

*Evaluation of the Commission of the European  
Union's co-operation with Ecuador*

Final Report

*Volume 2: Annexes 1-11*

September 2012

*Evaluation for the European Commission*





Italy



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Framework contract for  
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evaluation studies and synthesis in the area of external co-  
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**LOT 4:**  
**Evaluation of EC geographic co-operation strategies for  
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## **Evaluation of the Commission of the European Union's co-operation with Ecuador**

**FINAL REPORT**

*Volume 2: Annexes 1-11*

*September 2012*

**This evaluation has been carried out by  
*DRN***

The evaluation is being managed by the Evaluation Unit of DG DEVCO-EuropeAid.

The authors accept sole responsibility for this report, drawn up on behalf of the Commission of the European Union. The report does not necessarily reflect the views of the Commission.



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## ACRONYMS

<b>AFD</b>	French Development Agency
<b>ACP</b>	Africa, Caribbean and Pacific group of states
<b>AGECI</b>	Ecuadorean Agency of International Cooperation
<b>AGSO</b>	Asociación de Ganaderos de la Sierra y el Oriente
<b>ALA</b>	EC Financial instrument for Latin American and Asian countries
<b>ALBA</b>	Bolivarian Alliance for the Americas
<b>ALFA</b>	América Latina Formación Académica
<b>AL-INVEST</b>	Latin America Investment Programme
<b>AME</b>	Asociación de Municipalidades del Ecuador
<b>AMIE</b>	Archivo Maestro de Instituciones Educativas
<b>AMP</b>	Annual Management Report
<b>APS</b>	Primary Healthcare
<b>ITA</b>	International Technical Assistance
<b>BCE</b>	Banco Central de Ecuador
<b>BEA</b>	Basic Education for Adults
<b>BGU</b>	Bachillerado General Unificado
<b>BIT</b>	Bilateral Investment Treaties
<b>CAF</b>	Corporación Andina del Fomento
<b>CAN</b>	Andean Community of Nations
<b>CCS</b>	Consejos Cantonales de Salud - Cantonal Health Council
<b>CEDIA</b>	Consorcio Ecuatoriano para el Desarrollo de Internet Avanzado
<b>COCI</b>	Comité de Cooperación Internacional
<b>CODCI</b>	Consejo Directivo de la Cooperación internacional
<b>COM</b>	Communication from The Commission
<b>CONASA</b>	Consejo Nacional de Salud
<b>CONATEL</b>	Comisión Nacional de Telecomunicaciones de Ecuador
<b>CONGOPE</b>	Consorcio de Gobiernos Provinciales del Ecuador
<b>COOTAD</b>	Código Orgánico de Ordenamiento Territorial, Autonomía y Descentralización (law concerning decentralisation and autonomy at territorial level)
<b>COPLAFIP</b>	Código Orgánico de Planificación y de Finanzas Públicas - Organic Planning and Public Finance Code
<b>COPOLAD</b>	Cooperation Programme on Antidrug Policies
<b>CORPEI</b>	Corporación de Promoción de Exportaciones e Importaciones
<b>CPS</b>	Consejos Provinciales de Salud - Provincial Health Council
<b>CSOs</b>	Civil Society Organisations
<b>CSP</b>	Country Strategy Paper
<b>CTB</b>	Cooperación Técnica Belga - Belgian Development Agency
<b>DEVCO</b>	Directorate General for Development and Co-operation
<b>DCI</b>	Development Cooperation Instrument
<b>DfID</b>	Department for International Development - United Kingdom
<b>DG</b>	the Commission's Directorate-General
<b>DIGAs</b>	Dirección Provincial de Gestión Ambiental

<b>DPS</b>	Provincial Health Directorates - Departamentos Provinciales de Salud
<b>DS</b>	Dissemination Seminar
<b>EAMR</b>	External Assistance Management Report
<b>EC</b>	European Commission
<b>ECD</b>	European Consensus on Development
<b>EEAS</b>	European External Action Service
<b>EGB</b>	General Basic Education - Educación General Básica
<b>EIA</b>	Environmental Impact Assessment
<b>ENEMEDU</b>	Encuesta Nacional de Empleo y Desempleo Urbanos
<b>ENRTP</b>	Environment and Natural Resources Thematic Programme
<b>ENV</b>	Environment
<b>EOM</b>	Electoral Observatory Mission
<b>EQ</b>	Evaluation Questions
<b>EU</b>	European Union
<b>EU MS</b>	European Union Member States
<b>EUD</b>	European Union Delegation
<b>FA</b>	Financing Agreement
<b>FARC</b>	Revolutionary Armed Forces of Colombia – People's Army
<b>FAT</b>	Facilidad de Cooperación UE-CAN para Asistencia Técnica al Comercio
<b>FDI</b>	Foreign Direct Investment
<b>FETEC</b>	Federación Ecuatoriana de Trabajadores de la Educación y Cultura
<b>FIE</b>	Final Impact Evaluation
<b>FTA</b>	Free Trade Agreement
<b>FTAA</b>	Free Trade Area of the Americas
<b>GAD</b>	Gobiernos Autonomos Descentralizados
<b>GDP</b>	Gross Domestic Product
<b>GIZ</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit German Agency for International Cooperation
<b>GNP</b>	Gross National Product
<b>GoE</b>	Government of Ecuador
<b>GPS</b>	Geographical Information Systems
<b>GSP</b>	Generalized System of Preferences
<b>HDI</b>	Human Development Index
<b>IADB</b>	Inter-American Development Bank
<b>ICR</b>	Implementation Completion and Results
<b>ICSID</b>	Centre for the Settlement of Investment Disputes
<b>IEPS</b>	Instituto de Economía Popular y Solidaria
<b>IL</b>	Intervention Logic
<b>ILO</b>	International Labour Organisation
<b>INEC</b>	Instituto Nacional de Estadísticas y Censos de Ecuador
<b>JC</b>	Judgment Criterion
<b>ITT</b>	Ishpingo-Tambococha-Tiputini Initiative
<b>LAC</b>	Latin America and the Caribbean
<b>LMGyAI</b>	La Ley de Maternidad Gratuita y Atención a la Infancia
<b>LOSN</b>	Ley Orgánica del Sistema Nacional de Salud
<b>MAE</b>	Ministry of Environment

<b>MAIS</b>	“Modelo de Atención Integral e Intercultural
<b>MDG</b>	Millennium Development Goals
<b>MELGODEPRO</b>	Modelo Euro-latinoamericano de gobernanza local para el desarrollo productivo
<b>MERCOSUR</b>	Mercado Comun del Sur
<b>MoE</b>	Ministry of Education
<b>MoU</b>	Memorandum of Understanding
<b>MS</b>	Member States
<b>MSMEs</b>	Micro Small and Medium Enterprises
<b>MSP</b>	Ministerio de Salud Pública - Ministry for Public Health
<b>MTEF</b>	Medium Term Expenditure Framework
<b>MTR</b>	Mid-Term Review
<b>NAFTA</b>	North American Free Trade Agreement
<b>NFPS</b>	Non-Financial Public Sector
<b>NGOs</b>	Non Governmental Organisations
<b>NIP</b>	National Indicative Programme
<b>NRM</b>	Natural resources management
<b>NSA</b>	Non-State Actors
<b>NSPA</b>	National System of Protected Areas
<b>OAS</b>	Organisation of American States
<b>OD</b>	Other Donors
<b>ODA</b>	Official Development Assistance
<b>OECD</b>	Organisation for Economic Cooperation and development
<b>OVI</b>	Objective Verifiable Indicators
<b>PA</b>	Project Approach
<b>PAPDE</b>	Support Programme to the "Decennial Education Plan"
<b>PASES</b>	Support Programme to the National Development Plan
<b>PASL</b>	Plan de Acción de Salud Local - Local Health Plan
<b>PASSE</b>	Programa de Apoyo al Sector Salud de Ecuador
<b>PDE</b>	Plan Decenal de Educación – Ten-year Education Plan
<b>PEFA</b>	Public Expenditure and Financial Accountability
<b>PFM</b>	Public Finance Management
<b>PIU</b>	Programme Implementation Unit
<b>PMU</b>	Project Management Unit
<b>PND</b>	Plan Nacional de Desarrollo 2007-2010
<b>PNVB</b>	Plan Nacional del Buen Vivir- Good Living National Plan
<b>PPP</b>	Purchasing Power Parity
<b>PRADICAN</b>	Support for the Andean Community in the fight against illicit drugs
<b>PRODERENA</b>	Programa de Apoyo a la Gestión Descentralizada de los Recursos Naturales en las tres provincias del Norte de Ecuador
<b>PROLOCAL</b>	Poverty reduction and Local rural Development Programme
<b>PSD</b>	Private Sector Development
<b>RG</b>	Reference Group
<b>ROM</b>	Result-Oriented Monitoring
<b>RSP</b>	Regional Strategy Paper
<b>SBS</b>	Sector Budget Support



<b>SEC</b>	Sistema Ecuatoriano de Calidad
<b>SECI</b>	Sistema Ecuatoriano de Cooperación Internacional
<b>SENAGUA</b>	Secretaría Nacional del Agua
<b>SENPLADES</b>	Secretaría Nacional de Planificación y Desarrollo de Ecuador
<b>SETECI</b>	Secretaría Técnica de Cooperación Internacional
<b>SER</b>	Sistema Nacional de Evaluación y Rendición Social de Cuentas
<b>SGPF</b>	Sistema de Gestión Presupuestaria y Financiera
<b>SIGEF</b>	Integrated financial management information system
<b>SIGOB</b>	Information System for Democratic Governance - Sistema de Información para la Gobernabilidad Democrática
<b>SIISE</b>	Sistema Integrado de Indicadores Sociales de Ecuador
<b>SIPROFE</b>	Sistema Integrado de Desarrollo Profesional Educativo
<b>SITC</b>	Standard International Trade Classification
<b>SMEs</b>	Small and Medium Enterprises
<b>SOCICAN</b>	Proyecto de Cooperación UE – CAN en Acción con la Sociedad Civil
<b>SPS</b>	Sanitary and Phytosanitary measures
<b>SPSP</b>	Sector Policy Support Programme
<b>SRI</b>	Servicio de Rentas Internas
<b>SWAp</b>	Sector-wide approach
<b>TAPs</b>	Technical Administrative Provision
<b>TA</b>	Technical Assistance
<b>TBL</b>	Thematic Budget Lines
<b>TBT</b>	Technical Barriers to Trade
<b>TSSE</b>	Transformación Sectorial de Salud en Ecuador
<b>TOR</b>	Terms of Reference
<b>UEM</b>	Unidades Educativas del Milenio
<b>UGA</b>	Unidades de Gestión Ambiental
<b>UK</b>	United Kingdom
<b>UN</b>	United Nations
<b>UNASUR</b>	Union of South America Nations
<b>UNDP</b>	United Nations Development Programme
<b>UNE</b>	Unión Nacional de Educadores
<b>UNIVIDA</b>	United in the fight against HIV AIDS in Ecuador
<b>UO</b>	Unidades Operativas de Salud
<b>USAID</b>	United States Agency for International Development
<b>WB</b>	World Bank
<b>WHO</b>	World Health Organisation
<b>WTO</b>	World Trade Organisation
<b>UNESCO</b>	United Nation Education Scientific Cultural Organisation



## ANNEX 1: TERMS OF REFERENCE

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COMMISSION OF THE EUROPEAN UNION

**Evaluation of the Commission of the European Union's  
co-operation  
with  
Ecuador  
  
Country Level Evaluation**

**October 2010**

**TERMS OF REFERENCE**

## 1. MANDATE AND OBJECTIVES

Systematic and timely evaluation of its programmes is a priority of the Commission of the European Union (further referred to as 'Commission'). The focus is on the **results<sup>1</sup> and impact** (effects) of these programmes against a background of greater concentration of external co-operation and an increasing emphasis on **result-oriented approaches**, particularly in the context of RELEX Family programmes<sup>2</sup>.

The evaluation of the Commission's co-operation with Ecuador is part of the 2010 evaluation programme, as approved by External Relations and Development Commissioners.

The main objectives of the evaluation are:

- to be accountable and to provide the relevant external co-operation services of the Commission and the wider public with an overall independent assessment of the Commission's past and current cooperation relations with Ecuador;
- to identify key lessons in order to improve the current and future strategies and programmes of the Commission.

## 2. BACKGROUND

Ecuador is one amid the smaller countries in Latin America with a population of about 14 millions habitants; geographically<sup>3</sup> and demographically<sup>4</sup> a quite differentiated country, fact that, besides culture and society, impacts the **political life** and the **economy**.

Ecuador is a presidential democracy<sup>5</sup>. The President, Mr Correa, has been in power since 2006, he was re-elected in 2009 and next elections are scheduled for 2013. His appointment followed the removal of President Lucio Gutierrez, in power from 2002-2005 (whom had also driven the coup d'état in 2000) and the interim of Mr Alfredo Palacio<sup>6</sup>. A major fact that contributed to Mr Gutierrez removal was a strongly criticized reform of the Supreme Court in 2005; the top level Court has now been replaced by the "National Court of Justice", under the also new Constitution of 2008. Besides the reform of the judiciary, the other institutional reform concerns administrative and budgetary decentralisation. Another important change in 2008 concerns the elimination of the autonomy of the Central Bank.

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<sup>1</sup> Understood as "outcomes" in DAC terminology.

<sup>2</sup> Directorates General of External Relations (RELEX), Development (DEV) and the EuropeAid Co-operation Office (AIDCO).

<sup>3</sup> Ecuador lay between the Andes, the Amazonia forest, the Pacific ocean; the most important city is Guayaquil which is also one of the most important ports of Latin America. Galapagos islands and their renown biodiversity are also part of the country. It is to recall that being part of the Andean area, Ecuador is a volcanic and seismic country, vulnerable to the cyclical El Niño phenomenon. Over the years ECHO has provided humanitarian aid to relief natural disasters. As far as concerns Environment preservation Ecuador has established a legislative framework and ratified major international conventions.

<sup>4</sup> Four main ethnic groups are the Mestizos (65%), Amerindios (25%), Creolos (7%), followed by Mulatos, Zambos. Main spoken languages are Spanish (official), Quechua and Shuar (semi-official, following 2008 Constitution). The indigenous (Amerindios) are themselves made of 11 different groups. About 64% of the population lives in urban areas. Population growth is not high (+1,6%) and the trend is downward.

<sup>5</sup> The EIU 2008 democracy index ranked Ecuador 88/167 and included the country among the "hybrid regimes".

<sup>6</sup> During the interim of Mr Alfredo Palacio, Correa was for a short period Minister of Economy and finances.

There has been a certain continuity following a period of instability<sup>7</sup>, but the implementation of President Correa programme is hindered by the lack of a stable legislative majority<sup>8</sup>, along with fiscal and financing constraints<sup>9</sup>.

Mr Correa has been trying to have good relations with both the extreme left ALBA<sup>10</sup> countries, the United States, Europe and the neighbouring countries<sup>11</sup> but this has not always been satisfactory for the counterparts and not internally, where there is a rising political fragmentation<sup>12</sup>.

Agriculture has traditionally been the main pillar of Ecuador economy, having the country been the world leading Banana exporter<sup>13</sup>, but it has changed over years<sup>14</sup> and the economy has become much more dependent on extractive sectors –and heavily dependent on oil trends-.

One of the main economic features to recall is the "dollarization", introduced since 2000 after the collapse of the national banking system. "Dollarization" provided broad macroeconomic stability but the country lacks an independent monetary policy and monetary growth hinges on the quantity of foreign exchange inflows<sup>15</sup> and behaviour of domestic lenders, both linked to confidence on Mr Correa policies. Furthermore, the economic reforms to counterbalance the absence of a devaluation mechanism have failed to pass with a consequent fall in competitiveness.

US is the main trade partner, exchanges with the EU reach 13,6% of exports and 12,4% of imports. Ecuador is under the GSP most-favoured-nation clause provisions and exports to the EU are duty-free.

<sup>7</sup> Such instability would very much affect also the public administration, as major political change has been followed by turnover within civil servants. At the time of writing there has been a tentative of "coup d'état" that ended very shortly.

<sup>8</sup> A quite fragmented political scene, main political organisations are Alianza País (AP- party of the President Correa), Movimiento unidad plurinacional Pachakutik-nuevo país (MUPP-NP), Democracia popular (DP), Izquierda democrática (ID), Movimiento popular democrático (MPD), Confederación de nacionalidades indígenas del Ecuador (Conaie); Opposition: Partido renovador institucional acción nacional (PRIAN), Partido sociedad patriótica (PSP); Partido social cristiano (PSC), Partido roldosista ecuatoriano (PRE).

<sup>9</sup> Fiscal spending has been higher than in previous administrations, at an average of 39% of the GDP (2001-2006 governments spending averaged 23,7%) but the failure to translate such elevated level of fiscal spending into a significant increase in domestic demand underlines inefficiencies of the Public sector.

<sup>10</sup> Alianza Bolivariana para los pueblos de América Latina to which Ecuador participates. Ecuador has joined also the SUCRE (Sistema unitario de pago regional) an initiative among members of the ALBA, which is a regional accounting mechanism to minimise fluctuations in the exchange rate, reduce transaction costs and increase trade between member countries. It has to be recalled also that in early June, Ecuador has ratified the agreement over the constitution of the Banco del Sur, a regional financing institution that groups Argentina, Brazil, Bolivia, Ecuador, Paraguay, Uruguay and Venezuela.

<sup>11</sup> Particularly the spill over of the Colombia armed conflicts and drug-traffic activities: some areas in Ecuador's northern provinces are also considered rear-base for FARC guerrilla.

<sup>12</sup> Namely, in 2010, there have been tensions within the President party (AP), ideological differences and the influence of pressure groups, including indigenous and student unions. Furthermore, the publication of a truth commission's findings has created tensions between the government and the traditional right wing parties by reviewing allegations of human rights violations between 1984 and 2007.

<sup>13</sup> As far as concerns the regime of EU import to the banana sector it has changed in 2006, from a complex system combining tariffs and quotas to one based only on tariff.

<sup>14</sup> El Niño crisis has affected the sector.

<sup>15</sup> The US is Ecuador main trading partner. Furthermore, forecast for private investments are low with the exception of a significant Chinese investments in infrastructure (Coca-Codo Sinclair power plant).

Besides joining the ALBA initiative, the Sucre and the Banco del Sur<sup>16</sup>, Ecuador is part of the Andean Community<sup>17</sup> which entails preferential trade relation within the area and, since 2005, also with the Mercosur area<sup>18</sup>.

Poverty remains a problem, the official level of poverty -which classes those earning less than US \$ 2/day- include 35% of the population, in 2008. The Human development index<sup>19</sup> trend shows improvement and Ecuador in 2009 ranks 80/182<sup>20</sup>. The Gini coefficient is worsening<sup>21</sup> and Ecuador social spending/GDP ratio is still one of the lowest in Latin America<sup>22</sup>. Poverty, exclusion and inequality are also associated with place of residence, ethnic origins and gender. Ecuador has one of the highest rate of child labour in Latin America, estimated at 34% of young people aged between 10 and 14<sup>23</sup>. Unemployment is high and increasing<sup>24</sup>. Furthermore, the latest years of international crisis have also negatively impact workers' remittances, which are the second largest source of income after oil, generally at a level double then the average for Latin America countries<sup>25</sup> and a palliative to homes' poverty. Data on progress towards MDGs goals relates to 2005 and shows that important efforts had still to be put in place in order to reach the objectives.

### Legal framework of the European Commission co-operation with Ecuador

The 2003-2010 European co-operation with Ecuador is governed by:

- Treaty of the European Community Art. 177, 179, 181;
- Regulation 1905/2006;
- The European Consensus on development;
- EC Communications: "A stronger partnership between the European Union and Latin America COM(2005)636;
- EU-Latin America/Caribbean (EU-LAC) Summits and related Declarations;
- EU-CAN<sup>26</sup> political dialogue and co-operation agreement.

### Overview of the past and ongoing EC co-operation

<sup>16</sup> Cfr footnote 10.

<sup>17</sup> The Andean Community members are Bolivia, Colombia, Ecuador and Peru. Venezuela withdrawn its membership in 2006 following some members' bilateral trade negotiations with the United States.

<sup>18</sup> Mercosur members are Brazil, Argentina, Uruguay and Paraguay. Chile is also associated

<sup>19</sup> Human Development Index (HDI) – UNDP reports

<sup>20</sup> Trends are on long term (1980-2009): the index was 0,709 and is 0,806.

<sup>21</sup> Gini coefficients on long term: 0,43 in 1995, 0,48 in 2008.

<sup>22</sup> A special mechanism "FEIREP" (Fund for stabilisation, productive social investment and the reduction of public debt) is foreseen for external debt repayment, to compensate variations in the oil price but also social spending. For the 2010-2011 the Correa administration has allocated fiscal funds to promote large-scale housing for lower and middle-income families.

<sup>23</sup> CSP 2007-2013. Human rights watch report widespread employment of children within bananas 'plantations and the International labour Organisation estimated over 5000 minors being exploited in prostitution.

<sup>24</sup> 7,3 in 2008, and 8,5 in 2009.

<sup>25</sup> UNDP: Latina America average US\$ 114, Ecuador remittances per person US\$ 232.

<sup>26</sup> Andean Community.

Co-operation activities with Ecuador trace back to the 70s but have very much changed over time while the amount of aid has substantially increased.

Over the 2003-2010 period the main features to recall are the evolution towards sectoral approach and relevant institutional capacity building -which was meant also to mitigate the effects of political changes-, along with the stepping up of the Political dialogue, both at national and regional level. Furthermore, there has been a shift towards implementation through sector budget support modality.

The national envelopes are supplemented by regional co-operation funds at two levels: the EC-Andean community co-operation and the EC-Latin America co-operation.

Under the period covered by this evaluation the EU Delegation in Quito<sup>27</sup> was set up. The Delegation still depends upon the EU Colombia's offices, including for financial and contractual issues.

There are co-ordinating sectoral mechanisms located within the *Instituto Ecuatoriano de Cooperación Internacional* (INECI) which is an entity of the Ministry of Foreign Affairs, also supported by the EC, Belgium and Spain aid.

It has to be recalled that several EU member states are present in the country with local offices and active particularly in the health, education and environment sectors as well as in local development –including support to decentralisation and to the civil society-. (Main multilateral investment banks and agencies are also present and active with very large scale programmes. United States, Canada and Swiss bilateral co-operation are also present).

Within the **Country strategy paper for the period 2002-2006** (92M €) priority is to reduce poverty through **"i) support the Government to address social and environmental impact of economic problems; ii) assist economic recovery and strengthening the links between Ecuador and the other countries of Latin America, as well as with the European Union"**<sup>28</sup>. To this aim, four sectors are identified: 1) Support for Health care reform (to implement a primary health model adapted to indigenous populations); 2) Support for environmental policies (support to the establishment of a responsible public authority and strengthening of public institutional capacity); 3) Support for regional physical integration (road infrastructure between Ecuador and Peru); 4) Economic co-operation (to improve business environment).

It has to be highlighted that several programmes approved before 2001 did not actually start until 2003. Moreover, the environment and health programmes approved within the 2002-2006 strategy paper also did face important delay in their implementation, which started only towards the end of the programming period.

### Cross-cutting issues

CSP refers to promotion of Human rights, gender issues, children's rights and environment.

### Budget lines/other programmes

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<sup>27</sup> July 2003

<sup>28</sup> C (2002) 1876 - CSP

Food security, environment and forest, poverty diseases/AIDS, Technical and financial co-operation, Economic co-operation.

### Regional co-operation

In 2002 the EC adopted its first regional strategy paper for the 2002-2006 period, with two main objectives: i) to support Andean community integration, ii) to support the establishment of a peaceful area. The strategy was built on enhanced political dialogue and specific trade arrangements.

The EU has supported the integration process within the Andean Community, towards the construction of a common market, through support to statistical information, harmonisation of regulations and standards, customs co-operation, trade-related technical assistance, competition policy. Furthermore, regional cooperation has also supported co-operation in disaster prevention, fight against synthetic drugs; the support to the Andean community also included promotion of human rights and democracy, common foreign policy and the control of chemical precursors. The EU-CAN political dialogue and cooperation agreement (2003) contains a clause on co-operation in the area of Migration<sup>29</sup>.

Regional co-operation activities complement other instruments such as the participation in multilateral discussions with the UN Commission on narcotic drugs, the EU-LAC co-ordination mechanism on drugs and the EU-CAN high level specialised dialogues on drugs and meetings between the EC and the Andean community countries on chemical precursors.

From the EC-Latin America co-operation level, programmes ALFA, AL-INVEST, @lis, URB-AL, EUROSOCIAL and EUROCLIMA have been financed in Ecuador.

**The 2007-2013 (137M €) the European response strategy<sup>30</sup> concentrates in two objectives: "i) encouraging higher and better quality social spending by the government through contributing to increased government social investment to improve access of marginalised and disadvantaged communities to social services- particularly Health and Education); ii) bolstering the competitiveness and entry into market of small and medium sized enterprises –which offer the best hope for job creation"** through 1) improvement of business environment, 2) improvement of structural and institutional aspects related to productivity, 3) support for actions that entail greater labour specialisation and generate high added value products, 4) reduce level of jobs in the informal sector, 5) strengthen access to credit, 6) improve management and administration capacity towards access to domestic and external markets, 7) support tax reform, 8) strengthening of national institutions. With the Mid-term review priority i) on social sector has been reviewed to concentrate only on the Education sector.

The planning foreseen in the National indicative programme has been changed, provisions for 2009 were brought to 2007 and 2008 and provisions for 2010 brought to 2009. The reasons for these changes have been linked to the change to Sector budget support in both priority sectors. The preparation of a new Sector budget support in the Education sector is underway.

### Cross-cutting issues

<sup>29</sup> Please note that in 2005 there has been an EC communication on Migration and development, COM (2005) 390.

<sup>30</sup> E/2007/621- CSP



In terms of cross cutting issues first of all it has to be recalled that the European Consensus contains a specific chapter on mainstreaming cross-cutting issues; special reference is made to the promotion of Human rights, gender equality, democracy, good governance, children's rights, the rights of indigenous people, conflict prevention, environmental sustainability and combating HIV/AIDS. All of them are directly or indirectly addressed within the 2007-2013 CSP.

### Budget lines/other programmes

Development co-operation under thematic budget lines is an important part of ongoing co-operation (about 27M €) covering different sectors: support to Human rights, democracy environment, migration, HIV/AIDS.

### Regional co-operation

Following the Guadalajara (2004) and Vienna (2006) declarations key identified priorities are in the sectors of Social cohesion, multilateralism and regional integration.

Several programmes were funded: EUROSociAL regional programme for social cohesion, OBREAL Observatory of relations between Europe and Latin America, EUROSOLAR, EUROCLIMA, URB-AL Urban policy co-ordination AL-Invest enhancing commerce between SME, @LIS alliance for information society, ALFA Latin America academic training, ERASMUS Mundus, ALBAN EU programme for High level scholarships for Latin America<sup>31</sup>.

## **2.1 Temporal and legal scope**

The scope of the evaluation covers the Commission's co-operation strategies and their implementation during the period 2003 -2010.

The Consultants must assess:

- the relevance and coherence<sup>32</sup> of the Commission's co-operation strategies (all instruments included) for the period 2003-2010 (at the strategic level);
- the consistency between programming and implementation for the same period;
- the value added<sup>33</sup> of the Commission's interventions (at both the strategic and implementation levels);
- the 3Cs: coordination and complementarity of the Commission's interventions with other donors' interventions (focusing on EU Member States); and coherence<sup>34</sup> between the

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<sup>31</sup> It has to be noted that At regional level there is an "Integrated Social development plan", adopted in 2004, which address several sectors: the sustainable use of biodiversity, the sustainable management of water resource. The Andean environment agenda for the period 2006-2010 prioritise protection of genetic resource and the traditional knowledge of indigenous population, the establishment of Andean institutions for the conservation and sustainable use of biodiversity, design of the Andean strategy on climate change and policy for integrated management of water resource. The Andean strategy on the fight against drugs and related crime (2002) and cooperation in the area of chemical precursor(EC programme PRECAN). The Andean community in 2005 also adopted a common strategy on how to stimulate an alternative development.

<sup>32</sup> This definition of coherence corresponds to the evaluation criterion (see annex 6).

<sup>33</sup> See annex 5.

<sup>34</sup> This definition of coherence refers to its definition under the 3Cs (see annex 6).

Commission's interventions in the field of development cooperation and other Commission policies that are likely to affect the partner country;

- the **implementation** of the Commission's co-operation, focusing on impact, sustainability, effectiveness and efficiency for the period 2003-2010 - and on intended effects for the period under the programming cycle 2007-2013<sup>35</sup>
- whether cross-cutting and key issues<sup>36</sup> were actually taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities; and what are the results of the interventions (both at a strategic and implementation level).

## 2.2 Thematic scope

The Consultants must assess the following areas of co-operation:

Sustainable rural development, Environment, Education, Health, Economic development (employment policies, industrial and agricultural competitiveness), Decentralisation and support to Civil society, Regional integration.

The interventions funded by ECHO (European Commission Humanitarian Office) and EIB (European Investment Bank) are not part of the evaluation scope. However, coherence and complementarity between these interventions and the strategy/ies evaluated must be examined.

Attention shall be paid to synergies and coherence at the two levels of Regional co-operation: EU-Andean Community and EU-Latin America.

The Consultants must evaluate sector budget support operations. For both sector budget support interventions, Education and Economic development, the EC holds the leadership in the field of harmonisation and alignment. In 2007 and 2008 the EU provided punctual technical assistance to the co-ordinating ministry of economic policies to support statistics.

Consultants will be guided by the Step One of the Methodology for the evaluation of budget support operations, that is to say, description of the inputs and identification of the most important direct and induced outputs. More details can be found on the Commission website:

[HTTP://EC.EUROPA.EU/EUROPEAID/HOW/EVALUATION/EVALUATION\\_REPORTS/REPORTS/2008/12\\_58\\_ISSAP\\_EN.PDF](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2008/12_58_issap_en.pdf)

NB: the results of completed evaluations (mid, final or ex-post) covering Commission interventions are important material, upon which the Consultants must build. They are a key part of the secondary information collection and must be used as such. Most programmes have undergone mid-term/final evaluation, particularly with relation to the Health, Education and Environment sectors.

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<sup>35</sup> Please note that the Mid-Term Review covers the period 2011- 2013.

<sup>36</sup> The Consultants have to provide a well argued proposal, highlighting which cross-cutting and key issues they recommend the evaluation to focus on. Cross-cutting issues are those of the European Consensus on Development (Article 101): Human rights; Gender equality; Democracy; Good governance; Children's rights; Indigenous people's rights; Environment sustainability; Combating HIV/AIDS.

### 3. KEY DELIVERABLES

The overall methodological guidance to be used is available on the web page of the Joint Evaluation Unit under the following address:

[HTTP://EC.EUROPA.EU/EUROPEAID/HOW/EVALUATION/INTRODUCTION/INTRODUCTION\\_EN.HTM](http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm)

Following the signature of the contract, the key deliverables are<sup>37</sup>:

- The inception meeting where evaluation questions and judgement criteria will be presented<sup>38</sup>;
- The inception report;
- The desk report;
- The draft final report (including the PowerPoint presentation synthesising the results of the evaluation);
- The seminar in the country;
- The final report; and
- The methodological note on the quality control system<sup>39</sup>.

NB: For all reports, the Consultants may either accept or reject the comments made by the Joint Evaluation Unit and/or the Reference Group, but in the case of rejection they must justify (in writing) the reasons for rejection (the comments and the Consultants' responses will be annexed to the report/deliverable). When the comment is accepted, a reference to the text in the report (where the relevant change has been made) has to be included in the response sheet.

#### 3.1 The inception meeting

Upon approval of the launch note by the Joint Evaluation Unit, the Consultants will proceed to the structuring stage, which in turn leads to the production of an inception report.

The main part of the work consists in the analysis that covers all the key relevant documents regarding the Commission's co-operation with Ecuador. The Consultants will also take into account documentation produced by other donors and international agencies.

If relevant, a brief exploratory country mission can be organised.

On the basis of the information collected and analysed, the Consultants will propose evaluation questions with accompanying explanatory comments. The choice of the questions will determine the subsequent phases of information and data collection, elaboration of the methods for analysis, and the elaboration of final judgements. The Consultants will also identify appropriate judgement criteria.

A meeting will be held with the Reference Group to discuss:

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<sup>37</sup> The Consultants have to provide, whenever asked and in any case at the end of the evaluation, a list of all the documents read, data collected and databases built.

<sup>38</sup> Optional

<sup>39</sup> Note to be produced within the framework of the quality control activities accounting for 2,5% of the total budget of the evaluation excluding the seminar.

- the evaluation's central scope; and
- other possible important topics to be tackled;

and to validate:

- the intervention logic according to official documents (and using logical diagrams);
- the evaluation questions; and
- explanatory comments associated to each evaluation questions (and when possible, judgement criteria will be indicated).

Upon validation by the Reference Group, the evaluation questions become part of the ToR.

### 3.2 Inception report

At the end of the inception phase, the Consultants must deliver an **inception report**, which finalises the evaluation questions and judgement criteria and outlines the methodological design (including the indicators to be used, the strategy of analysis and a detailed work plan for the next stages).

The inception report contains the following elements:

- the national background/context (political, economic, social, etc.);
- the cooperation context between the Commission/EU and the partner country;
- the intervention logic (both faithful and logically reconstructed) of the Commission's cooperation;
- 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 outlining suitable working methods to collect data and information from the Commission's headquarters and EU Delegations (including information coming from the country itself and other donors working in the country);
- a first outline of the strategy and the methods to analyse the collected data and information, indicating any limitations;
- a concise description of the Commission's development co-operation rationale with Ecuador; and
- a detailed work plan for the next stages.

If necessary, the report will also confirm the content of the launch note concerning the following points:

- 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 by the Consultants to the field (if not already done before).

### 3.3 Desk report

Upon approval of the inception report the Consultants will 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 evaluation phase, including all the following elements:

- the evaluation questions with the agreed judgement criteria and their corresponding quantitative and qualitative indicators;
- progress in the gathering of data. The complementary data required for analysis and what data will be collected in the field must be identified;
- first analysis and first elements of an answer to each evaluation question (when available) and remaining assumptions to be tested in the field phase;
- 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 (including ROM) must be representative;
- methodological design, including the evaluation tools that are ready to be applied in the field phase: (i) suitable methods of data collection within the country, indicating any limitations, describing how the data could be cross-checked, and specifying sources for the data; (ii) appropriate methods to analyse the information, again indicating any limitations of those methods in Ecuador; and
- a work plan for the field phase: a list with brief descriptions of activities for in-depth analysis in the field. The Consultants must explain their representativeness<sup>40</sup> and the value added of the planned visits.

**The field mission cannot start before the Evaluation Manager has approved the desk report.**

### 3.4 Field reporting

The fieldwork shall be undertaken on the basis set out in the desk report, as approved by the Reference Group (which includes the Delegation). **The work plan and schedule of the mission will be agreed in advance with the Delegations 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 Joint Evaluation Unit before any changes can be applied. At the conclusion of the field mission the Consultants will present the preliminary findings of the evaluation:

- (1) Presentation during a de-briefing meeting with the Delegation; and
- (2) Presentation to the Reference Group shortly after their return from the field.

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<sup>40</sup> The representativeness must address the different dimensions (percentage of funds, sample size and choice – diversity, illustration of the chosen interventions ...) and must be mentioned in order to allow a robust evaluation.

### 3.5 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.

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 Consultants.

Along with the draft final report, the Consultants shall produce a short presentation (PowerPoint) synthesising the main results of the report, following the structure outlined in annex 4. This presentation, the structure of which could also be used for the Consultants' presentation during the seminar, will become an annex of the final synthesis report.

#### 4.5.2 *The in-country seminar*

The Consultants will make the appropriate amendments based on comments expressed by the Reference Group and the Joint Evaluation Unit. The accepted draft final report will be presented at a seminar in Ecuador. 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 and to all the main stakeholders concerned (EU Member States, representatives of civil society organisations and other donors, etc.).

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. For the **seminar** up to 100 copies of the report with annexes on CD-Rom (see annex 2 of the ToR) have to be produced and delivered to the EU Delegation in Ecuador. (The exact number of reports and delivery date will be specified by the Joint Evaluation Unit at least three weeks before the seminar). Within these maximum 100 copies the number of copies necessary in Spanish will be further estimated. The electronic version of the report and the annexes has to be provided to the Joint Evaluation Unit

Consultants shall produce minutes of the seminar; these minutes will also become a product of the evaluation.

#### 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. Both the presentation (PowerPoint) synthesising the results of the evaluation and the presentation made at the seminar will be revised in accordance to the final report and annexed to it.

The final report has to be approved by the Joint Evaluation Unit before being printed.

110 copies of the **Final Main Report** must be sent to the Joint Evaluation Unit with an additional 10 reports that include all printed annexes. A CD-Rom with the Final Main Report and annexes has to be added to each printed report (PDF format). Within these maximum 110 copies the number of copies necessary in Spanish will be further estimated.

The evaluators have to hand over in the most appropriate format (electronic or paper) all relevant data gathered during the evaluation.

For publication on internet, the Joint Evaluation Unit must also receive the different versions (and different languages) of the executive summary, both in WORD and PDF format.

The contractor shall submit a methodological note explaining how the quality control was addressed during the evaluation and how the capitalisation of lessons learned has also been addressed.

The Joint Evaluation Unit will make a formal judgement on the quality of the evaluation (cf. annex 3).

#### **4. EVALUATION QUESTIONS**

The evaluation will be based on a limited number of evaluation questions (up to a maximum of ten), covering seven evaluation criteria: relevance, effectiveness, efficiency, impact, sustainability (5 DAC criteria), coherence and the Commission's value added (2 EC criteria).

Besides the evaluation criteria, evaluation questions will also address: cross-cutting issues, the 3Cs, and other key issues.

The evaluation criteria and key issues will be given different emphasizes based on the priority given to them within the evaluation questions.

More information on the evaluation criteria, key issues and on the main principles for drafting evaluation questions can be found in annexes 5, 6 and 7.

#### **5. RESPONSIBILITY FOR THE MANAGEMENT AND THE MONITORING OF THE EVALUATION**

The Joint Evaluation Unit is responsible for the management of the evaluation, with the assistance of the Reference Group.

Information on the documents referred in annex 1 will be given to the Consultants after the signature of the contract.

#### **6. THE EVALUATION TEAM**

The evaluation team must possess a sound knowledge and experience in:

- evaluation methods and techniques in general and, if possible, of evaluation in the field of external relations;
- the Ecuador country;
- the following fields: Sustainable rural development, Environment, Education, Health, Economic development (employment policies, industrial and agricultural competitiveness), Decentralisation and support to Civil society, Regional integration;
- EU aid modalities and particularly sector budget support operations;
- the following languages: English Spanish (also fluently spoken).

The Joint 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 an in-depth knowledge of key evaluation areas.

Consultants must be independent from the activities evaluated. Conflicts of interests must be avoided.

**DRN**

It is highly recommended that at least the team leader is fully familiar with the Commission's methodological approach (cf. Joint Evaluation Unit's website: [HTTP://EC.EUROPA.EU/EUROPEAID/HOW/EVALUATION/INTRODUCTION/INTRODUCTION\\_EN.HTM](http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm)).



## 7. TIMING

The indicative framework below has to be filled by the Consultants.

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
<b>Desk Phase</b>		<i>11/2010 – 05/2011</i>	
Structuring Stage	Short presentation (intervention logic, EQs and 1 <sup>st</sup> set of JC)	<b>Mid December</b>	RG Meeting
	Draft Inception Report	End of January	Optional: Short preparatory visit of the Consultants to the field.
	<b>Final Inception Report</b>	End of February	A formal exchange of letters between the Consultants and the Commission confirming the final composition of the evaluation team and the final work plan and schedule.
Desk Study	Draft Desk Report	Mid-April	RG Meeting
	<b>Final Desk Report</b>	End of May	
<b>Field Phase</b>		<i>June July</i>	De-briefing meeting with the Delegation.
	Presentation	<i>Mid July</i>	RG Meeting
<b>Synthesis phase (seminar in the country)</b>		Sept-Dec 2011	
	1st draft Final report	Early Oct	RG Meeting
	Revised draft Final report	Early Nov.	<b>Seminar in Ecuador</b> Up to 100 copies of the report with annexes on CD-Rom have to be delivered to the Delegation; an electronic version of the report and the annexes has to be provided to the Joint Evaluation Unit.
	<b>Final Report</b>	<i>01/2012</i>	110 copies of the Final Main Report must be sent to the Joint Evaluation Unit with additional 10 reports printed with all the annexes. A CD-Rom of the Final Main Report and annexes has to be added to each printed copy. The different versions of the executive summary (WORD and PDF) and methodological note (PDF) must be sent.

The final timing accepted will be annexed to the contract signed.

## 8. COST OF THE EVALUATION

The overall costs include:

- The **evaluation study**;
- 2.5% of the total budget, excluding costs of the seminar, are to be used for **quality control**; and

- A **seminar** in the country.

The total for these three elements must not exceed € 200.000.

NB: the budget for the seminar (fees, per diems and travel) will be presented separately in the launch note.

## **9. PAYMENT MODALITIES**

The payment 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; and
- The balance on reception of: hard copies of the accepted final report; the methodological note on the quality control system; the list of all the documents read; and data collected and any databases built.

Seminar related costs are to be invoiced and paid separately.

## ANNEX 1: INDICATIVE DOCUMENTATION FOR THE EVALUATION

### *General documentation*

- Communications of the Commission; and
- Various regulations.

### *Country*

- CRIS<sup>41</sup> (information on the projects and ROM<sup>42</sup>) and other databases concerning the financed projects, engagements, payments, etc.;
- Cooperation strategies;
- Conclusions of the Mid-term and End-of-Term Reviews;
- Key government planning and policy documents;
- Projects evaluation reports; and
- Relevant documentation provided by the local authorities and other local partners, financial backers, etc.

The four following documents are to be provided to the Consultants:

- Access to the information contained in the ROM system for an evaluation;
- A methodological note from Eureval concerning the North-South approach to country level evaluations;
- Template for Cover page; and
- An example of an executive summary (currently from the Mozambique evaluation).

In addition, the Consultants will have to consult the documentation available on the internet (DAC/OECD and EU Inventory, if necessary) as well as the documentation listed, or available within the Joint Evaluation Unit (AIDCO/0/3 Library).

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<sup>41</sup> Common RELEX Information System

<sup>42</sup> Results Oriented Monitoring

## **ANNEX 2: OVERALL STRUCTURE OF THE FINAL REPORT**

The overall layout of the report is:

### **Final report**

- Executive summary (1);
- Context of the evaluation;
- Answers to the evaluation questions;
- Conclusions (2); and
- Recommendations (3).

Length: the final report must be kept short (70 pages maximum excluding annexes). Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

### (1) Executive summary

The executive summary of evaluation report should have a maximum of 5 pages. The template and structure for the executive summary are as follows:

- a) 1 paragraph explaining the challenges and the objectives of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the projects visited, the interviews completed, the questionnaires sent, the focus groups, etc. have to be listed);
- d) The general conclusions related to sectoral and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand, have to be clearly explained;
- e) 3 to 5 main conclusions should be listed and classified; and
- f) 3 to 5 main recommendations should be listed according to their priority.

Points a) to c) should take 1 to 2 pages.

Points d) to f) should not take more than 3 pages.

### (2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria;
- The general conclusions related to sectoral and transversal issues and the overarching conclusion(s) (for example on poverty reduction) have to be explained in detail;
- The chapter on "Conclusions" has to contain a paragraph or a sub-chapter with the 3 to 5 principal conclusions presented in order of importance; and
- 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 the modifications or re-orientations.

### (3) 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; and
- The chapter on "Recommendations" has to contain a sub-chapter, or a specific paragraph corresponding to the paragraph with the 3 to 5 principal conclusions. Therefore, for each conclusion, options for action and the conditions linked to each action as well as the likely implications 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; and
- Synthetic presentation of the main results of the evaluation (5 slides per evaluation question).

## 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; and
  - contain one (or several) summaries presenting the main ideas. For example, the answers to the evaluation questions and the main conclusions could be summarised and presented in a box.
- The executive summary must be very short (max. 5 pages);
- The final version of the report must be typed in single spacing and printed double sided, in DIN-A-4 format;
- The font must be easy to read (indicative size of the font: Times New Roman 12);
- The presentation must 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 must not exceed 70 pages including the cover page, the table of content, the lists of annexes and abbreviations;
- The content must have a good balance between main report and annexes; and
- Reports must be glued or stapled; plastic spirals are not acceptable due to storage problems.

The Cover page must use the template mentioned in annex 1.

### **Please note that:**

- The Consultants are responsible for the quality of translations and their conformity with the original; and
- All data produced in the evaluation are property of the Commission.

## ANNEX 3 - QUALITY ASSESSMENT grid

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
<b>2. Relevant scope:</b> 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?					
<b>3. Defensible design:</b> 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?					
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?					
<b>5. Sound data analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?					
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?					
<b>9. Clearly reported:</b> 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?					
<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>					

#### **ANNEX 4: STRUCTURE OF THE (POWERPOINT) PRESENTATION SYNTHESISING THE MAIN RESULTS OF THE DRAFT FINAL REPORT**

1. The presentation shall comprise not more than five slides for each evaluation question and shall be structured as follows:
  - a) The first slide will recall the (potential) link between the question and the synthetic logical diagram(s) of impact;
  - b) The second slide will present us with the reasoning chain indicating, for each EQ, the selected Judgement Criteria and Indicators (accompanied, when relevant, by target levels), as agreed during the structuring stage of the evaluation;
  - c) The third slide will display the evaluators' findings, following the same structure as in b);
  - d) The fourth slide shall present the limitations of the demonstration and of the findings; and
  - e) If need be, some explanatory text may be added in a fifth slide.
2. In addition, further slides will be added for overall conclusions and recommendations.



## ANNEX 5: EVALUATION CRITERIA AND KEY ISSUES

- (1) Definitions (or links leading to the definitions) of the **five OECD-DAC evaluation criteria** (sometimes adapted to the specific context of the Commission) can be found in the glossary page of the Joint Evaluation Unit's website, at the following address:

[HTTP://EC.EUROPA.EU/EUROPEAID/EVALUATION/METHODOLOGY/GLOSSARY/GLO\\_EN.HTM](http://ec.europa.eu/europeaid/evaluation/methodology/glossary/glo_en.htm)

- (2) As regards **coherence** (considered as a specific Commission's evaluation criterion) and the **3Cs**, their meaning and definition can be found in Annex 6.

- (3) **Value added of the Commission's interventions:** The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

- 1) The Commission has a particular capacity, for example experience in regional integration, above that of EU Member States;
- 2) The Commission has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort; and
- 3) The Commission's cooperation is guided by a common political agenda embracing all EU Member States.

## ANNEX 6: NOTE ON THE CRITERION OF COHERENCE AND ON THE 3CS

Practice has shown that the use of the word "COHERENCE" brings a lot of questions from both Consultants and Evaluation Managers. This situation arises from the use of the same word "COHERENCE" in two different contexts.

Indeed, coherence is one of the two evaluation criteria that the Commission is using in addition to the 5 criteria from DAC/OECD but coherence is also a specific concept in the development policy, as defined in the Maastricht Treaty. The definitions of the same word in the two different contexts do not overlap and can lead to misinterpretation. To solve this problem the following decision has been taken.

### **Decision:**

The definitions of relevance and coherence from Commission's budget glossary must be used for the evaluation criteria<sup>43</sup>:

- **Relevance:** the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed;
- **Coherence:** the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives, in particular within the Commission's external assistance policies; and
- **The notion of complementarity as evaluation criteria has to be deleted.**

The definition of the 3Cs has to be given with reference to the Maastricht Treaty modified by the Amsterdam Treaty (articles 177 up to 181, to be adapted if necessary with the Lisbon Treaty):

**Coordination** (article 180):

**The Community and the Member States will coordinate their policies on development cooperation and will consult each other on their aid programmes including in international organisations and during international conferences. They may undertake joint action. Member States will contribute if necessary to the implementation of Community aid programmes.**

**The Commission may take any useful initiative to promote the coordination referred to in paragraph 1.**

**Complementarity** (article 177):

The Community policy in the sphere of development cooperation, which is complementary to those pursued by Member States, shall foster: (.....)<sup>44</sup>

<sup>43</sup> According to the DAC Glossary the **relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The terms 'relevance and coherence' as Commission's evaluation criteria cover the DAC definition of 'relevance'.

<sup>44</sup> The Lisbon Treaty foresees reciprocal relations between the Community and the Member States and not anymore univocal direction Member States towards the Commission.

**Coherence** (article 178):

The Community shall take into account of the objectives referred to in article 177 (Community policy in the sphere of development cooperation) in the policies that it implements which are likely to affect developing countries.

**The 3Cs have to be dealt with as key issues for the Community policy in development cooperation and have never been seen as evaluation criteria.**

## **ANNEX 7: PRINCIPLES REGARDING THE DRAFTING OF EVALUATION QUESTIONS**

### **Main principles to follow when asking evaluations questions (EQ)**

- (1) Limit the total number of EQ to 10 for each evaluation.
- (2) In each evaluation, more than half of EQ should cover specific actions and look at the chain of results.
  - Avoid too many questions on areas such as cross cutting issues, 3Cs and other key issues, which should be covered as far as possible in a transversal way, introducing for example specific judgement criteria in some EQs.
- (3) Within the chain of results, the EQs should focus at the levels of results (outcomes) and specific impacts.
  - Avoid EQs limited to outputs or aiming at global impact levels; and
  - In the answer to EQs, the analysis should cover the chain of results preceding the level chosen (outcomes or specific impacts).
- (4) EQ should be focused and addressing only one level in the chain of results.
  - Avoid too wide questions where sub-questions are needed (questions à tiroirs); and
  - Avoid questions dealing with various levels of results.  
(for example looking at outcomes and specific impacts in the same EQ).
- (5) The 7 evaluation criteria should not be present in the wordings of the EQ.
- (6) General concepts such as sustainable development, governance, reinforcement, etc. should be avoided.
- (7) Each key word of the question must be addressed in the answer.
  - Check if all words are useful;
  - Check that the answer cannot be yes or no; and
  - Check that the questions include a word calling for a judgement.
- (8) EQ must be accompanied by a limited number of judgement criteria; some of them dealing with cross cutting and some key issues (see point 2 above).
- (9) A short explanatory comment should specify the meaning and the scope of the question.

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[HTTP://STATS.OECD.ORG/INDEX.ASPX?DATASETCODE=ODA\\_RECIP](http://stats.oecd.org/index.aspx?datasetcode=oda_recip)

## ANNEX 3: LIST OF PEOPLE MET

DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
07/02/2011	Maria del Carmen Bueno	European Institution	EUD	José Luis Martínez Prada ( <i>Chargé d'affaires</i> , European Union Delegation)	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EUD	Dominique Wauters ( Head of cooperation, EUD)	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EUD	Helen Conefrey Task manager for the Education sector, EUD	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EUD	Marco Venegas Flores Task manager for the horizontal/thematic budgetary lines, EUD	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EUD	Mónica Játiva (Programme Officer, Specialist in Social Development, Health sector)	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EEAS	Francisco Acosta Desk officer for Ecuador, External European Action Service	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EEAS	Celia Fiñana Former Desk officer for Ecuador, External European Action Service	Exploratory Mission
07/02/2011	Maria del Carmen Bueno	European Institution	EEAS	Berith Anderson Desk officer for Ecuador, DG DEVCO	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	SETECI	Alexandra Maldonado Negotiation and Policy Director, Technical Secretariat for International cooperation (SETECI)	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	European Institution	EUD	Pedro Ponce Task manager for the Environmental sector, EUD	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	European Institution	EUD	Roberto Cogno Task manager for the Economic sector, EUD	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	SENPLADES	Christian Coronel General coordinator for financial administration, National Planning Secretariat (SENPLADES)	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	SENPLADES	Jazhel Buitrol International cooperation department, SENPLADES	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	SENPLADES	Leidi Bravo International cooperation department, SENPLADES	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National	Ministry of	Pablo Cevallos Estarellas Viceminister,	Exploratory Mission

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DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
	Bueno	Institution	Education	Ministry of Education	
08/02/2011	Maria del Carmen Bueno	National Institution	Ministry of Education	Amparo Naranjo International cooperation Director, Ministry of Education	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	Ministry of Education	Daniela Araujo Planning coordinator, Ministry of Education	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	Ministry of Education	Luís Monteros Communication coordinator, Ministry of Education	Exploratory Mission
08/02/2011	Maria del Carmen Bueno	National Institution	Ministry of Environment	Tania Villegas Segovia Natural heritage Sub-secretary, Ministry of Environment	Exploratory Mission
04/10/2011	Maria del Carmen Bueno	European Institution	EEAS	Francisco Acosta Desk officer for Ecuador, External European Action Service	
10/10/2011	Bruno Kervyn	European Institution	DG Enterprise	Iciar Rodriguez Miranda	EQ1, EQ2 EQ7 PASES Identification & Formulation
10/10/2011	Bruno Kervyn	European Institution	DG Trade	Michelangelo Margherita Economic and Trade Affairs Manager - Co-ordinator for bilateral trade relations with the Andean Community	EQ2 Free Trade Agreement Negotiations
24/10/2011	Bruno Kervyn	European Institution	DEVCO	Janet Coto-Moreno Geographical Coordinator for the the Andean Community	EC ongoing cooperation
24/10/2011	Bruno Kervyn	European Institution	DEVCO	Claudio Salinas Geographical Coordinator for the the Andean Community Sector Budget Support	EQ7 Budget Support and Sector Budget Support
09/08/2011	Hernan Viscarra	National Institution	Equipo técnico programa PROLOCAL	Ángel Tipán Santillán	EQ1 Collect more information on PROLOCAL main outcomes
10/08/2011	Hernan Viscarra	National institution	SENPLADES	Jahzeel Buitrón PASES Project management	EQ1, EQ2, EQ7 Collect information relating to the programmes on economic development carried out by the Ministry
14/11/2011	Bruno Kervyn Hernan Viscarra	European Institution	EUD	EUD staff	Field Phase, Briefing Presentation
14/11/2011	Bruno Kervyn Hernan Viscarra	European Institution	EUD	Peter Schwaiger (Chargé d'affaires) Dominique Wauters (Head of Coopertion Section)	Field Phase, Briefing Presentation



DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
14/11/2011 17/11/2011 29/11/2011	Bruno Kervyn Hernan Viscarra	European Institution	EUD	Roberto Cogno (task manager PASES and budget support)	Budget support
14/11/2011	Bruno Kervyn Hernan Viscarra	European Institution	EUD	Marco Venegas (specialist economic sector and MSME)	EQ1, EQ2
15/11/2011	Bruno Kervyn	National Institution EUD	SENPLADES	Juan Carlos Aguilar (PASES ATI)	EQ1, EQ2, EQ7, ATI
15/11/2011	Bruno Kervyn	National Institution EUD	SENPLADES	Armando De Angelis (PASES ATI)	EQ1, EQ2, EQ7, ATI
15/11/2011	Bruno Kervyn	National Institution	Ministry of Foreign Affairs	Carolina Moreira ( Directora de Cooperación) José Miguel Vasconez (Director de Relaciones Bilaterales y Multilaterales con Europe) Carlos Palomia (Encargado de relaciones con Europa)	EQ2, EQ8 Collect additional information on EU-Ecuador Trade relations and the regional integration process
15/11/2011	Bruno Kervyn	National Institution	Ministry of Foreign Affairs	Mentor Villagomez Jefe de la Delegación de Ecuador en las negociacios sobre el tratado de libre comercio con la UE	EQ2, Collect additional information on EU-Ecuador Trade relations and the regional integration process
16/11/2011 21/11/2011 30/11/2011	Bruno Kervyn Juan Buchet Hernan Viscarra	European Institution	EUD	Helen Conefrey, Task manager for the Education sector, EUD	EQ3, EQ6, EQ7 and EQ8
17/11/2011	Bruno Kervyn	National Institution	Ministerio de Coordinación de la Política Economica	David Facolni (Design of Economic Policies) Vanessa Maldonado (Director of Planning) Andrés Diaz (Officer in the Planning Directorate)	EQ1, collecting information on the “Agenda de la Política Economica pra el Plan del Buen Vivir). PASES
17/11/2011& 30/11/2011	Bruno Kervyn Hernan Viscarra	European Institution	EUD	Mauro Mariani (Head of the Political Section)	EQ2, EQ8, Association Agreeemnt, Human Right and Visibility
16/11/2011	Bruno Kervyn Hernan Viscarra	National Institution	SENPLADES	Diego Martinez Subsecretario General	EQ1, EQ2, EQ3, EQ7 Budget support
18/11/2011	Bruno Kervyn Hernan Viscarra	National Institution	SENPLADES	Diego Vega Coordinador General de Inserción Estratégica Internacional	ATI

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DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
18/11/2011	Bruno Kervyn	National Institution	SENPLADES	Christian Pino ( Director de Analisis de Competencia- Subsecretaria de Descentralización)	EQ1, EQ7 PASES, Technical Assistance, Decentralisation process
21/11/2011	Bruno Kervyn Hernan Viscarra	National Institution	SENPLADES	René Ramirez Secretario Nacional	EQ1, EQ2, EQ3, EQ7 Budget support
21/11/2011	Bruno Kervyn Milena Leoni	EU MS	AECID	Angel Gonzalez Guardo (adjunto al Coordinador General)	EQ8, donor coordination, EU visibility, harmonisation process
21/11/2011	Bruno Kervyn	National Institution	Ministerio de Coordinación de la Producción	Alejandra Lastran (Coordinadora de Políticas Publicas) Andrés Zurita (Director de Emprendimiento)	EQ1, EQ7, PASES, MSMEs support, political dialogue
21/11/2011	Bruno Kervyn Hernan Viscarra	Other Donors	Inter-American Development Bank (IDB)	Santiago Schneider (IADB Vice-president) Gustavo Palmerio	EQ1, EQ2, EQ7 and EQ8,
22/11/2011	Bruno Kervyn	National Institution	SENPLADES	Carmen Helena Falconi (Responsible Officer at the Department of Investment and Budget)	EQ7, Planning Code, Cooperation Funds and National Investments
22/11/2011 23/11/2011	Bruno Kervyn	National Institution	SENPLADES	Jahzeel Buitrón (PASES Manager)	EQ1, EQ2 and EQ7 Disbursement, PASES indicators, technical assistance, Political Dialogue
22/11/2011	Bruno Kervyn	National Institutions	CORPEI	Ricardo Estrada ( CORPEI Director) Estrella Liggia Lozada, Lorena Plaza and Desirée Bryne	EQ1, EQ2, EQ6. MSMEs internationalisation process, aid modality
22/11/2011	Bruno Kervyn	European Institution	EUD	Dominique Wauters (Head of Cooperation Section)	EQ6 & EQ8 Aid modality, Synergies between Regional and sub-regional programmes, Donor coordination
23/11/2012	Juan Buchet & Bruno Kervyn	CSO	Grupo Faro & Educidadania	Horacio Bellettini (Director Ejecutivo Grupo Faro) Ivan Borja (Director del Eje de Equidad y Oportunidades) Francisco Enriquez (Coordinador de Educidadania)	EQ3, EQ7, EQ6 and EQ8
23/11/2011	Bruno Kervyn	CSO	Ecuador Decide	Diego Obando Juan Cubí	EQ2, EU-Ecuador Free Trade agreement negotiations
23/11/2011	Bruno Kervyn Hernan Viscarra	University/ Think Tank	Instituto de Altos Estudios Nacionales	Jorge Orbe León (Decano de la Escuela de Relaciones Nacionales)	EQ1, EQ2, EQ7 and EQ8

DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
23/11/2011	Bruno Kervyn	National Institution	Ministry of Finance	Fernando Soria (Subsecretario del Presupuesto)	EQ7, PEFA and PFM
25/11/2011	Bruno Kervyn	National Institution	Ministry of Finance	Maria Dolores Almeida (ViceMinistry of Finances)	EQ7
29/11/2011	Bruno Kervyn	European Institutions	EUD in Colombia	Sergio de Marco ( Responsable de Contratos y finanzas DUE en Colombia) Mireia Cohi ( Responsable de Contratos y finanzas DUE en Colombia)	EQ6 Administrative Issues relating to the selected programmes.
01/12/2011	Bruno Kervyn	Consultant	Consultant	Jean Marie Abbés	Prolocal and PAPDE
18/11/2011	Juan Buchet & Milena Leoni	EU MS	Belgian Technical Cooperation (CTB)	Alicia Pabón (Responsable de Proyectos, seguimiento Administrativo) Patricio Sales Caramillo ( Health Expert and Programme Officer)	EQ5 , EQ6 and EQ8
16/11/0211	Juan Buchet & Milena Leoni	European Institutions	EUD	Mónica Játiva (Programme Officer, Specialist in Social Development, Health sector)	EQ5 ( PASSE & UNVIDA), Synergies between aid modality, EURO-SociAL
18/11/2011	Juan Buchet	National Institution	Ministry of Education	Pablo Cevallos, (ViceMinistro de Educación)	EQ3, PAPDE, Education, EQ7 Budget support and political dialogue
18/11/2011	Juan Buchet	National Institution	Ministry of Education	Amparo Naranjo (Directora de Cooperación y Asuntos Internacionales) Cristina Fabara ( Directora de Información y Evaluación) Gonzalo Barreno (Coordinador Nuevo Modelo de Gestión Educativa)	EQ3, PAPDE, Education, EQ7 Budget support and political dialogue
21/11/2011	Juan Buchet	CSO	Contrato Social Por la Educación	Milton Luna Tamayo ( Coordinador Nacional del Contrato Social Por la Educación)	EQ3 & EQ8
23/11/2011	Juan Buchet	National Institution	SETECI	Tania Muñoz Vicuna ( Coordinadora de Políticas y Negociaciones)	EQ6, EQ8
22/11/2011	Juan Buchet	National Institution	Ministry of Public Health	Rina Sanchez ( Directora de Cooperación Internacional) Veronica Poveda (Asesora Relaciones Internacionales)	EQ5, health, PASSE, MAIS
23/11/2011	Juan Buchet	Other Donors	UNICEF	Juan Pablo Bustamante (Especialista en Educación)	EQ3/ EQ6
18/11/2011	Mark Kowal	European Institution	EUD	Pedro Ponce ( Desk Officer for Environment)	EQ4, EQ6, PRODERENA

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DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
18/11/2011	Mark Kowal	National Institution	SENAGUA	Alexendra Viscarra ( Municipal policy advisor, Consultant CICC, ex Senagua advisor)	EQ4, Water programmes and national water policies
19/11/2011	Mark Kowal	Consultants	PRODERENA	Alfredo Carrasco, , Armando Grivalja (Ex Proderena Employees)	EQ4, PRODERENA impact and relevance of national environment policies
19/11/2011	Mark Kowal	Consultants	PRODERENA	Paulina Baca, (Ex Proderena Employees)	EQ4, PRODERENA impact and relevance of national environment policies
19/11/2011	Mark Kowal	Consultants	PRODERENA	Armando Grivalja (Ex Proderena Employees)	EQ4, PRODERENA impact and relevance of national environment policies
21/11/2011	Mark Kowal	Local Authorities	DIGA and UGAs involved in Proderena		EQ4, PRODERENA impact and relevance of national environment policies
22/11/2011	Mark Kowal	NGOs	European NGOs		NRM, Environement and thematic budget line
23/11/2011	Mark Kowal	EU MS	GIZ	Federico Starnfeld (environmental economic advisor) Christian Fedlmeier	NRM, environment, donor coordination
23/11/2011	Mark Kowal	Other donors	UNDP	Gabriel Jaramillo (programme officer for REDD and environmental projects)	NRM, environment, YTT
23/11/2011	Mark Kowal Milena Leoni	EU MS	German Embassy	Ambassador Peter Linder	EU MS coordination, harmonization policy, EC visibility and value added
23/11/2011	Mark Kowal	European Institution	EUD	Anne Ruotsalainen (JED)	Proderena, Waste management, NRM
24/11/2011	Mark Kowal	National Institution	Ministry of Environment	Tania Villegas (Subsecretaria del Patrimonio Natural)	PRODERENA impact, national environmental policies
22/11/2011	Milena Leoni	EU MS	Cooperation Office of the Belgian Embassy and BTC	Jean- Jaques Bastien ( Head of Bureau of Begian Development Cooperation) Bart Uyttendaele (CTB Representative for Ecuador)	EU MS coordination, harmonization policy, EC visibility and value added
21//11/2011	Milena Leoni	CSO	Care	Fenando Unda (Coordinador de Proyectos de Educación) Jorge Berejano (Coordinador Nacional UNIVIDA) Numbia Zambrano (Coordinadora de Proyectos)	UNIVIDA, Health, EC value added and visibility, aid modalities
21/11/2011	Milena Leoni	CSO	CEMOPLAF	Gisela Gaviles (Directora del CEMOPLAF)	UNIVIDA & Health Policies

DATE	EXPERT in CHARGE	TYPE	ORGANISATION	NAME (&ROLE)	THEMES/QUESTIONS
23/11/2011	Milena Leoni	CSO	Asociación Cristiana de Jovenes (ACJ)	Vincente Calderón (Director Ejecutivo ACJ) Elisabeth Ponce Ximena Troya (Coordinadoras de proyectos)	PASES, Economía Solidaria, Veedurias, Control Social, EU visibility and value added.
24/11/2011	Milena Leoni	EU MS	Dutch Embassy	Marco Vernooij (Jefe de Cooperación y Asesor Económico)	3Cs. Donor Coordination, EC value added
7/12/2011	Hernan Viscarra	National Institution EUD	AL Invest	Marcelo Aleman (Projecto Coordinator AL INVEST IV)	EQ1, EQ2, AL Invest
30/01/2012	Hernan Viscarra	European Institution	ECHO	Alvaro de Vicente ( Head of Office of ECHO in Ecuador) Ivette Velasco (ECHO Expert) Ana Maria de la Torre(ECHO Expert)	3Cs. Donor Coordination, EC value added

## ANNEX 4: NATIONAL CONTEXT

Ecuador is a middle-income country, ranking 83 out of 169 countries in the Human Development index (HDI). Its 2011 HDI of 0.720 places it slightly below the Latin America average (0.731)<sup>45</sup>.

Ecuador is bordered by Colombia in the North, Peru in the East and South, and by the Pacific Ocean in the West. According to the population census conducted in 2010, Ecuador's population is estimated at 14.48 million<sup>46</sup>, with an average annual growth of 1.95%<sup>47</sup>.

The country has three main geographic regions, comprising:

- The Coast "*La Costa*", which includes the Pacific coastline and the low-lying land in the Western part of the country;
- The highlands "*La Sierra*" dominated by the Andean mountain range running from North to South along the centre of the country;
- The Eastern region, also known as '*El Oriente*', which comprises the Amazon rainforests. This area accounts for just under half of the country's total surface area, although it is populated by less than 5% of the country's population.

The country also includes the Galápagos Islands in the Pacific, about 1,000 kilometres west of the mainland.

### POLITICAL SITUATION

Ecuador has been a multiparty democracy since 1979, characterised by a persistent political instability, with no President managing to complete a full term since Sixto Durán Ballén's presidency (1992-96)<sup>48</sup>.

The current president, Rafael Correa, was elected in 2006 for a four-year term. He kept his pledge to deliver a new constitution, which was approved in September 2008 with almost 64% of votes in favour and led to a renewed confirmation of President Correa and his movement (MPaís) in the 2009 elections<sup>49</sup> & <sup>50</sup>.

As regards relations with its Andean neighbours, Ecuador actively participates to the Bolivarian Alliance for the Peoples of Our America (ALBA)<sup>51</sup>. Moreover, in 2009, the leaders of ALBA agreed to create a regional electronic currency, the SUCRE, to reduce the use of the U.S. dollar among ALBA countries. In 2010, the SUCRE started to be used for international trade purposes.

Relations between Ecuador and Colombia have been negatively affected by major problems concerning Colombia: drugs, Plan Colombia, FARC, which obliged Ecuador to provide shelter to more than 135,000 Colombia citizens<sup>52</sup> and to strengthen security on its borders. In March 2008,

<sup>45</sup> UNDP, "International Human Development Indicators 2011. Ecuador".

<sup>46</sup> INEC, Ecuador en cifras. <http://www.inec.gob.ec/web/guest/inicio>. The main findings of 2010 Ecuador census are still under processing.

<sup>47</sup> INEC, Ecuador, 2010 Census Result

<sup>48</sup> Economist Intelligence Unit, "Country Report Ecuador", September 2009.

<sup>49</sup> EU Election Mission, "Ecuador Final Report. Presidential and Parliamentary Elections-26 April 2009", June 2009.

<sup>50</sup> As required under the new constitution, elections for the president, vice president, members of the National Assembly, and provincial and local offices were held on 26 April 2009, two years before the end of Correa's first term. President Correa was re-elected in the first round, taking 52% of the votes, compared to 28% for former president Lucio Gutierrez, his nearest rival. Correa's party "Alianza -PAIS" Proud and Sovereign +Fatherland) also won the largest legislative bloc in the new National Assembly, although not a majority.

<sup>51</sup> ALBA is an international cooperation organization proposed by Venezuela as an alternative to the Free Trade Area of the Americas (FTAA). ALBA aims at furthering regional economic integration based on a vision of social welfare, equity and mutual economic aid, rather than trade liberalization based on free trade agreements. Initially, the Founding Treaty "Tratado de Comercio de los Pueblos" (TCP) was signed by Venezuela and Cuba, subsequently a number of other Latin American and Caribbean nations have adhered. Ecuador officially joined ALBA in June 2009. Current ALBA member nations include Antigua and Barbuda, Bolivia, Cuba, Dominica, Ecuador, Nicaragua, Saint Vincent and the Grenadines and Venezuela. In 2008, ALBA Bank, a regional bank with its headquarters in Caracas was created to channel money to development projects throughout the region

<sup>52</sup> UNHCR, "2011 UNHCR Country operation profile 2011- Ecuador" [HTTP://WWW.UNHCR.ORG/CGI-BIN/TEXIS/VTX/PAGE?PAGE=49E492B66](http://www.unhcr.org/cgi-bin/TXIS/VTX/PAGE?PAGE=49E492B66)

diplomatic relations between Quito and Bogotá were interrupted, following the so-called “Andean Diplomatic Crisis”<sup>53</sup>, but as of November 2010, bilateral relations and diplomatic ties have been restored and ambassadors were reinstated in December 2010.

## ECONOMIC OUTLOOK

Between 2000 and 2010, the real GDP growth averaged an estimated 4.55% per year but fell to 0.36% in 2009 due to the impact of the global financial and economic crisis, while as of 2010, the economy started to recover, registering a GDP growth of 3.58% thanks to high oil prices and large public investments in energy, transport infrastructure.

**TABLE 4.1: ECUADOR, MAIN MACRO-ECONOMIC INDICATORS, 2002-2010**

	2002	2003	2004	2005	2006	2007	2008	2009	2010
Population, total (million)	12.77	12.99	13.21	13.43	13.64	13.85	14.06	14.26	14.46
GDP (constant 2000 US\$ M)	17,651	18,229	19,837	20,976	21,973	22,421	24,045	24,132	24,996
GDP (current US\$ M)	24,718	28,409	32,646	36,942	41,705	45,504	54,209	52,022	57,978
GDP growth (annual %)	5.11	3.27	8.82	5.74	4.75	2.04	7.24	0.36	3.58
GDP per capita (constant 2000 US\$)	1,382	1,403	1,502	1,562	1,611	1,619	1,711	1,692	1,728
GDP per capita (current US\$)	1,936	2,187	2,471	2,751	3,058	3,286	3,856	3,648	4,008
GDP per capita growth (annual %)	3.34	1.52	7.00	4.03	3.11	0.49	5.66	(1.08)	2.13
GDP, PPP (constant 2005 international \$M)	73,553	75,960	82,663	87,411	91,565	93,430	100,196	100,559	104,160
Trade (% of GDP)	56.91	53.82	56.68	62.91	66.82	69.51	75.65	61.52	71.57
Unemployment, total (% of total labour force)	9.1	11.4	8.6	7.7	7.7	6.1	7.3	6.5	

Source: World Bank, “World Development Indicators and Global Development Finance, 2011

Agriculture has traditionally been the main pillar of Ecuador's economy, accounting for approximately 17% of GDP in the early '90s, but has been in decline in recent years and fell to 6.97% of GDP in 2010. In spite of this decline; Ecuador remains the world's leading banana exporter owing substantially to the cheap price of unskilled, unorganised labour. From 2003 to 2007, Ecuador accounted for 8% of world trade in bananas. However, the low prices on the international market and deteriorating terms of trade have contributed to the decline in profits of Ecuadorian banana's industry.

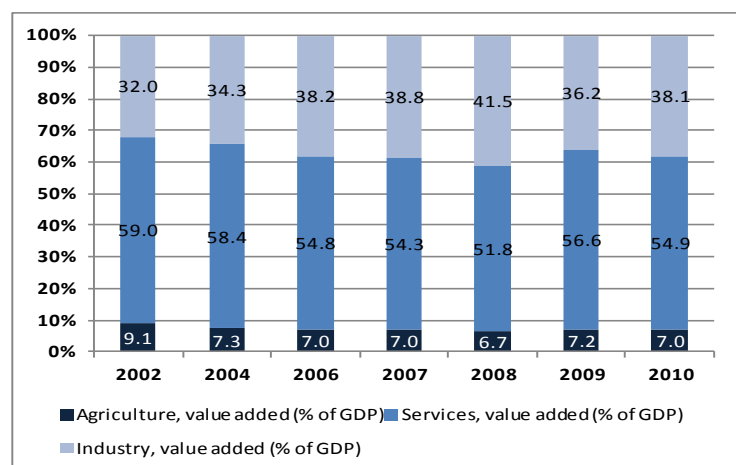
Meanwhile, the share of the oil and mining industries (dominated by the extraction of crude oil) in the economy has been increasing, from less than 10% of GDP in the early 1990s to 20% in 2007. The country has the third largest hydrocarbon reserves in South America after Venezuela and Brazil (in January 2010, Ecuador held reserves of 6.5 billion barrels, a significant increase from 2009 estimates (of 4.7 billion barrels) and is the fifth largest oil producer in the region, with 486,000 bbl/d in 2009 (almost all of which was crude oil)<sup>54</sup>.

<sup>53</sup> The Andean Diplomatic crisis began with an incursion into Ecuadorian territory by the Colombian military. This incursion led to increased tension between Colombia and Ecuador and the movement of Venezuelan and Ecuadorian troops to their borders with Colombia. The immediate crisis was ended at a Rio Group summit on March 7th, 2008, with a public reconciliation between the three countries involved.

<sup>54</sup> International Business Time, 01 September 2010, <http://www.ibtimes.com/articles/48140/20100901/ecuador-china-energy-crude-latin-america-petrochina-petroecuador-opeac-loan.htm>

In 2010, Ecuador and China intensified their trade and economic relations. In July 2010, Ecuador signed with the Export-Import Bank of China a \$1.7 billion deal for financing a huge hydroelectric project in Ecuador. In return for an upfront payment of \$1 billion, Ecuador would supply it with 96,000 barrels per day of crude for two years. Moreover, in September 2010, the two countries signed a new \$1 billion loan agreement. The new loan, which is supported by the sale of crude by PetroEcuador to PetroChina, will be disbursed in two tranches - \$200 million will be spent on oil projects while the remaining \$800 million will be used for investment in key sectors including infrastructure, mining and telecommunications.

FIGURE 4.1: ECUADOR GDP SECTORAL COMPOSITION, 2005-2010



Source: World Bank, "World Development Indicators and Global Development Finance, 2011"

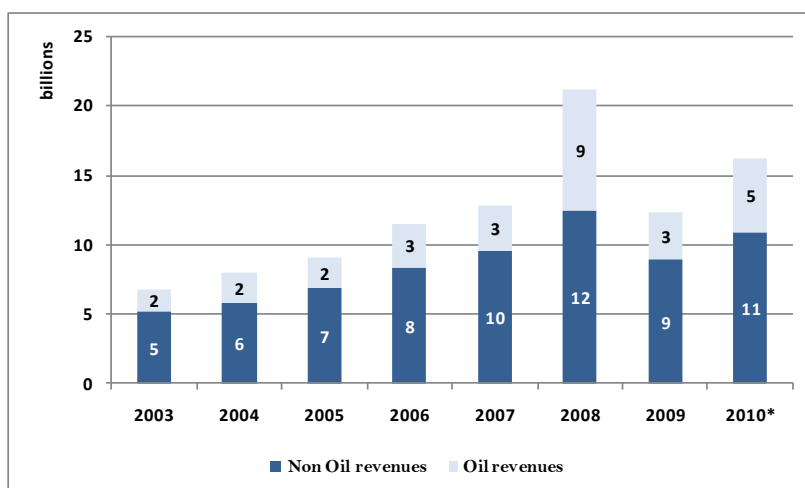
Almost half of the output is produced by foreign oil companies.<sup>55</sup> In 2010, the service sector constituted the largest component of the Ecuadorian economy, accounting for almost 54.9% of GDP value added<sup>56</sup>. Financial services, communications and tourism constitute the leading service sectors (indeed tourism is the country's third-largest earner of foreign exchange behind oil, and bananas).

### Fiscality

Since 2000, Ecuador is a dollarized economy. Further to a series of external shocks in 1998-1999 the banking system collapsed, requiring large infusions of public money; the government issued increasing amounts of debt, before defaulting. Nonetheless, in an economy affected by high and volatile inflation, dollarization has brought major benefits in terms of stabilising prices. Further to the dollarization, the prices of tradable goods have generally been lower than non-tradeable ones, although this trend began to wane in 2007 and 2008 due to the increase in food and fuel prices<sup>57</sup>.

Ecuador returned to international capital markets in December 2005, after having defaulted in 1999, issuing \$650M in new debt in the form of ten-year bonds. However, in December 2008, Ecuador decided to default on its Global 2012 and 2030 bonds, reaching an outstanding debt of \$3.2 billion. The decision not to repay the debt was mainly political as an internal audit commission had labelled the debt

FIGURE 4.2: ECUADOR, FISCAL REVENUES EVOLUTION, 2003-2008, (\$ BILLIONS)



Source: Banco Central de Ecuador

\* 2010 Data are relative from January to September

<sup>55</sup> US Energy Information Administration "Ecuador Country Analysis Brief" <http://www.eia.gov/countries/cab.cfm?fips=EC>

<sup>56</sup> WB (2011), *op cit*.

<sup>57</sup> Some goods are non-tradable, either because of their nature or due to high transportation costs per product unit, high tariffs or other restrictions. Examples of internationally non-tradable goods may be found in the sectors of housing, electricity generation, transport, educational services, personal services, etc. The dollarization of Ecuador's Economy tried to keep the inflation rate of Ecuador under control, nonetheless the surge in international price commodities have implied an increase in prices also for tradable goods in 2008.



"illegitimate" because of alleged illegalities in the way that the debt had been issued<sup>58</sup>.

As a result of dollarization, fiscal policy constitutes a fundamental instrument to manage and affect public finances and productive activities. Indeed, the non-financial public sector accounts have recorded surpluses every year since 1999.

Non-oil revenue as a whole reached 21% of GDP in 2007, as opposed to 16% in 2000. The Institutional changes within the "Servicio de Rentas Internas" (SRI, the internal revenue service), combined with the economic growth, contributed to large nominal increases in tax revenue.

Growth in income tax has been impressive, rising from \$314 M 2000 to \$1.7 billion in 2007. Collections of value-added tax (VAT) averaged 6.1% of GDP in 2000-07, compared with an average of 3.3% of GDP in 1995-99<sup>59</sup>.

From 2003 to 2007, non-financial public sector (NFPS) primary surpluses were maintained, reflecting total revenue growth, which helped reduce public debt from over 90% of GDP in 2000 to 43% in 2005 and 20% in 2009<sup>60</sup>.

**TABLE 4.2: NON FINANCIAL PUBLIC SECTOR, FISCAL INDICATORS, (2000 -2010), % GDP**

Transactions	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
<b>Total Revenues (% GDP)</b>	<b>25.3</b>	<b>23.3</b>	<b>25.7</b>	<b>24.3</b>	<b>25.0</b>	<b>24.8</b>	<b>27.0</b>	<b>29.6</b>	<b>40.7</b>	<b>35.3</b>	<b>40.0</b>
<b>Oil Revenues (% GDP)</b>	<b>9.0</b>	<b>6.4</b>	<b>5.6</b>	<b>5.9</b>	<b>6.5</b>	<b>6.0</b>	<b>7.8</b>	<b>7.3</b>	<b>16.0</b>	<b>10.0</b>	<b>13.5</b>
<b>Non-Oil Revenues (% GDP)</b>	<b>15.5</b>	<b>16.4</b>	<b>19.3</b>	<b>18.1</b>	<b>17.8</b>	<b>18.6</b>	<b>20.0</b>	<b>21.0</b>	<b>23.0</b>	<b>23.8</b>	<b>24.1</b>
VAT	5.5	6.8	6.8	6.1	5.8	5.9	5.9	6.0	5.7	6.3	6.5
Taxes on Special Consumptions (ICE)	0.5	0.6	0.9	0.9	0.8	0.8	0.8	0.8	0.9	0.9	0.9
Income Taxes	1.9	2.5	2.4	2.6	2.7	3.2	3.5	3.7	4.3	4.8	4.1
Capital circulation	1.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Customs	1.3	1.7	1.8	1.4	1.4	1.5	1.5	1.5	1.5	1.8	2.0
Export revenues	0.1	0.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Currency trade	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Credit operations	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Social Security Contributions	1.4	2.1	3.1	3.2	3.1	3.0	3.7	3.9	3.9	4.0	4.4
Others	3.7	2.5	4.4	4.0	4.0	4.2	4.5	5.0	6.8	6.0	6.3
<b>Total Expenditures (% GDP)</b>	<b>23.9</b>	<b>23.3</b>	<b>24.9</b>	<b>23.2</b>	<b>23.0</b>	<b>24.0</b>	<b>23.8</b>	<b>27.6</b>	<b>40.1</b>	<b>39.6</b>	<b>41.6</b>
<b>Current Expenditures (% GDP)</b>	<b>19.0</b>	<b>16.6</b>	<b>18.5</b>	<b>18.0</b>	<b>18.0</b>	<b>19.1</b>	<b>19.1</b>	<b>20.1</b>	<b>27.2</b>	<b>26.8</b>	<b>29.2</b>
<b>Capital Expenditures (% GDP)I</b>	<b>4.9</b>	<b>6.6</b>	<b>6.4</b>	<b>5.1</b>	<b>4.9</b>	<b>5.0</b>	<b>4.7</b>	<b>7.5</b>	<b>12.9</b>	<b>12.8</b>	<b>12.4</b>
Interest	6.5	4.7	3.4	2.9	2.4	2.2	2.1	1.9	1.3	0.7	0.7
Salaries	4.7	6.4	8.1	8.1	7.9	7.9	7.6	8.1	9.0	11.4	11.7
Expenditure on Good and Services	2.5	2.7	3.6	3.3	3.2	3.1	3.6	3.5	3.8	3.7	3.6
Others	5.4	2.8	3.4	3.8	4.5	5.9	5.8	6.6	13.1	11.0	13.1
<b>Global Result</b>	<b>1.5</b>	<b>0.0</b>	<b>0.8</b>	<b>1.6</b>	<b>2.1</b>	<b>0.7</b>	<b>3.3</b>	<b>2.1</b>	<b>0.6</b>	<b>-4.3</b>	<b>-1.6</b>
<b>Primary Result</b>	<b>7.9</b>	<b>4.7</b>	<b>4.2</b>	<b>4.5</b>	<b>4.5</b>	<b>2.9</b>	<b>5.4</b>	<b>4.0</b>	<b>1.9</b>	<b>-3.6</b>	<b>-0.9</b>

Source: Banco Central de Ecuador, Operaciones del Sector Público no financiero 1983-2010

In January 2000, the decision to adopt the US dollar required the government to pass microeconomic reforms to improve competitiveness, in order to counterbalance the absence of a devaluation mechanism and the loss of monetary independence.

<sup>58</sup> Economist Intelligence Unit "Country Profile 2010. Ecuador" 2010

<sup>59</sup> Economist Intelligence Unit "Country Profile 2009. Ecuador" 2009

<sup>60</sup> Banco Central de Ecuador "Evolución de la Economía Ecuatoriana" June 2010

For the first time, in 2009, the non financial public sector accounts recorded a deficit of \$2,232 M and in 2010 the deficit still persisted, reaching \$1198 M.<sup>61</sup> This, despite an increase in revenues between 2009 and 2010, which was mainly determined by an increase of \$ 2,637 M increase in oil revenues, a \$ 1,114 M increase in tax revenues and a \$ 479 M increase of Social Security contributions<sup>62</sup>.

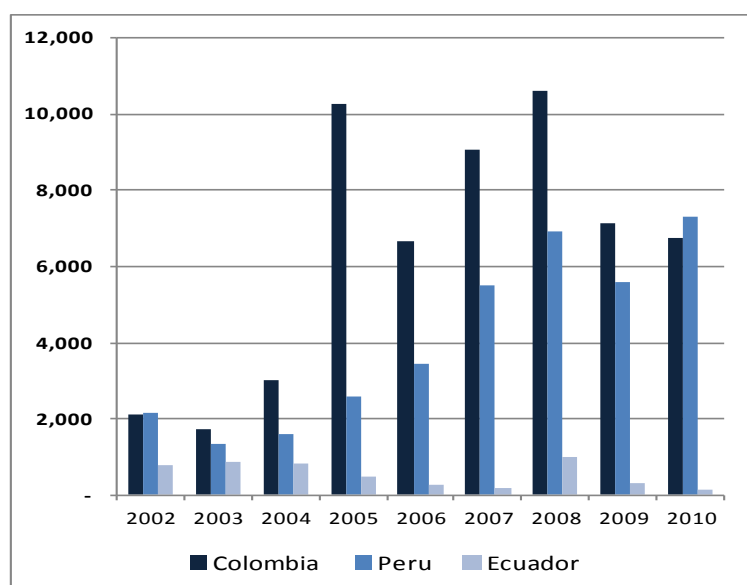
From 2003 to 2010, central government expenditure steadily increased, from more than \$5 billion in 2003 to \$10.2 in 2010. In 2010, the current expenditure item to register the greatest increase was the one under 'other current expenditure item' which includes the '*Bono de desarrollo Humano*', the subsidy for electricity and other expenses, which amounted to \$ 1,789 M<sup>63</sup>.

### External sector

Since the early '90s, Ecuador has taken substantial steps to liberalise its trade regime. In 2010, Trade accounts for 71.56% of GDP<sup>64</sup>. Oil is Ecuador's main export product. In 2010, crude oil and oil products accounted for 55.7% of total export earnings<sup>65</sup>. Traditional export products which encompass bananas, coffee, cocoa, shrimps, and unprocessed fish accounted for almost 56% of the total of non-oil exports in 2010<sup>66</sup>.

Between 2010 and 2011, the value of non-traditional non-oil exports has increased by 26.77%.<sup>67</sup> Nonetheless, despite some initiatives to diversify the economy, Ecuador's exports are still commodity-based, leaving the country vulnerable to external shocks and price fluctuations.

**FIGURE 4.3: FDI PATTERN IN ECUADOR, COLOMBIA & PERU, 2000-10, (\$M)**



Source: World Bank, *World Development Indicators and Global Development Finance, 2011*

As illustrated in Figure 4-3, FDI is subject to significant fluctuations. During the last decade, FDI has been subject to wide fluctuations, which negatively affected the balance of payments. For instance in 2008 FDI amounted to \$1,005 M, while in 2010; they were less \$ 158 M.

In 2010, the lack of investment, the reduction of remittances, determined by the international financial crisis, resulted in a trade deficit of 3.08% of GDP<sup>68</sup> determined by an increase in imports of 44%.

In 2011, Ecuador ranked 130 out of 183 economies in the

*Ease of Doing Business* ranking<sup>69</sup>, while his neighbouring countries Colombia and Peru rank 42 and 41, respectively. This gap implies a substantial difference in terms of foreign direct investment inflows and low private sector growth. Nonetheless, objective eleven included in the "*Plan del Buen Vivir*" aims at establishing a socio-economic system based on Solidarity. One of the identified state

<sup>61</sup> Banco Central de Ecuador "Evolución de la Economía Ecuatoriana" Abril 2011

<sup>62</sup> Banco Central De Ecuador, Abril 2011, op. Cit.

<sup>63</sup> Banco Central De Ecuador, Abril 2011, op. Cit.

<sup>64</sup> World Bank, "World Development Indicators and Global Development Finance, 2011

<sup>65</sup> Banco Central De Ecuador, Evolución de la Balanza Comercial, Resumen Ejecutivo (January 2011)

<sup>66</sup> Banco Central De Ecuador, Evolución de la Balanza Comercial, Resumen Ejecutivo (March 2011)

<sup>67</sup> Banco Central De Ecuador, (March 2011). op. Cit.

<sup>68</sup> World Bank, "World Development Indicators and Global Development Finance, 2011

<sup>69</sup> *Easy of Doing business* ranking is an index created by the World Bank based on 11 indexes, which measure the enabling economic environment of 183 economies. It ranks economies from 1 to 183, with first place being the best. A high ranking means that the regulatory environment is conducive to business operation. In 2009, Ecuador ranked 38.

policies is to control and sanction unfair competition practices, violations of economic rights and public and collective goods, to promote opportunities in the market and enhance the competitiveness of Ecuadorian MSMEs.

Indeed, the private sector and MSMEs constitute the main source of employment. According to ILO data, the majority of the population is employed in commercial enterprises (33%), the manufacture industry (13.7%) and agriculture and fisheries (8.2%)<sup>70</sup>.

In 2010, the US remained the most important trading partner, accounting for 31.4% of total trade revenues, while the EU was the second largest partner, although it lags quite far from the US, accounting for 11% of trade. Ecuador imports from the EU are equipment and transport machinery, chemicals and related products, manufactured goods<sup>71</sup>.

**TABLE 4.3: ECUADOR, TRADE WITH THE EUROPEAN UNION, (€M) 2004-2010**

Period	Imports	Variation (%, y-o-y)	EU Share of total Imports (%)	Exports	Variation (%, y-o-y)	EU Share of total Exports (%)	Balance	Total Trade
2005	779			1,036			257	1,815
2006	876	12.4	9.9	1,183	14.1	11.7	307	2,058
2007	990	13.0	10.0	1,617	36.7	15.7	628	2,607
2008	1,006	1.7	8.5	1,422	-12.1	11.4	415	2,428
2009	1,049	4.2	10.5	1,506	5.9	15.3	457	2,555
2010	1,313	25.1	9.1	1,713	13.7	13.0	400	3,026

Source: EC- DG Trade “, “Statistics. The European Union and its main trade partners. Ecuador”, 2012

EU imports of goods from Ecuador are largely concentrated on goods originating from the primary sector. In 2010, 95% of European imports from Ecuador were agricultural products (SITC 1100)<sup>72</sup>, while manufactured goods account only for 2.4% of total imports<sup>73</sup>. In 2008, Ecuador's exports under the Generalised System of Preferences (GSP Plus)<sup>74</sup> amount to 50% of total exports to the EU<sup>75</sup>.

Trade with the member states of the Andean Community has increased since the Andean Free Trade Area (FTA) came into effect in early 1993. The FTA was fully constituted in 2006 and is considered to be the first step of the integration process, and an integral part of the development of the Common Market. However, Colombia and Peru are the fourth and fifth trade partners, while Bolivia ranks 38 out of the main trade partners of Ecuador, accounting for 0.2% of total trade volume.

Although Ecuador maintains trade surpluses with the USA, Chile, Peru, and the EU, its trade deficit, alongside that of other countries in the region (Colombia and Venezuela) has sharpened.

### **Migration and Remittances**

The National Statistic and Census Institute of Ecuador (INEC) estimates that approximately 1.6 million Ecuadorians live abroad<sup>76</sup>. Migration has intensified over the last decade - triggered by the

<sup>70</sup> ILO Labour statistics 2002-2008

<sup>71</sup> European Commission, DG Trade “The European union and its main trading partners. Ecuador”. [HTTP://EC.EUROPA.EU/TRADE/CREATING-OPPORTUNITIES/BILATERAL-RELATIONS/STATISTICS/](http://ec.europa.eu/trade/creating-opportunities/bilateral-relations/statistics/)

<sup>72</sup> Standard International Classification (SITC) is a classification of goods used to classify the exports and imports of a country to enable comparing different countries and years. The classification system is maintained by the United Nations.

<sup>73</sup> DG Trade, “ Statistics. The European Union and its main trade partners. Ecuador”, 2011

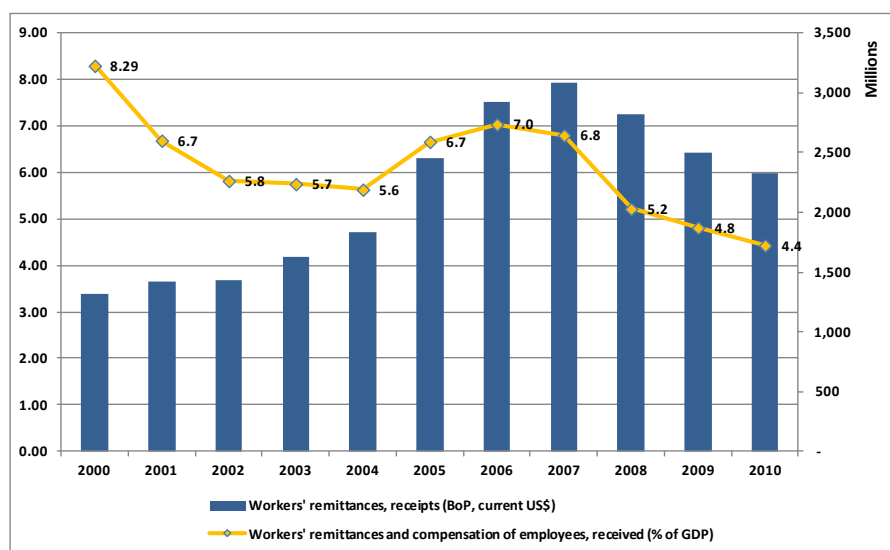
<sup>74</sup> Ecuador is among those countries that ratify a number of key international treaties on labour standards, human rights, good governance and environmental protection. Hence it is eligible for duty-free access for most covered products.

<sup>75</sup> CARIS, “Generalised System of Preference (GSP Plus). Mid-term Evaluation of the EU GSP Final report”, May 2010.

<sup>76</sup> The main migration destinations are the United States and Spain, notwithstanding Venezuela, Mexico and Italy are recently new migration countries. In Spain there are half a million of Ecuadorians.

financial crisis in 1999-2000 - during which the annual rate of growth in migration flows averages 10%<sup>77</sup>.

FIGURE 4.4: ECUADOR WORKER REMITTANCES (M\$), AND AS % OF GDP, 2000-2010



Source: World Bank, "World Development Indicators and Global Development Finance, 2011"

Remittances from abroad are fundamental for the economy due to their positive impact in terms of macro-economic stability and economic development (financial inclusion and poverty alleviation for marginalized households). Between 1999 and 2010 remittances constituted an average 6.1% of GDP. According to the World Bank, following the economic and financial crisis, Ecuadorians remittances shrank from \$3,087 M in 2007 to \$2,324 M in 2010, representing a decrease of almost 25%.

It is important to underline that, according to recent studies and data, remittances have a weak impact on poverty reduction at national level since the quintiles 4 and 5, the richest quintiles, concentrated more than 77% of total remittances in 2007<sup>78</sup>.

## SOCIAL PROFILE

Ecuador is an ethnically diverse country. Based on the 2010 Census, most of the population is *mestizo* and has mixed European-indigenous heritage (72.1%), Amerindians (7%), immigrants and unmixed descendants from European countries *Blancos* (6.1%) and Afro-Ecuadorians (7.2%).<sup>79</sup>

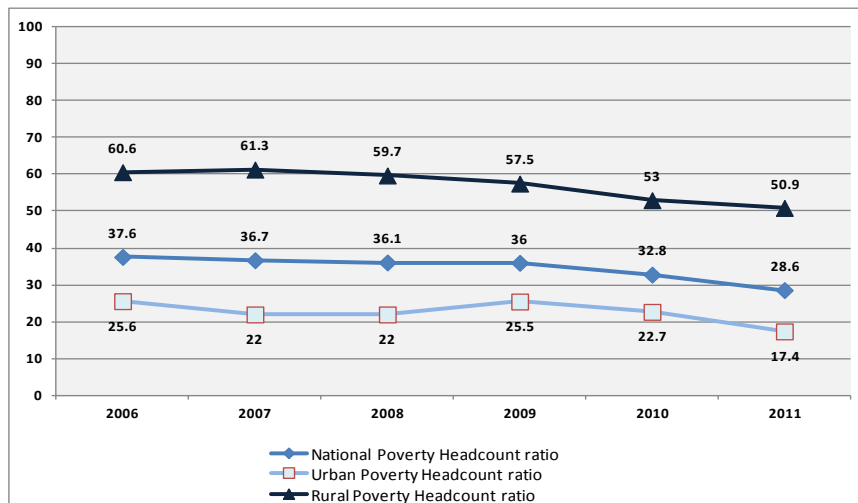
More recently, Colombians have become the largest immigrant group<sup>80</sup>. More than 150,000 are refugees or asylum seekers. Many refugees, as well as Ecuadorians in refugee-hosting communities, cannot access essential services because of their high cost or limited availability in remote areas. Inadequate shelter and access to water, along with poor nutrition, are of special concern.

<sup>77</sup> Center for Latin American Monetary Study, Multilateral Investment Fund, Inter-American Development Bank, "Programme for Improving Central Bank reporting and procedures on remittances; Ecuador", April 2010. <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=35558629>

<sup>78</sup> The highest proportion of remittances are concentrated on quintile 4 (43% of total transfers), followed by quintile 5 (just over 34%), quintile 3 (at 17.04%), quintile 2 (less than 4%) and, in the last position, quintile 1 (slightly more than 2%). Study of the Latin America Faculty and INCE data collected in 2006. Ponce J., Olivieri I.; Onofre M. "A Case Study of the Impact of Remittances on Human Development in Ecuador" (FLACSO, July 2008. [http://www.realinstitutoelcano.org/wps/portal/rielcano\\_eng/Content?WCM\\_GLOBAL\\_CONTEXT=/elcano/elcano\\_in/zonas\\_in/cooperation+develppment/00032](http://www.realinstitutoelcano.org/wps/portal/rielcano_eng/Content?WCM_GLOBAL_CONTEXT=/elcano/elcano_in/zonas_in/cooperation+develppment/00032))

<sup>79</sup> INEC, 'Resultados del Censo de Población y Vivienda. Autoidentificación', (2011)

<sup>80</sup> There are approximately 500,000 Colombians in Ecuador

**FIGURE 4.5: POVERTY HEADCOUNT RATIO, BY URBAN AND RURAL A AREAS(2006-2011)**

Source: INEC, 'Pobreza y Desigualdad en el Ecuador. Encuesta Nacional de Empleo Desempleo y Subempleo' (December 2011)

Inequality is one of the major traits hampering social progress, above all because poverty is highly concentrated geographically and ethnically. Nonetheless, remarkable improvements have been done to reduce it. In 2010, Gini index amounted to 0.505, while in 2006 it reached 0.540, registering a reduction compared to 2003, (0.618)<sup>81</sup>.

In 2006, the percentage of people living under the national poverty line accounted for 37.6% of the total population<sup>82</sup>. Despite a number of improvements in the provision of basic social services, there have been significant improvements, as in December 2011 the national poverty line diminished to 28.6%.

From a geographic point of view, poverty is highly concentrated in rural areas and above all in specific regions like the Northern Provinces and in the "Sierra". In fact, rural poverty rate is almost twice the urban poverty rate in spite of a reduction of ten percentage points between 2006 and 2011 (see figure 5).

From an ethnic point of view, indigenous people and Afro-Ecuadorians record the worst living conditions - lowest schooling levels, serious unemployment levels, minimal access to health services, and often suffer from social and economic discrimination. More than half of the indigenous populations live in extreme poverty. Indigenous populations are the most affected by lack of opportunities. In 2010, 42.3% of indigenous people lived under the national poverty line.

### Education

Further to the approval of the Ten-year Education Plan (PDE) 2006-2015, education has become a priority for the Ecuadorian government.

Since 2006, the Central Government has continuously increased budget allocations to education. One of the key policies of the DEP is achieving a yearly increase by 0.5% in Central government spending. Accordingly, whereas in 2006 Government Expenditure to education and culture amounted to 2.6% of GDP (\$1,096M), in 2010 it accounted for 4.9% of GDP (\$2,533M) with the overall goal of reaching 6% of GDP by 2013.<sup>83</sup> The increase in Central Government spending from 2006 to 2009 accounts for

<sup>81</sup> The Gini index is a measure of the inequality of a distribution, a value of 0 expressing total equality and a value of 100 maximal inequality. According to the WDI, Colombia registered a Gini index: 58.5 (2006), Venezuela 43.4 (2006), Peru 50.5.

<sup>82</sup> INEC, 'Pobreza y Desigualdad en el Ecuador. Encuesta Nacional de Empleo Desempleo y Subempleo' (December 2011)

<sup>83</sup> Ministerio de Finanzas- Tesorería de la Nación "Ingresos del Presupuesto del Gobierno Central"

138%, implying a continuous convergence process of Latin America figures in this area. Nonetheless, it is important to underline that the dependency of Ecuador on oil export revenues, combined with fluctuations in oil prices, could have a major impact on the fiscal balance and its social spending. According to World Bank data, in the last decade, poor access to education has led to a worsening of the adult literacy ratio (from 90.9% in 2001 to 84.2% in 2009). Net primary education school enrolment rates<sup>84</sup> have registered a slight decrease, from 97.44% (2000) to 96.9% (2009); while net secondary education school enrolment rates show a significant progress from 47.2% (2000) to 59.2% (2009)<sup>85</sup>.

According to the 2010 INEC survey on employment, sub-employment and unemployment (*ENMEDU*), illiteracy amounts to 8.10% in 2010 additionally 15.37% of Ecuadorian suffered from functional illiteracy.

Disaggregated data by geographic area illustrate that in 2010 illiteracy rate was higher (16.2%) in rural areas. Chimborazo, Cotopaxi, Bolivar and Cañar departments are the areas with the highest illiteracy rate (more than 25%)<sup>86</sup>, those departments account for the highest percentage of indigenous population.

Another clear example of education disparities is the number of years of schooling: the average Ecuadorian completes just over 7 years of education; in rural areas, this figure falls to just 5 years, while in urban areas, it increases to almost 9 years. Indigenous populations receive merely 3 years of education on average and afro-descendants just about 4.5<sup>87</sup>.

Further to the inequality of the Ecuadorian education system, quality is an additional concern. The number and placement of teachers are key factors affecting basic education coverage. The majority of teachers concentrate in urban areas instead of rural, indigenous and border areas where demand for education is on the rise. In 2006, the shortage of teachers was estimated at 8,000<sup>88</sup>.

**TABLE 4.4: EDUCATION IN ECUADOR, GROSS AND NET ENROLMENT RATE (2007-2010)**

	Gross Enrolment Rate				Net Enrolment Rate			
	2007	2008	2009	2010	2007	2008	2009	2010
<b>Pre Primary</b>	97	117	98	91	69	88	72	73
<b>Primary</b>	102	103	105	105	89	91	91	93
<b>Secondary</b>	84	84	88	92	68	70	72	76
<b>High School</b>	36	39	40	42	25	27	27	28

Source: INEC, ENEMDU Survey, 2010

In 2008-2009, the number of teachers with a tertiary education amounted to 78.1% and the number of those with postgraduate study more than doubled, from 2.2% up to 7%. The MoE and the Government have tried to attract trained teachers by offering new incentives and increasing the salaries. According to the MoE, the teacher's basic salary corresponded on average to 52% of their total salary (ME, 2009). The basic salary increased by 23% between 2006 and 2007, by 13% between 2007 and 2008, and by 11% between 2008 and 2009. Thus, a teacher category four in the

<sup>84</sup> When referring to primary school, we intend "Education General Basica" which includes the first seven years of compulsory education. Further to the approval of the "Ley Organica de Educacion intercultural (LOEI), in March 2011, compulsory education involves the 8<sup>th</sup>, 9<sup>th</sup> and 10<sup>th</sup> grades, the so-called first three years of "Bachillerato Educacion". At the moment the "Educacion Bachillerato" encompasses 5 years. The first three years of Bachillerato are mandatory, they offer a common curricula with optional course of studies. The last two years of *Bachillerato* are optional and pupils can choose between two different curricula: artistic or technical-productive.

<sup>85</sup> World Bank, "World Development Indicators and Global Development Finance, 2010

<sup>86</sup> Educidadania, 'Acompañando el Plan Decenal de Educacion' (2011), page 21 based on ENEMDU statistics.

<sup>87</sup> Sistema Integrado de Indicadores Sociales de Ecuador (SIISE), Estadísticas Educativas 2005-2006 [HTTP://WWW.SIISE.GOV.EC/PRINCIPAL.ASPX](http://www.sii.se.gov.ec/principal.aspx)

<sup>88</sup> Inter-American Development Bank "Acceso y calidad de la educación infantil dirigida a pueblos indígenas y poblaciones afro descendientes" (2006)

urban sector, entering the no teaching experience but with college degree went from a base salary of \$ 86.52 in 2006 \$ 133.10 in 2009.

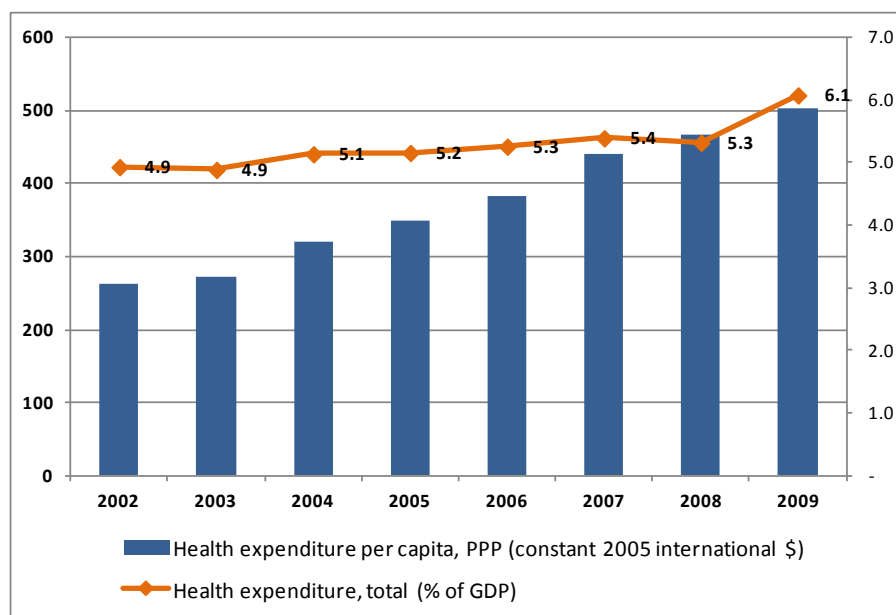
In march 2011, the approval of '*Ley Organica de Educacion Intercultural* ' and the introduction of '*Bachillerado Tecnico*' aimed to enhance the level of education strengthening basic skills and expertise and to provide at the same time intensive vocational training. The final objective of the reform is enhancing at the same time working skills without disregarding general knowledge.

### Health

In 2009, total health expenditure constituted 6.08% of GDP, which implied an increase of almost 1 percentage point compared to 2008 (5.32%)<sup>89</sup>. Furthermore, in 2009, per capita expenditure on health reached \$255.50, while in 2008, it was \$215; recording a 163% increase compared to 2002 (\$97.03). From 2002 to 2009, government expenditure on health more than tripled, from \$462.78 M (2002) to \$1,685.23 M (2009). Government expenditure on health as percentage of total government expenditure accounted for 8.41% in 2009, i.e. an increase of almost 2 percentage points compared in 2008 (6.85%).

The analysis of government expenditure in Ecuador and other Andean Countries highlights a continuous convergence process in health public expenditure and a constant commitment in increasing health expenditure in order to enhance access to health services by vulnerable community groups.

FIGURE 4.6: ECUADOR: HEALTH EXPENDITURE 2002-2009



Source: World Bank, Health Nutrition and Population Statistics (HNOP Stats) 2011

Since 2000, improvements in health indicators have been registered. Life expectancy at birth has increased from 73.3 years (2000) to 75.27. (2009). Access to sanitation facilities has improved, although there is still a large gap between urban and rural areas. In 2008, 96% of urban population has access to sanitation facilities while in rural areas only 84% do. Inequality is higher when considering that water and sanitation services are highly subsidized for those households that have a connection (the more affluent segments of population mainly living in urban areas), while such services are not subsidized for those with no connection. As a consequence, service to the poorest segments of the population, above all those living in rural areas, ends up being of higher cost<sup>90</sup>.

Water and sanitation services face poor coverage, low efficiency and irregular allocation of resources. Furthermore, there is no integrated national system for managing water resources, as

<sup>89</sup> World Health Organization, "Global health Expenditure database- Ecuador -2002-2009"

<sup>90</sup> World Bank, 2004, "Ecuador. Creating fiscal space for poverty reduction. A Fiscal Management and Public expenditure review. Main Report" Nov 2004.

services are decentralised and the Central Government's role to improve quality and efficiency of services is limited<sup>91</sup>. For this reason, rural areas experience lower coverage in terms of sanitation facilities as well as improved water sources: 88% in rural areas, 97% in urban ones (2009).

In spite of progress in food security initiatives, Ecuador underperforms in terms of nutrition compared to Latin American records. In 2007, the percentage of population that was undernourished or food deprived amounted up to 15%, while in Latin America this percentage averages 9%. Furthermore, the rate of chronic malnutrition among children under-five is estimated at 26% or 368,541 children. Chimborazo, Bolivar and Cotopaxi regions are the provinces most affected by under-five child malnutrition, amounting to 52.6%, 47.9% and 42.6%, respectively<sup>92</sup>. These data also underline the gap between urban and rural areas in the health sector, as in urban areas, under-five child malnutrition amounts to 19.2%<sup>93</sup>.

According to national estimates, maternal health shows remarkable improvements; in 2004, the maternal mortality ratio (per 100,000 births) amounted to 107, while in 2007 it decreased to 59.8.<sup>94</sup> In 2000, the introduction of "*La Ley de Maternidad Gratuita y Atención a la Infancia (LMGyAI)*" played a major role in the health sector reform legislation in Ecuador, guaranteeing access to free prenatal care, labour and delivery, family planning, and other basic maternal and child health services for all women and children under five.<sup>95</sup>

The 2008 Constitution impacted on the Health and social security sector, triggering the launch of a Health Sector reform "*Transformación Sectorial de Salud del Ecuador*" (TSSE). On the basis of the new reform, basic healthcare, including doctors' visits, basic surgery and basic medication, is cost-free. However, some public hospitals are in poor condition and often lack necessary supplies to attend the high demand of patients. Private hospitals and clinics are well equipped but still expensive for the majority of the population.

## THE DEVELOPMENT PRIORITY OF ECUADORIAN GOVERNMENT

Further to the 2006 election of Mr. Correa as President of Ecuador, the 2007-2010 National Development Plan "*Plan por la Revolución Ciudadana*" was issued. The objective of the Plan was to promote sustainable development by enhancing equity and social justice and to identify a new role for the State as planner and promoter of the national economy and private sector growth.

In 2009, following the re-election of Mr. Correa and the approval of the new Constitution, a new National Development Plan "*Plan Nacional para el Buen Vivir*" was issued. The new Development Plan emphasises the importance of *Good Living* as a broader concept encompassing equality and social inclusion, political freedom and respect of diversity. Twelve objectives<sup>96</sup> and corresponding strategies have been identified for the period 2009-2013, including the democratisation of production means, with special emphasis on land, water and productive assets; transformation of the Economic Model based on commodity exports into a new model focused on import substitutions and new productive industries, etc.

<sup>91</sup> World Bank; 2004, *op. cit.*

<sup>92</sup> MCDS, Dirección de análisis e Investigación del ministerio de coordinación de desarrollo social "Mapa de la desnutrición crónica en el Ecuador, 2010.

<sup>93</sup> MCDS, (2010) *op. cit.*

<sup>94</sup> World Bank, "World Development Indicators and Global Development Finance, 2010.

<sup>95</sup> LACRSS, "*La Ley de maternidad gratuita y atención a la infancia*" (2006). Designed to reduce the economic barrier that prevents access to care, the Law also incorporated a number of innovative reforms to the health system in its design and implementation, including transferring funds for healthcare to municipalities, with oversight by local management committees as opposed to solely by the Ministry of Public Health

<sup>96</sup> The 12 Objectives identified in the "*Plan Nacional para el Buen Vivir*" are : 1)To foster social and territorial equality, cohesion, and integration within diversity; 2)To maximize the citizens' capabilities and potentialities; 3)To improve the population's quality of life.; 4) To guarantee the rights of nature and promote a healthy and sustainable environment; 5) To guarantee sovereignty and peace; and to promote Ecuador's strategic insertion in the world, and Latin American integration; 6)To guarantee stable, fair, and dignified work and employment in its diverse forms.; 7)To build and strengthen public spaces for intercultural social interactions; 8)To affirm and strengthen national identity, diverse identities, plurinationalism, and interculturalism; 9) To guarantee rights and justice, 10)To guarantee access to public and political participation; 11) To establish a social, fraternal and sustainable economic system; 12)To build a democratic State for Good Living.



For each of the twelve objectives a set of targets has been established. Moreover, a Monitoring and Evaluation Secretariat within a National Secretary for Planning and Development (SENPLADES) has been created in order to coordinate all initiatives undertaken by Public Institutions, to achieve the set targets and to quarterly monitor development progress.

In addition to the National Development Plan, the Government has developed a number of sectoral plans / strategies, of which:

In 2006, the Government issued the "*Plan Decenal de Educación 2006-2015*", which encompasses eight policies relating to universal access to basic and general education from first to tenth grade; increase in high school enrolment; eradicate illiteracy and strengthen educational programmes for adults; improve infrastructure and equipment of educational establishments; develop the quality and equity of education; increase education funding by 0.5% in relation to the GDP or until the latter represents 6% of the GDP<sup>97</sup>. The new administration is on track to achieve this target. Furthermore, in 2010, the Parliament has approved the Education Law and Superior Education Law. In addition, the Constitution of Ecuador, approved in 2008, recognizes that "public education is universal (...) and cost-free up to the third level of superior education inclusively".<sup>98</sup> In March 2011, the Parliament approved the "*Ley Organica de Educacion intercultural*". The new Law defines new curricula, introduces the teaching of an ancestral language at school and identifies several measures to promote and award the most worthwhile teachers.

Private sector development and specifically import substitution and export diversification constitute a key economic priority of the Government. The objective 11 of the National Plan for Good Living "*Establish a solidarity and sustainable socio-economic system*" aims at increasing real productivity, at promoting the manufacturing industry and enhancing the added value of national production. A set of targets to be achieved by 2013 has been set. They include, among others: i) deconcentration of food commercialisation; ii) increased oil production (state and private); iii) reduced custom clearance average time; reduced export concentration up to 0.6.

Another key strategy claimed in the "National Plan" is Regional Integration and Latin America regionalism. The Union of South American Nations (UNASUR)<sup>99</sup>, the Bolivarian Alliance for the Peoples of the Americas (ALBA) and the Organisation of Latin American and Caribbean States (OELAC) represent Ecuador's' priority. The objective is to enhance South-South Cooperation and to create a common market in Latin America.

In spite of the ambitious programme set out in the "National Plan", further reforms are needed in order to achieve the objectives and to better coordinate national and international development initiatives.

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<sup>97</sup> Ministry of Education, 2007, "Plan Decenal de Educación. Año Segundo de ejecución"

<sup>98</sup> Constitution of the Republic of Ecuador, Article 280.

<sup>99</sup> The Union of South American Nations (UNASUR) is an intergovernmental union integrating two existing customs unions: Mercosur and the Andean Community of Nations, as part of a continuing process of South American integration. The UNASUR Constitutive Treaty was signed on 23<sup>rd</sup> May 2008, at the Third Summit of Heads of State, held in Brasília. According to the Constitutive Treaty, the Union's headquarters will be located in Quito. The South American Parliament will be located in Cochabamba, Bolivia, while the headquarters of its bank, the Bank of the South are located in Caracas.

## ANNEX 5: OVERVIEW OF EU- ECUADOR COOPERATION

### 5.1. GLOBAL FRAMEWORK OF EU DEVELOPMENT COOPERATION

#### Primary Legal framework – the Treaties

The legal basis of the EU Cooperation Development policy lies in *Article 177* of the *Treaty establishing the European Community* (EC), which defines development policy priorities. It stresses that EC policy in the sphere of development cooperation shall foster:

- Sustainable economic and social development of the developing countries, and more particularly the most disadvantaged among them
- Smooth and gradual integration of the developing countries into the world economy
- The campaign against poverty in the developing countries.

Article 177 also states that the policy shall contribute to the general objective of developing and consolidating democracy and the rule of law, and to that of respecting human rights and fundamental freedoms.

In the recently ratified *Lisbon Treaty*, Article 21 (1,2) spells out the principles that guide “the Union’s action on the international scene that have inspired its own creation, development and enlargement, and which seeks to advance in the wider world: democracy, the rule of law, the universality and indivisibility of human rights and fundamental freedoms, respect for human dignity, the principles of equality and solidarity, and respect for the principles of the United Nations Charter and international law”.

#### Secondary Legal framework on Overall Development Policy

The overall objectives of development cooperation have been further defined by other policy statements over the years.

The Commission’s Communication to the Council and Parliament *The European Community’s Development Policy* (COM(2000) 212 final) outlines a new framework for the Community’s development policy: Sustainable development is considered as a *multidimensional process that covers broad-based equitable growth, social services, environment, gender issues, capacity and institutional building, private sector development, human rights and good governance*.

At the turn of the millennium, a new consensus on global development goals emerged around the *Millennium Development Declaration* (2000). Responding to the world’s main development challenges and to the calls of civil society, the Millennium Development Goals (MDGs) promote poverty reduction, education, maternal health, gender equality, and aim at combating child mortality, AIDS and other diseases. The Millennium Declaration and the MDGs provide a legislative framework for partnership in terms of working towards complying with international Conventions and Agreements.

In 2005, the Communication *Policy Coherence for Development - Accelerating progress towards attaining the Millennium Development Goals* (COM (2005) 134) focuses on non-aid policies that can assist developing countries in attaining the MDGs. The same year, a Commission Communication set out the *European Union’s contribution to speeding up progress towards the Millennium Development Goals* (COM(2005) 132 final) as part of the EU contribution to the UN Summit of September 2005. To that aim, the Commission’s proposals are i) to increase financial allocations and to enhance the quality of aid, ii) to continue exploring the concept of policy coherence for development in order to find additional contributions to development and iii) to focus on Africa.

The *European Consensus on Development* (2006/C46/01), that aims to define the framework of common principles within which the EU and its Member States will each implement their development policies in a spirit of complementarity, further sets out development policy: *The primary and overarching objective of EU development cooperation is the eradication of poverty in the context of sustainable development, including pursuit of the Millennium Development Goals*. It also introduces a new step towards ensuring complementarity: to respond to partner countries’ priorities at country and regional levels, thus putting a special emphasis on alignment and ownership. It also recalls the

relevance of the coherence check of policies that may affect developing countries in areas such as trade, environment, energy, research, conflict prevention, competition, etc.

## 5.2. THE INTERVENTION LEVELS OF THE COMMISSION'S STRATEGY IN ECUADOR

The Commission of the European Union (EC) has cooperated with Latin American countries since the 1960s. Relations have consisted of policy dialogue, trade relations and a cooperation framework. It is necessary to differentiate between regional level (Latin America), sub-regional level (Andean region), and bilateral level (Ecuador).

### General framework of EC cooperation with the Andean region: the Andean Community in EC strategy towards Latin America<sup>100 & 101</sup>

In 1994, the EU defined a renewed strategy towards Latin America<sup>102</sup> in which it explicitly declares the shift of EU's interest in the region. From a focus on the democratic consolidation of the Latin-American region in the '80s, EU's interest led in the '90s to a greater economic agenda linked to the increase of trade and European investments in the emergent markets of Latin America. In this framework, special attention was to be given to the risk of a perceived disadvantage in terms of trade flows that the North American Free Trade Agreement (NAFTA) and the Free Trade Area of the Americas (FTAA) could generate to the European investors.

Approved by the Council in October 1994, this strategy tried to establish an "association" based on the existing "third generation" agreements and on new "fourth generation" agreements with the "emergent markets" of Latin America, recognizing the progresses achieved by the regional integration schemes. These latter agreements were signed between 1995 and 1997 with Mercosur, Chile and Mexico. They include political dialogue oriented towards: i) the promotion of democracy; ii) "advanced economic cooperation" that responds to the greater weight of these economies; and iii) the commitment to initiate negotiations leading to the establishment of free trade areas. This last commitment generated ample expectations in Latin America since the possibility of access to the European market was opened for the first time, and therefore the possibility to surpass market access rules considered highly protectionist in Latin America. For this reason, the new agreements would enable broadening the relations.

The strategy intended to respond to the heterogeneity of the region, offering differentiated schemes according to the degree of development of each regional group, or non-inserted countries, like Chile. The trade and investing potential and the economic interests, as well as the recognition of the asymmetries with the EU, are the factors that explain the different scope and intensity of the relations, since the new model of "association" and the advanced agreements were mainly reserved to the "emerging markets" of Mercosur, Mexico and Chile.

In relation to Central America and the Andean Community of Nations, the EU strategy was based on the continuity of the "third generation" agreements and on the Andean Community case, the *Framework Agreement on Cooperation between the European Economic Community and the Cartagena Agreement and its member countries* (along with Bolivia, Colombia, Peru and Venezuela)<sup>103</sup>.

<sup>100</sup> This section partially builds on previous evaluations carried out by DRN: Evaluation of ALA Regulation 443/92 (2002), Evaluation of EC Regional Strategy in Latin America in the period 1996-2003 (2005) and Evaluation of EC regional cooperation in Central America in the period 1996-2006 (2007).

<sup>101</sup> The Andean Group, created on 26<sup>th</sup> May 1969 with the Cartagena Agreement, and whose principal aim was the creation of a Customs Union among the five Andean countries, began its transformation process into the Andean Community at the Presidential Summit of Quito, in September 1995.

<sup>102</sup> This strategy was debated at the Councils of Corfú (June 1994), Essen (December 1994) and Madrid (December 1995). Also refer to the Communication of the Commission *The European Union and Latin America: The present situation and prospects for closer partnership 1996-2000*, COM (95) 495, 23 October of 1995 and to the Communication of the Commission on *a new European Union-Latin America partnership on the eve of the 21st century*, COM (1999) 105 final, March 1999, prepared as a contribution for the first EU-LAC Summit held in Rio de Janeiro in 1999.

<sup>103</sup> This agreement was aimed to be replaced by the EU-CAN Political Dialogue and Cooperation Agreement signed in 2003, not ratified yet.

From this legal framework, although with relative independence, the relationship would be based on three elements: the regular political dialogue, development cooperation interventions and the trade preferences of the Generalised System of Preferences (GSP-drugs till July 2005 and GSP Plus from July 2005 onwards).

### **EU-CAN (and Ecuador) Political dialogue**

The EU-Rio Group<sup>104</sup> ministerial meetings have been the main channel of bi-regional political dialogue between 1986 and 1999. Their main outcome is the political debate and the ensuing generation of consensus at intergovernmental level in matters such as democratization, human rights or external policy. Trade negotiations are not part of this dialogue. With the "Declaration of Rome" of 1990, the EU-Rio Group's political dialogue is institutionalized through an annual ministerial meeting. At present, the meetings are held in the alternating years of the EU-LAC Summits of Heads of State and Government.

#### **BOX 1 : THE SPECIALISED DIALOGUE ON FIGHT AGAINST DRUGS**

The specialised dialogue EU-Andean Countries on drugs was launched with the Joint Declaration of the Meeting held in September 1995 between the Troika Ministers for Justice and Home Affairs and Andean Ministers in charge of the fight against drugs.

An "Agreement on precursors and chemical substances frequently used in the illicit manufacture of narcotic drugs or psychotropic substances" was signed three months later. It includes as one of its principles the shared responsibility.

In September 1995, at the Andean Presidential Summit of Quito, in which the Andean Community was formally constituted, the Andean countries proposed to enhance the relationship with the European Union, which had started in 1970. The European Council held in Madrid in December 1995 highlighted the wish to strengthen the dialogue with the regional institutions and the first result of this progress was the Joint Declaration on political dialogue between the European Union and the Andean Community, signed in Rome in June 1996. This dialogue includes "regional and international questions of common interest", particularly in the field of fight against illicit drugs. This initiative responded to the advancement of Andean integration and to the increase of mutual cooperation, which include the commercial preferences of "GSP-drugs", and agreements for the joint control of the use of chemical substances considered as "precursors" in the illicit drug production.

The EU-Andean Community dialogue also counts on meetings focusing on drugs (see Box), trade and industry, and science and technology, within the framework of bi-regional summits (EU-Rio Group and EU-LAC summits) and in parallel to the sessions of the General Assembly of the United Nations. Joint Committees and inter-parliamentary dialogue (EU-Andean Parliamentary meetings) are also part of this pillar. Development cooperation issues have been included in the political dialogue process, mainly in relation to regional integration and the economic and social development of the region (both at regional and bilateral level).

### **EU-CAN (and Ecuador) Trade relations**

#### ***The generalised system of preferences (GSP)***

In October 1990, the EC decided to grant the GSP scheme to most countries of the Andean Group (Bolivia, Colombia, Ecuador and Peru)<sup>105</sup> under the premise of shared co-responsibilities. This scheme gave full tariff preferences to the region with the aim of creating export opportunities able to help the Andean countries develop alternative activities in order to replace illicit crops<sup>106</sup>.

<sup>104</sup> The Rio Group is an international organization of Latin American and some Caribbean states, created in 1986. The Rio Group does not have a secretariat or permanent body, and instead relies on yearly summits of heads of states.

<sup>105</sup> Venezuela was incorporated in 1995.

<sup>106</sup> For this reason it is also called "GSP-Drugs".

This regime, which allows preferential access to the European market for developing countries, in the form of reduced tariffs for their goods, has a nonreciprocal character. Although it is considered by the EC as a suitable regime for both groups, due to the noticeable existing asymmetries between Central America, the Andean countries, and the EU, from the late '90s both regions demanded that an association agreement be signed, including a reciprocal free trade area, as is the case for other sub-regional groups and countries.

On the other hand, in 2002, the GSP was object of a claim in the Dispute Settlement Body of the WTO, which posed doubts and uncertainty with respect to its future. After the resolution of the appeal process, opposed to the European position, the EU adopted in 2005 the new system GSP-Plus. The latter considers a regime of incentives that is granted in exchange of the ratification and effective implementation of 27 specified international conventions in the fields of human rights, core labour standards, sustainable development and good governance<sup>107</sup>. Like the previous system, the GSP-Plus has been considered unsatisfactory by the governments of the Andean region due to its unilateral and temporal character as well as for the exclusion of key products (i.e. banana).

#### *Towards an EU-CAN Association agreement*

At the Vilamoura meeting, in February 2000, the Ministers requested from the European Commission and the General Secretariat of the Andean Community an analysis on the current and future state of the economic and commercial relations between the two regions, the final scope being the establishment of an Andean Association Agreement.

At the 2<sup>nd</sup> EU-LAC Summit of Heads of State and Government held in May 2002 in Madrid, the Andean countries tried, without success, to obtain the European endorsement so that the new agreement included a commercial chapter. The possibility of initiating trade negotiations was considered, but only following the conclusion of the WTO "Round" initiated in November 2001 and expected to end in December 2004. This temporary reference was welcomed by the Andean representatives.

In the EU-CAN Political Dialogue and Cooperation Agreement signed in 2003, but not ratified yet, reference was made to the *joint objective of working towards creating conditions under which, building on the outcome of the Doha Work Programme, a feasible and mutually beneficial Association Agreement, including a Free Trade Agreement, could be negotiated*. In addition, in order to create such conditions, reference was made to *striving for political and social stability, deepening the regional integration process and reducing poverty within a sustainable development framework in the Andean Community*. The final declaration of the EU-LAC Guadalajara Summit (2004) confirms this objective again and opens the process leading to the conclusion of such Agreement. In this framework, a joint assessment phase of the Andean integration process has been launched. The *realization of a sufficient level of regional economic integration is stated as a condition leading to the conclusion of such Agreement*.

This condition was already present in the Communication elaborated in preparation of the Guadalajara Summit<sup>108</sup>. This Communication recalls that it is not possible to establish a bi-regional free trade area if there is no free effective circulation of goods, services and capitals in one of the two concerned regions, due to weaknesses of the integration process. Such free circulation was not guaranteed in the Andean region<sup>109</sup>.

The joint assessment decided in Guadalajara started in the framework of the EU-CAN Joint Committee in January 2005. At the Vienna Summit (2006) the decision to start the negotiation process was taken. At the Lima Summit (2008), in view of the asymmetries between both regions,

<sup>107</sup>For the list of Conventions refer to: [http://trade.ec.europa.eu/doclib/docs/2009/october/tradoc\\_145261.pdf](http://trade.ec.europa.eu/doclib/docs/2009/october/tradoc_145261.pdf)

<sup>108</sup> Comisión Europea (2004), *Communication from the Commission to the European Parliament and the Council on the Commission's objectives, in the framework of the relations between the European Union and Latin America, in view of the 3rd Summit of Heads of State and Government of the European Union and Latin America and the Caribbean to be held in Guadalajara (Mexico) on 28 May 2004*, Brussels, COM(2004) 220 final.

<sup>109</sup> Christian FRERES and José Antonio SANAHUJA (coords.) (2006), *América Latina y la Unión Europea. Estrategias para una Asociación necesaria*, Barcelona, Icaria

the European parties decided to give special attention to the specific development needs of Bolivia and Ecuador.

Such asymmetries, and the different *development speeds*, led to the decision of continuing the negotiations not between regional blocs but between the EU and each single Andean country, aiming at an EU-CAN Agreement. Based on this decision, Bolivia decided in February 2009 to abandon the negotiations, arguing that only a negotiation between blocks could benefit the Andean integration. In July 2009, Ecuador decided to suspend the negotiation process as well, alleging that the EU banana tariff was not in line with international trade rules (the tariff set was considered too high), as confirmed also by the WTO. In May 2010, negotiations with Colombia and Peru were concluded. In December 2010, Bolivia decided to re-launch the negotiations with the EU. On February 21<sup>st</sup>, 2011 Ecuador officially expressed its willingness to reinitiate the negotiations.

Trade relationships and mutual economic cooperation are among the objectives of the 1993 Framework Cooperation Agreement.

From the Andean (and Ecuadorian) side, a large number of products have benefited from a duty-free access to the EU market via the Generalised System of Preferences (GSP-drugs till July 2005 and GSP Plus from July 2005 onwards). The GSP is one of the pillars of the economic relations between the EU and Ecuador.

### EC Development cooperation in Ecuador

This third axis is the core of the present evaluation.

#### The legal foundation

The legal foundation for cooperation with Ecuador is framed in:

- A. The *Framework Agreement on Cooperation between the European Economic Community and the Cartagena Agreement and its member countries* (along with Bolivia, Colombia, Peru and Venezuela) signed in 1993.

Its main innovation (in relation to the agreement signed in 1983<sup>110</sup>) is the inclusion of clauses linked to: i) respect for, and the exercise of, human rights and fundamental freedoms, and ii) the mutual interest principle, mainly in the fields of international competitiveness, trade promotion and energetic, technological and industrial cooperation<sup>111</sup>.

Its main objective was to consolidate, deepen and diversify relations between the Parties, mainly in the economic sphere:

- a. strengthen and diversify their economic links;
- b. contribute to the sustainable development of their economies and standards of living;
- c. encourage the expansion of trade to diversify and open up new markets;
- d. encourage the flow of investment, technology transfer and reinforce investment protection;
- e. raise the level of employment and improve human productivity in the work sector;

<sup>110</sup> This regional cooperation agreement was the first regional agreement signed by the EU.

<sup>111</sup> Council Regulation No 443/92. **Art. 2.** "The Regulation cites respect for, and the exercise of, human rights and fundamental freedoms as preconditions for development. The countries committed to these principles receive greater Community support. In addition, the Community can amend and even suspend its cooperation with the country concerned in the case of fundamental and persistent violations of human rights and democratic principles. In this case, cooperation would be confined to activities of direct benefit to those sections of the population in need."

Art. 5. Economic cooperation, devised to serve the mutual interests of the Community and the countries receiving assistance, is aimed, in particular, at countries where economic development is relatively advanced. It includes: i) improvement of scientific and technological potential in the recipient countries through training schemes and the transfer of know-how; ii) institutional support, at both national and regional levels, with a view to making the economic, legislative, administrative and social environment more conducive to development and investment; iii) support for undertakings or economic partners through training and measures to promote technologies and trade.

- f. promote rural development and improve technological capacity;
- g. support the movement towards regional integration;
- h. exchange information on statistics and methodology.

In the social sphere, the aim was to improve the living conditions of the poorer sections of the Andean countries.

This Cooperation agreement kept the co-ordination mechanism established in the 1983 agreement, the Joint Committee, whose principal aims were: (a) the supervision of the efficient management of the Agreement, (b) the co-ordination and the proposal of the necessary means for the implementation of activities, (c) the follow-up and the formulation of recommendations in view of the intensification and diversification of cooperation and (d) the prevention of obstacles that may appear in the areas covered by this Agreement.

As previously indicated, in 2003 a new Political dialogue and Cooperation agreement, similar to the agreements of the "fourth generation", was signed with the region, although it did not contemplate the negotiation of a free trade agreement. This agreement, however, has not been ratified by all parties and has therefore not come into force. It is expected that it will be superseded by the possible signature of an Association Agreement.

- B. Until 2006 (when the Development Cooperation Instrument -DCI- came into force) in the so called *ALA Regulation* (Council Regulation No 443/92) on financial and technical assistance and economic cooperation for Latin America and Asian non-MEDA countries.

The Council regulation 443/92 identifies three strategic axes of cooperation: (i) promotion of development in the poorest countries; (ii) expansion of trade with the recipient countries and integration into the multi-lateral trading system, mainly through the promotion of mutually advantageous economic cooperation; and (iii) cooperation in the area of environmental conservation.

- C. The *Development Cooperation Instrument* adopted on December 18<sup>th</sup>, 2006 replaces, among other, the ALA regulation. The instrument is valid for the period 2007-2013.

The overall goal of the instrument is the eradication of poverty in partner countries and regions in the context of sustainable development, including pursuit of the MDGs, as well as the promotion of democracy, good governance and respect for human rights and for the rule of law. In this framework, cooperation is intended to achieve the objectives already stated in the EC Treaty.

#### *The Commission of the European Union's cooperation with Ecuador in the period 2003-2010*

The Commission of the European Union's cooperation with Ecuador in the period 2003-2010 is laid out in: i) the 2002-2006 Country Strategy Paper, and ii) the 2007-2013 Country Strategy Paper.

This said a number of additional documents elaborated in previous years are briefly reviewed in what follows as they set the basis for the sectoral focus of the cooperation in the first years of the evaluation period.

#### *a. Framework Agreement on Cooperation between the European Economic Community and the Cartagena Agreement and its member countries, 1993*

As mentioned above, this agreement governs the relations between the two regions. Nevertheless, it does not represent a specific strategic framework. Its objective is to consolidate, deepen and diversify relations between the Parties, mainly in the economic sphere, on common interest fields, but it merely lists the potential sectors of cooperation, in line with what is listed in the ALA Regulation.

#### *b. Multiannual Indicative Guidelines, 1998*

The agreed sectoral priorities were:

- Poverty alleviation: health, education and the strengthening of public services;

- Institutional support and the strengthening of the rule of law;
- Environment;
- Economic cooperation;
- Communication infrastructures.

### *c. Memorandum of Understanding EC-Ecuador, 2001*

Signed in June 2001, it represents the programming framework of EC cooperation for the period 2000-2006. Its main principle is that of the concentration of sectors of intervention (four) that respond to the national agenda, are based on previous experiences of EC cooperation in the country, and have appropriate sectoral policies, approved by the responsible national institutions, with administrative structures for the effective execution and control, and with financial resources from Ecuador's national budget to ensure the execution and financial sustainability of EC interventions. The sectors of intervention are also in line with the Indicative pluri-annual orientations defined in 1998.

The defined sectoral priorities were:

- Support to Health policy. With the objective of assisting the country in the application of the universality, equity, solidarity and quality principles of public health services. Water and sanitation was also part of this framework. Indicative allocation of €28 M, i.e. 30% of the €92 M allocated.
- Support to Environmental policy. With the dual objective of: i) supporting the sustainable management of water resources, including amongst others the creation of a basin authority in a pilot basin; and ii) strengthening the capacity of public institutions and local communities in the natural resources management of the Amazonian forest. Indicative allocation of €28 M, i.e. 30% of the €92 M allocated.
- Support to physical regional integration. In the framework of the Peru-Ecuador Peace agreement of 1998, the EC decided to devote 28% of the total allocation (i.e. €26 M) to contribute to the physical integration of both countries by funding part of the rehabilitation of the road connecting the cities of Guayaquil in Ecuador and Piura in Peru.
- Economic cooperation. The approach was that of jointly analysing the obstacles preventing the boost of investments and trade flows between both Parties. The legal framework, trade barriers, norms and standards were set as key issues to be considered. The allocation was of €10 M (11% of the total allocation).

The MoU, which was discussed with EU member States, foresees the establishment by Ecuador of a coordination mechanism, as well as the long term possibility for the EC of intervening with a sectoral approach if conditions are met.

### *d. Country Strategy Paper 2002-2006*

The objectives for cooperation with the country, as stated in the CSP, were:

- *to achieve the goals which were defined (...) during the Rio Summit process<sup>112</sup> with the aim of consolidating and strengthening relations between the European Union and the Latin American*

<sup>112</sup> The EU-LAC Summit held in Rio in 1999 proposed an Action Plan with 54 priorities in three different domains (i. political, ii. economic and iii. cultural, educative, scientific, technological, social and human). These priorities were then synthesised the same year in Tuusula, Finland, to 11 priorities:

Priority 1: Deepen and enhance existing co-operation and consultations in international forums and extend them to all matters of common interest.

Priority 2: Promote and protect human rights, especially those of the most vulnerable groups of society, and prevent and combat xenophobia, manifestations of racism and other forms of intolerance.

Priority 3: Women - adopt programmes and projects related to the priority areas contained in the Beijing Declaration.

Priority 4: Enhance co-operation programmes in the area of environmental and natural disasters.

Priority 5: Drugs - implement the Panama Global Action Plan, including measures against illicit arms traffic.

Priority 6: Formulate proposals for bi-regional co-operation directed to establishing mechanisms to promote a stable and dynamic global economic and financial system, strengthening national financial systems and creating specific programmes to help the economically relatively less developed countries.



region in a variety of fields, including the political, economic, cultural, educational and scientific, and

- to ensure consistency between the Community trade regime and development assistance, and in particular to support Ecuador's efforts to improve its trade and investment environment, with a view to effectively participating in the multilateral trading system and the global economy, so as to maximise the benefits for the region.

The document confirms a strong degree of continuity of EC cooperation. It maintains the principle of effectiveness and the consequent sectoral concentration, as well as the same budget allocations. The sectoral priorities of interventions are further developed and justified but they remain the same. The only difference is that the first two areas of intervention (Support to Health policy and Support to Environmental policy) are clustered under a same component, i.e. "reduction of social imbalances".

Other principles guiding EC cooperation in this period are: Private sector involvement in priority definition & financing, Decentralised levels involvement in priority definition, EU Policy coherence (trade, environment, justice & home affairs, conflict prevention), Support to national policies and Coherence / complementarity of programmable (national & regional) and non-programmable aid.

The document also foresees Ecuador's participation<sup>113</sup> in the so called horizontal regional (for all Latin America) programmes, such as @LIS, ALFA, URB-AL, AL-INVEST.

In line with the EU Development Policy of 2000, the strategy explicitly mentions cross-cutting issues as follows: promotion of human rights, equality between men and women, children's rights and the environmental dimension.

#### *e. Country Strategy Paper 2007-2013*

Poverty reduction and the attainment of the Millennium Development Goals are the ultimate objectives of the EC cooperation for the period 2007-2013. The financial allocation increases from €92 M in the first programming period to €137 M for 2007-2013. The strategic areas of intervention are as follows:

- Contributing to accrued government social investment, in order to increase the access of marginalised and disadvantaged communities to social services.  
In particular, the aim is to increase *social cohesion by helping to increase government social investment in the Education sector, in order to train a competitive labour force directed at the country's productive needs and with a foothold in the market.*
- Generating sustainable economic opportunities and promoting regional integration by supporting competitive micro-enterprises and small- and medium-sized enterprises.  
The objective in this area is *to promote social cohesion and regional integration by generating and consolidating sustainable economic opportunities for poor people to have decent work in micro-, small- and medium-sized competitive enterprises.*

As was already the case for the MoU of 2001 and the previous CSP, the strategy seems to be that of concentrating aid in sectors in which a national policy exists<sup>114</sup>. To this end, the strategy is articulated in two main sectors of interventions: i) education and ii) promotion of economic opportunities.

Overall concentration in these two sectors is viewed as a means to enable the improvement of *all aspects of governance in these sectors, ranging from defining long-term policies and strategies through*

Priority 7: Promote trade, including SMEs and business forums.

Priority 8: Provide support for bi-regional co-operation in the fields of education and university studies as well as research and new technologies.

Priority 9: Cultural heritage, EU-Latin America/Caribbean cultural forum.

Priority 10: Establishment of a joint initiative on particular aspects of the information society.

Priority 11: Support activities related to research, postgraduate studies and training in the field of integration processes.

<sup>113</sup> These programmes are nevertheless subject to other strategic and programming documents.

<sup>114</sup> The TVET component within the Education sector of EC strategy does not respond to this strategy. Indeed, the stated risk (reference to p. 21 of the CSP) of intervening in this sector is the lack of clearly established state policies.

to their inclusion in the national budget, the distribution of responsibilities between relevant institutions and strengthening the capacities of these institutions, the adoption of improved financing mechanisms and arrangements for expenditure control, the implementation of result-oriented monitoring and user involvement in evaluation, and other matters. Linked to this, the innovative element in relation to the previous programming period is the use of sectoral budget support, in both sectors.

Environmental concerns and sustainable management of natural resources are no longer priority sectors of interventions but are intended to be integrated in the interventions as cross-cutting issues. Other cross-cutting issues are: Democracy and good governance, Human rights, including the rights of children and young people, the Rights of indigenous peoples, Gender equality and HIV and AIDS.

The Mid-term review (MTR) of the 2007-2013 CSP confirms the priority sectors of intervention for the years 2011-2013, and foresees the inclusion of an additional amount of €4 to support the implementation of the EU-CAN agreement that was under negotiation (with Ecuador) at the time of the elaboration of the MTR.

**TABLE 5.1: FOCAL SECTORS OF INTERVENTION IN THE PERIOD 2003-2010**

CSP 2002-2006		CSP 2007-2013	
SECTORS	AMOUNT	SECTORS	AMOUNT
<i>Reduction of social imbalances</i>		<i>Contributing to increased government social investment - Education</i>	€41 + €34 M
<b>Promotion of equitable access to social services: <u>Health</u></b>	€28 M		
<b>Sustainable rural development and environment: <u>Environment</u></b>	€28 M		
<i>Economic stimulation</i>	€10 M	<i>Generating sustainable economic opportunities and promoting regional integration</i>	€34 + €28M
<i>Regional integration and cooperation</i>	€26 M	<i>Support to the implementation of the EU-CAN agreement</i>	€4 M

### 5.3. THE REALISED INTERVENTION LOGIC

The evaluation team has reconstructed the Inventory of all EC-funded interventions in Ecuador between 2003 and 2010.<sup>115</sup>

- The inventory of programmable aid, which is at the heart of the present evaluation, has been reconstructed based on the financial commitments done via the ALA Regulation and the DCI-ALA.
- The inventory of non programmable aid builds on financial commitments done via horizontal and thematic budgetary lines.

The objective of the Inventory is twofold:

- First, the Inventory allows the synthesised illustration of the financial size and the sectoral distribution of EC interventions and their evolution over time.
- Second, it also allows<sup>116</sup> the comparison between the *realized* Intervention Logic (IL) and the one illustrated in EC policy & strategy documents (the CSPs).

#### *Sectoral classification*

In view of reconstructing the IL, EC interventions (from programmable and non programmable sources) have been classified by macro-sector and sub-divided in micro-sectors (see Table 5.2).

The macro-sectors constitute the main areas of EC intervention as they emerge from policy and programming documents. Their definition corresponds to the analysis of the intervention logic. The micro-sectors represent further sub-sectoral disaggregations. The classification by micro-sector has been done based on the specific areas of intervention identified in the policy documents and on the content of the inventory<sup>117</sup>.

**TABLE 5.2: LIST OF MACRO & MICRO SECTORS**

<b>Social Services</b>	<ul style="list-style-type: none"> <li>• Health</li> <li>• Education</li> </ul>
<b>Trade and Economic Development</b>	<ul style="list-style-type: none"> <li>• Private Sector Development (PSD)</li> <li>• Institution Building</li> <li>• Regional Infrastructure</li> </ul>
<b>Natural resource Management</b>	<ul style="list-style-type: none"> <li>• Global</li> <li>• Forest</li> <li>• Water and Sanitation</li> <li>• Renewable energies</li> <li>• Biodiversity</li> <li>• Climate Change</li> </ul>
<b>Sustainable Rural Development</b>	<ul style="list-style-type: none"> <li>• Local Economic Development (LED)</li> <li>• Institution Building</li> <li>• Waste Management</li> </ul>
<b>Governance and Democracy</b>	<ul style="list-style-type: none"> <li>• CSO</li> <li>• Vulnerable groups: Women, children and youth, refugees</li> <li>• Marginalised Groups: minorities</li> <li>• Security</li> <li>• Elections</li> <li>• Institution Building</li> </ul>

<sup>115</sup> The list of projects included in the Inventory is presented in Annex III

<sup>116</sup> In subsequent phases of the evaluation.

<sup>117</sup> The titles of the interventions, and when needed additional information gathered via Internet, were the main references.

## 5.4. EC COOPERATION WITH ECUADOR

### Global allocations

Over the evaluation period, the EC committed more than €53.4 billion in development cooperation worldwide<sup>118</sup>. The Latin American Region benefited of an overall 5% of total EC commitments (regional, sub-regional and bilateral cooperation), amounting to €2.8 billion<sup>119</sup>. The Andean region (sub-regional and bilateral cooperation) benefited from €847M<sup>120</sup>, accounting for less than 1.6% of EC global aid.

The European Commission committed €221.9 M (bilateral funds committed under ALA & DCI-ALA and under Thematic budget Lines) in Ecuador and disbursed €204.8M<sup>121</sup>.

Ecuador accounts for 7.9% of EC financial commitments in Latin America and almost 26.2% of financial commitments in the Andean region. Among Andean countries, Bolivia was the one that benefited the most of EC development initiatives (34%).

**TABLE 5.3: EC COMMITMENTS: RELATIVE AMOUNT COMPARED TO GNI, AND CENTRAL GOVERNMENT CURRENT EXPENDITURE, 2003-2008**

Indicator Name	2003	2004	2005	2006	2007	2008
<b>GNI (\$M)*</b>	27,108	30,740	35,245	39,813	43,742	53,088
<b>Current expenditure Central Government (\$M)</b>	3,693	4,103	4,720	5,342	6,000	8,485
<b>EC Commitments (\$M)*</b>	29	56	38	15	62	56
<b>EC Commitments (% GNI)</b>	0.11%	0.18%	0.11%	0.04%	0.14%	0.10%
<b>EC Commitments (% CECG)</b>	0.79%	1.36%	0.82%	0.29%	1.04%	0.66%
<b>EC Committed Amount (per capita), (current US\$)</b>	2.27	4.33	2.95	1.17	4.66	4.13
<b>Remittances (per capita)***</b>	128	142	188	222	232	210

\* Source: World Bank Development Indicators

\*\* Source CRIS; Overall EURO amount has been converted in USD \$ exchange rates collected from the IMF publication "International Financial Statistics" for 2010

\*\*\* Source: World Bank Development Indicators

### Programmable vs. non programmable aid

The present evaluation will be focused on the bilateral programmable aid, represented by the geographic instrument ALA and DCI-ALA.

Over the years, the trend in EC development assistance fluctuates, reaching the peak in 2007 with more than €45.4M and in 2004 with more than €45M.

**TABLE 5.4: EC COMMITMENTS, BY GEOGRAPHIC AND HORIZONTAL BUDGET LINE, (€M), 2003-2010**

Budget Line	2003	2004	2005	2006	2007	2008	2009	2010	Total
<b>ALA / DCI-ALA</b>	17.00	37.68	26.00	-	41.62	33.60	0.14	-	<b>156.04</b>
<b>Horizontal/thematic Budget Lines</b>	8.74	7.37	4.95	12.28	3.83	4.43	8.77	15.56	<b>65.93</b>
<b>Grand Total</b>	<b>25.74</b>	<b>45.04</b>	<b>30.95</b>	<b>12.28</b>	<b>45.44</b>	<b>38.03</b>	<b>8.92</b>	<b>15.56</b>	<b>221.96</b>

Source: Own elaboration based on CRIS data

<sup>118</sup> The overall amount of EC commitments (Budget & EDF) to development cooperation is based on CRIS extraction relating to all financing decisions issued during the evaluation period (2003-2010). It should be highlighted that this amount includes also global allocations assigned by the EC for thematic budgetary lines, without prior geographical allocation. Therefore, it should be assumed that the funds that appear allocated to Latin America (all cooperation levels) and the Andean region (all cooperation levels) lack from thematic allocations assigned via these global thematic allocations.

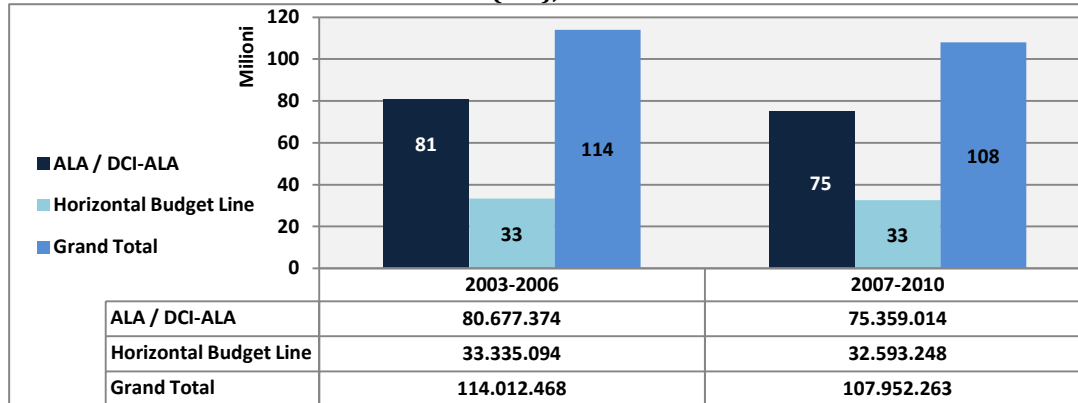
<sup>119</sup> This amount includes interventions financed under ALA, DCI-ALA, DCI-Food, DCI-Env, DDH, Education, Food, IFS-RRM, NSI, PP-AP, REH and RRM.

<sup>120</sup> This amount includes interventions financed under ALA, DCI-ALA, DCI-Food, DDH, Food, IFS-RRM, REH and RRM.

<sup>121</sup> Regional Cooperation Programmes within the Framework of the Andean Community and All Latin America Countries (horizontal programmes) are considered aside. All Latin America programmes lack of detailed disaggregated data by country.

In terms of annual distribution, the programmable aid registered a halt in 2009 and 2010, explained by the existence of a second National Indicative programme for the period 2011-2013. On the other hand, the trend of non programmable aid, represented by the Horizontal/thematic budget lines<sup>122</sup>, has been stable over the period, registering an average yearly percentage increase of 0.42%.

**FIGURE 5.1: EC COMMITMENTS, BY GEOGRAPHIC AND HORIZONTAL/THEMATIC BUDGET LINE, AND CSP PERIOD (€M), 2003-2010**

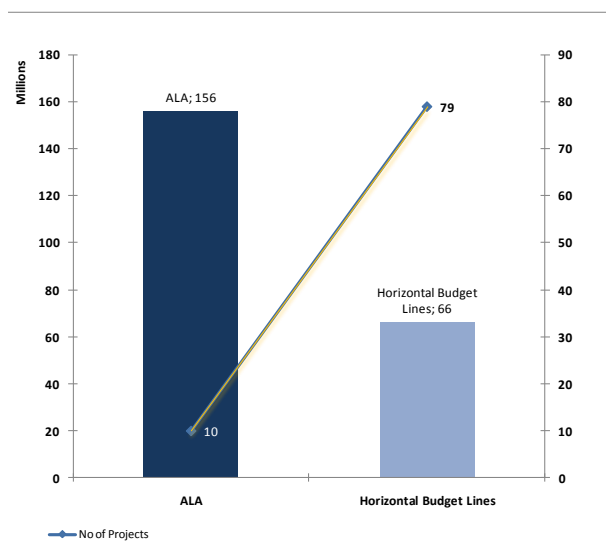


Source: Own elaboration based on CRIS data

Either in the 2003-2006 and 2007-2010 period, the total EC commitments under programmable aid account for 70% of total EC cooperation.

The graph below illustrates the distribution of committed funds, by geographical and thematic budget lines. An amount of €156 M was committed within the programmable instruments (ALA and DCI-ALA); 10 programmes have been financed counting on average for a €14.2 M committed amount. Projects financed under the thematic budget lines (non programmable) were 79, but their size was smaller (an average of €834,500). It appears that programmable aid has applied the principle of sectoral concentration already foreseen in the 2001 MoU and has thus limited the number of interventions, giving more emphasis on the content and on the financial allocation.

**FIGURE 5.2: TOTAL COMMITTED AMOUNT IN ECUADOR BY BUDGET LINE AND NUMBER OF PROJECTS, 2003-2010 (€M)**



Source: Own elaboration based on CRIS data

It is interesting to underline that the size of programmable projects has increased from one programming period to the following one. Programmes financed under the first programming period (four) amount to an average of €20.1 M, while from 2007 to 2010, the EC adopted a new approach, focusing on a Sector approach and supporting two focal sectors: Education and Sustainable Economic Opportunities through Sector Budget Support (SBS). Under the 2007-2010 NIP, two major projects corresponding to two focal sectors have been financed: “Apoyo al Plan Decenal de Educacion” (PAPDE) (€41.2 M) and PASES (€33.4 M). PAPDE and PASES account together for 99% of the total committed amount of 2007-2010 programmable aid and for 75% of total aid committed in the CSP for 2007-2013 (€137 M). The other 4 initiatives financed under the NIP 2007-2010 were minor projects amounting to less than

€ 400,000.

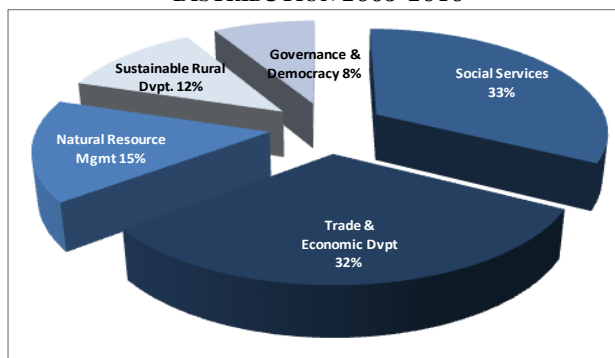
<sup>122</sup> They are considered as non programmable as commitments are demand driven (granted generally via calls for proposals), not included in EC's intended country-specific intervention logic.

For the projects financed under the thematic budget lines, there has been an inverse trend i.e. the number of projects has increased from 29 (2003-2006) to 50 (2007-2010), while the average committed amount declined from €1.5 M to €651,864. The decrease in the average committed amount can be explained by the funding of the PROLOCAL programme (€8.5 M) financed under the food security budget line<sup>123</sup>.

### Thematic allocations

The majority of EC funding has been allocated to Social Services, more than €72.5M, accounting for 33% of total commitments. Trade and economic development ranks second with more than €70.4M. "Social services" encompasses two major projects: PAPDE (education) and PASES (health), corresponding to €69.2M, more than 95% of total contribution to this macro-sector. The "Trade and Economic Development" macro-sector encompasses three major projects: *Programa de Apoyo al Sistema, Social, Económico, Solidario y Sostenible* (PASES) (€33.4M), *Apoyo a la Integración Física Regional / Eje Vial N° 1 Perú – Ecuador* (€26M), *EXPO-Ecuador* (€9.6M). Other minor interventions were financed through thematic budget line: NSA and Migration.

FIGURE 5.3: EC COOPERATION BY MACRO-SECTOR  
DISTRIBUTION 2003-2010



Source: Own elaboration based on CRIS data

In line with the priorities of CSP 2002-2006, Natural resources management constituted a key priority of EC cooperation. The PRODERENA project represents 50% of EC allocation.

The remaining amount has been financed through thematic budget lines ENV and NSA. Within natural resource framework, biodiversity protection, forest preservation and water and sanitation were the most important sectors benefiting of EC support.

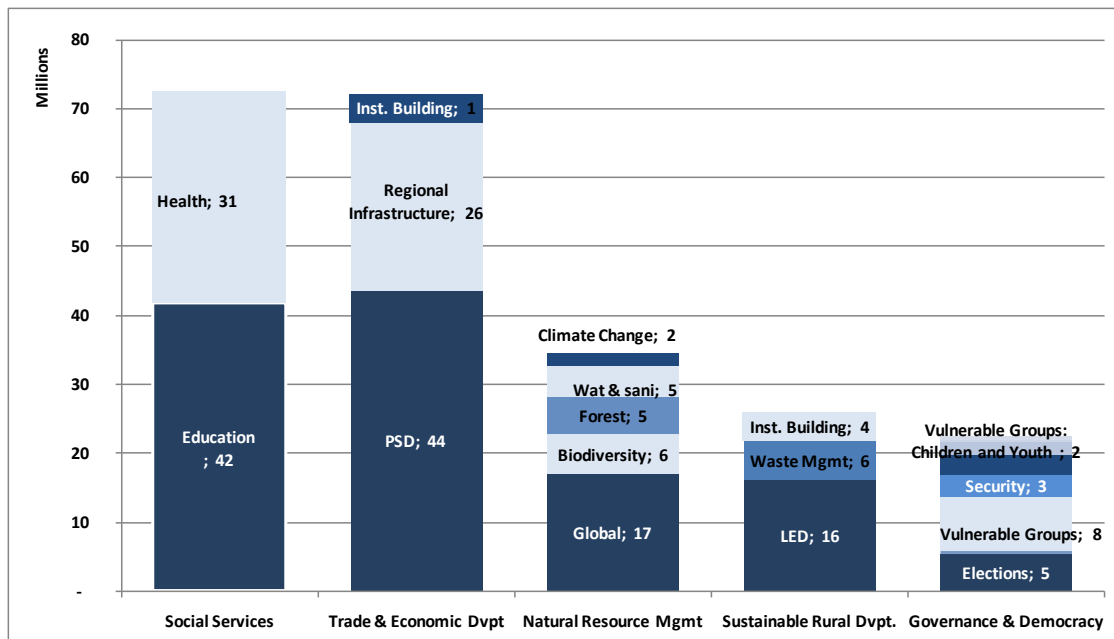
Sustainable rural development benefited of €25.86M. Local Economic development (LED) was the most important sector thanks to the contribution agreement with the World Bank for the PROLOCAL Trust Fund (€8.5M). The remaining initiatives aiming at supporting LED were financed under NSA and ONG-PVD budget lines.

Waste management and institution building account for 15% and 22% of total commitment in sustainable rural development, respectively.

Governance and democracy macro-sector encompasses various categories of interventions, which include protection of marginalized and vulnerable groups. As mentioned in previous paragraphs; indigenous people, Afro-Ecuadorians and refugees from Colombia suffer the most an unequal access to socio-economic services. Following the elections, three Electoral Observatory Missions (EOM) have been financed by the EC, accounting for 30% of total funds allocated to governance and democracy.

<sup>123</sup> PROLOCAL was a 5-year programme funded by the WB, the EC and the Government of Ecuador. The overall objective of the programme was to promote local rural development in the poorest areas of Ecuador, enhance access to social services for the beneficiaries and increase access to the means of production. The EC since 2001 disbursed an overall amount of € 13.4 M. Based on the time frame of this evaluation 2003-2010, the consultants retained only the financing decisions and their relative contracts issued in this period. Therefore, the overall amount committed by the EC between 2003-2010 to PROLOCAL amounts to €8.5M.

FIGURE 5.4: EC COOPERATION BY MACRO AND MICRO SECTOR DISTRIBUTION, 2003-2010



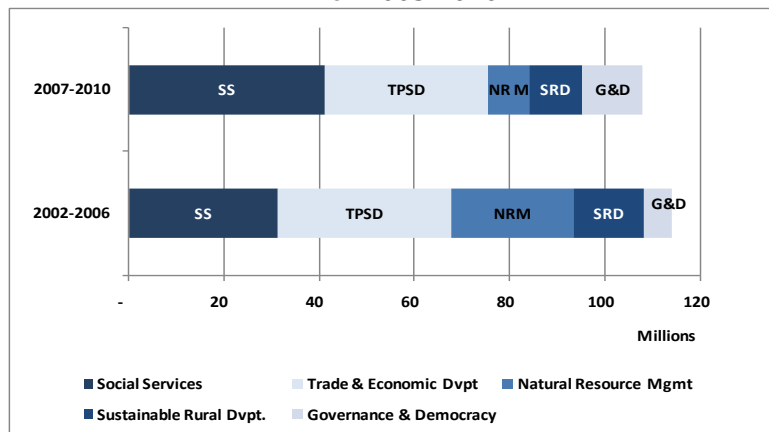
Source: Own elaboration based on CRIS data

Comparing the sectoral distribution over the two programming periods, social services recorded a 24% increase in 2007-2010, while for Trade and Economic Development there has been a decrease of €2M. In spite of this diminishing committed amount, the funds allocated to economic development (SMEs) almost tripled from €9.6 M to €34 M.

As mentioned before, natural resource management and environment do not constitute a focal sector of 2007-2010 NIP. The shift in EC priority impacted on committed funds allocated to the NRM sector, which decreases by €16 M.

In the second programming period, a €7 M rise in committed funds to the “Governance and Democracy” sector reflects the allocation to the Electoral Observatory mission and the deployment of the IFS instrument to ensure security in the Northern border of the country.

FIGURE 5.5: EC COOPERATION BY MACRO-SECTOR DISTRIBUTION AND BY PERIOD 2003-2010



Source: Own elaboration based on CRIS data

## By aid modality

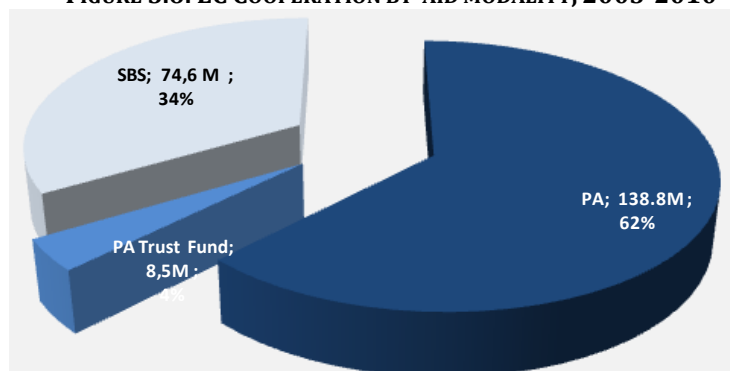
Following 2007 and the issuing of the new CSP 2007-2013, the proposed EC response strategy was based on two axes: the provision of support to national policies and concentration of cooperation. Within this framework, sector budget support (SBS), in the field of education and economic opportunity generation, was deployed by the EC for the first time in the country.

SBS corresponds to one third of total aid committed in the evaluation period, i.e. €74.5M, and it was allocated through two programmes: "PAPDE" and "PASES".

The release of the "Plan Decenal de Educacion 2006-2015" in 2006 and the National Development Plan "Plan Nacional para el Buen Vivir" in 2009 led to SBS being considered as the preferred aid modality delivery.

More than €138M was allocated through project approach. Nonetheless, in the period corresponding to the NIP 2010-2013, the fund allocated through PA was less than one third (€33.3M) compared to the prior financing period (€105.5M).

FIGURE 5.6: EC COOPERATION BY AID MODALITY, 2003-2010



Source: Own elaboration based on CRIS data

## By instrument (budget line)

In terms of financing instruments, the geographical instruments ALA<sup>124</sup> and DCI-ALA<sup>125</sup> represent 70.3% of total EC commitments. Non State Actors related-budget lines, including ONG PVD and DCI-NSAPVD<sup>126</sup>, amount to 10.3% of total EC Commitment (€23M).

DCI-ENV<sup>127</sup> and ENV budget lines reached together more than €17M, accounting for €9.6M and €7.4M, respectively.

It is worth mentioning that one project has been financed under the Instrument for Stability<sup>128</sup>: "Strengthening Human Security on

TABLE 5.5: EC COOPERATION BY FINANCING INSTRUMENT 2003-10 (€)

	Financing Instruments	Grand Total
Geographic Instrument (programmable aid)	ALA	80,895,879.39
	DCI-ALA	75,340,508.28
	<b>Sub-total</b>	<b>156,236,387.67</b>
Thematic Instruments (non programmable aid)	ONG-PVD	14,086,103.56
	DCI-ENV	9,666,887.20
	DCI-NSAPVD	8,918,954.32
	FOOD	8,500,000.00
	ENV	7,404,419.60
	EIDHR	4,726,358.52
	IFS-RRM	3,000,000.00
	EOM	2,822,114.00
	SANTE	2,740,999.00
	DDH	1,697,343.69
	DCI-HUM	1,454,176.90
	MIGR	636,350.60
	CDC	74,635.35
	<b>Sub-total</b>	<b>65,728,342.74</b>
<b>Grand Total</b>	<b>221,964,730.41</b>	

Source: Own elaboration based on CRIS data

<sup>124</sup> Council Regulation (EEC) No 443/92 of 25 February 1992 on financial and technical assistance to, and economic cooperation with, the developing countries in Asia and Latin America.

<sup>125</sup> Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation.

<sup>126</sup> Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation.

<sup>127</sup> Regulation (EC) No 1905/2006.

<sup>128</sup> Regulation (EC) No 1717/2006 of the European Parliament and of the Council of 15 November 2006 establishing an Instrument for Stability.



the Northern Border Area of Ecuador”, programme implemented by GIZ <sup>129</sup>to reduce violence and insecurity in the Northern border of Ecuador affected by the impact of the Colombian guerrilla.

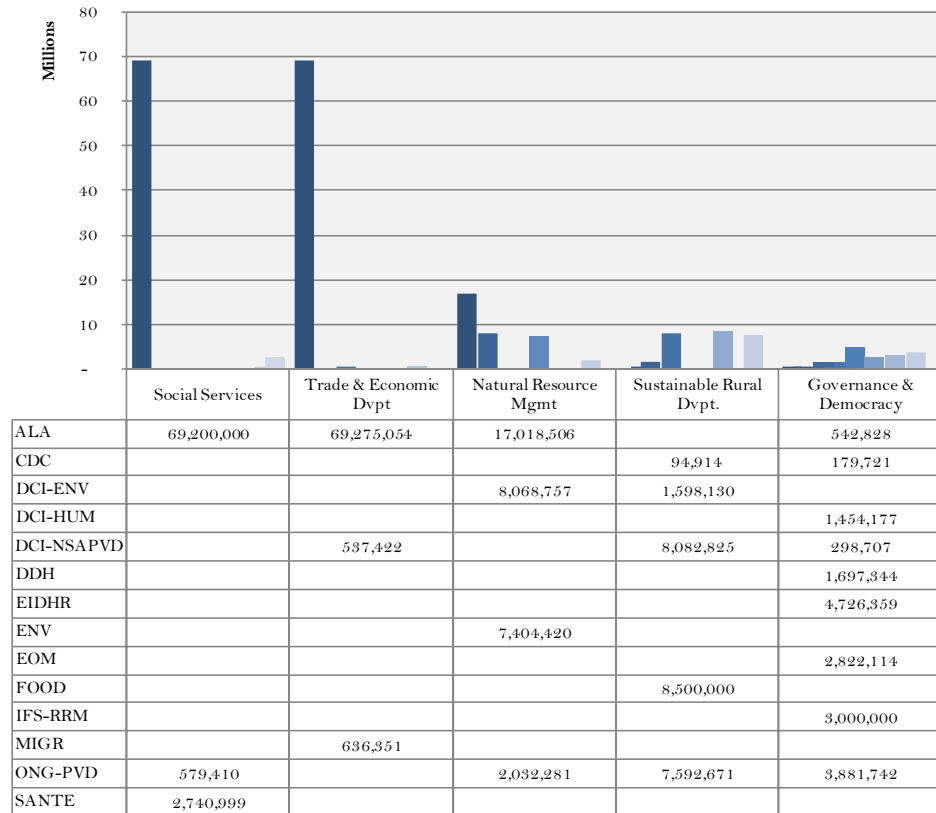
Figure 5.7 below illustrates the sectoral distribution by budget line. Social services and Trade and economic development were mainly financed through programmable instruments (ALA & DCI-ALA), being the focal areas of EC cooperation both in the 2002-2006 and 2007-2010 NIPs.

Being a focal sector in the first programming period, “Natural Resource management”, and in particular the PRODERENA

programme, was financed under ALA. Nonetheless, more than €17.5M has been funded through thematic budget lines, namely ENV and DCI-NSAPVD.

The Macro Sectors Sustainable Rural Development and Governance and Democracy have been financed exclusively through horizontal budget lines, except for €542,000, committed to capacity building and institutional strengthening of governmental institutions in G&D.

**FIGURE 5.7: SECTORAL DISTRIBUTION BY BUDGET LINE, 2003-2010 ;( € )**



Source: Own elaboration based on CRIS data

## 5.5. EC COOPERATION WITH THE ANDEAN COMMUNITY (SUB REGIONAL LEVEL)

On top of EC specific interventions in the country, Ecuador benefited from EC sub-regional interventions (Andean Community). During the evaluation period (2003-2010), an amount of €37.2M<sup>130</sup> were allocated at sub-regional level<sup>131</sup>.

<sup>129</sup> Since the 1st January 2011, GTZ, the German technical Cooperation was merged with DED the German Development Service and InWent Capacity Building International and they turned into GIZ as a federally owned enterprise which supports the German Government in achieving its objectives in the field of international cooperation.

<sup>130</sup> All relevant data relating to sub-regional Cooperation have been downloaded from CRIS database. The inventory is in Annex V

<sup>131</sup> The list of projects included in the Inventory is presented in Annexes III and IV

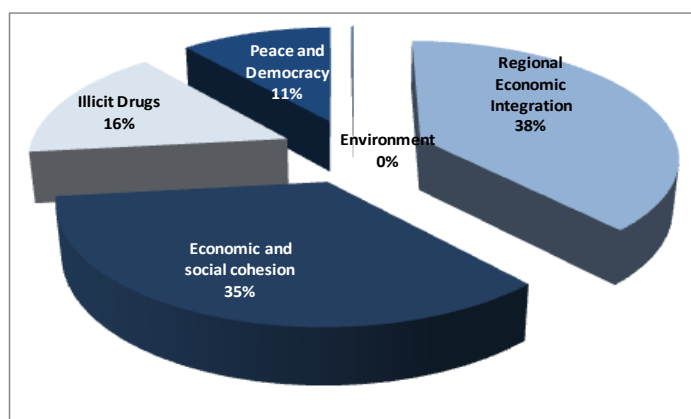
In line with the priorities identified in the RSP 02-06 and 07-13 and on the basis of the inventory analysis, Regional Economic Integration and Economic and Social Inclusion were the most financed areas, €14.1M and €13M, respectively. Capacity Building and Institutional strengthening of the various Andean Community Institutions were of main concern, accounting for more than 46% of the total committed aid.

Regional Economic Integration interventions encompass programme components related to assistance to the negotiation strategy in view of an Association Agreement with the EC.

The fight against illicit drugs amounts to €5.8M. Two major projects have been financed: DROSICAN “*Apoyo a la Comunidad Andina en el Área de Drogas Sintéticas*” and PRADICAN “*Apoyo a la Comunidad Andina en la lucha contra las Drogas Ilícitas*”. It should be stressed that Ecuador is not a coca producer but rather a transit country and especially a money laundering destination. Except for these two programmes, there were not any other initiatives related to drugs.

The Peace and democracy sector was financed under the SOCICAN programme, which main objective was to strengthen peace and democracy within the Andean area, enhancing the participation of civil society organisations.

**FIGURE 5.8: EC COOPERATION WITHIN THE ANDEAN COMMUNITY FRAMEWORK, BY SECTORS OF INTERVENTION; 2003-2010**



Source: Own elaboration based on CRIS data

#### BOX 2 : THE SUB-REGIONAL COOPERATION FRAMEWORK

The 5<sup>th</sup> Meeting of the Andean-European Joint Committee held in February 1999 resolved to concentrate the sub-regional co-operation on the following priority areas: strengthening of the Common Market, development of the Andean Community Institutions and the Social Agenda.

In line with this decision, the EC objectives for cooperation with the Andean region, as stated in the Regional Strategy paper for 20022006 (financial envelope of some €29 M) focused on:

- i. Strengthening the process of Andean integration, by supporting all players, improving the Andean Common market and supporting the international projection of CAN as a global economic player
- ii. Support for the aim of an Andean peace zone, by supporting resources management and natural disasters prevention and the fight against illicit drugs.

These priorities are then maintained in the subsequent Regional Strategy paper for 2007-2013 (financial envelope of €50 M), focuses cooperation on:

- i. Regional economic integration to *enhance the degree of regional economic integration, i.e. to establish a fully functioning Andean Common Market and to facilitate EU-CAN negotiations for an Association Agreement*, including a free trade agreement.
- ii. Social and economic cohesion, and
- iii. The fight against illicit drugs.

## 5.6. EC COOPERATION WITH ECUADOR VIA REGIONAL HORIZONTAL PROGRAMMES (ALL LATIN AMERICA<sup>132</sup>)

During the evaluation period, overall regional cooperation commitments amounted to €415.9M. Since 2003, Ecuador took part to all the Horizontal Programmes. Nevertheless, due to the lack of comprehensive and satisfactory disaggregated data by country, it has not been possible to identify the precise financial commitments allocated to Ecuador<sup>133 & 134</sup>.

On the basis of the analysis of the Inventory for Regional programmes, three macro-sectors have been identified: Mutual Understanding, Regional Integration and Social and territorial cohesion.

*i. Mutual Understanding* mainly includes the Higher Education sector and specific projects like ALFA, ALBAN and Erasmus Mundus. Higher education accounted for almost 30% of total EC cooperation in the area.

- The ALFA programme began in 1994 and sought to reinforce cooperation in the field of Higher Education. During the evaluation period, ALFA II (2000-2005) and the third phase of Alfa (2007-2013) were financed.
  - Under ALFA II, the EC financial contribution to the activities carried out by the 24 projects in which Ecuador participates is €5.5M. The average EC contribution per project is approximately €247,376<sup>135</sup>.
  - Under ALFA III (in the context of the 1st Call for proposals), the EC financial contribution to the activities carried out by the 4 projects (out of 14) in which Ecuador participates is € 9M, which represents on average 10.6% of total ALFA Commitments<sup>136</sup>.

*ii. Regional integration.*

- Al-Invest is a regional programme aiming at promoting economic development, enhancing business-to-business relations between SMEs in Latin America and European Countries. Al-Invest focuses on creating sectoral meetings to stimulate direct contact between the SMEs.

The AL-INVEST III (2004-2007) "Enhancing commerce between SMEs" aimed at promoting long-term cooperation between SMEs in both the EU and Latin America.

- The third phases of AL-INVEST involved the participation of three Ecuadorian centres: the Industrial chamber of Pichincha, the Centre for Exports and Investment Promotion (CORPEI) and the Chamber of Commerce of Guayaquil.

The Guayaquil Eurocentro led 21 projects out of 525 (approx. 4%). Moreover, Ecuadorian companies collaborated to 152 activities involving 1,636 companies. The value of the contracts signed between European and Ecuadorian enterprises amounts to €58,708,228. These business to business agreements included above all

<sup>132</sup> The interventions funded under regional cooperation were mainly managed at centralised level in EC Headquarters.

<sup>133</sup> The total amounts of committed funds to initiatives implemented at regional level are based on the data extracted from CRIS. The relevant amount comprised all the financing decisions benefiting all Latin American Countries issued between 2003 and 2010. Due to the lack of precise disaggregated data at national level, an estimate of total funds allocated to each country is problematic and imprecise. In order to identify the projects and initiatives implemented in Ecuador, country briefings, produced by EC HQ, on regional cooperation programmes have been used. Nonetheless, the Programme Reviews managed by the Unit responsible for centralized operations in Latin America do not provide detailed financial information relating to the projects.

<sup>134</sup> Furthermore, the great part of regional interventions aim at creating networks and strategic partnerships of public and private actors in both Latin America and European Countries; one project therefore encompasses more than two institutions from various countries.

<sup>135</sup> EC Latin America Centralised Operations Unit "Participation of Latin American countries in the regional programmes. Ecuador Country Briefing" July 2008.

<sup>136</sup> EC Latin America Centralised Operations Unit "Participation of Latin American countries in the regional programmes. Ecuador Country Briefing" July 2010.

primary fruit products (plantain and banana in particular), fish and shellfish, cocoa and its products, textiles, electronics and construction.

According to the Evaluation of the 3rd phase, the *Cámara de industriales de Pichincha* managed 25 projects and the *Corporación de promoción de exportadores e inversiones - CORPEI* managed 32 (€182,285).

The fourth phase of the AL-INVEST (2009-2012) is implemented through 3 groups of business organisations (consortia) belonging to three distinct geographical areas of Latin America: the Andean Region, the Central America-Mexico-Cuba; MERCOSUR- Chile –Venezuela. The Andean Region is represented. The AL-INVEST IV project "*Institutional Co-ordination for the Internationalisation of SMEs from the Andean Community*" is implemented by a consortium of business organisations led by the Bolivian Chamber of Commerce, Services and Tourism of Santa Cruz (CAINCO).

- In Ecuador 6 organisations implement the Phase IV of Al-INVEST: Chamber of Industry of Cuenca; National Chamber of Manufacturers of Bodyworks; CORMIPYME; Ecuadorian Federation of Exporters; Ministry of Industry and Competitiveness; PROIMBABURA.
- Under Regional Integration sector, the EC also financed "*Alliance for Information Society*" (@LIS). The programme aims at reducing the digital divide between Europe and Latin America, integrating Latin America into a Global Information Society, and to create long-term partnerships between the two regions. @LIS encompassed two phases: a first phase (2001-2007) counted for a total €77.5M, of which €63.5m (approx 82%) was financed by the EC, while the second phase amounts to €31.25M, of which 22 M€ (70.4%) were funded by the EC. The activities of the programme were organised around three areas of intervention: dialogues, networks and demonstration projects.
  - Between 2001 and 2007, 2 Ecuadorian institutions participated to horizontal actions: the CEDIA (*Consortio Ecuatoriano para el Desarrollo de Internet Avanzado*) which was involved in the Research network, and the CONATEL(*Consejo Nacional de Telecomunicaciones*) which was implicated in the network of regulators. Moreover, the Ecuadorian participation to the implementation of demonstration projects was particularly high. In total, 107 Latin American partners participate in @lis demonstration projects, approx. 9% of the members are from Ecuador.
  - The third Programme under Regional integration sector is the Latin America Integration facility (LAIF), created in 2010 and accounting for €34.8 M. LAIF is a financing mechanism aiming at mixing grants (non refundable financial contributions from the European Commission and other donors) with loans of multilateral or bilateral public European Development Finance Institutions and Regional Latin American Banks. The programme's purpose is to mobilise additional financing to support investment in Latin America, encouraging beneficiary governments and public institutions to carry out essential investment, which could not be financed otherwise by the market or by the development financial institutions alone.
- iii. Within the framework of "*Social Territorial Cohesion*" several programmes were financed: EuroSociAL (two phases)<sup>137</sup>; URB-AL (two phases); EuroSolar, EuroClima and COPOLAD.
  - The general objective of EUROsociAL is to increase the level of social cohesion in Latin American societies, focusing on specific areas: education, health, administration of justice, fiscal policy and employment. The programme promotes the exchange of experiences concerning the above-mentioned policies between public administrations of the EU and Latin America.

<sup>137</sup> The second phase is in its inception stage, but the country's priorities for intervention, at least for the first year, are already known.

- Under the first phase of EUROsociAL, 67 Ecuadorian institutions took part in 160 activities, which involved 473 participants<sup>138</sup>.
- URB-AL is a decentralised cooperation programme directed at local communities of the EU and Latin America as well as at other actors involved in the urban sectors. URB-AL (II phase, 2002-2007) consists of thirteen thematic networks co-ordinated by a single local authority. All local actors who wished to co-operate on a given theme, could participate in a corresponding network, which served as a focal point and forum for discussion. URB-AL (III phase, 2008-2012) aims at increasing the level of social and territorial cohesion through 20 programmes (€50 M).
  - Under URB-AL II, out of the six cases where a thematic network was coordinated by a Latin American local authority, Ecuador did not coordinate any of these networks.
  - As of July 2010, and within the framework of URB-AL I and II, 188 joint projects had been selected, of which 56 counted with the involvement of an Ecuadorian partner (30% of the projects).
  - Under URB-AL III, Ecuador participates in 4 out of the 20 programmes:
    - *"Gente diversa, gente equivalente: Hacia una convivencia ciudadana en igualdad"*, in which Quito is one of the three partner cities. The committed amount is €1,5M.
    - *"La basura sirve: Reducción, Reciclaje, Recuperación de residuos y Concientización Medio Ambiental para la construcción de cohesión social en América Latina"*, in which the Azuay and Sucumbio provinces are involved.
    - *"Integration - Desarrollo urbano integrado"*, in which Quito participates.
    - *"MELGODEPRO: modelo Euro-latinoamericano de gobernanza local para el desarrollo productivo"*. The committed amount is €1,7M.
- The objective of EURO-SOLAR is to promote the use of renewable energy sources. The countries participating in the EURO-SOLAR programme are Bolivia, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Paraguay and Peru. The EURO-SOLAR's beneficiary in Ecuador is the Ministry of External Relations which delegates the implementation to the Ministry of Electricity and Renewable Energy.
  - Prior to 2010, in Ecuador, 91 kits to produce renewable energy have been installed to rural communities with no connection to the electricity grid. The EC contribution to Ecuador amounted to €3.7M.
- EuroClima is a three-year programme accounting for a total EC contribution of €5 M. The specific objective aims at improving knowledge of Latin American decision-makers and the scientific community on problems and consequences of the climate change, particularly in view of integrating these issues into development strategies.
- COPOLAD *"Cooperation Programme on Antidrug Policies"* aims at strengthening capacities and encouraging the process of elaborating anti-drugs policies in Latin American, by improving the dialogue and strengthening the cooperation of the national agencies and other actors charged with global and sectoral anti-drugs policies in the countries of Latin America and the EU. The Programme is planned for 4 years and will have a total budget of €6 M.

<sup>138</sup> EC Latin America Centralised Operations Unit "Participation of Latin American countries in the regional programmes. Ecuador Country Briefing" July 2010.

## 5.7. OTHER DONORS' COOPERATION <sup>139</sup>

Ecuador received a total of \$1,663M<sup>140</sup> commitments from the donor community, including the European Commission, over the period 2003-2010. This amount includes \$1,407 M from other donors between 2003 and 2008 and \$256M from the EC cooperation between 2003-2008.

The table below illustrates the flows of ODA compared to national GNI.

**TABLE 5.6: TOTAL GRANTS ALLOCATED TO ECUADOR, 2003-2008, (\$M)**

Indicator Name	2003	2004	2005	2006	2007	2008
Population*	12,773,494	12,919,359	13,062,507	13,203,038	13,341,817	13,481,424
GNI (current US\$)*	27,108,242,319	30,850,891,250	35,245,295,742	39,813,203,438	43,742,492,891	53,087,690,359
Grants**	241,166,456	320,849,269	271,492,370	245,914,721	308,547,285	264,587,823
Grants (% GNI)**	0.89%	1.04%	0.77%	0.62%	0.71%	0.50%
Committed Grants (per capita), (current US\$)	18.88	24.83	20.78	18.63	23.13	19.63

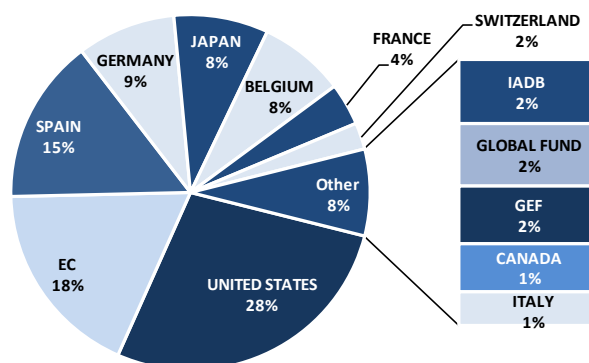
\*World Bank Development Indicators 2010

\*\* Aidata extracted projects and CRIS extracted projects, own calculation

Source: Own elaboration based on AidData.org database, CRIS and World Bank Development Indicators

Among other donors, the one that contributed the most was the United States, which committed more than \$446 M accounting for 27% of total donors' assistance. On the basis of the inventory created, the EC is the second largest donor, pledging \$256.8M. Spain ranks three, contributing with more than \$240M, while Germany, Japan and Belgium follow at some distance with less than \$150M respectively.

**FIGURE 5.9: OTHER DONORS' ODA, INCLUDING THE EC (COMMITTED AMOUNT, EXCLUDING LOANS), 2003-2010**



**TABLE 5.7: TOP-TEN DONORS, INCLUDING THE EC, 2003-2010**

	Donor	Committed Amount
1	UNITED STATES	446,336,988
2	EC*	256,781,520
3	SPAIN*	240,865,284
4	GERMANY	143,425,939
5	JAPAN	137,702,668
6	BELGIUM	125,247,196
7	FRANCE	61,719,109
8	SWITZERLAND	38,733,170
9	IADB	30,300,000
10	GLOBAL FUND	30,163,171

Source: Own elaboration based on AidData.org database

<sup>139</sup> Data has been extracted by AidData.org Tracking development Finance. The website provides comprehensive information relating to development finance. Statistics in AidData are compiled from a range of official sources, including the OECD Creditor Reporting System (CRS) database, donor annual reports, project documents from both bilateral and multilateral aid agencies, and data gathered directly from donor agencies. In the processing of data, loans and equity investments have not been included. Only ODA grants constitute the object of analysis of the present paragraph. It must be noted that data are missing for 2009 and 2010 as they have not been registered yet or included in Aid Data's database.

<sup>140</sup> The overall amount of International Donor Community cooperation has been estimated using data from AidData.org database for EU member States, while for EC cooperation figures come from CRIS. To convert the total amount of EC cooperation (expressed in EUR), the exchanges rate collected from the IMF publication "International Financial Statistics" for 2010 was used.

For this reason, data are not accurate. They only aim at providing an overall snapshot of ODA in Ecuador.

Between 2003-2008 on the whole, the EU Member States' cooperation totalled \$623.82M accounting for 43% of total aid. Taking into account the overall EU cooperation (EC and EU MS), their financial assistance to Ecuador amounted to more than \$880.6M, accounting for almost 53% of total ODA<sup>141</sup>.

Spain is the most important EU MS donor, accounting for more than \$240 M. "Government & CSO" and Education represent the most important sector accounting for \$34.5M and \$33.4M, respectively.

The IADB allocated more than \$ 30 million in ODA grants. Nonetheless, it is important to mention that the IADB pledged more than \$1.72 billion in loans and grants. If considering the total amount of loans and private equity investments, the most important contributor was the *Corporación Andina de Fomento* (CAF), with more than \$3.9 billion<sup>142</sup>.

From a sectoral point of view<sup>143</sup>, other donors' funding was mainly allocated in "Other social infrastructure and services", which includes all initiatives relating to social and welfare services, employment policies, housing policies, culture and recreation, statistical capacity building, social mitigation of HIV/AIDS. Agriculture ranks two out of the most important sectors of intervention, accounting for 10.3% of other donors' assistance (\$144.86M). Initiatives related to Education amount to more than \$139 M (9.9%). The committed amount to education was mainly assigned to secondary and post secondary education, in line with the Government's policy of enhancing the quality of education and improving the enrolment rate in the secondary school.

General Environment protection, which encompasses Environmental policy, biodiversity and site prevention, was one of the priorities of international community's assistance, accounting for more than \$127M.

Another interesting element is the distribution of aid, by sector and by donor.

Two of the main groups of donors have been selected: United States, EU Member States and the European Commission. US assistance is namely concentrated in "Other Social Infrastructure and Services". The US committed more than 50.3% of total allocations (\$224.5M in narcotic control).

EU member States and the EC gave priority to Education, rural development and private sector development. Environment remains a key priority for every donor, accounting for \$60M (EU MS); \$41.8M (EC) and more than \$33.5M for the US

FIGURE 5.10: US' ODA, BY SECTORS. (COMMITMENTS 2003-2008), (\$M)

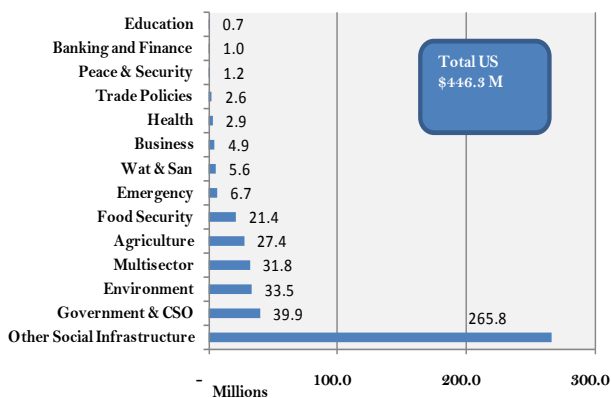
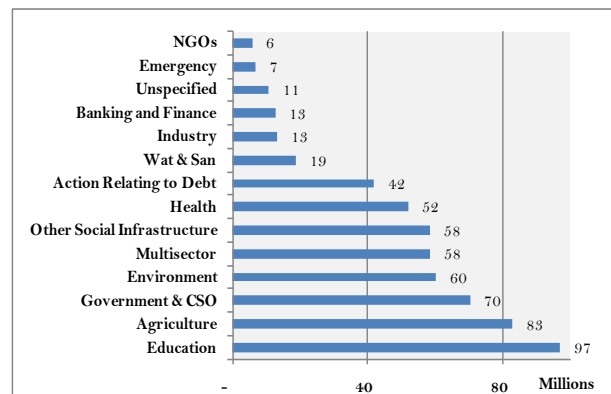


FIGURE 5.11: EU MS, ODA BY SECTORS. (COMMITMENTS 2003-2008), (\$M)



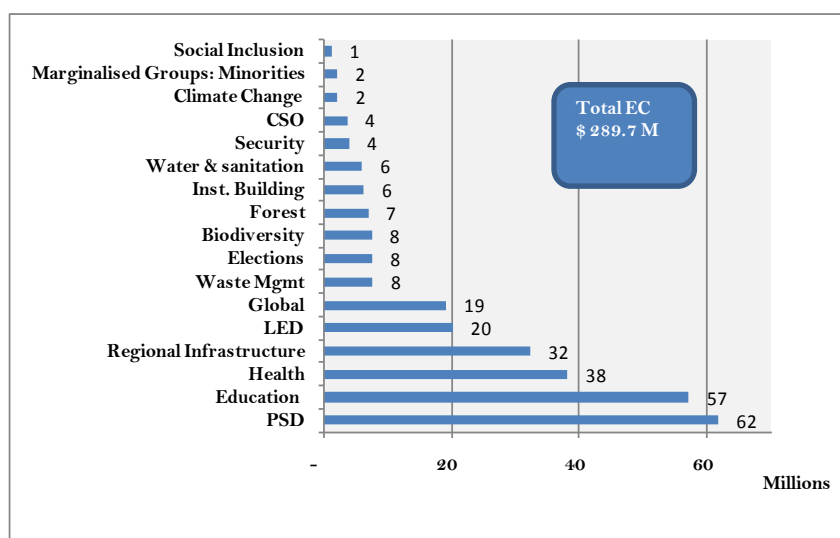
Source: Own elaboration based on AidData.org database

<sup>141</sup> As mentioned before, due to the lack of statistics for 2009 and 2010, only statistics from 2003 to 2008 have been used for the purpose of the analysis.

<sup>142</sup> The CAF is a multilateral financial institution, which provides multiple banking services to both public and private clients. It is the main source of multilateral financing of the Andean region.

<sup>143</sup> The OECD Creditor Reporting System (CRS) database, which is the source of the present chapter, uses the DAC sector codes

**FIGURE 5.12: EC' ODA BY SECTORS. (COMMITMENTS 2003-2010), (\$M)**



Source: Own elaboration based on CRIS database



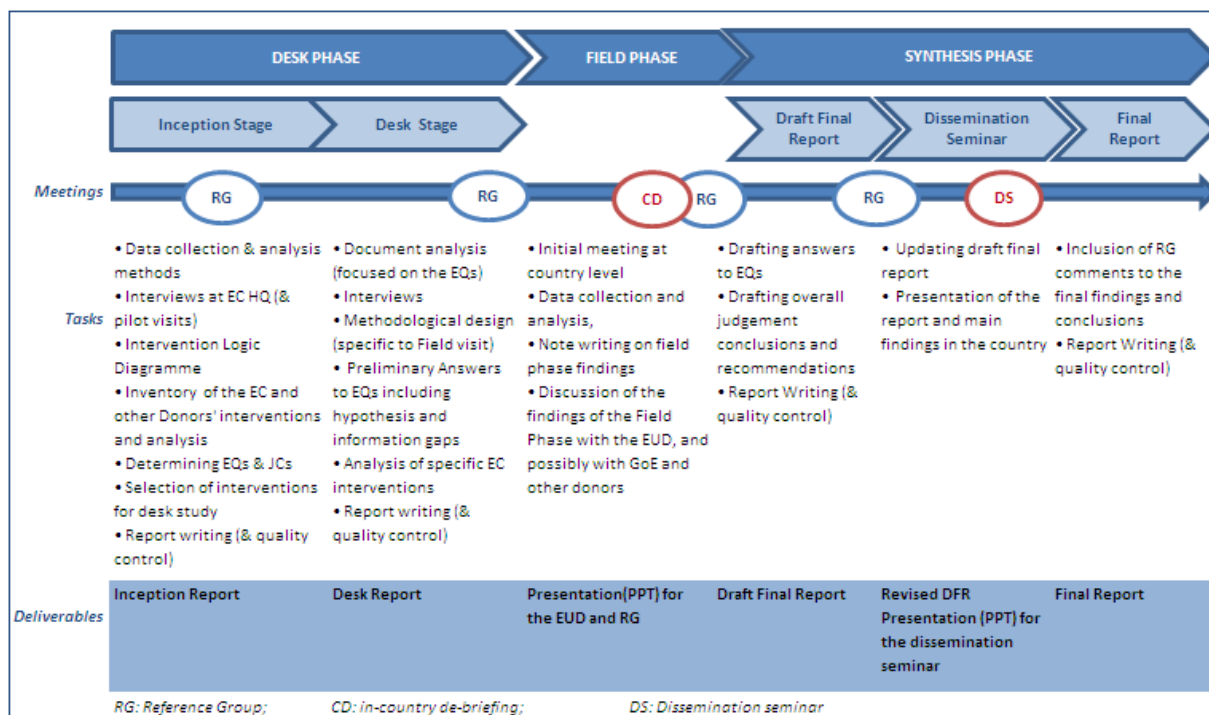
## ANNEX 6: EVALUATION METHODOLOGY

This section presents the main features of the methodological approach followed throughout the evaluation. In particular it focuses on: (i) the evaluation process; (ii) the data collection method; (iii) the approach for data analysis, and (iv) the challenges and limitations of this exercise.

In line with the ToR and based upon the methodology developed by the Evaluation Unit of DG DEVCO-EuropeAid, the evaluation process encompassed three main phases:

1. **Desk Phase, further subdivided in two stages, i.e.**
  - **Inception stage:** structuring of the evaluation by proposing evaluation questions (EQs) and judgment criteria (JCs) as well as a description of the main thrust of the methodological design including indicators to be used, strategy of analysis and detailed work plan).
  - **Desk Stage:** finalization of EQs, JCs and corresponding quantitative and qualitative indicators, initial collection of evidence, first analysis and formulation of elements of answers and hypotheses to EQs.
2. **Field Phase** collection of additional information in the national context leading to validation or refutation of hypotheses formulated during the desk phase.
3. **Synthesis Phase** bringing together the results of the desk phase and field phase in this draft final report).

FIGURE 6. 1: KEY STEPS OF THE ECUADOR COUNTRY-LEVEL EVALUATION



### 6.1. The Inception Stage

During the inception phase, the Deputy Team Leader conducted a preliminary exploratory mission from the 7<sup>th</sup> to the 8<sup>th</sup> of February 2011 in Quito. Throughout the inception phase, more than 20 representatives of EUD in Quito, EEAS staff, national authorities and other donors were interviewed. The objective of the preparatory mission was to introduce to the reference group representatives and other partners the evaluation process, the methodological approach, set a first contact with the EUD and identify - through a participatory approach - the fundamental issues to be addressed during the evaluation.

Following the preliminary analysis of the Commission's strategy and policy documents, the team elaborated the **intervention logic** which represents the hierarchy of objectives and expected effects as expressed in the main strategy documents over the years. As such, it represents the backbone for the evaluation, and outlines the set of objectives against which the EC intervention will be assessed. The IL aims at reflecting the EC overall approach and interventions in an aggregate form and is based on the official documents that set out the EC strategies in the country, in particular the two Country Strategy Papers and related NIPs covering the periods 2002-2006 and 2007-2013.

The intervention logic is presented in the form of five expected effects diagrams:

- **Two faithful effects diagrams** respectively covering the periods 2002-2006 and 2007-2013; the '*faithful effects diagrams*' represent the hierarchy of objectives as it emerges, explicitly or implicitly, from EC overall policy and strategic official documents.
- **Two reconstructed effects diagrams** respectively covering the periods 2002-2006 and 2007-2013; the '*reconstructed effects diagrams*' are based on the faithful effects diagram but are amended: i) to ensure the internal logic of the diagram; and ii) to include all financing instruments, the non programmable interventions (all modalities) and all other activities undertaken by Commission of the European Union even without any financing implication and disbursement of funds (e.g. political and policy dialogue, trade agreements and other trade relations). Sources are therefore not only the CSPs and Indicative Programmes, but also EU-LAC and EU-CAN official documents and declarations; and
- **One synthetic reconstructed effects diagram** for the period 2003-2013, which also includes the positioning of the EQs. The synthetic effects diagram presents the overall Intervention Logic of EC support during the considered period, and highlights the links between the various sectors and their combined contribution to the medium and long-term objectives outlined in the EC Country Strategies.

The diagrams differentiate between six logical levels. These are, from left to right of the effects diagram:

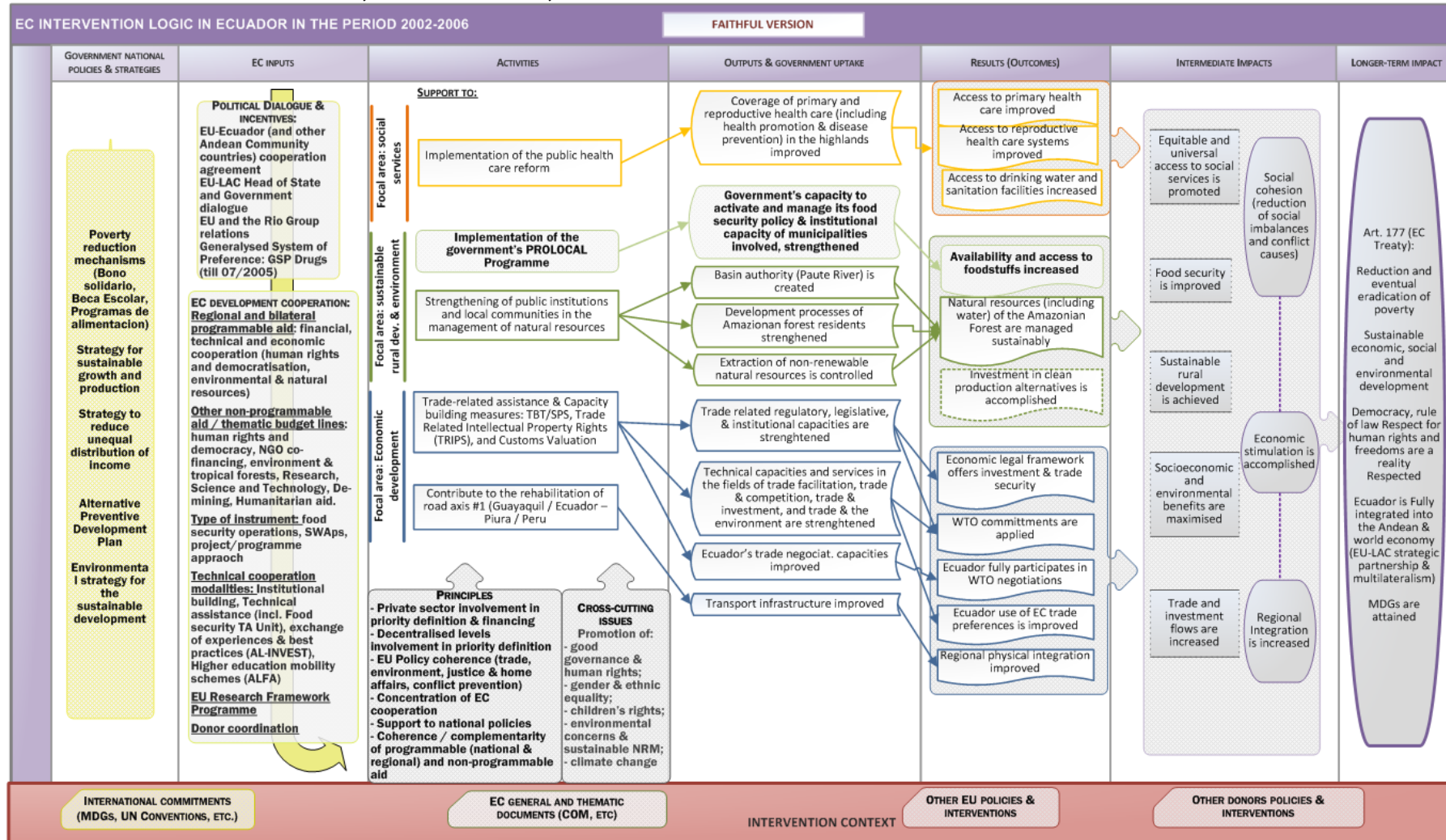
1. **Inputs.** The political, financial, human and material resources and the related instruments used for the development intervention.
2. **Activities.** EC specific support interventions (projects & programmes) put in place to produce outputs.
3. **Induced Outputs.** We consider here both the direct outputs of the EC support and the induced government outputs. The latter are not the direct outputs of the EC support, but the outputs of the government and national / local institutions / organisations, which are supposed to own and be the key users of the EC support. The importance of this distinction will vary according to the different strategies / areas of intervention and might also lead to the inclusion of two separate columns.
4. **Results (Outcomes).** The likely or achieved short-term effects on the social and economic context of a development intervention's output: the specific changes occurred through the contribution of EC support. These correspond to the operational objectives.
5. **Intermediate impacts.** The medium-term expected effects by the intervention on the social and economic context. Two levels are foreseen, these correspond to the intermediate objectives, in the long-medium term and to the specific objectives, in the medium term.
6. **Long-term impacts.** These relate to the longer-term expected effects by the intervention on the social and economic context. These correspond to the global objectives, in the long term.

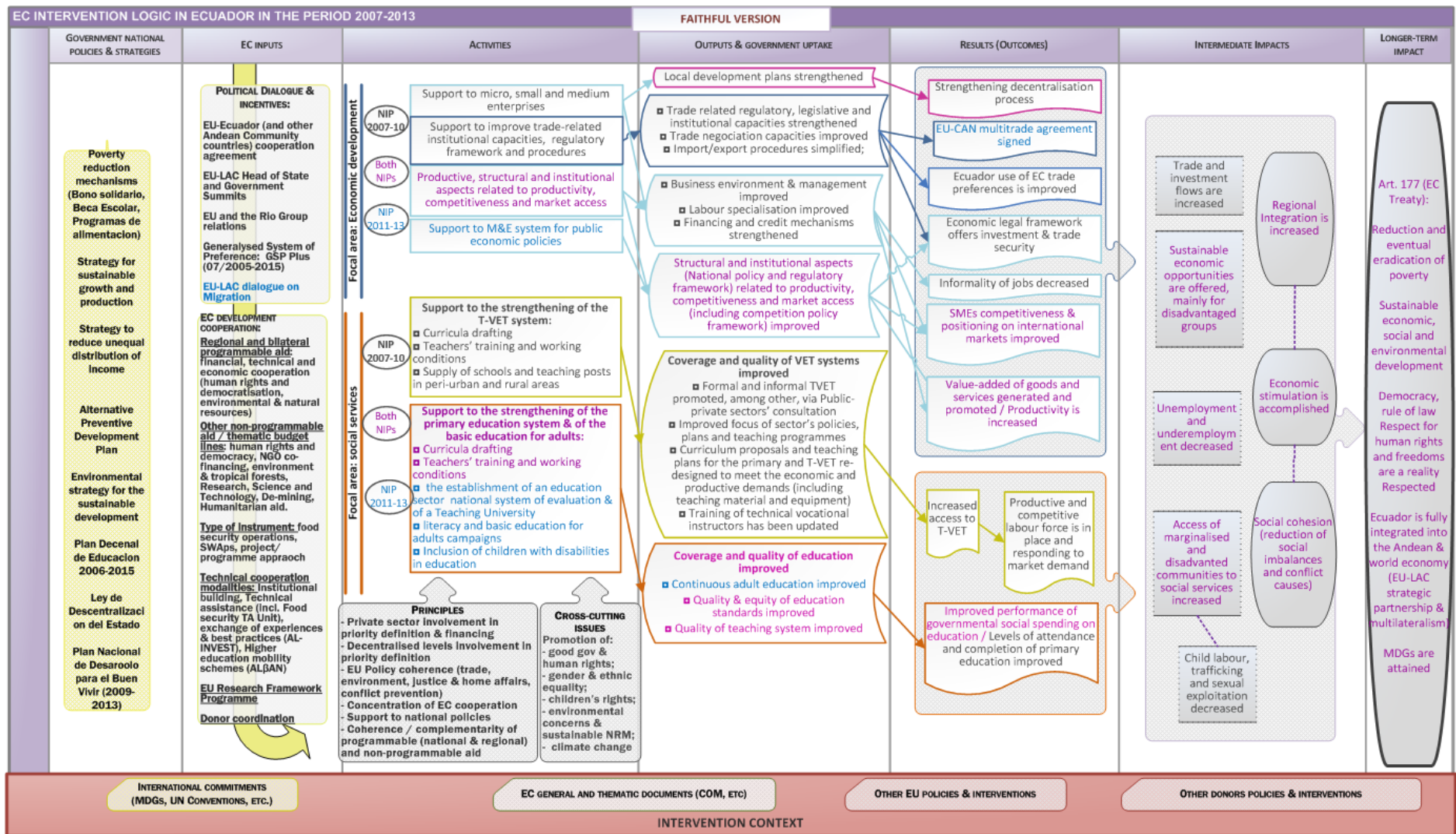
All the diagrams present a box placed at the bottom that encompasses all columns and represents - in a synthetic manner - the overall country framework within which the EC intervenes. This includes:

- Political framework of the relations between the EU, its international partners and the beneficiaries (Treaties, Political Declarations, Joint Communiqués, etc.)
- EU Thematic Policies (mostly related to Commission Communications, Staff Working Papers, Council Communications and Conclusions, etc.)
- EU geographical strategies (medium-long term strategies such as regional Agreements with EU)

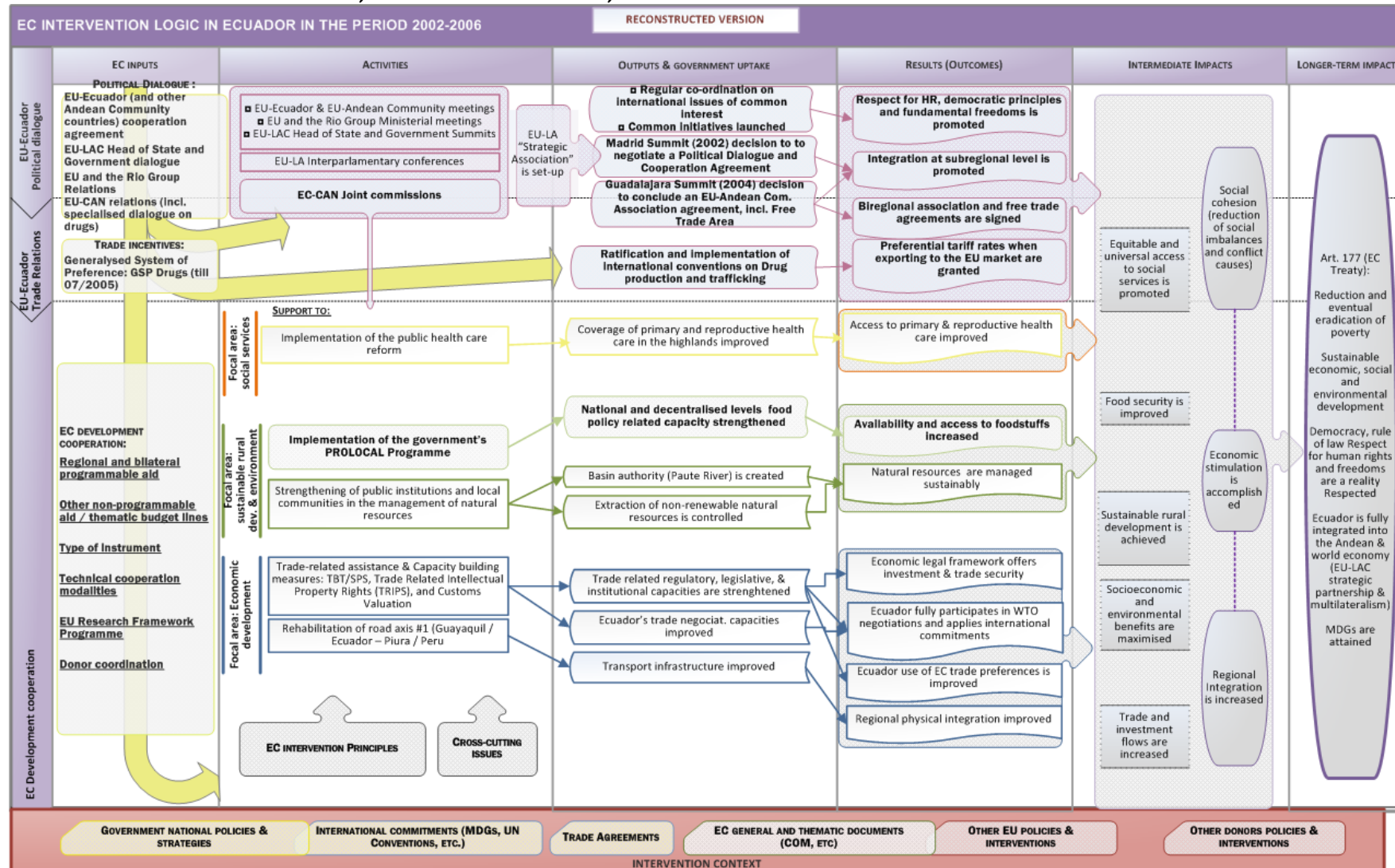
Finally, in the faithful versions, a column was added to show the Governments' national policies and strategies that EC cooperation was expected to contribute to.

**DIAGRAM 1: EC INTERVENTION LOGICS, FAITHFUL VERSION, BY PROGRAMMING PERIOD**





**DIAGRAM 2: EC INTERVENTION LOGICS, RECONSTRUCTED VERSION, BY PROGRAMMING PERIOD**



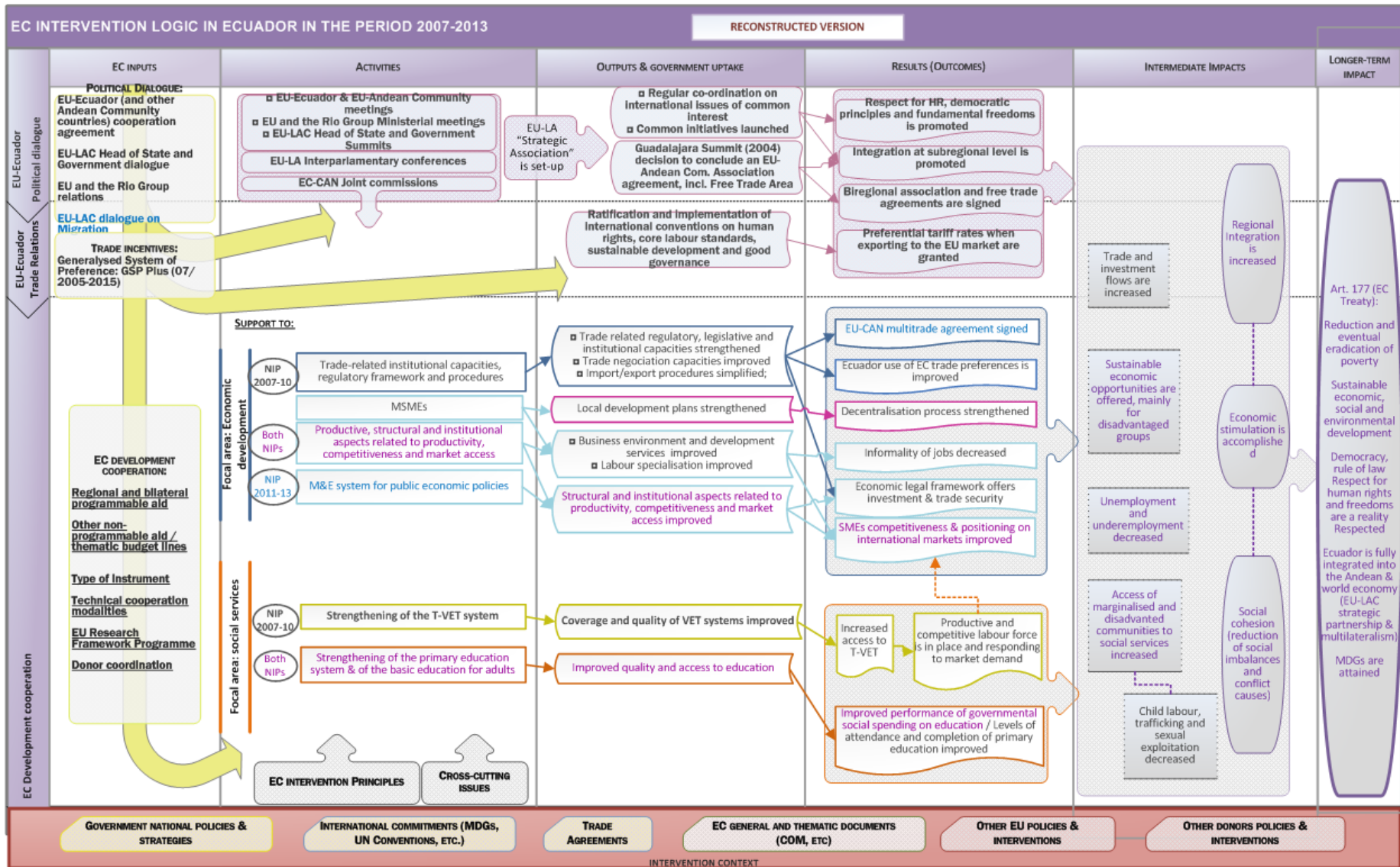
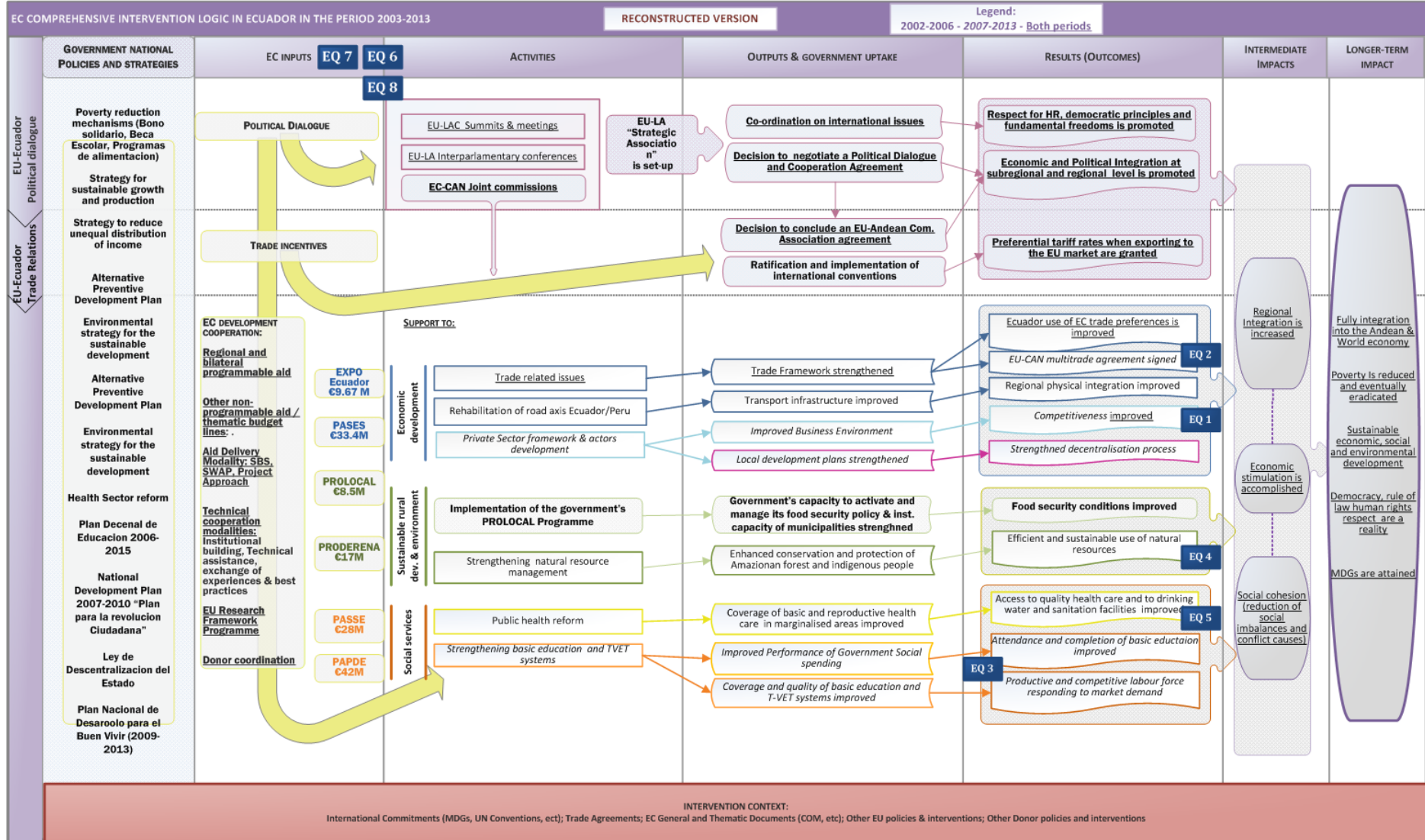


DIAGRAM 3: SYNTHESIS OF EC INTERVENTION LOGIC WITH EQS



Overall, **eight Evaluation Questions (EQs)** were formulated to represent and address the fundamental issues in respect to the strategy, objectives and implementation of the EC cooperation with Ecuador and to assess to what extent the Commission's objectives have been achieved as planned, and how they were achieved. The eight EQs defined by the evaluation team during the inception phase and then endorsed by the Reference Group upon approval of the inception report in June 2011 are summarised in the table below. The full evaluation matrix encompassing the Evaluation Question, along with their Judgment Criteria and corresponding Indicators together with the evidence collected in relation to each indicator is presented in Volume 3.

**TABLE 6.1: LIST OF EQS**

EQ 1	<b>SME POSITIONING ON INTERNAL &amp; EXTERNAL MARKETS</b>	To what extent has EC support contributed and is still contributing to improve the private sector competitiveness and micro-enterprises and SME positioning on internal and external markets?
EQ 2	<b>TRADE &amp; REGIONAL INTEGRATION</b>	To what extent has EC support contributed and is still contributing to the country's integration into the regional and world economy?
EQ 3	<b>EDUCATION</b>	To what extent is EC support contributing to improve equitable access to quality education services for all?
EQ 4	<b>NATURAL RESOURCES MANAGEMENT</b>	To what extent has EC support contributed to improve the sustainable management of natural resources?
EQ 5	<b>HEALTH</b>	To what extent has EC support contributed to improve equitable access to quality health services?
EQ 6	<b>INSTRUMENTS &amp; AID MODALITIES</b>	To what extent has the EC ensured an appropriate mix of instruments (geographic and thematic) and aid delivery methods to achieve its objectives?
EQ 7	<b>BUDGET SUPPORT*</b>	To what extent has the move towards the use of sector budget support, in the two focal sectors of education and economic development, contributed to the improved implementation of policy reforms, including management of public resources, in the two sectors?
EQ 8	<b>3CS, VALUE ADDED &amp; VISIBILITY</b>	To what extent was the EC strategy designed and implemented so as to maximize the EC's comparative advantage and visibility?

\* In line with the recent methodological developments, EQ 7 on budget support has been structured with a view to include elements of the step 1 of the 'Methodology for Budget Support Operations at Country level'. The EQ tackles levels 1 to 3 of the comprehensive development framework as follows:

- level 1 'inputs' through JC 7.1 "*The design of the SBS operations (including the mix of SBS inputs) was tailored to the specific political, economic and institutional context*";
- level 2 'direct outputs', i.e. improvements expected in relation between external assistance and the national budget and policy processes, through JC 7.2 "*SBS operations have contributed to the strengthening of the sector policy framework (policy, managerial and institutional capacities, monitoring systems)*"; and
- level 3 'induced outputs', i.e. positive changes expected in the financing and institutional framework for public spending and public policy, and consequent improvements in public policy management and service delivery, through JC 7.3 "*SBS operations have contributed to improving public financial management (PFM): improved and more transparent practices in PFM at sectoral (and global) level*", and JC 7.4 "*SBS operations have contributed to improve policy implementation, including the use of the budget as a policy instrument*".

Step 1, therefore, does not tackle outcomes (level 4) and impacts (Level 5). These are to some extent treated in EQs 1, 2 and 3, which are formulated as sectoral questions and thereby do not focus on the financing instrument used but rather on the contribution of the interventions to the achievement of results in the given sector.

These eight questions were proposed taking into account key issues and sectors as identified in the ToR and as reflected in the intervention logic diagrams reconstructed on the basis of the analysis of the CSPs and of the inputs provided by the EUD officials. Overall, the EQs reflect: i) the importance of the sector in the EC's overall intervention strategy; ii) the diversity of approaches and aid modalities used to intervene in the various sectors; and iii) the importance of links with government reforms. Links between the EQs and the overall intervention logic are highlighted in Diagram 4.

The selected EQs, besides covering the main focal sectors of the two EC country strategies<sup>144</sup> (CSPs), encompass a broad spectrum of investigation areas: they all evaluation criteria and cover issues such

<sup>144</sup> During the period covered by the evaluation (2003-2010) two CSPs and three NIPs have been elaborated. While the 2002-2006 CSP (and NIP) is a comprehensive document central to the period covered, the 2007-2013 period is covered by one CSP and two NIPs (2007-2010 & 2011-2013).



as the 3Cs and cross-cutting issues (Art 101 of the European Consensus) although these are primarily treated in the framework of the sector EQs rather than through a single dedicated EQ. The Table below provides a schematic overview of the coverage of the evaluation criteria and key issues for each Evaluation Question.

**TABLE 6.2: RELATIONSHIP BETWEEN THE DAC EVALUATION CRITERIA, EC-SPECIFIC ISSUES AND THE EQS**

	EQ 1 SMEs	EQ 2 TRADE & REGIONAL INTEGRATION	EQ 3 EDUCATION	EQ 4 NATURAL RESOURCES MANAGEMENT	EQ 5 HEALTH	EQ 6 INSTRUMENTS & AID MODALITIES	EQ 7 BUDGET SUPPORT	EQ 8 3Cs, VALUE ADDED & VISIBILITY
Relevance	√√	√√	√	√	√√	√	√√	
Efficiency						√√√		
Effectiveness	√√√	√√√	√√√	√√√	√√√	√√	√√	
Impact	√√	√√	√	√√√	√√√		√√	
Sustainability	√√√	√√√	√	√√√	√√√	√√	√√√	
EC value added								√√√
Coherence	√	√√				√√		
3Cs		√√					√√	√√√
Cross-cutting issues	√		√	√√√	√			

√√√ Largely covered

√ Also covered

## 6.2. The Desk Stage

The desk study consisted of a **review of available documentary sources** by the evaluation team (*see the Bibliography in annex 2*) as well as the gathering of information through interviews held with representatives of the EU Delegation in Ecuador carried out in February 2011 and with Commission Headquarters' representatives (*see List of People Met in annex 3*).

Three main categories of information were collected and analysed for the desk study:

- **Background and context information** on the country, the region and the cooperation policy of the Commission. Information necessary to understand the main issues addressed or that should have been addressed by the Commission's support, and to gain an understanding of the evolution of the situation of the country in relation to these issues, so as to form a first idea about the possible contribution of the Commission's support to the observed trends. This work was started during the Inception Phase and then complemented during the Desk study stage with information specifically related to the issues and sectors for which specific evaluation questions / interventions were selected.
- **General information on the Commission's cooperation with Ecuador** such as analysis of Commission's strategy and programming documents, alignment with the GoE's policies, inventory of Commission's funding, etc. This started during the structuring stage and has continued during the desk study stage.
- **Information on the interventions selected for an in-depth analysis.** A set of six interventions was identified and selected in the Inception Report for analysis during the desk study (*see next page*). It is recalled that the purpose of the selection was to gather information that would serve as a basis to conduct the evaluation of the Commission's cooperation with Ecuador by illustrating how the cooperation strategy was implemented. Available documentation on these interventions has been screened and studied in detail at the level of every relevant Judgment Criterion and Indicator. Such analysis has been carried out on the basis of the analytical Data Collection Grid, structured around the Evaluation Questions, their Judgment Criteria and their Indicators.

**BOX: SELECTION OF INTERVENTIONS FOR IN-DEPTH ANALYSIS**

	Financing instrument	Programming period	Starting date	Closing Date	Aid modality	Sector	Geographical focus	Amount	Status
Programa de Cooperación Económica con Ecuador	ALA	2000-2006	March-04	March -09	Project approach	Trade & Economic Dvpt: PSD	National	9 677 373	Closed
Programa de Apoyo al Sistema, Social, Economico, Solidario y Sostenible. -PASES-	DCI-ALA	2007-2013	Nov-10	Jun-2012	Budget support	Trade & Economic Dvpt: PSD	National	33 400 000	Ongoing
PROLOCAL <sup>145</sup>	FOOD	2000-2006	2002 & 2004	2004 & 2006	Trust Fund	Sustainable Rural Dvpt.: LED	Provincial	8 500 000	Closed
Apoyo al Plan Decenal de Educacion 2006-2015 (PAPDE)	DCI-ALA	2007-2013	Feb-08	Feb -12	Budget support	Social services: Education	National	41 200 000	Ongoing
Programa de apoyo al sector salud en Ecuador (PASSE)	ALA	2000-2006	March-05	March-09	Project approach	Social services: Health	Central and Provincial levels	28 000 000	Closed
Decentralized Natural Resources Management in Three Northern Provinces of Ecuador (PRODERENA)	ALA	2000-2006	Jan-04	Jan-11	Project approach	Natural Resource Mgmt: Global	Provincial	17 000 000	Closed
Unidos para combatir el VIH / SIDA en Ecuador - UNIVIDA	SANTE	2000-2006	Oct-06	Sept-10	NGO-cofinancing	Social services: Health	Provincial	2,740,999	Ongoing

The evaluation team will also look into the second phase of the PADPE, committed in 2011, so as to ensure a complete framework of analysis on the education sector. Considering the incipient status of the intervention, its treatment will focus on the choice of aid modality, relevance towards the strategy for the 2007-2013 programming period, alignment with the evolution of national educational policy and related budget support pre-conditions and coordination and complementarity with other donors, particularly the EU MS.

The proposed selection (endorsed by the RG through the approval of the Inception report) satisfied a number of principle criteria:

- geographical coverage: national (PAPDE, PASES, Expo-Ecuador) versus provincial implementation focus (PASSE, Prolocal, PRODERENA, UNIVIDA);
- financial representativeness: €140.5 M or 66.4% of total commitments in the period 2003-2010;
- inclusion of the main financing instruments / budget lines: ALA, DCI-ALA, FOOD and Santé;
- interventions belonging to the various programming periods (Expo Ecuador, Prolocal, PRODERENA PASSE and UNIVIDA for the 2002-2006 programming period, and PAPDE and PASES for the 2007-2013 programming period;
- interventions implemented through various aid modalities: i) Project aid (PASSE, PRODERENA, EXPO Ecuador); ii) Budget support (PAPDE and PASES); and iii) Trust fund (PROLOCAL); NGO co-financing (UNIVIDA)
- sectoral coverage in relation to: i) its importance within EC cooperation strategy; ii) its coverage in the evaluation questions;
- interventions' status (closed and ongoing) and forward looking perspective.

<sup>145</sup> As mentioned in previous paragraphs, the EC has committed around € 13.4 M. to the PROLOCAL Programme. Based on the time frame of this evaluation 2003-2010, the consultants retained only the financing decisions and their relative contracts issued between 2003-2010. Therefore, the overall amount committed by the EC between 2003-2010, to PROLOCAL amounts to €8.5M.

### 6.3. Field Phase

The approval of the Desk report on the 7<sup>th</sup> of November 2011 paved the way for the undertaking of the fieldwork. The work plan and schedule of the mission were agreed in advance with the EU Delegations of Quito and Bogotá.

The field phase covered policy & strategy aspects as well as implementation issues. The intervention's analysis aimed to provide a view of the actual results of EC cooperation and impacts to link the implementation analysis to the overall strategy assessment.

During the field visit, evaluation team members collected additional information in order to fill any information gap and/or validate/amend the hypotheses formulated at the end of the desk phase, thereby ensuring optimal implementation of the field mission. Contacts with the main stakeholders were initiated prior to the departure of the team with a view to ensure the efficient organisation of the mission. In this respect, the team highly appreciated the collaboration of the representatives of the Delegation of the European Union in Ecuador which allowed to complete the team's contact list, to officially inform stakeholders of the arrival of the mission, and to organise high-level meetings.

With a view to ensure the comprehensive coverage of the evaluation questions and issues to be investigated, each team member focused on certain EQs / interventions as detailed in the table below.

**TABLE 6. 3: OVERVIEW OF TASK DISTRIBUTION**

Question	Related selected interventions**	BK	JB	MK	HV	ML
EQ1 SME Development	Expo Ecuador, PASES, PROLOCAL	●			○	○
EQ2 Trade	Expo Ecuador and PASES	●			○	○
EQ3 Education	PAPDE		●			○
EQ4 Natural resource Management	PRODERENA			●		○
EQ5 Health	PASSE		●		●	○
EQ6 Aid Modalities	All	●	○	○		○
EQ7 Budget Support	PASES and PAPDE	●		●	○	
EQ8 Value Added/ Visibility	All	●	○	○		○

● Principal focus      ○ Area of attention

Field visits took place in the period 14/11/2011 to 29/11/2011. The table below describes the **key steps of the field phase**.

**TABLE 6.4: KEY STEPS FOR THE FIELD PHASE**

	Key Activities
<b>Preparatory Work</b>	<ul style="list-style-type: none"> <li>- Finalisation of the list of sources of information (incl. list of key informants, key databases, etc.) that will help fill the information gaps identified during the desk phase.</li> <li>- Each team member prepares a final programme for the mission.</li> <li>- Key staff of the Delegations are contacted to provide feedback on the draft itinerary</li> <li>- Preparation of interview grids.</li> <li>- Key informants (in first place, key ministries and GoE officers) are contacted.</li> <li>- Preparing logistical aspects for field work</li> <li>- Preparatory meeting (evaluation team)</li> </ul>
<b>Briefing with EU Del. Ecuador</b>	<ul style="list-style-type: none"> <li>- Round table discussion with key staff in the Delegation.</li> </ul>
<b>Data Collection in Ecuador</b>	<ul style="list-style-type: none"> <li>- Collecting potential missing reports, programme documents etc.</li> <li>- Final confirmation of key organisations and relevant staff to meet.</li> <li>- Interviews with relevant EUD officials dealing with key sectors of EC cooperation.</li> <li>- Interviews with officials dealing with overall coordination of donor aid.</li> <li>- Interviews with EU MS, UN, WB and other donors.</li> <li>- Other relevant national stakeholders such as NSAs, NGOs or relevant civil society organisations engaged in areas relevant to the evaluation.</li> <li>- Interviews with local stakeholders (incl. implementing partners, local representatives of GoE and beneficiaries).</li> <li>- Carry out specific data collection tools (group discussions or other).</li> </ul>
<b>Debriefing with EUD Ecuador</b>	<ul style="list-style-type: none"> <li>- Elaboration and presentation of preliminary findings</li> </ul>
<b>EU Delegation in Colombia</b>	<ul style="list-style-type: none"> <li>- Round table discussion with key staff in Delegation.</li> </ul>

**Tools for data collection**

During the field phase **semi-structured interviews** constituted the main method to collect information. Individual interviews or group interviews with a limited number of people from the same category (i.e. EU Delegation staff, project staff), were organised. Interviews aimed at:

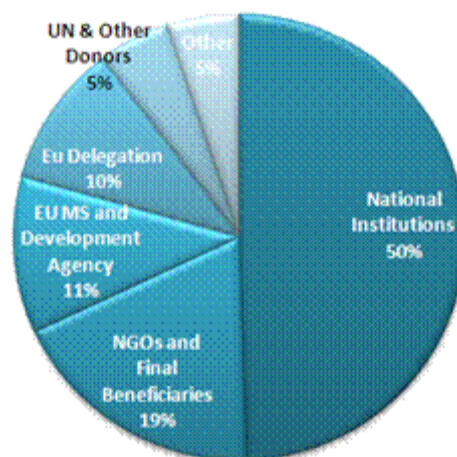
- appreciating the perceptions of the results and relevance of the EC cooperation strategy to country/sector, and the efficiency of the implementation mechanisms;
- understanding internal and external mechanisms of coordination and communication;
- validating, reviewing, and completing the findings and hypotheses of the desk phase.

Interviews were organised with a view to gain information at four different levels:

- Policy and strategic level. National counterparts as well as EUD officials involved in policy definition.
- Implementation level. Interviews with the various Ministries, Public institutions, non-state actors organisations, including social partners, and specialised agencies in charge of the implementation as well as the managers of the EUD. These interviews will focus on the above-mentioned sample of programmes.
- Beneficiary level. Again interviews aimed at gathering more detailed information at the level of the selected programmes.
- Other donors and civil society. Interviews with key external actors (business sector, trade unions, academic world, think tanks etc.) who are not directly involved in EC cooperation but who can provide valuable information. Moreover, EU Member States and other donors' officials will be interviewed to complete the policy analytical framework of the main sectors of EC support in a given country.

Overall, 97 people were interviewed during the field phase, the majority of which represented national institutions. Figure 6.2 above provides an overview of the distribution of interviewed stakeholders per category whereas Table 6.5 provides an overview of the type of stakeholders interviewed during the field (the full list of people met is presented in Annex 3).

**FIGURE 6.2: INTERVIEWS CONDUCTED DURING THE FIELD PHASE**



**TABLE 6.5: SYNTHETIC LIST OF KEY INSTITUTIONS AND KEY REPRESENTATIVES MET IN THE FIELD PHASE**

<b>EU Delegation in Colombia and Ecuador</b>	<ul style="list-style-type: none"> <li>- Head of Delegation (Bogota and Quito)</li> <li>- Head of Cooperation (Bogota and Quito)</li> <li>- Contracts and finance section (Bogota)</li> <li>- EU staff in charge of regional programmes (Bogota)</li> <li>- EU staff in charge of SBS programmes</li> <li>- EU staff in charge of regional (CAN) and horizontal programmes (LAC)</li> <li>- Task managers in charge of the selected interventions</li> <li>- Task managers in charge of thematic budget lines</li> </ul>
<b>National Authorities and Institutions and Intermediary organisations</b>	<ul style="list-style-type: none"> <li>- SENPLADES (Secretaría Nacional de Planificación y Desarrollo)</li> <li>- Ministerio de Relaciones Exteriores, Comercio e Integración</li> <li>- Ministerio de Coordinación de la Producción, Empleo Y Productividad</li> <li>- Ministerio de Industrias y Productividad (MAGAP)</li> <li>- Ministerio de Agricultura, Ganadería Acuicultura y Pesca</li> <li>- Ministerio de Educación</li> <li>- Ministerio de Finanzas</li> <li>- Ministerio de Salud Pública</li> <li>- Ministerio del Ambiente</li> <li>- Secretaría Técnica de Cooperación Internacional (SETECI)</li> </ul>

<p><b>National Authorities and Institutions and Intermediary organisations</b></p>	<ul style="list-style-type: none"> <li>- Secretaría del Agua</li> <li>- CORPEI Corporación de Promoción de Exportaciones e Inversiones,</li> <li>- Gobiernos Provinciales (Cotopaxi, Ibabura, Bolivar, Chimborazo)</li> <li>- Secretaría de Pueblos, Movimientos Sociales y Participación Ciudadana</li> <li>- Cámara de Comercio de Quito/Guayaquil</li> <li>- Asociación de Industriales Textiles del Ecuador</li> <li>- Asociación de Ganaderos de la Sierra y el Oriente AGSO</li> <li>- Consorcio de Gobiernos Provinciales del Ecuador (CONGOPE),</li> <li>- Asociación de Municipalidades del Ecuador AME</li> <li>- Consejo Nacional de Juntas Parroquiales Rurales del Ecuador</li> <li>- Comité Empresarial Ecuatoriano/Asociación Nacional de Empresarios</li> <li>- Instituto de Economía Popular y Solidaria IEPS</li> <li>- Consejos de cámaras y Asociaciones de la Producción</li> <li>- Union Nacional de Educadores (UNE)</li> <li>- Federación Ecuatoriana de trabajadores de la Educación y Cultura FETEC</li> </ul>
<p><b>EU MS</b></p>	<ul style="list-style-type: none"> <li>- Spain: Embassy/AECID</li> <li>- Germany: Embassy/GIZ</li> <li>- Belgium: Cooperation Office of the Belgian Embassy and CTB<sup>146</sup></li> <li>- France: Embassy /AFD</li> <li>- Netherlands: Embassy</li> <li>- UK: Embassy/DFID</li> <li>- Italy: Embassy/ Cooperation office</li> </ul>
<p><b>Other donors</b></p>	<ul style="list-style-type: none"> <li>- World Bank</li> <li>- Inter-American Development Bank</li> <li>- Pan American Health Organization (PAHO / WHO) Regional Office for the Americas of WHO</li> <li>- USAID</li> <li>- UNDP also in its capacity of UN coordinator office</li> <li>- UNICEF</li> <li>- UNESCO</li> </ul>
<p><b>CSOs/ NSA</b></p>	<ul style="list-style-type: none"> <li>- Education: Grupo FARO and Educidadania</li> <li>- Budget Support: grupo FARO and other Social control group</li> <li>- Social services: CARE (Educidadania y UNIVIDA)</li> <li>- Economic Development Asociacion Cristiana de Jovenes de Ecuador (Veedurias Ciudadanas) and Coordinación Ecuador Decide</li> <li>- Education: Centro de Políticas Comparadas de Educacion (CPCE)</li> <li>- Think tanks: CORDES and Universities</li> <li>- General: representative federation of development NGOs and/or NGOs receiving support from EC thematic budget lines</li> </ul>

**Focus groups** have been used in selected cases to discuss directly with the beneficiary of the programmes. Two focus groups were organised in relation to EQ 4 on Natural Resource Management (NRM). The first took place on the 21<sup>st</sup> of November 2011 in Ibarra (Imbabura Province) with PRODERENA stakeholders selected in consultation with representatives of the Environmental Management Unit UGA of Imbabura and the provincial Ministry of Environment which also participated.

A second focus group took place in Quito and allowed to gather information on synergies and coordination between interventions financed under the bilateral envelope, under the thematic budget lines and under the regional envelope. Participants included representatives of NGOs implementing interventions in the fields of NRM and of Sustainable rural development benefiting from EC funds.

Focus groups to further discuss issues related to private sector development and education issues were also envisaged but had to be cancelled. In the case of education, this was due to the lack of confirmation / interest by education sector representatives at different levels, while in the case of the private sector development, the organisation of the focus groups was not possible due to the fact that the postponement of the field visit led to an important overlap with a fair and meeting of Ecuadorian MSMEs in Guayaquil.

<sup>146</sup> As of 2006, the Belgian embassy is no longer active. Nowadays, Lima is responsible for Ecuador. Nonetheless there is still a Cooperation office of the Embassy, which is a different structure from CTB.

#### 6.4. Synthesis Phase

During the **Synthesis Phase** the team brought together the results of the desk phase and field phase, including comments made by the RG during the debriefing held in Brussels on the 8<sup>th</sup> of December, in the drafting of the final report. During the synthesis phase, all information collected was analysed and cross-checked with a view to provide evidence-based answers to the evaluation questions, sound conclusions and useful recommendations. The analysis was structured according to the three-tiered logic from Indicator, to Judgement Criteria (JC), to Evaluation Question (EQ). As a result, activities carried out during this phase can be grouped in the following five subsequent steps:

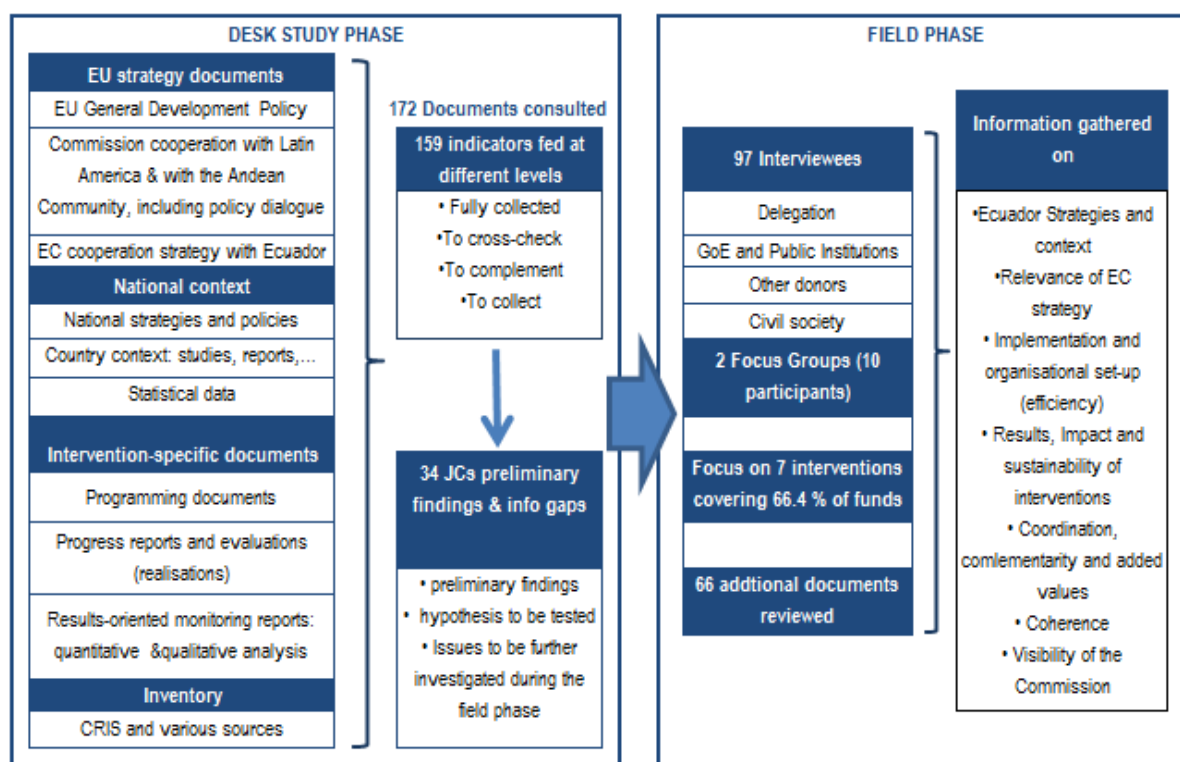
- Informing the indicators: sharing of information between the team members, updating, comparing, confirming and cross-checking the information gathered through the different sources;
- Identifying the limits of the analysis: data quality and unavoidable information gaps;
- Validating, integrating or amending the judgement criteria;
- Providing answers to the evaluation questions based on the combination of the answers at the level of the JCs;
- Drafting of conclusions and recommendations.

A revised draft version of the final report was then presented and discussed during a dissemination seminar which took place in Quito on September 13, 2012. Discussions and comments received during the seminar are reflected in this last version of the report.

#### 6.5. DATA COLLECTION

The information sources and the tools used as well as the outputs obtained are summarised in the Figure 6.3 below.

**FIGURE 6.3: FROM THE DESK STUDY PHASE TO THE FIELD PHASE**



As highlighted by Figure 6.3, the approach to data collection and analysis followed a structured process and enabled the team to progressively complement and cross-check data by relying on different primary and secondary sources of information. Information gathered through the different tools and sources (literature review of more than 200 documents, semi-structured and structured interviews

with approximately 100 stakeholders in Ecuador, Bogotá and Brussels, two focus groups, and site visits) was combined and crosschecked with a view to providing evidence-based answers to the evaluation questions. Annexes 2 and 3 provide respectively the bibliography and the list of people met.

**TABLE 6.6: USE OF THE DIFFERENT DATA COLLECTION METHODS PER EQ**

Evaluation Questions	Data Collection Methods	Interviews with:				
		EUD	GoE	CSOs	Private Sector	Other Donors
<b>SME POSITIONING ON INTERNAL &amp; EXTERNAL MARKETS</b>	Data & document analysis, interviews	√	√	√	√	
<b>TRADE &amp; REGIONAL INTEGRATION</b>	Data & document analysis, interviews	√	√	√	√	√
<b>EDUCATION</b>	Data & document analysis, interviews	√	√	√	√	√
<b>NATURAL RESOURCES MANAGEMENT</b>	Data & document analysis, interviews, and focus groups	√	√	√	√	√
<b>HEALTH</b>	Data & document analysis, interviews	√	√	√	√	√
<b>INSTRUMENTS &amp; AID MODALITIES</b>	Data & document analysis, interviews	√	√	√	√	√
<b>BUDGET SUPPORT</b>	Data & document analysis, interviews	√	√	√	√	√
<b>3Cs, VALUE ADDED &amp; VISIBILITY</b>	Data & document analysis, interviews	√	√	√	√	√

## 6.6. CHALLENGES AND LIMITATIONS

Challenges encountered during the evaluation can be grouped in two main categories: i) challenges linked to the overall scope of the evaluation; and ii) challenges linked to the information gathering process.

With regards to the scope of the evaluation, challenges embedded in the nature of strategic country-level evaluations such as this one have been tackled through the set-up of a sound methodological framework in line with the methodological approach foreseen by the Evaluation Unit of DEVCO. This is based on: i) the reconstruction of the intervention logic in the form of a diagram representing the hierarchy of objectives and expected effects as expressed in the main strategy documents over the years, which represents the backbone for the evaluation, and outlines the set of objectives against which the EC intervention will be assessed; ii) the definition of evaluation questions and related judgement criteria and indicators to guide and focus the data collection and analysis process; and iii) the identification of selected interventions for a more in-depth analysis during both the desk and field phases.

At the same time, the period covered by the evaluation has witnessed a number of changes: changes within the country most notably in terms of government policies / strategies; and changes in its approach to bilateral cooperation (devolution and set-up of the EU Delegation in Ecuador, and shift towards budget support). The evaluation has tried to capture this evolution over time and to take into account the characteristics of the different periods.

Information challenges refer to constraints encountered by the team as follows: i) limited availability of government officials who have at times cancelled meetings requiring additional efforts to reschedule within the tight timeframe of the field visit; ii) spatial bias towards current and former project sites in the Provinces due to time constraints on the part of both consultants and interviewees (closer project sites were visited); iii) staff turnover at both the level of the GoE and of the EUD; iv) cancelling of two focus groups originally envisaged due to lack of interest / confirmation by education sector stakeholders in one case; and unavailability of private sector development representatives due to the rescheduling of the field visit which coincided with an important fair and meeting of Ecuadorian MSMEs in Guayaquil.

The team tackled these information challenges by multiplying the sources of information (e.g. documents, interviews, field visits, debriefing meetings, etc.) including interviewing additional stakeholders previously involved in the implementation of Commission programmes identified with the support of the EUD. It is the team's view that these limitations have not had any negative impact on the evaluation findings, as the team was able to gather sufficient information from both primary and secondary sources to triangulate findings (see information in the Data Collection Grid in Annex 12, volume 3).

## ANNEX 7: LIST OF EC INTERVENTIONS IN ECUADOR UNDER ALA-DCI BUDGET LINE (2003-2010)

N°	Decision year	Budget Line	Title	Allocated	Contracted	Paid	Macro Sector	Aid Modality
1	2003	ALA	Decentralized Natural Resources Management in Three Northern Provinces of Ecuador (PRODERENA)	17,000,000	16,982,629	16,444,393	Natural Resource Mgmt	PA
2	2004	ALA	Programa de apoyo al sector salud en Ecuador (PASSE)	28,000,000	27,666,383	23,093,037	Social Services	PA
3	2004	ALA	Programa de Cooperación Económica con Ecuador	9,677,374	9,677,374	9,677,374	Trade & Economic Dvpt	PA
4	2005	ALA	Apoyo a la Integración Física Regional / Eje Vial N° 1 Perú - Ecuador	26,000,000	26,000,000	-	Trade & Economic Dvpt	pA
5	2007	DCI-ALA	Proyecto de fortalecimiento institucional de el INECI y del sistema ecuatoriano de cooperación internacional	400,000	308,000	246,400	Governance & Democracy	PA
6	2007	DCI-ALA	Apoyo al Plan Decenal de Educacion 2006-2015	41,200,000	41,117,559	38,908,063	Social Services	SBS
7	2008	DCI-ALA	ATI para la evaluación. diagnóstico y formulación de indicadores para el establecimiento del Sistema Integrado de Indicadores productivos. financieros y de comercio exterior en el Ecuador	197,680	197,680	197,680	Trade & Economic Dvpt	PA
8	2008	DCI-ALA	Programa de Apoyo al Sistema, Social, Economico, Solidario y Sostenible. -PASES-	33,400,000	18,702,971	9,697,394	Trade & Economic Dvpt	SBS
9	2009	DCI-ALA	Consulta de la Sociedad Civil para la revisión de medio término de la cooperación de la UE para 2007-2013	3,000	3,000	3,000	Governance & Democracy	PA
10	2009	DCI-ALA	Asistencia Tecnica al Consejo Nacional Electoral (CNE) Republica del Ecuador - AT CNE 2009	139,828	139,828	139,828	Governance & Democracy	PA
<b>Total</b>				<b>156,017,882</b>	<b>140,795,424</b>	<b>98,407,170</b>		



## ANNEX 8: LIST OF EC INTERVENTIONS IN ECUADOR UNDER THEMATIC BUDGET LINES, (2003-2010)

N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
2	2003	FOOD	Réduction de la pauvreté et Développement Local Rural (PROLOCAL)	Closed	5,000,000	5,000,000	5,000,000	Sustainable Rural Dvpt.	LED	PA Trust Fund
3	2003	ONG-PVD	Programme d'appui au renforcement des capacités des organisations rurales situées en Equateur, Bolivie, Perou, Bresil, Venezuela et Uruguay	Closed	3,737,500	3,737,500	3,737,500	Sustainable Rural Dvpt.	Inst. Building	PA
<b>Total 2003</b>					<b>8,737,500</b>	<b>8,737,500</b>	<b>8,737,500</b>			
4	2004	ONG-PVD	BLOCK GRANT 2003	Closed	2,743,419	901,769	901,769	Governance & Democracy	CSO	PA
5	2004	ONG-PVD	Fortalecimiento de la vigencia de los derechos humanos de las mujeres para una vida libre de violencia - ECUADOR	Closed	544,366	544,366	544,366	Governance & Democracy	Vulnerable Groups: Women	PA
6	2004	ONG-PVD	Education for All/ Integrating Highly Disadvantaged children into primary education- Ecuador	Closed	195,974	195,974	195,974	Social Services	Education	PA
7	2004	ONG-PVD	Formacion profesional de Jovenes para generar empleo y dinamizar la economia local de las provincias de Sucumbios, Orellana y Napo- Ecuador	Closed	383,436	383,436	383,436	Social Services	Education	PA
9	2004	FOOD	PROLOCAL- Trust Fund II FOOD SECURITY 2004	Closed	3,500,000	3,500,000	3,500,000	Sustainable Rural Dvpt.	LED	PA Trust Fund
<b>Total 2004</b>					<b>7,367,195</b>	<b>5,525,545</b>	<b>5,525,545</b>			
11	2005	CDC	Participación democrática de los jóvenes en la integración andina y sudamericana	Closed	99,721	99,721	99,721	Governance & Democracy	CSO	PA
12	2005	ONG-PVD	Consolidación de Liderazgo y Empoderamiento de Mujeres Negras Organizadas en Ecuador	Closed	593,957	593,957	593,957	Governance & Democracy	Marginalised Groups: Minorities	PA
13	2005	DDH	MP 2005 Ecuador Campaign 2	Closed	418,151	418,151	418,151	Governance & Democracy	Other	PA
14	2005	CDC	Políticas y recursos públicos Ñuca Kulki—generando	Closed	80,000	80,000	80,000	Governance &	Vulnerable	PA

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N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
			capacidades para la construcción de políticas sobre el uso de recursos públicos desde los pueblos y nacionalidades indígenas y afrodescendientes del Ecuador					Democracy	groups: Minorities	
15	2005	ENV	Systèmes intégrés de gestion participative des ressources forestières et agricoles par les populations rurales en Amazonie	Ongoing	2,043,879	2,043,879	2,001,066	Natural Resource Mgmt	Forest	PA
16	2005	ONG-PVD	Mecanismos Participativos de Gestión de los recursos Hídricos para un Acceso más Equitativo al Agua en Ecuador	Closed	704,729	704,729	704,729	Natural Resource Mgmt	Water & sanitation	PA
17	2005	ONG-PVD	Sistemas de agua potable para las comunas andinas de Ponce-Quilotoa y Guantopolo. Ecuador	Closed	578,971	578,971	578,971	Natural Resource Mgmt	Water & sanitation	PA
18	2005	CDC	Respuestas Campesinas frente a la Apertura Comercial	Closed	94,914	94,914	94,914	Sustainable Rural Dvpt.	LED	PA
19	2005	ONG-PVD	Fomento de Sistemas Locales Autogestionados de Ahorro Crédito y Capitalización en Ecuador	Closed	333,075	333,075	333,075	Sustainable Rural Dvpt.	LED	PA
<b>Total 2005</b>					<b>4,947,397</b>	<b>4,947,397</b>	<b>4,904,585</b>			
21	2006	DDH	Actores locales ejerciendo sus Derechos Humanos en el Cantón Rioverde-Esmeraldas	Closed	99,991	99,991	99,991	Governance & Democracy	CSO	PA
22	2006	DDH	Derechos Humanos e Integración Colombo Ecuatoriana en Línea de Frontera	Ongoing	78,948	78,948	78,948	Governance & Democracy	Social Inclusion	PA
23	2006	DDH	Derechos. Gobernabilidad y Democracia Inclusiva de los Pueblos Indígenas Amazónicos Fronterizos	Closed	703,592	703,592	703,592	Governance & Democracy	Marginalised Groups: Minorities	PA
24	2006	DDH	Fortalecimiento de la Identidad Indígena y Ampliación del Acceso a los Derechos Fundamentales en 8 Provincias de Ecuador	Closed	396,662	396,662	396,662	Governance & Democracy	Marginalised Groups: Minorities	PA
25	2006	ENV	Un Paisaje Vivo: Conservacion. Integracion Regional y Desarrollo Local en la Cordillera Real Oriental Colombia. Ecuador y Peru	Ongoing	2,171,383	2,171,383	1,954,245	Natural Resource Mgmt	Biodiversity	PA
26	2006	ENV	Biodiversidad y Desarrollo Sostenible: Fortalecimiento de Actores Sociales e Incidencia en Politicas Publicas	Closed	484,933	484,933	484,933	Natural Resource Mgmt	Biodiversity	PA
27	2006	ENV	Fortalecimiento de las capacidades socio-	Closed	348,444	348,444	348,444	Natural	Forest	PA

N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
			organizativas de las comunidades indigenas para el uso y manejo sostenible de recursos en la region fronteriza amazonica de Ecuador y Perú.					Resource Mgmt		
28	2006	ENV	Integración Regional para el Manejo Ambiental Sostenible y el Control de la Desertificación en Ecuador y Perú	Ongoing	2,355,780	2,355,780	1,666,632	Natural Resource Mgmt	Water & sanitation	PA
29	2006	SANTE	Unidos para combatir el VIH / SIDA en Ecuador - UNIVIDA	Ongoing	2,740,999	2,740,999	2,454,775	Social Services	Health	PA
30	2006	ONG-PVD	Producción Ecológicamente y Económicamente Sustentable de Ladrillos en Chambo/Ecuador	Ongoing	332,027	332,027	298,825	Sustainable Rural Dvpt.	LED	PA
31	2006	ONG-PVD	Mejoramiento de las Condiciones de Vida de las Comunidades Usuarias Ancestrales del Ecosistema Manglar en la Provincia de Esmeraldas. Ecuador	Ongoing	1,317,627	1,317,627	876,805	Sustainable Rural Dvpt.	LED	PA
32	2006	ONG-PVD	Empoderamiento de las Comunidades Indígenas Organizadas de cuatro Provincias de la Sierra Ecuatoriana para el Desarrollo Socio-Económico Endógeno de los Territorios Rural - Sinchitukushun	Ongoing	616,264	616,264	554,638	Sustainable Rural Dvpt.	LED	PA
33	2006	MIGR	Model for the optimization of immigrant remittances: Trans-national network actions to improve remittance use	Closed	636,351	636,351	636,351	Trade & Economic Dvpt	Inst. Building	PA
<b>Total 2006</b>					<b>12,283,001</b>	<b>12,283,001</b>	<b>10,554,841</b>			
34	2007	EIDHR	ELE: Exploratory Mission regarding EU Election Observation Mission To Ecuador 2007	Closed	59,402	59,402	59,402	Governance & Democracy	Elections	PA
35	2007	EIDHR	ELE: Mission d'observation Electorale Equateur 2007	Closed	1,748,841	1,748,841	1,748,841	Governance & Democracy	Elections	PA
36	2007	EIDHR	EU EOM Equateur. Chief Observer Mr. Ribeiro e Castro	Closed	12,689	12,689	12,689	Governance & Democracy	Elections	PA
39	2007	ONG-PVD	Fortalecimiento de los Actores Locales en Agua y Saneamiento en un contexto de GIRH en la Sierra Sur del Ecuador	Ongoing	748,580	748,580	499,544	Natural Resource Mgmt	Water & sanitation	PA
41	2007	ONG-PVD	Desarrollo sostenible de las poblaciones afectadas por la erupción del volcán Tungurahua en el cantón Quero	Ongoing	677,800	677,800	610,020	Sustainable Rural Dvpt.	LED	PA
42	2007	ONG-PVD	Implementación de sistemas alternativos de	Ongoing	578,378	578,378	520,540	Sustainable	LED	PA

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N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
			producción agro-forestales y comercialización en los Cantones Lago Agrio, Cuyabeno y Putumayo. Provincia de Sucumbíos (Ecuador)					Rural Dvpt.		
<b>Total 2007</b>					<b>3,825,690</b>	<b>3,825,690</b>	<b>3,451,037</b>			
44	2008	EIDHR	Fortalecimiento local y fomento de la participación de niños, niñas y adolescentes de grupos vulnerables del cantón San Lorenzo para la defensa y cumplimiento de sus derechos	Ongoing	197,652	197,652	179,525	Governance & Democracy	Vulnerable Groups: Children and Youth	PA
45	2008	EIDHR	Ejercicio del Derecho a la Diversidad en Culturas Juveniles Urbanas	Ongoing	265,685	265,685	239,117	Governance & Democracy	Vulnerable Groups: Children and Youth	PA
46	2008	EIDHR	Fortaleciendo el Sistema Nacional Descentralizado de Protección Integral a la Niñez y Adolescencia en el Austro Ecuatoriano	Ongoing	300,000	300,000	178,224	Governance & Democracy	Vulnerable Groups: Children and Youth	PA
47	2008	EIDHR	Protegiendo a los niños y niñas de los pueblos indígenas ocultos del Ecuador	Ongoing	268,838	268,838	189,965	Governance & Democracy	Vulnerable Groups: Children and Youth	PA
48	2008	EIDHR	ELE: Exploratory Mission regarding EU Observation Mission to Ecuador 2008	Closed	29,796	29,796	29,796	Governance & Democracy	Elections	PA
49	2008	EIDHR	ELE: Mission d'Observation Electorale. Referendum Equateur 2008	Closed	643,200	643,200	643,200	Governance & Democracy	Elections	PA
50	2008	DCI-HUM	Mirada Negra: promoción de la cultura afrolatinoamericana para el fortalecimiento de la cohesión social en el proceso de integración regional andino	Ongoing	499,903	499,903	449,913	Governance & Democracy	Social Inclusion	PA
51	2008	DCI-NSAPVD	Fortalecimiento de Actores Sociales urbanos para la inclusión económica y social en cinco barrios populares de Quito	Ongoing	298,707	298,707	268,836	Governance & Democracy	Social Inclusion	PA
52	2008	DCI-ENV	Apoyo a la estrategia nacional para la GIRH - FWC for Experts + FWC for conference, meetings - Ecuador		300,000	267,286	226,743	Natural Resource Mgmt	Water & sanitation	PA
53	2008	DCI-NSAPVD	Consolidación de espacios multisectoriales para la concertación de políticas de desarrollo sostenible en la gestión municipal.	Ongoing	299,004	299,004	269,104	Sustainable Rural Dvpt.	Inst. Building	PA

N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
54	2008	DCI-NSAPVD	Turismo comunitario. artesanía y diversificación agrícola en comunidades indígenas de Sucumbíos	Ongoing	300,000	300,000	270,000	Sustainable Rural Dvpt.	LED	PA
55	2008	DCI-NSAPVD	Iniciativas económicas sostenibles en Sigsipamba-Pimampiro	Ongoing	194,123	194,123	174,711	Sustainable Rural Dvpt.	LED	PA
56	2008	DCI-NSAPVD	Fortalecimiento de la cadena del fréjol en la sierra norte del Ecuador FORCAFRE	Ongoing	299,872	299,872	269,885	Sustainable Rural Dvpt.	LED	PA
58	2008	DCI-NSAPVD	Fomento de mecanismos de comercialización directa de productos campesinos de calidad.	Ongoing	298,738	298,738	126,751	Trade & Economic Dvpt	PSD	PA
59	2008	DCI-NSAPVD	Fortalecimiento de unidades productivas familiares que prestan servicios en dos ejes turísticos del Distrito Metropolitano de Quito	Ongoing	238,684	238,684	103,399	Trade & Economic Dvpt	PSD	PA
<b>Total 2008</b>					<b>4,434,202</b>	<b>4,401,488</b>	<b>3,619,167</b>			
62	2009	EIDHR	EU. EOM Ecuador 2009. General Elections . CO Mr Jose Ribeiro e Castro	Closed	13,042	13,042	13,042	Governance & Democracy	Elections	PA
63	2009	EOM	ELE - EU EOM Ecuador 2009	Ongoing	2,822,114	2,822,114	2,622,400	Governance & Democracy	Elections	PA
64	2009	DCI-ENV	Protección de la biodiversidad nativa de las islas Galápagos	Ongoing	960,000	960,000	317,176	Natural Resource Mgmt	Biodiversity	PA
65	2009	DCI-NSAPVD	Pro Poor Tourism Strategies in Burkina Faso. Ecuador and Tanzania	Ongoing	1,381,150	1,381,150	444,350	Sustainable Rural Dvpt.	LED	PA
66	2009	DCI-NSAPVD	Fortalecimiento del turismo sostenible como eje dinamizador de la economía y de la acción concertada de actores públicos. privados y comunitarios en el nor occidente de Pichincha.	Ongoing	219,176	219,176	98,661	Sustainable Rural Dvpt.	LED	PA
67	2009	DCI-NSAPVD	Valorización de la fibra de alpaca. como alternativa productiva eco sostenible para el páramo de Patocochoa.	Ongoing	338,834	338,834	135,005	Sustainable Rural Dvpt.	LED	PA
68	2009	DCI-NSAPVD	FORTALECIMIENTO DE LOS EMPRENDIMIENTOS PRODUCTIVOS ARTESANALES DE LA SIERRA NORTE DEL ECUADOR: CARCHI E IMBABURA	Ongoing	310,000	310,000	126,304	Sustainable Rural Dvpt.	LED	PA
69	2009	DCI-	Generación de alternativas económicas locales para	Ongoing	220,016	220,016	81,984	Sustainable	LED	PA

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N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
		NSAPVD	los jóvenes del cantón Nabón. mediante el impulso del turismo y la cultura.					Rural Dvpt.		
70	2009	DCI-NSAPVD	Impulso a la inserción laboral de los jóvenes de las zonas rurales y marginales-urbanas de los cantones de Gualaceo. Girón y Santa Isabel. Provincia de Azuay	Ongoing	400,000	400,000	166,221	Sustainable Rural Dvpt.	LED	PA
71	2009	DCI-NSAPVD	Manejo integral de barrido. recolección y disposición final de los RRSS en las poblaciones de San Lorenzo. Mataje. Ricaurte. Casa del Pobre. y de Calderón y San Francisco de Bogotá; del cantón San Lorenzo.	Ongoing	565,297	565,297	303,806	Sustainable Rural Dvpt.	Waste Mgmt	PA
72	2009	DCI-NSAPVD	Apoyo a la gobernabilidad en la gestión integral de residuos sólidos en los Municipios Jama y San Vicente.	Ongoing	412,884	412,884	236,923	Sustainable Rural Dvpt.	Waste Mgmt	PA
73	2009	DCI-NSAPVD	Manejo integral de los desechos sólidos como medio de desarrollo sostenible en los Cantones Marcabelí y Balsas.	Ongoing	600,000	600,000	290,569	Sustainable Rural Dvpt.	Waste Mgmt	PA
74	2009	DCI-NSAPVD	Manejo Eficiente de Desechos y Residuos en las Islas Galápagos	Ongoing	530,000	530,000	247,284	Sustainable Rural Dvpt.	Waste Mgmt	PA
<b>Total 2009</b>					<b>8,772,512</b>	<b>8,772,512</b>	<b>5,083,725</b>			
75	2010	DCI-HUM	Promoviendo la participación efectiva de la niñez Ecuatoriana	Ongoing	954,274	954,274	282,425	Governance & Democracy	Vulnerable Groups: Children and Youth	PA
76	2010	EIDHR	Fortalecimiento del proceso organizativo de las mujeres en los cantones fronterizos de la Provincia de Sucumbíos-Ecuador para el respeto de los Derechos Humanos y una vida libre de violencia.	Ongoing	300,000	300,000	0	Governance & Democracy	Vulnerable Groups: Women	PA
77	2010	EIDHR	Promoción de los Derechos Humanos y Fortalecimiento de las capacidades de las mujeres en la Frontera Norte: Esmeraldas e Imbabura	Ongoing	299,993	299,993	0	Governance & Democracy	Vulnerable Groups: Women	PA
78	2010	IFS-RRM	Strengthen Human Security in the Northern Border Area of Ecuador	Ongoing	3,000,000	3,000,000	2,400,000	Governance & Democracy	Security	PA
79	2010	EIDHR	Mujeres. niños. niñas y adolescentes promoviendo una Cultura de Paz y Derechos en San Lorenzo	Ongoing	299,920	299,920	127,802	Governance & Democracy	Vulnerable groups	PA

N°	Decision year	Domain	Title	Status	Allocated	Contracted	Paid	Macro Sector	Sector	Aid Modality
80	2010	EIDHR	Capacitación en comunicación e incidencia social y política para población con necesidad de protección internacional y población de acogida de la frontera norte ecuatoriana	Ongoing	287,300	287,300	0	Governance & Democracy	Vulnerable groups: Refugees	PA
81	2010	DCI-ENV	Gestión sostenible para la conservación de dos reservas de biósfera en la Cuenca Amazónica (Perú y Ecuador) mediante la reducción de Emisiones de CO2 por Deforestación y Degradación de Bosques (REDD+)	Ongoing	2,154,192	2,154,192	448,100	Natural Resource Mgmt	Biodiversity	PA
82	2010	DCI-ENV	PRO-FORMAL: Policy and Regulatory Options to recognise and better integrate the domestic timber sector in tropical countries	Ongoing	3,000,000	3,000,000	900,000	Natural Resource Mgmt	Forest	PA
83	2010	DCI-ENV	Preparación para enfrentar desastres ambientales y humanos por efecto del cambio climático en las islas Galápagos	Ongoing	715,787	715,787	0	Natural Resource Mgmt	Climate Change	PA
84	2010	DCI-ENV	Enfrentando el Cambio Climático en la Cordillera Costera. Ecuador	Ongoing	938,778	938,778	220,199	Natural Resource Mgmt	Climate Change	PA
85	2010	DCI-NSAPVD	Lago Agrio. ciudad limpia.	Ongoing	587,044	587,044	0	Sustainable Rural Dvpt.	Waste Mgmt	PA
86	2010	DCI-ENV	Modelo de Gestión Integral de los Residuos Sólidos. Antonio Ante- Ecuador	Ongoing	715,000	715,000	307,874	Sustainable Rural Dvpt.	Waste Mgmt	PA
87	2010	DCI-ENV	Manejo integral de Residuos Solidos en el canton Quininde. Provincias de Esmeraldas	Ongoing	883,130	883,130	257,523	Sustainable Rural Dvpt.	Waste Mgmt	PA
88	2010	DCI-NSAPVD	GIRS Municipal: Gestión Integral de residuos Sólidos en 5 Municipios del oriente y Sur del Ecuador.	Ongoing	600,000	600,000	0	Sustainable Rural Dvpt.	Waste Mgmt	PA
89	2010	DCI-NSAPVD	PASAJE INTEGRAL: Desarrollo de un sistema integral manejo de residuos en el cantón Pasaje. como experiencia replicable para la provincia de El Oro	Ongoing	403,769	403,769	0	Sustainable Rural Dvpt.	Waste Mgmt	PA
90	2010	DCI-NSAPVD	Gestión de Deschos Sólidos y Reducción de la Contaminación en el Municipio de Taisha y en el Territorio Achuar	Ongoing	421,657	421,657	0	Sustainable Rural Dvpt.	Waste Mgmt	PA
<b>Total 2010</b>					<b>15,560,844</b>	<b>15,560,844</b>	<b>4,943,923</b>			
<b>Global Amount</b>					<b>65,928,343</b>	<b>64,053,978</b>	<b>46,820,323</b>			

## ANNEX 9: PROJECT FICHES OF SELECTED INTERVENTIONS

Intervention Title	Programa de Reducción de la Pobreza y Desarrollo Rural Local PROLOCAL
<b>Sector</b>	Food security and Rural development
<b>EQ of relevance</b>	EQ1, EQ6 and EQ8
<b>Commission Ref.</b>	FOOD/2003/005-982 (y varios otros)
<b>Intervention Start &amp; End date</b>	Start: 1/6/2002 End: 31/12/2007 (presupuesto) 14/12/2008 (Convenio de financiación)
<b>Budget line</b>	B7-20 Food Aid in 2002-2003, and further supported by the bilateral aid
<b>Aid modality</b>	Programme Co-financed with the World Bank and the GoE (Total cost: € 43,3m. Shared: WB 50% - loan, EC 30% - grant, GoE 20%). In support to national sector policies. A rare mixture of loan with grants.
<b>Budget planned, committed and paid, €</b>	<p>Committed by EC:</p> <ul style="list-style-type: none"> <li>- la Decisión FOOD/2000/003-480 por un monto de 0.7 millón de euros destinado a PROLOCAL ;</li> <li>- la Decisión FOOD/2001/002-348 (EC) del 28.12.2001 por un monto de 6 millones de euros ( 5 millones de financiación del PROLOCAL y 1 millón para asistencia técnica);</li> <li>- la Decisión FOOD/2003/005-982 (EC) del 19.12.2003 por un monto de 5 millones de euros (4 millones de financiación del PROLOCAL y 1 millón para asistencia técnica).</li> <li>- La Decisión FOOD/2004/06-176 EC por un monto de 3.5 millones de euros.</li> </ul> <p>Con los 4 primeros CF de 2000 a 2004, la contribución total de la CE al proyecto PROLOCAL se establecía en 13.2 millones de euros (más 2 millones de euros para la asistencia técnica europea)</p> <ul style="list-style-type: none"> <li>- First (2000 to 2004): €13,2M (30% of total cost)</li> <li>- Second (2006): €16,5M</li> </ul> <p>In 2006 the EC transferred €1M from the “Ayuda Complementaria para AT” fund to the WB Trust fund (<b>source: addendum No1</b>).</p>
<b>Beneficiary / National Counterpart</b>	<p>The project is executed by the Ministry of Bienestar Social</p> <p>The final beneficiaries are 85.000 poor rural families from 33 municipalities (cantones) including 120 parroquias de seis regiones geográficas distribuidas entre la Sierra y la Costa de Ecuador. Total population of these 33 cantones is 810.799 inhabitants in 2002 or around 180.000 families. (<b>DTA 2003</b>)</p>



<p><b>Programme Background &amp; History</b></p>	<p><i>“El Programa de Seguridad Alimentaria de la CE en Ecuador (PROEESA) fue iniciado en el año 2000 con un primer financiamiento de 2 millones de € a cargo del presupuesto de la línea B7-20 (Ayuda Alimentaria Directa). Los compromisos han sido extendidos en los años sucesivos (2002 y 2003/2004) con montos de respectivamente 6 y 8,5 millones de €, lo que suma a un total de 16,5 millones de € comprometidos hasta el momento para este programa. Paralelamente la Comisión Europea contribuye en Ecuador con los fondos de la Seguridad Alimentaria indirecta, que se ejecutan a través de ONGs.</i></p> <p><i>A partir de los fondos de la Ayuda Directa la Comisión, a través de su oficina técnica de Seguridad Alimentaria en el Ecuador, ha decidido participar en la ejecución del Proyecto de Reducción de la Pobreza y Desarrollo Rural Local (PROLOCAL) en cofinanciamiento con el Banco Mundial y el Gobierno del Ecuador, comprometiéndose a aportar un total de cerca de 13.2 millones de € durante los 5 años del Programa que representan alrededor del 30% del costo total. El resto de los fondos de la Ayuda Directa van a su vez a financiar el PANN (Programa de Nutrición) y la asistencia técnica necesaria para la gestión del conjunto.</i></p> <p><i>La intervención comunitaria en favor de la seguridad alimentaria en el Ecuador se dirige esencialmente a paliar los efectos de las repetidas crisis económicas que han fuertemente penalizado los grupos poblacionales menos favorecidos, los cuales han visto sus ingresos reducirse drásticamente por efecto de la dolarización al principio del 2000. Si bien el Ecuador no presenta problemas de escasez de alimentos desde el punto de vista de la oferta, es cierto que la demanda sufre graves limitaciones por efecto del escaso poder adquisitivo de muchas familias, la población en situación de pobreza habiendo crecido del 49% al 65% entre 1995 y 2001. La intervención en el marco del PROLOCAL busca contribuir a combatir la pobreza rural con mecanismos nuevos que logren valorizar al máximo las potencialidades de crecimiento económico a través del fortalecimiento de los mecanismo de gestión local del desarrollo.</i></p> <p><i>La constatación de la escasa eficacia de los proyectos de combate a la pobreza de tipo tradicional, esencialmente de tipo asistencial y centrados en los aspectos de la producción, es a la base de la estrategia novedosa del PROLOCAL.”</i></p> <p><b>Fuente: Project synopsis, ROM 2003</b></p> <p><i>El compromiso de la línea presupuestaria «Seguridad Alimentaria» con la financiación del proyecto PROLOCAL se contrajo en el año 2000 en el marco de las misiones de definición del Programa de Seguridad Alimentaria en Ecuador. La fase inicial de preparación del proyecto se desarrolló durante los años 2000 y 2001 y ha sido encargada a 4 Grupos de Trabajo integrados por funcionarios de los Ministerios de Bienestar Social y de Medio Ambiente, funcionarios y asesores del Banco Mundial y asesores nacionales. La formulación final del proyecto se realizó en el primer semestre de 2001 y dio lugar a una misión conjunta del Banco Mundial y la CE en febrero de 2001. El proyecto PROLOCAL fue establecido legalmente por el Decreto Presidencial N° 1343 del 15 de marzo de 2001. El contrato de préstamo con el Banco Mundial se suscribió el 3 de enero de 2002 y las actividades del proyecto comenzaron formalmente el 1 de junio de 2002.</i></p> <p><b>(DTA 2003 p3)</b></p>
<p><b>Overall objective</b></p>	<p>Los objetivos generales de política nacional a los cuales el Programa pretende contribuir son: (i) reducir la pobreza, mejorar la equidad social y la inclusión, (ii) restaurar la estabilidad macroeconómica, (iii) recuperar el crecimiento económico, y (iv) apoyar los esfuerzos de descentralización y gobernabilidad.</p>
<p><b>Specific objectives</b></p>	<p><i>Su objetivo específico es el desarrollo local concertado y gestionado por sus actores sociales; sustentable en el sentido de asegurar que tanto los miembros actuales como futuros de las localidades rurales puedan lograr una mejor calidad de vida, seguridad económica y una voz en la creación de su futuro mientras mantienen la integridad de los sistemas ecológicos de los cuales dependen la vida y la producción</i></p> <p><b>Fuente: Project synopsis, ROM 2003</b></p>

<p><b>Expected results</b></p>	<p>Los resultados planteados para el logro del objetivo antes enunciado son:</p> <ul style="list-style-type: none"> <li>- facilitar la construcción participativa de <b>planes de desarrollo local</b> bajo el liderazgo de organizaciones de la sociedad civil, particularmente ONGs y/o de los Gobiernos Locales;</li> <li>- conformar redes locales de entidades <b>prestadoras de servicios</b> cuyos miembros se identifiquen con la propuesta del Proyecto y que estén en capacidad de apoyar el fortalecimiento de los actores institucionales y sociales de los ámbitos locales.</li> <li>- la implementación de <b>subproyectos</b> de interés social, surgidos de los planes de desarrollo local</li> <li>- contar con una gerencia ágil, eficiente, eficaz y sobretodo transparente que asegure la <b>coordinación</b> del proyecto</li> <li>- fortalecer las <b>Entidades Financieras Locales</b> de tal manera que puedan constituirse en mecanismos de apalancamiento del ahorro local hacia la inversión local y formar <b>redes financieras</b> locales que posibiliten la incorporación de nuevas tecnologías crediticia.</li> </ul>
<p><b>Activities</b></p>	<p>Las actividades que llevarán a cumplir con estos resultados son múltiples. Se destacan entre muchísimas otras:</p> <ul style="list-style-type: none"> <li>- la preparación de alrededor de 150 planes entre parroquiales y municipales,</li> <li>- el fortalecimiento de 600 organizaciones locales,</li> <li>- la implementación de más de 700 subproyectos a nivel comunitario, parroquial o cantonal</li> <li>- la constitución de un fondo de liquidez para microfinancias locales de \$2,4 millones.</li> </ul> <p><b>Fuente: Project synopsis, ROM 2003</b></p>
<p><b>Main achievements</b></p>	<p>Según la evaluación final se alcanzaron resultados interesantes en los diversos ejes, especialmente en cuanto al Fondo de Inversiones Locales (FIL) y al fortalecimiento del tejido organizativo y social, a lo cual contribuyó positivamente: i) la organización clara y eficaz con equipos humanos compactos, multidisciplinarios y descentralizados; y ii) la exigencia de contrapartida local de las comunidades en los subproyectos, que fue además superada muy significativamente. <b>(ROM 2008)</b></p> <p>Al final del Proyecto, se ejecutaron 65,5 millones de dólares, un 33% más de lo previsto (en el inicio se plantearon: 49,3 millones) <b>(Fuente: Informe de cierre-Septiembre 2007)</b>.</p> <ul style="list-style-type: none"> <li>- Se alcanzaron 252 organizaciones de base que adquirieron personería jurídica, mientras 84.000 hogares participaron en el proceso de planificación del desarrollo local, identificándose 757 perfiles de proyectos para seleccionar 530</li> <li>- Se formaron 1065 técnicos para formulación, planificación y ejecución de proyectos, 4.207 promotores, 35 técnicos que participaron en un diplomado de formulación y gestión de proyectos conjuntamente con la universidad politécnica del litoral y 17 redes locales (6 prestadoras de servicios, 7 de entidades financieras locales y 4 de comunidades). Asimismo, se alfabetizó a 18.503 personas, fortaleciendo a 640 organizaciones y equipando a 840 organizaciones locales (sociales, financieras, redes y gobiernos locales).</li> </ul> <p>Mecanismos para co-financiamiento de inversiones productivas y ambientales y servicios establecidos orientados desde la demanda. Se ejecutaron 525 subproyectos (36 millones de dólares, de los cuales 17 fueron contrapartida local) y 5 auditorías. La evaluación de impacto subrayó que un 74% de los proyectos evaluados han sido beneficiosos para los/as beneficiarios/as y que el 72% los considera sostenibles. Un 42% de los participantes es mujer, lo cual destaca positivamente <b>(ROM 2008)</b></p>

<b>Weaknesses</b>	<p>No exit strategy and no follow up were planned since the beginning of the programme (<b>ROM 2005</b>)</p> <ul style="list-style-type: none"> <li>- Pressure to disburse: USD 23m in 2.5 years (<b>ROM 2006</b>)</li> <li>- Objectives were too ambitious (<b>ROM 2008</b>)</li> <li>- También hay un claro énfasis en el nivel micro de ejecución de proyectos (es decir, apoyo directo a las comunidades y a gobiernos locales), en detrimento del nivel meso estructural (es decir, generar institucionalidad y políticas de apoyo) así como el macro (incidencia en políticas públicas más amplia). (<b>ROM 2008</b>)</li> <li>- Weak participation of local governments (<b>ROM 2008</b>)</li> </ul>					
<b>ROM Scores</b>		<b>1. Relevance &amp; Quality of design</b>	<b>2. Efficiency</b>	<b>3. Effectiveness</b>	<b>4. Impact prospects</b>	<b>5. Potential sustainability</b>
	2003	B	C	B	-	B
	2004	B	B	B	B	B
	2005	B	B	B	A	B
	2006	B	B	B	B	B
	2008	B	B	B	B	B
	<p>A= very good, B= good ; C=problems ; D=serious deficiencies</p> <p>The review of the ROM reports when looking at issues of <b>Relevance</b> for the selected programmes indicates that:</p> <ul style="list-style-type: none"> <li>- The programmes were relevant and responded to the beneficiaries' needs. In terms of quality of the design, general and specific objectives were consistent with national policies.</li> <li>- Overall, the logical framework has been revised in the majority of programmes. Moreover monitors have pointed out that global objectives and specific objectives were difficult to measure and objective verifiable indicators (OVIs) were vague and often not quantifiable. Indeed, PROLOCAL has been regarded as too ambitious; specific objectives were revised several times and their geographical focus was widened (from 2 to five regions (PROLOCAL ROM 2008)).</li> <li>- The lack of cross-cutting issues, and in particular gender issues, is a weakness that is repeatedly pointed out.</li> <li>- Greater effectiveness appears to be achieved when local counterparts and beneficiaries are involved in the identification and formulation of the programme (PROLOCAL). The high level of participation of Parish Councils "Juntas Parroquiales" in PROLOCAL appears to be linked to the good scores achieved by the programme in terms of effectiveness.</li> <li>- Moreover political conflict between central authorities and local governments in PROLOCAL cases constitute additional hindrances to the programme implementation.</li> </ul> <p>The review of the ROM reports when looking at issues of <b>Impact</b> for the selected programmes indicates that:</p> <ul style="list-style-type: none"> <li>- Overall the ROM reports state that there were good and positive chances to achieve the expected impacts. This despite the fact that, in the great majority of reports, monitors to the fact that the OVIs of the general and specific objectives were not measured.</li> </ul>					

	<ul style="list-style-type: none"> <li>- With regard to <b>PROLOCAL</b>, the 2005 ROM report indicated that 40% of population in the intervention area benefited from the Programme; with major benefits related to the revitalisation of associative systems and models, while the economic impact was still unpredictable.</li> <li>- In the ex-post ROM of PROLOCAL (2008), the monitor underlines that the OVI of the overall objective “reduce by 5% the poverty headcount ratio” had not been scope of the final programme evaluation (2006) so it is difficult to assess the potential consequence on poverty reduction of the programme (Ex-post ROM 2008). Moreover, the monitors assert that compared to the needs of the areas characterised by low access to services and high level of poverty, the disbursed funds were limited (US\$65M in 5 years) and the benefits at macro-level have been partial. The ROM underlines that a broader development process could have been triggered only through an holistic approach: greater investments in production factors, inclusive infrastructures and processes (i.e. sectoral policies on agriculture, water, land) and improved access to social services (health and education).</li> <li>- The sustainability of PROLOCAL appeared to be satisfactory thanks to the involvement of the Ministry of Welfare in the set up and financing of a new programme “<i>Programa de Desarrollo Rural y Territorial</i>” (PRODER) which targets nine micro-regions. PRODER scaled up the activities of PROLOCAL taking into account the lessons learnt.</li> </ul>
<b>Key observations</b>	<p>En términos cuantitativos, el informe de cierre destaca que se alcanzaron y superaron los indicadores planteados: 84.000 familias participando en procesos (de 60.000); 126 planes de desarrollo local (cantonal y parroquial, de 150); una contrapartida local de 21 millones (sobre los 5,2 previstos; un 51% (de 30%) de participación de mujeres; 473 subproyectos productivos y de fortalecimiento ejecutados; y 37.633 familias (de 38.000) directamente involucradas en dichas iniciativas productivas y ambientales. <b>(ROM 2008)</b></p> <p>La contrapartida local de los/as beneficiarios/as en los subproyectos ha sido clave para mejorar la eficiencia, generar apropiación local y sostenibilidad; 2. Los fondos de inversión implican el riesgo de volverse un fin en sí mismo, en detrimento de los objetivos perseguidos. 3. En proyectos productivos, no debería forzarse a las organizaciones campesinas a que asuman un rol empresarial (incl. comercialización). Sería clave plantear esquemas alternativos como el fortalecimiento del poder de negociación en dicha cadena o mejorar reglas de la misma. <b>(ROM 2008)</b></p> <p>La fase de preparación de PROLOCAL dio lugar a la realización de numerosos estudios y análisis económicos y sociales (alrededor de treinta) que forman parte de los documentos básicos del proyecto. Por otra parte, desde el comienzo de las actividades, la elaboración de los planes de desarrollo locales (a nivel parroquial y cantonal) y el proceso de definición y organización en redes de los agentes institucionales en cada una de las micro-regiones, hicieron posible profundizar en los análisis de las situaciones locales y disponer de información detallada sobre estas micro-regiones. Para cada una de ellas se elaboró una «línea básica» gracias a la que se pudieron consignar los datos económicos y sociales antes de la intervención del proyecto. Varios de estos análisis tuvieron que ver con la definición previa y la viabilidad de los proyectos de inversión locales susceptibles de ser financiados por PROLOCAL. Estos análisis se refirieron más concretamente a la localización y la cobertura geográfica de estas inversiones, los posibles costes y volúmenes financieros, los beneficios e impactos descontables. Así, se definieron las distintas categorías de inversiones locales:</p> <ul style="list-style-type: none"> <li>- Categorías geográficas/administrativas: proyectos comunitarios, parroquiales, Inter.-parroquiales y cantonales;</li> </ul>

<p><b>Key observations</b></p>	<ul style="list-style-type: none"> <li>- Categorías técnicas/económicas: inversiones productivas (agricultura, ganadería, acuicultura, transformación, comercialización, etc.), gestión de los recursos naturales, servicios profesionales.</li> <li>- Por último, los análisis permitieron establecer normas financieras básicas para las inversiones locales: el importe de una inversión media se fijó en 550 USD por familia al cual se añade un coste considerado de 80 USD por familia en asistencia técnica (formación, organización, inversión previa, apoyo técnico). Los proyectos comunitarios beneficiarán a una veintena de familias por término medio, los proyectos parroquiales a aproximadamente un centenar de familia y los proyectos cantonales a cerca de 400 familias. <b>(DTA 2003)</b></li> </ul>
<p><b>Documentary sources</b></p>	<p>Different FAs and DTAs; Logframe: matrix of objectives and indicators; Addendum No1 al contrato 2003; Addendum No1 al contrato 2005; ROM reports 2004, 2005, 2005, 2008</p>
<p><b>Key stakeholders</b></p>	<p>Main stakeholders are:</p> <ul style="list-style-type: none"> <li>- Ministerio of Social Welfare,</li> <li>- Ministry of Finance</li> <li>- Six micro-regions in the coastal and Andean foothill areas which were defined according to geographical boundaries but reflecting groupings with strong economic, cultural and social links. They included: <i>Zona Sur de Manabí, Zona Occidental de Los Ríos, Estribaciones Centrales de Los Andes, Zona Oriental de Loja, Cuenca Alta del Río Jubones</i> and <i>Cuenca del Río El Ángel</i></li> <li>- 150 local governments collaborate with beneficiaries in generating development plans at the <i>parroquia</i> (sub-municipal government) level, the smallest territorial administrative level, and 33 <i>cantones</i> (municipal territory, formed by group of <i>parroquias</i>) level; 33 <i>cantones</i>,</li> <li>- one <i>mancomunidad</i> (i.e. an association of <i>cantones</i>),</li> <li>- 56 second-tier organizations and 252 grassroots organizations</li> <li>- 125 local financial institutions</li> <li>- 900.000 personas</li> <li>- 60,000 households</li> <li>- PROLOCAL: Board of Directors constituted by the Ministry of Social Welfare, Ministry of Environment, Sub-secretary of Rural Development within the Social Welfare Ministry, the National Secretariat of SENPLADES and two representatives of the national network of local development services</li> </ul>

Intervention Title	Programa de cooperación económica con Ecuador EXPOECUADOR
<b>Sector</b>	Trade and SME
<b>EQ of relevance</b>	EQ1 & EQ2
<b>Commission Ref.</b>	ALA/2003/005-703
<b>Intervention Start &amp; End date</b>	Start: 02.03.2004 End: 15.12.2008 (15.03.2009)
<b>Budget line</b>	ALA
<b>Aid modality</b>	Project
<b>Budget planned, committed and paid, €</b>	Planned and committed by EC: 10m €. ATI represents 31% of this amount. Local TA represents another 8.2%. ( <i>DTA 2004</i> ) Paid: € 9.677.373 ( <i>ROM 2010</i> ) The national counterpart initially planned was € 4.485.000. Out of these € 3.301.533 were really paid.
<b>Beneficiary / National Counterpart</b>	The national counterpart is INECI (Instituto Ecuatoriano de Cooperación Internacional) The beneficiaries are: <ul style="list-style-type: none"> <li>- CORPEI (Corporación de Promoción de Exportaciones e Inversiones). This is the executive institution</li> <li>- Exporting SMEs, their associations, chambers of commerce, services to enterprises.</li> <li>- Public institutions related to this sector, such as MNAC: Ecuadorian quality System, INP: Fishing Institute, SESA: Ecuadorian Services of Agricultural Sanitation</li> <li>- Two catholic universities (Quito and Guayaquil) have offered courses financed by this project, and others have benefited from laboratory improvements.</li> </ul>
<b>Programme Background &amp; History</b>	Economic cooperation with Ecuador has always been a priority since 1993 (Framework Agreement on Cooperation between the EC and the Cartagena Agreement and its member countries), including the Multiannual Indicative Guidelines (1998), the memorandum of understanding (1998) and the 2002-2006 CSP. However these intentions received scarce concrete application, except for two projects during the nineties (on cacao sector modernisation and on control of shrimp's plagues). The EXPOECUADOR project was planned in the 2002-2006 CSP and is the first to address directly the trade issues.
<b>Overall objective</b>	Improve integration of Ecuador in the international markets, especially those of the UE and the CAN, taking advantage of the possibilities offered by the WTO, the CAN and the UE's GPS (Generalized Preference System)
<b>Specific objectives</b>	Develop the commercial relations of Ecuador through: <ul style="list-style-type: none"> <li>- Strengthening of public institutions responsible of quality</li> <li>- Strengthening of private sector associations</li> <li>- Improving competitiveness and quality of exporting SME</li> <li>- Improving institutional capacity of public organisations related to international commercial agreements</li> </ul>
<b>Expected results</b>	Same as specific objectives
<b>Activities</b>	<ol style="list-style-type: none"> <li>1. Develop competitiveness of SME exporting by improving information, quality and by technological transfers. SMEs will be selected in order receive matching grants which will pay for consultancy services.</li> <li>2. Support private sector in administrating foreign trade: the support will go to chambers of commerce, federations and associations of exporters through training and lecturing.</li> </ol>

	<p>3. Develop and promote quality. Technical assistance will go to the following public institutions:</p> <ul style="list-style-type: none"> <li>- MNAC: Ecuadorian Quality System</li> <li>- INP: Fishing Institute</li> <li>- SESA: Ecuadorian Services of Agricultural Sanitation</li> </ul> <p>4. Technical assistance and training on commerce and investment. Includes:</p> <ul style="list-style-type: none"> <li>- Support to international trade negotiations</li> <li>- Strengthen the sanitation system (how apply technical rules)</li> <li>- Improve dialogue between public and private sector</li> </ul>					
<b>Main achievements</b>	<p>References are made to gender and to the environment</p> <p>According to the intermediate and final evaluations, the general objectives, specific objectives and activities have all been attained and often far beyond what had been planned initially. The project is globally considered as a success. According to the final evaluation, it scores between well and very well on each of the 5 evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability.</p> <p>The ROM scores are lower, especially on efficiency (see below).</p>					
<b>Weaknesses</b>	<p>The project was intended to develop in parallel with the TLC negotiation between EC and Ecuador, but the negotiations were interrupted in 2007 after election of Rafael Correa. Ecuador accepted in 2009 to reinstate them but EC has now postponed them until 2012.</p> <p>ATI arrived 14 months after the beginning of the project</p> <p>First disbursement was made 6 months late (ROM 2005)</p> <p>Some quantitative objectives were not sufficiently low (not sufficiently ambitious)</p> <p>There were no baselines and reliable statistics on MSE</p> <p>Formal participation of main stakeholders was very limited because the "Comité de Seguimiento" was never formed.</p>					
<b>ROM Scores</b>		1. Relevance & Quality of design	2. Efficiency	3. Effectiveness	4. Impact prospects	5. Potential sustainability
	2005	<b>B</b>	<b>D</b>			<b>B</b>
	2006	<b>B</b>	<b>B</b>	<b>B</b>	<b>B</b>	<b>B</b>
	2010 (ex post)	<b>B</b>	<b>C</b>	<b>B</b>	<b>B</b>	<b>B</b>
<b>ROM Scores</b>	<p>A= very good, B= good ; C=problems ; D=serious deficiencies</p> <ul style="list-style-type: none"> <li>- In the ex-post ROM report of EXPO Ecuador, the programme was positively assessed from an impact perspective (B). Nonetheless, major hindrances have been highlighted namely the limited access for finance for SMEs and the absence of a legal framework to create consortium of enterprise associations. These elements have been depicted as serious constraints to the productive capacity of SMEs and their capacity to compete in the international arena.</li> <li>- Based on the ex-post ROM reports for EXPO-Ecuador, in spite of the positive score (B), the sustainability of the programme appears limited due to the reduced impact which was mainly limited at the level of the single institution which benefit of the programme activities (enterprises receiving trainings, laboratories obtaining machineries, etc). The major hindrances affecting the sustainability of the project were identified as follows: difficult access to finance, weakness of professional associations which are numerous and scattered, with limited capacity to influence the political sector.</li> </ul>					
<b>Key observations</b>	<p>Very little references to the context: situation of the SME in Ecuador (how many are they, sectoral distribution, employment, etc.)</p> <p>Project well integrated into the CORPEI (less sustainability problems)</p> <p>Efficient administration of the project by CORPEI, a public/private institution</p>					
<b>Documentary sources</b>	<p>FA and DTA</p> <p>Midterm and final evaluations (done by the same team)</p>					

	ROM 2005, 2006 and 2010 (ex post)
<b>Key stakeholders</b>	<ul style="list-style-type: none"> <li>- CORPEI (Corporación de Promoción de Exportaciones e Inversiones).</li> <li>- Exporting SMEs,</li> <li>- SME professional their associations,</li> <li>- chambers of commerce,</li> <li>- services to enterprises;</li> <li>- Universities: Universidad Católica de Santiago de Guayaquil and Pontificia Universidad Católica de Ecuador</li> <li>- MNAC: Ecuadorian quality System” Sistema Ecuatoriano de creditacion y calidad constituted by the National Quality Council “Consejo Nacional de la Calidad”; Ecuadorian Accreditation Body “Organismo de Acreditacion Ecuatoriano” (OAE)</li> <li>- INP: Fishing Institute,</li> <li>- SESA: Ecuadorian Services of Agricultural Sanitation; “Sistema Ecuatoriano de Sanidad Acropecuraria” Negotiators (Ministry of Commerce)</li> </ul>



Intervention Title	Programa de Apoyo al Sistema Solidario Sostenible PASES																																																												
Sector	Industrial policy																																																												
EQ of relevance	EQ1 EQ2, EQ7																																																												
Commission Ref.	DCI-ALA/2007/019-031																																																												
Intervention Start & End date	FA and DTA signed on February 17, 2009. Start: February 19, 2009. Duration of the intervention is 4 years operational period and 6 months for the exit phase. End: 17.08.2012																																																												
Budget line	ALA																																																												
Aid modality	Sector Budget Support (APS or SBS)																																																												
Budget planned, committed and paid, €	<p>Planned and committed by EC: 20m € for PASES I and 13.4m for PASES II <b>Source: Addendum No 01 al Convenio de Financiación entre la UE y la República de Ecuador – PASES, 13 de diciembre 2010.</b></p> <p><i>Cuadro N° 4</i></p> <table border="1"> <thead> <tr> <th>Contribuciones financieras en millones de Euros / Años (previsión)</th> <th>2009</th> <th>2010</th> <th>2011</th> <th>2012</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>Tramos fijos (Senplades)</td> <td>5,0*</td> <td>4,0*</td> <td>3,0**</td> <td>1,0**</td> <td>13,0</td> </tr> <tr> <td>Tramo fijo en apoyo al Ministerio de Finanzas (MdeF)</td> <td>-</td> <td>-</td> <td>0,6*</td> <td>-</td> <td>0,6</td> </tr> <tr> <td>Tramos variables</td> <td>-</td> <td>-</td> <td>7,0*</td> <td>9,4**</td> <td>16,4</td> </tr> <tr> <td><b>1 - Sub total – Apoyo Presupuestario</b></td> <td></td> <td></td> <td></td> <td></td> <td><b>30,0</b></td> </tr> <tr> <td>Asistencia Técnica, estudios, diálogo y veedurías, apoyo institucional, seguimiento, etc.</td> <td>0,2*</td> <td>2,0*</td> <td>0,6*</td> <td>0,25*</td> <td>3,05</td> </tr> <tr> <td>Acciones de visibilidad</td> <td>-</td> <td>0,1*</td> <td>0,05*</td> <td>-</td> <td>0,15</td> </tr> <tr> <td>Evaluaciones, informes, etc.</td> <td></td> <td></td> <td>0,15*</td> <td>0,05*</td> <td>0,2</td> </tr> <tr> <td><b>2 - Sub total – Financiamiento según reglas de la UE</b></td> <td></td> <td></td> <td></td> <td></td> <td><b>3,4</b></td> </tr> <tr> <td><b>Total 1 + 2</b></td> <td><b>5,2</b></td> <td><b>6,1</b></td> <td><b>11,4</b></td> <td><b>10,7</b></td> <td><b>33,4</b></td> </tr> </tbody> </table> <p>Notas: * PASES I - 20 millones de Euros, financiamiento decisión DCI-ALA/2008/019-031 ** PASES II – 13,4 millones de Euros, financiamiento decisión DCI-ALA/2008/019-031, addendum N° 01</p> <p>Disbursements made up to August 2011:</p> <ul style="list-style-type: none"> <li>17 de julio 2009, € 5 millones, 1er tramo fijo.</li> <li>28 de julio 2010, € 4 millones, 2do tramo fijo.</li> <li>22 de junio 2011, € 7 millones 1er tramo variable.</li> </ul> <p><b>Source: email DCE Ecuador (Roberto Cogno)</b></p>	Contribuciones financieras en millones de Euros / Años (previsión)	2009	2010	2011	2012	Total	Tramos fijos (Senplades)	5,0*	4,0*	3,0**	1,0**	13,0	Tramo fijo en apoyo al Ministerio de Finanzas (MdeF)	-	-	0,6*	-	0,6	Tramos variables	-	-	7,0*	9,4**	16,4	<b>1 - Sub total – Apoyo Presupuestario</b>					<b>30,0</b>	Asistencia Técnica, estudios, diálogo y veedurías, apoyo institucional, seguimiento, etc.	0,2*	2,0*	0,6*	0,25*	3,05	Acciones de visibilidad	-	0,1*	0,05*	-	0,15	Evaluaciones, informes, etc.			0,15*	0,05*	0,2	<b>2 - Sub total – Financiamiento según reglas de la UE</b>					<b>3,4</b>	<b>Total 1 + 2</b>	<b>5,2</b>	<b>6,1</b>	<b>11,4</b>	<b>10,7</b>	<b>33,4</b>
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Beneficiary National Counterpart	National counterpart: SENPLADES; Beneficiaries of institutional support are: SENPLADES ,Ministry of Finance, Ministries of Coordination of production (MCP), Agriculture (MAGAP), External relations commerce and integration. The beneficiaries are theoretically also those who will benefit from a public policy more directed towards the poor. In particular PASES should promote employment, and industrial and agricultural competitiveness.																																																												
Programme Background & History	The Identification Fiche describes as following the reasons which gave rise to PASES: "Pendant des années le pays a manqué d'une planification et d'une politique à moyen terme pour les secteurs agricole et industriel. L'administration mise en place depuis début 2007 par le gouvernement du président Correa montre une volonté de planification et de modernisation des ministères. Les politiques ont été rédigées en consultation avec de différents acteurs publics et privés sous la coordination de l'entité publique de planification (SENPLADES) avec un début de traduction des priorités au niveau du budget de l'Etat. Pour la première fois depuis longtemps, il parait exister les conditions minima à la mise en œuvre progressive d'une politique de développement du secteur productif au sens large : autorités plus dynamiques dans les ministères, désir de réforme, cadre de planification technique et budgétaire en élaboration. Le programme d'appui économique proposé renforce les éléments clés de la Déclaration de Paris pour ce qui concerne le leadership national, l'alignement de notre appui sur les priorités et procédures nationales, une coopération basée sur les résultats. » <b>(Identification Fiche PASES 2007.)</b>																																																												

	<p>“The proposals stated in the National Development Plan 2007-2010 (NDP) pose significant challenges in the technical and political fields as well as methodological and instrumental innovations. This Plan is based on eight reform strategies: i) internal development, inclusion, competitiveness and employment; ii) sovereign foreign affairs and smart and active insertion in the world market; iii) productive diversification; iv) territorial integration and rural development; v) sustainability of natural heritage; vi) improvement of the state's capacities concerning planning, regulation, and administration; vii) economic democratization and social relevance; and viii) guarantee of rights. Additionally, it contains twelve greater objectives of human development to be accomplished at a national level.</p> <p>The NDP is a propositional, systematic, articulate, and coherent document that marks the route of the public action of the government to lead national development until January 2011. Given its innovative characteristics, mostly because of the participative process for its preparation, it is the biggest effort made in the national planning sector since the return to democracy. It was prepared under the technical and methodological orientation of the National Secretariat of Planning and Development (SENPLADES) in close coordination with the technical departments of the various ministries and State secretariats.”</p> <p>The Industrial and Agroindustrial Development Policy is the means through which the sector will have a sustained growth, thanks to the commitment of the government to transfer public money and with the close collaboration of the private sector.</p> <p>This policy will be implemented through the Industrial Development Plan, which is in its final phase. Amongst the execution instruments of this plan, the Integral Programme for Industrial Competitiveness is being prepared. Its objectives are: i) to improve the legal framework to contribute to competitiveness, ii) to promote investments and the exporting capacity in the priority sectors, iii) to encourage the application of the environmental legislation in companies, iv) increase market access capacity in export destinations. <b>(Action fiche 2008)</b></p> <p>The PASES consist essentially in supporting the objective 11 of the National Plan for Good Living: Establish an economic system showing solidarity and sustainable. <b>(Action fiche 2009)</b>. More precisely the objective 11 contains some sub-objectives which are in line with the CSP and the European Consensus on Development. Namely:</p> <ul style="list-style-type: none"> <li>• Política 11.1: “procurar a la población una canasta de alimentos básica nutricional, asequi segura y continua, en base a la producción agrícola nacional”</li> <li>• Política 11.2: “fomentar actividades con gran demanda de mano de obra fue encadenamientos productivos y amplia localización geográfica”</li> <li>• Política 11.4: “propiciar la producción de bienes y servicios de alto valor agregado, incremento sostenido de la productividad y generadora de ventajas competitivas frente a requerimientos de la demanda existente y potencial de los mercados interno y externo ”</li> <li>• Política 11.25: "robustecer la posición del Ecuador en la economía internacional en bas principios de equidad, complementación, previsibilidad y seguridad jurídica, para propicia desarrollo social, productivo y ambiental"</li> <li>• Política 11.27: “adecuar la cooperación internacional a los requerimientos de inversión soc productiva y ambiental del Plan Nacional de Desarrollo”</li> </ul> <p><b>Source: PASES DTA, p3</b></p>
Overall objective	<p>En resumen el <i>objetivo</i> del PASES consiste en colaborar financieramente en la ejecución del PNI además de inscribirse dentro del mismo para lograr mejorar y acelerar el progreso económico y soci del Ecuador, mediante el fortalecimiento inclusivo del mercado interno a través de la diversificació productiva, el apoyo a la economía social y solidaria y a la inserción inteligente en el mercad mundial, respetando la sustentabilidad del patrimonio natural. El PASES I se inscribe dentro de l Declaración de Paris (2005), del Consenso Europeo sobre la cooperación y de los Objetivos de Milenio.</p> <p><b>(DTA p2)</b></p>

<b>Specific objectives</b>	<p>El PASES en apoyo financiero al Plan Nacional de Desarrollo, se inscribe, dentro del mismo en el marco del “apoyo al proceso de establecimiento de las políticas económicas productivas a medio plazo”, del gobierno ecuatoriano. En síntesis, el PASES tiene los objetivos siguientes: una contribución financiera para mejorar; i) las condiciones de vida de las poblaciones, ii) la economía nacional y el empleo, iii) la competitividad agrícola e industrial. Esas políticas son definidas en el objetivo 11 del PND 2007-2010, y llevadas adelante por los organismos y ministerios sectoriales.</p> <p>El objetivo del PASES se inserta en los ámbitos estratégicos que figuran en el CSP 2007-2013, o sea: crear oportunidades económicas durables y promover la integración regional, sosteniendo las micro, pequeñas y medianas empresas competitivas. Una atención particular será otorgada a los acuerdos comerciales internacionales firmados por el Ecuador, de tal manera que las acciones propuestas contribuyan a mejorar la inclusión y la competitividad del país dentro y fuera de la región andina.</p> <p><b>(DTA P2)</b></p>
<b>Expected results</b>	<ul style="list-style-type: none"> <li>▪ RE.1 Para el 2012, 7 veedurías ciudadanas especializadas en el Objetivo 11 del PNBV, ejercen acciones de seguimiento y control social a las políticas públicas relacionadas con el sector de la economía popular y solidaria.</li> <li>▪ RE.2 Para principios del 2013, se han establecido espacios de diálogo conformados por representantes de los grupos de veeduría y funcionarios públicos de las instancias competentes, que funcionan para garantizar la interlocución entre la sociedad civil y el Estado.</li> <li>▪ RE.3 Para el 2012, se ha diseñado en conjunto entre la veeduría, los organismos del Estado competentes y otros grupos interesados, un sistema de información y rendición de cuentas para revisar la aplicación de las políticas programas y proyectos del objetivo 11 del PNBV vinculados a la sector de la economía popular y solidaria. <b>(Marco lógico de PASES)</b></li> </ul>
<b>Activities</b>	<p>El PASES apoyará al gobierno ecuatoriano para la implementación del objetivo 11 del PND, principalmente en cinco ejes: i) financiamiento de los sectores a través de un apoyo sectorial y presupuestario; ii) apoyo a la construcción y elaboración de un sistema integrado de seguimiento y evaluación de las estrategias y de los programas de desarrollo económico; iii) apoyo a la coordinación entre los principales actores del sector y al dialogo político; iv) participación de manera activa al dialogo y a la coordinación entre las partes que financian y apoyan el sector económico; y v) apoyo institucional al sector económico.</p> <p><b>(DTA p2)</b></p> <ul style="list-style-type: none"> <li>▪ A1.1 Seleccionar las políticas, programas y proyectos que son pertinentes.</li> <li>▪ A1.2 Identificar personas grupos e instituciones del Estado involucradas en las políticas del Objetivo 11.</li> <li>▪ A1.3 Formular una metodología para seleccionar y poner en funcionamiento las veedurías ciudadanas.</li> <li>▪ A1.4 Impulsar la conformación y organización de los grupos veedores.</li> <li>▪ A1.5 Acreditación de los grupos veedores territoriales ante el Consejo Ciudadano de Participación y Control Social.</li> <li>▪ A1.6 Diseñar e implementar un programa de formación específica a los grupos de veedores sobre los temas de participación social, sistema económico solidario y sector de la economía popular y solidaria.</li> <li>▪ Etc...</li> </ul> <p><b>(Marco lógico de PASES)</b></p> <p>On <b>PFM improvement</b>, PASES intends to: <b>(DTA p3)</b></p> <p>El PASES incluye un componente de apoyo institucional, financiero, para varios ejes: i) mejoramiento de la planificación y de la ejecución financiera; ii) seguimiento de la calidad de los gastos, auditorías internas y externas, reportings financieros, etc. ; iii) mejoramiento de los sistemas de seguimiento y control de la ejecución y de la calidad de las políticas y de los programas; iv) mejoramiento de sistemas de gestión y análisis de las informaciones y estadísticas; v) apoyo a los sistemas de seguimiento, evaluación y observación de las políticas económicas; vi) negociaciones UE-C/ procesos de integración regional; y vii) políticas nacionales de exportación.</p>
<b>Main achievements</b>	At the time being, no reliable data available
<b>ROM Scores</b>	No ROM available
<b>Key observations</b>	- In August 2010, SENPLADES sent to the DelEcuador a letter proposing a revision of the indicators of PASES. This revision is based on the following reasons:

	<ul style="list-style-type: none"> <li>- The PAPES DTA, signed on February 17, 2009 foresees a change in the indicators through a exchange of notes between the GoE and the DEC</li> <li>- In September 2008 a new constitution is approved by referendum and introduces the paradigm of “Good Living” (Buen Vivir)</li> <li>- Following the new constitution, a new “Plan Nacional para el Buen Vivir 2009-2013” is approved on November 5, 2009.</li> <li>- This new plan requires some changes in the indicators of PASES.</li> </ul> <p><b><i>Fuente: DOCUMENTO DE ACTUALIZACION DE LOS INDICADORES DEL CONVENIO DE FINANCIACIÓN ENTRE LA UNION EUROPEA Y LA REPÚBLICA DE ECUADOR DCI-ALA/2007/19-031 – PASES – Agosto 2010</i></b></p> <ul style="list-style-type: none"> <li>- In December 2010 the addendum No 1 was signed which changes the indicators of PASES according to the SENPLADES proposal, but adds one indicator linked to the disbursement of €0.6m in favour of the Ministry of Finance: (existence of a) “Código de Planificación y Finanzas Públicas del Ecuador”. All together there are now 8 indicators: 3 for the FT and 5 for the VT.</li> <li>- Two “action fiches” (2008 y 2009) describen en detalles el entorno macro económico, la política pública y el estado del PFM.</li> <li>- A very detailed analysis of PFM for the year 2008 id found in documentation &gt; PASES &gt; PNUD &gt; different reports 2008 &gt; Public Finance Mgmt report</li> </ul>
<b>Documentary sources</b>	FA and DTA 2009; Actualización de los Indicadores del PASES, SENPLADES agosto 2010; Addendum No1 December 2010; Logframe PASES; Action fiches PASES
<b>Key stakeholders</b>	<p>Main stakeholders are:</p> <ul style="list-style-type: none"> <li>- Ministry of Industry and Productivity (MIPRO);</li> <li>- Ministry of Agriculture (MAGAP),</li> <li>- The Ministry of External Relations, Trade and Regional Integration</li> <li>- SENPLADES,</li> <li>- Ministry of Finance,</li> <li>- Ministries of Coordination of production (MCP),</li> <li>- Ecuadorian MSMEs</li> </ul>

Intervention Title	Programa de Apoyo al Plan decenal de Educación 2006-2015 PAPDE					
Sector	Education policy					
EQ of relevance	EQ3, EQ7					
Commission Ref.	DCI-ALA/2007/019-030					
Intervention Start & End date	Date Financing Agreement signed: 07/02/2008 Start Date: 07/02/2008 End Date:07/02/2012					
Budget line	DCI-ALA					
Aid modality	Sector Budget Support (APS or SBS)					
Budget planned, committed and paid, €	SPSP EC Total Budget committed: 41,2 M€ of which Fixed Tranches: 20,2 M€ and Variable Tranches: 21,0 M€					
	<b>Commitments / Years</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>Total</b>
	Support to the Decennial Education Plan	15,6*	12,0	13,0	0	<b>40,6</b>
	Support to the reform plan of MEF, execution of PEFA, follow-up-evaluation, visibility	0,6*	0	0	0	<b>0,6*</b>
	<b>Total</b>	<b>16,2</b>	<b>12,0</b>	<b>13,0</b>	<b>0</b>	<b>41,2</b>
	* <i>modificado respecto al CF original por Addendum 2 de 1,2 ME. 600.000 Euros pasan a los fondos AP</i>					
	<i>Source: ROM 2009 – SPSF Synopsis</i>					
	Planned calendar and disbursements are the following:					
	Cuadro 1					
	<b>Actividades</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
	Firma del Convenio de Financiación	Diciemb.	-	-	-	-
	<i>Tramos Fijos</i>	-	<i>Primero</i>	<i>Segundo</i>	<i>Tercero</i>	-
	<i>Solicitud de pago</i> , por parte del Ministerio de Educación, de los 3 tramos fijos	-	Ene/Feb	Ene/Feb	Ene/Feb	-
	<i>Evaluación</i> , por parte de la Delegación de la Comisión Europea, de la solicitud de pago de los 3 tramos fijos	-	Feb/Mar	Feb/Mar	Feb/Mar	-
	<i>Fechas de pago</i> de los tramos fijos (aproximativas)	-	Mar/Abr	Mar/Abr	Mar/Abr	-
	<i>Montos máximos</i> de pago de los tramos fijos, (millones de Euros) por parte de la CE	-	8,0	7,0	4,0	-
	<i>Tramos Variables</i>	-	-	<i>Primero</i>	<i>Segundo</i>	<i>Tercero</i>
	<i>Solicitud de pago</i> , por parte del Ministerio de Educación, de los 3 tramos variables	-	-	Ene/Feb	Ene/Feb	Ene/Feb
	<i>Evaluación</i> , por parte de la Delegación de la Comisión Europea, de la solicitud de pago de los 3 tramos variables	-	-	Feb/Mar	Feb/Mar	Feb/Mar
	<i>Fechas de pago</i> de los tramos variables (aproximativas)	-	-	Mar/Abr	Mar/Abr	Mar/Abr
	<i>Montos máximos</i> de pago de los tramos variables, (millones de Euros) por parte de la CE	-	-	0 ≤ 8,0	0 ≤ 11,0	0 ≤ 2,0
	Los € 16,2 millones de la contribución financiera presupuestados para 2008 y 2009, se dividen en:					
	<ul style="list-style-type: none"> <li>• € 15 millones para cubrir financieramente los tramos fijos de 2008 (€ 8 millones) y 2009 (€ 7 millones); y</li> <li>• € 1,2 millones para financiar un apoyo al Ministerio de Economía y Finanzas y sus reformas sectoriales, asistencia técnica, un estudio PEFA, evaluaciones, veedurías ciudadanas, acciones de visibilidad, etc.</li> </ul>					
	En analogía, se aplica el mismo criterio, el cumplimiento de todos los indicadores, para el desembolso de los tramos variables para futuros convenios de financiamiento en cuyo marco se evaluará el cumplimiento de los indicadores del año n-2, a ser evaluados en el año n-1 y pagadero el desembolso en el año n.					
	<b>Source: CF and DTA 2008</b>					

	<p>Disbursements made until August, 2011:</p> <p>On 20 June 2008 a total of € 8 million (first fixed installment);</p> <p>On 03 June 2009 a total of € 8 million (first variable installment);</p> <p>On 29 June 2009 a total of € 7 million (second fixed installment);</p> <p>On 30 September 2009 a total of € 0.6 million (third fixed installment);</p> <p>On 16 December 2009 a total of € 11 million (second variable installment);</p> <p>On 06 September 2010 a total of € 4 million (fourth fixed installment);</p> <p>On 22 February 2011 a total of €2 million (third and final variable installment)</p> <p>Total = € 40.6 mill. para apoyo presupuestario. El Convenio de Financiación indica un total de €41.2 mill. - la diferencia es el monto para medidas complementarias (visibilidad, veeduría etc.)</p> <p><b>Source: email DCE (Helen Conefrey)</b></p>
<b>Beneficiary / National Counterpart</b>	Ministry of Education / Ministry of Finance
<b>Programme Background &amp; History</b>	<p>Ecuador es uno de los países de América Latina donde la inversión en educación es más baja. Los fondos públicos para el sector educación están ligados a los recursos petroleros y son, por tanto, extremadamente volátiles, con graves consecuencias para la enseñanza y el personal docente cuyos salarios son de los más bajos del sector público. Aunque el acceso a la educación ha mejorado mucho, su calidad es deficiente, el nivel de aprendizaje es uno de los más bajos de América Latina y el analfabetismo mayor que la media del continente (21%). La falta de equidad y el grado de exclusión coloca al Ecuador próximo al final de la lista de los países latinoamericanos. Además la ejecución del presupuesto es lenta y requiere de importantes medidas de reforma.</p> <p>A pesar de la inestabilidad política reinante por lustros, el Ecuador ha conseguido planificar su política en educación adoptando el Plan Decenal de Educación 2006-2015 (PDE) que fue aprobado por referéndum popular en 2006 y - un logro sustancial - adoptado por el gobierno que se instaló en enero de 2007. El Plan aspira a mantener durante diez años una serie de prioridades para la modernización del sistema educativo y así llegar a una mejora de su calidad y equidad.</p> <p>Los 8 componentes del plan apuntan a (1) la universalización de la educación inicial y (2) la educación de base; (3) mejorar la transición al ciclo secundario; (4) erradicar el analfabetismo y reforzar la educación de adultos; (5) mejorar la infraestructura y el equipamiento de las instituciones educativas; (6) mejorar la calidad y equidad de la educación; (7) revalorizar la profesión docente y (8) garantizar la financiación del sistema educativo a largo plazo.</p> <p>El diálogo de la CE con el Ministerio de Educación ha llevado a la selección de tres componentes ("políticas") a las que la Comisión pudiese contribuir y que se adoptan en el Convenio de Financiación que se firmó en Febrero de 2008: a) Política 4 Erradicación del Analfabetismo y Fortalecimiento de la Educación Alternativa , b) Política 6 Mejoramiento de Calidad y Equidad de la Educación e Implementación del Sistema Nacional de Evaluación, c) Política 7 Revalorización de la Profesión Docente, Desarrollo Profesional, Condiciones de Trabajo y Calidad de Vida.</p> <p><b>Source: ROM SPSP sinopsis 2009</b></p> <p>Además cabe destacar que en un contexto de fragmentación extrema de la representación política y aspiraciones de la población, la educación parece ser el único sector dónde se puede tener un consenso nacional mínimo que permite una visión sectorial a mediano plazo. Esto se está confirmando de cara a las próximas elecciones generales del mes próximo (octubre 2006).</p> <p><b>Source: Identification Fiche 2006</b></p>
<b>Overall objective</b>	<p>En resumen el <i>objetivo</i> del PAPDE consiste en colaborar financieramente en la ejecución del PDE, e inscribirse dentro del mismo para lograr mejorar y acelerar el progreso educativo de los niños y niñas del Ecuador, mediante la universalización de la educación básica, la ampliación de la cobertura de la educación inicial y media, el mejoramiento de la calidad en todos los niveles y la eliminación de las inequidades sociales en la educación. El PAPDE se inscribe dentro de la Declaración de Paris (2005), del Consenso Europeo sobre la cooperación y de los Objetivos del Milenio.</p>

<p><b>Specific objectives</b></p>	<p><b>Source: CF and DTA 2008:</b></p> <p><i>Política 4: Erradicación del analfabetismo y fortalecimiento de la educación continua para adultos.</i> Es de prioridad para el gobierno nacional brindar educación básica a la población joven y adulta que no ha tenido acceso. En este sentido, los esfuerzos por disminuir el número de ciudadanas y ciudadanos jóvenes y adultos que no saben leer y escribir constituye el objetivo fundamental para la política educativa del país.</p> <p><i>Política 6: Mejoramiento de calidad y equidad de la educación e implementación del sistema nacional de evaluación</i> El fortalecimiento institucional requiere un nuevo modelo de gestión que garantice la calidad organizacional en el cumplimiento del derecho ciudadano a la educación y a garantizar la rectoría y al fortalecimiento institucional del Ministerio de Educación. Ese modelo de gestión requiere incorporar nuevas tecnologías que perfeccionen el sistema de información y estadísticas, faciliten los procesos de desconcentración y descentralización, una efectiva transparencia y sirva de herramienta para la planificación, el seguimiento, la evaluación y la investigación.</p> <p><i>Política 7: Revalorización de la profesión docente, desarrollo profesional, condiciones de trabajo y calidad de vida.</i> En la actualidad la formación inicial del docente es débil y desactualizada; no existe un sistema integral y sostenido de desarrollo profesional, lo que ha provocado desvalorización del rol docente y poco reconocimiento social y económico a la profesión. Por el momento el sector carece de propuestas</p> <p><b>Source: CF and DTA 2008</b></p>
<p><b>Expected results</b></p>	<p>La intervención financiera de la Comisión Europea a través del PAPDE y a favor de la política educativa del Ecuador, se basa en los objetivos propuestos por el Gobierno ecuatoriano en el Plan Nacional de Desarrollo (PND), en el "Plan Decenal de Educación 2006-2015" y de forma mas general en los <u>Objetivos del Milenio</u>. Estos últimos se dirigen a lograr un 100 % de asistencia a la escuela primaria y favorecer la igualdad entre los sexos en todos los niveles de la enseñanza</p> <p>Los resultados previstos del PAPDE están en directa relación con la ejecución del Plan Decenal de Educación (PDE) y los resultados que este obtengan; entre otros:</p> <ul style="list-style-type: none"> <li>• <u>Mejorar la cobertura, calidad, eficiencia y equidad del sistema educativo.</u> Una de las metas clave para Ecuador sigue siendo el logro de la cobertura total en primaria y las mejoras en la calidad de la educación. Se hará un énfasis especial en la implementación del "Sistema Nacional de Evaluación". Además un énfasis particular se pondrá en las políticas y programas nacionales de educación alternativa y conclusión de los estudios de la población con rezagos educativos. Dentro de este punto se incluye también lo que atañe a la labor y al funcionamiento del personal docente. El PDE prevé mejorar las condiciones de la enseñanza estimulando el ingreso a la carrera docente y mejorando su formación profesional e inicial.</li> <li>• <u>Fortalecer las tareas de monitoreo, seguimiento y control del Ministerio de Educación para disponer de un sistema de información renovado.</u> Se apoyará la implementación de un sistema integral y confiable de monitoreo y seguimiento que pueda ser utilizado como un verdadero instrumento de apoyo en la toma de decisiones en materia de política educativa, por parte del Ministerio de Educación.</li> <li>• <u>Fortalecimiento de la planificación sectorial.</u> Bajo los principios de descentralización y desconcentración, será necesario promover una planificación desde el ámbito local, de modo que el plan y presupuesto anual del Ministerio de Educación refleje las prioridades expresadas por los beneficiarios locales y la política nacional priorizada por el PDE.</li> </ul> <p><b>Source: CF and DTA 2008</b></p>

<b>Activities</b>	<p>Las actividades del PAPDE, en apoyo al PDE (Plan Decenal de Educación), se centrarán fundamentalmente en cuatro ejes: i) financiamiento al sector a través de un apoyo presupuestario; ii) apoyo a la coordinación entre los principales actores del sector y dialogo político, iii) activa participación al dialogo y a la coordinación entre los donantes y iv) apoyo institucional al sector.</p> <p>El Ministerio de Educación, respondiendo a la solicitud de la mayoría de los donantes activos en el sector (BID, BM, CAF, UNICEF, España, Alemania, Suiza, PNUD, ONG's, etc ) ha convocado a una mesa de dialogo/coordinación sobre el sector educativo. Al mismo tiempo, el <b>Consejo Nacional de Educación</b>, principal instancia de concertación nacional para monitorear los avances de la política educativa, se abrió recientemente a la participación de los donantes. Hay pues una intencionalidad, claramente liderada por el gobierno de implementar y evaluar los avances de la política educativa con la intervención de los donantes.</p> <p>Una de las estrategias que implementará el Ministerio de Educación como parte de las políticas nacionales de transparencia es la construcción del <u>sistema nacional de logros y rendición social de cuentas</u>. Su primera fase partirá de la medición de los siguientes indicadores de las acciones del Plan Decenal de la Educación: cobertura, retención, repitencia, evaluación de aprendizajes (pruebas Aprendo), en matemáticas y lenguaje a los grados de 3ro., 7mo. y 10mo. de EGB (Educación General Básica) Estas pruebas comenzaron a llevarse a cabo desde junio del 2007 con una muestra de 73 000 alumnos, sobre un total de 2.401 937 en todo el país.</p> <p>Otra de las acciones fundamentales del Ministerio de Educación en el marco del Plan Decenal de Educación es la modernización de las estadísticas educativas. Se espera contar con datos fiables a partir del <u>censo de instituciones educativas</u>, que es una de las actividades que se ejecutará a partir del segundo semestre 2007</p> <p>Además del apoyo sectorial al Ministerio de Educación (PDE 2006-2015), se prevé reforzar las capacidades del Ministerio de Finanzas, proveer apoyos en AI, realización de estudios sobre macroeconomía y finanzas publicas, evaluaciones, seguimiento a través de veedurías ciudadanas sobre las políticas de educación y acciones de visibilidad</p> <p><b>Source: CF and DTA 2008</b></p>					
<b>Main achievements</b>	<p>Monitoring of the programme was given to "Educiudadanía" which is a network of national institutions (FARO, Universities,) and NGOs such as CARE and Save the Children. It produced its first report in 2010</p> <p><b>Source: PAPDE. Primer informe 2010.pdf</b></p>					
<b>Weaknesses</b>	<p>Central elements to improve quality of education, such as curriculum reform and didactic material development are still a challenge to the implementation of the "Plan Decenal de Educación". Even though there were substantial improvements in measuring students' performance in some areas of the countries, strengthening student's performance measurement is needed as well as linking the findings of these tests to the policy planning and operational decisions in the sector.</p> <p><b>Source: EQ 3 Grid</b></p>					
<b>ROM Scores</b>		1. Relevance & Quality of design	2. Efficiency	3. Effectiveness	4. Impact prospects	5. Potential sustainability
	2009	A	A	A	B	B
	<p>A= very good, B= good ; C=problems ; D=serious deficiencies</p> <p>PAPDE 2009 ROM report points out the significant relevance of the programme as it responds to the country needs. Moreover, it was highlighted that the seven Key Assessment Areas (KAAs)<sup>147</sup> were assessed appropriately at the formulation stage of the Sector Policy Support Programme (SPSP). As underlined in the ROM, problems persisted in the accountability and transparency of annuals sector budget which was determined</p>					

<sup>147</sup> The seven Key Assessment Areas are as follows: i) the stability of the macroeconomic environment, ii) the coherence and consistency of the sector policy; iii) the credibility, comprehensiveness and transparency of the annual sector budgets, including a medium term strategic budgeting perspective; iv) the credibility and relevance of a programme to improve Public Finance Management; v) the existence and effectiveness of a government-led system of sector and donor coordination; vi) the existence and effectiveness of a performance monitoring system; vii) the existence and effectiveness of a programme to strengthen institutional capacities.



	<p>by the possibility of amending the budget without legislative approval, limited access to key fiscal information for population, etc.</p> <ul style="list-style-type: none"> <li>• Overall, the internal monitoring process was assessed positively. PAPDE was characterized by major innovation as the policy was accompanied by a monitoring project "Educiudadnia" conducted by FARO group.</li> <li>• For PAPDE, despite the strong governmental commitment to comply with the objective of the PDE and increased investments in education, the monitors point out some limits at institutional level within the Ministry of Education in terms of capacity to tackle and manage such an ambitious reform plan. Indeed the report recommended prioritising and sequencing PDE's targets and goals.</li> </ul>
<p><b>Key observations</b></p>	<p>En cuanto al monitoreo de los avances y ejecución de las políticas educativas, desde el Ministerio de Educación se plantea realizar reuniones trimestrales de seguimiento del cumplimiento de metas. Para esto se construyen, en la Dirección Nacional de Planeamiento del Ministerio de Educación, indicadores que permitirán realizar el monitoreo, seguimiento y evaluación de las políticas. Se espera que a partir de fines del 2007, estos instrumentos ya estén en aplicación. Además la Dirección Nacional de Planeamiento está coordinando el sistema de evaluación de alumnos y maestros.</p> <p>La mesa sectorial de educación, liderada por el Ministerio de Educación, constituirá un referente importante en el seguimiento de las prioridades políticas y la canalización y difusión de la información. Asimismo esta mesa posibilitará el intercambio y la coordinación de los donantes con el Ministerio de Educación con relación al apoyo de la cooperación a las políticas nacionales educativas.</p> <p>Durante la ejecución del PAPDE se tomarán en cuenta los análisis y opiniones que surjan de las diferentes instancias de coordinación de gobierno y donantes. También se promoverá la incorporación de la sociedad civil a los ciclos de consulta, seguimiento y control para su inclusión en el marco legal de la descentralización, desconcentración y participación educativa.</p> <p><b>Source: CF and DTA 2008</b></p> <p><i>Los indicadores seleccionados para el PAPDE son los del PDE.</i></p> <p><i>El avance del Plan de Inversiones a Medio Término fue analizado con vistas a determinar si Ecuador calificaba para un apoyo presupuestario sectorial: El Ecuador, de acuerdo al manejo actual de las finanzas públicas, sus controles y sus indicadores, podría ser un país elegible para un programa de apoyo presupuestario. Como expuesto en el punto 5, este tema será verificado, a través de un estudio de las finanzas públicas, que las condiciones necesarias para este tipo de apoyo estén reunidas.</i></p> <p><b>Source: Identification Fiche 2006</b></p> <p><i>Los establecimientos privados, que no reciben apoyo financiero del Estado, no hacen parte de la estrategia. Esta se dirige fundamentalmente a tratar de que el MEC tome la rectoría tanto del presupuesto asignado al sector como al sistema de la enseñanza y a reforzar al sector público en el rubro educación. (...)</i></p> <p><i>El porcentaje de escuelas y colegios que sería afectado por las políticas del PDE es de alrededor del 65-70%. Este tema será también un punto a verificar durante la etapa de formulación</i> <b>Source: Identification Fiche 2006</b></p> <p><i>(en 2005-2006) Las cuentas públicas están en superávit y se observa una neta tendencia de reducción progresiva de la deuda externa que asciende al 26,6% del PIB (la deuda externa e interna asciende al 34%).</i></p> <p><b>Source: Identification Fiche 2006</b></p> <p><i>Uno de los sectores donde existen significativos déficits de información pública es educación. Desde el año lectivo 2007-2008, no se cuenta con una publicación estadística anual por parte del Ministerio de Educación con información sobre matrícula, repitencia, deserción y promoción.</i></p> <p><i>El Instituto Nacional de Estadísticas y Censos (INEC) no publica resultados oficiales de las preguntas relacionadas con la asistencia y matrícula que se realizan cada año en la Encuesta de Empleo, Desempleo y Subempleo (ENEMDU),<sup>1</sup> y los últimos datos publicados oficialmente por el Sistema Integrado de Indicadores Sociales del Ecuador (SIISE) sobre educación corresponden a los años 2006 y 2007</i></p>
<p><b>Documentary sources</b></p>	<p><b>Source: Educiudadanía. Acompañando al Plan nacional de Educación. Mayo 2010</b></p> <p>"Assessment of Education Sector Policies and Progress in the Implementation of the Decennial Plan for Education (2006-2015) Ecuador period from January 2009 to July</p>

	<p>2010". Grupo Faro, September 2010.</p> <p>"Ecociudadanía, Informe II de Seguimiento del Plan Decenal de Educación". Grupo Faro, Julio 2011</p> <p>"Ecuador Country Strategy Paper, 2007-2013". UE</p> <p>"Hacia un Sistema de Observación Ciudadana". Araujo María Daniela, Salazar Paúl Esteban, Educidadanía, Julio 2010</p> <p>"Informe de Progreso Educativo Ecuador 2010". PREAL, Fundación Ecuador y Grupo FARO, 2010</p> <p>"Informe de Progreso Educativo Ecuador 2010". PREAL, Fundación Ecuador y Grupo FARO, 2010</p> <p>"Informe del Desempeño de la Gestión de las Finanzas Públicas (PEFA), Ecuador, 2009"</p> <p>"PAPDE Identification Fiche"</p> <p>"PAPDE ROM Report for 2009"</p> <p>"PAPDE, Convenio de Financiación y Addenda"</p> <p>"Perfil de los docentes en América Latina", Lucila Falus y Mariela Goldberg, SITEAL, Cuaderno 09, Junio 2009</p> <p>"Reforma Curricular para Educación Básica, Consejo de Educación", Ministerio de Educación. Septiembre 2007</p> <p>"Ten years education plan in Ecuador 2006.2015, Second Year published by the Ministry of Education"</p>
<b>Key stakeholders</b>	<ul style="list-style-type: none"> <li>- Ministry of Education,</li> <li>- Ministry of Finance,</li> <li>- SENPLADES</li> <li>- Ecuadorian Teachers</li> <li>- Ecuadorian Students</li> <li>- SETECI</li> <li>- Grupo FARO, Diagonal, Save the Children, CARE International, Universidad Católica de Santiago de Guayaquil,</li> <li>- Consejo Nacional de la Niñez y Adolescencia</li> </ul>

<b>Intervention Title</b>	<b>Decentralized Management of Natural Resources Support Programme</b>																													
<b>Sector</b>	<b>Sustainable rural development and environment.</b> The CSP 2002-2006 mentions the DAC Sector Code: 410 (environment protection – covers activities concerned with conservation, protection or amelioration of the physical environment). The Financing Proposal uses Sector Code: 4143																													
<b>EQ of relevance</b>	EQ 4																													
<b>Commission Ref.</b>	ALA/2003/003-235																													
<b>Intervention Start &amp; End date</b>	The financial commitment was approved by the EC on 3rd December 2003. According to ROM reports; the Financing Agreement was signed on 22/01/04 for a planned duration of 6 years.; the <b>planned start date</b> was 22/01/04; the ROM reports and Project Synopsis states that the <b>actual start date</b> was 22/01/04 (however according to the FIE " <i>El Programa inició el 25 de enero de 2005, con el nombramiento del Coordinador Nacional</i> "; the <b>planned end date</b> was 22/01/11 which (according to FIE) " <i>siguió una fase de cierre hasta finales de julio de 2010, de manera que la duración real del Programa fue de cuatro años y medio (cuatro años de operación y medio año de cierre)</i> ".																													
<b>Budget line</b>	<b>B7-3100 Financial and Technical Co-operation</b>																													
<b>Aid modality</b>	<b>Project - facilitating strategy framework</b>																													
<b>Budget planned, committed and paid, €</b>	<table border="1"> <thead> <tr> <th colspan="2"><b>Financing plan</b></th> </tr> <tr> <th colspan="2"><b>Total cost of the project : 20.300.000 €</b></th> </tr> <tr> <th><b>EC - contribution</b></th> <th><b>Provincial Governments and Ministry :</b></th> </tr> </thead> <tbody> <tr> <td>European TA 1.590.000 €</td> <td></td> </tr> <tr> <td>Local TA: 700.000 €</td> <td></td> </tr> <tr> <td>Evaluation: 100.000 €</td> <td></td> </tr> <tr> <td>Studies (global): 200.000 €</td> <td></td> </tr> <tr> <td>Training: 1.000.000 €</td> <td></td> </tr> <tr> <td>Equipment: 600.000 €</td> <td></td> </tr> <tr> <td>Information/ Visibility: 100.000 €</td> <td></td> </tr> <tr> <td>Operational cost: 410.000 €</td> <td>Operational cost: 1.350.000 €</td> </tr> <tr> <td>Environmental funds 12.000.000 €</td> <td>Environmental funds: 1.950.000 €</td> </tr> <tr> <td>Contingency: 400.000 €</td> <td></td> </tr> <tr> <td><b>Total: 17.000.000 €</b></td> <td><b>Total: 3.300.000 €</b></td> </tr> </tbody> </table>		<b>Financing plan</b>		<b>Total cost of the project : 20.300.000 €</b>		<b>EC - contribution</b>	<b>Provincial Governments and Ministry :</b>	European TA 1.590.000 €		Local TA: 700.000 €		Evaluation: 100.000 €		Studies (global): 200.000 €		Training: 1.000.000 €		Equipment: 600.000 €		Information/ Visibility: 100.000 €		Operational cost: 410.000 €	Operational cost: 1.350.000 €	Environmental funds 12.000.000 €	Environmental funds: 1.950.000 €	Contingency: 400.000 €		<b>Total: 17.000.000 €</b>	<b>Total: 3.300.000 €</b>
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<b>Beneficiary / National Counterpart</b>	<b>INECI Instituto Ecuatoriano de Cooperacion internacional (nowadays SETECI) was the contracting authorities</b> <b>National Counterpart: Ministry of Environment of Ecuador</b> <i>Los beneficiarios directos son los gobiernos seccionales; gobiernos provinciales, gobiernos municipales y juntas parroquiales de las tres provincias del norte en cuanto al proceso de descentralización. Los beneficiarios indirectos son todos los habitantes de la región (985,000 personas) que se beneficiarán indirectamente del mejoramiento de las capacidades de gestión ambiental.</i>																													
<b>Programme Background &amp; History</b>	According to the ATI – GTZ <sup>148</sup> : Ecuador has been a centrally organised country in which individual provinces have little power to make decisions. This is also true of the management of natural resources in the country. There is a need to strengthen the political will to pursue decentralisation and to transfer competency for environmental affairs to the lower administrative levels. At the same time, agricultural enterprises in the three northern provinces of Carchi, Imbabura and Esmeraldas must be encouraged to make their business objectives compatible with the sustainable use of natural resources. The coordination of the numerous affected people and groups who share the natural resources represents an additional challenge for the project.																													

<sup>148</sup> [HTTP://WWW.GTZ.DE/EN/WELTWEIT/LATEINAMERIKA-KARIBIK/24394.HTM](http://www.gtz.de/en/weltweit/lateinamerika-karibik/24394.htm)

	<p>FIE 2010 sets out that “El Programa de Apoyo a la Gestión Descentralizada de los Recursos Naturales en tres provincias del Norte del Ecuador – PRODERENA se enmarca en los lineamientos en la memoria de entendimiento sobre la cooperación al desarrollo entre la CE y Ecuador para el período 2000-2006. El proceso de diseño del Programa fue iniciado en octubre del 2001, mediante la realización de una “Misión de Identificación y de Pre-factibilidad para Intervenciones en el Área del Medio Ambiente en el Ecuador”. Esta misión propuso en su informe que el área geográfica de intervención fuese el norte del país y que “se concentre en el cuadrante noroeste, cubriendo las provincias de Carchi, Imbabura, Esmeraldas y norte de Manabí”. La argumentación se fundamenta alrededor de la ubicación de otras intervenciones ya existentes en el tema ambiental; las tres provincias del norte habrían recibido menor atención hasta ese momento. Según el POG “... el Programa persigue, como fin ulterior, un mejoramiento de las condiciones de vida de la población de las provincias de Carchi, Esmeraldas e Imbabura, a través de un fortalecimiento del proceso de descentralización de la gestión de los recursos naturales.” Se decide su inserción directa en la estructura institucional del Ministerio del Ambiente como Organismo Beneficiario que asume las responsabilidades operativas como las de manejo administrativo y financiero del Programa, quedando la Secretaría Técnica de Cooperación Internacional (SETECI) como Organismo Nacional de Tutela. A parte del MAE, los beneficiarios directos del Programa son los gobiernos seccionales. El POG define que “..además, todos los proyectos específicos –provinciales, municipales y comunitarios– que serán implementados con financiamiento del Programa tendrán como beneficiarios directos los habitantes en las respectivas áreas de ejecución.”</p>
<b>Overall objective</b>	<p><b><i>“Las condiciones de vida de la población del Norte de Ecuador han mejorado mediante el uso sustentable y la conservación del capital natural, y el derecho a vivir en un ambiente sano.”</i></b></p>
<b>Specific objectives</b>	<p><b><i>“Facilitar el fortalecimiento del sistema descentralizado de gestión ambiental en el Norte de Ecuador, impulsado por el Ministerio de Ambiente, los Consejos Provinciales y los Municipios, mediante el desarrollo de las capacidades institucionales y de la participación social.”</i></b></p>
<b>Expected results</b>	<p><b>According to the Financing Proposal and logframe:</b></p> <ol style="list-style-type: none"> <li>1. Competencias de Gestión Ambiental descentralizadas y desconcentradas transferidas, asumidas y en ejecución por parte de gobiernos seccionales.</li> <li>2. Mayor participación ciudadana en el manejo sostenible de los recursos naturales y en el mejoramiento de la calidad ambiental.</li> <li>3. Mejor gestión de los recursos marinos y costeros en la provincia de Esmeraldas fundamentada en un enfoque de desarrollo sustentable.</li> <li>4. Iniciada la ejecución de modos alternativos de gestión sustentable de los recursos del bosque tropical en las tres provincias.</li> <li>5. Mejor gestión de los recursos naturales de las cuencas andinas de las provincias de Carchi e Imbabura.</li> <li><b>6. Mejor gestión de la calidad ambiental en las tres provincias.</b></li> </ol> <p>GTZ stated the components as the following components:</p> <ul style="list-style-type: none"> <li>- Capacity development at the Environment Ministry and the provincial government to promote the process of decentralisation. Contracts will be signed between the Environment Ministry and the provincial government to regulate the sharing of competences.</li> <li>- Intensifying civil participation. Consultation committees are involved in the selection and implementation of projects. Workshops are held to develop competences, potential and environmental education measures are being undertaken.</li> <li>- Support for the (self-) administration of maritime resources. In the province of Esmeraldas, one focus of the programme's work is the sustainable use of coastal resources. Selected environmental and socioeconomic indicators for gauging sustainability are being improved.</li> <li>- Promoting alternative methods to protect the tropical rain forest. In all three provinces, the sustainable use of tropical rain forest resources is being promoted.</li> </ul>

	<p>Selected environmental and socioeconomic indicators for gauging sustainability are being improved.</p> <ul style="list-style-type: none"> <li>- Improved water management. In the provinces of Carchi and Imbabura, approaches to using resources in the Andean water catchment area will be improved. Irrigation systems are being set up and the existing water sources better protected.</li> <li>- Improved environmental standards. Environmental standards will be improved in the three provinces. This will be achieved by introducing an efficient waste disposal system, for example using waste separation and awareness-raising among the citizens, by installing wastewater systems, practising less intensive and more careful use of agro-chemicals.</li> </ul>
<p><b>Activities</b></p>	<p>Source: TOR of 2009 MTR.</p> <p>El mejoramiento de la <b>gestión de recursos costeros</b> en la provincia de Esmeraldas, requiere de actividades a los cuatro niveles institucionales:</p> <ul style="list-style-type: none"> <li>- <i>El Programa apoyará al MAE, a través de la Subsecretaría de Gestión Ambiental Costera y la Dirección Distrital, para desarrollar una mayor capacidad de gestión al nivel provincial, capacitando personal, implementando estudios y fomentando el papel facilitador del Ministerio en los procesos de coordinación provincial y nacional.</i></li> <li>- <i>Al nivel del Gobierno Provincial, se apoyará el fortalecimiento de las instancias de coordinación existentes para que se desarrolle una verdadera capacidad de gestión de recursos costeros marinos coordinada al nivel provincial, con su Plan de Acción y sus instrumentos de monitoreo y de regulación.</i></li> <li>- <i>Al nivel de los Municipios, se realizarán proyectos pilotos de gestión enmarcados en el Plan de Acción provincial (protección y rehabilitación de manglares, playas y humedales costeros, ordenamiento territorial municipal, prevención de contaminación, control y vigilancia pesquera, proyectos de fomento); el MAE y el Gobierno Provincial participarán en las actividades de fortalecimiento de la capacidad de las UGAs municipales.</i></li> <li>- <i>Al nivel de la sociedad civil, el Fondo de Iniciativas Socio-Ambientales apoyará la implementación de iniciativas locales de gestión comunitaria (p. ej. Proyectos de custodia comunitaria de manglares, desarrollo sostenible de pesca artesanal etc).</i></li> <li>- <i>Facilitará acciones dirigidas a revertir las tendencias actuales de explotación del <b>bosque tropical</b> y asentar un modelo de gestión más acorde con los objetivos de desarrollo sostenible:</i></li> <li>- <i>Al nivel del Ministerio del Ambiente, se apoyarán esfuerzos que contribuyan a transformar el sistema actual de gestión forestal, hacia una gestión más transparente y concertada; se necesitará asociar a los Gobiernos Seccionales y a la Sociedad Civil al control social del manejo forestal, la participación en el manejo de áreas protegidas, crear condiciones para una valoración más real de los recursos y una mejor redistribución de los ingresos, y generar transparencia y circulación de información; el Programa apoyará la implementación de Planes de fortalecimiento y transferencia de las Direcciones Distritales y Gobiernos Seccionales con programas de capacitación, y el establecimiento de un sistema de monitoreo forestal eficiente.</i></li> <li>- <i>Al nivel provincial, se apoyará el fortalecimiento de los esfuerzos para coordinar actores de la economía forestal, para crear espacios de concertación de políticas y de resolución de conflictos, con la facilitación de la Dirección Distrital y del Gobierno Provincial, y la participación de los Municipios, las organizaciones comunitarias, las empresas forestales y las ONGs.</i></li> <li>- <i>Al nivel municipal se apoyará las gestiones de los municipios para orientar su desarrollo con principios de ordenamiento territorial, participar en la planificación forestal en beneficio del desarrollo sustentable con instrumentos apropiados de gestión y generar recursos financieros para la reinversión local; también para crear condiciones adecuadas para la participación social en la gestión de áreas protegidas y de bosques comunitarios y en la reforestación;</i></li> <li>- <i>Al nivel local, mediante el Fondo de Iniciativas Socio-ambientales, se apoyarán</i></li> </ul>

	<p><i>iniciativas locales tendientes a la realización de proyectos pilotos de manejo forestal, de agroforestería y forestación comunitaria, destinados a crear las condiciones para que comunidades campesinas e indígenas puedan aprovechar sus recursos forestales de forma sustentable y contar con ingresos diversificados del bosque.</i></p> <p>Actuará como facilitador para el desarrollo de <b>políticas locales de manejo de cuencas</b>, integrando actores de la gestión a los diferentes niveles:</p> <ul style="list-style-type: none"> <li>▪ <i>El Programa apoyará a la Subsecretaría de Capital Natural y las Direcciones Distritales del MAE para capacitar y acompañar a los Gobiernos seccionales en la transferencia y delegación de competencias relativas a la gestión de los recursos de las cuencas andinas, planificando e implementando programas de capacitación y de asistencia técnica.</i></li> <li>▪ <i>Al nivel provincial, se apoyará los esfuerzos existentes en Imbabura y Carchi para establecer un mecanismo provincial de apoyo a la gestión de cuencas, con prioridad en los recursos hídricos y el manejo y conservación de bosques andinos y páramos.</i></li> <li>▪ <i>Al nivel municipal, se facilitará el desarrollo de experiencias locales de gestión incluyendo validación y aplicación de instrumentos como planes municipales de ordenamiento, planes de manejo, ordenanzas, tasas e incentivos como esquemas de servicios ambientales, gestión de sistemas de riego, protección de micro cuencas, reforestación de áreas de recarga acuífera etc.</i></li> </ul> <p><i>El Fondo de Iniciativas Socio-ambientales permitirá financiar y acompañar iniciativas locales de manejo sustentable de recursos al nivel comunitario, tales como manejo de bosques y páramos, áreas protegidas locales, gestión de sistemas de agua, viveros comunales y reforestación, desarrollo de alternativas tecnológicas de agricultura, crianza animal y agroforestería, forestación y reforestación etc.</i></p> <p><i>El desarrollo de un sistema descentralizado de gestión de la calidad ambiental requerirá:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Al nivel de la Subsecretaría de Calidad Ambiental del MAE, desarrollar la capacidad de acompañamiento hacia los gobiernos seccionales, desarrollar los instrumentos regulatorios y de diagnóstico y control a través de un Plan de Fortalecimiento y Transferencia;</i></li> <li>▪ <i>Al nivel de las provincias, gestionar una capacidad instalada mancomunada de gestión de la calidad ambiental, en particular en materia de competencias técnicas y de financiamiento de las inversiones, y coordinar planes de acción para la prevención y la mitigación de la contaminación y de los desastres ambientales;</i></li> <li>▪ <i>Al nivel municipal, fortalecer la capacidad para aplicar instrumentos de gestión como estudios de impacto ambiental, ordenanzas y vigilancia, tasas por contaminación, incentivos por servicios, planificación de proyectos de inversión (desechos sólidos y tratamiento de agua);</i></li> <li>▪ <i>Al nivel comunitario, fortalecer mecanismos de control social y programas de educación ambiental y participación ciudadana, a través de iniciativas locales.</i></li> </ul>
<p><b>Main achievements</b></p>	<p>Following the FIE of 2010, the main impacts were at the level of: <i>Objetivo específico del Programa:</i></p> <p><i>PRODERENA logró involucrar a la mayoría de los gobiernos provinciales (DIGAs), municipios (UGAs) y juntas parroquiales, sobre todo en las provincias de Imbabura y Carchi, así como algunas ONG, en la ejecución y el seguimiento de los proyectos de gestión del bosque tropical, cuencas andinas y calidad ambiental, menos en el manejo de los recursos marino-costeros y educación ambiental. Los impactos de esta participación consisten principalmente en:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Una mayor sensibilización y más conocimientos de gobiernos seccionales sobre problemas ambientales y estrategias de gestión ambiental.</i></li> <li>▪ <i>Temas de gestión ambiental, como protección de cuencas, bosques y páramos, y calidad ambiental están ahora más visiblemente en la agenda de los gobiernos seccionales.</i></li> <li>▪ <i>Los gobiernos seccionales han adquirido mayores capacidades técnicas y administrativo-institucionales para asumir competencias ampliadas de gestión</i></li> </ul>

	<p><i>ambiental.</i></p> <ul style="list-style-type: none"> <li>▪ <i>Los gobiernos seccionales de la zona, sobre todo las provincias de Imbabura y el Carchi y algunos municipios, cuentan ahora con más recursos humanos calificados, más presupuesto, más equipamiento y nuevas herramientas específicas para la gestión ambiental.</i></li> <li>▪ <i>Algunas ONG locales especializadas y bien ambientadas dan seguimiento a los proyectos.</i></li> <li>▪ <i>El hecho de que el MAE a nivel provincial y distrital haya aumentado la cobertura temática de su quehacer (cuenta ahora con más experiencia práctica en la gestión de los recursos del bosque y de las cuencas andinas y en temas como calidad ambiental), crea mejores condiciones para acompañar la transferencia de funciones de gestión ambiental a los gobiernos seccionales.</i></li> </ul>
<b>Weaknesses</b>	<p>FIE notes the following impediments blocking progress: “Factores que han frenado estos impactos:</p> <ul style="list-style-type: none"> <li>▪ <i>Hay incertidumbre en los gobiernos seccionales sobre las perspectivas de transferencia de competencias y recursos en determinados ámbitos de gestión ambiental, por ejemplo en gestión forestal o de cuencas hidrográficas.</i></li> <li>▪ <i>Estrechez del enfoque o inexperiencia en la implementación por los ejecutores de los proyectos.</i></li> <li>▪ <i>Poca concientización y voluntad política en algunos municipios y JP en temas de gestión ambiental.</i></li> <li>▪ <i>Cambios de autoridades, profesionales y técnicos hicieron perder voluntad política y conocimiento para mantener los logros obtenidos en municipios y juntas parroquiales.</i></li> <li>▪ <i>Distancia física y comunicativa de parte de muchos socios (ONG, universidades u otros) de los gobiernos locales; asistencia técnica y capacitación a control remoto y no en terreno.</i></li> <li>▪ <i>ONG y centros de investigación que no tienen permanencia y compromiso con las comunidades en las cuales han desarrollado su “consultoría”. (FIE: p8)</i></li> <li>▪ <i>Capacidad técnica instalada en el EGP era insuficiente. No todos los componentes contaron con un especialista en el equipo que pudiera dar un seguimiento. Contratos de servicios y las misiones cortas ATI no pudieron sustituir esta falta.</i></li> <li>▪ <i>La falta de un adecuado sistema M&amp;E, como instrumento de gestión interno del Programa, más la falta de un estudio de base, fueron omisiones que afectaron e la capacidad de gestión del EGP.</i></li> <li>▪ <i>Los Comités Consultivos Provinciales y Nacional (CCP/CCN) no cumplieron realmente con su función de dar seguimiento a las actividades y proyectos del Programa.</i></li> <li>▪ <i>En el diseño y la implementación de las subvenciones se observa un cierto reduccionismo.</i></li> <li>▪ <i>La rigidez de la regla n+3 obligó al inicio simultáneo de varias actividades e impidió implementar una secuencia lógica entre ellas; esto dificultó la aplicación de lecciones.</i></li> <li>▪ <i>Cierta falta de articulación y coordinación entre los diferentes componentes lo que es al mismo tiempo expresión y consecuencia de una cierta debilidad conceptual y técnica.</i></li> <li>▪ <i>Las divergencias de interpretación en el significado y alcance de las políticas de descentralización entre el MAE y los gobiernos seccionales afectó las posibilidades del Programa de avanzar más en el logro de su objetivo específico.</i></li> <li>▪ <i>Los cambios de subsecretarios/as de patrimonio natural en el MAE, responsables de la ejecución del Programa desde el MAE central, significaron para la coordinación nacional un desgaste.</i></li> <li>▪ <i>Por diferentes razones (problemas iniciales en la introducción del e-SIGEF; insuficiente “espacio presupuestario” para la realización de transferencias con</i></li> </ul>

	fondos UE; y otras), muchos desembolsos no cumplieron con el cronograma previsto lo que causó atrasos en la realización de las actividades planeadas. (FIE: p65)					
<b>ROM Scores</b>		1. Relevance & Quality of design	2. Efficiency	3. Effectiveness	4. Impact prospects	5. Potential sustainability
	2006	<b>B</b>	<b>C</b>	<b>B</b>	<b>B</b>	<b>B</b>
	2007	<b>C</b>	<b>C</b>	<b>C</b>	<b>B</b>	<b>B</b>
	2009	<b>A</b>	<b>B</b>	<b>A</b>	<b>A</b>	<b>B</b>
	<p>A= very good, B= good ; C=problems ; D=serious deficiencies</p> <ul style="list-style-type: none"> <li>• PRODERENA suffered significant delays in the implementation phase. In the case of PRODERENA, although the FA was signed in January 2004, the service, supply and grant contracts were not signed before December 2006 (ROM 2009). Given this significant delay, project contract services (education, training, studies and diagnoses) were running in parallel to Grant Contracts. This mismatch in the timing of the different components entailed the loss of the opportunity to appropriately train project managers prior to the launching and implementation of the grant contracts.</li> <li>• Overall, the internal monitoring process was assessed positively assessed. PRODERENA ROM reports point to the existence of a good monitoring process given the baseline definition and clarity in the formulation of indicators (OVIs).</li> <li>• High turnover in human resources at ministerial and regional government level (PASSE, PRODERENA) were identified as main hindrances to the process of capacity building as well as to the effective performance of the programme.</li> <li>• PRODERENA was the programme which received the highest score in terms of impact. This is partly explained by the enhanced coordination mechanisms established between the "Juntas Parroquiales", "Gobiernos Municipales" "and "Gobiernos Provinciales" as well as with central government Institutions (MAE and SENPLADES). Furthermore, positive impacts were identified in terms of environmental quality, (waste management, watershed system and reforestation), influenced also by the cultural change at local level specifically at Environmental management Unit "Unidad De Gestion Ambiental" (UGA) and enhanced awareness among local communities.</li> </ul>					
<b>Key observations</b>	See EQ4.					
<b>Documents</b>	<p>Convenio de Financiación; Addendum No 2 (2006); ; Informe Ejecutivo de la misión - Diagnóstico Institucional y de Tecnologías de Información y Comunicación del Ministerio del Ambiente frente al proceso de descentralización y desconcentración (2006); Plan Operativo Global 1 Enero 2006 – 31 Diciembre 2009 - . (2005) Informe Técnico-Financiero. ; Plan Operativo Anua 2006; Plan Operativo Anual 2007; Consultoría de Apoyo al Manejo del Bosque Tropical. Informe final. Noviembre 2008. Geilfus F., A. Carrasco V. &amp; P. Herrmann. 2003. Programa de Apoyo a la Gestión Descentralizada de los Recursos Naturales en las 3 Provincias del Norte del Ecuador" ; Poats, S y Suarez. "Descentralización y gobernanza ambiental en áreas protegidas de Carchi, Ecuador: Lecciones de la Reserva Ecológica El Ángel y el Bosque Protector Golondrinas". (2009); Mellen P, Dr Gentes I. NIRAS, miembro del Consorcio NPINSISI, "Informe Final de la evaluación de medio término (2009); INFORME FINAL: EVALUACIÓN FINAL del PRODERENA., (2010); Carrasco V et al "Descentralización: un necesario camino por recorrer. Informe de Sistematización", Ministerio del Ambiente – PRODERENA" / ALDIR Cía. Ltda. Quito - Ecuador. (2010) GTZ/IS – FFLA, "Informe Final de ATI. Informe No. 15. (9 de mayo de 2010)</p>					
<b>Key stakeholders</b>	<ul style="list-style-type: none"> <li>- Ministry of Environment (MAE)</li> <li>- Provincial offices of the Ministry of Environment "</li> <li>- Provincial Governments of Imbabura, Carchi y Esmeraldas; <i>Dirección de Gestión Ambiental</i>" (DIGA)</li> <li>- The 19 Municipalities, namely Municipal Environmental Management Unit</li> </ul>					



	<p><i>"Unidades Descentralizadas de Gestion Ambiental Municipal" (UGAs)</i></p> <ul style="list-style-type: none"> <li>- Parish Councils;</li> <li>- Communities in the 3 Provinces of Imbabura, Carchi y Esmeraldas: (950,000 inhabitants, 10% of Ecuadorian Population)</li> <li>- INECI (nowadays SETECI)</li> <li>- Provincial Advisory Committees <i>"Comites Consultivos Provinciales"</i> composed by the Provincial Governments, and coordination structures ( Consorcio Carchi, Mancomunidad de Angen en Carchi, las Unidades de Conservacion y Vigilancia en Esmeraldas, la mesa interinstitucional de recursos hidricos</li> <li>- Consorcios de Consejos Provinciales de Ecuador (CONCOPE): Association of the Autonomous Decentralized Provincial governments, <i>" Gobiernos Autonomos Descentralizados"</i> (GADPs), made up of governors and prefects. It is a center of thought and action to guide and strengthen the actions of governments intervening in order to contribute to governance, equity and development in the country.</li> <li>- Asociacion de Municipios del Ecuador- Regional Norte</li> <li>- Grass-root organizations, local NGOs</li> </ul>
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<b>Intervention Title</b>	<b>Programa de Apoyo al Sector Salud en Ecuador (PASSE)</b>																																																																																																																																																
<b>Sector</b>	Health																																																																																																																																																
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<b>Commission Ref.</b>	ALA/2004/016-916																																																																																																																																																
<b>Intervention Start &amp; End date</b>	Date Financing Agreement signed: 09/02/2005 Start Date: 22/03/2005 End Date: 22/10/2009 (Addendum No. 1)																																																																																																																																																
<b>Budget line</b>	ALA																																																																																																																																																
<b>Aid modality</b>	Project approach																																																																																																																																																
<b>Budget planned, committed and paid, €</b>	<p>El PASSE fue planificado con una duración de cuatro años y un presupuesto total 35.648.820 Euros, de los cuales:</p> <ul style="list-style-type: none"> <li>• 28.000.000 Euros, por parte de la CE con cargo a fondos no reembolsables,</li> <li>• 7.648.820 Euros, por parte del país beneficiario,</li> <li>• 2.320.000 Euros, en aportaciones de los beneficiarios (mano de obra y materiales para la ejecución de las obras, apoyo con personal técnico y el aporte de locales para oficinas del programa.</li> </ul>																																																																																																																																																
	<b>TABLE 9.1: PASSE, PLANNED BUDGET</b>																																																																																																																																																
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	5. Funcionamiento	6.220.400,00	1.763.318,22	28.3	7.1	92.9
	6. Iniciativas locales	1.200.000,00	1.015.809,00	84.6	100.0	0.0
	Total	29.927.200,00	10.075.140,61	33.7	82.3	17.7
	<i>Source: Informe 1er trimestre 2008. PASSE</i>					
<b>Beneficiary / National Counterpart</b>	INECI Ministry of Public Health					
<b>Programme Background &amp; History</b>	El "Programa de Apoyo al Sector Salud de Ecuador" (PASSE) ALA/2004/016-916 surge al suscribirse el 04 de junio del 2001 el Memorando de Entendimiento entre la Comisión Europea (CE) y el Gobierno de la República de Ecuador; documento que define las orientaciones plurianuales para el programa de cooperación financiera, técnica y económica de la CE con Ecuador durante el período 2001 - 2006. En este marco de cooperación se asignó al Programa de Apoyo a la Política de Salud 28 millones de Euros.					
<b>Overall objective</b>	El objetivo general es apoyar el proceso de Reforma del Sector Salud y el Modelo de Atención Integral e Intercultural basado en la promoción de la salud, la prevención de la enfermedad y la atención primaria de salud. <b>Source: FA and TAPs</b>					
<b>Specific objectives</b>	El objetivo específico es contribuir a mejorar la equidad, la cobertura, la calidad y la eficiencia de los servicios de salud y saneamiento básico en tres provincias de la sierra central, así como apoyar la descentralización del sistema de salud. <b>Source: FA and TAPs</b>					
<b>Expected results</b>	<p>Resultado 1: El proceso de Reforma de Salud a nivel central ha sido apoyado y fortalecido, así como mejorada la función rectora del Ministerio de Salud Pública (MSP).</p> <p>Resultado 2: Las instituciones de salud que forman parte del Sistema Provincial y Cantonal de Salud han fortalecido su gestión y la capacidad de asumir las transferencias de las competencias sanitarias.</p> <p>Resultado 3: El funcionamiento de la red de servicios de salud a nivel local ha mejorado en cobertura, utilización, calidad y en capacidad de resolución.</p> <p>Resultado 4: El número de comunidades que disponen de sistemas de abastecimiento de agua / eliminación de excretas, adecuados se ha incrementado. 40,000 habitantes se han beneficiado en lo que se refiere a abastecimiento de agua segura.</p> <p>Resultado 5: La organización y la participación comunitaria en el sector salud se ha fortalecido; se dispone de estructuras comunitarias eficientes para la ejecución y gerencia de los sistemas de agua y saneamiento básico; y se han fomentado hábitos de vida saludables de vida e higiene personal y familiar. <b>Source: FA and TAPs</b></p>					
<b>Activities</b>	<p>Resultado 1: El proceso de Reforma de Salud a nivel central ha sido apoyado y fortalecido, así como mejorada la función rectora del Ministerio de Salud Pública (MSP).</p> <ol style="list-style-type: none"> <li>1. Apoyo a la implementación de la Ley Orgánica del Sistema Nacional de Salud (LOSNS) y de la Ley de Maternidad Gratuita y Atención a la Infancia (LMGyAI).</li> <li>2. Apoyar el proceso de separación de funciones (financiación, compra y provisión de servicios sanitarios) del MSP, fortalecimiento de su función rectora y apoyo a las actividades del CONASA</li> <li>3. Apoyo a la reestructuración del MSP para mejorar su eficiencia y eficacia.</li> <li>4. Apoyo al proceso de extensión de cobertura en el marco del Sistema Nacional de Salud.</li> <li>5. Apoyo a la coordinación del MSP con el Instituto Ecuatoriano de Seguridad Social (IESS) y otras instituciones del sector para incrementar la cobertura y equidad (género, etnia, nivel sociocultural, discapacitados, etc.)</li> </ol>					

	<p>6. Apoyo para el análisis y actualización del marco normativo.</p> <p>7. Fortalecimiento de los sistemas de información y gestión financiera.</p> <p>8. Fortalecer la capacidad del MSP para formular políticas de vigilancia epidemiológica, Atención Primaria de Salud (APS), atención especializada y medicamentos.</p> <p>9. Capacitación del personal técnico del MSP</p> <p><b>Resultado 2: Las instituciones de salud que forman parte del Sistema Provincial y Cantonal de Salud han fortalecido su gestión y la capacidad de asumir las transferencias de las competencias sanitarias.</b></p> <p>1. Identificación, promoción e integración de capacidades locales con fortalecimiento de alianzas mixtas (Municipios, ONG, instituciones educativas, etc.)</p> <p>2. Apoyo a la creación de Concejos Cantorales y Provinciales de Salud / Apoyo técnico para la elaboración de Planes Cantorales de Salud, negociación de transferencias, etc.</p> <p>3. Desarrollo de mecanismos de difusión de experiencias exitosas existentes a nivel nacional, regional e internacional e implementación de un plan de Comunicación para Cambios de Comportamiento (CCC).</p> <p>4. Implementación de programas de salud costo-efectivos para disminuir la incidencia y mortalidad de determinadas patologías de alta prevalencia y problemas socio-sanitarios (Atención Integral de las Enfermedades Prevalentes de la Infancia – AIEPI, Ley de Maternidad Gratuita y Atención de la Infancia – LMGYAI, Tuberculosis, HIV, Dengue, Malaria, Salud Mental, desastres, adulto anciano, discapacitados y mujeres.</p> <p>5. Capacitación del personal en gestión sanitaria e interinstitucional.</p> <p>6. Apoyo al mejoramiento de las infraestructuras y equipamiento de las unidades gestoras y administrativas de la red de salud</p> <p><b>Resultado 3: El funcionamiento de la red de servicios de salud a nivel local ha mejorado en cobertura, utilización, calidad y en capacidad de resolución.</b></p> <p>1. Capacitación de los profesionales, promotores y parteras.</p> <p>2. Integración de las medicinas tradicionales en el sistema formal de APS.</p> <p>3. Apoyo para mejorar la coordinación entre la APS y la atención especializada, niveles de referencia, contra referencia y emergencias.</p> <p>4. Mejora de las infraestructuras de las unidades de salud.</p> <p>5. Mejora del equipamiento clínico y administrativo de las unidades de salud.</p> <p>6. Mejora de la eficacia y sostenibilidad del sistema de abastecimiento de insumos médicos.</p> <p>7. Mejora de los servicios de asistencia socio-sanitaria (ancianos, discapacitados, etc.)</p> <p><b>Resultado 4: El número de comunidades que disponen de sistemas de abastecimiento de agua / eliminación de excretas, adecuados se ha incrementado.</b></p> <p>1. Identificación, priorización y estudio de los proyectos de abastecimiento de agua.</p> <p>2. Implementación o mejora de los sistemas de abastecimiento de agua.</p> <p>3. Identificación, priorización y estudio de proyectos de saneamiento.</p> <p>4. Implementación o mejora de los sistemas de saneamiento (incluidos los desechos sanitarios).</p> <p>5. Diseño e implementación de un programa de mantenimiento de los sistemas.</p> <p>6. Fortalecimiento institucional en el sector de agua y saneamiento.</p> <p><b>Resultado 5: La organización y la participación comunitaria en el sector salud se ha fortalecido; se dispone de estructuras comunitarias eficientes, para la ejecución y gerencia de los sistemas de agua y saneamiento básico y se han fomentado hábitos de vida saludables de vida e higiene personal y familiar.</b></p> <p>1. Desarrollo de la participación comunitaria.</p> <p>2. Capacitación de líderes comunitarios y promotores de salud.</p>
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	<p>3. Organización de operaciones y mantenimiento de los sistemas (Comités de Agua y Saneamiento).</p> <p>4. Información, Educación y Comunicación (IEC) en aspectos sanitarios, nutricionales.</p> <p>5. Desarrollo de programas de educación sexual y reproductiva (violencia intrafamiliar, etc.).</p> <p>6. Fomento de iniciativas locales en el área de salud.</p> <p>7. Implementación de las UCEI (Unidades de Comunicación e Información), apoyo y seguimiento de la relación de los Concejos Cantorales y Provinciales de Salud (CCS, CPS) con la comunidad. <b>Source: TAPs</b></p>				
<b>Main achievements</b>	<p>PASSE has contributed to the national priorities and needs in key policy areas, such as: changes in the national and local health systems, the strengthening of the health service network, the improvement of water and basic sanitation services and the strengthening of community organization and participation in health issues.</p> <p>La intervención del PASSE fue diseñada para aportar en la respuesta a los siguientes problemas identificados: debilidad rectora del MSP, presupuesto insuficiente, falta de personal sanitario en las unidades operativas, falta de capacidades locales, baja utilización de los servicios de salud, alta incidencia de enfermedades de origen hídrico y alimenticio (falta de higiene, baja cobertura de saneamiento básico) y débil participación comunitaria. El PASSE desarrolla una intervención orientada a apoyar el proceso de Reformas del Sector Salud y el Modelo de Atención Integral e Intercultural basado en la Promoción de la Salud, la Prevención de la Enfermedad y la Atención Primaria de Salud (APS).</p> <p>El PASSE durante sus tres primeros años (marzo 2005 a marzo 2008) a implementado una metodología fundamentada en la extensión de la cobertura de los servicios de salud a la población con énfasis en los más pobres, fortaleciendo la red de establecimientos de salud del primer y segundo nivel de atención, apoyando las acciones de educación, promoción prevención, formación del personal sanitario, organización y participación comunitaria, mejora en el abastecimiento del agua y saneamiento básico, lo cual brinda la posibilidad de contribuir a forjar una cultura de gestión, atención, financiación y participación colectiva sectorial en la salud, la defensa de los derechos de la población.</p> <p><b>Source: Mid Term Evaluation 2008</b></p>				
<b>Weaknesses</b>	<p>El sistema de registro, monitoreo y evaluación de las actividades es insuficiente y limitado principalmente en lo que corresponde a participación comunitaria; aunque existen planes mensuales a nivel provincial y modelos de informes periódicos por actividad, estos no son sistematizados de tal forma que fueran utilizados para la toma de decisión oportuna.</p> <p><b>Source: Mid Term Evaluation 2008</b></p>				
<b>ROM Scores</b> ROM 2007	1. Relevance & Quality of design	2. Efficiency	3. Effectiveness	4. Impact prospects	5. Potential sustainability
	<b>B</b>	<b>C</b>	<b>B</b>	<b>B</b>	<b>B</b>
	<p>A= very good, B= good ; C=problems ; D=serious deficiencies</p> <p>Overall, the logical framework has been revised in the majority of programmes. Moreover monitors have pointed out that global objectives and specific objectives were difficult to measure and objective verifiable indicators (OVIs) were vague and often not quantifiable. In the case of PASSE, some issues in the quality of design and relevance emerged in 2007 when the Ministry of Public health (MSP) adopted a different approach to the Comprehensive Health Care Model (PASSE ROM 2007)</p>				
<b>Key observations</b>	<p>La Misión de Evaluación consideró que la implementación del PASSE ha tenido dos etapas:</p> <p>1. El periodo 2005 - 2006 se caracteriza por la ejecución de actividades organizativas y funcionales internas, dificultades en la socialización, empoderamiento institucional y conceptualización de los procesos a desarrollar entre los principales actores vinculados (PASSE - MSP - CUE), así como los cambios</p>				

	<p>constantes en el contexto político del país - por tanto a nivel institucional - que no permiten la operativización adecuada de las acciones según los tiempos previstos. En estos dos años el programa creó expectativas en los beneficiarios que no fueron suplidas y presentó una muy baja ejecución financiera que generó inconformidad y desconfianza.</p> <p>2. La segunda etapa (2007 – 2008) inicia con una nueva administración del país que define una política de abordaje de la situación de salud con un enfoque no curativo y enfatizando en la promoción, prevención, interculturalidad y participación comunitaria. El MSP toma la decisión de asumir el curso del PASSE y transformarlo en una efectiva entidad de apoyo al desarrollo del Modelo de Atención Integral e Intercultural, para lo cual desarrolla procesos de empoderamiento que le imprime al programa dinamismo, mayor flujo de los recursos hacia los beneficiarios y cumplimiento de las actividades previstas.</p> <p>Durante la segunda etapa de ejecución del programa (2007 – 2008) el MSP identificó la situación existente alrededor del desarrollo de la intervención y asumió la conducción del mismo partiendo de la definición de una política de país y un modelo congruente con la integración de los diferentes subsectores del sector salud que posibilite el desarrollo de un enfoque fundamentalmente promocional, preventivo y con una amplia participación comunitaria intercultural. Este cambio estratégico permitió dinamizar la ejecución física y financiera del programa orientada al fortalecimiento institucional del MSP con la incorporación conjunta del MSP – PASSE.</p> <p><b>Source: Mid Term Review 2008</b></p>
<b>Documentary sources</b>	<p>Agenda Social 2006; Código de la Niñez y Adolescencia; Constitución Política del Ecuador 2008; Ecuador Country Strategy Paper, 2002-2006, European Commission; Ecuador Country Strategy Paper, 2007-2013. European Commission; Evaluación de Medio Término del Programa de Apoyo al Sector Salud en Ecuador, PASSE; Evaluación Final del Programa de Apoyo al Sector Salud en Ecuador, PASSE ; SENPLADES, Plan Nacional para el Buen Vivir 2007-2013; INEC Estadísticas Hospitalarias 1997-2008; INEC, Anuario de Recursos y Actividades de Salud, 2003, 2006 y 2009; INEC, Anuario de Recursos y Actividades de Salud, 2005-2010, INEC, Estadísticas Vitales, Año: 1997 – 2008; INEC. Encuesta de Condiciones de Vida 1995-2006; Ley de Maternidad Gratuita y Atención a la Infancia; Ley Orgánica de Salud; Memorias del Foro Nacional de Consejos Cantonales 2009, Ministerio de Finanzas, PGE: Presupuesto General del Estado; Objetivos de Desarrollo del Milenio; OMS, Estadísticas Sanitarias Mundiales 2010 ; PASSE Financing Agreement; Política Nacional de Salud y Derechos Sexuales y Reproductivos</p>
<b>Key Stakeholders</b>	<p>Ministry of Public Health (MSP)</p> <p>National Health Council “<i>Consejo Nacional de Salud</i>” (CONASA)</p> <p>Ecuadorian Institute for Social Security “<i>Instituto Ecuatoriano de Seguridad Social</i>” (IESS)</p> <p>Provincial Directorates of the Ministry of Health of Chimborazo, Cotopaxi and Bolívar provinces</p> <p>Health Provincial Councils “<i>Consejos Provinciales de Salud</i>”</p> <p>Health Municipal Councils “<i>Consejos Municipales de Salud</i>”</p> <p>Operational Health Units “<i>Unidades Operativas de Salud</i>”. The MSP ranks health services at three levels of complexity of medical technology: health areas (units of care), hospitals (basic and 2nd level), and specialised hospitals (3rd level).</p> <p>Water Board “<i>Juntas de Agua</i>”. Which are responsible for managing water resources in rural areas</p> <p>Parish Council “<i>Juntas Parroquiales</i>” which operate at urban and rural parishes of the canton</p>

## ANNEX 10: ROM ANALYSIS

This annex presents the findings that emerge from the review of the 62 monitoring reports (Results-Oriented Monitoring reports or ROM reports) available through the CRIS database for projects implemented in Ecuador between 2003 and 2010. It is structured in three sections:

- ✓ Section one presents an overview of available ROM reports;
- ✓ Section two presents the results of the analysis undertaken on the whole set of available monitoring reports and focuses on the results or scores attributed by the ROM reports to the projects; and
- ✓ Section three presents the results of a more qualitative analysis of those ROM reports which refer to the five of the six selected programmes

### 1. OVERVIEW OF AVAILABLE ROM REPORTS

Table 10.1 below provides an overview of the available ROM reports in relation to the interventions funded in the period covered by the evaluation.

**TABLE 10.1: OVERVIEW OF ROM REPORT AVAILABILITY, ECUADOR 2003-2010**

	Nº
Nº of projects implemented in Ecuador	89
Nº of projects with a monitoring report	34
Nº of monitoring reports	62
Nº of project under ALA-DCI ALA budget line with ROM	5/10
Nº of project under horizontal budget lines with ROM	29/79

Source: DRN elaboration based on ROM reports

Out of the 89 funded projects in Ecuador between 2003 and 2010 which under the scope of the evaluation 34 projects (38.2%) have at least one monitoring report and five out of the ten programmes funded under ALA & DCI Ala budget lines have been monitored at least once<sup>149</sup>. Finally, with specific reference to projects financed under thematic budget lines, 29 out of the 79 interventions have been monitored (36.7%).

### 2. ANALYSIS OF SCORES ATTRIBUTED BY THE ROM REPORTS TO THE PROJECTS

The starting point for the analysis undertaken on the whole set of available monitoring reports is the reconstruction of the extracted raw data from CRIS (Excel file) for the all MR for Ecuador<sup>150</sup>. The extracted file summarises the results of the monitoring reports (ROM) available for projects implemented in Ecuador within the framework of the financing decisions issued between 2003 and 2010. The file provided the following data;

- CRIS and/or ROM identification number
- Country/region of the activity monitored.
- Title of project
- Sector/subsector
- Budget
- Data on the scores attributed by the ROM reports to the various projects. For each monitoring report marks "A" to "D" are provided in relation to the five DAC evaluation Criteria of: i) relevance and quality of design, ii) efficiency of implementation to date, iii) effectiveness to date, iv) impact prospects, v) potential sustainability.
- Start and end date
- Date of monitoring visit.

<sup>149</sup> ExpoEcuador, PROLOCAL, PASSE, PAPDE and Eje Vial no1.

<sup>150</sup> The raw excel file for monitoring report in Ecuador has been extracted setting two filtering criteria: Ecuador as geographical region, financing decisions issued between 2003-2010.

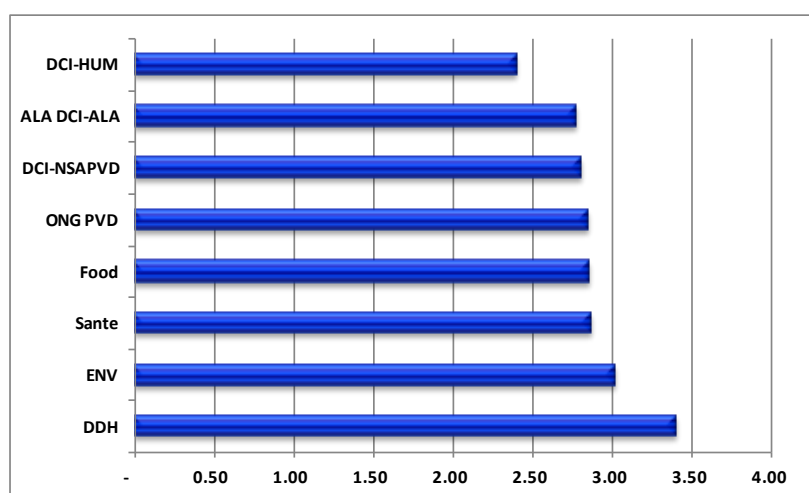
Starting from this available information, the consultants have reworked the file accordingly:

- Suppress programmes that fall out of the scope of the evaluation, cross-checking with all the projects included in the inventory<sup>151</sup>
- Cross-check data (budget) with the inventory prepared during inception phase
- Allocate sectors and financing instruments to each programme as per inventory<sup>152</sup>

With a view to enabling the calculation of average scores, the alphabetical scores have been transformed in numerical scores as follows:

- A: Very good (very good project, fully according to or better than to plan. There is every indication that it will achieve its Purpose and Objectives.) = 4 points
- B: Good (good project, broadly progressing as planned. But certain corrective measures might be required if the project is to fully reach its Purpose and Objectives) = 3 points
- C: Problems (the project has problems. Without corrective measures it will not meet its Purpose and Objectives) = 2 points
- D: Serious deficiencies (Substantial corrective measures, major redesign or termination of the project is necessary.) = 1 point<sup>153</sup>
- 

**FIGURE 10. 1: ROM MONITORING SCORE BUDGET OVERALL PERFORMANCE**



*The overall performance score is a simple average of the weighted average for the five DAC evaluation criteria.*

*It has been calculated weighting each score for each evaluation criteria for the project cost and divided by the total value of the budget line to which each programme belongs*

*DRN elaboration based on ROM reports*

<sup>151</sup> There were programmes financed under EuroSolar programme which do not fall into the evaluation scope and they were not neither included in the inventory being components of regional horizontal programmes.

<sup>152</sup> Based on the sectoral analysis conducted during the inception phase for the inventory, two additional columns have been added: one for the macro-sector and the other one for the sector in order to detect and ascertain trends and progress by sector of intervention.

<sup>153</sup> European Commission EuropeAid, "Handbook for Result-oriented Monitoring of EC external Assistance. Projects and Programmes" (2008), pag. 39



**TABLE 10.2: ROM MONITORING SCORE BUDGET LINE PERFORMANCE WEIGHTED AVERAGE OF THE 5 DAC EVALUATION CRITERIA, 2003-2010**

	Weighted Average Score Relevance	Weighted Average Score Efficiency	Weighted Average Score Effectiveness	Weighted Average Score Impact	Weighted Average Score Sustainability	Weighted Average Score
ALA DCI-ALA	3.09	2.48	2.52	2.78	3.00	2.77
DCI-HUM	3.00	2.00	2.00	3.00	2.00	2.40
DCI-NSAPVD	3.00	2.00	3.00	3.00	3.00	2.80
DDH	4.00	4.00	3.00	3.00	3.00	3.40
ENV	3.16	2.94	2.90	2.94	3.11	3.01
Food	3.00	2.75	3.00	2.50	3.00	2.85
ONG PVD	2.66	3.01	2.92	2.96	2.65	2.84
Sante	2.67	2.67	3.00	2.67	3.33	2.87

*The overall performance score is a simple average of the weighted average for the five DAC evaluation criteria.*

*It has been calculated weighting each score for each evaluation criteria for the project cost and divided by the total value of the budget line to which each programme belongs*

*DRN elaboration based on ROM reports*

Overall, the difference between the various budget lines is not wide. The average score ranges between 2.4 and 3.4. The best performer is the human right budget line (DDH), although only one project of less than € 500,000 was evaluated in the period, not being a significant sample. In terms of Efficiency, the various budget lines presented some problems like DCI-HUM, DCI NSAPVD and ALA-DCI ALA. The average efficiency score for ALA was 2.48. Due to the significant delays that bilateral cooperation programmes (EXPOEcuador, PRODERENA and PASSE) suffered in the first two years of implementation, efficiency scores were pretty low. Environment Thematic budget lines (ETBL) obtained a good score, as the average efficiency score amounted to 3. The average score for non state Actors and Local Authorities was fairly good; relevance effectiveness and impact were positively assessed, while the efficiency and sustainability criteria denote some problems.

The biggest programmes which were financed through ALA-DCI ALA budget lines were the most relevant having a weighted average score amounting to 3.09, pointing out a good quality of design and appropriate approach to target beneficiaries group.

A positive score was attributed to the sustainability of the various budget lines. The best performers were health thematic budget lines, environmental and human rights.

Table 10.3 provides a snapshot of the average results attributed to the 33 monitored projects, by macro-sector and sectors. As displayed in the table, the number of interventions analysed and the number of ROM available were limited. As illustrated in the table, the sectors Social Services and Natural Resource Management (NRM) were the sectors which benefited the most from monitoring (80% and 73% of projects were monitored, respectively), while for sustainable rural development the monitored projects were 33%. Governance & Democracy (G&D) sector was the sector which benefited less from monitoring (12.5% monitored projects). This can be explained by two orders of factors: only 10% of programmes with an amount smaller than €1M are monitored, while the average amount of project under G&D was around € 588,000.

From a financial perspective, the monitored programmes accounted for € 160.33 M (72.1% of total committed funds between 2003-2010).

TABLE 10.3: SCORES ATTRIBUTED TO PROJECTS IN THE 62 ROM REPORTS COVERING 34 PROJECTS IN THE PERIOD 2003-2010 BY SECTOR

MacroSectors	Total Number of Projects financed*	Number of Monitored Projects	Number of ROMs	Committed Amount	Relevance Average score	Relevance weighted average score	Efficiency Average Score	Efficiency Weighted Average Score	Effectiveness Average Score	Effectiveness Weighted Average Score	Impact Average Score	Impact Weighted Average Score	Sustainability Average Score	Sustainability Weighted Average
NRM	15	11	23	29,206,165.00	3.13	3.04	2.91	2.55	2.87	2.94	3.04	3.14	3.09	3.03
Biodiversity	4	3	4	3,663,207.00	3.00	2.88	2.75	2.62	3.25	3.33	3.00	2.88	3.00	3.00
Forest	3	3	10	4,910,568.00	3.00	3.15	3.13	3.11	2.75	2.71	3.13	3.08	3.25	3.19
Global	2	2	4	18,554,788.00	3.00	3.00	2.25	2.31	2.75	2.92	3.00	3.22	3.00	3.00
Wat & San	5	3	5	2,077,602.00	3.43	3.42	3.14	3.34	2.86	3.00	3.00	3.00	3.00	3.00
Sustainable Rural Dvpt	30	10	22	20,201,382.00	2.73	2.69	2.73	2.75	2.82	2.91	3.00	3.07	2.77	2.74
Institutional Building	2	2	4	4,576,352.00	2.00	2.00	2.50	2.63	2.75	2.82	2.50	2.54	2.00	2.00
LED	18	7	17	16,190,326.00	2.88	2.90	2.82	2.76	2.82	2.94	3.13	3.21	2.94	2.95
Waste Mgmt	10	1	1	565,296.00	3.00	3.00	2.00	2.00	3.00	3.00	3.00	3.00	3.00	3.00
Governance & Democracy	32	4	6	2,046,073.00	3.17	3.37	3.17	3.22	2.83	2.76	3.00	3.00	2.83	2.76
Marginalised Groups: Minorities	3	2	4	1,001,804.00	3.00	3.21	3.50	3.41	3.00	3.00	3.00	3.00	3.00	3.00
Social Inclusion	3	1	1	499,903.00	3.00	3.00	2.00	2.00	2.00	2.00	3.00	3.00	2.00	2.00
Vulnerable Groups: Women	3	1	1	544,366.00	4.00	4.00	4.00	4.00	3.00	3.00	3.00	3.00	3.00	3.00
Social Services	5	4	6	72,311,389.00	3.00	3.56	2.67	2.60	2.83	2.61	2.83	2.99	3.17	3.01
Education	3	2	2	41,583,862.00	3.50	3.99	3.00	3.00	3.00	3.00	3.00	3.00	3.00	3.00
Health	2	2	4	30,727,527.00	2.75	2.97	2.50	2.06	2.75	2.09	2.75	2.97	3.25	3.03
Trade & Economic Dvpt	7	3	5	36,238,684.00	2.80	2.28	2.20	2.72	2.75	2.28	2.75	2.28	3.00	3.00
PSD	4	2	4	10,238,684.00	3.00	3.00	2.00	2.00	3.00	3.00	3.00	3.00	3.00	3.00
Regional Infrastructure	1	1	1	26,000,000.00	2.00	2.00	3.00	3.00	2.00	2.00	2.00	2.00	3.00	3.00
<b>Total</b>	<b>89</b>	<b>34</b>	<b>62</b>	<b>160,003,693.00</b>	<b>2.95</b>	<b>3.06</b>	<b>2.79</b>	<b>2.65</b>	<b>2.84</b>	<b>2.64</b>	<b>2.97</b>	<b>2.87</b>	<b>2.95</b>	<b>2.98</b>

\*The total number of projects financed refers to all the programmes and projects financed by the EC in Ecuador under the financing decision issues between 2003-2010. The sum of micro-sectors and macro-sectors do not correspond since within each macro-sector, there were other or additional sectors, which have not been object of monitoring. For instance: Vulnerable Groups: children and youth or

\*\* The average score for the five DAC Evaluation criteria has been calculated in three different ways:

- Simple average Sector Weighted Average :the scores of individual projects have been weighted by project cost to the total value of the sector to which this programme belongs
- The total weighted average scores, (reported in the bottom line) have been calculated by the total cost of monitored projects for Ecuador (€ 160 M)

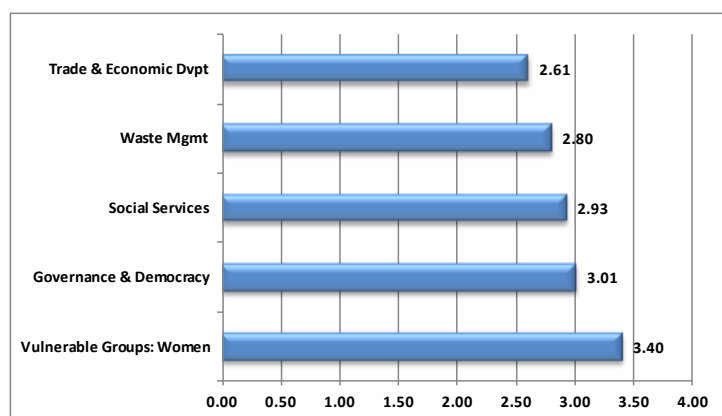
Source: DRN elaboration based on ROM reports

From a first analysis of the average scores and differences between simple and weighted mean, the weighted average score is higher than the simple average for relevance and sustainability criteria, suggesting that larger programmes were most suited to the priorities and policies of the target group, as well as that they were more sustainable over time.

**Relevance** was the criteria that received the highest score: the overall weighted average amount (3.06) implying that the great part of programmes have been suitable to the needs and expectations of its target groups; feasible within the time frame given and flexible enough to respond to changes in its environment. The most relevant programmes were Governance Democracy and Social Services; while trade and economic development, namely Regional infrastructure (*Eje Vial no. 1*) presented some problems. Indeed, the programme was not able to take into account cross-border initiatives and economic development for local population affected by the construction of the highway.

The **impact** prospects and wider contribution to other objectives have been particularly promising for NRM, and sustainable rural development. Once more, there is evidence of limited impact for trade and private sector development negatively affected by the low performance of the Regional Infrastructure sector (*Eje Vial*). The good performance and potential positive impact of NRM was mainly boosted by PRODERENA and the positive impact of enhancing environmental management on environmental quality and water management.

**FIGURE 10.2: OVERALL SECTOR PERFORMANCE BASED ON THE WEIGHTED AVERAGE OF THE FIVE DAC CRITERIA PER SECTOR**



The overall Sector performance for the five DAC Evaluation criteria has been calculated computing the simple average of the Weighted Average of each criterion by sector.

Source: DRN elaboration based on ROM reports

score. The overall weighted average for efficiency was 2.65 and for effectiveness 2.64.<sup>155</sup> Nonetheless, efficiency differs from one sector of intervention to another. Projects within the sector of governance and democracy that were mainly financed under thematic budget lines obtain a good weighted average score (3.22), although as already mentioned, the number of monitored projects in this sector is minor. NRM and social services were the sectors that were attributed the lowest efficiency score, which was driven by the weak performance of PRODERENA for NRM, PASSE and UNIVIDA for Health.

Overall, effectiveness criteria scores were lower than 3 in all sectors, implying that the achievement of the objective verifiable indicators (OVI's) and adaptation to changing external conditions need corrective measures to be carried out. The macro sectors that received the lowest effectiveness score

Programme **Sustainability** was positively assessed. NRM and Social services are the sectors where the processes and benefits supported by the programme are likely to continue after donor funding. Indeed, the level of ownership of Ecuadorian Government in the Health, Education and Environmental sector has increased as well as financial commitment to social spending. On the other side, in spite of the positive assessment for G&D sector, G&D sustainability has not obtained a positive assessment determined also by the limited financial viability of the social inclusion project "Mirada Negra"<sup>154</sup>

**Efficiency and effectiveness** are the criteria that received the lowest

<sup>154</sup> Mirada Negra: promoción de la cultura afro-latinoamericana para el fortalecimiento de la cohesión social en el proceso de integración regional andino. Contract no.2008-150-740 under the financing decision DCI-HUM/2008/019-824

<sup>155</sup> The baseline parameter for the scoring scale, 2.5 points, has been defined as 'implementation according to plan'. Thus, a project with a score of 2.5 is fully on track and expected to deliver the benefits and impact planned.

were trade and economic development and social services. The poor performance of trade and private sector development was affected by the serious issues that arose during the implementation of *Eje Vial*, the redesign of the route and the opposition from local authorities and communities to the new redesigned project<sup>156</sup>.

<b>MAIN FINDINGS ARISING FROM THE ANALYSIS OF ROM REPORTS</b>
<ul style="list-style-type: none"> <li>• INTERVENTIONS IN THE AREAS OF NRM, GOOD GOVERNANCE AND DEMOCRACY AND SOCIAL SERVICES ARE THE BEST PERFORMERS.</li> <li>• INTERVENTIONS IN THE AREAS OF EDUCATION AND PROTECTION OF VULNERABLE GROUPS RECEIVED THE HIGHEST SCORES IN TERMS OF RELEVANCE AND SUSTAINABILITY</li> <li>• INTERVENTIONS IN THE AREAS REGIONAL INFRASTRUCTURE AND INSTITUTIONAL BUILDING PERFORM BELOW AVERAGE<sup>157</sup></li> <li>• INTERVENTIONS IN THE AREAS OF PRIVATE SECTOR DEVELOPMENT (PSD) UNDERPERFORM IN TERMS OF EFFICIENCY, BUT ACHIEVE POSITIVE RESULTS IN TERMS OF EFFECTIVENESS AND IMPACT</li> </ul>
<b>MAIN INCONSISTENCIES ARISING FROM THE ANALYSIS OF ROM REPORTS</b>
<ul style="list-style-type: none"> <li>• HEALTH SECTOR INTERVENTIONS SUFFERED EFFICIENCY AND EFFECTIVENESS PROBLEMS BUT RECORDED HIGH SCORES FOR SUSTAINABILITY AND IMPACT</li> <li>• TRADE AND PRIVATE SECTOR DEVELOPMENT PROGRAMMES UNDERPERFORM IN TERMS OF IMPACT (2.28) BUT PERFORMS WELL IN TERMS OF SUSTAINABILITY (3)</li> </ul>

### 3. ROM ANALYSIS OF THE SELECTED INTERVENTIONS

Finally, a more in-depth review of the qualitative information contained in the ROM reports related to the selected interventions. More specifically, the analysis refers to five out of the six selected programmes, i.e. Expo-Ecuador, PROLOCAL, PASSE, PAPDE and PRODERENA. No ROM reports are in fact available for the PASES programme and it is also worth mentioning that for the other budget support programme (PAPDE) only one ROM report is available. The below analysis is based on the available monitoring reports of the five selected interventions.

**TABLE 10.4: RELEVANCE SCORES ATTRIBUTED BY ROM REPORTS TO THE SELECTED INTERVENTIONS (2003-2010)**

	2003	2004	2005	2006	2007	2008	2009	2010	Average*
PROLOCAL	3.00	3.00	3.00			3.00			3.00
EXPO ECUADOR			3.00	3.00				3.00	3.00
PAPDE							4.00		4.00
PRODERENA				3.00	2.00		4.00		3.00
PASSE					3.00				3.00
<b>Average</b>	<b>3.00</b>	<b>3.00</b>	<b>3.00</b>	<b>3.00</b>	<b>2.50</b>	<b>3.00</b>	<b>4.00</b>	<b>3.00</b>	<b>3.08</b>

Source: DRN elaboration based on ROM reports

The review of the ROM reports when looking at issues of **Relevance** for the selected programmes indicates that:

- The programmes were relevant and responded to the beneficiaries' needs. In terms of quality of the design, general and specific objectives were consistent with national policies.
- Overall, the logical framework has been revised in the majority of programmes. Moreover monitors have pointed out that global objectives and specific objectives were difficult to

<sup>156</sup> Referring to the Monitoring Report (2007) of "PERÚ y ECUADOR – PE – Apoyo a la Integración Física Regional/Eje Vial N°1 Perú-Ecuador. MR-30534.01 – 10/07/07

<sup>157</sup> The institutional Building project refers to the «Programme 'd Appui au Renforcement des capacités d'Organisations Rurales en Equateur, Bolivie, Pérou, Brésil, Venezuela et Uruguay », while the Regional Infrastructure sector encompasses the programme « PERÚ y ECUADOR – PE – Apoyo a la Integración Física Regional/Eje Vial N°1 Perú-Ecuador »

measure and objective verifiable indicators (OVIs) were vague and often not quantifiable. Indeed, PROLOCAL has been regarded as too ambitious; specific objectives were revised several times and their geographical focus was widened (from 2 to five regions (PROLOCAL ROM 2008). In the case of PASSE, some issues in the quality of design and relevance emerged in 2007 when the Ministry of Public health (MSP) adopted a different approach to the Comprehensive Health Care Model (PASSE ROM 2007).

- The lack of cross-cutting issues, and in particular gender issues, is a weakness that is repeatedly pointed out.
- With regard to PAPDE, the 2009 ROM report points to the significant relevance of the programme in terms of responsiveness to country needs. Moreover, the report highlights that the seven Key Assessment Areas (KAAs)<sup>158</sup> were appropriately assessed at the formulation stage of the Sector Policy Support Programme (SPSP). However, the report also points to persisting problems in the areas of accountability and transparency of the annual sector budget; problems linked to the fact that the budget can be amended without legislative approval, thereby limiting access to key fiscal information for population, etc.

**TABLE 10.5: EFFICIENCY: SCORES ATTRIBUTED BY MONITORING REPORTS TO THE SELECTED INTERVENTIONS (2003-2010)**

	2003	2004	2005	2006	2007	2008	2009	2010	Average
PROLOCAL	2.0	3.0	3.0			3.0			2.8
EXPO-Ecuador			1.0	3.0				2.0	2.0
PAPDE							3.0		3.0
PRODERENA				2.0	2.0		3.0		2.3
PASSE				3.0	2.0				2.5
<b>Average</b>	<b>2.0</b>	<b>3.0</b>	<b>2.0</b>	<b>2.7</b>	<b>2.0</b>	<b>3.0</b>	<b>3.0</b>	<b>2.0</b>	<b>2.5</b>

Source: DRN elaboration based on ROM reports

The review of the ROM reports when looking at issues of **Efficiency** for the selected programmes indicates that:

- Most of the selected programmes, and in particular PASSE, EXPO Ecuador and PRODERENA suffered significant delays in the implementation phase. In the case of PASSE, 18 months before the end of the Programme, only 34% of tenders had been contracted out and 65% were under EC approval (ROM 2007). In the case of PRODERENA, although the FA was signed in January 2004, the service, supply and grant contracts were not signed before December 2006 (ROM 2009). Given this significant delay, project contract services (education, training, studies and diagnoses) were running in parallel to Grant Contracts. This mismatch in the timing of the various components entailed the loss of the opportunity to appropriately train project managers prior to the launching and implementation of the grant contracts.
- Overall, the internal monitoring process was assessed positively (PAPDE, PRODERENA, PROLOCAL and ExpoEcuador). PRODERENA ROM reports point to the existence of a good monitoring process given the baseline definition and clarity in the formulation of indicators (OVIs). PAPDE was characterized by major innovation as the policy was accompanied by a monitoring project "Educiudadnia" conducted by FARO group.

<sup>158</sup> The seven Key Assessment Areas are as follows: i) the stability of the macroeconomic environment, ii) the coherence and consistency of the sector policy; iii) the credibility, comprehensiveness and transparency of the annual sector budgets, including a medium term strategic budgeting perspective; iv) the credibility and relevance of a programme to improve Public Finance Management; v) the existence and effectiveness of a government-led system of sector and donor coordination; vi) the existence and effectiveness of a performance monitoring system; vii) the existence and effectiveness of a programme to strengthen institutional capacities.

**TABLE 10.6: EFFECTIVENESS: SCORES ATTRIBUTED BY ROM REPORTS TO THE SELECTED INTERVENTIONS (2003-2010)**

	2003	2004	2005	2006	2007	2008	2009	2010	Average
PROLOCAL	3	3	3			3			3.0
EXPO-ECUADOR				3				3	3.0
PRODERENA				3	2		4		3.0
PASSE				2	3				2.5
PAPDE							3		3.0

Source: DRN elaboration based on ROM reports

The review of the ROM reports when looking at issues of **Effectiveness** for the selected programmes indicates that:

- Greater effectiveness appears to be achieved when local counterparts and beneficiaries are involved in the identification and formulation of the programme (PROLOCAL). The high level of participation of Parish Councils “*Juntas Parroquiales*” in PRODERENA as well as in PROLOCAL appears to be linked to the good scores achieved by the programme in terms of effectiveness.
- High turnover in human resources at ministerial and regional government level (PASSE, PRODERENA) were identified as main hindrances to the process of capacity building as well as to the effective performance of the programme. Moreover political conflict between central authorities and local governments like in PASSE and PROLOCAL cases constitute additional hindrances to the programme implementation.

**TABLE 10.7: IMPACT: SCORES ATTRIBUTED BY TO THE SELECTED INTERVENTIONS (2004-2010)\***

	2004	2005	2006	2007	2008	2009	2010	Average
PROLOCAL	3	4			3			3.3
EXPO-ECUADOR			3				3	3.0
PAPDE						3		3.0
PRODERENA			3	3		4		3.3
PASSE				3				3.0
<b>Average</b>	<b>3</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>4</b>	<b>3</b>	<b>3.2</b>

\* No scores for impact prospects were available for 2003. Due to this reason, the table includes the data from 2004

Source: DRN elaboration based on ROM reports

The review of the ROM reports when looking at issues of **Impact** for the selected programmes indicates that:

- Overall the ROM reports state that there were good and positive chances to achieve the expected impacts. This despite the fact that, in the great majority of reports, monitors to the fact that the OVIs of the general and specific objectives were not measured.
- With regard to **PROLOCAL**, the 2005 ROM report indicated that 40% of population in the intervention area benefited from the Programme; with major benefits related to the revitalisation of associative systems and models, while the economic impact was still unpredictable.
- In the ex-post ROM of PROLOCAL (2008), the monitor underlines that the OVI of the overall objective “reduce by 5% the poverty headcount ratio” had not been scope of the final programme evaluation (2006) so it is difficult to assess the potential consequence on poverty reduction of the programme (Ex-post ROM 2008). Moreover, the monitors assert that compared

to the needs of the areas characterised by low access to services and high level of poverty, the disbursed funds were limited (US\$65M in 5 years) and the benefits at macro-level have been partial. The ROM underlines that a broader development process could have been triggered only through an holistic approach: greater investments in production factors, inclusive infrastructures and processes (i.e. sectoral policies on agriculture, water, land) and improved access to social services (health and education).

- In the ex-post ROM report of **EXPO Ecuador**, the programme was positively assessed from an impact perspective (B). Nonetheless, major hindrances have been highlighted namely the limited access for finance for SMEs and the absence of a legal framework to create consortium of enterprise associations. These elements have been depicted as serious constraints to the productive capacity of SMEs and their capacity to compete in the international arena.
- **PRODERENA** was the programme that received the highest score in terms of impact. This is partly explained by the enhanced coordination mechanisms established between the "Juntas Parroquiales", "Gobiernos Municipales" and "Gobiernos Provinciales" as well as with central government Institutions (MAE and SENPLADES). Furthermore, positive impacts were identified in terms of environmental quality, (waste management, watershed system and reforestation), influenced also by the cultural change at local level specifically at Environmental management Unit "Unidad De Gestion Ambiental" (UGA) and enhanced awareness among local communities.

**TABLE 10.8: SUSTAINABILITY: SCORES ATTRIBUTED BY MONITORING REPORTS TO THE SELECTED INTERVENTIONS (2003-2010)**

	2003	2004	2005	2006	2007	2008	2009	2009	Average
PAPDE							3		3
PRODERENA				3	3		3		3
PASSE					3				3
EXPO-ECUADOR			3	3				3	3
PROLOCAL	3	3	3			3			3
<b>Average</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>

Source: DRN elaboration based on ROM reports

The review of the ROM reports, when looking at issues of **Sustainability** for the selected programmes, indicates that:

- Overall, the sustainability of the selected programmes was positively assessed (B). For some programmes like PRODERENA, the potential sustainability appeared promising given the successful efforts in enhancing the decentralization process and in strengthening the institutional capacity at central as well as local level.
- The sustainability of PROLOCAL appeared to be satisfactory thanks to the involvement of the Ministry of Welfare in the set up and financing of a new programme called "Programa de Desarrollo Rural y Territorial" (PRODER), which targets nine micro-regions. PRODER scaled up the activities of PROLOCAL taking into account the lessons learnt.
- Based on the ex-post ROM reports for EXPO-Ecuador, in spite of the positive score (B), the sustainability of the programme appears limited due to the reduced impact, which was mainly limited at the level of the single institution that benefits from the programme activities (enterprises receiving trainings, laboratories obtaining machineries, etc). The major hindrances affecting the sustainability of the project were identified as follows: difficult access to finance, weakness of professional associations which are numerous and scattered, with limited capacity to influence the political sector.
- For PAPDE, despite the strong governmental commitment to comply with the objective of the PDE and increased investments in education, the monitors point out some limits at institutional level within the Ministry of Education in terms of capacity to tackle and manage such an ambitious reform plan. Indeed the report recommended prioritising and sequencing PDE's targets and goals.

## **ANNEX 11: DISSEMINATION SEMINAR OF THE REVISED DRAFT FINAL REPORT: POWER POINT PRESENTATION AND MINUTES**



# Evaluación de la cooperación entre la Comisión Europea y Ecuador 2003-2010

Seminario en Ecuador  
Presentación del borrador de Informe Final  
Quito, 13 de Septiembre de 2012  
(Evaluación administrada por DRN)

*Este documento es un apoyo para la presentación oral  
y no debe utilizarse de manera independiente*



## AGENDA

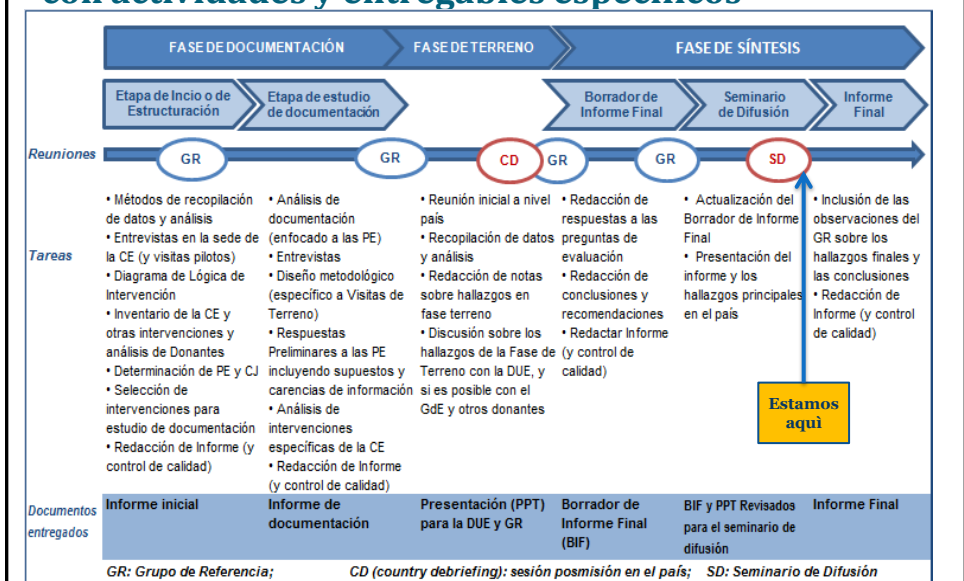
**Presentación de la evaluación : contexto y enfoque**

**Conclusiones**

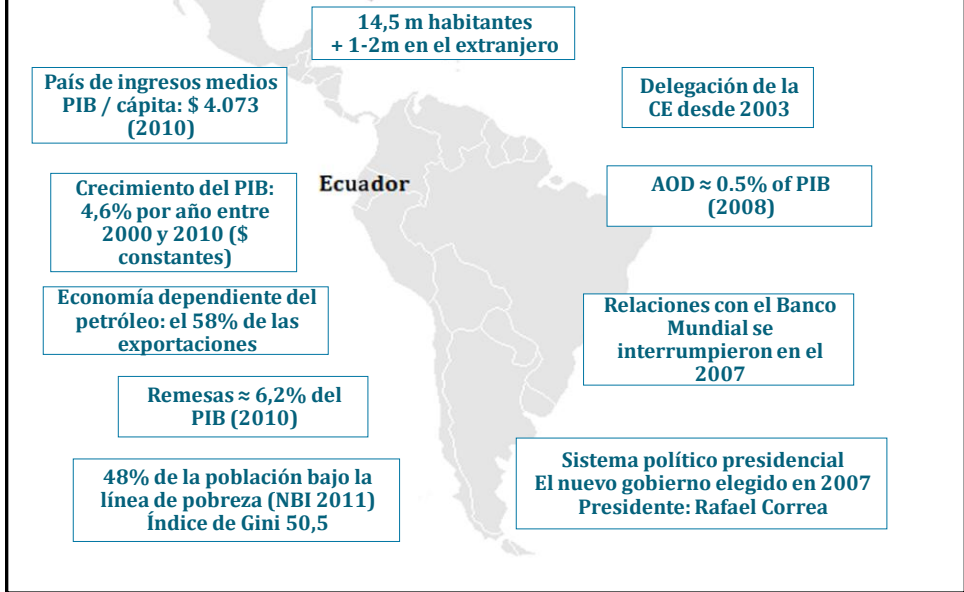
**Recomendaciones y Enseñanzas clave**

**Discusión**

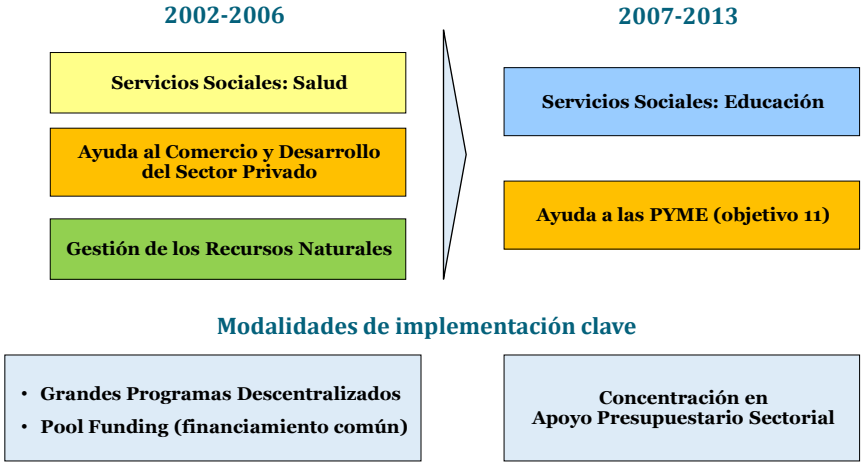
## Evaluación estructurada en una sucesión de fases con actividades y entregables específicos



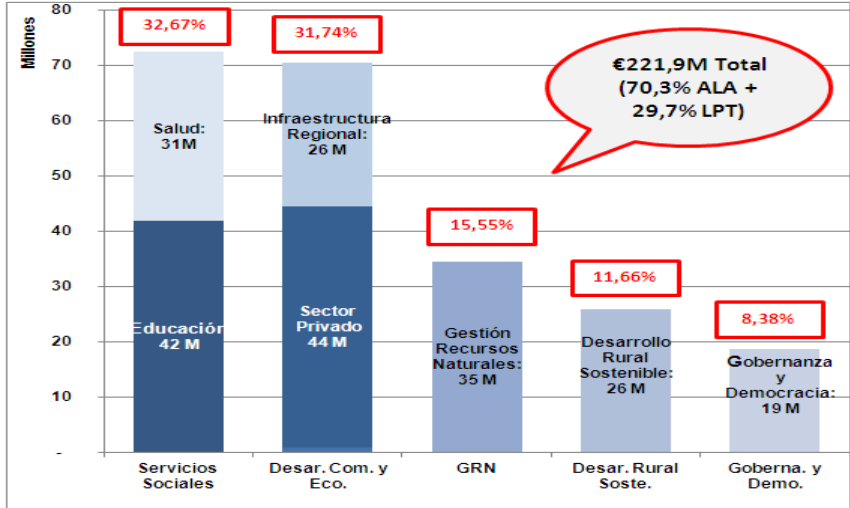
## Elementos del contexto país



# Evolución de la estrategia y del enfoque de la CE - Sectores prioritarios en los DEP

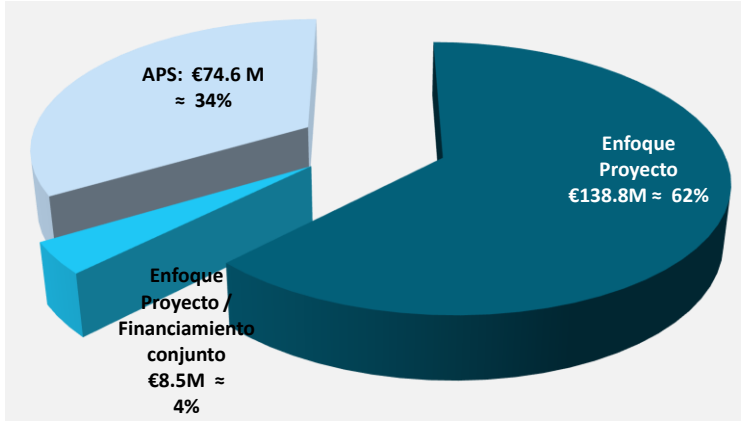


## Inventario de Financiación de la Comisión Cooperación CE 2003-2010



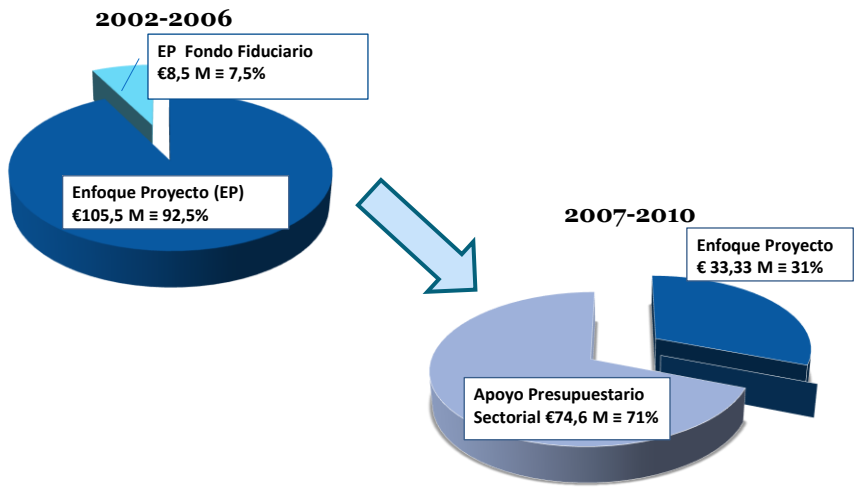
Source:DRN based on Commission databases (CRIS)

## Inventario de Financiación de la Comisión Cooperación CE 2003-2010



Source:DRN based on Commission databases (CRIS)

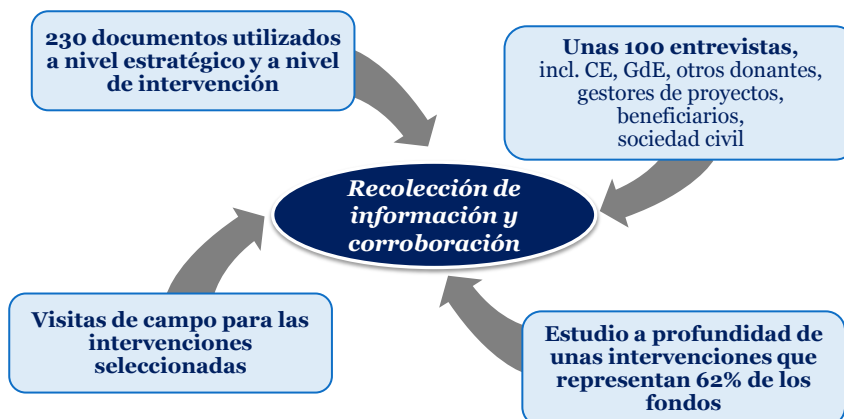
## Inventario de Financiación de la Comisión Cooperación CE 2003-2010



Source:DRN based on Commission databases (CRIS)

## La información fue recogida y corroborada a través de diferentes fuentes y métodos

### Principales fuentes de información y métodos



## La Evaluación se enfocó en 8 temas:

1	Posicionamiento de PYME en los mercados internos y exteriores
2	Comercio e Integración Regional
3	Educación
4	Gestión de los Recursos Naturales
5	Salud
6	Apoyo Presupuestario
7	Instrumentos y Modalidades de Ayudas
8	Coordinación, Valor añadido y Visibilidad

## Conclusiones y Recomendaciones fundadas en sólidas bases analíticas y factuales



## AGENDA

**Presentación de la evaluación : contexto y enfoque**

**Conclusiones**

**Recomendaciones y Enseñanzas clave**

**Discusión**

## 9 Conclusiones puestas en 3 grupos

GRUPOS	CONCLUSIONES
Estrategia y valor añadido de la CE	C1: Fuerte alineación con las prioridades del GdE y receptividad ante las necesidades de la población
	C2: El principal valor añadido de la CE se desprende del uso de la modalidad de ayuda de apoyo presupuestario
	C3: Buena coherencia a nivel estratégico pero limitada a nivel de implementación
Modalidades de ayudas	C4: Elección adecuada de las modalidades de ayuda a la luz del contexto del país
	C5: El apoyo presupuestario se ha beneficiado del fuerte liderazgo nacional
Resultados e impactos	C6: Resultados limitados de apoyo al comercio, y en su mayoría desconocidos en relación al apoyo del desarrollo económico (PYMES).
	C7: Logro satisfactorio de objetivos en medio ambiente, salud y desarrollo rural.
	C8: Progreso significativo aunque desigual en el logro de los objetivos del gobierno, apoyado por la CE, en el sector de educación.
	C9: Resultados positivos del apoyo presupuestario debido a una apropiada combinación de insumos.

### C1 - Fuerte alineación con las prioridades del GdE y receptividad ante las necesidades de la población

La estrategia de la CE en Ecuador fue pertinente:

- alineado con las prioridades del gobierno;
- refleja las necesidades de la población.

Los programas de la Comisión apoyaron la aplicación de importantes reformas :

- PASSE → “Ley Organica del Sistema Nacional de Salud”
- PAPDE → *Plan Decenal de Educación*
- PRODERENA → fortalecimiento de los sistemas de gestión ambiental descentralizados
- PROLOCAL → surgimiento de políticas duraderas a nivel central y local
- PASES & EXPOECUADOR → eficiencia y competitividad del sector de las MPYMES / Plan Nacional de Desarrollo en este sector

## C2 - El principal valor añadido de la CE se desprende primordialmente del uso de la modalidad de ayuda de apoyo presupuestario

La **ventaja comparativa** de la CE con respecto a los Estados

Miembros de la UE se debe principalmente a:

- la provisión de apoyo presupuestario
- monto total de los recursos financieros proporcionados
- la coordinación y la capacidad de convocatoria (que no se aprovecha todavía completamente)

- ✓ Mejorar la alineación con sistemas nacionales
- ✓ Tener acceso a una fuente privilegiada de información
- ✓ Apoyar las prioridades nacionales de desarrollo
- ✓ Proporcionar apoyo financiero sustancial en dos sectores de concentración (educación y MIPYME)



- *El principal valor añadido comunitario es por lo tanto más en la modalidad de apoyo presupuestario que en un nivel sectorial, y*
- *La visibilidad de la CE ha ido mejorando, especialmente en el sector de la educación.*

## C3 - Buena coherencia a nivel estratégico pero limitada a nivel de implementación

- Convergencia de objetivos, aunque limitada coherencia de intervenciones comunitarias de desarrollo entre:
  - la cooperación temática y bilateral, y
  - intervenciones a nivel nacional, subregional y regional.
- Las intervenciones no han sido diseñadas con el fin de ser de apoyo mutuo.

Aunque:

Alguna evidencia (escasa) de coordinación ha sido encontrada:

- + *Desarrollo económico*
- + *Medio ambiente*

Mejoramiento observado en coordinación



## C4 - Elección adecuada de las modalidades de ayuda a la luz del contexto del país

	2002-2006	2006	2007-2010
<b>Acción/ Modalidad de ayuda</b>	<b>Enfoque de proyecto</b>	<b>✓ Políticas sectoriales nacionales mejor definidas</b>	<b>Apoyo Presup. Sectorial</b> Sectores de educación y desarrollo económico / PYMES
<b>Resultados</b>	<ul style="list-style-type: none"> <li>✚ Influencia en las políticas sostenibilidad</li> <li>✚ ineficiencias (demoras y altos costos de transacción)</li> <li>✚ falta de apropiación en el nivel central y falta de diálogo sobre políticas</li> <li>✚ falta de complementariedad y coordinación con otras intervenciones y líneas presupuestarias</li> </ul>		<ul style="list-style-type: none"> <li>✚ alineamiento y apropiación</li> <li>✚ eficiencia</li> <li>✚ eficacia</li> </ul>
<b>Conclusión</b>	La combinación de modalidades (enfoque de proyecto centralizada o descentralizada, el apoyo presupuestario sectorial, la financiación con el Banco Mundial) es una consecuencia de una serie de consideraciones específicas del país, así como de la evolución de los instrumentos financieros de la CE y no se le deben mucho a una voluntad deliberada de la CE:		

## C5 - El apoyo presupuestario se ha beneficiado del fuerte liderazgo nacional

El apoyo presupuestario no ha generado cambios en la política sino que ha proporcionado un apoyo sólido para la implementación de políticas en un contexto de fuerte liderazgo y apropiación de lo público



Esto confirma los hallazgos de las evaluaciones de otros países: el apoyo presupuestario es un instrumento eficaz en los países donde los gobiernos están comprometidos y son capaces de implementar políticas de desarrollo sólidas; no puede modificar la política de un gobierno o generar un compromiso, pero puede influir en el ritmo de las reformas.

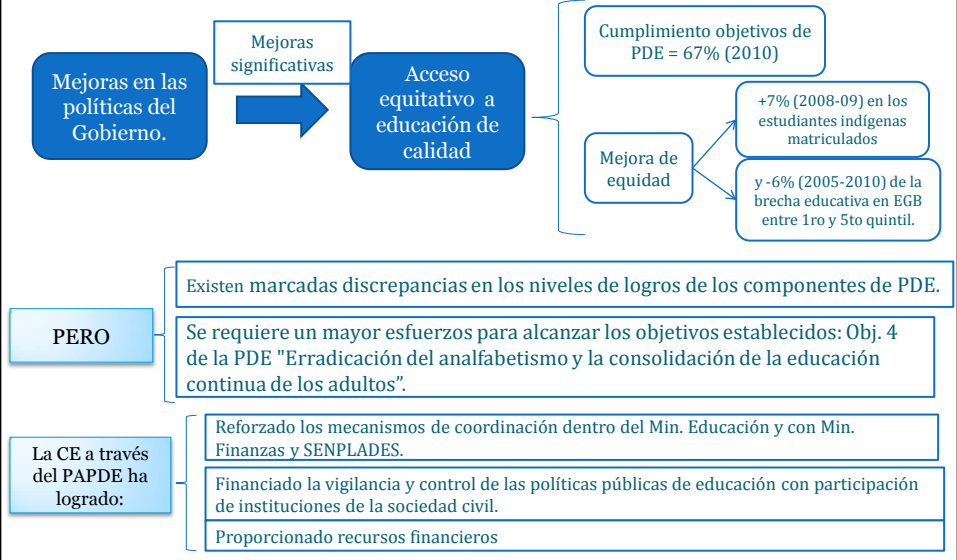
## C6 - Resultados limitados de apoyo al comercio, y resultados aún mayormente desconocidos del apoyo al desarrollo económico (PYMES)

Programa	Modalidades de ayuda	Resultados limitados debido a:
EXPOECUADOR	Apoyo suministrado a través del sector privado y dirigido solamente a las PYME que podían pagar los servicios del programa	<ul style="list-style-type: none"> <li>• escasas políticas públicas en este sector,</li> <li>• limitaciones inherentes a los procedimientos de la CE</li> <li>• escasa sostenibilidad de la intervención</li> </ul>
PASES	Ayudas a las políticas públicas a través del apoyo presupuestario sectorial	Falta de indicadores vinculados al sector PYME limita la capacidad de monitorear y evaluar las políticas encaminadas a fortalecer este sector y, por tanto, el apoyo de la CE.
AL Invest	Programa regional basado en el sector privado	Buenos resultados, pero alcance limitado

## C7 - Logro satisfactorio de los objetivos en medio ambiente, salud y desarrollo rural

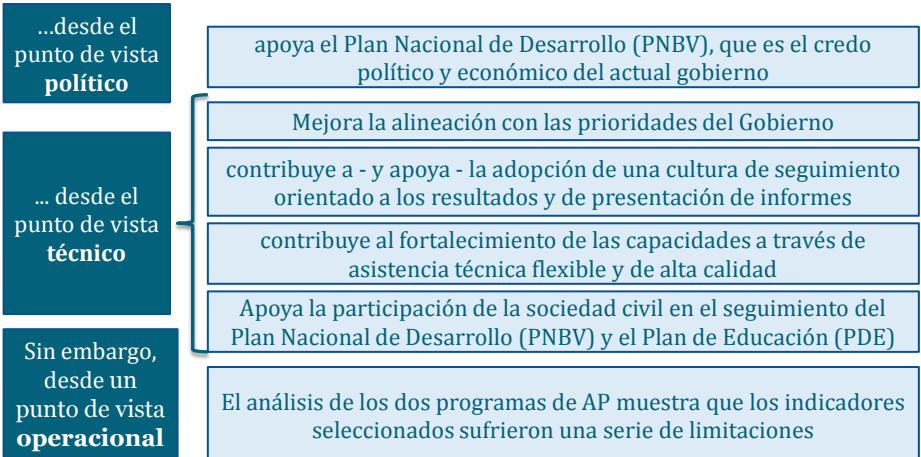
Proyecto	Logros	Limitaciones
<b>PRODERENA</b> <b>Medio Ambiente</b>	<ul style="list-style-type: none"> <li>✓ "Laboratorio de políticas", con numerosos y significativos resultados,</li> <li>✓ Fuerte apropiación a nivel local, lo que aumentó su sostenibilidad</li> </ul>	<ul style="list-style-type: none"> <li>▪ Impacto limitado en la descentralización (PRODERENA &amp; PASSE)</li> <li>▪ Débil integración en la estructura del Estado, Ministerio de Medio Ambiente (PRODERENA)</li> </ul>
<b>PASSE</b> <b>Salud</b>	Durante su segunda fase: <ul style="list-style-type: none"> <li>✓ Apropiación completa por el Ministerio de Salud Pública (MSP)</li> <li>✓ Pertinencia y sostenibilidad (relativa) de los logros del proyecto</li> </ul>	<ul style="list-style-type: none"> <li>▪ Limitada coherencia y coordinación con otras intervenciones</li> </ul>
<b>PROLOCAL</b> <b>Desarrollo Rural</b>	<ul style="list-style-type: none"> <li>✓ Laboratorio de mejores prácticas con efectos duraderos en las políticas públicas</li> <li>✓ Fuerte impacto en términos de:               <ul style="list-style-type: none"> <li>- Aumento de las capacidades locales de planificación.</li> <li>- Aumento de producción, empleo e ingresos.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ Cobertura limitada e ineficiencias vinculadas a los procedimientos de la CE.</li> </ul>

## C8 - Progreso significativo aunque desigual en el logro de los objetivos del gobierno, apoyados por la CE, en el sector de educación



## C9 - Resultados positivos del apoyo presupuestario debido a una apropiada combinación de insumos

No obstante el peso relativamente bajo de los recursos financieros previstos en términos de cobertura de los esfuerzos de reforma, la Comisión ha logrado poner en marcha un **mecanismo exitoso de apoyo presupuestario sectorial**, que :



## AGENDA

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## 5 Recomendaciones

**.....teniendo en cuenta de la nueva orientación de la política de cooperación bilateral introducida por la última regulación propuesta por la CE**  
*New DCI regulation end 2011*

- |                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| R1: Asegurar la continuidad del apoyo al sector del medio ambiente a través de la cooperación (subregional) regional y líneas presupuestarias temáticas.                                                                            |
| R2: Asegurar la continuidad del apoyo al comercio y desarrollo económico a través de la cooperación regional en apoyo tanto del sector privado como del sector público, especialmente si se firma un acuerdo comercial con Ecuador  |
| R3: Asegurar la continuidad del apoyo a la educación para adultos mediante el suministro de propuestas prácticas con miras a fortalecer la capacidad de GdE para cumplir con los objetivos fijados por el Plan Decenal de Educación |
| R4: Tomando en cuenta las recomendaciones de 1 a 3, diseñar una estrategia de salida que permita alguna continuidad de las actividades en los sectores clave                                                                        |
| R5: Mejorar la calidad de las inversiones y la calidad de los indicadores en dos programas de APS (PAPDE y PASES)                                                                                                                   |

## R1 - Asegurar la continuidad del apoyo al sector del medio ambiente a través la cooperación regional /subregional y líneas presupuestarias temáticas

Enfrentar desafíos ambientales de larga data y garantizar la continuidad del apoyo al sector del medio ambiente

Encarar nuevos desafíos relacionados con el cambio climático y la mitigación de los daños ambientales y conflictos sociales que puedan derivarse como consecuencia de la creciente importancia del sector minero (transición fuera del petróleo)

Asegurar continuidad estimulando:

- una mayor participación a los programas de nivel regional o sub-regional
- un mayor uso de las Líneas Presupuestarias Temáticas

**"Al menos el 50% de los fondos servirán para la acción climática y los objetivos relativos al medio ambiente..." DCI 2014-2020**

## R2 - Asegurar la continuidad del apoyo al comercio y desarrollo económico a través de la cooperación regional en apoyo tanto del sector privado como del sector público, especialmente si se firma un acuerdo comercial con Ecuador

Facilitar la adopción de una adecuada combinación de modalidades para promover la creación de un entorno propicio para las empresas y aumentar la competitividad de las PYMES de Ecuador

Una mayor participación en el Programa AL Invest para apoyar el desarrollo del sector privado

**Mejorar las capacidades de:**

- Cámaras de Comercio,
- Asociaciones Comerciales,
- Agencias de Promoción de Exportaciones
- .....

Las medidas que acompañan a la firma de un posible acuerdo comercial para reforzar las instituciones del sector público (por ejemplo, aduanas)

Aliviar los impedimentos burocráticos que ponen trabas a las inversiones y a las exportaciones de productos no tradicionales

## R3 - Asegurar la continuidad del apoyo a la educación para adultos

El PDE ha fijado un objetivo del 3,5% de la tasa de analfabetismo para el año 2015, y, aunque este objetivo casi se ha logrado en las áreas urbanas, en las zonas rurales la tasa de analfabetismo se mantiene por encima del 15%.



El apoyo al sector de la educación de adultos debe intensificarse



Organizar una misión de corta duración para asistir a la DUE en el suministro de propuestas prácticas y maneras en que la Comisión puede apoyar al GdE para satisfacer el objetivo de alfabetismo

## R4 - Diseñar una estrategia de salida que permita alguna continuidad de las actividades en los sectores clave

**DISEÑAR  
UNA  
ESTRATEGIA  
DE SALIDA  
PARA:**

Definir y programar las actividades necesarias para asegurar que la nueva orientación de la cooperación bilateral no ponga en peligro la **sostenibilidad de los programas en marcha**

Revisar y evaluar la medida en que las líneas presupuestarias (temáticas, regionales y subregionales) pueden ser accesibles y utilizables para **asegurar continuidad de apoyo en los sectores clave** (véase R1 a R3)

Coordinar la cooperación futura de la CE con los EM de la UE y otros donantes, para armonizar esfuerzos y tratar de asegurar alguna **continuidad de la experiencia acumulada por la Comisión**

Verificar y discutir con EM de la UE y otros donantes su posible participación en **programas de apoyo presupuestario** con el fin de dar **continuidad** a la exitosa adopción de esta modalidad de ayuda en Ecuador

## R5 - Mejorar la calidad de las inversiones y la calidad de los indicadores en dos programas de APS (PAPDE y PASES)

Esfuerzos para mejorar la calidad de la inversión pública deben continuar e intensificarse

En **PAPDE**:

- fortalecer los **procesos de diálogo** y la participación de otras instituciones interesadas;
- selección de indicadores que no sufran un importante **margen de error** (por ejemplo, tasas de matrícula)

En **PASES**:

- introducción de nuevos **indicadores relacionados con las medidas de política pública** con el fin de monitorear los avances de las políticas de apoyo al sector MIPYME.

## Enseñanza clave 1: la apropiación y el compromiso del gobierno son de vital importancia

**Apropiación y compromiso**



**La voluntad de los donantes para impulsar el diálogo político para influir en el diseño político**

El **liderazgo del gobierno** debe ser plenamente aceptado y debería ser acompañado por un directo seguimiento de los resultados con el fin de proporcionar una información adecuada sobre las políticas implementadas.

## Enseñanza clave 2: en países de ingresos medios como Ecuador, los insumos no financieros de alta calidad son a menudo más importantes que los insumos financieros

Factores de éxito de los programas de APS se relacionan principalmente con la **combinación de aportes no financieros**, e incluyen:

- El suministro de una **asistencia técnica** de alta calidad, flexible y de corta duración a través de una original forma de convocatoria enfocada en las instituciones públicas.
- El uso de una **capacidad analítica nacional** existente para seguir los programas en marcha
- La inclusión de la **sociedad civil** en el diálogo sobre políticas, donde sea posible



Muchas Gracias





## MINUTES OF THE DISSEMINATION SEMINAR OF THE REVISED DRAFT FINAL REPORT, HELD IN QUITO ON THE 13 OF SEPTEMBER, 2012

<b>OFICINA COOPERACIÓN BELGICA</b>	
<b>PREGUNTAS/ COMENTARIOS</b>	<p>Tengo la impresión que el mayor éxito de la UE en Ecuador en los últimos 10 años se enfoca en su fortaleza presupuestaria hacia el sector educativo. Considero que esto refleja la aplicación de una modalidad y no el éxito hacia el sector. Cuando se piensa en la modalidad de AP, se relaciona con un aporte financiero. Sin embargo se ha mostrado durante la evaluación que el apoyo financiero no es importante. Entonces la pregunta sería: ¿Cómo esta ayuda presupuestaria representaría un valor agregado para el país?</p> <p>Por otra parte se comentó lo siguiente:</p> <p>La UE ha tenido dos factores positivos: a) Ha sido la única que tiene una estrategia en educación, b) ha tenido la ventaja de poder basar su apoyo en el estudio de las finanzas públicas (PEFA) a la que otros donantes no tiene acceso. Esto representaría una ayuda para el apoyo que se pueda realizar desde otros donantes.</p>
<b>RESPUESTAS</b>	<p><u>JEFE DEL EQUIPO DE EVALUACIÓN</u></p> <p>El valor añadido del apoyo presupuestario, a mi juicio, en el caso del Ecuador está en los insumos no financieros. Sin embargo no quiero dejar la impresión de que los insumos financieros no importan. La CE no hubiese podido hacer lo que hizo en finanzas públicas, calidad de la inversión pública, etc. si no hubiese habido un significativo aporte financiero.</p> <p>Es evidente que el AP responde a una necesidad técnica macroeconómica, de gestión pública, es un valor agregado que no se hubiese dado sin la asistencia técnica.</p> <p>La participación de la sociedad civil es otro valor añadido. Aquí se propone un sistema de seguimiento y monitoreo desde la sociedad civil de las políticas públicas.</p> <p>El gran problema para replicar la experiencia en otras cooperaciones es la ausencia del Banco Mundial. Cuando estaba esta institución existían a disposición de los donantes publicaciones sobre las finanzas públicas que servían como documentos de referencia. Ningún donante se lanza sin saber que pasa con la gestión de las finanzas publicas. En Ecuador la CE tiene todavía esa capacidad por la realización del PEFA y por el sistema de seguimiento que se puso en marcha. La CE tenía capacidad por el PEFA y por el sistema de seguimiento, pero hubiera trabajado mejor con una mayor capacidad técnica.</p> <p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u></p> <p>Lo que si hemos podido identificar es cómo se puede tener valor agregado con una cooperación financiera poco significativo en términos de % del PIB o del % del PGR sectorial. Los logros del PDE son evidentes - y forman parte de la rendición anual de cuentas - y hemos visto que si ha contribuido con un impacto muy alto. Se ha observado una correcta implementación de la política nacional, un mejoramiento de estadísticas, transparencia de la información y hemos aumentado el rol de la sociedad civil con una subvención en la área de veeduría financiado por la UE y en acompañamiento al programa de apoyo presupuestario sectorial. EDUCIUDADANIA a nivel territorial es un ejemplo. Uno de los éxitos a sido la territorialización de las estadísticas. Con fondos pocos significativos se</p>

	puede lograr resultados importantes por parte de la cooperación UE para el desarrollo.
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### COOPERACIÓN TÉCNICA BELGA

<b>PREGUNTAS/ COMENTARIOS</b>	<p>La reflexión se centró alrededor de la Conclusión No. 4.</p> <p>Se identifica falta apropiación, diálogo político y coordinación hasta el año 2006. Somos la Agencia de implementación de la cooperación Belga. Nosotros también hemos observado falta de apropiación, coordinación y apoyo político en estos momentos. Estamos intentando generar coordinaciones en las actividades que realizamos. No hemos recibido tanto apoyo para hacerlo.</p> <p>En este sentido,</p> <p>¿Cuál es su evaluación en cuanto a la utilización y apropiación de los resultados? (por ejemplo PASSE)</p>
<b>RESPUESTAS</b>	<p><u>JEFE DEL EQUIPO DE EVALUACIÓN</u></p> <p>La apropiación de PASSE a partir del 2007 fue muy fuerte a nivel central, mucho más que a nivel descentralizado. El Ministerio decidió que era su proyecto.</p> <p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u></p> <p>Con respecto al PASSE tuvo dos periodos. En el 2004 cuando se comenzó el proceso de identificación. Hubo un proceso de reforma del sector salud para descentralizar a nivel local en las 3 provincias de intervención. En esa época se insistía en la necesidad de una mayor coordinación. No hubo mayor seguimiento y respuesta.</p> <p>A partir del 2007, hubo permanencia de la Ministra Chang. Ahora se hablaba de transformación del sector, y el Ministerio quiso que se apoyara en el sector salud. Existió una mayor colaboración del Ministerio ya que estaba en todas las actividades y ejercía su rol de rector de políticas. Además, quería que el proyecto responda a estas nuevas necesidades establecidas y definidas por Gobierno. Se comienza a apoyar sectorialmente, un modelo de salud más definido e inclusivo. Nosotros servimos de acompañamiento en varios proyectos como la homologación de los costos de salud.</p> <p>Con respecto a PAPDE, se cuenta con un estrategia sectorial aprobado en un referendum, el PDE ya esta apropiado. La apropiación y liderazgo en el sector educativo no es un problema. La coordinación de donantes es clave para la intervención conjunta. Aquí se tiene presente a la SETECI, ente responsable para la gestión de la cooperación internacional, la misma que está sistematizando la información de la implementación de la cooperación internacional. La coordinación, complementariedad y división de trabajo entre donantes representa un desafío. En Ecuador existen varios mecanismos de dialogo, por ejemplo las mesas de coordinación pero no siempre se ve evidencias de coordinación y complementariedad en la práctica.</p>

### AECID

<b>PREGUNTAS/ COMENTARIOS</b>	<p>Parece que por las conclusiones se enfocan sobre la continuidad de la cooperación en Ecuador. En este sentido se preguntó: ¿A lo largo del estudio se ha hecho alguna referencia a la complementariedad de las acciones del a Comisión con los Estados Miembros en relación a las condiciones de compromiso y apropiación de los gobiernos para el éxito del apoyo?</p> <p>Por otro lado, se comentó lo siguiente:</p> <p>Las conclusiones refieren a que este tipo de apoyo presupuestario no debería</p>
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	realizarse en países que no tenga este nivel de apropiación, independientemente de su nivel de renta.
<b>RESPUESTAS</b>	<p><u>JEFE DEL EQUIPO DE EVALUACIÓN</u></p> <p>Sí, nos interesó la complementariedad entre la CE y EM y las encontramos en unos casos, por ejemplo con el apoyo a educación con la cooperación española. La cooperación belga hizo lo mismo: PASSE debía ser seguido por un proyecto de la cooperación belga que sería complementario (está experiencia fracaso por retrasos). Si bien se ha dado estos ejemplos positivos, estos han sido aislados e insuficientes. En caso de hacer recomendaciones "tradicionales", se hubiera recomendado profundizar esa complementariedad con los Estados Miembro.</p> <p>Sobre el AP y compromisos: hay un consenso entre expertos en AP en que es un instrumento que se utiliza demasiado fácilmente. Se utiliza en casos en el que las condiciones no están dadas. Se ha visto ejemplos que mejor no se hubiesen dado. Hay que evaluarlo caso por caso, pero si se limitara el AP a países con un nivel de compromiso similar al caso del Ecuador, se daría poco AP en el mundo.</p> <p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u> (sobre el futuro de la cooperación bilateral)</p> <p>Un donante tiene sus procedimientos. La CE propone pero el parlamento y el Consejo disponen. El resultado del dialogo no se conoce y se espera para final de año. En el caso de una continuación de la cooperación bilateral y en el caso de una cooperación multipais a nivel andino, no se hablaría de estrategia de salida, sino de evolución de la cooperación. Si hay continuidad de lo bilateral el contenido se definirá con el gobierno del país. Si hay una evolución hacia multi país, será más complejo pues se debe buscar sinergias entre la UE y los países de la región: combinar los intereses de la UE con los intereses de los países de AL.</p>

<b>MINISTERIO DE ELECTRICIDAD</b>	
<b>PREGUNTAS/ COMENTARIOS</b>	Se cuenta o existe apoyo de la UE a la formación de técnicos de 4 y 5to nivel en áreas de energía fotovoltaica. Sin embargo para ser efectivos en la parte operacional no existe una importante cooperación técnica a nivel operativo formación operativo técnico. Adicionalmente se debería continuar los importantes esfuerzos hacia la educación de adultos.
<b>RESPUESTAS</b>	<p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u></p> <p>Es necesario que las personas logre mejorar sus capacidades y habilidades para poder insertarse adecuadamente en el mundo laboral y responder a las nuevas necesidades de perfiles profesionales, sobre todo en estas nuevas condiciones en relación a conocimientos, nuevas tecnologías, etc. Se debe fortalecer la cultura de la educación continua, aprender a aprender en todo el ciclo de vida del ser humano. Hay que identificar perfiles de competencias generales y también perfiles en educación superior e investigación que es clave para el desarrollo de la economía ecuatoriana.</p> <p>Hay a nivel de la UE una cooperación a nivel de investigación que busca cooperación internacional sobre temas técnicos. Se debe juntar la cooperación en investigación con la cooperación tradicional.</p>

<b>CARE-ECUADOR</b>	
<b>PREGUNTAS/</b>	En este proceso se pudo medir el tema del fortalecimiento de capacidades de la sociedad civil? Ya que uno de los ejes fundamentales es este en temas como

<b>COMENTARIOS</b>	<p>salud, educación, ambiente. El proyecto EDUCIUDADANÍA es uno de los principales logros donde se puede encontrar a los actores sociales realizando seguimiento a las políticas públicas.</p> <p>Surgió la idea de la descentralización de la educación. Para superar inequidades es necesario fortalecer la participación de la sociedad civil y el aporte de la CE.</p> <p>En este sentido, la pregunta sería:</p> <p>Si en este estudio ¿se pudo analizar algo sobre el aporte de la cooperación con respecto a la participación de la sociedad civil?</p>
<b>RESPUESTAS</b>	<p><u>JEFE DEL EQUIPO DE EVALUACIÓN</u></p> <p>No nos interesamos en esto específicamente. Pero si lo vimos como por ejemplo a EDUCIUDADANIA, GRUPO FARO donde el análisis de políticas públicas se delega a la sociedad civil.</p> <p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u></p> <p>Es difícil en un ejercicio como este cubrir todas las áreas y se puso énfasis en sectores claves, pero hay muchos programas con la SC a través de líneas temáticas en DDHH, migración, democracia, etc., pero lo que se busco fue recomendaciones para mejorar la cooperación futura.</p>

#### MRREE

<b>PREGUNTAS/ COMENTARIOS</b>	<p>Quisiera realizar una sugerencia. Las recomendaciones de la evaluación se realizaron en base a la hipótesis de que no existiría cooperación bilateral. Considero que se debería empezar a trabajar en recomendaciones en la que las hipótesis en la que si haya cooperación bilateral.</p>
<b>RESPUESTAS</b>	<p>En el transcurso del taller los representantes de la DUE recalcaron que tanto bajo la hipótesis de continuidad de la cooperación bilateral como bajo la hipótesis de una cooperación multipaises, habrá una evolución de la cooperación de la CE con AL, evolución que coincide con un nuevo período de programación.</p>

#### USAID

<b>PREGUNTAS/ COMENTARIOS</b>	<p>Antes no había mucho interés a nivel nacional con respecto a medio ambiente. Con el proceso de descentralización habría una mayor probabilidad de que se pueda influenciar lo nacional con actividades y/o proyectos locales. ¿Hay mayor probabilidad de influenciar en el nivel nacional con el fortalecimiento de proyectos locales?</p>
<b>RESPUESTAS</b>	<p><u>DELEGACIÓN DE LA UNIÓN EUROPEA</u></p> <p>Cuando se analizo el PRODERENA comenzó antes del actual gobierno. Ahora estamos en otra etapa donde se empuja más en los temas de descentralización. Es más factible apoyos en este sentido. Es más factible que haya ahora apoyo en temas descentralizados de medio ambiente</p> <p><u>RESPUESTA DEVCO SEDE:</u></p> <p>Con respecto a la descentralización hubo una reciente investigación realizada por la CE. Abarcó toda la experiencia de la UE a procesos de descentralización en todo el mundo. El conocimiento de la Comisión en los últimos 10 años sugiere que los procesos de descentralización no tienen nada que ver con la modalidad de apoyo a proyecto: los proyectos no son la única manera de apoyar la descentralización. Por ejemplo hubo formas de AP donde se pusieron en ejecución sistemas de transferencia a instituciones locales.</p>

<b>SETECI</b>	
<b>COMENTARIOS</b>	<p>Para nosotros el AP es una experiencia muy exitosa. Lo vemos como una modalidad de cooperación muy respetuosa de la soberanía y prioridades del Gobierno. Ha favorecido el dialogo político y la coordinación interinstitucional. Fue clave en el fortalecimiento de la coordinación y en la implantación de políticas publicas.</p> <p>En el caso del proyecto PASES tenemos una nueva propuesta PASES2 en lo que los indicadores no sólo son nacionales, hemos bajado a indicadores sectoriales con resultados más tangibles.</p> <p>Esto es un mejoramiento de la modalidad de cooperación. En el futuro tenemos la responsabilidad de pasar a un país que deje ser dependiente de petróleo y a través de cooperación se buscara futuros diálogos políticos.</p> <p>El Programa regional AL INVEST ha sido exitoso. Se requiere más coordinación, que se logrará con apoyo presupuestario para que no se vean como programas aislados.</p>

<b>PASES – Asistencia Técnica</b>	
<b>COMENTARIOS</b>	<p>Destacó inicialmente la difusión de resultados por parte de la UE de una evaluación seria y profunda como la presentada, señalando que habría que resaltar el carácter estratégico de la misma. Sugirió que las conclusiones son en realidad muy positivas para la cooperación de la CE. Se trata de una cooperación pertinente; también coherente –aún con ciertos desajustes-; que se ha beneficiado y ha fortalecido el liderazgo nacional; con resultados exitosos del AP hacia el sector educación; que ha contribuido a desarrollar y reforzar la orientación a resultados y la rendición de cuentas; y que hoy se cuenta con información importante y políticas públicas pertinentes en ejecución. Mencionó finalmente que la conclusión implícita de la evaluación (no expresada tal cual): hoy en día se puede hacer cooperación en Ecuador en mejores condiciones porque se dispone de un marco más adecuado de políticas, información suficiente con indicadores apropiados y sistemas de seguimiento y evaluación a disposición.</p> <p>Con respecto a la recomendación No. 5. Hemos avanzando en indicadores para todo el objetivo 11. Son indicadores medibles. Son 95 indicadores. La mayoría cuantificados a nivel de serie y validados políticamente. Existen todavía debilidades en los registros administrativos. No sólo se cuenta con definiciones, cálculos e indicadores para el objetivo 11, sino también con sus objetivos relacionados como el objetivo 2, 6, etc. que se refieren equidad, condiciones para acceder al desarrollo, trabajo.</p> <p>El desafío futuro consiste más que todo a llegar a diferenciar el sector en función del tamaño de las empresas.</p> <p>Este trabajo esta sirviendo para actualizar el PNBV. La recomendación No. 5 está siendo transitada.</p>

<b>CONCLUSIONES</b>	
<b>Delegación de la Unión Europea</b>	
<p>Se está mirando al pasado y al presente de la cooperación de la Unión Europea con Ecuador para construir un futuro y desarrollar una estrategia de cooperación 2014-2020 que tome en cuenta las consideraciones pasadas y presentes, para que los recursos de cooperación se pongan al destino final según el plan común para el próximo período. La cooperación es más cualitativa que cuantitativa, no miramos porcentajes con respecto al PIB ni con relación al Presupuesto General del</p>	

Estado. Sin embargo esta evaluación nos ha permitido ver de qué manera se ha contribuido a construir documentos, iniciativas, ideas importantes para los procesos de desarrollo y manejo del Estado Ecuatoriano. El futuro puede ser más intercambios de tecnologías que son temas que Canciller Patiño ya ha manifestado en su visita a la UE, que se ha retomado con la visita del Director Ejecutivo para las Américas. A nivel técnico estamos viendo qué manera o mecanismos son más apropiados para apoyar iniciativas. Una vez que tengamos el documento final de la evaluación y otros elementos que permitan avanzar en el dialogo político con el Gobierno de la República con relación a las prioridades de cooperación, podremos abrir momentos de intercambio de consulta con actores del sector privado, sociedad civil, tanto aquí como en Europa con los colegas miembros de la UE.