

<b>1.1 Project Title*</b>
Good Governance Practices for the Dominican Republic: encouraging changes in the culture of citizen participation and government management towards fairer, more equitable and participative fiscal policies
<b>1.2 Country Where the Project Will Be Implemented*</b>
Mark all that apply.
<input type="checkbox"/> Bangladesh <input checked="" type="checkbox"/> The Dominican Republic <input type="checkbox"/> Honduras <input type="checkbox"/> Indonesia <input type="checkbox"/> Kyrgyz Republic <input type="checkbox"/> Malawi
<input type="checkbox"/> Moldova <input type="checkbox"/> Mongolia <input type="checkbox"/> Mozambique <input type="checkbox"/> The Philippines <input type="checkbox"/> Tajikistan <input type="checkbox"/> Tunisia
<b>1.3 Project Overview*</b>
<b>Recipient/Executing organization name</b>
<b>For mentoring proposals, name of mentor organization.</b>
Fundación Intermon Oxfam
<b>Address of the recipient organization</b>
<b>Country in which applicant CSO is a legal entity</b>
Dominican Republic
<b>Mentee(s) organization(s) name(s)</b>
Ciudad Alternativa, Coalición Educación Digna and Articulación Nacional Campesina.
<b>Project Manager</b>
•
<b>Phone</b>
•
<b>E-mail</b>
•
<b>Project start date</b>
• August 1st, 2013
<b>Project end date</b>
• August 31, 2016
<b>Project geographic scope</b>
• b) Sub-national level. Regions: Ozama, Del Valle, Enriquillo and Valdesia
<b>Total project cost</b>
• 727,984 USD
<b>Additional financing sources</b>
• -

## SECTION 2: PROJECT OBJECTIVES

### 2.1 Describe los objetivos principal de la propuesta, distinguiendo entre las metas de más alto nivel que lo guían y los objetivos generales y específicos y que se espera alcanzar durante su ejecución.

The guiding focus of this proposal is the fact that an active citizenry, which is aware of, mobilizes and cooperates with its government in a participative manner in order to implement its rights, is the most effective guarantee for increasing democracy, providing the State with its role as the guarantor of the population's rights, reducing poverty and encouraging development across all sectors of society.

The proposal is envisioned as a bridge, through social auditing by the CSOs, between the State and the citizenry in order to impact public opinion and mobilize the common will for the supply and demand of services, to close the gap in citizen satisfaction in relation to the management of public funds, by reducing political patronage, corruption, diversion of funds and promoting fairer distribution of national assets.

The strategic objective is centered on promoting transparency and accountability of (central and local) State entities and collaborative participation between the State and Civil Society in order to encourage a fairer, more participative and quality fiscal policy, thus strengthening good governance. For this purpose, the following is required:

- Organized citizens are able to obtain easy-to-understand information about use of resources in the national budget and to use this information to support the improved performance of the public administration.
- CSOs and citizen movements contribute concrete proposals to the development, implementation and evaluation of public policies, programs and projects.
- The organizations, civil society movements and State institutions increase their capacity for democratic dialogue and implement collaborative actions aimed at improving performance and quality of public spending.

The groups to which the project is aimed:

- Citizens organized in the Justicia Fiscal (Fiscal Justice) Movement, the Coalición Educación Digna (Dignified Education Coalition), Ciudad Alternativa (Alternative City) and its Follow-Up Committees in C3 and La Barquita, Articulación Nacional Campesina (National Farmers Network) and its sub-groups in the regions of Enriquillo and Valdesia and Mesas de Transparencia (Transparency Platforms) (AZ, BAH, SJO).
- 20% of the poorest population that uses public education, housing, water and sanitation services and small and medium-scale farmers.

### 2.2 Indique el área foco de la propuesta. Por favor, marque todas las áreas que apliquen a este proyecto.

Social accountability initiative or program (SAcc)	X
CSO Institutional strengthening	X
Capacity-building and technical assistance	X
Mentoring [one or more of the above through mentoring]	X

2.3 **Pilares de Gobernanza GPSA.** Cuales pilares de gobernanza del GPSA son seguidos por su propuesta? Marque todos lo que apliquen.

Pillars of Governance	GPSA Expected Outcomes (Program level)	Pillars addressed by the Project
Transparency	➤ People are able to get more information about government activities and are able to use this information effectively	x
Representation and voice	➤ People have a mechanism and/or policies through which they can voice their concerns to the government and influence policy	x
Accountability	➤ Governments are more accountable to beneficiaries in delivery of services and in management and use of public resources	x
Learning for improved results	➤ GPSA beneficiaries have greater knowledge and practice of social accountability, and civil society organizations have greater capacity to implement social accountability initiatives	X (this is a required area for all Grant Applications)

**2.4 Objetivos del proyecto y Misión de las OSC:** Relacionar los objetivos de su propuesta, la misión de su organización y los objetivos y áreas existentes del programa. Explique claramente cómo la propuesta se ajusta dentro del trabajo de la organización. Si desea adjuntar material de apoyo sobre el Proyecto o trabajo de su organización, puede hacerlo al final de la aplicación, o puede incluir un enlace al sitio web en su respuesta.

[MAX 400 PALABRAS]

As Oxfam, we prioritize on our new Strategic Plan for the next seven years, a commitment on working on supporting active citizenship to hold governments accountable for the political decisions and the implementation of effective reforms, to see real progress in the ability of civil society to keep politicians on their toes. Specially, to guarantee quality access to education and universal health covers.

That's the reason for our active support throughout the world to platforms on Budget monitoring and social audit, both at national and local level. To achieve this, Oxfam has been committed to hold governments accountable and increase the degree of public transparency, especially at revenues rising and expenses allocation. We have been engaging on multistakeholder initiatives on transparency, as the EITI (Extractive Industries Transparency Initiative), closely working with all national and regional platforms (as Publish What You Pay) or supporting the IBP (International Budget Partnership). As an example of some of our levels of engaging see the attached document.

The objectives of this proposal are fully aligned with the objectives and strategies of Democracy and Citizenship program (Deyci) of Intermon Oxfam (2013-2017) in the Dominican Republic (which has been preceded citizenship and governance programs implemented since 2005. (See Annex)

In this framework, the program aims Deyci order to promote favorable public institutions to the most excluded, since strong social movement capable of demanding and monitoring a fair and equitable distribution of public resources, ensuring better quality and access to social services. Specifically looking for:

- Promote the implementation of a fair and equitable fiscal policy aimed to fight poverty and exclusion;
- Promote a political exercise of society understanding

**2.5 Beneficiarios del Proyecto.** Por favor identifique los beneficiarios del proyecto. *[Haga Click en el campo de texto del formulario online para contestar las dos preguntas siguientes]*

**2.5.1 Principales beneficiarios directos del proyecto.** Las personas que se benefician directamente de los resultados del Proyecto. Esto implica la identificación de las personas a quienes se dirige el proyecto para provocar cambios, por ejemplo, población de las zonas seleccionadas que se benefician de un mejor acceso a o uso de determinados servicios, y para quienes el cambio en la política o en la práctica hará una diferencia en sus vidas. Si

el proyecto tiene la intención de involucrar a las personas de grupos pobres y vulnerables, por favor asegúrese de explicar con claridad cómo van a estar involucrados en el proyecto, incluyendo lo que se espera en términos de resultados que beneficien a estos grupos específicos.

Changes aimed by the project are backed-up by Oxfam support to third level organizations: Justicia Fiscal (Fiscal Justice Movement-MJF), the Coalición Educación Digna, Articulación Nacional Campesina (ANC) and the NGO Ciudad Alternativa. These actors, coordinating the Thematic Observatories, will strengthen CBOs and grassroots level organizations.

- MJF: responsible for the macro-level budget analysis and follow up to Action 4.4, Objective 4 of the “**Caribbean Growth Forum**”. Some 20 people (8 women, 12 men) will benefit directly.
- The Coalición Educación Digna: responsible for following up on education policies and will have the support of FC’s Transparency Tables, coordinated by Participación Ciudadana (Citizen Participation) in the Barahona, Ocoa and Azua areas. It will have eight subgroups - ADP and APMAES. A total of 86 men and 129 women will be the beneficiaries.
- Ciudad Alternativa: responsible for following up on drinking water, sanitation and housing policies. With a total of 45 subgroups on both banks of the river Ozama (C3/Barquita). A total of 4,285 men and 5,358 women members of CBOs and people living in the project areas.
- ANC: responsible for following agriculture policies, working with 14 delegates of peasants’ CBOs in San Cristobal, Peravia, San Jose de Ocoa, Azua, San Juan, Barahona and Pedernales under the framework of PTCA II. Will also support 5 CSOs in the same provinces following up agricultural transformation and commercialization process covered by PRORURAL Program. A total of 640 men and 672 women as direct beneficiaries.

**2.5.2 Beneficiarios Indirectos del Proyecto.** Comunidad en general que se beneficia de los resultados del proyecto y su potencial impacto. Para los proyectos centrados en las reformas de gobernanza, los resultados e impactos esperados pueden beneficiar al país en su conjunto.

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- Under Potable Water, Housing and Sanitation: an approximate total of 180,000 people (88,200 men and 91,800 women) will benefit indirectly; they are the people living in the slums at both sides of the Ozama River
- Under Agriculture: about 21,102 men and 23,196 women.
- With the follow-up work on educational policy a number of 2,039 people (977 men and 1,063 women) will be indirectly reached, including teachers and APMAES (Asociación de Padres and Friends of the School). It is expected to impact the student population in the three regions of work with a total of about 960,000 persons.

### SECCION 3: DESCRIPCION DEL PROYECTO

**3.1 Sector o Área de Foco.** *[Haga Click en el campo de texto de la aplicación online para marcar su(s) respuesta(s)]*

Por favor marque el o los sectores foco para su propuesta		Marque el alcance del sector para su propuesta tal como se indica		
		National	Regional (within the country)	Municipal/Local
Principales enfoques en el sector público	Transparency/Access to information	X	X	X
	Budget accountability	X	X	X
	Procurement			
	Anti-corruption			

Por favor marque el o los sectores foco para su propuesta		Marque el alcance del sector para su propuesta tal como se indica		
		National	Regional (within the country)	Municipal/Local
	<i>Otro (por favor especificar)</i>			
Sectores foco	Education	X	X	X
	Health and Nutrition			
	Social protection			
	Water and sanitation	X	X	X
	Energy			
	Transport (roads/public transport)			
	Natural resources			
	<i>Otros (especificar)</i>	Agriculture and housing		
<i>Agriculture and Housing</i>	x	X	x	

**3.2 Estrategia del Proyecto.** El proyecto debe detallar una estrategia clara para generar cambios y lograr resultados tangibles. La estrategia, en este contexto, se refiere a los cursos de acción que serán priorizados y llevados a cabo por el Proyecto para lograr los resultados esperados. La estrategia del proyecto es más amplia que la elección de los "herramientas" o mecanismos específicos de auditoría social; deben considerar también otras dimensiones como la construcción de ciudadanía (incluyendo opciones a nivel nacional y sub-nacionales), alternativas para comprometerse a colaborar con el estado, mecanismos de comunicación y divulgación, entre otras. *[Haga Click en la aplicación online para completar las siguientes 5 preguntas]*

**3.2.1 Resumen de la Estrategia del Proyecto.** Describir los temas de gobernanza y/o desarrollo que se abordarán en el proyecto ("¿Qué?") Resumir la estrategia del proyecto para lograr los cambios y las reformas propuestas. ("¿Cómo?") Si el enfoque del proyecto es solamente el fortalecimiento institucional de las OSC (s), sírvase resumir la estrategia de desarrollo institucional del proyecto. ¿De qué manera las OSC (s) beneficiarias van a enlazarse con la ejecución de las actividades de SAcc?

Governance and/or development issues: Having the country frameworks relative to the Access to Public Information, National Budget, National Development Strategy, and Citizen Participation Mechanisms mandated in the content of several other laws; this project seeks to strengthen their implementation process. Experience has proved that to guarantee the fulfillment of these laws, Citizenship has to organize and demand their rights. Our entrance point is CSOs supporting Citizenship transforming its levels of competence in the arena of National Budget Cycle and social audit tools.

This knowledge will lead to create awareness and build citizenship capable to become involved in concrete social audit actions to be channeled to service providers through CSOs and Social Movements at Local/Thematic level. This strategy is aimed for implementing improvements in the service provision and/or public works and to emphasize and serve as an example of good practice in the decentralization of development planning, public spending management, and citizen participation in the selected sectors.

The creation of a National Consortium of thematic Observatories, will be the source that feeds the work of the sectors and that will place on the public agenda (with its observations and proposals) the contents that positively advance and influence State investment on the selected sectors.

**3.2.2 Estrategia para construir apoyo de múltiples partes interesadas.** ¿Cuál es la estrategia del proyecto para la construcción de apoyo de múltiples partes interesadas? ¿Qué vías estratégicas se utilizarán? (por ejemplo, la formación de coaliciones; el uso de redes de difusión; focalización específica para cambiar actores a través de las diversas partes interesadas, como el sector privado, medios de comunicación, otros; coordinación estratégica de las intervenciones locales y nacionales de la sociedad civil; uso de las redes y coaliciones globales; uso de normas y mecanismos de control internacional independientes; entre otros) Si el enfoque del proyecto es solamente el

fortalecimiento institucional de las OSC(s), por favor explique cómo las actividades de la propuestas mejorarán las capacidades de las OSC(s) beneficiarias para la construcción de apoyo de múltiples partes interesadas en su trabajo de SAcc.

Strategy for building multi-stakeholder support: The creation of a National Consortium of Thematic Observatories (coordinating existing ones and creating others), under the macro-perspective of follow-up to the budgetary cycle and the activation of interface spaces between citizens and duty bearers, are the two main milestones of our strategy for building multi-stakeholder support.

Consortium: we intend to provide institutional strengthening to the actors leading the observatories and to install technical capacities within them -which will be multiplied to grassroots groups and first level organizations with a direct influence in the selected areas.

Interface: aiming to institutionalize the participation mechanism mandate in some thematic laws and to generate similar experiences in the sectors where they do not yet exist.

For both cases, the creation of spaces, formal and not, is seen as an access point to mobilizing wills (community meetings, academic debates, web-based tools, and other creative expressions). The project actions, as far as possible, will be linked to the work of other coordination spaces at a national level (Foro Ciudadano, Youth Movements, Women's Movements, Red Urbano Popular) and international level (COOPHABITAT, Via Campesina, Landless Movement, Transparency International, Tax Justice Network, International Budget Partnership (IBP), Open Budget Initiative, as a way of increasing the voice and representativeness.

**3.2.3 Estrategia para construcción de compromiso colaborativo.** ¿Cuál es la estrategia de su propuesta para la construcción de compromiso colaborativo con el Estado (ejecutivo, legislativo, judicial / nacional, sub-nacional, local, regional)? ¿Qué actores deben utilizar el tipo de información relacionada con o generados por el proyecto, y cómo estos actores utilizarán dicha información? Si el enfoque del proyecto es solamente el fortalecimiento institucional de las OSC (s), por favor explique cómo las actividades propuestas mejorarán las capacidades de la OSC (s) beneficiarias para la construcción de compromiso colaborativo con el Estado.

Strategy of constructive engagement: For the project achieving its objective of transforming development planning practices and public resource management, the recommendations and findings of the three observatories must be used for advocacy work pushing for changes in public policies and budget allocations. With this in mind, our strategy of constructive engagement is founded in the strengthening of CSOs and citizen movements in negotiating and consensus-building skills.

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At national level, an emphasis will be placed on feeding Executive branches entities related to the National Budget Cycle with civil society recommendations and viable technical proposals for the development planning and public resources management. It is foreseen to create, as result of the project, mixed technical teams that support Congressional commissions (Finance, Education, Agriculture...) in their work linked to the National Budget Cycle management and decision-making.

**3.2.4 Estrategia de comunicación y divulgación.** ¿Cuál es la estrategia de comunicación y divulgación para atraer la atención de diferentes públicos, incluyendo los medios de comunicación? Si el enfoque del proyecto es solamente el fortalecimiento institucional de las OSC (s), por favor explique cómo las actividades propuestas mejorarán las capacidades de comunicación y divulgación de las OSC (s) beneficiarias.

A broad-based communications and dissemination mechanism is planned for the project actions, in the area as well as at a national level.

At the area level priority will be granted to the use of tools with a popular base (e.g. popular bulletins, community TV, leaflets and educational materials in popular versions, and others).

APPS and Web-based tools will be developed for access of multiple interested parties; one of these is specifically aimed at following up on the work of Congress members in the area of voting and decisions about public

resources. By producing bulletins on general and sector-based budget implementation that will be done every six months the results, analysis and recommendations will be presented in press conferences and in press tours.

We will make the most of the skills of the young people in the CSOs and Citizen Movements who are beneficiaries of the proposal with the dual purpose of managing the social networks while promoting the renewal of leadership within the organizations.

We envision the participative formulation of a detailed communications strategy that defines more concrete matters like communications procedures for management of sensitive information, key messages, sign-off mechanisms, spokespersons, etc. Public demonstrations that make a positive contribution to expressing the voice of citizens will form part of the message dissemination format and communication strategy for the proposal, providing it contributes to the process of building an active citizenry.

**3.2.5 Selección de herramientas y mecanismos de auditoría social.** ¿Cuáles son los mecanismos o herramientas específicas de auditoría social que serán implementadas o se trabajarán en el proyecto? ¿Cómo van a contribuir a los resultados propuestos? Si el enfoque del proyecto es solamente el fortalecimiento institucional de las OSC (s), por favor explique cómo las actividades propuestas mejorarán las capacidades de las OSC (s) beneficiarias para diseñar e implementar mecanismos de rendición de cuentas y técnicas o herramientas de auditoría social.

Six social auditing tools have been identified that will be implemented during the project lifetime. Not all the tools will be used for the same purposes or for the same levels. Knowing that the project proposes two clearly defined but interlinked levels of action, the first three will be used at community level – Component 1 of the project refers to the follow up on three sectors in the selected areas and the last three will be used at National level for following up on the structure of the General National Budget and the specific monitoring of the areas of education, housing and agriculture. Specifically:

1. Citizen Qualification Cards: an audit will be conducted on whether the information divulgation system on the National Budget offered by the Ministry of Finance's Citizen Portal is effective in terms of accessibility, opportunity and quality of information required by the citizenry.
2. Community Report: an audit will be conducted on the beneficiary selection process for the PATCA I & PRORURAL II programs, the drinking water supply and sewage, and the public education service to the public entities with responsibility in the selected areas.
3. Public works monitoring: the implementation costs and the agricultural infrastructure quality in the framework of PATCA II & PRORURAL will be scrutinized, as well as the construction of social housing in the programs that come under the Presidency and the construction of school classrooms by the Ministry of Education.
4. Public Spending Follow-up Surveys: the transfer of funds from the Ministries of Education, Agriculture and the Presidency will be monitored (social housing construction programs).
5. Follow-up and Monitoring of the National Budget Cycle: the fulfillment of the proper formulation and approval, implementation and evaluation process will be monitored in a general way, its composition and distribution will be analyzed in a general way and the education, housing, drinking water and sanitation and agriculture sectors will be observed in greater detail, using the Sector-based Thematic Observatories as inputs.
6. Social Media Initiatives: follow-up will be provided to the legislative agenda linked to the budget cycle in general and the sectors mentioned in particular.

Due to the nature of the social auditing techniques identified, their results should encourage negotiation of concrete action plans between the interested parties (on the offer side and the demand side) as well as generating inputs that feedback on the higher level policy decisions; the basis for the importance of the communications strategy and dissemination of the results of the Observatories.

As this involves innovative methods, a training process must be carried out in order to ensure their effective

implementation.

**3.3 Herramientas de Auditoría Social.** Seleccione las herramientas de rendición de cuentas y auditoría social que se espera sean utilizadas durante la vida del Proyecto. Marque todo lo que corresponda. Esta información será utilizada para el conocimiento y el aprendizaje a través de actividades del GPSA. *[Haga Click en la aplicación online para marcar su o sus respuesta(s)]*

<b>Mecanismos y herramientas de Auditoría Social</b>	
<b>Transparencia y Acceso a la información</b>	
Elaboración de propuestas para avanzar nuevas políticas, modificar o reformar las legislaciones o reglamentaciones existentes en material de transparencia y acceso a la información (nacional, estatal / provincial, municipal)	X
Desarrollar información y materiales de comunicación para que la información pública sea accesible a audiencias específicas	X
Presentación de solicitudes de acceso a la información pública	X
Desarrollar bases de datos en línea para <u>mostrar</u> la información pública en formatos accesibles y comprensibles	X
Análisis presupuestario independiente (a niveles nacional, estatal/provincial, o municipal)	X
Uso de Informes de Auditoría de la Cámara de Cuentas o informes de otras agencias para la "supervisión" de los datos	X
<b>Otras (por favor identificar):</b>	
<b>Representación y Voz</b>	
Desarrollar aplicaciones cívica para mostrar la información pública y la participación de los ciudadanos o audiencias específicas a través del uso de las TIC (por ejemplo, crowd-sourcing, SMS)	X
Construcción de capacidades para CSOs, redes de CSOs, y/o grupos ciudadanos focalizados	X
Conformación o fortalecimiento de consejos o comités entre Estado y Sociedad Civil	X
Uso de procesos de petición pública formal u organización de procesos informales de petición colectiva (ej. uso de herramientas de petición basadas en la web)	X
Uso de mecanismos de participación ciudadana formales (e.g., audiencias públicas, procesos de reglamentación hechos participativamente, etc.)	X
<b>Otros (por favor especificar)</b>	
<b>Rendición de cuentas</b>	
Desarrollar aplicaciones cívicas en línea para <u>monitorear</u> el cumplimiento gubernamental sobre políticas de transparencia y	X
Desarrollar aplicaciones cívica en línea para <u>monitorear</u> instituciones y programas públicos (a nivel nacional, regional, municipal)	X
Monitoreo independiente al presupuesto (incluyendo rastreo a los gastos y monitoreo al proceso del ciclo del presupuesto)	X
Diseñar e implementar Reportes Comunitarios para evaluar la prestación de servicios públicos (disponibilidad de insumos, calidad del servicio)	X
Diseñar e implementar auditorías sociales a la implementación de programas o políticas públicas, monitoreo con base social de ejecución de obras publicas.	X
Monitoreo independiente al proceso de compras y contrataciones públicas.	
Diseño e implementación de gestión de reclamaciones de mecanismos de compensación	
Colaboración con instituciones de rendición de cuentas (ej. Cámara de Cuentas, Defensoría del Pueblo)	
Uso de los mecanismos y estándares internacionales de seguimiento para supervisar país cumplimiento, la aplicación y la ejecución de políticas y programas (a nivel nacional, regional / provincial o municipal)	
<b>Otros (por favor especificar)</b>	

**3.4 Resumen de los componentes del Proyecto.** *[Haga Click en la aplicación online para completar las siguientes tres preguntas]*

**3.4.1 Resumen del Proyecto.** Sírvase proporcionar una descripción general de los componentes principales de la propuesta, incluyendo sus objetivos clave, actividades, beneficiarios y partes interesadas que hayan de intervenir. Usted será capaz de proporcionar información detallada acerca de cada componente en la Parte 2: Componentes del Proyecto.

The first component refers to the **Citizen follow-up to the cycle of the National Budget and the Action 4.4 of the Action Plan of the Dominican chapter of the Caribbean Growth Forum**, and with this we propose to:

- Feed back from the citizenry to the Budget formulators and implementers, with data that strengthen the



quality of national resource management at macro-level. The change must operate from the citizenry and their participation in public policies to the service providers and their will for citizen participation.

- In terms of follow-up on action 4.4 of the CGF we expect to contribute to improving the service offered via the Citizen Portal and actions aimed at citizen knowledge of the contents of the Budget Law and the rights framework of the selected themes. A monitoring process will be established of the fulfillment of the due process in all the stages of the National Budget Cycle, this is why it is importance to work closely with the legislative agenda and the Congressional commissions, adding mixed Congress members-civil society working groups.
- A Consortium of Observatories will consolidate the work of the Sector/Area-based Observatories to mold a citizen proposal for a participative national budget in the themes defined earlier. At this level, the exercise of the social audit will take place of the General Budget Department (DIGEPRES), the Chamber of Accounts, the National Congress, the Ministry of Economy, Planning and Development (SEEPYD), the Tax Department (DGII) and the identified sectors.

Through the second component the **Community based social audit of the education, agriculture, housing and drinking water and sanitation at area level** budget lines will be conducted. The actions are aimed at:

- Implementing the Observatories in the education, housing, agriculture and water and sanitation sectors on budget implementation at national level and in the areas aimed at central government or municipal projects in these areas. A shared methodology will be established in the shape of a cascade, adjusted to each locality, which will apply the selected social auditing methods and launch interface processes.
- Strengthening the State-Civil Society participation mechanisms in the target sectors and areas. This seeks to strengthen the existing spaces and create new spaces for participation and debate. Through this component progress will be made on strengthening the participation entities designated in the municipal and planning law or in the cases where they do not exist similar experiences will be created.
- Two types of outputs will be offered, on the one hand commitments and/or action plans for improvement to be used within the framework of resources that are available within the areas, and on the other hand, higher level negotiations for the improvements that fall outside the community setting (link between the area/sector-based observatories and the Consortium).

The third component deals with the area of **knowledge and learning** for the stakeholders involved:

- The CSOs and social movements that are beneficiaries of the project improve their capacity to gather and analyze public information.
- Dominican civil society has replicable experiences on other themes/areas to strengthen the framework of governance, transparency and public resources management.

For this purpose training will be provided in social auditing methods, ICTs, negotiation techniques and consensus building and management of the national budget and its implementation cycle.

Groups to which the project is aimed:

- Citizens organized in the Justicia Fiscal (Fiscal Justice) Movement, the Coalición Educación Digna (Dignified Education Coalition), Ciudad Alternativa (Alternative City) and its Follow-Up Committees in C3 and La Barquita, Articulación Nacional Campesina (National Farmers Network) and its sub-groups in the regions of Enriquillo and Valdesia and Transparency Platforms (AZ, BAH, SJO).
- 20% of the poorest population that uses public education, housing, water and sanitation services and small and medium-scale farmers.

**3.4.2 Resumen de lecciones aprendidas.** Resumir las lecciones que se han aprendido de experiencias anteriores en el sector o área del proyecto, incluidos los proyectos llevados a cabo por su organización o por otros actores en su propio país o de otros países. Explicar cómo en el diseño del proyecto se ha tomado estas lecciones en cuenta.

The country has important experiences of social auditing. Progress has been achieved in the implementation of citizen participation mechanisms, social oversight and accountability in Municipalities, especially in participative budgeting. One example is the Montalvo Center with its Social Policies Observatory, which has contributed budgetary analysis. It produced a version called "Observatory in the Barrio," which outlined the relationship between the works assigned in the general budget and in the participative budgets in concrete areas for follow-up. This experience allowed, through the use of the law on access to information: monitoring of public works, community notice boards, interface meetings, achieving the continuation of community projects that had been dismissed by the municipality. This experience was replicated in several places in the country.

This project will have 47 leaders (men and women) trained in this process. There are other experiences: National Budget and Social Policies (including community base in Circumscription 3 of the National District), the Colectiva Mujer y Salud/Women and Health Collective (Gender Observatory), INSALUD, (monitoring PROMESECAL), Ciudad Alternativa/Alternative City (Housing Observatory) and Participación Ciudadana/Citizen Participation (Transparency Platforms).

In a broader sense the work of the Coalición Educación Digna (Dignified Education Coalition), Intermón Oxfam and Justicia Fiscal (Fiscal Justice). These last two have propelled a citizen monitoring process and budgetary proposals with a high content of dialogue, debates, analysis, which we will make the most of in this project.

The international organizations have seen in Dominican civil society a solid platform for advancing the agenda of transparency, accountability and the fight against corruption. The country also has a team of social auditors trained by the World Bank/USAID and enjoys technical and financial support that backs relevant processes like: IPAC and IDEC that is currently under way. Precisely, taking these experiences as a basis, the project strategy envisions coordination between the already existing structures through the formation of a Consortium of Observatories that will consolidate the accumulated experiences and knowledge.

**3.4.3 Alternativas Consideradas.** ¿Qué intervenciones alternas se consideraron en el diseño de este proyecto? ¿Cuáles son los pros y los contras de estas alternativas? Por favor, incluir al menos una alternativa considerada. Explicar las razones por las que el diseño del proyecto elegido son las más adecuadas.

At the initial stage, the possibility of monitoring policies was chosen as an option, but when the project design proposals were reviewed, three possibilities were considered: monitoring of education policies at a central level, creation of an observatory for the fiscal system in order to monitor income and expenditure, and lastly, the selected option of organizing a consortium of observatories to encourage changes in the culture of citizen participation and in government management for quality fiscal policies that are fairer, and more equitable and participative.

We believe that encouraging the observatories for education or in the fiscal system at a central level would not achieve an empowerment process in cascade that would lead to dialogue in the areas and would ensure that the improvement in the quality of services genuinely reaches those who are demanding it. Our choice was therefore to combine a macro-observatory with the sector-based observatories and the area-based experiences, in order to pass on capacities from the macro-processes to the areas and vice-versa.

This experience will contribute analysis, information, experience and methodology to the existing observatories and the social auditing process, thus helping to improve public policies in the country's poorest areas. In this way, we will contribute to the transformation of the State's local and central transparency and accountability practices and to collaborative State- Civil Society participation at area level where the organizations do not just have representation but also have the real possibility of generating a direct interaction dynamic with the state entities that implement policies.

## SECCION 4: IMPLEMENTACION DEL PROYECTO

**4.1 Construcción de capacidades:** Por favor, explique y justifique cómo usted está planeando abordar la construcción de capacidades de su organización o de la organización que usted tutorará (acompañará), durante la vida del proyecto. La construcción de capacidad pueden incluir áreas de la organización (gestión financiera, gestión de las TICs, etc) o áreas fundamentales relacionadas con el logro de los objetivos del proyecto (por ejemplo, análisis de políticas, o de sectores como la pobreza o el análisis de presupuesto, etc.) Indique si planea solicitar apoyo externo para este propósito o si usted ya ha determinado el apoyo externo, por favor explique. Esta pregunta debe referirse a las actividades de construcción de capacidades y fortalecimiento institucional de las OSC(s) beneficiarias. Las actividades de capacitación relacionadas con la ejecución de las actividades de SAxx, y dirigida a los beneficiarios directos externos del proyecto deben ser descritas en la Sección 3: Descripción del proyecto, en el marco del componente correspondiente. Si la propuesta se centra solamente en el fortalecimiento institucional de las OSC beneficiaria(s) y este tema ya se ha tratado en virtud de un componente, es posible que responda a esta pregunta indicando "Pregunta contestada en X componente".

Capacity building is essential to this project. We conceive the creation and consolidation of a large observatory with the capacity to conduct fiscal analysis (income and expenditure), based on coordination with specialists from the Fiscal Justice (Justicia Fiscal) Movement, which will guarantee the relevance and strength of the ensuing outputs and will help assemble the design and methodology for the sector-based observatories.

Likewise, it will complete the Technical Management Unit (Unidad Técnica de Gestión, UTG) by providing staff members who will take responsibility for looking after and developing the cascade methodology that allows for top-down, bottom-up and crosscutting knowledge transfer. For this purpose, training will be provided for 239 leaders (111 men and 124 women) who are members of sub-groups in the project geographical areas.

Once the shared methodology is established and the leaders are trained on the theme (from a rights and gender-based perspective) and in social auditing and budget analysis tools, capacities will be created in the organizations that lead the thematic observatories and in the mid-level organizations that will replicate the capacities acquired in the areas. The proposal to work with organizations with strong budget analysis skills will be fulfilled.

We have some experience of thematic discussions with university debates that involve the academic sector in political discussions and strengthen the production of budgets and capacity building. There is an experience developed by the Centro Montalvo based on a methodology from Spanish universities, which has been continued by Justicia Fiscal (Fiscal Justice movement) on the theme of Fiscal Policy.

In summary:

- 1) Training in thematic contents that will strengthen policy analysis capacities beyond the budget level, from a rights and gender-based perspective. It will make a key contribution to citizenship building through a process of transformation from a culture of patronage to an awareness of rights.
- 2) Specialized training in auditing techniques, information requests, analysis of information and negotiation, communication and ICTs.
- 3) Process-based training in following up and perfecting the area-based experiences, by each sector-based Observatory. Each locality in turn will transmit the training to its organization, using cascade methodology.
- 4) Once the process is complete, in each locality the networked subgroups will in turn systematize the process that they have undergone (accompanied by the sector-based observatories) and will pass them on to the UTG technical team and to other localities and vice-versa, in order to be able to identify which

methods are most appropriate and improve their effectiveness and efficiency.

**4.2. Rol de los socios.** Describir los acuerdos de implementación previstos en el proyecto con actores externos y/o socios, y los roles y los tipos de contribución propuestos en el marco del Proyecto. Para propuestas de tutorial (acompañamiento), describir claramente los arreglos de tutoría y colaboración entre la organización mentor y la CSO aprendiz.

The project will be implemented via cooperation agreements between Intermón Oxfam and the partner organizations, Articulación Nacional Campesina/ANC (National Farmers Network), Ciudad Alternativa (Alternative City), Coalición Educación Digna (Dignified Education Coalition) and Movimiento Justicia Fiscal (Fiscal Justice Movement). The cooperation agreements contain the general and specific arrangements that relate to the financial and technical management of the project; they will be coherent with the World Bank's conditions and requirements in the Framework of its Global Partnership.

Intermón Oxfam will provide its experience and that of its affiliates at the worldwide level, and technical support in budget monitoring and advocacy in public policies to the four organizations listed, and will act as guarantor to the donor in order to ensure the implementation of the project in terms of quality and timeliness.

A technical management unit will support the implementation; this will contain an operational working procedure. As part of the intervention, operational manuals (Observatory methodology) and communications manuals (for the Observatories' communications strategy and the dissemination of data) will be designed.

Each partner organization will contribute its expertise in each of the themes under observation – ANC in agriculture, Ciudad Alternativa in housing, water and sanitation, Justicia Fiscal in technical budget analysis and Coalición Educación Digna in Education. The partner organizations will also be responsible for establishing direct links in the areas and with the beneficiary populations in the selected areas of intervention.

**4.4.- Monitoreo, Evaluación y Aprendizaje. Se sugiere a responder las siguientes preguntas después de haber completado el marco del resultados del proyecto (ver anexos requeridos) [Haga Click en la aplicación online para contestar las siguientes 3 preguntas]**

**Monitoreo.** Por favor describa el sistema de monitoreo del proyecto, incluyendo los métodos y herramientas específicas que se utilizarán. Justifique cómo los métodos y los instrumentos propuestos son adecuados para el o los problema (s) que aborda el proyecto. ¿Qué recursos serán necesarios para el despliegue y la implementación del sistema de monitoreo? Por ejemplo financieros, humanos, técnicos, uso de las TIC, etc Que apoyo externo se necesita? En caso afirmativo, por favor explique. Por favor, asegúrese de contestar a todas estas preguntas.

The project monitoring process is aimed at extracting information, reflections and conclusions on the project progress and performance. It is conceived as an integral part of the process of participation and transmission of knowledge and should help improve the intervention in the action. For this purpose it is important to take into account that the project organizational chart sets out several teams: Political Team (EP), Technical Management Unit (UTG) which will act as the general observatory technical team, the Technical Observatory Team (General, Housing and Water, Education and Agrarian) (ETO), Subgroup Teams (EN) and Grassroots Organizations (OSC), all of which are action mechanisms and therefore must be taken into account in the process of obtaining the results. In addition, a Monitoring Team (EM) will be set up. See the following steps:

1. The UTG must build and propose an easy-to-use tool using the results framework. The current one allows indicators to be matched to results. The idea is to expand the matrix in order to generate shorter-term aims (given that this project is planned to run for three years) related to the activities (calendar and budget) in order to fulfill the results and achieve the outputs. Each activity will be reported in a digital fiche that will be entered electronically onto a shared database that monitored by the UTG. In the same way, it will prepare a short monitoring and evaluation course applicable to the same tools that have been designed.

2. Monitoring and evaluation course for the UTG, ETO and EN.
3. UTG defines the functions of the observatories and sets up the Monitoring Team (EM).
4. **Meeting** between the UTG, ETO and EN to construct the baseline with a view to completing the missing indicators in the reference framework.
5. **Meeting** between the UTG and each specific ETO in order to set up the short and long-term results and indicators to be fulfilled.
6. Each observatory must establish its operational plan that forms part of the annual operational plan of the observatory in general (complete reference framework).
7. **Monthly meetings** of the consortium of observatories, with EM: monitoring of activities (review of fiches, efficiency review)
8. **Bi-annual meetings** for qualitative and quantitative monitoring of the objectives (according to the results framework in the short term, review of efficiency, effectiveness and coverage) with the UTG, ETO and EN. The project financial implementation will also be reviewed. Adjustments will be made in cases of discrepancies of efficiency or effectiveness and of unforeseen effects and will continue. This meeting will also include review of area-based experiences. Also, each ETO should report with all the fiches per activity sent to the UTG.
9. **Biannual EM and UTG meeting** for evaluating the process and drafting an improvement plan should this be required (UTG implements the improvement plan).
10. **Annual meeting** where the progress of indicators, results and outputs is monitored, and the systematization of experience for each observatory is presented.
11. **After three years** a general evaluation of the project is planned, a large-scale systematization of the experience and audit of the project (more information follows).

The monitoring and evaluation process is part of the same monitoring discipline that will be employed in the process. Monitoring discipline will be treated as an inherent advance in itself and of the capacities to be passed on, on the grounds that if we are not capable of monitoring ourselves, we are much less likely to be able to monitor public policy indicators. The inclusion of the different groups in the actual evaluation process is also done with the intention of guaranteeing that the project develops in a democratic and participative manner.

**4.4.2.- Evaluación.** Describir los métodos de evaluación de la intervención. ¿Por qué estos son suficientes para valorar los resultados intermedios y finales que se esperan de la ejecución? ¿Qué recursos serán necesarios para diseñar e implementar la evaluación propuesta (s), será necesario el apoyo externo? En caso afirmativo, explique. Por favor, asegúrese de contestar a todas estas preguntas.

The evaluation process in this project will be continuous, so the moment of evaluation that we will describe refers to a consequence of the previous monitoring processes, an internal annual evaluation. It thus consists of a cumulative evaluation or external closure, with the aim of assessing the global performance of the project whose implementation has been completed and to extract the corresponding learning points.

The working methodology, as well as pinpointing the analysis of the classic evaluation component (efficacy, efficiency, relevance, impact, viability, potential for replication) and any unforeseen effects, will take into account the direct and indirect beneficiaries democratic participation process in the project implementation. In this way we plan to a) conduct a cascade evaluation, in the same way and with the same people that the project had in mind and b) with stakeholders other than those who took part directly in the process.

Despite the fact that the authorities involved were considered as direct actors, we would like to

highlight that we believe that they should be included in the evaluation process, possibly through interviews or focus groups, whatever is considered more practical.

Conversely, given the fact that a baseline is planned, we plan to conduct an information gathering exercise with the same features as the one that was used for the baseline, in order to outline any progress made.

We expect that this process will yield:

- 1) A final report that will enable us to see the quality of the intervention that has been implemented, contributing clues for improving planning of similar future projects. This report should conduct a new baseline information gathering exercise, to allow the project progress to be seen.
- 2) A financial audit that shows the level of transparency and precision with which the project was managed.
- 3) A final project systemization, which will generate knowledge that can be used productively in other projects, actions, or independent development processes.

For evaluating and auditing the project, we propose that as well as being conducted by a company external to the project, given the fact that this would ensure greater objectivity, less complacency and greater independence of the evaluation process than the evaluator can provide.

**4.3.3 Conocimiento y aprendizaje.** Describa el enfoque de la propuesta sobre la gestión del conocimiento y el aprendizaje (K y L), incluyendo el tipo de productos de aprendizaje (estudio de caso, notas de “como hacer”, informe de lecciones aprendidas, etc.), y quién será el responsable? ¿Participaran de alguna manera investigadores o instituciones académicas?

Especifique como la información generada a través del monitoreo y la evaluación se utilizara para alimentar a la intervención propuesta, adaptándose y mejorando su posible eficacia e impacto. ¿Qué recursos se destinarán a desarrollar y poner en práctica el sistema de K & L propuesto? ¿Tiene la organización un sistema ya existente de K & L que se utilizará para apoyar las actividades de K & L del proyecto? Se necesitara apoyo externo? En caso afirmativo, explique. Por favor, asegúrese de contestar a todas estas preguntas.

The principle that cuts across the entire intervention is of “knowledge-reflection-action;” spaces are created for exchanges of ideas and debates and concrete actions are encouraged based on the information provided. This is the logic that the project follows in all of its training cycles and at all levels of intervention.

With the people in the areas: thematic training cycles on education, housing/water and agriculture (with a rights-based focus) that enable specific knowledge to be provided + community meetings, community TV and other expressions that facilitate an analysis of the context based on their realities and provide the opportunity for them to strengthen their political worldview + participation tools (web-based, observatories data collection fiches, etc.) that provide them with the opportunity to exercise their citizenship right and to actively participate in improvement initiatives.

With the CSOs and Citizen Movements: specialized training in social auditing techniques that will enable them to collect quality information for processing and analysis + spaces for debating ideas, which contribute to reading the findings objectively, to analyzing them and create new possibilities and networking spaces that could open the way for these new possibilities for action. We envision it as a dynamic and interconnected process of interchange, where there is a top-down feedback (from the field to the National level; from the users to the providers) and that will gradually be consolidated through a series of reports, case studies, and follow-up plans, etc., which redirect the project course of action as necessary or that serve to replicate the experience in other interventions.

Oxfam has a Monitoring, Evaluation and Learning methodology as well as its own team, which will play a guidance

role in this intervention.

**4.4 Sostenibilidad.** Por favor considere las siguientes preguntas en sus respuestas relacionadas a la sostenibilidad del proyecto

¿Espera usted que la (s) intervención (es) implementada (s) por el Proyecto continúen más allá de la duración del proyecto? Es el mantenimiento de la intervención, más allá de la duración de la financiación del GPSA, una condición necesaria para sostener cualquier resultado positivo? En caso afirmativo, ¿cómo se va a garantizar la sostenibilidad de la (s) intervención (s)? Si el proyecto se ejecutará como un piloto, o en un área geográfica específica (local o regional) por favor explique si se pudiera reproducirse o ampliarse a un nivel más amplio, y cómo se podría llevar a cabo.

The project intervention focus prioritizes the use of existing structures, such as the area-based expressions of the movements and organizations or the Citizen Councils organized according to specific sector-based laws or the Congressional Commissions linked to the themes that have been identified. These structures have not been selected at random; they are structures that guarantee sustainability over time of the positive impact generated by the project due to their legal status.

The project also plans to set up Mixed State-Civil Society Committees for sector/area based level follow-up on the commitments and plans of action that are generated.

On the other hand, Oxfam considers promoting democracy and active citizenry as a priority. In fact, it has developed a program strategy for the next five years (2013-2017), which serves as a platform for the project, and from which the plan is to provide follow-up and technical and financial support to the partner CSOs and Citizen Movements outside the scope of the intervention. The K&L focus outlined in Part 2 is geared at systematizing learning and experiences which will serve as a reference or methodological framework for future interventions in other geographical areas and themes.

## PARTE 2: COMPONENTES DEL PROYECTO

Parte 2 del formulario de aplicación requiere que la siguiente información sea completada para cada componente. Si usted está trabajando en su aplicación fuera de línea, por favor, copie y pegue en la tabla a continuación en este documento para cada componente incluido en la propuesta.

**Componente 1:** Inserte el Título/Definición del Componente

Citizen follow-up to the National Budget Cycle and Action 4.4 of the Action Plan of the Dominican chapter of the Caribbean Growth Forum

**Descripción del Componente.** La descripción de los componentes debe resumir sus principales objetivos y actividades, beneficiarios y otras partes interesadas que hayan de intervenir.

This component will monitor the implementation of Action 4.4, objective 4 of the Caribbean Growth Forum's Action Plan: **"Strengthening transparency and accountability in the national budgetary implementation by complementing the work of IPAC".**

In the first instance the plan seeks to change the relationship between the organized citizenry and the state, by improving the capacity of citizens to provide feedback to service providers and divulging the results of their analysis of the implementation of the items assigned in the national budget. Cultural changes will also be encouraged in practices by the organized citizenry seeking to exercise their right to know about the distribution of the sums assigned in the national budget lines and their implementation at every stage of the budgetary cycle.

We will organize the following main activities:

- Monitoring of the quality and timeliness of information about the National Budget in different aspects.
- Follow-up and monitoring of the National Budget Cycle according to the Organic Budget Law 423-06.
- Preparation of macro-level budget implementation bulletins, for distribution and discussion with the public entities.
- Observation and analysis of the legislative agenda as it relates to the national budget (income and expenditure) and the fiscal responsibility Law that sets out as necessary Art. 36 of Law 1-12 of the National Development Strategy 2030.
- Development of a citizen proposal for the National Budget.

The General Fiscal System Observatory (Intermón Oxfam and Justicia Fiscal/Fiscal Justice) will be involved.

The institutions that will be audited as part of this component will be: the General Budget Department (DIGEPRES), the Chamber of Accounts, the National Congress, the Ministry of Finance, the Ministry of Economy, Planning and Development (MEEPYPD) and the Tax Department (DGII).

In this component the beneficiaries will acquire skills including budget analysis, strengthened capacity for monitoring the budget cycle, and improved access to information, along with other benefits for an average of 30 people from social organizations in the consortium and the organizations that will accompany each observatory. These specialists and community leaders will acquire the capacities to analyze, discuss and disseminate the budget implementation bulletins produced by the General Budget Observatory. They are expected to develop the capacity to adapt this information in order to work on them with grassroots community organizations. At state institution level, at least two officials will benefit from each of the sector-based entities in the awareness raising process about the rights of citizens to handle public information, as well as the improvements that will be obtained from correct budgetary implementation.

As a result of the development of the previous activities, the outputs listed below will be obtained.

First, **improved budgetary information management and delivery on the citizen portal** (website). The levels of transparency will be increased in terms of budgetary execution, at the income as well as the expenditure end. The possibility of guaranteeing the information within a sensible timeframe and the achievement of the application to the geographical classifiers as well as the requisite to form links between the different classifiers.

The second output refers to the **improvement of the fulfillment of the stages of the national budget cycle**. This output is centered in several of the Executive Branch's accountability processes and it involves strengthening the supervisory roles of the Chamber of



Accounts and the Congress. The implementation of all the processes that are linked with the budget cycle will contribute to the genuine implementation of the institutional reforms in the country's financial sector.

A third output refers to citizen follow-up to the legislative agenda for greater financial control of the State. The proposal suggests a change in the way congress members take legislative decisions related to loan approvals, budget modifications, etc. It will also involve a change in the way accounts are delivered on the legislative agenda so that it may become an accessible tool for all citizens.

A fourth output encourages the launch of citizen advocacy aimed at achieving participation in the construction of the national budget. By constructing a citizens' budget in the thematic project action sectors, the plan is to achieve as an output a situation where **services and resources managed by participative planning processes are developed, which respond to public (men and women) needs and priorities**. By developing this exercise we will demonstrate the certainty of the efficiency of budget construction with the participation of a civil society that formulates proposals based on a broad knowledge of the reality of the areas. A bottom-up structure that will allow for improved management of public resources and more effective public policies in the medium and long term.

The last output is geared at improving the citizenry's knowledge levels of budgetary information through macro-level data analysis exercises and social spending in general.

**Valor estimado (en US) para el Componente:** Por favor note que este valor debe ser consistente con el costo estimado del componente incluido en el presupuesto de la propuesta.

**USD \$ 339,641.50**

**Plazo del Componente:** Fechas estimadas para el inicio y fin de las actividades bajo este componente.

**Fecha de inicio: 01/08/2013**

**Fecha de término: 01/08/2016**

Describir los principales **supuestos** que necesitan trabajar con el fin de lograr los resultados intermedios definidos para este componente. Los **supuestos** son las hipótesis y suposiciones que deben mantenerse para las actividades a ser implementadas en el componente, los productos entregables según lo previsto en la ruta hacia el logro de los resultados. Pueden referirse a los comportamientos, actitudes e intereses (por ejemplo: los actores que cooperarán para lograr un propósito común, o que estén interesados en dedicar tiempo a aprender sobre el tema X, etc.), los procesos y acontecimientos que siguen una cierta secuencia, la gestión de los recursos (la disponibilidad o manejo eficaz que puedan afectar positiva o negativamente los resultados previstos del proyecto), entre otros. Los múltiples factores que afectan a cada etapa del proceso de cambio deben ser evaluados al amparo del contexto global, de las experiencias previas y de la investigación - para identificar cuales supuestos subyacentes facilitarían y cuáles podrían poner en peligro el éxito de la intervención propuesta.

Junto con este ejercicio analítico es importante tener en cuenta que los procesos que conducen los productos de las actividades a los resultados no siempre son lineales o lógicos, de ahí la necesidad de trabajar en profundidad sobre las conexiones entre la entrega de los productos y la forma en que estos productos contribuirán al logro de los resultados.

Monitoring the national budget entails an interest from the organizations working with the observatories and with grassroots links. The significance of budgetary follow-up is granted by putting complex tools that should be handled by ordinary citizens in the hands of community leaders. The success of this activity depends in the openness of public institutions that manage budgetary information. We start from the assumption that the institutions are interested in increasing transparency and accountability set out in the laws that make up the Dominican financial system.

We assume that result-orientated budget formulation institutions have an interest in fulfilling public spending quality indicators. Officials based in the areas are also expected to take an interest in improving accountability processes and the organizations' interest in promoting transparency and demanding accountability.

We start from the assumption that the local authorities are concerned about the country's low ranking in the Open Budget Index and that they understand that the follow-up process developed by the consortium will result in an improvement in this ranking.

We expect that a large number of Congress members who in the past have made great efforts to establish relationships with the budget observatories that exist in civil society will maintain their openness and interest. In the past, agreements have also been reached with the Foro Ciudadano (Citizen Forum), the Centro Bonó and UNDP to mention just a few, in the context of the need that deputies have identified to strengthen their weakness in the area of budgetary supervision.

We also have the interest shown by the citizenry in following the response of the legislative agenda to cases like the budgetary vote around the demands of 4% for education, the approval of the fiscal reform package, etc.

**Riesgos:** ¿cuáles son los riesgos de que los supuestos antes mencionados tendrían? Por favor, defina cada riesgo, junto con la forma de calificarlo (indicar "ALTO", "MEDIO" o "BAJO" después de definirlos) y qué medidas piensa tomar para mitigar o evitar estos riesgos.

**Riesgos:** se identifican en relación con los supuestos: por ejemplo, para un supuesto de que indique que un proceso de participación se llevará a cabo de una manera inclusiva y transparente, un posible riesgo puede ser el de la cooptación, y puede ser alto, medio o bajo, dependiendo del contexto (factores fuera del control del proyecto) y de la capacidad del proyecto para influir en dicho proceso a fin de que esa suposición sea válida (factores dentro del control del proyecto). Es fundamental identificar los riesgos de una manera realista, así como las posibles medidas de mitigación que se puedan tomar (por el Proyecto u otros) o estar en su lugar para evitar o minimizar tales riesgos.

**Withholding information about the National Budget.** A great deal of progress has been made in terms of the budgetary information that is made available to the public. However, a **MEDIUM** risk persists that the information delivered does not meet the necessary quality standards for conducting a program level analysis, for it to have the expected effects on the global budgetary follow-up process. As we know, the Open Budget Index indicators take into account the weaknesses in the production of intermediate documents during the budget formulation and follow-up stages that place the achievement of a better score on the OBI at a **HIGH** risk level.

Strategy: the use of law 200-04 on access to information, a strong negotiating strategy with the executive and legislative branches. A mass communication strategy that suggests pressure with the aim of achieving the legislative commitments.

**Congress and the entities involved in the national budget supervision process** do not behave according to the requisites of the law. This is a **MEDIUM** risk. A large part of the project depends on the participation of the state sectors.

Strategy: appeal to the smallest congressional committees, advocacy with international organizations. Approach public opinion formers specialized in economic issues who will support the need to encourage the supervisory roles with the aim of improving transparency levels in public finances.

**Gap between Civil Society and the State's willingness to engage in dialogue.** We believe there is a **LOW** risk in opening the dialogue on the part of the social organizations as well as the authorities. But we believe that the previous experiences that have achieved success must support the restoration of trust on the part of civil society, which has too often seen limited results from dialogue processes, as well as on the part of the State entities that tend to display low quality in the proposals received.

Strategy: salvage successful experiences of combined social participation processes and dialogues, like Dignified Education, the campaign against the cement plant, and others, which yielded positive results for society.

**Componente 2:** Inserte el Título/Definición del Componente

Community based social auditing of budget lines for education, agriculture, housing and drinking water and sanitation/area based

**Descripción del Componente.** La descripción de los componentes debe resumir sus principales objetivos y actividades, beneficiarios y otras partes interesadas que hayan de intervenir.

This component seeks to strengthen or establish meeting places for social organization and people with the State service providers for following up on the performance of the quality of sector-based and area-based spending (national budget per area and municipal budgets) on the themes of education, drinking water and sanitation, housing and agriculture.

For this purpose we will implement, strengthen and coordinate observatories – on the themes listed above – with the capacity of contributing sector and area-based data with the participation of the community members.

The following interim results are expected:

1. People are able to conduct citizen actions that encourage accountability at local and sector-based levels.
2. Organized citizens strengthen their capacity to monitor the implementations of the public management units identified in the project at local and sector-based levels.
3. Service providers appreciate/value the role of citizen movements and social organizations in monitoring the performance and quality

of public spending.

For this purpose the social organizations are represented by: the General Observatory of the Fiscal System and technical accompaniment to the rest of the sector and area-based observatories (Intermón Oxfam and Justicia Fiscal/Fiscal Justice), Educational Spending Observatory, Coalición Educación Digna (Dignified Education Coalition), la Corriente Magisterial Juan Pablo Duarte and the Transparency Platforms and the Housing and Urban Soil Observatory (Ciudad Alternativa/Alternative City, Foro Ciudadano/Citizens Forum Follow-up Committee in C3; the Red Popular Urbano (Popular Urban Network; COOHÁBITAT and COPADEBA) and the Articulación Nacional Campesina (National Farmer Network) Farming Observatory.

From here area-based social organizations and service providers in the areas dependent on the following Ministries: the Presidency (National Housing Institute - INVI), Health (National Drinking Water and Sewers Institute - INAPA), CAASD (Santo Domingo Water Authority), the Ministry of Education and the Ministry of Culture.

The two main activities for these results are:

- 1) Implementation of Observatories in the education, housing and farming sectors in the project's target areas. With them, once the observatories have been coordinated, a common methodology will be established using cascade methods, adjusted to each location, which will launch interface processes.
- 2) Strengthening of State-Civil Society participation mechanisms in the project target sectors and areas. This seeks to strengthen the existing spaces and create new spaces for participation and debate between the State and civil society.

**Productos planificados:** Inserte uno o más productos. Se requerirá que usted defina los indicadores para cada uno de estos productos en el Marco de Resultados.

**Outputs** son los productos directos de las actividades del proyecto y pueden incluir los tipos, niveles y objetivos de los servicios a ser suministrados por el proyecto. La distinción clave entre producto (un determinado bien o servicio) y un resultado es que una producto es normalmente un cambio en la oferta de bienes y servicios (oferta), mientras que el resultado refleja los cambios en la utilización de bienes y servicios (lado de la demanda).

The observatories conduct research aimed at strengthening the selected civil society's discourse, in order to engage in dialogue with the chosen State entities about the application of public policies in the areas. The evidence gathered by the observatories will also serve to enhance the dialogue and establish points of convergence. Teams will be set up for each of the themes, disseminated in the different parts of the observatory in the project. These teams will be made up of members from all the organizations that have been involved in gathering the information, which will allow for better understanding of the results, linked to negotiation techniques. For this purpose, this first output has been established:

1. The organized citizenry improves its knowledge levels of budget information and their dialogue with the state about data (education, housing and drinking water and sanitation and agriculture).
2. Civil society teams (set up and trained in the areas) and service providers dialogue using evidence from the Observatories about changes in the public policies that are being implemented.
3. Civil society and state representatives reach agreement in consensus building spaces with evidence about policy improvements and forms of bilateral communication on the themes of education, housing, drinking water and sewers and agriculture.

The agreements must form an action plan that establishes results and concrete changes in the provision of goods and services, with the participation of both sectors. Changes that will be incorporated into the observatory's follow-up in preparation for the next meetings of the bilateral space that has been created. For this purpose, the last product: There is an action plan per theme, with a commitment from the highest authority on the theme on the part of the State and the territorial spaces created by Civil Society.

**Valor estimado (en US) para el Componente:** Por favor note que este valor debe ser consistente con el costo estimado del componente incluido en el presupuesto de la propuesta.

**USD \$ 339,142.50**

**Plazo del Componente:** Fechas estimadas para el inicio y fin de las actividades bajo este componente.

**Fecha de inicio: 01/08/2013**

**Fecha de término: 01/08/2016**

Describir los principales **supuestos** que necesitan trabajar con el fin de lograr los resultados intermedios definidos para este componente.

Los **supuestos** son las hipótesis y suposiciones que deben mantenerse para las actividades a ser implementadas en el componente, los productos entregables según lo previsto en la ruta hacia el logro de los resultados. Pueden referirse a los comportamientos, actitudes e intereses (por ejemplo: los actores que cooperarán para lograr un propósito común, o que estén interesados en dedicar tiempo a aprender sobre el tema X, etc.), los procesos y acontecimientos que siguen una cierta secuencia, la gestión de los recursos (la disponibilidad o manejo eficaz que puedan afectar positiva o negativamente los resultados previstos del proyecto), entre otros. Los múltiples factores que afectan a cada etapa del proceso de cambio deben ser evaluados al amparo del contexto global, de las experiencias previas y de la investigación - para identificar cuales supuestos subyacentes facilitarían y cuáles podrían poner en peligro el éxito de la intervención propuesta.

Junto con este ejercicio analítico es importante tener en cuenta que los procesos que conducen los productos de las actividades a los resultados no siempre son lineales o lógicos, de ahí la necesidad de trabajar en profundidad sobre las conexiones entre la entrega de los productos y la forma en que estos productos contribuirán al logro de los resultados.

In the Dominican Republic, during the last few years, State reforms have resulted in the formation of a series of State-Civil Society dialogue spaces as part of the legislative system. Nonetheless, for a range of reasons, many of these spaces have not yet been created or are hardly operating. One of these reasons lies in the fact that the governmental authorities do not recognize civil society as an actor that contributes to the achievements of the established objectives. For this reason, the following assumption needs to be faced:

1) That sector-based and area-based authorities are open to dialogue and contribute to the creation of State-Civil Society discussion spaces.

A large part of the area-based organizations are located at two extremes: the ones where their members have been co-opted by programs that subsidize their work in the area and are therefore not able to see the deficiencies of public policies. On the other hand the ones that believe that dialogue with the state bodies are fruitless and represent co-optation. In some areas the struggles of the social organizations in the area are characterized by high levels of hostility in opposition to the closest government bodies, which leads us to the second assumption:

2) That area-based organizations are willing to coordinate in order to engage in dialogue with state dependencies that work in the area.

Traditionally the state actors have managed the information as private. The new legislation 200-04 on access to information has enabled civil society to access strategic information, however the response has not been homogenous in all the governmental sectors. The denial of information has led to the legalization of the right to information, by taking some authorities to the courts. Nonetheless, this project has been developed on the assumption that:

3) The state entities contribute strategic information: on budgets and strategic plans.

The plan for this project is to work with a range of coalitions: the Coalición Educación Digna (Coalition for Dignified Education), Justicia Fiscal (Fiscal Justice), the Red Popular Urbano (Popular Urban Network), Foro Ciudadano (Citizen Forum) and Articulación Nacional Campesina (National Farmers Network). So far the diverse coalitions have maintained their founding cores in cohesion, and have also added new organizations. We work under the assumption that:

4) The organizations that form coalitions remain involved in them.

In the processes that were developed between 2010 and 2012, the organizations that make up the Dignified Education Coalition demonstrated civil society's capacity for analyzing the budget and drawing up sector-based budget proposals, which indicates a level of maturity in a part of the population for encouraging citizen involvement in the formulation stage of the national budget.

This is a key factor for achieving systematic follow-up and from several sectors and this is why the strategy's success is based on the consolidation of existing citizen observatories or in the process of consolidation such as: Healthy Habitat (has been coordinated by Ciudad Alternativa (Alternative City) since 2010 and provides follow-up to drinking water, sanitation and housing), Implementation of the 4% for Education (the CED has established a budget follow-up process since 2010 and will now strengthen follow-up in the area of political effectiveness), Agriculture (Articulación Campesina (Farmers Network) already has a priority program identification process and a funding for them as a basis for this budget follow-up process).

**Riesgos:** ¿cuáles son los riesgos de que los supuestos antes mencionados tendrían? Por favor, defina cada riesgo, junto con la forma de calificarlo (indicar "ALTO", "MEDIO" o "BAJO" después de definirlos) y qué medidas piensa tomar para mitigar o evitar estos riesgos.

**Riesgos:** se identifican en relación con los supuestos: por ejemplo, para un supuesto de que indique que un proceso de participación se llevará a cabo de una manera inclusiva y transparente, un posible riesgo puede ser el de la cooptación, y puede ser alto, medio o bajo, dependiendo del contexto (factores fuera del control del proyecto) y de la capacidad del proyecto para influir en dicho proceso a fin de que esa suposición sea válida (factores dentro del control del proyecto). Es fundamental identificar los riesgos de una manera realista, así como las posibles medidas de mitigación que se puedan tomar (por el Proyecto u otros) o estar en su lugar para evitar o minimizar tales riesgos.

**The sector-based and territorial authorities are not open to dialogue nor do they contribute to the creation of State-Civil Society discussion spaces.** This is a **MEDIUM** risk. A large part of the project depends on the State sectors. Nonetheless, the merit and the level of connections of the organizations involved in the project will help in managing this risk.

Strategy: the highest level of the state organizations with which we will be relating in component 2 will be the Ministries (two of them are directorates – INVI (housing) and INAPA (water and sanitation)). Normally the connections in the area are easier and more accessible than at central level. The current connection level of the organizations that make up the space is above the Ministries, i.e. directly with people who make up the President's negotiating team. This means that this type of connection will be used in the case of negotiation for engaging in dialogue about processes with the social organizations (at area or sector-based level).

**The territorial organizations are not willing to coordinate to engage in discussions or question the state dependencies that work in the area.** The hostility of some organizations, as well as the political activism that exists within the social sectors, could put the project at risk. Nonetheless, the merit achieved by the NGOs and networks selected by the observatories minimize this risk, and it is therefore defined as **MEDIUM**.

Strategy: the social organizations do their work at a grassroots level. Dialogue and proximity with each social organization will help prevent any impasse that may arise due to a refusal to take part in the information-gathering process on the problems and discussion with the authorities. Innovative ways of working in each of the project areas (like community TV, local communications media etc.) will also allow for greater cohesion and awareness among the people who make up the organizations, and therefore, we are confident of a greater willingness on the part of the organizations to do the expected work.

**State entities do not contribute strategic information: on budgets and strategic plans:** despite the fact that the new authorities have established it as a goal and so far have shown that they will provide civil society with the information whenever it is needed, this **MEDIUM** risk still applies. The Open Budget Index indicators show that our budget is still closed, although it has made some progress.

Strategy: the use of law 200-04 on access to information is a key option, as well as the appeal to higher entities that was managed in the strategy.

**The organizations that formed coalitions do not stay on in them.** The disintegration of the coalitions would put a large part of the project at risk. Nonetheless, the way in which the coalitions have contributed and the relevance that was coordinated on the project design allows this risk to be defined as **LOW**.

Strategy: remaining vigilant about the cohesion within the coalitions is a constant day-to-day task. The democratic decision-making space must be open and tolerant. Therefore no decision by the observatories will be taken without going through the decision-making channels that have been generated in each Coalition.

**Componente 3:** Inserte el Título/Definición del Componente

Knowledge and Learning of the Stakeholders in the area of Transparency, Accountability & Representation.

**Descripción del Componente.** La descripción de los componentes debe resumir sus principales objetivos y actividades, beneficiarios y otras partes interesadas que hayan de intervenir.

This component is geared at two interim results.

IO1) The CSOs and social movements that are beneficiaries of the project improve their capacity to gather and analyze public information.

IO2) Dominican civil society has replicable experiences on other themes/areas to strengthen the framework of governance, transparency and public resources management.

In order to achieve these results activities have been planned that are geared at strengthening CSO and Social Movement capacities for providing training processes as well as exchanging experiences. Taking into account the diversity of actors and the previous experiences that have been achieved in the different themes of the work, the proposal is:

### 1. Training cycles.

These cycles will be geared in two directions:

A) Train the stakeholders in social auditing techniques. This will consist of techniques that are managed at international and national level, such as:

- Citizen Qualification Cards
- Community Report
- Monitoring of Public Works
- Public Expenditure Tracking Survey - PETS 5.
- Monitoring and Follow-up of National Budget
- Social Communications Media Initiatives

B) Training for young people who belong to the participating groups, in the handling of social communications media, centered on ICTs.

### 2. Training Programs (general/diplomas).

The management of information gathering, analysis and negotiation techniques are important for a conscious citizen participation with the capacities needed for being in the spaces for dialogue. For this reason processes have been established that seek to train and/or strengthen existing capacities in:

- Management of tools: general law on access to information, files, surveys, etc. of the Observatories.
- Negotiation and consensus building techniques.
- Management of national budget and its implementation cycle

Training in these methods and tools, requires a political-theoretical vision of the rights to housing, drinking water and sanitation, education and agriculture. This is ensured by training spaces on these themes, to guide the changes that are sought at the different levels.

**Productos planificados:** Inserte uno o más productos. Se requerirá que usted defina los indicadores para cada uno de estos productos en el Marco de Resultados.

**Outputs** son los productos directos de las actividades del proyecto y pueden incluir los tipos, niveles y objetivos de los servicios a ser suministrados por el proyecto. La distinción clave entre producto (un determinado bien o servicio) y un resultado es que una producto es normalmente un cambio en la oferta de bienes y servicios (oferta), mientras que el resultado refleja los cambios en la utilización de bienes y servicios (lado de la demanda).

The proposed action involves a process of knowledge and learning that guarantees the development and/or strengthening of the capacities of social groups. It also seeks to provide them with a stronger grip on the themes of participation, accountability and citizen commitment.

The emphasis of this component is placed in the learning mechanisms for understanding the issues and for handling social oversight tools.

The first mechanism includes outputs aimed at bringing about changes in the level of understanding of the stakeholders, of the rights to education, water and sanitation, housing and agriculture, as well as the national budget and its cycle of preparation, revision, implementation and follow-up. With this in mind the following outputs have been established:

- Improved understanding of the rights to education, housing and agriculture on the part of the organized citizenry.

- Increased understanding of the National Budget on the part of the CSO and CM members.

Obtaining an improved level of understanding of the themes in which the intervention is centered is essential for a more conscious participation, for the achievement of the proposed global changes and for them to endure over time. Exchange of experience between the groups that are involved in this intervention and other organizations, in the area as well as in the region, have to be taken into account.

The second knowledge and learning mechanism is focused on establishing and/or developing skills in the beneficiary groups in terms of social auditing and participation. Knowledge and management of tools ensures a quality participation process while providing an opportunity for learning for the groups and for the process itself. The outputs set for this intervention are:

- Members of the CSOs and Citizen Movements have the capacity to apply new social auditing techniques.
- Community/farmers leaders and grassroots groups have the capacity to manage and implement social oversight tools.
- Social groups have greater capacity for participating in negotiation and decision making spaces

The entire process of understanding and analysis of the social groups needs to be made more visible in the area, at several levels (local, regional, national), as well as in the communications media. For this reason the organizations' capacity need to be strengthened in order to

- Improved communications media visibility of the work done by the organizations. Using ICTs and the resources in communications networks that are on offer today, make the output in question possible.

**Valor estimado (en US) para el Componente:** Por favor note que este valor debe ser consistente con el costo estimado del componente incluido en el presupuesto de la propuesta.

**USD \$ 49,200.00**

**Plazo del Componente:** Fechas estimadas para el inicio y fin de las actividades bajo este componente.

**Fecha de inicio: 01/08/2013**

**Fecha de término: 01/08/2016**

Describir los principales **supuestos** que necesitan trabajar con el fin de lograr los resultados intermedios definidos para este componente.

Los **supuestos** son las hipótesis y suposiciones que deben mantenerse para las actividades a ser implementadas en el componente, los productos entregables según lo previsto en la ruta hacia el logro de los resultados. Pueden referirse a los comportamientos, actitudes e intereses (por ejemplo: los actores que cooperarán para lograr un propósito común, o que estén interesados en dedicar tiempo a aprender sobre el tema X, etc.), los procesos y acontecimientos que siguen una cierta secuencia, la gestión de los recursos (la disponibilidad o manejo eficaz que puedan afectar positiva o negativamente los resultados previstos del proyecto), entre otros. Los múltiples factores que afectan a cada etapa del proceso de cambio deben ser evaluados al amparo del contexto global, de las experiencias previas y de la investigación - para identificar cuales supuestos subyacentes facilitarían y cuáles podrían poner en peligro el éxito de la intervención propuesta.

Junto con este ejercicio analítico es importante tener en cuenta que *los procesos que conducen los productos de las actividades a los resultados no siempre son lineales o lógicos*, de ahí la necesidad de trabajar en profundidad sobre las conexiones entre la entrega de los productos y la forma en que estos productos contribuirán al logro de los resultados.

The groups involved in this intervention have had some experience of promotion and struggle for the guarantee of rights and in the use of social oversight tools. The Coalición Educación Digna (Coalition for a Dignified Education), for example, has had experience of advocacy processes in the campaign for the assignment of 4% of the Gross Domestic Product towards Education and now has the challenge of monitoring the execution of the assigned budget. Nonetheless, not all the organizations that are beneficiaries of this intervention have the same training level and experience of the knowledge and learning processes. On this basis the initial assumptions are linked to the groups' willingness:

- The groups that are involved are willing to share and facilitate the auditing tools and the training plans that they have implemented along with their results.
- The groups that are involved are interested in devoting time to learning about the issues of education, water and sanitation, housing and agriculture.
- The groups that are involved are willing to coordinate and establish minimum standards for understanding for shared work.

- The social groups and trained people in the process will remain during the project implementation period.
- The relationship between the groups linked to the project remains stable and with a spirit of cooperation.

The application of the social oversight tools will involve linking between social groups and service providers. This is done on the assumption that:

- The service providers are receptive and provide responses to the demands of the organized groups.
- The existing participation and oversight mechanisms in the laws are maintained or are more open to the groups that use them.

Other elements that are important to take into account in this section and that can also be facilitators or not of the achievement of the outputs are:

- The social communications media promote transparency and social oversight roles, by promoting the different mechanisms and results in the areas.
- Regional networks support and promote the knowledge and learning processes being developed in the Dominican Republic.

**Riesgos:** ¿cuáles son los riesgos de que los supuestos antes mencionados tendrían? Por favor, defina cada riesgo, junto con la forma de calificarlo (indicar "ALTO", "MEDIO" o "BAJO" después de definirlos) y qué medidas piensa tomar para mitigar o evitar estos riesgos.

**Riesgos:** se identifican en relación con los supuestos: por ejemplo, para un supuesto de que un proceso de participación se llevará a cabo de una manera inclusiva y transparente, un posible riesgo puede ser el de la cooptación, y puede ser alto, medio o bajo, dependiendo del contexto (factores fuera del control del proyecto) y de la capacidad del proyecto para influir en dicho proceso a fin de que esa suposición sea válida (factores dentro del control del proyecto). Es fundamental identificar los riesgos de una manera realista, así como las posibles medidas de mitigación que se puedan tomar (por el Proyecto u otros) o estar en su lugar para evitar o minimizar tales riesgos.

Work in the area of training and transparency implies major risks that have to be taken into account, due to the amount of interests that could affect the data and positioning that emerge from the social auditing processes. For this reason, the risks can be considered internally and externally to the project.

#### At an internal level:

- **Conflict of interest between the groups involved**, due to power struggles and/or leadership rivalries during the project implementation. With this in mind, the idea is to establish roles and procedures that each group that is involved will fulfill and this will be monitored by the organization with overall responsibility for the intervention. This is a **Medium** risk, as this could affect the stability of the consortium and the achievement of the outputs as a result.
- **One of the organizations decides to leave the project.** This is a **Low** risk scenario, as it would hinder the achievement of the outputs, as well as a reduction in the project impact and a delay in the budget implementation. A strategy for mitigating this situation could be to replace the outgoing organization for one with the same intervention themes and a way of working similar to what is established in the consortium.
- **Methodological and procedural changes that** violate the minimum standards for procedures established at the start of the project implementation. This is a **Low** risk situation. To mitigate this type of risk it is necessary to sign a memorandum of understanding between the member groups and to hold meetings every six months for review and follow-up.

#### At the external level:

- **Cooptation of the social groups involved in the project.** This is a **Low** risk scenario, as it can be limited or manipulated so that the information that results from the oversight processes is not shared or publicized. In this way the changes in the project cannot be achieved. The selection of organizations for the consortium has been made taking this risk into account in order to minimize it.
- **Communications media establish a campaign to discredit and delegitimize the results of the social auditing processes.** **Medium** risk. In order to mitigate this situation conversation sessions will be held with the communications media to explain the data obtained, contact will be made and alliances established with media and journalists who are in the line of work of the project. A counter-campaign will also be designed, strengthening the project data and strategy.