dominican Republic. It found that the EC's focus on PFM and PFM reform is clear and often takes center stage in GBS-related policy dialogue. This is reflected by the fact that indicators of the Performance Assessment Frameworks (PAFs) targeting the improvement of PFM during the evaluation period took center stage and appear to minimize other accountability and dialogue mechanisms such as those with parliament, the free press or civil society. The same report also found that the EC assessment of national control mechanisms was deficient, thus impacting on accountability and the nature of policy dialogue itself. In fact, The Dominican Republic did not have a formal results-based PAF in place yet, however, a framework for GBS provision called 'Financial Agreement of GBS for poverty reduction' was agreed on in 2005. The first four indicators of the EC "Financial Agreement of GBS in poverty reduction 2005", are intended to measure PFM performance but there does not appear to be a direct link between these indicators and the political dialogue process.

Only the most recent JARs refer to policy and political dialogue and even then it is at a high level and is descriptive in terms of process, not content. One can conclude, however, that the political dialogue in the DR is formal and structured but is quite recent, and that policy dialogue takes place at technical levels where decision-making is not going to take place. In both of these forms of dialogue, however, the topics discussed relate to the overall strategies outlined in the CSP, but how effective those discussions are cannot be determined from a document-based research effort. A recent EC document noted however, that current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners.

In terms of budget support, a series of relevant indicators with targets are created as part of the financial agreement and must be reported against by the NAO in order to obtain requested disbursements. These constitute a very detailed monitoring framework that refer directly to the focal sectors in the CSP, but are most often concerned with technical improvements and not policy per se.

With respect to the monitoring of policy domains by the EC, the indicators in this JC as well as under JC 3.3 indicate that the EC relies largely on the monitoring framework provided for the MDGs and on the detailed policy monitoring within PRM and related issues that are carried out by the IMF and the World Bank. Overall, the information provided appears to be more than adequate for detailed policy dialogue on poverty reduction.

Analysis of Indicators

IMPORTANT METHODOLOGICAL NOTE: the reader will note that the statements of the EQ, JC and indicators in EQ 3 refer to policy dialogue which has been understood by the evaluation team to mean a formal process, as has been made explicit in various EC documents that are referred to in the following sub-sections. While the evaluation found that "formal policy dialogue" was weak, it also confirmed that the EUD had, for years, been very active in informal "dialogue" processes that have made a real difference in the progress that

has been achieved in a number of areas. Interviews with stakeholders (donors, NAO office, ministries, NSA and EUD in particular) have provided a picture of an EUD that has been a critical factor in keeping Haiti-DR joint approaches to development active. Interviewees noted that the context for formal policy dialogue within the DR likely made it urgent for the EUD to find other, less formal mechanisms. The EUD has also had a significant effect, according to the interviews, on the opinions of elected officials and public officers on the importance of finding workable solutions to social issues such as the welfare of illegal Haitian immigrants, human rights legislation, competitiveness processes and others. The senior members of the EUD are noted as often providing a venue and an opportunity for key individuals to discuss their often quite diverse perspectives. These types of “dialogue” are not documented, but the evaluation team has concluded that the perceptions of the interviewees are convergent.

The analysis that follows should be understood in that context.

Indicator 3.2.1: Existence of poverty-reduction policy dialogue mechanisms that operate as planned at a policy level

The EC Guidelines on the Programming, Design & Management of General Budget Support define three eligibility criteria for providing budget support to developing countries:

- (i) a well-defined national policy and strategy is in place or under implementation,
- (ii) a stability-oriented macroeconomic policy is in place or under implementation, and
- (iii) a credible and relevant programme to improve public financial management is in place or under implementation¹⁴²

The Guidelines also note that the EC uses a dynamic interpretation of the eligibility criteria, leading to a case-by-case approach without absolute ‘thresholds’ and no certain static minimum conditions for all three eligibility criteria¹⁴³. The third criteria targeting PFM is of particular interest for this evaluation. The EC Guidelines specify that the assessment of the quality of the PFM system should be based on the ‘Public Financial Management – Performance Measurement Framework’ (PFM-PFM) of the Public Expenditure and Financial Accountability (PEFA) initiative, as the EC’s favored tool of choice. In that context, section F of the Measurement Framework on ‘External scrutiny and audit’ is particularly relevant because it is stated that an assessment of the PFM reform process should be carried out.

The key issue that needs to be examined under this JC and indicator is the nature of the relationship that is created or influenced by the use of GBS and the strategies that are used to create and manage that relationship. The European Parliament report found that for the Dominican Republic, the EC’s decisions to initiate, or continue, budget support programmes were largely influenced the practice of the EC to use GBS wherever possible as a default position and by the examination of national control mechanisms to provide some form of risk management. Its analysis also drew on the importance that other donors were attaching to PFM assessment and reform, including the assessment of budgetary, accounting and procurement systems and the capacity of related organizations such as the Supreme Audit Institute (SAI) of the country, the Chamber of Accounts (CoA).

According to the European Parliament’s 2010 report, the EC’s focus on PFM and PFM reform is clear and often takes center stage in the dialogue concerning GBS. This is reflected by the fact that indicators of the Performance Assessment Frameworks (PAFs) targeting the improvement of PFM take center stage and appear to sidestep other accountability and dialogue mechanisms such as those with parliament, the free press or civil society. “Having said this, it is also obvious that within PFM the budgetary oversight role of parliament is clearly neglected in the PAFs ...”

The vision of accountability in the European Parliament report is clearly focused on democratic institutions, as should be expected from such an organization. But the point

¹⁴² European Commission (2007): “Guidelines on the Programming, Design & Management of General Budget Support”, Tools and Methods Series, Guidelines No.1, AIDCO DEV RELEX.

¹⁴³ IBID pp. 29-31.

raised is a valid one for this evaluation, and begs the question” what dialogue should be maintained with the democratic institutions and what would be the baseline for the dialogue” GBS modalities are generally based on a thorough understanding of the sectors addressed. In the case of education and health (and some other MDG-related sectors) there is ample information for a performance baseline. In the case of PFM and related domains, a comprehensive ex ante analysis is required to establish baselines and norms or standards. The universally-agreed upon norm is PEFA, and a PEFA assessment was conducted in the Dominican Republic at some stage during the EC budget support process but was not made prior to the introduction of budget support. In addition, the fact that parliaments and SAs scored badly did not seem to have any influence on the decision to provide or deny budget support.”¹⁴⁴ The research team further noted that the “EC justifies this by stressing the dynamic approach, the importance of the reform agenda in the DR and the expectation that budget support will strengthen these institutions. Also, it noted that parliament and other non-executive bodies did not systematically take part in policy dialogue or the annual reviews of budget support, the main reasons given being (i) that this is the mandate of the executive and (ii) the limited capacity of parliament (their closeness to the executive as well as technical capacities) undermines the usefulness of such an inclusion”¹⁴⁵.

“Overall, the EC assessment of national control mechanisms is deficient. Already in the guidelines, the definition given falls short of including parliament, the SAI, civil society and its information source the press. The EC Guidelines state that:

“Internal control systems deal with every key aspect of PFM: management of the chain of expenditures, personnel, accounting and reporting, assets...”¹⁴⁶ and again, “There is no assessment of actors of vertical accountability, which reflects the neglect of control mechanisms outside horizontal accountability. In addition, donor focus is largely on government institutions and, increasingly, the SAI, whereas parliament and civil society actors are insufficiently assessed or taken account of”¹⁴⁷.

The matter for policy dialogue in the case of GBS is generally linked to the domains covered by the budget support in question and the framework of GBS conditionality is usually agreed upon in a so-called Performance Assessment Framework (PAF) which forms the backbone for monitoring developing partner performance. In the case of the Dominican Republic, a pro-governance and transparency legal and institutional framework, along with a continuing PFM reform process are the main national control mechanisms that donors assess in order to continue budget support. This assessment looks at the macro perspective rather than at a detailed analysis of institutional and budget performance. PFM is, since 1996, in a profound reform process there and is a top donor priority (as set up in their respective country strategies). International donors such as the EC, IMF, Inter-American Development Bank (IDB), WB, UNDP and others have supported these reforms, as part of their conditions attached to their cooperation and policy dialogue with DR.

The Dominican Republic does not have a results-based PAF in place yet, however, a framework for GBS provision called ‘Financial Agreement of GBS for poverty reduction’ was agreed on in 2005. The first four indicators of the EC “Financial Agreement of GBS in poverty reduction 2005”, are intended to measure PFM performance: (i) strategic planning and the implementation of the strategy for ethics, prevention and sanction of corruption by the government accounting, (ii) legal reform, including the introduction of the organic budget law, (iii) procurement and (iv) public service reform, with 15% weight each (60% in total).

As noted previously, a PEFA was conducted at some point in the budget support process in the Dominican Republic; the EU Delegation is therefore prioritizing the analysis of the PFM using PEFA. The first assessment was conducted in 2007 by external consultants and an

¹⁴⁴ IBID p. 23.

¹⁴⁵ IBID, p. 23.

¹⁴⁶ “European Commission (2007): Guidelines on the Programming, Design & Management of General Budget Support”, Tools and Methods Series, Guidelines No.1, AIDCO DEV RELEX. P. 68.

¹⁴⁷ IBID p. 26-28.

auto-PEFA was conducted by Dominican Republic government officials in 2009. Key indicators such as legislative oversight (ex-ante and ex-post), internal audits and the performance of the CoA all scored extremely low in the auto-PEFA (D).

“It is interesting to note that EC guidelines state that there is no automatic link between the PEFA assessment scores and eligibility for budget support. This can be traced back to the dynamic interpretation of eligibility criteria, the emphasis placed on the political will of governments to reform PFM systems and to the design and implementation of the reforms. In addition, the EC expects that budget support will ultimately strengthen these institutions. In the Cotonou Agreement, on the other hand, Article 61 (2) states that “direct budgetary assistance [...] shall be granted where (a) public expenditure management is sufficiently transparent, accountable, and effective.” However the dynamic approach of eligibility criteria focuses more on the direction of change and reform than on actual transparency, accountability and effectiveness. The assessment of and decisions on whether PFM systems are too weak to provide budget support are not easily accessible and are done on a case-by-case basis.

While PEFA has gained more importance in the assessment of PFM, the most important policy instrument to guide PFM reform in the case of budget support remains the policy dialogue and the PAF. In addition, PEFA's focus is generally limited to technical aspects of PFM and not to the accountability of national institutions. The European Court of Auditors has raised concerns, albeit with a sharper focus on PFM and to a lesser extent on the role of parliaments or SAIs. Their criticism is on the need to further formalize and structure the assessment of PFM and on the as yet insufficient distribution of the monitoring of the progress made in PFM.

Fiduciary risk assessment: Since GBS funding is fungible, fiduciary risk assessment is crucial to identify and evaluate the risk of corruption and misuse of aid. The EC Guidelines state that “the Commission manages the risks associated with budget support by having conditions associated with the preparation and implementation of budget support programmes¹⁴⁸. Thus, the conditionality applied and the use of a fixed and a variable tranche are key aspects of the EC risk management¹⁴⁹. Nonetheless, it is striking that in the EC Guidelines neither ‘fiduciary risk’ nor ‘fiduciary risk assessment’ is directly addressed and its management outlined.”¹⁵⁰ The evaluation team did not find a document that indicates that risk management generally, and fiduciary risk specifically, was part of any policy dialogue.

“In the **Dominican Republic**, since the recovery from the 2003/2004 crisis, macroeconomic indicators such as gross domestic product (GDP) growth, inflation, debt, fiscal balances, international reserves ratios or foreign direct investment (FDI) have been a guarantee of donor ODA disbursements to the Dominican Republic. The EC, however, stopped the disbursement of budget support in 2008, officially due to insufficient attention of the government to the macroeconomic situation but also likely because the EC felt that the GoDR was not paying enough attention to EC conditions and disbursement criteria. However, the policy dialogue and the approach of the government of the Dominican Republic have since improved and were assessed positively by the EU Delegation”.¹⁵¹ Our hypothesis is that part of the reason for the “Improvement “in the dialogue context is precisely the fact that the GBS focus is on such high-level management issues. What the evaluation was able to determine is that a precise list of topics, with follow-up, is not put on the agenda and managed over a longer period.

As evaluators, we would agree with the following statement contained in the fore-noted European Parliament report:

¹⁴⁸ IBID, p. 22.

¹⁴⁹ The Guidelines state that even if a PFM system is regarded as weak, this does not automatically exclude a beneficiary country from receiving budget support. Indeed, one of the objectives of budget support is to support the achievement of the goals of national policy and strategy by strengthening the PFM system through which such a policy and strategy is implemented (see EC 2007: 31).

¹⁵⁰ IBID p. 24-25.

¹⁵¹ P. 27.

“As stated in the methodology, for domestic accountability to improve in the long run, actors of vertical accountability must be included in the analysis of PFM. To rely solely on technical aspects of PFM will not necessarily improve domestic accountability. The EC Guidelines on the Programming, Design & Management of General Budget Support use an insufficient definition of internal control mechanisms: “Internal control systems deal with every key aspect of PFM: management of the chain of expenditures, personnel, accounting and reporting, assets...”¹⁵². Parliaments or SAIs are not explicitly or sufficiently taken into account. In addition, the importance of vertical accountability and the role of civil society actors are not taken into account in a systematic and formalized manner. This leads to a situation in which parliaments,

SAIs and actors of vertical accountability (including parliaments) are not adequately assessed before GBS is agreed upon.” (p. 29)¹⁵³

The EC distinguishes between general conditions which are related to the three eligibility criteria (with possible additional general conditions, for example, the availability of documents) and specific conditions which are normally related to performance criteria and indicators established in the focal areas of the GBS programme (result/outcome oriented conditions). Regarding national control mechanisms, the EC expects budget support and its conditionality, amongst other things, to (i) enhance coherence in planning and resource allocation, (ii) give greater scope for local parliamentary scrutiny, (iii) give a stake in improving PFM – for the whole budget and (iv) strengthen domestic accountability.

“Unlike many aid-dependent countries, donors have little room to influence budgetary composition in the Dominican Republic. Given the income level and the high capacity of the economy to generate the foreign exchange required to finance private and public investments, the government of the Dominican Republic is relatively independent of donor funding and the policy dialogue reflects this non-dependence.

The most important change in national control mechanisms clearly was the constitutional reform. However this was a rather endogenous process led by the President of the Dominican Republic and was not a result of donor intervention or conditionality. Nevertheless, budget support conditionality clearly helps stabilize the country's macroeconomic performance in the form of liquidity directly geared to the national treasury. Within this limited scope, donor focus on PFM reform is clear. (emphasis added by the authors).

The reform process began in 1996 with the objective of increasing transparency and accountability of the Dominican Republic's government and its institutions. The process was led by the government of the Dominican Republic and strongly pushed by donors such as the IMF, IDB, WB, EC, UNDP and others who have supported some of these reforms as part of their conditions attached to cooperation and the policy dialogue with the partner country (emphasis added by the authors). In 2006 the reform coordination bureau was introduced as a donor mechanism to monitor the reform process in cooperation with the executive and to provide a common basis for policy dialogue dealing with reform issues. In this context, donor budget support and conditionality are seen as very positive in the overall context of improving transparency and accountability in the budget process. Donors are strongly supporting PFM reforms in the executive's institutions, above all the Secretary of Economy, Planning and Development (SEPD) and other departments of the Secretary of Finance. Donors' mistrust of national control mechanisms such as the Congress, the CoA or the Comptroller General makes them concentrate more on their own control mechanisms such as performance indicators displayed across sectoral programmes, while hoping that the support given to PFM reform is a long-term investment that will produce the outcomes expected with a more transparent and accountable government (int.) The sum of donors' cooperation actions (technical and financial) is seen as a positive contribution to improve PFM by both

¹⁵² IBID p. 68.

¹⁵³ IBID p. 29.

government stakeholders and civil society (int.). The most visible success is the gradual improvement of transparency in public spending (int.). However, budget support in the Dominican Republic is still a new instrument, the effects of budget support as a concrete and single instrument of aid delivery with targeted and measurable results is still ambiguous and insignificant.”¹⁵⁴

The emphasis on the nature of GBS-related frameworks as a basis for policy dialogue has become more relevant to EC management in the DR, especially due to the introduction of a new constitution for the DR. Note the following:

“In the Dominican Republic, since 1966 the executive party has had the majority in parliament and has understood that it should passively approve whatever leaves the president’s office. Therefore, public resources are mainly utilized according to the executive’s formulation, execution and evaluation of expenditure and controls. A new constitution went into effect in January 2010, representing real progress in empowering the legislative in its oversight role within the budget process. However, due to the recent launch of the constitution, and the legacy of the passive and diminished role played by parliament, the legislative is not yet making use of its new constitutional powers, although some parliamentarians express restrained hope that this is likely to change in the future (int.).”¹⁵⁵

Finally, in terms of a policy dialogue between the GoDR, the EC and civil society, the European Parliament’s report noted that: “In the Dominican Republic, CSOs are increasingly becoming more interested in transparency and budgetary oversight. The Foro Ciudadano acts as the CSO platform in charge of these issues, however it lacks coordination and access to a wider public. A transparent and clear language to communicate effectively with the citizenship is needed, although great efforts and more participatory methods are being implemented. As a matter of internal transparency, the Legislative Information System (created in 2006) publishes all documents related to the budget. They are available to civil society at the recently created Access to Information Centre. Also, a center of representation of civil society at the CoD was created in 2007 where activities are coordinated by the PDU and ruled by a consultative council with representation by major CSOs. It acts as a platform for the discussion of ideas and exchange of information and must be considered a major step forward in enabling civil society participation. In addition, the CoA development strategy was designed with the collaboration of CSOs (Participación Ciudadana and Centro Montalvo) in consultative processes. In this same vein, the CoA will launch an Office of Information Access to increase one of its main goals, transparency. If executed well, this will be a huge step forward, given the low transparency and limited access to information within the budget process in the Dominican Republic.”¹⁵⁶ As will be noted in Indicator 3.2.2, the EC has begun to support initiatives to address the issues of dialogue involving civil society.

Indicator 3.2.2: Correlation between the strategies of the CSP and the agenda items discussed during formal policy dialogue meetings

The following, concerning the EC’s assessment of the extent to which the GoDR has involved the EC in a budget support-related political and policy dialogue on economic and fiscal issues, is an extract from an internal EC document dated July 2009 concerning the political/policy dialogue associated with GBS 9 ACP¹⁵⁷:

Compared to the rather timid performance against this condition in the context of the previous disbursement in June 2008, significant developments have taken place during end 2008 and 2009: closer cooperation with IMF in the context of the PPM review, presentation by DR government of economic, social situation and macroeconomic policy and first Cotonou political dialogue meeting in February 2009.

¹⁵⁴ IBID pp. 31-32.

¹⁵⁵ IBID

¹⁵⁶ IBID p. 21.

¹⁵⁷ Page 3.

The EC signed off indicating that the pre-defined condition for funding transfers had been met. The response provided to the NAO initially seemed to concern itself with the progress political/policy dialogue, but focuses on administrative process improvement (and not policy dialogue issues per se)¹⁵⁸:

Quisiera destacar la importancia y la necesidad de seguir profundizando en el diálogo político sobre la situación macroeconómica y la reforma de las finanzas públicas. En este contexto, valoramos positivamente el informe sobre la reforma de la administración financiera recibido del Secretario de Estado de Hacienda a comienzos de mayo 2009.

The preceding two extracts should be considered in parallel with the following description of the "Four conditionalities for payment of the financing agreement", as stipulated in a note to the Director of AIDCO dated 19 May 2009. Note the emphasis on "political" dialogue...

*The GoDR shall involve the EC in a budget support related **political dialogue on economic and fiscal policies**, through extending an invitation to participate in the Government's final de-briefing with IMF review missions, organising specific presentations and discussions on the processes of budget preparation, budget execution, sectoral and general development-related policies (beyond the bi-annual joint budget support reviews).*

During their first post-programme monitoring mission the IMF team did indeed meet with the EC Delegation and even provided it with an assessment letter on 8.12.2008 (attached). Furthermore a political dialogue on economic and fiscal policies was effectively launched in February 2009 with the first formal Cotonou agreement political meeting dialogue effectively took place on February 2009. At this occasion DR government the Minister of Economy and Planning did present to the EU Ambassadors DR the economic and social situation and did share information about DR macro-economic policy.

Finally the same Minister recently agreed to organise a meeting with DR major development partners IDB, EC, WB and UNDP to present them the status of preparation of the National Development Strategy which is in course of preparation.

From the preceding it can be observed that a briefing on the status of the development of a NDS, a meeting between the IMF (not with the GoDR), and a "formal Cotonou agreement political dialogue" would constitute acceptable political dialogue. There is no mention of any discussion of joint EC-GoDR strategies included in the CSP, nor is there any mention in the note to any policy dialogue (as opposed to political dialogue).

During a phone interview with a previous EUD coordinator for this evaluation, it was shared that there is no formal (EC-GoDR) documented long or mid-term strategy for policy dialogue (i.e. containing elements of content and the objectives to be achieved through the dialogue), nor is there an (internal-to-EC) long-term agenda for conducting policy dialogue other than through the technical discussions that take place concerning the GBS or Sector BS.

That being noted, the 2009 JAR goes to some length of describe progress achieved (any emphasis in the following text has been added by the Authors):

"Relations between EU Delegation and the Directorate-General for Multilateral Cooperation (DIGECO) are fluid. The context of EC development cooperation, where general and sector budgetary support are predominant, increases the need for a fluid **political** dialogue,

¹⁵⁸ Letter to NAO dated 6 July 2009 on 9 ACP DO 17; FA 9526/DO.

but also of technical exchanges in crucial areas such as poverty, macroeconomic policy, economic governance and public finances management. The coming into effect of an EPA with the region is another basis for developing a culture of comprehensive dialogue with the government.

Political dialogue between the EU and the Dominican authorities has a formal structure and requires some planning, in the framework of Article 8 of the Cotonou Agreement. During 2008, the EC conceived a strategy to strengthen this dialogue. A structure of formal high-level meetings every six months was decided upon, preceded by technical preparatory meetings. A first joint meeting between the EU Troika and the Secretary of State of Economic Affairs, Planning and Development, Temístocles Montás, produced a list of topics to be discussed at **the first formal political dialogue meeting, which took place in March 2009**. The Dominican presence was high-level: two Secretaries of State (Economic Affairs, Planning & Development and Foreign Affairs), several Undersecretaries (including Finance) and the National Authorizing Officer. Matters discussed were the global financial crisis and its impact on the country, as well as the implementation of the EPA (agenda item) and budgetary support (not on the agenda). **The challenge for subsequent meetings is to increase their relevance, addressing more sensitive subjects and those that could have a greater impact in the country's sustainable development, such as human and minority rights, gender equality, safety of foreign investment, etc.**

More generally, **institutional dialogue** between government representatives and donors is coordinated by the Directorate for International Cooperation of State Secretariat of Economic Affairs, Planning and Development, **taking place through sector meetings** organized by the government. These meetings and their follow-up are not as frequent as they could be: only those on education, competitiveness and public finances involve real sectoral dialogue with the government.

During 2009 and parallel to drawing up the National Development Strategy, the Dominican government has made important efforts to define an international cooperation policy in accordance with this strategy. The policy should be revealed in the last quarter of the year, and could be a welcome qualitative change in the dynamics of the dialogue on cooperation between the government and the international community.

Dialogue with civil society exists, although historically limited to the programming phase. In order to change this situation, the EU Delegation has developed the Support Program for Civil Society Initiatives (PRIL), which creates spaces for **more frequent and direct dialogue between civil society organizations and government authorities at local and national levels**. The EU Delegation is interested in supporting initiatives that build the capacity of Dominican civil society organizations as agents of change and development. In this line, the Delegation has requested funds to launch local calls for proposals under the thematic programs 'Non State Actors and Local Authorities in Development' and 'Human Rights' in 2010.

Other spaces for dialogue and collaboration are being opened in the areas of public finances and budget monitoring (accountability), as an outcome of the program of support to public finances. Also, in the framework of the mid-term review, two workshops were organized to involve the broad spectrum of civil society, and approximately 60 organizations took part. The resulting recommendations were recorded by one of the participants, and have been integrated into this document. Finally, as part of this consultation process, a space was opened in the EU Delegation's website for organizations to voice their opinions, although with limited success, as there was little interest in using this tool."¹⁵⁹

From this JAR 2009 extract, a number of observations can be made:

1. There is a considerable amount of overlap in the use of the terms that relate to dialogue: political, policy and institutional as well as a generic use that refers to

¹⁵⁹ JAR 2009, pp. 20-21.

- exchanges such as that described for civil society. The descriptors used essentially refer to the process and content and not the objectives of the dialogue.
2. Political dialogue in the DR context is formal and structured and is a lead-in or a venue for negotiation. There is very little evidence of political dialogue being a strategy for “ownership”. See below point 3
 3. Political dialogue takes place at high levels and occurred once (formally) during EDF9.
 4. Policy dialogue is technical and takes place at lower levels, mostly within technical sector committees.
 5. The policy and political dialogue seeks to address the strategic issues included in the CSP (notably poverty, sustainable development, sector issues in education and the role of civil society).

Based on the above, the evaluation found that “official policy dialogue” in the DR takes place mostly within a relatively short-term focus through committee structures (involving many donors). The EC would therefore have limited opportunity to FORMALLY dialogue bilaterally on policy except through technical cooperation initiatives and the occasional progress meetings.

Indicator 3.2.3: Level of participation of the expertise found in non-GBS interventions into the formulation of policy dialogue positions

Field research found that the EC had provided a number of TA in various sector interventions such as PFM and education, and had drawn on their field experience in order to monitor progress in the interventions. They were also called upon to propose areas for improvement and to suggest domains where the EUD could become involved at a dialogue level.

The evaluation team found documentation (mostly copies of emails) that document these exchanges.

JC 3.3: The GBS monitoring and performance frameworks in place enable the EC to respond quickly to evolving national needs and priorities and to incidences of poor performance by the GoDR or regional bodies (such as CARICOM) concerning GoDR policy dialogue commitments.

Overall analysis of JC 3.3

There is some flexibility in the GBS monitoring and performance frameworks that could enable it to respond to evolving national needs and priorities and to incidences of poor performance by the GoDR concerning its commitments on policy dialogue.

In terms of concluding on the existence of policy and performance monitoring frameworks that include coordination by all donors, the evaluation has brought forward the finding that donor coordination has been quite weak in the 9 years covered by the evaluation's scope and is only now beginning to get a little more organized.

The EC's JARs in 2008 and 2009 confirmed the analyses in the WB's CAS spanning the decade by noting that there was limited progress in the Dominican Republic in the implementation of the Paris Declaration principles – ownership, harmonization, alignment, mutual accountability and managing for results (both in 2008 and 2009). In that context the ability to maintain a coherent and coordinated policy dialogue was quite limited, especially if it is added that the Dominican government took on the role of coordination and scattered the mandate amongst several public institutions with the result that coordination is now unstructured and poorly done. In that context, it is quite difficult to come to a conclusion as to "what are" the evolving national needs. On the other hand, meetings identified potential powerful synergies between the European Commission and Member States in education, environment and bi-national cooperation (Dominican Republic and Haiti).

The EC has put in place indicators and a monitoring system for its budget support initiatives, and bases its disbursements of variable tranches largely (but not exclusively) on the basis of these indicators. Information concerning the monitoring of the indicators is fed to the EC through the NAO. These systems and monitoring frameworks appear to be robust and offer a means to motivate the GoDR to avoid non-performance.

A limited degree of flexibility to adapt has been integrated into the EC's response mechanisms. In terms of monitoring frameworks, the MDG exercise has resulted in detailed monitoring frameworks in the DR that are well established and that are updated regularly, if a little late. These frameworks, and the indicators and databases that are used to construct them, provide a comprehensive and valid policy monitoring framework, especially when complemented by information received through other technical cooperation initiatives. These various frameworks are closely scrutinized and published widely and the need for funding to meet targets is seen to be a lever against non-performance. There is some flexibility built into these frameworks, especially due to the funding modalities used (Multilateral agencies and NGOs).

What the JAR and other EC-based documents do not reveal, however, is the extent to which there are other policy and performance monitoring framework(s) used by various donors (such as those that might be used in sector committees), and the extent to which these are coordinated.

The ability of the EC or any independent observer to monitor the results chain associated with any GBS depends directly on the quality of the information provided by the systems and processes of the government involved. This, in turn, is directly dependent upon the quality of the Public Finance Management System. In the DR, PRM is undergoing a profound reform but will need a long time to finalize, if ever, even though the funding applied to it by the EC and other donors is important. In a related domain, the EU is sponsoring a project toward augmenting the fiscal policy capacity of information and analysis with the aims of increasing the participation of civil society and higher social expenditure. However, the effectiveness of such programmes is undermined by a lack of inclusivity and a limited ability to reach wider

targets

The evaluation team found that there is no “policy dialogue plan with specific targets” in place for the EC other than those that may be used by the two sector committees that are reported as working well¹⁶⁰. Its informal dialogue has been very active and should somehow be documented.

One issue that is relevant in the case of the DR is the extent to which the EC can exert some influence in setting or achieving new policy direction. The European Parliament’s report on GBS makes clear that the EC’s influence in policy dialogue in the DR is rather limited.

The EC has provided for a number of mechanisms that allow for rapidly evolving changes in national priorities to be met with appropriate EC responses: these include the MTR process, budget lines and the use of GBS.

Finally, the EC’s key strategic documents (CSPs, RSPs, etc.) and its risk reports provided annually to HQ by the EUD do not contain a risk analysis that is sufficiently detailed to enable decision-making related to the changes in the strategies or to the likelihood of success of the proposed strategies.

Analysis of Indicators

Indicator 3.3.1: Existence of a policy and performance monitoring framework that includes coordination by all donors

Historically, donor coordination in the DR has not been as effective as it could have been. The JARs of 2003, 2004 and 2005 do not explicitly mention the issue but the World Bank CAS 2003 identifies that formal donor coordination between donors (but not within donor families such as the Bretton Woods agencies and the UN family of agencies) that took place in the previous planning period (1998-2003) was essentially non-existent and what was done was informal and unstructured. The World Bank’s position in the 2005-2009 CAS was much more positive¹⁶¹:

62. Donors are increasingly making a concerted effort to move towards closer coordination and harmonization, particularly in the areas of including public sector modernization procurement, financial management and accountability, and education policy. During the preparation of this CAS, consultations have taken place with the donor community at large including presentation of the draft strategy, and there has been close coordination with the IDB, which is also preparing its assistance strategy.

The same CAS also notes that “All (the donors – added by Authors) have expressed their willingness to work with the government on a SWAp strategy”.¹⁶² The following paragraph from the 2005-2009 CAS is interesting because the EC is not mentioned at all.

¹⁶⁰ JAR 2009, p. 22.

¹⁶¹ World Bank Country Assistance Strategy, 2005-2009, p. 19.

¹⁶² IBID, p.19.

65. Since the beginning of the 2003 crisis, the World Bank, IDB and IMF have enhanced their coordination both in policy dialogue, and in their lending and analytical program. This was evidenced most recently at the IDB hosted *Encerrona* in October 2004, a high-level policy dialogue on the country's key development issues between Government and the three international financial institutions. Among the institutions, the IMF is leading the macro dialogue; the IMF and IDB have taken a lead donor role in the financial sector, with the World Bank providing complementary technical and financial support; the World Bank and USAID are leading the donor support to electricity sector reform with IDB in a complementary role; the IDB and World Bank are coordinating their support for the social sectors. The World Bank and the IDB completed a joint Fiduciary Report in November 2004; the forthcoming Poverty Assessment will be produced in close collaboration with the IDB and UNDP. The Bank (with the involvement of WBI), USAID, and IDB are also collaborating closely in defining a response to President Fernández's request for assistance to the country's anti-corruption efforts.

In terms of the EC's view of coordination, the 2008 and 2009 JARS reach very similar conclusions, as represented by the 2009 version:

"During 2008, there was limited progress in the Dominican Republic in the implementation of the Paris Declaration principles – ownership, harmonization, alignment, mutual accountability and managing for results. Project support was still predominant, and the European Commission, the World Bank, IDB and to an extent the Spanish cooperation are the only donors providing budgetary support. However, the EC, along with the World Bank and the Spanish cooperation, recently proposed to the Dominican government the joint signature of a memorandum of understanding for budgetary support providers. This suggestion has been well received by the State Secretariat of Economic Affairs, Planning and Development. If this strategic association were to take place, it could be an incentive for other development donors to consider this modality of aid. Any action would have to comply with the new rules and mechanisms established in the framework of the National Planning System.¹⁶³

In general, it is clear that donor coordination was relatively weak during this period, given the lack of ownership of development cooperation – the Dominican government having taken on its coordination, with the mandate scattered amongst several public institutions

Some sector coordination meetings were held during 2008, e.g. in the education, governance, competitiveness and environment sectors. The agenda of these meetings was, however, for the most part limited to an information exchange between donors, with no real discussion of sector policy.

The Dominican Republic still very much lacks a valid national development strategy, although the current draft will potentially be handed to Congress in the last quarter of 2009.

There are gaps with regard to certain policies that are hindering the appropriate alignment of donor support, the organization of reviews, joint missions and the use of basket fund mechanisms.

Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management.

Regarding internal donor coordination within the European Union in 2008, the EU Delegation organized several meetings to discuss possible ways of implementing the EU Code of Conduct. These meetings identified potential powerful synergies between the European Commission and Member States in education, environment and bi-national cooperation (Dominican Republic and Haiti)."

The EC has put in place indicators and a monitoring system for its budget support initiatives, and bases its disbursements of variable tranches largely (but not exclusively) on the basis of these indicators. Information concerning the monitoring of the indicators is fed to the EC through the NAO. The following provides an opportunity to examine two aspects of the

¹⁶³ This first paragraph from the JAR is essentially a copy of the 2008 JAR.

monitoring: the first is that the NAO provides data or analyses with errors in them, and second that the EC must have access to independent sources of information to contest the findings of the NAO.

In his analysis of the performance indicators for disbursement of the variable tranche, the NAO concludes to partial satisfaction on nearly all indicators, leading to disbursement of 3.800.000 € or 56 % of the maximum amount. On the other hand, the Delegation recommends disbursement of an amount of 4.950.000 €, which corresponds to 67.5 % of the total available amount for the variable tranche.

This deviation is due to the fact that, although the disbursement file transmitted by the NAO contains detailed supporting documents for each of the variable tranche indicators, the actual analysis of the performance and its translation into the appropriate score is

extremely weak and mostly erroneous. The scores are either based on vague appreciations without any reference to the specific formulation of the indicators in the Financing agreement, or based on the wrong application of the scoring mechanism. This explains the major deviations between the initial analysis of the NAO's office on the one hand and the scores proposed by the Delegation on the other, as shown in the tables below:

Indicator	NAO	DEL
P1	0.5	0.5
<i>P2</i>	<i>0.5</i>	<i>1</i>
P3	0.5	0.5
P4	0.5	0.5

Indicator	NAO	DEL
<i>H1</i>	<i>0.9</i>	<i>1</i>
<i>E1</i>	<i>0.9</i>	<i>1</i>
<i>H2</i>	<i>0.5</i>	<i>0</i>
<i>E2</i>	<i>0.5</i>	<i>0</i>
<i>H3</i>	<i>0.5</i>	<i>1</i>
<i>E3</i>	<i>0.5</i>	<i>1</i>
<i>H4</i>	<i>0.5</i>	<i>1</i>
<i>E4</i>	<i>0.87</i>	<i>1</i>

Also in terms of monitoring frameworks, the MDG exercise has resulted in detailed monitoring frameworks in the DR that are well established and that are updated regularly if a little late. These frameworks, and the indicators and databases that are used to construct them, provide a comprehensive and valid policy monitoring framework, especially when complemented by information received through other technical cooperation initiatives.

What the JAR and other EC-based documents do not reveal, however, is the extent to which there are other policy and performance monitoring framework(s) used by various donors (such as those that might be used in sector committees), and the extent to which these are coordinated. Field research has shown that while the EC engages in cooperation activities with a small number of donors in specific issues (the Spanish for education SBS and the French for Dajabon, for example) and while donors systematically share reports they feel other donors would find useful, there is no performance monitoring framework per se that is shared by donors.

Indicator 3.3.2: Level of independent monitoring carried out or of controlled monitoring by EC

The ability of the EC or any independent observer to monitor the results chain associated with any GBS depends directly on the quality of the information provided by the systems and processes of the government involved. This, in turn, is directly dependent upon the quality of the Public Finance Management System and the various Management Information Systems used by line or other ministries (EMIS for education, for example). In the Dominican Republic, the reform process of the PFM has brought a new model of PFM. It lacks however a clear action plan and a timetable supported by instruction from Congress, which raises some questions as to the level of ownership and sustainability. A newly-created division within Hacienda (2009) is responsible for monitoring and follow-up of national plans, including the contribution of donors. As of the time of the field report, the division had not prepared a report, although interviewees noted that it had created a system. Precisely with the idea of achieving these objectives a new programme was created in 2008 with financial support from the EC and the Public Financial Management Institutional Support Programme (PFMISP). As stated in the previous paragraph, the reform of the CoA is strongly supported by international donors, among them the EC.

In addition, the evaluation team was shown the outlines of a very comprehensive but relatively complex system for monitoring as a support to donor coordination at the national level (SINACID). The system applies to project modalities but not to GBS, and the EUD noted that it may be overly labour-intensive to be useful.

Additionally, there is a wide set of accompanying measures (especially technical assistance and project funding) targeting PFM reforms, state modernization, institutional strengthening and capacity building mostly targeted at government institutions. Additional or accompanying measures have only sporadically stressed the role of democratic institutions, such as the PNUD programme (aimed at modernizing and strengthening the role of the Chamber of Deputies (CoDs), with technical capacity building and support to increase the effectiveness of the budgetary process), or AECID's programme "strengthening of the (CoDs) on its functions performance". As a matter of internal transparency, the Legislative Information System (created in 2006) publishes all documents related to the budget, available to civil society at the recently created Access to Information Office.

The EU sponsored a project toward augmenting the fiscal policy capacity of information and analysis with the aims of increasing the participation of civil society and higher social expenditure (grant contract is signed between DIGECOOM and the NGO Centro Bonó in 2008). In the EC country strategy paper for 2008-2013, no funds are set aside to support parliament, CoA or civil society actors in strengthening their role in the budget oversight process. Additionally, there is no direct collaboration with the General Comptroller. The cautious support for these institutions can be ascribed to the fact that donor interaction with Congress and the CoA has not been very successful in the past (int.). However, the CoA is strongly emphasizing the need for international cooperation (to date, this cooperation is mainly with other international SAIs and some donors, such as USAID, have started to collaborate with positive effects). Although these recent and current projects supported by donors are small, they are windows to the future of cooperation.

However, the effectiveness of such programmes is undermined by a lack of inclusivity and a limited ability to reach wider targets. In this respect, donor harmonization, strategic systematic planning targeting Parliament, civil society and the CoA, and implementation of a PAF that integrates parliament and CoA are crucial factors for capacity building.¹⁶⁴

Part of the challenge for donors is to ensure that the DR takes over ownership of the development strategy and its implementation. In accordance with the principles laid down in the Paris Declaration and Accra Accord; it is the country (and not the executive or the public service) that is the subject of

¹⁶⁴ IBID European Parliament Report, p. 34.

this transfer. So in responding to this indicator it is worth noting the extent to which key institutions are in a position to create and use their own monitoring frameworks and engage in discussion. The following quotes provide insight into the other players in the DR that could do that.

“... In general, the oversight role of parliament in the **Dominican Republic** is very weak. Parliamentary budget assessments are characterized by passive discussions and rubber-stamp approval. Under the old constitution parliament was allowed to post amendments, but the large majority required for approval was a regulatory barrier. Under the new constitution however, this barrier was reduced to create an opportunity for parliament to engage more actively in exercising budget law. The current situation is that of a newly empowered parliament that has the legal framework to actively influence the budget, but does not yet make use of this power, reducing it to a legislature with little or no budgetary effect.”¹⁶⁵

“...In the Dominican Republic, as of now, there is no serious ex-post oversight and it remains to be seen whether the new constitution will contribute to a more active and engaging parliament” (p.7). That same report goes on to note that the oversight function of parliament in the **Dominican Republic** is very weak. “During budget implementation, parliament just smoothly oversees the reports received from the executive, and validates them with practically no time for a more exhaustive analysis. For the audit of the budget, parliament receives and validates the reports provided by the supreme audit institution (SAI), the Chamber of Accounts (CoA). However, these reports have traditionally been received late and with limited impact due to the undervalued role played by the CoA”.

“In the past, the lack of technical support to the MPs, and MPs low level of training further undermined the traditionally weak role of Congress and was partly used as an excuse for ineffectiveness. However, a recently created technical division at the Chamber of Deputies (CoD), the Planning and Development Unit (PDU), is in charge of supporting MPs with budget analysis, advice, training and monitoring tools. Nevertheless, there is a general lack of information concerning budget data and government objectives, although it is improving a lot with the new unit and the Financial Management Information System (FMIS). However, the FMIS still lacks a more detailed data breakdown. ODA and budget support data from international donors is neither specified nor explicitly discussed. Also, the fact that the executive does not have a national development strategy is affecting the way in which parliament monitors the budget. MPs are missing clearly delineated and visible priority objectives that can guide them through the analysis and assessment of the budget. The new National Development Strategy is a legal project with a draft document dated November 2009 and pending approval in the course of 2010.”¹⁶⁶

In the **Dominican Republic**, external audits are based on a judicial model. The CoA is the country's external supreme audit institution (SAI), with administrative, operative and budgetary autonomy. Law 10-04 of the CoA (20 January 2004) empowers the chamber to examine the general and particular accounts of the nation assisted by the Directorate General of Audit (DGA). It is important to underline that the CoA is nowadays immersed in a profound state of reform. To date, the CoA has been characterized as a discredited institution with very weak institutional capacities. The CoA acted in the past as a court dispute system rather than as an audit institution, with judges instead of auditors as professional and qualified technicians. Ex-post audit evaluations and assessment reports have not enjoyed much credibility and have had little weight in monitoring the budget. The reform process began in 2004 and had a big push forward in 2008 with a new mandate supported by international institutions. Until now, technical personnel were recruited directly by the executive using discretion procedures. Nowadays, as part of the United Nations Development Programme (UNDP) support programme for institutional strengthening of the CoA, the chamber is opening a tendering procurement process and a private consultancy firm is assisting the personnel training programme.

¹⁶⁵ IBID p.8.

¹⁶⁶ IBID p. 12.

Other cornerstones of the reform are the adaptation of audit guidelines (last update from 2004) that adhere to international standards (INTOSAI) and creating the Audited Guide, all part of the UNDP programme. Whereas it used to be an institution directly dependent on the executive, the new law has shifted this competence to Congress, giving the body more independence as regulated by law. These important steps are preconditions for the CoA's move towards achieving more respect, credibility and capacity for monitoring the national budget. Donors strongly supported this reform process and backed the national dynamic (int.).

Some major weaknesses have yet to be tackled:

Independence: In the past, the CoA's independence was severely constrained since its mandate depended on the executive. This still burdens the effectiveness of the CoA today. However, with the new legislation, mandate has been shifted to Congress (Law of the Chamber of Accounts of the Dominican Republic, 10-04), thus the CoA is expected to play a greater role and it is assumed that it will reinforce the capacity of Congress to monitor the budget in a complementary relationship.

Timeliness: Time reporting is still a handicap to increasing the chamber's effectiveness. The problem lies above all in the municipalities and decentralized organizations, where discipline and capacities are lacking. The reports sent to Congress have not been evaluated and approved within the deadline period; in the past three years the legislative merely mentioned the audit report on the budget execution of 2006, without proposing any corrective measures to the executive.

Resources: The constraints slowing down the process of CoA modernization can be summarized as a lack of funding. The law dictates that the CoA must receive 0.30% of the national budget, although this is never accomplished. The annual budget is RD\$423m, within this budget the chamber should audit 3200 institutions (governmental, decentralized and autonomous). This macro constraint directly leads to the following:

1. The budget is too low to correctly perform CoA functions
2. Lack of technological platform
3. Lack of required high-qualified personnel due to inability to pay sufficient salaries
4. Lack of physical infrastructure

Compliance to recommendations made by the CoA in its final reports is obligatory for the audited body, and reports should be the object of monitoring and follow-up. Even though the chamber organizational chart has a specific division in charge of monitoring recommendations along with the Division of Quality Control, it is not currently in place, resulting in a weak-follow up of recommendations as of now.

The Secretary of Finance does not systematically inform the CoA about ODA and budget support data. Therefore, the CoA is cannot identify the amount of budget support received (int.). The CoA also expressed concerns that it has not so far been used as the audit organ of donor budget support practices (int.), and underlined the importance of such a mandate.

The General Comptroller's office (Contraloría General de la República) is the executive's **internal accountability governing body**, independent of the Secretary of Finance (SoF) but accountable to the executive. It has audit units in charge of elaborating technical, administrative and financial audits. Its main role is to monitor adequate income for and investment of funds in the different departments of the public administration, the state and municipalities; to unify examination of persons and entities that receive and manage funds; and to inspect the accounting of the corresponding offices. The General Comptroller sends the reports to the CoA, which is in charge of auditing them and then the CoA itself accounts to the congress. The General Comptroller is, however, often seen as a body directly attached

and accountable to the President's office, "to cover his back" (int.); it has no interaction with international donors and works outside of the international assistance circuit."¹⁶⁷

From the preceding paragraphs, it is not only clear that key democratic bodies in the DR do not have monitoring frameworks in place to allow them to oversee ODA policy and application, but it is also evident that the independent bodies that should provide a check-and-balance on government use of funds is rather weak.

Finally, this extract from the 2009 JAR is relevant to this indicator:

"Current systems for monitoring sector policies are not robust enough and the government does not make use of them in its dialogue with development partners. These systems should be at the heart of results-based management." This statement is all the more interesting when put in the light of the internal-to-EC note on the management of GBS referred to earlier in the report. That document clearly shows that the EC would have to have had an independent source of data (in order to question the claims of the NAO).

Indicator 3.3.3: Existence of a policy dialogue plan with specific targets

Note: the analysis under Indicator 3.2.2 is also relevant for this indicator.

As noted in Indicator 3.2.2, there is no "policy dialogue plan with specific targets" that is in place for the EC other than those used by the sector committees¹⁶⁸. The evaluation found a note sent to the NAO indicating exactly what was expected from the GoDR in terms of political dialogue (see indicator 3.2.2) but the team could not find a formal note concerning expectations on policy dialogue

One issue that is relevant in the case of the DR is the extent to which the EC can exert some influence in setting or achieving new policy direction. The European Parliament's report on GBS makes clear that the EC's influence in policy dialogue in the DR is rather limited.

"In all countries studied, the conditionality of GBS has been used to address shortcomings in PFM. The actual impact and effectiveness of this conditionality, however, varies significantly depending on the country context. The impact of budget support conditionality is likely to be higher in aid-dependent countries where GBS takes up a significant part of the national budget..... In the Dominican Republic, which is less dependent on aid, donors have few control options and little room to influence budgetary composition (or policy direction—authors)".

Indicator 3.3.4: Existence of a risk-mitigation plan approved by both parties, including a clear statement of the consequences of non-performance

As indicated in the analysis for JC 1.5:

"The EC's key strategic documents (CSPs, RSPs, etc.) provided annually to HQ by the EUD do not contain a risk analysis that is sufficiently detailed to enable decision-making related to the changes in the strategies or to the likelihood of success of the proposed strategies. Ex ante risk analyses are not easily accessible on the EC's databases, even to EC staff. The risk matrix attached to the CSPs (the Operations Framework and Performance Indicators Annex) do not contain a credible set of assumptions concerning the risks associated with the programmes and those that are written are superficial, overly vague and/or relatively evident to the point of being corollaries of the outputs statements.

The "Risk Analysis in the Delegation" document fails to provide explicit information on the programme risks including comprehensive information on what the risk factors are likely to be, why these are risk factors in the first place, what is the likelihood of occurrence, what is the likely direct and indirect impact of the risks, what the EC should put in place as mitigation strategies, and how the strategic intents of the EC will be affected in the event of a risk event."

¹⁶⁷ IBID pp. 14-17.

¹⁶⁸ Targets and conditionalities that relate to achievement of plateaux for GBS fixed and variable tranche disbursements are not considered to be "policy dialogue" per se, although they may form the core of policy discussions in specific work groups such as is the case in Vietnam.

A thorough documentation-based search did not result in any formal or structured risk analysis documentation that would be used as the basis of ongoing risk management. The absence of such documents was confirmed by the EUD. There may be sector-based risk analyses or a progress monitoring framework that could have risk elements in it, but the evaluation team was not able to find them.

Indicator 3.3.5: Existence of pre-defined mechanisms to enable re-allocations to take place quickly in case of rapidly evolving changes in national priorities.

It is a tenet of institutional management that re-allocations should not be done often or for trifling amounts. The EC has provided for a number of mechanisms that allow for rapidly evolving changes in national priorities to be met with appropriate EC responses:

For example, the MTR has provided an opportunity to examine the entire gamut of EC plans and to adapt them to changing realities. Section 3 of the JAR 2009 speaks to such changes in the response strategy contained in EDF10 CSP, based on the MTR. Both the MTR itself and the justification for the (relatively minor) re-allocation appear to be logical and well researched, and are clearly based on evolving priority challenges such as the need for vocational training, a professional career public service and higher levels of competitiveness in the country¹⁶⁹.

Other sections of the same JAR and other JARS from previous years point to the difficulty of establishing donor coordination or policy/political dialogue and of receiving access to sector data. The coordination abilities of the GoDR overall, and the sector and functional ministries responsible for the coordination specifically, are weak, according to the JARS mentioned above, and so even defining what the new "revised national priorities" actually are is a challenge. Those weaknesses (and the corresponding lack of information they entail) must have an effect on the selection of new interventions or the increased funding of existing ones, but the issues to be resolved in the DR are broad enough that even without donor coordination, appropriate and justifiable minor re-allocations can be done.

There are other indicators of efficiency in this domain:

- The EC has been able to react quickly for the establishment of budget contributions for the humanitarian needs associated with natural disasters in the DR and on Hispaniola generally. It is not known how quickly its reaction-time has been in delivering housing, food or other emergency relief.
- The budget lines have enabled the EC to adjust its aid delivery in a manner that is off-cycle to the CSP.
- The use of GBS and facilities allow the "recipients" a considerable amount of flexibility in spending choices, inasmuch as their "agreements" with the EC are not micro-managed or contract-based as is the experience of "project" modalities.

Although the MTR provided a relatively rapid means of identifying where re-allocations should take place, the EC HQ had, at least in the case of EDF10, not approved the recommendations that were prepared over a year ago, and both the GoDR and EUD cannot proceed. That length of time is seen by stakeholders and the evaluation team as not being acceptable in any context.

¹⁶⁹ JAR pp. 24-26.

1.4. EQ4: To what extent have EC strategic responses contributed to empowering civil society in relation to active participation in national social and policy debates?

JC 4.1: The EC has contributed to enabling Civil Society Organizations (CSOs) to have an impact on decision-making by contributing qualitatively to social and policy debates in issues related to governance.

Overall analysis of JC 4.1

There are improved levels of impact achieved through capacity building and participation of the CSOs in debates related to governance; several projects supported by the EC have been active platforms for the preparation and proposal of new laws and there was a focus on facilitating relations between the CSO and all levels of government.

The EC has made efforts to strengthen the CSO in order to impact the decision-making in discussions related to governance. This has occurred mainly through the program PRIL, through which 34 projects related to the strengthening of civil society have been implemented and many of these became the platform for the preparation of laws and regulation such as Law 122-05 and, through PARME on municipal law 176-07.

The initiatives supported by the EC, in the framework of support for civil society, have worked on the needs and weaknesses that characterize Dominican civil society. Although there is no baseline against which to compare the situation before and after the implementation of the PRIL, various reports indicate that the PRIL program increased capacity and instruments of incidence of the civil society, particularly in its participation in public policy nationally and locally. EC supported initiatives have had a facilitator approach to the relations between CSOs and the central public bodies and to a lesser extent, of an explorative nature, with the municipalities. PARME and PRIL have been active platforms for the preparation of proposal of new laws. (I 4.1.1)

The strengthening of political dialog at the local level and the effects of the interventions, focus on a greater ownership of the policy instruments that regulate the participation of civil society. PARME promoted and facilitated the dialogue between local governments and CSOs at the national level, while PRIL promoted the dialogue between authorities (central government) and CSOs mainly on the implementation of the law 122-05 (Law for non profit organizations.) During the implementation of the interventions, the experiences generated were demonstrative of participation in local policies, some of which are related to a higher incidence of civil society in municipalities without a history of participatory practices. There are specific impacts such as the introduction of the issue of disability onto the public stage and decision making instances, so Congress (deputies and senators) now has access to advisers on these types of subjects (I 4.1.2).

At present, several numerous sector and territorial networks, devoted to the topic of governance and supported by the EC, are in operation. This support has established a better position from which to face the political incidence through the incursion into spaces of State-civil society dialog, the establishment of alliances with key players, and the introduction of new topics onto the stage of public policies. (I 4.1.3 and 4.1.4)

Analysis of indicators

Indicator 4.1.1: Existence of EC interventions that have resulted in new analytical and other capacities within CSOs enabling them to prepare briefs or other documents as inputs into debate on laws or public policies

The initiatives supported by the EC in the framework of support for the civil society have worked on the needs and weaknesses that characterize Dominican civil society, such as levels of organization, administrative deficiencies, internal procedures, institutional weaknesses, capacities for representation and platforms for impacts and relations with government authorities. There is no evidence of any baseline against which to compare the recent levels of analytical and other capacities required to prepare quality briefs or other documents as inputs into policy making, and no performance

measurement or monitoring system specifically designed to measure capacity in those domains has been put into place. It will therefore be necessary to use these “process” and “institutional level” performance measurements as proxies. Based on this, there is evidence of increased capabilities to prepare policy analysis as inputs to a debate and there are now more effective instruments of civil society participation, particularly regarding national and local public policy.

In this context we make reference to the Territorial Consultation concerning the National Development Strategy 2010. Centro Bono (Ex-PRIL Partner) with a network of seventy CSO, coordinated the process of divulgation of the strategy and a territorial consultation, throughout the country. The purpose was to develop a consultation process within the SC to discuss, amend and improve the proposal of the National Development Strategy. PARME and PRIL have been active platforms for the preparation and elaboration of proposal of new laws.

The laws, proposals of laws or regulations are: Proposal of Law of Social Participation, Law 122-05, Proposed amendments to public financing mechanisms for the CSOs .Regulation on Management of 4% of Funds for Education, Health and Gender in the Municipal Budget, Promotion of implementation of Municipal Law 176-07 , the General Law on Disability, Inclusion of Cultural Rights in the Constitution of 2010.

Data, sources, extracts:

“El Espacio de Pensamiento sobre institucionalidad y representatividad de la sociedad civil dominicana se convirtió en un referente en el marco del Programa, y su continuidad ha sido comprometida por un grupo de organizaciones que jugaron roles destacables durante su funcionamiento” (IBF International Consulting 2010) p56

“Los procesos que se han venido apoyando e impulsando con el PRIL y los 34 proyectos FONDESIN son parte de un macro proceso multidimensional que tienen como finalidad el fortalecimiento institucional para que las OSC dominicanas para que puedan constituirse en sujetos sociales organizados y en condiciones de convertirse en protagonistas de cambios sustanciales en las esferas de las relaciones con el Estado, el funcionamiento institucional y de la consolidación de procesos participativos y democráticos.” (IBF International Consulting 2010) p59

“Por parte de la UTG se ha llevado a cabo diversas acciones en el marco del R.1 aunque de escasa trascendencia de cara al logro de dicho resultado, en su mayoría de carácter transversal, siendo la más relevante la puesta en marcha de un Espacio de Pensamiento sobre institucionalidad y representatividad de la sociedad civil, iniciativa desarrollada con éxito desde mediados de 2008. Asimismo, ha contribuido al logro de este resultado la elaboración de un directorio de más de 500 OSC ubicadas en los territorios abarcados por el PRIL (Distrito Nacional, provincia de Sto. Domingo, Región Norte, Región Sur y Región Este), el cual ha sido publicado recientemente” (IBF International Consulting 2010 p 28

“Varios proyectos PRIL han sido activas plataformas para la elaboración y presentación de nuevas Propuestas de Leyes. Ha tenido un enfoque facilitador de las relaciones entre OSC con las instancias publicas central y en medida menor como espacio explorativo de trabajo con los municipios” (IBF International Consulting 2010) p 6

“El PRIL es una intervención oportuna que se produce en un momento de cambios constitucionales, en la legislación y reforma-modernización del Estado que apuntan a sentar las bases de consolidación de mecanismos de cohesión social y la gobernabilidad democrática, elevando capacidades e instrumentos de incidencia en la sociedad civil en particular en su participación en la política local en función del desarrollo sostenible del país”. (IBF International Consulting 2010) p59

“Al finalizar el PRIL se cuenta con varios proyectos de Leyes, de los cuales hay algunos introducidos en el Congreso y otros en fase de culminación en su diseño. Así en los informes del PRIL se registran procesos de diseño del Proyecto de Ley General de Participación, Ley de Vivienda, Hábitat y Asentamientos Humanos, modificación de la Ley de Discapacidad y el de Regulación de la Economía Solidaria. En este contexto el Programa provocó una ampliación y consolidación del diálogo entre congresistas y liderazgo de la sociedad civil. Aunque el proceso no concluyó con la aprobación de ninguno de los proyectos de leyes formulados” (IBF International Consulting 2010) p 49.

Table 23: Laws, regulation and Constitutional Articles that have an impact on CSOs participating in the PRIL

Ley 122-05 “para la Reglamentación y Fomento de las Asociaciones sin fines de lucro en República Dominicana		Vigente
Reglamento para la aplicación de la Ley n.122-05 Vigente		Vigente
Ley 176-07 de Municipios Vigente		Vigente
Modificaciones al anteproyecto y reglamento de la ley 42-00 sobre discapacidad	ASODIFIMO	En discusión al Congreso
Ley de Participación Social	Participación Ciudadana	Presentada al Congreso
Reglamento Ley de Participación Social	Participación Ciudadana	En borrador
Ley de Vivienda, Habitat y Ordenamiento territorial	COPADEBA	Presentada al Congreso
Ley de Economía Solidaria	IDEAC-REDESOL	Presentada al Congreso
Art. n. 222 Constitución sobre Economía Solidaria	IDEAC-REDESOL	Aprobado
Art. n. 53 Constitución sobre derechos culturales	RED CULTURAL (CIPROS)	Aprobado
Art. 52 de la nueva Constitución sobre derecho a la educación	Foro Socioeducativo (Fe y Alegría)	Aprobado

Source: IBF International Consulting 2010 Pg. 50

“Se puede concluir diciendo que el principal impacto dejado por el Programa se refleja en los cambios producidos en las dinámicas internas de las OSC en cuanto a la mejora de su capacidad de gestión técnica, financiera y administrativa. Estas serían condiciones ineludibles para en el futuro inmediato poder incidir en las políticas públicas, en el control social de la administración pública central y local, así como en un diálogo político más sostenido, el cual fue de un impacto débil en el marco del PRIL.” (IBF International Consulting 2010) pg 10

“En lo que se refiere al fortalecimiento para el diálogo político a nivel local, los efectos del PRIL se centran en:

- Mayor apropiación por parte de las OSC, y también de las AL, de los instrumentos normativos que regulan la participación de la SC.

- Generación de experiencias demostrativas de participación en las políticas locales, algunas de las cuales están relacionadas con una mayor incidencia de la sociedad civil en municipios sin trayectoria de prácticas participativas” (IBF International Consulting 2010) pg 63

“ En definitiva, podemos decir que las diversas actuaciones del PRIL (proyectos FONDESIN y acciones UTG) para favorecer una gobernabilidad local más participativa, han logrado: i) la generación de una importante masa crítica, conformada tanto por sociedad civil como por autoridades locales, sensibilizada y conocedora de los mecanismos de participación establecidos en la Ley 176-07, ii) la puesta a disposición de las OSC y de las AL de herramientas útiles y ya validadas, para la aplicación práctica de determinados aspectos de dicha Ley, incluido el adiestramiento para su uso; e, iii) el impulso de iniciativas exitosas y replicables de participación efectiva de la sociedad civil en las políticas locales desde distintos ámbitos y espacios. (IBF International Consulting 2010) pg. 30;

“Sin embargo, los proyectos PRIL han sido activas plataformas para la elaboración y presentación de nuevas Propuestas de Leyes pero desde el punto de vista de la gobernanza, y de la construcción de mecanismos de Cohesión Social, ambos actores (Estado, Instituciones Públicas, Gobiernos Locales) y SC siguen presentando grandes déficit) (*IBF International Consulting 2010*) pg 59

“...Adicionalmente se anexan a dicho informe, los principales planteamientos sectoriales, las sugerencias y posiciones planteadas por diversas redes de organizaciones sociales y populares de la sociedad civil dominicana respecto a los contenidos y propuestas de la estrategia Nacional de Desarrollo 2010-2030, presentado por el Gobierno Nacional”. (Centro de Estudios Bono 2010) pg 7

COPADEBA se ha ampliado territorialmente abarcando en la actualidad 4 Comités Provinciales y se ha consolidado el compromiso de las OSC participantes en la misma. Ha dado formación especializada a los líderes de las OSC sobre temas relativos a la tenencia del suelo y su normativa. Ha conseguido introducir en el Congreso de los Diputados un Anteproyecto de Ley de Vivienda, Hábitat y Asentamientos Humanos (Eductrade – Centro de Estudios Juan Montalvo 2010) p. 46

“Haber alcanzado una legislación que reconoce e instituye mecanismos de participación en diversas esferas de la vida pública es uno de los logros relevantes que puede exhibir la República Dominicana en el esfuerzo por fortalecer su democracia. Esto se verifica tanto en la Constitución de la República Dominicana, promulgada el 26 de enero de 2010, así como en las leyes de Educación, Salud, Planificación e Inversión Pública, la del Distrito Nacional y los Municipios, y en la ley de Compras y Contrataciones Públicas, entre otras.

Con estas modificaciones e innovaciones en el plano legal, se ha logrado integrar diversos mecanismos e instancias que favorecen la participación de la ciudadanía en el diseño, implementación, seguimiento y evaluación de las políticas públicas, en el plano de algunos ministerios como en los gobiernos locales. Esta tendencia, que se ha venido consolidando en los últimos años, ha respondido a la demanda de diversos sectores sociales que desde la emergencia del régimen democrático han cuestionado el déficit y los vacíos del mismo, al reducir la participación de la ciudadanía a los eventos electorales cada cuatro años. Como resultado de estos esfuerzos, se ha logrado fortalecer la tendencia que busca combinar la representación y la participación, como procesos complementarios, no contradictorios. Es decir, que al reconocer el derecho a la participación en el conjunto de leyes, decretos, reglamentos y ordenanzas emanados de los diferentes órganos del Estado, se han creado espacios donde funcionarios/ as y ciudadanos y ciudadanas se responsabilizan de la gestión de las políticas públicas, sin que se pierdan las atribuciones de los primeros.” (Consejo Nacional de Reforma del Estado 2011) p.5

“Entre febrero y junio de 2006 se realizaron tres encuentros de organizaciones de la sociedad civil, para afinar una estrategia de incidencia en el congreso y la sociedad, y estudiar, revisar y proponer ajustes a la última versión de la ley orgánica municipal. En este proceso participaron 20 organizaciones que apoyan la descentralización. Al final se disponía de una nueva versión del proyecto de Ley Orgánica Municipal con parte de las observaciones de las consultas ciudadanas. El núcleo de organizaciones sociales realizó una visita al Presidente de la Cámara de Diputados en la cual entregaron la propuesta de Ley con las modificaciones producidas en los talleres. Una vez lista y consensuada para la aprobación la nueva Ley Orgánica Municipal, surgieron diferencias en los partidos políticos para lograr su aprobación definitiva, la cual fue retrasada debido a la transición política en los niveles municipales y congresuales producto de las elecciones del 2006. Después del 16 de agosto de 2006, las organizaciones de la sociedad civil retomaron la reforma municipal en el marco de un nuevo congreso, contando con una alta motivación en las comisiones municipales de los partidos políticos para tratar el tema. Sin embargo, el cambio representó una dificultad para que la agenda de reforma llevara un ritmo más acelerado. A principios de 2007 el proyecto de reforma de la Ley Orgánica Municipal se encontraba en la Comisión de Asuntos Municipales de la Cámara de Diputados, siendo estudiado y analizado por los nuevos legisladores. El día 6 de junio, en coordinación con la Cámara de Senadores y el CONARE, se llevó a cabo en Santo Domingo un encuentro de debate sobre la propuesta de reforma, con una amplia representación de organizaciones de la sociedad civil, los partidos políticos, la cooperación internacional y la FEDOMU. En vista de que confluyeron dos

proyectos de ley, entre los cuales no existían diferencias sustantivas, se acordó consolidar en un solo proyecto las propuestas de la Cámara de Diputados y de la Cámara de Senadores, lo cual fue cumplido posteriormente y se logró la aprobación definitiva del proyecto en el mes de julio.”...Al final del 2007, el saldo del proceso de reforma impulsado con apoyo del PARME era como sigue: La Ley Orgánica del Distrito Nacional y los Municipios fue aprobada en julio 2007; el Proyecto de Ley de Participación General fue aprobado por la Cámara de Diputados, pero no aprobado por la Cámara de Senadores; y los proyectos de Ley de Ordenamiento Territorial y de Descentralización de la Función Pública están en estudio en el Senado de la República. El nuevo marco legal de los ayuntamientos introdujo elementos claves para avanzar hacia una modalidad de gestión más planificada, participativa y transparente. Ha iniciado un proceso paulatino de adaptación a los nuevos mecanismos que establece (Reinoso, Rosa Maria Arlene y Martínez, Radames (2008) p. 18

”El Componente Descentralización del PARME tuvo una intensa relación con las organizaciones de la sociedad civil, sobre todo en acciones de lobby por la reforma al marco legal municipal. Se reconoce que los términos y las condicionantes del PARME limitaron la relación con la sociedad civil, a pesar de los esfuerzos de la UTG para implementar una alianza fructífera con esta. Algunos factores que incidieron en estas relaciones estuvieron matizados por los siguientes elementos: 1. El diseño del PARME fue muy concentrado en el apoyo a las organizaciones públicas, concibiéndose el apoyo a la sociedad civil condicionado a acciones conjunta con organizaciones del Estado, especialmente con ayuntamientos. 2. Las relaciones fueron de carácter bastante instrumental, viéndose las organizaciones como oferentes de servicios de cara al fortalecimiento de los ayuntamientos. 3. Existía poca homogeneidad en la profesionalidad de unas y otras organizaciones y el margen de oferta de servicios a los ayuntamientos era limitado. 4. No era generalizada en las organizaciones una visión reivindicativa del derecho de participación de la sociedad civil en la gestión municipal. A pesar de estas limitaciones se reconoce que las organizaciones de la sociedad civil interesadas en la descentralización y la reforma municipal se han incorporado al proceso de análisis en diferentes fases y han demostrado su compromiso con el proceso de descentralización. Como resultado se logró la recuperación y fortalecimiento de un Foro de Expertos constituido por municipalistas que aportaron importantes insumos en los debates de la reforma a la ley orgánica municipal, incluyendo 50 mujeres que debatieron e incorporaron la perspectiva de género al proyecto. (Reinoso, Rosa Maria Arlene y Martínez, Radames 2008), p. 46

4.1 Han realizado propuesta de interés social dirigida a la administración pública?

Table 24: *Propuesta de interés social dirigida a la administración pública*

Respuesta	Frecuencia	Por ciento
No	47	16.8
No responde	3	1.1.
Si	230	82.1
Total	100	100

Source: own presentation

Este resultado sugiere que las OSC han asumido la presentación de propuestas al Estado como método de lucha y trabajo sustituyendo la confrontación, el 82.1 % de las OSC, así lo confirman. Este dato evidencia un cambio en la cultura de trabajo y de lucha de las OSC existiendo un espacio para el desarrollo de políticas públicas coordinadas entre el Estado-Sociedad Civil.” (PRIL-diagnóstico 2009)

Indicator 4.1.2: Existence of EC interventions that have enabled the participation of CSOs in face-to-face dialogue (with government and with society) on different aspects of governance

There is evidence that through interventions supported by the EC, the dialog between the civil society and the powers of the state has been intensified (e.g. projects supported by FONDESIN implemented by INSALUD and Participación Ciudadana) There has been an improvement in the political dialog with local authorities, but little progress has been made at higher levels of the State, such as the central Government and the National Congress.

Regarding the strengthening of political dialog at the local level, the impacts of the interventions focus mainly on a greater appropriation by the CSO.

The interviewed persons and the focus group in the field phase stated that PARME promoted and facilitated the dialogue between local governments and CSOs at the national level, while PRIL promoted the dialogue between authorities (central government) and CSOs mainly on the implementation of the law 122-05 (Law of non profit organizations.)

Data, sources, extracts:

“a) Resultado 1. Incrementada la participación de las OSC en el diálogo político y en los procesos de desarrollo. A la consecución de este resultado contribuyen los cinco proyectos subvencionados por la Línea 4 de FONDESIN, cuya finalidad fue el fortalecimiento de la institucionalidad de la sociedad civil en su conjunto y de los procesos de diálogo y concertación Estado-sociedad civil. Dos de estos proyectos son de índole normativa: la puesta en marcha del marco legal de las ASFL (Ley 122-05), a cargo de INSALUD, y el impulso de la aprobación e implementación de la Ley de Participación Social, a cargo de Participación Ciudadana...” (IBF International Consulting 2010) p. 27

“El impacto asienta una mejora en el diálogo político en el actor público local e insuficiencia en otros niveles del Estado, como el Gobierno central y el Congreso Nacional. A través de los proyectos ejecutados en el marco del FONDESIN hubo varias iniciativas que apuntaban a motorizar el diálogo político entre entidades de la administración pública y organizaciones de la sociedad civil: uno dirigido hacia la formulación de leyes, otro dirigido a la relación con la administración central y los gobiernos locales.” (IBF International Consulting 2010) p. 49

“En relación al diálogo político en los gobiernos locales el programa PRIL articuló iniciativas directamente manejadas por la misma UTG y por vía del FONDESIN, a través de las cuales se alcanzaron resultados positivos y que produjeron cambios interesantes en la dinámica” (IBF International Consulting 2010) p. 51

“El Impacto asienta una mejora en el diálogo político en el actor público local e insuficiencia en otros niveles del Estado, como el gobierno central y el Congreso Nacional.” (IBF International Consulting 2010) p. 66

“...el avance hacia la participación de las OSC en el diálogo político y en los procesos de desarrollo, es menor del esperado..” (IBF International Consulting 2010) p. 7

” Las acciones de la UTG en relación con este resultado han tenido escasa trascendencia pues alguna no ha podido llevarse a feliz término (Observatorio de espacios de diálogo Estado-Sociedad Civil)” (IBF International Consulting 2010) p. 7

“... el grado de contribución del R.1 (participación en dialogo) ha sido menor de lo esperado, siendo esta circunstancia especialmente trascendente dado su carácter estratégico, ya que en él se han articulado acciones/proyectos que afectan a la sociedad civil en su conjunto. Y es precisamente este carácter estratégico una de las razones de que su contribución al OE se sitúe -para algunos aspectos clave- por debajo de lo previsto. Se trata de intervenciones que implican procesos de mayor calado, cuya consolidación en muchos casos requiere de más tiempo del que ha supuesto el apoyo del PRIL.” (IBF International Consulting 2010) p. 38

“The public Administration reform does not rely on formally established dialogue spaces, and SEAP (Ministry of Public Administration) relationship with state actors, International Cooperation and civil society is sporadic and informal.” Financing Agreement No. DO/FED/2009/021-799 Annex 2

“Another lesson learnt from the current review of the reform is that it requires government – civil society dialogue-based institutions. Financing Agreement No. DO/FED/2009/021-799 Annex 2 p. 7

“En el año 2009 el gobierno central lanzó la estrategia nacional de desarrollo, la cual busca planificar el desarrollo del país en los próximos veinte años, como parte de la validación de esta propuesta se pretende realizar una consulta a nivel nacional cuya coordinación ha caído en el Centro de Estudios Sociales P. Juan Montalvo, y el Consejo Nacional para la Reforma del Estado, CONARE. Este hecho evidencia que el diálogo político entre las OSC y el Estado va en crecimiento, la búsqueda de coordinación para enfrentar los graves desafíos que representa el estado de pobreza por un lado y la consulta como tal, establece un reconocimiento a los aportes que las OSC pueden hacer para mejorar la propuesta elaborada por los técnicos. Además se está legitimando un mecanismo de participación como lo es la consulta a las OSC. d) Otro hecho lo constituyó el diálogo desarrollado por el gobierno con las fuerzas vivas de la nación en los primeros meses del año 2009 se desarrollo “Cumbre por la Unidad Nacional para Enfrentar la Crisis Mundial”, estas son solo dos muestras de que estamos por el camino correcto, es decir el Estado reconoce el papel de la sociedad civil en la lucha por la reducción de la pobreza y la gobernabilidad (“Eductrade – Centro de Estudios Juan Montalvo 2010), p. 60

c) Procesos de diálogo: una mesa de trabajo sobre economía e integración dentro de Foro Ciudadano mejora la capacidad de incidencia de las OSC en temas especializados. Existen además de los logros de los proyectos, factores del contexto que han contribuido a la mejora del diálogo político Estado-Sociedad Civil, tales como la reestructuración de nuevas instituciones como la Secretaría de Estado de Economía, Planificación y Desarrollo, que tiene a su cargo el funcionamiento del Centro Nacional de Fomento, así como la posibilidad de que las OSC puedan acceder a fondos públicos mediante propuestas, como los Fondos Concursables de la SEE. La aprobación de la Ley 176-07 durante el proceso de implementación del PRIL de la cual hemos contribuido a su conocimiento y a la implementación de algunos de sus mecanismos de participación. Así como la participación activa de la sociedad civil en el monitoreo de varios de los programas sociales del gobierno, en la formulación del presupuesto nacional y la consulta nacional sobre la Agenda Nacional de Desarrollo son simples evidencias de que la sociedad civil dominicana se ha posicionado como un actor clave en la gestión del desarrollo, ha ganado reconocimiento y legitimidad ante el gobierno central y los gobiernos municipales.” (Eductrade – Centro de Estudios Juan Montalvo 2010) p. 62

“Participación Ciudadana introdujo en el congreso el Anteproyecto de Ley de Participación y su Reglamento después de un amplio proceso de concertación y difusión y tuvo incidencia en la “Cumbre de Fuerzas Vivas” realizada en el año 2009 a iniciativa del Gobierno Dominicano. (Eductrade – Centro de Estudios Juan Montalvo 2010 p. 42

“Es necesario destacar que a principios del 2005, y como resultado de las acciones en procura de una nueva legislación municipal y del esfuerzo dirigido a capacitar a las autoridades locales, se fortalecieron las relaciones interinstitucionales entre el CONARE y FEDOMU, lo cual se expresó en la firma de varios acuerdos. Uno de ellos fue la propuesta compartida con una coalición de grupos de la sociedad civil para aplicar el presupuesto participativo en diferentes municipios. Previo a la aplicación de dicho programa, se firmó un documento de compromiso interinstitucional para promover la participación ciudadana a gran escala, en el cual el PARME y CONARE fueron compromisorios. El proceso concluyó con la aplicación de la estrategia de Presupuesto Participativo compartida con la Coalición Por la Democracia Participativa, la Transparencia y el Buen Gobierno Local. La FEDOMU asumió sensibilizar y promover la práctica del presupuesto participativo en los diferentes municipios del país”. (Reinoso, Rosa Maria Arlene y Martínez, Radames 2008) p. 22

Indicator 4.1.3: Existence of EC supported dialogue fora functioning with regular meetings

There is clear evidence of the existence of forums for dialog although few are formalized and running on a fixed schedule with predictable dates for meetings to be held.

In regard to the forums supported by the EC, one result of a key EC-supported initiative called PARME was the establishment of the Forum of Municipals, a virtual space (www.elmunicipio.com.do) that attempts to inform, discuss and reflect on the decentralization process in the Dominican Republic. Another forum, the Foro Ciudadano, a space for articulation and expression, that brings together more than 200 CSOs has represented the civil society in several important democratic exercises in the recent history of the country. Special relevance can be attached to the process of consolidation and repositioning in the national context that has experienced the EC-supported Foro Ciudadano, which at present is regarded to be the most representative forum of the civil sector, by the CSO as well as the public sector.

During the implementation of PRIL, the CSO INSALUD ran the Project for Strengthening of Foro Ciudadano and thus developed a Strategic Plan. INSALUD also promoted the expansion of this Foro to 3 new regions and the creation of new thematic roundtables working on gender and solidarity economy. Another important foro is The Foro Socio Educativo that brings together 71 CSO and forms part of the advisory bodies in the national education sector.

Data, sources, extracts:

“Así, hay dos proyectos que, de una u otra forma, afectan a la sociedad civil en su conjunto. Se trata del proyecto liderado por INSALUD, focalizado en el fortalecimiento del Foro Ciudadano, espacio de articulación ya existente que aglutina a más de 200 OSC de muy distinta naturaleza y ámbito de acción, y que ha sido el referente de sociedad civil en diversos hitos del ejercicio democrático en la historia reciente del país, y el proyecto ejecutado por Colectiva Mujer y Salud, que tiene como finalidad la creación de una red de OSC como soporte organizacional de un Sistema de Autorregulación de la Sociedad Civil Organizada (SASCO)” (*IBF International Consulting 2010*) p. 52

“De las redes mencionadas merece especial relevancia el proceso de consolidación y reposicionamiento en el panorama nacional que ha experimentado el Foro Ciudadano pues, como ya se ha mencionado, se trata del mecanismo considerado como el más representativo del conjunto de la sociedad civil, tanto por parte de las propias OSC como desde el sector público. De hecho, además de lo ya señalado párrafos arriba acerca de su presencia en espacios de diálogo, el Foro Ciudadano será quien asuma la consulta popular en el proceso de discusión de la Estrategia Nacional de Desarrollo de la RD.” *IBF International Consulting 2010*) p. 33

“Mediante el proyecto a cargo de Fe y Alegría se ha acompañado la andadura del Foro Socioeducativo, cuyo origen fue la campaña mundial Educación para Todos, posibilitándose una mayor institucionalización del trabajo en red y el incremento del número de integrantes, incluyendo organizaciones de otras provincias. Se ha generado debate y conocimiento sobre la situación del sistema educativo en el país, a través de seminarios, investigaciones, etc. Han participado activamente en la elaboración del Art. 52 de la nueva Constitución sobre derecho a la educación, y desarrollan una labor de incidencia ante el Gobierno para mantener el objetivo del 4% del presupuesto nacional destinado a educación (actualmente está en el 2,2%). *IBF International Consulting 2010*)” p. 34

Fe y Alegría ha conseguido ampliar la membresía del Foro Socio Educativo con la integración de 71 nuevas entidades educativas. El Foro Socio Educativo realizó dos investigaciones relevantes para el sector educativo e igualmente elaboró y colocó en el debate nacional cuatro (4) propuestas para la mejora de la educación. El Foro Socio Educativo forma parte de importantes instancias consultivas en el ámbito educativo nacional. (*Eductrade – Centro de Estudios Juan Montalvo 2010*) p. 46

“Subrayamos que este Foro de Municipalistas es un espacio virtual de naturaleza plural, abierta y con diversidad ideológica donde se encuentran registrados los principales pensadores y pensadoras de la cuestión municipal de República Dominicana y una parte de expertos de diferentes países. En el mismo se destaca la presencia de académicos, intelectuales, dirigentes políticos, líderes de organizaciones de la sociedad civil y autoridades locales. El mismo surge el 9 de Agosto del 2007 con el propósito de reflexionar y debatir sobre el proceso de descentralización y municipalización del país. El Foro ha ido ganando reconocimiento interno y ha hecho aportes a algunas entidades que bregan con los asuntos locales.” (El espectador-website)

”Foro Ciudadano: El Centro Montalvo forma parte de Foro Ciudadano, espacio de articulación y concertación político-estratégica que agrupa a cientos de organizaciones de la sociedad civil de todo el país, desde comunidades de base, ONG de desarrollo y sindicatos hasta asociaciones empresariales, juveniles y religiosas. El objetivo de Foro Ciudadano es constituir un espacio amplio y plural que sea proactivo y propositivo, que contribuya al fortalecimiento de la institucionalidad democrática y propicie el conocimiento y debate de las iniciativas de las organizaciones miembros. Actualmente, el Centro Montalvo es la institución que coordina la Mesa de Política Sociales de Foro Ciudadano. El Centro Dominicano de Asistencia e Investigaciones Legales (CEDAIL) ocupa la actual Secretaría Ejecutiva de Foro Ciudadano. Principios básicos de Foro Ciudadano: 1 Demandar permanentemente la institucionalidad democrática de acuerdo con la Constitución Nacional y la preeminencia de la ley sobre todo poder o persona. 2 Propugnar por una ley y un principio constitucional que institucionalice la consulta y participación de la ciudadanía en todos los organismos del Estado, desde los municipios hasta el Poder Ejecutivo, como máxima expresión de la democracia. 3. Reclamar que los conflictos nacionales y locales se solucionen de conformidad con las instituciones y las prácticas democráticas. 4. Apoyar la celebración de elecciones libres y transparentes. 5. Abogar por la independencia de los poderes del Estado y la colaboración y respeto mutuo entre ellos. 6 Demandar el acatamiento de las decisiones del poder judicial como instancia para derimir los conflictos de acuerdo a la Constitución y las leyes. 7 Exigir transparencia y rendición de cuentas de las actuaciones de todos aquellos/as a quienes elegimos, de sus subalternos/as, de los partidos políticos y de la Junta Central Electoral. 8. Propugnar por el mejoramiento de la calidad de vida, el respeto a todos los derechos ciudadanos, la igualdad de oportunidades, la no-violencia contra la mujer, la libertad individual, de asociación y de expresión.” (<http://centrojuanmontalvo.org.do/spip/spip.php?article121>), 2011

Indicator 4.1.4: Number and existence of an EC-supported CSO networks, active in governance issues in the Dominican Republic

There is evidence of the existence of various networks, supported by the EC, that are dedicated to the topic of governance. This support showed an impact on: 1) The legal incorporation of some networks and the organizations that form them; 2) The strengthening of the organizational structure (new statutes and regulations, strategic planning, communication plans); 3) The regionalization, that is the extension of the action radius beyond the capital city and thus the expansion of its membership; 4) In certain cases, the consolidation of the services provided to their partners; 5) A better position from which to face political impacts, either through: (i) the incursion into spaces for State-civil society dialog; (ii) the establishment of alliances with key players, introducing new topics into the public arena (iii) the introduction in Congress of the legal framework for the sector; or (iv) the articulation with state actors directly linked to the problematic under consideration.

The stated “Result 5” of PRIL addressed the strengthening of “redes” and platforms. Ten Projects worked in this area from 2006 to 2010. There is no mention of “redes” that were supported before 2006 by the EC. The issue is complex because we were not able to find hard information concerning how many “redes” exist in the country or, for that matter, how many “CSOs there are and what they do either. There are sectorial and territorial “redes”, big and small ones. Often they come and go.

PRIL conducted a study on the membership of CSO in (national) networks. The sample was 280 CSOs. 71.1% of the CSO indicated that they are members of networks. Most frequently mentioned were membership in Foro Ciudadano, INSALUD, Participación Ciudadana and Alianza ONG. 38,6 % of the CSO have memberships in international networks.

Data, sources, extracts:

“Resultado 5. Fortalecidas las redes de OSC A la consecución de este resultado contribuyen los diez proyectos subvencionados por la Línea 2 de FONDESIN (Desarrollo institucional de redes y plataformas de OSC), que han sido liderados por CEPOCS, CEPROCH, FIDEP, MUDE, CIPROS, IDEAC, COPADEBA, Colectiva Mujer y Salud, INSALUD y MOSTCHA, si bien no todos responden a las mismas características. Así, hay dos proyectos que, de una u

otra forma, afectan a la sociedad civil en su conjunto. Se trata del proyecto liderado por INSALUD, focalizado en el fortalecimiento del Foro Ciudadano, espacio de articulación ya existente que aglutina a más de 200 OSC de muy distinta naturaleza y ámbito de acción, y que ha sido el referente de sociedad civil en diversos hitos del ejercicio democrático en la historia reciente del país, y el proyecto ejecutado por Colectiva Mujer y Salud, que tiene como finalidad la creación de una red de OSC como soporte organizacional de un Sistema de Autorregulación de la Sociedad Civil Organizada (SASCO). El resto de los proyectos se orientan a la creación o fortalecimiento de redes conformadas por organizaciones por lo general de pequeño tamaño, muchas de ellas organizaciones de base, y articuladas en torno a temas específicos como la cultura (CIPROS), la economía solidaria (IDEAC), la prevención de la VIF y la violencia de género (CEPROCH), la problemática de la población haitiana (MOSTCHA), la problemática de la zona fronteriza (FIDEP) o la de los barrios de la periferia urbana (COPADEBA). Las diez iniciativas señaladas involucran de forma directa a un total de 62 organizaciones (10 gestoras y 52 asociadas)” (IBF International Consulting 2010) p. 32.

“El nivel de fortalecimiento de las asociadas con las redes o plataforma está en consonancia con el nivel de éxito en la ejecución de los proyectos. La apropiación de herramientas, estrategias y políticas por parte de las asociadas del Foro Ciudadano, la Red de Culturas Locales, Red Urbana, REDSOL, Red Jeau Viux son satisfactoria.” (IBF International Consulting 2010) p. 25

“...merece especial relevancia el proceso de consolidación y reposicionamiento en el panorama nacional que ha experimentado el Foro Ciudadano pues, como ya se ha mencionado, se trata del mecanismo considerado como el más representativo del conjunto de la sociedad civil, tanto por parte de las propias OSC como desde el sector público. De hecho, además de lo ya señalado párrafos arriba acerca de su presencia en espacios de diálogo, el Foro Ciudadano será quien asuma la consulta popular en el proceso de discusión de la Estrategia Nacional de Desarrollo de la RD. (IBF International Consulting 2010)” p. 33

“Tanto las OSC, redes y plataformas jugaron roles importantes en relación con las entidades públicas. Aunque la mayor sinergia autoridad pública-OSC se produjo en los proyectos vinculados a los gobiernos locales. En este caso las asociadas tuvieron participación notable en los presupuestos participativos de 10 municipios de la Cordillera Septentrional, en la formulación de los planes estratégicos”. (IBF International Consulting 2010) p. 26

“Hay dos proyectos que, de una u otra forma, afectan a la sociedad civil en su conjunto. Se trata del proyecto liderado por INSALUD, focalizado en el fortalecimiento del Foro Ciudadano, espacio de articulación ya existente que aglutina a más de 200 OSC de muy distinta naturaleza y ámbito de acción, y que ha sido el referente de sociedad civil en diversos hitos del ejercicio democrático en la historia reciente del país, y el proyecto ejecutado por Colectiva Mujer y Salud, que tiene como finalidad la creación de una red de OSC como soporte organizacional de un Sistema de Autorregulación de la Sociedad Civil Organizada (SASCO). El resto de los proyectos se orientan a la creación o fortalecimiento de redes conformadas por organizaciones por lo general de pequeño tamaño, muchas de ellas organizaciones de base, y articuladas en torno a temas específicos como la cultura (CIPROS), la economía solidaria (IDEAC), la prevención de la VIF y la violencia de género (CEPROCH), la problemática de la población haitiana (MOSTCHA), la problemática de la zona fronteriza (FIDEP) o la de los barrios de la periferia urbana (COPADEBA). Las diez iniciativas señaladas involucran de forma directa a un total de 62 organizaciones (10 gestoras y 52 asociadas). (IBF International Consulting 2010) p. 32

“Por su parte en algunas redes, con presencia nacional, se produjo una ampliación de su incidencia territorial y sectorial, con un mayor posicionamiento. El Foro Ciudadano produjo efectos positivos en su modelo organizativo. Tuvo un cambio que lo condujo a su descentralización y desconcentración, ampliando su presencia a nivel nacional con la incorporación de nuevas organizaciones. Además de ampliar la cobertura territorial también aumentó la presencia de sectores sociales.” “En el caso de la Red de Culturas Locales su principal logro se manifiesta en que por primera vez posicionaron la gestión cultural y

organizaron los agentes culturales. Han posicionado el tema “Cultura” en diferentes provincias y construido alianzas estratégicas con los Municipios a través de FEDOMU y con organismos públicos y privados, lo cual se traduce en reconocimiento.” IBF International Consulting 2010) p. 53

“Por su parte en algunas redes, con presencia nacional, se produjo una ampliación de su incidencia territorial y sectorial, con un mayor posicionamiento. El Programa hizo una contribución a la reanimación del proceso de articulación de la sociedad civil.” IBF International Consulting 2010) p. 9

“Diferentes redes fueron constituidas, otras renovadas.” (IBF International Consulting 2010) p. 52

“El nivel de institucionalidad fue altamente favorable hacia adentro de las OSC y las redes, aunque en su dinámica de acción e impacto hacia afuera se puede considerar aún bajo y de difícil medición.” (IBF International Consulting 2010) p. 9

“IDEAC capacitó a las OSC sobre temáticas económicas, acuerdos comerciales, deuda externa, y consiguió la integración de la Red de Economía Asociativa al Foro Ciudadano y la creación de la Mesa de Economía y Comercio del mismo, que actúa en sinergia con otras como la Mesa de Transparencia y la de Políticas Sociales.”...“Fundación Solidaridad capacitó igualmente acerca de la Ley 176/07 y sobre la Ley de Libre Acceso a la Información Pública. Contribuyó a la formación de 30 Agentes de Desarrollo Local. Conformó el Consejo de Desarrollo Municipal de Altamira y el Observatorio Virtual de la Democracia Local, elaboró la Guía metodológica para la aplicación de la equidad de género en la gestión municipal y creó la Red Juvenil para la Acción Ciudadana.”...“PROMUS, elaboró la base de datos de las OSC de la región, creó e incorporó una Red de 50 OSC de la Región Enriquillo, elaboró e implementó sistemas de planificación, seguimiento, contabilidad y evaluación de proyectos, capacitó en diseño de planes estratégicos y comunicación, estableció alianzas con otras OSC y con otros actores sociales como la red SASCO, la red por la Salud de la Mujer, el centro de Representación de la Cámara de Diputados y la Mesa de Políticas Sociales del Foro Ciudadano.

CIPROS, por su parte, creó una red con 80 OSC agrupadas en 3 Comités Regionales y 7 Comités Provinciales, elaboró una propuesta de Gestión y Estructuración de Redes Culturales y un documento de Estrategia de Políticas Culturales para la defensa y aplicación de los Derechos Culturales, diseñó políticas de Incidencia en los Medios de Comunicación y capacitó en el diseño de planes locales, gestión de redes, políticas de gestión del desarrollo y de las culturas locales y nos dejó un calendario de manifestaciones culturales.”...“La Colectiva Mujer y Salud procedió a la creación de la red SASCO que con 43 OSC integradas, pretenden aplicar los instrumentos desarrollados que son un Código Ético de conducta y una Guía de Criterios y Estándares de Evaluación de la Calidad de las OSC con el compromiso común de mejorar y mantener en sus actuaciones estándares de calidad y solidaridad para el desarrollo humano.”... MOSCTHA, en su objetivo de impulsar políticas migratorias que reduzcan la vulnerabilidad de los migrantes y sus descendientes elaboró su plan estratégico, una guía para la gestión, un plan de incidencia y perfiles de proyectos para garantizar la sostenibilidad de la red. También se afilió y participó en foros internacionales.”...“ CEPOCS, consiguió incorporar la Red Acción Cordillera y a las OSC asociadas en su mayor parte, creó herramientas de planificación y de seguimiento y control financiero, dotó de infraestructura logística a la red y a las OSC, capacitó en Gestión de Proyectos y Nuevas tecnologías de información y comunicación, y realizó intercambios de experiencias de desarrollo local. CEPROSH, creó e incorporó la red REVIDA, red para una vida sin violencia, capacitó a OSC de la red en planificación estratégica con perspectiva de género, diseñó proyectos transversalizando la perspectiva de género y violencia. Visibilizó la problemática de la violencia de género y editó materiales y un programa.”...“MUDE, consiguió el fortalecimiento de las capacidades institucionales y de gestión de organizaciones de mujeres de las provincias de Santiago Rodríguez, Montecristi y Dajabón, creando la Red Territorial de Mujeres del Noroeste y capacitando a las OSC de la

red.”...”IDEAC, ha creado e incorporado la red de Economía Solidaria REDESOL, y participa en Foro Ciudadano, en la Mesa de Economía y Mercado, ha realizado un Informe sobre el Sector de la Economía Solidaria a nivel nacional, ha impartido el Primer Diplomado de Economía Solidaria y ha elaborado un Anteproyecto de Ley para la Regulación del Sector de la Economía Solidaria y ha visibilizado la Economía Solidaria en los medios de comunicación.” ...” Colectiva Mujer y Salud en su afán de fortalecer la capacidad de veeduría, incidencia y control social de la REDSAM, para incidir en la aplicación de las políticas públicas del sector salud, se vinculó con 64 organizaciones que trabajan los temas de salud y género en unas 18 provincias y ha elaborado instrumentos regulatorios, operativos, de Planificación, Seguimiento y Evaluación de las actividades de la Red.”...” FIDEP ha conformado y fortalecido la red de organizaciones de la sociedad civil de la región fronteriza, estando en proceso de incorporación. Ha procedido a la legalización de 5 organizaciones y ha capacitado en ofimática y gestión de proyectos (Eductrade – Centro de Estudios Juan Montalvo 2010) p.46

Pertenencia a Redes, Plataformas, Foros o Espacios de Coordinación Nacionales

Table 25: *Pertenencia a Redes, Plataformas, Foros o Espacios de Coordinación Nacionales*

Respuesta	Frecuencia	Por ciento
No	68	24.3
No responde	13	4.6
Si	199	71.1
Total	280	100

Source: own presentation

Las organizaciones, redes y coordinaciones nacionales reiteradamente mencionadas, fueron:

Table 26: *Organizaciones, redes y coordinaciones nacionales reiteradamente mencionadas*

Coordinación	Frecuencia	Coordinación	Frecuencia	Coordinación	Frecuencia
Foro Ciudadano	23	Coalición ONG VHSIDA	4	Pastoral social	2
INSALUD	17	Rwd Jac Viux	4	Consorcio NINA	2
Participación Ciudadana	6	Alianza Pro-Batey	4	Red Culturas Locales	2
Alianza ONG	6	CONAMUCA	2	Batey Relief	1

Source: own presentation

En total fueron mencionadas 196 organizaciones como referencia de redes o coordinaciones, más 24 vinculadas al Estado y organismos internacionales. Siendo el Foro Ciudadano e INSALUD las 2 más mencionadas.

Table 27: *Pertenencia a Redes, Plataformas o Foros Internacionales*

Respuesta	Frecuencia	Por ciento
No	142	50.7
No responde	30	10.7
Si	108	38.6
Total	280	100

Source: own presentation

Se mencionaron en total 223 espacios, coordinaciones y redes internacionales. Cuando sola 108 organizaciones equivalente al 38,6 % declararon pertenecer a estos foros. Lo que se explica por que cada una de las organizaciones tiene vínculos internacionales o pertenece a 2,3 y 4 coordinaciones internacionales, al mismo tiempo”

(PRIL – Diagnóstico 2009) p 67-70

JC 4.2: CSO's participation in governance-related activities is done in complementarity with local government and the private sector and is likely to be sustainable over the long-term.

Overall analysis of JC 4.2

There is more recognition and legitimacy of the CSO in the society. Few joint actions of CSO, the private sector, local governments and the public sector are reported, and there is no record of any complementary actions being specifically planned that way.

Interventions supported by the EC, such as PARME resulted in the creation of new legal frameworks that contain a new model of decentralization characterized by the participation of civil society and the participatory planning that demonstrates a greater appreciation of the CSO in society. The adoption of the Law 122-05 that regulates the CSO can be considered to be a formal recognition and provides them with legitimate accreditation as actors in the establishment of changes in political practices (I 4.2.1) There are examples of experiences of dialog between the CSO and local authorities in the planning and implementation of projects at the local level. In this context should be mentioned the new Law of Municipalities (176 -07) that regulates the role of the CSO in local development and which seeks the active participation of the civil society in all planning and implementation processes at the local level. The Law of municipalities (176-07) was promoted by PARME.

There is little evidence of joint or complementary actions between the CSO, local authorities and the private sector. There is evidence that local authorities are involving CSO on the planning and execution of programmes. (I 4.2.2). These actions could be considered isolated, because traditionally in the Dominican Republic there is little interaction between these three actors. (I 4.2.3). In that light, we found evidence to confirm that GODR's policies on the role of CSOs in governance activities had been adopted. This has been demonstrated by introducing a series of reforms and other regulations related to the actions of the CSO and the promulgation of new laws which are promoting the participation of citizens in the creation of efficient and transparent institutions, especially at the municipal level". With the support of PARAP the government recognizes that the SC should influence, monitor, and contribute to the quality of public services. (I 4.2.4) Evidence has been found relating to a significant increase in EC funding for activities related to improving the relationship between the State and non-state actors. Compared to a decade ago, the EC is presently dedicating considerably more funds to this sector. The PASCAL Project, with major funding (€15.6m), is scheduled to begin in 2011 and aims to strengthen the NSA and LA, which demonstrates a continuation of strong EC support for this sector. Another strong CSO support is reflected in the CSO component of the new Administration Reform Project (PARAP), which began in 2010. Another evidence for mayor funding has been found in the local thematic calls NSA-LA and Democracy Human Rights. (EIDHR) call (I 4.2.5).

Analysis of indicators

Indicator 4.2.1: Evidence of EC support in the creation of a social framework that provides recognition and increased legitimacy of CSOs as partners to foster governance

Interventions supported by the EC resulted in the creation of new legal frameworks as well as new models of decentralization characterized by the participation of civil society and participatory planning methods, which demonstrate a greater appreciation of the CSO.

The adoption of the new law in 2005 that regulates the CSO can be considered to be a formal recognition and provides them with legitimate accreditation as actors in the establishment of changes in political practices.

Initiatives of the European Union - such as the PRIL – are working to fill this new political space with dialog, participation and democratic procedures. There is clear evidence that society is looking for the

promotion of effective community participation in the handling of local public affairs. Therefore, innovative mechanisms for planning and participatory management have been established, within which the CSO play a key role in the design and implementation of development plans and policies

Overall, through interventions (PRIL) supported by the EC, the dialog between the civil society and the powers of the state has been intensified (e.g. projects supported by FONDESIN).

PARME promoted the Law (176-07) of the National District and the municipalities which recognizes that the civil society is an important actor in the municipal management and partner to foster governance

In the last decade a number of laws and decrees have been adopted that specify a strong participation of civil society in their implementation.

Data, sources, extracts:

“Se consolide el SIFMUN, y se mantengan las experiencias de presupuesto participativo o auditoría social vía los comités de la Ley 176/07 del Distrito Nacional y los Municipios.” IBF International Consulting (2008): pg 11

“El PARME impulsó varios proyectos legislativos, de los que se presentaron cuatro al Congreso. Se logró cristalizar de modo pleno la Ley 176-07 del Distrito Nacional y los municipios.” IBF International Consulting (2008): pg 31

“La reforma legislativa constituye uno de los principales logros del PARME. A esto, debe sumarse el hecho de que la Ley 176-07 del Distrito Nacional y los Municipios contiene un nuevo modelo de descentralización caracterizado por participación de la sociedad civil (artículo 226 y siguientes), control y vigilancia ciudadana (artículos 244 y 245), más democracia en la elección de los representantes de los distritos municipales (artículo 81), equidad de género y lenguaje género sensitivo (la Ley en general y el artículo 34 en especial), aplicación del eje transversal de protección al ambiente (artículo 127), planificación participativa (artículo 236 y siguientes), que se ve reforzada por la “Ley 166-03 Transferencias a los ayuntamientos” en tanto garantiza transferencias presupuestarias y que, si bien no es resultado directo del PARME, ha sido adoptada gracias al proceso general en el que el Programa se ha visto inscrito. La Ley 176-07 contempla figuras jurídicas que permiten un desarrollo compartido entre los ayuntamientos, tanto por medio de mancomunidades (artículo 72) como por asociaciones (artículo 367), y nuevas definiciones en la relación de los ayuntamientos con el Gobierno Central (artículos 101 y 105).” IBF International Consulting (2008): p. 31

“Asimismo, se pudo entrevistar varias organizaciones no gubernamentales que explicaron su intervención de apoyo a procesos de planificación participativa, como Ciudad Alternativa, Juan Montalvo y otra.” IBF International Consulting (2008): p. 34

Logros “Sobretudo las experiencias de presupuesto participativos o auditoría social en los municipios, mediante los comités contemplados en la Ley 176/07 del Distrito Nacional y los Municipios, y las actividades de las organizaciones de la sociedad civil”; IBF International Consulting (2008): p. 57

“La misión pudo observar que hubo un impacto positivo en la lógica de institucionalización - legalización de las OSC pequeñas y medianas, muchas ubicadas en las provincias. Un síntoma relevante de este fortalecimiento es la obtención de personería jurídica de un alto número de instituciones que no la tenían; previo a lo cual se dieron múltiples procesos de capacitación, debates y reflexiones para la formulación de estatutos, reconocimiento del rol institucional y estructuración de nuevos consejos o directivas. La personería jurídica es el “acta de nacimiento”, lo cual le garantiza mejores condiciones para operar y le produce un efecto positivo en cuanto que le permite un ambiente favorable para la negociación con la Administración Pública y con entidades privadas”. (IBF International Consulting 2010) p. 52

“Han posicionado el tema “Cultura” en diferentes provincias y construido alianzas estratégicas con los Municipios a través de FEDOMU y con organismos públicos y privados, lo cual se traduce en reconocimiento”. (IBF International Consulting 2010) p. 53

“Por su parte en algunas redes, con presencia nacional, se produjo una ampliación de su incidencia territorial y sectorial, con un mayor posicionamiento. El Foro Ciudadano produjo efectos positivos en

su modelo organizativo. Tuvo un cambio que lo condujo a su descentralización y desconcentración, ampliando su presencia a nivel nacional con la incorporación de nuevas organizaciones. Además de ampliar la cobertura territorial también aumentó la presencia de sectores sociales. Un efecto importante ha sido el reposicionamiento del Foro en el escenario político-público.” (*IBF International Consulting 2010* p. 53)

“Y de forma general, los efectos del PRIL en la institucionalidad de la sociedad civil en su conjunto están relacionados con:

- Regionalización, contribuyendo a ampliar la perspectiva territorial más allá de la ciudad capital.
- Reposicionamiento de un actor clave por su legitimidad y representatividad, como es el Foro Ciudadano” (*IBF International Consulting 2010*) p. 39

“Incrementada la participación de las OSC en el diálogo político y en los procesos de desarrollo. A la consecución de este resultado contribuyen los cinco proyectos subvencionados por la Línea 4 de FONDESIN, cuya finalidad fue el fortalecimiento de la institucionalidad de la sociedad civil en su conjunto y de los procesos de diálogo y concertación Estado-sociedad civil.

Dos de estos proyectos son de índole normativa: la puesta en marcha del marco legal de las ASFL (Ley 122-05), a cargo de INSALUD, y el impulso de la aprobación e implementación de la Ley de Participación Social, a cargo de Participación Ciudadana.” (*IBF International Consulting 2010*) p. 27

“La Ley 122-05 está considerando el aporte de las organizaciones sin fines de lucro a la construcción de cambios democratizadoras en la cultura y en las prácticas políticas que posibilitan un mayor control social sobre las acciones de los representantes políticos”. Alianza ONG (2008)

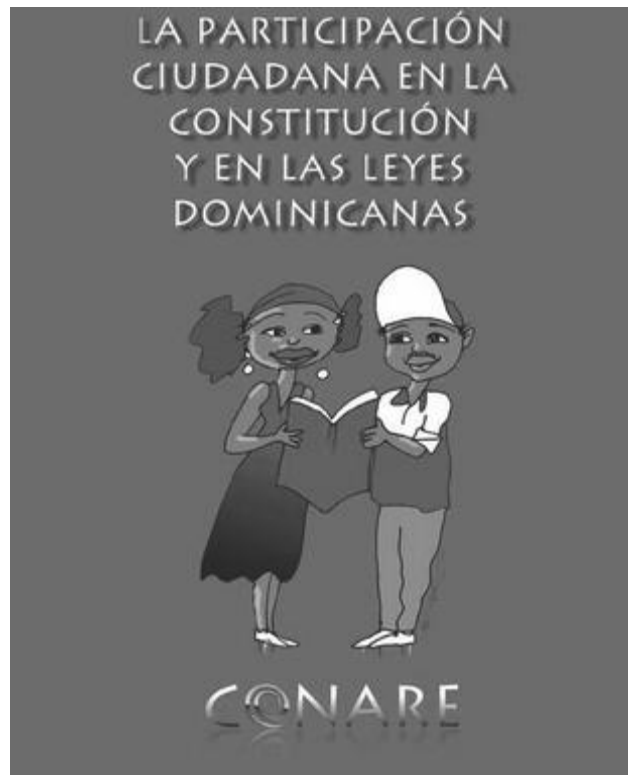
” La concertación, promulgación y puesta en vigencia de la Ley 122-05 y su Reglamento de aplicación forman parte de un amplio proceso de reformas institucionales y sectoriales que viene aconteciendo en el país en los últimos 15 años; durante los cuales importantes leyes, decretos, planes sectoriales y tratados de libre comercio , han establecido un nuevo ordenamiento para las relaciones estado-ASFL en la prestación de servicios públicos sectoriales, en la democratización de la democracia, así como en el fortalecimiento de cooperación internacional y multilateral”. Alianza ONG (2008) p. 65

“Estas leyes y normativas se relacionan directa o indirectamente con el accionar de las asociaciones sin fines de lucro, estableciendo nuevas instancias de participación social y mecanismo de financiamiento para las actividades de estas asociaciones”. Alianza ONG (2008) p. 65

“La Ley 176-07, del distrito Nacional y los Municipios. Un componente clave de esta legislación lo constituye el fomento de la participación efectiva de las comunidades en el manejo de los asuntos públicos locales. Para ello se establecen novedosos mecanismos de planificación y gestión participativa, dentro de las cuales, las asociaciones sin fines de lucro tendrán un papel clave en el diseño y ejecución de los planes y políticas de desarrollo municipal (Alianza ONG 2008) p. 66

En relación a la aplicación de la Ley 122-05 sobre Asociaciones Sin Fines de Lucro se desarrollaron algunas intervenciones, que si bien fueron de pocos impactos, las mismas podrían ser potencializadas por parte del Centro de Fomento, a través de su plan estratégico, el cual estaría en definición. Este Centro tiene presupuesto y un Consejo donde convergen los actores públicos y de la sociedad civil.” (*IBF International Consulting 2010*) p. 55

“CONARE pone en circulación brochure sobre la participación ciudadana



..... “Haber alcanzado una legislación que reconoce e instituye mecanismos de participación en diversas esferas de la vida pública”, escribe el doctor Marcos Villamán, director ejecutivo del CONARE, en la presentación de esta nueva publicación, “es uno de los logros relevantes que puede exhibir la República Dominicana en el esfuerzo por fortalecer su democracia”. “El lector podrá verificar distintas formas de participación ciudadana en la Constitución de la República, promulgada el 26 de enero de 2010, así como en las leyes de Educación, Salud, Planificación e Inversión Pública, la del Distrito Nacional y los Municipios, y en la Ley de Compra y Contrataciones Públicas, entre otras.” (<http://www.conare.gob.do/tabid/107/itemid/117/CONARE-pone-en-circulacin-brochure--sobre-la-part.aspx> 2011)

Table 28: Leyes relevantes con participación ciudadana

Constitución de la República Dominicana, promulgada el 26 de enero de 2010
Ley No. 41-08 promulgada el 16 de enero de 2008, de Función Pública y que crea el Ministerio de Administración Pública
Ley No. 176-07 promulgada el 17 de julio de 2007, del Distrito Nacional y los Municipios
Ley No. 498-06 promulgada el 28 de diciembre de 2006, de Planificación e Inversión Pública
Ley No. 340-06 promulgada el 24 de julio de 2006, Sobre Compras y Contrataciones de Bienes, Servicios, Obras y Concesiones
Ley No. 122-05 promulgada el 8 de abril de 2005, para la Regulación y Fomento de las Asociaciones sin Fines de Lucro en República Dominicana
Ley no. 358-05 General de Protección de los derechos del Consumidor o Usuario
Ley No. 200-04 promulgada 28 de julio de 2004, General de Libre Acceso a la Información Pública
Ley No. 10-04 promulgada el 20 de enero de 2004, de la Cámara de Cuentas de la República Dominicana
Ley No. 147-02 sobre Gestión de Riesgos
Ley No. 87-01 promulgada el 9 de mayo de 2001, que crea el Sistema Dominicano de Seguridad Social
Ley No. 42-01 promulgada el 8 de marzo de 2001, General de Salud
Ley No. 64-00, promulgada el 18 de agosto de 2000, General Sobre Medio Ambiente y Recursos Naturales
Ley No. 49-00 General de la juventud
Ley No. 86-99, promulgada el 11 de agosto de 1999, que crea el Ministerio de la Mujer
Ley No. 66-97 promulgada el 9 de abril de 1997, Ley Orgánica de Educación
Ley No. 6 Que crea el instituto nacional de Recursos Hidráulicos INDRHi
Decreto 340-09 Que crea la Comisión Nacional de Empleos
Decreto No. 279-93 que crea el fondo de Promoción a las iniciativas Comunitarias (PRoComUnidad), adscrito al Poder ejecutivo

Source: Consejo Nacional de Reforma del Estado 2011

Indicator 4.2.2: Evidence of EC-supported dialogue with local authorities on planning and implementation of programmes

Within the context of PRIL implementation there are multiple examples of experiences of dialog between the CSO and local authorities in the planning and local implementation of initiatives. In this context should be mentioned the new Law of Municipalities (176 -07) which seeks the active participation of civil society in all processes of the planning and implementation of projects at the local level. This dialog has resulted in several strategic local plans and other management tools with the support of the EC.

PARME with its decentralization component supported at municipal level the involvement of CSO. The Support Program to Civil Society and Local Authorities (PASCAL) arises mainly from the lessons learned from PARME and PRIL. It aims at promoting the linkage of NSA and LA for human development and the promotion of participatory democracy, considering favorable the existence of a legal framework such as the Law 176-07. This law guarantees the active exercise of citizenship. Supporting the effective implementation of that law, by promoting processes such as the participatory municipal budget, is one of the purposes of PASCAL.

The Ministry of Planning and Development in its comments dated September 12, noted that a good example of CSO-local authority collaboration took place in Villa Gonzales. No further details were provided.

Evidence of dialogue and local authorities

“Como se puede observar el impacto producido en la relación gobierno local y la sociedad civil fue positivo, con lo cual quedó evidenciado que las estrategias destinadas al fortalecimiento de la sociedad civil y su vinculación con las administraciones municipales son correctas y factibles en su aplicación.” (IBF International Consulting 2010) p. 9

“... el Programa impulsó el apoyo a iniciativas de fortalecimiento de los gobiernos locales, las cuales impactaron positivamente a través de los 4 proyectos y la acción directa de la UTG, la continuidad de este proceso carece de una entidad de la Sociedad civil que sea “doliente” del mismo. Aunque existe la FEDOMU que ha asumido un compromiso con determinados procesos, siempre es importante un contrapeso social con visión nacional. Aunque los logros alcanzados continuarán dinamizados por las organizaciones municipales. (IBF International Consulting 2010) p. 10

Evidence of dialogue and local planning

“...iniciativas del PRIL, donde convergieron OSC y gobiernos locales, disponen de condiciones favorables para su sostenibilidad. Son casos relevantes y destacables de buenas prácticas el Ayuntamiento Juvenil y la política de niñez en Villa González, la integración del enfoque de género al presupuesto participativo en Altamira, las agendas de desarrollo de Boya, Majagual y Gonzalo; y las incipientes iniciativas de creación de las Oficinas de Acción Comunitaria en una parte importante de los municipios de la Cordillera Septentrional. En esta línea también cabe integrar el Plan de Desarrollo Local del Distrito Municipal de Hato Damas. (IBF International Consulting 2010) p. 25

“Aunque la mayor sinergia autoridad pública-OSC se produjo en los proyectos vinculados a los gobiernos locales. En este caso las asociadas tuvieron participación notable en los presupuestos participativos de 10 municipios de la Cordillera Septentrional, en la formulación de los planes estratégicos de Sabana Grande de Boya y Hato Damas, proyecto gestionado por COTEDO y la UTG del PRIL. Las mujeres del proyecto de CEPOCS incorporaron y demandaron presupuesto sectorial al ayuntamiento de Navarrete, y en el proyecto de la Fundación Solidaridad las asociadas fueron parte del proceso que concluyó con la creación de un departamento de equidad de género en Altamira y la articulación de la propuesta de Ayuntamiento Juvenil y de una política de niñez. (IBF International Consulting 2010) p. 25

“Los proyectosestuvieron a cargo de Fundación Solidaridad, COTEDO y CEPOCS, los tres desarrollados en la Región Norte, así como el ejecutado por el IDDI en seis barrios periféricos de la capital, todos ellos relacionados en mayor o menor medida con la aplicación de la Ley 176-07, y más concretamente, con aquellos aspectos relativos a la participación ciudadana en la gestión municipal.” (IBF International Consulting 2010) p. 28

“El proyecto a cargo de Fundación Solidaridad ha posibilitado el desarrollo de cuatro iniciativas exitosas: a) Ayuntamiento Juvenil en Villa González, espacio de participación de jóvenes que ha sido reconocido como tal por el Concejo Municipal, creándose además en dicha alcaldía el Departamento de Juventud y Niñez; b) Relanzamiento del Plan Estratégico del mismo municipio; c) Participación comunitaria en Altamira, destacándose la incorporación del enfoque de género en el Presupuesto Participativo elaborado; y, d) Observatorio de la democracia local (IBF International Consulting 2010) p. 28

“Por su parte, con el proyecto de COTEDO se ha logrado impulsar la participación de la sociedad civil en la gestión municipal de Sabana Grande de Boyá y los distritos municipales de Majagual y Gonzalo, evidenciándose principalmente en tres Agendas de Desarrollo consensuadas y aprobadas por los respectivos gobiernos locales (Ayuntamiento y Juntas Municipales).” (IBF International Consulting 2010) p. 29

“Así, desde la UTG se ha contribuido....mediante la realización de diversas acciones que van desde la difusión de la Ley 176-07 en numerosos municipios de las áreas de influencia del PRIL, hasta el diseño de un modelo de Plan Estratégico de Desarrollo Local, pasando por la elaboración y posterior socialización con OSC y autoridades locales de herramientas prácticas para la implementación de los mecanismos de participación que la Ley contempla”. (IBF International Consulting 2010) p. 29

“De hecho, una de las líneas de intervención del PRIL ha sido considerada hasta cierto punto como el embrión de este Programa: favorecer una gobernabilidad local más democrática y participativa (mayor conocimiento por parte de las OSC y de los gobiernos locales de la Ley 176-07 y generación de experiencias replicables de participación de la ciudadanía y de incidencia de la sociedad civil en la gestión municipal). De ambas

intervenciones se desprenden diversos aprendizajes respecto al fortalecimiento de las AL y ANE de cara a su interacción (relevancia de la participación ciudadana en los procesos de reforma y modernización del Estado y creación de capacidades institucionales). En el caso del PRIL, los aprendizajes derivados a favor de una gobernabilidad local más democrática, van un poco más allá (Por un lado, se estima que existe un acumulado déficit de ciudadanía para cambiar el “statu quo”, requiriéndose la toma de conciencia por parte de las/os municipales de sus derechos y deberes en el nuevo escenario creado por la normativa vigente. Por otro, se considera que el desarrollo de la capacidad propositiva y de incidencia política de la sociedad civil es todavía incipiente, especialmente en los aspectos sociales del desarrollo, y deberá ser objeto de especial atención, priorizándose la incidencia en la aplicación de las leyes ya existentes). “Matias Domingo

”Recientemente, en agosto del 2010, se ha creado en la República Dominicana el Grupo de Trabajo Interagencial sobre Sociedad Civil y Actores Locales, como espacio de interlocución y coordinación de diferentes instituciones donantes de fondos, tales como el BM, el BID, la AECID, JICA, USAID, la UE y otros. Esta instancia de articulación permite potenciar sinergias entre las distintas iniciativas que cada entidad impulsa en el terreno, de modo que se maximice el impacto positivo en el desarrollo humano a escala local.” (UE-DIGECCOM 2010) p. 23

”El acercamiento a las iniciativas que han generado aprendizajes significativos acerca de la articulación de ANE y AL para el desarrollo humano con enfoque de derechos, llevadas a la práctica en la República Dominicana, es una vía excelente que permite incorporar ideas, sugerencias y, sobre todo, metodologías útiles para promover la democracia participativa y la descentralización en otros municipios. Se entienden por buenas prácticas de articulación de ANE y AL aquellas experiencias que han resultado exitosas y que cumplen con una serie de criterios, generalmente aceptados, en su implementación, entre los cuales destacan los siguientes. A continuación, se presentan algunas buenas prácticas llevadas a cabo en la República Dominicana que involucran a los ANE y las AL en procesos de desarrollo local, cuyos enfoques metodológicos se han basado en la participación de la ciudadanía y los Gobiernos Locales conjuntamente, y que, por lo tanto, han promovido la democracia participativa.

Table 29: Buenas prácticas de la democracia participativa

Presupuesto Municipal Participativo en Villa González

“La juventud de la comunidad de Guaricano, protagonista de su desarrollo social y laboral con igualdad de oportunidades

“Transportando al Futuro” en San Ignacio de Sabaneta

Articulación de la Sociedad Civil y el Estado en la formulación del Plan Municipal de Combate al VIH/SIDA en Bayaguana.

Campamentos Infantiles en La Vega.

Promoción de Igualdad entre Mujeres y Hombres en Comunidades de Cambita y Altigracia.

El Foro Social de Puerto Plata.

Source: UE-DIGECCOM 2010

”Acciones de fortalecimiento institucional en los Ayuntamientos del Distrito Nacional y la Provincia de Santo Domingo, y de los municipios del Cibao, sur y este....La siguiente matriz presenta una relación de las acciones de fortalecimiento institucional que se apoyaron en el Programa, organizadas en 10 líneas temáticas generales en las que se pueden enmarcar todas las intervenciones realizadas.

Table 30: *Matriz de intervenciones de fortalecimiento institucional en los Ayuntamientos apoyadas por el Componente de Descentralización del PARME¹⁷⁰*

AYUNTAMIENTOS	Sistema tributario mun.	Gestión territorial	Estructura Organizativa	Planificación Estratégica	Presupuesto Participativo	Participación Social	Remodelación Sala Capitular	Página Web	Normativa Municipal	Gestión ambiental
REGION 1: CIBAO NORTE										
1. Gaspar Hernández	X		X			X		X		
2. Jánico					X					
3. Moca	X	X								
4. Puerto Plata				X						
5. Santiago		X		X		X			X	
6. Villa Bisonó					X		X	X		
7. Villa González	X	X	X	X	X	X	X	X	X	
REGION 2: CIBAO SUR										
8. La Vega	X					X		X		
9. Maimón	X				X					
REGION 3: CIBAO NORDESTE										
10. Cevicos			X							
11. Nagua	X	X								
12. Pimentel		X			X					
13. Salcedo	X	X		X	X	X				
REGION 4: CIBAO NOROESTE										
14. Mao	X	X	X	X	X	X	X	X	X	
REGION 5: VALDESIA										
15. Baní				X						
16. San Cristóbal	X	X				X				
17. Villa Altagracia	X	X	X							
REGION 6: EL VALLE										
18. Juan de Herrera			X							
REGION 7: ENRIQUILLO										
REGION 8: YUMA										

¹⁷⁰ Otras cinco intervenciones de refuerzo institucional se realizaron en el marco del Fondo de Acompañamiento, a las asociaciones regionales ASOMURE y MANCOMUDES, y a los municipios de Salcedo, Sabaneta y Santiago.

19. La Romana	X	X	X	X		X	X	X	X	X
20. Miches	X	X				X				
REGION 9: HIGUAMO										
21. Sabana Grande de Boyá					X					
22. San Pedro de Macorís		X		X			X			
23. Yamasá	X		X			X				
REGION 10: OZAMA										
24. Boca Chica	X	X	X							
25. Distrito Nacional		X		X		X			X	
26. Los Alcarrizos	X	X		X		X				
27. Santo Domingo Este	X	X	X							X
28. Santo Domingo Oeste	X	X			X			X		X

Source: Reinoso, Rosa María Arlene y Martínez, Radames 2008

“.....**Planificación Estratégica:** El programa apoyó el impulso a 10 planes estratégicos municipales, que se encontraban en diferentes niveles de avance. Estos correspondieron a los municipios de: Villa González, Puerto Plata, Salcedo y Mao, en el Cibao; Baní en el sur; La Romana y San Pedro de Macorís en el este; y el Distrito Nacional y Los Alcarrizos en la zona metropolitana de Santo Domingo. En el caso de Villa González y Mao, el apoyo permitió completar el proceso de formulación del plan y editar una publicación; y en Santiago, donde el Plan Estratégico se encuentra en fase avanzada de implementación, se apoyó una consultoría internacional para diseñar el Plan de Marca Ciudad. En la mayoría de los demás municipios se apoyó el proceso de socialización y articulación de actores en torno al plan y el inicio de su formulación. Este apoyo tiene a la vez un impacto indirecto en la masificación de esta herramienta de planificación.... **Presupuesto Participativo.....**Un total de 9 municipios lograron fortalecer e implementar el mecanismo de presupuesto participativo con apoyo del programa. Tres de ellos trabajaron en una modalidad que enfatiza el enfoque de género (Villa Bisonó, Pimentel y Jánico) con el acompañamiento de GTZ. Esto, paralelamente al apoyo que desde la Unidad de Presupuesto Participativo del CONARE se brindó a los demás municipios que adoptaron esta herramienta de planificación participativa, alcanzando a un total aproximado de 120 municipios beneficiados.....**Participación Social:** Esta línea de intervención se ejecutó en 12 ayuntamientos con modalidades muy diferenciadas. En Salcedo se creó una Oficina de Participación Comunitaria; en Villa González y el Distrito Nacional se implementaron mecanismos de auditoría social; La Vega elaboró un registro de organizaciones sociales del municipio; en Yamasá se definió una política de participación social y en La Romana se dotó de un sistema digital para ofrecer información a los munícipes. Por otro lado, en el ayuntamiento de Los Alcarrizos además de un registro de organizaciones, se elaboró un reglamento para normar las relaciones entre el ayuntamiento y la sociedad civil. En Santiago se creó el Sistema Municipal de Participación Comunitaria (SIMUPAC), a partir de un diagnóstico de la Oficina de Asuntos Comunitarios y acciones para su fortalecimiento y la aprobación mediante resolución municipal un Sistema de Registro y Habilitación de Juntas de Vecinos..... A pesar de que en la formulación del programa no estaba previsto el trabajo directo con organizaciones de la sociedad civil, se visualizó su potencial para el acompañamiento a algunos ayuntamientos en áreas temáticas de su dominio y que en muchos casos ya tenían una relación previa con los ayuntamientos. Las principales organizaciones que se han sumado al proceso son Participación Ciudadana, Centro Juan Montalvo, Centro Dominicano de Educación Ecológica (CEDECO), Fundación para el Desarrollo de Villa Altagracia (FUDEVA), Centro de Desarrollo y Participación (CEDEPAR), Ciudad Alternativa, Fundación Solidaridad, Unión de Vecinos Activos (UVA), Agencia de Desarrollo Local (ADELO), Foro Social de Puerto Plata, Comunidad Cosecha,

Coordinadora de Asociación Sociocultural (CASCO), Centro de Estudios Urbanos y Regionales (CEUR) e Instituto Tecnológico de Santo Domingo (INTEC), entre otros. Las áreas temáticas principales en las que estas organizaciones acompañaron a los ayuntamientos, con el apoyo del programa, han sido transparencia en la gestión pública, presupuesto participativo, medio ambiente, diagnóstico participativo y gestión con perspectiva de género.” (Reinoso, Rosa Maria Arlene y Martínez, Radames 2008) p 35

Indicator 4.2.3: Evidence of EC-supported joint action between local governments, civil society and private sector

There is little evidence about joint ventures between the CSO, local authorities and the private sector. These could be considered isolated given the situation in general in Dominican Republic that there is still a lack of relations between the three stakeholders.

The EC – supported SABAMAR had experiences in a pilot project in 2001 with joint actions between community enterprises, municipality and NGOs. PRIL supported some initiatives with a similar institutional setup. Traditionally there are joint actions between the private Sector and CSO as part of the CSR (Corporate Social Responsibility) activities. These usually do not deal with governance issues.

Evidence of joint action LA-CSO-Private sector

“Un efecto a resaltar es la incorporación de un nuevo actor, el sector productivo comercial a la Junta Directiva del Consejo de Desarrollo de Villa González, el cual gestiona su plan estratégico. Esto se constituye en un nuevo referente de incorporación de estos sectores a la definición de las políticas de desarrollo en los municipios pequeños. En República Dominicana existen poco referentes de una relación triangular OSC-ayuntamientos-sector privado. El sector productor de tabaco, transporte y comercio fueron los más integrados. (IBF International Consulting 2010) p. 51

“En el caso de la Red de Culturas Locales su principal logro se manifiesta en que por primera vez posicionaron la gestión cultural y organizaron los agentes culturales. Han posicionado el tema “Cultura” en diferentes provincias y construido alianzas estratégicas con los Municipios a través de FEDOMU y con organismos públicos y privados, lo cual se traduce en reconocimiento.” (IBF International Consulting 2010) p. 53

“En relación con el diseño de un modelo de plan estratégico de desarrollo local, el PRIL apoyó un proceso concertado entre las organizaciones sociales, los sectores productivos y las entidades del gobierno local, para afrontar de forma conjunta la elaboracióndel “Plan Estratégico de Desarrollo Local del Distrito Municipal de Hato Damas”, actualmente en ejecución. (IBF International Consulting 2010) p. 30

El Proyecto Piloto fundamentará su desarrollo en el trabajo de cuatro (4) ONG’s locales (citadas anteriormente), previamente contratadas por el Proyecto Piloto, de probada experiencia en iniciativas para el mejoramiento comunitario y con alta incidencia en las Organizaciones Comunitarias Barriales OCB’s. Mediante un trabajo conjunto se crearán las Microempresas Comunitarias (MEC), las cuales tendrán áreas geográficas delimitadas para la recogida de RSU en los barrios, es decir, aquellos lugares de difícil acceso donde no penetran las brigadas de limpieza pública del ADN o de empresas contratadas por el propio ADN.”(ONFED 2001) p. 5

Indicator 4.2.4: Evidence of evolution in the GoDR's policies recognising an increased role of CSOs within governance activities

There is evidence of a greater recognition of the role of the CSO in society in general and in activities related to governance in particular. This is manifested in a series of reforms and other regulations related to the actions of the CSO. New laws are promoting the participation of citizens in the creation of efficient and transparent institutions. Especially at the local level, innovative mechanisms of planning and participatory management have been established, within which the CSO will play a key role in the design and implementation of the plans and policies of municipal development.

With the support of PARAP the government recognizes that the SC should influence, monitor, and contribute to the quality of public services.

The overall objective of supporting the SC in this action is: Increase of citizen participation and the impact on governance, service quality, and in particular on public administration reform. The specific objectives are: increase of awareness of CS on public administration and strengthening the role of the Dominican CS in monitoring of the progress made in public administration and their quality of services.

Evidence of state reforms concerning the role of NGOs

“La Ley 122-05 reconoce el aporte de las asociaciones sin fines de lucro a la construcción de cambios democratizadores en la cultura y en las prácticas políticas que posibilitan un mayor control social sobre las acciones de los representantes políticos...” (Alianza ONG 2008) p. 64

“La concertación, promulgación y puesta en vigencia de la ley 122-05 y su reglamento de aplicación, forman parte de un amplio proceso de reformas institucionales y sectoriales que vienen aconteciendo en el país en los últimos 15 años, durante los cuales importantes leyes, decretos, planes sectoriales y tratados de libre comercio, han establecido un nuevo ordenamiento para las relaciones Estado ASFL...” (Alianza ONG 2008) p. 64

“Estas leyes y normativas se relacionan directa e indirectamente con el accionar de las asociaciones sin fines de lucro... Dentro de las legislaciones a considerar podemos señalar las siguientes:

Evidence of civil society participation in monitoring public administration

“El apoyo a la mejora de la gobernabilidad¹ del país ha sido en los últimos 10 años un sector focal de la cooperación de la Comisión Europea (CE) en el país. El enfoque de la Comisión Europea es claro: hay un vínculo estrecho entre la mejora de la institucionalidad del país y el desarrollo del mismo. En el programa de cooperación 2002-2007, la Comisión Europea incluyó un apoyo sustancial para mejora y refuerzo de la gobernabilidad en el país. El programa PARME, incluyó tres áreas de intervención (administración pública, justicia y descentralización), y con una financiación de €30m apoyó durante 6 años a instituciones claves en la mejora de la gobernabilidad del país (CONARE, antigua ONAP, PGR, etc). La evaluación final de este programa recomendó, para posteriores intervenciones en el área de reforma del Estado, incluir la participación ciudadana como eje clave para cualquier reforma que pretenda ser democrática y sostenible. Uno de los logros más importantes a los que el programa PARME contribuyó fue la aprobación de la Ley de Función pública 41-08, que marca una nueva etapa en el largo camino hacia una administración pública profesional y de calidad. Consciente del impacto directo que una función pública profesional tiene en el desarrollo de un país, la Comisión Europea ha decidido apoyar al MAP para afrontar el reto de implementar la Ley de función pública. Por ello, en el 10° Fondo Europeo de Desarrollo (2008-2013), ha incluido un apoyo a la reforma de la administración pública. Diseñado sobre la base de las lecciones aprendidas del programa PARME (y más específicamente del componente de administración pública de este programa), y en línea con la Declaración de París sobre eficacia de la ayuda, el programa trata de ser un apoyo de tipo sectorial a la administración pública. Se trata de apoyar la consolidación de una política para la institución, con definición de prioridades, presupuestación y planificación plurianual del sector.... Por

ello, el programa aprobado "programa de apoyo a la reforma de la administración pública", por un monto de €8.8m (8 de contribución de la CE y 0.8 de aporte del Gobierno dominicano), se plantea como un apoyo al plan estratégico del Ministerio de Administración Pública. En concreto el objetivo básico del programa se ha definido de la siguiente manera: "El MAP implementa elementos claves de su Plan Estratégico 2009-2012 en al menos seis instituciones del Estado seleccionadas (Ministerio de Educación, Ministerio de Salud, de Hacienda, de Economía planificación y Desarrollo, Contraloría y Cámara de Cuentas), bajo el escrutinio permanente de organizaciones de la sociedad civil dominicana. En efecto, el programa articula, bajo una misma operación, dos líneas (2 componentes) de acciones integradas y complementarias entre sí: 1. El apoyo a la implementación del Plan Estratégico del MAP en seis instituciones seleccionadas (Ministerio de Educación, de Salud, de Economía, Desarrollo y Planificación, de Hacienda, Contraloría y Cámara de Cuentas); 2. El apoyo a las organizaciones de la Sociedad Civil para incidir, vigilar y contribuir a la calidad de los servicios públicos y, en particular, en lo que concierne a la función pública en los diferentes ámbitos. Estas dos líneas de acción responden al entendimiento de que la gobernabilidad sólo se fortalece por la necesaria activación de vínculos entre la gestión pública y las demandas de la ciudadanía. En esta línea de pensamiento, la participación ciudadana en la administración pública ha sido recientemente reconocida por el CLAD (Centro Latinoamericano de Administración y Desarrollo). El principio articulador de esta carta es el principio que inspiró el diseño del programa, a saber, la participación ciudadana en la gestión pública es consustancial a la democracia. La participación debe entenderse como una co-responsabilidad de los poderes públicos y de los ciudadanos y ciudadanas. La participación ciudadana no debe entenderse como una cuestión de confrontación (tensión) entre Estado y sociedad sino como un elemento que produce beneficios tanto para la ciudadanía como para la administración pública. En efecto, la participación aporta el punto de vista de los usuarios/clientes que puede mejorar los proyectos y planes. Además la participación demuestra un compromiso con la gestión eficaz y transparente. La presente convocatoria a propuestas se enmarca en este contexto. Esta convocatoria representa el primer paso para iniciar la implementación de la segunda línea o componente del programa: apoyo a la sociedad civil para aumentar la participación ciudadana en la reforma de la administración pública. El objetivo global de esta convocatoria de propuestas es: Aumentar la participación y la incidencia ciudadana en la gestión pública, la calidad de los servicios y, en particular, en la reforma de la administración pública en República Dominicana.

Los objetivos específicos de esta Convocatoria de propuestas son:

- fortalecer el rol de la sociedad civil dominicana en el monitoreo y fiscalización de los avances en administración pública y en la calidad de los servicios;
- aumentar el conocimiento de la sociedad civil sobre la administración pública, sensibilizar sobre el rol que debe tener esta administración pública y sus servidores públicos y aumentar la participación ciudadana en la gestión pública."

(Delegación de la Comisión Europea en República Dominicana 2010)

PARAP

The Public Reform does not rely on formally established dialogue spaces, and SEAP relationship with state actors, international cooperation and Civil Society is sporadic and informal.

Another lesson learned from the current review of the reform is that it requires government-civil society dialogue-based institutions, whereby the latter may exercise an active role in monitoring functions, oversight and guarantee. Public institutions need to strengthen themselves in connection with the mission that motivates them (services to citizenry) and not for the sake of themselves. The Civil society is called to "listen" (determination of demands) and to proactively take actions as "a transmission line" of the population's demands" (European Commission – Dominican Republic 2009) p.6

Table 31: *List of some State Reform initiatives affecting Civil Society participation*

Anterior a Ley 122-05	Posterior a Ley 122-05
<i>Ley 55-93 sobre SIDA</i>	<i>Ley 340-06 sobre Contratación Pública de Bienes, Servicios, Obras y Concesiones</i>
<i>Ley 66-97 Ley General de Educación</i>	<i>Ley 496-06 que crea la secretaría de estado de Economía, Planificación y Desarrollo</i>
<i>Ley 66-99 Secretaria de Mujer</i>	<i>Ley 498-06 que crea el sistema Nacional de Planificación e Inversión Pública</i>
<i>Ley General sobre discapacidad</i>	<i>Ley 176-07 del distrito Nacional y los Municipios</i>
<i>Ley 49-00 Ley general de Juventud</i>	
<i>Ley 66-00 Ley General de Medio ambiente y Recursos Naturales</i>	
<i>Ley 42-01 Ley General de Salud</i>	
<i>Ley 87-01 Ley de seguridad social</i>	
<i>Ley 136-04 Código de Protección de Niños, Niñas y adolescentes</i>	
<i>Ley 200-04 Ley de libre Acceso a la Información Pública</i>	

Source: Alianza ONG (2008) pg. 64

Indicator 4.2.5: Evidence of an increase in the funding made available to NGOs for governance-related activities

There is evidence of a significant increase in EC funds for NGO activities in respect to governance. Compared to a decade ago, the EC is devoting substantially more funds to this sector. In this context must be mentioned PARME, in which participated several NGOs and PRIL which exclusively sought to strengthen local initiatives with NGO participation. At present, in the EDF10 two new initiatives are about to start-- "Reform of the Administration of State" with a component devoted to Civil Society and the new Program PASCAL with relatively large funds reserved exclusively for NSA and LA (€15.6m). There is also the instrument EIDHR and another co-funding scheme with European NGOs which also provide funds to influence governance.

The Program of Local Initiatives (PRIL) aims to increase the participation of the Dominican CS in the definition and implementation of public policies within the framework of the construction of mechanisms of social cohesion. The program is part of a process of involving the SC in the (national) context that has progressively evolved in a constitutional reform, the production of new laws (Law of ASFL, Law of Social Participation, Municipalities Act), their respective regulations and the creation of a recent institutionality (e.g. Center for the Promotion of the ASFL). The Program of Support to Reform and Modernization of the State (PARME) was contributing to: 1. increase the legal security and overall respect for the rights of citizens; 2. increase the efficiency and the neutrality of the State Administration and 3. the promotion of decentralization

Funds from the Dominican government, devoted to the work of AFSL in general (but not exclusively for governance), have virtually not increased. In relative terms they have declined.

At this time it is not easy to understand the situation with respect to the general “governance”-related funding of CSOs. There is no “centralized” data bank for these purposes. It might be possible to conduct a survey with major donors but there are a lot of international NGOs which support Dominican NGOs. For example, one of our team members is monitoring on behalf of a Swiss NGO with an office in Guatemala which gets funds from the US State Department for governance issues supporting a Dominican NGO. One must be somehow tied to the funding in order to know it exists. In that context, there is no transparency (i.e. public knowledge) of funding.

Overall, the level of public or international funds devoted to this domain does not appear to increase (see table). Some local private sector funds may be available for NGOs but there is no guarantee of sustainability, and informal discussions have shown that there is little funding of this nature going into governance.

Durante las entrevistas realizadas y el Focus Group que tuvo lugar con los representantes de las sociedad civil, ellos expresaron que tienen evidencias que fondos de la cooperación internacional para ayuda al la sociedad civil están disminuyendo. Sin embargo están concientes que la EC ha aumentado considerablemente su apoyo al la sociedad civil mediante sus diferentes instrumentos de financiamiento.

During the interviews and the focus group discussion with representatives of CS, they expressed that there is evidence of decreasing international cooperation funds to support the CSO. Many cooperation agencies have left or are in the process of leaving the country. However, the CSO represented in the meetings are aware that the EC has greatly increased its support to civil society through various instruments (local and global calls).

Evidence for increase in funding:

“For the 1st time in 2009, the EIDHR instrument for 2010 allocated €1.2m for actions against human rights abuses, especially police violence, poor detention conditions, violence against women and discrimination against Haitian immigrants and Dominicans of Haitian origin. The corresponding local call for proposals was launched in June 2010.” (External Assistance Management Report Dominican Republic 2010) p. 2

“El objetivo general del nuevo Instrumento, definido por el Reglamento IEDDH, es contribuir al desarrollo y a la consolidación de la democracia y el Estado de Derecho, así como al respeto de todos los derechos humanos y de las libertades fundamentales, en el marco de la política comunitaria de cooperación al desarrollo y de la cooperación económica, financiera y técnica con terceros países, de forma coherente con la política exterior de la Unión Europea en su conjunto. Este nuevo Instrumento tiene por objeto ayudar a la sociedad civil a convertirse en una fuerza efectiva de reforma política y de defensa de los derechos humanos en terceros países, completando así una nueva generación de programas geográficos que se centran, principalmente, en el refuerzo de las instituciones públicas.” (Delegación de la Union Europea en Republica Dominicana 2010) p. 4

” EDF10 MTR introduced a new programme for NSA (15,6 Mio) and local authorities with a special focus on women, children's and minority rights. The formulation of the programme was successfully completed and the Action Fiche submitted to AIDCO C. The approval of the programme is now conditioned by the formal adoption of the MTR conclusions by DG DEV.” (External Assistance Management Report Dominican Republic 2010) p.2

”EDF9 - FED/2005/017-752: PRIL-Civil society programme (€7m)

The main project activity was the creation, implementation and follow-up of a competitive fund for awarding grants to Dominican civil society (€4m), particularly targeting Haitian migrants, women and children's rights, as well as analytical studies, training and institutional strengthening. The programme included the establishment of an independent project implementation unit. There were two calls for proposals (2007 and 2008) and 34 grants (specific EDF secondary commitments in order to ensure maximum independence) awarded to local civil society organizations. Institutional support was executed through program estimates. The third and last program estimate (18 month) was implemented up to April 2010.

The programme completed operations in June 2010 and was successfully evaluated at the beginning of 2010. These lessons were instrumental for the formulation of the successor EDF10 programme, PASCAL. The closure of operations extended during the second semester of the year.” (EU Delegation D.R – 2011)

”The Delegation supports civil society activities to sensitise and support human rights through its programme of cooperation, through the TCF and Info/Comm budget (also supporting cultural activities with HR messages). The EDF9 €7m PRIL programme for civil society, supporting NGO activities in this field (particularly Haitian migrants, women and children's rights), completed operations in June 2010 and was successfully evaluated at the beginning of 2010. PRIL marked a turning point in financial support to non-state actors in the DR, since it implied the agreement of the NAO for the first time to use of EDF funding to support the civil society. This programme has created space for more frequent and direct dialogue between civil society organizations and government authorities at local and national levels. Learned lessons were instrumental for the formulation of the successor EDF10 programme, PASCAL. The closure of operations extended during the second semester of the year.

Implementation of the EDF10 €8m governance programme, PARAP, targeting the reform of civil service and public administration started in the first half of 2010, combining decentralised cooperation, technical assistance and a grant scheme for non-state actors monitoring of the process.

EC Budget funds to launch local calls for proposals under the thematic programmes Non State Actors and Local Authorities in Development (€1.7m) and Human Rights (€1.2m) were allocated to the DR under the AAP 2010. A local call for proposals under the EIDHR instrument was successfully launched in June 2010 and the evaluation/contracting process will conclude early in 2011. Similarly, a local call for proposals under the thematic budget line NSA-LA will be launched early in 2011.

An allocation of €0.6m has been granted to the DR under the EIDHR instrument in the AAP 2011 and the corresponding call for proposals will be launched in June 2011. Furthermore, the Delegation requested an allocation of €8m under the AAP 2011 for the thematic budget line NSA & LA, to address foreseeable needs and actions of non-state actors and local authorities from 2011 onwards. The request responds to the following circumstances:

- to support local NSA and LA in the light of the crisis situation in Haiti and its impact in the DR;
- the approval of the EDF10 MTR has been delayed, meaning that the EDF10 programme PASCAL, designed to strengthen the capacity-building of LA and NSA and initially expected to be launched in 2011, will most likely not start until 2013. The current situation leaves a gap from the EDF9 programme for the support of civil society (PRIL finalised in 2010) and its EDF10 continuation (PASCAL) of 2 years. In this regard, the implementation of the thematic programme would provide for continuity of support to local NSA and LA, while allowing for learning lessons and fine-tuning PASCAL. (EU-Delegation 2011)

”An anti-corruption initiative (named IPAC after the Spanish acronym) was answers to an initiative by President Fernandez to strengthen the transparency and good governance in the country. Each participating international agency (EC, USAID, WB, IDB, and AECID among others) coordinates one or several thematic working groups, with participants from Agencies Government, the Civil Society and the Private Sector.” (External Assistance Management Report Dominican Republic 2010) p.3

”With the local initiatives Programme (PRIL) – €7m funded by the EU – there is a support linked to civil society participation, and its relation with public participation. There is an on-going project which aims at contributing to transparency of public management via civil society monitoring under co-funding scheme with European NGOs (Intermon-Oxfam) €305,437. (Financing Agreement No. DO/FED/2009/021-799 Annex 2) p. 7

“... the programme articulates ...support for civil society organizations for incidence, supervision and oversight of the implementation of civil service law and to guarantee the quality of public services” (Financing Agreement No. DO/FED/2009/021-799 Annex) p. 29

“The total sum for the programme reaches €8.8m with a non-reimbursable contribution from EU of 8,000,000 (91%) which is accounted in its totality to the NIP 2008-2013 financed by EDF10. (Financing Agreement No. DO/FED/2009/021-799 Annex 2) p. 17

Detracting evidence:

”La situación actual de las OSC en relación con el registro y el presupuesto/ 2008: Otro punto de avance lo constituye el Registro de Asociaciones Sin Fines De Lucro, instalado por la antigua Oficina Nacional de Planificación (ONAPLAN), hoy Subsecretaría de Planificación (SUPLAN). De acuerdo con la SUPLAN, la aplicación de la Ley 122-05, ha permitido decantar la base de datos y por ende la asignación. Entre 2004 y 2008, el número de Organizaciones en el presupuesto se redujo de 3228 a 1796, y el monto consignado a éstas de RD\$1,021,122,271.00 en 2004 a RD\$978,436,055.00. Las transferencias corrientes a Asociaciones realizadas durante el 2007, se redujeron sustancialmente con relación al 2006, eliminándose las asignaciones a mas de 600 Asociaciones. Según anuncios del Poder Ejecutivo, las eliminaciones incluían las organizaciones vinculadas a congresistas y otros líderes políticos.” (Selman, Ana 2010)

Table 32: *Transferencias/Asignaciones Corrientes a ASFL (Presupuesto 2008-2010 en RD\$)*

Años	2008	2009	2010
Total	975,699,236.00	999,893,113.00	1,041,239,502.00

Source: *Alianza ONG (2010) pg. 27*

“La asignación (del Estado Central) prácticamente no ha crecido en términos absolutos en los últimos tres años y más bien ha disminuido año tras año en términos relativos” (Alianza ONG 2010) pg 27.

JC 4.3: The cooperation provided to civil society is consistent with EC policies on governance support.

Overall analysis of JC 4.3.

There is consistency at the policy level between the EC's policies on governance support and the cooperation provided to the civil society in the DR. (I 4.3.1)

The EC's policies on governance span a broad range of issues, such as: democratization and citizens' involvement in the political process; the rule of law and access to justice; transparent, responsive and accountable State institutions and the active participation of civil society in dialogue with the State. The PRIL and PARME interventions deal directly with most of these, thus ensuring consistency between EC policies and the actual support provided to civil society.

Over the last two decades, the country has moved towards the consolidation of democracy by launching a process of modernization and a State Reform. The Constitution, proclaimed in 2010 and a number of new laws created in the last decade include direct mechanisms for social participation. The approval and enactment of Municipal Law (176-07) also represents a landmark for the modernization of city councils and the development of participative democracy.

The cooperation of the EC to promote governance issues is carried out through different channels. These issues are addressed either by 1) State Reform Programmes like PARME and the new Public Administration Reform Project (PARAP) with a CSO component which began in 2010 or 2.) Initiatives, such as PRIL, local Thematic Programs for NSA and Local Authorities in Development and EIDHR, or PASCAL. The interaction of these initiatives offers opportunities for synergies and complementarity. **(I4.3.2)**. PASCAL is conceived as result of main lessons learned from PARME, the EDF8 and PRIL of the EDF9. A major lesson learnt from the PARME was that citizen participation in the State Reform constitutes a *sine qua non* element in a democratic State, apart from being a sustainability factor in the progress achieved. A lesson from the PRIL supported projects is that there was a cumulated citizenship deficit to change the status quo, hence the need for municipalities to better know their rights and obligations in the new framework set by the existing regulation. PASCAL is in line with all commitments taken in terms of aid effectiveness and is consistent with Art. 1 of the Cotonou Agreement (strengthening of participants' capacities in the development and improvement of the institutional capacity necessary for social cohesion, functioning of a democratic society and emergence of an active and organised civil society) The Ministry of Planning and Development, in its September 12 comments, confirms that these results took place in a context where the GoDR was taking steps to consolidate democracy through a Modernisation of the State reform. (I 4.3.2)

Analysis of indicators

Indicator 4.3.1: Coherence between the different (financial) EC instruments available for promoting governance approaches and practices

The cooperation of the EC to promote the issues of governance is channeled through different instruments. There is evidence that the different initiatives complement each other (for example, PARME and PRIL address different but important and interconnected aspects of capacity development, while PASCAL is a result of lessons learned from PRIL and builds upon what it could not achieve. PARME and EIDHR address related aspects of human rights). The collaboration between these initiatives offers opportunities for synergies, given the situation that they have the same objective--the improvement of governance.

It was observed (in the final evaluation of PARME, p. 48) that the coordination between PARME and PRIL was not developed in a routine manner. The evaluation report also noted that the lesson learned from this weakness could prove useful in future relationships between initiatives with reference to governance supported by the EC.

The objectives of the various initiatives are consistent and correspond with the Country Strategies of the cooperation of the EC with the Dominican Republic.

The Delegation has used and uses different instruments to support civil society and governance in the country. On the one hand there is the geographical instrument, the European Development Fund, which represents the principal part of the cooperation of the EU in the country. Through EDF, two major projects have been implemented in the past: PARME (support to reform and modernization of state) and PRIL (support to local initiatives in civil society).

Currently, under the EDF10, EC is supporting PARAP (program to support public administration reform). Another program that gives continuity to these efforts within EDF is PASCAL, which seeks to support initiatives by non-state actors and local authorities. A call for proposal for ACP countries under the Water Facility and Energy Facility has been launched.

At the same time, EUD launched a call (EIDHR). In 2011 there was also launched the thematic call (Programme Non-State Actors and Local Authorities), financed by the DCI (Development Cooperation Instrument).

In addition, there is always the possibility for CSO to apply to global calls.

Evidences for coherence of EC instruments:

“La participación y el apoyo de la Sociedad Civil (SC) y de los Actores No Estatales (ANE) en general son una de las exigencias e innovaciones aportadas en el marco del Acuerdo de Cotonou entre la UE y los Estados ACP con el cual - mediante la cooperación entre el Estado y los ANE - se busca aprovechar sus ventajas comparativas para conseguir un desarrollo económico y social más democrático y sostenible.” (IBF International Consulting 2010): p. 17.

“Los objetivos del PRIL han sido coherentes y correspondían con la Estrategia País de la cooperación de la CE con República Dominicana y en el marco del Acuerdo de Cotonou UE-ACP y con las diferentes líneas e instrumentos de financiación.” (IBF International Consulting 2010) p.10

“Los objetivos del Programa eran coherentes y correspondían con la Estrategia País de la cooperación de la CE con República Dominicana. En este sentido las actividades desarrolladas se insertaron en forma coherente en el conjunto de iniciativas que la UE ha estado desarrollando en el marco del Acuerdo de Cotonou con los Estados ACP y las diferentes líneas e instrumentos de financiación. En términos más específicos podemos afirmar que los 34 proyectos implementados han contribuido a varios títulos al cumplimiento de los objetivos de la UE en su política de desarrollo. De la misma forma la acción del PRIL en RD a través de sus proyectos se ha complementado armoniosamente como en el caso del Proyecto PARME y ahora en el Programa de Apoyo a la Reforma de la Administración Pública/Ley de la Función Pública (FED10), en el cual se prevé un eje transversal en el programa que permita la participación de la Sociedad civil y asegure el monitoreo y el control social de la implementación de la ley 41-08”. (IBF International Consulting 2010) p. 57

“En términos generales la acción del PRIL se ha desarrollado sin presentar contradicciones con las otras políticas comunitarias e sin duda han contribuido a crear un ambiente facilitador para otras políticas de la UE y en particular en coherencia con el Acuerdo de Cotonou, como es el caso del nuevo programa ANE-AL”. (IBF International Consulting 2010) p. 57

In terms of the relation between PARME and PRIL: “De este modo, el PARME y el PRIL forman como las dos partes de una misma tenaza, pues ambos tratan de fortalecer la democracia dominicana y los derechos humanos, desde sus dos dimensiones particulares e indispensables: la perspectiva de los órganos e instituciones en los que se cristaliza el poder delegado por el pueblo, y las personas concretas que ejercen los derechos humanos básicos bajo la tutela y garantía que debe dar el buen gobierno. La relación entre ambos es finalidad del PARME, con sus actividades promotoras de participación ciudadana, y es finalidad del PRIL, con su preocupación dirigida al desarrollo democrático y a las prácticas de buen gobierno. (IBF International Consulting 2008) p. 49

“Para futuros programas se recomienda tomar en cuenta este aspecto, y propiciar el intercambio y retroalimentación entre iniciativas con unidad de propósitos, aunque estas sean desarrolladas con sectores diferentes.” (IBF International Consulting 2008) p. 49

“Si bien, organizaciones de la sociedad civil relacionadas con el PRIL también mantuvieron vínculos con el PARME, a partir de los informes revisados y de las entrevistas sostenidas, la misión no llegó a identificar una vinculación fuerte entre las dos iniciativas, que encuentra en todo caso conveniente, toda vez que el trabajo por la descentralización y el fortalecimiento de los gobiernos locales debe ir de la mano con las acciones tendientes a generar una mayor participación de la ciudadanía en los asuntos públicos.” (IBF International Consulting 2008) p. 49

“Democratic governance, the respect for human rights, the fight against corruption, the rule of law and institution and state building are integral parts of the EU's cooperation strategies.

Effective governance requires sound financial management of funds and effective prevention, control, and sanction/reparation mechanisms to fight corruption and fraud. The promotion of transparency, accountability and participation in decision-making also play a key role, notably through the role of Parliament, an independent judiciary system and audit institutions. ... Civil society organizations are also vital partners. In its political dialogue with national authorities, the EU promotes minimum standards of an enabling environment for civil society organizations and encourages a genuine dialogue between State and Non-State Actors.

Dialogue between partners and a focus on providing incentives for result-oriented reforms are the main principles of the current EU approach. This is done by integrating indicators of progress both in the periodic reviews of aid allocations and in specific programmes or budget support. “

Source:

http://ec.europa.eu/development/icenter/repository/GREEN_PAPER_COM_2010_629_POLITIQUE_DEVELOPPEMENT_EN.pdf

Human Rights:

“Este nuevo instrumento tiene por objeto ayudar a la sociedad civil a convertirse en una fuerza efectiva de reforma política y de defensa de los derechos humanos en terceros países, completando así una nueva generación de programas geográficos que se centran, principalmente, en el refuerzo de las instituciones públicas.” (Delegación de la Unión Europea en República Dominicana 2010) p. 4

”In the field of State Reform, the European Union is still the main donor of the country. For instance, we have the “Public Administration Reform Support Programme” worth €8m with an envelope of €1.3m for the promotion of the Participation of the CS in the Monitoring of the Public Administration Reform. ...The complementarity of the Programme with other UE actions exists in different ways. First, with the local call for proposals that the EU Delegation shall make in the mid-2010 in the framework of the “Thematic Programmes for Non-State Actors and Local Authorities in Development” (€1.2m) and the “European Instrument for Democracy and Human Rights (EIDHR)” (€1.7m). The lines of both calls correspond to some of the thematic categories of this Programme (in particular gender and vulnerable population), which offers opportunities for synergies. From these interventions, one can draw various lessons, specifically with regard to the centralized management modality, that must be present when implementing component 1 of the programme. ACTION SHEET: SUPPORT PROGRAMME TO CIVIL SOCIETY AND LOCAL AUTHORITIES PASCAL: Support Programme to Civil Society and Local Authorities/22420

“Complementary with the country strategy paper and annual action programmes: ...In the current NIP (2008-2013) no specifications are foreseen in the area of human rights. However a €20m allocation is reserved for Governance in broad sense. Strengthening of civil society is mainstreamed in several interventions. In AAP 2009, a support program for public administration support (€8m) is foreseen. This programme has a component which has as objective to enhance civil society monitoring and the advocacy role in terms of public reform” EIDHR – Country – bases support scheme of EU Delegation in Dominican Republic (2009-2010).

Indicator 4.3.2: EC objectives in the CSPs correspond directly to governance objectives outlined in main strategic documents

The EC approach to governance outlined in principle strategic documents is broad. Thus, governance spans a broad range of issues, such as: democratization and citizens' involvement in the political process; the rule of law and access to justice; gender equality; human security; access to information; management of migration flows; respect and promotion of human rights; access to basic public

services; effective, transparent, responsive and accountable state institutions; sustainable management of resources; and promotion of sustainable economic growth and social cohesion. All levels of governance – local, national and international – are relevant.

The CSP (EDF9) mentions among its objectives, the strengthening of the process of state reform, especially in the field of decentralization, the professionalization of the public function and an increase in the transparency of public management. In addition an emphasis is put on continuing the interventions of EDF8 in relation to governance themes. The CSP (2008 -2013) mentions, as a specific objective, the support of government policies in the aspect of governance. The EC's strategic objectives for the DR are thus consistent with the EC policies dealing with governance for ACPs.

CSP-objectives

“A título orientativo, los importes asignados a las República Dominicana en el marco del 9º. FED podrían desglosarse de la siguiente manera:Los €12m restantes podrían destinarse....y a ayudar a los agentes no estatales y a la financiación de estudios, medidas de asistencia técnica u a otros coherentes con la presente estrategia nacional de cooperación de la CE o en una óptica de continuidad de la programación del FED anterior (sobre todo la gobernabilidad)” (CSP 2001-2007) p. 20

“Se ha reservado...para los siguientes ámbitos:....Ayuda a los agentes no estatales de la sociedad civil con especial apoyo a las iniciativas de desarrollo local que se prestará a través de un mecanismo de selección, gestión y seguimiento que permita garantizar su complementariedad con las medidas ya definidas en este ámbito en los otros ámbitos de intervención (5 millones)” (CSP 2001-2007) p. 24

“The specific objective is to support the government's policies in the area of governance and implanting economic and institutional reforms...” (CSP 2008-2013) p. 33

EC- Governance objectives

“Poverty reduction and the Millennium Development Goals (MDGs) will not be achieved without decisive progress in democratic governance. MDGs cannot be achieved by financial resources alone. Governance is critical for building an effective developmental state because it strengthens the consensus on how we are governed. The Commission Communication on Governance (2003)² provides for a holistic approach to governance and development in its policies and programmes. The EU Consensus on Development sets out the EU Approach and contribution to addressing enhancing governance through identifying good governance, democracy and respect for human rights as internal to the process of sustainable development and as major objectives of EU policy. (Commission Staff Working Paper Supporting Democratic Governance Through The Governance Initiative. A Review and the Way Forward 2009) p. 1

“The EU approaches governance from many angles, including political, economic, environmental, cultural and social aspects. Democratic governance spans a broad range of issues, such as respect and promotion of human rights and fundamental freedoms, democratization and citizens' involvement in the political process, the rule of law and access to justice, gender equality, human security, access to information, management of migration flows, access to basic public services, effective, transparent, responsive and accountable State institutions, sustainable management of resources and promotion of sustainable economic growth and social cohesion. All levels of governance – local, national and international – are relevant. All these aspects are interlinked and must be addressed in a holistic, balanced and comprehensive way. Democratic governance processes cannot be reduced to one specific component.” (Commission Staff Working Paper Supporting Democratic Governance Through The Governance Initiative. A Review and the Way Forward 2009) p. 3

“NSAs are gradually becoming one of the key partners in EC development policy. The EC objectives in promoting participatory approaches are to contribute to the ownership of the development strategies by all beneficiaries, to progressively consolidate accountable, sound and democratic institutions, to assist in the exercise of citizenship and to facilitate public-private partnerships. (Guidelines on Principles and Good Practices for the Participation of Non-State Actors in the development dialogues and consultations 2004) p.3

“Civil Society participation in the development process facilitates the overarching poverty reduction objective. Partner countries' Governments and international donors have to encourage and enable CSOs to play an active role in the design and the implementation of poverty reduction strategies.

(Guidelines on Principles and Good Practices for the Participation of Non-State Actors in the development dialogues and consultations) 2004 p. 4

“Civil society organizations are also vital partners. In its political dialogue with national authorities, the EU promotes minimum standards of an enabling environment for civil society organizations and encourages a genuine dialogue between State and Non-State Actors. Dialogue between partners and a focus on providing incentives for result-oriented reforms are the main principles of the current EU approach.” (Green Paper EU development policy in support of inclusive growth and sustainable development increasing the impact of EU development policy 2010) p. 8

“Governance is a key component of policies and reforms for poverty reduction, democratization and global security. This is why institutional capacity-building, particularly in the area of good governance and the rule of law is one of the six priority areas for EC development policy that is being addressed in the framework of EC programmes in developing countries. (Communication from the Commission of the Council, The European Parliament and the European Economic Aid and Social Committee Governance and Development 2003) p. 3

Promotion of good governance can be approached from different perspectives in different country situations. EC approaches and instruments to be used will differ in a difficult partnership or post conflict situation from those used in an effective partnership. Good governance is to be analyzed and promoted on a country-specific basis. It cannot be addressed on the basis of one-size-fits-all model but rather on the basis of existing situations. (Handbook on Promoting Good Governance in the EC Development and the Cooperation) p. 7

“Governance was present in EDF8 as a priority sector leading to projects in justice (PAYJU) and then PAIRE (Programa de Apoyo Inmediato para la Reforma y Modernización del Estado). PARME, which followed directly from PAIRE, has a financial volume of €36.4m which represents 34% of the EDF8. There are no Community budget line projects from EIDHR, but there is considerable evidence of a focus on governance in other programmes funded by the Commission, such as SABAMAR. These do not include governance in their stated objectives, but contribute to better citizen participation in public administration. For example the latter includes a component dedicated to strengthening community organizations and increasing awareness in public issues. (“Thematic Evaluation of the European Commission Assistance to Third Countries in Supporting Good Governance. Country Note for the Dominican Republic 2006” p. 4

“There is a direct coherence between the EC policy documents (such as the Manual for Governance, the EC Communications) and the project documents - as reflected in particular in PARME which combines decentralization, justice and rule of law, and public service reform. There is no reciprocal definition within the Dominican Republic's Government on what is the concrete meaning of governance. It is possible instead to observe a widespread use of the term “reform and modernization of public administration” and decentralization, as well as supporting civil society. The national literature refers to “institucionalidad” as a means of countering the historical personalization of power. Similarly there is a general reliance in analysis of the situation in the country on the publications of other institutions (Inter-American Development Bank, UNDP), possibly indicating a lesser degree of ownership of country specific governance. “THEMATIC EVALUATION OF THE EUROPEAN COMMISSION ASSISTANCE TO THIRD COUNTRIES SUPPORTING GOOD GOVERNANCE Country Note for the Dominican Republic 2006”.

“The Dominican Republic country note reports that EC governance support was conceived in such a way that it allows for multi-annual processes in which it is possible to test out the preparedness and capacity to reform of different parts of government as well as to provide successive phases of assistance. Another example relates to the micro-projects, a preferred tool for EC support to local grassroots initiatives. Over time, the instrument has been sophisticated so as to overcome the traditional shortcomings of ‘stand-alone’ project approaches.” THEMATIC EVALUATION OF THE EC SUPPORT TO GOOD GOVERNANCE FINAL REPORT Volume 1 Synthesis Report 2006 p. 42

“El resto de los fondos deberá servir de ayuda a los agentes no estatales de la sociedad civil, en el ámbito de acciones ya definidas...” CSP (2001-2007) p. 6.

“Se ha reservado. ayuda a los agentes no estatales de la sociedad civil con especial apoyo a las iniciativas de desarrollo local que se prestará a través de un mecanismo de selección, gestión y seguimiento que permita garantizar su complementariedad con las medidas ya definidas... (€5m).” (CSP 2001-2007) p. 24

“In line with the EUs strategic policy objectives (European Consensus) and its international commitments and in response of the pressing needs identified in the country analysis, the main

objectives of the EU cooperation programme in the Dominican Republic in the period 2008-2013 are twofold: identifying a new economic development model...and strengthening the political and economic governance of the country. EU cooperation will thus been concentrated on two focal sectors: social and human development, on the one hand, and consolidating governance and support for economic and institutional reforms, on the other” (CSP 2008- 2013) p. 26

“Other instruments to address crucial development issues will be support in non-focal area decentralized cooperation via NGO financed through budget lines.” CSP 2008-2013 p. 28

”2) Support for Non-State Actors (€15.6m). - This new programme is justified by the following arguments. Social development is **the** issue in the DR. This will allow us to address it through mechanisms other than the government based budget support. Civil society has a vital role to play in monitoring and complementing budget support. Dominican NSA are generally weak, but there are very useful exceptions and the sector as a whole is beginning to develop in an interesting way. Working with these NSA will allow us not only to address the issues in a diversified way, but also to develop a relationship with Dominican society, which might well feel excluded by a NIP entirely in the budget support mode. This will also allow us to address important development themes that are not explicitly in the focus areas, such as the environment, gender and culture. MTR consultations confirmed these views strongly. The proposal that some part of these resources be managed in a decentralized way.” EDF10 MTR 2010 Cover Note (Head of Delegation)

Finally, it is worth mentioning that the programme is consistent with Art. 1 of the Cotonou Agreement, regarding the strengthening of participants’ capacities in the development and improvement of the institutional capacity necessary for social cohesion, functioning of a democratic society and emergence of an active and organized civil society, and is in line with all the commitments taken in terms of aid effectiveness. In particular, with Progress Indicator 6 of the Paris Declaration as it strengthens local organizations’ capacities while avoiding the creation of Parallel Implementation Units (PIUs) and basing its execution on the selection of existing organizations having a proven operational and financial capacity for coordination. PASCAL Programme: Support to civil society and local authorities APPENDIX II FINANCE CONVENTION n° 22420 p. 3

Table 33: Comparison of Initial Strategy and Revision through MTR

Initial Strategy		Revised Strategy - MTR	
	Indicative Allocation	Indicative Allocation	
1. FOCAL SECTOR 1 – General Budget Support	91.3	106.2	1. FOCAL SECTOR 1 – Budget Support to Promote Poverty Eradication, Foster Social and Human Development and Social Cohesion
- General Budget Support Programme to Implement MDG Strategy	91.3	76.2 30.0	- General Budget Support Programme to Implement ODM Strategy (2010) - Sector Budget Support Programme in Education (2010)
2. FOCAL SECTOR 2 – Governance and Support for Economic and Institutional Reforms	61.7	36.0	2. FOCAL SECTOR 2 – Consolidating Governance and Support for Institutional and Economic Reforms
- Sector Policy Support Programme on Governance and Institutional Reforms	20.7	8.0	- Project in Support to the Ministry of Public Administration-SEAP (2009)
- Sector Policy Support Programme on Economic Governance and Competitiveness	33.0	5.1 22.9	- Project in Support to the Competitiveness National Council-CNC (2008) - Sector Budget Support in Competitiveness (2011)
- Governance Capacity Development	8.0		
NON FOCAL AREAS	22.0	34.8	NON FOCAL AREAS
Bi-national Programme	15.0	10.0 5.0	- Bi-national Programme Phase I: Support to Cross-border Transport & Trade (2011) - Bi-national Programme Phase II- Support to Bi-national Cooperation in Selected Policy Areas (2011)
		15.6	- Non-State Actors and Local Authorities Programme (2010)
- Technical Cooperation Facility	7.0	4.2	- Technical Cooperation Facility (2008)
RESERVE	4.0	2.0	RESERVE
TOTAL	179.0	179.0	TOTAL
FLEX	15.33	15.33	- Sector Budget Support Programme in Education (2010)

Source: EDF10 MTR 2010 Report

JC 4.4: The CSO community identifies the assistance provided by the EC as representing specific value-added.

Overall analysis of JC

In documents there is little information about specific value added received by the CSO through cooperation with the EC. Some evidence of value added are found in methodology of programs like PRIL, resulting in synergies, horizontal articulations and the sustainability of new institutional relationships such as the thematic or regional networks of the CSO. During the field phase in the meetings with representatives of the SC, they manifested that the cooperation within PRIL resulted in various types of added value strengthening the SC as a whole as there are for example: articulation in networks, joint initiatives, exchange between very different kinds of CSOs and opportunities for joint reflection and preparation of proposals. A further added value was perceived in the fact that PRIL supported the CSO "to think as a group", "to see common issues", and "to look inside the CSO". PRIL also has contributed to increase self confidence in many CSOs. An important mechanism for exchange and dialogue are the regular meetings of the delegation with representatives of the SC about issues of CS participation.

Some CSO are targeting their cooperation requests to the EC, because specific thematic programs are available.

Analysis of indicators

Indicator 4.4.1: Ability of CSOs to identify European value-added characteristics

Available documents and personal observation in the DR over the past few years lead us to hypothesize that CSOs do not specifically target their cooperation requests to the EC (including funding) because they perceive that the EC has a comparative advantage over other donors or that the EC can provide added value (benefits) that others cannot provide or only to a lesser extent. PRIL did not fund isolated and individual projects of the SC but promoted to function in networks and jointly develop initiatives. Opportunities for joint reflection and preparation of proposals strengthened the SC as a whole. A further added value is that PRIL helped the CSO in "to think as a group", "to see common issues", "to look inside the OSC (SC)". PRIL also has contributed to increase self confidence in many CSOs. The CS is therefore taken into account by the EC to participate in the design and review of EC Country Strategy.

Data, sources, extracts:

CSO Participation in design y review of EC strategy

“Antecedentes y Justificación

La participación de los actores de la sociedad civil y de las autoridades locales en el proceso de diseño y de revisión de los programas de ayuda al desarrollo representa una de las principales exigencias e innovaciones aportadas por el Acuerdo de Cotonou. Tanto es así que en sus artículos 4 y 7 demanda la creación de espacios a favor de la participación de las Organizaciones de la Sociedad Civil (OSC) en el diseño, implementación y evaluación de los programas y estrategias de desarrollo de la Comisión Europea. La revisión de medio término representa por ende un momento importante para garantizar la participación de las OSC y de las autoridades locales a dicho proceso. Este ejercicio presenta además una oportunidad única tanto para ambos grupos para evaluar los resultados, la eficacia y la calidad de la cooperación comunitaria, así como de mejorar el diálogo político con los países socios/beneficiarios, en nuestro caso la República Dominicana.

Objetivos del taller:

El presente taller persigue el objetivo de aumentar la participación de las OSC y de las autoridades locales en el proceso de preparación y revisión de la estrategia de la Comisión Europea en el país. Lo que se espera es que se evalúen de manera crítica los logros, o en su caso los retrocesos, alcanzados en el país durante el período que va de 2006 a la actualidad tomando en consideración dimensiones claves como: 1) la situación política y de gobernabilidad; 2) la situación económica; 3) la situación social y de pobreza; y 4) la protección al medio ambiente; y, de forma transversal, otras como el respeto de los derechos humanos y las relaciones de género. Además, se podría analizar qué otros sectores en los que la cooperación de la CE no interviene son considerados clave para el desarrollo del país y que pudieran incluirse en una estrategia país revisada. Los resultados de ésta consulta, conjuntamente a aquella de los Estados Miembros de la Unión Europea, la comunidad de donantes y el Gobierno Dominicano, permitirán a la Comisión Europea de ajustar la estrategia de desarrollo a seguir en los próximos 4 años (2009-2013), así como la asignación de fondos previstos por el Programa Indicativo Nacional del 10mo FED (ver anexo 1: Tabla de compromisos presupuestarios de la CE en la República Dominicana en el marco del 10mo FED).”

Indicator 4.4.2: Evidence of where CSOs have sought out the EC's support based on the perceived value-added it could provide (and not just the financing)

Evidence exists that a value added of great impact that was incorporated into the CSO, by PRIL, refers to the *ability to collaborate*, as a result of the model of associated management of the Program projects. This model established coordination mechanisms in the management of the proposals. These mechanisms designed work plans in the course of the implementation that allow for continued cooperation and constitute a great value added by PRIL. These benefits are improvement of the working style and the horizontal articulation within the CSO.

The EUD uses different instruments to support the CV. Through the various thematic programs, proposals could be accepted which generally would not easily find support by other cooperation agencies. These are, for example, the issues "Migration and Asylum" or "Reproductive and Sexual Rights".

An important mechanism for exchange and dialogue are the regular meetings of the delegation with representatives of the SC about the issues of CS participation

Data, sources, extracts:

“Los principales aprendizajes dejados por el modelo de gestión por asociatividad podrían tener su origen en que los beneficios directos-educación, equipamiento, herramientas de gestión- recibidos por las asociadas se convierten en incentivo para facilitar la existencia de un mayor nivel de apropiación de los contenidos y buenas prácticas dejadas, fomentar la confianza entre las OSC involucradas, asumir la auditoría social de las iniciativas del FONDESIN; producir cambio en la dinámica de trabajo en conjunto, lo cual quedó mostrado en los compromisos asumidos más allá de los proyectos. El modelo contribuyó con descentralizar la gestión política de los proyectos, lo cual produce valor agregado a la motivación necesaria para participar en la ejecución de las propuestas de su propio fortalecimiento institucional. (IBF International Consulting 2010) pg. 26

Un gran valor agregado de gran impacto que ha dejado incorporado el PRIL en las OSC se refiere a la capacidad de trabajo en común, como consecuencia del modelo de gestión asociada de los proyectos del Programa. A partir del mismo se establecieron mecanismos de coordinación en la gestión de las propuestas. Estos mecanismos diseñaron en el transcurso de la ejecución planes de trabajo que le permitirían continuar operando de manera conjunta y constituye un gran valor agregado del PRIL para un cambio de los estilos de trabajo y articulación horizontal entre OSC.” (IBF International Consulting 2010) pg 56

”The Delegation continued to strengthen contacts and interactions with local stakeholders, particularly with the civil society leaders, women. and local private sector (EPA information workshops, meetings between DR and Haitian private sector). Meetings with several

members of Parliament have taken place on specific issues (eg laws related to trade and business issues, as HR issues, the new constitution).” (EU Delegation 2011)

In addition, the EU Delegation has launched a number of initiatives in support to non-State actors (re. point 3.3 above), trying to create spaces for more frequent and direct dialogue between civil society organizations and Government authorities, as well as tapping the potential of the local civil society for development. Thus, collaboration spaces are being opened in the areas of reform of the public services, budget monitoring, human rights, among others, as a consequence of the Delegation programme of local calls for proposals (EU Delegation 2011)

“Al mismo tiempo, la Delegación lanza convocatorias locales bajo el Instrumento Europeo de Democracia y Derechos Humanos (EIDHR) y el Programa temático Actores No Estatales y Autoridades Locales, este último financiado por el DCI (Development Cooperation Instrument). Además, siempre está la posibilidad para las organizaciones con iniciativas en el país de aplicar a las convocatorias globales. Actualmente hemos firmado dos contratos con organizaciones locales, que resultaron ganadoras en convocatorias globales de propuestas, una del Programa Migración y Asilo y la otra de Derechos Sexuales y Reproductivos, ambos financiados por el DCI.” (Ramírez, Martha 2011)

1.5. EQ5: To what extent has the EC contributed to the DR and Haiti achieving common development opportunities?

JC 5.1: Development opportunities identified in regional and national strategies converge increasingly on common development plans benefitting both countries.

Overall analysis of JC 5.1

Some development opportunities identified in regional and national strategies converge increasingly on common development plans benefitting both countries but require institutional merging and political will to work effectively; such organizational and institutional frameworks are only just beginning to take effect, and mostly after the period covered by this evaluation.

Regional and national strategies in DR and Haiti have increasingly converged on opening up beneficial development opportunities in both countries. In 2000 the bi-national joint commission (and affiliated bodies designed to enable a focussing on common issues) agreed on a broad common agenda with a volume of approximately US\$200m for the development in agriculture, environment and social infrastructure of the border areas.

Improving trade facilitation and logistics is another key challenge if the DR is to take full advantage of recent trade agreements such as DR-CAFTA and improve the country's overall business competitiveness. Logistics perception indices demonstrate that DR falls behind many Caribbean and Central American countries in terms of customs, infrastructure, ease of entry and monitoring. Economic analysis done by the WB in its 2010 CAS confirms the reality of this perception. A comparative analysis done by the WB and reported in the 2010 CAS shows that given its level of economic development, DR performs below its expected performance level in terms of logistics (in "Connecting to Compete" - Jean-Francois Arvis et al, The World Bank, 2007). This translates into high logistics costs, larger inventories, a higher percentage of goods that do not arrive at their destined markets and lower overall connectivity. This, in turn, leads to price distortion of goods and shipping costs and ultimately affects the demand for goods.

This analysis applies equally well to trade with Haiti as with other countries. The DR continues to assume the role of supplier of choice to Haitians and therefore both countries need to ensure that access is facilitated. Experience with the Dajabon market shows how that is not always possible, and points to difficulties in coming to grips with common trade enhancement or trade facilitation strategies.

The evaluation team has not been able to document any common approach to the issue of illegal Haitian immigrants in the DR. Simplistically put, Haiti does not seem to care at all and the DR does not officially wish to officially recognize the existence of these immigrants. There is no consensus on the number of illegal immigrants in the Country (from 1.5 million to over 2 million), The UNDP and WB strategic plans both link the economic development of the border zone with migration management, but stop short of calling an economically active border a buffer zone., **(I 5.1.2)**

Children of illegal Haitian immigrants are often stateless and denied services. Their parents are denied Dominican nationality because they are deemed to be transient residents, due to their illegal or undocumented status. Haiti also denies them nationality (Haiti's Constitution states in Title II, Article 11 that "Any person born of a Haitian father or Haitian mother who are themselves native-born Haitians and have never renounced their nationality possesses Haitian nationality at the time of birth.") because of a lack of proper documents or witnesses. Therefore, children of illegal Haitian immigrants in the Dominican Republic are neither Haitian nor Dominican citizens.

A large number of Haitian women, often arriving with several health problems, cross the border to Dominican soil during their last weeks of pregnancy to obtain much-needed medical attention for childbirth, since Dominican public hospitals do not refuse medical services based on nationality or legal status. Statistics from a hospital in Santo Domingo report that over 22% of childbirths are by Haitian mothers.

Some authors point to the large numbers of illegal immigrants in the DR as a fait accompli and recommend social integration (see UNDP HR report 2005), a policy that has few Dominican adherents and is politically very sensitive in the DR. For example, in 2005 Dominican President Leonel Fernández criticized collective expulsions of Haitians as having taken place "in an abusive and inhuman way." After a UN delegation issued a preliminary report stating that it found a profound problem of racism and discrimination against people of Haitian origins, Dominican Foreign Minister Carlos Morales Troncoso issued a formal statement denouncing it and asserting that "Our border with Haiti has its problems, this is our reality and it must be understood. It is important not to confuse national sovereignty with indifference, and not to confuse security with xenophobia."

The bi-national commission has seen many up's and down's negatively affecting its functionality. Specifically, references to meetings suggest that the functionality of the Commission has been irregular, to say the least. It went through many reactivation efforts: in 2005, September 2007, March 2009, June 2009, and lately in July 2010. On 31st of July 2010, both Presidents (Préval/Fernández) re-launched the bi-national Commission. It should now function as a permanent forum to discuss common problems and agree on common solutions (<http://ww.radioteate.com>). Efforts have become more pronounced after the devastating earthquake in Haiti in January 2010. **(I 5.1.1)**

The national and regional strategies supported by the EC include common fields of operations such as improvement of economic terms of trade, linked infrastructure, and protection and conservation of border areas. In recent strategic documents of DR and Haiti, respectively the "National Development Strategy 2010-2013" and the "Growth and Poverty Strategy Paper 2008-2010", common objectives related to RIP/NIP are defined. **(I 5.1.2)**

Corresponding opportunities were identified and realized through two main thrusts, the North Corridor (NC) project focusing on economic development through market access infrastructure, and the Transborder Environmental (TEP/PET) project focusing on natural resource development and local institutional strengthening. Under PET I the project aimed to reinforce the capacity and co-operation of the 2 countries in the protection and conservation of the lakes bordering area and covers: 1. Centre for sustainable development; 2. Master plan for the lakes area; 3. Involvement of the populations in the sustainable development of the area. PET II focused on strengthening local actors' capacities to implement cross-border and national environmental activities. (I5.1.3) The RIP 8 budget allocation of €54m to these projects demonstrates a high disbursement rate of 99%. Additionally, €50m was allocated: €23m under RIP9, and, after signature of the 2008 Declaration of Santo Domingo, €12m to Haiti and €15m to DR under EDF10. **(5.1.3)**

Analysis of indicators:

Indicator 5.1.1: Degree of functioning of the bi-national joint commission in meeting strategic plans

A bilateral "Comisión Haiti-Dominicana" (CHD, the Commission) was conceived in 1995 under President Balaguer to support bi-national programmes. Between the creation of this Commission and today several efforts were undertaken to foster the functionality of the Commission.¹⁷¹ The relationship between DR and Haiti suffered up's and down's and policy dialogue was interrupted several times. The main reasons were largely related to the political situation in Haiti, migration and border problems, including riots against Haitians at the border (several press articles). In spite of many setbacks, two main programmes (PET and North Corridor) were originated within the framework of bi-national policy strategy issues of migration, commerce and economic development, infrastructure and environment (www.signalfmhaiti.com).

References to meetings suggest that the functionality of the Commission has been irregular, to say the least. It went through many reactivation efforts: in 2005, Sept 2007, March 2009, June 2009, and lately

¹⁷¹ A certain degree of confusion of the different kinds of committees and commissions may exist due to different terminology and translation inaccuracies.

in July 2010. On 31st of July 2010, both Presidents (Préval/Fernandez) re-launched the bi-national Commission. It will now function as a permanent forum to discuss common problems and agree on common solutions (<http://ww.radioteate.com>). CHD efforts have become more pronounced after the devastating earthquake in Haiti in January 2010.

In 2005 at regional level, the Dominican Republic has begun to take steps to improve its relations with neighboring Haiti. Meetings have been held between the Presidents of the two countries and then with the Foreign Ministers. Both sides have expressed their interest in reactivating the Bilateral Joint Committee but no action has been taken on this. It is worth noting, however, that sectoral committees on health, environment and animal health meet to discuss specific cases and bi-national strategy. (JAR 6).

Puerto Principe Haiti, March 2009,: El presidente de Haití, René Préval, restableció por decreto la participación de su país en la Comisión Mixta Binacional Dominico-Haitiana y designó a los funcionarios de su gobierno que trabajarán en ese organismo en la ejecución de proyectos conjuntos y en la discusión de temas de interés fundamentales para ambas naciones La Comisión Mixta Binacional, concebida en 1995 durante el gobierno del presidente Joaquín Balaguer, fue creada en 1996 en el primer mandato del presidente Leonel Fernández, pero en la práctica solamente funcionó hasta 1998. La Comisión fue creada con el propósito de canalizar la discusión de temas sensibles como el problema migratorio, el intercambio comercial, la seguridad en la frontera, la situación del medio ambiente y otros aspectos que involucran de manera directa a Haití y a República Dominicana. El decreto que restaura la implicación del Estado haitiano en la Comisión Mixta Binacional establece que "el mandato de la contraparte haitiana en el organismo es proceder, conjuntamente con la parte dominicana, a un estudio regular de la cooperación entre los dos países y a recomendar a los dos gobiernos las medidas que deben adoptarse y poner en práctica para mejorar y reforzar la cooperación entre ambos Estados <http://www.listindiario.com/la-republica/2009/3/1/92911/Haiti-regresa-a-la-mesa-de-Comision-Mixta-Binacional>

Prensa CIG Santo Domingo.- El secretario de Estado y Ordenador Nacional para los Fondos Europeos de Desarrollo, doctor Domingo Jiménez, y su contraparte haitiana, Price Pady, se reunieron para discutir proyectos comunes en beneficio de ambos lados de la isla. En la reunión, celebrada en Puerto Príncipe, también participaron las jefas de las Delegaciones de la Unión Europea tanto de la República Dominicana como de Haití, Irene Horejs y Lut Fabert Gossens, respectivamente. Durante la reunión los ordenadores discutieron la construcción de dos mercados en la frontera norte de nuestro país: uno en Juana Méndez y otro en Dajabón, el cual está bien avanzado (14 de octubre 2010)

Indicator 5.1.2: Existence of common development plans that focus on societal impacts

In 2000 a first inter-ministerial meeting for bi-national Dominico-Haitian cooperation between the Secretaría Técnico de la Presidencia de la República Dominicana and the Ministerio de Planificación Externa de Haití, together with the two Ordenadores Nacionales took place. In this meeting a broad common agenda with a volume of US\$200m for the development in agriculture, environment and social infrastructure of the border areas were identified. Most of these initiatives were not implemented in the early 2000s for different reasons.

"...como la lentitud para el procesamiento de las ayudas por parte de los organismos de cooperación, las dificultades administrativas en ambos gobiernos y la inestabilidad política en Haití. (Aspectos y variables de las relaciones entre República Dominicana y Haití Por Rubén Silié Publicado en Revista Futuros No 9. 2005 Vol. III <http://www.revistafuturos.info>, p-5)".

The 8th RIP for the Caribbean agreed between the Member States of CARIFORUM and the European Commission NIP focused on the enhancement of regional integration by improving cross border economic ties between the DR and Haiti and reinforced the capacity and cooperation of the two countries in the protection and conservation of border area.

The 9th RIP and NIP gave top priority to promoting regional integration by putting special attention to the relationship between DR and Haiti. The importance of fostering the relationship of both countries was taken up in EDF10 in the non-focal area by "specific attention in order to assist both countries in developing their complex relationship, addressing in the framework of a bi-national policy strategy issues of migration, commerce and economic development, infrastructure links, public health and environment. (EDF9, 10 and RIP 9, 10).

In 2005, €4m for contributions to programmes with regional impact, in particular in the area shared with Haiti was allocated. It was thought that such a small financial grant would not have much impact

on the two countries unless there was a common cooperation strategy. To this end, the EU Delegations and the NAOs of both countries jointly launched a "bi-national strategy" study to produce guidelines for possible interventions with impact on both countries in the short and medium term (EDF9). The draft final report of this study was received at the end of 2006 and both Delegations met in Santo Domingo in December 2006 to exchange points of view; they decided that the next step would be to offer the authorities of both countries support for a technical secretariat to serve the bi-national Joint Committee that with the official approval of both governments could decide on the priority areas of bi-national cooperation and draw up proposals for EC financing under the EDF10 (under the NIPS and RIPS). They also decided to tender for an expert (framework contract) to help both Delegations in the drafting of a proposal to the Joint Committee (JAR 2006).

Both countries, DR and Haiti have recently published two strategic papers (see boxes) for development, respectively the "National Development Strategy 2010-2013" and the "Growth and poverty strategy paper 2008-2010" where common objectives were defined. The DR focuses its bi-national cooperation on environment and Haiti on infrastructure and transport sector.

Source: Documento base de la propuesta de estrategia nacional de desarrollo 2010-2030, un viaje de transformación hacia un país mejor ministerio de economía, planificación y desarrollo consejo nacional de reforma del estado

Objetivo 2: Una sociedad cohesionada, con igualdad de oportunidades y bajos niveles de pobreza y desigualdad

Acción: Promover el desarrollo sostenible de la zona fronteriza

Actividades:

1. Ejecutar políticas públicas para el desarrollo integral de la zona fronteriza, tomando en cuenta su especificidad geopolítica, cultural, ambiental y socioeconómica.
2. Fortalecer la presencia institucional del Estado en la frontera.
3. Fortalecer la capacidad productiva a fin de impulsar la auto-sostenibilidad de las comunidades fronterizas.
4. Fomentar el desarrollo del comercio fronterizo dotándolo de los servicios y la infraestructura logísticas necesarias.
5. Conservar y proteger el medio ambiente y los ecosistemas, y promover el ecoturismo en la zona fronteriza
6. Propiciar el fortalecimiento de la identidad cultural dominicana, en un marco de
7. Objetivo 4: Un manejo sostenible de medio ambiente y una adecuada adaptación al cambio climático

Acción: Proteger y aprovechar de manera sostenible los recursos naturales y mejorar la calidad del medio ambiente

Actividad: Proteger el medio ambiente de la Isla de Santo Domingo, en cooperación con Haití

Source: Republic of Haiti: preparatory committee - growth and poverty reduction strategy paper technical secretariat of the preparatory committee for the dsncrp, ministry of planning and external cooperation (mpce): (2008-2010) Making a Qualitative Leap Forward November 2007, <http://www.mpce.gouv.ht/dsrp>

Objective 3: Promote Haiti's integration into the Caribbean area and into international trade:

Develop the road network for improved regional integration with the Dominican Republic for promoting tourism, and permitting the emergency of other poles of activity with investments under way making it possible subsequently to take medium-term requirements into account or needs in the longer term (the construction of crossing roads interconnecting the main roads).

Indicator 5.1.3: Distribution (%) of budget allocation for bi-national cooperation

Two main projects were identified with corresponding budget allocations: The economic development of the North Corridor (NC) of Hispaniola and the Transborder Environmental Project (PET).

Under RIP 8 a total amount of €53.9m for the economic development of the north corridor Hispaniola was allocated by EC for the period 08/2004- 06/2009. A total amount €53.2m was spent (99%). The NC programme aims to enhance regional integration by improving cross-border economic and other ties between the DR and Haiti and covers: 1. Road Cap Haitien – Dajabón; 2. Bridge over the Massacre river and border posts; 3. Market of Dajabón (DR).

For PET €6.5m were committed, €3.7m were contracted and €1.7m were disbursed (CRIS). The EDF8 allocates €4m for 2001 – 2004 (PET I), and under EDF9 €2.5m (2007-2009 PETII). Under PET I the project aimed to reinforce the capacity and co-operation of the 2 countries in the protection and conservation of the lakes bordering area and covers: 1. Centre for sustainable development; 2. Master plan for the lakes area; 3. Involvement of the populations in the sustainable development of the area. PET II focused on strengthening local actors' capacities to implement cross-border and national environmental activities.

Logros del PET II 2009-2010: Objetivo General: Mejorar las capacidades institucionales de los dos Estados y de los Actores No Estatales para promover y poner en ejecución las políticas nacionales y transfronterizas para la protección, la valorización y la utilización sostenible de la biodiversidad a beneficio de las poblaciones locales en el marco del objetivo de lucha contra la pobreza

After the signature of the declaration of Santo Domingo, in both countries EDF10 budget was allocated for bi-national programmes. In Haiti €12m or 4% % of the total budget of €291m, in DR €15m or 8% of the total of envelope A (€179m). Additionally €23m was allocated in RIP 9. The new programme is still in the design process.

The NC project drew down all budgets; PET disbursed 70% at the end the programme.

Table 34: PET: Ejecución presupuestaria: Informe final: Situación hasta el 30 de septiembre 2010 (RD\$). Expenditures and progress

Líneas presupuestarias	Presupuesto aprobado	Consumo presupuestario	Saldo RD\$	Porcentaje de ejecución
ACTIVIDADES	11,700,000.00	10,355,269.78	1,344,730.22	89%
INVERSION	14,450,000.00	7,181,517.95	7,268,482.05	50%
FUNCIONAMIENTO	20,750,000.00	14,428,876.82	6,321,123.18	70%
IMPREVISTOS				
Total	46,800,000.00	31,965,664.55	14,934,335.45	70%

No data on national or common bi-national budget allocation were made available to the Country Evaluation.

Source: Evaluation Team compilation

JC 5.2: Mutually-beneficial development programmes and projects for border areas, with approved budgets, are having a positive impact on the development of that zone.

Overall analysis of JC 5.2

A few funded projects are having a positive impact on the development of that zone.

The two projects (NC and PET/TEP) were jointly agreed and designed. By 2008 the foreseen joint monitoring by national authorities and H and DR EU Delegations had not materialized (I. 5.2.1). As a consequence an exit strategy and post-project support were not designed under the current Phase of NC. (I 5.2.1).

On balance, 8 from 17 main activities in PET/TEP were implemented jointly, i.e. affecting both sides of the border. The "Transborder Friendship Forest" and massive distribution of bi-lingual bulletins are noteworthy positive illustrations. (I 5.2.3).

Since a part of the possible (planned) outcomes rely on the availability of external donor support, it is interesting to note that the infrastructure part of the programme (NC) pulled down its entire allocated budget of €54m; the more socially-integrated programme PET/TEP Phase 1 only reached a disbursement rate of 25% of its €6.5m. Financial performance of PET/TEP Phase 2 reached approximately 70%. The social programmes, however, are reported as being successful. (I 5.1.3).

The Northern Corridor project rehabilitated the 75 km Cap Haitien - Dajabón stretch of the national highway in Haiti, and impacted by reducing the travel time between Haiti and the Dominican Republic by more than half. It also opened up the industrial center of Ouanaminthe and the surrounding agricultural area of the North and Northeast provinces of Haiti, greatly benefiting the local and national economy. (I 5.2.4).

This does not hold true for the Dajabón market infrastructure, source of discontent by local Civil Society over access and use of the hitherto unfinished superstructure and its connecting adjacent infrastructure, i.e. opening the bridge over the Massacre River for vehicle use. As recent as 21 January 2011, hence after the 2000-2010 decade spanning this Country Evaluation, additional resources and governance arrangements have been promised by the Ordenador Nacional (DR) (I 5.2.4). No data have been made available to assess whether the activities on either side of the respective borders have contributed to synergetic beneficial economic effects in the North.

Participatory needs assessments yielding priority profiles were not documented although in the context of NC, the 2008 Dajabón market survey is acknowledged as a valid proxy (I 5.2.2). Participation of the local population -the intended beneficiaries- in planning has been weak throughout in NC and PET/TEP. (I 5.2.1). In PET/TEP this is attributed to perceived differences in gainful remuneration from and hence priority of short-term agriculture and petty trade income generating activities and food security by the poor rural population versus longer term benefits such as eco-tourism development as viewed by (local) authorities. (I 5.2.4) The December 2010 evaluation and lesson learning mission (Rapport Final, Bader) seriously questions the income generation effects of PET2 for the rural poor. (I 5.2.4)

However, in PET/TEP, strengthening local institutions and municipal networks has resolved local environmental and territorial development issues through facilitating bi-national dialogue. Strengthening environmental units in the municipal administrations is seen as having contributed to impact. (I 5.2.1; 5.2.4)

Analysis of indicators:**Indicator 5.2.1: Evidence that programmes were jointly designed, agreed, and monitored by both countries**

The national authorities of both countries signed agreements in different meetings to strengthen the bi-national cooperation (JAR 05,06, EDF8,9, 10).

For the Northern Corridor project:

In December 2008, the National Authorizing Officers of both countries signed the Santo Domingo Declaration, confirming their countries commitment to closer cooperation in several areas of common interest, such as the environment, transnational economic development and infrastructure. (Annual report on the European Community Development an external Assistance Policies and their implementation in 2008).

Joined monitoring by the national authorities and H and DR EU Delegations was foreseen (see: Convention de financement entre la Commission Européenne et le forum des Etats ACP de Caraïbes (CARIFORUM)). The absence of a joint bi-national committee for monitoring the economic development of the north corridor Hispaniola was reported in ROM 2008. Remedial action was not undertaken or is not discernable from available documentation.

"A bi-national coordination mechanism (s) and monitoring of the whole project (territorial and thematic) was planned but not formally defined and organized. Its absence weakens prospects for cooperation between the two countries started by the project and makes the overall picture not very clear" It was recommended that the work and meetings of the Mixed Commission" to coordinate the completion of the project should be reactivated and an exit strategy and post project support should be defined" (Economic development of the North Corridor of Hispaniola ROM report-17/07/2008)

For PET:

The TEP started in July 2000 and was interrupted following a recommendation of the mid-term evaluation in 2003. Main constraints were bad management, joint administrative procedures and the general collaboration between the two country teams to achieve the objective. (ECO Consult, Évaluation a mi-parcours du Programme Environnemental Transfrontalier, Haiti&RD, Aide Mémoire, 2003).

The mid-term evaluation proposed different committees (joint technical advisory committee, joint project steering committee). After a prolonged period of inactivity (2004-2007) the second phase of PET focused on the development of the bi national cooperation by strengthening the coordination of the DR and Haiti actors.

“Comité Técnico Consultivo integrado por el lado Haitiano por el Ministerio de Agricultura Recursos Naturales y Desarrollo Rural, el Ministerio de Turismo, el Ministerio de Medio Ambiente, la Oficina del Ordenador Nacional, y la Delegación de la Comisión Europea en Haití, el la parte Dominicana La Secretaría de Estado de Agricultura, La Secretaría de Estado de Recursos Naturales y Medio Ambiente, la Secretaría de Estado de Turismo, la ONFED, y la Delegación de la Comisión Europea en la República Dominicana. El Comité Técnico Consultivo tendrá el Papel de definir las líneas generales y prioridades estratégica PMT; darle seguimiento a los avances y al funcionamiento del programa. El ritmo de reunión será semestral, coincidiendo el concocimiento el rendimiento de los informes semestrales, los cuales deben revisar y cada dos reuniones conocer las lineamientos generales del POA. El Comité Técnico Consultivo podrá reunirse de manera extraordinaria cuando se considere necesario o a solicitud del Comité de Tutela y aportará asesoría técnica al programa.

Comité de Tutela del PMT integrado por el BOM en su rol de ordenador regional delegado, el ordenador de ONFED, La delegación de la Comisión Europea en Haití. Los directores del PMT participan en el comité de Tutela, con voz pero sin voto. El comité de Tutela del PMT supervisará el Programa, aprueba los planes Anuales de Trabajo, revisa y aprueba los informes, supervisa las licitaciones y da seguimiento a las actividades del Programa y mantiene informado de la marcha del programa a los miembros del Comité Técnico Consultivo.”

As a result of the MTR, during PET II joint monitoring and steering of the projects improved, basically at local level. Only two major monitoring meetings between the UTG Dominicana and UTG Haiti took

place at national level. In 2009 the budget for each of the UTG was prepared together by both national management units (Asistencia técnica de apoyo estratégico para ambas unidades de gestión nacionales, Informe final, April 2010, p5).

Rather than resolving the environment and territorial development issues at national scale -the joint steering committee being really functional and incapable of common monitoring of the programme (RF 3.3, page 24) - the local Mayors' Association and PMUs/UTGs decided to resolve any cross-border issues locally, thus illustrating the use of their strengthened capacities.

At local level monthly monitoring meeting took place where both UTGs (Haiti and DR) participated and operative concerns were dealt with. (PMT: Informe final de actividades (Sept 2010). Act. Between January 2008 and 30th of September 2010)

"Durante cada reunión se demostró la posibilidad de trabajo conjunto entre los equipos dominicanos y haitianos a nivel técnico. Es necesario fomentar este modelo de seguimiento en los sucesivos programas a desarrollar en el marco de las relaciones bilaterales entre Haití y República Dominicana" (p.5)

At project level, especially in PET II, more efforts to converge development plans of bi-national committees are documented:

En el marco del refuerzo de la coordinación binacional, un buen nivel de movilización de las poblaciones y de las colectividades de la región transfronteriza de los lagos y de sus cuencas, fue obtenida con el concurso de un mecanismo de concertaciones regulares entre ambas asociaciones de los alcaldes fronterizos ASOMURE y ANMF. En adelante con la creación de la asociación de los alcaldes del lago Azueí (AMALA) esperamos cambios sostenibles en el tiempo, de cada lado de la frontera (informe final, abril 2010, Asistencia técnica de apoyo estratégico para ambas unidades de gestión nacionales)

UTG: Logros del programa 2009-2010

The Mayors of the local municipalities were the key player in bi-national local committees. Different common activities were carried out like meeting between the mayors in Jimani and Ganthier Cleaning of the Bi-national market of Malpaso (may 2009)

Elaboration of a common action plan for exchanges visits and other not specified activities between the Municipal Association of the Enriquillo Network (ASOMURE) DR, and the National Association of Mayors at the border (ANMF)

Implementation of a WS on Prevention of environmental risks in Haiti

Regional Fair in Barahona organized by ASOMURE

Exchange visits patriconada pro la UTG Dominicana con representantes

The support to the municipal network in the South East of DR and around Lago Azuëi-Haiti had proven to be an effective measurement for collaboration at local level. Positive effects on the joint implementation of activities and the creation of Mayors were achieved.

"En Haití ha sido creada la Association des Maires de l'Aire du Lac Azuëi (AMALA) y se ha fortalecido el rol de la Asociación de Municipios de la Región Enriquillo (ASOMURE) en el entorno geográfico del PMT." (Informe final p. 5)

Indicator 5.2.2: Existence and nature of bi-national interventions targeting priority needs of the zone (i.e. in social and economic development, infrastructure and environment) and the rural poor

Northern Corridor Development Programme:

With the construction of the road Cap Haitien-Dajabón, the bridge over the Massacre -the border river, border posts and the market of Dajabón (DR), the overall objective of the regional project Northern Corridor Development retains its relevance to contribute to economic and social development of the region. This is to be achieved by facilitating exchanges of goods and movement of people, increasing economic activities of the private sector and facilitating the installation of maintenance mechanisms of road investments (EDF8).

Aduana Y Mercado Fronterizo De Dajabón Volumen 3, Especificaciones Tecnicas Seccion 01, Memoria Descriptiva, Edificio Mercado Y Aduanas, Mayo 2006, Memoria Descriptiva Del Mercado Fronterizo De Dajab - "El mercado municipal actual está situado en el centro del pueblo de Dajabón específicamente delimitado por las calles Duarte al norte, la calle Jacua al sur, la Padre Santa Ana al

este y la Sabana Larga al Oeste. A través de los años la demanda de intercambios comerciales de productos provenientes y destinados desde y hacia los vecinos pueblos de Haití ha motivado al Ayuntamiento de Dajabón a permitir que productores y comerciantes implementen dos días a la semana la introducción de sus productos y mercancías en las instalaciones del actual mercado y su periferia. Esto ha ocasionado que la gran demanda de usuarios provoque la ocupación de gran parte de las calles en varios bloques aledaños del Mercado original. Esta situación es la razón primordial que motiva la iniciativa de establecer nuevas instalaciones especialmente diseñadas para satisfacer las necesidades de intercambio comercial entre ambos países. » (page 4/5)

Dajabón's economy is characterized by commercial activities of the informal sector. Formal imports represent 0.01% (Dirección General de Aduanas, 2005 and 2006). Both sellers and buyers from Haiti and DR use this city as informal "espacio de comercio". The volume of trade quadrupled in the past six years involving over 1,500 traders, mostly Haitian women. (Investigación Participativa Binacional (Juan Del Rosario Santana, "La Dinámica Comercial Entre Republica Dominicana Y Haití En La Frontera Norte-Dajabón Y Nordeste-Wanament, 2007).

In 2008 a survey assessed the required space, management options of a new market building. (ONFED, EC, 2008, Asistencia técnica para la supervisión de las obras de construcción del mercado y aduana de Dajabón). In the absence of a participatory cross-border needs assessment, the results of this survey may be interpreted as a proxy to describing people's needs to trade on both sides of the border.

"Un total de 3,132 personas censadas, en su inmensa mayoría ubicadas en puestos fijos dentro del mercado; de las cuales, 344 (10.98%) ambulantes; 19 (0.61%) en almacenes cerrados y el restante 87.32% ubicado en puestos fijos, ya sea sobre el piso (85.09%) o en camiones (2.23%). Los vendedores del mercado eran abrumadoramente haitianos, para un 83%; y mujeres, para un 81%. Esta última proporción, sin embargo, variaba al tratarse de las nacionalidades, de manera que el 89% de los vendedores haitianos eran mujeres pero sólo lo eran el 41% de los vendedores dominicanos. Del área total ocupada en la exhibición de las mercancías, el 31% corresponde a los vendedores dominicanos (17% de los vendedores) y el 69% a los haitianos (83% de los vendedores)"

PET:

Both in H and DR people's participation in defining programme activities was weak. This is partly ascribed to not having addressed their immediate food security priorities. Hence eco-tourism and latrine building did not respond to their needs. (RF, page 30).

Indicator 5.2.3: Degree of balance in activities of bi-national programmes and coordination by two national teams

For PET, the project fostered a bi-national dialogue, specifically between participating municipalities and corresponding networks such as ASOMURE and AMALA (RF 4.2, page 30). Most activities of PET were carried out on the DR side (UTG: Logros del programme 2009-2010). Only 8 activities out of a total of 17 were jointly implemented by beneficiaries Haiti and Dominican Republic. Two successful major activities are mentioned:

1) *Creación del Bosque de la Amistad Transfronteriza – Jornadas de reforestación de la cuenca del Río Soliett. Esta actividad se realizó en coordinación entre ambas UTG y la SEMARENA, el Ayuntamiento de Fonds Verretes, estudiantes de ambos países, entre otros. Se plantaron 7,000 pinos (Pinus occidentalis) en la zona de Sapottin y Forêt des Pins. Las actividades se realizaron los días 5 y 29 de mayo, días del árbol en la República de Dominicana y la República de Haití respectivamente. La UTG haitiana editó un afiche conmemorativo a esta jornada (Informe final)*

2) *Edición impresa y digital de boletín eco transfronterizo informativo en francés y español. Se han elaborado cuatro (4) números del Boletín Eco Transfronterizo en francés y español, el cual se envió por internet y fueron impresas 1000 ejemplares de cada uno de los números. Se ha recibido numerosos comentarios positivos, relativos a la información reseñada y a lo interesante de las informaciones del programa*

Documentation made available does not allow to analyze the balance of activities between either sides of the border in the NC project.

Indicator 5.2.4: Level of success in generating intervention outcomes on both sides of border

The final evaluation of PET 2 has documented impact on the environment and involved beneficiary population of jointly planned and implemented projects although participation of the beneficiary population has on balance largely remained limited to mobilization of their labor. This is attributed to perceived differences in gainful remuneration from and hence priority of short-term agriculture and petty trade income generating activities and food security by the poor rural population versus longer term benefits such as eco-tourism development as viewed by (local) authorities.

One of the notable exceptions was the tourist infrastructure development around the Zabeth spring in Haiti where users are reported to be quite satisfied (RF, 5.1, page 35). Transfer of knowledge to participating local committees (Junta de Vecinos, Comité Consultatif Comunal) is not documented. The evaluation could not confirm any tangible positive improvement in the living conditions of the intended beneficiary population on either side of the border.

The assessment from the December 2010 evaluation and lesson learning mission while recognizing the rich nature of the programmes and projects for the border areas hence seems to seriously question the income generation effects of PET2 for the rural poor. In immaterial terms, however, PET2 has facilitated bi-national dialogue between different levels of state authorities with the local municipal ones as the great winner. The joint border reforestation of 100 has by a bi-national brigade positively illustrates cross-border cooperation and implementation modes between local authorities and municipalities. The strengthening of the environmental unit in the municipal administration, UGAM, is equally labeled as a significant institutionalization at the local albeit susceptible to discontinuities vis-a-vis the climate of change following municipal elections.

The most important impact was on the bi-national management by the municipal actors:

El PMT permitió crear una sinergia entre ambos países por medio de un órgano ejecutivo constituido por los actores municipales (ASOMURE y AMALA), teniendo la capacidad de interceder al lado de los ministerios de tutela de medioambiente y de ayudarse mutuamente a través de las experiencias recíprocas.

El simple hecho de una coordinación entre ambas unidades de gestión del PMT, es un indicador de resultado a través de las numerosas reuniones binacionales mensuales. Esta coordinación que de por sí es muy compleja por las barreras lingüísticas, logísticas, y los numerosos obstáculos encontrados (diversos y variados) vistos anteriormente, han iniciado cierto número de procesos de discusión, de reflexión y esperamos en el futuro, de grandes decisiones al nivel de los Ministerios involucrados y de los gobiernos.

El punto más fuerte del programa está focalizado, en el aspecto de la comunicación institucional binacional y transfronteriza y en el refuerzo de la coordinación: Las dos UTG han encontrado un apoyo muy fuerte con las asociaciones de los municipios de Haití y RD de la región de los lagos Azuéli y Enriquillo que pueden crear dentro del programa, una sinergia real para las acciones y representar la correa de transmisión de las actividades de desarrollo económico de la región. Uno de los únicos programas que actualmente realiza acciones binacionales y transfronterizas de manera armonizada - Informe final AT, abril 2010

Northern Corridor:

The Northern Corridor project rehabilitated the 75 km Cap Haitien-Dajabón stretch of the national highway, and impacted by reducing the travel time between Haiti and the Dominican Republic by more than half. It also opened up the industrial center of Ouanaminthe and the surrounding agricultural area of the North and Northeast provinces of Haiti, greatly benefiting the local and national economy. (Haiti Brochure, Development and Work in Haiti, April 2009, *Jean-Max Bellerive, and Minister of Planning and External Cooperation, Republic of Haiti*, Rehabilitating Roads, vectors of growth)

Even before its completion the road is borrowed and "appropriated" by the beneficiaries. Maintenance is still missing and needs to be financed under national budgets. A generalized strategy for road maintenance has been developed. (ROM).

The Dajabón market was inaugurated in March 2007 in a first stone laying ceremony yet is still under construction (see pictures). At the inauguration the common objectives to improve bilateral trade and production were stressed (www.alterpresse.org/spip.php?article5776). Local press has extensively commented on the abandonment of the works. Civil Society claims the bridge be opened to traffic.

November 2009



20 January 2011



May 2010



"DAJABÓN - Las instalaciones del mercado que se construye en esta población para el intercambio comercial dominico haitiano llevan casi tres años abandonadas y por ahora no se vislumbra que haya voluntad por parte del sector oficial de reiniciar y terminar la obra. Los trabajos fueron paralizados luego de que la obra fuera avanzada en más de un 30 por ciento, alegadamente por falta de recursos económicos.

El mercado binacional de Dajabón comenzó a construirse como parte de un proyecto transfronterizo, con una donación de €45m por parte de la Unión Europea, pero el gobierno dominicano no ha cumplido con una contrapartida menor que le corresponde." <http://demaosoy.blogspot.com/2010/05/construccion-mercado-Dajabón-abandonada.html>, <http://new.elmasacre.com/?m=noticias&s=regionales&articulo=4721>, <http://www.elnacional.com.do/nacional/2009/8/3/22962/Mercado-de-Dajabón-opera-normal-hoy>, <http://www.adital.com.br/site/noticia.asp?lang=ES&cod=43356>

DIGECOM se refirió al puente, el cual debe ser abierto cuando lo dispongan las autoridades del vecino país debido a que la obra fue levantada por el gobierno de esa nación con fondos aportados por la UE. A renglón seguido Jiménez reiteró que hay un compromiso de los dos gobiernos de poner en funcionamiento el puente y las oficinas de aduanas cuanto antes. (webpage: DIGECOM, 2010 direccion de comunicacion)

Civil society groups claimed August 2010 that various commitments of the north development projects were pending:

"El 29 de Julio del 2010, la Sociedad Civil de Dajabón realizó una marcha pacífica en demanda de varias necesidades pendientes desde hace varios años en la comunidad de Dajabón: 1) El ordenamiento del mercado 2) La inauguración del puente nuevo 3) La terminación del mercado nuevo 3) La ampliación del nuevo mercado" <http://www.adital.com.br/site/noticia.asp?lang=ES&cod=49893>

Mercado Binacional Dajabon No Puede Seguir Operando en Medio Arrabalizacion Ordenador Nacional Anuncia Reorganizacion a Partir Proxima Semana: January 2011.

El secretario de Estado y Ordenador Nacional de los Fondos Europeos para el Desarrollo, doctor Domingo Jiménez, anunció que el mercado binacional, que funciona dos veces por semana en la frontera provincia de Dajabón, no puede seguir desenvolviéndose en medio del caos en el que ha operado hasta el momento.

Al supervisar la estructura que se levanta y que servirá de sede definitiva al mercado, así como las casetas improvisadas en las que los vendedores dominicanos y haitianos comercian sus mercancías, Jiménez aseguró que esa realidad no puede continuar. Fue por ello que el funcionario adelantó que la semana entrante se reunirá con los licenciados Miguel Tatys y Esther Ramírez, gobernadora provincial y alcalde de Dajabón, respectivamente, para coordinar los trabajos que se realizarán en el lugar de expendio de mercancías dominicanas y haitianas. Se recuerda que a raíz de la epidemia de cólera que afecta al vecino Haití, se acordó que el área en construcción fuese utilizada de manera provisional como el espacio para que los comerciantes dominicanos y haitianos montaran el mercado que funciona dos veces por semana en esa zona fronteriza. En esa reunión se acordará el lugar al que serán llevados, de forma provisional, los vendedores de uno y otro lado de la isla, en lo que se pavimenta el área y se crean otras condiciones que permitan el mercado opere de manera decente y deje de ser un arrabal. Jiménez reiteró que los trabajos que se realizarán en coordinación con la Gobernación Provincial y el Ayuntamiento de Dajabón serán provisionales ya que en estos momentos en la Unión Europea se discute la aprobación y posterior desembolso de €47m que permitirán

terminar la infraestructura metálica que se levanta y la construcción de otro mercado en Juana Méndez, así como otras obras conexas que beneficiarán a vendedores y compradores tanto de Haití como de la República Dominicana. El funcionario fue categórico al afirmar que la realidad que presenta el mercado de Dajabón no puede continuar, razón por la cual el Despacho del Ordenador Nacional ha tomado la decisión de intervenir el área y crear un conjunto de condiciones que adecuenten e higienicen el lugar al que acuden miles de personas los días que opera dicho mercado. La decisión anunciada por el doctor Domingo Jiménez fue saludada por la gobernadora provincial, licenciada Esther Ramírez y por el alcalde de Dajabón, licenciado Miguel Tatys, los cuales acompañaron al funcionario mientras realizaba el recorrido de inspección. Tras pasar revista a la construcción del mercado, ejecutada en más de un 70 por ciento, Jiménez y los citados funcionarios recorrieron las nuevas oficinas de Aduanas y Migración, situadas al frente del centro de comercialización de productos dominicanos y haitianos. DIGECOM: Dirección de Comunicaciones

JC 5.3: EC supported bilateral development of the DR-Haiti border region are coordinated and add value to the efforts of MS.

Overall Analysis of JC 5.3

Thanks in part to the effect of natural disasters to both countries (recognition of common issues involved with earthquakes and hurricanes, for example) and an effort by the EC to support the various institutions that manage or coordinate the development of the DR-Haiti border zone (better funding to Commission, the use of multilateral institutions for coordination, more frequent policy dialogue and the bringing to bear of regional institutions on the border issues), better coordination appears to be the overall result. Another example of higher-level coordination is the new tri-national initiative "Corredor Biológico" between Cuba, Haiti and DR funded by EC and implemented by UNDP scales up the bi-national dimension of PET/TEP and expands the coverage by PET/TEP of the H/DR southern border area to tri-national levels. This scaling success has been achieved thanks to better coordination than has been the case in the past, and is based largely on the coordination models developed by the EC-supported PET/TEP. (I 5.3.1)

Bi- and multilateral agencies such as AECDI and IFAD as well as second-tier municipal organizations as ANMF (Haiti) and ASOMURE (DR) have demonstrated interest to scale up PET/TEP approaches in their respective areas of engagement and have relied on increased effectiveness of coordination mechanisms to do that. Multiple references to the catalytic effect of PET/TEP or PET/TEP-like processes and approaches in national development plans as well as in national press indicate that the intended leverage effects are materializing.

However, we have not been able to identify any coordination processes involving the EC and MS. We have found many references to interventions by MS but not specifically in the coordination that takes place between those donors and the EC. **(I 5.3.2)**

Analysis of indicators

Indicator 5.3.1: Extent to which interventions supported by EC are leveraged or scaled-up by MS, NSA and key donors

Where PET2 may have had limited impact in meeting people's priority needs it certainly has had positive multiplier effect of its successful activities contributing to the tri-national Corredor Biológico project spanning Cuba, Haiti and DR funded by EC and implemented by UNDP.

*Las autoridades de República Dominicana, Cuba y Haití firmaron en Santo Domingo un convenio para crear el Corredor Biológico del Caribe para preservar la biodiversidad de la región y que abarcará 1.600 kilómetros lineales. El proyecto preservará 61 áreas protegidas en los respectivos países, 46 de ellas ubicadas en territorio cubano, 11 en el dominicano y 4 en el haitiano, según precisa el convenio firmado por los ministros de Medio Ambiente de Cuba, Fernando González Bermúdez; de República Dominicana, Max Puig; y de Haití, Jean Claude Germain. **El Corredor Biológico del Caribe contribuirá**, según los funcionarios, 'al mantenimiento de los procesos ecológicos esenciales y*

evolutivos, a los servicios ambientales y al desarrollo económico y social de las comunidades envueltas' en la iniciativa. La cobertura del proyecto abarcará, entre otras zonas, la Biosfera Jaragua-Bahoruco-Enriquillo y la Cordillera Central, en República Dominicana, y la de Masif de la Selle, el Lago Azuei, La Visite, Fort et Pins y el Macizo Norte Central, en Haití. Los espacios fueron escogidos en base a los criterios exigidos por el Convenio de Diversidad Biológica, según confirmaron los ministros. Ricardo Sánchez, director para América Latina y el Caribe del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA), que apoya la iniciativa, pidió a la comunidad internacional respaldar el proyecto, el primero de este tipo en el Caribe (<http://saberpermanentes.blogspot.com/2007/11/corredor-biologico-del-caribe.html>, Viernes 2 de noviembre 2007)

En el desarrollo del CBC participan diferentes programas y proyectos que sirven como impulsores para el logro de objetivos. Entre éstos se encuentran el Programa Medioambiental Transfronterizo (PMT), el Proyecto Binacional de Rehabilitación de la Cuenca del Río Artibonito, el Proyecto Contribución al Desarrollo del Biocomercio en la República Dominicana, así como el Proyecto Araucaria-Enriquillo XXI. (Secretario de Medio Ambiente presenta en Zaragoza el corredor biológico en el Caribe Lunes 14 de Julio de 2008 19:14)

El Ministerio de Medio Ambiente y Recursos Naturales realizó este martes un taller de visibilidad del Corredor Biológico en el Caribe para lanzar la iniciativa de forma oficial y presentar el proyecto trinacional financiado por la Unión Europea y el Programa de las Naciones Unidas para el Medio Ambiente (PNUMA). La adopción oficial del establecimiento de un Corredor Biológico en el Caribe se logró con la firma de la "Declaración de Santo Domingo", en el 2007, como un primer paso para la integración de una alianza de Conservación en el Caribe, donde se plasma el interés de las partes en el desarrollo del proyecto, de manera que involucre la protección de la biodiversidad entre los tres países. "Hemos iniciado acciones de conservación coordinadas entre Haití, Cuba y República Dominicana para dar respuestas a las necesidades de preservación de la rica biodiversidad que tenemos entre las dos islas, con fondos propios, hasta la llegada de los fondos de la Unión Europea con los ahora impulsaremos esas iniciativas que ya están encaminadas", expresó el Ministro. Por: Dirección de Comunicaciones

http://www.ambiente.gob.do/cms/index.php?option=com_content&task=view&id=1066&Itemid=248

The success led to raised interests by bi- and multilateral agencies such as UNDP, IFAD, AECIDI, as well as second-tier municipal organizations as ANMF (Haiti) and ASOMURE (DR) to scale up PET approaches in their respective areas of engagement. Multiple references to the catalytic effect of PET or PET-like processes and approaches in national development plans as well as in national press indicate that the intended leverage effects have indeed materialized albeit escaping monitoring of the steering committee(s).

Debido a las altas posibilidades que ofrecía el proyecto del curso, varias agencias mostraron su interés en apoyar económicamente y la sinergia se dio entre la Agencia de Cooperación Internacional de Japón (JICA); La Agencia Española de Cooperación Internacional para el Desarrollo (AECID); Además, el Ministerio de Medio Ambiente y Recursos Naturales, a través de la Dirección de Áreas Protegidas y el Ministerio de Turismo, a través del Departamento de Ecoturismo and the IFAD funded project: Development Project for Rural Poor Economic Organizations of the Border Area <http://www.ifad.org/gbdocs/eb/96/e/index.htm>

The PET had strengthened the capacities of the NSA:

Se ratificó un acuerdo de cooperación entre la Asociación de Municipios de la Red Enriquillo (ASOMURE) de la República Dominicana y la Association National des Maires Frontalières (ANMF) de Haití. Se ha esbozado un plan de acción entre ambas asociaciones que incluye la realización de visitas de intercambio a los lugares de interés para el ecoturismo a ambos lados de la frontera, así como a diversas actividades propias de los municipios. Además fue realizado un taller de prevención de riesgos ambientales en Haití con la facilitación de la ASOMURE (Logros PET 2009-2010).

La UTG dominicana logró realizar esta actividad en estrecha coordinación con la Subsecretaría de Gestión Ambiental, fue logrado el permiso para reproducir la Guía de Gestión Ambiental Municipal, la cual fue traducida al francés para que sirva de insumo a los ayuntamientos en Haití. Aunque cada país posee instrumentos legales diferentes, esta guía representa una herramienta para la administración del medio ambiente a escala municipal. (Logros PET 2009-2010)

1.6. EQ 6: To what extent has EC cooperation improved the ability of DR private sector firms to be competitive in terms of trade, particularly between the DR and the EU Member States?

JC 6.1: The EC's support has enabled DR firms to eventually take advantage of the EPA.

Overall analysis of JC 6.1

The following analysis is presented in the context of an understanding that trade flows and competitiveness is the result of a large number of variables and contexts. This was confirmed by the Ministry of Planning and Development in its comments to the Evaluation Team on September 12, 2011.

EC support has provided an opportunity for DR firms to eventually benefit from the EPA. This holds particularly true for EC intervention related to specific sectors. Exports from the DR to the EU have increased significantly only in few targeted directly supported sectors. Missing data on services exports (e.g. tourism) makes analysis to remain partial, mostly underestimated in terms of trade. Successful interventions achieved improved standards and networks. Overall EC interventions have not had a EU focus. They were support to SMEs' sector and macro level. This has helped DR firms improve their overall capacities to trade within the setting of the EPA. Notwithstanding those results, it is agreed that weak M&E makes difficult to find EC specific contribution. (JC 6.1)

Composition and levels of DR's trade in goods over the whole period covered by this evaluation (2000-2010) shows growing DR's exports with all trading partners groups (EU, Caribbean and Rest of the World). EU and Caribbean markets reveal a good performance in growth. Moreover, specifically in the case of the EU market, performance is also more diversified (indicator 6.1.1)

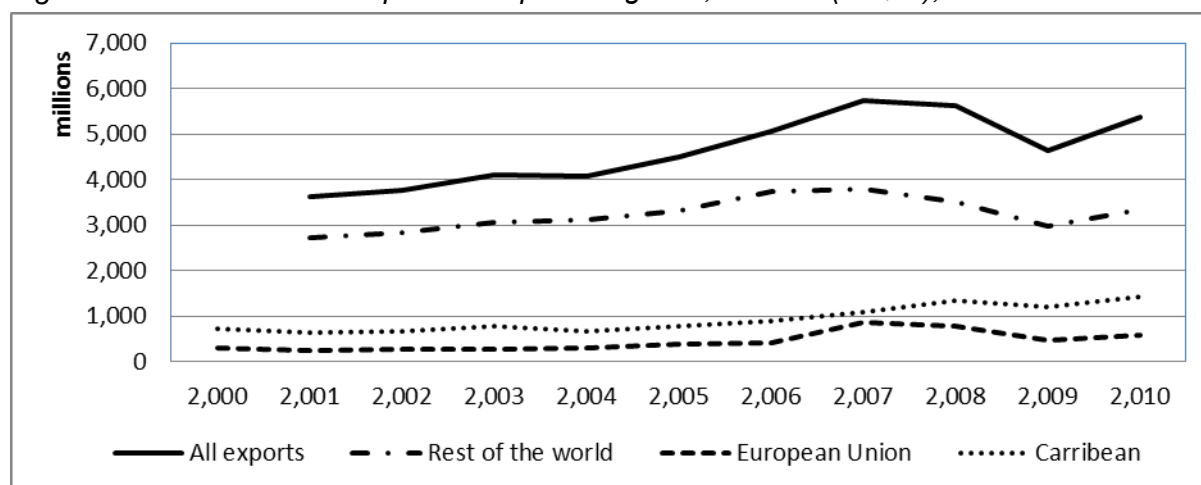
Specific sector targeted EC interventions show clear results contributing to clear impact in exports with increased value and volume exports for both agricultural and industrial goods. Other EC interventions based on demand-driven direct support to DR firms as a whole was not as successful. For on going scaled up interventions it is more difficult to assess EC contribution. Those are more indirect support to DR firms, at meso and macro interventions levels. For all these interventions (EDF8& 9& 10) impact was difficult to measure. This is due to weak M&E rather than missing results as such (e.g. no follow-up to certified firms and impact of it). In general, DR relied more on NIP & All ACP interventions (RIP was felt to be less accessible in DR under EDF9 because of CARICOM's control and decreased overall amounts). Some All ACP interventions were perceived difficult to access, not adapted to DR's context. Some risks of duplication were reported. (indicator 6.1.2)

DR's exports in goods to the EU market had high growth rates only concerning specific products (e.g. bananas & cacao & rum). From indicator 6.1.2 on EC interventions results we can establish a link between successful EC contributions to DR's firms EU market access. This holds true for both volume and value. There are a few exceptions (i.e. pineapples & medical material), which however infer the contrary. That exports increase happen before EPA takes place. Since the introduction of the EPA, agricultural products without specific known EC support have not increased their market access to the EU whereas industrial goods start to show better access without EC specific support (indicator 6.1.3)

Analysis of indicators:**Indicator 6.1.1: Level and proportion of country exports to the EC/other countries and trade flow**

As a whole, DR exports in goods (trade data on services were not made available) during the period covered by this evaluation show an overall positive trend with increasing exports going from less than US\$4bn to above US\$5bn per year. Comparison between DR exports and three different groups of regions (the European Union (EU), to the Caribbean (Ca) and the rest of the world (RW)) offers a more detailed picture concerning this increase and also offers insights into each group trade weight.

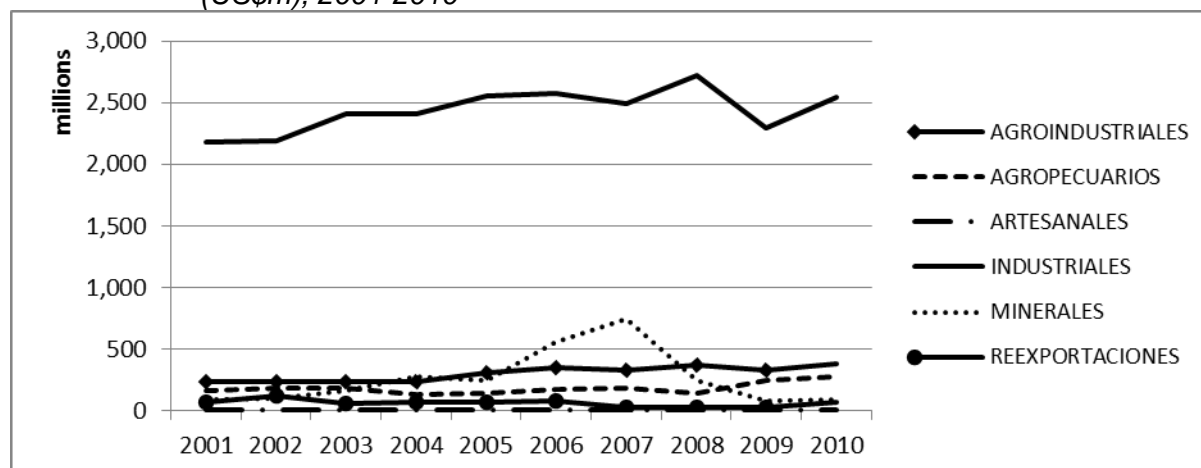
Figure 6: Dominican Republic's exports in goods, in value (US\$m), 2000-2010



Source: Evaluation team elaboration with CEIRD's data

The RW group (including DR-CAFTA market which in turn includes the US market) is by far the largest DR's export destination. The second largest export destination is the Ca (including Haiti), closely followed by the EU. Looking at the period as a whole, the first market (RW) has increased 23% in value whereas the remaining two markets (EU and Ca) both experienced 100% increase in value: RW from US\$2.729bn to US\$3.355bn, Ca from US\$718m to US\$1,435m and EU from US\$294m to US\$589m. The period also shows a more stable growth towards the Ca market whereas the remaining two groups both show ups and downs from 2007 to 2009. This is certainly due to lower demand on those regions due to the world economic crisis. 2010 shows recovery of those two markets and a return of positive DR export growth towards all groups. At this stage, the table shows that the economic crisis has had a bigger impact than EPA alone. Indeed, the recovery of DR's exports in 2010 holds for exports to all regions and is not differentiated from one group to another.

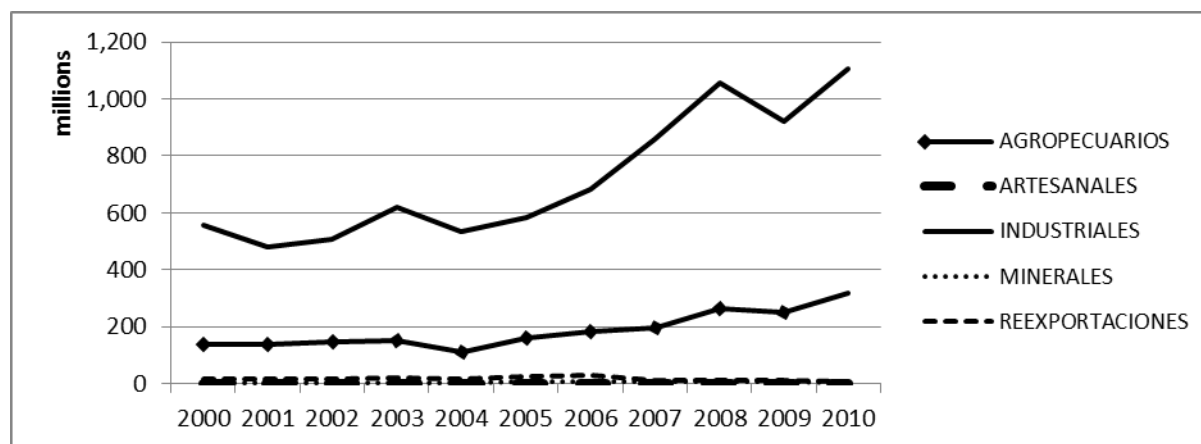
Figure 7: Dominican Republic's exports in goods toward the rest of the world in value (US\$m), 2001-2010



Source: Evaluation team elaboration with CEIRD's data

DR's exports to the RW are largely dominated by manufactured products exports. As a whole, the period does not show a particular steady increase in value for any kind of product in particular. Export growth is relatively slow for all types of products. The same pattern is observed in the case of exports towards the Caribbean where manufactured products are the largest part of exports along the agricultural ones. Nevertheless, in this case both sectors have experienced increased and continuous value growth rates. It is to be noted that such increase in trade is in fact observed before Haiti's earthquake and its aftermath, which has certainly boosted demand in certain kind of products.

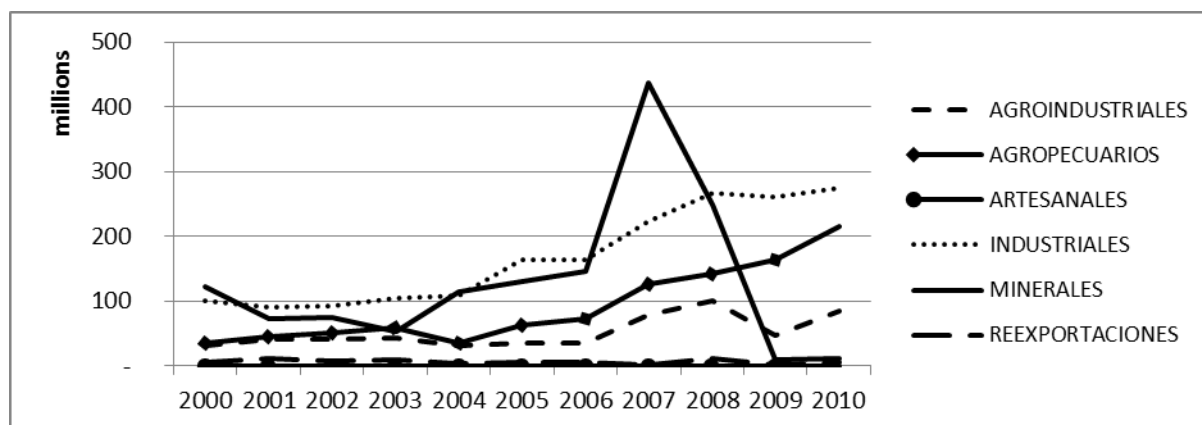
Figure 8: Dominican Republic's good exports toward the Caribbean, in value (US\$m), 2000-2010



Source: Evaluation team elaboration with CEIRD's data

DR's exports toward the EU shows a more diversified pattern of trade. Manufactured products also are the largest part with continuous growth (from US\$89m to US\$274m a year). There is nevertheless one special feature with this partner, which is a steady growth in agricultural products exports (from US\$44m to US\$215m). This has almost caught up on manufactured exports. When adding up agricultural and agroindustrial exports above US\$300m the figure already exceeds manufactured exports. Indeed, agroindustrial goods have performed well over the last the last years (from US\$41m to US\$83m). Raw material (minerals) seemed to become a good part of the exports until 2007 before they dropped and became insignificant.

Figure 9: Dominican Republic's good exports toward the EU in value (US\$m), 2000-2010



Source: Evaluation team elaboration with CEIRD's data

In the last few years DR imports from EU represent approximately 10% of DR annual global trade with US\$1bn and US\$10bn, respectively. According to Eurostat 2009, 47,5% of DR trade is with US while 11% account for trade with EU27. The USA is DR's major import partner with €4.16m (44,8%) while EU27 represents €943.4m (10,2%). Exports to the US accounts for 53% with 13% to the EU. The share of total EU imports and exports to and from the DR are negligible at 0,1% of EU trade.

Comparing DR's exports with imports in goods show larger deficits in terms of trade of goods. Thus DR imports much more goods than it exports. Services account for 64% of DR's GDP and the tourism sector represents a large source of income to the country. Large exports in services belonging to this tourism sector, coupled with remittances coming from abroad, close the gap in balance of payments.

A more detailed analysis comparing different periods (covered by this evaluation and the period before) finds that the DR has had better market access achievements in the former decade (90s).

...la mayor parte de las exportaciones dominicanas consiste en bienes de escaso contenido tecnológico (agropecuarios o primarios, recursos naturales o bienes industriales considerados como de baja tecnología), aunque en el último lustro ha aumentado la participación de bienes que podrían ser considerados como de tecnología media o alta. En adición, en la década actual, las exportaciones dominicanas han mostrado una proporción creciente de "oportunidades perdidas" (es decir, productos cuyo comercio mundial creció y en los cuales perdimos participación de mercado) y "retiradas" (productos cuyo comercio mundial decreció y en los cuales perdimos participación de mercado), en contraste con el predominio de "estrellas nacientes" en la década anterior (productos cuyo comercio creció y en los cuales ganamos participación de mercado). (Documento base de la Propuesta de estrategia Nacional de Desarrollo 2010-2030, Ministerio de economía, planificación y desarrollo consejo nacional de reforma del estado)

Indicator 6.1.2: Level of capacity of DR firms in the management of trade procedures, protocols and process (norms, standards, certification, etc.), brought about by EC support initiatives

Under the EDF8-NIP the PROBANANA project (2000-2006, €2.1m) increased the capacities of extension workers in the banana sector in improving technologies and their knowledge of EUREPGAP norms. 140 courses with 5800 participants on technology, standards and norms were delivered. Promotion material and leaflets were distributed. Major infrastructure for farmers associations was constructed to enable exports with corresponding EC standards and norms. In 2005, 713 out of 1200-targeted farmers exported a total of 77,853 tons of banana and 40 farms fulfilled the EUREPGAP norms.

Los resultados tangibles son:

- *El trabajo de los extensionistas para motivar los más pequeños productores con el aprendizaje de nuevas técnicas relacionadas al cultivo del banano orgánico*
- *la racionalización de las normas EUREPGAP*
- *el fortalecimiento institucional que se traduce por una mayor cohesión asociativa y una disminución del número de intermediario*
- *Censo de la Industria Bananera, Plan Maestro elaborados y aprobados.*
- *713 productores exportando. 77,853 toneladas exportado actualmente.*
- *40 Fincas cumpliendo con normas EUREPGAP actualmente. Asesoramiento de las normas a seguir para aumentar la calidad de la fruta, competitividad y aumentar la producción en las fincas, aplicando nuevas técnicas agrícolas.*
- *Infraestructuras a los productores mejorada: construcción de 2 empacadoras, almacén, baños y inicio de construcción de una planta para la producción de fertilizantes orgánicos.*

(Evaluación Final del Proyecto PROBANO, 2006)

The internal indicators of PROBANO were result oriented (lofgrame) but generic and no baseline was made available as to evaluate real changes following project implementation. Missing measured results can be measured in a more indirect way with trade data of improved agricultural exports to EU market. Those took off in 2005 (see indicator 6.1.1 above) at the end of the EC supported project. Most particularly, among agricultural spectacular exports growth there are bananas (see indicator 6.1.3 below).

Under the same EDF8-NIP another direct support to DR firms was given: PROEMPRESA project (2001-2008, €8.7m) scaled up previous interventions. Its design did not focus on specific sectors but followed a demand driven intervention strategy. This made impact to be diluted on many actors/firms. The expected results of the project were less evident to show since logframe internal indicators were not consistent (specific objective target to increase exports by 20% with at the same time target support to around 2000 SMEs across sectors). In practice, support was given to micro DR firms not able to export. Missing baselines render it even more difficult to track positive changes in DR firms relating to their improved capacities to trade. Tracked successes are strengthened capacities of SMEs to engage in specific trainings, increase visibility and participation in policy-making.

Under EDF9-NIP the Institutional Support Program for Regional Integration program (ISPRI) supported the State Secretariats of Agriculture, Industry & Trade and of Public Health & Social Welfare in their capacity to certify the compliance of plant and animal agricultural products with sanitary and phytosanitary standards of quality and innocuousness.

JAR 2009 EN final report (page 20): *Institutional Support Program for Regional Integration program (ISPRI) encourages the country's relations with other CARIFORUM member states. Although this program aims at institutional strengthening of government organizations in charge of trade facilitation, it includes elements that will make possible the implementation of the recently approved EPA and the CARICOM-DR FTA. The State Secretariats of Agriculture, Industry & Trade and of Public Health & Social Welfare are being supported in their capacity to certify the compliance of plant and animal agricultural products with sanitary and phytosanitary standards of quality and innocuousness. This will secure regional and European markets for Dominican agricultural and other products, thus guaranteeing sources of employment and tax revenues.*

Although more relevant internal indicators are used in log frames, missing baselines and more indirect support to DR firms make difficult to measure EC contribution to DR firms improved capacities to trade. One indirect way to measure results is to rely on the Ministry of Trade report of improved effective market access to the US, not only in terms of absolute retentions numbers at port but also in composition of goods stopped with a decreased % of agricultural/agroindustrial goods, related to EC support to the sector.

Under EDF10-NIP, capitalizing upon these earlier successes, the National Competiveness Programme (NCP) agreed in late 2008 seeks to support the National Quality Systems (laboratory certificating, training, and equipment). NCP also foresees a direct support to small and medium enterprises (SMEs) to adopt standardised quality management systems (ie. ISO 9000, ISO 14000, etc). The program has started with only 25% of its €5.9m implemented (ending date for 2014).

Other supports to DR's firms were those under the EDF-RIP and EDF-AIIACP supports. Among them we can highlight:

- Like in the case of the banana sector, a well targeted intervention to the Rum sector (even though it was designed on a Caribbean regional basis (i.e. Integrated Development Programme to support the Caribbean Rum Sector, EDF8, 2001-2010, €70m) was succesful in helping this sector to take off before EPA.
- The Center for Development of Entreprises (CDE) gave small support to DR, mostly in direct support to DR firms by providing certification to the tourism sector (e.g. 5 beeches certified with Blueflag certificate; GlobalGAP standards for worldwide markets but also HACCP focused on UE market). Cacao sector is now supported by regional programs becoming the first regional cluster (55 firms) with some DR involved.

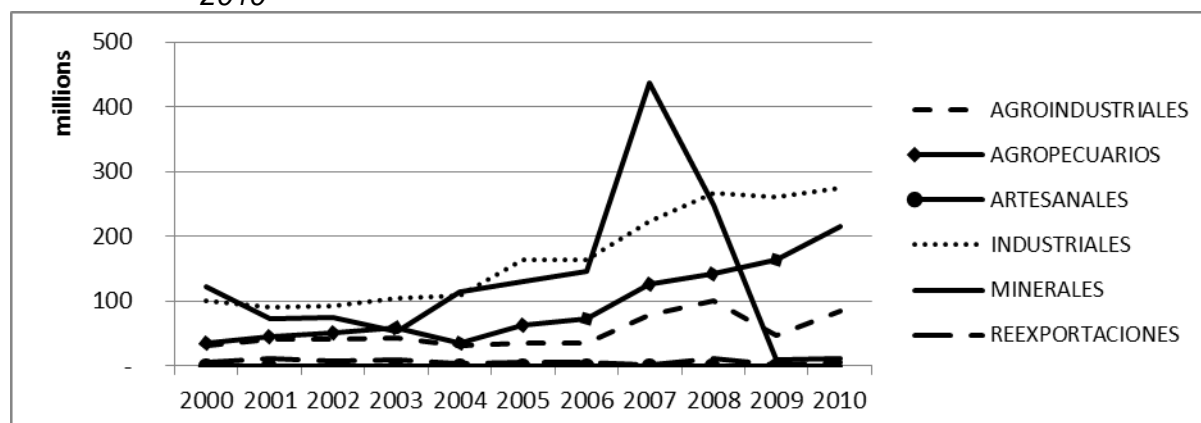
Overall, AllACP programs not sector related were not always adapted to DR's context and DR was not a priority (e.g. Tradecom did not provided support at all; Pro-invest support was often difficult to obtain). RIP supports channelled through regional bodies (e.g. Caribbean Export Agency) were prefered instead of more allACP approaches difficult to reach. In the case of the DR, this meant that RIP interventions and AllACP were often perceived as duplicated efforts.

For all these interventions, impact was difficult to measure because of weak M&E (e.g. of all interviews carried out by the evaluation team noone was able to state how many certified firms kept their certification after a couple of years. For example, there is no information whether at least one out of the 5 blueflag beeches still keeps its certification in 2011 and the impact they had).

Indicator 6.1.3: Degree of preference for DR firms in EU, expressed as increased trade in key products to the EU

DR's exports in goods to the EU reveal the current pattern (also see indicator 6.1.1):

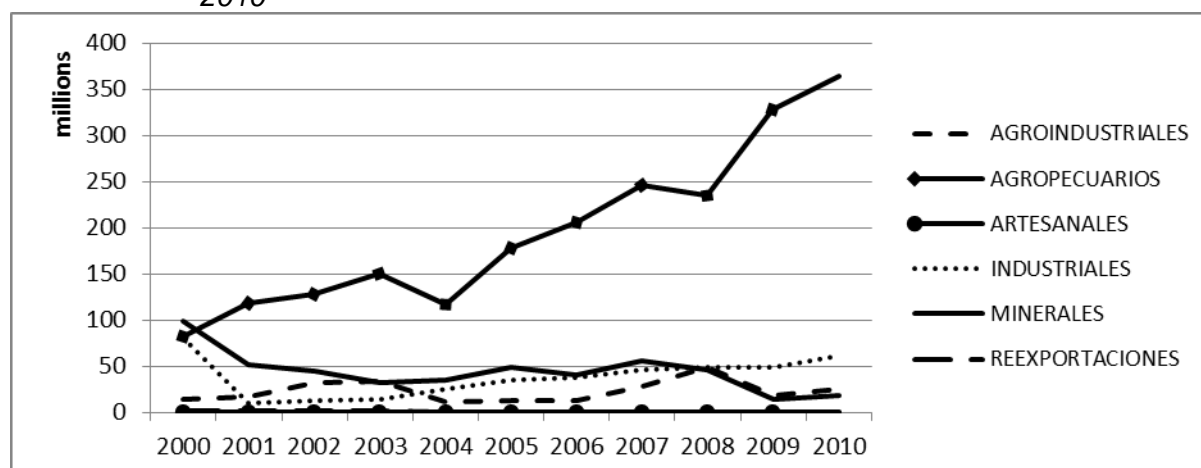
Figure 10: Dominican Republic's good exports toward the EU in value (US\$m), 2000-2010



Source: Evaluation team elaboration with CEIRD's data

Since most of the different kind of goods increased in value at the same time along the same period, and given the fact that most of the period covered did not have improved DR market access conditions to the EU (ACP membership was from the eighties), increased values could mainly result from of a more favourable context in the currency exchange rates markets, most particularly with the fall of the dollar against the euro in the last decade. To see whether trade in goods effectively increases, we also look at exports volumes to the EU.

Figure 11: Dominican Republic's good exports toward the EU in volume (US\$m), 2000-2010



Source: Evaluation team elaboration with CEIRD's data

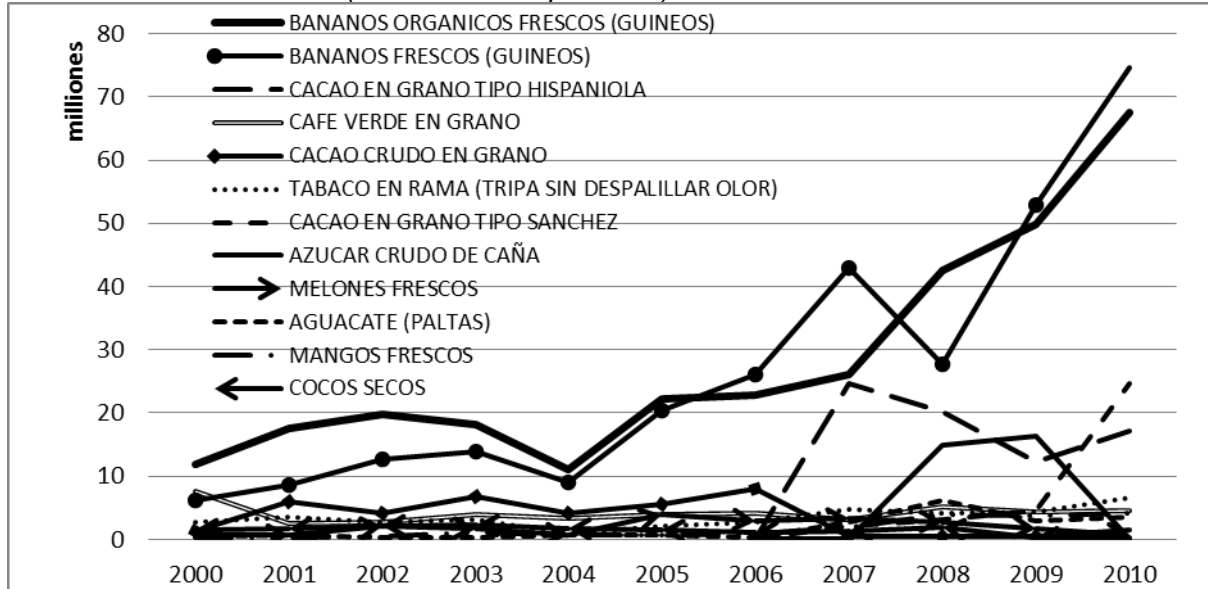
Decreasing volumes in raw material (minerals) confirm such hypothesis of inflated prices/values with no major real exchange. DR's export growth in volume to the EU has only one impressive jump, which is in agricultural goods (from US\$119m to US\$364m, more than three times the original volume). Therefore, put together both figures (value & volume) three different outcomes working at the same time in the same relationship:

- Erratic patterns due to changing prices in some commodities prices (e.g. minerals) (generally extractive industry requires higher capital & less work, thus only few jobs);

- Larger increased value added with almost no increase in volumes (e.g. manufactures) ("better jobs"); and
- Larger volume increase with almost no increase in value per unit (e.g. agricultural goods) ("more jobs").

In the case of RD's agricultural exports to the EU, both volume and value are increased meaning that it could be "more & better jobs".

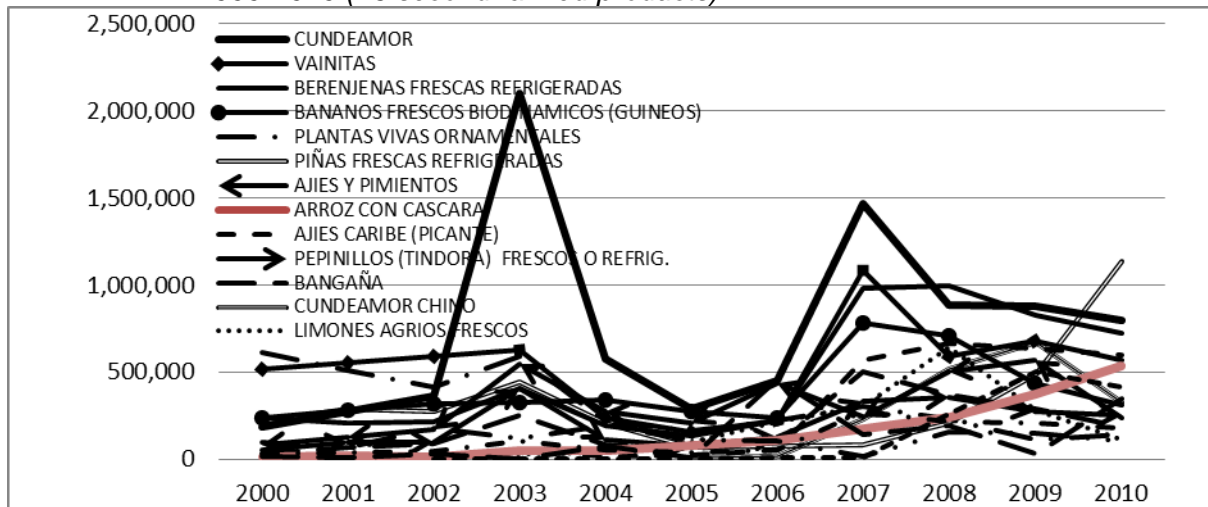
Figure 12: Dominican Republic's agricultural exports toward the EU, in value (US\$m), 2000-2010 (first 12 ranked products)



Source: Evaluation team elaboration with CEIRD's data

A breakdown of agricultural exports to the EU does not show diversified income growth. Most of the first 12 + 16 ranked products in terms of value (above and below figures) is not taking off in their market access to the EU. The EPA does not have immediate effect in terms of trade. In 2005, long before the EPA signature, the banana sector took off (organic and classic bananas at the same level and growth rate) becoming the star product exported to the EU. This denotes a specific sector context either in the DR supply side or EU demand side.

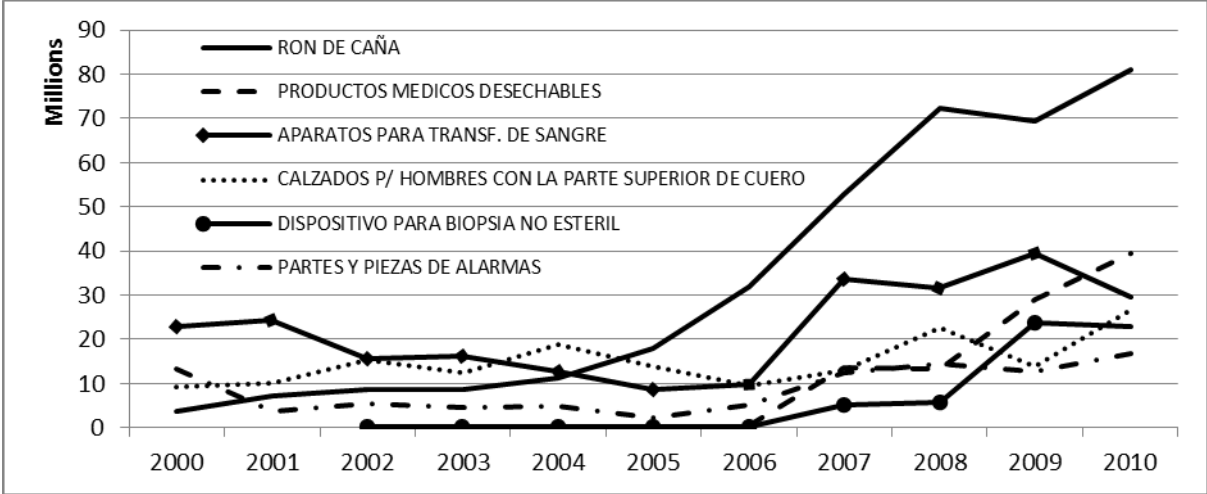
Figure 13: Dominican Republic's agricultural exports toward the EU in value (US\$m), 2000-2010 (16 second ranked products)



Source: Evaluation team elaboration with CEIRD's data

From the 28 products observed, only cacao and pineapples (clusters) show extra efforts to have EU market effective access.

Figure 14: Dominican Republic's industrial exports toward the EU, in value (US\$m), 2000-2010 (6 first ranked products)



Source: Evaluation team elaboration with CEIRD's data

Concerning industrial goods exported to the EU, Rum clearly depicts as the star product over the decade observed. Since 2005, it has a continuous high rate value growth (from US\$18m to US\$80m). Remaining goods seems to take off in 2009. This could be linked to EPA signature but remains uncertain due to the overall context of economic recovery (boosted by recovered EU demand side). Only one good (i.e. “one use medical material”) did enter EU market since 2006 without any break until now becoming the second industrial EU preferred DR's good.

Overall, all these figures show that an improved exchange rate did not have exhibit a strong leverage effect, at least for agricultural goods which are the kind of goods suffering from low quality standards in the EU market context.

JC 6.2: EC support has contributed to giving firms the capacity to become or remain competitive in the light of imports to the country or in order to improve their ability to export.

Overall analysis of JC 6.2

In the past decade, a large number of state-sponsored events are registered, often donors supported, to directly or indirectly improve capacities of DR firms. Overall, there is satisfaction from beneficiaries of the activities carried out and outputs achieved. Less evidence and consensus exists in evaluating outcomes and their impact. Very often missing need assessment and irrelevant internal indicators as well as missing baselines, point out to rather weak M&E structures instead of just missing clear results. DR's Government has set up a comprehensive consultative framework for economic policymaking including the private sector, helped by EC supported SME improved participation and policy framework. Some missing active support of the private sector to the national competitiveness plan may imply further delays. For instance, delay in making national bodies work out EC support towards DR firms, particularly in the context of more indirect support to private sector. This has not hampered government capacity to continue its reforms to liberalize/regulate the economy in order to be more integrated into the world economy. Through its investment facility, EIB supports the financial sector, including microcredit to SMEs, even though not trade focus complements well existing EC supports. This is less evident in the case of CDE and ProInvest supports towards tourism, agricultural and agroindustry sectors, because of some existing overlapping supports with regional supports (e.g. Caribbean Export Development Agency). (JC 6.2)

In the last decade there has been a large number of state-sponsored recorded activities and outputs. However, there is lack of clear outcomes. Demand-driven approaches seem to dominate and over the last decade less and less direct support to DR firms has been given. Intermediary agencies are associated to this process. Moreover, in the case of EC specific support they have become the first beneficiaries. In the case of PROEMPRESA, there are has been more direct support to DR firms and especially to a large amount of very small firms which were not meant to export. One positive outcome of this has been improved SME coordination and autonomy with subsequent recognition in public policies (Indicator 6.2.1)

The private sector is part of the economic policy framework which has been installed by the government to design and implement national strategies. Notwithstanding the fact of a large consultation proceeding, participation from the private sector remains limited and ambiguous. This is due to a mix of sometimes lack of support to actions proposed by the government by some actors with strong individual interest; lack of capacity to actively participate; and lack of coordination/communication. This has led to some delays in planning. Approved interventions could potentially be implemented with some difficulties if clear consensus with the private sector is not reached. (Indicator 6.2.2)

DR's government has continuously worked in integrating the country into the world economy. Domestic laws improving competition and trade defence measures are set complementary to preferential trade agreements (including now services). The EC is a strong supporter of this process in a flexible manner. An earlier EPA implementation under the EDF9 gives chance to DR to be one of the first countries to take advantage of the EPA. Hence, DR could liberalize faster than others EPA partners. Moreover, EPA has signified to boost aid for trade but first at all has locked-in domestic reforms. (Indicator 6.2.3)

The tourism sector, albeit its decrease in growth remains one strategic sector in the DR economy. Backward linkages started to take effect only in 2009 with improved cluster coordination but remains at the moment at the planning stage. (Indicator 6.2.4)

The EIB investment facility is very active in DR supporting the financial sector including microcredit for SMEs without particular focus on trade related activities. CDE and Proinvest are more active in trade related activities, mainly in the tourism and agricultural & agro-industry sectors. Part of this latter support in made on a regional basis. (Indicator 6.2.5)

Analysis of indicators

Indicator 6.2.1: Evaluation results of state-sponsored events for small enterprises to develop their capacity for trade and competitiveness in relation to the EU

DR's government own evaluation of the on going challenges for private sector and trade development are synthesized in the diagnostic made in the context of the proposed National Development Strategy for 2010-2030.

Las debilidades del desempeño exportador reflejan debilidades en las capacidades productivas de sectores clave. En el caso de la producción manufacturera, se observa que su participación en el Producto Interno Bruto ha tendido a reducirse durante los dos últimos decenios. Si bien en la década actual se ha puesto en marcha un proceso de fomento que culminó en la promulgación de la denominada Ley de Competitividad e Innovación Industrial (No. 392-07), el sector continúa enfrentando un gran conjunto de retos, entre los cuales se destaca la necesidad de mayor capacidad de innovación, el desarrollo de ventajas competitivas que dependan en menor medida de esquemas tradicionales de exenciones tributarias y el fortalecimiento de los procesos de capacitación continua de sus recursos humanos. Por otro lado, distintos análisis plantean que el sector agropecuario debe ser uno de los pilares en el proceso de crecimiento de la economía dominicana durante los próximos años (CEPAL, 2008). En particular, se considera que el país tiene un buen potencial para desarrollar cadenas productivas agroforestales, generadoras de más valor agregado y más competitividad, y con posibilidades de integrarse eficientemente, tanto en el mercado global como en el local. No obstante, el sector adolece de financiamiento insuficiente y limitado apoyo estatal en materia de infraestructura, desarrollo de sistemas de información, investigación de mercado, asistencia técnica, investigación y desarrollo. Como resultado, el sector ha mostrado una baja tasa de crecimiento en sus niveles de productividad y, en última instancia, una baja tasa de crecimiento en sus niveles de producción. (Documento base de la Propuesta de estrategia Nacional de Desarrollo 2010-2030, Ministerio de economía, planificación y desarrollo)

Missing innovation & human resources across sectors. In the more promising sectors (i.e. agricultural & agroindustry) financing is missing, infrastructure, information systems, market research, technical assistance, and R&D. This is proved by low increased productivity & production.

Since 2003, the CEI-RD has been the official body responsible for promoting Dominican exports, a role previously played by the CEDOPEX. Activities of CEI-RD include organizing trade missions, fairs and exhibitions to promote Dominican products; identifying foreign demand and the requirements to be met by Dominican products in other markets; technical assistance to exporters and support for their participation in international events; and identifying Dominican products and companies with export potential. The private sector also has export promotion activities, mainly through the ADOEXPO. These include technical, legal and administrative training programs for exporters, the dissemination of trade information and market opportunities, and encouraging government authorities to adopt measures to promote the development of exports, such as tax incentives, access to financing and lowering transaction costs for operations. The DR PROMIPYME program provided comprehensive support but evaluation results are not available beyond the level of activities.

PROMIPYME provides comprehensive support, both financial and non-financial; its services include commercial loans for working capital, for building and extending buildings and for purchasing machinery, equipment and vehicles for the business. It also offers technical assistance, management training and consultancy services to companies. Over the period 2002-2007, the PROMIPYME granted financing to 39,486 companies for a total amount of RD\$4.468bn (around US\$131.4m), broken down as follows: trade (59%), industry and agro-industry (22%) and services (19%). (JAR 2009)

The PROEMPRESA project was supported by a non-reimbursable grant of €9.8m from the European Union, a contribution of the Government of the Dominican Republic of €720,000 and an expected co-financing of the enterprises of about €1.7m over the four years of project implementation, adding up to a total of to €12.2m. PROEMPRESA worked on an autonomous basis to directly support DR firms, sometimes in partnership with public entities such as INFOTEP. According to the final evaluation of PROEMPRESA in 2006, even if information on impact of the project was not available, the results obtained were positive. In fact, 130 seminars and conferences have been organized with the aim to improve business

environment. Organizations supporting small enterprises were strengthened and a services market such as loans developed.

Apart from increasing business value, the PROEMPRESA project aimed at increasing the exports by 20% for 2000 DR firms to be achieved through its delivery of its three components (business development services, collective efficiency and support of the dialogue between enterprises and institutions). Technical assistance, studies and capacity building activities were the main activities. Nevertheless, badly targeted indicators meant that support was made to a large amount of very small firms, which were not meant to export.

Expected versus Achieved Results:

Table 35: COMPONENTE 1: Se desarrolla el mercado de los servicios de apoyo a las pequeñas empresas

Resultados esperados		Resultados obtenidos
1.0.	1400 PE servidas	306 empresas que han adquirido cheques
1.1.1.	Realización de un estudio sobre la oferta/demanda de SDE	Estudio de la oferta/demanda realizado
1.1.2.	700 Diagnósticos participativos	487 DP
1.1.3.	300 diagnósticos flash	187/300 diagnósticos flash
1.1.4.	Campaña de sensibilización sobre bonos: 1400 PE sensibilizadas	6 eventos de sensibilización 1781 empresas sensibilizadas
1.2.1.	Estudio de identificación de prestatarios	0 estudios realizados (aunque incluido en 1.1.1.)
1.2.2.	8 módulos de servicios adaptados y 250 prestatarios formados	0/8 módulos; 0/250 prestatarios formados
1.3.	3500 cheques	1638 cheques a 306 PE

Source: Evaluación de PROEMPRESA, Informe final 2006

Table 36: COMPONENTE 2: Fortalecimiento de los GEC y de sus organismos de apoyo

Resultados esperados		Resultados obtenidos
2.1.1./2.	150 animadores formados.	0 contratos firmados/ 150
2.1.3.	700 empresarios (el programa decidió que se formarían en GEC de 4 ó 5)	27 grupos englobando 237 PE.
2.1.4	10 SPL creados y apoyados	Se crearon 3 /10
2.2.1./2.	25 auditorías institucionales y planes de desarrollo	12 asociaciones/ 25
2.2.3	Producción de módulos de liderazgo empresarial para 500 empresas	180 líderes formados
2.3.1./2.	Formación de 150 agentes de difusión.	No se ha formado ninguno, pero se ha realizado un estudio sobre la oferta y la demanda

Source: Evaluación de PROEMPRESA, Informe final 2006

Table 37: COMPONENTE 3: Mejora del ambiente de los negocios

Resultados esperados		Resultados obtenidos
3.1.	130 seminarios, talleres, conferencias 10 estudios	110
3.1.	2a etapa mesas concertadas: 20 a 25 encuentros	0
3.1.	3 etapa: alianza MIPYMES 15 encuentros	0
3.1.	10 estudios	9 estudios realizados, 3 en ejecución.
3.2.	4 proyectos de ley	1 proyecto de ley.

Source: Evaluación de PROEMPRESA, Informe final 2006

Interviews held in 2011 by the evaluation team were able to track some impact of this intervention. For instance, support given to the Confederation of SME Associations called CODOPYME by enlarging membership from 15 to 50 and providing TA to start B&B services had not only positives outcomes among SMEs in a sustainable way but also permitted to increase visibility and participation in the governments policy making towards SMEs. A first law granting SMEs specific recognition and support become a reality in DR (Law No 488-08 laying down the Regulatory Arrangements for the Development and Competitiveness of micro, small and medium-sized enterprises).

Under EDF9 and 10, a more comprehensive EC support took place. EDF9 ISPRI program has provided several specific supports to the different governmental as well as private export agencies many times focused in EU market access. Support was given to studies and technical assistance to comply with management and products quality standards. Less evidence exist on support to specific DR firms to export.

The EDF10 support in the CDSPAC project financed by the EC strengthens the Commission of National Competitiveness (CNC) in creating a list of certifications and norms according to ISO 9000. Moreover, it also supports the integration of this sector policy into national policy making through the national development strategy and strengthens the seven government institutions linked with competitiveness assisting them in the strategic planning and the implementation of National Plan of Competiveness. Starting in 2008, the CDSPAC is relatively new and support DR firms, outputs and outcomes is not yet documented. EC as a co-chair and leading member of the Competiveness Donor Table also initiates improvements of trade towards non-EU countries. The EC supports the NCC in the field of competitiveness, which are financed by the Competiveness Sector Budget. As a follow up, the new Competitiveness Program will support the National Quality System (laboratory certification, trainings and equipment). The program has also a direct support to small and medium enterprises (SMEs) to adopt standardised quality management systems (ie. ISO 9000, ISO 14000 etc).

Interviews in the field made by the evaluation team and the focus group organized with entities involved with trade interventions pointed out an overall satisfaction of donor support to improve DR firms trade & competitiveness capacities, and most particularly of EC specific support. This holds for two levels: activities and outputs. Less evidence and consensus exists among all stakeholders concerning positive outcomes & impact of this support. Nevertheless, qualitative assessments show some shortcomings in the quality of the outputs themselves (e.g. studies that are useless) and a loss of relevance due to delays taking place (e.g. support to trade negotiations). Few interviewees were complaining about the relevance of the support, this without making clear distinction between governments and donor approaches in the later interventions unlike in the past where donors support was clearly identified (e.g. Probanana).

Indicator 6.2.2: Extent of private-sector support to the DR National Plan for Systematic Competitiveness (PNCS), specifically oriented towards support for EU trade

The National Competitiveness Council (NCC) and Ministry of Economy, Planning and Development (MEPD) with full support of public and private stakeholders, and partial funding from the EU, held in April 2009 the First Competitiveness and Productive Development Forum, which served as a high-level discussion forum with public and private sector stakeholders to review results of the NPSC to date, announce officially the main thrust of the NDS, and set up public-private work groups to review, identify and prioritize the key competitiveness elements of the NDS. The long-term vision and strategic objectives of the NDS and NPSC are the same, which has led to a coherent and consistent policy framework to achieve medium and long-term competitiveness goals within the NDS. (Dominican Republic - Competitiveness Sector Budget Support (CRIS n° DO/FED/22-202, Action Fiche):

The NCC focuses on a mix of policies and supports dealing with organising clusters, improving doing business indicators and enhancing the functioning of the national quality system. Even if most actors welcome all these policies, full private sector support to this process (PNCS) was not confirmed during the field mission. Several reasons account for this. Firstly, private sector representatives were sometimes missing in organised meetings with relation to the topic, most particularly to the focus group on trade and private sector support where its attendance was confirmed but eventually did not take place without further notice. Secondly, the private sector represented during meetings expressed worries about the relevance and operationality of the actions proposed by NCC (i.e. PNCS) without being specific enough about the shortcomings of the PNCS. Denoting a lack of capacity to make its own proposal. Additional shared concerns refer to missing information and clarity on how the institutional framework is going to work (tasks & responsibilities in each entity; degree of autonomy of each entity). This means that there is concern about the process itself as different stakeholders fear to not be actively involved. They worry that they will simply act as administrative intermediaries between the government (or NCC) and DR firms. At the same time, the NCC explains the lack of support is explained by still existing protectionist behaviour in the private sector against a competitive environment supported by the new policy.

From the donors' point of view, delays in officially approving National Development Strategy 2010-2030 not only due to upcoming elections in the country but mostly due to lack of answers from the private sector, which would back up its policy content (which includes economic policies built on upon the competitiveness agenda). Related to this, some actors also fear a loss of support to the EPA implementation agenda, showing difficulties to always link trade and regional economic integration with competitiveness. This was supported by the fact that trade actors do not meet at national level as such since the export national committee never met whereas the national committee on competitiveness is active. Concerning aid modalities related hereto, there is also a fear of losing well-appreciated direct support from donors. SBS support still is an unknown modality suggesting potential difficulties due to the fact of adding extra (governmental) layers to private sector support. This is supported by a survey made in 2010 by GALLUP (under ISPRI auspices) on private sector perception of services provided by supporting public and private entities that point out high degrees of bureaucracy.

Indicator 6.2.3: Evidence of evolution of GoDR policies reflecting economic (especially trade) liberalization

The WTO Trade Policy review in 2008 states:

Since its previous trade policy review in 2002, the Dominican Republic has continued with the liberalization of its trade regime. Among other measures, customs procedures were streamlined, tariffs reduced, import surcharges and export taxes eliminated, and new legislation adopted on government procurement, competition policy and intellectual property rights. Participation in the global economy has remained intense, with trade in goods and services, investment flows and family remittances making key contributions to the economy. As such, the Dominican Republic has continued to give priority to its participation in the

multilateral trade agenda, while also seeking to further its integration into the global economy through preferential agreements. ...The Dominican Republic has liberalized its trade regime selectively through preferential agreements. In addition to the agreements it had in force in 2002 with the Central American Common Market and CARICOM, during the period under review the Dominican Republic finalized negotiations on the Partial Scope Agreement with Panama, the Free Trade Agreement among the Dominican Republic, Central America and the United States (DR-CAFTA) and the Economic Partnership Agreement between the European Union and CARIFORUM. By September 2008, the latter had not yet entered into force. The DR-CAFTA is especially important inasmuch as the majority of the Dominican Republic's overall trade in goods is carried out with the parties to this agreement. (Trade Policy Review, report by the WTO Secretariat, The Dominican Republic, 2008)

In the last 10 years, EC contribution has targeted the competitiveness and trade sector with the aim of facilitating DR enterprises move towards a liberal market economy. In this regard, EC support has gone hand in hand with DR PNCS and GoDR policies during the last years. The Dominican Government continued building on the regulatory framework in 2008 to ensure the implementation of the PNCS. To this end, it adopted several laws during this year including the Law on the Protection of Competition.

The Dominican Government continued building on the regulatory framework in 2008 to ensure the implementation of the National Systemic Competitiveness Plan, and to this end it adopted several laws during the year (including the Law on the Protection of Competition):

- *Law No 494-08 on Commercial Arbitration*
- *Law No 480-08 creating International Financial Zones in the Dominican Republic.*
- *Law No 479-08 establishing the General Law on Commercial Companies and Sole Traders with Limited Liability.*
- *Law No 42-08 on the Protection of Competition.*
- *Decree No 43-08 integrating the Regulatory Commission on Unfair Practices in Trade and Safeguard Measures, established by Law No 1-02 of 18 January 2002.*
- *Decree No 236-08 laying down the implementing regulation for Law No 358-05 on the Protection of Consumer and User Rights.*

(JAR 2008)

One of the four pillars of the National Development Strategy 2010-2030 covers economic development focused on improving worldwide competitiveness through enhanced domestic competition. The EPA has certainly helped in supporting the reforming activities with specific provisions on competition and trade defense measures. EC support to EPA implementation goes in that direction (e.g. support to the newly established competition body) and is complementary to its specific support to DR competitiveness.

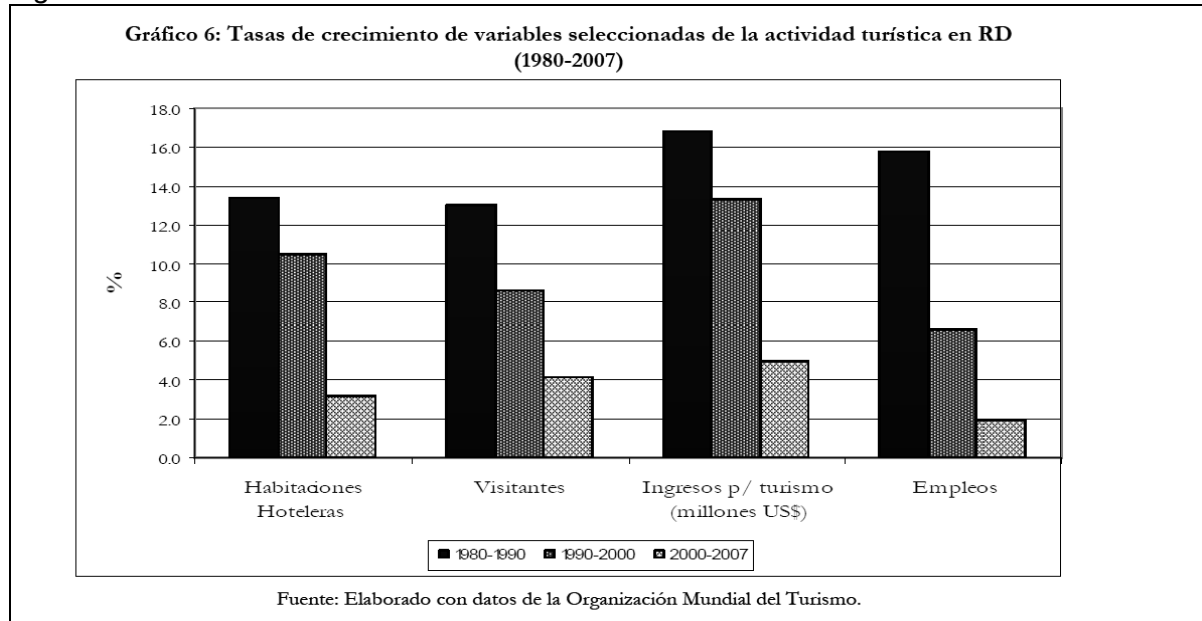
Moreover, the ISPRI programme enhanced trade defense body capacities. One outcome mentioned above was the effective engagement in trade investigations. , One of them was against EU products imports to DR which was considered as no proceeding (“bottles case”), leaving EU products free access to DR market. Because of flexibility in EC programming, this earlier EPA implementation under the EDF9 has enabled DR to take advantage of the EPA agreement and to become one of the first - if not the first - ACP country to effectively implement an EPA (most countries did not sign EPA yet and those who did it had to wait for EDF10 implementation). It follows that, DR has been able to liberalize faster than other EPA partners.

Indicator 6.2.4: Evidence of the introduction of backward linkages in the tourism sector to provide local producers with a local market that will help them prepare for international markets (specifically to the EU)

In general the DR Tourism Sector is characterized by decreasing growth but remains a strategic sector (main cluster) of the DR economy.

Even if the graphic below shows a decline of tourists flow and of foreign exchange generated by them between 1980-2007, the tourist sector is one of main economic sector of RD.

Figure 15: Per Cent Growth in Tourism in DR 1980-2007 – Selected Indicators



Source: Documento base de la Propuesta de estrategia Nacional de Desarrollo 2010-2030, Ministerio de economía, planificación y desarrollo)

In 2009 the DR National Hotels and Restaurant Association (Asonahores) and the Dominican Agribusiness Board (JAD) signed an agreement geared towards establishing backward linkages in the DR hotel sector. The agreement seeks to include DR products on hotel menus ('ethnic products') whilst simultaneously reducing or substituting food imports by leading international hotels.

Santo Domingo.- Dominican Republic's farmers and hoteliers on Tuesday adopted a strategy to supply with local products the beverage and food demand of the tourism industry's more than, whose yearly earnings top RD\$10bn. To identify products of highest demand and diversify production is at the core of an agreement the National Hotels and Restaurants Association (Asonahores) and the Dominican Agribusiness Board (JAD) signed today. Asonahores vice president Arturo Villanueva and JAD Osmar Benítez director said the agreement stems from the third Farm and Agribusiness Product Consumption Survey, conducted by the hoteliers. They said the poll aims to promote the consumption of Dominican products by Asonahores members, to guarantee the safety levels of the supply and the satisfaction in the demand. Benítez stressed that once producers are aware of the tourism industry's demands they orient their supply in that direction, noting goat meat as an example which he said is being imported since the hotels demand around 100 million pounds yearly, though the country can provide given the favourable climate and other factors. Villanueva said the survey helps local producers to be more competitive in price and quality and the currencies tourism generates won't have to be spent on imports, which contributes to spur the economy.

(<http://www.dominicantoday.com/dr/tourism/2009/10/13/33540/Farms-hotels-pact-to-supply-Dominican-tourism-industrys-64000-rooms> DOMINICAN TODAY-13 October 2009)

Such agreement is backed up by the SMEs Confederation CODOPYME aiming at becoming a local provider of the tourist's Hotels National Association (ASONAHORES) along the same line. Agrobusiness sector is only one among several potential suppliers. Backward linkages are starting to take effect but its full implementation is waiting.

Indicator 6.2.5: Evidence that the Investment Facility and the Centre for the development of Enterprises (CDE) have provided capacity and innovation in order to increase exports to the EU

The Investment Facility of the European Investment Bank (EIB) has a successful credit line for small and medium enterprises but not necessarily for trade activities or specifically for exports to the EU. No evidence was found with regard to capacity building and innovations increasing exports to the EU.

The EIB is active in the Dominican Republic since 1994 and has invested in the electricity and banking sectors. Moreover, for the past 12 years, the European Investment bank has supported the development of the microfinance sector in the Dominican Republic, playing an instrumental role in the development of Banco de Ahorro y Credito Ademi (ADEMI) and ADOPEM. The European Investment Bank provides loans to small and medium enterprises (€20m) through existing facilities in the ADEMI and ADOPEM banks and the FONDESA agency. (EIB)

A new EIB credit line for €40m is in the process of being approved for the Atlantic Touristic Boulevard. (JAR 2009)

The Center for Development of Enterprises (CDE) supported DR mostly in direct support to DR firms organised by cluster like the tourism sector (e.g. 5 beeches certified with Blueflag certificate; GlobalGAP standards for worldwide markets but also HACCP focused on UE market). Cacao sector is now supported by regional programs becoming the first regional cluster (55 firms) with some DR firms involved (see also indicator 6.1.2 above). Both support are EU trade related since exports to EU in tourism and agricultural do have continuous growth. Nevertheless, the CDE receives less support in DR than the Caribbean Export Development Agency (CEDA), which is said to be more flexible, covering the same and more diversified support activities than the CDE does.

Complementary to CDE support, there is ProInvest more specific support, which in DR was continuous (10 projects since 2002 specific to DR mainly in agricultural and agroindustry, most of it being company match-making activities). Although ProInvest support is appreciated by beneficiaries, DR the private sector had to request for this program to be more adapted to DR needs.

JC 6.3: Improvements in trade with the EU and other trading partners provides better and sustainable opportunities for employment especially women.

Overall analysis of JC 6.3

Improved and still underestimated trade with EU and other trading partners certainly provides better employment conditions in DR. Haiti being now the second largest export market destination is another opportunity for improved relations capable of solving problems related to migration often not allowing migrants to benefit from this improved employment environment. Women have increased participation in the active population and are equally subject to training opportunities. Unfortunately, they remain with higher rates of unemployment. Some MS were active along the decade in supporting employment related activities but without linkages to EC support to this sector and no more support in their side is known. EC contribution is clear for some very specific supports like in the Banana sector. In the remaining cases of more direct support to DR firms, difficulties exist to track results because of weak M&E. (JC 6.3)

DR's labour market is highly informal and with high rates of unemployment. Most of trade related EC programmes mix employment with trade objectives. Most particularly those under EDF8 providing more direct support to DR firms. (Indicator 6.3.1)

EC contribution to employment is clear in direct and more specific support like the banana sector. EC contribution to demand driven projects is less evident as was the case for PROEMPRESA. Overall, all existing interventions show registered activities and achieved outputs but do not record impact on employment. Baselines are missing and monitoring ends at the end of implementation phase. (Indicator 6.3.2)

Various EU MS (Germany, Italy, Spain) were active in the DR supporting employment interventions. Less evident is to see continuity in this support since DR Government does not include them in the pluriannual budgeting plan 2010-2013. (Indicator 6.3.3)

Women unemployment is 2,7 higher than for men. This in a context of increasing women joining the active growing population. INFOTEP, which is in charge of providing vocational training, does have equal participation of women and successful rates in finding jobs. EC contribution to gender-improved context is difficult to assess but still has some successful examples. (Indicator 6.3.4)

It can be said that DR-Haiti bilateral trade is one way. Haiti is the second largest DR export market destination. Total trade remains underestimated because of existing informal trade activities. (Indicator 6.3.5)

Analysis of indicators

Indicator 6.3.1: Existence of trade programs/projects focused on trade to increase employment

The main characteristics of DR's labour market are its high informal activity as well as high formal unemployment rates this across the last decade, with a still observed shift from agricultural and industrial sector to services sectors.

In 2009 and partly as a consequence of the global crisis, unemployment amongst the economically active population, was high. A report of the international labor organization (ILO) shows us that 30.4% of young people are unemployed, a rate which greatly exceeds the regional average In the same time there is a change of employment structure, in fact according to Economic Commission for Latin America and the Caribbean in DR there is a decrease of percentage of employed population in agriculture and industry sectors from 2000 and 2009 respectively of from 15.9 % to 14,7% and from 23,8% to 17,9, while there is an increase of percentage of employed population in services sector in the same period from 60,2% to 67,4%. (CEPAL, Statistical yearbook 2010 for Latin American and Caribbean).

EC trade related support to DR has been under EDF8 focused in specific sectors such as Banana & Rum sectors. Other EC support very often also supports the tourism sector.

Table 38: *PROBANANA log frame mix trade and employment objectives*

Intervention logic		Objectively verifiable indicators
Overall objective	To contribute to the economic and social development of the Dominican Republic by improving the productive and commercial capacity of the banana growers.	<ul style="list-style-type: none"> - Production and exports of bananas. - Forex earnings. - Average income of farmers and workers. - Social conditions of farmers and workers.
Project purpose	To attain an improved competitiveness in the banana sector.	<ul style="list-style-type: none"> - Costs of production by 2003 below 2000 levels in real terms. - Quality patterns by 2003 above 2000 levels. - Increased exports and access to new markets.

Source: Financial Agreement PROBANANA, TAPs, Log frame, 2000

Another EDF8 support was PROEMPRESA also mixing employment with trade objectives:

Table 39: *PROEMPRESA log frame mix trade and employment objectives*

<i>Logica de intervencion</i>	<i>Indicadores</i>
<p><u>Objetivo global:</u></p> <p><i>Un desarrollo económico consolidado, duradero, equitativo y creador de empleos</i></p>	<ul style="list-style-type: none"> - Mayor contribución del sector doméstico al PIB - Contribución al empleo (al menos 3.000 empleos creados)
<p><u>Objetivo específico:</u></p> <p><i>El desarrollo constante de las pequeñas empresas con fuerte potencial de crecimiento</i></p>	<ul style="list-style-type: none"> - 2.000 empresas apoyadas sobre el conjunto del territorio - Aumento del 40% del volumen de negocios de las empresas beneficiarias y del 20% de sus exportaciones - Mejora del medio y de los métodos de empresas y prestatarios de servicios

Source: Convenio de financiamiento PROEMPRESA, DTAs, Marco Logico, 2001

The National Institute for Vocational Training (INFOTEP) has been a partner in EC supported PROEMPRESA for employment generation activities. 34 208 training vouchers, of which 17 556 related to technical assistance and 16 652 to training were provided. The Dominican government has declared the 2006, the year of employment generation and has established a strategic plan with the aim to create 500,000 jobs. This strategy aims at training the workforces toward productive sectors, and aims at increasing the employment opportunities and at improving economic activities.

The remaining EC interventions in DR trade related can be splitted into three groups:

- Demand-driven interventions with direct support to DR firms having direct impact on employment is easy to measure. Examples are certifications made at micro level;
- Strategic interventions at the micro and meso levels in the private sector with a mix of direct and indirect support to DR firms. EC contribution to employment becomes uneasy. Examples are the more integrated support to clusters such as the Rum and Cacao sectors;
- Strategic interventions at meso and macro level. EC contribution to employment becomes difficult to track. Examples are the ISPRI and CDSPAC ongoing programs focused on more support to improve business environment & government planning.

Indicator 6.3.2: Increase of employment opportunities of DR private firms as consequences of EC support

The PROBANO Project showed effects after 4 years of completion as fulfilling quality standards, regulations and certification of DR bananas. Thousands of new jobs were created in the Northwest of DR, which could surpass the target of 6800 banana workers. (See also indicator 6.1.3)

During a meeting with Agriculture minister Salvador Jiménez, banana farmers said the sector has become the “free zone” of the Northwest Line with more than 15,000 jobs in the productive process and is now the country’s leading currency producer among agribusinesses. (Dominican Today” 22 July 2010)

PROEMPRESA’s impact on employment is less clear. SME Confederation CODOPYME confirms that in 2011 EC support enabled them to organise services provisions to their members such as training and events organisation in a sustainable way. Therefore, employment was created and services aim at improving existing employment. INFOTEP main state provider (see also indicator 6.3.1 above) has provided vocational training with EC support through the use of bonds. The final evaluation of the project (2008) saw positive results in the bond system and sustainability of it. In 2011 the system did not continue and its final assessment is that demand driven training did not work appropriately because of diluted and weak impact. A more strategic and integrated approach is required to positively affect employment. Capacity development was not assessed appropriately and at the end there was a rather weak coverage of the needs.

INFOTEP offers services since 2002 to 2008 4% to 8% respectively the active economic population. This means from 110.000 to 357.000 employees nowadays. Out of these, 78% are employed in the formal sector and 20% do have start ups (generating more jobs). There is a high level of satisfaction (85%) of its services from RD firms (clients). One main feature in their training approach is the use of the SIMAPRO (ILO) tool to measure productivity at firm level. EC contribution to employment has ended in 2008 and it difficult to track results without baselines (2001). The same difficulty holds for other EC contributions to DR’s firms. All interventions show registered activities and achieved outputs but there is no record regarding their impact on employment. Baselines are missing and monitoring ends at the end of implementation phase.

Indicator 6.3.3: Existence of support programmes by MS on employment

The EU member states have implemented projects that focus on employment generation. Spain, for instance, has implemented projects based on education and distance learning. Furthermore, Italy, Germany and France have supported the DR employment generation sector. For instance, SMEs Confederation CODOPYME had several specific supports from Germany in 2000, Italy in 2004, and Spain in 2007. These efforts however are not linked to any of the EC thrust projects even if they mostly target the same beneficiarie

Table 40: Participation of MS in support to DR by sector

Sector	EC	Germany	Spain	France	Italy
Education, training, social	X	X	X	X	X
Health	X	X	X	X	X
Infrastructures, energy, water	X	X	X	X	
Private sector and regional economic integration	X		X		
Agriculture, rural development, environment	X	X	X	X	X
Democracy, governance, decentralisation	X	X	X	X	X
Budget support	X				

Source: Country strategy paper and National Indicative Programme 2008-2013, DR- European Community

Another view of donor support is provided by DR Government pluriannual budget where no MS appears in the economic development strategic pillar (where employment policy is found).

Table 41: International donor support for DR

Cuadro 1
PNPSP 2010-2013: Cooperación Internacional No Reembolsable por Eje Estratégico según Fuente de Financiamiento (Millones de US\$)

Donante	Eje Estratégico Desarrollo Institucional	Eje Estratégico Cohesión Social	Eje Estratégico Desarrollo Productivo	Eje Estratégico Sostenibilidad Ambiental	Total por Donantes
España	0.58	2.97	0.00	0.50	4.04
Alemania	0.00	0.00	0.00	5.35	5.35
Japón	0.00	4.15	3.30	0.57	8.02
Taiwán	3.35	40.70	3.20	0.00	47.25
Canadá	0.00	0.00	0.00	2.29	2.29
EEUU	0.00	10.00	0.00	0.00	10.00
Coop. Andina	0.00	0.00	0.08	0.00	0.08
IYF	0.00	0.00	0.50	0.00	0.50
Banco Mundial	0.10	3.08	0.00	0.00	3.18
Unión Europea	48.52	46.99	200.43	11.53	307.47
Fondo Mundial	2.94	33.46	0.00	0.00	36.40
BID	0.00	0.01	0.56	0.00	0.57
FIDI	0.00	0.08	0.00	0.00	0.08
ONU	0.00	0.86	6.36	0.00	7.22
Total por eje	55.48	142.31	214.44	20.24	432.47

Fuente: Viceministerio de Cooperación Internacional

Source: DR Government

Indicator 6.3.4: Improved trade opportunities of DR firms show increased ratio of women to men employed

Even though the gap between unemployed men and women has reduced slightly since 2004 the female unemployment rate was 2.92 times higher than that for men in 2004, and 2.7 times higher in 2008. In 2008 existing data confirm that 22.8% of women in the economically active population were unemployed as opposed to 8.5% of men.

Discrimination in income and employment for women are still issue, in fact in the formal sector, unemployment rates are 9.2% for men and 27% for women in 2006. Even if in 2008 there was an improvement the existing data confirms that 22.8% of women in the economically active population were unemployed, and only 8.5% of men. (JAR 2009)

It is worth noting, however, that the structural ratio of active population/population in age to work is increased. Such increase is led by the large numbers of newcomers joining the active population, most particularly women.

La economía dominicana no ha reducido de forma permanente su nivel de desempleo, y no ha logrado elevar los niveles de salarios promedio. Esto refleja diversas tendencias. Por un lado, el país muestra una tendencia al aumento de las tasas de participación (es decir, el porcentaje de personas en edad de trabajar que se incorpora al mercado laboral), lo que es especialmente notable en las mujeres... (Documento base de la Propuesta de estrategia Nacional de Desarrollo 2010-2030, Ministerio de economía, planificación y desarrollo)

INFOTEP do record equal share of participation of women to its training activities with the same probability to find jobs afterwards (although it is not clear whether with lower wages or not). Moreover, female do participate in the same trainings of that of men (same pensum). ILO support in gender was decisive in this case.

As for EC support related to employment such as PROBANANO & PROEMPRESA, projects in question did not produce data with gender distinction; their contribution (and the EC one) to closing the gender employment gap could not yet be verified. During the field mission the evaluation team was able to track only two examples of effective support towards women:

- PROEMPRESA supported the SMEs confederation CODOPYME in order to strengthen its activities and institutional framework. Successful implementation tripled the number of membership up to around 50 active members. From the 50, 5 are women entrepreneur associations (firms lead by women). Out of which 4 were new members thanks to the project. In 2011, around 38 associations remains active and among these, the full 5 women associations;

- Non State Actors EC support to DR launched call for proposals, which were successful in granting support to women lead firms.

Least but not least, there are many difficulties to measure impact for Haitian workers (men and women) because of migration policy shortcomings in both countries not allowing to take them into consideration easily.

Indicator 6.3.5: Level of trade across the border (DR-Haiti)

In the course of the last years, Haiti has become the second largest DR export market destination after the US in official statistics (see also indicator 6.1.1). This is without an important existing informal exchange. On the border region itself, the Dajabón Bi-national market (Haiti and DR) is the main source of income for families on both sides of the border as it represents an informal trade point. Further information on bi-national activities is provided in EQ 5.

El mercado Binacional de Dajabón es la fuente principal de ingresos para las familias de ambos lados de la frontera, beneficiando fundamentalmente a los empresarios dominicanos, que exportan numerosas mercancías, muchas de las cuales no son competitivas en otros mercados internacionales, favoreciendo de manera marginal a los actores económicos locales, debido a factores como la precariedad de la infraestructura del mercado, la pobreza de la región, la debilidad de los recursos humanos, entre otros. Al mismo tiempo, el inicio de la construcción de un mercado en Dajabón, financiado por la Unión Europea, va a implicar un cambio importante en las formas de funcionamiento del mercado y las maneras de organizarse de los/as comerciantes. (Juan Del Rosario Santana, "LA DINÁMICA COMERCIAL ENTRE REPUBLICA DOMINICANA Y HAITÍ EN LA FRONTERA NORTE-DAJABÓN Y NORDESTE-WANAMENT, 2007: [...])

Unfortunately, trade with Haiti remains one way:

250 empresas radicadas en la República Dominicana realizaban sus actividades de exportación de manera continúa hacia el mercado haitiano con más de 1,200 líneas de productos diferentes. Cada mes, unos 300 camiones llegaban a territorio dominicano para realizar compras directas a suplidores locales, los cuales se destinaban principalmente a la capital haitiana. (EDDY MARTINEZ MANZUETA, director del Centro de Exportación e Inversión de la República Dominicana, enero 2010).

Still the border region is the main entry point to Haiti (e.g. Dajabon).

Table 42: Dominican Republic's exports to Haiti (2009)

**Exportaciones Dominicanas a Haití – Según Puerto de Exportación
Exportaciones Totales, de Zonas Francas y Nacionales
2009**

Exportaciones Totales		
Puertos de Salida	Valor, US\$	Participación %
HAINA ORIENTAL	285,436,869	44%
JIMANI	152,746,349	24%
DAJABON	105,690,721	16%
ELIAS PINA	61,525,874	10%
SAN PEDRO DE MACORIS	21,521,684	3%
PEDERNALES	12,411,800	2%
HAINA OCCIDENTAL	2,558,655	0%
SANTO DOMINGO	1,372,503	0%
PUERTO PLATA	619,113	0%
MULTI-MODAL CAUCEDO	278,664	0%
AERO. INT. DR. J BALAGUER	70,724	0%
MANZANILLO	7,338	0%
AEROP.INT.DE LAS AMERICAS	1,880	0%
AERO. INT. DEL CIBAO	110	0%
TOTAL	644,242,285	100%

Fuente: En base a datos de la DGA, CEI-RD

Source:

)

JC 6.4: The EC's support in the enabling framework for trade (e.g. taxation, legislations, product quality requirements) has led to trade and market opportunities in a sustainable way.

Overall analysis of JC 6.4

EC support to the enabling framework has been successful in well-targeted interventions concerning trade and market opportunities in a diversified manner in specific sectors, mainly through product quality, SMEs and Competition improved frameworks. Less evident at this stage are the results to be obtained from a more comprehensive support to capacity development in entities related to the National Systemic Competitiveness Plan beginning to take place. Trade improvements do not offset yet weaknesses in competitiveness. Fiscal policy and trade restrictiveness are evolving as to improve innovation and productivity but there is room for improvement. External trade policy being one main driver, regional integration benefits is tackled now from the EPA perspective. The ambitious competitiveness agenda still in its planning stage does not have a clear capacity development implementation strategy towards selected clusters and its related entities. (JC 6.4)

DR exports in goods to the EU do grow in a sustainable way (see also indicator 6.1.1 & 6.1.3). Related products were object to EC direct support including quality standards upgrade. EC contribution to remaining support is less evident to track. The DR Government starts not to follow up impact of all these effort by measuring the rate of rejection in the US ports of all DR exports towards this country, first DR export destination. US rejections rates can be used as a proxy with successfully improved market access. EC contribution to these results can be inferred from its support to the national quality system (e.g. ISPRI support to the Ministry of Agriculture) in charge of improving overall agricultural export products standards. (Indicator 6.4.1)

DR's export in goods to the world has continuous growth. Trends are negative for the most important exported products (e.g. textile) and positive for others such as agricultural ones. Nevertheless, this shift is not considered sufficient to reduce observed gaps. This is mainly due to weak productivity and competitiveness of DR firms. Exports in goods growth but at a lower rate than the rest of Latin-American countries. (Indicator 6.4.2)

DR's trade effective protection in goods is close to worldwide average. Tax incentives are usual and deeper trade liberalization comes mainly through preferential agreements (see also indicator 6.2.3) along other domestic policies (Indicator 6.4.3)

DR has several tax incentives schemes working at the same time (see also indicator 6.4.3 above with custom tariff reductions in specific goods). Incentives are a mix of trade and competitiveness incentives to boost innovation (e.g. incentives to replace machinery) and productivity (e.g. incentive to join a industrial zoning/cluster). There is nevertheless evidence of also incentives tailor made to protect existing industries from competition. (Indicator 6.4.4)

Indicator 6.1.1, 6.1.3 and 6.4.2 show additional details of DR's exports in goods to EU market. Further statistics show that the value and volume of DR products increased in a rather focused manner depending on the final destination (UK imports DR bananas whether Spain prefers its Rum). (Indicator 6.4.5)

EC programme ISPRI was devoted to this EPA negotiations and later implementation. Regional & Macroeconomic integration was not the focus and is only treated in the EPA context. From DR's perspective, EPA contains enough provisions to help economic integration between the Cariforum group. Capacity development plans and strategic plans for regional institutions are considered more relevant in the Cariforum & Caricom contexts (Indicator 6.4.6)

A qualitative assessment pointed out the continuous overwhelming use of outsourcing in all government's donor related activities. Results are measured in terms of outputs rather than of increased capacities. Management weaknesses (e.g. to implement project & M&E) but

also to do research and policy analysis. Since the new cluster approach will potentially propose a new framework for coordination, there is uncertainty about how this will affect first capacity development in each entity and secondly, how this will affect their involvement (administrative versus technical). (Indicator 6.4.7)

Analysis of Indicators:

Indicator 6.4.1: Increased number of producers and volume of products complying European quality standard

An increase in the volume and value of products in the agricultural sector has already been documented under indicators 6.1.1 and 6.1.3 above. However the number of firms and especially small enterprises is not documented. Joining EUREPGAP, (today GLOBAL G.A.P) which is a key reference for Good Agricultural Practices in the global market place, constitutes one of the important results of the PROBANO project. It has contributed to an improvement of quality, of regulations and of certifications of DR banana trade.

PROBANANO targeted around 1,200 smallholder banana producers. One of the main results is the transfer of the EUREPGAP standards that contributed to an improvement of quality and export volume (approx. 80,000 mt). According to the 2006 PROBANO final evaluation, forty farms were in line EUREPGAP standards with 713 products at the end of project.

The country's DR leading banana producers announced a 25% jump in exports to Europe to more than US\$58m in the first half and expect to top US\$160m in 2010. In 2009 producers exported to Europe 280,000 metric tons of bananas and expect to reach more than 300,000 by the end of the year. In the same time value and volume of other products exported toward EU also increased.

DR banana trade is mainly direct to EU market (CEI-DR statistic). The transfer of the EUREPGAP constitutes one of the important results of PROBANO project protection has contributed to an improvement of quality, of the regulations and of certifications of DR banana trade. (PROBANANO final evaluation 2006)

Luis Bonilla, a Northwest Valverde province banana producer for almost 20 years, said the country will make more than US\$160m from banana exports by year end. He said every week growers are exporting more than 350 boxes of bananas to the European market, which he affirms are the main buyers. "The banana sector's perspective is very good, very encouraging; we're going through one of the best moments regarding banana exports and production. (Dominican Today, 22 July 2010)

The same applies to other products exported to EU like Rum & Cacao object of direct EC support in the last decade (see indicator 6.1.3 above). Quality standards are well complemented with better internal coordination of the cluster together with improved external networking.

Notwithstanding those successful cases of increased exports in some sectors with clearly targeted EC interventions (quality standards sustainability are easier to be track), most of remaining EC support is widespread and weak M&E does not allow to easily check which certifications achieved in the period covered by this evaluation still apply. All interventions stop their monitoring at the end of the project, thus at output level (i.e. certification achieved). However, no measure of outcome, impact and sustainability exist (e.g. CDE blueflag certification of 5 beeches).

DR Government starts not to follow up impact of all these effort by measuring the rate of rejection in the US ports of all DR exports towards this country, first DR export destination. Unfortunately, there is no available measure so far of the same rate of rejection concerning EU effective market access. In seeing US rejections rates, DR has successfully improved market access. EC contribution to these good results can be inferred from its support to the national quality system (e.g. ISPRI programme support to the Ministry of Agriculture) in charge of improving overall agricultural export products standards.

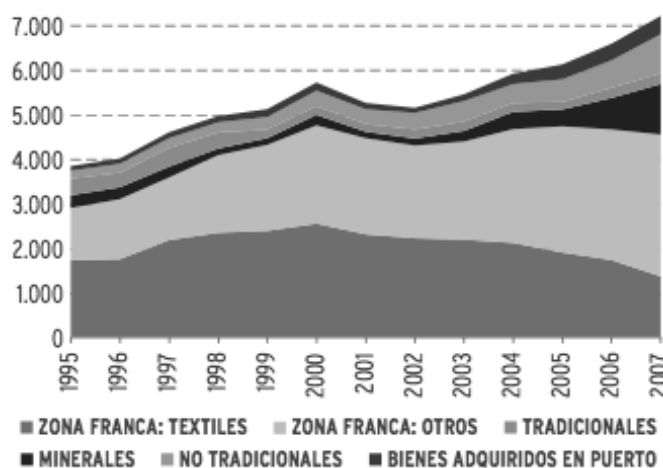
Indicator 6.4.2: Increase of products from DR in European Market or regional market (e.g. CAFTA) including the US

Indicators 6.1.1 and 6.1.3 above describe DR exports in goods by group of countries destination: to the European market, the Caribbean (mainly Haiti) and to the Rest of the World (mainly US). Detailed exports to the EU market are under indicator 6.1.3. We recall that exports focus only in goods and that missing data on exports in services make overall exports underestimated.

The US attracts almost all the regional market of DR as it is the main import and export partner of DR. DR exports towards the USA decreased during recent years due to the end of the textile multifiber quota system, replaced now by Asian providers; moreover DR's exports are under the average of Central American exports to the US.

When looking at sustainability of these exports, the overall trend can be observed from the following figure of DR's exports in goods (in US\$m)¹⁷²:

Figure 16: Dominican Republic's exports in goods (in US\$m)



Source: IABD, 2009

In one decade, since DR's full membership to the WTO system, applying unilateral liberalization, trends in DR's exports in goods are overall continuous growth but not for all kind of goods. For instance, textiles made in free trade zones ("maquilas") tend to disappear. The same thing holds for other products made under the free trade zone strategy ("tax incentives" strategy). Minerals look to take importance but dropped in 2008 (see indicators 6.1.1 and 6.1.3 above). Positive trends only applied to traditional, non traditional goods and "port-obtained". If we look into figures in indicator 6.1.1, these are mainly industrial goods, followed by agricultural goods.

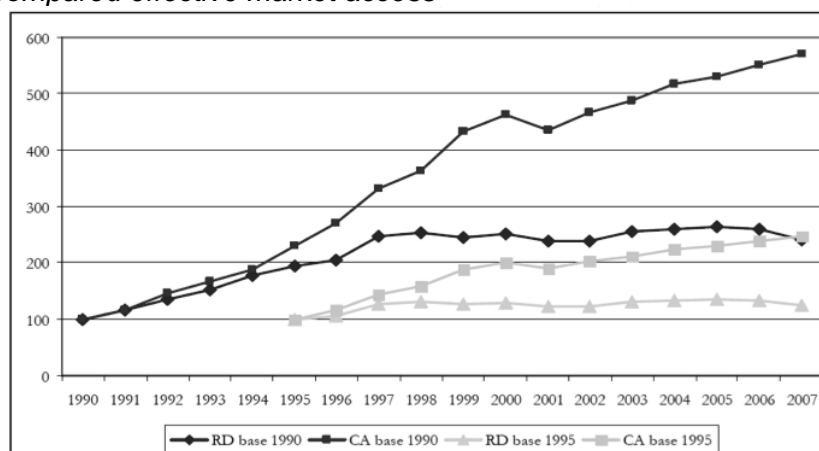
More cautious is the DR government in stating that such shift still is not enough to replace the "tax incentives" strategy because of low DR productivity/competitiveness:

Tras una expansión exportadora a lo largo de los noventa, la economía dominicana ha venido mostrando una pérdida de competitividad y el crecimiento de sus exportaciones ha sido inferior al crecimiento promedio de las exportaciones de las economías vecinas. De ese modo, entre 1995 y 2005, las exportaciones del país se expandieron a un ritmo inferior al crecimiento de las exportaciones de los países centroamericanos y latinoamericanos. La capacidad de exportación de confecciones textiles seguirá bajo la amenaza de las exportaciones provenientes de países asiáticos -cuya mano de obra es actualmente más barata que la nuestra y podría seguirlo siendo en el futuro- y un repunte considerable resulta difícil a menos que logremos cambios significativos en nuestros niveles de productividad y en la variedad de productos. A su vez, las denominadas exportaciones nacionales (es decir, fuera de zonas francas) han aumentando en los últimos años, pero representan una parte menor de las exportaciones totales, y no han mostrado hasta ahora el empuje que sería necesario para compensar las pérdidas de mercados por parte de las zonas francas. (Documento base de la Propuesta de estrategia Nacional de Desarrollo 2010-2030, Ministerio de economía, planificación y desarrollo)

¹⁷² IADB totals made with DR's Central Bank data differs from totals per year made available by CEI-RD to the evaluation team. We use the figure made by IADB in order to illustrate overall trends but do keep reserves of the exact amounts.

Compared effective market access between DR & Central America to the US (DR's main export in goods market destination) do not show particular impact of the DR-CAFTA agreement (2002), different trends were already clear since mid-nineties:

Figure 17: Compared effective market access



Fuente: Elaborado con datos de la base de datos MAGIC, de la CEPAL.

Source: own presentation, based on CEPAL

Indicator 6.4.3: Decrease in trade restrictiveness Indices and trade barriers by DR

Indicator 6.2.3 above gives evidence of effective DR's economic liberalization, including trade.

DR has lowered its MFN tariffs, with the simple average falling from 8.6 per cent in 2002 to 7.5 per cent in 2008. However there has been a marked increase in the number of tariff lines that receive duty-free treatment, from 13.4 per cent to 54.5 per cent over the same period. This reflects the lifting of the tariffs applied on a large number of inputs and capital goods not produced in the Dominican Republic. Nevertheless, tariff dispersion has increased and probably also the effective protection given to certain products. The Dominican Republic has bound all its tariffs, mostly at a rate of 40 per cent. The Dominican Republic has also liberalized its trade regime selectively through preferential agreements with the United States, members of the Central American Common Market, CARICOM, Panama and now all EU including most of services sectors.

Table 43: DR's Trade Policies and Practices by Measure, 2008

Structure of MFN tariffs, 2002 and 2008 (Percentage)		
	2002	2008
1. Total number of tariff lines	6,726	6,752
2. Non- <i>ad valorem</i> tariffs (% of all tariff lines)	0.0	0.0
3. Non- <i>ad valorem</i> tariffs with no AVEs (% of all tariff lines)	0.0	0.0
4. Tariff quotas (% of all tariff lines)	..	0.4
5. Duty-free tariff lines (% of all tariff lines)	13.4	54.5
6. Average of lines exceeding zero (%)	10.0	16.4
7. Domestic tariff "peaks" (% of all tariff lines) ^a	0.3	1.0
8. International tariff "peaks" (% of all tariff lines) ^b	27.4	28.0
9. Bound tariff lines (% of all tariff lines)	100.0	100.0
..	Not available.]	
a	Domestic tariff peaks are defined as rates exceeding three times the overall simple average applied rate.	
b	International tariff peaks are defined as rates exceeding 15 per cent.	
Source: WTO Secretariat estimates based on data provided by the authorities of the Dominican Republic.		

Source: Trade Policy Review, report by the WTO Secretariat, The Dominican Republic, 2008

According to the annual report in 2010 of the Economic freedom of the World (EFW), the Dominican Republic has a score of 6.8 for the factor "Regulatory Trade barriers". This just exceeds the worldwide medium of 6.7.

Other assessments do point out some more specific restrictiveness:

Protective tariffs: the Dominican Republic's weighted average tariff rate for the year 2008 was 5%. Given that almost all countries impose tariffs, an average tariff level of or below 4% is considered non-

distortionary. The Index notes that there are high tariffs on agricultural products. (Heritage Foundation's 2010 Index of Economic Freedom)

Exports incentives: Law 8-90 established free-trade zones (FTZs) in which a 100% exemption from taxes, duties, charges and fees applies to export activities occurring therein, applicable for 25 years following the start of a business along the Haitian border, or 15 years for those businesses located in FTZs in the rest of the country. An agreement with the World Trade Organization has extended these exemptions through 2015. The report observes that companies that operate in the FTZs enjoy less legal and bureaucratic problems. The Dominican Republic imposes no significant trade barriers affecting goods entering the country. It does impose duties on specific imports, ranging from beverages and tobacco, to vehicles and luxury goods. For certain other goods, specifically pharmaceuticals and agricultural chemicals, special import permits are required. (U.S. Department of Commerce's 2009, Country Commercial Guide to the Dominican Republic).

The following table indicates, for the years 2005 to 2009, the main types of trade with the EU.

Table 44: Dominican Republic and European Union: Imports from DR

SITC Rev.3 Product Groups	2005		2007		2009		Share of total EU Imports
	€m	%	€m	%	€m	%	
0000 – Total	475,7	100,0%	806,6	100,0%	596,8	100,0%	0,0%
1000 - Primary products	195,6	41,1%	308,1	38,2%	376,5	63,1%	0,1%
1100 - Agricultural products	191,5	40,3%	295,6	36,7%	370,3	62,0%	0,4%
1200 - Fuels and mining products	4,2	0,9%	12,5	1,6%	6,2	1,0%	0,0%
2000 – Manufactures	272,6	57,3%	489,7	60,7%	209,3	35,1%	0,0%
2100 - Iron and steel	110,2	23,2%	241,3	29,9%	0,0	0,0%	0,0%
2200 – Chemicals	14,7	3,1%	44,7	5,5%	32,8	5,5%	0,0%
2300 - Other semi-manufactures	3,9	0,8%	8,6	1,1%	1,6	0,3%	0,0%
2400 - Machinery and transport equipment	63,5	13,4%	86,2	10,7%	58,2	9,8%	0,0%
2410 - Office and telecommunication equipment	37,9	8,0%	21,1	2,6%	10,5	1,8%	0,0%
2420 - Transport equipment	0,5	0,1%	5,7	0,7%	0,5	0,1%	0,0%
2430 - Other machinery	25,1	5,3%	59,4	7,4%	47,2	7,9%	0,0%
2500 – Textiles	3,8	0,8%	4,3	0,5%	4,8	0,8%	0,0%
2600 – Clothing	6,6	1,4%	9,0	1,1%	9,7	1,6%	0,0%
2700 - Other manufactures	69,9	14,7%	95,5	11,8%	102,1	17,1%	0,1%
3000 - Other products	1,0	0,2%	8,7	1,1%	8,0	1,3%	0,0%

Source: EU Statistics website on trade

For a longer-term historical overview of trade concerning the DR, see the figure below:

Figure 18: Historical overview of trade concerning the DR



Source: Directorate General for Trade of the European Commission, 2011

Indicator 6.4.4: Improved DR fiscal framework stimulating innovation and increases in productivity

DR has several tax incentives schemes working at the same time (see also indicator 6.4.3 above with custom tariff reductions in specific goods). Incentives are a mix of trade and competitiveness incentives to boost innovation (e.g. incentives to replace machinery) and productivity (e.g. incentive to join a industrial zoning/cluster). There is nevertheless evidence of tailor-made incentives to protect existing industries from competition.

In 2007, the Dominican Republic introduced new tax incentives to promote the competitiveness of the domestic industry and to match the incentives given under export promotion regimes. These new incentives are additional to other programs to assist small and medium-sized enterprises, research, technological innovation and regional development. The Dominican Republic has a number of instruments to promote regional development, particularly in the border areas, through tariff and tax incentives

...Some of the incentive programmes in force during the period under review, including export-related schemes, appear to have been formulated in order to provide support for special interest groups or to respond to short-term difficulties. It would thus be important to assess the net long-term benefits of these programmes for the country at large, with a view to their possible rationalization in order to minimize their fiscal cost and prevent distortions in the allocation of resources.

...In order to promote industrial modernization, for five years as of the date of entry into force of the Law, approved companies are allowed accelerated depreciation of the value of the machinery, equipment and technology bought. They may also deduct from their net taxable income for the previous fiscal year up to 50 per cent of any investment in buying machinery, equipment and technology, and the fixed assets thus acquired are not considered to be part of the taxable base for the assets tax. Companies approved under this Law are also exempt from the obligation to deduct the ISR from foreign natural or legal persons providing professional services related to innovation and technological development.

(Trade Policy Review, report by the WTO Secretariat, The Dominican Republic, 2008)

Indicator 6.4.5: Increase in volume and value of products from DR in European markets

Indicator 6.1.1, 6.1.3 and 6.4.2 shows additional details of DR's exports in goods to EU market.

According to statistics of the CEI-DR the value and volume of DR products increased in several European countries in 2009:

- Increase of value and volume of all DR products imported into Netherlands from 2009 to 2010. In volume there is an increase from 39,900 to 54,690 mt and in value from US\$87.32m to US\$116.04m.
- Increase of value and volume of the all DR products imported into Belgium from 2009 to 2010. In volumethere is an increase from 66,170 to 96,370 mt and in value from US\$72.19m to US\$97.67m.
- Increase of value and volume of the all DR products imported into UK from 2009 to 2010. In volume there is an increase from 161,420 to 178,580 mt and in value from US\$79.04m to US\$83.63m.
- Increase of value and volume of the all DR products imported into Spain from 2009 to 2010. In volume there is an increase from 30,110 to 32,780 mt and in value from US\$73.03m to US\$85.36m.
- In UK the main DR product imported is bananas. From 2009 to 2010 the value of banana imported has increased from US\$28.38m to US\$49.3m.
- In Spain the main DR product imported is Rum. From 2009 to 2010 the value of rum imported has increased from US\$51.22m to US\$59.98m.

Indicator 6.4.6: Existence of a capacity development plan and a strategic plan for key regional institutions concerning trade and macroeconomic integration

EC supported of the Institutional Support Programme for Regional Integration (ISPRI) did not focus on DR's regional integration. The context necessitated answering first to on going trade negotiations at the moment of starting projects activities, and later to EPA implementation

arrangements. Subsequently, all plans and technical assistance for studies and capacity development were devoted to this EPA implementation. Regional & Macroeconomic integration was not the focus and only is treated on the EPA context. EPA implementation plan in DR considers regional integration only partially (including macroeconomic integration) with studies to be carried out and not more than that.

From DR's perspective, a recent study show limits in the DR's willingness to deeper regional integration at this stage, both, with Caribbean partners as well as Central American partners. For the time being EPA contains enough provisions to help economic integration between the Cariforum group. From Cariforum and Caricom perspectives, deeper integration (including macroeconomic integration) are more relevant forums to develop specific agreed strategic plans and capacity development plans concerning regional institutions.

Indicator 6.4.7: Existence of a capacity development plan and a strategic plan for key institutions concerning competitiveness

EC on going support to the DR's competitiveness sector is twofold:

- Support to DR's government (NCC) to mainstream the National Competitiveness Systemic Plan (CDSPAC program support of €5.9m) and capacity development to selected entities granting quality standards to private sector.

[.....] there has not been any recent formal institutional assessment or capacity needs assessment for the key stakeholders, namely the Ministry of Finance and the NCC. Concerning institutional capacity, the implementation experience of previous operations casts some lights and shadows: on the one hand, the present needs in the finance area have revealed to be still rather high; on the other, the NCC counts with sufficient in-house expertise and is making very good use of an EDF10 capacity reinforcement project. (Dominican Republic - Competitiveness Sector Budget Support (CRIS n° DO/FED/22-202, Fiche)

- Support NCC to implement those plans doing capacity development to different beneficiaries (SBS support of €23m).

[...]. Clustering is promoted and boosted, with its geographical and sectoral dual dimension, generating social and relation capital, territory integrators, and creators of knowledge spaces closely linked to the idea of smart territories. To that effect, all the initiatives identified by the NCC both in the geographical and sub-sectoral fields, have been considered, including all the initiatives on the regulatory framework, in the understanding that a proper regulatory framework is necessary but not sufficient condition for an adequate performance of a competitive economy, since its absence or deficiency causes an immediate competitive disadvantage regarding competing economies in the global arena. (Dominican Republic - Competitiveness Sector Budget Support (CRIS n° DO/FED/22-202, Fiche)

Interviews and focus group pointed out the still overwhelming use of outsourcing in all government's donor related activities. Results are measured in terms of outputs rather than increased capacities. Programme based interventions use to have log frames which still rely on activities and outputs more than outcomes. Moreover, this also happen in the case of a program called to do capacity development with most indicators of results being outputs and no clear indicators of capacity development (same applies to ISPRI programme).

Table 45: Programa Desarrollo de Capacidades en apoyo a las Políticas de Competitividad:

LOGICA INTERVENCION	INDICADORES OBJETIVAMENTE VERIFICABLES
<p><i>Resultado 1: El rol del CNC como coordinador a sido fortalecido ...</i></p>	<p><i>El manual Organizacional del CNC está aprobado e implementado.</i></p> <p><i>La certificación del CNC con la norma ISO 9000.</i></p> <p><i>Institucionalización de la mesa de la competitividad sectorial.</i></p>
<p><i>Resultado 2: El PNCS se ha incorporado en la planificación ...</i></p>	<p><i>Llas prioridades del PNCS se han incorporado en la estrategia de desarrollo</i></p> <p><i>Las políticas sectoriales definidas en el marco de la PNCS se han incorporado en el Plan Nacional y en el presupuesto anual y plurianual.</i></p>
<p><i>Resultado 3: Las competencias de las instituciones con competencias en el ámbito de la competitividad se han reforzado...</i></p>	<p><i>Diseño de sub-planes de competitividad sectoriales y los presupuestos de cada institución participante.</i></p> <p><i>Incorporación de sub-planes de competitividad sectoriales y los presupuestos plurianuales de plan de competitividad.</i></p>
<p><i>Resultado 4: La Estructura Nacional de la Calidad existente se refuerza.</i></p>	<p><i>Número de ensayos acreditados en el cumplimiento de la norma ISO 17025 y ISO / IEC 15189.</i></p> <p><i>Número de productos que han desarrollado la normativa, reglamentación y cumplido el procedimiento de evaluación.</i></p> <p><i>Número de pequeñas y medianas empresas han implementado sistemas de gestión normalizados (ISO 9000-ISO 9001 - ISO 14000 - HACCP - BPA - BPM-OHSAS).</i></p> <p><i>Number of officials and technicians of laboratories trained.</i></p>

Source: Convencion de financiamiento, Programa Desarrollo de Capacidades en apoyo a las Políticas de Competitividad, Anexo a las DTAs, 2008

Interviews and focus groups also pointed out existing weaknesses in most trade and competitiveness related entities (e.g. management weaknesses like project implementation & M&E) but also to do research and policy analysis. Since the cluster approach will potentially propose a new framework for coordination, there is uncertainty about how this will affect firstly capacity development in each entity and secondly, how this in turn will affect their involvement (administrative versus technical).

Another evidence of this still on going planning policy process and related uncertainties for intervention is the set of indicators used in the SBS matrix, which seek to be comprehensive but sometimes remains too generic (e.g. indicator related to productivity is at national level). At this stage, more specific sectoral interventions are still being planned which makes difficult to be more precise.

1.7. EQ7: To what extent has the EC contributed to ensuring that the mining sector's social and environmental impacts have been mitigated?

JC 7.1 SYSMIN contributed to an institutional set-up which is conducive to the sustainable economic, environmental and social development of the mining sector

Overall analysis of JC 7.1

EC contributed to an improved institutional set-up (framework, policies, responsible and accountable institutions) which is considered as a pre-condition for the attraction of new investors from the private sector to the Dominican Republic's mining sector.

Through the implementation of SYSMIN, the European Union has contributed to the strengthening of the state institutions responsible for and affecting the mining sector. Established by law, the National Geological Service (NGS) put geo-scientific information into use. This service has collected the most complete data at the continental level, but at this time still does not meet the minimum conditions for its sustainability.

The NGS still does not have adequate infrastructure, personnel and budget to carry out its mandate. The DGM does not have sufficient budget and has not been receiving the necessary funds from the government that it is entitled by the law (5% of income taxes).

SYSMIN provided important support in regard to a future accession of DR to the EITI in order to enhance transparency in mining.

SYSMIN has developed a standard that regulates safety measures and precautions in mining. The incorporation of this standard into Dominican legislation and the country's accession to Convention 176 of the ILO, will be an important step in the future, because it provides regulatory oversight concerning risks to the well-being and life of the miners in areas such as workplace safety, thus improving the attraction for investors of the mining sector in the Dominican Republic.

By June 2011, the new standards and Guidelines have not yet been included into the national legislation and thus are still not in effect (I 7.1.3).

Indicator 7.1.4 dealing with a percentage increase in investments in the mining sector and Indicator 7.1.5 dealing with a percentage increase in employment figures could not be well defined because, according to the UTG of SYSMIN II and the DGM there are few or incomplete statistical data on these indicators. At present relevant information is being processed with the support of SYSMIN. A problem with the investment statistics is the definition of "investment" with reporting being skewed because of accounting norms that either increase or decrease the stated value of assets to fit the exigencies of the head office country of the investor. Another problem is that investment in exploration is not necessarily accounted for under the same mining opportunity as an investment in extraction.

It is clear, however, that a large number of new jobs in the mining sector have been created in the DR since the EC began to support the sector. Investment expenses have increased enormously in the last 3 years because the preparation of the mine Pueblo Viejo is estimated to cost approximately €2bn, which constitutes the largest foreign investment in the history of the DR, to which must be added €70m for the Mine Cerro Maimón. Currently, other international mining companies are carrying out new explorations in various regions of the country.

The statistics of the Central Bank show a variation of growth in mining. The decrease in 2008 is due to the fall of the price of nickel. The mine Falconbridge has modernized its metallurgical process and will resume operations in 2011. The overall mining sector, has also increased in size over the past decade when consideration is made of the number of extraction and refinement sites. The following table illustrates this trend. As is usual in the sector, the rates of growth fluctuate widely.

Mines and quarries in the DR Annual rates of growth in numbers of sites (stated as a %)

Years	00/ 99	01/ 00	02/ 01	03/ 02	04/ 03	05/ 04	06/ 05	07/ 06	08/ 07	09/ 08
Rate of growth	28	37	-20,6	168,5	81,4	-10,8	63,5	55,9	-64,7	-59,7

Source: Banco Central, Departamento de Cuentas Nacionales y Estadísticas Económicas

The table also indicates the extent to which mining activities in the country are intimately tied to global financial and banking health. The US downturn has significantly reduced the demand for the types of minerals supplied by the DR and this is reflected in the two compression years of 2008/07 and 2009/08.

The start-up of a major mining and refining operation anywhere brings with it large numbers of direct new jobs and an indirect effect creates thousands more. The Pueblo Viejo mine is no exception and will indirectly create more than 15,000 jobs.

It should be considered that normally in the development phase of a mine a large number of jobs are created, especially in the construction sector. However when the mine (in this case Pueblo Viejo) goes into operation, only about 1,000 workers will be employed there.

Whatever the numbers of jobs may eventually turn out to be, the EC's support to the better management of the enabling framework in his sector will (logically) have facilitated the investment and made it more socially responsible (**I 7.1.4 and I 7.1.5**)

Analysis of indicators

Indicator 7.1.1: A clear institutional and legal framework for the mining sector exists and is in line with international best practices

Through SYSMIN the EC has contributed efficiently to the strengthening of the state institutions which are responsible for and affect the mining sector. Thus, was created the National Geological Service which utilizes the geo-scientific information system that provides the most complete country data at the continental level. With the Mining Cataster, it provides an efficient system for the administration of clarified mining titles. The General Directorate of Mining (DGM), the governing institution of the mining sector, was strengthened as a whole.

Both the SGN and the DGM are not sufficiently provided with qualified staff, infrastructure and financial resources, so that the sustainability of institutional strengthening is not guaranteed.

Additionally the new Mining Law which provides clear improvements in the legal field has not been approved yet by the Government.

An important contribution of SYSMIN has been the efforts and continuous support for the D.R. joining of EITI. This is particularly important, as it is to be expected that more international mining companies will want to settle in the DR and more transparency will be required.

Evidence for legal and institutional framework:

“Situación legal. El otorgamiento de concesiones y su control corre a cargo del a DGM como organismo encargado de velar por el patrimonio minero del país y su explotación adecuada a los intereses de la nación. La Ley que rige este tipo de contratos y actuaciones es una ley de minera de la R. D., ley 146 de 1971...En los proyectos financiados por la UE a través de la línea SYSMIN, se hizo un análisis jurídico de dicha ley y se vio la necesidad reelaborar un nueva ley. El borrador de la misma fue elaborado hace tiempo y discutido con profusión en diferentes foros, así como analizada por los estamentos que nuestra normativa contempla. No obstante los esfuerzos realizados, hace años, dicho borrador nunca se fue presentado al congreso para su discusión y aprobación definitiva....“Hay que poner especial énfasis, en que lay 146 de 1971 contempla: Art 198 Se crea un

fondo especializado de un cinco por ciento (5%) de los ingresos anuales que percibe el Estado por concepto de impuesto sobre la renta pagado para promover el desarrollo de las actividades mineras en el país por los concesionarios de explotación y de plantas de beneficio, el cual será administrado por la Secretaría de Estado de Industria y Comercio, según disponga el Poder ejecutivo”“Estos fondos no han sido recibidos por la DGM, lo que hace inviable las labores encomendadas por la propia ley al no disponer de medios para cumplirlas.” CONSORCIO IEP IGME EPTISA PROPINTEC 2011) Anexo 8

“Desde hace años, los fondos disponibles para las diferentes actuaciones de la DGM son insuficientes para la gestión y administración de los recursos mineros de nuestro país, no existiendo ni siquiera fondos para combustible de las visitas de fiscalización a inspección. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) Anexo 8

“El Programa ha apoyado decisivamente en la creación del Servicio Geológico Nacional (SGN) de la República Dominicana, que ha sido finalmente creado mediante la promulgación de una Ley, que adscrito al Ministerio de Economía, Planificación y Desarrollo se deslinda del Ministerio de Industria y Comercio para conformar un Servicio Público que, entre otros aspectos, se responsabilizará y pondrá en uso el enorme conocimiento geocientífico generado a lo largo de los programas SYSMIN en República Dominicana. (Informe SYSMIN II – 2011) p. 6

“El recién creado SGN se enfrenta ahora al reto de diseñar una planificación estratégica de las actividades de tipo geológico con incidencia en los diferentes campos relacionados con el uso y ordenación del territorio, la conservación y preservación de acuíferos, la planificación estratégica de los recursos mineros, el apoyo al ministerio de Obras públicas para el trazado de carreteras e infraestructuras, la prevención de riesgos en diferentes aspectos tales como inundaciones, deslizamientos y de forma muy especial en el estudio y adaptación al riesgo sísmico. Ante esta avalancha de tareas y la importancia crucial para el país, el SGN no cuenta en este momento con los medios adecuados y adolece de carencias importantes es la de la formación del personal en materia de planificación”. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 8

El reciente SGN no tiene sentido si continua sin tener presupuesto ni espacio físico donde desarrollar sus actividades de un laboratorio, y litoteca para la recogida y almacenaje de muestras tanto de sondeos como otras que considere oportuno. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 29

Si bien el Plan Estratégico (SGN) está elaborado es necesario remodelarlo en función de las necesidades del país, centrándose solamente en estas y profundizando en la adquisición de conocimientos de sus técnicos...Dada las características geológicas y meteorológicas es fundamental establecer una adecuada programación en materias de riesgo sísmico así como otros procesos activos tales como inundaciones, deslizamientos etc...Es también importante elaborar un Plan Estratégico para el sector de la minería dado que actualmente el Servicio Geológico queda segregado de la DGM y los mercados están en continuo crecimiento. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 29-30

“Quizás el mayor problema resida en la modernización de la propia DGM ya que en ella incurren defectos históricos que a veces sobrepasan las competencias del propio Director general. Es por ello por lo que se precisa la colaboración de los estamentos políticos más altos para realizar una reforma en profundidad.”. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 32

“Respecto al Catastro Minero, el proyecto ha conseguido un éxito considerable, la Dirección General de Minería (DGM) dispone de un sistema automatizado de administración de títulos mineros depurado y con la información depurada y actualizada, además de disponer de un personal técnico formado para continuar con su actualización y aprovechamiento. Este sistema va a permitir a la DGM ofrecer al sector privado información de concesiones de derechos mineros de investigación, exploración y explotación de forma rápida y eficaz.” (Informe SYSMIN II – 2011) p. 32.

“En cuanto a los trabajos que se refieren a la red geocientífica, también pueden ser considerados un éxito, ya que La DGM/SGN cuenta ahora con: el suministro e instalación de un cableado estructurado, de un parque informático y de software de aplicación, la implementación de un sistema de seguridad informática; la Recopilación y conversión a de la Información Geocientífica del País accesible por Internet; el diseño y publicación de la Información Geocientífica en la intranet de la DGM/SGN <http://servdatos/sgn>; el diseño y publicación de la Información Geocientífica en Internet <http://www.sgnrd.com>; el diseño de la web del SGN <http://www.sgn.gov.do>; la elaboración de los WMS, para la consulta interactiva por Internet de la Cartografía y el Catastro Minero; la elaboración de los WMS de la Cartografía para el Proyecto OneGeology; Una página web para introducir los datos

de Seguridad Minera; y el Análisis y programación de una aplicación web para Estadística Minera, utilizando la Base de Datos del Catastro Minero”. (Informe SYSMIN II – 2011) pg 32. “La adhesión a EITI mejorará sin duda el niveles de gobernabilidad, los recursos extractivos pueden ser causa de pobreza, corrupción y conflictos, en lo que se ha dado en llamar la “maldición de los recursos”. Es importante destacar que la minera canadiense Barrick Gold se encuentra adherida como empresa a la iniciativa EITI, y cuando inicie su producción en 2011, se estima que el valor de las exportaciones dominicanas aumente cerca de un 20%, lo que contribuiría a incrementar el Producto Interno Bruto (PIB) entre 1% y 2%. La implantación de la EITI buscará eliminar impactos negativos a través de la transparencia y la rendición de cuentas. Por último, cabe destacar, que el Gobierno Dominicano ha declarado al año 2011 como “Año de la Transparencia y el Fortalecimiento Institucional”. (Informe SYSMIN II – 2011) p. 32.

” Se ha diseñado la organización, siguiendo las conclusiones del foro internacional de consulta, de un Servicio Geológico Nacional cómo un organismo autónomo, tomando como ejemplo los servicios geológicos europeos adaptado a la realidad y necesidades locales, formando los expertos en las funciones a desarrollar.” (Informe SYSMIN II – 2011) p. 32

“Dentro del proyecto de Asistencia Técnica a la DGM / SGN están:a) La preparación de la entrada de la República Dominicana en la EITI (Extractive Industries Transparency Initiative); como paso previo se incluye el fortalecimiento del SGN mediante cursos profesionales sobre Estadística y Contabilidad Minera. b) La preparación de una legislación sobre la Seguridad Minera y la entrada de la RD en la Organización Internacional de Trabajo (OIT) mediante cursos sobre Seguridad Minera; c) Apoyo a los estudios superiores de Ingeniería Geológica en el Instituto Tecnológico del Cibao Oriental. Dentro del proyecto de Cartografía Geotemática usando fondos disponibles: e) Las cartografías geotemáticas inicialmente previstas se han visto aumentadas en un 45% hasta alcanzar la totalidad del Territorio Nacional. f) Subsecuentemente al terremoto en Haití, se ha iniciado una cartografía de peligrosidad y microzonificación sísmica sobre 120 km² en el entorno de la ciudad de Santiago, segunda ciudad más poblada del país y muy próxima a la falla septentrional, potencialmente una de las estructuras con mayor capacidad de generar sismos.”(SYSMIN Monitoring 2010)

Ante esta expectativa (Multiplicación de permisos a compañías mineras) reconocemos que los organismos nacionales incluidos la actual DGM, no están capacitados para el control de estas compañías. La revueltas sociales amenazan con recrudecerse llegando a entorpecer la actividad minera y politizando incluso los temas meramente técnicos llegando a producirse lo que el argot internacional se conoce como “el mal de los recursos”. . (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 28

Se propone proseguir e impulsar los contactos con el gobierno, las instituciones oficiales, empresas, grupos civiles interesados, para seguir explicándoles el contenido de la EITI y los beneficios derivados de la adhesión de la R.D. a esta inciativa con vistas a una mejor gobernabilidad y fomentar la confianza de la compañías mineras con vistas a la inversión. . (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p 34

”SEMINARIO INTERNACIONAL

“Industria minera debe ser más clara”

SOCIEDAD CIVIL DEBE CONOCER INFORMACIÓN SOBRE EL USO DE LOS RECURSOS

Las operaciones mineras que se realizan en el país deben ser más transparentes, claras y comunicativas, de manera que los ciudadanos y la sociedad puedan analizar bien los beneficios o perjuicios de la actividad en el país.

Esta fue una de las principales conclusiones expuestas ayer durante el seminario internacional “República Dominicana y la Iniciativa sobre la Transparencia de las Industrias Extractivas”, que organizó la Unión Europea, la Pontificia Universidad Católica Madre y Maestra (PUCMM), las empresas mineras y el Ministerio de Economía, planificación y Desarrollo.

En su ponencia inicial, el ministro de Economía y Planificación, Temístocles Montás, dijo que la minería es una actividad buena, promisoría y donde se mueven muchos intereses.

Indicó que en el negocio hay mucho que ganar y mucho que perder de parte de las empresas, la sociedad y el gobierno, sin embargo, para que la balanza sea siempre positiva,

es recomendable que cada uno de estos actores converse abiertamente, en un entorno y un tono amigable, especialmente lo relacionado a la transparencia. “Tiene que haber especial claridad en el conocimiento público de los pagos efectuados por las empresas que explotan los recursos naturales y de los ingresos que el Estado y la sociedad perciben por este concepto, así como a qué se destinan estos ingresos”, declaró.

Montás dijo que en el país se extrae ferroníquel, oro, plata, cobre, yeso, sal y arcilla. Además, en su mejores décadas en los años 70 y 80, su participación en el Producto Interno Bruto (PIB) alcanzó promediar el 4.6% y 3.6%. Mientras en el 2007 fue de 2.3%.

Unión Europea

Francisco Carreras, primer consejero, encargado de negocios de la delegación europea en el país, enfatizó que en el cualquier país, la sociedad civil es lo propietaria legítima de todos los recursos que se extrae de su territorio. Carreras indicó que el conocimiento de estos flujos implica el control, el buen uso y destino de los recursos.

Evidencias estadísticas muestra que cuando una industria similar se desarrolla en un país que no tiene un alto nivel de desarrollo institucional, 30 años después es más pobre que antes, a pesar de la ingente cantidad de recursos producidos por estas industrias. Y eso es producto de que esos recursos no fueron utilizados como debían”, dijo Carreras.

Listin Diario 12.5.2011 (<http://www.listin.com.do/economia-and-negocios/2011/5/12/187982/Industria-minera-debe-ser-mas-clara>)

12 Mayo 2011, 9:39 PM

UE insta RD a transparentar ahora las operaciones mineras

Los beneficiarios de la iniciativa de transparencia para la minería son el Gobierno y los ciudadanos

La Unión Europea instó ayer al Gobierno a dar los pasos para que el país se adhiera a la Iniciativa para la Transparencia de la Industria Extractiva (ITIE).

Esa fue una de las conclusiones del seminario del mismo nombre, realizado ayer en la Pontificia Universidad Católica Madre y Maestra.

La exhortación fue formulada por Francisco Carreras, encargado de negocios de la Unión Europea en el país, quien coauspició el foro junto al Ministerio de Economía, Planificación y Desarrollo, y quien anunció que esa comunidad está en disposición de financiar ese proceso de integración del país.

Carreras dijo que la Unión Europea está convencida de que no sólo en el país la transparencia en los ingresos recibidos por el Estado desde las industrias extractivas son esenciales, debido a su relación directa con el desarrollo.

“Por eso estamos dispuestos a apoyar la adhesión de República Dominicana a la ITIE, donde ya hay treinta y tres países que están gozando de transparencia y recibiendo beneficios en términos de desarrollo”, señaló.

Formuló al Gobierno el llamado a cumplir los tres pasos exigidos por la ITIE para iniciar el proceso de adhesión de cualquier país.

El primero es emitir ya un comunicado público, claro e inequívoco de esa intención, y el segundo nombrar un funcionario para que lidere ese proceso.

El tercero es elaborar un plan de trabajo para este proceso, fase que la Unión Europea está dispuesta a financiar a través del fondo fiduciario constituido con otros donantes y que es gestionado por el Banco Mundial.

El representante del organismo financiero multilateral, Mirco Kreibich, dijo que el Banco Mundial tiene por función informar a la sociedad civil sobre la existencia de este mecanismo y los beneficios de que sus organizaciones se integren al mismo cada vez más.

En representación de la Barrick Gold expuso Manuel Bonilla, quien habló sobre la experiencia de esa empresa en República Dominicana.

Transparentar operaciones

1. El ministro de Economía, Planificación y Desarrollo, Temístocles Montás, dijo que la sociedad civil, los inversionistas y los gobiernos, tanto nacional como local, deben empeñarse en fortalecer la transparencia en todas las operaciones mineras.

2. La transparencia, dijo Montás, significa que la población sepa cuánto pagan las mineras, que el Gobierno reporte los ingresos que percibe por ese concepto y la sociedad civil esté al tanto de qué hace el Estado con estos recursos, además de que se pase balance con los costos ambientales.

Diario Hoy 12.05.2011

“En los aspectos de la seguridad minera, la Norma que regulará las condiciones de seguridad y prevención en la Minería, una vez incorporada a la legislación dominicana y la adhesión del país al Convenio 176 de la OIT, es una acción importante de futuro, que pretende mejorar la calidad de vida de los mineros y el evitar accidentes de todo tipo, y por ende, el desarrollo minero de la República Dominicana”. (Informe SYSMIN II – 2011) pg 33.

“a) Ahora la SGN dispone de una enorme cantidad de información incluso disponible por Internet; dispone también de equipos informáticos (scanner, plotters, servidores etc.). Ha sido creado por ley. Si no se dota de presupuesto adecuado y de personal calificado, no se puede garantizar la sostenibilidad de los logros alcanzados.” (SYSMIN Monitoring 2010)

“Como antecedente, cabe citar que durante el desarrollo del Programa SYSMIN I se realizó el Proyecto “Actualización de la Ley de Minas y reforma de la DGM”, cuyos objetivos fueron la reformulación de la Ley Minera N° 146 (4 de Junio de 1971) para adecuarla a los nuevos tiempos, contemplando el fortalecimiento institucional de la Dirección Nacional de Minería. Esta actualización y reformulación de la Ley Minera realizada no ha entrado en vigor hasta la fecha.” (Informe SYSMIN II – 2011) pg 20.

“Reiterando las recomendaciones del Programa SYSMIN I, se insiste en considerar como una prioridad la reforma de la actual Ley de Minas, siguiendo las recomendaciones del proyecto Q: “Reforma de la Ley Minera del Programa SYSMIN!”...El SGN ha sido creado mediante la Ley 50/2010 pero se hace necesario dotar a esta nueva institución de personal, infraestructuras necesarias y autonomía financiera, de otra manera no se pondrá en valor la cuantiosa y muy valiosa documentación generada a lo largo de los programas SYSMIN que constituyen una fuente permanente de conocimiento”. (SYSMIN II Tomo III) pg. 37

“La nueva Ley minera va a proporcionar una serie de garantías y presiones: El establecimiento de un sistema de concesiones para la explotación de minerales mas seguro, desde un punto de vista jurídico, en el que se ha disminuido la superficie de las concesiones y la duración máxima de las mismas.(SYSMIN 2004) p 174

Indicator 7.1.2: Degree of improvement of quality information to possible investors and to the mining sector generally

There is clear evidence about the improvement of information for the mining sector. The Program SYSMIN has strengthened the DGM and modernized the Mining Cataster so that reliable information of high quality is available and updated and technical staff is trained and qualified for the management of this information system. This system will allow the DGM to provide information quickly and effectively to investors and the mining sector of concessions of mining rights for research, exploration and exploitation. Additionally, through the modernization of the database, information is now available for the planning of the territory and infrastructure, geological risk assessment and disaster prevention.

It should be borne in mind that the newly established SGN has neither sufficient budget nor infrastructure nor personnel to fulfil its duties.

Evidences for improvement sector:

Pero desde el inicio del Proyecto (SGN), no se ha cumplido con la totalidad de la precondition establecida en el Convenio de Financiación, habiéndose solicitado insistentemente trabajar en la movilización de la voluntad política de autoridades, sensibilizándolas respecto a su responsabilidad

en el fortalecimiento de un Servicio Geológico que dispone de una información ingente y valiosísima para el país, pero que no cumple con los requisitos mínimos para que la información redunde en beneficio de la sociedad y de los sectores económicos (SYSMIN li Tomo II 2011) pg. 44.

“En cuanto a los trabajos que se refieren a la red geocientífica, también pueden ser considerados un éxito, ya que la DGM/SGN cuenta ahora con: el suministro e instalación de un cableado estructurado, de un parque informático y de software de aplicación la implementación de un sistema de seguridad informática, la Recopilación y conversión a de la Información Geocientífica del país accesible por Internet” y más beneficios económicos”. (SYSMIN li Tomo II 2011) pg. 44.

”Respecto a la modernización del Catastro Minero, el proyecto ha conseguido un éxito considerable, la Dirección General de Minería (DGM) dispone ahora de un sistema automatizado de administración de títulos mineros depurado y con la información depurada y actualizada, además de disponer de un personal técnico formado para continuar con su actualización y aprovechamiento. Este sistema va a permitir a la DGM ofrecer al sector privado información de concesiones de derechos mineros de investigación, exploración y explotación de forma rápida y eficaz” (Informe SYSMIN II – 2011) pg 32

”Los procedimientos de atribución y gestión de los Títulos Mineros están definidos en la Ley 146 y en el reglamento de aplicación de dicha Ley. Esos títulos son: 1) Título de exploración, 2) Título de explotación y 3) Título de instalación de planta de beneficio.” (Informe SYSMIN II – 2011) Pg 28ff

”La Asistencia Técnica, ha instalado en la Dirección General de Minería (DGM) de un sistema automatizado de administración de títulos mineros. Es un sistema de infraestructura informática que va a permitir a la DGM ofrecer al sector privado información de concesiones de exploración y/o explotación de forma rápida y eficaz.” (Informe SYSMIN II – 2011)

”Con el diseño del Catastro Minero elaborado se han satisfecho los objetivos generales de una administración eficiente y transparente de los derechos mineros, contribuyendo así a la modernización de la DGM” (INFORME DE APROVECHAMIENTO: ASISTENCIA TÉCNICA A LA UTG SYSMIN II 2011) pg. 42

”1) Asistencia Técnica a la DGM/SGN para su fortalecimiento institucional: a) El SGN ha sido creado como institución independiente, formando parte de la Subsecretaría de Planificación. b) La Cartografía Geotemática ha sido finalizada en los trabajos de campo; se está actualmente digitalizando la información gráfica y redactando las memorias correspondientes con un final previsto para el mes de noviembre de 2010. c) La modernización del Catastro Minero está terminada. d) Se ha creado una base de datos con la información geocientífica generada desde 1996 por los programas SYSMIN y accesible por Internet..”(SYSMIN Monitoring 2010)

”El diseño del sistema presentado dio lugar a la fase de asignación de Códigos Fuente del Sistema, con lo que se dio inicio la programación definitiva del Sistema Informático que administrará los Títulos Mineros en la República Dominicana.” (Informe SYSMIN II – 2011)

A los largo de los trabajos, se ha realizado una tarea de formación en el manejo del CRDM a un equipo de 5 técnicos de la DGM que actualmente poseen la capacidad técnica para poder continuar incorporando datos al programa, garantizando así su sostenibilidad.” (Informe SYSMIN II – 2011)

Acceso a información: (“... se han realizado actividades específicas con el fin de mejorar el sistema de servicio a los usuarios mediante la creación de un sistema “en línea” y se a dotado a la DGM y al SGN de la infraestructura informática que le permita disponer eficientemente de información geocientífica, minera y medioambiental.” (Informe SYSMIN II – 2011) pg 32

”La cartografía geológica a escala de 1:50.000 generada, base de cualquier información geocientífica, cubre ahora todo el Territorio Nacional de la República Dominicana y es el primer País de América en disponer de esta información.. (Informe SYSMIN II – 2011) Pg 37

“Se trata de continuar la provisión de información geocientífica por el Estado en forma de mapas geológicos y temáticos (mapas geomorfológicos, mapas de recursos minerales, y mapas de procesos activos), bases de datos y otra información que sirve como base para la selección y delimitación de áreas a explorar, la selección de métodos de exploración y para la evaluación de los resultados, así como para la ordenación del territorio, planificación de infraestructuras, evaluación de riesgos geológicos y prevención de desastres, entre otros.”(Informe SYSMIN II – 2011) Pg. 36

“Los trabajos cartográficos realizados han sido de una gran calidad, incluyendo novedades muy importantes en la cartografía y conocimiento geológico de la región, adicionalmente, en cuanto a las cartografías referidas a riesgos, se ha realizado la zonación sísmica sobre 120 km² del área urbana y periurbana de la Ciudad de Santiago de los Caballeros.” (Informe SYSMIN II – 2011). Pg 66

“a) Ahora la información geominera está disponible en Internet; se ha producido un aumento de solicitudes de permisos de investigación a la DGM. De hecho la RD es el primer país de América Latina en disponer de una cartografía geológica a escala 1: 500000 de todo su territorio.”(SYSMIN Monitoring 2010)

Indicator 7.1.3: Number of new investors/requests for information/negotiations

Through the intervention of the EC, the Mining Cataster would be refined, updated, organized and computerized. However, with the sources of data available today, it is still not possible to find exact and current information about the number of new investors, requests for information and negotiations. According to information from the DGM, it is presently processing data relevant to this indicator.

During the field phase it was not possible to get the exact numbers of new investors, but SGN informed that major international mining companies (Energold, Gold Quest, Majescor, Novusgold, Peryilia, Unigold) are currently undertaking explorations.

“La situación Catastro Minero de la República Dominicana (CMRD) en el momento actual puede resumirse en el cuadro adjunto, destacando que existen 1.342 concesiones de derechos mineros acumuladas y controladas, 477 concesiones están en el programa CMRD (archivo vivo), se contabilizan 849 desestimadas (230 al inicio de los trabajos). Las concesiones que se comprobó que han vencido son eliminadas del programa y pasan a engrosar el listado de concesiones desestimadas o vencidas (archivo muerto). El número de titulares de los que se tienen los datos de Titular y Representante es de 228.

Table 46: Concesiones de derechos mineros (CMRD)

Introducción datos CMRD	
Número solicitudes contabilizadas en Archivo	1.174
Número solicitudes acumuladas históricas tras revisión	1.342
Concesiones que se mantienen en CMRD	477
Concesiones desestimadas, rechazadas o vencidas	849
Nº de Titulares con solicitudes u otorgamientos	228
Total Titulares	228

Source: Informe SYSMIN II – 2011

« En la República Dominicana existen en la actualidad poco más de 100 concesiones de explotación minera otorgadas, algunas de ellas inactivas o con prórroga de inicio de labores. Con el objetivo de verificar la información y disponer de una estadística minera de la República Dominicana fiable y contrastada, se realizará el diseño e implementación de una base de datos que incorpore toda la información contenida en los informes de actividades mineras que marca la Ley. Además se elaborarán encuestas y consultas a los titulares de concesiones sobre la sustancia minera, producción, usos, comercialización nacional e internacional, reservas, etc ».

(CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p 8

“...En conclusión, se prevé un alza continuada en la bolsa de metales que afectará de forma positiva la entrada de nuevos inversionistas en la República Dominicana.”

(CONSORCIO IEP IGME EPTISA PROPINTEC 2011) Anexo 8

LA DGM en su situación actual no posee ni medios ni personal adecuado para el control de las empresas multinacionales que operan en el país » (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) Anexo 8

“La Dirección de Minería, que es una dependencia del Ministerio de Industria y Comercio, ha otorgado contratos de exploración en Pedernales, Cerro Maimón, en Bonao, y en la zona

norte de la región fronteriza.” HOY 2.6.2011
<http://www.hoy.com.do/encuentro/2011/6/2/378050/Se-incrementa-la-explotacion-minera-en-RD>

Indicator 7.1.4 % increase of investments in the mining sector

According to information of UTG – SYSMIN II, there is no statistical data about the indicator. At present relevant information is being processed with the support of SYSMIN. Investment expenses have increased enormously in the last 3 years because the preparation of the mine Pueblo Viejo is estimated to cost approximately €2-3bn, which constitutes the largest foreign investment in the history of the DR, to which must be added €70m for the Mine Cerro Maimón. The statistics of the Central Bank show a variation of growth in mining. The decrease in 2008 is due to the fall of the price of nickel. The mine Falconbridge has modernized its metallurgical process and will resume operations in 2011.

It can be assumed that the investments in the mining industry have increased significantly in recent years, among which PVBG has made the largest investment. Foreign Direct Investment in the Dominican Republic increased 25% in 2010. It focuses on manufactures (with medium intensive technology), mining and tourism.

Evidences for investments in the mining sector:

Barrick Gold: “En el año 2006, Barrick Gold adquirió los activos de Placer Dome en todo el mundo y con ello los derechos en el proyecto Pueblo Viejo Dominicana Corporation (PVDC). El Contrato Especial de Arrendamiento de Derechos Mineros de Pueblo Viejo ha sido recientemente enmendado y ratificado por mayoría en ambas cámaras del Congreso de República Dominicana.” (Informe SYSMIN II 2011) p. 38

“La inversión requerida para poner en funcionamiento esta mina, que operará a cielo abierto, alcanzará los 2.500 millones de dólares aproximadamente. Se estima una vida útil de 25 años y cuenta con reservas probadas y probables de 20,4 millones de onzas de oro, 455 millones de libras de cobre y 131,3 millones de onzas de plata contenidas dentro de las reservas de oro reportadas. Se espera que comience a producir para el cuarto trimestre de 2011. (Informe SYSMIN II 2011) p. 38

“Las obras de preparación de la mina Pueblo Viejo se encuentran avanzadas. Se espera que la mina comience a producir en el cuarto trimestre de 2011. La inversión requerida para poner en funcionamiento esta mina, que operará a cielo abierto, alcanzará los 2.500 millones de dólares aproximadamente. Se estima una vida útil de 25 años y cuenta con reservas probadas y probables de 20,4 millones de onzas de oro, 455 millones de libras de cobre y 131,3 millones de onzas de plata contenidas dentro de las reservas de oro reportadas. (Informe SYSMIN II – 2011). p 66

El contrato contempla la entrega del 5% de todos los beneficios que recibirá el Estado (regalías, impuesto a la renta y participación en las utilidades netas) a los municipios cercanos a la mina, lo que contribuirá al desarrollo económico y social de las comunidades locales. (Informe SYSMIN II) p. 6

Globe Star: “RD inicia exportaciones cobre a China Popular por US\$37.5m este año, y por primera vez en la historia, la República Dominicana inició las exportaciones de cobre en bruto a la República Popular de China, el valor exportado fue de US\$37.51m. El director del CEI-RD dijo que con la nueva mina de cobre se espera que las exportaciones lleguen a US\$50m a final del año, lo que ayudará en parte al sector minero, que quedó con pérdida por US\$650m, que no se logró compensar con el aumento de las exportaciones de los productos tradicionales. López dijo que la planta de Globe Star tiene la capacidad de procesar tanto minerales oxidados como el sulfuro y llegó al país con una inversión de US100 millones.(CEI-RD 2009)

Table 47: Explotación de minas y canteras – Tasa de Crecimiento anual (%)

Detalle	00/ 99	01/ 00	02/ 01	03/ 02	04/ 03	05/ 04	06/ 05	07/ 06	08/ 07	09/ 08
Tasa	28	37	-20,6	168,5	81,4	-10,8	63,5	55,9	-64,7	-59,7

Source: Banco Central, Departamento de Cuentas Nacionales y Estadísticas Económicas

“Cuando PVDC inicie su producción, se estima que el valor de las exportaciones dominicanas aumente cerca de un 20%, lo que contribuiría a incrementar el Producto Interno Bruto (PIB) entre 1% y 2%.” (informe SYSMIN II 2011) pg. 67

”La empresa minera Falcondo Xtrata Níckel, (Falconbridge Dominicana), anunció el reinicio de sus operaciones en un 50% a partir de marzo del 2011.” (Listin, 2010)

“se han multiplicado los permisos a compañías mineras” (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 28

“Los conocimientos geológicos aportados por el SYSMIN suponen un soporte técnico importante para el aumento de la demanda de concesiones. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p. 28

Cifras aproximadas sobre futuros ingresos al estado:

“Barrick prevé pagar 500 millones de dólares anuales (al Estado Dominicaeo) a partir de 2012

El año pasado Cerro Maimón pagó al municipio alrededor de 25 millones de pesos. De acuerdo con la normativa vigente, esto supone un 5% de las cantidades totales devengadas en concepto de impuesto al estado, dado que estaba en su primer año de producción podíamos suponer razonablemente que los impuestos totales en 2012 estarían alrededor de 5 millones de dólares anuales.

Los precios de ferróniquel han subido en los últimos años más del 70%

Otras grandes compañías canadienses principalmente han pedido permisos de investigación.

Por todo lo anterior es de prever que el 2012 que los beneficios recibidos por el estado dominicano a partir del 2012 se aproximan a los 800 millones dólares al año, de los cuales la ley actual prevé al menos un 5% para la DGM y otro 5% para los municipios, donde se encuentran ubicadas los permisos de explotación.”

. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) Anexo 8

“Como resultado de los beneficios que implica este contrato para la economía de República Dominicana, el país alcanzará un aumento en sus exportaciones que podría ser superior al 20%, lo que permitirá incrementar el Producto Interno Bruto (PIB) entre 1% y 2%. A los precios actuales del oro, los beneficios de este contrato para el país permitirán un incremento en las exportaciones del 20% con una ganancia del orden de los 1,200 millones de dólares anuales. Sin duda alguna, este contrato coloca a República Dominicana en el mapa de países productores de minerales. Además, contribuye a la diversificación de la economía, a la vez que trae consigo transferencia de conocimiento y de tecnología

<http://barrickpuebloviejo.com/mundo-minero/preguntas-frecuentes/>

¿Qué beneficios trae el proyecto minero para activar el empleo de las zonas aledañas?

En su etapa de construcción, hasta 2011, PVDC creará mas de 5,000 nuevos puestos de trabajo. El proyecto prevé el empleo de más de 1,000 trabajadores constantes durante sus años de desarrollo minero y la generación de 2,500 puestos de trabajo indirectos en las provincias Sánchez Ramírez y Monseñor Nouel. <http://barrickpuebloviejo.com/mundo-minero/preguntas-frecuentes/>

“El reinicio en marzo de 2011 de las operaciones de Falconbridge en Bonao, donde extrae ferróniquel para la exportación, la producción iniciada en la mina Cerró Maimón, por la Corporación Minera

Dominicana (CORMIDOM), empresa subsidiaria de la australiana Perilya Limited, y el inicio de la extracción de oro y plata en Pueblo Viejo Cotuí, por Barrick Pueblo Viejo, previsto para el último trimestre del año, completan un cuadro altamente prometedor para la economía dominicana. Visto por el presidente de la Cámara Minera Dominicana, Luis Rafael Pellerano, a las exportaciones de ferroniquel de Falconbridge se sumarán a las exportaciones de cobre que esta haciendo la Corporación Minera Dominicana en Cerro Maimón, y a la extracción y exportación que hará la Barrick Pueblo Viejo desde octubre de este año. El estimado de distintos estudios de la economía, al igual de la Cámara Minera Petrolera de la R.D. es que ese volumen productivo combinado significaría cerca de 25 % de las exportaciones del país.” (Un nuevo momento para la minería – AMCHAMDR – Marzo/Abril 2011) p. 30

El Director del Centro de Exportación e Importación de República Dominicana, CEI-RD, Eddy Martínez considera que la inversión de Barrick Pueblo Viejo en Cotuí, es la más importante en toda la región de Centro América y del Caribe y solo en este año significará una inversión de mil millones para República Dominicana.
<http://barrickpuebloviejo.com/tag/inversion/>

”Barclays Capital, uno de los principales bancos mundiales de inversión, define a República Dominicana como el primer destino para las inversiones extranjeras directas en su más reciente investigación, Emerging Markets Research, publicada el pasado mes de abril. A su vez, el informe resalta la importancia de la inversión del proyecto minero de Barrick Pueblo Viejo para las perspectivas del país. La compañía financiera destacó la importancia que tuvo en esta valoración, los 800 millones de dólares que el proyecto minero Barrick Pueblo Viejo invirtió el año pasado y la proyección de 3 mil millones que invertirá hasta 2011, constituyéndose en la mayor inversión extranjera en la historia de República Dominicana. Eddy Martínez, director del Centro de Exportaciones e Inversiones (CEI-RD) asegura que “el informe de Barclays Capital confirma la seguridad de las inversiones extranjeras en el país, que se ha mantenido durante 4 años consecutivos con crecimiento sostenido, lo que nos situó como la economía de más rápido crecimiento en América Latina durante el pasado año 2009”.

Por otro lado, la Conferencia de las Naciones Unidas sobre Comercio y Desarrollo (UNCTAD), también colocó a República Dominicana entre los “Front Runners”, junto a China, Gran Bretaña y Chile, una categoría que reúne a los países con las mejores condiciones para la inversión. Para el CIE-RD, todos estos indicativos los coloca en la certeza de que, para el 2010, “el país se consolide como líder económico de la región”. De mantenerse la expansión de la inversión extranjera directa como parte de la política de estímulo que ha desarrollado el actual gobierno del Presidente Leonel Fernández, las consecuencias positivas del tránsito de la ayuda internacional a la reconstrucción de Haití (9.9 millones de dólares) y la continuidad del proyecto minero de Barrick Pueblo Viejo, es muy probable que los propósitos del CEI-RD se cumplan, convirtiendo a República Dominicana en el primer país de la región en inversión extranjera directa y crecimiento sostenido del PIB, una ecuación determinante para la sostenibilidad económica nacional y el aumento del índice del desarrollo humano. “Creemos que el mercado aún no ha cotizado los efectos positivos que la reconstrucción de Haití tendrá para RD, ni tampoco está plenamente consciente de la importancia de la mina de oro de Barrick Pueblo Viejo para la generación de divisas”, advierte el Emerging Markets Research <http://barrickpuebloviejo.com/mundominero/barclays-capital-coloca-a-republica-dominicana-como-mejor-destino-para-las-inversiones/>

6 Mayo 2011, 9:54 PM

Inversión extranjera directa en República Dominicana aumentó 25% en 2010

Ésta se concentra en manufacturas de intensidad tecnológica media, minería y turismo

Escrito por: MAYELIN ACOSTA GUZMÁN

Los ingresos de inversión extranjera directa en República Dominicana aumentaron un 25% en el 2010, con un incremento de US\$540m, al pasar de US\$1,258m en el 2009 a US\$1,627m en el 2010.

Según el informe “La inversión extranjera directa en América Latina y el Caribe 2010” de la Comisión Económica para América Latina y el Caribe (CEPAL), en la República Dominicana la inversión extranjera directa (IED) se concentra en manufacturas de intensidad tecnológica media, minería y turismo, continúa sustentando su modelo de atracción de IED en las ventajas de localización y clima de negocios.

Destaca que en el mediano plazo, la República Dominicana ha atraído cuantiosos ingresos de IED de empresas que operan en zonas francas para la exportación o producen bienes y servicios para el mercado interno. Esto se explica por su excelente desempeño macroeconómico, el tamaño relativo de su mercado interno (en comparación con el resto de la subregión) y la cercanía con los Estados Unidos, así como por las reformas emprendidas en los sectores de las telecomunicaciones y la energía.

Indica que a partir de un patrón centrado en los años noventa en el sector de los textiles y la confección y las zonas francas, la IED se ha diversificado en la última década y se ha dirigido, además, a sectores como minería, turismo, negocios inmobiliarios, servicios empresariales a distancia, dispositivos médicos y telecomunicaciones (Claro-Codetel, Tricom, Viva, Orange).

En minería, destaca el proyecto Pueblo Viejo de Barrick Gold Corporation, cuya inversión asciende a más de US\$3,000m.

Otras inversiones importantes en ese sector fueron las realizadas por Cementos Atlas, Colapsen, Karr Securities Inc./Corporación Minera Dominicana y Globestar Mining Corporation/Corporación Minera Dominicana.

En la República Dominicana los servicios siguen siendo importantes, pero su descenso del 80% de la IED en 1999 al 56% en 2009 y el aumento de la inversión dirigida a recursos naturales se explica por las inversiones en minería.

El informe explica que la dinámica empresarial de la IED después de la crisis económica internacional de 2008 ha adoptado distintas formas en tres grupos de países de la subregión.

En el primero se encuentran Panamá, la República Dominicana y Costa Rica, países que tienen aproximadamente el 71% de la IED dirigida a la subregión en 2008 y 2009. En el segundo grupo se sitúan El Salvador y Guatemala, que representan el 15% del total de la IED dirigida a la subregión en 2008 y 2009.

Entre 1999 y 2010 se produjo un cambio notable en el destino de la IED, que pasó de las manufacturas a los servicios, en particular el turismo, los negocios inmobiliarios y los servicios empresariales a distancia.

Incentivos

La CEPAL, en su informe destaca que para promover el establecimiento de empresas extranjeras los países latinoamericanos han utilizado incentivos fiscales, financieros o políticas de promoción y atracción de la inversión extranjera directa (IED). Por ejemplo, con el fin de atraer inversión, todos los países promulgaron leyes de incentivos fiscales condicionados a las exportaciones. <http://www.hoy.com.do/economia/2011/5/6/374375/Inversion-extranjera-directa-en-Republica-Dominicana-aumento-25-en>

“Consejo Internacional sobre Minería y Metales destaca importancia de Barrick para la economía del país

La conferencia realizada en FUNGLODE estuvo abierta al público.

Santo Domingo

El director de Comunicaciones del Consejo Internacional sobre Minería y Metales (ICMM), Ben Peachey, destacó la importancia que tiene para el desarrollo de la economía nacional la minería en general y en particular, el proyecto minero de Barrick Pueblo Viejo.

Durante la charla "Perspectivas Globales sobre la Minería de Oro: Evaluando el Potencial y las Limitaciones", que tuvo lugar en la sede de la Fundación Global Democracia y Desarrollo (FUNGLODE), los expositores tuvieron la oportunidad de responder las inquietudes de los participantes sobre el sector minero y sobre la operación que realizará Barrick en el país.

En su intervención, el experto en temas mineros Ben Peachey, elogió el interés de los representantes del Gobierno y la empresa privada de la minería de ofrecer información transparente a la sociedad en torno al sector.

Peachey subrayó el potencial que tiene este tipo de actividad para reducir la pobreza en el territorio nacional y específicamente en los sectores cercanos a la mina.

“Recientemente visité Cotuí y vi dos proyectos manejados por mujeres que me llamaron la atención, porque son mujeres que ahora operan nuevos negocios y Barrick lo que hace es darle soporte a estos proyectos”, comentó Peachey.

Asimismo, el presidente de Barrick Pueblo Viejo, Manuel E. Bonilla, indicó que este emprendimiento minero es “más que hacer minería de oro”, ya que representa el compromiso de remediar una zona que durante años permaneció contaminada a raíz de operaciones anteriores que no contaban con prácticas ambientales adecuadas.

Bonilla dijo que uno de los beneficios que otorga el proyecto es precisamente, realizar una minería responsable con el medio ambiente que permita erradicar la contaminación histórica del lugar.

“El pasivo ambiental surge de las rocas de sulfuros expuestas que cuando llueve, produce ácido sulfúrico que entran a las aguas superficiales y subterráneas y crea un impacto ambiental sustancial. Esa es la razón por la cual el Estado dominicano en el 2001 hizo una licitación para traer empresas que quieran procesar los sulfuros y hacerse cargo de ese pasivo ambiental, porque es la única manera de limpiar toda la zona. Eso es precisamente lo que está haciendo Barrick Pueblo Viejo aquí”, explicó el ejecutivo.

De su lado, el director de Minería, Octavio López, al desarrollar su tema “Minería, oro y futuro sustentable”, manifestó que el potencial minero en el país es enorme y su objetivo como representante del gobierno, es diseñar una cartera de proyectos de inversión social que sean financiados con los beneficios que se obtengan del sector.

En el panel que estuvo abierto al público, también participó como expositor David Le Blanc, del Departamento de Asuntos Sociales y Económicos de Naciones Unidas.

<http://www.listindiario.com.do/economia-and-negocios/2011/4/4/183524/print>

Indicator 7.1.5: % increase in employment figures in the mining sector

Although through the intervention of the EC, databases have been updated, there is still no statistical data about this indicator. The development of the data is currently being processed with the support of SYSMIN II. However, the planned creation of between 15,000 and 18,000 new jobs, direct and indirect, in the Mine Pueblo Viejo represents a sharp increase in employment.

The available information on employment in the mining industry vary greatly. There was a strong increase in employment in the context of the development of the mine PVBG. The projections of the number of employees operating this mine are near to 1,000 persons. It is also estimated that in artisanal mining 4,000 people are directly employed.

Desde la llegada de PVDC a la provincia de Sánchez Ramírez hace más de dos años, el desarrollo económico de la zona ha recibido un impulso importante. En Cotuí, Maimón y otros municipios cercanos se generaron cerca de 4,000 empleos directos y también se disparó la generación de empleos indirectos. Las calles se asfaltaron y se incrementó el movimiento de personas y vehículos. Todo esto motivó a que los habitantes de la zona aprovecharan la oportunidad para crear nuevos negocios. Como parte de sus políticas de Responsabilidad Social Empresarial (RSE), PVDC está comprometida con lograr que este desarrollo económico también beneficie a los sectores más vulnerables de la población, como lo son las mujeres rurales. Por ello, ha puesto especial énfasis en fomentar el desarrollo de microempresas lideradas por mujeres y hasta ahora los resultados han sido positivos. El Club de Madres de Hatillo, donde trabajan mujeres como Yolanda María tejiendo las mantas biodegradables, es un ejemplo exitoso de esta política de RSE. Y no es el único. En Cotuí, el Club de Mujeres en Desarrollo también recibió el apoyo de PVDC. (Novedades Pueblo Viejo 06/2010 <http://www.somosbarrick.com/pueblo-viejo/2010/06/las-mujeres-emprendedoras-encuentran-nuevas-oportunidades/>)

“Datos de Banco Central del año 2007 permiten afirmar que el sector generó alrededor de 6000 empleos directos en las empresas más importantes y otros 2500 que se enrolan en la pequeña minería, lo que sumado significa cerca de 0,2, % de empleo total nacional y aproximadamente el 2,6 % del empleo industrial. En cuanto a la calidad de este empleo, el registro de la Secretaría de Trabajo para ese año lo situó en 12% mayor que el promedio nacional, a lo que se agregan condiciones de seguridad y estabilidad.”

“Hasta la fecha se han creado más de 3.550 puestos de trabajo. Se estima que por cada empleo directo, se crearán tres puestos indirectos, lo que implica que la construcción de la mina generará en 2010 alrededor de 12,000 empleos indirectos.” (Informe SYSMIN II 2011) pg. 67

“Un total de 4,465 empleos ha generado hasta la fecha el proyecto Pueblo Viejo, entre empleados directos y contratistas, superando en casi 500 la estimación inicial, lo que implica miles de trabajos secundarios más en toda la zona. Según datos facilitados por Méjico Angeles, director de Asuntos Gubernamentales y Regulatorios de Pueblo Viejo Dominicana Corporation (PVDC), el 87% de los empleados directos de PVDC están ocupados por dominicanos, en su gran mayoría vecinos de los municipios Maimón y Cotuí. De ellos, el 14% del total, corresponde a mujeres. En base a proyecciones actualizadas sobre el desarrollo del proyecto se estima que durante esta etapa de construcción de sus instalaciones, la presencia de PVDC podría generar aproximadamente 6,000 empleos directos –entre empleados en planilla y contratistas - y unos 12 mil empleos indirectos, principalmente en la provincia Sánchez Ramírez. Los ejecutivos de la PVDC, han confirmado que cuando entre en operación la mina, a fines del 2011, se mantendrán trabajando permanentemente, una cifra superior a los 1,000 puestos de trabajo directos, mensualmente, durante cada uno de los 25 años de vida calculados para Pueblo Viejo. Por su parte, cerca de 30 compañías nacionales se desempeñan como contratistas del proyecto minero, lo que ha impulsado su crecimiento económico, la competitividad de sus productos y servicios, y la generación de empleos.” (Diario DigitalRD.Com - 2010)

JC 7.2: SYSMIN contributed to the improvement of living conditions in mining areas.Overall analysis of JC 7.2

The living conditions of the population in mining areas will be improved. The evolution of mining investments has experienced an enormous increase in the last 3 years; the estimated cost for the preparation of the mine Pueblo Viejo is approximately €2bn. This constitutes the largest foreign investment in the history of the Dominican Republic (to this should be added the €70m investment in the Mine Cerro Maimón). The planned creation of between 15,000 and 18,000 direct and indirect new jobs, related to the Mine Pueblo Viejo represents a sharp increase in employment. Pueblo Viejo Dominicana Corporation (PVDC) is in the process of preparation of the mine and SYSMIN has coordinated the realization of the studies programmed, with both the DGM as well as with the mining company, according to the Financing Agreement. It is expected that by the creation of 15,000 to 18,000 jobs the household income for the same number of families will rise. Through the creation of new jobs, the economy as a whole in the mining provinces is now more dynamic. This benefits various sectors of the economy (I 7.2.1 and 7.2.2)

The mining companies pay contributions – 5 % of the whole taxes - to municipalities which will invest these funds in remediation and local social development activities. It is expected that in 2012 the mining companies would have to pay about US\$800m income taxes and thus about US\$40m would go to the surrounding communities of the mine sites.

SYSMIN has contributed to improve living conditions through the increase in production and therefore of the economic benefits of members of artisanal miners of the supported cooperatives. Their increments of income ranged between 15 and 200%. (I 7.2.1)

A standard on mining safety (safety conditions / means of protection for workers) for the Dominican Republic has been developed. This standard still did not become law. (I 7.2.3.) It is expected that in June 2011, a Resolution of the Labour Ministry will be adopted and then the new standards will be mandatory for all mining companies.

In the Pueblo Viejo region affected by the environmental pollution of the mine Rosario Dominicana, working together with the local population, SYSMIN has been able to provide access to potable water to the surrounding communities of the mine. In this way the negative impact could be mitigated for a small community (850 persons). (I 7.2.4)

Analysis of indicators**Indicator 7.2.1: % increase in household income figures in mining areas**

There is no updated information about household income. In November and December 2010 the last nationwide census was carried out, but to date, the results are still not available. However, it is expected that through the creation of 15,000 to 18,000 direct and indirect jobs, the household income for the same number of families has risen or will rise. In addition, the mining companies pay contributions to municipalities. Some of them have invested in local social development activities. This may indirectly, through savings, increase the income of the families.

El contrato (con Barrick) contempla la entrega del 5% de todos los beneficios que recibirá el Estado (regalías, impuesto a la renta y participación en las utilidades netas) a los municipios cercanos a la mina, lo que contribuirá al desarrollo económico y social de las comunidades locales.” (Informe SYSMIN II 2011)

“Hasta la fecha se han creado más de 3.550 puestos de trabajo. Se estima que por cada empleo directo, se crearán tres puestos indirectos, lo que implica que la construcción de la mina generará en 2010 alrededor de 12,000 empleos indirectos. (Informe SYSMIN II 2011)

“...en estos momentos aproximadamente el 84% de la fuerza laboral que trabaja en el desarrollo del proyecto es dominicana, y el 58% de los trabajadores provienen de los pueblos de Cotuí y Maimón”
<http://www.somosbarrick.com/pueblo-viejo/2010/06/las-mujeres-emprendedoras-encuentran-nuevas-opportunidades/>

”¿Qué beneficios trae el proyecto minero para activar el empleo de las zonas aledañas? En su etapa de construcción, hasta 2011, PVDC creará mas de 5,000 nuevos puestos de

trabajo. El proyecto prevé el empleo de más de 1,000 trabajadores constantes durante sus años de desarrollo minero y la generación de 2,500 puestos de trabajo indirectos en las provincias Sánchez Ramírez y Monseñor Nouel. <http://barrickpuebloviejo.com/mundo-minero/preguntas-frecuentes/>

Indicator 7.2.2: % increase in employment and production figures in the non-industrial mining sector

There is evidence that through the intervention of the EC, the increase in production ranged between 15 and 200 per cent in cooperatives that are supported by SYSMIN II. Information about an increase of the employment rate is not available.

The DGM is currently in the process to prepare the relevant data. However the link between the DGM and the artisanal miners is rather weak and there is no continuous flow of information

Table 48: Production and Economic Status of a Selected Number of Mines in Two key regions of the DR

Ambar y Larimar:

	Asociación de Mineros del Norte. Ambar	Cooperativa Mineros La Esperanza. Ambar	Cooperativa Extractores de Larimar La Filipina	Cooperativa de Extractores de Larimar de Bahoruco
Situación de la producción	Ha aumentado al haberse abierto más frentes de mina.	Ha aumentado al haberse abierto más frentes de mina.	La producción se mantiene estable pero los costos de extracción han descendido.	La producción se mantiene estable pero los costos de extracción han descendido.
Situación económica	Ha habido un 15% más de beneficio	Ha habido un 15% más de beneficio	Ha habido un 10% más de beneficio	Ha habido un 10% más de beneficio

Yeso, Carbonato Cálcico y Mármol:

	Cooperativa de Mineros de Yeso de Barrancas	Cooperativa de Extractores de Yeso La Esperanza	Asociación de Mineros de El Pomier. Carbonato	Cooperativa de Mineros de Caballero. Mármol
Situación de la producción	La producción subió el 150%	La producción subió el 200%	Ha aumentado, sin especificar el porcentaje.	Ha aumentado alrededor de un 20%
Situación económica	Ha habido un 50% más de beneficio	Ha habido un 200% más de beneficio	Ha habido un 5% más de beneficio	Ha habido un 20% más de beneficio

Source: Informe Final de seguimiento 2011

“Tanto la producción como los beneficios económicos han aumentado considerablemente y en algunos casos, como los de la minería artesanal del yeso, tanto el aumento de la producción como los beneficios han subido de manera espectacular.”(Informe Final de seguimiento 2009) 11pg. Pg 11

”La producción y los beneficios económicos han aumentado en todas las cooperativas mineras donde se ha aplicado el proyecto, llegando en algún caso hasta el 200%.”

“Las comunidades de artesanos cuentan con una capacitación específica para sus labores de tallado, diseño y producción de joyas artesanales, orientada a permitirles competir en el mercado nacional e internacional de las joyas semipreciosas. Se dispone además de formadores en condiciones de replicar los conocimientos adquiridos con la capacitación de nuevos artesanos. Todo esto redundará en un incremento significativo de los ingresos de las comunidades de mineros artesanales y por ende en un mejoramiento de sus condiciones de vida.”....

”Los trabajadores artesanales del Larimar cuentan con infraestructuras que mejorarán su producción, seguridad en el trabajo y rentabilidad.” (Informe SYSMIN II 2011) pg. 68

”La comunidad estaba dentro de niveles de extrema pobreza antes de que el proyecto SYSMIN aportase la ayuda de sus equipos. El aumento de los beneficios económicos de su trabajo y la posibilidad de abrir nuevos frentes de mina han cambiado completamente la economía del pueblo, que ahora cuenta con dinero incluso para realizar obras de infraestructura dentro de la comunidad.” (Informe Final de seguimiento 2009) Pg 31

“3) Apoyo a la Minería Artesanal: Tras un trabajo de identificación de asociaciones y cooperativas, se han seleccionado 10 organizaciones fiables. A cada una de ellas: a) Se les ha suministrado herramientas y equipos, botiquines y elementos para seguridad personal. b) Se ha concedido una subvención a la Secretaría de Cultura para la puesta en marcha de 2 escuelas para la formación de artesanos de joyería de ámbar y larimar. c) Están en ejecución obras para la valorización y aprovechamiento del yacimiento del larimar. Estas obras incluyen la construcción de una galería subterránea que mejorará las condiciones de seguridad e higiene, el aprovechamiento del mineral además de la mejora de los caminos de acceso y la llegada de energía eléctrica.” e) En el ámbito del apoyo a la Minería Artesanal, los miembros de las organizaciones receptoras de la ayuda ponen de manifiesto que su producción y beneficios han aumentado considerablemente; esto representa un hito en la lucha contra la pobreza. Asimismo manifiestan que el número de accidentes de trabajo ha disminuido y que el proyecto ha servido para mejorar los vínculos de trabajo, fortaleciendo la cooperación entre cooperativas y con la DGM..”(SYSMIN Monitoring 2010)

“El apoyo a la Secretaría de Cultura para la formación de técnicos y artesanos de piedras semipreciosas en Santo Domingo y en Barahona (Sierra de Bahoruco), cuenta con una subvención por un monto de €391,977.68 (RD\$18,383,753.20) para la remodelación y puesta en funcionamiento de la escuela de artesanos. Mediante este acuerdo de subvención se han puesto en funcionamiento dos escuelas de artesano. Se ha programado una extensión para el año 2009 a los fines de incrementar en tres las escuelas. En el año 2008 se realizaron cuatro graduaciones de grupos de artesanos formados en la escuela de Santo Domingo y en la de Bahoruco.” (Programa de Pesca del Caribe - Programa SYSMIN año ¿ pg 7.)

“La Rep. Dominicana cuenta con un inmenso potencial de recursos naturales no renovables, los cuales permiten la apertura de nuevos proyectos de producción para el aprovechamiento sostenido de los mismos, generando nuevas fuentes de trabajo, en particular en el área de la pequeña minería y minería artesanal. Por lo antes expuesto, es necesario contribuir a mantener el interés de las autoridades gubernamentales, las cooperativas, las asociaciones campesinas, las empresas y los inversionistas dedicados al quehacer minero, principalmente aquellos que se encuentran dentro del sector de la pequeña minería, que con responsabilidad y compromiso se dedican a las diferentes actividades mineras en este sector, trabajando con seguridad y cuidado el medio ambiente. A sabiendas que las Cooperativas y Asociaciones Campesinas que se dedican a la Pequeña Minería y a la Minería Artesanal (ámbar, larimar, oro aluvial y a la extracción de Caliza, mármol y lajas) en la Rep. Dominicana, tienen grandes limitaciones de índole técnica y económica. Esta situación reduce considerablemente el nivel de eficiencia de las operaciones que estos realizan y contribuye a que los productos que extraen los vendan con muy poco valor agregado, limitando los beneficios que podrían recibir por su actividad.

Las Cooperativas que se dedican a la extracción artesanal del ámbar de manera particular serán beneficiados con el Proyecto SYSMIN II. Esto así, ya que los extractores de Larimar reciben asistencia técnica del gobierno y unos de los grupos organizados están asociados con una empresa privada que recibe asistencia económica para desarrollar las actividades.

Estos grupos serán atendidos por este proyecto a través de Capacitación de Seguridad Minera, medio ambiente, salud e higiene. Se estima que alrededor de 4000 personas se beneficiarán de esas cooperativas de forma directa. Otro grupo importante son las empresas que se dedican a la extracción y procesamiento de rocas ornamentales, que emplean alrededor de 500 personas. El último grupo al que se orienta este proyecto está conformado por los técnicos de las autoridades del sector estatal responsables del control y supervisión de esta actividad.”
<http://www.dgm.gov.do/fiscalizacion/pmineria.html>

Indicator 7.2.3: Existence of mining-specific health regulations

Through the intervention of the EC, a standard on mining safety for the Dominican Republic has been developed. In this standard work safety conditions, as well as the means of protection that must be used by the workers in the mines, are foreseen. It will establish a standard of rules to which the mining companies should comply and in this manner the Dominican Republic, once the standard becomes

law, could accede to the Convention 176 on mining safety, through the International Labor Organization (ILO).

In 2011, these safety regulations promoted by SYSMIN were discussed with the Ministry of Labor and a final version was developed. This document will be adopted by resolution and thus obtain legal status.

Instituciones tratan sobre seguridad de trabajadores mineros

Escrito por Dirección de Comunicaciones Lunes 06 de Diciembre de 2010 17:10



El ministro de Trabajo, doctor Max Puig, se reunió con el director general de Minería, Octavio López, representantes del programa Sysmin II y de la Organización Internacional del Trabajo (OIT), con el objetivo de tratar temas relativos a la reglamentación de la seguridad de los trabajadores de la minería en República Dominicana.

En el encuentro, que se produjo en el despacho del Ministro de Trabajo, se analizaron las condiciones de seguridad establecidas para los trabajadores de la minería. También, se planteó estudiar las acciones a las que se abocaría República Dominicana en caso de que el Gobierno dominicano se adhiera al Convenio 176 sobre Seguridad Minera, de la Organización Internacional del Trabajo OIT.

Puig manifestó que el Ministerio de Trabajo abre las puertas para apoyar el desarrollo de la iniciativa y expresó que aunque el convenio 176 sobre Seguridad y Salud en las minas, no ha sido ratificado por el país, entiende que se deben incluir todos los rangos que sean posibles del convenio en la normativa nacional y desarrollar los instrumentos necesarios.

El Ministro de Trabajo explicó que el desarrollo de esa normativa no puede darse a través de resoluciones introducidas al reglamento 522-06, si no mediante una ley o reglamento o mediante decreto presidencial.

Por su parte, el director de Minería, Octavio López, destacó el desarrollo de la industria minera en el país y solicitó a la OIT aportes para el desarrollo de instrumentos en apoyo a la iniciativa de seguridad minera.

El convenio 176 de la OIT ha sido ratificado por más de 70 países. De adherirse la República Dominicana contaría con un sistema de reglamentaciones de altos estándares de calidad en preservación y seguridad minera. De acuerdo a los representantes del Sysmin, la Dirección General de Minería y la OIT; esto redundaría en beneficio del progreso y desarrollo del sector minero de nuestro país.

Como parte de las acciones de seguimiento emanadas del encuentro está la celebración de un taller tripartito sobre el convenio 176, propuesta por Taína Carón, de la OIT, quien se comprometió a transferir las informaciones pertinentes del encuentro a los fines de contribuir con el desarrollo de los instrumentos de apoyo.

En el encuentro estuvieron Tania Carón, de la OIT; Alfonso Núñez, Rafael Varea y Enrique Burkhalter del Sysmin, y el director general de Minería, Octavio López. Por el Ministerio de Trabajo participaron Manuel Robles, asesor del Ministro de Trabajo y José Bugué, subdirector de Higiene y Seguridad Industrial.

http://www.set.gov.do/index.php?option=com_content&view=article&id=125%3Ainstituciones-tratan-sobre-seguridad-de-trabajadores-mineros&catid=36%3Anoticias&Itemid=27

“La Seguridad Minera se ha identificado como una prioridad de acuerdo con la DGM y la Oficina del Ordenador Nacional. En consecuencia, la asistencia Técnica ha elaborado una Norma sobre Seguridad Minera para la República Dominicana. En esta Norma se prevén las condiciones de seguridad en el trabajo, así como los medios de protección que deben usar los trabajadores en las minas, tanto en las explotaciones subterráneas, como en las minas a cielo abierto. Se trata de tener una Norma de cumplimiento exigibles a las empresas mineras, y de esta manera la República Dominicana, una vez que traspusiera esta Norma en su Legislación, podría estar en condiciones de adherirse al Convenio 176 sobre seguridad minera, a través de Organización Internacional de Trabajo (OIT). A éste Convenio se han adherido ya más de 70 países y la República Dominicana, pretende hacerlo.”

“Este reglamento básico establece las reglas generales mínimas de seguridad a que se sujetarán las explotaciones de minas, canteras, salinas marítimas, aguas subterráneas, recursos geotérmicos, depósitos subterráneos naturales o artificiales, sondeos, excavaciones a cielo abierto o subterráneas, siempre que en cualquiera de los trabajos citados se requiera la aplicación de técnica minera o el uso de explosivos, y las plantas de beneficios de recursos geológicos en general, en los que se apliquen técnicas mineras. De acuerdo con el Convenio 176 de la O.I.T., sobre seguridad y salud en las minas, de 1995.

“Entre los aspectos que contempla el proyecto están: La creación de la Comisión Nacional para la Seguridad Minera, para ello se ha llevado a cabo una coordinación y consulta con el apoyo del Ministerio de Trabajo y la DGM, con las partes interesadas. Se pretende crear y hacer un llamamiento a la solidaridad de los mineros para promover la prevención y seguridad en las minas.”

“Esta institución será quien analizará los accidentes e incidentes en el sector minero, y tratará de corregir aquellos aspectos donde se produzcan más accidentes, campañas de prevención en la minería y la formación de los trabajadores, con objeto de aminorar los accidentes en el sector minero.”

“En ésta Comisión Nacional de Seguridad Minera, se prevé la participación de las empresas mineras y representantes de los mineros, para que tengan un foro donde opinar sobre las condiciones de trabajo, seguridad y prevención.” Informe SYSMIN II – 2011

“Adicionalmente, se han diseñado las siguientes Aplicaciones Web: Diseño e implementación de una página Web para la Seguridad Minera “ pg. (Informe SYSMIN II – 2011) pg 31

“El Programa ha contribuido a la mejora en las condiciones de seguridad e higiene de las cooperativas y asociaciones artesanales de mineros. También, al mejor aprovechamiento de determinados minerales, buscando la racionalización de la producción, incrementando la seguridad en el trabajo y el control del impacto ambiental.” (Informe SYSMIN II – 2011) pg 5

“Se ha conseguido el adiestramiento de técnicos dominicanos, pertenecientes tanto a la Administración como a compañías, en un mejor manejo y actualización de metodologías de trabajo, de la seguridad e higiene en el trabajo y de técnicas medio ambientales y mineras.” (Informe SYSMIN II – 2011) Pg 5

“Asimismo, se ha favorecido el fortalecimiento institucional de la Dirección General de Minería, mediante análisis y diagnósticos correctores, así como al diseño de un nuevo sistema de control de los derechos mineros, normativa minera de seguridad en el trabajo, que mediante su plasmación en una nueva reglamentación permita el desarrollo del sector Minero. (Informe SYSMIN II – 2011) pg 5

En los aspectos de la seguridad minera, la Norma que regulará las condiciones de seguridad y prevención en la Minería, una vez incorporada a la legislación dominicana y la adhesión del país al Convenio 176 de la OIT, es una acción importante de futuro, que pretende mejorar la calidad de vida de los mineros y el evitar accidentes de todo tipo, y por ende, el desarrollo minero de la República Dominicana”. (Informe SYSMIN II – 2011) pg. 33

Artesanal Mining:

“Resulta evidente que los mineros no cuentan todavía con la educación necesaria en cuestiones de seguridad laboral y que ningún organismo estatal vela por la implementación de medidas de seguridad en las minas. (Informe Final de seguimiento 2009) pg. 15

No se han reportado accidentes en el último año, pero existe la percepción entre los mineros de que actualmente se trabaja con más seguridad. Reportan una gran disminución en los accidentes

menores, como heridas en manos y pies o erosiones en el cuerpo. (Informe Final de seguimiento 2009) pg. 18

Table 49: Workplace and Infrastructure Security Status of a Selected Number of Mines in two key regions of the DR

Ambar y Larimar

	Asociación de Mineros del Norte. Ambar	Cooperativa Mineros La Esperanza. Ambar	Cooperativa Extractores de Larimar La Filipina	Cooperativa de Extractores de Larimar de Bahoruco
Seguridad en el trabajo	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.
Seguridad en la estructura de las minas	Sumamente deficiente	Sumamente deficiente	Sumamente deficiente	Sumamente deficiente
Situación sanitaria	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.

Yeso, Carbonato Cálcico y Mármol

	Cooperativa de Mineros de Yeso de Barrancas	Cooperativa de Extractores de Yeso La Esperanza	Asociación de Mineros de El Pomier. Carbonato	Cooperativa de Mineros de Caballero. Mármol
Seguridad en el trabajo	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.	Se trabaja con más seguridad aunque el uso de los equipos aun no es generalizado.
Seguridad en la estructura de las minas	Ha mejorado sensiblemente fundamentalmente por el uso para la mejora de los cortes mineros de la maquinaria pesada donada por el proyecto.	Ha mejorado sensiblemente fundamentalmente por el uso para la mejora de los cortes mineros de la maquinaria pesada donada por el proyecto.	Ha mejorado sensiblemente fundamentalmente por el uso para la mejora de los cortes mineros de la maquinaria pesada donada por el proyecto.	Ha mejorado sensiblemente fundamentalmente por el uso para la mejora de los cortes mineros de la maquinaria pesada donada por el proyecto.
Situación sanitaria	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.	Los botiquines se han agotado y no se han repuesto.

Source: Informe Final de seguimiento 2009

“La seguridad en el trabajo ha mejorado gracias a los aportes del proyecto, aunque aun queda mucho por hacer en este campo.” (Informe Final de seguimiento 2009) pg 11

“Se recomienda trasponer la Norma sobre Seguridad Minera redactada a la Legislación dominicana y desarrollarla, así como la adhesión de la República Dominicana al Convenio 176 de la OIT, sobre seguridad y salud en las minas de 1995.” pg. (Informe SYSMIN II – 2011) 70

“Preguntados sobre la utilidad del resto de los equipos por lo general aseguraron que era mucha, pero en la práctica se pudo observar que los equipos de seguridad: cascos, guantes y gafas, habían tenido poco uso. Resulta evidente que los mineros no cuentan todavía con la educación necesaria en cuestiones de seguridad laboral y que ningún organismo estatal vela por la implementación de medidas de seguridad en las minas. De hecho los mismos responsables de la cooperativa solicitaron que de alguna manera se les ofreciera capacitación a los miembros para el desempeño de su trabajo con seguridad” (Informe Final de seguimiento 2009) pg 22

Indicator 7.2.4 Extent and nature of participation of local population in the planning process for mining activities/ regional planning

There is evidence that cooperatives of artisanal miners have been involved in the planning processes of mining activities. Also we find evidence of participation of communities in the management of safe water supply facilities in a mining area.

There are a few examples of popular participation in planning processes. Also, the laws 64-00 (Environment) and 176-07 (Municipal law) include instruments for participation, eg in the elaboration of development plans.

“La DIRECCIÓN GENERAL DE MINERÍA (DGM) se compromete a reglamentar con las cooperativas mineras extractoras de Larimar los siguientes aspectos: a La redacción de una normativa de acceso al área minera, de conformidad con la legislación vigente. b. El mantenimiento de las obras realizadas. c. La entrega de una parte de la producción a las escuelas de formación de artesanos. El monitoreo de las actividades mineras y la producción de informes de evaluación”. (ONFED-DGM 2007)

“...la DGM, tiene estructurada administrativamente la sección de la pequeña minería, para apoyar las actividades de fiscalización, supervisión, asesoría de las cooperativas, control de la correcta utilización de los equipos y herramientas entregados a cada cooperativa y del manejo de los equipos pesados para la prestación de servicios comunes.” (ONFED-DGM 2006)

“El apoyo del proyecto SYSMIN II a los mineros ha redundado en la potenciación de la cooperativa y ha mejorado sensiblemente la comunicación y la colaboración entre todos los mineros del área.” (Informe Final de seguimiento 2009) pg. 48

“Los aportes de equipos realizados por el proyecto han servido para mejorar los vínculos de trabajo y la solidaridad entre los mineros, fortaleciendo el régimen de cooperativas y generando nuevos espacios de colaboración entre los trabajadores y las instituciones oficiales (Informe SYSMIN II 2009) pg. 61

“As concrete support for this philosophy, we have been working with local governments and communities at Cerro de Maimón since 2005 and have signed a number of agreements with stakeholder groups.” (GlobeStar 2010)

With respect to access to safe water: “La obra ha sido entregada al INAPA y a la Comunidad de Residentes. La Comunidad a designado una comisión responsable de la gestión del acueducto y a establecido un sistema de pequeñas cuotas para dar mantenimiento a la obra.” (Informe SYSMIN II-2011) pg. 52

“Aprueban plan de Desarrollo municipal para la ejecución de obras 2010-2016

Villa La Mata. – Con la presencia de cientos de delegados representantes de las diversas instituciones sociales y culturales de la zona, fue celebrado el Congreso, donde quedó aprobado el Plan de Desarrollo Municipal, para la ejecución de obras durante el año 2010 – 2016.

El programa de construcción de obras durante los próximos cinco años fue aprobado en el Congreso celebrado en esa localidad, comprende la realización de las siguientes obras, tales como: centro tecnológico, escuelas, clubes deportivos, saneamiento de cañadas, alcantarillas, entrega de becas para estudiantes meritorios, el fortalecimiento de las instituciones y de otras que tienden a contribuir con el desarrollo del municipio.

Estos proyectos contarán con el respaldo del propio ayuntamiento y de empresarios de la zona y del país interesado en el desarrollo sostenible de la comunidad aledañas, según se informó.

El Congreso donde se aprobó el Plan Municipal de este municipio para los próximos 5 años, estuvo encabezado por el Alcalde, Alberto Gomera y el presidente de la empresa minera Pueblo Viejo Dominicana Corporation (Barrick Gold), Ing. Manuel Bonilla, como invitado especial al evento, donde se seleccionaron un conjunto de obras, que serán construidas en un lapso de cinco años.

Para el desarrollo del acto de aprobación del Plan Municipal del cabildo de la zona, éste escogió comisiones de personas entendidas en los diversos renglones, como son: en el orden de la educación, la seguridad ciudadana, el deporte, entre otros de interés social, los integrantes de cada comisión, rindieron un informe sobre la realización y aprobación de las obras a construirse en cada renglón expuesto.

Al dar la información sobre la realización del Congreso donde fue aprobado el Plan de Desarrollo Municipal para los años 2010 – 2016, el periodista Milkiades de la Cruz, Relacionador Público del cabildo de Villa La Mata, dijo a este corresponsal en la Provincia Sánchez Ramírez, que el mismo sirvió para afianzar la confianza que tienen los municipios de la zona en la administración del cabildo local, presidido por el Doctor Alberto Gomera y el Concejo de Regidores del mismo. En el acto fueron reconocidas varias personalidades de la zona y del país, incluyendo al presidente de la empresa minera Pueblo Viejo Dominicana Corporation (Barrick Gold), Ing. Manuel Bonilla y el Ing. Temistocles Montas, por su aporte al cabildo.” <http://www.elnuevodiario.com.do/app/article.aspx?id=244656>

“Cevicos presenta su plan de desarrollo

Con la presencia del ministro del trabajo, Max Puig, el presidente de Barrick Pueblo Viejo, Manuel E. Bonilla, y representantes de la embajada del Canadá y otras organizaciones sociales y comunitarias, fueron seleccionados los miembros del nuevo Consejo económico y social de ese distrito municipal.

Luego de seis meses de trabajo fueron presentadas las distintas propuestas de plan para el desarrollo municipal de Cevicos, en las que vienen incorporadas las acciones necesarias para combatir los principales problemas y deficiencias de ese distrito municipal, uno de los de mayor índice de pobreza extrema de la provincia Sánchez Ramírez y de la región Cibao Sur.

Durante la actividad denominada Primer Congreso de Desarrollo Municipal de Cevicos, las distintas personalidades hablaron de la importancia de este plan que recoge en una visión estratégica de desarrollo, 17 objetivos generales y 47 objetivos específicos, formulados en términos de indicadores de resultados, junto a una lista de ideas de proyectos, distribuidos en distintas áreas como producción, economía y empleo; recursos naturales, medio ambiente y riesgos, educación y cultura, salud y deporte, y fortalecimiento institucional y ordenamiento territorial.”

<http://www.listin.com.do/economia-and-negocios/2011/5/17/188573/print>

Instruments for participation

“Art. 43. El proceso de permisos y licencias ambientales será administrado por la Secretaría de Estado de Medio ambiente y recursos Naturales, en coordinación con las instituciones que corresponda, las cuales estarán obligadas a consultar los estudios de impacto ambiental con los organismos sectoriales competentes, así como con los ayuntamientos municipales, garantizando la participación ciudadana y difusión correspondiente.” (Ley 64-00)

“**Artículos 122.- Planes Municipales de Desarrollo.**

Los ayuntamientos aprobarán, a iniciativa de las y los síndicos y con participación de la comunidad, planes municipales de desarrollo, a los fines de:

- a. Lograr una utilización e inversión adecuada de los recursos municipales para impulsar su desarrollo integral, equitativo y sostenible.

- b. Brindar una oportuna y eficiente atención a las necesidades básicas de la comunidad.
- c. Lograr un ordenamiento racional e integral del territorio municipal.

Artículo 126.- Oficinas de Planeamiento Urbano.

En cada ayuntamiento habrá una oficina de planeamiento urbano, cuyo objetivo central es asistir técnicamente al ayuntamiento y a las comunidades en el diseño, elaboración y ejecución de los planes de desarrollo del municipio, y regular y gestionar el planeamiento urbanístico, uso de suelo y edificación en las áreas urbanas y rurales del territorio municipal, desde criterios de inclusión y equidad social y de género, participación y eficiencia.

Artículo 227.- Organizaciones de la Sociedad Civil.

Los ayuntamientos favorecerán el desarrollo de las organizaciones de la sociedad civil, impulsando su participación en la gestión municipal, facilitándoles la más amplia información sobre sus actividades y, dentro de sus posibilidades, el uso de los medios públicos y el acceso a las ayudas económicas para el desarrollo de sus actividades en beneficio de la comunidad.

Artículo 234.- Plebiscito Municipal.

El Plebiscito Local es el mecanismo institucional de consulta a la ciudadanía sobre lineamientos generales de medio ambiente, proyectos de infraestructura o de ordenamiento territorial, siempre que no modifiquen la actual división política administrativa. La realización del Plebiscito Local estará sujeta a los siguientes requisitos y limitaciones:

- a) La solicitud de plebiscito debe ser presentada por el 5% de los ciudadanos y ciudadanas que figuren en el registro electoral del municipio, por el síndico municipal o por la mayoría absoluta del concejo de regidores.
- b) La materia sobre la cual se convoque el plebiscito debe haber sido tramitada, sin llegar a una resolución definitiva, por ante el concejo municipal.” Ley 176-0

JC 7.3: SYSMIN contributed to the protection of the environment in mining areas.

Overall analysis of JC 7.3

Remediation of environmental problems from previous activities and the appropriate measures to avoid future risks are proposed.

As a result of mining activities by the company Rosario Dominicana from 1975 until 1999, the environment was contaminated with heavy metals. Thus the existing mining installations in Pueblo Viejo represented significant environmental liabilities. Not only was there a great source of pollution, the installations also presented a continuous risk of further degradation to the water resources, the ecosystem and the agricultural soils of the area. In addition, there was the potential risk of an extreme seismic or weather contingency that could cause the collapse of one of the dams.

Documents note that a number of high profile activities were supported: Based on this issue, the necessity of interventions by SYSMIN II was clearly justified and a good part of the problem was resolved.

According to the results of the following projects: "Diseño de recuperación del vaso de Mejita"; "Evaluación de la Contaminación en Calizas de Hatillo"; "Estudio de las Cuencas Hidrográficas de los ríos Margajita y Maguaca, y Embalse de Hatillo"; and "Proyecto Piloto de Remediación Ambiental en la presa de colas de la Mina de pueblo Viejo", SYSMIN-funded studies, assessments, designs and pilot activities contributed to the environmental

protection in these mining areas. Intervention by SYSMIN II.

SYSMIN has coordinated the implementation of the studies in the Pueblo Viejo mine with both the DGM and the mining company, according to the FA. The mining company is the responsible body for implementing the remediation.

Since during the field phase no meeting could be held with PVBG, it was not possible to know to what extent the proposed remediation activities have been implemented already by PVBG.

The documents obtained concerning the overall assessments (mostly monitoring) of SYSMIN initiatives shows a deep concern for environmental and social impact in the country, at least from some quarters. The monitoring reports note that taking into account both the lessons learnt with respect to the complexity and the cost of remediation of environmental problems from previous activities and the appropriate measures to avoid future risks, it should be noted that investments must be subjected to the highest standards of EIA and environmental (socio-economic) management in order to promote the sustainability. (I 7.3.1)

According to Law 64-00 all mine projects must have an EIA in order to obtain a license. (I7.3.2). An independent monitoring of compliance with environmental legislation is not performed in the D.R. (I 7.3.3.)

Analysis of indicators

Indicator 7.3.1: Percentage of remediation activities implemented as planned with clear needs orientation

As a result of mining by the company Rosario Dominicana from 1975-99, the environment was contaminated by heavy metals. Based on this issue, needs were clearly identified for intervention by SYSMIN II.

SYSMIN has coordinated the implementation of the studies in the Pueblo Viejo mine with both the DGM and the mining company, according to the FA. The mining company is the responsible body for implementing the remediation.

“En la provincia Sánchez Ramírez, ubicada a 100 km de Santo Domingo, en el lugar de la antigua operación de Rosario Dominicana, se ha comenzado a desarrollar el proyecto Pueblo viejo, reserva minera de clase mundial y uno de los más grandes depósitos de oro no desarrollados del mundo...Las operaciones de Rosario Dominicana desde 1975 a 1999 explotaron toda la capa de óxido y dejaron expuesta la capa de sulfuros que es el origen la acidificación de las aguas superficiales y trae consigo la contaminación por metales pesados del ambiente...Con las inversiones del proyecto PVDC, previsiblemente se remediará el problema ambiental de la zona, que data de casi tres décadas....Los resultados específicos establecidos en el Convenio de Financiación del programa SYSMIN son: Los impactos ambientales históricos asociados a la Mina Pueblo Viejo serán remediados. La Mina de Pueblo Viejo volverá a producir oro. Conocimiento local del manejo ambiental sostenible de las Cuencas hidrográficas” (Informe SYSMIN II-2011) 38 ff

Evidence for proposed remediation activities:

“En la zona de Pueblo Viejo, la RD dispone de la información ambiental base de la contaminación producida por la mina además de una red de monitoreo d) Se ha diseñado y presupuestado el refuerzo de la presa de Mejita y su recuperación ambiental; esto ha servido a la RD en sus negociaciones con Barrick Gold..”(SYSMIN Monitoring 2010)

“Proyecto de diseño de recuperación del vaso de Mejita: Estudios y diseño constructivo del refuerzo de la presa....Proyecto de Evaluación de la Contaminación en Calizas de Hatillo 43: Una de las herramientas que se ha establecido para la consecución de estos objetivos es la evaluación de la contaminación de las aguas subterráneas de las calizas de la Formación Hatillo, afectadas por las pasadas explotaciones de la Mina de Rosario Dominicana en Pueblo Viejo.... Estudio de las Cuencas Hidrográficas de los ríos Margajita y Maguaca, y Embalse de Hatillo. El principal objetivo del programa es invertir la evolución desfavorable que ha tenido el sector geológico-minero dominicano en estos últimos años, estimulando y ampliando el conocimiento que tiene del subsuelo del país. El objetivo principal del proyecto corresponde a la determinación del impacto ambiental provocado por las

pasadas explotaciones de la mina de Pueblo Viejo de Rosario Dominicana en las cuencas hidrográficas de los Ríos Margajita y Maguaca y en el Embalse de Hatillo. Proyecto piloto de remediación ambiental en la presa de colas de la Mina de pueblo Viejo (UAFAM) (Informe SYSMIN II-2011) 40ff.

“2) Medidas de Recuperación de la mina Pueblo Viejo: El presupuesto de este componente representaba más del 50% del presupuesto total del Convenio de Financiación. La entrada imprevista de Barrick Gold en la mina tuvo como consecuencias el reordenamiento y la reducción del presupuesto de este componente. Con el presupuesto reducido, se han ejecutado los siguientes proyectos: a) Suministro de agua potable a las comunidades de las Lagunas. b) Evaluación de la contaminación de las aguas subterráneas de las calizas del Hatillo. c) Evaluación de la contaminación de los arroyos Margajita, Maguaca y del embalse del Hatillo. d) Diseño para la recuperación del Vaso Mejita.” (SYSMIN Monitoring 2010)

“Consideraciones principales: El proyecto está en su etapa final y ha cumplido en grandes líneas con los objetivos.” (SYSMIN Monitoring 2010)

“Objetivos de componente: El FA del Programa establece que en el caso de que la empresa (Barrick Gold) acepte reabrir y explotar la mina de Pueblo viejo, la UTG podría coordinar la realización de determinados trabajos propuestos en el Programa con obras del mismo tipo a realizar por Barrick Gold, durante el periodo de preparación de la mina para su futura explotación.el proyecto PVDC se ha iniciado y está en fase de preparación de la mina, de manera que la UTG ha coordinado la realización de los estudios programados tanto con la DGM como con la empresa minera, de acuerdo con el convenio de financiación...Los resultados específicos establecidos en el convenio de Financiación del Programa Sysmin son: Los impactos ambientales históricos asociados a la Mina Pueblo viejo serán remediados, la Mina de Pueblo Viejo volverá a producir oro , conocimiento local de manejo ambiental sostenible de la Cuencas hidrográficas.” SYSMIN II Tomo 1 2010

“Las operaciones de Rosario Dominicana desde 1975 a 1999 explotaron toda la capa de óxido y dejaron expuesta la capa de sulfuros que es el origen de acidificación de las aguas superficiales y trae consigo la contaminación por metales pesados del ambiente. Con las inversiones del proyecto PVDC, previsiblemente se remediará el problema ambiental de la zona, que data de casi tres décadas. La meta fijada es eliminar los niveles de acidez de las aguas para recuperar las vías fluviales de la zona como el arroyo Margajita, dando al as comunidades cercanas acceso a agua de mayor calidad.” (SYSMIN II Tomo II) p. 53

Indicator 7.3.2: Percentage of mining investments that are accompanied by Environmental Impact Assessments

The Law 64-00 (Environment) requires that all investments in the mining sector must have an Environmental Impact Assessment. It is therefore necessary that all investments subsequent to the year 2000 (entry into force of law) must meet this requirement.

“Todas las posteriores a la Ley de medio Ambiente 64/2000. La Ley obliga a la realización de EIA.” (personal communication from Director UTG-SYSMIN)

“Art. 38.- Con la finalidad de prevenir, controlar y mitigar los posibles impactos sobre el medio ambiente y los recursos naturales ocasionados por obras, proyectos y actividades, se establece el proceso de evaluación ambiental con los siguientes instrumentos: 1. Declaración de impacto ambiental (DIA); 2. Evaluación ambiental estratégica; 3. Estudio de impacto ambiental; 4. Informe ambiental; 5. Licencia ambiental; 6. Permiso ambiental; 7. Auditorías ambientales; y 8. Consulta pública. Art. 41.- Los proyectos a actividades que requieren la presentación de una evaluación de impacto ambiental son los siguientes: 9. Proyectos mineros, incluyendo los de petróleo y turba, exploraciones o prospecciones, remoción de la capa vegetal y la corteza terrestre, explotaciones, construcción y operación de pozos, presas de cola, plantas procesadoras, refinerías y disposición de residuos; 10. Extracción de áridos (rocas, gravas y arenas.” (Ley 64-00) cap. 4, pg 47 ff.

Indicator 7.3.3: Percentage of EIA approved projects that are monitored independently

In the available documentation there was no information found concerning this indicator. According to information from the UTG-SYSMIN, no project is being monitored externally. In the field phase this issue was focused on in interviews in the DGM and MARENA (Ministry of Environment and Natural Resources).

Both institutions have no knowledge of environmental monitoring carried out by independent institutions. The monitoring of the environment is implemented by MARENA. Due to the weak human and financial resources of this institution only a small percentage of mining operations is actually being inspected regularly.

Indicator 7.3.4: % of population in mining areas with access to safe potable water

There is no information about this indicator available. However through the support of SYSMIN in a region affected by the environmental pollution of the mine Rosario Dominican, jointly with the local population access to potable water to surrounding communities of the mine Pueblo Viejo was facilitated.

In 2010 the Dominican State carried out a nation wide data collection which is still not evaluated and thus sufficient data are still not available on this indicator. SYSMIN helped that 850 people received access to safe water.

"El proyecto del diseño y de la construcción del acueducto tiene por objetivo general el de suministrar agua potable a las comunidades del entorno de las instalaciones mineras de Pueblo Viejo, que han sido o serán afectadas debido a la explotación de la mina"

"El sistema ha sido construido y abastece a una población de 850 habitantes mediante tomas individuales en cada una de las viviendas, cabe destacar que esta obra a influido a que algunas familias que se habían desplazado a la ciudad de Santo Domingo por la falta de abastecimiento de agua, han regresado a ocupar de nuevo sus viviendas una vez finalizado el acueducto." (Informe SYSMIN II-2011) pg. 52

"La obra ha sido entregada al INAPA y a la Comunidad de Residentes. La Comunidad a designado una comisión responsable de la gestión del acueducto y a establecido un sistema de pequeñas cuotas para dar mantenimiento a la obra." (Informe SYSMIN II-2011) pg. 52

JC 7.4 Institutional arrangements and budgetary frameworks for the sub-sector are in place and will likely be in place over the long term.

Overall analysis of JC 7.4

There are (well-established) institutions and budgetary frameworks in place in the areas covered by the EC under SYSMIN. These are likely to be remained in place over the long term. While published budget lines from GoDR ministries are not refined enough to show information at activity level, there are proxy measures that can identify if a budgetary framework exists.

The in 2010 newly created SGN does not have sufficient personnel, infrastructure and budget to perform its tasks as planned. Equally the DGM does not have enough funds. The yearly budget is US\$1.1. The funds entitled by law (5% of the tax levies of the mine operators) do not reach the DGM. The reformed mining law, which would provide further income for the DGM has not been adopted yet.

Also MARENA, which is responsible for monitoring the compliance with environmental regulations in the mines, has to comply with insufficient resources (staff and transportation) for these tasks.

It's the same in the case of the Labor Ministry, that can not monitor as intended the working conditions (safety). This affects particularly the dangerous artisan mining, in which work about 4,000 persons.

The GoDR has a budgetary framework in place for all of its ministries and agencies. The process for budget preparation and approval was discussed under EQ1 and EQ3. There are proxy measures that imply that the GoDR is serious about sustainability in the mining sector. For example, it has created a section within the DGM that supports small scale mining and helps ensure that regulatory requirements, including those of worker safety are met. The EIA and other laws in force in the country foresee that promoters (ex. mining firms) must provide for ex-ante analysis of impacts as well as the long-term financing of monitoring activities required to fulfil their obligations under the eventually-approved mitigation plan. Finally other departments responsible for other key programmes such as the environment or for EIA have "long-term budgetary frameworks" that correspond directly to EC's past and present support. They also have a programme-based activity framework established by law, supported by national budgets approved in Parliament that enables them to prepare long-term commitments for work in this sector (among others). The Ministry of Labour and the Ministry of Public Health are endowed with the responsibility and funding to monitor and enforce the regulatory frameworks in this area. Another final proxy measure can be considered: SYSMIN contributed to the putting into place of a legal and operating framework for the establishment of a National Commission on Mining. It is financed by GoDR budget allocations but the evaluation found that it is not operating. Finally, the DGM is a permanent organisation with clear responsibilities and secured funding. (I 7.4.1) Secured funding, but not sufficient to carry out the mandate.

There is no legal basis for independent monitoring in the DR. The "Reglamento para el control, vigilancia e inspeccion ambiental y la aplicacion de sanciones administrativas" promulgated under the authority of the State, and applicable to the secretariat responsible for environment and natural resources states clearly that authorised personnel from the Secretaría de Estado de Medio Ambiente y Recursos Naturales will be responsible for executing all actions related to monitoring, vigilance, inspection and environmental control necessary to ascertain the compliance with environmental legislation, environmental licences and permits, the implementation of project plans and other administrative dispositions. (I 7.4.2)

With respect to public participation, DR Law 64-00 concerning the scope and application of Environmental Impacts clearly forces a public participation process upon any EIA. That participation fits into a much wider concept of environmental accountability that involves the promoter, the State and any individual, community or organisation impacted upon by the proposed development project. As seen in I 7.3.4, there are examples of community-based participation in these affairs. (Ley 176-07) and (I 7.4.3)

Analysis of indicators

Indicator 7.4.1: Existence of a long-term budgetary framework for the sub-sector in areas covered by the EC support

This indicator was interpreted as “the existence of a long-term budgetary framework for the mining sub-sector in environmental and socially-responsible areas” (including work-place security, environmental stewardship and the implementation of mitigating actions after environmental problems occurred) in the DR. The areas identified are essentially those covered by SYSMIN, i.e. “areas covered by the EC support”.

As noted in previous JCs, the level of published budget details of GoDR ministries is not disaggregated enough to distinguish either the nature or the level of programming and accompanying budgets. In this particular case the GoDR does not publish budget details concerning programming in the specific areas covered by the EC in its SYSMIN. The indicator was chosen under the assumption that this level of detail existed.

There are, however, proxy measures that can identify if a budgetary framework exists. The GoDR has a budgetary framework in place for all of its ministries and agencies. The process for budget preparation and approval was discussed under EQ1 and EQ3. The Ministry responsible for mining publishes budgets at resource-use levels under major programme headings such as “regulatory compliance”, “international commitments” and “research and development”. There are proxy measures that imply that the GoDR is serious about sustainability in the mining sector. For example, it has created a section within the DGM that supports small scale mining and helps ensure that regulatory requirements, including those of worker safety are met.

However the DGM has only a limited budget and insufficient personnel and infrastructure (eg. vehicles), so that only a fraction of the estimated 4000 small-scale miners can be covered.

According to the Mining Law Article 198, the DGM has to receive 5% of the taxes paid by the mining companies to the state. These are estimated for 2012 in US\$800m, so that the DGM should receive US\$40m. To date, the DGM has never received their legally guaranteed funds and thus cannot perform large part of their duties.

Other departments responsible for other key programmes such as the environment or for EIA do not differentiate between mining and forestry or any other natural resource extraction activity and consequently do not have “long-term budgetary frameworks” that correspond directly to EC’s past and present support.

But they DO have a programme-based activity framework established by law, supported by national budgets approved in Parliament that enables them to prepare long-term commitments for work in this sector (among others). The EIA and other laws in force in the country foresee that promoters (ex. mining firms) must provide for ex ante analysis of impacts as well as the long-term financing of monitoring activities required to fulfil their obligations under the eventually-approved mitigation plan.

Similarly to DGM, according to MARENA, the resources (personnel, vehicles) for environmental monitoring in the mining industry are very limited. Only part of the mining companies can be visited and thus environmental monitoring is often limited to the analysis of reports sent in by the mine operators to MARENA.

The safety standards developed by SYSMIN have not yet received a legal status. According to the Ministry of Labour, in June 2011 a resolution will be emitted which will adopt these standards for mine operators as binding. As SGN, DGM and MARENA, also the Ministry of Labor has only limited financial and human resources to control the situation in the mines (in this case especially the security situation).

Another proxy measure EC concerns the issue of mining safety. The GoDR, with the assistance of the EC, has put in place activity frameworks that specify, among others, that mining firms will be responsible for designing, implementing and operating their projects in accordance with the regulations laid down, and must allow for the payment of costs related to that activity. In many cases that mean that worker-based or community-based organisations are funded to help monitor and improve conditions.

The Ministry of Labour is endowed with the responsibility and funding to monitor and enforce the regulatory frameworks in this area. A final proxy measure can be considered: SYSMIN contributed to

the putting into place of a legal and operating framework for the establishment of a National Commission on Mining. It is financed by GoDR budget allocations.

The following is only one example of the on-going responsibility of the DGM that points to sustainability:

"La DIRECCIÓN GENERAL DE MINERÍA (DGM) se compromete a reglamentar con las cooperativas mineras extractoras de Larimar los siguientes aspectos: a La redacción de una normativa de acceso al área minera, de conformidad con la legislación vigente. b. El mantenimiento de las obras realizadas. c. La entrega de una parte de la producción a las escuelas de formación de artesanos. El monitoreo de las actividades mineras y la producción de informes de evaluación". (ONFED-DGM 2007)

That being said, the evaluation team will seek to define if and how the mining and environmental ministries in the DR budget for long-term environmental monitoring of specific events (incident-based) or specific locations (landscape-based).

Part of the sustainability determination of the sustainability of specific monitoring or mitigation actions is the funding set aside for the participation and monitoring by non-public entities. As noted under I 7.2.4, "There is evidence that cooperatives of artisanal miners have been involved in the planning processes of mining activities. Also we find evidence of participation of communities in the management of safe water supply facilities in a mining area." Law 64-00, dealing with EIA, provides that proponents must pay for public consultation and independent monitoring. These two examples provide evidence of sustainability that is provided under budgetary frameworks in the mining sector.

LA DGM es el órgano del gobierno encargado de velar por la optima explotación de los recursos mineros del país de una manera sostenible y adecuada al medio ambiente, a la riqueza del medio físico y al las condiciones de los mercados de materia prima. Además es el órgano del gobierno capacitado para dar títulos de explotación minera y elaborar el Catastro Minero, único documento publico que da fe y posibilita la explotación legal de los recursos físicos del país. Por tanto es un órgano soberano para otorgar permisos de investigación y explotación de los recursos mineros. Se requiere para ello un conjunto de medios adecuados, empezando por los económicos, que se deben de traducir en unos presupuestos adecuados. Es por ello que el legislador ya previó en la actual ley de minas de 1971 lo siguiente: Art 198 – Se crea un fondo especializado de un cinco por ciento (5%) de los ingresos anuales que perciba el Estado por concepto de impuesto sobre la renta pagada a promover el desarrollo de actividades mineras en el país por los concesionarios y de plantas de Benicio, el cual será administrado por la Secretaría de industria y comercio, según lo disponga el Poder ejecutivo". Estos fondos no han sido recibidos por la DGM, lo que hace inviable las labores encomendadas por la propia ley al no disponer de medios para cumplirlas." (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) P 16 .

La escasez de medios de la DGM y la falta de transparencia en la utilización de los escasos medios disponibles, lleva a situaciones insostenibles, tales como la falta de medios para combustible, imprescindible para la inspección adecuada de las concesiones mineras o la escasez de papel o tinta de impresión. Aun mas grave es la situación de algunos de sus empleados que reciben su salario de forma anormal llegando a pasar meses sin percibir una parte importante de sus honorarios, desmotivando a sus empleados en el desempeño en sus funciones y poniendo a sus jefes en una situación comprometida al no poder exigir moralmente un comportamiento adecuado a unos operarios que no son pagados correctamente. (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p 34 17

"Fiscalización ... En este momento existe una normativa interna de cómo realizar este tipo de inspecciones que se enmarcarían dentro de un marco más extenso en el que se contemplan otro tipo como los legales y económicos... en este sentido sería muy útil llevar a las empresas de explotación minera a la adopción de las normas internacionales de contabilidad...Esto a su vez supondría un paso importante para la determinación más correcta de las ganancias netas ...Es importante destacar que se empiezan a pedir una serie de documentos que se consideran esenciales para el departamento de fiscalización de la DGM." (CONSORCIO IEP IGME EPTISA PROPINTEC 2011) p 24

Indicator 7.4.2: Existence of on-going environmental monitoring through independent and transparent organisations

There is no legal basis for independent monitoring in the DR. The "Reglamento para el control, vigilancia e inspección ambiental y la aplicación de sanciones administrativas"

promulgated under the authority of the State, and applicable to the secretariat responsible for environment and natural resources states clearly that:

"Article 8: Authorised personnel from the Secretaria de Estado de Medio ambiente y recursos Naturales will be responsible for execute all actions related to monitoring, vigilance, inspection and environmental control necessary to ascertain the compliance with environmental legislation, environmental licences and permits, the implementation of project plans and other administrative dispositions."

That Secretariat is not an independent body. The extent to which that lack of independence is seen (in industry and in civil society) to be an impediment to socially responsible management of the environment or to any of the other component aspects relating to the impacts associated with the sectors covered by SYSMIN.

Furthermore, according to information obtained from the UTG-SYSMIN, "no project is being monitored externally".

The extent to which the lack of arm's length relationships is a barrier to sustainability and objective application of the law is beyond the scope of this evaluation.

Indicator 7.4.3: Institutional frameworks in place to support public participation

DR Law 64-00 concerning the scope and application of Environmental Impacts clearly forces a public participation process upon any EIA. That participation fits into a much wider concept of environmental accountability that involves the promoter, the State and any individual, community or organisation impacted upon by the proposed development project.

The following extract from a "Doing Business in the Dominican Republic" newsletter from 2009 published under the auspices of UNCTAD, identifies the essential logic chain leading to that participation.

"The legal framework that had provided for environmental protection in the Dominican Republic before the year 2000 was comprised of several special laws, presidential decrees, resolutions and administrative measures, which were often contradictory and lacked a truly scientific character.

In October 1999 a bill for a General Law on Environment and Natural Resources was submitted to Congress approval, to be passed as Law 64-00 on 18 August 2000. In addition, special laws in areas such as tourism, electricity and telecommunications, pay particular attention to environmental and socio-economic concerns associated with development.

...Under Law 64-00 the effective protection of the environment is placed as an essential duty of the State, which must for such purposes adopt an integral policy to be executed with the participation of all institutions related to natural resources and the public, as a way to concentrate all, until then scattered, efforts, and thus ensure the effectiveness thereof.

The State assumes the responsibility of protecting and restoring the environment, and shares it with society in general and with each individual in particular. In this manner, the law provides for the mandatory inclusion of environmental programs in all social and economic development programs.

Furthermore, the law recognises the principle of precaution by providing that "lack of scientific absolute certainty shall not be called as a reason not to adopt preventive effective measures in any activities having a negative influence on the environment".

Law 64-00 has a predominantly technical and scientific character. Therefore, the basic instruments for the establishment of environment policies are the studies of environmental impact evaluation and environmental reports. In this regard, any industrial activities undertaken in the country must be provided with an environmental license, which certifies that the respective environmental impact evaluation has been made, and that the activity, work or project may be carried out under the conditions set in the environment administration program established therein.

Resolution 05/2002 of the Ministry of Environment of 18 March 2002 creates the Regulations of Environmental Permits and Licenses, the Classification of Works, Activities and Projects, and the Procedures for Environmental Permits for Existing Establishments and for Studies of Environmental Impact. Environmental studies must be made by an interdisciplinary group of specialists, whose professional qualifications will depend on the nature of the study. These consultants must be registered with SEMARN.

After the environmental license or permit has been granted, the promoter must comply with the program of environmental management set forth therein, being subject in the event of non-compliance to the sanctions provided in the law.

Furthermore, *"the promoter is liable for all costs resulting from studies or reports, from the execution of mitigation measures and the environmental management program, and from any required publications, notifications, public participation in monitoring and public hearings."*

"Facilitar la participación y movilización de la ciudadanía en la ejecución de las políticas de medio ambiente y recursos naturales, y en el desempeño institucional de la Secretaría de Estado de Medio ambiente y Recursos Naturales (SEMARENA)" (Resolución 6/09 – Participación Social)

1.8. EQ 8: To what extent was the EC aid modality combination appropriate to the national context and the implementation of the EC development strategy?

JC 8.1 The choice of modalities has enabled the strategies of the CSP to have been implemented effectively with an appropriate geographical and sectoral distribution.

Overall analysis of JC 8.1

The choices of modalities has enabled the EC to disburse most of its planned funds in support of the strategic sector objectives set out in the various CSPs; however, a causal relationship between the modalities chosen and the effective execution of strategic objectives cannot yet be concluded. It therefore cannot be shown empirically and definitely that the most appropriate modality was chosen for the objective. Consequently, the analysis of the modalities associated with the specific objectives (and outcomes) of the CSP shows that the MOST EFFECTIVE modality was LIKELY selected.

On the whole, the data for this JC have proven to be elusive. The programme has been relatively successful in achieving disbursement targets (except for the period in which an adjustment had to be made while the Water and sanitation NIP was replaced with a macroeconomic sector support); therefore the EC has “disbursed funds in support of its strategic objectives”. The analysis in EQ1 noted that there was no system in place within the EC or externally that monitored the geographical distribution of EC beneficiaries, so the EC may or may not be meeting the needs of the poorest, the rural population which is in extreme poverty. Various JAR and MTR indicate that the planned use of funds within the CSP's largely corresponded with the strategic plans; few modifications or re-allocations were made except for the one noted. In fact, in EDF8 the social sectors (Education and Health) were originally allocated €26.5m, but finally were allocated €32.33m. Governance went up from €26.5 to €29.5m after reviews. These changes are relatively marginal compared to the €110m total budget. The EDF9 budget was, as noted, significantly changed as over a third was re-allocated. (Refer to Table 13 in this document). (I 8.1.1 and I 8.1.2). Nor has documentation been identified that shows where the EC had prepared ex ante analytical documents that identified the extent to which the choice of modality options would affect the strategic objectives (i.e. improve or hinder the achievement of the objectives) (I 8.1.3).

Analysis of indicators

Indicator 8.1.1: Geographical distribution of developmental effects of EC interventions (where have the beneficiaries been located, regardless of the nature of the benefit?)

The evaluation team has been unsuccessful in its search for geographically-referenced data concerning beneficiaries, other than projects that have a geographical scope such as the Northern corridor and a number of budget line and thematic interventions mostly executed by NGOs. These are mostly presented as geography-based (ex. the XYZ mine, or the ABC forest) but do not indicate any reference point other than the place of execution of the intervention. Information concerning the geographical distribution of the largest part of EC funding (i.e. to GBS and support for education) was not found, and discussions with both the EUD and the NAO office indicated that such spatial representation does not exist as of yet. The EC funded a part of a UNDP project to map poverty across the country but good results have not yet been provided. The EC is also in the process of preparing a monitoring and mapping programme with UNICEF but that has not yet started.

Indicator 8.1.2: Distribution of developmental effects of EC interventions by focal and non-focal sectors (where have the effects of sectoral-based interventions been located?)

This indicator is a refinement of I 8.1.1 in that it seeks to describe not only where the beneficiaries are located but the sector within which they have benefitted. While initial research looked promising in terms of the availability of data during the inception stage, further investigation indicated that the EC does not monitor the geographical distribution of its sector effects. The evaluation team concludes that the inherent attractiveness of being able to examine a spatially-related poverty or beneficiary map needs to be re-considered in light of the fact that the EC provides a very considerable part of its funding through budget support. (see 8.1.1)

Indicator 8.1.3: Evidence of analysis found supporting an EC analysis of the advantages of the selection of the most appropriate modality for a given objective

After a thorough search of EC documents, the evaluation team was not able to identify any documents that analyzed modality options for the achievement of strategic objectives. Interviews with the EUD indicated that the intervention design process provides for a number of stages where the most appropriate modality (in terms of what is being proposed) is examined. The evaluation team examined various internal approval-related documents and did not find any documented reference to an examination of options concerning modalities.

Indicator 8.1.4: Evidence of a dialogue with NAO concerning most appropriate modality

Interviews with the NAO office identified that the GoDR is directly involved in the determination of objectives and targets for interventions, and is “sufficiently” involved in the determination of the modality to be used. It does not generally get involved to any length in the mechanics of intervention approval on the EC's part. Discussions with Hacienda and other donors have indicated that the EC should re-examine the role of the NAO's office in terms of accountability and its “power or influence” over the ownership given to interventions by sector ministries. It has been reported that key policy and strategic issues that are of concern to the EC are not being discussed at the highest levels in part due to the organizational positioning of the NAO's office.

What is documented is that the NAO is part of the CSP and NIP development process and is a key figure in the consultation that takes place within the GoDR concerning the specific requests for support that will be transmitted to the EC. The institutional positioning of the NAO was part of the mandate of the evaluation, but the EC may consider opening the dossier in light of the preponderance of budget support (and its financial and policy aspects) that depend more on central ministry support, commitment and ownership than, say, projects.

JC 8.2: Implementation of chosen EC delivery mechanisms corresponded to the operational needs and capacity of the key stakeholders of the DR.Overall analysis of JC 8.2

The EC's emphasis on the use of budget support has been totally in line with the desires and development needs of the GoDR since it has allowed the country to use its own decision-making processes and administrative systems to manage what is, in effect, a source of additional funding.

The EC'S GBS has been focused on the targeted objectives of the MDG, demonstrably a priority among the needs of the population in terms of poverty. As a result of the BS the country is continuing to implement its deep PFM reform, again a priority for improving the transparency, effectiveness and efficiency of its national budgeting and expenditure management processes as well as improving its governance and accountability relationships. The use of that modality falls directly in line with the request of the country for greater autonomy in the use of cooperation funding. One weakness in the use of GBS by the EC is the low level of dialogue that has been implemented. Another is the reliability of the data that is provided on the achievements of the MDG targets themselves, at least for the majority of the years that are covered by the evaluation.

The sector-wide approach in education has also responded directly to the priority of the ministry responsible for education and the GoDR as a whole. When examined in the context of total spending in the country by the EC, the SB allowed the EC to both support the overall need for additional funding in the country (without imposing another layer of monitoring, administration and reporting) while at the same time supporting (in terms of funding but also the value-added provided by EC experience and expertise) part of the reforms urgently required in a key sector of importance to both the EC and the DR (education). In overly-simplified form, the former is hands-off in terms of EC oversight while the latter is more hands-on. The evaluation team proposes a hypothesis to the effect that by using this modality, the EC's SB has thus not only supported but facilitated the implementation of the country's national plans for education, which contains its programme objectives.

The project modality has been used as a final resort, i.e. for interventions where the GoDR was not in a position to efficiently manage initiatives that it nevertheless thought were important enough to implement through EC-driven administrative processes. Overall, that represents the position of the EC in its policy documents concerning the use of budget support and projects (refer to Guideline 1, "Guideline on the Programming, Design and Management of General budget Support" AIDCO, DEV and RELEX¹⁷³ publication, in which, for example, it is noted that project approaches should be used in cases where budget support is not efficient, such as where scarce resources are not normally held by the partner and need to be used on a one-off basis) (I 8.2.3 and the old I 8.2.4)

In the first few years covered by this evaluation, there were wide discrepancies between the commitments and disbursements from both a planned and an actual perspective. Those gaps have narrowed in the past few years, as should be expected in a country that is undergoing significant PFM reform and where budget support is being implemented more and more. Comparing the planned and actual disbursement patterns under the SBS and the GBS, the evaluation finds that the use of GBS and SBS has provided the GoDR with more predictable financing. (I 8.2.1).

Some of the information required to make a statement on this JC are not found in the documents widely available during a desk phase. The evaluation team will need on-site interviews and document research to provide findings concerning the perceived levels of flexibility that was perceived to exist in terms of capacity development and the sustainability under the various modalities. The same research will also help to shed light on the degree to which the DR, in the person of the NAO as well as through key NSA, participated in the choice of the modalities for selected developmental objectives. (I 8.2.5)

¹⁷³ Now DEVCO and EEAS.

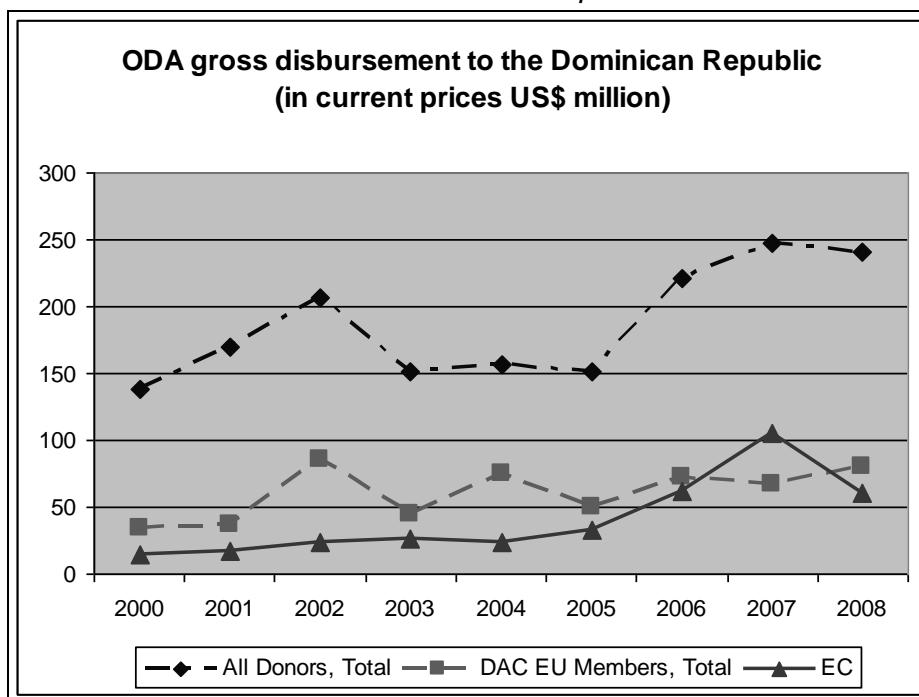
Finally, the documents point to the finding that both the political and policy dialogue mechanisms in which the EC has participated can be characterized as being very technical and not especially strategic. As noted by the 2009 JAR, until the end of 2009 there had only been one “formal” political dialogue meeting and it did not cover much of the strategies that had been agreed to between the EC and the GoDR. Only a few sector committees are working in the country and, assuming these are the primary fora for policy dialogue, are essentially focused on information sharing and progress updates. No documents were found that related to the policy dialogue on many of the non-focal sectors, including the development of the DR-Haiti border or the development of civil society. (I 8.2.6)

Analysis of indicators

Indicator 8.2.1: Degree of consistency between planned and actual commitments and disbursements of EC funding

The two diagrams below illustrate the EC' disbursements to the Dominican Republic in the 2000-2009 period as well as the allocations by focal sectors made in EDF8 (latter part), EDF9 and EDF10.

Figure 19: EC's disbursement to the Dominican Republic 2000-2009



Source: OECD data website, October 2010

Table 50: Allocations according to CSPs and MTRs (millions of €)

	EDF8 ¹⁷⁴		EDF9		EDF10	
	Initial	After review	Initial	After MTR	Initial	After MTR
Focal sector: Social (Education + Health)	26.5	32.33	54	54	-	X ¹⁷⁵
Focal sector: Water & Sanitation	26.5	21.2	53	-	-	-
Focal sector: State reform/ Governance	26.5	29.5	-	-	61.7	
Focal sector: Macro-economic Support/ BS	-	-	-	53	91.3	
Non-focal sectors	26.5	27.56	12	12	26	
Envelope B			57	57	15.3	
Total	110	110.59	176	176	194.3	
Out of which SYSMIN	23 ¹⁷⁶	23 ¹⁷⁷	30	20	-	

For MTR in EDF10: X means a change is foreseen but not yet programmed, - means a change is not foreseen according to oral information from DG DEV, blank spaces mean that no information is available yet.

Source: Based on CSPs/NIPs, MTRs and Country Level Evaluation 2000. Table prepared by evaluation team

The JARs offer a good analysis of the degree of consistency between commitments and disbursements. In the 2009 JAR it is noted:

Table 51: Individual commitments (contracting) 2009

Execution at 30/09/2009 (€m)	Forecasts reviewed on July 2009 (*)	Actual	% executed
Projects	6.89	2.83	41%
General budgetary support	0.00	0.00	-
Sector budgetary support	0.00	0.00	-
Budget support tropical storm Noel	7.45	7.45	100%
TOTAL Individual commitments	14.34	10.28	72%

(*) risk factor taken into account

Source: Joint Annual Reports 2009

¹⁷⁴ Figures taken from the CLE 2000, no EDF8 available to the consultants at the time of the inception report.

¹⁷⁵ MTR has not been published or completed at the time of the report but the consultants received oral information from the EC HQ to the effect that a SBS for education was planned to be included following the MTR.

¹⁷⁶ Allocation from EDF7.

¹⁷⁷ Allocation from EDF7.

Table 52: Disbursements 2009

Execution at 30/09/2009 (€m)	Forecasts reviewed on July 2009 (*)	Actual	% executed
Projects	15.26	10.12	66%
General budgetary support	11.05	11.10	100%
Sector budgetary support	8.95	0.00	0%
Budget support tropical storm Noel	7.45	7.45	100%
TOTAL Disbursements	42.71	28.66	67%

(*) risk factor taken into account

Source: Joint Annual Reports 2009

The JAR also notes:

“There is only one **global commitment** which has still to be signed by the end of 2009: Support Program for Public Administration (€8m). The program of Capacity Development for Sector Policies in the Area of Competitiveness was signed in 2008, however, only €5.1m of the initially foreseen €33m were committed, as the Quality Support Group decided to divide the EC's intervention in the area in two phases: the first focusing on capacity development (€5.1m) and a second potentially on sector budget support.

At 30/09/2009, 72% of all **individual commitments** foreseen for 2009 had been signed with 41% for traditional projects, accounting for the weighting of risk. Temporary commitments already registered, amounting to €4.8m, will complete the execution of the forecasts. The funds still to be contracted (RAC) were committed on time for those programs with a contracting deadline (D+3) of 2009 (Reconstruction of schools in the Eastern region, Disaster Prevention Program, Support Program for Regional Integration, General Budgetary Support and Sector Budgetary Support to Education).

Budgetary support **disbursements** forecasted in 2008 were executed in 2009. Disbursements for traditional projects have been executed quite satisfactorily at 30/09/2009 (66% of disbursements forecast), accounting for risk weighting. Closure of expired projects and de-commitments has been planned for the fourth quarter of the year (€6m ready for de-commitment as at 30/09/2009). Globally, the RAL of the EDF, which was €84m at 31/12/2008, has decreased to €66m at 30/09/2009.”

From the above it is clear that the EC has only reached levels of approximately two thirds of what it has planned to commit and disburse during 2009. Assuming that the constraints were lifted through better responses from the GoDR the vast majority of the variance could quickly evaporate. Including the Global commitment which had disbursed 0%. At the end of 2009, most of the funds in projects that had been contracted for had been paid within the planning frame (78%), and almost all of the funds contracted under thematic budget lines had been paid out.

The JAR 2008 shows a similar picture, with a massive surge in Contracting and payments but a relatively poor rate for commitments.¹⁷⁸

Table 53: Summary of financial implementation compared with the 2008 objectives (including the risk factor)

	National Indicative Programme Estimates (2008)	Execution	% Executed
Global commitments	€20.5m	€9.3m	45.4%
Contracting	€16.8m	€ 24.2m	143.7 %
Payments	€32.7m (*)	€29.3m	89.6%
De-commitments	€3.7m	€5.4m	145.8%

Source: Joint Annual Report 2008

The same pattern applies for 2004 to 2007: the rate of disbursements is relatively high for projects and for thematic lines, as is the rate of commitments. The decision to stop budget support in 2004 resulted in a temporary de-commitment which was quickly absorbed by the SBS in education which was disbursed relatively quickly thereafter.

Based on the above and the data that can be gleaned from the CRIS, a conclusion that could be reached is that, at least for the last three to four years, there is consistency between the amounts that were planned to be disbursed in a given fiscal year and the actual disbursements. There were obviously problems in committing and disbursing these funds, most of which attributable either to the slow pace of contracting for larger project interventions (most of these caught up the cash flow forecasted) or to the inability of the GoDR to present justification for commitments or for disbursements. It was not clear from the documentation available if the GoDR had had problems with the financial administration required for the GBS and SBS, or whether the cash flow (as distinct from year-end status) was as planned. Field research indicated that there were significant problems with the financial administration of budget support. The education ministry has had trouble preparing and presenting requests for disbursements and, in some cases, the EUD had to become quite involved in helping the ministry to prepare its required documentation (the initial request for disbursement from the ministry was barely one page long). In other cases, the GBS disbursements were held up because the EC did not receive the information it required to make a judgment concerning the attainment of conditionality targets on behalf of the GoDR. The capacity of the GoDR ministries was also tested recently when the EC asked for proposals for special MDG initiatives concerning a billion-dollar reserve as part of EDF10. One proposal per country was requested and, although many discussions have been held between the EC and various ministries on the preparation of the proposal, no such document has been prepared by the GoDR. On the other hand, the NAO's office and Hacienda have expressed the opinion that not only are EC processes difficult, unclear and prone to interpretation by EC officials in Brussels, they are perceived as being so lengthy and complex that the GoDR does not approach the EC for assistance if a need is identified that must be responded to in a relatively short period of time.

Indicator 8.2.2: Level of flexibility required for capacity development and sustainability actually encountered by interventions

The ROM and other documents relating to the specific interventions do not expand on this issue. Interviews with both project-related personnel and GoDR officials have not provided any insights into the issue either, most perceptions being in line with an overall assessment that the EC has provided not only the level of financial and technical support it had promised, but that the flexibility it could provide was a reflection of its contracting processes and

¹⁷⁸ JAR 2008 p. 18.

financial, contracting and project management constraints. Where sustainability may be an issue, it is not because the EC did not deliver as planned. In fact there are examples that show that the EC has been rather flexible in its overall strategies and plans (water sector and education. PAPSE, Bi-national Commission support). The evaluation concludes, however, that the EC should have been considerably more pro-active in engaging the GoDR on the issue of sustainability, even to the point where continued support would have been conditional upon some form of policy action from the GoDR. Part of the problem may also have been that the EC had consistently, in both EDF8 and EDF9, relied on process indicators to create an accountability framework within its various interventions. Recent performance accountability frameworks, however, are more results oriented, especially in EDF10.

As identified in I 8.2.1, individuals interviewed in the field (private sector, NAO, donors, ministries) noted that the EC's processes and procedures were cumbersome and complex and that in some cases opportunities were missed because of the EC's rigid budgeting/implementation structure (ex. for donor collaboration and competitiveness), but that overall, this rigidity was perceived as a given within any modality and stakeholders perceived that they needed to adapt to this reality since the EC was not "about to change".

Indicator 8.2.3: Degree of coherence between the modality chosen and the objectives sought in interventions

As will be seen in the following paragraphs, the EC wisely chose certain types of modalities to support the strategic and specific objectives that it sought with the GoDR. In this context, field research found that over the recent years, non-EDF financial instruments and mechanisms have begun to support and leverage the strategies outlined by the EC in its key EDF-related documents and have assisted the EC in developing national capacity. Examples include work with civil society and the environment.

This indicator is interpreted as the "extent to which a modality chosen is able to provide a means to achieve the objectives of any given intervention as also reflected by the value-added that the EC could provide". The question is a good one and care must be taken not to resort to circular logic in the form: "if a modality was chosen it was thus capable of achieving the objectives". Were there modalities that should not have been used? To properly analyze this issue requires not only data related to the modality and the objectives sought in any particular intervention, but data on the extent to which other modalities could have been used to achieve the same objectives and the ability of the EC to mobilize that (optional) modality for that purpose.

The possible modalities are: projects, budget support GBS or SBS), Governmental programme estimates support through impress accounts, supporting international organizations or MS, and grants. The use made of these modalities must be compared to the objectives at the strategic level and the intervention level.

A) Could GBS objectives have been better met with sector budget support or project modalities?

The answer to this question lies not in the specific deliverables but the strategic intent of the EC. The GBS is meant to support the GoDR in its own development as circumscribed by the MDG targets that it had generated as a result of national consensus¹⁷⁹. The main constraint to an outright transfer of EC funds to the GoDR treasury was the quality of the PFM in that country and the EC put in place mechanisms to support that. Project modalities would not have been appropriate and would have placed the responsibility for achieving the MDGs on contactors. In practice, some of the funds could have been specifically allocated for MDG targets or sectors, and this is precisely what the EC put in place with its SBS for education. That sector was a top priority for the country (and the EC agreed) and it was relatively well managed. The SBS allowed for closer monitoring of the use made of the funds, a management strategy that nevertheless left the ministry responsible for education accountable for results.

The CSP for EDF10 makes it clear that the EC expects the funding to support a number of sectors including the environment, food security, investment in people and non-state actors which, it notes, are also eligible for complementary support from other financial instruments and facilities and instruments. In that way the EC has created an environment where the GoDR can decide what to spend the funds on while, at the same time, obtaining complementary funding for related actions. That

¹⁷⁹ See CSP EDF10, particularly the Response Strategy (Chapter 5) and the Financial instruments sub-section, p. 32.

is very difficult to organize as a project or as sector-wide approach. In that light, the GBS can become very effective and efficient, if the EC and the GoDR monitor what is happening and apply the complementary support. We have not been able to find EC documents that explain this logic clearly or recommend implementing it in specific cases. Based on the above, the evaluation team could not identify any specific value-added that only the EC could bring to the table for the design or the implementation of GBS, except for the possible direct knowledge it might have with respect to regional integration and knowledge of European markets under the competitiveness umbrella. Given the relatively poor results obtained during the evaluation period with respect to DR-Haiti joint development, and the very short period of time in which the EPA had been in place before the end of the evaluation period, these vectors were judged to have had a marginal influence on this indicator.

B) Could the sector-wide modality objectives have been better met with GBS or Projects?

As seen in A) above, the specific objectives of the SBS in education are clearly spelled out, including deliverables, performance measures and targets. While it offers the EC an opportunity to intervene in dialogue exchanges and technical support (through the SBS but also through the Technical Assistance Facility), the EC has agreed that the reform in education was important and far-reaching, and could only be done internally. Thus the project modality would not have been appropriate except as a punctual support in highly technical areas such as the programming of the EMIS. The EC could have provided the funds to the GoDR through a GBS but, recognizing that the sector needed immediate support and external advice and guidance, opted for the modality that ensured that the funds would be spent in that sector and that assured the EC that it could closely monitor this important thrust. Moreover, the SBS provided a significantly open window for self-management of the reform to the ministry. The EC has brought a considerable amount of value-added to the sector table (committees and dialogue with the GoDR with respect to education. The choice of modality ensures that the GoDR assumes ownership of developments while the EC's expertise in the development of education systems (refer to European consensus on Aid) can be made available.

C) Could project-based objectives be better met with GBS or sector-wide modalities?

There is no clear answer to this question. Projects are necessarily much easier to control for the EC than the other modalities but they raise serious questions concerning the ownership by the GoDR. They also require more time to manage on behalf of the EC and may have a negative effect on the capacity of the GoDR in the future. The EC has engaged in infrastructure projects in the past and will continue to do so in the future (ex. Corridor Nord). It believes that it can manage these projects better than the GoDR including the negotiations and the technical QA. Given the current capacity of the GoDR in terms of technical ability, this may be accurate. The EC could, however, take a slightly longer term perspective and ensure that the GoDR is able to manage the entire project cycle through appropriate technical support and M and E mechanisms. This would take longer but would have the benefit of improving national capacity.

In other areas the opportunity for capacity development or other benefits is not so pronounced. The various civil society projects, for example, require an input of skills and knowledge that the CSOs do not have, and seeking to achieve the objectives through SBS or GBS does not make sense in the current context. The value-added that would (could) have been brought to the table to influence the project-based results depends on the project and its direct objectives. The EC has put into place a Technical facility that, inter alia can act as a promoter of EC value-added goods and services. The TA applied to assisting in the re-definition of the fiscal and business framework for trade competitiveness, for example, was clearly an example.

In light of the above, the evaluation team tentatively concludes that there is coherence (i.e. no obvious contradictions) between the modality chosen and the objectives sought. What is not so clear is the extent which budget lines, investment facilities and other funding mechanisms CAN be managed by the EC or by the GoDR in order to leverage the impact that could be brought about through the modalities. Is the funding to NGOs or the environment specifically complementary to the objectives specified by the EC in its modalities? Can the EC in DR orient the funding to improve on the overall impact achieved by a modality?

The analysis under I 1.1.2 describes the results achieved through a variety of mechanisms that are part of the EC's portfolio (ECHO, EIB, Intra-regional ACP, budget lines, etc.). Individually and as a group they show that the EC is involved in a wide range of activities in the DR. The evaluation team was not able, however, to find any document that analyzed whether one mechanism was more effective or efficient than another in meeting the objectives it sought. In some cases logic prevails: the EIB's objectives are much more clearly defined than are SYSMIN's, for example. The evaluation team

nevertheless has found that: given the recommendations in the previous evaluation for the country-level programme for the Dominican Republic, the relatively small number of officials in the EUD with decision-making authority and the need for the EUD to focus on a small number of sectors in order to have maximum impact, whether the number of modalities, instruments and mechanisms that will apply in the DR should not be reduced to only those that can be directly complementary to EDF-related objectives. This will be discussed with the EUD and the NAO in the field.

Could a programme-based estimate (impress accounts) approach have been more successful in achieving targeted objectives?

Interviews in the GoDR have indicated that the field experience there has shown that this approach has its limits due to the requirement of the GoDR to undertake activities that can only be reimbursed if the EC norms are satisfied. Moreover, a considerable amount of joint agreement and co-management is required in practice. Simple interventions can be undertaken if they require only straightforward activities such as purchasing a class of items, but the approach is simply overly administratively cumbersome for more complex mixes of inputs.

Can grants be used more?

Some interviewees indicated that they thought that civil society support is the key to change in the DR. Lobbying, advocacy and political pressure can be brought to bear on the government most effectively by the CS in that country for historical reasons they maintain. The example of a cement plant and the current pressure on the government to increase funding to education to 4% are given as examples.

But the management of grants is very labour intensive for the EC and requires a considerable amount of pre- and post-intervention administration. Moreover, it does not, strictly speaking, speak to ownership on the part of the government or of a partnership between the government and the EC. Again, the use of grants to civil society implies a reduction in the strategic use of political and policy dialogue with the country. Service delivery and governance cannot be relegated to the civil society through the use of grants to CSOs.

The EC has, admittedly over the past few years made many attempts to increase its support to civil society and to focus its capacity development in fewer and more "policy" oriented areas. With the current levels of funding in place from EDF and budget lines, and with the delegation granted to the EUD for the preparation of calls for proposals under the budget lines (recently in place), the evaluation team believes that the upper limits of funding levels may have been attained. Consolidation of acquired capacity and leveraging of capacities between and among CSOs would now appear to be strategic choices that should be made.

Indicator 8.2.4: Level of consistency between the modality chosen and the value-added that could be brought to the development objectives by the EC

This indicator has been integrated into I 8.2.3

Indicator 8.2.5: Level of participation of the NAO in the choice of modalities

The analysis under this indicator has been integrated into I 8.1.1 and 8.1.2

Indicator 8.2.6: Evidence of ownership in programme-based approaches through policy dialogue and political support for capacity development in key sectors

Note: much of the material required for this Indicator is similar to that required for I 3.2.2. Many of the same quotes have been repeated and, although they are adapted to this particular indicator, there will be duplication.

As a general statement, the context of EC development cooperation in the DR, where general and sector budgetary support are predominant, increases the need (and indeed

obligation) for a fluid **political** dialogue, but also of technical exchanges on policy in crucial areas such as poverty, education, macroeconomic policy, economic governance and public finances management.

Political dialogue in that context is formal and structured. In practice documents by the EC show that it has not taken place frequently (at least up to the end of the evaluation period). Non-technical dialogue meetings that were held were informative but not necessarily a dialogue. The EC noted, in one of its reports: “The challenge for subsequent meetings is to increase their relevance, addressing more sensitive subjects and those that could have a greater impact in the country’s sustainable development, such as human and minority rights, gender equality, safety of foreign investment, etc.”¹⁸⁰ Based on that quote, it would appear that the political structure has not taken “ownership” of an inter-governmental dialogue, or at least has decided that their ownership gives them the opportunity to diffuse their discussions with donors.

More generally, **institutional dialogue** between government representatives and donors is coordinated by the Directorate for International Cooperation of State Secretariat of Economic Affairs, Planning and Development, **taking place through sector meetings** organized by the government. These meetings and their follow-up are not as frequent as they could be: only those on education, competitiveness and public finances involve real sectoral or technical dialogue with the government.

Through the PAF that covers the GBS, the EC has instituted a monitoring mechanism that allows both it and the GoDR to monitor progress on what are essentially, but not only, process indicators on GBS commitments. This could provide the backbone for policy dialogue between the EC and the GoDR on PBA-related items, but the evaluation team was unable to find documentation that described that dialogue

Based on the above, we propose the hypothesis that “official policy dialogue” in the DR takes place mostly within a relatively short-term focus through committee structures (involving many donors). The EC would therefore have limited opportunity to dialogue bilaterally on policy except through technical cooperation initiatives and the occasional progress meetings.

As a consequence of the above, it would appear that the EC has not been able to take advantage of one of the key characteristics of budget support: i.e. its window of opportunity for the development of a policy dialogue which would be binding, through one means or another, on the GoDR and the EC alike. Since the EC identified the need and the requirement for that dialogue in its strategic documents, it must be concluded that the modality itself has been implemented only partially.

Since 2001, the EC has identified (in its CSPs) that its support would be concentrated in the following areas:

2001-2007:

Education: literacy, service delivery quality, teacher qualifications, geographic coverage, infrastructure and de-concentration. (this sector was the subject of an SBS after the MTR)

Water and sanitation: direct impact on health for the poorest, (this sector-wide strategy was abandoned after the MTR).

Civil society: improve participation in policy discussion. The CS focus was part of the water and sewer focus.

Mining and its various impacts on people and the environment.

Private sector support through regional programmes and budget lines.

2008-13

Governance and support for economic and institutional reforms (1/3 of Envelope A)

General Budget Support – directed at the MDGs (about half of envelope A)

Joint development of Haiti-DR border region (8% of Envelope A and part of Envelope B)

¹⁸⁰ JAR 2009.

Technical Cooperation Facility (4%)

The key issue that needs to be examined under this JC and indicator is the nature of the ownership that is created or influenced by the use of Programme-based approaches by the EC and the key dialogue strategies that are used to create and manage that relationship. The European Parliament report found that for the Dominican Republic, the EC's decisions to initiate, or continue, budget support programmes were largely influenced the practice of the EC to use GBS wherever possible as a default position and by the examination of national control mechanisms to provide some form of risk management. Its analysis also drew on the importance that other donors were attaching to PFM assessment and reform for capacity development and process re-engineering, including the assessment of budgetary, accounting and procurement systems and the capacity of related organizations such as the Supreme Audit Institute (SAI) of the country, the Chamber of Accounts (CoA). In reality, the EC also decided to continue its use of PBS-based mechanisms because of its positive experience in SBS in the education sector where, it maintains, the responsible ministry had assumed the key leadership role and was now in a position to demonstrate "ownership". Part of that perception is undoubtedly due to the perceived quality of the national education plans and its monitoring (a demonstration of ownership) and the on-going technical discussions that had been held for years in the sector committee dealing with education, attended by the ministry.

The subject matter for policy dialogue in the case of BS is generally linked to the domains covered by the interventions in question, and the framework of BS "conditionality" is usually agreed upon in a so-called Performance Assessment Framework (PAF) which forms the backbone for monitoring developing partner performance. In practice, an ongoing dialogue based on the achievement of the targets set down in the PAF forms a powerful opportunity for donors to adapt to challenges and for development partners to use the value-added of the donors to seek ways to ensure the success of the objectives. In the case of the Dominican Republic, a pro-governance and transparency legal and institutional framework, along with a continuing PFM reform process are the main national control mechanisms that donors assess in order to help define what the content of their policy and political dialogue should be under general budget support. In the same vein, the technical dialogue that continues in the education sector is the main means to obtain information concerning the priority for policy dialogue. Both in the use of GBS and BS, the EC's policy concerning budget support mechanisms clearly identify that the use of national-based systems will develop the capacity of national systems. The use of budget support, therefore, is an appropriate strategy for increasing local capacity, an objective stipulated both in overall EC policy and the EC's CSPs in DR.

The GoDR has not always responded positively to the imposition, by the EC, of control frameworks or the requirement for dialogue on policy issues. "In the **Dominican Republic**, since the recovery from the 2003/2004 crisis, macroeconomic indicators such as gross domestic product (GDP) growth, inflation, debt, fiscal balances, international reserves ratios or foreign direct investment (FDI) have been a guarantee of donor ODA disbursements to the Dominican Republic. The EC, however, stopped the disbursement of budget support in 2008, officially due to insufficient attention of the government to the macroeconomic situation but also likely because the EC felt that the GoDR was not paying enough attention to EC conditions and disbursement criteria. However, the policy dialogue and the approach of the government of the Dominican Republic have since improved and were assessed positively by the EU Delegation".¹⁸¹ It would be logical to conclude that if the GoDR did not continue implement the agreement to enter into on-going dialogue to which it had once agreed, then that would imply that it took "ownership" of the relationship between it and the EC. Our hypothesis is that part of the reason for the "Improvement" in the dialogue context is precisely the fact that the GBS focus is on such high-level management issues.

In terms of a policy dialogue between the GoDR, the EC and civil society, The European Parliament's Report cited earlier under EQ3 noted that: "In the Dominican Republic, CSOs

¹⁸¹ P. 27.

are increasingly becoming more interested in transparency and budgetary oversight". The results of our research under EQ4 show that the GoDR has begun to put into place a legal and regulatory framework that would recognize the role of CSOs in the DR. Those actions are clearly initiatives by the GoDR to take (or at least share) "ownership" of State-society dialogue, and the EC has been active in supporting this momentum, albeit in an uncoordinated manner and not directly with PBA-based approaches. In fact, it has primarily been active in supporting CSO-related initiatives that can be considered to be geared towards increasing capacity. As will be seen below, it is not clear whether the EC has engaged the GoDR in policy or political dialogue on the issue

The following, concerning the EC's assessment of the extent to which the GoDR has involved the EC in a budget support-related political and policy dialogue on economic and fiscal issues, is an extract from an internal EC document dated July 2009 concerning the political/policy dialogue associated with GBS 9 ACP¹⁸²:

Compared to the rather timid performance against this condition in the context of the previous disbursement in June 2008, significant developments have taken place during end 2008 and 2009: closer cooperation with IMF in the context of the PPM review, presentation by DR government of economic, social situation and macroeconomic policy and first Cotonou political dialogue meeting in February 2009.

The response provided to the NAO initially seemed to concern itself with the progress political/policy dialogue, but focuses on administrative process improvement (and not policy dialogue issues per se)¹⁸³. However, it is clear from the above that the GoDR had begun to widen the network of its key development partners from those primarily involved in macroeconomic support to broader interface concerning policy. The 2003 CAS noted that the GoDR was often late in delivering on its commitments. The latest CAS notes a significant improvement. This, it is argued, constitutes a maturing and thus a demonstration of "ownership".

Quisiera destacar la importancia y la necesidad de seguir profundizando en el diálogo político sobre la situación macroeconómica y la reforma de las finanzas públicas. En este contexto, valoramos positivamente el informe sobre la reforma de la administración financiera recibido del Secretario de Estado de Hacienda a comienzos de mayo 2009.

The preceding two extracts should be considered in parallel with the following description of the "four conditionalities for payment of the financing agreement", as stipulated in a note to the Director of AIDCO dated 19 May 2009. Note the emphasis on "political" dialogue...

¹⁸² Page 3.

¹⁸³ Letter to NAO dated 6 July 2009 on 9 ACP DO 17; FA 9526/DO.

*The GoDR shall involve the EC in a budget support related **political dialogue on economic and fiscal policies**, through extending an invitation to participate in the Government's final de-briefing with IMF review missions, organising specific presentations and discussions on the processes of budget preparation, budget execution, sectoral and general development-related policies (beyond the bi-annual joint budget support reviews).*

During their first post-programme monitoring mission the IMF team did indeed meet with the EC Delegation and even provided it with an assessment letter on 8.12.2008 (attached). Furthermore a political dialogue on economic and fiscal policies was effectively launched in February 2009 with the first formal Cotonou agreement political meeting dialogue effectively took place on February 2009. At this occasion DR government the Minister of Economy and Planning did present to the EU Ambassadors DR the economic and social situation and did share information about DR macro-economic policy.

Finally the same Minister recently agreed to organise a meeting with DR major development partners IDB, EC, WB and UNDP to present them the status of preparation of the National Development Strategy which is in course of preparation.

From the preceding it can be observed that there is no mention of any discussion of joint EC-GoDR strategies included in the CSP, nor is there any mention in the note to any EC-specific policy dialogue (as opposed to political dialogue).

During a phone interview with the previous EUD coordinator for this evaluation, it was shared that there is no formal (EC-GoDR) documented long or mid-term strategy for policy dialogue (i.e. containing elements of content and the objectives to be achieved through the dialogue), nor is there an (internal-to-EC) long-term strategy or agenda for conducting policy dialogue other than through the technical discussions that take place concerning the GBS or Sector BS. In that light, the corollary is that there would not be a strategy to specifically increase the level of "ownership" either.

That being noted, the 2009 JAR goes to some length of describe progress achieved in policy and political dialogue (any emphasis in the following text has been added—Authors):

"Relations between EU Delegation and the Directorate-General for Multilateral Cooperation (DIGECOOM) are fluid. The context of EC development cooperation, where general and sector budgetary support are predominant, increases the need for a fluid **political** dialogue, but also of **technical exchanges** in crucial areas such as poverty, macroeconomic policy, economic governance and public finances management. The coming into effect of an EPA with the region is another basis for developing a culture of comprehensive dialogue with the government.

Political dialogue between the EU and the Dominican authorities has a formal structure and requires some planning, in the framework of Article 8 of the Cotonou Agreement. During 2008, the EC conceived a strategy to strengthen this dialogue. A structure of formal high-level meetings every six months was decided upon, preceded by technical preparatory meetings. A first joint meeting between the EU Troika and the Secretary of State of Economic Affairs, Planning and Development, Temístocles Montás, produced a list of topics to be discussed at **the first formal political dialogue meeting, which took place in March 2009**. The Dominican presence was high-level: two Secretaries of State (Economic Affairs, Planning & Development and Foreign Affairs), several Undersecretaries (including Finance) and the National Authorizing Officer. Matters discussed were the global financial crisis and its impact on the country, as well as the implementation of the EPA (agenda item) and

budgetary support (not on the agenda). **The challenge for subsequent meetings is to increase their relevance, addressing more sensitive subjects and those that could have a greater impact in the country's sustainable development, such as human and minority rights, gender equality, safety of foreign investment, etc.**

More generally, **institutional dialogue** between government representatives and donors is coordinated by the Directorate for International Cooperation of State Secretariat of Economic Affairs, Planning and Development, **taking place through sector meetings** organized by the government. These meetings and their follow-up are not as frequent as they could be: only those on education, competitiveness and public finances involve real sectoral dialogue with the government.....

Other spaces for dialogue and collaboration are being opened in the areas of public finances and budget monitoring (accountability), as an outcome of the program of support to public finances (through PBAs). Also, in the framework of the mid-term review, two workshops were organized to involve the broad spectrum of civil society, and approximately 60 organizations took part. The resulting recommendations were recorded by one of the participants, and have been integrated into this document. Finally, as part of this consultation process, a space was opened in the EU Delegation's website for organizations to voice their opinions, although with limited success, as there was little interest in using this tool.¹⁸⁴

From the JAR 2009, a number of observations can be made concerning the related issues of ownership and dialogue:

1. There is a considerable amount of overlap in the use of the terms that relate to dialogue: political, policy and institutional as well as a generic use that refers to exchanges such as that described for civil society. The descriptors used essentially refer to the process and content and not the objectives of the dialogue.
2. Political dialogue in the DR context is formal and structured and is a lead-in or a venue for negotiation. There is very little evidence of political dialogue being a strategy for "ownership". See below point 3
3. Political dialogue takes place at high levels and occurred once (formally) during EDF9.
4. Policy dialogue is technical and takes place at lower levels, mostly within technical sector committees.
5. The policy and political dialogue seeks to address the strategic issues included in the CSP (notably poverty, sustainable development, sector issues in education and the role of civil society).

¹⁸⁴ JAR 2009, pp. 20-21.

JC 8.3: Strategic-level management and developmental risks inherent in the use of various modalities are incorporated into programme-level decision-making so as to improve the likelihood of success and sustainability.

Overall analysis of JC 8.3

Initial research points to a statement on this JC that contends that strategic-level management and developmental risks inherent in the use of various modalities were not systematically incorporated into programme-level decision-making so as to improve the likelihood of success and sustainability. Because of the relative weakness of the risk assessments and their poor integration into on-going management, the EC programme there could be at a greater risk than it needs to be and the EC (as well as its development partner) are forced into a reactionary mode (rather than being pro-active) when dealing with unforeseen events or poor performance levels.

Generally, the EC has not ensured that baselines or robust M and E systems are in place that would enable rapid responses to changing conditions or to mitigate against foreseen or unforeseen risks. A significant part of the problem lies in the systems used by the development partner, but part is also the planning process of the EC that often falls short when it comes to establishing baselines and installing robust data gathering mechanisms that go beyond inputs and some outputs. (I 8.3.1)

Risk analyses are not rigorous and are not part of agreements or implementation plans. The risk management mechanisms in place are not well enough defined to ensure that protocols are agreed to and executed in a timely manner. The EU Cour des Comptes has confirmed this overall finding in its 2010 Audit Report Number 11 “The Commission’s management of General Budget Support in ACP Latin America and Asian countries”, especially with respect to fiduciary and development risks. Although that report does not specifically mention the DR in this context, the analysis done through this evaluation (refer to JC 8.3 in Annex1) is clearly in keeping with the audit report. (I 8.3.2)

At this point, it is not known how or even whether, the EC and GoDR engage in joint monitoring and evaluation of risks.

Analysis of indicators

Indicator 8.3.1: Existence of adequate baseline data and M&E systems as basis for programming, design and informed decision-making

As noted in the analysis of each and every evaluation question, monitoring and evaluation systems were non-existent to quite poor during the period covered by the evaluation. The EMIS is still not fully functional, the MDG statistics themselves are questioned by the major donors and the EC’s own systems for monitoring are late and partial.

Documents obtained show that the education sector baselines were in place insofar as standard performance ratios are concerned¹⁸⁵, although the information on learning effectiveness, regional access, inclusion of immigrants and other key planning tools was missing or questionable.

The PFM reform and the work being done on reporting systems point to the weakness of data and systems to monitor the execution of service delivery (as an output) or even expenditures (as an input) in a way that could possibly inform decision-making.

As noted in EQ1, discussions with the EUD and with the EC in Brussels clearly show that the planning process leading to the definition of strategies is not rigorously placed in a knowledge data base for retrieval at later dates. It is not clear how the EC strategic planners developed the strategies and objectives that are outlined in the CSPs, at least from the point of view of establishing baselines. What is clear is that these are not included in the performance framework of the CSP (with the exception of high-level MDG indicators).

¹⁸⁵ Refer to EQ2.

The evaluation team has reviewed the extent to which the EC systematically requires baselines for all of its interventions (all modalities) in the DR. It specifically examined non-EDF interventions to get a grasp on the extent to which not only objectives and targets were specified, but the baseline upon which performance would be based. In this way, the ability of the modality chosen to provide a measurable response to strategic needs (as assumed by the EC) was partly measured. The evaluation found that baselines are not well established for any modality. Part of the reason may be that performance indicators were often found to be process oriented during the evaluation period. Another reason may be that objectives are not often stated in precise and evidence-based terms and so a baseline may not be required. Whatever the reason, the lack of a baseline plays against the EC's stated policy on results-based management.

A clear case of the proceeding is capacity development. The evaluation team looked at a number of initiatives that contained significant components on CD. There was not one example where competency-based baselines or targets were identified, and the majority of "capacities" were stated as "abilities" or "organizational processes" a very real and important difference. (Refer to literature review of capacity across donors and other development stakeholders in a JEU-sponsored evaluation methodology development mandate. Desk Report deposited July 8, 2011¹⁸⁶)

Indicator 8.3.2: EC sector support programmes include risk management measures

Interviews with DGDEV (early 2010) and the EUD (early fall 2010) indicated that documents containing these specific types of ex ante risk analyses did not exist per se in the files in Brussels or in the field. When the topic is broached at all, it is done within other types of documents (mission reports, MTRs, etc.) and is not detailed. CSP strategies, for example, are based on perceived needs of the country (as defined by the GoDR) and not on clearly defined deliverables, so risk analyses within strategic documents would have to be undertaken at a relatively high level, but even these are not always there. Close analysis of the CSPs for EDF9 and EDF10 indicate that the "Operations Framework and Performance Indicators" Annexes do not have a credible set of assumptions and those that are written are overly vague or relatively evident (ex: Donor resources continue to flow", found in EDF10 CSP, Section 1.6.2 p. 37, or "sound macro-economic management" in section 1.5.2 on p. 39). None or few assumptions have been identified under the "results" row where risk would be the focal point.

An interesting note to the above is the paragraph spelled out in the section of the 2009 JAR that refers to proposed adjustments to EDF10¹⁸⁷. In proposing a change, it notes that:

"The risk associated with this strategy is considered to be rather high. Against the background of a chronic gap in the country between the word and the deed, the implementation of the new national development strategy might prove tougher than expected confronting an economic situation much worse than initially admitted. Other factors might also have a possible high impact in the rhythm of the necessary reforms: 2010 will see very hard fought legislative and municipal elections, which could monopolize and distort the government's efforts and attention.

More specifically, in response to the needs identified in the country analysis, the main objectives of the EDF cooperation programme for the Dominican Republic in the period 2010-2013 are twofold: greater social and regional cohesion and strengthening the governance of the country. EDF cooperation will thus be concentrated on two focal sectors: budget support for promoting poverty eradication, foster social, human development and social cohesion, on the one hand, and consolidating governance and support for institutional and economic reforms, on the other."

While very useful in and of itself, the information remains at a conceptual level and does not speak to consequences of the risk on the programme (or to mitigation). In fact, the report identifies that the country does not have a development strategy, proceeds to indicate that public financial management is weak, indicates that reporting mechanisms from the GoDR are very poor and not trustworthy and then suggests the continued use of GBS, without indicating mechanisms to ensure accountability.

Our analysis of documentation concerning the planning and approval of interventions within the EDF-based and non-EDF-based modalities show that risk management is covered at high levels only. The

¹⁸⁶ Contact irdc@sympatico.ca for a copy of the literature review.

¹⁸⁷ JAR 2009 p. 24.

critical conditions are generally focused on a response scenario of the GoDR and never deal with process or the fact that the results chain may not have been well designed. Risk management often takes the form of oversight committees whose role is to monitor and adapt, but the evaluation team did not find examples of the detailed protocols for doing that. The evaluation team did not, however, have access to the analysis carried out under budget lines or ECHO. From past analyses, it is assumed that the EIB conducts detailed risk management analyses.

The evaluation team found that structured analyses of risk associated with the strategies selected as responses to national needs were not generally available and, where such documents existed, were superficial or incomplete.

The only EUD-level risk assessment reporting tool that was found by the team is the “Risk Analysis in Delegation – MP 2010”. While the report format itself corresponds to the main items that are required for risk assessments by most donors, the information itself is not explicit and the risk description as well as the mitigation suggestions are overly general.

Ex:

1. “Fragile technical capacity on IT issues in the delegation may hamper effectiveness of activities, including on critical deadlines”. As a risk descriptor, this sentence fails to identify the consequences of the risk.
2. “The Delegation will support PFM processes together with other donors”. This mitigation “action” is not, in fact, a mitigation action at all but a general statement of intent. No specific actions are spelled out, and there is no indication of the effect such an action might have on the impact of the original risk that was described.

While performance monitoring is an inherent part of all EC administrative processes (see for example the “Note of the delegation 00485 of 19/5/2009 on the GBS ACP DO 017”) the practice is to compare progress against plans. In fact, a marginal note added to that report notes “Agreed. However, DR situation requires close follow-up on both PFM and PRSP”; one could ask why a plan to do just that was not included in the document or an annex to it. We therefore hypothesize that monitoring reports concerning future risks and adjustments required to plans as a result of the risks are a rarity.

Finally, the evaluation team looked for documents that would indicate that the EC would be in a position to choose BETWEEN modality options on the basis of the likelihood of success being greater for one modality rather than another. It could not identify any such document.

Indicator 8.3.3: Level of interventions by mechanisms to manage mitigation and/or remedial actions to reduce negative influences and impacts

In light of the analysis under I 8.3.2, this indicator has been discarded.

Indicator 8.3.4: Evidence of timely use of joint monitoring and evaluation information (of risks)

The field research carried out by the evaluation found that the EC, the GoDR and other key stakeholders did not engage in joint risk assessments or rigorous joint risk monitoring.

2. INVENTORY OF PROJECTS IN THE COUNTRY

EDF									
ID		Name of project	Finances			Status	Duration		
CRIS code	Country code		Commitment	Contracted	Disbursement		Start date	DLE	Closing date
EDF/2010/022-276	-	General Budget support to fight against poverty	61.000.000,00	0,00	0,00	PO			
EDF/2010/022-202	-	Sector Budget Support for the National Plan for Systemic Competitiveness	22.900.000,00	0,00	0,00	PO			
EDF/2009/022-079	-	10th EDF Programme: Non State Actors and Local Authorities for Development	0,00	0,00	0,00	PO			
EDF/2009/021-944	-	PAPSE II - Sector Budget Support Education Phase II	0,00	0,00	0,00	PO			
EDF/2009/021-799	10/ACP/DO-009	Support programme to the public administration and management reform	8.000.000,00	0,00	0,00	EG			
EDF/2008/020-588	-	Support programme to the public administration reform	0,00	0,00	0,00	CA	-	-	-
EDF/2008/020-377	10/ACP/DO-001	Technical Cooperation Facility - TCF	4.200.000,00	1.897.159,03	962.129,79	EC	11.12.2008	22.04.2014	-
EDF/2008/020-376	10/ACP/DO-002	Capacity Development for Sector Policies in the Area of Competitiveness	5.100.000,00	968.951,17	481.000,49	EC	11.12.2008	24.03.2016	-
EDF/2007/018-853	9/ACP/DO-015	Strengthening the national capacity for disaster prevention	6.500.000,00	6.423.648,66	5.932.648,66	EC	25.07.2006	20.09.2012	-
EDF/2007/018-852	9/ACP/DO-013	Reconstruction of schools in the Easter Region of DR	1.960.000,00	1.853.211,14	1.315.700,99	EC	23.06.2006	30.06.2012	-
EDF/2007/018-831	9/ACP/DO-018	PAPSE Sector Budget Support Education Phase I	63.530.000,00	63.530.000,00	39.450.000,00	EC	27.11.2006	31.12.2012	-
EDF/2007/018-826	9/ACP/DO-014	Institutional Support Programme for Regional Integration	4.586.000,00	4.236.640,48	2.451.037,63	EC	31.08.2006	31.12.2013	-
EDF/2007/018-825	9/ACP/DO-017	Budget Support for Poverty Reduction	33.374.944,60	33.374.944,60	33.374.944,60	CL	09.10.2006	31.10.2011	24.12.2009
EDF/2007/018-824	9/ACP/DO-020	Reconstruction of Road and Bridge Infrastructures Damaged by Hurricane Jeanne	10.000.000,00	8.842.806,95	4.463.803,66	EC	22.08.2007	31.12.2013	-
EDF/2006/017-928	9/ACP/DO-011	Institutional Support Programme for PFM	10.000.000,00	9.880.706,62	6.455.739,60	EC	20.12.2005	30.06.2012	-
EDF/2005/017-753	9/ACP/DO-010	Support to the Education Sector	3.343.344,10	3.143.219,10	2.950.140,15	EC	22.09.2005	30.06.2011	-
EDF/2005/017-752	9/ACP/DO-009	Civil Society Programme (PRIL)	7.000.000,00	6.831.404,98	5.551.665,88	EC	11.05.2005	30.06.2012	-
EDF/2004/016-593	9/ACP/DO-008	Technical Cooperation Facility	2.214.000,00	2.213.777,78	2.213.355,03	EC	10.05.2004	31.10.2010	-
EDF/2003/016-528	9/ACP/DO-007	TA for interinstitutional coordination of external trade STABEX	2.005,71	2.005,71	2.005,71	CL	20.12.2003	01.06.2006	16.09.2004
EDF/2003/016-430	9/ACP/DO-006	Support to the mining sector, SYSMIN II	19.978.385,81	18.083.272,55	12.180.497,45	EC	30.03.2004	31.12.2012	-
EDF/2003/016-329	9/ACP/DO-005	Prep. FP for programa de iniciativas locales	19.739,67	19.739,67	19.739,67	CL	26.08.2003	28.02.2006	09.12.2005
EDF/2003/016-327	9/ACP/DO-004	Feasibility and identification study for the education sector of EDF9	147.024,15	147.024,15	147.024,15	CL	10.09.2003	30.11.2006	09.12.2005
EDF/2003/016-277	9/ACP/DO-002	Study on the dairy sector	73.214,29	73.214,29	73.214,29	CL	01.07.2003	01.08.2006	05.09.2005
EDF/2003/016-249	9/ACP/DO-001	Support to the NAO office	644.272,60	644.272,60	644.272,60	CL	25.08.2003	31.12.2009	09.12.2008
EDF/2003/016-232	8/ACP/DO-038	Financial sector gl ii b (21993) (see also 8 do 36)	3.440.000,00	3.440.000,00	0,00	EC	31.03.2003	28.07.2009	-
EDF/2003/016-199	-	Support to the NAO office	0,00	0,00	0,00	CA	-	-	-

EDF (continued)									
ID		Name of project	Finances			Status	Duration		
CRIS code	Country code		Commitment	Contracted	Disbursement		Start date	DLE	Closing date
EDF/2003/016-146	8/ACP/DO-036	Finacial sector gl ii a (21889)	4.510.000,00	4.510.000,00	0,00	EC	23.12.2002	28.07.2009	
EDF/2002/016-117	-	Feasibility and identification study for the education sector of EDF9	0,00	0,00	0,00	CL	-	-	-
EDF/2002/016-096	8/ACP/DO-034	Seminar - Componente salud y nutricion curricula escolar	3.688,04	3.688,04	3.688,04	CL	31.03.2003	31.07.2003	21.12.2004
EDF/2002/016-094	8/ACP/DO-033	Feasibility and identification study	145.955,01	145.955,01	145.955,01	CL	01.02.2003	31.07.2003	24.06.2004
EDF/2002/015-999	8/ACP/DO-032	Plan de desarrollo educativo (PLANDE)	46.335,34	46.335,34	46.335,34	CL	30.10.2002	30.06.2003	21.12.2004
EDF/2002/015-856	-	Study - Programa binacional de lucha contra VIH/SIDA	0,00	0,00	0,00	CL	-	-	-
EDF/2002/015-771	8/ACP/DO-027	Programme Micro-projects II	7.000.000,00	6.934.634,02	6.908.493,45	EC	06.02.2002	05.02.2011	-
EDF/2001/015-722	8/ACP/DO-030	Project finalisation mission "Support to the NAO"	12.835,16	12.835,16	12.835,16	CL	03.12.2001	02.01.2002	03.10.2002
EDF/2001/015-693	8/ACP/DO-029	T.A. - IV Forum de la Micro-Entreprise (BID - Nov 2001)	76.372,66	76.372,66	76.372,66	CL	06.11.2001	05.12.2001	27.03.2006
EDF/2001/015-644	8/ACP/DO-028	Banco Ademi S.A. Global Loan IV (21208)	15.000.000,00	15.000.000,00	15.000.000,00	CL	22.05.2001	31.12.2004	08.01.2003
EDF/2001/015-395	8/ACP/DO-026	Commercial banks financial facility (20918)	188.121,78	188.121,78	163.159,46	EC	09.01.2001	28.07.2009	03.06.2004
EDF/2001/015-369	8/ACP/DO-025	Commercial banks financial facility (20883)	544.018,63	544.018,63	544.018,63	CL	18.12.2000	31.12.2002	24.08.2006
EDF/2000/015-347	8/ACP/DO-024	Pilot project collection solid waste in marginal district Santo Domingo	463.673,69	463.673,69	463.673,69	CL	30.11.2001	31.12.2004	09.12.2005
EDF/2000/015-286	8/ACP/DO-023	Integrated prevention system of illegal drugs use	218.942,39	218.942,39	218.942,39	CL	01.07.2001	30.06.2005	25.04.2006
EDF/2000/015-268	8/ACP/DO-022	Support Programme for small enterprises PROEMPRESA	17.880.000,00	8.496.546,45	8.478.278,56	EC	31.12.2001	31.12.2009	
EDF/2000/015-248	-	Support to the NAO for programming of EDF9	74.634,91	0,00	0,00	CL	-	-	-
EDF/2000/015-052	-	Support to the selection process of international TA for PARME	0,00	0,00	0,00	CL	-	-	-
EDF/2000/014-947	8/ACP/DO-021	Project to promote competitiveness in the banana sector	1.502.296,58	1.502.296,58	1.502.296,58	CL	01.04.2001	31.05.2006	22.04.2008
EDF/2000/014-928	8/ACP/DO-020	Eligibility study for support by SYSMIN and financing proposal for SYSMIN EDF8	344.421,74	344.421,74	344.421,74	CL	01.08.2000	30.04.2001	10.05.2005
EDF/2000/014-915	-	Elaboration of ToR for the Action Plan Rio Yaque del Sur	9.732,20	0,00	0,00	CL	-	-	-
EDF/2000/014-901	8/ACP/DO-019 + 9/ACP/DO-016	Development of technical and professional education	13.494.000,00	13.490.479,92	13.406.482,27	EC	01.07.2001	31.12.2009	
EDF/2000/014-862	-	Supervision distribution of furnitures	22.000,00	0,00	0,00	CL			06.10.2006
EDF/2000/014-835	-	Impact study of EDF projects	25.594,26	0,00	0,00	CL	-	-	-
EDF/2000/014-820	8/ACP/DO-018 + 9/ACP/DO/012	Environmental rehabilitation of marginal barriers Santo Domingo	20.527.579,30	20.527.579,30	20.527.579,30	CL	31.10.2001	31.10.2006	15.02.2007
EDF/1999/014-674	8/ACP/DO-017	Reconstruction/ rehabilitation of road infrastructure in SW Region	4.825.764,63	4.825.764,63	4.825.764,63	CL	01.07.2000	31.10.2004	09.12.2005
EDF/1999/014-650	8/ACP/DO/014	Support to the state reform and modernisation	27.551.094,67	27.048.584,28	27.071.420,78	EC			
EDF/1999/014-559	8/ACP/DO-016 + 9/ACP/DO/019	ECHO/DOM/254/1999/01000-Evaluation/ monitoring in DR (regie d' avance)	174.485,16	174.485,16	174.485,16	CL	23.07.1999	08.05.2002	
EDF/1999/014-547	-	STABEX 98 - Fresh bananas	0,00	0,00	0,00	CL	-	-	-
EDF/1999/014-511	7/ACP/DO-052	Immediate support for national programme for state reform and modernisation	2.214.915,00	1.537.133,00	1.345.306,00	CL	05.05.2000		23.03.2005
EDF/1999/014-486	8/ACP/DO-013	Reconstruction of schools for basic education	3.359.829,72	3.359.829,72	3.359.829,72	CL	01.01.2000	01.06.2005	12.01.2007
EDF/1999/014-394	8/ACP/DO-012	Cde power emergency measures (20595)	9.000.000,00	9.000.000,00	9.000.000,00	CL	01.01.1999	31.12.2001	26.04.2005
EDF/1999/014-353	8/ACP/DO-011	Reconstruction of road infrastructures destroyed by hurricane Georges	73.125,67	73.125,67	73.125,67	CL	15.04.1999	14.08.2000	29.01.2001
EDF/1999/014-318	8/ACP/DO-010	Banco Ademi S.A. Global Loan III B (17753)	170.954,91	170.954,91	170.954,91	CL	01.01.1999	31.12.2001	18.05.2001
EDF/1999/014-307	8/ACP/DO-009	Procurement of TA for strengthening of the health system programme	11.142,87	11.142,87	11.142,87	CL	05.06.1999	16.06.2000	27.06.2000
EDF/1999/014-261	8/ACP/DO-008	Reconstruction of schools damaged by hurricane Georges	66.855,23	66.855,23	66.855,23	CL	30.01.1999	29.07.2000	15.01.2001
EDF/1999/014-243	8/ACP/DO-007	Rehabilitation programme in SW region	1.797.927,87	1.797.927,87	1.797.927,87	CL	01.02.1999	15.04.2004	29.11.2005
TOTAL EDF			399.349.228,35	286.177.703,53	234.408.265,47				

Regional EDF (including assistance to DomRep)									
ID		Name of project	Finances			Status	Duration		
CRIS code	Country code		Commitment	Contracted	Disbursement		Start date	DLE	Closing date
EDF/2010/022-737	na (EDF10)	CSME and Economic Integration	0,00	0,00	0,00	PO	n/a	n/a	n/a
EDF/2009/022-088	na (EDF10)	Support to the Forum of Caribbean States in the implementation of the commitments undertaken under the Economic Partnership Agreement	0,00	0,00	0,00	PO	27.07.2010	-	26.02.2015
EDF/2009/022-086	na (EDF10)	Economic Integration and Trade of OECS - 10th EDF	0,00	0,00	0,00	PO	n/a	n/a	n/a
EDF/2009/022-056	na (EDF10)	Regional Private Sector Development Programme	28.300.000	0,00	0,00	PO	n/a	n/a	n/a
EDF/2009/021-633	9/ACP/RCA-023	Tropical Storm Noel Rehabilitation Assistance	7.500.000,00	7.500.000,00	7.495.000,00	EC	21.12.2007	31.12.2013	-
EDF/2008/020-385/1	9/ACP/RCA-024	Tropical Storm Noel Rehabilitation Assistance	14.752.478,00	8.046.518,60	6.705.959,40	EC	21.12.2007	31.12.2008	21.12.2010
EDF/2007/020-834	9/ACP/RCA/016	Caribbean Trade and Private Sector Development Programme - Phase III	7.900.000	7.837.504	7.309.627		19.09.2007	-	31.12.2012
EDF/2007/019-273	9/ACP/RCA/017	Caribbean Trade and Private Sector Development Programme - Phase II	0,00	0,00	0,00		24.11.2007	n/a	n/a
EDF/2006/020-702/1	9/ACP/RCA-011, 9/ACP/RCA-015	Transborder environmental project (DR)	6.500.000,00	3.724.291,73	1.715.497,27	EC	23.10.2006	31.12.2012	-
EDF/2006/018-475	9/ACP/RCA/012, 9/ACP/RCA/013	Caribbean Integration Support Programme (CISP)	40.500.000	39.134.543	26.665.413		31.12.2007	31.12.2012	30.06.2014
EDF/2004/017-433	9/ACP/RCA/008	Caribbean Trade and Private Sector Development Programme (CTPSD)	2.600.000	1.767.235	1.705.199		31.12.2006	-	30.06.2009
EDF/2003/016-348	9/ACP/RCA-004	Economic development of the north corridor of Hispaniola	53.879.825,00	53.643.656,05	53.260.627	EC	12.08.2004	30.06.2009	31.07.2011
EDF/2002/015-916	8/ACP/RCA/035	Caribbean Regional Tourism Sector Development Programme	8.000.000	7.606.551	6.064.555		30.06.2003	-	31.12.2009
EDF/2001/015-561	8/ACP/TPS/125	Integrated Development Programme for Caribbean Rum Industry	70.000.000	68.103.585	60.249.527		30.06.2002	-	31.12.2011
EDF/2000/015-338		Financing of seminar on sustainable energy for ACP Island states	192.979,18	192.979,18	192.979,18	CL			
EDF/1999/014-645	7/ACP/RPR/762	OECS Export Capability Enhancement Programme	1.179.793	1.151.984	1.012.000		01.06.2000	-	28.07.2009
EDF/1999/014-470	7/ACP/RPR/754	Caribbean Regional Development Programme	9.144.400	9.054.849	5.335.137		01.01.2001	-	28.07.2009
EDF/1999/014-290		Puerto de Manzanillo - Transborder programme for transport	64.970,81	64.970,81	64.970,81				
		TOTAL Regional EDF programmes (with DomRep benefitting)	196.634.620,99	154.185.011,82	177.776.491,88				

Figures for regional programmes, not only DomRep

ACP Facilities *									
ID		Name of project	Finances			Status	Duration		
CRIS code	Country code		Commitment	Contracted	Disbursement		Start date	DLE	Closing date
EDF/2007/018-827/7		<i>Intra ACP-EU Energy Facility</i>				EC	30.06.2006	31.12.2015	-
	DomRep and Haiti	Desarrollo local de la zona transfronteriza dominicana-haitiana a través de la reforestación con Jatropha curcas y la producción al nivel comunitario de energía renovable a partir de biomasa vegetal		790.000,00					
	DomRep	Programa de electrificación rural basado en fuentes de energía renovable		2.500.000,00					
	DomRep	Conformación de Cooperativas eléctricas para la gestión de servicios en barrios pobres de la zona Este		1.370.000,00					
	DomRep	Conversión de la biomasa a energía eléctrica en Mata de Palma, comunidad canera tradicional de la provincia El Seibo		2.550.000,00					
EDF/2004/017-430/10		<i>Intra ACP-EU Water Facility First Global Commitment</i>				EC			
	DomRep	Improvement of the Water conditions and environmental sanitation of Barrio Marginado de Juana Saltitopa, Santo Domingo		498.403,00			18.12.2007		
	DomRep	Cultura del agua contra la pobreza		1.873.045,00			17.12.2007		
	DomRep	Community Management for Sustainable Supply of Water and Sanitation Services in 63 Poor Rural Communities of the Border region of DO		3.657.424,00			04.10.2006		
	DomRep and Haiti	Water, Sanitation and Health Awareness Project for Vulnerable Communities in Northern and Central areas of Hispaniola		1.492.867,00			01.10.2006		
		TOTAL ACP Facilities		14.731.739,00					

* Facility figures refer to contracted EU contributions, not total project budget

Budgetlines									
ID		Name of project	Finances			Status	Duration		
CRIS code	Country code		Commitment	Contracted	Disbursement		Start date	DLE	Closing date
DDH2003/031-851		Fight against racial discrimination and xenophobia	649.239,00		649.239,00	CL	22.05.2003	22.11.2006	29.04.2010
DDH1999/050-295		Urgent support to the reform process and modernisation of justice and democracy	785.064,00		785.064,00	CL	02.06.2000	02.04.2001	14.09.2005
DDH1999/050-270		Proposal for the strengthening of human rights and democracy	563.492,00		563.492,00	CL	31.05.2000	31.05.2003	13.01.2004
ENV2006/114-329		Local economic development by reforestation & production of energy in border areas	461.058,30		414.952,47	EC	15.11.2006	15.05.2010	-
ONG-PVD2005/096-927		Block grant 2004	711.164,33		710.706,04	EC	01.04.2006	01.04.2009	-
ONG-PVD2005/095-868		Strengthening of civil society to support the public institutions	305.437,29		298.496,05	EC	29.12.2005	30.04.2009	-
ONG-PVD2004/065-956		Strengthening of education and intercultural community programmes	599.068,07		593.149,91	EC	01.11.2004	31.12.2007	-
ONG-PVD2004/063-498		Strengthening of "Regional Initiative for Social Responsibility & Labour in Dignity"	523.175,50		523.175,50	CL	01.01.2004	01.01.2008	26.08.2009
ONG-PVD2003/068-125		Strengthening of productive capacities & social community organisation in border areas	965.603,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-990		Communal strengthening, development of sustainable tourism	689.545,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-988		Integral plan of improving the environmental, sanitarian and socioeconomic conditions	1.276.656,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-985		Professional education of youth and workers (electronics)	1.091.059,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-981		Support for appropriate housing and sustainability in Guayana and DO	752.522,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-979		Housing improvement and organisational strengthening of marginal quarters Sto. Domingo	995.640,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-977		Professional education in the Spanish cultural center of Sosua	999.924,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-964		Integral intervention in the quarters of la Pina and Lebron	628.870,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-962		Construction of housing for rehabilitation of Hurricane Georges en Hato Mayor	840.969,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/065-959		Incentives for the commercialization of non-traditional products and services	459.455,00	0,00	0,00	CA	-	-	-
ONG-PVD2003/027-217		Block grant 2002	618.696,00		556.826,00	EC	01.01.2003	01.01.2006	-
ONG-PVD2003/021-209		Improvement of health conditions in 3 marginalized quarters of Herrera, Sto. Domingo	702.608,00		702.608,00	CL	01.06.2003	01.12.2005	06.10.2006
ONG-PVD2002/021-255		Training and further education project (by means of radio)	2.093.204,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-254		Strengthening of civil society organisations by improvement actions for the NR in Cibao	750.000,00		747.953,00	EC	01.01.2003	01.01.2007	-
ONG-PVD2002/021-252		Strengthening of productive capacities & social community organisation in border areas	1.104.531,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-251		Socio-communal intervention project	267.621,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-248		Promoting agroecological production and product marketing	924.290,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-205		Support to vocational education and integration in the labour market for women Sto. Domingo	1.078.437,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-202		Construction and equipment of a pre-school in the communal programme	102.473,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-197		Participation of education and communal services in sexual and reproductive health	1.651.897,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-194		Expansion of the network of professional education centres for rural youth and adults	740.411,00	0,00	0,00	CA	-	-	-
ONG-PVD2002/021-148		Organisation of workers of public services	578.076,00	0,00	0,00	CA	-	-	-
ONG-PVD2001/014-014		Disability and rehabilitation	9.400.000,00	0,00	0,00	CA	-	-	-
ONG-PVD2001/013-974		Strengthening of social participation by schools and popular organisations	1.272.908,00	0,00	0,00	CA	-	-	-
ONG-PVD2001/013-934		Construction of infrastructure for irrigation and production of organic fruits for export	3.475.524,00	0,00	0,00	CA	-	-	-
ONG-PVD2001/011-829		Economic & social strengthening of rural women of Guerra & San Jose de los Llanos Yb	429.543,58		429.543,58	CL	27.11.2000	27.11.2003	04.08.2009
ONG-PVD2001/011-800		Integral development for women and their families en the northwest region	970.003,58		970.003,58	EC	31.01.2002	31.07.2006	-
ONG-PVD2001/011-755		Strengthening of Civil Society participation	703.876,00		703.876,00	CL	01.06.2001	01.03.2005	25.05.2007
ONG-PVD2001/011-697		Construction and reconstruction of housing in Hato Mayor	668.533,54		668.533,54	CL	01.04.2002	01.10.2003	19.10.2006
ONG-PVD2001/011-688		Action and social promotion of vulnerable young people	145.827,15		145.827,15	CL	11.02.2002	11.08.2003	09.09.2004
ONG-PVD2001/011-684		Improvement of service of primary education in the province Independencia	306.007,28		306.007,28	CL	01.03.2002	01.01.2004	17.10.2006
ONG-PVD2001/011-669		Agroforestry Programme of production stabilization for small farmers in Haiti and DO	676.437,14		676.437,14	CL	01.01.2002	01.04.2006	22.05.2007
ONG-PVD2000/011-499		Support to the endogeneous development of rural communities, region of Jamao	413.625,00		413.625,00	CL	01.01.2001	01.07.2004	28.11.2006
ONG-PVD2000/011-498		Integral Programme for sustainable management of natural resources, region Cibao	500.000,00		500.000,00	CL	01.01.1999	01.01.2004	15.09.2006
ONG-PVD2000/011-458		Trade Union Training and Women Workers	338.004,00		338.004,00	CL	01.05.2001	01.01.2005	17.10.2006
SANTE2005/100-419		Promoting youth health	1.020.221,00		918.199,00	EC	23.12.2005	23.12.2008	-
TOTAL Budgetlines			44.230.695,76	0,00	12.615.718,24				

Summary	Commitment	Contracted	Disbursement
TOTAL EDF	399.349.228,35	286.177.703,53	234.408.265,47
TOTAL Regional EDF programmes (with DomRep benefitting)	196.634.620,99	154.185.011,82	177.776.491,88
TOTAL Budgetlines	44.230.695,76	not available	12.615.718,24
TOTAL ACP Facilities	0,00	14.731.739,00	0,00

3. INTERVENTION LOGICS

Figure 20: Reconstructed Logic Diagram for EDF8

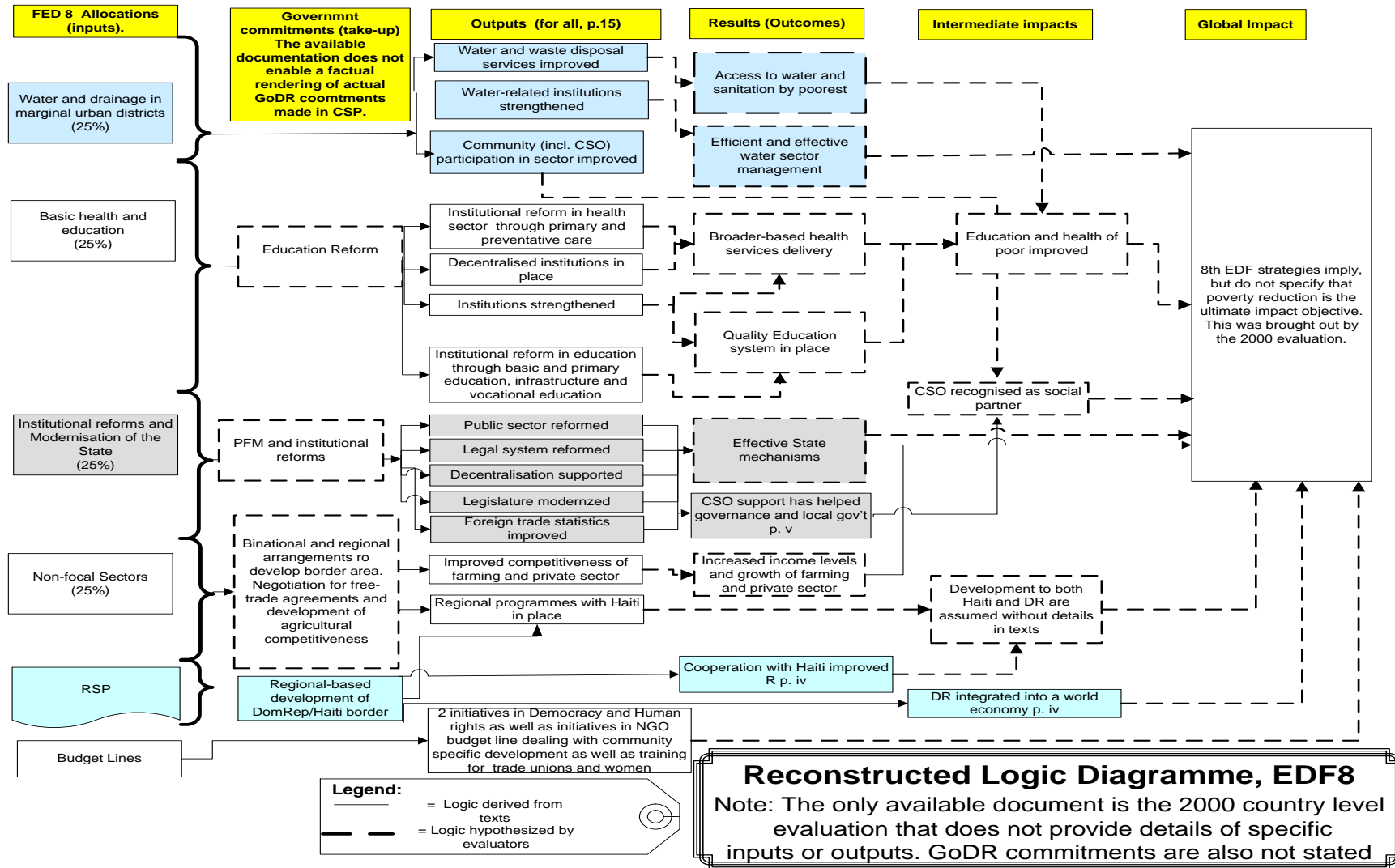


Figure 21: Faithful Logic Diagram for EDF9 (i.e. originally agreed on in CSP before the MTR)

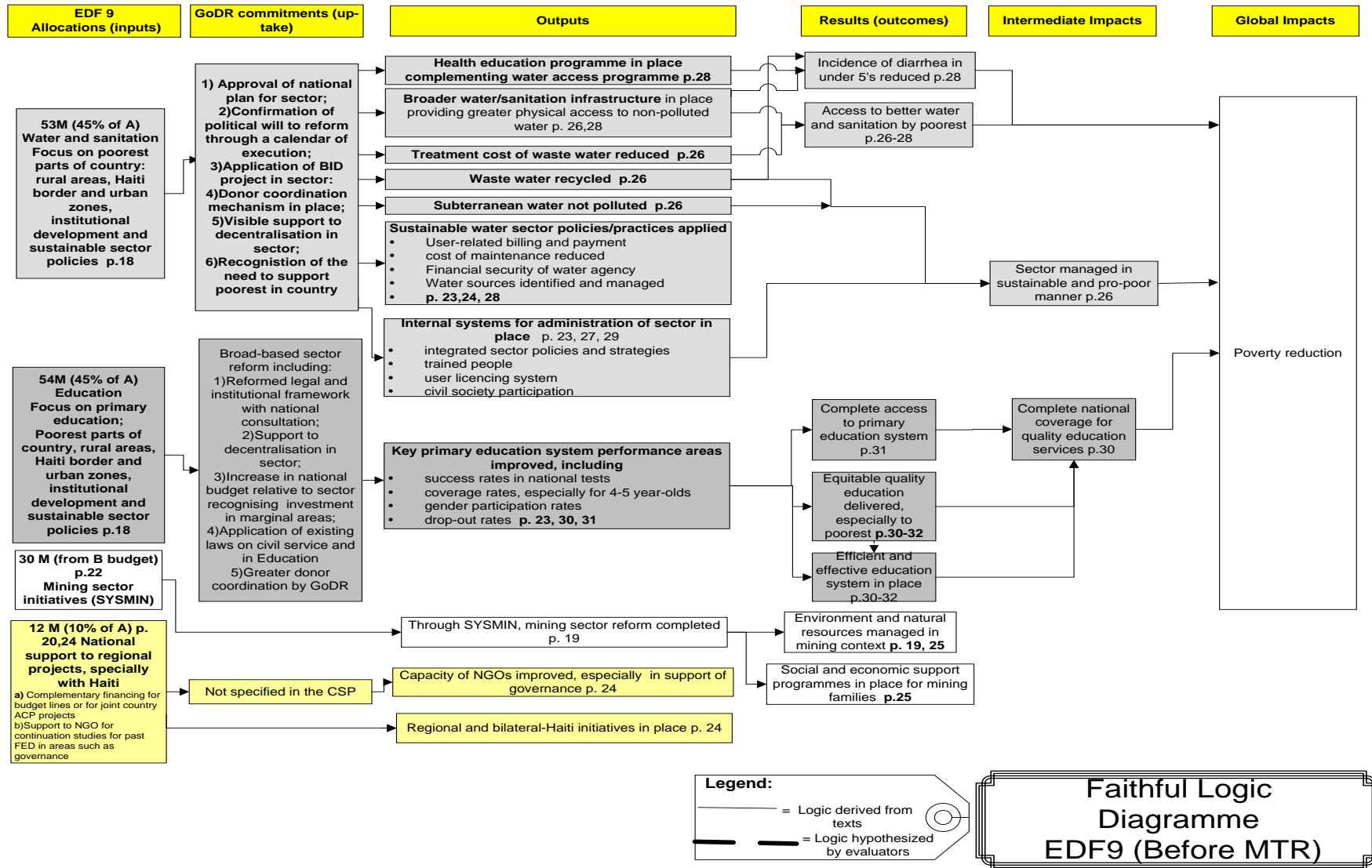


Figure 22: Faithful Logic Diagram for EDF9 (i.e. originally agreed on in CSP after the MTR)

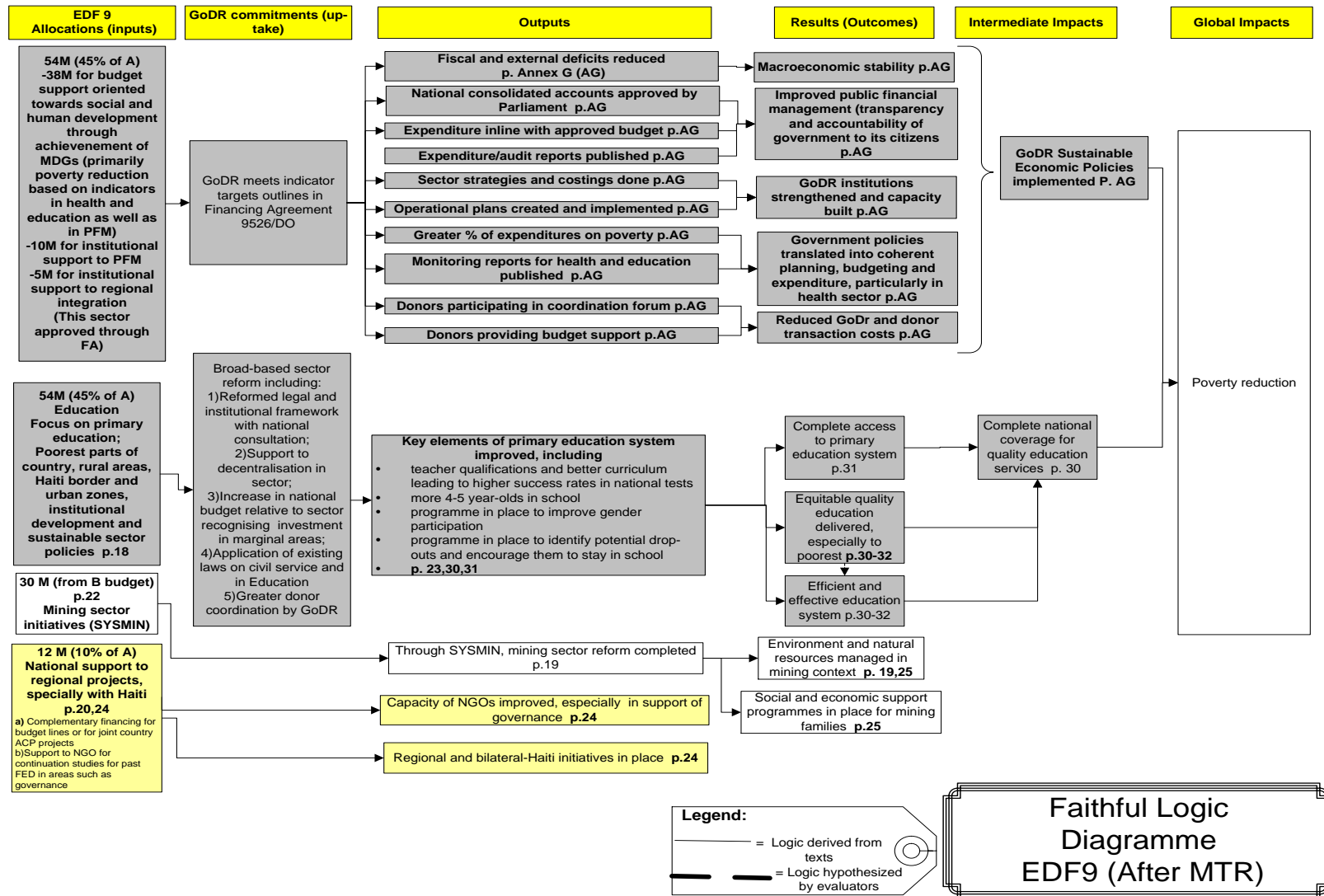


Figure 23: Reconstructed Logic Diagram for EDF9 after the Mid Term Review

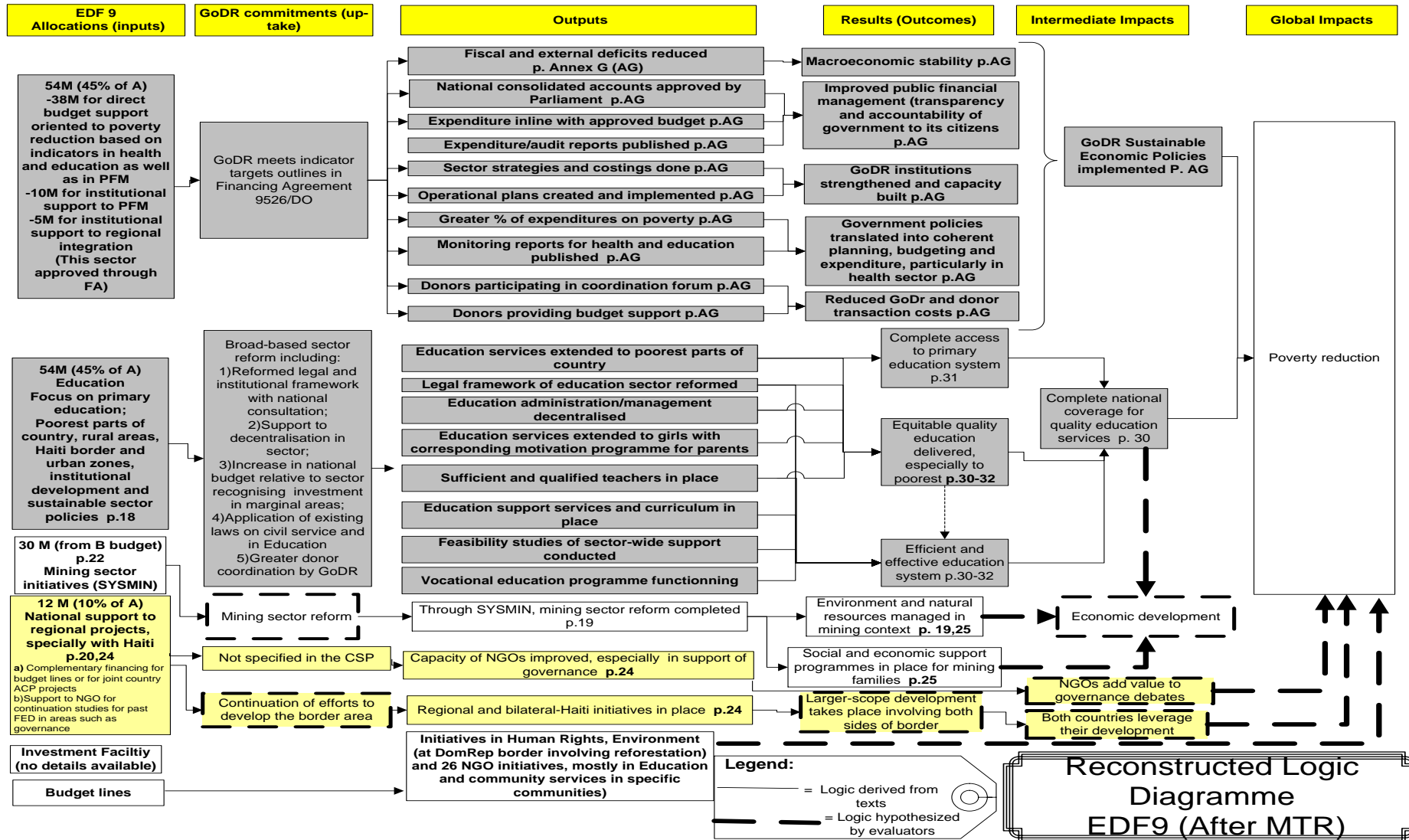


Figure 24: Faithful Logic Diagram for EDF10

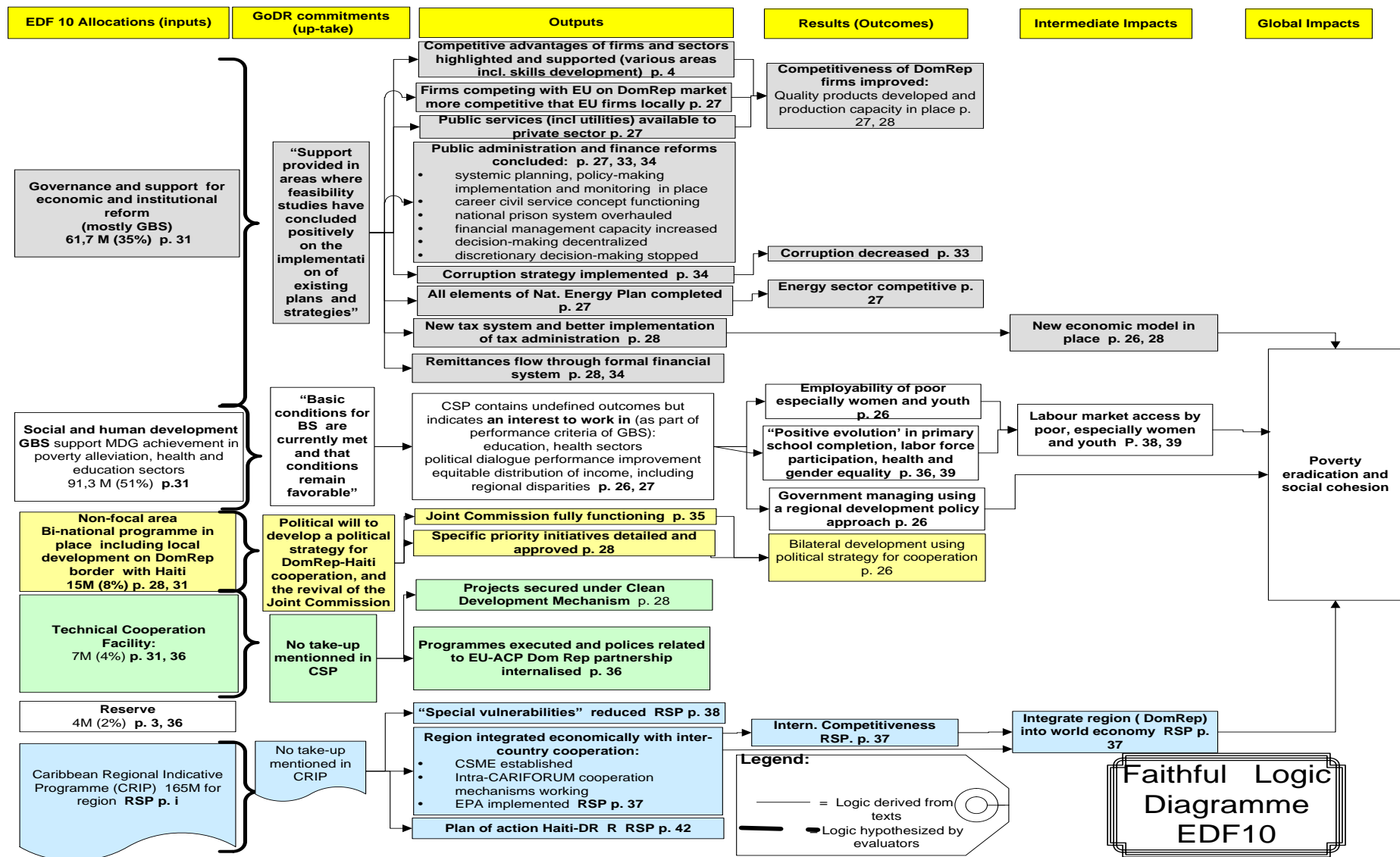


Figure 25: Reconstructed Logic Diagram for EDF10

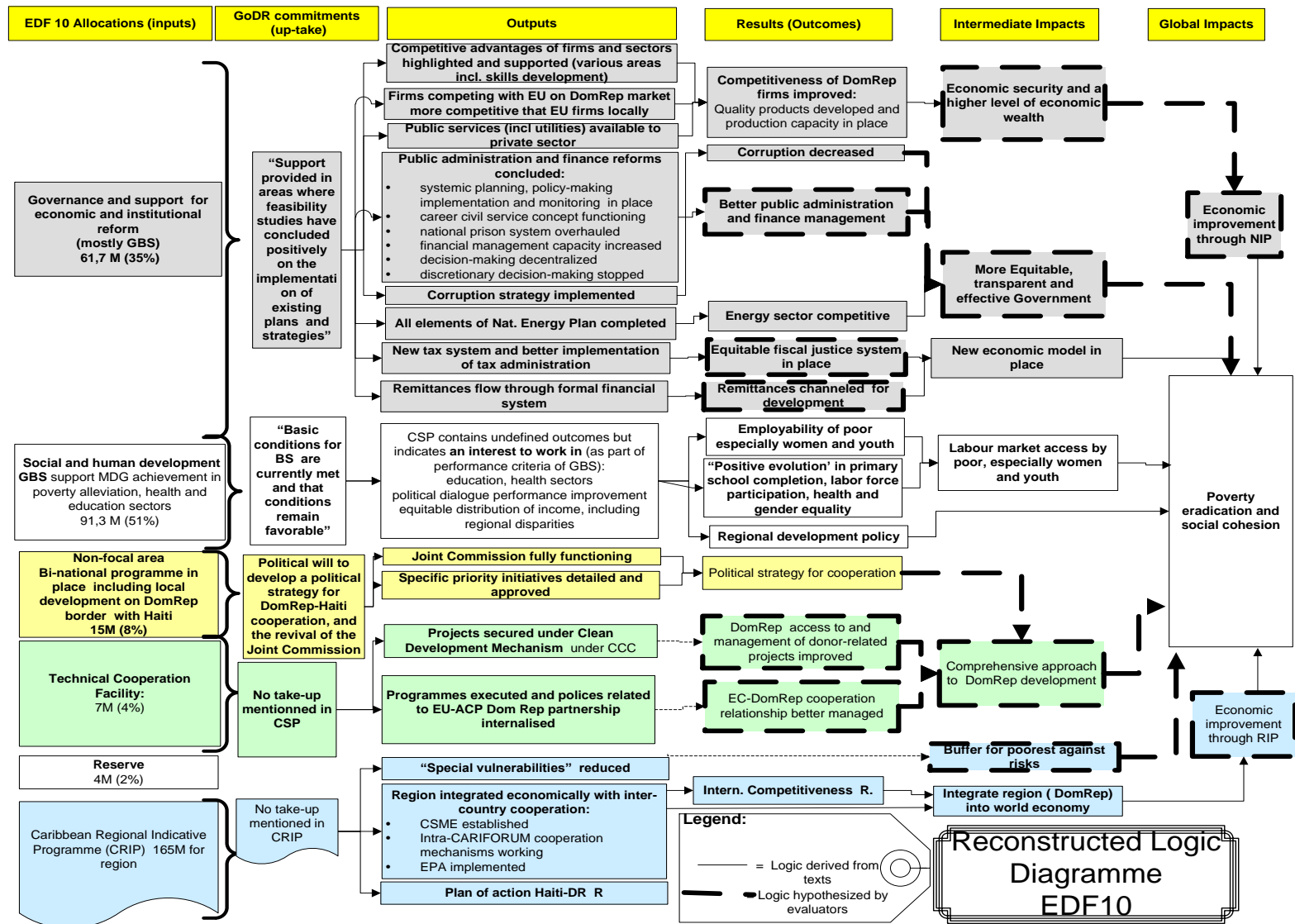
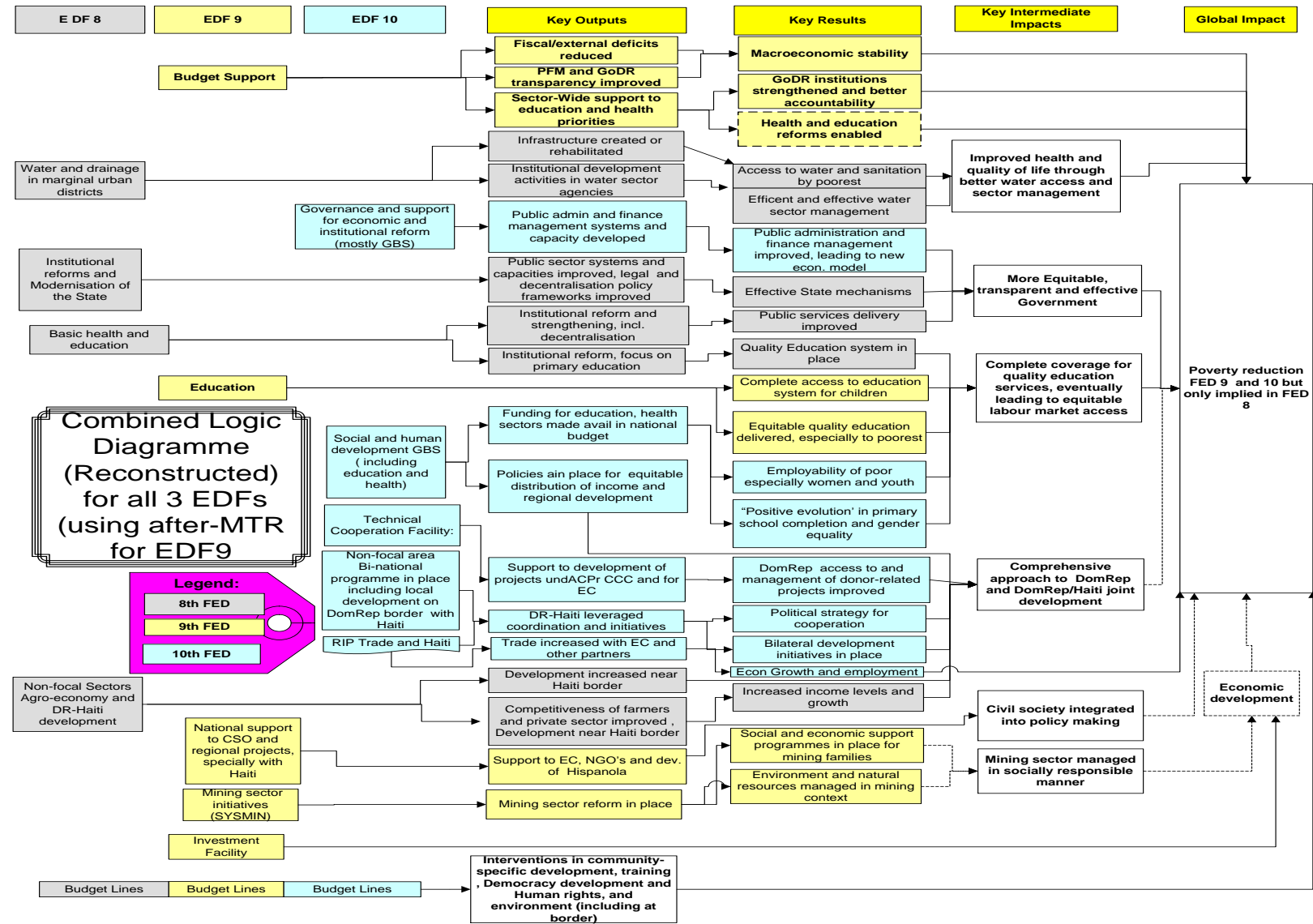


Figure 26: Consolidated Intervention Logic EDF8, 9 and 10 (Reconstructed)



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2005 Joint Annual Report	2006	<i>Report</i>
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2007 Joint Annual Report	2009	<i>Report</i>
2008 Joint Annual Report	2009	<i>Report</i>
2009 Joint Annual Report	2010	<i>Report</i>
External Assistance Management Report Dominican Republic	2010	<i>Report</i>

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EC: Joint evaluation of co-ordination of trade capacity building in partner countries	2006
EC (Particip GmbH): Thematic evaluation of the EC support to good governance	2006
EC: Thematic Evaluation of the European Commission Assistance to Third Countries Supporting Good Governance	2006
EC: Thematic evaluation of the water and sanitation sector	2006
EC MTR 2009 (Oct 23 rd version)	2009
Eco Consult, Évaluation a mi-parcours du Programme Environnemental Transfrontalier, Haïti & RD-Aide mémoire, 2003	2003
Economic development of the North Corridor of Hispaniola ROM report-17/07/2008	2008
Evaluación a medio término del Programa de Apoyo a la Pequeña Empresa Privada Dominicana (PROEMPRESA), Informe final 2006.	2006
Evaluación Final del Proyecto PROBANANO, 2006.	2006
Jean Bourgeois, Informe final PET, Astencia técnica de apoyo estratégico para ambas unidades de gestión nacionales, April 2010	2010
ONFED, EC, Asistencia técnica para la supervisión de las obras de construcción del mercado y aduana de Dajabón, 2008	2008
PET, Informe final de actividades. Act. Between January 2008 and 30th of September 2010	2010
Rapport Provisoire, Mission d'évaluation et capitalisation du programme environnemental transfrontalier Haïti et la République dominicaine (PET), décembre 2010	2010
SIDA: Consejo Latinoamericano de Ciencias Sociales. An Evaluation	2005
Synthesis of geographical evaluations managed by the Evaluation Unit from 1998-2008. JEU report 2008	2008
UNICEF: Evaluación de la Respuesta del Sistema Nacional de Salud al VIH en la República Dominicana	2008

USAID: Reproductive Health/Family Planning NGO Programme Strategy Evaluation	2004
WB: Dominican Republic Country Assistance Evaluation	2003

Other Donors

TITLE	YEAR	TYPE OF DOCUMENT
AECID: Cooperación Española en República Dominicana	2009	<i>Report</i>
IFC& WB: Doing Business 2010. Dominican Republic	2009	<i>Report</i>
JICA (2009) Industrial Development -Helping Developing Countries to Establish Their Industrial Foundations, Increase Employment Opportunities and Build an Economically Independent Society	2009	<i>Annual Report</i>
ONFED - DGM 2006: Convenio de Cooperación interinstitucional entre la oficina del Ordenador Nacional para los Fondos Europeos de Desarrollo (ONFED) y La Dirección General de Minería (DGM) 2007 – Larimar	2006	<i>Agreement</i>
ONFED - DGM 2007: Convenio de Cooperación interinstitucional entre la oficina del Ordenador Nacional para los Fondos Europeos de Desarrollo (ONFED) y la Dirección General de Minería (DGM) - Ayuda a la Minería Artesanal	2007	<i>Agreement</i>
SIDA: United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean	2008	<i>Report</i>
UNDAF: Marco de Asistencia de las Naciones Unidas para del Desarrollo. República Dominicana 2007-2011	2007	<i>Strategic Document</i>
UNDG: 2008 Resident Coordinator Annual Report Dominican Republic	2008	<i>Report</i>
United Nations, Human Rights Council: Draft Report of the Working Group on the Universal Periodic Review. Dominican Republic	2009	<i>Report</i>
UN: La República Dominicana. Visión del Sistema de las Naciones Unidas sobre la Situación des País desde la Perspectiva de los Derechos Humanos	1998	<i>Strategic Document</i>
USAID: Gender Assessment USAID/Dominican Republic	2009	<i>Report</i>
USAID: Optimizing the Economic Growth and Poverty Reduction Benefits of CAFTA-DR Vol I & II	2008	<i>Report</i>
WB Country Assistance Strategy 2003	2003	<i>Report</i>
WB Doing Business, 2010	2009	<i>Report</i>
WB: Dominican Republic Country Assistance Strategy	1999	<i>Report</i>
WB: World Bank at Glance	2008	<i>Report</i>
WB: Country Data Report for Dominican Republic 1996-2008	2009	<i>Report</i>

Other Documents

TITLE	YEAR	TYPE OF DOCUMENT
Informe Nacional de Desarrollo Humano. República Dominicana	2005	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2007	2008	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2007	2007	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2006	2006	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2005	2005	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2004	2004	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2003	2003	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2002	2002	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2001	2001	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 2000	2000	Report
The Economist Intelligence Unit: Country Profile: Dominican Republic, Haiti, Puerto Rico 1999-2000	1999	Report

Sectoral Documents¹⁸⁸

TITLE	YEAR	TYPE OF DOCUMENT
Social: Education and Health		
Alianza ONG: Guía de Formación Sobre la Ley 122-05 de Regulación y fomento de las Asociaciones Sin fines de Lucro y su Reglamento. Santo Domingo	2008	CSO doc
Alianza ONG: Impacto Socio- económico de la ASFL en Republica Dominicana (Estudio exploratorio)	2010	CSO doc
<i>EC Project: Development of technical and professional education</i>	2001	ROM
<i>EC Project: Integrated prevention system of illegal drugs use</i>	2001	ROM
<i>EC Project: Support to the Education Sector</i>	2005	ROM
El Exteador (2010): Foro Municipalistas http://www.elexpectador.net/2010/09/1er-congreso-de-municipalistas-de-republica-dominicana/	2010	Online article

¹⁸⁸ This table encloses only project related reports. Other project specific documents (like Financing Agreements) are not listed here but will be reviewed for all projects.

TITLE	YEAR	TYPE OF DOCUMENT
GoDR Solicitud de extensión de financiación 9579/DO, dated Oct 2009	2009	<i>Financial Document</i>
<i>IFC&WB: Working in Health. Financing and Managing the Public Sector Health Workforce</i>	2009	<i>Report</i>
USAID: Country Health Statistical Report Dominican Republic	2008	<i>Report</i>
Water and Sanitation		
EC Project: Environmental rehabilitation of marginal barriers Santo Domingo	2001	<i>ROM</i>
ONFED (2001): Saneamiento Ambiental Básico para 5 Barrios Marginales de la Ciudad de Santo Domingo con énfasis en al Recolección y disposición de residuos sólidos urbanos.	2001	<i>Environmental analysis</i>
State Reform		
EC Project: Immediate support for national programme for state reform and modernization	2000	<i>ROM</i>
EC Project: Institutional Support Programme for Regional Integration	2006	<i>ROM</i>
EC Project: Institutional Support Programme for PFM	2005	<i>ROM</i>
IBF International Consulting (2008): Evaluación Final del Programa de Reforma y Modernización del Estado (PARME) en República Dominicana, informe final	2008	<i>Final evaluation PARME</i>
IBF International Consulting (2010): Evaluación Final del Programa Iniciativas Locales de la sociedad Civil del 9º FED y Formulación del Programa "Apoyo a las ANE y AL en el Desarrollo "del 10º FED. PRIL, Informe Final	2010	<i>Formulación de programe por EDF20</i>
Macroeconomic Support		
CEI-RD 2009: RD inicia exportaciones cobre a China Popular por US\$37.5m. http://www.cei-rd.gov.do/leer_noticia.asp?id=397	2009	<i>Exports to china</i>
EC-Financing agreement 9526/DO for GBS dated 2006	2006	<i>Financing Agreement</i>
EC Project: Support Programme for small enterprises	2001	<i>ROM</i>
BL Democracy and Human Rights		
Delegación de la Unión Europea en República Dominicana: Instrumento Europeo para la Democracia y los Derechos Humanos (IEDDH)	2010	<i>Policy paper</i>
EC Project: Fight against racial discrimination and xenophobia	2003	<i>ROM</i>
BL Environment		
EC Project: Local economic development by reforestation & production of energy in border areas	2006	<i>ROM</i>
Secretario de Medio Ambiente presenta en Zaragoza el corredor biológico en el Caribe Lunes 14 de Julio de 2008 19:14	2008	
BL NGO Co-Financing		
EC Project: Integral development for women and their families en the northwest region	2002	<i>ROM</i>

TITLE	YEAR	TYPE OF DOCUMENT
EC Project: Strengthening of education and intercultural community programmes	2004	ROM
Trade		
Blog economia y negocios, Sábado 25 de Septiembre de 2010 http://economia-negocios-sociedad.blogspot.com/2010/09/grafico-del-comportamiento-de-la.html	2010	Blog article
Centre pour le Développement de l'Entreprise - http://www.cde.int/		Website
Centro de Exportación e Inversión de la República Dominicana - http://www.cei-rd.gov.do/		Website
Christian Volpe Matincus Inter-American Development Bank, An Assessment of the Effectiveness of export promotion in Latin American and the Caribbean, 2010	2010	Assessment Report
Cooperación de la comisión europea con republica dominicana información general del proyecto probanano. Actualizado a 28 Febrero 2005.	2005	Information Sheet
Dominican banana exports to Europe jump 25%, top US\$58m in 1st half, "Dominican Today" 22 July 2010. http://www.dominicantoday.com/dr/economy/2010/7/26/36446/Dominican-banana-exports-to-Europe-jump-25-top-US58M-in-1st-half	2010	Article
Economic Freedom of the World (EFW), Annual Report, Gwartney et al. Award, 2010	2010	Annual Report
El rol del sector privado de RD en la reconstrucción de Haití 3/1/2010 10:51:57 AM POR EDDY MARTINEZ MANZUETA. http://www.almomento.net/news/135/ARTICLE/53925/2010-02-26.html	2010	Online article
European Investment Bank - http://www.eib.org/		Website
Euro Statistic – Dominican Republic and European Union web site http://trade.ec.europa.eu/doclib/docs/2006/september/tradoc_113374.pdf	2009	Statistics document
INFOTEP web site: http://www.infotep.gov.do/html/oficinas_centros.html#1		Website
Dominic Republic – European Community: Country Strategy Paper and National Indicative Programme for the period 2008-2013 http://ec.europa.eu/development/icenter/repository/scanned_do_csp10_en.pdf	2008	Strategy paper
Juan Del Rosario Santana, La dinámica comercial entre republica dominicana y Haití en la frontera norte-Dajabón y nordeste-wanament, 2007	2007	Analysis
Observatorio de Competitividad de la Republica Dominicana web-site: http://competitividad.org.do/plan/		Website
The statistic of DR central bank web-site: http://www.bancentral.gov.do/estadisticas_economicas/sector_externo/importaciones_anuales.xls		Imports Table
United Nations Conference on Trade and Development, Investment Policy Review Dominican Republic, 2009	2009	Policy Review
WTO, Trade and Investment regime, 2008	2008	Policy

TITLE	YEAR	TYPE OF DOCUMENT
		<i>Document</i>
WTO, Trade Policies and Practices by Measure, 2008	2008	<i>Policy Document</i>
WTO trade policy review 2008	2008	<i>Analysis Document</i>
Haiti		
Alter Presse (2007) Haiti-Rep. Dominicana : Dan inicio a la construcción del mercado binacional de Dajabón-Ouanaminthe www.alterpresse.org/spip.php?article5776	2007	<i>Online article</i>
Haiti Brochure, Development and Work in Haiti, April 2009, Jean-Max Bellerive, Minister of Planning and External Cooperation, Republic of Haiti, Rehabilitating Roads, vectors of growth	2009	<i>Brochure</i>
Javier Valdivia, Haití regresa a la mesa de Comisión Mixta Binacional http://www.listindiario.com/la-republica/2009/3/1/92911/Haiti-regresa-a-la-mesa-de-Comision-Mixta-Binacional	2009	<i>Online article</i>
Republic of Haiti: Preparatory Committee - growth and poverty reduction strategy paper; Technical Secretariat of the Preparatory Committee for the DSNCRP, Ministry of Planning and External Cooperation (MPEC): (2008-2010) Making a Qualitative Leap Forward November 2007.	2007	<i>Strategy paper</i>
Others		
Adital (2010) Aclarando al Gobernador de Dajabón, señor Miguel Cruz J. www.adital.com.br/site/noticia.asp?lang=ES&cod=49893	2010	<i>Online article</i>
Adital (2009) Mercado bi-nacional de Dajabón www.adital.com.br/site/noticia.asp?lang=ES&cod=43356	2009	<i>Online article</i>
Aspectos y variables de las relaciones entre República Dominicana y Haití Por Rubén Silié Publicado en Revista Futuros No 9. 2005 Vol. III http://www.revistafuturos.info	2005	<i>Report</i>
Diario DigitalRD.Com: http://www.diariodigital.com.do/articulo,53243,html		<i>Local media</i>
EC Financing Agreement Tropical storm Noel EDF9		<i>Financing Agreement</i>
EC Project: Civil Society Programme (PRIL)	2005	<i>ROM</i>
EC Project: Cultura del Agua contra la Pobreza	2006	<i>ROM</i>
EC Project: Eligibility study for support by SYSMIN and financing proposal for SYSMIN EDF8	2000	<i>ROM</i>
EC Project: Programme Micro-projects II	2002	<i>ROM</i>
EC Project: Reconstruction of Road and Bridge Infrastructures Damaged by Hurricane Jeanne	2007	<i>ROM</i>
EC Project: Reconstruction of schools for basic education	2000	<i>ROM</i>
EC Project: Rehabilitation programme in SW region	1999	<i>ROM</i>
EC Project: Support to the mining sector, SYSMIN II	2004	<i>ROM</i>
EC Project: Technical Cooperation Facility	2004	<i>ROM</i>

TITLE	YEAR	TYPE OF DOCUMENT
Globe Star 2010: Who we are : http://www.globestarmining.com	2010	
Demaosoy (2010) Construcción mercado Dajabón abandonado http://demaosoy.blogspot.com/2010/05/construccion-mercado-dajabon-abandonada.html	2010	<i>Online article</i>
El Masacre (2010) Construcción mercado Dajabón abandonada http://new.elmasacre.com/?m=noticias&s=regionales&articulo=4721	2010	<i>Online article</i>
El Nacional (2009) Mercado de Dajabón opera normal hoy www.elnacional.com.do/nacional/2009/8/3/22962/Mercado-de-Dajabon-opera-normal-hoy	2009	<i>Online article</i>
Saberes Permanentes (2007) Corredor Biologico del Caribe http://saberespermanentes.blogspot.com/2007/11/corredor-biologico-del-caribe.html	2007	<i>Blog article</i>
INFORME DE APROVECHAMIENTO: ASISTENCIA TÉCNICA A LA UTG SYSMIN II 2011	2011	<i>Final report Sysmin</i>
Informe Final de seguimiento 2009: Proyecto Apoyo a la Minería Artesanal de la República Dominicana.	2009	<i>Final report Artesanal mining</i>
Informe SYSMIN II – 2011	2011	<i>Final Project report</i>
Listin 2010 - Falconbridge Dominicana anuncia retorno de sus operaciones http://www.listin.com.do/economia-and-negocios/2010/10/12/162316/print	2010	<i>Publicity from mining firm</i>
López-Severino & de Moya: Migratory Routes from Haiti to Dominican Republic: Implications for HIV/AIDS and Human Rights of Effected People	1999	<i>Report</i>
Mayne, J., "Contribution analysis: An approach to cause and effect" ILAC Brief, May 2008	2008	<i>Methodology Document</i>
Ministerio de Medio Ambiente y Recursos Naturales (2010) Realizan taller de Visibilidad del Corredor Biológico en el Caribe www.ambiente.gob.do/cms/index.php?option=com_content&task=view&id=1066&Itemid=248	2010	<i>Online article</i>
MRG: Migration in the Caribbean: Haiti, the Dominican Republic and Beyond	2003	<i>Report</i>
Perspectiva Ciudadana (2002): Santo Domingo: Empezará saneamiento de barrios marginales http://www.perspectivaciudadana.com/contenido.php?itemid=2291	2002	<i>Urban issues analysis</i>
Programa de Pesca del Caribe - Programa SYSMIN año		<i>Annual report</i>
Secretario de Medio Ambiente presenta en Zaragoza el corredor biológico en el Caribe Lunes 14 de Julio de 2008 19:14	2008	<i>Article</i>
SYSMIN Monitoring 2010	2010	<i>Monitoring Sysmin</i>
Technopolis publication "Using logic Models" 2009	2009	<i>Methodology Document</i>

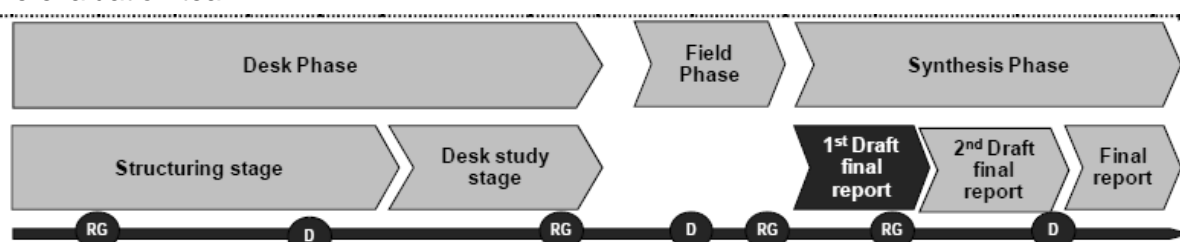
5. METHODOLOGY

5.1 Overall evaluation approach

Following the Terms of Reference and based on the methodology developed by the EC's Joint Evaluation Unit, the country strategy evaluation for Dominican Republic had five phases:

- (i) an inception phase;
- (ii) a desk phase;
- (iii) a field phase;
- (iv) a synthesis phase bringing together the results of the field and desk phases, and finally
- (v) a dissemination phase in Dominican Republic with final feedback from stakeholders and the Delegation.

The following diagramme illustrates this approach. The indication .RG. indicates when a Reference Group meeting takes place. A .D. indicates that a document is being prepared by the evaluation team.



Meetings with the Reference Group were be convened, according to the JEU's template, for validation and feedback during each important stages of the evaluation noted above. These included a session to debrief the Reference Group on the results of the field mission.

The heart of the approach is the inception and desk reports.

The ***inception phase*** was crucial for the structuring of the evaluation. During the inception phase the team analysed the context of the EC strategic response and its major changes during the reporting period; compiled the project inventory for Dominican Republic and compared the amounts committed and disbursed (DAC database); collected the documentation which is readily available in Brussels (desk officers from DEVCO, CRIS database) and on the internet and conducted initial meetings with key informants (desk officers from DEVCO, etc.) in Brussels.

Based on the analysis of the stated strategy of the EC contained in both CSPs (and RSP for regional integration), the evaluation team produced a set of faithful and reconstructed intervention logic diagrammes that covers the period under review. A preliminary set of evaluation questions, judgement criteria and indicators that address the DAC and EC criteria and EC key policy issues were developed. The meeting with the Reference Group provided an opportunity for dialogue and exchanges of ideas that resulted in a revised set of EQs, JCs and Indicators.

The validation of the evaluation questions by the Reference Group and the acceptance of the Inception Report by the EC concluded the inception phase.

During the ***desk phase***, the evaluation team analyzed data and information from a number of sources including:

- Existing documentation and reports related to the different development co-operation channels (and interventions) between Dominican Republic and the

- EC, including what is indicated in the TOR through the use of DEVCO Library, CRIS and other relevant databases;
- Open sources, including the ones available on the Internet, on the Dominican Republic's context, including civil society, and on the international donor community's interventions;
 - The EU Delegation in the Dominican Republic was be approached for possible additional information regarding the EC-co-operation there, the evolving development context there and in Haiti, and relevant DR-specific GoDR strategies and policies;
 - Relevant Dominican Republican authorities were approached by the evaluation team member in Santo Domingo for possible information and data needs regarding the Dominican Republic's development context and policies that are not covered by the above sources.

The information gathered from the on-going monitoring system (ROM) was analysed and integrated into the evaluation results. ROM statistics, project sheets, regional reports and the reports from the coordination unit were analysed; these helped in selecting the projects to be examined in greater detail in Dominican Republic.

A very initial round of interviews with a small number of relevant EC staff in Brussels was held in early spring of 2010. The selection of the interviewees for further contact was based on the specific added value they could bring concerning the various evaluation questions. Those interviews took place in the September to October period.

The main output of this phase was a desk report that included:

- (i) a concise analysis of the context and its major changes during the reporting period that might have impacted on EC cooperation;
- (ii) a preliminary answer to the EQs, detailed in an evaluation matrix in the annex;
- (iii) a list of the main hypotheses to be checked during the field phase and related methodology (data collection plan) including a sample of relevant projects relevant for an in depth analysis of the implementation of the strategy,
- (iv) Annexes with detailed data and information on which the preliminary answers were based.

Further analysis of documents and interviews with persons involved in programming, implementation and oversight of sector support (especially DEVCO and EU DEL) required changes to JCs and Indicators and clarified the sectors in which risk management was particularly important.

That analysis also indicated programme interventions that could be used for detailed analysis. These were proposed in the desk report. The following case selection criteria were used:

- the intervention should be significant for the EC;
- documentation should be available so that the Evaluation Team could be thoroughly informed before arriving on site (e.g. ROM, progress and evaluation reports);
- site visits should be possible during the field visit to DR;
- the support programme should have been in operation long enough for worthwhile conclusions to be drawn as to the likely effects that will be realised.

In recent years, policy dialogue through GBS or Sector Budget Support had become the core of the EC strategy with Dominican Republic. By nature, policy dialogue is historically poorly documented and documents that were made public are often drafted to be "politically correct". The evaluation team thus prepared a methodology for assessing the nature and influence of that dialogue.

The acceptance of the desk report signaled the end of the desk phase and the beginning of the field phase.

During the **field phase**, the core team was reinforced by a Dominican Republic-based expert. The entire team was in Dominican Republic for approximately two weeks and met with representatives of the EUD, Member States representatives, GoDR representatives including sector ministries, IFIs and donor agencies, private sector firms and related association, and leading representatives of the civil society. Considering the short time available in country, and the considerable ground to cover in this strategic evaluation, the team prepared very detailed plans and research tools and instruments; in addition, any already existing project or programme-level evaluations were incorporated into the analysis.

The team used a wide range of data collection methods and tools during its time in Dominican Republic; these are detailed in the following paragraphs. A briefing meeting with the Delegation was held the day after the team arrived in the country and the mission concluded with a debriefing meeting with the EUD. No formal field report for the field mission was prepared but a debriefing note with main conclusions was prepared in the form of a power point presentation. This presentation was the essential element of the post-field phase debriefing meeting with the Reference Group which was held a month after the team's return.

During the **synthesis phase**, the team brought together all the elements from the desk and field phases, and drew conclusions with a view to finalising the answer to the evaluation questions. It reflected on lessons learned, conclusions it should draw, and appropriate recommendations it should make to EC headquarters and the EU Delegation in Dominican Republic. The evaluation approach demands that a clear chain of reasoning from findings, conclusions to recommendation be present in the report and the team focussed on this requirement. A simple cross-referencing system was developed for the report to allow a clear understanding of the causal chain which led to recommendations.

Following a Reference Group Meeting dealing with the Draft Final Report, a **Seminar** was prepared in the Dominican Republic where the findings, conclusions and recommendations were discussed with stakeholders in the field. Minutes of that Seminar are integrated as an annex into the Final Report.

5.2 Tools that were used during the different stages of the evaluation

Team meetings and analysis of collected data

The evaluators considered it a key component of their work to bring together all the elements from the inception, desk and field phases in order to draw sound conclusions based on the collected evidence. In order to achieve this goal, the evaluators took the following steps:

- During the inception phase, the team members met in Brussels to achieve a common understanding of the Joint Evaluation Unit methodology, under the guidance of the team leader. They remained in frequent contact and often exchanged their view on the rationale, scope and research methodology required for each evaluation question. This, it is felt, is an important prerequisite for conducting a mutual analysis of the collected evidence within and across sectors.
- During the desk phase, the team took part in intensive work sessions, to compare evidence found so far and to continue their successive formulation of cross-sectoral conclusions.
- The team held consolidation and validation of findings and conclusions sessions which, as a peer-review mechanism, forced it to reflect on the evidence, the main conclusions and on appropriate recommendations to EC headquarters and the Delegation in Dominican Republic.

During these meetings compiled data was analysed using, on the one hand, the EQs structured approach, while taking into account, on the other hand, horizontal issues that cut across the different questions: Coherence, 3Cs, EC cross-cutting issues, and issues related to Delegation workload. Cross-referencing matrices were developed for this purpose as a check.

The Desk and Final Report provide a clear analysis for each indicator in the evaluation matrix which, in turn, informs each corresponding JC. Whenever documentary-based findings at the indicator level were found to be weak, hypotheses were formulated in order to be validated during the field phase of the evaluation. The task of validating these hypotheses shaped the agenda of the field mission, along with new issues that arose during data collection.

Data analysis was constructed on three phases:

- Categorizing interview material into indicators: sorting out notes and transcriptions into the broad topics (JCs) and sub-topics (Indicators);
- Labelling each category using appropriate headings: to identify parts of answer to the EQs;
- Describing and interpreting the major findings: Analysis consisted of considering responses in each topic as group, and drawing interpretive conclusions and answers for the EQs.

Interviews

The team relied on various types of interview techniques in order to obtain or validate data or to collect perceptions that could be triangulated. A few of the key protocols used in this mandate are:

- The interviewing technique adopted was in-depth interviews i.e. an open-ended, discovery-oriented method that is well suited for describing both program processes and outcomes from the perspective of the target audience or key stakeholders.
- Interviews involved not only asking questions, but the systematic recording and documenting of responses coupled with intense probing for deeper meaning and understanding of the responses.
- Interviews were not based on a structured questionnaire, but instead made use of a flexible interview grid to help ensure that the interviews focus on JC and indicators, while remaining conversational enough to allow participants to introduce and discuss issues which they deem relevant.

Interviews were conducted (depending on the situations and the opportunities) with:

- **individuals** to learn about their individual situation or the situation of their organisation, environment, social, ethnic or demographic group or community in detail, to collect data and documents, to discuss issues that would be difficult to address in group situations, and to reveal their personal perspective on specific topics;
- **key informants**: people with specific knowledge, to gain insights on, or people who can represent a specific group or a stakeholder or apex people in relevant organisations according to the selection for the different evaluation questions;
- **groups**, either randomly encountered (during visits on the field) or systematically selected to allow a focused discussion of issues related to their specific experience, view or opinion.

Focus Group Discussions

Focus group discussions (FGD) were held with a two small group of people who share common concerns (CSOs and their relation to governance and policy dialogue, and a group on competitiveness). They served as a place for addressing particular issues (involving different interest groups), controversial issues or issues to be explored in-depth and collecting different angles.

FGD helped the evaluation team become aware of various concerns, any conflicting interests, and potential common ground among the groups. They also provided an opportunity to cross-check information that had been collected using other techniques.

Formats

To facilitate collection of information and standardisation of reporting, standard formats and detailed descriptions of expectations were developed and explained to the members of the team by the Team Leader.

5.3 Persons met or interviewed during the Evaluation

DESK PHASE INTERVIEWEES

European Commission

Name	Function or title	Contact information
Mrs. Adriaensen, interview in Brussels	Member of the Reference Group, Geo-coordinator AIDCO, International Aid/Cooperation Assistant for Cuba, Dominican Republic, Haiti,	
Ms Begoña Bravo H.	Quality support operations, Head of Sector–Quality Management for Education & Training, Social and Human Development and Migration, AIDCO E-3,	
Francisco Carreras Sequeros	EUD Social Sector	Francisco.carreras-sequeros@eeas.europa.eu
Mr. Ignacio Granell	DG Trade D2, Economic and Trade Affairs Manager - Legal Matters and EPA implementation	Ignacio.granell@ec.europa.eu
Lorenzo Martelli	Head of section, Infrastructure and Natural Resources, EC, Dominican Republic	lorenzo.martelli@eeas.europa.eu
Marta Ramirez	Section: Civil Society, EC, Dominican Republic	marta.ramirez@eeas.europa.eu
Jean Marc Ruiz	EUD Economics sector	
Silvia Orrù	Evaluation manager for this mandate Joint Evaluation Unit	Silvia.orrù@ec.europa.eu
Humberto Pérez	Section: Trade and Private sector, EC Dominican Republic	humberto.perez@eeas.europa.eu
Jonathan Pitts	Head of Communication, EC, Dominican Republic	jonathan.pitts@eeas.europa.eu
Catherine Pravin	Back-up to Evaluation manager for this mandate Joint Evaluation Unit	Catherine.pravin@ec.europa.eu

Government of Dom Rep

Name	Function or title	Contact information
Alfonos Nuñez	Dirección General de Minería, Dominican Republic	alfonsng@gmail.com

Others

Name	Function or title	Contact information
Enrique Burkhalter	Director UTG SYSMIN	eburksysmin@codetel.net.do
Bernardo Matias	Ex- Director of component decentralization UTG PARME	domingomatias@yahoo.com
Addys Then	Director Alianza ONG	athen@alianzaong.org.do
Luisa Valdez	EC Consultant	littlekidschool@yahoo.com

FIELD MISSION INTERVIEWEES (16 to 27 May, 2011)

Date	Participants Mission	Institutions and Participants
Monday 16	Robert LeBlanc Karin Verbaken Reinhard Bader Diego Ruíz	EU-Delegation Irene Horejs Francisco Carreras Marta Ramírez Jorge Pérez Jean Noel Gangloff
	Robert LeBlanc Karin Verbaken	EU-Delegation Francisco Carreras
	Robert LeBlanc	DIGECOOM Domingo Jimenez Lidia Encarnación
	Reinhard Bader	EU-Delegation Marta Ramirez Rafael Seywald
	Reinhard Bader Karin Verbaken	DIGECOOM Juvenilia Sosa Francina Núñez
	Diego Ruíz	EU-Delegation Jean Noel
	Diego Ruíz	Centro de Desarrollo de la Empresa –CDE Marie Louise Norton-Murray
	Diego Ruíz	EU-Delegation Humberto Perez

Tuesday 17	Robert LeBlanc	EU-Delegation Francisco Carreras
	Robert LeBlanc Karin Verbaken	EU-Delegation Francisco Carreras
	Robert LeBlanc	EU-Delegation Inaki Otalora (PFM)
	Karin Verbaken	Ministerio de Educación Rosa Vanderhorst David Lapaix
	Karin Verbaken	Ministerio de Educación Victor Sánchez David Lapaix
	Karin Verbaken	Ministerio de Educación Victor Sánchez David Lapaix Fernando Ogano
	Reinhard Bader	Centro Bonó Mario Serrano/Octavio Figueroa
	Reinhard Bader	Colectiva Mujer y Salud Sergia Galván
	Reinhard Bader	MUDE Rosa Rita Alvarez
	Diego Ruiz	EU Delegation Jorge Pérez
	Diego Ruiz	ADOEXPO Kary Van der Horst
	Diego Ruíz	DIGECOOM Domingo Jiménez Lidia Encarnación
Wednesday 18	Robert LeBlanc Reinhard Bader	EU-Delegation Martha Ramírez
	Karin Verbaken	INTEC Luisa Valdez
	Reinhard Bader	INTEC Ana Selman
	Diego Ruiz	Consejo Nacional de la Empresa Privada-CONEP- Francisco José Castillo Milagros J. Puella
	Diego Ruiz	INFOTEP Idiones Pérez Edgar Pimentel

	Diego Ruiz	CEI-RD Acelis Angeles
Thursday 19	Robert LeBlanc	EU-Delegation Francisco Carreras
	Diego Ruiz	DIGECOOM Emerson Vegazo
	Diego Ruiz	DIGECOOM Allen Henry TA to NAO Haití
	Robert LeBlanc	Ministerio de Hacienda Maria Felisa Gutiérrez Raul Calle Patricia Angeles
	Reinhard Bader	Servicio Geológico Nacional Santiago Muñoz
	Reinhard Bader	Dirección General de Minería Ramón Morrobel
	Reinhard Bader	Dirección General de Minería Octavio López
	Reinhard Bader	Dirección General de Minería Maria Calzadilla
	Reinhard Bader	Dirección General de Minería José Angel Rodriguez,
	Diego Ruiz	Consejo Nacional de Competividad Sandra Lara Marco Espinal Andres Van der Horst
Friday 20	Robert LeBlanc	Banco Mundial Roberto Adrian Senderowitsch Christian Contín
	Karin Verbaken	Ministerio de Educación Mery Valerio (Country Note on Education creator)
	Karin Verbaken	Ministerio de Educación Ancell Scheker (Quality división)
	Robert LeBlanc Karin Verbaken	UNDP-MDG Carlos Fernández
	Karin Verbaken	FLACSO César Cuello Nieto
	Karin Verbaken	SIGEF-EMIS (AT) Renato Gonzalez D.
	Reinhard Bader	Experto en Geología -OFITEC Osiris De León

	Reinhard Bader	Experto Sociología-PARME Domingo Matías
	Diego Ruiz	CEI-DR Acelis Angeles
	Diego Ruíz	Ministerio de Industria y Comercio and DICOEX Marcelo Puello Yahaira Sosa
Monday 23	Robert LeBlanc	AFD-France Valery Vicini
	Robert LeBlanc	EU-Delegation Jorge Mejía
	Robert LeBlanc	EU-Delegation Jonathan Pitts
	Robert LeBlanc	EU-Delegation Jean Marie Bourgeau
	Karin Verbaken	BID Horacio Alvarez
	Karin Verbaken	Ministerio de Educación Ancell Scheker
	Karin Verbaken	Ministerio de Educación Ana Santana (School teacher)
	Reinhard Bader	BID Sra. Laurence Telson
	Reinhard Bader	Ministerio Administración Pública-PARAP Ing. Reyson Lizardo
	Diego Ruiz	CEI-RD Equipo de Estadísticas
	Diego Ruiz	Private contractor in regional issues Jean Marie Bourgeau
	Diego Ruiz	ADIGA Association William Calderon, Former President CODOMYPE President during PROMESA
Tuesday 24	Robert LeBlanc	GIZ Yolanda Fraga
	Robert LeBlanc	Ex NAO DIGECOOM Onofre Rojas
	Robert LeBlanc	DIGECOOM Emerson Vegazo
	Reinhard Bader	USAID Dora Plavetick Robert Rhodef

	Reinhard Bader	Ministerio de Medio Ambiente y Recursos Naturales Lina Beriguette
	Reinhard Bader	Alianza ONG Focus Group: Nicolás Cruz- IDEAC Giselle Scanlon- INSALUD Marino Tejeda- Ciudad Alternativa Magaly Caram- PROFAMILIA Argentina Gutiérrez- Participación Ciudadana Cristina Sánchez- Asociación Tu Mujer
	Diego Ruiz	Consejo Nacional de Competitividad Andrés Vanderhorst
	Diego Ruiz	DIGECOOM Emerson Vegazo
	Diego Ruiz	EU Delegation Jean Noel
	Karin Verbaken	INAFOCAM Gineira Casrillo
	Karin Verbaken	Ministerio Educacion Ma Ysabel Pichardo (teacher)
Wednesday 25	Robert LeBlanc	EU-Delegation Irene Horejs
	Karin Verbaken	Ministerio de Educación Minerva Vincent
	Karin Verbaken	AECID Salvador Muñoz
	Reinhard Bader	Ministerio de Trabajo Max Puig
	Reinhard Bader	DIGECOOM Ing. Víctor Sánchez
	Reinhard Bader	Alianza ONG Addys Then
Thursday 26	Robert LeBlanc Karin Verbaken Reinhard Bader Diego Ruíz	EU Delegation Meeting with Ambassador
Friday 27	Robert LeBlanc Karin Verbaken Reinhard Bader Diego Ruíz	EU Delegation Irene Horejs Francisco Carreras Marta Ramírez Jorge Pérez

		Jean Noel Gangloff
	Diego Ruiz	EU Delegation <i>Jean Noel</i>
	Karin Verbaken	Programa de Decentralisacion (CS y AL, Education) <i>Diana Sainz</i>

5.4 Project Fiches

The following fiches were prepared to provide additional information on key projects that the team examined in the field. Many more projects were, of course, analyzed but in lesser detail and so no specific fiches were prepared because the information obtained is already included in the inventory, in Annex 1 to this report or in the Main Report.

1. Basic data: Project number: ONG-PVD/2002/021-254			
Intervention title: Strengthening of civil society organisations by improvement actions for the Natural Resources in the Cibao			
EC commitments and disbursements:			
Initial budget €1,484,000	Revised budget same	Contracted amount €0.75m	Disbursed €0.7m
Planned start and finish dates: 01/2003 – 01/2006			
Actual (or revised) start and finish dates: 01/2003- 01/2007			
Global objective: Strengthen the capacity of management and self help of the rural population so that the beneficiaries are able to implement their own development projects. Stabilize, increase and diversify production by measures that ensure sustainability and rational management of natural resources			
Key specific objectives (abridged): Promote new alternative production, for income generation and food Promote ways to maintain and increase soil fertility and water resources Organize and strengthen the capacity of community group Strengthen grassroot organizations and local NGOs			
Impacts and results: Reduced damage by erosion Improved soil fertility Increased levels of agricultural production Use of appropriate environmental techniques Revenue increase Improved food security Better protection of natural resources			
Problems and Lessons learned (From ROM): Not available			
2. Assessment elements that were used in the evaluation			
Documents analysed			
<ul style="list-style-type: none"> ▪ Informe de evaluación de proyecto Fortalecimiento de organizaciones de la sociedad civil mediante acciones de mejora de recursos naturales – Agro Acción 			

<ul style="list-style-type: none"> ▪ Fiche de project 2002 ▪ Contrato de subvención – ayuda exterior 19/12/2002-6/11/2003
People met <ul style="list-style-type: none"> ▪ Marta Ramírez
Other (observations, focus groups, ...) : <ul style="list-style-type: none"> ▪ Discussed at focus group

1. Basic data: Project number : ONG-PVD/2001/011-755			
Intervention title: Strengthening of Civil Society participation in the Dominican Republic			
EC commitments et disbursements:			
Initial budget €1,042,778	Revised budget	Contracted amount €782,084	Disbursed €757,151
Planned start and finish dates: 06/2001 – 06/2004			
Actual (or revised) start and finish dates: 06/2001 – 02/2005			
Global objective : Contribution for strengthening of Civil Society Organizations in the D.R. which promotes positive changes and advocate for polices for poor people			
Key specific objectives (abridged): Institutional strengthening Advocacy Leadership Training			
Impacts and results: Capacities of CSO strengthened to influence in Government policies, Increased level of knowledge of community leaders that allow to play a more active role Networks operating with work plans Reduction of import and sale of warlike toys			
Problems and Lessons learned (From ROM): Not available			
2. Assessment elements that were used in the evaluation			
Documents analysed <ul style="list-style-type: none"> ▪ Three year report (Applebuy and Wood 2007) ▪ Grant contract – External Aid (20/12/2002 and 15/1/2002) ▪ Report Strengthening of Civil Society participation in the Dominican Republic 			
People met <ul style="list-style-type: none"> ▪ Marta Ramírez (EUD) ▪ Sergia Galván – Colectiva Mujer y Salud 			
Other (focus groups, ...) : No focus groups were specifically required for this.			

1. Basic data: Project number: EDF/2005/017-752			
Intervention title: Civil Society Programme (PRIL)			
EC commitments et disbursements:			
Initial budget €7m	Revised budget €6,932,000	Contracted amount €6,675,863.26	Disbursed €5,980,769.27
Planned start and finish dates: 07/06/2005 - 30/06/2012			
Actual (or revised) start and finish dates: 07/06/2005 - 30/06/2012			
Global objective : Reduce the number of Dominicans living in conditions of poverty caused by the failings of social and institutional policies			
Key specific objectives (abridged): To have programmes implemented both by state and social society conducted more efficiently and better tailored to population's need as they have take account of a well coordinated, duly considered and strongly defended position of non state actors			
Impacts and results: Increased participation of CSO in the political dialogue and development processes More participative and strengthened local powers Improved self-management and CSO organizations Capacity to formulate and implement projects with institutionalized social impacts Strengthened exchange and coordination in networks of CSO			
Problems and Lessons learned (From ROM): Increased advocacy capacity of CSOs generated increase of citizen participation in public spaces, is expected to generate processes with specific effects on the rights of vulnerable groups of society (women, disabled people) Joint actions (e.g. networks) will be adopted The limited involvement of CSOs in decision-making on strategic decisions of the program prevents a true use of the full potential of the relationship between CSOs			
2. Assessment elements that were used in the evaluation			
Documents analysed <ul style="list-style-type: none"> ▪ ROM MR02 ▪ FA PRIL ▪ Evaluación Final PRIL 2010 ▪ Eductrade – Centro de Estudios Juan Montalvo 2010 – Informe Final ▪ PRIL- Diagnostico Institucional a 280 organizaciones de la Sociedad Civil Dominicana 2009 ▪ UE-DIGECCOOM 2010 – Los actores No Estatales y las Autoridades Locales – Mapeo 2010 ▪ External Assistance Management Report Dominican Republic 2010 ▪ Selman, Ana 2010) “La Sociedad Civil Dominicana: Inicio, Articulación e Incidencia”. 			
People met <ul style="list-style-type: none"> ▪ Marta Ramirez ▪ Rafael Seiwald ▪ Manuel Tejeda ▪ Giselle Scarlon ▪ Sergía Galván ▪ Mario Serrano 			

- Ana Selmán
- Domingo Matías
- Addys Then

Other (observations, focus groups, ...):

No focus groups per se but the project was discussed at length at the focus group with NGO. The entire CSO community supports the initiative and encourages the EC to continue.

1. Basic data: Project number: EDF/2003/016-430

Intervention title: Support to the Mining Sector, SYSMIN II

EC commitments et disbursements :

Initial budget	Revised budget	Contracted amount	Disbursed €
€19,978,386	€10,021,614.19		€13,265,319

Planned start and finish dates: 31.12.2005 -30.06.2011

Actual (or revised) start and finish dates: 31.12.2005 – 30.06.2011

Global objective: Improving the country's economic performance through the development of new natural resources and the reopening of the gold mine of Pueblo Viejo. Remediate environmental liabilities associated with past mining operations at Pueblo Viejo. Reducing poverty in mining areas through job creation and development of complementary activities and services. "

Key specific objectives (abridged): Strengthen state capacity in order to promote the mining potential of the Dominican Republic for the national and international private investors. Regulate and remediate this sector, especially in terms of protection of physical and social environment in mining areas.

Impacts and results: Geo scientific information is available.

There have been increased research permit applications to DGM.

DR is the first country in Latin America that has a geological mapping at scale 1: 50,000 of its entire territory.

In the area of Pueblo viejo, the DR has the environmental information base for pollution from and a monitoring network.

150 families now have water in their homes in the surrounding communities of Laganas.

It has been designed and budgeted the reinforcement of the dam Mejita and environmental recovery, and this has served to the DR in its negotiations with Barrick Gold.

In the area of support to artisanal mining, members of the aid recipient organizations show that his production and profits have increased significantly. This represents a milestone in the fight against poverty. Also states that the number of accidents has decreased and that the project has served to improve working relationships, strengthening cooperation between cooperatives and the DGM.

The preparation of the entry of the Dominican Republic in the EITI (Extractive Industries Transparency Initiative).

Preparation of legislation on the Mine Safety and the indented entrance to the DR in the International Labor Organization (ILO).

Support for higher education in Geological Engineering in the Instituto Tecnológico del Cibao Oriental.

Seismic Zoning of the area of Santiago de los Caballero

Problems and Lessons learned (From ROM):

Needs for flexibility in planning when situation changes.
DGM must be involved to guarantee sustainability of the results

2. Assessment elements that were used in the evaluation

Documents analysed

- ROM BCS 3 (2010)
- SYSMIN Informe Final Tomo 1 (2011)
- SYSMIN Informe Fianl Tomo 2 (2011)
- SYSMIN Informe Fianl Tomo 3 (2011)
- Consorcio IEP IGME EPTISA PROINTEC – Informe trimestral No. 17 (2011)
- DIGECOOM – SYSMIN II – Informe Trimestral No. 22 (2010)
- JAR 2011

People met

- Lorenzo Martelli
- Victor Sanchez
- Octavio Lopez
- Ramón Morrobel
- Santiago Munoz
- Max Puig
- Osiris de León

Other (observations, focus groups, ...):

Highly regarded from perspective of private sector and GoDR. Issue of sustainability is a worry and is not likely to last unless national budgets are allocated. There is a concern that politicians are not supporting the regulation and compliance parts of the industry because they want to earn rents from it. There is no proof but the concern is widespread.

1. Basic data : Project number : REG/7640/000 (REG_EDF2003_016-348)

Intervention title : Developpment economique du corridor nord de l'Ile d'Hispaniola

EC commitments et disbursements :

Initial budget	Revised budget	Contracted amount	Disbursed
€53.95m	€53.95m	€53,643,656	€32,964,422

Planned start and finish dates: 13/08/2004 - 31/12/2010

Actual (or revised) start and finish dates: 06/03/2006- 31/07/2011

Global objective : Developement economique et social des régions comprises entre Cap Haïtien et Dajabon en améliorant les flux d'échanges de marchandises, de personnes ; Accroissement des activités du secteur prive ; et Conservation de l'investissement routier.

Key specific objectives: Contribuer au désenclavement et développent économique de la partie nord des deux pays, par la réhabilitation du corridor nord et la constructions d'un marche a Dajabon.

Impacts and Results:

The Northern Corridor project rehabilitated the 75 km Cap Haitien-Dajabón stretch of the national highway, and impacted by reducing the travel time between Haiti and the Dominican Republic by more than half. It also opened up the industrial center of Ouanaminthe and the surrounding agricultural area of the North and Northeast provinces of Haiti, greatly benefiting the local and national economy.

Problems and Lessons learned:

- Indicators of the log frame missed baselines on trade flows as to check-increased exchanges after project. Phase II of the same project under EDF10 aims to improve indicators and its measurement.
- Joined monitoring by the national authorities and H and DR EU Delegations was foreseen. The absence of a joint bi-national committee for monitoring the economic development of the north corridor Hispaniola was reported. Remedial action was not undertaken. Partly due to bad design but also due to missing coordination and monitoring between the two national teams at both levels (governmental & Project teams) had as ending result that Haiti did finish its works (road and bridge) whereas RD side could not finish Dajabon's Market. Not even the use of the bridge was allowed to the population.
- Even before its completion the road was borrowed and "appropriated" by the beneficiaries. Maintenance is still missing and needs to be financed under national budgets.
- The Dajabón market was "inaugurated" in March 2007 in a first stone laying ceremony yet is still under construction. Local press has extensively commented on the abandonment of the works due to unavailability of budget. Civil Society claims the bridge be opened to traffic.
- One lesson learnt was to take into consideration the fact that an infrastructure intervention in nature, needs to ensure population's participation in all stages of the project, i.e. design as well as implementation and M&E. The second phase foresees "mesures d'accompagnement".

2. Assessment elements that were used in the evaluation**Documents analysed**

- CRIS Detailed Decision Forms ;
- Action Fiches ;
- Financing Agreement & Addendas ;
- Logframe of the Project ;
- PMUs & Technical Assistance Reports ;
- ROMs ;
- External evaluations ;
- CEIRD 2010 Estudio comercio frontera con Haiti ;
- CEIRD 2010 Primer Censo Fronterizo de Vendedores y Segunda de Compradores ;
- ;
- Groupe Huit 2011 Estudio de evaluacion social (frontera) ;
- PLANET 2010 Corredor Norte - estudio factibilidad infraestructuras ;

People met

- Jean NOEL, EC Delegation Task Manager Infrastructure - Binational
- Humberto PEREZ, EC Delegation Task Manager, Economic Section
- Lorenzo MARTELLI, EC Delegation, Head of the Infrastrure and Environment section
- Lidia ENCARNACION, Directora del la seccion Integration Regional y Comercio (incluyendo las relaciones bilaterales con Haiti) – NAO (DR)
- Allen S.HENRY, Technical Adviser NAO (Haiti)
- Acelis ANGELES, Sub-Directora Tecnica, CEI-RD

Other (observations, focus groups, ...) :

FOCUS GROUP :

- Public entities: Ministry of Agriculture: OTCA; DIA; LABECEN; Ministry of Foreign Affairs; Ministry of Industry and External Trade
- Public-Private entities: CEIRD; IBI
- Private sector: Santo Domingo's Chamber of Commerce and Production;
- (Total of 9 people)
- MISSING (confirmed attendance) : Junta agroempresarial (JAD); Asociacion Industrias Republica Dominicana (AIRD); ADOEXPO. All 3 ones from private sector.

1. Basic data: Project number: RCA_EDF2006_020-702-1**Intervention title:** Transborder Environment Project (PET)**EC commitments et disbursements:**

Initial budget	Revised budget	Contracted amount	Disbursed
€4m	€6.5m	€3.7m	€1.7m

Planned start and finish dates: 30/06/2000 - 31/12/2004**Actual (or revised) start and finish dates:** 31/07/2000- 30/06/2010

Global objective: « *L'objectif global du projet est d'améliorer les capacités institutionnelles des deux Etats et des Acteurs Non Étatiques à promouvoir et mettre en œuvre des politiques nationales et transfrontalières pour la protection, la valorisation et l'utilisation durable de la biodiversité au bénéfice des populations locales et dans les objectifs de lutte contre la pauvreté.* »

Key specific objectives: « *L'objectif spécifique du projet est de renforcer les capacités de la population à gérer et valoriser les ressources naturelles, notamment dans la région des lacs Azuëi et Enriquillo. Ceci sera réalisé à travers le développement de la coopération binationale, la réalisation d'actions de protection de l'environnement et la valorisation du potentiel touristique de la région.* »

Under PET I the project aimed at reinforcing the capacity and co-operation of the two countries in the protection and conservation of the lakes bordering area and covers: 1. Centre for sustainable development; 2. Master plan for the lakes area; 3. Involvement of the populations in the sustainable development of the area. PET II focused on strengthening local actors' capacities to implement cross-border and national environmental activities.

Impacts and Results:

Eco-tourism and latrine building did not respond to their needs. Reformulated, PET II did carry activities meant to built coordination and consensus among local beneficiaries of shared needs.

For PET, the project fostered a bi-national dialogue, specifically between participating municipalities and corresponding networks such as ASOMURE and AMALA. Most activities of PET were carried out on the DR side. Only 8 activities out of a total of 17 were jointly implemented by beneficiaries Haiti and Dominican Republic.

One of the notable exceptions was the tourist infrastructure development around the Zabeth spring in Haiti where users are reported to be quite satisfied. Transfer of knowledge to participating local committees (Junta de Vecinos, Comité Consultatif Comunal) is not documented. The evaluation could not confirm any tangible positive improvement in the living conditions of the intended beneficiary population on either side of the border.

The assessment from the December 2010 evaluation and lesson learnt mission while recognizing the rich nature of the programmes and projects for the border areas hence seems

to seriously question the income generation effects of PET2 for the rural poor. In immaterial terms, however, PET2 has facilitated bi-national dialogue between different levels of state authorities with the local municipal ones as the great winner. The joint border reforestation of 100 has by a bi-national brigade positively illustrates cross-border cooperation and implementation modes between local authorities and municipalities. The strengthening of the environmental unit in the municipal administration, UGAM, is equally labeled as a significant institutionalization at the local albeit susceptible to discontinuities vis-a-vis the climate of change following municipal elections.

The most important impact was on the bi-national management by the municipal actors.

At project level, especially in PET II, more efforts to converge development plans of bi-national committees are documented. The Mayors of the local municipalities were the key player in bi-national local committees. Different common activities were carried out like meeting between the mayors in Jimani and Ganthier Cleaning of the Bi-national market of Malpasos (may 2009).

Elaboration of a common action plan for exchanges visits and other not specified activities between the Municipal Association of the Enriquillo Network (ASOMURE) DR, and the National Association of Mayors at the border (ANMF). Implementation of a WS on Prevention of environmental risks in Haiti. Regional Fair in Barahona organized by ASOMURE. The support to the municipal network in the South East of DR and around Lago Azuéli-Haiti had proven to be an effective measurement for collaboration at local level. Positive effects on the joint implementation of activities and the creation of Mayors were achieved.

Multiple references to the catalytic effect of PET/TEP or PET/TEP-like processes and approaches in national development plans as well as in national press indicate that the intended leverage effects of EC support are materializing.

Problems and Lessons learned:

Both in H and DR people's participation in defining programme activities was weak. This is partly ascribed to not having addressed their immediate food security priorities. Reformulated, PET II did carry activities meant to build coordination and consensus among local beneficiaries of shared needs.

The TEP started in July 2000 and was interrupted following a recommendation of the mid-term evaluation in 2003. Main constraints were bad management, joint administrative procedures and the general collaboration between the two country teams to achieve the objective.

The mid-term evaluation proposed different committees (joint technical advisory committee, joint project steering committee). After a prolonged period of inactivity (2004-2007) the second phase of PET focused on the development of the bi national cooperation by strengthening the coordination of the DR and Haiti actors.

As a result of the MTR, during PET II joint monitoring and steering of the projects improved, basically at local level. Only two major monitoring meetings between the UTG Dominicana and UTG Haiti took place at national level. In 2009 the budget for each of the UTG was prepared together by both national management units.

Rather than resolving the environment and territorial development issues at national scale -the joint steering committee being really functional and incapable of common monitoring of the programme the local Mayors' Association and PMUs/UTGs decided to resolve any cross-border issues locally, thus illustrating the use of their strengthened capacities. At local level monthly monitoring meeting took place where both UTGs (Haiti and DR) participated and operative concerns were dealt with.

The final evaluation of PET 2 has documented impact on the environment and involved beneficiary population of jointly planned and implemented projects although participation of the beneficiary population has on balance largely remained limited to mobilization of their labor. This is attributed to perceived differences in gainful remuneration from and hence priority of short-term agriculture and petty trade income generating activities and food security by the poor rural population versus longer term benefits such as eco-tourism development as viewed

by (local) authorities.

In PET this meant a complete reformulation of the project, with a very much strong focus later on participatory and consensus among local actors and beneficiaries. New Actions Fiches (EDF10) built on better assessment of the border region and population. Sensitiveness to this issue is incorporating “mesures d’accompagnement” aimed to ensure local ownership.

2. Assessment elements that were used in the evaluation

Documents analysed

- CRIS Detailed Decision Forms ;
- Action Fiches ;
- Financing Agreement & Addendas ;
- Logframe of the Project ;
- PMUs & Technical Assistance Reports ;
- ROMs ;
- External evaluations ;
- Groupe Huit 2011 Estudio de evaluacion social (frontera) ;
- GobRD 2007 Decreto Reactivacion Comision Mixta Haiti-RD ;
- GobRD 2009 DocBase Estrategia 2010-2011 ;

People met

- Jean NOEL, EC Delegation Task Manager Infrastructure - Binational
- Humberto PEREZ, EC Delegation Task Manager, Economic Section
- Lorenzo MARTELLI, EC Delegation, Head of the Infrastrure and Environment section
- Lidia ENCARNACION, Directora del la seccion Integration Regional y Comercio (incluyendo las relaciones bilaterales con Haiti) – NAO (DR)
- Allen S.HENRY, Technical Adviser NAO (Haiti)
- Acelis ANGELES, Sub-Directora Tecnica, CEI-RD

Other (observations, focus groups, ...):

1. Basic data: Project number: EDF2000_014-947 (FED/DO/07006/001)

Intervention title : PROBANANO

EC commitments et disbursements:

Initial budget	Revised budget	Contracted amount	Disbursed
€1,502,296	€1,502,296	€1,502,296	€1,502,296

Planned start and finish dates: 01/04/2001 - 15/12/2005

Actual (or revised) start and finish dates: 01/04/2002 - 22/04/2008

Global objective : Contribute to the economic and social development in Dominican Republic, through enhanced productive and commercial capacities of Banana producers

Key specific objectives: To improve competitiveness in the Banana sector

Impacts and Results:

The project increased the capacities of extension workers in the banana sector in improving technologies and their knowledge of EUREPGAP norms. 140 courses with 5800 participants on technology, standards and norms were delivered. Promotion material and leaflets were distributed. Major infrastructure for farmers associations was constructed to enable exports with corresponding EC standards and norms. In 2005, 713 out of 1200-targeted farmers exported a total of 77,853 tons of banana and 40 farms fulfilled the EUREPGAP norms. Thousands of new

jobs were created in the Northwest of DR, which could surpass the target of 6800 banana workers.

The country leading banana producers announced a 25% jump in exports to Europe to more than US\$58m in the first half and expect to top US\$160m in 2010. In 2009 producers exported to Europe 280,000 metric tons of bananas and expect to reach more than 300,000 by the end of the year.

Problems and Lessons learned:

The budget available was considered by the final evaluation as not enough to complete all the results;

The internal indicators of PROBANANO were result oriented but generic and no baseline was made available as to evaluate real changes following project implementation. Missing measured results are measured in a more indirect way with trade data of improved agricultural exports to EU market;

The project started with little consensus within the different stakeholders. Success of the project was made possible because of the increased effort to keep the ADOBANANO organisation fully representative of all main stakeholders;

The project did not produce data with gender distinction; their contribution (and the EC one) to closing the gender employment gap could not yet be verified;

The project was considered not sustainable enough by the final evaluation concerning the continuity of the activities carry out by the national banana association ADOBANANO.

2. Assessment elements that were used in the evaluation

Documents analysed

- CRIS Detailed Decision Forms ;
- Action Fiches ;
- Financing Agreement & Addendas ;
- Logframe of the Project ;
- PMUs & Technical Assistance Reports ;
- ROMs ;
- External evaluations ;
- CEIRD 2011 DR Statistics on Exports in goods, 2000-2010
- BID 2009 La ruta hacia el crecimiento sostenible en RD ;
- CNC 2011 Reporte IGC RD 2010-2011 indice global de competitividad ;
- DICOEX 2010 Analisis Detenciones US Enero-Diciembre 2010 borrador ;
- GobRD 2009 DocBase Estrategia 2010-2011 ;

People met

- Humberto PEREZ, EC Delegation Task Manager, Economic Section
- Lidia ENCARNACION, Directora del la seccion Integration Regional y Comercio (incluyendo las relaciones bilaterales con Haiti) – NAO (DR)
- Emerson VEGAZO FANITH, Director of the Economic and PSD support Sector , NAO (DR)
- Acelis ANGELES, Sub-Directora Tecnica, CEI-RD
- Jose CASTILLO, Director Ejecutivo CONEP
- Milagros J.PUELLO, Vicepresidenta Ejecutiva de la Camara Comercio & Produccion de Santo Domingo
- Sandra LARA, International Cooperation Manager NCC
- Marco ESPINAL, M&E coordinator NCC
- Andres VAN DER HORST, Director NCC

- Marie Louise NORTON-MURRAY, Regional & Project Expert, CDE Santo Domingo
- Marcelo PUELLO, Viceministro DICOEX
- Yahaira SOSA, Director comercio exterior DICOEX
- Kary VAN DER HORST, Sub-Directora Tecnica ADOEXPO

Other (observations, focus groups, ...):

FOCUS GROUP (Total of 9 people)

- Public entities: Ministry of Agriculture: OTCA; DIA; LABECEN; Ministry of Foreign Affairs; Ministry of Industry and External Trade
- Public-Private entities: CEIRD; IBI
- Private sector: Santo Domingo's Chamber of Commerce and Production;

MISSING (confirmed attendance) : Junta agroempresarial (JAD); Asociacion Industrias Republica Dominicana (AIRD); ADOEXPO. All 3 ones from private sector.

1. Basic data: Project number: DO/7002/001

Intervention title: PROEMPRESA

EC commitments et disbursements :

Initial budget	Revised budget	Contracted amount	Disbursed
€9.8m	€8,497,000	€8,497,000	€8,497,000

Planned start and finish dates: 22/08/2002 - 22/08/2006

Actual (or revised) start and finish dates: 01/08/2002- 31/08/2008

Global objective:

To favour and consolidate a sustainable and equal economic development increasing employment

Key specific objectives:

Support the SMEs development with high growth potential, identified as the targeted group to contribute to domestic productive modernization and expected social.

Impacts and Results:

According to the final evaluation, even if information on impact of the project was not available, the results obtained were positive. In fact, 130 seminars and conferences have been organized with the aim to improve business environment. Organizations supporting small enterprises were strengthened and a services market such as loans developed.

Interviews held in 2011 by the evaluation team where able to track some impact of this intervention. For instance, support given to the Confederation of SME Associations called CODOPYME, by enlarging membership from 15 to 50 and providing TA to start B&B services had not only positives outcomes among SMEs in a sustainable way but also permitted to increase visibility and participation in the governments policy making towards SMEs. A first law granting SMEs specific recognition and support become a reality in DR (Law No 488-08 laying down the Regulatory Arrangements for the Development and Competitiveness of micro, small and medium-sized enterprises).

PROEMPRESA's impact on employment is less clear. SME Confederation CODOPYME confirms that in 2011 EC support enabled them to organise services provisions to their members such as training and events organisation in a sustainable way. Therefore, employment was created and services aim at improving existing employment.

PROEMPRESA supported the SMEs confederation CODOPYME in order to strengthen its activities and institutional framework. EC support tripled the number of membership up to

around 50 active members. From the 50, 5 are women entrepreneur associations (firms lead by women). Out of which 4 were new members thanks to the project. In 2011, around 38 associations remains active and among these, the full 5 women associations;

Problems and Lessons learned:

Apart from increasing business value, the PROEMPRESA project aimed at increasing the exports by 20% for 2000 DR firms to be achieved through its delivery of its three components (business development services, collective efficiency and support of the dialogue between enterprises and institutions). Technical assistance, studies and capacity building activities were the main activities. Nevertheless, badly targeted indicators meant that support was made to a large amount of very small firms, which were not meant to export.

The National Institute for Vocational Training (INFOTEP) has been a partner in EC supported PROEMPRESA for employment generation activities through the use of bonds. 34 208 training vouchers, of which 17 556 related to technical assistance and 16 652 to training were provided. The final evaluation of the project (2008) saw positive results in the bond system and sustainability of it. In 2011 the system did not continue and its final assessment is that demand driven training did not work appropriately because of diluted and weak impact. A more strategic and integrated approach is required to positively affect employment. Capacity development was not assessed appropriately and at the end there was a rather weak coverage of the needs.

The project did not produce data with gender distinction; their contribution (and the EC one) to closing the gender employment gap could not yet be verified.

PROEMPRESA project scaled up previous interventions. Its design did not focus on specific sectors but followed a demand driven intervention strategy. This made impact to be diluted on many actors/firms. The expected results of the project were less evident to show since logframe internal indicators were not consistent (specific objective target to increase exports by 20% with at the same time target support to around 2000 SMEs across sectors). In practice, support was given to micro DR firms not able to export. Missing baselines render it even more difficult to track positive changes in DR firms relating to their improved capacities to trade.

2. Assessment elements that were used in the evaluation

Documents analysed

- CRIS Detailed Decision Forms ;
- Financing Agreement & Addendas ;
- Logframe of the Project ;
- PMUs & Technical Assistance Reports ;
- ROMs ;
- External evaluations ;
- BID 2009 La ruta hacia el crecimiento sostenible en RD ;
- CNC 2011 Reporte IGC RD 2010-2011 indice global de competitividad ;
- GobRD 2009 DocBase Estrategia 2010-2011 ;

People met

- Humberto PEREZ, EC Delegation Task Manager, Economic Section
- Emerson VEGAZO FANITH, Director of the Economic and PSD support Sector , NAO (DR)
- Acelis ANGELES, Sub-Directora Tecnica, CEI-RD
- William CALDERON, ADIGA Association's President; Former CODOMYPE's President (during PROEMPRESA implementation period)
- Jose CASTILLO, Director Ejecutivo CONEP
- Milagros J.PUELLO, Vicepresidenta Ejecutiva de la Camara Comercio & Produccion de Santo Domingo
- Sandra LARA, International Cooperation Manager NCC

- Marco ESPINAL, M&E coordinator NCC
- Andres VAN DER HORST, Director NCC
- Marie Louise NORTON-MURRAY, Regional & Project Expert, CDE Santo Domingo
- Idionis PEREZ, Subdirector General INFOTEP
- Edgar PIMENTEL, Gte. Recursos Externos y Relaciones Internacionales INFOTEP
- Marcelo PUELLO, Viceministro DICOEX
- Yahaira SOSA, Director comercio exterior DICOEX
- Kary VAN DER HORST, Sub-Directora Tecnica ADOEXPO

Other (observations, focus groups, ...):

FOCUS GROUP (Total of 9 people):

- Public entities: Ministry of Agriculture: OTCA; DIA; LABECEN; Ministry of Foreign Affairs; Ministry of Industry and External Trade
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MISSING (confirmed attendance) : Junta agroempresarial (JAD); Asociacion Industrias Republica Dominicana (AIRD); ADOEXPO. All 3 ones from private sector.

5.5 Focus Group Fiches**On Civil Society Issues**

FOCUS GROUP	Issue to be discussed	Date
		24.05.2011
	Valuation of EU Support Concrete results related to EC support Difficulties found in cooperation with EU Funding by EU	Place
		Office Alianza ONG
QUESTION LINE	PARTICIPANTS	
	1. Mallerlyn Lizardo, Alianza ONG Assistant of Executive Director 2. Marino Tejeda, Ciudad Alternativa, former Co-director of PRIL 3. Josefina Arvelo. Participación Ciudadana 4. Leopoldina Cairo, Profamilia. Gerente de Programación y Evaluación 5. Giselle Scanlon, INSALUD, Executive Director 6. Cristina Sánchez, Tú Mujer, Executive Director 7. Roberto Sánchez, IDEAC	
ELEMENTS EMERGED		
<p>The group consists of representatives of CSO. Some of them have received support from the EU in the framework of PRIL or through funds from thematic calls. Others have not had the support of the EU until now.</p> <p>Valuation of EU support:</p> <p>1. The persons present agreed that through the Programs of PARME and PRIL a dialog was</p>		

opened and strengthened, especially with local governments. The CSO achieved important conquests as laws 122-05 and 176-07. The group underlines that PARME and PRIL was not achieving an mutual articulation and both programs were developed in parallel.

2. PRIL offered opportunity to treat a wide variety of subjects and strengthen structures (networks). It also provided space for dialog that forced the CSO to interact with other CSO strengthening the relationship between large and weak organizations.

It was mentioned that the dialog between PRIL and the State (Ministry of Planning, Economy and Development) has been too weak in the case of the implementation of the ASFL law. (non profit organizations).

3. The support of the EU contributed to self-reliance in many CSO, to think in a more collective manor and see points in common, to the look inside and in general strengthened its dialog with the State.

Concrete results (spaces/laws/regulations) relating to the EU support:

- Project of Law of Participation
- Law and Regulation of the non profit organizations (122-05):
- Preparation of proposals for amendment to the public financing mechanisms (non profit organizations)
- Regulations for the implementation of the 4% included in the municipal law (176-07)
- Promotion and implementation of law and participatory budgeting 176-07
- Law on disability
- Incorporation of cultural rights in the constitution of 2010

Spaces of dialogue:

Spaces for dialog: SABAMAR: Promoted ongoing dialog between the CAASD, the city councils greater Santo Domingo and CSO. PARME promoted and facilitated dialog between local governments and CSO, at the national level. In addition PARME promoted forums for dialog that prompted the amendment to the act of municipal organization. PRIL promoted dialog between CSO and authorities responsible for the implementation of the law 122-05. The Center for the Development and Promotion of the non profit organizations received a rebound with this action. It also supported the Citizen Forum (Foro Ciudadano) as a space for dialog, strengthening the structure and scope.

Support for Networks which are active until today

- Citizen Forum
- Network of local cultures
- Network of Solidarity Economy
- Interinstitucional group to support the implementation of the law 122-05
- Popular Urban Network
- Redvida

Difficulties encountered in cooperation with the EU:

CSOs consider that the management of a program with a UTG is extremely costly.

Management processes in the EUD are slow and bureaucratic. Therefore small organizations with few institutional capacities do not have real possibilities to find successfully support by the EU. In addition, the group members consider that the counterpart contribution required by the EU is too high for the majority of the Dominican CSOs. An aspect extremely difficult to manage is that the EU does not recognize the expenses for paying taxes (VAT) carried out by the CSO.

Funding of CSOs by EU:

The Dominican CSOs usually attempt to gain funds where these are available. Therefore in

general do not have a preference for one or another agency for cooperation. However it is considered important and attractive to tender to local calls (such as Democracy and Human Rights) that enable them to access to those funds that other cooperation agencies usually do not offer. In addition they value their work in common and networking as the PRIL offered to CSO. Another positive aspect is that the EU does not consider any ideological conditions to receive their cooperation. Other important issue is the open dialogue between EUD and the Dominican Society.

FINDINGS/OBSERVATIONS

See above

Relevant for which EQs/ JCs/ Indicators?

EQ 4, J C 4.1, JC 4.2. JC 4.3. and JC 4.4

FOCUS GROUP	Issue to be discussed	Date
		May 23 2011
	Quality of EC aid compared to all aid Processes on getting priorities of actions	Place
		DICOEX Santo Domingo
QUESTION LINE		PARTICIPANTS
<ul style="list-style-type: none"> Is EC support focus at the appropriate level? (micro/meso/macro) Are standards certifications given expected results and are they sustainable? Which modalities do beneficiaries prefer? Which degree of participation does have all stakeholders in defining activities/priorities? Are needs assessments taken into consideration and applied? 	<ul style="list-style-type: none"> Public entities: Ministry of Agriculture: OTCA; DIA; LABECEN; Ministry of Foreign Affairs; Ministry of Industry and External Trade Public-Private entities: CEIRD; IBI Private sector: Santo Domingo's Chamber of Commerce and Production; (Total of 9 people) MISSING (confirmed attendance) : Junta agroempresarial (JAD); Asociacion Industrias Republica Dominicana (AIRD); ADOEXPO. All 3 ones from private sector. 	
ELEMENTS EMERGED		
<p>About quality of EC aid:</p> <ul style="list-style-type: none"> Studies > "the most studied country in the world" > diagnostics fix all problems but missing implementation; Concern about quality of studies (80% are not useful): eg. ISPRI did a study to start an ISPRI related unit in the Foreign Affairs Ministry, but can't be put in place with the proposal available. The unit exist now but is empty. Innovation & Technology the most visible upgrade supported by aid. E.g. Standards... EU is more flexible and more comprehensive support (equipment, training, methodologies, etc); missing sustainability. Others programmes such all ACP > e.g. Proinvest, > are not relevant in the sense they don't really look at the local needs, we must follow a pre-established format. Fortunately enough, some flexibility exist as to refocus some actions; In the agriculture sector > GIZ has best indicators; AECID did not get results until farmers withdrew; German NGO's do have best practices > positive impact & sustainable; ISPRI support contributed to results but EU's SANCO intermediation was decisive. Concerns about capacity development activities. Some training not applicable to RD context (missing inputs/equipment). Somehow, no match supply – demand. No M&E of capacities dev. results/impact. 		

- Missing results exist because of use of bad indicators not previously discuss with consensus with beneficiaries (including measure of it). Missing baselines. E.g. ISPRI: little clarity of the foreseen indicator: increased trade negotiation capacities...

About processes:

- Studies > almost all studies made by external consultants. Methodological knowledge is missing, there is nothing left other than recommendations.
- ISPRI > less relevant for negotiations (it was meant for), support came late; on the contrary, other beneficiaries say that support was in the right time (6 ISOs > laboratories > CEIRD > Firms)
- Activities > A lot of duplication > many institutions do the same support;
- CNC > implementation should be wider and inclusive to all actors (avoid “biais” – several people went onto this);
- Missing M&E + “mesures d’accompagnement”.
- From private sector perspective, budget support adds an extra lawyer of negotiation with RD gov. (both, in programming and implementation). More direct support was appreciated (& requested). There is the feeling that little land at micro level support.
- Projects should continue by the same implementing agency. E.g. certifications. Individual projects are preferred. This avoids becoming just an administrative step/filter between firms and gov.
- State is bureaucratic and depends on how is leading the entity. Aid should try to keep direct support to private sector (this was said by a civil servant).

FINDINGS/OBSERVATIONS

- (FG) Private sector missing in the meeting (focus group - although confirmed attendance) is symptom of lack of capacity.
- (FG) Tendency of stakeholders to complain and this more about processes (risk assessment) than outputs and outcomes;
- (FG) External consultants do most part of the whole analysis/implementation > Capacity Development is missing, meaning often missing needs assessments.
- (FG) Missing consensus on competitiveness approach
- (FG) Some concerns about state capacity to supply private sector needs because of bureaucracy & who is the person leading the institution. More direct support to private sector requested.
- (FG) Some concerns about quality of some outputs and its timing. Overall, EU aid results are positive and well appreciated from beneficiaries' point of view. Efforts to be made in targeting by improving results indicators and their M&E.
- Overall, private sector (missing most of it to the focus group) wants to have more direct support, thus implementation capacity. Support to mesolevel missing or results of it.
- (FG) No clear or shared gov. strategy & implementation arrangements.

Relevant for which EQs/ JCs/ Indicators?

EQ5 & EQ6, all JCs

6. KEY DATA OF THE DOMINICAN REPUBLIC

Table 54: Key Developmental Indicators for the Dominican Republic

EDUCATION INDICATORS	Most Recent Data	Year
Gross enrolment rate (%), pre-primary, total	34.9	2008
Net enrolment rate (%) pre-primary	28.1	2006
Net enrolment rate (%), primary level, total	80.0	2008
Net enrolment rate (%), secondary, total	57.7	2008
Gross enrolment rate (%), tertiary, total	33.3	2004
GPI, gross enrolment ratio in primary	0.9	2008
Gross intake rate primary	104.5	2008
Net intake rate primary	50.7	2006
Drop-out rate (%), primary	31.2	2007
Percentage of repeaters (%), primary	3.4	2008
Out-of-school children, primary, total	219,759	2008
Primary completion rate, total	90.7	2008
Percentage of repeaters (%), secondary	1.3	2008
Primary education, teachers (% trained)	89.2	2008
Secondary education, teachers (% trained)	85.5	2008
Pupil-teacher ratio, primary	19.6	2008
Pupil-teacher ratio, secondary	24.5	2008
Public education expenditure as % of GDP	2.2	2007
OTHER SOCIAL INDICATORS (estimates)	Most Recent Data	Year
Life expectancy at birth (DomRep is in the 52 nd percentile globally)	72.4	2005-10
Mortality rate, infant (per 1,000 live births)	21	2007
Mortality rate, under-5 (per 1,000) (58 th percentile)	33	2005-10
Maternal death (per 1000 births) (56 th percentile globally)	159	2007
Improved sanitation facilities (% of population)*	80	2008
Improved sanitation facilities, rural (% of rural population)*	54	2007
Improved water source (% of population with access)*	91	2008
Improved water source, rural (% of rural population)*	73	2008

* There are some discrepancies between these figures and those provided by the GoDR in its MDG reporting
 Source: World Bank CAS 200, World Bank Development Indicators and UNESCO Institute for Statistics (2008).
 Table prepared by evaluation team

Table 55: Summary of Progress on MDGs in Dominican Republic

Goals and Targets	2015 Target	Likelihood of success	Source of Prediction
Goal I: Eradicate extreme poverty and hunger			
Target 1: Halve the proportion of people whose income is less than US\$1 per day	To 14% from 28%	Possible	UNDP
Target 2: Halve the proportion of people who suffer from hunger	To 13.5% from 27%	No (now 22%)	FAO
Goal II: Achieve universal primary education			
Target 3: Ensure that, children everywhere, boys and girls alike, will be able to complete a full programme of primary schooling	To 100% from 22%	No (now 87%)	ENDESA
Goal III: Promote gender equality and empowerment of women			
Target 4: Eliminate gender disparity in primary and secondary education and in all levels educ.	To 1:1 Ratio from 1:1.25	Yes	SEE
Goal IV: Reduce infant mortality			

<i>Target 5. Reduce by two thirds, the under-five mortality rate</i>	From 58/1000 to 19/1000	Yes	ENDESA
Goal V: Improve maternal health			
<i>Target 6: Reduce by three-quarters, the maternal mortality ratio</i>	229/100,000 to 57/100,000	No	ENDESA
Goal VI: Combat HIV, malaria & other diseases			
<i>Target 7. Halt and begin to reverse the spread of HIV/ AIDS</i>	From 1 to -1.0	Probable	ENDESA PAHO SESPAS
<i>Target 8. Have halted by 2015 and begun to reverse the incidence of Tuberculosis, Dengue Fever and Malaria</i>		Yes except for Dengue which is Improbable	ENDESA PAHO SESPAS
Goal VII: Ensure environmental sustainability			
<i>Target 9. Integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental resources: Plant coverage, Protected areas, and CO2 Emissions per capita</i>	n.a.	Improbable (plant cov.); Yes (Protected areas) Improbable (CO2)	USDA Law 64-00 UNDP
<i>Target 10. Halve the proportion of people without sustainable access to safe drinking water and basic sanitation</i>	Water 17% to 8.5%, Sanit. 60% to 30%	No (water) Yes (sanitation services)	UNICEF OPS/UNICEF
<i>Target 11. Have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers</i>	From 800,000 units to 700,000 units	Improbable	WB

Source: Comisión Presidencial sobre los Objetivos del Milenio y el Desarrollo sostenible (CORPIDES) y Sistema de las Naciones Unidas en la República Dominicana (UNCT), "Evaluación de Necesidades para Cumplir con los Objetivos de Desarrollo del Milenio (ODM)", 2007

7. DOMINICAN REPUBLIC POLICY FRAMEWORK

GoDR poverty reduction strategies-overview

The Government began the preparation of a National Development Strategy in 2006 for which it convened a broad-based national dialogue, led by SEEPyD with a variety of actors from civil society, the private sector and the political spectrum. The process for the definition of this strategy was structured in two phases. The first phase discussed proposals targeting short-term issues with emphasis on the economy, social services, public administration, and institutional strengthening. The second concerned longer-term issues such as workforce adjustments and competitiveness. As of the date of this evaluation, the NDS has not been approved by Congress but has been proposed for approval by the President. It is not yet an official plan and has no force in law, and the annual budgets of the GoDR do not yet fully reflect the NDS. The implementation of the NDS (including monitoring) has not been started officially.

Even during the period covered by the evaluation, the Government's overall strategy also included 4 horizontal dimensions mainstreamed across all other pillars: (i) gender equity, (ii) environmental sustainability and climate change, (iii) democratic governance, and (iv) knowledge and communications.

Education

In the DR, the State Secretariat for Education SEE, former Ministry of Education (MINERD), is part of the executive branch and in charge of the education system, its management and orientation. It also implements all relevant dispositions embodied in the Constitution, the General Education Law, and all other laws and regulations related to pre-primary, primary and secondary education.

The education system, defined in the General Education Law, includes an initial level, two cycles of basic education, two cycles of middle level and a higher level. The initial level includes children less than six years of age. The basic level is divided into two cycles, the first from grades 1-4, the second from grades 5-8. All citizens have the right to nine years of schooling, including pre-school and eight years of basic education. These nine years are compulsory. The age of students in basic education should be 6 at the start of grade one and 14 at the end of grade 8. The secondary or middle level is divided into two cycles of two years each. The first is common to all students, while the second cycle allows for specialization into three main areas: general, technical/vocational and arts. The middle level is not compulsory. At the end, the students must take a national examination to be awarded the "*bachillerato*" (bachelor).

The Dominican Republic was one of the first countries to subscribe the commitments of Jomtien (1990) and prepare a national plan of implementation. The *Plan Decenal* followed previous national commitments for educational reform initiated at the end of the eighties through the so called *Plan Educativo*, an initiative promoted with the strong support of the business sector and civil society. Together they promoted informed dialogues on the educational situation in the DR and prepared the *Decálogo Educativo*, with ten educational goals to be met by the country within a decade.

By the time of the World Education Forum in Dakar (2000), DR had already pushed forward educational reform and implemented policies aimed at improving school coverage at pre-school and primary education levels, eradicating illiteracy and creating training opportunities for young and adults. The reform process included curricular reform, teacher training programs and managerial policies to improve the effectiveness of the educational system. The process led to the approval of a new General Education Law, launched in 1997. This normative framework established standards and expected outcomes of the educational process and enabled the decentralization of administrative responsibilities at national, sub-national and local levels, as well as community, public and private sector involvement.

After almost a decade since the *Plan Decenal*, an evaluation of its outcomes gave way to new educational strategies for the period 2003-12, focusing on improving quality and outcomes as a key asset for sustainable development. This plan, known as the *Plan Estratégico de Desarrollo de la Educación Dominicana – PEDEP* (Strategic Plan for Dominican Republic Educational Development¹⁸⁹) presented five priorities: i) *equity and democracy* (promoting early childhood care and universal access to primary education, improving the quality of secondary school, decreasing illiteracy rates and increasing the opportunities for lifelong learning) ii) *quality of education* (focused on improving learning skills and competences), iii) *teaching quality* (focused on teacher training and improvement of their working conditions), iv) *decentralization* (involvement of all relevant actors); v) *finance* (increase the economic resources invested by government and society in order to achieve this plan). In 2005 the GoDR launched the “*Foro para la Excelencia de la Educación*” (Forum for Excellence in Education) to implement the education policy and Reform with the participation of all major stakeholders. Like other countries, the DR embarked on reforms to improve its schools.

However, despite the efforts, all observers including donors and civil society agree that there continued to exist weaknesses in the Dominican educational system including three priority areas where change is needed in order to comply with the Dakar commitments: i) reach universal primary completion; ii) improve learning, and iii) expand secondary education and educational opportunities for youngsters and adults. Reports by donors and other stakeholders note that at the end of the evaluation period, some of the major challenges that need to be addressed continue to be:

- **Access by all populations, including a rural-urban gap**^{190 and 191} and moving students through the system to complete higher levels of education.

- **Internal efficiency (repetition and drop-out);** an IADB report¹⁹² indicates that of every 100 children who enter formal education only 75% complete grade 4, 63% grade 6 and 52% eight years of basic education. The situation is worse in rural zones where most education centres do not offer grade 6.

- **Quality:** Lacking public resources, even the most basic resources of adequately trained teachers, sufficient numbers of classrooms, basic teaching resources such as textbooks, and a management structure sufficient to ensure appropriate resource allocation, policy implementation and system monitoring¹⁹³ were missing. Several assessments¹⁹⁴ have underlined that there are important deficits in student learning in public basic schools, which serve more than 80% of DR's young children.

- **Public Expenditure for Education:** The Dominican Republic's expenditure on education is low by international standards and remains below the Government's own target. Central government expenditure on education was less than 2% of GDP during 1975-78, exceeded 2% of GDP during 1979-83 but reverted to less than 2% of GDP during 1984-96. Since 1997, central government education expenditures have been at levels higher than 2% of GDP, averaging 2.6% during 1997-2002. But in more recent years public expenditure in education has dropped to 1.3% of 2004; it has started to recover slowly but steadily to reach again 2.4 % in 2009. A high share of resources is allocated to recurrent expenditure.¹⁹⁵

¹⁸⁹ Plan Estratégico de Desarrollo de la Educación Dominicana - PEDEP - 2003-2012: 2003: 2 vols.

¹⁹⁰ Encuesta Nacional de Condiciones de Vida 2006 (ENCOVI 2006).

¹⁹¹ Encuesta demográfica y de salud 2007 and Alvarez, Carola (2004). La educación en la República Dominicana – logros y desafíos pendientes. In Washington: Inter-American Development Bank.

¹⁹² Primary level Multi phase for equity Program- IADB 2005.

¹⁹³ OECD Reviews of National Policies for Education- Dominican Republic 2008.

¹⁹⁴ Concorcio de Evaluación e Investigación Educativa (CEIE) 2006, Bulletins Number 1, 2 and 3, USAID Dominican Republic in:

[http://books.google.it/books?id=YXaaiT7UZw8C&pg=PA164&lpg=PA164&dq=Concorcio+de+Evaluaci%C3%B3n+e+Investigaci%C3%B3n+Educativa+\(CEIE\)+2006,+Bulletins+Number+1,+2+and+3,+USAID+Dominican+Republic&source](http://books.google.it/books?id=YXaaiT7UZw8C&pg=PA164&lpg=PA164&dq=Concorcio+de+Evaluaci%C3%B3n+e+Investigaci%C3%B3n+Educativa+(CEIE)+2006,+Bulletins+Number+1,+2+and+3,+USAID+Dominican+Republic&source)

¹⁹⁵ As recently as November 11, 2009, nine renowned educational organisations, defending the rise of the national budget, in accordance with the *Plan Decenal de Educación 2008-2018*, published a communiqué pointing out (in par. 2) “El país sigue apareciendo como uno de los que menos invierten en educación en América Latina y el Caribe. Todas las comparaciones internacionales (Unesco, CEPAL, Foro Económico Mundial, PNUD, Cuenta de Desafío del Milenio, PREAL, entre otras) han destacado sistemáticamente el bajo nivel de educación en el país. En los informes del PREAL de Progreso Educativo, el país continúa sacando una nota D (DEFICIENTE) en el tema de la inversión pública en educación. Por ello no es fortuito que

At the same time, according to the national statistics, the DR appears to be benefitting from important steps that have been taken to guarantee access to education to the majority of its population. The results of the first year of implementation of the Strategic Plan 2008-12 suggest¹⁹⁶ progress in many indicators, except in quality results (average marks in national exams), illiteracy (slight increase) and financing (lower than planned¹⁹⁷). There has been limited progress in indicators of over-age, repetition, progression, dropout and average years of schooling. Enrolment rates in the DR are reaching international levels even though part of that success has been obtained through doubling-up and tripling-up of classes. However, an illiteracy figure of over 10%, along with the low quality of the educational system, could mean not reaching the MDG in education by 2015. Compared to other countries in the region, the DR education system is at a serious disadvantage.

During 2007 and 2008, the Ministry of Education (MINERD) carried out substantive regulatory and legal work creating the framework for a new reform of the education system. More recently (2009), the Ministry has drafted the National Ten-Year Education Plan (*Plan Decenal de Educación 2008-2018*). This Plan was embedded in a broad sector development plan with appropriate financing framework, containing the key elements of a sector Medium Term Expenditure Framework (consistency with the long-term strategy, strategic actions, indicators, targets and budgetary quantification). It foresees a huge increase of the public spending in the sector, reversing the historical trend (around 2% of GDP spent in education) to reach a spending of 4.1% of GDP by 2012. The Plan proposes four main lines of action: (i) educational centres at the heart of the system; (ii) revision and reformulation of the teacher training policy; (iii) compliance with the school year and timetable; and (iv) continuous and systematic investment in education, in accordance with the State's budgetary planning, and presents 10 principle policies: the promotion of initial and basic education for all, enhancement of secondary and adult education, curriculum revision and ICT, quality and evaluation, mobilization of Civil Society (CS) for education, training of teachers, equity in education for more vulnerable groups, stimulation of participation of the family, CS and NGOs, an open, flexible and sharp structure for continuous improvement, and the mobilization of public and private and (inter)national sectors in order to achieve educational coverage, quality and equity objectives necessary to confront the economic, political and social challenges of the XXI century.

Implementation of the 10-year Plan started with a Strategic Plan 2008-2012, which includes indicators and investment goals for the initial 4-year period.

The NDS has identified, in its second strategic pillar related to social cohesion, strategic goals for education, namely: a) enact a quality education system of lifelong learning and support human development and foster active citizenship; b) universalise education from pre-school to the medium level. Specific goals and indicators have been defined on access, equity, internal efficiency and quality of education. *As a result, the Ten-Year Education Plan 2008-18 and the Strategic Plan 2008-12 are rather consistent in objectives and expected results with the education provisions in the draft NDS (draft Country Note DR).*

Trade

Over the last three decades, the Dominican Republic has adopted policies of greater openness to international trade and investment as part of its quest for economic and social progress. As a result, foreign direct investment (FDI) has played a prominent role in its economic development and in decisively shifting the export structure of the country to light manufacturing, thereby reducing commodity dependence. A new and more ambitious development goal has now been set by the current government. It focuses on making the country a regional leader in high-value-added manufacturing and services. To this end and

también en otras comparaciones internacionales, el país siga saliendo con las peores calificaciones en términos de calidad educativa, no solo a nivel regional, sino también mundial.”

¹⁹⁶ There was no EMIS at that time so the data may not be robust.

¹⁹⁷ Analysis of the 2009 Budget shows that the item education amounts to 11.6% of the total budget; of this, 77% corresponds to the Ministry of Education, the rest to 13 other government departments with education activities.

beginning in the 2007-2008 period, the Dominican authorities embarked on a number of policy initiatives to increase the international competitiveness of the economy.

The Dominican Republic regional integration efforts started in the 1980s as a reaction to the on-going economic integration process in the region, rather than a proactive strategy. A three-pronged approach characterized the Dominican trade strategy: (1) preferential access to the United States market, its largest trading partner; (2) integration with the Caribbean countries; and (3) integration with Central America.

With respect to preferential access to the United States market, the Dominican Republic was one of the 20 original beneficiaries¹⁹⁸ of the Caribbean Basin Initiative (CBI), a unilateral and non-reciprocal trade preference program of the United States initiated in 1983 by the Caribbean Basin Economic Recovery Act. The Act provided the Caribbean Basin countries with duty-free access to the United States market for most categories of products until 1990. CBI countries benefited from production sharing or the offshore production tariff, under which the duty reduction on apparel assembled in CBI countries took into account the value of United States components.

The entry into force of the North American Free Trade Agreement (NAFTA) in 1994 put CBI countries at a distinct competitive disadvantage compared to Mexico. In order to offer the Caribbean countries similar trade benefits to Mexico, in 2000 the Caribbean Basin Trade Partnership Act gave an extension of duty/quota-free treatment to access the United States market to those previously ineligible goods produced in the Caribbean. Notably, special provisions for preferential treatment of textiles and garment, leading to “textile parity” with NAFTA partners, were introduced. A second axis of Dominican trade strategy was integration with the Caribbean countries. The Dominican Republic was an observer in the Caribbean Community (CARICOM) common market from 1982 and in 1991 applied for full membership. However, the request was not accepted by the CARICOM members, as they were afraid of being swamped by cheaper goods from the Dominican Republic. The relationship between CARICOM and the Dominican Republic was finally formalized with the signature of a free trade agreement in 1998 which entered into force in 2001. The agreement eliminated tariffs for all products except for a sensitive list of around 50 categories, which did not qualify for duty concessions and another 20 products subject to phasing-in of lower tariffs. Free zone goods were also excluded. The process of economic integration by the Central American countries started in 1960 with the adoption of the Central American Common Market (CACM). This treaty was enlarged by the signature in 1998 of bilateral free trade agreements between each of the member countries and the Dominican Republic.

The agreements with El Salvador, Guatemala and Honduras entered into force in 2001 whereas those with Costa Rica and Nicaragua took effect in 2002. The main products excluded from those agreements are tobacco, sugar, alcoholic beverages and oils. In 2001, the five CACM countries started negotiations with the United States on a free trade agreement which resulted in the signature of the United States-Central America Free Trade Agreement (CAFTA) in May 2004. Negotiations between the United States and Dominican Republic on integrating the Dominican Republic into CAFTA started at a later stage, in January 2004. The Dominican Republic-Central America Free Trade Agreement, commonly called DR-CAFTA, was signed in August 2004 and entered into force in the Dominican Republic on 1 March 2007; that treaty integrated the previous bilateral agreements between the participatory countries. The DR-CAFTA removed tariffs between member countries on the majority of goods and established a phase-out schedule for the remaining tariffs. The phase-out schedule comprised timetables of 5, 10, 12, 15 or 18–20 years. Agricultural products have the most generous tariff phase-out timetables, with the agreement providing up to 20 years for some products, such as rice and dairy products. In textiles and garments, the DR-CAFTA expanded the CBI legislation by eliminating duties on nearly all textiles and

¹⁹⁸ Currently 24 countries are designated as “beneficiary countries”: Antigua and Barbuda, Aruba (since 1986), Bahamas (since 1985), Barbados, Belize, Costa Rica, Dominica, Dominican Republic, El Salvador, Grenada, Guatemala, Guyana (Guyana since 1988), Haiti, Honduras, Jamaica, Montserrat, Netherlands Antilles, Nicaragua (since 1990), Panama, St. Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago, and British Virgin Islands.

garment imports assembled from components made in DR-CAFTA countries and the United States, and removed 807 production arrangements (known as the yarn forward rule). Some woven goods, such as collars and cuffs from Canada and Mexico, will also qualify as originating, although subject to quantity limitations. The treaty includes a comprehensive investment protection chapter and a number of provisions in the area of intellectual property rights, trade in services and transparency in Government regulation, matters which the Caribbean Basin Trade Partnership Act did not cover.

The Dominican Republic has also gained preferential access to the European market thanks to the agreements of Lomé signed in 1975 and replaced in 2000 by the Cotonou Agreement which gave unilateral preferences to agricultural products, apparel and electronic components. Moreover, the Dominican Republic benefits from a generalized system of preferences granted by Canada, Japan and Switzerland among others. Much uncertainty still surrounds the potential impact of the DR-CAFTA on the Dominican economy. It is difficult to forecast the effects of the DR-CAFTA on trade and investment. Some recent estimates indicate that the agreement will increase exports to the United States between 18–20 per cent per year (World Bank Statistical Development Report-Dominican Republic, 2008). In terms of investment, such forecasts are even more difficult. It is, however, possible to foresee an increase in FDI from the United States given the improved investment treatment and protection provisions included in the treaty and an increase in investment from third countries which seek access to the United States market, as the NAFTA experience shows (FDI into Mexico increased by more than 40 per cent in the years immediately following ratification of the treaty).

The DR-CAFTA has and will likely continue to pose a number of challenges to the Dominican economy. The agreement implies that all member countries grant reciprocal tariff-free access to their markets to United States products, which will increase competition from United States goods now able to enter duty-free. Such concerns have been more pronounced with regard to agricultural products in the region overall and in the DR specifically. Over half of current US farm exports to Central America and the Dominican Republic have become immediately duty-free, seriously increasing the pressure on farm-gate prices¹⁹⁹. In that regard, the DR is expected to need external support to develop its competitiveness in much the same way as it did over the evaluation period, when industry-specific EC initiatives such as for the rum and banana industries, as well as more general competitiveness-development initiatives such as the EPA were put into place.

CSO Support

Civil society has played a major role in raising awareness about the problems of corruption, weak governance and accountability in the DR. Since the early 1990s, civil society has progressively strengthened its voice in the policymaking process, particularly by fostering public debate and influencing decision-making through concrete policy proposals around key public interest issues such as poverty reduction, state reforms and transparency. However, civil society organizations are still lacking the capacity to mobilize grassroots movements thought out the country. The weave of civil society organizations is strong both at the national and the sub-national levels, but only a few have been able to develop capacities for monitoring Government performance and transparency. An Access to Information law was enacted in 2006 although it has not been fully implemented for the lack of demand-side involvement. Nevertheless, in the last few years some coalitions have been formed aimed at strengthening their voice and influence in public affairs. The Civil Society Consultative Council - representing a wide range of CSOs- is currently monitoring social policies and regularly interacts with the Government's "social cabinet".

These organizations are also part of the "Citizen Forum" (Foro Ciudadano) which comprises more than 200 CSOs spread out through the country. The Forum has publicly denounced the

¹⁹⁹ Sources for this sub-section: United States Trade Representative, Foreign Trade Information System of Organization of American States, United States Department of Commerce, CARICOM and DR-CAFTA treaty texts, World Bank, Economist Intelligence Unit. This sub-section is an extract from UNCTAD "Investment Policy review-Dominican Republic" 2009.

impunity of several corruption cases, and has also put forward proposals for increasing transparency and access to information. Some CSOs have lately started to focus on monitoring the public budget, particularly the national budget and the allocations to social expenditures.

In the past decade or so, the GoDR has also passed a number of laws and regulations dealing with the establishment and recognition, by the state, of the legitimate role of Civil Society. Some of these were the subject of EC support in the PRIL Programme, including:

Table 56: Selection of laws and regulations concerning civil society in the DR

Ley 122-05 "para la Reglamentación y Fomento de las Asociaciones sin fines de lucro en República Dominicana
Reglamento para la aplicación de la Ley n.122-05 Vigente
Ley 176-07 de Municipios Vigente
Modificaciones al anteproyecto y reglamento de la ley 42-00 sobre discapacidad
Ley de Participación Social
Reglamento Ley de Participación Social
Ley de Vivienda, Habitat y Ordenamiento territorial
Ley de Economía Solidaria
Art. n. 222 Constitución sobre Economía Solidaria
Art. n. 53 Constitución sobre derechos culturales
Art. 52 de la nueva Constitución sobre derecho a la educación

Source: Evaluation Team compilation 2011

Mining

The Dominican Republic has a wide variety of policies that cover all aspects of Mining, from the general application of the Mining Law (Ley Minera de la RD No, 146) to a number of cross-cutting laws and regulations of biodiversity protection, noise, pollution abatement and worker safety. The following list gives a brief (but necessarily incomplete) list of applicable policies.

Table 57: Key Laws and Regulations in the Mining sector in DR

Biodiversity	Bill for a Biodiversity Law	Biodiversity	Bill for a Biodiversity Law
Consumer Protection	General Law on Protection of the Rights of Consumers & Users	Consumer Protection	General Law on Protection of the Rights of Consumers & Users
General Environment	General Law on the Environment & Natural Resources	General Environment	General Law on the Environment & Natural Resources
General Environment	Regulation for Environmental Control, Enforcement & Inspection & the Application of Administrative Sanctions	General Environment	Regulation for Environmental Control, Enforcement & Inspection & the Application of Administrative Sanctions
Environmental Licensing	Regulation of the System of Environmental Permits & Licenses	Environmental Licensing	Regulation of the System of Environmental Permits & Licenses
Hazardous Substances/ Hazardous Waste	Law 218 on Imports of Wastes or Substances/Products Banned, Not Approved or Withdrawn for Being Hazardous	Hazardous Substances/ Hazardous Waste	Law 218 on Imports of Wastes or Substances/Products Banned, Not Approved or Withdrawn for Being Hazardous
Hydrocarbons	Environmental Norm for Service Stations	Hydrocarbons	Environmental Norm for Service Stations
Mining	Mining Law	Mining	Mining Law
Mining	Regulation for the Application of the Mining Law	Mining	Regulation for the Application of the Mining Law

Source: http://www.temasactuales.com/laws_policies/legislation_Dominican%20Repub.html

8. EC REGIONAL STRATEGIC OBJECTIVES AND PRIORITIES

The EC Regional strategy Papers covering EDF9 and EDF10 are the frame for the Regional Indicative Programmes and are based on the policy agenda of the Caribbean Forum of the ACP States (Cariforum). The role of CARIFORUM is two folded: to coordinate the allocation of funding and to manage the RSP/RIP implementation as well as the implementation of other regional programmes financed by EU Member States among other donors. Indicative programmable financial resources are made available for the CARIFORUM.

EDF9 RSP

The overall aim of the EDF9 Regional Support Strategy is the beneficial integration of the Caribbean region into the world economy through a global repositioning aimed at achieving sustainable economic growth, regional cohesion and stability and continued improvements in living conditions. Support to regional integration aims the establishment of a harmonised economic space that will contribute to achieving greater competitiveness. This will facilitate the Caribbean to engage in a structural transformation and repositioning of its economy, to enter into advantageous international trade negotiations, and ultimately to achieve Cotonou's central objective of poverty reduction.

Intensification of the Regional Integration has been selected as the focal sector in order to increase market opportunities, improve the attractiveness of investments and achieve greater economies of scale. The strengthening of trade-related capacity should enable the Caribbean region to play a full part in and take full advantage of international trade negotiations, which involve the WTO agenda, the Free Trade of the Americas (FTAA) and Economic Partnership Agreement (EPA) negotiations with the EU. Regional economic space should be enhanced enabling the region to seize new and diversified opportunities.

As Non-focal sector, the support strategy assisted the Caribbean region in fighting major vulnerabilities that pose serious constraints on regional economic development and political and social stability. Support to drugs control focuses on developing and implementing regionally rooted strategies on demand and supply reduction. Support to disaster management centres on strengthening a comprehensive regional disaster strategy.

The Medium-Term-Review (MTR) of the CARIFORUM EDF9 Regional Indicative Programme concluded that despite programming delays, there was no need for the region to adjust its strategy. The MTR pointed to policy and institutional issues which, when addressed, would resolve programming constraints. The 2005 Joint Annual Report did not show any significant progress in the levels of primary commitments in the EDF9 Regional Programme over the MTR but reflected progress made by CARIFORUM in its regional economic integration and cooperation process, particularly in respect of the CARICOM single Market and Economy (CSME). Even if the 2005 evaluation did point to the absence of political dialogue on both programming, implementation and impact, the EDF9 RIP End of Term Review (ETR) conclusions specify that "significant progress was made by CARIFORUM in its original integration and cooperation process particularly in respect of the CARICOM Single Market and Economy (CSME)" and that "in view of the fact that the EDF9 MTR for the CRIP was a special case and was only adopted in 2006, there are not any significant changes with respect to the MTR conclusions".

EDF10 RSP

The EU Regional Strategy for the period 2008-2013 covered by the EDF10 is based on the policy agenda of CARIFORUM States, the ACP-EC Partnership Agreement, the EU Communication on the Caribbean of 2 March 2006 and the related Council Conclusions, as well the statement of European Union (EU) Development Policy of 20 December 2005. It is also based on the CARIFORUM-EC Economic Partnership Agreement (EPA). The Regional Indicative Programme (RIP) is financed through an allocation of €165m. The Regional Strategy (RS) takes into account political developments which point to stability in the Region including restoration of the democratic process in Haiti and assistance to that country in its

development efforts. It also takes into account historical and current economic features and trends in CARIFORUM. More particularly, the RS seeks to frame the assistance to CARIFORUM countries in their economic diversification efforts, namely to move away from over dependence on commodity exports and into services. Such assistance is provided through support for regional integration and cooperation efforts aimed at developing economic competitiveness and gradual entry into the global economy. The RS takes into account the special relationship between the CARIFORUM and the EU through provisions to assist the region in fully implementing and deriving maximum development benefits from the CARIFORUM/EC EPA. Lastly, the RS also takes into account the physical and social vulnerabilities having the potential to negatively impact on regional economic and social development. The RS became a frame of reference for the RIP supposed to become a point of reference for bilateral cooperation involving EU Member States in the promotion of regional integration and support for EPA implementation (via regional Aid-for-Trade packages).

On that basis, the RIP is anchored in one (1) single focal sector 'Regional Integration and Cooperation', which is indicatively allocated 85-90% of the available EDF10 Regional Resources. The areas of intervention selected within that focal sector represent the existing levels and the various integration and cooperation processes in which CARIFORUM countries are involved.

The non-focal sector of the RIP continues to address vulnerability and social issues having the potential to negatively impact on the development efforts of the region. 10-15% of the RIP is allocated to activities in the non-focal sector.

9. RESULTS AND RECOMMENDATIONS OF THE PREVIOUS COUNTRY STRATEGY EVALUATION

The Dominican Republic Country Strategy Evaluation (CSE) was carried out as one of a series of CSE exercises on EC assistance programmes worldwide, undertaken on behalf of the Evaluation Unit in the Joint Service for the Management of Community Aid to Non-Member Countries (SCR). The final report is dated August 2000.

For ease of reference, the Executive summary and the list of recommendations are reproduced in this annex. Editing has been carried out on the format of the executive summary and recommendations section, but not on their content.

Executive summary²⁰⁰

1. Relevance of the strategy

Country analysis

1. *Political situation.* The transition from an authoritarian, clientelistic system to a more democratic political system has been difficult. However, the transition is consolidating, particularly with the 1996 and 2000 elections. The political system has contributed to long-standing weaknesses in public administration: poor budget management, institutional fragmentation, and a weak civil service. The high discretionality and limited accountability of the executive exacerbate the confrontational nature of party politics.

2. There is recognition of the increasing role of civil society in the reform process. Civil society actors have been involved in a number of efforts at consensus building, the most recent being the 1999-2000 *mesas de trabajo* led by the Catholic university (PUCMM) and the World Bank (see box on page 3) and Foro Ciudadano. There has also been a process of consolidation of community-based organisations, particularly in Santo Domingo.

3. On coming into office in 1996, the Fernández administration moved an ambitious reform programme (including governance) onto the national agenda. However, a clear strategy does not seem to be being followed and governance problems remain.

4. *Economic situation.* The economy has been growing particularly rapidly since 1995, with little inflation. This is partly attributed to the growth of the US economy, to foreign investment, to the success of the 1990 reform measures and the role of the Central Bank. However, there is marked duality and a number of possible sources of vulnerability.

5. *Social developments.* Discussion of poverty is severely limited by the poor knowledge of its extent. The country is middle income, but inequality is high, and the neighbouring country (Haiti) is the poorest in the Americas. There is a perception that high growth has not benefited the poorest. Expenditure on basic social services has historically been low and inefficient and has not targeted the poor.

6. Environmental problems have increased, particularly deforestation and pollution in coastal areas. Solid waste collection and disposal is weak. Drug trafficking and money laundering appears to have increased.

7. *Integration into the world economy and into the region: good progress.* The economy has become increasingly integrated into the world economy, with significant investment from abroad and diversification away from primary exports, with rapid growth of free trade zones and tourism. Some sectors are still protected, but a gradual process of trade liberalisation was begun in 1991. The Fernández administration has signed free trade agreements with Central American countries (CACMA) and CARICOM and membership of the WTO, the Association of Caribbean States (ACS) and work for the FTAA. The integration to the world economy has been one of the key priorities (and successes) of the Fernández administration.

²⁰⁰ "Evaluation of EC country Strategy: The Dominican Republic 1996-2000" Evaluation Unit, Common Services for External relations, European Commission.

8. Relations with Haiti have historically been difficult, but the two Governments have become much closer since 1996.

9. *Donors in the Dominican Republic.* The level of official development assistance is relatively low, and the country is not under an IMF structural adjustment programme. However, the IDB and the World Bank have recently increased their portfolios. Relations between the Govt. and donors are motivated in large part by trade and geopolitical objectives.

10. Major donors are beginning to identify weak governance as a key constraint in the Dominican Republic. There has been insufficient focus by donors on the transparency and efficiency of the budget process and public administration reform.

11. The Govt. has weak aid coordination mechanisms. Most aid is handled by the Secretariado Técnico de la Presidencia (STP), but is not integrated with the Government budget planning and implementation process (which is very weak). EC aid is handled by its own Ministry, the NAO office, which in practice has limited interaction with the STP.

Relevance of EC strategy to country needs - Preparation of the strategy

12. The EC's country strategy was prepared under the Balaguer Govt., before the Presidential elections of 1996. However, the Country Strategy Paper (CSP) did not consider the scenario of a change in Govt. Consequently it was revised only a few months after approval. Reform and modernisation of the State was introduced as a new principal sector, but with limited analysis of the prospects of success of the reform programme.

13. While donor coordination was in general weak at that time, Member States were consulted on the CSP. Consultation with other donors was weaker. The CSP did not present an analysis of complementarity.

14. There was very limited consultation with representatives of civil society.

Assessing the strategy documents

15. The CSP offered a clearly presented analysis of the principal constraints on development, but did not benefit sufficiently from assessments of previous interventions.

16. The revised CSP and the 1997 NIP included 3 focal sectors: reform and modernisation of the State, water in urban areas, and health and education. There was limited justification of the choice of sectors, and concentration was further diluted by including interventions in the private sector, farming, regional programmes with Haiti and interventions (outside the NIP) such as Sysmin.

17. The revised strategy gave emphasis to governance, civil society and poverty. However, there was insufficient analysis of the viability of key interventions (in institutional reform, decentralisation, and financial management) and of their demands on staff. The choice of sectors was not based on the EC's relative advantages.

The EC's programme

18. The Dominican Republic signed the Lomé Convention in 1989. The 1st NIP included €85m of project aid, while the 2nd NIP (since 1997) amounted to €106m. EDF7 commitments also included structural adjustment support (€31m) and through the Sysmin (€23m). Budget line contributions have been relatively small.

2. Performance of the EC's programme

The analysis focuses on EDF7 interventions, and on the likely impact of EDF8 interventions.

Governance and the rule of law

19. 1st NIP programmes were not targeted at governance or the rule of law, even though weaknesses of Govt. systems and financial controls contributed to significant implementation problems (including in support to the NAO office). Financial management problems affected the EC's relationship with the NAO office and were very time-consuming for Delegation staff.

20. The 2nd NIP includes two major programmes in this area. *PARME* (support for State reform, €29.5m) is the most important and includes components for judicial reform, reform of the central public administration, and decentralisation (the largest component).

21. The second largest project in the 2nd NIP, *SABAMAR* (water and sanitation in Santo Domingo, €21.8m) has been innovatively designed, with components linking local government and community organisations. It is consistent with a bottom-up approach to improving governance.

22. These programmes increase the relevance of the EC's strategy, but their success may be curtailed by over-complex design, and by insufficient institutional analysis and coordination with other donors (see below).

Poverty reduction

1st NIP

23. 1st NIP interventions focused on poverty through programmes which targeted the poorest areas, though their impact has been limited by the weakness of Govt. institutions and by a somewhat greater emphasis on construction than institutional components.

24. For example, *PRIDEP* (€6.2m), which targeted basic education in 3 of the poorest provinces, was found by evaluations and audits to have weak results and poor management. *Structural Adjustment* support operations appear to have shown similar problems. *PROLINO*, an integrated rural development programme (€23.6m), was relatively more successful, but a midterm evaluation still found it to be less successful than initially intended (although findings are disputed by the Delegation). *PRISA* (health-care in some of the poorest provinces, €10.5m), had important successes, e.g. working with NGOs in basic sanitation, but institutional strengthening may have been constrained by weaknesses in the Ministry of Health. Interventions supporting the private sector (*PASP, Los Toros and Sysmin*) did not target poverty.

2nd NIP

25. *2nd NIP* interventions continue the poverty focus but with more policy and institutional components, increasing their likely poverty impact. For example, learning from the experience of *PRISA*, the Health Sector Reform programme (€12m) aims to strengthen institutions in the health sector at both central and decentralised levels. However, while the Technical and

Professional Education programme (€11.8m) includes institutional components, it does not focus on poverty.

26. *SABAMAR* is a key innovative intervention in this area and targets water and sanitation for approximately 480,000 inhabitants in 16 marginal districts in Santo Domingo. If successful (see section below) it would have a high impact on poverty.

27. Moreover, if successful, the *focus on governance* should also have an important impact on poverty (e.g. *PARME*), through improving the efficiency of service delivery by central and local governments.

28. A number of smaller projects are likely to have a positive (though localised) impact in reducing poverty: Reconstruction of Schools (€7.2m) and Reconstruction of Road

Infrastructure (€6.5m). Bi-national projects with Haiti in the regional programme appear to offer considerable scope for replication (with due care for design and financial controls).

Environment and gender

29. Evaluators found insufficient focus on gender and environment issues in EC aid programmes. However, recent interventions show a greater inclusion of gender equality components and in a few programmes gender equality indicators are being used to monitor the Govt.'s progress relative to its policy commitments.

30. Even though there are significant environmental problems in the Dominican Republic, the EC programme has had a weak environmental focus. The EC lacks an overall strategy and has learned few lessons in this area (q.v. weakness of the Sysmin evaluation). It is expected that *SABAMAR* could begin to redress this imbalance. A few EC projects have included specific activities targeting the environment, including the new Environmental Trans- Border Project (€4m regional programme).

Regional cooperation

Improved cooperation with Haiti

31. The EC's programme is likely to have had a positive impact on relations between the Dominican Republic and Haiti, which in the past have been poor. This is a result in part of the accession of the two countries to the Lomé agreement in 1989, their work in CARIFORUM, and their experiences in the management of bi-national projects in the Regional Indicative Programme.

32. There appear to be benefits from joint project identification and implementation in bi-national projects, though projects have so far been relatively small. They contribute to high-level contacts between Govt. ministers and officials of the two countries, as well as regular meetings between the Heads of the EU Delegations and the NAOs.

Greater integration into the world economy and free trade agreements

33. The Govt. believes that membership of Lomé has supported the Govt.'s strategy of integration into the world economy through a series of free trade agreements, in particular with regional groupings. Lomé is to have contributed by building the country's economic and political relationship with the EU and other ACP countries – in particular other Caribbean states. The negotiations on the free trade agreement with CARICOM also appear to have benefited from experiences within the Lomé framework.

34. However, while the Caribbean regional programme may have contributed to greater mutual understanding, recent evaluations found a number of weaknesses which limit the impact of the Caribbean regional programme on regional integration. It is appreciated by Governments often for its contribution to national interests. Regional project designs are often fragmented, with limited regional links between components, and complex project management structures. Some of these weaknesses may reflect the weak situation of CARIFORUM.

3. Explaining the EC's performance- Strengthening institutions

Central government

35. The focus on strengthening Government institutions has increased considerably in the 2nd NIP (PARME, Health Sector Reform, Technical and Professional Education) but considerable care is still needed.

36. 1st NIP interventions had limited success in this area and in a number of cases faced financial management problems (including support to the NAO office, PRIDEP, PROSIP).

37. Factors limiting the effectiveness of EC efforts include: *insufficient analysis of institutional and political constraints, and the inter-dependence of reforms*. The success of sectoral reforms is dependent on the overall reform of the budget process and civil service reform.

38. *Difficulty in selecting appropriate Government institutions for support*. Donors should only support sector reform if there is already evidence that reform actions have been taken. Selection is also complicated by institutional fragmentation in Government and the duplication of institutions. A specific problem is that donors often work in the same sector with different counterparts. In some cases the fact that the EC works with the NAO has meant that EC

programmes do not have the highest institutional support.

- The EC supported State reform before the Government had carried through actions demonstrating commitment to reform. The EC's counterpart is the Presidential reform commission (CPRyME), which has received limited financial support from the Govt., which may indicate limited political support. IDB has a different counterpart.
- EC support to health sector reform has not ensured commitment and management capacity from the Ministry. IDB and the World Bank support reform through a different counterpart.
- In Technical and Professional Education, while the design of the EC's programme recognises institutional constraints, the Directorate General within the Ministry has not yet demonstrated either commitment or capacity.
- SABAMAR – stakeholders suggest that the strength of CONAU (the coordinating counterpart) does not match the demands of this programme.

39. *Over-complex design* contributes to projects with too many components, complex management structures and difficulties in monitoring (e.g. possible problems for *PARME* and *SABAMAR*). Evaluations show that 'hardware' components tend to be given priority over capacity-building (e.g. *PRIDEP*), though some 2nd NIP programmes involve 'phases', with 'hardware' components only beginning on completion of an initial 'software' phase.

40. *Excessive use of PMUs and international consultants and the use of salary supplements to civil servants* have been identified as having a detrimental effect on government institutions and the morale of civil servants. Donors, including the EC, continue to use project management units. This is compounded by the slowness and lack of flexibility of EC procedures for institutional support (e.g. resulting in critical delays in the support to justice reform)

Civil society and local government

41. EC interventions in the 1st NIP and particularly the 2nd NIP provide important support to civil society, but the EC still lacks an overall strategy in this area.

42. *Some 1st NIP interventions*

- Puerto Plata supported delivery of services through civil society and promoted a process of concertation between local authorities, civil society and the private sector.
- A success of PRISA was the collaboration with NGOs with well-known technical and organisational capacities, which in turn were able to mobilise social participation.

43. However, in some 1st NIP projects, infrastructure components took priority at the expense of community participation elements (e.g. *PRIDEP*).

2nd NIP

44. The EC reinforced its support to local governments and civil society, principally through *PARME*. 60% of *PARME* funds are for decentralisation, strengthening local government and partnerships with civil society.

45. Also *SABAMAR* offers innovative support to local government – civil society partnerships. About half of *SABAMAR* will be implemented either by NGOs or microenterprises or will

support the capacity of community-based organisations and their partnership with the municipality (ADN).

This should empower civil society organisations and contribute to sustainability.

46. *Factors limiting effectiveness.* The EC does not yet have an overall strategy to strengthen civil society organisations in the Dominican Republic, and consultations are not carried out in a systematic manner.

47. In addition, Delegation staff have limited expertise in the analysis of civil society and decentralisation. As a consequence, the EC has had some difficulties gaining the endorsement of ADN within SABAMAR. The EC also needs more resources for better coordination, e.g. to monitor the INTECIDB programme and the PUCMM-WB consensus-building exercise.

48. A particular difficulty is selecting appropriate civil society organisations to support, which is usually labour-intensive. The Microprojects programme is supported by a PMU, but EC approval is still required for each project selected.

Donor coordination

Government's coordination role

49. The Government does not have a strong planning and budgetary process in which donor initiatives could be integrated. Moreover, there is no single Government department that coordinates all donor aid. In practice, the Secretariado Técnico de la Presidencia (STP) is in charge of all donors except the EC which has a special ministry dedicated to it. The STP is also in charge of planning and implementation of the Govt. budget.

50. The location of the NAO office affects the coordination of EC programmes because the STP has stronger institutional links with line ministries and the budget and also coordinates other donors. Interaction between the STP and the NAO has been weak. Moreover, in the past, audits of the support to the NAO office and counterpart funds have identified weak internal financial management in the NAO office. This has been time-consuming for the Delegation.

51. At sectoral level, the duplication of Govt. institutions has led different donors to work with different Govt. units on similar tasks.

52. Some donors argue that the Govt. prefers donors to act separately, so that funds can be accessed with fewer conditions of transparency. At the same time, the Govt. notes that donors are often in competition with each other for the allocation of funds.

Coordination at strategic level

53. Coordination has been very weak but has improved since 1998, particularly through the efforts of the new Head of Delegation. However, meetings were only at Ambassadorial level (limiting their technical usefulness). Only now (February 2000) have sectoral coordination meetings begun and lead sectoral donors been selected. Little complementarity was observed between most key donors.

Coordination of specific interventions

54. While relations between the EC and other donors are often good, interventions are designed with little coordination among key donors. This can result in overlap or fragmentation of reform efforts, and in competition for Government resources.

55. The EC and the IDB are working with different counterparts in both public administration and health sector reform. While there may be debate as to which is the most appropriate counterpart, it is more important that donors choose the same counterpart when supporting sectoral reform. In *SABAMAR* and *Technical Education* more coordination between the EC and other key donors is also needed. The EC is trying to coordinate its *private sector support* with other key donors. Sectoral reform should include a mechanism to ensure coordination and complementarity.

56. The EC, IDB and USAID expressed to our mission a keen willingness to improve the coordination of their interventions.

57. The Govt. generally follows each donor's own implementation procedures. Little focus has been given so far to strengthening the Govt.'s budgetary and implementation procedures.

Factors limiting coordination

58. As well as the Govt.'s institutional weaknesses, coordination is also constrained by the limited in-country decision-making and staff resources of the EC and by the EC's extensive use of international consultants.

Commission resources and procedures

EC programme shows weak focus

59. Limited focus has made it difficult for staff to develop expertise in key areas. Each Delegation adviser manages a portfolio of projects often across a wide range of areas.

60. The 2nd NIP further reduced the focus of the EC programme by (a) moving from programmes with a relatively narrow geographical scope to programmes involving institutional strengthening in central Govt. as well as support for civil society, and (b) introducing new sectors (e.g. State reform) and sub-sectors (e.g. technical education).

EC staff resources are over-stretched

61. Staff resources are over-stretched by a high commitment and disbursement requirement, time-consuming administrative procedures, complex projects, reliance on consultants of variable quality, and shortage of staff with specialist skills (in institutional strengthening and support for civil society, poverty, gender, and the environment).

62. Staff therefore have little time to devote to project design, monitoring either projects or wider developments in the country, or consultation with beneficiaries.

Weak learning systems

63. Learning and knowledge-creation within the Commission is weak. As a result of the pressure on staff time, insufficient analytical work is carried out by the EC in the Dominican Republic. Most analysis is tied to projects.

64. Monitoring and evaluations are not carried-out systematically and there are important gaps in financial audits. There have so far been few final evaluations, midterm reviews are often carried out too late in the project (allowing for limited possibility of changes to the project), and the use of impact indicators is weak.

65. Nevertheless, in a number of cases midterm reviews and evaluations have given important feedback to Commission staff, which has acted on this information.

Table of evaluators' recommendations

A) Ensuring relevance of the strategy: the EC's strategy objectives should be good governance and poverty reduction. Flexibility should be built into the strategy, with different scenarios. The strategy should be closely linked to trigger actions in institutional reform and in the Government's focus on poverty, which should help determine the amount of aid and the type of interventions (support to central Government or local governments and civil society). The EC strategy should be linked to civil society processes working to build a national consensus.

B) Increasing the focus of EC aid:

- i. the EC should focus on 2 narrowly defined areas of intervention: (1) health sector reform, and (2) strengthening governance, civil society and local governments.
- ii. a secondary area should be bi-national projects with Haiti.
- iii. if the Dominican Republic became eligible for *structural adjustment support*, there should be a careful evaluation of previous experience, and support should only be given in a joint donor approach focusing on clear benchmarks of progress in budget and public administration reform.
- iv. if *Sysmin* and *Stabex* were used, they should target good governance and poverty reduction. A careful re-examination of *Sysmin* would also be needed.
- v. the EC should reconsider its support for education and for the private sector.

C) Health sector reform: the EC should take a lead role in health sector reform, but support should be based on assessments of progress in capacity and commitment. Donors should work jointly and use the same Government counterpart. Support should work within existing Government structures, focusing on incentive systems, not international consultants. EC should support the lead of other donors on public administration reform and other sectors (justice).

D) Governance and civil society: The EC should support good governance through:

- i. local government – civil society partnerships. Support should focus on one sector – possibly water and sanitation or sustainable rural development.
- ii. supporting civil society independently of Government. This should be through funding intermediaries, which would allow support across many sectors.

PMUs should be accountable to decentralised or community-based institutions and be subject to regular financial audits and external evaluations..

E) Donor coordination: the EC should:

- i. support (with other donors) reform of the Government's aid coordination institutions, including the NAO office. Ideally, all external assistance should be coordinated by a single Government unit.
- ii. allocate more staff to coordination at technical level.
- iii. support consensus-building processes in civil society, with other donors, and use the results in strategy preparation.
- iv. be particularly active in sectoral coordination in the health sector, seeking complementarity.
- v. work actively towards joint pools of TA, common funds to support sector reform, and co-financing.
- vi. support joint donor actions in monitoring and evaluation. Systematic consultation on project preparation with the IDB and USAID should be piloted.

F) Resources and procedures: the EC should:

- i. simplify procedures, including de-concentration and ex post audits.
- ii. reinforce specialist skills in the Delegation.
- iii. create a programme administrator position, nominate contact staff on gender and environment, and a Delegation-level quality support group.
- iv. allow Delegation advisers more involvement in project design.
- v. avoid complex projects or projects with too many components.
- vi. Introduce systematic monitoring and evaluation, including rigorous audits –by internationally accredited companies when necessary- of all key interventions, with participation of other donors and civil society.

10. MINUTES TO THE SEMINAR FROM SEPTEMBER 12TH, 2011 IN SANTO DOMINGO, DOMINICAN REPUBLIC

Minutas del Seminario de Diseminación sobre la Evaluación a Nivel País de la Estrategia de Cooperación de la Unión Europea en la República Dominicana 2000 - 2009

Santo Domingo, 12 de septiembre 2011

Hotel Holiday Inn, Santo Domingo

Minuta tomada por: Noemi Araujo Martínez

Presentación (ver anexa)

Documento estratégica (ver anexa)

El seminario se inicio con las palabras de apertura pronunciadas en el orden que aparecen:

Delegación de la Unión Europea en la República Dominicana, Jefa de la Delegación Embajadora. Irene Horejs

El seminario se inicio con las palabras de bienvenida de la Embajadora H quien explicó el propósito de la evaluación como un rendimiento de cuentas a los ciudadanos y al parlamento europeo. De igual manera, expresó la importancia de esta para la continuidad de la cooperación al desarrollo por parte de la Unión Europea.

Ordenador de los Fondos Europeos de Desarrollo, Secretario de Estado, Dr. Domingo Jiménez

El Secretario de Estado motivo al debate para enriquecer esta evaluación. Dijo que la cooperación al desarrollo de UE es la más grande en monto que la Rep. Dom. recibe y valoró como muy positivo el aporte a través de estos años; el cual ha tocado temas importantes como agua, salud, medioambiente e integración regional. Estimó como relevante la participación de los asistentes para contribuir a esta evaluación y extraer lo mejor de la misma.

Unidad de Evaluación de la Comisión Europea (DEVCO), Sra. Catherine Pravin

La Sra. Pravin representante de la DEVCO, explicó que la Unidad de Evaluación de la Unión Europea funciona por mandato de la Comisión. DEVCO tiene la responsabilidad de mejorar las acciones y las practicas de la cooperación europea y rendir cuenta a los ciudadanos europeos, quienes contribuyen con sus impuestos a la cooperación al desarrollo de los países ACP. También, explicó brevemente la metodología utilizada por el equipo de consultores, la cual es una metodología estandarizada. Dijo que la metodología prevé alrededor de 10 preguntas. En el caso de la RD hay ocho preguntas sobre las cuales se ha hecho la evaluación y sobre las cuales se discutirá en el día de hoy. Además, agregó que la metodología esta disponible en la red de Internet.

Líder del equipo evaluador, Sr. Robert Leblanc

El Sr. Robert Leblanc presentó el Marco de la Evaluación de la Cooperación de la Unión Europea en la República Dominicana procediendo a presentar la visión general de la evaluación de la cooperación europea con la República Dominicana, desde agosto del 2000 hasta el 2009. Los temas centrales de esta cooperación han sido la Reducción de la Pobreza y la Gobernabilidad. La evaluación reviso el desempeño, el desarrollo de una capacidad sostenible para que la República Dominicana (RD) pueda independizarse de la cooperación, y por último, la eficacia y la eficiencia de la Comisión Europea (CE) para identificar si hay problemas sistemáticos que afecten el logro de los objetivos de la estrategia.

Las principales conclusiones arrojadas por la última evaluación (del periodo 2000 - 2009) fueron que: La coordinación entre la UE y Gobierno dominicano era débil; el diseño del programa era excesivamente complejo; faltaba una estrategia general para trabajar con las Organizaciones de la Sociedad Civil (OSC); insuficiente análisis; pobre selección de las

instituciones apropiadas; los programas eran muy complejos con muchos actores involucrados. El señor LeBlanc estuvo leyendo de un documento la estrategia, indicando que era necesario hacerlo a fin de presentar un punto de vista completo de la estrategia.

En este sentido las recomendaciones ofrecidas por los técnicos de la presente evaluación han sido: Enfocarse en **gobernabilidad y la reducción de la pobreza**. Con relación a la **reducción de la pobreza** concluyeron que los esfuerzos fueron dirigidos principalmente a la reducción de la pobreza, pero no tocaban la brecha de equidad socio-económica, una cuestión importante en el país.

En cuanto a **gobernabilidad**, la Comisión Europea (CE) había elegido apoyar poco a poco a la Sociedad Civil a participar en la formulación de políticas. Los resultados fueron alentadores. No obstante la atención dada a otros aspectos de la gobernabilidad, en particular a la democracia y a sus instituciones, a lo derechos humanos y a la lucha en contra de la corrupción, los resultados fueron relativamente estrecho en su alcance e impacto. Concluyeron que faltaron objetivos específicos para lograrlos.

Claramente, **la CE ha aprendido de experiencias pasadas**. Ha reestructurado sus indicadores para el sector educación; ha mejorado sus subvenciones a las Organizaciones de la Sociedad Civil (OSC); y también ha insistido en reformas regulatorias antes de apoyar el desarrollo de infraestructuras a gran escala.

Marta Ramírez, Sector Social y Económico de la Delegación

La Sra. Ramírez intervino para hacer unas aclaraciones sobre el apoyo de la CE a iniciativas de las Organizaciones de la Sociedad Civil (OSC) y a la democracia. Explicó que la CE estuvo apoyando iniciativas de la OSC, pero sin un marco de estrategia formal. Que la CE empezó a estructurar su apoyo a la SC a partir del año 2005 con el PRIL, a partir de este momento se empieza a elaborar una intervención más formal.

En su intervención sobre el apoyo de la CE a la **Gobernabilidad y Democracia** dijo que en el pasado hubo un Programa, el PARME que tenía tres cuerpos fundamentales: Justicia, Descentralización y Reforma de la Administración Pública. Enfatizó además que el Décimo FED de la CE apoya también la reforma del Estado.

Líder de la evaluación, Sr. Robert Leblanc

Mencionó que lo más importante que estamos tratando aquí es una estrategia global por parte de la Delegación que incluye todas las partes de la programación de la CE, incluyendo fondos programables o no, más que una estrategia con relación a una intervención.

Resumen de las Respuestas a las Preguntas de la Evaluación (PE)

PE: ¿Hasta qué punto ha contribuido el apoyo de la CE, a través de la ayuda al presupuesto para la educación, a mejorar el marco del sector político y a aumentar los niveles operacionales de acceso a la educación primaria?

Viceministro de Educación y Director de Planificación Educativa, Víctor Sánchez.

El Viceministro aclaró que el Ministerio de Educación en el 2006 participó en el Programa de Apoyo a la Política Sectorial. Y que en ese momento no había un apoyo presupuestario claro, sin embargo, el apoyo de la CE sirvió para financiar la formulación de un plan decenal y posteriormente se elaboró un marco de gastos del presupuesto. El ME sirvió de modelo para que otras instituciones utilizaran el marco presupuestario de gastos que ahora está en práctica.

Valoró el apoyo de asistencia técnica que ha recibido el ME, el cual ha sido aprovechado. Dijo que es probable que no exista memoria institucional de estos aportes obtenidos del apoyo presupuestario, porque se produjeron cambios en el Ministerio de Educación, en la DIGECO, en la Delegación y los consultores que llevaban este tema a tiempo completo también se fueron del país. Mencionó que en la página Internet del Ministerio menciona positivamente el efecto del apoyo sectorial de la UE.

Líder de la evaluación, Sr. Robert Leblanc

El Sr. Leblanc respondió que unos de los problemas de los Power Point es que las complejidades no se pueden tratar fácilmente. Reconocemos que el ME tiene una excelente planificación, según nuestra experta, uno de las mejores que ha visto en América Latina. Dijo también que el informe reconoce que el ministerio había recibido apoyo en forma de financiamiento pero también de AT y de otros mecanismos.

En representación del USAID

La representante de la UASID preguntó ¿Conocen ustedes, cuál ha sido el análisis que otros donantes han hecho sobre la educación?

Líder de la evaluación, Sr. Leblanc contestó, no hemos estudiado su programa como tal o el de otros donantes, pero si es necesaria una mejor coordinación en este tema entre los donantes, según nuestra experta.

PE: ¿Hasta qué punto la CE ha mejorado la capacidad de las empresas del sector privado en la RD para competir en el comercio, particularmente entre la RD y los Estados Miembros de la UE?

Cámara Minera de la Rep. Dom., Cristina Thomén

La Sra. Thomén subrayó, es cierto que en la Rep. Dom. tiene la suerte de recibir cooperación al desarrollo de diferentes fuentes. Dijo que sin embargo, ha visto que en los temas tocados hasta el momento hacia falta cruzar información. Saber que esta haciendo cada institución y si pueden apoyarse mutuamente para no repetirse. Se preguntó si sería la Unión Europea (o CE) quien tomará la iniciativa de promover encuentros entre los donantes y cruzar esta información.

Delegación de la Comisión Europea, Francisco Carreras, Encargado del Sector Social y Económico

El Sr. Carreras expresó que es cierto que hace falta saber lo que hace cada cual, pero que este es un rol del gobierno dominicano, a través del Ministerio de Economía Planificación y Desarrollo (MEPyD) de hacer esta labor (de coordinación) y no es nuestra intención suplantar las funciones del Estado o del Ministerio.

En representación del USAID

La representante de USAID dijo, estoy de acuerdo con el Sr. Francisco Carreras, pero creo que si existe la necesidad de hacer una evaluación conjunta de los donantes para ver lo que estamos haciendo en estos temas, como es el caso de competitividad.

Líder de la evaluación, Sr. LeBlanc

El Sr. Leblanc contestó a este comentario que la coordinación entre donantes es un problema, no sólo aquí sino en muchos lugares. Hay que definir que es la coordinación y cuales son las etapas del valor agregado de la cooperación. Indicó que hace rato un grupo de expertos había propuesto a la Comunidad de los países miembros de la UE un modelo para medir y evaluar la cooperación.

DEVCO, Sra. Catherine Pravin

La Sra. Pravin mencionó que es posible hacer una evaluación común entre los donantes. Lo hemos hecho en Nigeria y se continúa haciendo la evaluación común de los donantes. Aclaró que es muy difícil, pero que la tendencia es a incrementar la evaluación de diferentes donantes. Dijo que la DEVCO ha empezado hacerlo con los diferentes miembros de los Estado Miembros y la Comisión Europea y los resultados han sido muy interesantes, pero que hasta ahora no han hecho evaluaciones conjuntas con otros donantes, como los Estados Unidos, Canadá, etc.

Dirección General de Cooperación Multilateral (DIGECO),

Director del Sector Económico y Apoyo Sector Privado, Emerson Vegazo Fanith

El Sr. Vegazo comentó “En vista de que en la estrategia de intervención de la UE ha habido un relevamiento a partir del periodo evaluado y el propio país ha dado un salto importante en

cuanto a los instrumentos de la planificación y gestión del desarrollo, es importante profundizar en el informe sobre los problemas detectados durante la estrategia de la Cooperación UE 2001 hasta 2009. Pues, la actual estrategia esta fundamentada en dar apoyo a la Política de Competitividad impulsada desde el Estado y basada en la Estrategia Nacional de Desarrollo, los Sistemas Nacionales de Planificación e Inversión Pública, Sistemas Nacionales de Información y la Gestión de las Finanzas Públicas.

En cuanto a la participación que solicita de parte los donantes que se articulen para abordar oportunidades, es importante destacar que se esta desarrollando un Sistema Nacional de Cooperación Internacional que contempla las Mesas Sectoriales de Cooperación, un Sistema Información de Cooperación Internacional y un Plan de Alineación y Armonización de Cooperantes que podría ayudar a impulsar la a iniciativa que propone un cruce de información entre los donantes.”

Asociación Dominicana de Productores de Ron (ADOPROM), Sr. Luis Castaños , Director Ejecutivo

El Sr. Castaños de ADOPROM enfatizó que la competitividad en el país es débil porque los sistemas de evaluación y monitoreo son muy débiles. “Se toma y se pone todo en un saco, dando las mismas medidas a todo el mundo, sin aplicar lo que necesita sector por sector. La competitividad se logra sector por sector y el conjunto hace la competitividad en general.” Dijo que cuando se aprobó el Cotonú en el 2006, en la República Dominicana exportábamos seis millones de dólares y ahora vamos por 110 millones”. Hizo hincapié, en que tenemos que hacer la tarea, la tarea del día a día. “Ron con banano no tiene nada que ver, azúcar con ron nada que ver, aún si pueden estar vinculados”. Expresó que la experiencia de los productores de Ron ha sido única, gracias a la inversión de la CE en el desarrollo de la competitividad del sector. “Somos 15 organizaciones de todo el Caribe, todas unidas.” Insistió que el aspecto de monitoreo y evaluación debe instalarse desde el principio, porque sino se instala desde el principio, no se puede garantizar el éxito de un proyecto en un sector determinado.

Líder de la evaluación, Sr. Leblanc

El Sr. Leblanc agregó a este comentario “La competitividad tiene que basarse sobre la inteligencia y los conocimientos, lo que pasa aquí y allá. Ustedes verán más tarde como vamos en esa dirección y las recomendaciones que hacemos a la Delegación.”

Asociación Dominicana de Productores de Ron (ADOPROM), Sr. Luis Castaños

El director ejecutivo de ADOPROM felicitó este informe que nos ha dado seguimiento desde el principio. Señaló además, que gracias al proyecto financiado por la CE para elevar el nivel de competitividad del ron caribeño, la ventana de “Marketing” de ellos ha llegado a tal grado que están posicionados en el mercado europeo, especialmente: España, Inglaterra e Italia. Y que cuando se hacen las catas de Ron son 20 empresas de todo el Caribe las que exponen.

PE: ¿Hasta qué punto ha contribuido la CE para asegurar que los impactos sociales y medioambientales de la industria minera hayan sido mitigados?

Cámara Minera de la Rep. Dom., Cristina Thomén

La Sra. Thomén felicitó el apoyo que ha dado la UE al sector minero a través de esas iniciativas que usted ha dicho. “Podemos decir que somos un país que tiene un sistema de mapas y datos gracias a SYSMIN. Tenemos una Dirección General de Minería por ley gracias a ustedes (refiriéndose a la CE). También es cierto que no tenemos presupuesto para gastos comunes, pero a pesar de eso seguimos ahí, funcionando.” Dijo que un estudio reveló que la DGM recibe el 0.033 % del presupuesto nacional. Destacó que se necesita hacer entender al país que necesitan un mayor presupuesto para poder ser competitiva. “La minería de hoy puede ser sustentable y amigable al medioambiente. Porque las empresas han tenido que cumplir con una serie de cosas (regulaciones) para poder tener acceso a los financiamientos.”

Servicio Geológico Nacional, El Ing. Santiago José Muñoz, Director

El Sr. Muñoz dijo que llevó el proceso del establecimiento del servicio geológico nacional como organismo que fue uno de los objetivos para el SYSMIN.

Mencionó que SYSMIN apoyo proyectos y estudios de gran importancia como el estudio micro sísmico de Santiago, las aguas mineras, etc. “Lo que queremos del gobierno, y yo soy parte de este gobierno, es que destine un presupuesto y recursos. Necesitamos más personal técnico capacitado, equipos, etc. Existe ya una capacidad instalada, pero necesitamos recursos para poder trabajar. “

Cámara Minera, Sr. Juan Gil, Vicepresidente

El Sr. Gil expresó que desde el año pasado cuando la Cámara Minera se enteró de la iniciativa de la ITIE quiso entusiasmar al gobierno para que la República Dominicana sea parte y se suscribiera al ITIE. Destaco que hicieron lobby en el MEPyD para convencer al Ministerio de la importancia de suscribirse a ITIE. Señalo que han logrado junto al Secretario de Estado Temístocles Montás, que el presidente Fernández firmara una carta de intención para ser parte de la ITIE y la enviara. Dijo que en los próximos meses, cuando entremos para hacer parte de la ITIE habrá un lanzamiento formal.

PE: ¿Hasta qué punto la CE ha contribuido a que la RD y Haití logren efectuar oportunidades comunes par su desarrollo?

A esta pregunta planteada por la evaluación, el quipo encontró que la CE ha contribuido para que la RD y Haití desarrollen oportunidades para que estos países construyan iniciativas comunes, pero esto no se esta haciendo al nivel previsto en los planes estratégicas de la CE, y los resultados buscados no fueron logrados.. La CE ha apoyado mucho a la Comisión Binacional pero esta comisión avanza lentamente, a su propio ritmo. La CE ha hecho todo dentro de sus posibilidades. La CE ha querido ayudar a ambos países para incrementar el dialogo. La CE siempre ha hecho un esfuerzo para promover el dialogo ente la RD y Haití, a veces de manera formal otras veces de manera informal. Este paso ha sido importante en el dialogo. El problema no es el dinero es algo político e institucional.

Banco Mundial, Sr. Andrea Gallina, Especialista en Sociedad Civil

El representante del Banco Mundial dijo, hemos visto que el informe señala que la CE en RD no ha hecho esfuerzos suficientes para luchar contra la corrupción y la transparencia. Dijo también, que el informe no hace justicia a lo que la UE y el Banco Mundial están haciendo en esta medida. Consideró que el informe pudiera tomar esto en cuenta. Ofreció mandar mas información sobre este aspecto; y mencionó que la delegación también tiene la información de las acciones que se han hecho en este sentido.

El especialista en Sociedad Civil preguntó además: “¿Me gustaría saber sobre si la CE tiene una estrategia global para promover el Dialogo político? “

Líder de la evaluación, Sr. Leblanc

El Sr. Leblanc en su respuesta destacó que esto ha ido cambiando (refiriéndose a la estrategia de la CE para luchar en contra la corrupción y la transparencia), pero recuerde que los evaluadores vivimos en el pasado, y que según la información que se tiene estos esfuerzos son bastante recientes.

Dijo que en su opinión sobre la pregunta al dialogo político, la UE apoya el dialogo, pero es cierto que en la medida en que los países son más estables el enfoque es hacia el apoyo presupuestario. Agregó además que la pregunta tiene un marco muy contextual, citando como ejemplo que la situación aquí en el país no es lo mismo que en Zambia.

Jefa de la Delegación, Embajadora Irene Horejs

La Embajadora manifestó que en general la conclusión es que la Unión Europea no ha incidido en la corrupción le molestaba, porque eso significaría para los contribuyentes europeos que hemos dado dinero a un sistema corrupto. La UE ha apoyado al fortalecimiento de las instituciones públicas y al monitoreo. Dijo que han fortalecido el Estado y la gobernabilidad a través de programas. Enfatizó que son cooperantes, son

donantes, pero no son una fuerza supra nacional, y que existen límites en su capacidad de incidencia.

Dirección General de Cooperación Multilateral (DIGECOOM), Lidia Encarnación

De vuelta al tema binacional con Haití, la señora Encarnación expresó que la UE y el país desde el 2008 han hecho esfuerzos para incrementar el dialogo y la cooperación entre los dos países. Señaló que han mejorado (las relaciones) y como muestra esta el corredor de Juana Méndez y Dajabón; sin embargo para que avance se deben dar unas series de condiciones políticas en Haití, en las cuales la UE y ni el gobierno dominicano no pueden incidir.

Líder de la evaluación, Sr. Robert Leblanc

El representante del equipo evaluador ofreció una dirección electrónica para que la gente pueda enviar comentarios o documentos: irdc@sympatico.ca

El Sr. Leblanc dio paso a las recomendaciones, diciendo que estas han sido hechas por el equipo evaluador. “La idea es de poner estas sobre la mesa y discutir, aún si no está de acuerdo las partes. Las recomendaciones son 9, tres estratégicas y seis de contenido general u operacional”

Recomendación Estratégico1, prioridad bien alta:

Continuar con la reducción de la desigualdad socio-económica como el objetivo del impacto general, pero con un enfoque en resultados demostrables, impactos intermedios y reformas políticas. Reducir el programa a dos enfoques principales (educación y competitividad) y tres enfoques secundarios (minería, sociedad civil y gobernanza).

Recomendación Estratégica 2, prioridad bien alta:

Asegurar que el desarrollo de la capacitación sea el eje central de toda intervención apoyada por la CE, y manejar el enfoque de la capacitación para continuar con la Estrategia Central de la CE, y a la misma vez enfocarse en competencias basadas en información y monitoreo y evaluación continua. Siempre hablamos de capacidad que es demasiado grande abstracto, pero nunca hablamos de las competencias. Las competencias en el mundo de la gestión son las que nos dan las oportunidades, no son las capacidades.

Recomendación Estratégica 3, prioridad mediana:

Invertir en procesos y sistemas sólidos de monitoreo y evaluación para poder: 1) definir las líneas de base; 2) dar seguimiento al progreso de los resultados; 3) facilitar que se hagan ajustes rápidos para lograr los objetivos; 4) manejar los riesgos; y 5) planificar estratégicamente basado en un enfoque de empresa ecológica o medioambiental. También, hay que trabajar sobre los organismos que son responsables de la cooperación regional. Hay que fortalecer estas instituciones. Sino es posible, entonces habrá que crear otras herramientas.

Delegación de la Comisión Europea, Diana Sainz

La Sra. miembro del equipo del **Sector Social y Económico** hizo dos comentarios con respecto a la Sociedad Civil y a la gobernabilidad. Ella propuso incluir el termino Actores no Estatales, más que Sociedad Civil porque es un término más amplio que incluye a empresarios, universidades, etc. Sociedad Civil debería ser un eje transversal a toda nuestra cooperación.

El segundo comentario lo hizo con relación a la evaluación: “Debemos ser un poco autocríticos. Hacemos (refiriéndose a la CE) evaluaciones que son interesantes pero que no se unen a nuestro accionar. Estamos evaluando el 9 FED, cuando estamos en este momento en el 10 FED. Y cuando por nuestra propia cuenta hemos llegado a muchas de las recomendaciones arrojadas en la evaluación y hoy en día están en práctica. Digo esto para provocar un poco a nuestra colega de la DEVCO y decir que quizás sería más interesante unir varias evaluaciones de diferentes procesos, y de esta manera poder tener una visión global que nos puedan ayudar en nuestro accionar.”

Líder de la evaluación, Sr. Leblanc

Respondió primero al segundo comentario diciendo, que vemos y entendemos el problema con las evaluaciones por exigencia y no por necesidad. La CE viene con cambios en ese sentido, habrá evaluaciones continuas a lo largo de todo el año. El resultado de esos procesos continuos ustedes los van a integrar en la toma de decisiones. En cuanto a su primer comentario: dijo cuando hablamos del trabajo precisamente de la SC y de la gobernabilidad. Es cierto que lo hemos hecho de esta manera porque aquí la estrategia elaborada esta compuesta de tal manera que cuando hablamos de Gobernabilidad hablamos de democracia, corrupción, etc. y del otro lado de la Sociedad Civil hablamos de la composición de la SC y de la participación.

Dirección General de Cooperación Multilateral (DIGECOOM), Emerson Vegazo

El Sr. Vegazo dijo que primero iba en la línea de que el cooperante se concentre en un área que pueda tener impacto. Dijo además, que educación y competitividad están dentro del plan estratégico nacional y que lo adecuado sería utilizar estas recomendaciones para ser implementadas en la estrategia, tanto en la estrategia nacional como en la estrategia de la UE. Luego mencionó que hicieron un excelente ensayo sobre una evaluación, que hicieron un auto PEFA y que el ejercicio en si fue muy positivo y lograron colocar los resultados de esta evaluación en los programas.

Mencionó también, que los sistemas nacionales van en el camino de ponerse de acuerdo con los donantes en los conceptos generales y así viabilizar el impacto de la ayuda.

A continuación el Sr. Robert Leblanc abordó las recomendaciones programáticas.

Recomendación al programa 1, prioridad bien alta:

Continuar y expandir el apoyo al sector educativo con una estrategia de modalidad múltiple, que facilite un valor agregado de la CE/EM para ser influenciados (quien esta influenciado, no entiendo) para resolver asuntos claves, tales como la calidad de la educación y el manejo de los recursos.

Recomendación al programa 2, prioridad bien alta:

Continuar usando apoyo al presupuesto general como la modalidad principal para apoyar al GoRD para que éste logre los objetivos del ODM, pero que refuerce significativamente el marco de evaluación y las condiciones de desembolso para proporcionar la base de responsabilidad mutua fundada en resultados. Como parte de esta re-estructuración, se debe hacer del discurso político una condición para el desembolso y atarlo a un cambio de política.

Recomendación al programa 3, prioridad bien alta:

Formalizar una Estrategia de Apoyo para las Organizaciones de la Sociedad Civil (OSC) basada en una perspectiva enfocada en la capacitación requerida dentro de la sociedad civil para lograr los objetivos de la estrategia y para asegurar que todas las modalidades e instrumentos de la CE, así como los esfuerzos de los Estados Miembros (EM) se apoyen uno con otro. Los Actores No Estatales (NSA) deben ser incorporadas a la estrategia de desarrollo y su implementación. Cualquier apoyo dado a la NSA tiene que estar basado sobre resultados específicos y sobre desarrollo de competencias.

Cámara Minera, Sra. Cristina Thomén

La Sra. miembro de la Cámara Minera puso como ejemplo que muchos de los proyectos que se hizo con el programa SYSMIN fueron el resultado de un intercambio entre la sociedad minera y estos resultados se pasaron a la UE y fueron integrados en los proyectos de SYSMIN. El problema es todavía de sostenibilidad por falta de apoyo presupuestario por parte del gobierno.

Líder de la evaluación, Sr. Leblanc

Recomendación al programa 4, prioridad bien alta:

Seleccionar un pequeño número (2 o 3) sectores industriales para un programa de apoyo global para el desarrollo de capacidad para la competitividad (en vez de dar apoyo genérico a los 36 grupos identificados en base a la demanda). Enfocarse en la creación de empleo.

Recomendación al Programa 5, prioridad alta:

El apoyo al sector minero debe continuar para consolidar la capacitación y garantizar sostenibilidad.

En este particular, el Sr. Leblanc mencionó que esta industria ha evolucionado grandemente y, aspectos como el impacto ambiental y social han cambiado.

Los gobiernos que no establecen cuadros de supervisión y una manera de gestionar la industria minera, se transforma en una manera poco productiva de invertir recursos y se abren al riesgo de fomentar "rent seeking" (búsqueda de renta no ganada).

Recomendación al Programa 6, prioridad alta:

Traspasar la responsabilidad del enfoque para el desarrollo de la frontera RD-Haití a los dos países, aprovechando el momento de las relaciones bilaterales, así como diálogo de la CE para ayudar a desarrollar prioridades binacionales a término medio con presupuestos y arreglos de implementación claramente definidos.

Sobre esta recomendación el Sr. LeBlanc señaló, “estamos indicando que desde hace 10 o 15 años la CE esta trabajando para fortalecer las relaciones binacionales. Sin embargo, a menudo las reacciones y actividades son bilaterales y no binacionales. Ambos países son maduros y vale la pena de manera estratégica que la CE continúe con su apoyo, pero sugerimos que ambos países trabajen más de cerca en sus programas.”

Dirección General de Cooperación Internacional, Sra. Lidia Encarnación

La Directora de Cooperación Regional dijo, que es importante ver la tendencia de la cooperación República Dominicana (Rep. Dom.) - Haití. Señaló que se han dado grandes pasos con el apoyo de la cooperación en la relación Rep. Dom. - Haití. Que es importante tomar en cuenta las realidades económicas, políticas y sociales de cada país.

Dijo no estar de acuerdo con que se apunte que no hay una relación entre el Programa Indicativo Nacional y el Programa Indicativo Regional (PIR), porque han trabajado sobre este tema para hacer ambos programas coherentes. Y que por esa razón el monto en el nuevo FED es mayor.

Líder de la evaluación, Sr. Leblanc.

Refiriéndose a la Sra. Encarnación, recuerde que hablamos sobre un periodo específico. Si puedes enviarme algo sobre este tema estoy dispuesto a revisar esta parte.

Delegación de la Comisión Europea, Younes Karroum

EL Sr. Karroum preguntó ¿Cómo podemos avanzar en la integración de los dos países? ¿Cómo podemos ayudar a la integración de los dos países? ¿Cuáles serían esas recomendaciones?

Líder del equipo Evaluador, Sr. Robert Leblanc

Respondió a la pregunta diciendo, me gustaría tener la respuesta, pero no la tengo. De todas maneras, las soluciones tienen que salir desde adentro, desde el trabajo hecho por ambos países.

Dirección General de Cooperación Multilateral

Un miembro de la DIGECOOM agregó, entendemos que se avanza. No avanzamos más rápidamente por las situaciones socio-económicas y políticas que desestabilizan a Haití. Necesitamos seguir recibiendo apoyo de la cooperación porque hay muchas cosas que hacer en esta zona, la frontera es grande.

Dirección General de Cooperación Multilateral (DIGECOOM), Emerson Vegazo

El Sr. Vegazo comentó, que buscando la respuesta podría decir, que necesitamos manejar las variables: Primero, voluntad de cada lado; segundo, las condiciones son importantes para avanzar en la integración. Es importante contar con la variable condiciones y en este momento en Haití no se dan las condiciones. La otra variable es tener metas alcanzables.

Líder de la Evaluación, Sr. Leblanc

Sobre este comentario el Sr. Leblanc enfatizó al decir que cuando dos socios se unen para hacer algo hay que tener reglas y condiciones. A veces la CE tiene expectativas que no son antes ustedes (refiriéndose al país), sino ante la SEDE (refiriéndose a Comisión Europea en Bruselas) .

Delegación de la Comisión Europea, Diana Sainz

La Sra. Sainz miembro del **equipo del Sector Social y Económico**, resaltó que en el “slide” de Educación la recomendación era que hay que analizar la calidad porque estaban concentrados en los procesos. Los nuevos indicadores que la Delegación ha desarrollado están orientados en ese sentido. Y dijo, no entender porque ustedes insisten en que debemos incluir otros indicadores dirigidos a medir la calidad

Lo que si nos ayudaría es tratar de vincular los ejercicios de la evaluación con lo que esta pasando para poder sacar de estos ejercicios aún más provecho.

Delegación de la Comisión Europea, Francisco Carreras

El encargado del Sector Social y Económico, externo a los presentes que una lectura positiva que arroja esta evaluación es que muchas de las recomendaciones que hacen, la Delegación ya las había integrado como resultado de sus lecciones aprendidas. Esta coincidencia muestra que el trabajo de la Delegación va en la buena dirección.

Líder de la evaluación, Sr. Robert Leblanc

Responde a Diana Sainz diciendo que si uno solo se enfoca sobre la cantidad de los procesos, la manera de contornar esto es con la calidad. “Es muy interesante ver la cobertura de la cantidad de niños en la educación básica que van a la escuela, es de un 95% o mas. Sin embargo tenemos entendido como resultado de un estudio publicado que muchos de estos niños pasan 2 horas y medias en el aula. No es sólo la cantidad sino la calidad. Según el estudio, estos niños a menudo están frente a sustitutos, el esposo de la profesora, u otra persona que no tienen la competencia y no tiene nada que hacer ahí.”

El Sr. Leblanc concluyó diciendo que este ha sido ha sido nuestro trabajo, que estas han sido nuestras recomendaciones, las dejamos para pensar y reflexionar sobre ellas. A continuación solicitó a la Delegación a realizar el cierre. Agradeció la atención de los presentes.

Delegación de la Europea, Embajadora Sra. Irene Horejs

La Embajadora dijo que había sido una jornada de trabajo intensa con mucha información densa. Agradeció a todos por su participación. Agradeció mucho todo el trabajo que los asistentes hicieron hecho de leer, de documentarse, de reflexionar. Informó que en la mañana del día del seminario recibieron observaciones y recomendaciones de fondo escritas por el Ministerio de Economía, Planificación y Desarrollo que enriquecerán la evaluación. Las cuales serán entregadas a los evaluadores.

Dijo además, que habían constatado que la mayoría de las evaluaciones y reflexiones que están en el papel, ya la habían sido integradas en la práctica (refiriéndose al trabajo de la CE). Resaltó que en el documento había otras recomendaciones que sin duda tomaran y realizaran conjuntamente con la oficina del ordenador, aprovechando todos estos insumos.

Agradeció al público por su asistencia.

11. LAS CONCLUSIONES Y RESULTADOS DE NIVELES ESTRATÉGICOS

La Comisión tiene dos pilares que definen su labor en este país: la reducción de la pobreza y la gobernabilidad. También tiene que tener en cuenta algunos temas o cuestiones intersectoriales y políticas de la Comisión.

En la evaluación estratégica de la cooperación de la Comisión Europea en el período 2000-2009, hemos considerado las siguientes preguntas estratégicas:

1. Es verdad que la CE ha tomado las buenas decisiones a fin de reducir la pobreza?
2. Es verdad que la CE ha tomado las buenas decisiones en relación con la gobernabilidad (particularmente la democracia, derechos humanos y la corrupción)

La metodología de evaluación de la Comisión nos dirige también a evaluar el desempeño de cooperación con respecto a lo que se denomina las cuestiones intersectoriales, en particular el medio ambiente y el género.

También hemos tenido que evaluar un principio básico de cooperación de la CE: es decir el desarrollo de una capacidad sostenible para que, con el tiempo, la República Dominicana puede ser independiente de la cooperación.

Por lo último, hemos evaluado la eficacia y la eficiencia de la CE con el objeto de identificar si hay problemas sistemáticos que afecten el logro de los objetivos estratégicos. Incluido en esta investigación se encuentra también la gestión de riesgos.

Con este telón de fondo, examinamos lo que hemos concluido:

a) Reducción de la pobreza: Hemos concluido:

- En general, la CE se ha alineado al conjunto de las estrategias de la GoDR, aunque estos últimos no fueron claramente priorizados de la parte del GoDR per se. Los estrechos lazos entre la CE y la oficina del Ordenador Nacional aseguraron que la negociación y últimamente un acuerdo sobre los planes y contenido tuvo lugar.
- Su programa de cooperación evoluciono en el tiempo para responder a las necesidades cambiantes del país. (Notamos como ejemplos el cambio de la programación de agua y saneamiento hasta el apoyo macroeconómico; también notamos el cambio de enfoque del SYSMIN sobre minería cuando ese sector se convirtió en una prioridad, etc.).
- Contribuciones de la CE fueron orientados en gran medida la reducción de la pobreza pero no podemos concluir que estos fueron dedicadas específicamente a la brecha de la equidad socio-económica, una cuestión importante en el país.
- Las necesidades "del pueblo", (que pueden ser diferentes de las prioridades del gobierno) fueron integradas en la programación y planes de la Comisión en muchos niveles, incluyendo un ambicioso proceso de consulta con la Sociedad Civil durante la preparación de los documentos estratégicos. Las consultas en curso todavía tienen lugar entre la Comisión y las Organismos de la Sociedad Civil. Lamentablemente, lo que no se ha documentado es la medida a la cual se modificaron planes para responder a las preocupaciones y los posiciones de la Sociedad Civil.
- La rendición mutua de cuentas (en el sentido de la Declaración de París) que debía basarse en gran medida en los mecanismos de diálogo de política no eran eficaces, con el resultado, entre otros, de que un gran parte de lo que podría haber provisto la CE en términos de apoyo de asesoramiento no fue utilizado.
- Relaciones que deberían haberse basadas en resultados demostrados no estaban en el lugar. También observamos que la Delegación ha utilizado recientemente procesos de diálogo informales cuando los más formales no fueron eficaces.

Un cambio significativo que tuvo lugar en la asociación estratégica entre la CE y el GoDR fue el cambio de la modalidad de proyectos hasta al apoyo presupuestario. La cuestión de la utilización del apoyo presupuestario sectorial en la educación se tratará más adelante, pero

aquí le gustaría exponer unas conclusiones sobre el apoyo presupuesto general, o directo. Recordarán que la CE había establecido el mecanismo de apoyo presupuestario esencialmente para ayudar al gobierno a alcanzar sus objetivos de Desarrollo del Milenio. El objetivo de la Comisión era prestar apoyo al Tesoro a fin de aumentar la proporción de los presupuestos nacionales dedicados a fines sociales. Hemos encontrado:

- La posición relativa para gastos sociales por la GoDR ha disminuido en la última década, en comparación con los promedios de América Latina y el Caribe, a pesar del crecimiento económico. Además, el presupuesto nacional no ha mostrado mayores niveles de financiación relativos en sectores clave de los ODM durante el período representado por el alcance de la evaluación. Claro que el monto absoluto del presupuesto ha crecido, pero hablamos aquí de cálculos referenciales. En este contexto, la influencia de CE sobre las decisiones que conciernen el presupuesto nacional con el fin de financiar acciones sociales a un nivel más grande no ha sido discernible.
- No es probable que la medida en que el apoyo presupuestario de la CE ha mejorado el enfoque dado a la reducción de la pobreza en los presupuestos públicos se determinara con precisión. Lo que es claro es que esta influencia sería marginal en el mejor, debido en gran medida del tamaño de la contribución financiera de la CE en términos relativos al tamaño del presupuesto nacional, sino también del diálogo político débil que existía en el periodo de la evaluación. Por otra parte, encontramos que los tramos variables no eran rigurosamente orientados a resultados, pero más que todo basados en procesos. Finalmente, los mecanismos previstos de diálogo político (policy) no funcionaban. Hay que notar que la Delegación misma había señalado que carecían los sistemas de seguimiento y análisis para soportar la columna vertebral de su diálogo político. Más sobre este punto se observará más tarde.

b) Gobernabilidad: Hemos concluido:

Con respecto a la gobernabilidad, la CE había elegido de apoyar poco a poco la comunidad de las organizaciones de la Sociedad Civil a participar en la “formulación de políticas” (a notar que este es el término utilizado en los documentos de estrategia de la CE). Los resultados fueron alentadores y corresponden a la importancia que la CE daba al rol de la sociedad civil en la sociedad dominicana. Non obstante, la atención dada a otros aspectos de la gobernabilidad, en particular a la democracia y sus instituciones, a los derechos humanos y a la lucha contra la corrupción, fue relativamente estrecho en su alcance y su impacto. Concluimos que hicieron falta una estrategia holística. Por favor, recordar que estamos hablando del período de evaluación que abarca desde 2000 a 2009. La situación es diferente hoy.

- Esta evaluación concluyó que el apoyo fue importante y ha permitido a un número significativo de organismos de participar más activamente en la toma de decisiones, especialmente, pero no solo, al nivel local. Habría sido muy útil, por lo menos a los evaluadores, si la CE y sus asociados en la sociedad civil habrían instalado sistemas para seguir y medir el desarrollo de esta capacidad y el impacto que este desarrollo ha podido permitir. En este momento, las pruebas se encuentran solamente en forma de anécdotas y de análisis calitativa.
- El soporte de la CE tomó la forma de grandes y pequeñas intervenciones. El soporte fue dirigido a todos los niveles de Gobierno en la República, y los documentos y posiciones fueron el punto de enfoque para la colaboración con las autoridades, especialmente al nivel local. PRIL, Parme, PARAP y PASCAL son ejemplos del apoyo prestado por la CE para el desarrollo de la capacidad de las organizaciones non- gubernamentales y estamos de acuerdo que los resultados generales fueron alcanzados.
- Intervenciones apoyadas por la CE también ayudó a crear un nuevo marco legal (ley sobre organismos sin fines de lucro, una ley municipal y otros) que contienen un nuevo modelo de descentralización que se caracteriza por la participación de la sociedad civil y la planificación participativa. Esta, para nosotros, significa que la CE

a tomado una influencia tanto a una mayor apreciación de sociedad civil en la sociedad dominicana.

- Gracias al apoyo de la CE, varias redes de OSC dedicadas al tema de la gobernanza son ahora en operación.

En general, la evaluación determinó que este apoyo a la Sociedad civil fue hecho en la ausencia de un tema enfocada y decidida (en otras palabras, una estrategia formal por parte de la CE). Ustedes recordarán que se trata de una de las conclusiones y recomendaciones de la evaluación anterior. El equipo de evaluación reconoce que la DUE ha avanzado considerablemente en este sentido en los últimos años, pero un plan todavía no está en el lugar.

Curiosamente, con importantes niveles de apoyo financiero ofrecido a la comunidad CSO en general, habíamos pensado que la CE debería ser identificada por las ventajas comparativas que puede ofrecer. Análisis de las respuestas de las organizaciones no gubernamentales nos mostraban que lo contrario es cierto. Las ONG mucho agradecen el apoyo brindado, pero no buscan la CE porque ella tiene algo que no puede ofrecer otros donantes. Vemos esto como una pregunta de visibilidad que debería ser examinado en la luz de las políticas de la CE sobre este tema.

En el sentido más grande, se acordó que la CE apoyo la democracia y sus instituciones en el país durante el período de evaluación. Por ejemplo, PAIGFP apoya la gestión más transparente de los fondos públicos y su rendición de cuentas. Pero en general, las iniciativas apoyadas por la CE durante ese período en el dominio de la democracia fueron estrecho de alcance. Por otra parte, aunque la delegación observa que la democracia es un pilar clave de su papel, los CSP y su programación no lo han tenido mucho en cuenta. La evaluación reconoce que la DUE ha tomado recientemente medidas informales para aumentar la capacidad institucional del Parlamento, y que está trabajando en dominios que conciernen directamente o indirectamente los derechos humanos (tal como la pregunta de los haitianos en la Republica).

Un aspecto muy difícil para hacer frente en términos de cooperación es la lucha contra la corrupción. No está claro por qué el plan estratégico de la CE no dirige específicamente intervenciones en ese dominio, dado el impacto bien documentado que existe sobre el bienestar de los ciudadanos y el daño que causa a la tejido social de la sociedad. Hay que mencionar también como factores estratégicos el efecto negativo de la corrupción en la brecha de la equidad, y su influencia en el reparto de poder entre la élite, el Gobierno y el pueblo. Incluso, si la CE no desea crear iniciativas específicas que se ocupan de corrupción en su programación, por lo menos un examen debería haber sido incorporado en otras iniciativas, así como en el diálogo político. Pero no hemos encontrado evidencia de tales exámenes. Para ser completo, reconocemos que el apoyo por parte de la CE en la gestión de finanzas pública y el apoyo macroeconómico deben ser reconocidos como impedimentos a los sistemas formales de la corrupción. Reconocemos también la participación reciente de la CE con otros donantes en la lucha. También reconocemos que la experiencia internacional muestra que los sistemas formales son fácilmente sobrepasados y que son los sistemas informales que prevalecen cuando hablamos de la corrupción.

c) Cuestiones intersectoriales

Los registros muestran que la CE ha participado activamente en la reforestación y energía, corredores biológicos y otros dominios de gestión ambiental, incluido el alivio de desastres. Ha participado activamente también en la reconstrucción después de los desastres naturales como el terremoto en Haití y el huracán Noel. Incluso, la CE participo en la mitigación de los efectos socio-ambientales de la minería. Otros ejemplos son disponibles. La CE ha invertido considerablemente en el medio ambiente como se debería, dado las vínculos estrechos entre la pobreza y las vulnerabilidades estratégicas muy reales de este país (y Hispanola generalmente) a los desastres naturales y el efecto de los humanos sobre el ambiente. Un vistazo sobre la frontera con Haití puede dar un ejemplo de lo que puede ocurrir cuando la pobreza y la vulnerabilidad natural se combinan en una isla. La necesidad de ese énfasis es apoyada científicamente y debe continuar en el futuro de programación, pero sugerimos que

el esfuerzo no ha sido suficientemente centrado. El esfuerzo también ha faltado un enfoque en el desarrollo de la capacidad de las instituciones científicas y los que son basados en la biodiversidad por lo que puede garantizar la sostenibilidad de una capacidad de análisis y una respuesta cualificada. De esta manera, la sostenibilidad y la rendición de cuentas pueden ser mejor incorporados en el proceso.

En lo que concierne el género, la CE no tenía un enfoque amplio y centrado a la consecución de un objetivo específico durante el periodo de la evaluación. Para ser precisos, sus planes estratégicos no tenían objetivos específicos relacionados con el género, excepción dada a las tasas de participación en la educación. Sin embargo, la CE incorporo el género como un aspecto de diseño estratégico en muchos de sus intervenciones, como las llevadas a cabo a través de sus intervenciones vía organizaciones no gubernamentales. También utiliza las tasas de participación de la mujer como un indicador para su apoyo a la educación. Lamentablemente, sistemas de monitoreo insuficientes no permitieron a la CE ver la medida en que su apoyo a la competitividad del sector privado fue proporcionando beneficios para las mujeres.

En la luz de esas conclusiones estratégicas, el equipo de evaluación preguntó si la CE mejoro su rendimiento al nivel estratégico a través de mecanismos y procesos para la gestión de conocimientos y si es así, fueron eficaces? En general, se observará a finales de la mañana que esta evaluación contiene algunas de las mismas conclusiones que la evaluación anterior realizado en el año 2000. Parte de nuestras conclusiones se ocupará de las cuestiones de memoria corporativa, sistemas de inteligencia relacionados con la misión de la CE, monitoreo de sistemas, administración de riesgos y análisis insuficiente. Además, nuestra evaluación continua lo que parece ser una tradición entre todas las evaluaciones geográficas de la CE, en cuanto cuando a la discrepancia entre la naturaleza y el nivel de recursos necesarios para administrar programas complejos y lo que realmente existen en la Delegación Europea en los países. Las discrepancias son grandes aquí como en otros países. Llegamos a la conclusión que si no se aborda esa brecha, un alto nivel de eficacia de la ayuda nunca será una realidad, al menos en términos de la rendición de cuentas por parte de la administración de la CE.

Claramente, la CE ha aprendido de experiencias pasadas en un número de otros dominios. Ha reestructurado sus indicadores para el tramo variable en educación; ha mejorado considerablemente su gestión de las subvenciones a las OSC via una delegación de autoridad más amplia al campo; también ha insistido en reforma regulatoria antes de embarcarse en apoyo a gran escala para el desarrollo de la infraestructura. Estos son sólo algunos ejemplos. Hay muchos otros.

d) Desarrollo de la capacidad

El equipo de evaluación examinó un número significativo de proyectos de CE durante esta evaluación y constató que el énfasis en el desarrollo de capacidad ha sido bastante débil. Para ser específicos, muchos si no la mayoría de las intervenciones de la CE han establecido el desarrollo de la capacidad como un objetivo clave. Pero los resultados y impactos buscados son, en gran medida, vagas o no manejables; la CE considera que objetivos como el "fortalecimiento institucional" no son útiles excepto como intentos; no hay baselines (línea de base o estado de referencia) sobre lo que existe ya. Y en la mayoría de casos no se responde a la cuestión de "Competencia requerida para hacer qué?" La CE a Bruselas reconoce que se trata de un problema global con sus programas, tal como lo reconoce la mayoría de los donantes, y la CE está preparándose para las reuniones en pocos meses de Busan en Corea del Sur, donde este tema ocupara la mesa central. La CE ha puesto en marcha una estrategia básica sobre el tema y está creando una metodología diseñada específicamente para analizar el desarrollo de la capacidad. La evaluación concluye que los diseños de las iniciativas de desarrollo de capacidades de la CE no han sido rigurosos, su enfoque de CD no ha sido impulsada por resultados.

e) Eficacia y eficiencia

Desde una perspectiva estratégica, la evaluación pregunto: "¿La CE ha sido tan eficiente y efectivo como habría pudo ser?". Si no, cuales estuvieron las consecuencias de las debilidades?

Utilización apropiada de modalidades

- Una relación causal entre las modalidades elegidas para lograr objetivos estratégicos y la eficacia de estas modalidades no puede ser establecida con los datos existentes. Notamos que la CE examinaba alternativas entre modalidades y, a continuación, seleccionaba las modalidades que ayudaría a alcanzar los objetivos y resultados declarados. Esto fue hecho teniendo en cuenta las limitaciones de capacidad y los contextos de la CE y del GoDR. Este proceso no está bien documentado y no fue riguroso, pero fue hecho en conjunto con la Oficina del Ordenador Nacional y resulto en consensos.
- Los problemas surgidos en la aplicación eran comunes a la modalidad elegida y predecibles, pero la gestión de los procesos y particularidades de la modalidad (ejemplo: indicadores de tramos) no fue suficientemente sólida y no siempre fue acompañada por rigurosa supervisión gerencial.

Recursos adecuados y suficientes por parte de la Delegación

Como se señala en esta presentación, la DUE no está bien equipada para cumplir profesionalmente con su papel de gestión. Como resultado, no ha sido capaz de garantizar plenamente que el diseño de todas las intervenciones era riguroso o basado en los resultados; no ha tenido el beneficio de la información que necesita para monitorear el progreso o a entablar un diálogo de política del sector y no era suficientemente en condiciones de control y directa.

Desde una perspectiva estratégica, la gestión de las principios de la complejidad debe ser respetadas, jefe de los cuales es el concepto que exige que la complejidad y el riesgo deben gestionarse por información, gestión de los conocimientos y enfoques basados sobre una visión holística de todas las partes del sistema que hay que cambiar. (business ecosystem approach). El nivel de complejidad del programa DR requiere tales enfoques y herramientas, y no hay.

f) Gestión de riesgos

En la aplicación de sus estrategias, la CE en el DR no complemento su programación con análisis y gestión rigurosos de riesgos, que son componentes necesarios de marcos para la rendición de cuentas en entornos complejos, categorizados por datos básicos deficientes. La CE nuevamente ha sido advertida sobre este punto por el Tribunal de cuentas, pero un sistema de gestión de riesgo global requiere cambios a procedimientos y protocolos de la CE que están fuera del alcance de la Delegación en Santo Domingo. La CE aquí, sin embargo, se enfrentó a un conjunto particular de complejidades (mezcla de modalidad, DR-Haití, competitividad) que habían necesitado un nivel mínimo de gestión del riesgo, a través de todo el ciclo del proyecto. En gran parte, esta función de gestión faltaba en su implementación.

12. NOTES ON THE COMMENTS OF THE MINISTRY OF ECONOMY, PLANNING AND DOCUMENT



República Dominicana
Ministerio de Economía, Planificación y Desarrollo
Santo Domingo, D. N.

"Año por la Transparencia y el Fortalecimiento Institucional"

00449

Señora
Irene Horejs
Representante Residente de la
Unión Europea en la República Dominicana
Su Despacho.

Distinguida Señora Horejs:

Cortésmente, mediante la presente le remitimos las observaciones que este Ministerio tiene a bien formular al documento "Evaluation of EC's Cooperation with Dominican Republic 2001-2009", según solicitud que esa Delegación Diplomática nos hiciera recientemente.

Esperamos que estas observaciones le resulten de utilidad.

Con sentimientos de consideración y estima, la saluda,

Muy atentamente,


ING. JUAN TEMÍSTOCLES MONTÁS
Ministro

JTM/ML/dr

Ministerio de Economía, Planificación y Desarrollo

Comentarios al Borrador de Informe Final de la Evaluación de la Estrategia de Cooperación de la Comisión Europea con la República Dominicana.

En primer lugar, el Ministerio de Economía, Planificación y Desarrollo quiere reiterar la importancia que reviste para la República Dominicana la cooperación para el desarrollo de la Unión Europea, no solo por los recursos financieros que aporta a favor del desarrollo, sino también por la transferencia de conocimientos y su contribución al fortalecimiento de las capacidades de la Nación dominicana.

Dentro de esa positiva evaluación general, hay un aspecto que vale la pena resaltar. Se trata de los esfuerzos que la cooperación comunitaria ha realizado por ajustar sus programas de ayuda a las prioridades nacionales. Ello se refleja en la concentración de los programas de cooperación en áreas seleccionadas por su importancia para el desarrollo nacional: educación básica, apoyo a la competitividad, disminución de la pobreza, empoderamiento de la sociedad civil e impulso de la responsabilidad social y ambiental de las empresas mineras.

Sobre la base de este reconocimiento general es que deben evaluarse las observaciones más abajo formuladas. Algunas se refieren a aspectos formales que parece necesario corregir en el informe; otras se refieren a aspectos muy puntuales sobre los cuales el gobierno nacional tiene una visión diferente a la expresada en el documento, y muchas se orientan a aportar un granito de arena para que los subsiguientes programas de cooperación logren todavía mayor eficacia. Estas últimas, como es propio en un ministerio de planificación, apuntan al cumplimiento de procedimientos que garantizan la eficacia de la cooperación, procedimientos que este Ministerio está tratando de implantar al interior de la propia actividad gubernamental.

Contexto económico

La evaluación del contexto económico presentada en el documento se encuentra desactualizada, con informaciones a 2009 y refiriéndose a 2010 en términos de proyecciones, cuando el informe está fechado en agosto 2011. En adición, si bien es cierto que el documento tiene entre sus objetivos evaluar el periodo 2001-2009, es especialmente llamativa la preponderancia que se da al detalle de las medidas tomadas en 2009 para enfrentar la coyuntura de crisis financiera internacional.

En el resumen ejecutivo, página xii, se señala que la tasa de crecimiento del PIB per cápita se redujo desde 9.3% en 2005 hasta 3.5% en 2009. Al parecer estas conclusiones están basadas en la Tabla 2, página 12, la cual compara las tasas de crecimiento anual per cápita de la República Dominicana con el promedio de América Latina (no especifica si dicho promedio excluye el país). Sin embargo, las tasas de

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 crecimiento que aparecen en dicha tabla no corresponden al ingreso per cápita sino al crecimiento del PIB real de la economía dominicana, como se puede apreciar de la tabla siguiente:

Período	PIB Referencia 1991 (Millones RDs)	TC %	PIB Referencia 1991 (Percápita RDs)	TC %	PIB Corriente (Millones de US\$)	TC %	PIB Corriente (Percápita US\$)	TC %
2003	236,730.1		27,158.8		20,432.1		2,344.1	
2004*	239,835.9	1.3%	27,029.2	-0.5%	22,608.7	10.7%	2,548.0	8.7%
2005*	262,051.3	9.3%	29,011.2	7.3%	33,774.7	49.4%	3,739.1	46.7%
2006*	290,015.2	10.7%	31,539.9	8.7%	35,897.2	6.3%	3,903.9	4.4%
2007*	314,592.8	8.5%	33,608.4	6.6%	41,228.1	14.9%	4,404.5	12.8%
2008*	331,126.8	5.3%	34,750.0	3.4%	45,717.6	10.9%	4,797.8	8.9%
2009*	342,564.1	3.5%	35,315.8	1.6%	46,711.6	2.2%	4,815.6	0.4%
2010*	369,117.0	7.8%	37,382.5	5.9%	51,657.6	10.6%	5,231.6	8.6%

* Cifras preliminares

Fuente: Banco Central de la República Dominicana

En la página 10 del documento se señala que el PIB per cápita del país cayó desde US\$4,797.80 en 2008 a US\$4,680 en 2009. Como se puede apreciar de la tabla anterior, el PIB per cápita del país se incrementó en los años mencionados, al pasar desde US\$4,797.8 en 2008 a US\$4,815.6 en 2009. No obstante, el documento al parecer cita los datos del Banco Mundial como fuente, pero, como se puede apreciar en la siguiente tabla, los datos del Banco Mundial tampoco avalan la reducción del PIB per cápita entre los años 2008 y 2009.

Descripción	Indicador	2007	2008	2009	2010
PIB per cápita (US\$ a precios actuales)	NY.GDP.PCAP.CD	4,209.90	4,571.48	4,618.10	5,043.95
PIB per cápita (US\$ a precios constantes de 2000)	NY.GDP.PCAP.KD	3,490.89	3,623.04	3,697.12	3,930.97
Crecimiento del PIB per cápita (% anual)	NY.GDP.PCAP.KD.ZG	6.93	3.79	2.04	6.33
PIB (US\$ a precios actuales)	NY.GDP.MKTP.CD	41,314,665,868.56	45,498,608,625.37	46,597,346,434.62	51,576,859,661.02
PIB per cápita, PPA (\$ a precios internacionales actuales)	NY.GDP.PCAP.PP.CD	7,685.58	8,150.25	8,393.73	9,009.70
PIB per cápita, PPA (\$ a precios internacionales constantes de 2005)	NY.GDP.PCAP.PP.KD	7,230.82	7,504.53	7,657.99	8,142.37

Fuente: Data Worldbank. Org

Al comienzo de la página 11 se emite el siguiente comentario, que nada tiene que ver con el resultado final del año 2010, cuando se registra un crecimiento del 7.8%. "While the final figures were not available for the end of 2010, it is clear that the US rebound has been weak and the Spanish economic gains have been much less than predicted before the financial crisis".

Contexto social

En la página 12, al referirse al nivel de la pobreza y las metas planteadas en la Propuesta de Estrategia Nacional de Desarrollo República Dominicana 2030 se incurre en numerosas imprecisiones y en comentarios absolutamente errados: *"While some progress was made in reducing poverty in urban areas, rural poverty showed virtually no decline, reflecting a high level of inequality and the strong rural-urban divide. For 2009, moderate poverty and extreme poverty in urban areas was 29% and 12% compared to 50% and 20% in rural areas (all percentages are estimates). It is worth noting that for the 2006-2008 period, the percentage of people in absolute poverty increased at a faster rate than the percentage of people under the poverty line, so the rate at which the people become very poor is increasing.*

The 2009 document published by the GoDR entitled "Propuesta Estrategia Nacional de Desarrollo 2010-2030: Indicadores y metas", (Proposed national development strategy 2010 to 2030-Indicators and Targets) has a curious and troubling table that has been partially reproduced below. It is troubling because it officially proposes increases to rural poverty as part of a poverty reduction programmed. It is curious in that for a country as developed as the DR, insignificant change is planned in "poverty" over the next decades.

Table 3: GoDR targets for poverty levels

Indicator	Situation in 2008	Targets 2020	Targets 2030
Percentage of the population in a situation of "moderate" poverty	36.5%	34%	32%
Percentage of rural population under the poverty line (moderate)	50.9%	53%	54%

Source: Evaluation Team from UNDP Statistics

According to this official plan, the GoDR would seek to increase the percentage of rural people living in poverty over the next twenty years while barely reducing the national percentage of people living below the poverty line. Another table in the same document shows that the national development plan proposes to reduce the percentage of people living in abject poverty from 19.7% (in 2008) to 16.7% in 2020, representing a very small drop within a critical policy area".

La mayoría de las cifras antes señaladas ameritan de una revisión. En 2009 la pobreza moderada y la pobreza extrema en áreas urbanas era de 27.6% y 7.0, comparadas con 47.2% y 17.5% en las áreas rurales. En relación con la línea base, sería conveniente cambiar el año a 2010, como se presenta en el actual proyecto de ley. Los datos para 2010 son 33.8 y 46.8 para la pobreza moderada nacional y rural, respectivamente. El texto debe ser revisado conforme a estos nuevos datos.

Con respecto a la tabla con las metas contempladas en la END, las cifras consignadas en el respectivo proyecto de ley son:

Indicator	Situation in 2008	Targets 2020	Targets 2030
Percentage of the population in a situation of "moderate" poverty	36.5%	22.5%	15.4%
Percentage of rural population under the poverty line (moderate)	50.9%	26.5%	20.0%

El relación al acápite titulado "género y grupos vulnerables", tal titulación le queda muy grande al contenido, pues solo se refiere a personas con VIH, jóvenes en su relación con el mercado laboral y, de manera muy limitada a niño, niñas, adolescentes y mujeres. Se omiten otros grupos vulnerables tales como personas con discapacidad o envejecientes.

En el primer párrafo de la página 14 se sostiene que: *"Unemployment of those 16 to 24 years old was over 30% at the end of the evaluation period compared to an already-high national unemployment rate of 15%. There is also a gender dimension to labour markets where labour force participation is much lower among women (49.6% vs. 84.3% among men). The unemployment rate among women was 28% in 2007 and was projected to be above 32% in 2009"*. Estas cifras no son las que presenta el SISDOM, razón por la cual se recomienda una conciliación de las fuentes de información.

Periodo	Desocupación Ampliada		
	Total	Hombres	Mujeres
Promedio 2007	15.6	9.3	25.4
Año 2008	14.1	8.5	22.8
Año 2009	14.9	9.8	23.2
Año 2010	14.3	9.8	21.4

Fuente: Banco Central. Encuesta Nacional de Fuerza de Trabajo.

Análisis de la ayuda para el desarrollo

Al inicio de la página 15 se indica: *"In 2009, the Dominican Republic was defined to be a Medium Human Development country according to the Human Development Index which increased from 0.624 to 0.633 in the period from 2000 to 2009 and thus belongs to the highest value within countries in this group. Thus development has been supported by significant development assistance from the international donor community to reduce poverty and foster social and economic development"*.

Esta última y enfática aseveración del soporte que ha significado la ayuda externa se contradice con la cifra calculada en las dos últimas líneas del segundo párrafo de la página 18, que dice: *"the better development status of the Dominican Republic is reflected in a share of only 0,5% of ODA to its GDP (in 2008)"*.

Respuesta de la comisión Europea a las prioridades estratégicas en República Dominicana

Al final del cuarto párrafo de la página 25 se expresa: *"Since its CSPs reflect these mechanisms, it can be concluded that the EC's programmes reflect the needs of the population"*. De acuerdo al principio de alineación, se entiende que los programas de cooperación se ajustan a las prioridades del gobierno, el cual es el único responsable de reflejar las aspiraciones de la mayoría de la población.

Contribución de la Comisión Europea al desarrollo conjunto de la frontera dominico-haitiana

En la página 43 al final del segundo párrafo se critica que el Estado Dominicano no muestra un liderazgo en los planes fronterizos: *"For the time being, each Ministry in the Dominican Republic has plans that involve the border zone so the sum of those plans provides a sense of direction, but not leadership"*. Sin embargo nada se menciona sobre la incapacidad de Haití para concertar estos planes, en circunstancias que desde del 1° de junio de 2004, por Resolución del Consejo de Seguridad de las Naciones Unidas, se interviene este Estado fallido mediante la Misión de Estabilización de las Naciones Unidas en Haití (MINUSTAH).

Recomendaciones

En la página 73, cuarto bullet de la Recomendación 4, se lee: *"Contribute to the set up of binational priorities in order to better align donor intervention (distinguish local needs at border from those binational needs (e.g. EPA implementations; electricity interconnection and other national wider aspects of the "one island" called "hispaniola"))"*.

La referencia a "national wider aspects of the "one island" called "Hispaniola" se considera absolutamente inapropiada. No se puede hacer referencia a problemas nacionales que abarquen a dos naciones con abismales diferencias como la dominicana y la haitiana. Se podría hablar de problemas insulares, pero no nacionales.

☐

Volumen 2

EQ1: To what extent have EC support strategies reflected the strategic priorities of the GoDR and needs of the poor?

En la tabla que figura en la página 2 del anexo, se plantean expectativas de logro de varios de los ODM (Objetivos 1, 5, 8 10 y 11) que difieren que las que resultaron en el estudio "Objetivos de Desarrollo del

Milenio. Informe de seguimiento 2010", sin que se aporte razón o investigación alguna que justifique tales diferencias.

The Table dates from 2007. No updated table has been found. (R. LeBlanc)

EQ2: To what extent has the EC's support through sector budget support in the education sector contributed to improving the sector policy framework and increasing the operational service delivery levels of the primary education sub-sector?

En la página 74 del documento se afirma "In short, there is no clear consensus on the appreciation that quality of policy processes in primary education has improved, and education in the private sector continues to have much higher quality." pero tal aseveración no es corroborada por la evidencia al respecto, la cual no permite afirmar que la educación privada sea de mucho mejor calidad que la pública. Las diferencias entre escuelas privadas y públicas en los resultados de pruebas nacionales son pequeñas. Por ejemplo, si se analizan las notas promedio sobre una base de 30 en 2010, el promedio de todas las escuelas privadas solo superior en 1.9 y 2.66 puntos, según la asignatura, que el de las escuelas públicas.

This position HAS been integrated into the Annex after the noted paragraph. (R. LeBlanc)

Los resultados del SERCE (2008)¹, también sugieren diferencias pequeñas en el rendimiento de la educación pública y privada en el país. Las estimaciones del modelo multinivel que desarrollaron los autores de este estudio para la República Dominicana sugieren que el rendimiento de las escuelas urbanas privadas fue superior solo en el 3er. grado, mientras que en el 6to. grado de básica los rendimientos de los estudiantes de ambos sectores educativos fueron estadísticamente equivalentes. Más aún, el impacto positivo de pertenecer a una escuela urbana privada en el país es relativamente pequeño dentro del contexto latinoamericano (la diferencia que hace educarse en una escuela privada es mucho más grande en países como Brasil y Perú).

Una de las razones es que el sector educativo privado dominicano es muy heterogéneo en términos de la composición socioeconómicas de sus estudiantes. Si bien es razonable pensar que las escuelas privadas compuestas por una población relativamente privilegiada es de mejor calidad que la educación pública, no podemos decir lo mismo de las escuelas privadas con una composición socioeconómica similar a la de las escuelas públicas.

En el documento también se afirma que existen inequidades de género en el acceso a la educación y que se ha observado un retroceso en este sentido en los últimos años en la educación básica. P. 13 "Problems remain in the inequitable access of men and women to health, education, and labour market participation." y P. 61 "Nevertheless, gender equality is almost a fact in primary education. Although the ratio of gross enrolment girls/boys had diminished from 100 in 2001 to 92 in 2008⁸⁶ and a relatively less proportion of all girls are enrolled than of all boys, girls do better in national exams and desert the system in a lesser degree (Valerio 2011; ODM Informe de Seguimiento 2010, MEPyD)."

This has been integrated into the Report (R. LeBlanc)

¹ Segundo estudio regional comparativo y explicativo SERCE, Los aprendizajes de los estudiantes de América Latina y el Caribe 2008

La evidencia sobre el acceso a la educación sugiere que, al menos en lo que se refiere al acceso, no existen grandes inequidades entre hombres y mujeres. Para tener una idea de la equidad en el acceso hay que mirar las tasas netas de matriculación en la educación básica, y estas son similares entre hombres y mujeres (una razón de 99 %). La relación de las tasas brutas de matriculación no es un buen indicador de la equidad de género, dado que la tasa brutas de matriculación de los niños son excepcionalmente altas debido a la mayor repetición y por lo tanto sobre-edad de los varones. Entonces, efectivamente, la razón de tasas brutas es de alrededor de 92 % pero porque hay muchos más varones "estancados" en el nivel básico y no por un menor acceso de las niñas a la educación básica. Este error en el análisis se arrastra del Informe de Seguimiento de los Objetivos del Milenio donde también se plantea la misma errada conclusión.

En el documento no se especifican de forma clara los avances que ha habido en el desarrollo de los Sistemas de Información para la Gestión Educativa, a pesar de que se discurre sobre el tema de monitoreo y evaluación de la educación básica en varias partes del documentos (por ejemplo, en las páginas 51 y 104). Se tiene información de que el MINERD ha hecho avances significativos en el desarrollo de los sistemas de información que permiten monitorear los resultados, sobre todo en lo que se refiere a la eficiencia (deserción, sobre edad...). El sistema actualmente instalado provee información relacionada con los indicadores de eficiencia para la virtual totalidad de los centros educativos de básica, y esta información se encuentra en línea. Posiblemente no se puede decir que se cuenta con un sistema de gestión de la información completo, pero sí existen avances que debieran quedar más claros en la evaluación.

This point is already made in the report with respect to EMIS. The key issue is that EMIS roll-out is quite recent
R. Blane

Los evaluadores muestran un excesivo escepticismo, incluso cuando representantes de la Comisión Europeo señalan que existe un sistema de información que permite proporcionar información significativa sobre la educación en el país. El hecho de que no se hagan reportes periódicos que se utilicen para la toma de decisiones sugiere un posible sub-aprovechamiento de la información producida por los sistemas, pero no una completa inutilización de esta información. Los evaluadores pueden encontrar evidencia clara de que varios componentes del SIGE son operacionales, lo que debería verse reflejado en la evaluación.

This point has been integrated
R. Blane

En varias partes del documento se sugiere que el MEPyD se constituyó en un obstáculo para el desarrollo de la mesa sectorial: p.43 "According to the Draft Country Note DR (p. 15), donor coordination was one of the outcomes of EC support to the education sector and coordination mechanisms are in place. Early coordination has been led by GoDR, but later on leadership was taken over by the EC. More

Not really.

recently (Sept. 2008), the so-called —Mesa sectorial// on education is non-operational as the Ministry of

Economy (MEPyD) claims to be responsible for the —Mesas Sectoriales and still needs to define their functioning." p. 60 "...the so-called Mesa Sectorial on education became non-operational as the Ministry of Economy, Planning and Development was expected to define the methodology for Sectorial —Mesas.

Donors mentioned they more often meet without the presence of GoDR and MinERD mentions bilateral meetings, waiting for the Mesa to resume."

Sobre la base de tales afirmaciones, los usuarios de este documento pueden quedar con la impresión de que el MEPyD, reclamando como competencia la regulación de las mesas sectoriales, se ha convertido en un obstáculo para la continuación de la mesa sectorial de educación y que su no operacionalidad se debe en parte a que se está a la espera de una definición de su funcionamiento por parte del MEPyD. Dos cosas deben ser aclaradas al respecto. Primero, el Vice ministerio de Cooperación Internacional del MEPyD ha elaborado pautas (aunque no un reglamento oficial) para el funcionamiento de las mesas sectoriales que pueden ser utilizadas por estas. Segundo, el hecho de que no exista un reglamento oficial no impide que el MINERD haga operacional la Mesa Sectorial de Educación, ya que el liderazgo en este espacio recae sobre el organismo rector del sector. Es más razonable identificar como causa principal de la discontinuación de la Mesa Sectorial, la inestabilidad que sufrió el MINERD durante 2008 y 2011. Por otro lado, se puede incluir también que el 12 de julio de 2011 efectivamente la Mesa Sectorial se reunió, lo que puede señalar una reanimación de este espacio.

This point has been introduced into main report. Eq. 2. Rubén Alan

Se señala que no hay información clara sobre la razón docente estudiante en el país. P. 84: *"At the moment, there are no clear data on pupil/teacher ratios available. Numbers mentioned are somehow contradictory. The number of teachers qualified according to the law has increased, but there is no guarantee that they are capable of performing well their task According to SGCE globally there are 21 students per section (or grade) in primary education (23.7 in public schools). According to Cerito y Cruz, the average number of students per class is 58. As indicator for PAPSE 1, % of schools with 40 students/section was applied (35 for PAPSE 2). In interviews an average of >40 is mentioned."*

Tal afirmación no parece correcta. Tanto la UNESCO como el Banco Mundial publican estadísticas sobre este indicador para la República Dominicana, y generalmente su valor no pasa de 30. No parece correcto dar la misma autoridad a estas fuentes de información que a lo publicado por el grupo de activistas, "Cerito y Cruz", que no conforma un centro de investigación, por lo que no cuenta con información privilegiada ni explica qué metodología utilizó (el documento al que se hace referencia es un video en el internet). El indicador del PAPSE se refiere al porcentaje de escuelas con más de 40 estudiantes por sección, pero esto no quiere decir que el promedio sea ese, sino que existe un porcentaje importante de escuelas con alto grado de hacinamiento (especialmente aquellas ubicadas en zonas urbanas marginales) y es una meta del sector reducir los centros educativos en esta situación. En todo caso, dado que se cuenta con datos confiables sobre los ratios docente-estudiantes en el país, a datos que provienen de fuentes informales no se les debiera dar el peso suficiente para decir que los datos son contradictorios.

Data source changed.

En la página 84 se hace referencia a los resultados de las pruebas nacionales para analizar la evolución de la calidad de la educación en el país. Sin embargo, los resultados de las pruebas nacionales no son comparables en el tiempo, porque el nivel de dificultad varía de un año al otro.

En la página 115 del documento los autores señalan: "...little information is available on the ratio in poorer/more disadvantaged areas: the SGCE does not cross-reference region with poverty index";

While this may be true National exams are generally re-centered on a normal curve to remove such discrepancies (PUL)

9
The point has
been
integrated
into p. 115.
The evaluation
were not
given any
stats on
this basis
(All done)

también en la página 116 se indica: "As mentioned before, the SGCE does not provide data for regions classified according to poverty rate". Sin embargo, la clasificación de las escuelas por la zona ubicación permite una aproximación. Por ejemplo, las escuelas clasificadas como "urbano marginal" lo son precisamente por la situación de "marginalidad" de los sectores en los que están ubicados. Así mismo las escuelas "rurales-aisladas" pueden ser consideradas también como las menos aventajadas en este sentido.

EQ4: To what extent have EC strategic responses contributed to empowering civil society in relation to active participation in national social and policy debates?

The EC has contributed to enabling Civil Society Organizations (CSOs) to have an impact on decision-making by contributing qualitatively to social and policy debates in issues related to governance.

En el análisis de este primer criterio, el informe señala que hay evidencia de que los 34 proyectos de fortalecimiento de la sociedad civil que se implementaron a través del PRIL, contribuyeron a mejorar los niveles de impacto logrados por las OSC en el marco de los debates sobre gobernanza, pues varios de esos proyectos se convirtieron en plataformas activas para la preparación y propuestas de nuevas leyes, como de hecho fue la Ley 122-05 sobre las organizaciones sin fines de lucro, por un lado, y a través de los proyectos del PARME, la nueva ley sobre municipios 176-07.

This info
has been
integrated
into
eval. of
JC. 4.1
p. 144

Sin embargo, el propio informe señala que no pueden partir de una línea base que permita establecer con claridad el grado de mejoría atendiendo a un criterio de antes y después de la implementación de los programas del PRIL y del PARME, por lo que los juicios emitidos sobre la presunta mejoría descansa en una base de evidencias cualitativas recogidas de entrevistas a los involucrados y lectura de documentos de los proyectos.

CSO's participation in governance-related activities is done in complementarity with local government and the private sector and is likely to be sustainable over the long-term.

Las respuestas a la pregunta correspondiente al segundo criterio arrojaron evidencias de que la contribución de la Unión Europea había fortalecido el reconocimiento y la legitimidad de la sociedad civil, en la medida en que proyectos como los desarrollados por el PARME fueron críticos para impulsar los nuevos marcos legales que contienen el nuevo modelo de descentralización, caracterizado por la participación de la sociedad civil en formas participativas de planificación (presupuesto municipal participativo, por ejemplo), y que demuestran con ello una mejor apreciación de las OSC en la sociedad.

No obstante lo anterior, la evaluación informa que no encontró ejemplos de acciones conjuntas y complementarias entre las OSC, autoridades locales y el sector privado. Hay, sin embargo, documentación y evidencia cualitativa que muestra casos en los que las autoridades locales están involucrando OSCs en la planificación y ejecución de los programas, tal como, *por ejemplo, la experiencia de Villa González, donde esto efectivamente ocurre.*

This point
has been
integrated
into
I.4.2.2
RUC Bla

En este tenor, el propio Estado ha dado reconocimiento a la sociedad civil en su capacidad de contribuir a las políticas públicas, como es el caso del Programa de Reforma de la Administración Pública (PRAP). Por último, se evidencia en este criterio que durante el período evaluado la Unión Europea aumentó considerablemente los fondos para financiar actividades relacionadas con la mejora de las relaciones entre actores estatales y actores no estatales, en comparación con una década atrás.

This point is already in the Annexes + report (Rule Blank)

The cooperation provided to civil society is consistent with EC policies on governance support.

En cuanto al tercer criterio, la evaluación encontró que existe consistencia entre las políticas de apoyo a la gobernanza de la Unión Europea y la cooperación prestada a la sociedad civil en la República Dominicana, evidentes en los programas PRIL y PARME. *Esto ha ocurrido a la vez que el Gobierno de la República Dominicana hace esfuerzos para consolidar la democracia mediante el lanzamiento de un proceso de modernización y reforma del Estado.*

This point has been added to JC, 4.3 in the Annex. Rule Blank

The CSO community identifies the assistance provided by the EC as representing specific value-added.

En el cuarto criterio los resultados evidencian que hay poca información acerca del valor agregado percibido por las OSC en relación a la cooperación de la Unión Europea, cuando se compara dicha cooperación con la de otros donantes. Las OSC no pudieron identificar la naturaleza del valor agregado, y afirmaron que ellas identifican en la oferta de cooperación de la Unión Europea aquellos programas en los cuales tienen interés. En este plano, las OSC aprobaron positivamente los programas de la Unión Europea por los "beneficios colectivos" (entrecomillados en el texto) entrañan su repertorio estratégico de programas, y valoraron los efectos benéficos de los mismos más allá de las actividades específicas financiadas.

This confirms our analysis and is in both the Annex and the report. (Rule Blank)

EQ 6: To what extent has EC cooperation improved the ability of DR private sector firms to be competitive in terms of trade, particularly between the DR and the EU Member States?

14. En la página 197 del informe se afirma: "Specific sector targeted EC interventions show clear results contributing to clear impact in exports with increased value and volume exports for both agricultural and industrial goods. Other EC interventions based on demand-driven direct support to DR firms as a whole was not as successful"

Esta afirmación es muy categórica y no resulta avalada por las informaciones que se analizan posteriormente. Ante todo, el hecho de que los programas de cooperación se diseñasen sin establecer explícitamente los resultados o impactos esperados y sin líneas de base que permitan comparar la situación antes y después de la ejecución de los programas, impide establecer relaciones directas entre la evolución de algunas variables económicas y la asistencia recibida.

we are completely in agreement and have said so in the report. (Rule)

El único caso en el que posiblemente se pueda inferir una cierta incidencia directa de un programa de asistencia es el del banano, pero incluso en este caso habría que analizar los diversos determinantes del auge experimentado antes de asignar la totalidad de los resultados a la cooperación recibida.

we agree!

Tratamiento preferencial a los países ACP, incremento de la demanda por productos orgánicos y frutas en general en Europa, incidencia de la previa existencia de una fuerte organización entre los productores, son elementos no vinculados a la cooperación que pueden explicar parte del auge en las exportaciones.

we agree & have reinforced this in the Annex.
"Overall analysis (b.1) RLL"

Es precario asignar a la cooperación europea, de la forma exclusiva en que se plantea en el texto, la mejoría del entorno para los negocios. Se omite al respecto el determinante fundamental; la incidencia de los cambios legales que hubo que introducir como consecuencia del DR-CAFTA y la presión competitiva que ese tratado significó para los productores dominicanos. Incluso, es ese tratado lo que explica el hecho de que RD haya estado en capacidad de ser el primer estado caribeño en poner en ejecución el EPA.

We do not see where we assume "exclusivity".

Se menciona, pero no se reseña, una intervención regional bien focalizada a favor de los productores de ron, que explicaría su despegue en la penetración del mercado europeo. A no ser que tal intervención fuese dirigida a levantar obstáculos al comercio de ese producto presentes en Europa, lo cual se debiera explicitar de ser el caso, no se visualiza otra forma de incidencia en el éxito de las exportaciones dominicana a España. Se puede afirmar a priori que la penetración del mercado español fue producto de una muy intensa campaña de promoción realizada por las empresas, la familiarización con el producto como resultado del intenso flujo de turistas desde ese país y la adquisición de una de las empresas productoras de ron por una gran distribuidora europea de bebidas.

To balance the Annex we have included this point in SC 6.1 "Overall Anal" RLL

El mismo caso de atribución directa a la cooperación de las evoluciones de distintos indicadores se da en reiterados casos. Particularmente, se recomienda aportar la evidencia que permita concluir que ha sido fundamentalmente el apoyo del ISPRI al Ministerio de Agricultura el factor determinante de la disminución de los furgones rechazados en EEUU.

See p. 212, 214, 224 for general ISPRI. I don't understand the reference to "rejected vans" RLL

Finalmente, se considera importante enfatizar en algunos aspectos para fines de una mejor coordinación de posteriores ayudas al desarrollo:

En primer lugar, la formulación de los proyectos debería contar con una clara definición de objetivos, líneas de base para los indicadores de producción y de impacto, y la evaluación periódica de su ejecución para asegurar que se está avanzado en el logro de los objetivos perseguidos. El informe muestra que, con la práctica que se ha seguido, es imposible determinar certeramente los resultados logrados por la ayuda para el desarrollo.

We agree and have strengthened the recommendation - data on monitoring RLL

Parece necesario, si se desea poder vincular cooperación con resultados tangibles, que se tracen líneas de trabajo confluentes hacia los objetivos. Del informe pareciera desprenderse que un gran objetivo de la cooperación europea consistía en mejorar la competitividad y la capacidad exportadora. Sin embargo, como se señala en varias ocasiones, toda la asistencia prestada a PROEMPRESA y PROMIPYME no se focalizó en esa dirección; de hecho no se focalizó en ninguna dirección, por lo que es prácticamente imposible determinar sus resultados.

(R3)

This point has been added to the Overall anal. of EQ 6. in the Main Report, (RLL Blaw)

and in Recommendation 3 of the Main Report.

Beneficiaries

Otro elemento que pareciera necesario introducir para incrementar la eficiencia de la cooperación internacional es el análisis de las condiciones iniciales de los receptores de la cooperación. En el informe el proyecto PROBANO aparece como la estrella de todas las iniciativas impulsada por la EC, y de hecho la cooperación europea está poniendo fuerte énfasis en el apoyo al desarrollo de los clústeres. Habría que determinar hasta dónde, la existencia previa de un fuerte esquema de organización entre los productores de banano posibilitó el funcionamiento como real clúster. En tal caso, el apoyo a los clústeres se debiera dirigir hacia aquellas organizaciones de productores que han mostrado una real capacidad de cooperación, en vez de tratar de impulsar clústeres entre productores sin vocación de trabajo conjunto.

De la misma manera, siempre para poder asignar resultados, sería conveniente que, en el caso de los clústeres, se de apoyo integral a los asociados, como parece que se hizo en el caso de PROBANO (asistencia técnica, infraestructura y hasta mejoramiento de condiciones de vida)

Por otro lado, también parece desprenderse del informe que las actividades de tipo general, como conferencias, talleres de sensibilización, etc. si no están dirigidas hacia grupos que ya muestran un potencial, no tienen efectos constatables.

We agree on this. This is a fundamental strategy in cluster analysis.

It does not, however, mean that only the most capable firms are supported.
Rule.

We did not ever mean to imply this.
Rule.

13. PRESENTATION FOR DISSEMINATION SEMINAR



**Evaluación a Nivel País
República Dominicana**

**Seminario de Diseminación
Santo Domingo, 12 de Septiembre,
2011**

EVA 2007/GEO-ACP Consortium:



Propósito del Seminario



- **Discutir:** resultados, conclusiones y recomendaciones
- **Recolectar retroalimentación:** para incorporar al informe final

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 2

Visión General de la Evaluación de Agosto del 2000

1) ETRATEGIA DE DESARROLLO

- Pobreza y desigualdad. Gobernanza.
- Riesgo (“perspectivas de éxito”).
- “Justificación de la selección de sectores” limitada y la “viabilidad de intervenciones claves”.

2) RENDIMIENTO

- Gobernanza y el Estado de Derecho
- Reducción de la Pobreza
- Género y el Medio Ambiente
- Regional: Mejor proceso entre RD-Haití. Bajo impacto del Programa Regional del Caribe

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 3

Visión General de la Evaluación de Agosto del 2000

3) RAZONES DEL RENDIMIENTO

- Insuficiente análisis
- Pobre selección de las instituciones apropiadas
- Diseño excesivamente complejo, prioridad dada a equipos, y falta de una estrategia general de las OSC (Organizaciones de la Sociedad Civil)
- Coordinación pobre
- Sistemas de aprendizaje débiles y pobre memoria corporativa. Insuficientes recursos en la DEU para manejo y monitoreo

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 4

Visión General de la Evaluación de Agosto del 2000

4) RECOMENDACIONES (Visión general)

- Enfoque en gobernanza y la reducción de la pobreza.
- Programación:
 - Salud y gobernanza
 - Mantener RD-Haití.
 - Sysmin and Stabex
- Reconsiderar el sector de educación y el sector privado (que no continúen como están).
- Mejorar coordinación con los donantes.
- Mejorar los programas significativamente.

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 5

Presupuestos RD (EDF8, 9 and 10)

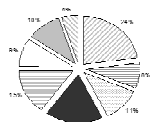
Allocations according to CSPs and MTRs (millions of €)

	EDF8		EDF9		EDF10
	Initial	After review	Initial	After MTR	Initial
Focal sector: Social (Education + Health)	26.5	32.33	54	54	-
Focal sector: Water & Sanitation	26.5	21.2	53	-	-
Focal sector: State reform/ Governance	26.5	29.5	-	-	61.7
Focal sector: Macro-economic Support/ BS	-	-	-	53	91.3
Non-focal sectors	26.5	27.56	12	12	26
Envelope B			57	57	15.3
Total	110	110.59	176	176	194.3
Out of which SYSMIN	23	23	30	20	

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 6

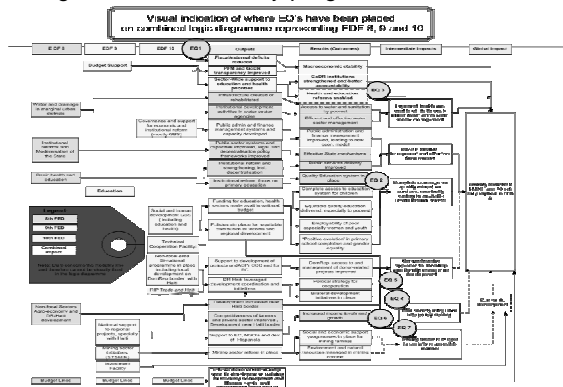
CE Compromisos y Desembolsos RD (2001-2009)

Sector	Commitments	Disbursements
Social development (Education & Health)	80,940,432	56,379,710
Water & Sanitation	20,991,253	20,991,253
Governance	29,766,010	28,416,727
Macroeconomic Support	53,062,950	42,764,728
Non-focal sectors	43,238,842	37,665,504
Envelope B	36,862,788	23,061,352
ECHO & EIB	33,103,953	25,128,991
Thematic Budget lines (divers)	44,230,696	12,615,718
Total	342,296,924	247,023,983



Legend for pie chart: Social development (Education & Health), Water & Sanitation, Governance, Macroeconomic Support, Non-focal sectors, Envelope B, ECHO & EIB, Thematic Budget lines (divers).

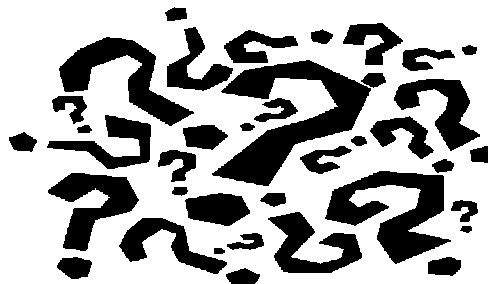
Logica de Intervention y preguntas de evaluacion



Preguntas de Evaluación: Evaluation Questions: Visión General

- PE 1: Correlación entre objetivos de la CE y necesidades
- PE 2: Apoyo Presupuestario (AP) para la Educación, Marco político y acceso servicios
- PE 3: Apoyo Presupuestario General (APG) y en enfoque del presupuesto público en la reducción de la pobreza
- PE 4: Sociedad civil empoderada
- PE 5: Desarrollo común entre RD-Haití
- PE 6: Competitividad de las empresas de la RD
- PE 7: Impacto social y medioambiental de la minería
- PE 8: Mezcla de modalidades

¿Preguntas? ¿Comentarios?



Análisis a Nivel Estratégico (1 de 5)

- **Resultados de Nivel Estratégicos y Conclusiones**
- Buenas decisiones para reducir la pobreza?
- Buenas decisiones para la Gobernanza?
- Temas transversales (medio ambiente, género)?
- Desarrollo sostenible de capacidad?
- Efectividad y eficacia como temas estratégicos?

Análisis a Nivel Estratégico (2 de 5)

- **a) Reduccion de la pobreza**
- Relevancia
 - Alineado a los planes y estrategias del GoRD
 - Evolucion con el tiempo
 - Enfoque en la pobreza, pero no en la desigualdad
 - Las necesidades del "pueblo" ?
 - Inefectiva rendimiento de cuentas mutua
- Apoyo a los ODMs
- Influencia de la CE para que se asigne una mayor parte del presupuesto nacional a los ODMs.
- La influencia de la CE en el enfoque dado a la reducción de la pobreza en los presupuestos públicos.
- Diálogo político

Análisis a Nivel Estratégico (3 de 5)

b)Governance

A) SOCIEDAD CIVIL

- Empoderar la sociedad civil
- Enfoque en las posiciones
- Nuevo marco legal
- Redes de OCS dedicadas a la gobernanza
- Planteamiento enfocado y decidido
- Visibilidad y ventaja comparativa

B) DEMOCRACIA

- Democracia apoyada por la CE.
- Corrupción.

Análisis a Nivel Estratégico 4 de 5

c) Temas Transversales

MEDIO AMBIENTE

- Resultados pasados
- Enfoque en el futuro

GÉNERO

- Objetivos específicos de género débiles; pero establecidos

GESTIÓN DEL CONOCIMIENTO

- Comparar esta y la evaluación anterior
- La CE ha aprendido

d) Desarrollo de Capacidad

- Gestión del desarrollo de capacidad bastante débil.

Análisis a Nivel Estratégico 5 de 5

e)Efectividad y Eficacia

Mezcla de modalidades

- Relación: modalidades y objetivos
- Los problemas encontrados eran previsibles

Recursos apropiados y adecuados

- El rol del gerente del programa
- La gestión de la complejidad (principios)

Gestión de Riesgo

- Debe mejorarse

Análisis Sectorial

- Educación
- Competitividad en el Sector Privado
- Minería
- RD-Haití

PE - Educación

Hasta qué punto ha contribuido el apoyo de la CE, a través de la ayuda al presupuesto para la educación, a mejorar el marco del sector político y a aumentar los niveles operacionales de acceso a la educación primaria?

Vínculo a la Estrategia:

Como parte del pilar "social" para la reducción de la pobreza, la CE ha tratado de asegurar una cobertura completa (servicios) de educación de calidad, conduciendo a acceso equitativo al mercado laboral. También ha tratado de facilitar la participación ciudadana en los procesos democráticos, proveyendo habilidades educativas.

Resultados sobre la Educación (1/3)

Criterio de Juicio	Resultados
Aportes específicos proporcionados por SBS (Apoyo Presupuestario Sectorial), así como la combinación de estos aportes, correspondiente a los sectores político, económico e institucional (necesidades) y a la política de la CE concerniente al BS (Apoyo Presupuestario).	<ul style="list-style-type: none"> • Aportes correspondientes a proyectos del GoRD • Enfoque con un sentido de apropiación nacional, pero se deben tratar varios temas de capacidad
El Apoyo Presupuestario Sectorial ha contribuido al establecimiento de un marco de diálogo político, enfocado en estrategias y prioridades claves del gobierno, así como también en una mayor asignación del presupuesto nacional para la educación.	<ul style="list-style-type: none"> • Diálogo político • No se ha implementado un Cuadro de performance (PAF) basado en resultados • El presupuesto de educación no se ha aumentado y es muy bajo (en % del PIB). Esto Afecta la calidad.

Resultados sobre la Educación (2/3)

Criterio de Juicio	Resultados
El Apoyo Presupuestario Sectorial ha contribuido a los procesos armonizados para los aportes financieros y no financieros, tales como ayuda técnica y programas de capacitación, siendo este último estratégico y enfocado en las prioridades del gobierno y proporciona un valor agregado de la CE.	<ul style="list-style-type: none"> • Sistemas de armonización inefectivos • Mecanismos informales para la gestión de aportes no financieros • La capacidad de los ministerios continúa siendo un reto.
El Apoyo Presupuestario Sectorial (SBS) de la CE ha contribuido a mejor calidad de los procesos políticos y la implementación de políticas en diferentes niveles, incluyendo distritos/regiones (incluyendo capacitación institucional, sentido de pertenencia y transparencia).	<ul style="list-style-type: none"> • Policy framework and service delivery levels, based on quality, were a challenge • Implementation of policy was a problem. Sustainability is a big risk. • Decentralized education levels did not improve.

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Resultados sobre la Educación (3/3)

Criterio de Juicio	Resultados
Nos niveles de servicio para el acceso a la educación primaria han aumentado, es probable que se sostengan, y están programados para alcanzar los ODMs	<ul style="list-style-type: none"> • Gastos en educación • Indicadores cuantitativos deben ser interpretados • Apoyo Presupuestario Sectorial (SBS) y acceso a los servicios • Es muy probable que las metas trazadas para lograr los ODMs no se realicen (incluyendo la calidad)

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Respuesta sobre la Educación

- LA CE apoyo iniciativas nacidas para una reforma
- Mejoramiento del marco de políticas y del nivel de servicio en primaria
- Modalidad apoyo presupuestario efectivo para nivel de actividades del ministerio
- Baja nivel de calidad educativa: enfocar sobre profesores y equipo educativo
- Nivel presupuestario disminuido bajo, falta flexibilidad

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Limitaciones de la Educación

EMIS o sistemas similares no funcionaban durante el periodo evaluado

Análisis de calidad no está basado en una investigación exhaustiva, sino en un análisis cualitativo

=Sin pérdida de validez

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Competitividad de las Empresas en la RD

¿Hasta qué punto la CE ha mejorado la capacidad de las empresas del sector privado en la RD para competir en el comercio, particularmente entre la RD y los Estados Miembros de la UE?

Vínculo a la Estrategia:
El segundo pilar para la reducción de la pobreza es la economía. La CE ha tratado de garantizar que las empresas dominicanas sean capaces de crear o proteger empleos como resultado de las condiciones económicas globales. Más empleos también implicaba un menor nivel de pobreza para aquellos con empleos.

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Resultados sobre la Competitividad (1/2)

Criterio de Juicio	Resultados
El apoyo de la CE ha permitido que empresas de la RD se hayan beneficiado finalmente de EPA	<ul style="list-style-type: none"> • Mejor habilidad para intercambios comerciales y ser más competitivo • Enfoque en SME (comercio, importación y EPA) • Efectos específicamente de la CE, difíciles de identificar.
El apoyo de la CE ha contribuido a proporcionar a las empresas la capacidad de ser y continuar siendo competitivas con las importaciones europeas y no europeas al país, o para mejorar su habilidad para exportar a la UE u otros lugares	<ul style="list-style-type: none"> • No hay un consenso sobre productos específicos (precario Monitoreo y Evaluación) • La implementación de un marco consultativo, pero las empresas resienten la intermediación • EIB apoya el sector privado; la complementariedad no está clara

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 24

Resultados sobre la Competitividad (2/2)

Criterio de Juicio	Findings
Aumento en el comercio con la UE y con otros socios comerciales crea mejores y más sostenibles oportunidades de empleo, especialmente para las mujeres.	<ul style="list-style-type: none"> Estadísticas precarias sobre la participación de las mujeres y jóvenes Desarrollo de la zona fronteriza crea empleos así como el turismo. Salarios bajos, pero importantes para los hogares.
El apoyo de la CE en su facilitación de un marco ambiental para el comercio (p. ej. Sistema fiscal, leyes, y requisitos de calidad de producto) ha creado oportunidades de comercio de manera sostenida.	<ul style="list-style-type: none"> Efectos positivos en los marcos de sectores específicos (p. ej. Normas de calidad) o a nivel nacional (p. ej. Ambiente comercial) Resultados de capacidad de un Plan Nacional de Competitividad Sistémica no están claros. Beneficios de la integración regional ahora son abordados desde la perspectiva de la EPA.

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 25

Respuesta sobre la Competitividad

- Mejor habilidad de algunas empresas del sector privado para ser competitivas en el intercambio comercial entre la RD y los Estados Miembros de la UE y no socios de la UE. Quedan preguntas acerca la distribución de beneficios en la sociedad.
 - La competitividad continúa siendo un gran reto.
 - Aunque ha sido en pequeña escala, el apoyo de la CE ha contribuido a la capacitación para ser o continuar siendo, competitivos (una indicación de sostenibilidad) en las importaciones a la RD.
 - El Acuerdo de Asociación Económica (EPA) ha sido un instrumento influyente para mejorar el marco de habilitación.
 - Medidas de impactos (p. ej. en los más pobres) como resultado de la competitividad ha sido una gran debilidad..
- Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 26

Limitaciones de la Competitividad

- Dificultad para obtener información (data) sobre capacidad y para separar los efectos de la CE de los efectos causados por otros factores.
 - Sistemas de Monitoreo y Evaluación del tema son débiles en el país en general.
- =Retos de validez importantes, pero los resultados son aceptables.
- Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 27

Impactos Sociales y Medioambiental en la Minería

¿Hasta qué punto ha contribuido la CE para asegurar que los impactos sociales y medioambientales de la industria minera hayan sido mitigados?

Vínculo a la Estrategia:

El sector minero es importante para el crecimiento de la economía dominicana (la reducción de la pobreza) y el objetivo de la CE era de ayudar a garantizar que se desarrollara en una manera responsable socialmente.

Santo Domingo Sept. 12, 2011 Country Level Evaluation DR Seminar Slide No. 28

Resultados de la Minería (1/2)

Judgment Criteria	Findings
SYSMIN contribuyó a un sistema institucional sostenible, el cual es conducente al desarrollo económico del sector minero.	<ul style="list-style-type: none"> Organizaciones nacionales claves fueron fortalecidas. ¿Sostenibilidad? Se crearon normas de seguridad en la minería, pero no se aprobaron Propuestas políticas ahora se utilizan en el DGM (Departamento de Geología y Minas)
SYSMIN contribuyó al mejoramiento de las condiciones de vida en las zonas mineras.	<ul style="list-style-type: none"> Se crearon nuevos empleos; ingresos a nivel local por servicios prestados Estudios Técnicos para el DGM (Departamento de Geología y Minas) ayudó a conseguir inversiones Medidas de seguridad Acceso a agua potable

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Resultados de la Minería (2/2)

Criterio de Juicio	Resultados
SYSMIN contribuyó a la protección a largo plazo del medio ambiente en áreas mineras.	<ul style="list-style-type: none"> Impacto mediambiental, mitigación o estudios de remedio Monitoreo independiente del medio ambiente; proyectos de mitigación sin implementar. ¿Sostenibilidad? ¿Transparencia? Capacity development in regulations development
Arreglos institucionales y marcos presupuestarios para el sub-sector están implementados a largo plazo	<ul style="list-style-type: none"> Marco presupuestario de la DGM; todavía se usan los sistemas DGM o recientemente creadas Servicio nacional de geología todavía no son sostenibles. Contribuciones previstas a la DGM todavía no están en lugar Otros ministerios relevantes a la EIA (Evaluación de Impacto Ambiental) también son débiles y no tienen la capacitación.

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Respuesta de la Minería

- El apoyo de la CE contribuyó al desarrollo del sector minero en la República Dominicana en muchas maneras significativas.
- Todavía los estándares no forman parte de la legislación nacional, aun cuando éstos son usados en la industria.
- Es importante para el crecimiento económico que se apoye:
 - Iniciativa de Transparencia en la Industria Extractiva (EITI por su nombre en inglés),
 - Desarrollo de la capacidad para los ODM,
 - Servicio Nacional de Geología (NGS)
 Sin embargo, es cuestionable si estos resultados serán sostenibles.
- SYSMIN ha contribuido a mejorar las condiciones de vida los mineros y sus familias, así como a la protección medioambiental de las áreas mineras.



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Desarrollo Común RD-Haití

¿Hasta qué punto la CE ha contribuido a que la RD y Haití logren efectuar oportunidades comunes para su desarrollo?

Vínculo a la Estrategia:

Desde los puntos de vista económicos y sociales (incluyendo gobernanza), el desarrollo en conjunto de la Hispaniola es crítico para el bienestar de los pueblos tanto en la RD como en Haití. La CE apoyó un enfoque integral para este asunto.

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Respuesta sobre DR-Haití

- La contribución planificada por la CE para que la RD y Haití desarrollaran oportunidades comunes de desarrollo ha sido integral y consistente durante el periodo de la evaluación, así como también diversificada.
- Los objetivos estratégicos identificados en la CSP no se lograron, y aun no existe una estrategia oficial común para el desarrollo de la Zona Fronteriza.
- Es muy importante notar que la CE ha podido ayudar a mantener a ambos países interesados en el diálogo político.
- La ausencia de liderazgo y orientación de ambos gobiernos para diseñar e implementar una agenda binacional, así como la capacidad institucional y orientación política, más que limitaciones presupuestarias, lo que explica en parte el tímido éxito de la significativa contribución de la CE.



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Discusión



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Recomendaciones (1/9)

Recomendación Estratégica 1: Prioridad: Bien Alta

Continuar con la reducción de la desigualdad socio-económica como el objetivo del impacto general, pero con un enfoque en resultados demostrables, impactos intermedios y reformas políticas.

- Reducir el programa a dos enfoques claves (educación y competitividad), y tres enfoques secundarios (minería, Sociedad Civil y gobernanza, especialmente en términos de la lucha contra la corrupción).
- Ejercer investigación específicamente sobre la RD
- Indicadores basados en resultados
- Aumentar la proporción de intervalos variables a fijos.
- Invertir en "información analizada" con otros donantes.
- Justificar que las iniciativas traten el tema de la desigualdad.

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Recomendaciones (2/9)

Recomendación Estratégica 2: Prioridad: Bien Alta

Asegurar que el desarrollo de la capacitación sea el eje central de toda intervención apoyada por la CE, y manejar el enfoque de la capacitación para continuar con la Estrategia Central de la CE, y a la misma vez enfocarse en competencias basadas en información y monitoreo y evaluación continua.

- Evaluar la calidad de las estrategias, programas e intervenciones para el desarrollo de la capacitación
- Fortalecer el desarrollo de capacitación de los sistemas y protocolos de Monitoreo y Evaluación.
- Invertir en estudios que clarifiquen como el desarrollo de capacitación sucede en realidad en el contexto de la RC

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Recomendaciones (3/9)

Recomendación Estratégica 3: Prioridad: Mediana

Investir en procesos y sistemas sólidos de monitoreo y evaluación para poder 1) definir las líneas de base; 2) dar seguimiento al progreso de los resultados; 3) facilitar que se hagan ajustes rápidos para lograr los objetivos; 4) manejar los riesgos; y 5) planificar estratégicamente basado en un enfoque de empresa ecológica o medioambiental.

- *Indicadores afinados*
- *Medidas del éxito usadas en realidad traten con los objetivos*
- *Un sistema de gestión de riesgo global.*
- *Desarrollo de capacidad de CARIFORUM y CARICOM como una prioridad.*

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Recomendaciones (4/9)

Recomendación al Programa 1: Prioridad: Bien Alta

Continuar y expandir el apoyo al sector de educativo con una estrategia de modalidad múltiple que facilite un valor agregado de la CE/EM para ser influenciados para resolver asuntos claves, tales como la calidad de la educación y el manejo de los recursos.

- *Enfocarse mucho más en la calidad, aun con proyectos y subvenciones.*
- *Mejorar los productos que tratan directamente con la experiencia de aprendizaje.*
- *Mezcla de resultados para intervalos a corto plazo para motivar y proveer responsabilidad.*

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Recomendaciones (5/9)

Recomendación al Programa 2: Prioridad: Bien Alta

Continuar usando apoyo al presupuesto general como la modalidad principal para apoyar al GoRD para que éste logre los objetivos del ODM, pero que refuerce significativamente el marco de evaluación y las condiciones de desembolso para proporcionar la base de responsabilidad mutua fundada en resultados. Como parte de esta re-estructuración, se debe hacer del discurso político una condición para el desembolso y atarlo a un cambio de política..

- *Desarrollar y usar una estrategia para el diálogo político*
- *Crear compromisos más claros para la responsabilidad mutua.*

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Recomendaciones (6/9)

Recomendación para el Programa - 3: Prioridad: Bien Alta

Formalizar una Estrategia de Apoyo para las OSC (Organizaciones de la Sociedad Civil) basada en una perspectiva enfocada en la capacitación requerida dentro de la sociedad civil para lograr los objetivos de la estrategia y para asegurar que todas las modalidades e instrumentos de la CE, así como los esfuerzos de los EM (Estados Miembros) se apoyen uno con otro. Los Actores No Estatales (NSA) deben ser incorporadas a la estrategia de desarrollo y su implementación. Cualquier apoyo dado a la NSA tiene que estar basado sobre resultados específicos y sobre desarrollo de competencias.

- *Necesidad clara de una evaluación*
- *Competencias basadas en la información, cuando sea posible*
- *Publicar extensamente.*
- *Invitar a otros a participar en la estrategia como socios.*
- *Monitorear y evaluar el progreso con respecto al plan.*

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Recomendaciones (7/9)

Recomendación para el Programa 4: Prioridad: Alta

Seleccionar un pequeño número (2 o 3) de negocios para un programa de apoyo global para el desarrollo de capacidad para la competitividad (en vez de dar apoyo genérico a los 36 grupos identificados en base a la demanda). Enfocarse en la creación de empleo.

- *Clarificar los grupos que se van a apoyar*
- *Coordinación institucional y de consenso*
- *El apoyo proporcionado por la CE podría incluir una investigación del mercado y punto de referencia; "información analizada del comercio" y su diseminación.*
- *Garantizar que el marco organizativo y los protocolos de cooperación sean establecidos antes que se inicie la implementación.*

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Recomendaciones (8/9)

Recomendación al Programa 5: Prioridad: Alta

El apoyo al sector minero debe continuar para consolidar la capacitación y garantizar sostenibilidad.

- *Panorama de negocios basado en una evaluación de alcance amplio del estado de las políticas y panorama regulador en el sector.*
- *Estrategia institucional para todos los ministerios interesados.*
- *Manejar el rentismo parasitario*
- *Garantizar la sostenibilidad de las instituciones del sector.*

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Recomendaciones (9/9)

Recomendación al Programa 6: Prioridad: Alta
Traspasar la responsabilización de los enfoques para el desarrollo de la frontera RD-Haití a los dos países, aprovechando el momento de las relaciones bilaterales, así como diálogo de la CE para ayudar a desarrollar prioridades binacionales a término medio con presupuestos y arreglos de implementación claramente definidos.

- *Seguir contribuyendo a la definición de una clara coordinación institucional.*
- *Elevar el perfil de los retos para el desarrollo de la frontera.*
- *Desarrollar una estrategia para las empresass de la RD, ONGs e individuos para que tengan un rol mucho más activo en el desarrollo de Haití.*

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Gracias por la atención prestada!

¿Preguntas?
¿Comentarios?

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14. TERMS OF REFERENCE FOR EVALUATION MANDATE



EUROPEAN COMMISSION

**Evaluation of the European Commission's co-operation
with the
Dominican Republic**

Country Level Evaluation

TERMS OF REFERENCE

Final

December 2009

1. MANDATE AND OBJECTIVES

Systematic and timely evaluation of its expenditure programmes is a priority of the European Commission (EC). It is key to account for the management of the allocated funds and for promoting a lesson-learning culture throughout the organisation. The focus is on the **impact** (effects) of these programmes against a background of greater concentration of external co-operation and increasing emphasis on **result-oriented approaches**, particularly in the context of the programmes of the Relex Family¹.

The evaluation of the Commission's co-operation with Dominican Republic is part of the 2009 evaluation programme as approved by External Relations and Development Commissioners.

The main objectives of the evaluation are:

- to provide the relevant external co-operation services of the EC and the wider public with an overall independent assessment of the Commission's past and current cooperation relations with Dominican Republic;
- to identify key lessons in order to improve the current and future strategies and programmes of the Commission.

2. BACKGROUND

EC Co-operation objectives

The European Union's co-operation policy is based since 1 December 2009 on Article 188D of the Lisbon Treaty² which amended article 177 of the Treaty establishing the European Community (EC)³. It states that the Union policy in development cooperation shall be conducted within the framework of the principles and objectives of the Union's external action. The Union's development cooperation policy and that of the Member States complement and reinforce each other. Its primary objective shall be the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries.

These objectives are the same enounced in Article 1 of the ACP-EC Partnership Agreement, signed in Cotonou on 23 June 2000 (as revised in 2005), which puts main emphasis on the objective of reducing and eventually eradicating poverty. Co-operation between the Community and the Republic of Dominican Republic shall pursue these objectives.

The EC has made national Poverty Reduction Strategy Papers (PRSPs) the point of departure for its joint Country Strategy Papers (CSPs) in all countries that have/produce a PRSP. The PRSP approach, with its six principles: (1) national ownership, (2) results focus, (3) comprehensive, (4) prioritised, (5) long-term, and (6) partnership-oriented, forms the core for

¹ Directorates General of External Relations, (RELEX), Development (DEV), the EuropeAid Co-operation Office (AIDCO) and Humanitarian Aid (ECHO – though not the object of the evaluation)

² <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2007:306:0042:0133:EN:PDF>

³ It determined that the sphere of development co-operation has three objectives namely: fostering sustainable development of developing countries; assisting the smooth and gradual integration of the developing countries into the world economy and campaigning against poverty in the developing countries.

donor support, and the common framework within which all stakeholders supporting poverty reduction in a country expect to work⁴.

In February 2006, the Member States and the Community committed themselves to a shared vision in "The European Consensus" (2006/C46/01) which presents common objectives and principles for development co-operation (poverty eradication, ownership, partnership, delivering more and better aid, promoting policy coherence for development) including a renewed EU Development Policy whose objectives and principles are:

- to eliminate extreme poverty and hunger;
- to achieve universal primary education;
- to promote gender equality and empower women;
- to reduce child mortality;
- to improve maternal health;
- to combat HIV/AIDS, malaria and other diseases;
- to ensure environmental sustainability; and
- to set up a global partnership for development.

Developing countries bear the primary responsibility for their own development, but the EU accepts its share of responsibility and accountability for the joint efforts undertaken in partnership. The quality of aid will be of the utmost importance for the EU, which will ensure the monitoring of its commitments to maximize aid efficiency, notably by setting concrete targets for 2010. National ownership, donor coordination and harmonization, starting at the field level, alignment on recipient-country systems, and a results oriented approach are core principles in this respect. Aid mechanisms will be strengthened and made more predictable so as to enable partner countries to plan effectively. Community policy and the policies of the Member States in this field must complement each other⁵.

The Accra Agenda for Action (AAA), adopted in Accra on 4 September 2008, reflects the international commitment to support the reforms needed to accelerate an effective use of development assistance and helps ensure the achievement of the MDGs by 2015. The AAA, is the result of an extensive process of consultation and negotiations among countries and development partners, focuses the aid effectiveness agenda on the main technical, institutional, and political challenges to full implementation of the Paris principles. Key points agreed in the Accra Agenda for Action⁶ are predictability, ownership, Country systems, conditionality, untying aid, aid fragmentation, partnerships, and transparency.

With a view to improving the performance of European Union (EU) cooperation policy, the Commission proposed a voluntary Code of Conduct for better division of labour between the EU donors in developing countries. The Code of Conduct defines the operational principles of complementarity in the field of development cooperation. In the absence of an internationally recognised definition of complementarity, the Commission defines it as the optimal division

⁴ PRSP review: key issues

http://www.cc.cec/home/dgserv/dev/body/theme/docs/B2/PRSP_review_key_issues.pdf#zoom=100

⁵ http://ec.europa.eu/development/policies/consensus_en.cfm

⁶ <http://www.accrahlif.net/WBSITE/EXTERNAL/ACCRAEXT/0,,contentMDK:21690826~menuPK:64861649~pagePK:64861884~piPK:64860737~theSitePK:4700791,00.html>

of labour between various actors in order to achieve optimum use of human and financial resources. This implies that each actor focuses its assistance on areas where it can add most value, given what others are doing. The Code is based on good practices from the field and was drafted in collaboration with Member States' experts. It builds on the principles contained in the Paris Declaration on the effectiveness of development aid (ownership, alignment, harmonisation, management by results and mutual responsibility) and on the complementary objectives and values stressed in the European Consensus. The Code is based on eleven principles designed to reduce the administrative formalities, to use the funds where they are most needed, to pool aid and to share the work to deliver more, better and faster aid⁷.

Evolution of the context and the major trends in the political, institutional, social and economical fields

The Dominican Republic is an upper -middle income country of 9.6 million inhabitants and a GDP per capita of USD 2,850 (2006 data). In the last 15 years the Dominican Republic has experienced major economic changes. Record growth rates combined with a macroeconomic stability policy meant that per capita income rose from USD 860 in 1991 to USD 2,850 in 2006. The economic growth has, however, not been matched by an equivalent level of social development and debt sustainability has become recently a major preoccupation.

The Dominican Republic is a representative democracy with national powers divided among independent executive, legislative, and judicial branches. Democracy and rule of law have been consolidated since the mid-1990s in a political system with an acceptable level of legitimacy. In the last few years the democratic elections for the president, above all the parliamentary and local elections in 2006, have generally been free and fair. The Dominican Republic has a multi-party political system with national elections every 2 years (alternating between presidential elections and congressional/municipal elections). Since 1996, the Dominican electoral process has been seen as generally free and fair. On May 16, 2004, Leonel Fernández was elected president, promising in his inaugural speech to promote fiscal austerity, to fight corruption and to support social concerns. Fernández said the Dominican Republic would support policies favoring international peace and security through multilateral mechanisms. On May 16, 2008, President Fernández was reelected president with 53.8% of the vote. His new term runs until 2012.

After a decade of little to no growth in the 1980s, the Dominican Republic's economy boomed in the 1990s, expanding at an average rate of 7.7% per year from 1996 to 2000. Tourism (the leading foreign exchange earner), telecommunications, and free-trade-zone manufacturing are the most important sectors, although agriculture is still a major part of the economy. The Dominican Republic owed much of its success to the adoption of sound macroeconomic policies in the early 1990s and greater opening to foreign investment. After the financial crisis of 2003, which caused a recession in the Dominican economy, with a GDP negative growth of -0.3% and over 27% inflation, the economic growth of the country has resurged. The government's macro-economic stabilization plan since 2007 has reduced inflation to single digits and in 2008 the rate was 8.3%. The sectors with the greatest advances in 2007 were finance and insurance, communications and trade. The country enjoys a growing and stable economy with a per capita GDP of US \$ 4,797.8. GDP growth was 5.3% in 2008, and a 0.5% is projected for 2009.

⁷ Communication from the Commission to the Council and the European Parliament of 28 February 2007 entitled "EU Code of Conduct on Division of Labour in Development Policy" [COM(2007) 72 final - Not published in the Official Journal].

Between 1980 and 2007 Dominican Republic's HDI (human development index) rose by 0.72% annually from 0.640 to 0.777, which gives the country a rank of 90th out of 182 countries with data. In terms of social development, Dominican Republic has failed to reach the same levels as for economic development.

The Dominican Republic is exposed to several types of natural risk, in particular hurricanes and tropical storms, tsunamis, floods, landslides, forest fires and earthquakes. According to the UNDP report "Reducing Disaster Risk: A Challenge for Development", the Dominican Republic is highly vulnerable to hurricanes, followed by Haiti. This means that the island of the Hispaniola is the most exposed to cyclones in the whole Caribbean region. Deforestation and soil degradation are a big problem for both countries. The fact that there are some 400 rivers and 60 river basins in the country makes it very vulnerable to flooding.

Relations between the EU and the Dominican Republic

The Dominican Republic's relations with the European Union are good and developed since the accession of the country to the Lomé IV Convention. The political dialogue has only recently started on issues of a technical nature (trade, national development strategy, climate change). Policy dialogue around budget support related issues (PFM, national development and education policies) has improved in 2009. Commercial relations with EU Member States have been progressing steadily, the EU being the second commercial partner after the USA (still representing over 65 % of trade with DR) and the main source for the important tourism industry (where Spanish and Italian operators play an important role). Commercial cooperation between EU and the Dominican Republic is expected to strengthen in the framework of Economic Partnership Agreement (EPA) with the CARIFORUM. The Dominican Republic played an active role in reaching the agreement. DR exports to Europe did already increase in 2009 but DR private sector has to foster its competitiveness drastically if it wants to fully benefit of advantages offered by the EPA. The key objective of the EU for the coming years is to assist the Dominican Republic with translating economic growth in accelerated social development.

- An important presence of multilateral donors which represent half of the total ODA, especially the World Bank and the IDB (Inter-American development Bank);
- At bilateral level the role of the EC and its member states is dominant. Three Member States are present in a significant way: Spain, Germany, France. The biggest contributors in terms of volume have historically been Spain and Germany but Germany is in a process of interrupting its bilateral cooperation activities. Outside the EU the largest bilateral donor are the United States (USAID).

Main features and evolution of the EC cooperation with the country

The Country Strategy Paper (CSP) for the Dominican Republic presents the strategic framework for the co-operation between the European Commission (EC) and the Dominican Republic (DR). At Regional level the EC intervened at the level of the 16 ACP Caribbean Countries regrouped in the Cariforum: several actions in different areas as trade, agriculture, fishery, university cooperation, tourism. A special dimension of the regional programme concerned bilateral cooperation with Haiti (infrastructures, culture, and environment).

- **8th EDF (1995-2000):**

The 110 M Euros of the National Indicative Programme (NIP) of the 8th EDF financed social sectors, water, institutional reforms, State modernisation and the private sector. Apart from the NIP, Dominican Republic benefited from financings from "all ACP programme" (especially in the frame of private sector support), humanitarian aid (Echo), plus projects financed by budget lines (human rights, decentralised cooperation).

▪ **9th EDF (2001-2007):**

The CSP focused on water and education as primary sectors of development cooperation under 9th EDF funding. The 53 M Euros originally foreseen for the water sector were later reassigned to support macro-economic reforms. The new programme includes institutional support for public finance and regional integration as well as general budget support.

As foreseen in the NIP 2002-2007:

9th EDF, envelope A (119 Mio Euro): education: 45 %; water: 45%; hors concentration: 10 %

9th EDF envelope B (57 Mio Euro): for extra support, external shocks or to debt relief. 30M Euros for the Sysmin programme.

	Initial indicative allocation		Indicative allocation after the MTR (including previous EDF transfers)	
Education	54.000.000	45%	54.000.000	45%
Water	53.000.000	45%	-	-
Macro economic support	-	-	53.000.000	44%
Programmes out of concentration	12.000.000	10%	13.806.555	11%
Total	119.000.000	100%	120.806.555	100%

9th EDF includes as well an **Investment Facility** managed by the European Investment Bank outside of the NIP. Specific actions will be financed through budgetary lines especially in the sector of support to NGOs.

Focal sectors:	107 M Euros (90%)
Education Sector	54M Euros (45%)
Water Sector	53M Euros (45%)
Other programmes outside concentration	12M Euros (10%)
Sysmin	30M Euros

Macro-economic support- in the NIP the macro economic support was not foreseen but following the MTR in 2004 there has been a switch.

Following the **2004 MTR** perspectives for future programming for 2004-2006 were the following:

Focal sectors:	
Sectoral support Education	54M Euros
• Support to macroeconomic reform:	
Institutional support	10M Euros

Regional integration	5M Euros
Budget support (if conditions met)	38M Euros
Total	53M Euros
Outside focal sectors:	
Support to initiatives of local development	5M Euros
Initiatives of binational interest in the border area	4M Euros
Technical cooperation facility	2,9M Euros
Total	11,9M Euros
Total	118,9M Euros
Support to the mine sector (ex-Sysmin):	30M Euros
GRAND TOTAL	148,9M Euros

▪ **10th EDF (2008-2013):**

EC assistance under the 10th EDF will concentrate on sector support to governance and economic and institutional reforms as well as general budget support focusing on the MDGs in poverty alleviation, health and education sectors. The EC's total allocation foreseen to address these priorities amounts to 194.3 M Euros of which 15.3 M Euros has been allocated to cover unforeseen needs such as emergency assistance etc. All EU projects will also address cross-cutting issues, most notably democracy, good governance, human rights, workers' rights and the environment.

The main objectives of the 10th EDF NIP are to promote poverty eradication, foster social and human development and social cohesion as well as to consolidate democracy and enhance competitiveness. Support will be provided as General Budget Support focusing on the MDGs in Poverty alleviation, Health and Education sectors (Euros 91.3 M) and Sector Support to Governance and support to economic and institutional reforms (Euros 61.7 M).

In the non focal area, the relation with neighbouring Haiti will receive specific attention in order to assist both countries to develop their complex relation, addressing in the framework of a bi-national policy strategy issues of migration, commerce and economic development, infrastructure links, public health and the environment (Euros 15 M).

3. SCOPE

3.1. Temporal and legal scope

The scope of the evaluation is the Commission's co-operation strategies and their implementation during the period 2001 – 2009, i.e. the pursuing of the implementation of EDF 8th, the programming and the implementation of EDF 9th and the programming and launching of EDF 10th.

The Consultants must assess:

- the relevance and *coherence*⁸ of the Commission's co-operation **strategies** (all instruments included) for the period;

⁸ The notion of coherence should be understood here as follows: (i) correspondence between the different objectives of a strategy, implying that there is a hierarchy of objectives (with lower level objectives logically

- the European Community value added of the Commission's co-operation **strategies**; coherence within the Commission's developments programme, the coordination/complementarity and coherence with the partner country's policies and with other donors' interventions (focus on Member States) for the same period; the consistency between programming and **implementation** for the previous programming cycle ;
 - the **implementation** of the Commission's co-operation, focusing on impact, sustainability, effectiveness and efficiency for the period 2001 - 2007 and on intended effects for the period under the current programming cycle 2008 – 2013;
- whether the recommendations of a previous 2000 country level evaluation⁹ have been taken into account. The consultants must check if previous recommendations were useful and to what extent they have been taken into account in further programming. If not, why not.

3.2. Thematic scope

The Consultants must assess the following co-operation areas:

- Social sectors including Education and Health;
- Macro economic support, budget support;
- Support to local development initiatives, NSA;
- Initiatives of bi-national interest in the border area;
- Governance;
- Relevant cross cutting issues including gender, capacity building, Democracy & Human Rights, environment etc;
- Private sector and trade and, in particular, link between trade and development;
- Regional interventions.

NB: All completed evaluations (incl. regional ones) in the country related to EC interventions at project and program level are important reference material to be taken into account. The Consultants should not deal with the points already covered by these evaluations, but build on them.

4. KEY DELIVERABLES

The overall methodological guidance to be used is available on the web page of the EuropeAid evaluation unit under the following address:

http://ec.europa.eu/comm/europeaid/evaluation/methodology2/index_en.htm

Within 14 days after the reception of the ToRs, the Consultants will present a **launch note**¹⁰ which should contain:

contributing to the higher level ones); (ii) extent to which the resources foreseen are adequate in relation to the objectives set out in the strategy

⁹ http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2000/951554_docs_en.htm

¹⁰ In the case of a tender procedure, the launch note will be replaced by the financial and technical proposal of the tender

- their understanding of the ToR;
- a methodological note including the implementation of the quality control;
- the provisional composition of the evaluation team with CVs¹¹;
- a proposed budget¹².

Following the launch note, the main key deliverables are:

- The inception meeting;
- The inception report;
- The desk report;
- The final reports and seminar in the country.

4.1. The inception meeting

Upon approval of the launch note by the Evaluation Unit, the Consultant proceeds to the structuring stage leading to the production of an inception report.

The main part of the work consists in the analysis of all key relevant documents regarding the Commission's co-operation (past and present) with Dominican Republic. The Consultants will also take into account the documentation produced by other donors and international agencies.

On the basis of the information collected and analysed, the Consultants will propose evaluation questions and prepare explanatory comments for each. The choice of the questions determines the subsequent phases of information and data collection, elaboration of the methods of analysis, and elaboration of final judgements. The consultants will also identify appropriate judgement criteria.

A meeting will be held with the reference group to discuss and validate:

- the evaluation's regulatory framework, it's context, main users and expected uses;
- the evaluation's central scope;
- the scope extended to related policies;
- the intervention logic according to official documents;
- the evaluation questions;
- explanatory comments associated to each evaluation questions (when possible, indicate judgement criteria).

Upon validation by the Reference Group, the evaluation questions become part of the ToR.

¹¹ All birthday dates must be written in the following Format: dd/mm/yyyy

¹² In the frame of a "framework contract"

4.2. Inception report

At the end of the inception phase, the consultants must deliver an **inception report**, which finalises the evaluation questions and describes the main lines of the methodological design including the indicators to be used, the strategy of analysis and a detailed work plan for the next stage.

The inception report contains the following elements:

- the intervention logic;
- the validated evaluation questions;
- a limited number of appropriate judgment criteria per evaluation question;
- a limited number of quantitative and/or qualitative indicators related to each judgment criterion;
- a proposal containing suitable working methods to collect data and information in the Commission's headquarters and delegations, including information coming from the country itself and other donors in the country;
- a first outline of the strategy and the methods used to analyse the collected data and information indicating any limitations;
- a chain of reasoning for answering the question;
- a concise description of the development co-operation context of the Commission with Dominican Republic related to the evaluation questions;
- a detailed work plan for the next stage.

The report will also confirm if necessary:

- the final composition of the evaluation team and
- the final work plan and schedule.

The two latter points will be agreed and confirmed through a formal exchange of letters between the Consultants and the Commission.

This phase may include a short preparatory and exploratory visit of the Consultants to the field.

4.3. Desk report

Upon approval of the inception report the Consultants proceed to the final stage of the desk phase. At the end of this phase, the Consultants will present a desk report setting out the results of this phase of the evaluation including all the following listed elements (the major part of the inception report will be in the annex of the desk phase report):

- the evaluation questions with the agreed judgement criteria and its quantitative and qualitative indicators;
- the first elements of answer to the evaluation questions when available and the hypotheses to be tested in the field;

- progress in the gathering of data. The complementary data needed for the analysis and to be collected in the field have to be identified;
- methodological design, including evaluation tools ready to be applied in the field phase: (i) suitable methods of data collection within the country indicating any limitations, describing how the data should be cross-checked and specifying the sources, (ii) appropriate methods for data collection and to analyse the information, again indicating any limitations of those methods in Dominican Republic ;
- an exhaustive list of all the activities covered during the period and an exhaustive list of all activities examined during the desk phase, bearing in mind that activities analysed in the desk phase and the field phase (including ROM) have to be representative;
- a work plan for the field phase: a list with brief descriptions of activities, projects and programmes for in-depth analysis in the field. The consultants must explain the value added of the visits.

The field mission cannot start before the evaluation manager has approved the desk report.

4.4. Field reporting

The fieldwork shall be undertaken on the basis set out in the desk report and approved by the reference group (which includes the Delegation). The work plan and schedule of the mission are agreed in advance with the Delegation concerned. If during the course of the fieldwork it appears necessary to deviate from the agreed approach and/or schedule, the Consultants must ask the approval of the Evaluation Unit before any changes may be applied. At the conclusion of the field study the Consultants present the preliminary findings of the evaluation:

- (1) Presentation during a de-briefing meeting with the Delegation;
- (2) Presentation to the reference group shortly after their return from the field.

4.5. Final reports and seminar in the country

4.5.1. The Draft Final Report

The Consultants will submit the draft final report in conformity with the structure set out in annex 2. Comments received during de-briefing meetings with the Delegation and the reference group must be taken into consideration.

The Consultants may either accept or reject the comments but in case of rejection they must justify (in writing) the reasons for rejection (the comments and the Consultants' responses are annexed to the report). If the Consultants don't want to take them in the report, they must explain in a separate document the reasons why.

If the evaluation manager considers the report to be of sufficient quality (cf. annex 3), he/she will circulate it for comments to the reference group. The reference group will convene to discuss it in the presence of the evaluation team.

4.5.2. The Seminar

The Consultants will make the appropriate amendments based on comments expressed by the reference group and the Evaluation Unit. The revised draft final report will be presented at a seminar in Dominican Republic. The purpose of the seminar is to present the results, the conclusions and the preliminary recommendations of the evaluation to the National Authorities, the Delegation as well as to all the main stakeholders concerned (EU Member States, representatives of civil society organisations and other donors).

The Consultants shall prepare a presentation (*Powerpoint*) for the seminar. This presentation shall be considered as a product of the evaluation in the same way as the reports and the data basis. For the **seminar** 60 copies of the report and 10 reports with full printed annexes (see annex 2 of the ToR) have to be produced. The minutes of the Seminar will be integral part of the report.

4.5.3. The Final Report

The Consultants will prepare the final report based on the comments expressed at the seminar and on the basis of further comments from the reference group, the Delegation and/or the evaluation manager. The presentation (*Power point*) will be revised in accordance to the final report.

110 copies of the **Final Main Report** must be sent to the Evaluation Unit with an additional 10 reports with all printed annexes. A CD-Rom with the Final Main Report and annexes has to be added to each printed report.

The evaluators have to hand over on an appropriate support (electronic or paper) all relevant data gathered during the evaluation.

The contractor shall submit a methodological note explaining how the quality control and the capitalisation of lessons learned have been addressed.

The Evaluation Unit makes a formal judgement on the quality of the evaluation (cf. annex 3).

5. EVALUATION QUESTIONS

The evaluation will be based on the seven evaluation criteria: relevance, impact, effectiveness, efficiency, sustainability, coherence and the EC value added. The first five correspond to the traditional practice of evaluation of development aid and have been formalised by the OECD (DAC). The following two apply to all EC policies. The criteria will be given different weightings based on the priority accorded to the evaluation questions.

In general, questions (to a maximum of 10) will refer to the following main areas:

- **Relevance of the strategy/programme:** this includes both relevance to the general objectives of the EC and relevance to the needs and priorities of Dominican Republic (including the choice of target groups).
- **Design, and coherence¹³ of the intervention strategy/programme:** this mainly concerns the extent to which the resources foreseen were adequate in relation to the objectives set out in the programming documents.

¹³ The notion of coherence should be understood here as follows: (i) correspondence between the different objectives of a strategy, implying that there is a hierarchy of objectives (with lower level objectives logically

- **Consistency of the implementation in relation to the strategy:** the Consultants shall verify the extent to which the work plan, schedule and implementation of the activities (all types of interventions, geographical and sector distribution, instruments, aid delivery channels included) were consistent with the strategy. They shall demonstrate who were the real beneficiaries, direct or indirect, of the intervention and compare them to the target population(s) in the programming documents.

The Consultants will also verify the extent to which the intervention modalities (instruments, aid delivery channels, etc.) were appropriate to the objectives.

- **Achievement of main impacts/effects:** the Consultants shall identify all recorded results and impacts, including any unintended ones, and compare these to the intended results and/or impacts. The Consultants will also identify the changes, which occurred in the areas in which EC programmes were supposed to produce an impact.
- **Efficiency of the implementation:** for the activities which were effective, it will be necessary to question to what extent funding, human resources, regulatory and/or administrative resources contributed to, or hindered the achievement of the objectives and results.
- **Sustainability of the effects:** an analysis of the extent to which the results and impacts are being, or are likely to be maintained over time.
- **Key cross-cutting issues:** for example gender, environment and climate change, human rights, HIV/AIDS, institutional capacity building, etc. Verification should be undertaken, on the one hand, of the extent to which account has been taken of these priorities in the programming documents and, on the other hand, to what extent these issues have been reflected in the implementation modalities and in the effects of the intervention.
- **The 3Cs (co-ordination, complementarity and coherence):** co-ordination / complementarity with EU Members States and other donors; coherence with EU policies (including the Member States' own policies and eventual interventions of the EIB).
- **Value added of the EC interventions:** The extent to which the development intervention adds benefits to what would have resulted from Member States' interventions only in the partner country. The criterion is closely related to the principle of subsidiarity and relates to the extra-benefit the activity/operation generates due to the fact that it was financed/implemented through the EC.

There may be three practical elements to illustrate possible aspects of the criterion:

- 1) The EC has a particular advantage over Member States and how far is that visible;
- 2) The EC has a particular mandate in the framework of the 3Cs' and can draw Member States to a greater effort together;
- 3) EC cooperation is guided by a common political agenda embracing all Member States and how far is that visible.

contributing to the higher level ones); (ii) extent to which the resources foreseen are adequate in relation to the objectives set out in the strategy

6. RESPONSIBILITY FOR THE MANAGEMENT AND THE MONITORING OF THE EVALUATION

The Evaluation Unit (AIDCO 03) is responsible for the management and monitoring of the evaluation with the assistance of the reference group.

Information will be given to the Consultants after the signature of the contract concerning the documents referred in Annex 1.

7. THE EVALUATION TEAM

The evaluation team should possess a sound knowledge and experience in:

- evaluation methods and techniques in general and of evaluation in the field of development cooperation;
- Dominican Republic;
- Development cooperation in the following fields: Education (human resources development), Macro-economic support, budget support, private sector and trade, productive sectors, regional integration (relations with the neighbouring Country Haiti), Governance (NSA,s, Democracy & Human Rights);
- the following language(s): English, Spanish, French;

The Evaluation Unit strongly recommends that the evaluation team should include consultants from the country or the region (notably, but not only, during the field phase) with in-depth knowledge of key areas of the evaluation. The report shall be written in English with subsequent translation into Spanish.

Consultants must be strictly neutral. Conflicts of interests must be avoided.

It is highly recommended at least for the team leader to be fully familiar with the methodological approach set by the EC.

8. TIMING

After the approval of the launch note and the signature of the contract, the timing of activities will be set according to the following indicative work plan.

The dates mentioned in the following section may be changed with the agreement of all concerned.

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
Desk Phase			
Structuring Stage	Short presentation (logical diagram and EQ)	End January 2010	RG Meeting
	Draft Inception Report	Beginning of March 2010	Optional: Short preparatory visit of the consultants to the field.
	Final Inception Report	April 2010	A formal exchange of letters between the Consultants and the Commission confirms the final composition of the evaluation team and the final work plan and schedule.
Desk Study	Draft Desk Report	June 2010	RG Meeting
	Final Desk Report	July 2010	
Field Phase		September October 2010	De-briefing meeting with the Delegation.
	Presentation	November 2010	RG Meeting
Synthesis phase (seminar in the country)			
	1st draft Final report	December 2010	RG Meeting
	Revised draft Final report	January 2011	Seminar in Dominican Republic 60 copies of the report and 10 reports with full printed annexes.
	Final Main Report	February 2011	110 copies of the Final Main Report must be sent to the Evaluation Unit. Additional 10 reports with all printed annexes must be sent to the Evaluation Unit as well.

NB:

A country level evaluation takes about 12 months between signature of contract and approval of the final report.

9. COST OF THE EVALUATION

The overall costs include:

- The **evaluation** as such;
- 2.5% of the total budget excluding the costs of the seminar are to be used for **quality control**;
- A **seminar** in the country.

The total of these 3 elements must not exceed **Euros 200.000**.

NB: The budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

10. PAYMENTS MODALITIES

The payments modalities shall be as follows:

- 30% on acceptance of the Inception Report, plus 2.5% of the agreed budget to be used for quality control;
- 50% on acceptance of the Draft Final Report;
- the balance on acceptance of the final report.

Seminar related costs are to be invoiced and paid separately.

ANNEX 1: INDICATIVE DOCUMENTATION FOR THE EVALUATION

General documentation

- Communications of the Commission;
- Various regulations.

Country

- CRIS¹⁴ (information on the projects and annual ROM¹⁵) and other databases concerning the financed projects, engagements, payments, etc.;
- Cooperation strategies;
- Conclusions of the Mid-term and End-of-Term Reviews;
- Key government documents of planning and policy;
- Evaluation reports of the projects;
- Relevant documentation provided by the local authorities and other local partners, and financial backers, etc.

The three following documents are to be handed to the Consultants:

- 1- On access to the information contained by the ROM system for an evaluation;
- 2- Methodological note from Euréval concerning North-South approach to country level evaluations;
- 3- Template for Cover page.

In addition, the consultant will have to consult the documentation available on Internet (DAC/OCDE and EU Inventory websites in particular) as well as the documentation listed or available within the Evaluation Unit (AIDCO/0/3 Library).

¹⁴ Common Relex Information System

¹⁵ Results Oriented Monitoring

ANNEX 2: OVERALL STRUCTURE OF THE FINAL REPORT

The overall layout of the report is:

- **Final report**

- Summary
- Context of the evaluation
- Answers to the evaluation questions
- Conclusions (1)
- Recommendations (2)

Length: the final report must be kept short (70 pages maximum excluding annexes). Additional information regarding the context, the programme and the comprehensive aspects of the methodology and of the analysis will be put in the annexes .

(1) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the 5 DAC criteria;
- The chapter on "Conclusions" has to contain a paragraph or a sub-chapter with the 3 to 4 principal conclusions presented in order of importance;
- The chapter on "Conclusions" must also make it possible to identify subjects, for which there are good practices and the subjects, for which it is necessary to think about modifications or re-orientations ;

(2) Recommendations

- Recommendations have to be linked to the conclusions without being a direct copy of them;
- Recommendations have to be treated on a hierarchical basis and prioritised within the various clusters (groups) of presentation selected;
- Recommendations have to be realistic, operational and feasible. As far as it is practicable, the possible conditions of implementation have to be specified;
- The chapter on "Recommendations" has to contain a sub-chapter or a specific paragraph corresponding to the paragraph with the 3 to 4 principal conclusions. Therefore, for each conclusion, options for action and the conditions linked to each action as well as the likely consequences should be set out.

- **Annexes (non exhaustive)**

- National background
- Methodological approach
- Information matrix
- Monograph, case studies
- List of institutions and persons met
- List of documents consulted
- PPT presentation
- Minutes of the Seminar

NOTE ON THE EDITING OF REPORTS

- The final report must:
 - be consistent, concise and clear;
 - be well balanced between argumentation, tables and graphs;
 - be free of linguistic errors;
 - include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
 - contain one (or several) summaries presenting the main ideas. For example, the answers to the evaluation question and the main conclusions could be summarised and presented in a box.
- The executive summary has to be very short (max. 5 pages);
- The final version of the report shall be typed in 1,5 lines spacing and printed double sided, in DIN-A-4 format;
- The font shall be easy to read (indicative size of the font: Times New Roman 12);
- The presentation shall be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout);
- The main report shall not exceed 70 pages including the cover page, the table of content, the lists of annexes and abbreviations. The annexes shall not be too long;
- The content must have a good balance between main report and annexes;
- Reports shall be glued or stapled; plastic spirals are not acceptable due to storage problems.

For the Cover page, please use the template mentioned in Annex 1.

Please, note that:

- The Consultant is responsible for the quality of translations and their conformity with the original;
- All data produced in the evaluation are property of the EC.

ANNEX 3 - QUALITY ASSESSMENT GRID

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
1. Meeting needs: Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
2. Relevant scope: Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
3. Defensible design: Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
4. Reliable data: To what extent are the primary and secondary data selected adequate. Are they sufficiently reliable for their intended use?					
5. Sound analysis: Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
6. Credible findings: Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
7. Validity of the conclusions: Does the report provide clear conclusions? Are conclusions based on credible results?					
8. Usefulness of the recommendations: Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
9. Clearly reported: Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.					