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**CHALLENGES AND TECHNICAL ASSISTANCE NEEDS OF THE STATES THAT TOOK  
PART IN THE VIII SUMMIT OF THE AMERICAS IN IMPLEMENTATION OF THE  
LIMA COMMITMENT**

## **Challenges and technical assistance needs of the states that took part in the VIII Summit of the Americas in implementation of the Lima Commitment**

### **I. Background**

The present report gives an overview of the challenges and technical assistance needs that the States participating in the VIII Summit of the Americas faced as they implemented the Lima Commitment: Democratic Governance against Corruption” and that they described when they reported on their progress. The report is based on responses from the fifteen<sup>1</sup> states that reported their progress, as of the date of the present report.<sup>2</sup> This document has been prepared by the Summits of the Americas Secretariat in compliance with the provisions of the Mechanism for Follow-up and Implementation of the Lima Commitment.<sup>3</sup>

Starting on January 1, 2019, participating States reported the progress they had made in implementing the mandates of the Lima Commitment using the online platform of the Mechanism for Follow-up and Implementation of the Lima Commitment. The Mechanism, proposed by the Peruvian chair of the Summits process, was adopted at the sixth regular meeting of the SIRG held on November 28, 2018 in Lima, Peru.

In addition to reporting progress made by the States, the virtual platform provides for reports by the international and regional organizations that are members of the Joint Summit Working Group (JSWG). The information gathered from States and JSWG organizations was reported as follow-up or process indicators adopted by the States as part of the Mechanism. The information provided by member states on each mandate includes the level or degree of implementation of the mandate, the measures taken to ensure full compliance, the challenges posed or the technical assistance required for implementation, and good practices in the area of prevention and the fight against corruption. The organizations of the JSWG also reported their progress, and included information on the technical assistance (regional capacities) they could offer to the participating countries. The present report was prepared on the basis of the information supplied, along with a virtual platform on a database of good practices and regional capacities in the area of prevention of and the fight against corruption virtual.

### **II. Purpose of the report**

The purpose of this report is to provide an overview of the principal challenges that States face in implementing the Lima Commitment, including concrete measures to prevent and to fight corruption. The report is also designed to contribute to the process of deliberation that States may undertake on this question, and to inform the organizations of the JSWG of the countries’ need for technical assistance in implementing the mandates of the Lima Commitment.

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<sup>1</sup> At the closing date of the report (Monday, June 17, 2019), 15 participating States made their registration. Additional records after that date may be collected in a revised version of this document.

<sup>2</sup> States participating in the VIII Summit that reported their progress on the online platform of the Mechanism for Follow-up and Implementation of the Lima Commitment: Brazil, Canada, Chile, Colombia, Costa Rica, Dominican Republic, Ecuador, Guatemala, Honduras, Jamaica, Mexico, Panama, Peru, Trinidad and Tobago, and Uruguay.

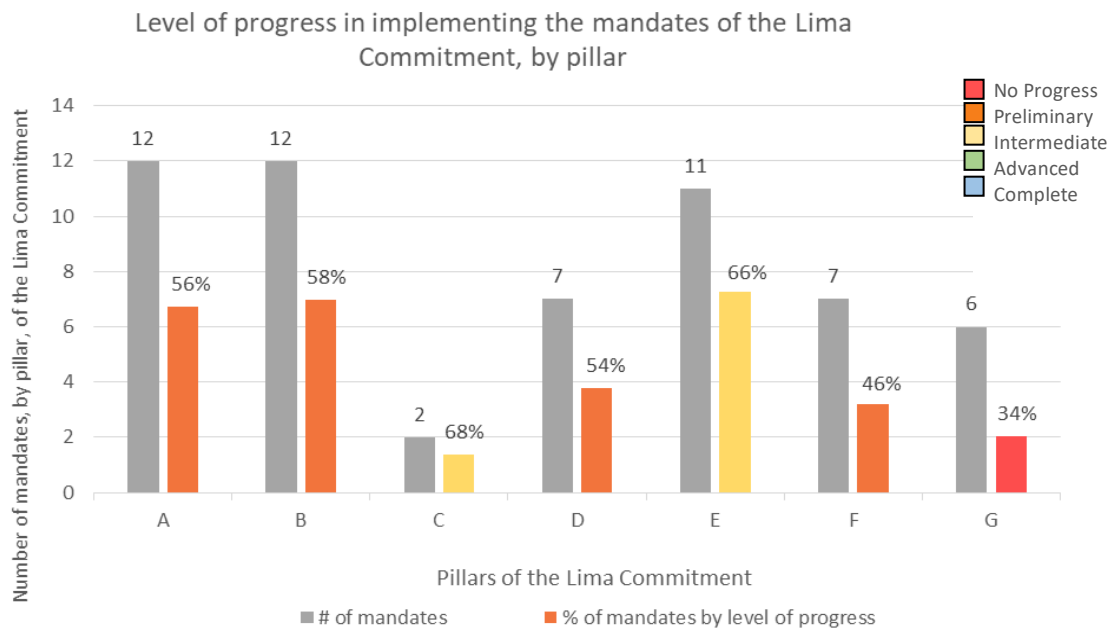
<sup>3</sup> Mechanism for Follow-up and Implementation of the Lima Commitment: Democratic Governance against Corruption, document GRIC/O.6/doc.26/18 rev.1

[http://www.summit-americas.org/SIRG/2018/112818/Mecanismo\\_EN.doc](http://www.summit-americas.org/SIRG/2018/112818/Mecanismo_EN.doc)

The report is divided into two parts: The first describes the level or degree of implementation region-wide of the mandates of the Lima Commitment. The second part draws on the States' progress reports to identify their challenges or technical assistance needs in complying with the Lima Commitment.

### III. Level of implementation, by pillars of the Lima Commitment<sup>4</sup>

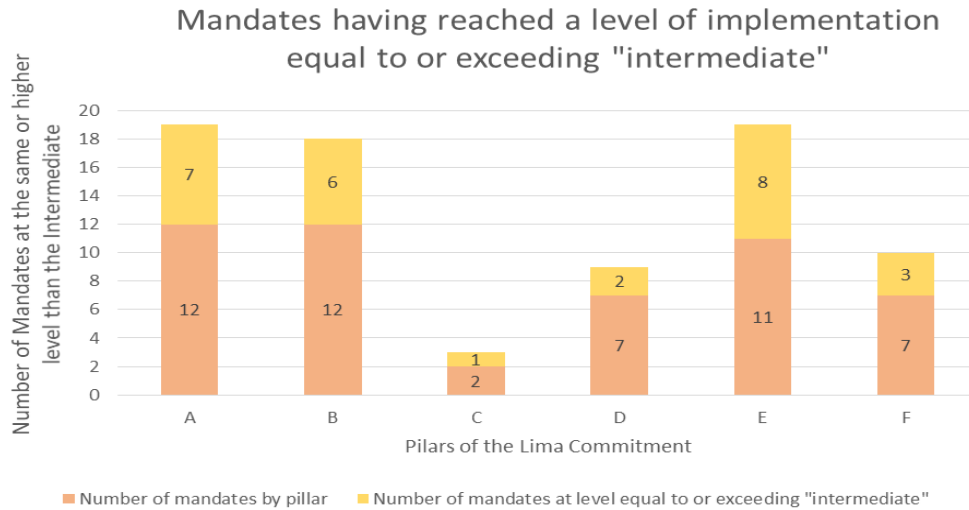
Based on the information provided by the 15 States that reported their progress on the Mechanism's platform, it is estimated that on average, the level of implementation of the commitments or mandates by pillar is "preliminary."<sup>5</sup> As shown in the chart below, approximately 56% of the mandates under pillar A; 58% of the mandates under pillar B; 54% of the mandates under pillar D, and 46% of the mandates under pillar F are, on average, at a "preliminary" level of implementation. Approximately 68% of the mandates in pillar C, and 66% of the mandates in pillar E are at an "intermediate" level.<sup>1</sup> Pillar G refers to monitoring and reporting on compliance with the Lima Commitment.



<sup>4</sup> Pillars of the Lima Commitment: pillar A. Reinforcement of democratic governance; pillar B. Transparency, access to information, protection of whistleblowers, and human rights, including freedom of expression; Pillar C. Financing of political organizations and election campaign; pillar D. Prevention of corruption in public works and public procurement and contracting; pillar E. International legal cooperation; the fight against bribery, international corruption, organized crime and money laundering; and asset recovery; pillar F. Strengthening of inter-American anti-corruption mechanisms, and pillar G. Follow-up and reports.

<sup>5</sup> Question No. 1 on the platform: What progress has your country made in implementing this commitment? Possible answers were: **No progress made, Preliminary, Intermediate, Advanced, and Completed.**

As shown below, the States reported greater progress in pillar E, with 8 mandates at a level of implementation equal to or higher than “intermediate”, followed by pillar A with 7 mandates, pillar B with 6 mandates, pillar F with 3 mandates and pillar D with 2 mandates at a level of implementation equal to or exceeding “intermediate.”<sup>6</sup>



The States reported greater progress on the following topics, by pillar:

**A. Reinforcement of democratic governance**

*Mandate 2.* Judicial autonomy and independence

*Mandate 10.* Preventing conflicts of interest

*Mandate 11.* Furthering codes of conduct for public officials

**B. Transparency, access to information, protection of whistleblowers, and human rights, including freedom of expression**

*Mandate 14.* Open government, digital government and open data

*Mandate 15.* Consolidating the autonomy and independence of high-level oversight bodies

**C. Financing of political organizations and election campaigns**

*Mandate 26.* Punishment of public officials involved in acts of corruption

**D. Prevention of corruption in public works and public procurement and contracting**

*Mandate 27.* Transparency in public works and procurement

*Mandate 33.* Simplifying administrative processes

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<sup>6</sup> The analysis of the number of mandates at a level of implementation equal to or higher than the “intermediate” level is the intersection between the average level of implementation per mandate and the mode of the “intermediate” level responses vis-à-vis each mandate.

**E. International legal cooperation; the fight against bribery, international corruption, organized crime and money laundering; and asset recovery**

*Mandate 34.* Anti-corruption measures

*Mandate 35.* Responsibility of the judiciary

*Mandate 38.* Cooperation among financial institutions

**F. Strengthening of inter-American anti-corruption mechanisms**

*Mandate 48.* Strengthening of MESICIC

The States reported “preliminary” progress on the following topics:

**A. Reinforcement of democratic governance**

*Mandate 8.* Including different vulnerable groups

*Mandate 12.* Involvement of the private sector

**B. Transparency, access to information, protection of whistleblowers, and human rights, including freedom of expression**

*Mandate 18.* Developing statistics and indicators for assessing the impact of transparency and anti-corruption policies

*Mandate 19.* Accountability mechanisms

**C. Financing of political organizations and election campaigns**

*Mandate 25.* Transparency in accounting and financing of political parties

**D. Prevention of corruption in public works and public procurement and contracting**

*Mandate 28.* Transparency in public works and procurement

*Mandate 32.* Fostering coordinated, transparent practices in the issuance of government permits

**E. International legal cooperation; the fight against bribery, international corruption, organized crime, and money laundering; and asset recovery**

*Mandate 39.* Promote cooperation between and among financial institutions and financial oversight bodies

*Mandate 44.* Promote transparency in the exchange of tax information, with the support of the JSWG

**F. Strengthening of inter-American anti-corruption mechanisms**

*Mandate 47.* Call upon MESICIC to coordinate with other international and regional anti-corruption bodies

*Mandate 49.* Call upon MESICIC to develop an initiative for observing and measuring anti-corruption policies

**G. Follow-up and reports**

*Mandate 55.* Promote the advancement of gender equity and equality and the empowerment of women in the hemisphere

*Mandate 56.* Recognize the importance of the Summits Secretariat in the Summits process, including follow-up on implementation of the mandates and initiatives stemming from the

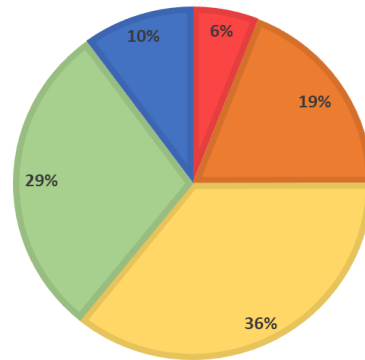
VIII Summit and prior Summits, as well as the coordinating body of the Joint Summit Working Group.

According to the information provided by the fifteen States on the **technical assistance needs or challenges they identified** in order to fulfill the mandates of the Lima Commitment, the technical needs or challenges had to do basically with mandates where there was an **"intermediate"** level of implementation, as discussed below:

Of the 3 mandates on which "no progress" was made, 6% need assistance or have faced challenges. Of the 10 mandates at a "preliminary" level of implementation, 19% need assistance or have faced challenges. Of the 18 mandates at the "intermediate" level, 36% need assistance or have faced challenges. Of the 15 mandates at the "advanced" level, 29% need technical assistance or have faced challenges, and of the 5 mandates reported as "completed", 10% need assistance or have faced challenges.

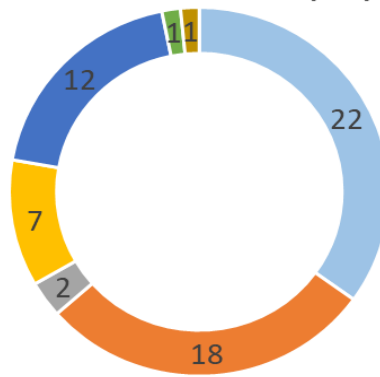
**RELATIONSHIP BETWEEN LEVEL OF IMPLEMENTATION BY THE STATES AND THEIR TECHNICAL NEEDS/CHALLENGES**

■ No Progress ■ Preliminary ■ Intermediate ■ Advanced ■ Complete



As to the number of technical assistance needs or challenges by pillar, as shown below, 22 needs were identified in pillar A; 18 in pillar B; 2 in pillar C; 7 in pillar D; 12 in pillar, and in pillars F and G, only one need for technical assistance or challenges.

**Number of technical needs per pillar**



■ A ■ B ■ C ■ D ■ E ■ F ■ G  
Pillars of the Lima Commitment

\*The colors are independent of the levels of progress made on the mandates

#### IV. Challenges/technical assistance needs identified by the States

The Lima Commitment: Democratic Governance against Corruption consists of 57 mandates or concrete action-oriented measures. Shown below, broken down by the seven pillars of the Commitment, are the challenges or needs for technical assistance reported by the States in order to comply with the mandates.<sup>7</sup>

The challenges or technical assistance needs have been classified according to the following criteria: institution-building; training and awareness; and technology and process optimization.

Mandate	Technical assistance needs or challenges by pillar	Criterion
<b>A. Reinforcement of Democratic Governance</b>		
1	Investigation of national and transnational crimes of corruption	Institution-building
	Financial crime; detection, control and stopping corruption; contract administration and best practices in public contracting; preparation and formulation of strategies and evaluation of anti-corruption policies; risk management and compliance; international cooperation, and upgrading of equipment	Institution-building
2	Capacity-building of justice workers and administrators in curriculum design, internal control methods, and investigation methodologies	Institution-building
4	Training and awareness for the promotion of civic education in the curriculum	Training and awareness
	Development of educational programs and tools for early childhood	Training and awareness
	Strengthening of the teaching profession by awareness and training, and the development of educational tools and resources	Training and awareness
	Development of specialized training programs on issues of transparency, government ethics, and prevention of corruption geared to public officials and the general public	Training and awareness
5	Enhancement of the legal framework for the protection of witnesses and whistleblowers	Institution-building
	Training for public officials with special capacities	Training and awareness
7	Political participation and empowerment of women	Institution-building
	Training in values such as merit, probity and integrity to be incorporated into public policies on the rights of women	Training and awareness
8	Inclusion of different vulnerable groups in defining measures to strengthen governance and combat corruption	Institution-building
9	Organizational structure of the civil service: selection methods	Institution-building
	Language training for citizens and public officials with special capacities	Training and awareness
10	Prevention and resolution of conflicts of interest; expansion to the subnational level of the presentation of sworn declarations of interests	Institution-building
	Effective implementation of regulations on prevention of conflicts of interest	Institution-building
	Information technology support in order to expand to the subnational level the presentation of sworn declarations of interests, and capacity-building on the issue	Technology and process optimization

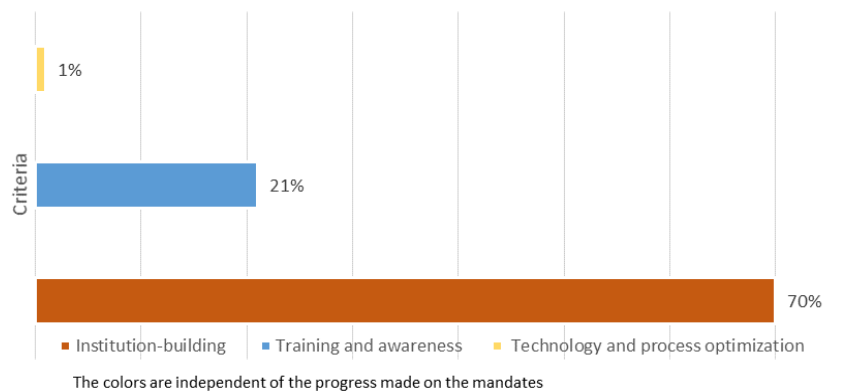
<sup>7</sup> As of the date of the present report, of the 33 States participating, 45.5% (15) reported via the online platform. Of these 15 States, only 10 (30.30%) provided information on technical assistance needs or challenges (question 4 on the platform).

11	Integrity in the civil service	Institution-building
	Advisory services on a framework of public integrity for ethics in the civil service	Institution-building
	Promotion of integrity and codes of conduct in the private sector	Training and awareness
	Development of technical training programs in public/government ethics, using a customary law approach	Training and awareness
12	Criminal liability/responsibility of legal persons; address best practices, sensitize the political system, and draft and promote legislation	Institution-building
	Design curricula on topics related to the prevention and combatting of corruption	Training and awareness
<b>B. Transparency, access to information, protection of whistleblowers, and human rights, including freedom of expression</b>		
13	Prevention mechanisms, channels for reporting corruption or other mechanisms of social control	Institution-building
	Empowering citizens to monitor government performance	Institution-building
14	Development a culture of open government and e-government in disadvantaged cities and towns	Institution-building
16	Definition and implementation of normative and regulatory instruments for the work of the national statistics system	Institution-building
	Establishment of mechanisms to strengthen agencies dealing with transparency and access to public information	Institution-building
17	Change management and a digital culture in public administration, digital literacy, documents management in public administration, co-creation spaces for the development of digital services and data re-use	Training and awareness
18	Development of statistics and indicators to assess the impact of transparency and anti-corruption policies	Institution-building
	Capacity to compile pertinent statistics on corruption issues	Institution-building
21	Legal assistance: mechanisms for the recovery of civil damages	Institution-building
22	Management of accusations of corruption	Institution-building
22	Protection of whistleblowers, witnesses and informants of acts of corruption	Institution-building
23	Methodology for identifying risks faced by journalists	Institution-building
24	Protection for public officials: strengthening inter-agency processes	Institution-building
<b>C. Financing of political organizations and election campaigns</b>		
25	Human resources for management of the national system of candidates, and comprehensive oversight systems	Institution-building
	Financing of political organizations and election campaigns	Institution-building
<b>D. Prevention of corruption in public works and public procurement and contracting</b>		
27	Technology in public contracting. Reengineering of contracting systems	Technology and process optimization
	Optimizing public contracting processes by means of exchanges of experiences and new innovative trends	Technology and process optimization
28	Strengthening the inter-agency transparency and anti-corruption body to bring it into line with national policy on transparency	Institution-building
29	Strengthening systems of government contracting	Institution-building
31	Disaster risk management focusing on indigenous peoples and ethnic groups	Institution-building
	Implementation of information platforms for citizen oversight	Technology and process optimization



33	Simplification of administrative processes	Institution-building
<b>E. International legal cooperation; the fight against bribery, international corruption, organized crime, and money laundering; and asset recovery</b>		
34	Transnational corruption. Strengthening of institutional and human capacities	Institution-building
	Transnational corruption. Legal assistance and access to best practices in punishing corruption	Institution-building
35	Strengthening of frameworks for corporate responsibility	Institution-building
38	Asset recovery	Institution-building
	Information technologies for the investigation and prosecution of acts of corruption	Technology and process optimization
39,42	Rapid exchange of information on the fight against money laundering and the laundering of other assets, and corruption	Institution-building
42	Training in asset recovery	Training and awareness
43	Models for detecting risk of tax evasion	Institution-building
	Creation of a public registry of beneficial owners	Institution-building
	Training, equipment, software and hardware for financial analysis of cases by the appropriate authority to produce evidence in criminal trials	Technology and process optimization
<b>F. Strengthening of inter-American anti-corruption mechanisms</b>		
48	Development and launch of a coordination mechanism for prevention and development of a system of integrity	Institution-building
	Development of guidelines for implementing integrity in government entities	Institution-building
	Drafting of legislation to create a functional system of integrity and the fight against corruption	Institution-building
<b>G. Follow-up and reports</b>		
55	Training on gender and women's rights, including mainstreaming these perspectives into anti-corruption policies, plans and strategies	Training and awareness

### Technical assistance needs, by criteria



The countries reported 61 technical assistance needs or challenges as they implemented the mandates of the Lima Commitment. These needs are divided into three types: (i) institution-building; (ii) training and awareness, and (iii) technology and process optimization. The analysis showed that the majority of the technical assistance needs identified were in the criterion of institution-building, followed by training and awareness, and then technology and process optimization.

## V. Preliminary conclusions

Of the 15 States that have reported thus far on their progress in implementing the mandates of the Lima Commitment, the following preliminary conclusions may be drawn:

1. It is estimated that the average level of progress in implementing four of the pillars of the Lima Commitment (A, B, D, and F) is “preliminary”, and that two are at the “intermediate” level (C, and E), and one is at the “advanced” level (G).
2. With regard to the technical assistance or challenges identified by the States, the level of progress on mandates that require technical assistance is at the “intermediate” level, followed by an “advanced” level of implementation.
3. Greater progress is reported in pillar E, with 8 mandates at a level of implementation equal to or exceeding “intermediate”, followed by pillar A with 7 mandates, pillar B with 6 mandates, pillar F with 3 mandates, pillar D with 2 mandates, and pillar C with 1 mandate, and pillar G with 0 mandates at a level of implementation equal to or exceeding the “intermediate” level.
4. The majority of the technical assistance needs identified by the States are related to the first pillar of the Lima Commitment (A. Reinforcement of democratic governance), followed by the second pillar (B. Transparency, access to information, protection of whistleblowers and human rights, including freedom of expression). Next are technical assistance needs on subjects covered by the fifth pillar (E. International legal cooperation; the fight against bribery, international corruption, organized crime, and money laundering; and asset recovery) and by the fourth pillar (D. Prevention of corruption in public works and public procurement and contracting). The needs stated under pillars F and G were minimal; a large number of mandates under these pillars also fell under other areas.
5. Most of the technical assistance needs or challenges identified are related to institution-building. This is true for each of the pillars of the Lima Commitment, with the exception of the last pillar (G. Follow-up and reports). Next are needs or challenges related to training and awareness, and then technology and process optimization.
6. The technical assistance needs identified by the States under each of the seven pillars of the Lima Commitment are in the following areas:
  - *Reinforcement of democratic governance*: Prevention and resolution of conflicts of interest; promotion of standards of behavior and government ethics, and training for public officials; public integrity for the civil service; civic education in the school curriculum, and enhancing teacher performance.
  - *Transparency, access to information, protection of whistleblowers and human rights, including freedom of expression*: Citizen participation; protection of whistleblowers, witnesses and informants, journalists and public officials; development of statistics and indicators; electronic systems, open government.
  - *Financing of political organizations and election campaigns*: Declaration of income, assets and liabilities.
  - *Prevention of corruption in public works and public procurement and contracting*: Hiring of public officials, and government purchasing of goods and services.
  - *International legal cooperation; the fight against bribery, international corruption, organized crime, and money laundering; and asset recovery*: Transnational corruption; tax evasion, money

laundering and beneficial owners; asset recovery; strengthening of frameworks on the liability of legal persons.

- *Strengthening of inter-American anti-corruption mechanisms:* Integrity in government agencies.
- *Follow-up and reports:* Gender training, including training in gender mainstreaming.

This report may be updated as additional information is provided by more States. It is hoped that it will contribute to an exchange of information and deliberations among States about fulfilling the mandates from the VIII Summit of the Americas, and will also contribute to encouraging cooperation among States, as well as technical and/or financial assistance from the institutions that are members of the Joint Summit Working Group.

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<sup>i</sup> The level of progress in implementing the mandates of the Lima Commitment by pillar was analyzed by determining the average level of progress made on each mandate. The level of progress made in implementation was reported on the Virtual Platform of the Mechanism for Follow-up and Implementation of the Lima Commitment, under question No.1, where the level of implementation of each mandate could be stated as: "No progress made", "Preliminary", "Intermediate", "Advanced" and "Completed". For purposes of this report, a value of 1-5 was assigned to each level, as follows: **1-1.9**/No progress made, **2-2.9**/Preliminary, **3-3.9**/Intermediate, **4-4.9**/Advanced, and **5**/Completed. A varying number of responses were received from the States on each mandate. The average of each level of progress on those mandates was calculated on the basis of the responses. This was done for all of the 57 mandates of the Lima Commitment. *Example.* Mandate 1 received 10 responses; of these, one country reported no progress made on that mandate, two countries reported an intermediate level, five countries reported an advanced level, and two countries reported completion in implementing that mandate. Based on the average of the 10 responses received concerning mandate 1, the level of implementation achieved (3.8) puts it an intermediate level. The average level of implementation was similarly calculated for each pillar. Having determined the average level of progress in implementing each mandate, all the averages were added up and divided by the number of mandates in that pillar. The level of implementation with regard to the technical assistance needs or challenges was calculated by taking the total number of needs at each level of implementation divided by the total number of mandates of the Lima Commitment (57).