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**Master's Thesis of Public Administration**

**A Research on Key Factors for  
Improving Public Institutions'  
Performance in the Dominican Republic**

**도미니카 공화국 공공 기관의  
성과 향상을 위한 핵심 요인 연구**

**August 2021**

**Graduate School of Public Administration**

**Seoul National University**

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# **A Research on Key Factors for Improving Public Institutions' Performance in the Dominican Republic**

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**April 2021**

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## **Abstract**

# **A Research on Key Factors for Improving Public Institutions' Performance in the Dominican Republic**

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This study was conducted as comparative cases to analyze the effect of the priority of the policy managed by three ministries in the Dominican Republic, their compliance with the regulation for the public administration, and the results of working with the national monitoring systems and performance evaluation framework for the consolidation of the result-based management at the ministerial level in the Caribbean country.

The cases of the Ministry of Economy, Planning, and Development (MEPYD), the Ministry of Agriculture (MA), and the Ministry of Education (MINERD) were analyzed with a logic model and compared to identify the key factors to improve institutional performance, as they were, correspondingly: the ministry with the highest score, the ministry of the more remarkable improvement and the ministry with the lowest score in 2019, among the institutions that went through the Institutional Performance Evaluation System managed by the Ministry of Public Administration.

Despite the Dominican Republic assigning a heavier weight to compliance to regulation in the institutional performance evaluation system, it is not as a powerful factor to drive organizational effectiveness as the right integration of goals and stakeholders' interests, and identifying useful indicators to control management on time.

**Keyword:** Performance, evaluation, organization, effectiveness, result-based management, performance management

**Student Number:** 2019-25210

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## **Abbreviations**

BPES - Business Performance Evaluation System

CAF - Common Assessment Framework

DEGI – Dirección de Evaluación de la Gestión Institucional (Directorate of Evaluation of Institutional Management)

DGCP - Dirección General de Contrataciones Públicas (General Directorate of Procurement)

DIGEIG - Dirección General de Ética e Integridad Gubernamental (General Directorate of Ethics and Government Integrity)

DIGEPRES – Dirección General de Presupuesto (General Directorate of Budget)

EDI –Evaluación del Desempeño Institucional (Institutional Performance Evaluation System)

EFQM – European Foundation of Quality Management

FAGPE - Framework Act on Government Performance Evaluation Act

GPEC - Government Performance Evaluation Committee

GPRA - Government Performance and Results Act

ITICGE – Índice de Tecnologías de la Información y Comunicación y Gobierno Electrónico (Index of Use of Information and Communication Technologies and Electronic Government)

KIPA – Korean Institute of Public Administration

MAF - Management Accountability Framework

MAP – Ministerio de Administración Pública (Ministry of Public Administration)

MINPRE – Ministerio de la Presidencia (Ministry of Presidency)

M&E - Monitoring & Evaluation

NOBACI – Normas Básicas de Control Interno (Basic Norms of Internal Control)

NPM - New Public Management

OECD - Organization for Economic Co-operation and Development

OPTIC – Oficina Presidencial de Tecnologías de la Información y Comunicación (Presidential Office for Information and Communication Technologies)

PSM - Public Sector Management

RBM - Results-Based Management

RUTA – Management System of the National Multiannual Public Sector Plan  
(Sistema de Gestión del Plan Nacional Plurianual del Sector Público)

SDG - Sustainable Development Goals (Objetivos de Desarrollo Sostenible –  
ODS-)

SMMGP – System for Monitoring and Measure Public Management (Sistema de  
Monitoreo y Medición de la Gestión Pública)

SISMAP - Sistema de Monitoreo de la Administración Pública (Public  
Administration Monitoring System)

# **Chapter 1. Introduction to the Study**

## **1.1. Context**

Dominican Republic's Constitution, on its article 138, declares the principles of its public administration: "effectiveness, hierarchy, objectivity, equality, transparency, economics, publicity and coordination, with full submission to the legal order of the State." (National Assembly of the Dominican Republic, 2015)

The first axis of the National Development Strategy Act 2030 claims the Dominican Republic sets to goal to become:

"A social and democratic state of law, with institutions that act with ethics, transparency, and effectiveness in the service of a responsible and participatory society, which guarantees security and promotes equity, governance, peaceful coexistence and national and local development." (National Congress of the Dominican Republic, 2012)

Dominican Republic is also committed to the Sustainable Development Goals (SDG), and the Ministry of Public Administration works with the 16<sup>th</sup> Goal, the reason why evaluating the performance of public administration is essential.

Dominican 41-08 Act on Public Function, in its article 7, includes the processes of institutional management evaluation among the responsibilities of the Ministry of Public Administration (MAP). In contrast, the Organic Act on Public Administration, 247-12, and decrees 423-12 and 273-13 about the System for Evaluation of Institutional Performance (EDI) confirm this evaluation of public administration must be executed every year to public organizations.

The Ministry of Public Administration (MAP), through its Directorate of Evaluation of Institutional Management (DEGI), worked on the definition of the methodology, the plan for the implementation, and the training of the analysts to evaluate with this system from 2012 to 2014. In 2015, the methodology was promoted among public organizations, and a full evaluation of the institutional performance was completed by the end of 2016 to just one public organization, a hospital.

The strategy for evaluation of the public institutions in the Dominican Republic as a mean to improve public management in terms of efficiency is one of the responsibilities of DEGI, along with the management of SISMAP, a tool for monitoring the compliance of public institutions with regulations under the scope of the functions of MAP.

The strategy to boost performance in public institutions through a cycle performance evaluation consists, from DEGI's perspective, of three phases to implement every year: first, teaching and motivating the quality management committees of a public institution to implement the self-assessment with the Common Assessment Framework (CAF) as a tool for identifying their best practices and the areas for improvement. In the second phase, just for public organizations that completed the first self-assessment process with the CAF model, DEGI teaches and encourages the quality management committees to present an institutional improvement plan to overcome management areas where weaknesses were detected. In the last phase, just for a selected group of public organizations that completed the self-assessment phase, presented an improvement plan, and signed a document to seal the commitment to implement the improvement actions, the institutional performance's external evaluation is performed by DEGI personnel.

At the end of the year, institutions assessed by the Institutional Performance Evaluation System receive a feedback report by the evaluation experts from DEGI. The evidence improvement in management or institutional capacity is measured and recognized as an achievement of implementing the Institutional Improvement Plan.

## **1.2. Description of the Problem**

The Ministry of Public Administration (MAP) is commanded by Decree 273-13 to prepare periodical reports on the performance evaluation of the public administration in the Dominican Republic to the Presidency, but as far as 2020, this objective has not been accomplished yet.

According to the current regulation, the results of EDI should be the matrix for the suggestions to improve the performance of the public sector.

However, not enough evaluations have been completed to produce representative data to conclude the public administration's maturity in the Caribbean country.

<b>Evaluated institutions</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>Total</b>
Hospital	1	2	2	0	<b>5</b>
Utility Provider	0	0	2	0	<b>2</b>
Local Government	0	0	2	0	<b>2</b>
Central Government	0	1	4	16	<b>21</b>
<b>Total</b>	<b>1</b>	<b>3</b>	<b>10</b>	<b>16</b>	<b>30</b>

*Table 1. Classification of the selected institutions in the Dominican Republic for the assessment with the Institutional Performance Evaluation System from 2016 to 2019. (Based on reports from DEGI, 2019)*

From 2017 to 2019, just 29 public organizations in the Dominican Republic have completed the full evaluation cycle with its three stages: self-assessment with the Common Assessment Framework (CAF) excellence model, implementation of a CAF improvement plan, and the external evaluation by specialists from the Ministry of Public Administration with the Institutional Performance Evaluation System (EDI). In 2017, just three institutions were evaluated with the 3 phases of the EDI; 10 in 2018 and 14 in 2019.

These 29 institutions evaluated with the EDI are classified as: 4 hospitals, two from the public water/utility sector, two local governments, and 21 were central government agencies. The Dominican Republic has 23 ministries; 16 are evaluated with EDI, as mentioned above, 21 central agencies.

As EDI was designed on the principles for continuous improvement, as the CAF model, the Dominican Republic's European excellence model has been implementing since 2005. However, adjusting the weight of each institutional capacity area according to most public institutions' requirements in 2012, it is expected that EDI evolves with time.

In the end, the Directorate for Evaluation of Institutional Management (DEGI) has the mission of identifying the best practices for institutional performance improvement in the Dominican Republic to promote their expansion

to the institutions that could benefit from these practices with the ultimate goal of nurturing a continuous improvement cycle in the whole Dominican State.

How, with the low count (30) of complete evaluations with EDI until 2019, could DEGI identify the best strategies to encourage the pursuit of a higher level of performance in the Dominican Republic's public sector?

### **1.3. Purpose, Research Questions, and Hypothesis**

This research is relevant for the Dominican Republic, especially for its Ministry of Public Administration, because identifying the key factors to improve public institutions' performance would help this governmental agency on its mission of guiding the quality management activities of other governmental agencies through training sessions. The results of this multiple case study would help to identify strengths and improvement areas of the Institutional Performance Evaluation System as a tool for strengthening the result-based management efforts in the Dominican Republic and planning more efficiently how to prioritize improvement actions every year to improve overall efficiency in the public sector.

This research aims to evaluate the institutional performance evaluation system in the Dominican Republic (EDI) to identify its strengths and areas for improvement as a tool to help in overall performance management for organizations in the public sector of the Caribbean country. An analysis of qualitative data about EDI's management process and its contribution to performance management on public institutions in the Dominican Republic was executed through a comparative case study to pursue this objective.

Among the seven assessment areas or institutional capacity considered in the Institutional Performance Evaluation System (EDI), personnel management is scored up to the highest scale weighing 225 points. In contrast, other areas range from 100 and 175 points, to sum up to 1000 points for the EDI system's overall scale.

When considering the indicators monitored by MAP through SISMAP, personnel management also has a higher weight in the institutions' total score than other indicators associated with quality management or institutional strengthening.

*Research Questions:*

- a. Does the level of priority in the national strategy affect the performance of ministries in the Dominican Republic?
- b. Is complying with the personnel management subsystems the most determinant factor for performance improvement in the Dominican Republic's public sector?
- c. Is the current institutional performance evaluation system in the Dominican Republic an efficient tool for supporting the public sector's result-based management in the Caribbean country?

This research aimed to set an explanatory multiple case study research design with non-probability sampling to find the answer to the question mentioned above, to test the hypothesis:

*Hypothesis<sub>0</sub>*: Institutional performance at the ministerial level in the Dominican Republic is affected by the sector's priority or policies each ministry works with.

*Hypothesis<sub>1</sub>*: Human resources management subsystems implementation is the main factor in driving institutional performance in the Dominican Republic's public sector.

*Hypothesis<sub>2</sub>*: The Institutional Performance Evaluation System (EDI) managed by the Ministry of Public Administration (MAP) is an efficient tool for supporting results-based management in the Dominican Republic's public sector.



## **Chapter 2. Literature Review**

### **2.1. Theoretical Framework**

#### **2.1.1. New Public Management (NPM), Results-Based Public Sector Management and its Monitoring & Evaluation Feature**

To understand the basis supporting the institutional performance evaluation systems designs to assess public institutions nowadays is necessary to review the fundamentals of the theories and research reports about the Public Sector Management (PSM), New Public Management (NPM), the Results-Based Management (RBM), the Monitoring & Evaluation (M&E), and performance evaluation for public institutions.

“The New Public Management (NPM) approach to public service production and delivery runs counter to the old ('traditional') bureaucratic approaches that were born with the emergence of the modern state systems across most of the Western world. It rejects the idea of a specific culture for public organizations and typically argues that such organizations should be managed in the same way as any private sector organization (Osborne & Gaebler, 1992; Hood, 1995; Page, 2005; Riccucci, 2001, see also Dunleavy, Margetts, Bastow and Tinkler, 2006).” (eGovPoliNet, 2019)

On the same thread, we find:

“New public sector theory is built on the assumption that management techniques used in the private sector can be replicated in the public sector to enhance performance. Performance measurement and control systems are among the most prevalent techniques in companies, and understanding how they are adapted and how they are used in the public sector are of utmost importance to document the rebirth of government organizations.” (Davila, 2008)

On an alternative thread:

“Although evidence on the efficiency gains from NPM practices remains mixed (Andrews, 2010) and there is a little to suggest that they have enhanced the effectiveness or equity of service provision, policymakers

across the world continue to laud the merits of NPM. Is a commitment to NPM practices associated with gains across multiple dimensions of performance?” (Andrews & Van de Walle, 2013)

“Agency performance represents the ongoing results of public organizational processes. Evaluating it has long been a central concern of public administration because it is the primary means of judging agency decisions' consistency with policy mandates. In part, it provides the main way to observe how agencies satisfy diverse public needs in a plural society. In short, organizational performance is a basis for measuring agency accountability and reflects who gets represented more and who less in the organization's complex allocation of public resources.” (Boschken, 1994)

The Organization for Economic Co-operation and Development (OECD) affirms:

“Greater international co-operation could help countries to develop methods for assessing the quality of their core institutions, such as whether their budgets are comprehensive, whether there is effective external control of budgets, whether their procurement is competitive and whether they gather basic information on government operations (such as statistics on taxes or public employment).” (Organization for Economic Co-operation and Development (OECD), 2015)

“Monitoring and evaluation (M&E) is a powerful public management tool that can be used to improve the way governments and organizations achieve results. Just as governments need financial, human resource, and accountability systems, governments also need good performance feedback systems.” (Kusek & Rist, 2004) .

The authors also studied the evolution in the field of M&E “involving a movement away from the traditional implementation based approaches towards new result-based approaches.” (Kusek & Rist, 2004).

“Results-based PSM recognizes that planning, budgeting, implementation, monitoring, and evaluation must exhibit results features and be coordinated for maximum efficiency and effectiveness to achieve

optimal development results. Development results must be planned for, resources must be allocated, and intended activities must be implemented. Monitoring and evaluating the final outputs are vital to ensure that results are delivered, and lessons are learned for future improvement.” (Asian Development Bank (ADB), 2012)

“The ongoing need for public sector organizations to enhance their internal evaluation capacity is increasingly resulting in the use of hybrid evaluation project models, where internal evaluators work with external contracted evaluators to complete evaluative work.” (Bourgeois & Cousins, 2013)

“Sustained government commitment is also important. An evaluation system cannot be developed overnight; indeed, experience indicates that it can take at least a decade at the whole-of-government level to embed such a system sustainably, to develop necessary skills, and set up civil service structures, systems, and "ownership" to make full use of evaluation findings.”. (World Bank, 1998)

## **2.2. Previous Studies on Performance Evaluation Systems for Public Organizations**

When reviewed scholars’ work about institutional performance evaluation, organizational effectiveness, assessment or public organizations or government agencies, we find:

“Research on organizational effectiveness divides into several types: the development of measurement criteria, and studies that predict organizational effectiveness using sets of independent variables” (Campbell, 1977, as cited in (Lee & Whitford, 2009)

“Most studies assess one government agency's effectiveness, the effectiveness of several networked agencies, or the effectiveness of a state or federal government within a single country.” (Lee & Whitford, 2009)

In the discussion and conclusion section of “Performance Evaluation of the Government Agencies of Kazakhstan,” the authors stated that:

“The position that budgetary planning continues to suffer from a failure to link strategic planning, the budget and human resources either at the whole-of-government or ministry levels; there is, according to the OECD, no clear multi-year financial framework for ministerial services and no joint planning and reporting on either performance or the budget. They argue that there is also no systematic review and evaluation of programs. People and ministries are poorly coordinated to implement policy. There are low transparency and accountability in these organizations. Ministries do not work together easily when faced with challenges that often require crosscutting responses”. (Suleimenova, Kapoguzov, Kabizhan, & Kadyrova, 2018)

On a comparative analysis of the performance management systems (PMS) in Italy and Malaysia:

“In both jurisdictions (PMS) has not matured to measure outcomes and impact. A little explicit link between performance and resources expended and performance evaluation over the long term is limited. The cascade of organizational performance targets for individual performance targets remains elusive in both jurisdictions. Performance measurement will be even more beneficial if the measurement results are fed into the strategic planning or budget cycle.”. (Bianchi & Xavier, *The Design and Execution of Performance Management Systems at State Level: A Comparative Analysis of Italy and Malaysia*, 2017)

### **Framework Act on Government Performance Evaluation (FAGPE) and Business Performance Evaluation System (BPES), Republic of Korea (RoK)**

The Republic of Korea uses two different systems for performance evaluation on their public organizations: Business Performance Evaluation System (BPES) for organizations with revenue where the State participates; and the Framework Act on Government Performance Evaluation Act (FAGPE) for “central administrative agencies, local government institutions, and public institutions.” (Korea Institute of Public Administration (KIPA), 2018)

## **Framework Act on Government Performance Evaluation (FAGPE)**

“More systematic efforts to measure performance were attempted in the 2000s. The Korean National Assembly enacted the Framework Act on Government Performance Evaluation (FAGPE) of 2001 to improve government efficiency, effectiveness, and accountability. This development was inspired by the Government Performance and Results Act (GPRA) of 1993 in the United States and influenced by NPM and ReGo concepts and strategies. Under the law, agencies were required to identify one or two key policy areas for which they would be evaluated. The National Assembly enacted a new Framework Act on Government Performance Evaluation (FAGPE) in 2006. This law outlined a more comprehensive system and covered all government organizations' performance management and performance evaluation. The law aimed to improve and integrate the various performance evaluation programs and reduce the burden resulting from redundancies in the evaluation process.” (Torneo, 2015)

“The current framework of government performance management and evaluation used in Korea was established in 2006, although it was in 1998 that the title was first used. It consists of the evaluation of the central government, local government, and public institutions. Central government evaluation is divided into self-evaluation and specific evaluation. Self-evaluation is conducted by each ministry and composed of three types of evaluation: major policy, financial management, and personnel, and organizational management, including e-government. The results of self-evaluation are reviewed and confirmed by the Government Performance Evaluation Committee (GPEC). Specific evaluation deals with specific policies or programs in which all government agencies should take part in fostering improvement government-wide (e.g., deregulation, public relations, and innovation like government 3.0).” (Namkoong, Cho, & Kim, 2017)

## **Business Performance Evaluation System (BPES)**

According to the presentation from May 25<sup>th</sup>, 2010, with the title “Business Performance Evaluation System for Public Institutions” (Ministry of Strategy and Finance (Republic of Korea), 2010), this Korean assessment system counts 20 indicators (qualitative and quantitative) grouped in three categories (leadership, management, and results) to produce a grade (not a score), is managed by the Ministry of Strategy and Finance, and aims to promote continuous improvement in the management of public organizations. The application of BPES contemplates incentives and necessary measurements for organizations based on their grade after the evaluation process is closed: from 250%-500% of the basic salary for outperformers to the recommendation of dismissal of the heads of the low performer organizations.

Every February, about 130 members (professors, accountants, consultants, among others) are organized in groups for orientation on the following process of assessing public corporations, quasi-governmental institutions, and non-classified public institutions for the Ministry of Strategy and Finance. Institutions submit their management results paper (self-assessment results document) in March and wait for the evaluating group to conduct the in-site visit assessment in April. The paper's objections can be communicated in May and June is reserved for review and resolution by the Public Institutions Management Committees.

### **Government Performance and Results Act (GPRA), United States of America (USA)**

The United States of America, “To provide for the establishment of strategic planning and performance measurement in the Federal Government, and other purposes,” established their performance evaluation system on “The Government Performance and Results Act of 1993”. (One Hundred Third Congress of the United States of America, 1993)

“Strategic planning, performance planning, performance reporting” was kept as the basis of the American performance evaluation system, even 17 years later, when an emphasis on transparency and efficiency were reinforced at the approval of the “GPRA Modernization Act of 2010”

by the Congress of United States of America, “To require quarterly performance assessments of Government programs for purposes of assessing agency performance and improvement and establishing agency performance improvement officers and the Performance Improvement Council.” (One Hundred Eleventh Congress of the United States of America, 2010)

### **Management Accountability Framework (MAF), Canada**

Canada uses the Management Accountability Framework (MAF), an excellence management model, as a tool for the Treasury Board of Canada Secretariat (TBS) to oversee “that federal departments and agencies are well managed, accountable and that resources are allocated to achieve results” (Government of Canada, n.d.).

Agencies complete a self-assessment process on an annual basis, taking into consideration the elements of the Management Accountability Framework: Leadership and Strategic Direction, Results and Accountability, Public Sector Values, Continuous Learning and Innovation, Governance and Strategic Management, People Management, Financial and Asset Management, Information Management, Management of Policy and Programs, and Management of Service Delivery. Each of the management areas has its methodology and criteria for the assessment by the agency. At the end of the cycle, a MAF government-wide results report is published for its consultation on the Government of Canada's official website.

### **Performance Evaluation of the Government Agencies, Kazakhstan**

In 2017, the Government of Kazakhstan decided to transform its performance evaluation system, which in 2009 was similar to the Canadian MAF, measuring seven areas of management, reduced to 5 in 2015. Since 2017, six government agencies assess the rest of the Government structure basing their performance evaluation on three main pillars: “attainment of strategic goals and indicators of budget programs, the interaction of government agencies with

citizens, and organizational development.” (Suleimenova, Kapoguzov, Kabizhan, & Kadyrova, 2018)

### **Monitoring and Evaluation of the Policy Implementation and Performance of Administrative Organizations, Mongolia**

In 2017, through Government Resolution 89, Mongolia's Government established the essential criteria for the annual evaluation of ministries' policies and performance. The “General Regulations on the Monitoring and Evaluation of the Policy Implementation and Performance of Administrative Organizations” sets the criteria as follows: evaluation of policy implementation, evaluation of organizational results, and evaluation of organizational transparency. (Korea Institute of Public Administration (KIPA), 2018)

### **Variants of performance evaluation, Republic of Chile**

In Chile, the Directorate of Budget is in charge of evaluating governmental institutions and programs. For this objective, the Directorate of Budget has more than one evaluation mode for programs and institutions, depending on the objective, the evaluation's emphasis, and the methodology to implement. The performance evaluation's modes or variants are evaluating governmental programs, evaluation of impact, evaluation of institutional expense, evaluation of new programs, and the ambit focalized evaluation. (Ministerio de Educación Centro de Estudios, 2018)

## **2.3. Tools for supporting results-based management in the Dom. Rep.**

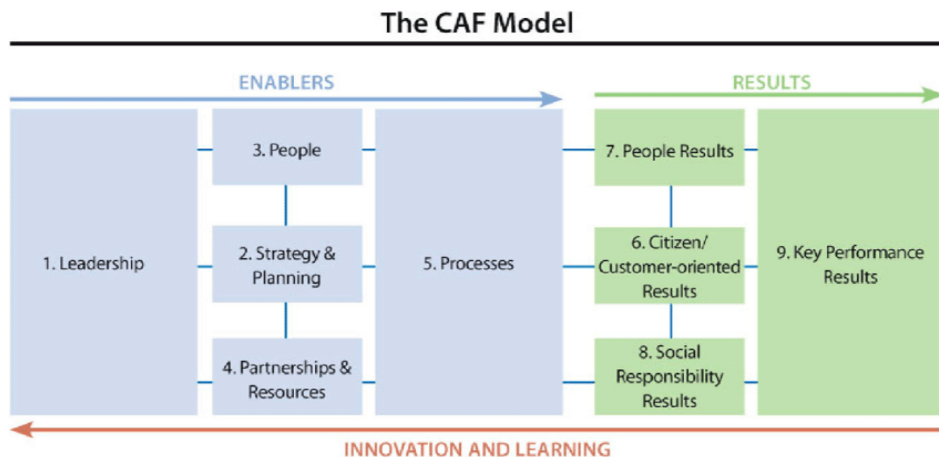
### **2.3.1. Institutional Performance Evaluation System**

According to Decree 211-10, since 2010, all entities under the Executive branch of the Dominican State must report the list of their quality management committee members. All of them must be selected among different organization departments to the Ministry of Public Administration (MAP). (Presidencia de la República Dominicana, 2010) This decree establishes as mandatory for all public



entities to perform a self-assessment exercise every year with the excellence model Common Assessment Framework (CAF), a European tool developed from the EFQM business excellence model for the continuous improvement of management and results at the public sector agencies. (Ministry of Public Administration in The Dominican Republic, 2012)

The implementation of the CAF model as a tool for improving management in public organizations is based on the premise of applying the Deming Cycle (Plan, Do, Check, Act –PDCA-) in every one of the 20 sub-criteria that sum up the five enablers criteria to get the right results that would be exposed in the last eight sub-criteria that of the assessment, the four results criteria of the model. (European Institute of Public Administration (EIPA), European Public Administration Network (EUPAN), 2020)



*Figure 1. Criteria of the Common Assessment Framework. (European Institute of Public Administration (2020))*

Based on self-assessment results, quality management committees at the public entities must present a CAF Improvement Plan with concrete actions to improve management in the areas where self-assessment results showed the fewest strengths. This plan must be submitted to the Ministry of Public Administration and the self-assessment on the authorized template. It must be renewed on an annual basis, to be uploaded to the corresponding indicators at the Monitoring System for the Public Administration (SISMAP) platform (Ministerio de Administración Pública de República Dominicana, 2010), a tool for

transparency and to monitor the compliance of public entities to the law and rules under the scope of MAP surveillance.

Every public entity must perform these two stages of the self-assessment and execute a plan for improvement on their capacity as long as they report to the Ministry of Public Administration the results of this process with their corresponding support documents. However, DEGI offers the third phase to some of these institutions: the external assessment with the Institutional Performance Evaluation System (EDI).

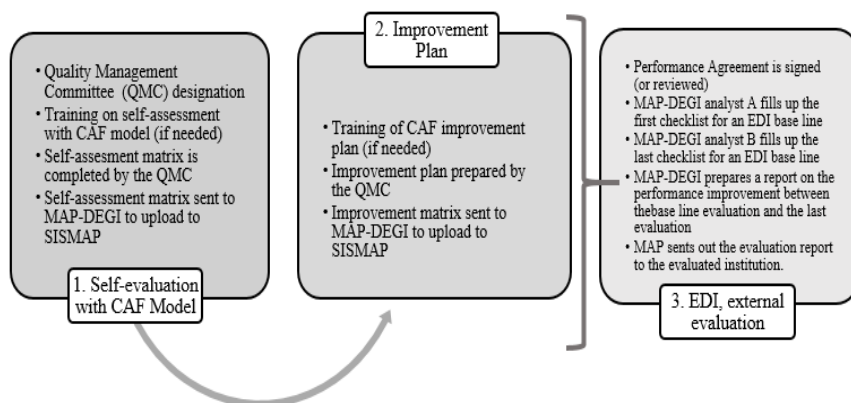
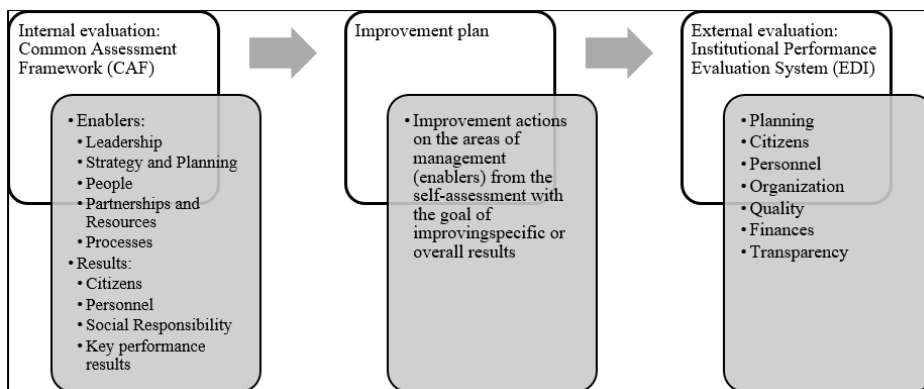


Figure 2. Performance evaluation process promoted by MAP-DEGI. (Based on the EDI procedure in the Dominican Republic, 2020)

In the process to apply this Institutional Performance Evaluation System (EDI), the Performance Agreement, a document to specify the commitments of the institutions involved in the EDI application, must be signed by the Minister of Public Administration and the authority of the institution to work with the process for EDI and looking forward to guaranteeing the transparency and openness of the information and feedback, the implementation of quality management tools and a plan for improving their management results by the assessed institution, and the technical support of the Ministry of Public Administration to help the evaluated institution to improve their managerial capacity. (Presidency of the Dominican Republic, 2013)

It is a requirement for EDI implementation that every institution-to-be-assessed sign this document that affirms it has completed a cycle with the Common Assessment Framework (CAF) model and the elaboration of an Institutional Improvement Plan.



*Figure 3. Criteria in CAF Model, and EDI system in the Dominican Republic. (Based on the EDI procedure in the Dominican Republic, 2020)*

The Directorate of Evaluation of Institutional Management (DEGI) is the Ministry of Public Administration team that teaches the quality management committees how to implement the CAF model and design and implement the Institutional Improvement Plan based on those results. DEGI is, as well, the team that validates these documents and upload them to SISMAP. Also, analysts at this department perform the EDI to selected institutions every year (Ministry of Public Administration, 2016), because their capacity is not enough for assuring this evaluation for every public institution, annually, as their legal framework commands them to do.

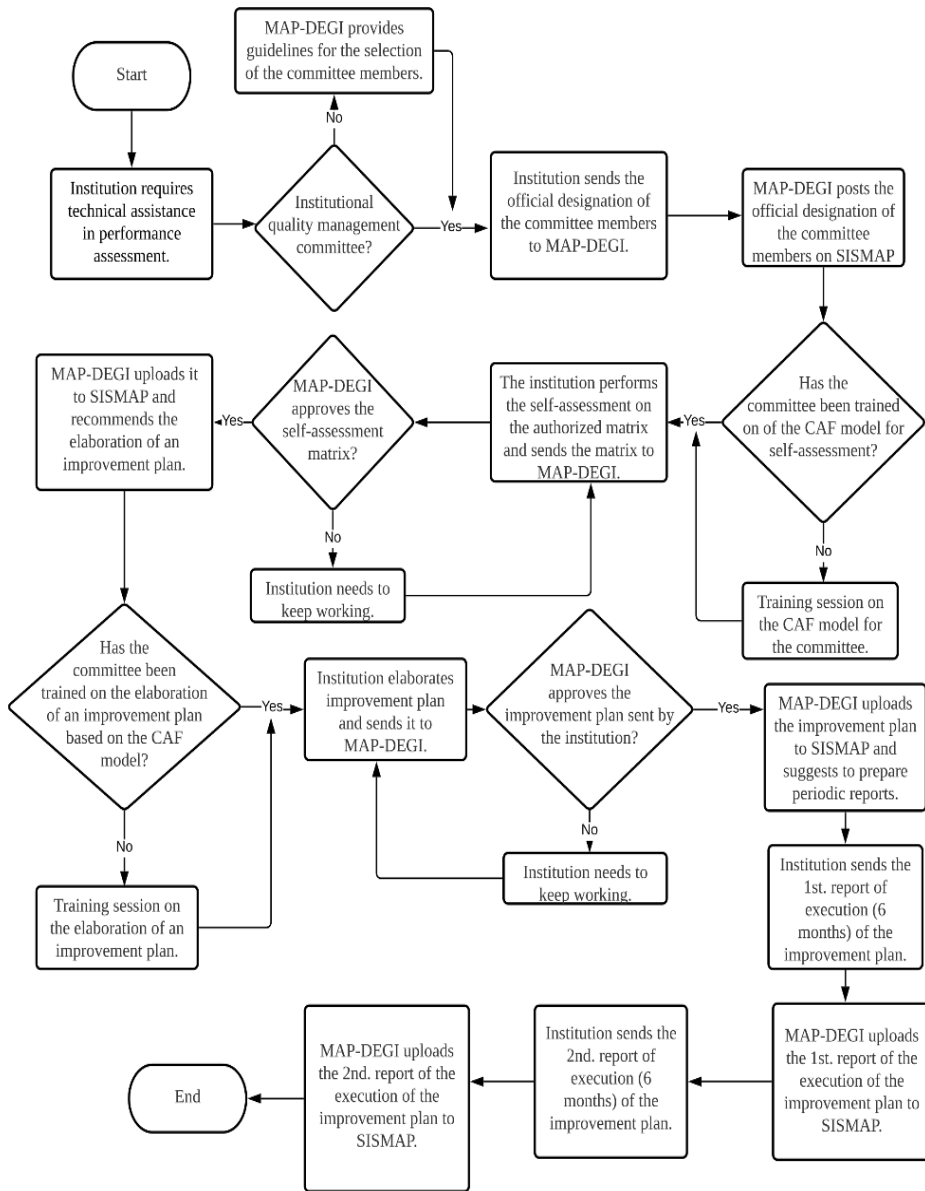
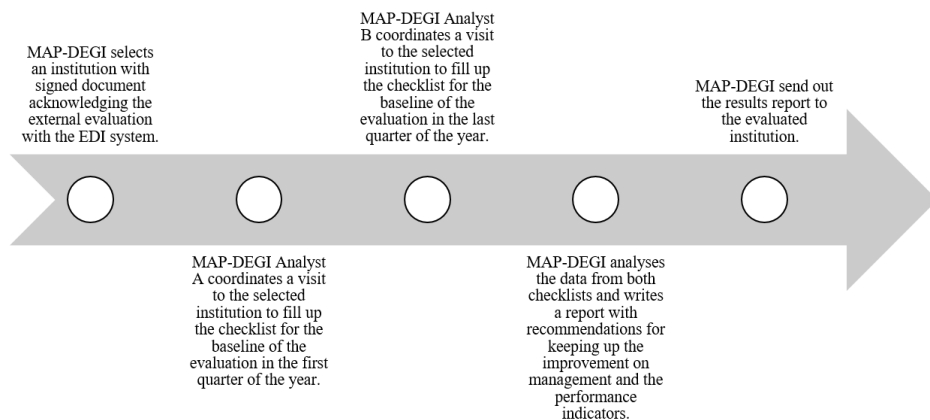


Figure 4. Interaction between MAP-DEGI and self-assessed institutions with CAF model in the Dominican Republic. (Based on the EDI procedure in the Dom. Rep., 2020)



*Figure 5. Process for the external performance evaluation of institutions in the Dominican Republic. (Based on the EDI procedure in the Dom. Rep., 2020)*

DEGI measures 32 indicators in 17 variables, grouped in 7 areas of management of the selected institution to complete the EDI. This team measures those indicators twice a year: in the first trimester, to establish a baseline, and the second measurement, in the last trimester, to compare to the baseline and to write a feedback report based on the difference between those scores as the way to explain how much the selected institution has improved their management capacity with the implementation of the institutional improvement plan. The evaluations performed by analysts from DEGI are evidence-based and can be fulfilled by official reports from available monitoring systems.

The Institutional Performance Evaluation System works with a scoring panel to measure the level of development of the institutional capacity on each one of the seven areas taken into account for the overall evaluation. The seven areas of institutional capacity assessed by the Institutional Performance Evaluation System (Ministry of Public Administration (MAP), 2017) and their weight out of 1000 points is as follows:

1. Strategic Planning (100)
2. Citizens Satisfaction (150)
3. Public Function Professionalization (225)
4. Institutional Strengthening (175)
5. Performance (Quality) Management (150)
6. Resources (Budget) Management (100)
7. Transparency in Management (100)

This score and grading panel contains a qualitative scale (colors and ranges) and a quantitative scale (0-100). The seven areas of institutional capacity are measured with the same scoring and grading panel, and then the result of the assessment on each area is converted according to the value or weight of each category. The classification of improvement is described as follow:

No improvement	Little improvement	Some improvement	Much improvement	Significant improvement	Achieved goal
Red	Orange	Yellow	Light green	Green	Dark Green
0-10	11-60	61-70	71-80	81-90	91-100
No records of actions implemented towards goals for improvement of the institutional capacity.	Some actions have been taken for improvement the institutional capacity in the area, but these actions have been insufficient or not pertinent with the goals.	Some proofs of the implementation of correctives actions are shown, but they are not conclusive yet.	In the consensus process or pending of approval/ validation by the authorities.	Actions have been approved or validated by the pertinent authority.	Positive results are shown by the implemented actions.

*Table 2. Scoring panel of the Institutional Performance Evaluation System for Public Administration in the Dominican Republic. (Ministry of Public Administration, 2017)*

### **2.3.2. Monitoring tools and the agencies managing them**

In 2018, the Ministry of Presidency in the Dominican Republic announced the SMMGP (System for Monitoring and Measure Public Management), a tool to monitor government agencies' overall performance and results. SMMGP integrated indicators that result from the public institutions' final score in other monitoring systems managed by the agencies in charge of those administrative fields in the government's executive branch. (Ministerio de la Presidencia (MINPRE), 2019)

The Ministry of the Presidency aims to organize meetings, four times a year, with the President of the Dominican Republic and the authorities of public institutions in the executive branch to review the accomplishment of the commitments made by the President, since the campaign period to the updated commitments to the population, either those being for specific sectors or all the Dominican Republic. Along with these commitments, distributed among the governmental agencies, every meeting's results are read to the President, as shown

in the SMMGP panel. The panel shows scores for each institution in each of the nine monitoring systems managed and reported by the correspondent monitor agency: “Metas Presidenciales” and “Obras” by the Ministry of Presidency (MINPRE); “SISMAP,” by the Ministry of Public Administration (MAP); “ITICGE” by Presidential Office for Information and Communication Technologies (OPTIC); “NOBACI” by the General Comptroller; “Act 200-04 of Free Access to Public Information” and “Government Transparency” by General Directorate of Ethics and Government Integrity (DIGEIG); “Public Procurement” by General Directorate of Procurement (DGCP); and “IGP” by General Directorate of Budget (DIGEPRES). The scores are shown in the traffic light set of colors: red, 0-69: yellow, 70-89: green, 90-100. For agencies repeatedly showing results in red scores, after two meetings, disciplinary consequences were announced to be applied.

Monitoring system	Focus	Monitor Agency
Metas Presidenciales (Presidential Goals)	Tracking the level of the progress of the list of promises-commitments the President has made public.	MINPRE - Ministerio de la Presidencia (Ministry of Presidency)
Obras (Civil Construction / Infrastructure Projects)	Tracking the level of the progress of construction projects promised by the President.	MINPRE - Ministerio de la Presidencia (Ministry of Presidency)
SISMAP	Tracking compliance of public institutions to regulations for personnel management, institutional strengthening, and organizational performance.	MAP - Ministerio de Administración Pública (Ministry of Public Administration)
ITICGE	Measuring the implementation of information and communication technologies in Government to increase efficiency and achievements towards e-government.	OPTIC – Oficina Presidencial de Tecnologías de la Información y Comunicación (Presidential Office for Information and Communication Technologies)
NOBACI	Measuring the compliance of public institutions with the set of basic norms for internal control.	Contraloría General de la República (General Comptroller)
Ley 200-04 (Act 200-04 on Free Access to Public Information)	Measures the publicity and availability of the public information for the citizens.	DIGEIG - Dirección General de Ética e Integridad Gubernamental (General Directorate of Ethics and Government Integrity)
IGP	Tracking the achievements of the government agencies regarding the budget management.	DIGEPRES – Dirección General de Presupuesto (General Directorate of Budget)
Contrataciones Públicas (Public Procurement)	Watching out the compliance of public institutions with regulations about the transparency and openness of the data related to the procurement process.	DGCP - Dirección General de Contrataciones Públicas (General Directorate of Procurement)
Transparencia Gubernamental (Government Transparency)	Tracks the promptness of public institutions to reply to the citizens' demands of public information through the official website for the requirements.	DIGEIG - Dirección General de Ética e Integridad Gubernamental (General Directorate of Ethics and Government Integrity)

Table 3. Monitor systems integrated into the SMMGP in the Dominican Republic through indicators. (2020)



## 2.4. Preliminary Findings

Performance evaluation is not a goal, but a mean to improve organizational capacity (budget management (Halachmi, 2002), effectiveness in planning (Campbell, 1977), technological infrastructure management) (Van Dooren, De Caluwe, & Lonti, 2012) or results on citizens' satisfaction (Shingler, Van Loon, Alter, & Bridger, 2008) (Woolum, 2011) or operational costs while fulfilling the agencies' mission (Bianchi & Rivenbark, *A Comparative Analysis of Performance Management Systems. The Cases of Sicily and North Carolina.*, 2012).

Most of the referenced countries' performance evaluation systems are managed by government agencies in which missions are related to the public finances or budgeting and by agencies in charge of monitoring the strategic planning for the Government. However, in the case of EDI, the Ministry of Public Administration is in charge of the policies about personnel management for the public sector, the rationalization of the public institutions' structures, and the public organization's evaluation performance. MAP has no authority over the agencies' budgets or mission accomplishment.

As in the Kazakhstan case, where six agencies participate in the performance evaluation process, MAP can also utilize data from monitoring systems managed by different agencies.

As in the Canadian MAF or the Korean BPES, Dominican EDI implies a self-assessment by the Government agency and an external evaluation of the agency performance, but none of the performance evaluation systems reviewed in this document shares the particularity of EDI in the Dominican Republic: a general framework for the self-assessment that is different from the last framework to be used by DEGI for the external evaluation, after the improvement plan based on CAF assessment is being implemented, a different criterion than the initial is evaluated with the notice of compliance to regulations of the sector.

Regarding the differences in the criteria for evaluation and definition of performance in the public sector, EDI does not directly consider leadership as other systems do. However, CAF does, and institutions evaluated with EDI had previously passed through a self-assessment process with CAF criteria. Finances,

Organizational Development, and Planning are the most common criteria for evaluating the reviewed systems.

EDI criteria for performance evaluation in Dominican Republic	Other performance evaluation systems with similar prioritized criteria
Strategic Planning	European CAF, Canadian MAF, Korean FAGPE, USA GPRA, Chilean Variants of Performance Evaluation, Mongolian M&E PIPAO, Kazakhstan PEGA
Citizens Satisfaction	European CAF, Canadian MAF, Chilean Variants of Performance Evaluation, Kazakhstan PEGA
Public Function Professionalization	European CAF, Canadian MAF, Korean FAGPE
Institutional Strengthening	European CAF, Canadian MAF, Korean FAGPE, Chilean Variants of Performance Evaluation, Mongolian M&E PIPAO, Kazakhstan PEGA
Performance (Quality) Management	European CAF, Canadian MAF
Resources (Budget) Management	European CAF, Canadian MAF, Korean FAGPE, USA GPRA, Chilean Variants of Performance Evaluation, Mongolian M&E PIPAO
Transparency in Management	Canadian MAF, Mongolian M&E PIPAO

*Table 4. Comparison of the criteria for performance evaluation of the public organization. (Based on reviewed studies, 2020)*

Planning is a criterion to evaluate in most reviewed institutional performance evaluation systems, as accomplishing goals linked to public policies is too. In the Dominican Republic, every institution is must consider their capacity to manage plans when they perform their self-evaluation, but in the external evaluation scheme of EDI, the evaluated management area called “Strategic Planning” considers just two indicators for the score: strategic and operational plans on implementation (action) and outcome of implemented plans (results). (Ministry of Public Administration (MAP), 2017)

The Ministry of Economy, Planning, and Development (MEPyD) presents, periodically, reports on the more important goals of the strategic plan of the Dominican Republic, but not from the perspective of the direct contribution of the public institutions in charge of those goals, just the results, after specifying that achieving the results implies the effort of the public sector, the private sector, and the civil society. This report's content is not considered in the self-assessment matrix based on the CAF model or in the external evaluation checklist for completing the EDI cycle. These results of the Dominican Republic's strategic

plan to 2030 or the strategic plan for each executive administration period are not included in the SMMGP.

<b>Canada, MAF</b>	<b>Europe, CAF</b>	<b>Dominican Republic, EDI</b>
Leadership and Strategic Direction	Leadership	Strategic Planning
Results and Accountability	Strategy and Planning	Citizens Satisfaction
Public Sector Values	People	Public Function Professionalization
Continuous Learning and Innovation	Partnership and resources	Institutional Strengthening
Governance and Strategic Management	Processes	Performance (Quality) Management
People Management	People Results	Resources (Budget) Management
Financial and Asset Management	Citizens/Customer-oriented Results	Transparency in Management
Information Management	Social Responsibility Results	
Management of Policy and Programs	Key Performance Results	
Management of Service Delivery		
<b>Chile, Variants of Performance Evaluation</b>	<b>Kazakhstan, Performance Evaluation of Gov. Agencies</b>	<b>Mongolia, M&amp;E PIPAO</b>
Evaluation of governmental programs	Attainment of Strategic Goals and Indicators of Budget Programs	Evaluation of Policy Implementation
Evaluation of impact	Interaction of Government Agencies with Citizens	Evaluation of Organizational Results
Evaluation of Institutional Expense	Organizational Development	Evaluation of Organizational Transparency
Evaluation of New Programs		
Ambit Focalized Evaluation		
<b>Republic of Korea, BPES</b>	<b>Republic of Korea, FAGPE</b>	<b>United States of America, GPRA</b>
Leadership	Major policy	Strategic Planning
Management	Financial Management	Performance Planning
Results	Personnel, Organizational Management, and E-Government	Performance Reporting

*Table 5. Criteria for performance evaluation systems for public institutions in selected cases. (Based on reviewed studies, 2020)*

As the literature review suggested, the national performance evaluation systems take time to develop and to mature in their implementation, over a decade. EDI legal framework was approved in 2012, and its first implementation was in 2015.

No previous comparative study has been found on the performance evaluation of ministries, public agencies in charge of the design, operationalization, and evaluation of policies and agencies that directly impact the citizens' opinion on the Government or on agencies that deliver services to citizens. (Downe, Grace, Martin, & Nutley, 2010) than as ministries do.

## Chapter 3. Methodological Framework

### 3.1. Subjects

For this comparative case study design (Goodrick, 2014), the non-probability sampling method has been chosen under the extreme selection criterion (Zaborek, 2009).

As subjects for this study, among the ministries evaluated in 2019, the two extreme cases were selected to focus on the ministries with the highest and the lowest scores and the ministry with the most significant change between the initial and the final score based on the EDI scoring panel after completing the whole performance evaluation cycle (three phases).

Institution	Starting Score	Final Score	Improvement EDI score
Ministerio de Educación (Minerd)	423	<b>653</b>	230
Ministerio de Educación Superior, Ciencia y Tecnología (MESCYT)	541	696	155
Ministerio de Agricultura (MA)	429	738	<b>309</b>
Ministerio de Obras Públicas y Comunicaciones (MOPC)	636	757	121
Ministerio Público (Procuraduría General de la República)	864	811	-53
Ministerio de Interior y Policía (MIP)	691	811	120
Ministerio de Turismo (Mitur)	585	819	234
Ministerio de Industria, Comercio y Mipymes (MICM)	717	838	121
Ministerio de Trabajo (MT)	718	871	153
Ministerio de Medio Ambiente y Recursos Naturales (Mimarena)	776	880	104
Ministerio de la Mujer (MM)	768	881	113
Ministerio de la Presidencia (Minpre)	787	905	118
Ministerio de Energía y Minas (MEM)	732	923	191
Ministerio de Economía, Planificación y Desarrollo (MEPYD)	880	<b>967</b>	87

Table 6. Ministries assessed with the Institutional Performance Evaluation System in the Dominican Republic in 2019. (Based on reports from DEGI, 2019)

### 3.2. Variables

Independent variables (IV): The independent variables in this case study are: the management process based on results and continuous improvement as DEGI has promoted with EDI, the implementation of the subsystems for personnel administration, and priority assigned to the policies and sectors each ministry works with.

Dependent variable (DV): The dependent variable in this case study is improving the ministries' management and results reflected in their final score following the scale from the Institutional Performance Evaluation System (EDI).

Type of variable	Variable
Dependent variable (DV)	Final score gotten by subjects according to the Institutional Performance Evaluation System (EDI)
Independent variable 1 (IV1)	The national priority of the sector or policies associated with the ministry
Independent variable 2 (IV2)	Personnel management capacity
Independent variable 3 (IV3)	Results-based management capacity

*Table 7. Variables to consider in the explanatory research to identify why a ministry outperforms others and why there is one with the lowest score among the rest considered in the institutional performance evaluation during 2019.*

### 3.3. Data Collection and Analysis

Qualitative data was analyzed with the logic model to build this multiple case study.

The data sources are official self-assessment reports, improvement plans, reports of institutional performance evaluation from the Ministry of Public Administration, payroll, budgets, operational plans, strategic plans, organizational structures of the subjects and official rankings, personnel management statistics in-depth literature review.

#### 3.3.1. IV1. The National Priority of the Sector

Mission and vision of each ministry were reviewed along with the goals they are committed without of these sources: Sustainable Development Goals (SDG); the six prioritized SDG; National Strategy for Development (END-Estrategia Nacional de Desarrollo), the plan to develop the Dominican Republic's vision (2012-2030); Multiyear National Plan for the Public Sector (PNPSP – Plan Nacional Plurianual del Sector Público), the plan of each administration, 2017-2020 in this case; mission and vision of each ministry.

The primary stakeholders and classification of expenses were also considered.

<b>National Strategy for Development (END- Estrategia Nacional de Desarrollo)</b>			
<b>1<sup>st</sup>. Axis: Democratic Social State of Law</b>	<b>2<sup>nd</sup>. Axis: Society with Equal Rights and Opportunities</b>	<b>3<sup>rd</sup>. Axis: Sustainable Economy, Integrator and Competitive</b>	<b>4<sup>th</sup>. Axis: Production and Consumption Society Environmentally Sustainable Adapting to Climate Change</b>
<p>“A social and democratic state of law, with institutions that act with ethics, transparency and effectiveness at the service of a responsible and participatory society, which guarantees security and promotes equity, governance, peaceful coexistence and national and local development.”</p>	<p>“A society with equal rights and opportunities, in which the whole population is guaranteed education, health, decent housing and quality basic services, and that promotes the progressive reduction of poverty and social and territorial inequality.”</p>	<p>“A territorially and sectors integrated, innovative, diversified, plural, quality-oriented and environmentally sustainable economy that creates and deconcentrated wealth, generates high and sustained growth with equity and decent employment, and that leverages and enhances local market opportunities and is competitively embedded in the global economy.”</p>	<p>“A society with a sustainable culture of production and consumption, which manages risks and the protection of the environment and natural resources fairly and effectively and promotes an adequate adaptation to climate change.”</p>
<p>Objectives:</p> <ol style="list-style-type: none"> <li>1.1. Efficient, transparent and results-oriented public administration.</li> <li>1.2. Empire of citizen law and security.</li> <li>1.3. Participatory democracy and responsible citizenship.</li> <li>1.4. Security and peaceful coexistence.</li> </ol>	<p>Objectives:</p> <ol style="list-style-type: none"> <li>2.1. Quality education for all.</li> <li>2.2. Comprehensive health and social security.</li> <li>2.3. Equal rights and opportunities.</li> <li>2.4. Territorial cohesion.</li> <li>2.5. Decent housing in healthy environments.</li> <li>2.6. Culture and national identity in a global world.</li> <li>2.7. Sport and physical recreation for human development.</li> </ol>	<p>Objectives:</p> <ol style="list-style-type: none"> <li>3.1. Articulated, innovative and environmentally sustainable economy, with a productive structure that generates high and sustained growth, with decent work, that is competitively inserted into the global economy.</li> <li>3.2. Reliable, efficient and environmentally sustainable energy.</li> <li>3.3. Competitiveness and innovation in an environment conducive to cooperation and social responsibility.</li> <li>3.4. Sufficient and dignified jobs.</li> <li>3.5. Sectoral and territorially articulated productive structure, competitively integrated into the global economy and taking advantage of the opportunities of the local market.</li> </ol>	<p>Objectives:</p> <ol style="list-style-type: none"> <li>4.1. Sustainable management of the environment.</li> <li>4.2. Effective risk management to minimize human, economic and environmental losses.</li> <li>4.3. Adequate adaptation to climate change.</li> </ol>

*Table 8. National Strategy for Development, strategic axes, and objectives. (Based on END, 2012)*

Objectives of the Multiyear National Plan for the Public Sector (PNPSP – Plan Nacional Plurianual del Sector Público) 2017-2020			
<ul style="list-style-type: none"> <li>• Efficient and Transparent Public Administration.</li> <li>• More rule of law and citizen security.</li> <li>• Promoting defense and national sovereignty, and peaceful coexistence.</li> </ul>	<ul style="list-style-type: none"> <li>• More quality education for all.</li> <li>• More and better health and comprehensive social security for all. Creating equal rights and opportunities.</li> <li>• More decent housing in healthy environments.</li> <li>• More culture and national identity in a globalized world.</li> <li>• More sport and physical recreation for human development.</li> </ul>	<ul style="list-style-type: none"> <li>• Improving local planning for territorial cohesion.</li> <li>• More reliable, efficient and environmentally sustainable energy.</li> <li>• Boosting competitiveness and innovation.</li> <li>• Encouraging job creation.</li> <li>• Promoting competitively integrated production to the global economy.</li> </ul>	<ul style="list-style-type: none"> <li>• Promoting sustainable management of the environment.</li> <li>• Promoting effective disaster risk management.</li> <li>• Proper adaptation to climate change.</li> </ul>
<b>Institutional Development</b>	<b>Social Development</b>	<b>Productive Development</b>	<b>Sustainable Development</b>
Sustainable Development Goals. United Nations			
<b>16. Peace, justice and strong institutions.</b> <b>17. Partnership for the goals.</b>	<ol style="list-style-type: none"> <li>1. No poverty.</li> <li>2. Zero hunger.</li> <li>3. Good health and well-being.</li> <li>4. <b>Education.</b></li> <li>5. Gender equality.</li> <li>6. Clean water and sanitation.</li> </ol>	<ol style="list-style-type: none"> <li>7. Affordable and clean energy.</li> <li>8. <b>Decent work and economic growth.</b></li> <li>9. Industry, innovation and infrastructure.</li> <li>10. <b>Reduced inequality.</b></li> </ol>	<ol style="list-style-type: none"> <li>11. Sustainable cities and communities.</li> <li>12. Responsible consumption and production.</li> <li>13. <b>Climate action.</b></li> <li>14. Life below waters.</li> <li>15. Life on land.</li> </ol>

Table 9. Objectives of the PNPSP aligned to the SDG. (Adapted from: Comisión ODS República Dominicana, 2019)

### 3.3.2. IV2. Personnel Management Capacity

The percentage of the general budget spent on salary and incentives was reviewed for each ministry. Also, the distribution of employees by gender, age, position, and employment status were considered.

The sub-criterion in the third CAF criterion, People, were analyzed in the self-assessment report to verify if the areas of improvement correspond to actions defined in the improvement plan that can also be consistent with the indicators reviewed by EDI in the improvement plan, as well as in the EDI report, besides their scores with the purpose of tracking if the same content that rises the score in the self-assessment also impacts the EDI external evaluation.

Considered in Criterion 3. People in Common Assessment Framework (CAF)		Considered in Criterion 3. Professionalization of the Institutional Public Function in the Performance Evaluation System (EDI) in Dominican Republic
Sub-criterion 3.1. Plan, manage and improve human resources transparently with regard to strategy and planning		3.1. Planning of Personnel Management
		3.2. Registration and Control of Employees
		3.3. Structure of positions
Sub-criterion 3.2. Identify, develop and use competencies of the employees aligning individual and organizational goals		3.4. Manual of positions
		3.5. Benefits
		3.6. Public competitions
Sub-criterion 3.3. Involve employees by developing open dialogue and empowerment, supporting their well-being		3.7. Personnel Performance Evaluation
		3.8. Training and Development
		3.9. Labor and social relations
		3.10. System of Administrative Careers

*Table 10. Sub criteria are considered for assessing personnel management in the systems used for institutional performance evaluation in the Dominican Republic.*

### 3.3.3. IV3. Results-based Management Capacity

From the EDI feedback reports, the initial and final scores on each of the seven management areas were taken along with their difference to contrast the value of the actions included in the Institutional Improvement Plans of these selected public organizations. These scores were transferred to percentages to compare with the CAF model scores used in the self-assessment process, which uses score panels that range from zero to a hundred.

To process the data for the analysis, the self-assessment matrix based on the CAF model was scored with the fine-tuned score panels method included in the CAF model instructions (European Institute of Public Administration (EIPA), European Public Administration Network (EUPAN), 2020).

The actions included in the improvement plan were estimated using the fine-tuned panel in terms of their probable result to be reflected on the following self-assessment. Based on the CAF model, this plan's actions were also estimated with the EDI scoring panel associating each criterion from the CAF Model with its most related management area evaluated with the Institutional Performance Evaluation System (EDI). Then, these results were converted to the appropriate value taking into account the weight of each assessed area of the EDI to present the tables for analysis in each case of study.



**ENABLERS PANEL – FINE-TUNED SCORING**

ENABLERS PANEL - FINE-TUNED SCORING								
	SCALE	0-10	11-30	31-50	51-70	71-90	91-100	Tot.
PHASE	EVIDENCE	No evidence or just some ideas	Some weak evidence, related to some areas	Some good evidence related to relevant areas	Strong evidence related to most areas	Very strong evidence related to all areas	Excellent evidence, compared with other organisations, related to all areas	
PLAN	Planning is based on stakeholders' needs and expectations. Planning is deployed throughout the relevant parts of the organisation on a regular basis.							
	Score							
DO	Execution is managed through defined processes and responsibilities and diffused throughout the relevant parts of the organisation on a regular basis.							
	Score							
CHECK	Defined processes are monitored with relevant indicators and reviewed throughout the relevant parts of the organisation on a regular basis.							
	Score							
ACT	Correction and improvement actions are taken following the check results throughout the relevant parts of the organisation on a regular basis.							
	Score							

Figure 6. Scoring panel of the fine-tuned scoring method for evaluating the enablers criteria in the Common Assessment Framework (CAF) model. (EIPA, 2020)

**RESULTS PANEL – FINE-TUNED SCORING**





RESULTS PANEL - FINE-TUNED SCORING						
SCALE	0-10	11-30	31-50	51-70	71-90	91-100
TRENDS	No measurement	Negative trend 	Flat trend or modest progress 	Sustained progress 	Substantial progress 	Positive comparison with relevant organisations for all results
SCORE						
TARGETS	No or anecdotal information	Results do not meet targets	Few targets are met	Some relevant targets are met	Most of the relevant targets are met	All the targets are met
SCORE						

Figure 7. Scoring panel of the fine-tuned scoring method for evaluating the results criteria in the Common Assessment Framework (CAF) model. (EIPA, 2020)

The logic model, as recommended by various researchers (Chen, Pan, Morosanu, & Turner, 2018), (Kalu & Norman, 2018) and (Levy, 2008), was used for analyzing the data because of its linear explanation, according to the mentioned authors.

Based on the logic model (Taylor-Powell, Jones, & Henert, 2002) referenced on the website of MEERA, as a project with the University of Michigan partnership, (My Evaluation Environmental Education Evaluation Resource Assistant (MEERA), n.d.), the CAF Model included in the section 2.2.7 of this research report, and the process flow EDI follows, the following logic model was designed for analyzing the quantitative scores of the qualitative data

related to the result-based management and performance evaluation process in each one of the three ministries as mentioned above must follow: MEPyD, MA and MINERD.

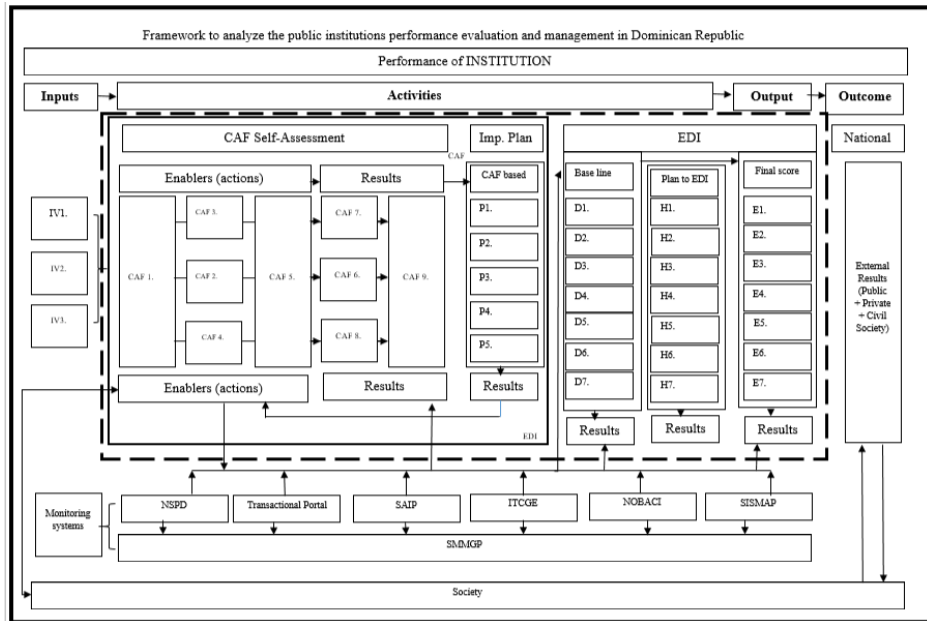


Figure 8. Logic model to review the institutional performance evaluation process and results at the ministerial level in the Dominican Republic.

Where the following tables explain the legends:

Legend	CAF criterion	The score of this criterion expresses the capacity of the organization for:
CAF 1.	Leadership	Direction of the organization towards its vision, management of performance and improvement, motivation to the personnel acting as a role model and management of effective relations with stakeholders.
CAF 2.	Strategy and Planning	Considering stakeholders' needs in the planning process, the distribution of the plan among the organization's members and Plan-Do-Check-Act implementation.
CAF 3.	People	Planning and improving human resources according to planning, alignment and development of competencies and alignment, and supporting employees' well-being.
CAF 4.	Partnerships and Resources	Partnership with relevant organizations and citizens, as well as management of finances, information, technologies and facilities.
CAF 5.	Processes	Managing processes, delivering citizens/customer-oriented services and coordination of processes within the organization and with other relevant organizations.
CAF 6.	Citizen/Customer-oriented Results	Perception and performance measurements related to the results on citizens/customers.
CAF 7.	People Results	Perception and performance measurements related to the results on the personnel.
CAF 8.	Social Responsibility Results	Perception and performance measurements related to the results on the society.
CAF 9.	Key Performance Results	Performance measurements related to the outputs and outcomes and level of efficiency.
P1.	Leadership	Actions included in the improvement plan to improve in the Leadership criterion.
P2.	Strategy and Planning	Actions included in the improvement plan to improve in the Strategy and Planning criterion.
P3.	People	Actions included in the improvement plan to improve in the People criterion.
P4.	Partnerships and Resources	Actions included in the improvement plan to improve in the Partnerships and Resources criterion.
P5.	Processes	Actions included in the improvement plan to improve in the Processes criterion.

*Table 11. Scores from the self-assessment process and the improvement plan based on the Common Assessment Framework model.*

Legend	EDI criterion	The score of this criterion expresses the compliance of the organization to the official norms and regulations in the matter of:
D1.	Strategic Planning	Having strategic and operative plans on implementation and results of achieved goals. (First quarter score)
D2.	Citizens Satisfaction	Citizens' perception of the organization and satisfaction with provided services. (First quarter score)
D3.	Public Function Professionalization	Subsystems of personnel management. (First quarter score)
D4.	Institutional Strengthening	Approved structure, processes map, manual of procedures. (First quarter score)
D5.	Performance (Quality) Management	CAF model on implementation and citizens' charter. (First quarter score)
D6.	Resources (Budget) Management	Budget aligned to the plan and priorities, transparency, efficient expenditure. (First quarter score)
D7.	Transparency in Management	Availability of public information, updated official website, ethic committee, internal control and audit, transparent procurement. (First quarter score)
E1.	Strategic Planning	Having strategic and operative plans on implementation and results of achieved goals. (Last quarter score)
E2.	Citizens Satisfaction	Citizens' perception of the organization and satisfaction with provided services. (Last quarter score)
E3.	Public Function Professionalization	Subsystems of personnel management. (Last quarter score)
E4.	Institutional Strengthening	Approved structure, processes map, manual of procedures. (Last quarter score)
E5.	Performance (Quality) Management	CAF model on implementation and citizens' charter. (Last quarter score)
E6.	Resources (Budget) Management	Budget aligned to the plan and priorities, transparency, efficient expenditure. (Last quarter score)
E7.	Transparency in Management	Availability of public information, updated official website, ethic committee, internal control and audit, transparent procurement. (Last quarter score)

*Table 12. Scores from the external evaluation process with the Institutional Performance Evaluation System (EDI) in the Dominican Republic.*

Legend	EDI criterion	The score of this criterion expresses the compliance of the organization to the official norms and regulations in the matter of:
H1.	Strategic Planning	Estimation of the value of the actions associated with Strategic Planning included on the CAF improvement plan if valuated with the EDI scale.
H2.	Citizens Satisfaction	Estimation of the value of the actions associated with Citizens' Satisfaction included on the CAF improvement plan if valuated with the EDI scale.
H3.	Public Function Professionalization	Estimation of the value of the actions associated with Public Function Professionalization included on the CAF improvement plan if valuated with the EDI scale.
H4.	Institutional Strengthening	Estimation of the value of the actions associated with Institutional Strengthening included on the CAF improvement plan if valuated with the EDI scale.
H5.	Performance (Quality) Management	Estimation of the value of the actions associated with Performance (Quality) Management included on the CAF improvement plan if valuated with the EDI scale.
H6.	Resources (Budget) Management	Estimation of the value of the actions associated with Resources (Budget) Management included on the CAF improvement plan if valuated with the EDI scale.
H7.	Transparency in Management	Estimation of the value of the actions associated with Transparency in Management included on the CAF improvement plan if valuated with the EDI scale.

*Table 13. Estimating the value of the CAF improvement plan's actions according to the EDI's scale in the Dominican Republic.*

<b>Monitoring systems</b>	<b>Government agency managing the system</b>	<b>Purpose of the monitoring</b>
SMMGP	MINPRE – Ministry of Presidency	Tracking the level of the progress of the list of promises-commitments the President has made public.
NSPD	DIGEPRES –General Directorate of Budget	Tracking the achievements of the government agencies regarding the budget management.
Transactional Portal	DGCP - General Directorate of Procurement	Watching out the compliance of public institutions with regulations about the transparency and openness of the data related to the procurement process.
SAIP	DIGEIG - General Directorate of Ethics and Government Integrity	Tracks the promptness of public institutions to reply to the citizens' demands of public information through the official website for the requirements.
ITCGE	OPTIC – Presidential Office for Information and Communication Technologies	Measuring the implementation of information and communication technologies in Government to increase efficiency and achievements towards e-government.
NOBACI	General Comptroller	Measuring the compliance of public institutions with the set of basic norms for internal control.
SISMAP	MAP - Ministry of Public Administration	Tracking compliance of public institutions to regulations for personnel management, institutional strengthening, and organizational performance.

*Table 14. Monitoring systems in the Dominican Republic.*

## **Chapter 4. Comparative Case Studies**

### **4.1. IV1. National Priority Sector**

The Ministry of Economy, Planning, and Development (MEPyD) is the institution in charge of managing the national plan for development through economic growth.

The Ministry of Agriculture (MA) is in charge of developing the Dominican Republic's agricultural policy following the general development plan. Also, MA coordinates studies about the present and future situation in the agricultural sector, approves the actions and budgets for institutions that execute the policies, prevent and controls animals and plants pests and diseases, promote the rational use of water and offer technical training for the responsible and productive agricultural production.

The Ministry of Education (Minerd) is in charge of achieving an educated population with quality services for all in the Dominican Republic the mean for personal and national development. Minerd regulates the education sector.

The Ministry of Economy, Planning, and Development (MEPYD), the Ministry of Agriculture (MA), and the Ministry of Education (MINERD) have in common that they report directly to the President of the Dominican Republic, and comply with the same control norms from the governing/control entities, with the particularity of MEPYD being one of the governing entities with transversal policies to manage too.

<b>Alignment of the studied ministries to the national priorities</b>		
<b>Ministry of Economy, Planning and Development (MEPYD)</b>	<b>Ministry of Agriculture (MA)</b>	<b>Ministry of Education (MINERD)</b>
<i>National Strategy for Development (END- Estrategia Nacional de Desarrollo)</i>		
<b>1<sup>st</sup>. Axis: Democratic Social State of Law</b>	<b>3<sup>rd</sup>. Axis: Sustainable Economy, Integrator and Competitive</b>	<b>2<sup>nd</sup>. Axis: Society with Equal Rights and Opportunities</b>
“A social and democratic state of law, with institutions that act with ethics, transparency and effectiveness at the service of a responsible and participatory society, which guarantees security and promotes equity, governance, peaceful coexistence and national and local development.”	“A territorially and sectors integrated, innovative, diversified, plural, quality-oriented and environmentally sustainable economy that creates and deconcentrated wealth, generates high and sustained growth with equity and decent employment, and that leverages and enhances local market opportunities and is competitively embedded in the global economy.”	“A society with equal rights and opportunities, in which the whole population is guaranteed education, health, decent housing and quality basic services, and that promotes the progressive reduction of poverty and social and territorial inequality.”
Objectives: 1.5. Efficient, transparent and results-oriented public administration.	Objectives: 3.1. Articulated, innovative and environmentally sustainable economy, with a productive structure that generates high and sustained growth, with decent work, that is competitively inserted into the global economy. 3.3. Competitiveness and innovation in an environment conducive to cooperation and social responsibility. 3.4. Sufficient and dignified jobs. 3.5. Sectoral and territorially articulated productive structure, competitively integrated into the global economy and taking advantage of the opportunities of the local market.	Objectives: 2.1. Quality education for all.
<i>Objectives of the Multiyear National Plan for the Public Sector (PNPSP – Plan Nacional Plurianual del Sector Público) 2017-2020</i>		
<ul style="list-style-type: none"> <li>Efficient and Transparent Public Administration.</li> </ul>	<ul style="list-style-type: none"> <li>Boosting competitiveness and innovation.</li> <li>Encouraging job creation.</li> <li>Promoting competitively integrated production to the global economy.</li> </ul>	<ul style="list-style-type: none"> <li>More quality education for all.</li> </ul>
<b>Institutional Development</b>	<b>Productive Development</b>	<b>Social Development</b>
<i>Sustainable Development Goals</i>		
<b>16. Peace, justice and strong institutions.</b> <b>17. Partnership for the goals.</b>	<b>8. Decent work and economic growth.</b> <b>10. Reduced inequality.</b>	<b>4. Education.</b>

Figure 9. Alignment of the studied ministries to the national priorities.

Along with being the entity that manages international cooperation in the name of the Dominican Republic, where all non-government organizations need to be registered and where the objectives for the national strategy get distributed too, even among local governments, this particularity sets MEPYD as the ministry (among the three considered in this research) as the best connected with different sectors of the society in the Dominican Republic. MEPYD manages policies of

the State's administration, while the Ministry of Agriculture and the Ministry of Education work with sectorial policies, resulting in the difference of how each ministry manages its relationship with the rest of the society and partners.

These three ministries are pursuing different END goals, PNPSP, but each of them is involved with one or two of the six prioritized SDG in the Dominican Republic.

Classification of expenses (in DOP\$)	Executive Branch (Total)	Ministerio de Economía, Planificación y Desarrollo (MEPYD)		Ministerio de Agricultura (MA)		Ministerio de Educación (Minerd)	
			%		%		%
Salaries and contributions	191,513,658,775.70	1,382,988,793.10	0.72	3,466,235,556.50	1.81	108,667,194,231.20	56.74
Recruiting Services	55,681,627,427.90	566,647,576.30	1.02	548,778,044.90	0.99	25,670,051,543.20	46.10
Materials and supplies	24,625,007,710.00	117,013,430.40	0.48	380,285,689.50	1.54	2,637,224,586.60	10.71
Current transfers	215,162,982,046.80	256,641,749.10	0.12	5,746,011,614.10	2.67	17,460,665,404.60	8.12
Transfers of capital	37,701,779,521.00	4,600,000.00	0.01	262,736,656.00	0.70	334,726,886.10	0.89
Movable property, real estate and intangibles	17,034,207,517.10	78,931,588.80	0.46	641,044,694.80	3.76	5,985,129,578.70	35.14
Works	41,144,741,901.00	129,785,583.20	0.32	620,111,586.00	1.51	8,482,803,002.30	20.62
Financial expenses	134,506,942,278.80						
<b>Total</b>	<b>717,370,947,178.20</b>	<b>2,536,608,720.80</b>	<b>0.35</b>	<b>11,665,203,841.80</b>	<b>1.63</b>	<b>169,237,795,232.80</b>	<b>23.59</b>

Table 15. Public expenses classification of MEPYD, MA, and MINERD and its percentage of the national expenses on the public sector through the government's Executive branch. (Dirección General de Presupuesto (DIGEPRES), 2019)

Out of the total expenses of the Executive branch in the centralized agencies, the Ministry of Education has the largest share (23.59%), among the rest of the ministries, including the Ministry of Agriculture (1.63%) and the Ministry of Economy, Planning, and Development (0.35%). In each category of the expenses, the Ministry of Education spent higher shares of the total expenditure than any other agency.

Of all expenses categorized as “Salaries and contributions” paid by the executive branch (DOP\$ 191,513,658,775.70), the Ministry of Education paid 56.74%, the Ministry of Agriculture paid 1.81% of the total amount, and the Ministry of Economy, Planning, and Development paid 0.72%. While the Ministry of Education (64.21%) and MEPYD (54.52%) spent more of their budgets on “Salaries and contributions” than in any other category, the Ministry of Agriculture spent 29.71%, the second category where MA spent more of its budget, being surpassed by “current transfers,” where MA spent 49.26% of its budget.



In November 2019: MEPYD reported a payroll list of 689 employees; MA reported 7,152 employees, and MINERD reported 199,088 employees.

## 4.2. IV2. Personnel Management Capacity

The personnel administration functions are described in plans and manuals in MEPYD, but the Ministry of Agriculture and MINERD needed to update the manual and generate a plan to implement the Ministry of Public Administration's norms.

Although the Ministry of Agriculture being the one with the most significant improvement on the last score of the performance evaluation system, the following figure shows how just one of its selected improvement actions after the self-assessment process with CAF could be connected with the accountable criteria for EDI.

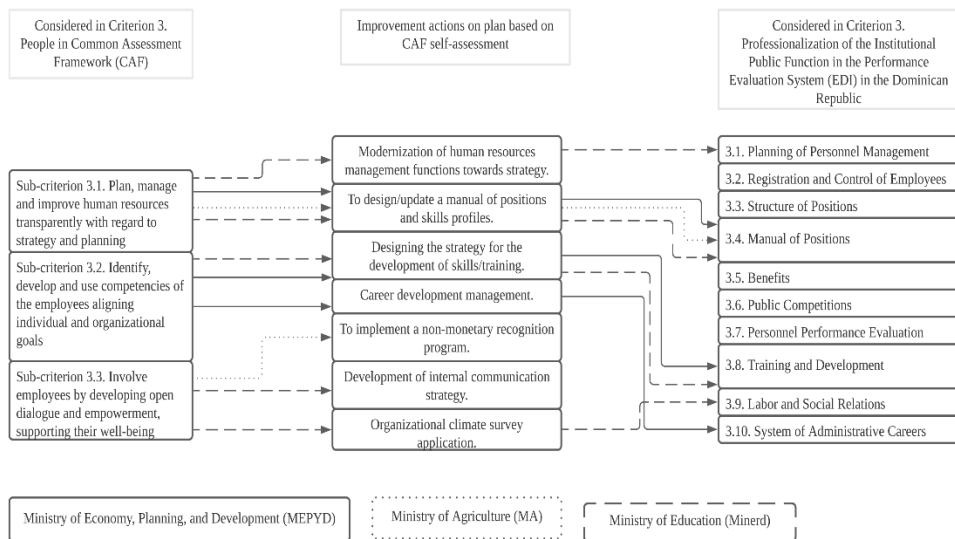


Figure 10. Relationship of the improvement actions included in the plans related to personnel management and the criteria these actions are associated with the CAF model and the EDI system.

From the actions prioritized by MEPYD for its improvement plan in 2019, after completing the self-assessment project with the CAF model, two were

related to two sub-criteria from the model and three sub-criteria from EDI's system.

From the actions prioritized by the Ministry of Agriculture for its improvement plan in 2019, after completing the self-assessment project with the CAF model, two were related to two sub-criteria from the model, and just one of them could affect the scores in the EDI system.

From the actions prioritized by MINERD for its improvement plan in 2019, after completing the self-assessment project with the CAF model, five were related to the People criterion on the CAF model, and four of them were also related to four different sub-criterion considered in the EDI system.

### **4.3. IV3. Results-based Management Capacity**

In the case stage of the self-assessment with the CAF model, the Ministry of Economy, Planning, and Development (MEPYD) expressed strengths in the enablers' criteria and better results than the other two ministries. The central management areas are described with specific goals and detailed plans aligned with the entity's strategy. These plans had indicators, and the check of the Results criteria could be fulfilled. The score is not higher because of absence trend analysis as an input for further plans.

The Ministry of Agriculture and the Ministry of Education did not integrate the main objectives and requirements from control agencies into their plans. Lack of indicators suggested improvement-oriented areas to design manuals and detailed plans aligned to the strategic goals and the demand for their different interest groups or stakeholders.

CAF, criterion and sub-criterion scores (0-100)		MEPYD		MA		MINERD	
CAF 1. Leadership, percentage value	CAF 1.1.	80	75	15	14	60	58
	CAF 1.2.	70		20		75	
	CAF 1.3.	75		10		45	
	CAF 1.4.	75		10		50	
CAF 2. Strategy & Planning, percentage value	CAF 2.1.	80	73	10	11	60	45
	CAF 2.2.	75		20		50	
	CAF 2.3.	75		5		40	
	CAF 2.4.	60		10		30	
CAF 3. People, percentage value	CAF 3.1.	60	63	20	17	20	13
	CAF 3.2.	70		15		10	
	CAF 3.3.	60		15		10	
CAF 4. Partnership & Resources, percentage value	CAF 4.1.	75	74	30	35	40	23
	CAF 4.2.	80		20		20	
	CAF 4.3.	80		40		20	
	CAF 4.4.	75		35		10	
	CAF 4.5.	60		35		20	
	CAF 4.6.	75		50		30	
CAF 5. Processes, percentage value	CAF 5.1.	70	68	10	12	20	15
	CAF 5.2.	65		10		20	
	CAF 5.3.	70		15		5	

Table 16. The MEPYD, MA, and MINERD score on the self-assessment of the Enablers criterion of the CAF model. (Based on the self-assessment report).

CAF, criterion and sub-criterion scores (0-100)		MEPYD		MA		MINERD	
CAF 6. Citizen / Customer-oriented results, percentage value	CAF 6.1.	40	43	0	0	0	8
	CAF 6.2.	45		0		15	
CAF 7. People Results, percentage value	CAF 7.1.	70	68	0	3	0	5
	CAF 7.2.	65		5		10	
CAF 8. Social Responsibility Results, percentage value	CAF 8.1.	35	38	0	0	0	3
	CAF 8.2.	40		0		5	
CAF 9. Key Performance Results, percentage value	CAF 9.1.	35	38	0	3	10	10
	CAF 9.2.	40		5		10	

Table 17. The score of MEPYD, MA, and MINERD on the self-assessment of the CAF model's Results criterion. (Based on the self-assessment report).

While the improvement plan of MEPYD show that actions are for continuous improvement (sub-criterion 2.4 in CAF, criterion 5 in EDI), the Ministry of Agriculture and the Ministry of Education also considered actions for

improving the quality of the management in planning and personnel as a basis for getting better results on the other areas of management.

<b>Estimation of the relative value of the improvement actions in CAF and EDI systems</b>	<b>MEPYD</b>	<b>MA</b>	<b>Minerd</b>
<b>P1. Leadership</b>	15	15	15
<b>P2. Strategy &amp; Planning</b>	25	25	10
<b>P3. People</b>	15	25	50
<b>P4. Partnerships &amp; Resources</b>	5	10	30
<b>P5. Processes</b>	15	0	20
<b>P. Results</b>	15	15	25
<b>H1 Planning</b>	5	30	30
<b>H2 Citizens</b>	20	0	10
<b>H3 Personnel</b>	15	10	20
<b>H4 Organization</b>	10	20	10
<b>H5 Quality</b>	25	20	30
<b>H6 Finance</b>	0	0	0
<b>H7 Transparency</b>	10	0	0

Table 18. Estimating the value of the improvement actions included in the plan after the self-assessment, using both scales CAF and EDI, for the three evaluated ministries. (Based on the self-assessment report).

Comparison of scores of MEPyD, MA and Minerd in EDI system, first and last quarter of 2019. (0-100 scale)											
First Quarter, 2019	MEPyD	MA	Minerd	Last Quarter 2019	MEPyD	MA	Minerd	Difference between both measures	MEPyD	MA	Minerd
D1 Planning	93	76	79	E1 Planning	100	86	80	F1 Planning	7	10	1
D2 Citizens	80	15	4	E2 Citizens	100	43	33	F2 Citizens	20	27	29
D3 Personnel	85	39	29	E3 Personnel	88	67	78	F3 Personnel	3	28	49
D4 Organization	92	22	46	E4 Organization	98	94	38	F4 Organization	6	71	-7
D5 Quality	80	26	22	E5 Quality	100	63	67	F5 Quality	20	37	45
D6 Finance	100	87	76	E6 Finance	100	93	88	F6 Finance	0	6	12
D7 Transparency	95	79	83	E7 Transparency	100	88	92	F7 Transparency	5	9	9

Table 19. Comparison of scores in the first and last quarter of 2019 of MEPYD, MA, and MINERD with EDI system. (0-100 scale). (Based on EDI reports 2019)

Monitoring systems (Scale: 0 to 100)	Ministerio de Economía, Planificación y Desarrollo (MEPYD)		Ministerio de Agricultura (MA)		Ministerio de Educación (Minerd)	
	2018	2019	2018	2019	2018	2019
<b>NSPD</b>	97.8	89	71.91	95.05	74	100
<b>Transactional Portal</b>	90	100	52.71	86	73	83
<b>SAIP</b>	90	83.2	75.87	91.41	84	89
<b>ITCGE</b>	91.9	85.7	70.15	76.15	89	87
<b>NOBACI</b>	86.24	91.68	15.4	95.93	33	80
<b>SISMAP</b>	85.04	83.37	52.28	89.82	56	69.62

Table 20. Comparison of MEPYD, MA, and MINERD scores on the central monitoring systems, 2018 and 2019. (Based on the MEPYD, MA, and MINERD's institutional memory reports)

The difference in score on the central monitoring systems between 2018 and 2019 showed that the Ministry of Education and the Ministry of Agriculture dedicated more efforts to improve the areas monitored by the General Comptroller through NOBACI: the general regulations all institutions must comply with while fulfilling their management processes.

In the models presented for each case, just MEPYD integrated the monitoring systems' results into their self-evaluation with the CAF model, as the expected two ways relationship suggested between the self-assessment management and the data for and from the monitoring systems.

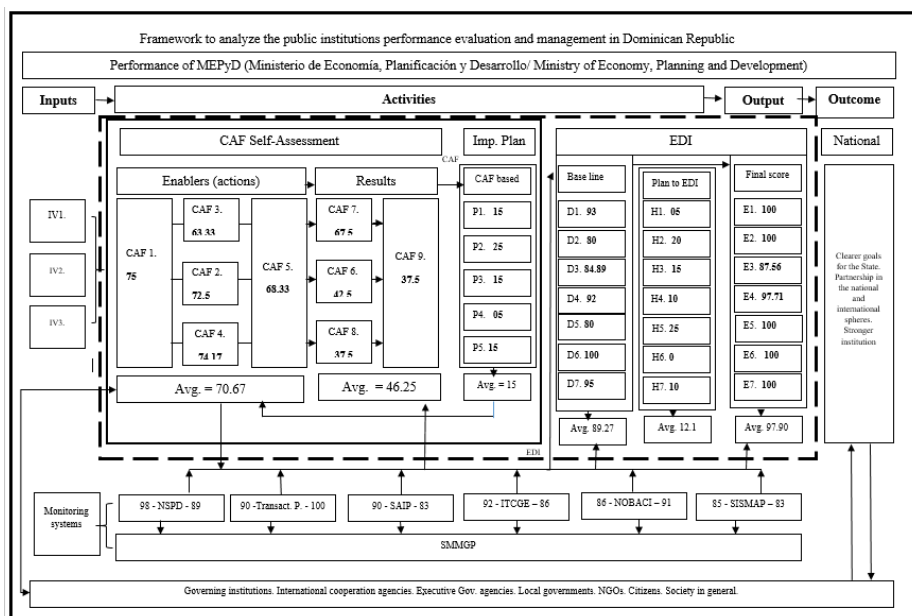


Figure 11. Logic model to review the institutional performance evaluation process and results at the Ministry of Economy, Planning, and Development in the Dominican Republic.

In the model developed to analyze the performance evaluation of MEPyD, the self-assessment with CAF model shows scores that can be interpreted as an advanced implementation of the Plan and Do of the Deming cycle, in some cases, even the Check stage, but Act after the Check stage is not well supported. The results score highlights the need to improve indicators for checking and acting to complete the Deming Cycle. The results shown in the self-assessment, as fed from the monitoring systems, are high.

The actions for improvement after the self-assessment process with CAF were also connected with EDI indicators, which suggests these actions could positively affect the final scores of the external performance evaluation with EDI.

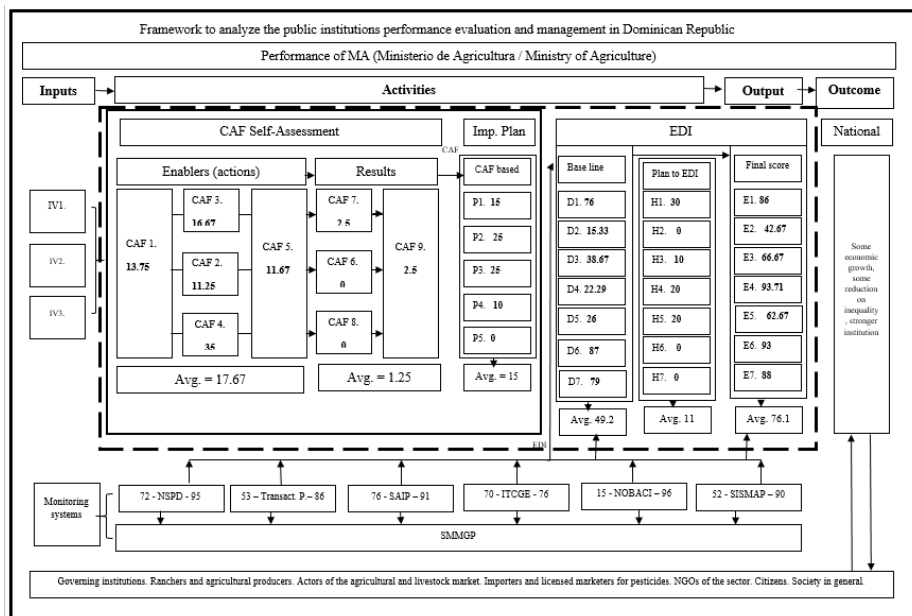


Figure 12. The logic model reviews the institutional performance evaluation process and results at the Ministry of Agriculture in the Dominican Republic.

In the model developed to analyze the Ministry of Agriculture's performance evaluation, the self-assessment with the CAF model shows low scores that can be interpreted as yet to develop the Deming cycle's implementation. The results score highlights the need to improve the Planning activities with indicators for checking and acting to complete the Deming Cycle. The self-assessment did not include the results of the indicators measured by the external monitoring systems, which means that the Ministry has not yet integrated these measurements as tools for continuous improvement. These values show correspondence with the evaluation in the first and last quarter of 2019 by MAP's members when performing EDI.

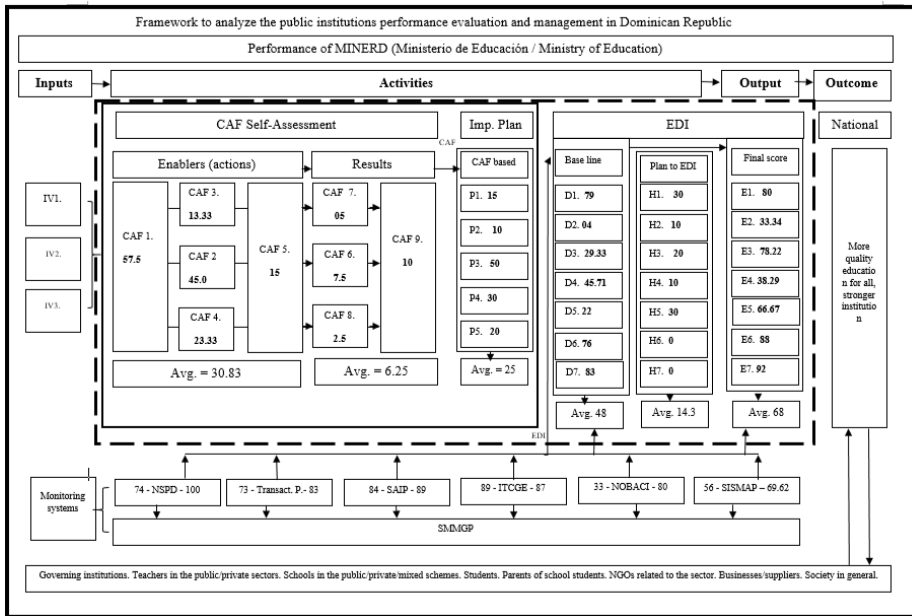


Figure 13. The logic model reviews the institutional performance evaluation process and results at MINERD in the Dominican Republic.

In the model developed to analyze the performance evaluation of MINERD, the self-assessment with the CAF model shows scores that can be interpreted as a detailed list of strengths and improvement areas in management, especially the absence of performance indicators the external measurements. The model shows how MINERD does not use the monitoring systems' data to update their self-assessment as management based on results was not an identified priority in the first quarter of 2019. The review of documentation MINERD had but needed to update caused some scores to drop in the last quarter of the year.

This can be confirmed with the metrics of the external monitoring systems, especially the score for NOBACI, showing the interest of MINERD of compliance to the norms as the first step for overall improvement. The score on SISMAP shows the improvement that can be attributed to the implementation of actions in the personnel management area and quality management.

## **Chapter 5. Conclusions and Recommendations**

### **5.1. Conclusions**

The alignment of the strategic goals with the plans, the selection of indicators to verify progress, and the definition of policies are the key factors shape the management based on results, as it is the purpose of the performance evaluation, and according to this research results based on the comparative case study with three ministries in the Dominican Republic.

This research aimed to evaluate the Institutional Performance Evaluation System (EDI) in the Dominican Republic as a tool for helping public institutions to work under the result-based management setting through the detailed look at the effect of three independent variables on the overall performance evaluation results of three ministries on a comparative case, selected for this study based on their last performance results: the highest scored, the Ministry of Economy, Planning, and Development; the greater improvement from the baseline to the final evaluation, the Ministry of Agriculture; and the lowest scored, the Ministry of Education.

When the priority of the government as the first independent variable was tested in the three cases, no conclusive evidence was found to accept the first hypothesis: “Institutional performance in the ministerial level in the Dominican Republic is affected by the priority of the sector or policies each ministry works with.”

Each studied ministry had different commitments with the national strategy for development. Although their difference in budget, personnel, and partnerships are considerable, no link between these resources showed an impact on the performance evaluation system.

Education is a priority for the Dominican Republic, the most significant share of financial and human resources was assigned to the Ministry of Education, but results showed underperformance. The Ministry of Education, a sectorial entity with the highest budget and the most extended list of personnel, was also the one with the lowest score on the evaluation with EDI.



The Ministry of Agriculture, also sectorial, showed the most remarkable improvement between the first and last quarter of performance evaluation in 2019.

The case of the Ministry of Economy, Planning, and Development showed the best results using the alignment-to-the-strategies-planning and integration of external control indicators as a successful path.

Regarding the second hypothesis, “Human resources management subsystems implementation is the main factor to drive institutional performance in the public sector in the Dominican Republic.”, to test the effect of the second independent variable on the overall performance of these ministries, the compliance of the regulations for personnel management in the public sector resulted in a factor with an indirect effect on success, but not the most crucial factor, as the hypothesis assumed from how EDI system assigned the heaviest weight to this criterion when considering the management areas to be assessed.

As the Ministry of Education, the Ministry of Agriculture was also low scored in the personnel management assessment according to the baseline score in the EDI system. However, while the Ministry of Education dedicated more of its efforts in the improvement plan to get better at the personnel management area, the Ministry of Agriculture focused on organizing the necessary documents: plans, manuals, and compliance with general regulations as the content verified by NOBACI.

In the actions for improvement based on the self-assessment results, the value of these actions could impact the next self-assessment with CAF than on the external evaluation performed with EDI. However, choosing to include actions related to the update of manuals, documentation of processes, and planning with indicators for the check stage of management can substantially improve the results of future evaluations, as it was shown in the case of the Ministry of Agriculture, the entity with more remarkable improvement.

When verifying the use of the components of the EDI system by each ministry to check whether or not they were sufficient for helping public institutions to adopt results-based management practices, the findings require the rejection of the third hypothesis: “The Institutional Performance Evaluation System (EDI) managed by the Ministry of Public Administration (MAP) is an

efficient tool for supporting results-based management in the public sector in the Dominican Republic.”

MEPYD, the ministry with the highest score, was the only among the three that connected other tools out of the EDI framework and integrated them on their management: the indicators monitored by other governing agencies through the available and mandatory monitoring systems in the Dominican Republic.

The Ministry of Agriculture, the one with the most significant improvement, similar to MEPYD’s strategy, focused on setting the manuals and plans with indicators, to integrate them into their management activities and the monitoring systems offer a wide set of indicators to integrate their management cycles.

Even though the EDI system is compatible with the availability to use the information of the monitoring systems, it is not described in terms of how these supporting tools can also be integrated into management, as MEPYD did, and other reviewed organizational performance evaluation systems cases suggest.

## **5.2. Recommendations**

The Institutional Performance Evaluation System (EDI) in the Dominican Republic, managed by the Ministry of Public Administration (MAP), is not mature yet.

When compared with other countries' experiences with different systems for evaluating performance in the public institutions, alternatives sensitive areas for improvement on EDI arise. The integration of strategic goals in the plans, with useful indicators for checking improvement, is an element that the external evaluation could make better in the Dominican Republic that currently assigns a heavier weight to personnel management practices than to any other management area or performance criterion.

Also, to strengthen the efficiency of EDI and the capacity of MAP to perform these evaluations to a more generous amount of institutions per year, the simplification of the process for the evaluation could help, especially after reviewing through the comparative cases what the key factors to drive performance improvement are in the ministerial level of the Government.

Instead of using different indicators for the self-evaluation and the external evaluation, as the unique case of EDI among the reviewed systems, an alternative could be to perform the external evaluation with the CAF model. The EDI criteria are meant to verify the institutions' compliance with national regulations, but the monitoring systems could help with that goal.

The CAF model could be fully implemented as it is meant to be by EIPA: the self-assessment, the self-scoring stage, a report to summarize the strengths and areas of weakness, and the improvement plan. MAP-DEGI could perform the external evaluation through the checklist included in the EDI system as a means to reinforce the compliance of the norms checked by the different monitoring systems as a result of including their indicators in the plans and management.

Re-shaping the training on how to perform the self-assessment with the CAF model and additional material to show how to integrate the performance indicators measured by the already existing different monitoring systems in the Dominican Republic could save time to all public administration while taking advantage of letting every control/governing institution to analyze the data about their specific competence.

An online course could be available for self-training: Deming cycle, results-based management, quality management tools, monitoring systems, implementation of the CAF model, the implementation of improvement plans, and the EDI system.

Additional training material could be loaded to the Ministry of Public Administration website for self-training or reference at any time. These supporting materials could include: a detailed guideline of how to integrate the indicators of the monitoring systems in the institutional plans and how to design relevant indicators for monitoring progress on their goals, as Check is one of the crucial stages to overcome for improving the performance of institutions in the Dominican Republic, as suggested by the evidence reviewed in Chapter 4.

The Ministry of Public Administration could sign agreements with the monitoring agencies to use the scores on the monitoring systems, assigned by their experts, in the institutional performance evaluation process. Therefore, the analysts at DEGI could focus on the review of the self-assessment materials sent

by the institutions, and to produce one single annual report about the overall performance highlights from institutions' general population to evaluate a year.

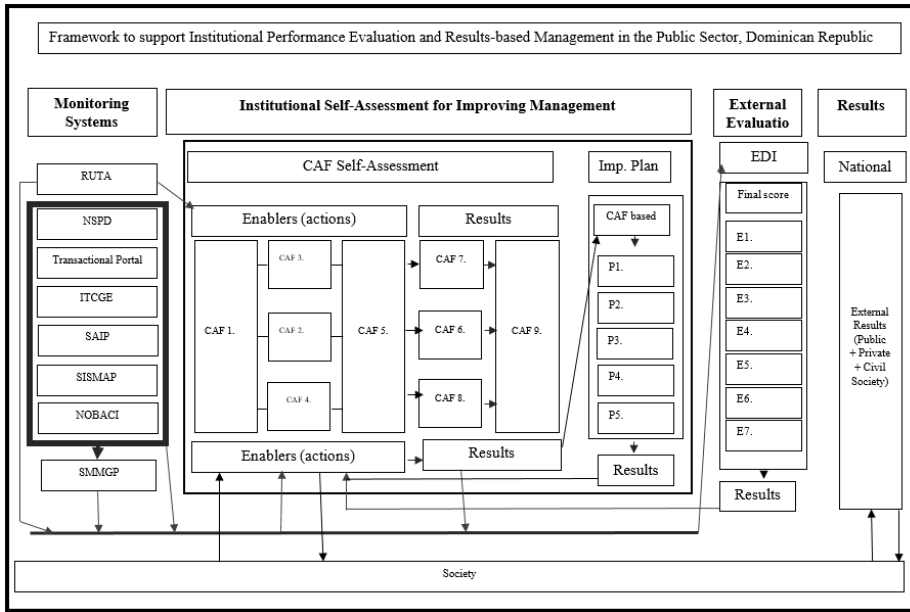


Figure 14. Model to represent the alternative framework for the institutional performance evaluation process and results-based management in the Dominican Republic.

Two evaluations in the same year, in the first and last quarter, for filling up the forms and reviewing evidence, scoring and then to compare ends up being a long process for the evaluation and not so long period for the improvement or letting the evaluated institution to perform actions for its improvement on a timely manner.

In Figure 17, a suggested alternative for the integration of the available tools for reinforcing the results-based management in public institutions is shown after the simplification of the performance evaluation process by removing one of two external evaluations with the checklist included in the EDI system. Also, based on the findings of this research, the addition of the planning governing entity's monitoring system in the framework for the performance management assessment is suggested.

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## 국문초록

# 도미니카 공화국 공공 기관의 성과 향상을 위한 핵심 요인 연구

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글로벌행정전공

이번 연구는 카리브해 국가의 장관급에서의 결과 기반 관리의 통합을 위하여 도미니카공화국 3 개 부처가 관리하는 정책의 우선순위 효과, 공공행정 규정 준수 여부, 국가 감시체계 및 성과평가 구조와의 업무 결과 등을 분석하는 사례 비교를 수행하였다.

경제기획개발부(MEPYD), 농림부(MA), 교육부(MINERD)의 사례를 논리모델로 분석하고 기관 성과 향상의 핵심요인을 파악하여 비교한 결과, 각각 행정자치부가 관리하는 기관성과평가제를 거친 기관 중 가장 높은 점수를 받은 부처, 더욱 향상된 부처, 2019 년 최저 점수를 받은 부처에 상응하였다.

도미니카 공화국이 기관성과평가제에서의 규제 준수에 무게를 두고 있음에도 불구하고 목표와 이해관계자의 이익의 올바른 통합으로서 조직적 효과를 견인하고 경영을 제때 통제할 수 있는 유용한 지표를 식별하는 것은 강력한 요인으로 작용하지 않는다.

**주제어:** 성과, 평가, 조직, 효과, 결과 기반 관리, 성과 관리

**학번:** 2019-25210



## Acknowledgments

This research report has been shaped thanks to the detailed insights of my evaluation panel: Prof. Min-Gyo Koo, Prof. Kilkon Ko, and my advisor Prof. Soo-Young Lee, who diligently guided this project with an outstanding combination of hard and soft skills I will not forget. My respect and admiration to you, Professors.

I would like to extend my gratitude to the Graduate School of Public Administration (GSPA) at Seoul National University (SNU) for the countless resources for consultation available for researchers in the social science field. Also, thanks to Yongmi Lee seonsaengnim and the staff managing the Global Public Administration program for their tireless support.

Without the support of the Ministry of Public Administration in the Dominican Republic, especially to the Directorate of the Evaluation of Institutional Management, for granting me the opportunity to come to the Republic of Korea to research more about institutional performance evaluation, and for endorsing this project with the required support. My deep appreciation and thanks to Maria Peguero and Jacqueline de la Mota for helping me with the data collection, despite a global pandemic, and for their exceptional support.

Thanks to the Republic of Korea, in especial to the Korean International Cooperation Agency (KOICA) for the scholarship that brought me to SNU, and to the Korean Institute of Public Administration (KIPA) for sharing previous research reports on the matters of performance evaluation systems in Asian countries.

Wholeheartedly, I want to thank my family and friends, especially Stephany Rosario Zarzuela, for the countless nights we managed to work together on our individual and shared projects, and to Richard Frank Leon Vargas, for his support and suggestions to this work.

To my fellow GMPA colleagues, who offered me comments and help, I want to thank you as well.