PROGRESS, GOOD PRACTICES, CHALLENGES, AND TECHNICAL ASSISTANCE NEEDS
OF THE STATES PARTICIPATING IN THE VIII SUMMIT OF THE AMERICAS

JULY 2019 – OCTOBER 2022

INDEX

I.   Background

This document presents an up-to-date overview of the areas of progress, good practices, and technical assistance needs of the states that participated in the Eighth Summit of the Americas, reported by the states themselves pursuant to the "Lima Commitment: Democratic Governance against Corruption." It is based on the responses of the 18 states that recorded information from July 2019 to October 2022 on the online platform of the Mechanism for Follow-up and Implementation of the Lima Commitment.[1] In addition, this report has been pulled together on the basis of the first report on the matter, submitted in mid-2019. It has been prepared by the Summits of the Americas Secretariat of the Organization of American States (OAS) as provided for in that Mechanism and in mandates of the Summits Process and OAS resolutions.

Registering the progress made by the states who participated in the Eighth Summit provides a primary source of information for this report. The countries indicate the level of implementation of the mandates of the Lima Commitment using the online platform of the Mechanism for Follow-up and Implementation of the Lima Commitment.[2] On this platform the states record, for each mandate of the Lima Commitment, the level of implementation, the measures adopted to ensure full compliance, the challenges or technical assistance required for their implementation, and good practices for preventing and fighting corruption.

The Mechanism for Follow-up and Implementation of the Lima Commitment, proposed by the then-Presidency of the Summits process, the Government of Peru, and adopted at the Sixth Regular Meeting of the SIRG in November 2018, was published as document GRIC/O.6/doc.26/18 rev. 1 corr. 1[3] and became operative on January 1, 2019. The Mechanism consists of three phases: the first phase is for the states and entities of the Joint Summits Working Group (JSWG) to record progress on the Platform.[4] The second phase consists of generating a database of good practices and regional capacities in the area of preventing and combating corruption. It also includes the preparation of a report by the Summits Secretariat on the challenges identified by the states in implementing the Lima Commitment based on what was reported by the states in the first phase. The third phase of the Mechanism consists of promoting cooperation initiatives among the countries, and between them and the entities of the JSWG.

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1. The 18 states that participated in the Eighth Summit which as of the cutoff date of this report have recorded progress on the online platform of the Mechanism for Follow-up and Implementation of the Lima Commitment are: Argentina, Brazil, Canada, Chile, Colombia, Costa Rica, Dominican Republic, Ecuador, Guatemala, Honduras, Jamaica, Mexico, Panama, Paraguay, Peru, Trinidad and Tobago, the United States, and Uruguay. Of these states, nine have responded or updated their responses after the first half of 2019: Brazil, Colombia, Dominican Republic, Ecuador, Mexico, Panama, Peru, the United States, and Uruguay.
2. Link to access the Platform of the Mechanism for Follow-up and Implementation of the Lima Commitment: https://compromisodelima.rree.gob.pe/compromiso/Consulta/Verificar.
3. Access to the document of the Mechanism for Follow-up and Implementation of the Lima Commitment: http://www.summit-americas.org/SIRG/2018/112818/Mecanismo_EN.doc.
4. The JSWG is a group made up of 13 international institutions whose objective is to provide technical and/or financial assistance to the states in preparing and implementing the Summit mandates.

Regarding the second phase, the Summits Secretariat has consolidated the Database of Good Practices[5/] and has drawn up the report "Challenges and technical assistance needs of the states that took part in the VIII Summit of the Americas in implementation of the Lima Commitment," which presents what was recorded on the Mechanism's virtual platform by the states from January to June 2019, and was published as document GRIC/M.1/doc.43/19.[6/]

That Report on Challenges was input for the discussions of the foreign ministers at the First Ministerial-level Meeting of the SIRG in 2019. At that meeting the then-Minister of Foreign Affairs of Peru and Chair of the Ministerial SIRG, Ambassador Néstor Popolizio Bardales, addressed the regional situation, arguing that it reflected *"an 'intermediate' level in implementation of the mandates on antibribery measures, responsibility of the judicial branch, and cooperation among financial institutions"* and *"similar progress in measures related to sanctions of public officials for acts of corruption."* He also noted that there had already been "'preliminary' progress with respect to involving the private sector in fighting corruption, furthering transparency and accountability mechanisms, as well as procurement and public works."[7/] The documents of the First Ministerial SIRG, including its Final Report, are available on the website of the Summits Secretariat.[8/]

Similarly, the document on challenges contributed to the design of the JSWG's 2019-2021 Action Plan.[9/] The JSWG Action Plan was drawn up by the Summits Secretariat in coordination with the entities of the Group with a view to contributing to the implementation of the third stage of the Mechanism for Follow-up and Implementation of the Lima Commitment, which includes cooperation initiatives. That plan was based on the needs and challenges identified by the states in the Mechanism that were included in the report on challenges and matched with the of assistance from the organizations that make up the JSWG.

Finally, the preparation of a report that updates the results of the one submitted in June 2019 is of vital importance in the current context. While the Mechanism provided for its conclusion in 2021 with the holding of the following Summit, the COVID-19 pandemic and the consequent postponement of the Ninth Summit extended the original time frames. In addition, given the new progress in implementing the Lima Commitment that the states have registered after the publication of the report in 2019, it is necessary to collect and systematize the new information. This is particularly true in a context marked by the COVID-19 pandemic, in which the mandates of the Lima Commitment became even more relevant. The health, economic, and social emergency that stemmed from the pandemic has entailed new risks to public integrity and democratic governance, with the granting of exceptional powers to different branches of government, emergency government procurement, and difficulties when it comes to accountability.

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5. To access the Database of Good Practices and Regional Capacities, see the following: http://www.summit-americas.org/brief/news02282020_en.html.
6. Access to the report "Challenges and technical assistance needs of the states that took part in the VIII Summit of the Americas in implementation of the Lima Commitment": http://www.summit-americas.org/SIRG/2019/27062019/Informe%20de%20Retos_ES.doc
7. Link for downloading the words of Ambassador Néstor Popolizio: http://www.summit-americas.org/SIRG/2019/27062019/Peru%20SPN.DOC
8. Access to the documents related to the First Ministerial-Level Meeting of the SIRG for 2019: http://www.summit-americas.org/sirg_meet_2019_es.html
9. Access to the 2019-2021 Action Plan of the Joint Summits Working Group (JSWG): http://www.summit-americas.org/JSWG Action Plan (2019-2021) SPA.pdf

In addition, the Ninth Summit of the Americas reaffirmed the relevance of the Lima Commitment and mandated: "12. Continue meeting the commitments undertaken at the Eighth Summit of the Americas, in particular the Lima Commitment on Democratic Governance Against Corruption…" and "12.m. Actively participate in the Mechanism for Follow-up and Implementation of the Lima Commitment, contributing relevant information on the progress towards delivering on the commitments outlined therein, and using the Database of Best Practices and Regional Capacities in Preventing and Combating Corruption."[10]

II.   Purpose, structure of the report, and analytical methodology

This report, based on the information recorded by the 18 states that have reported on their progress on the virtual platform of the Mechanism of the Lima Commitment, analyzes the evolution of the level of implementation of the Lima Commitment with respect to the report from mid-2019, at the same time as it presents and highlights the general state of efforts and policies to prevent and fight corruption geared to implementing the mandates of the Lima Commitment. In addition, it seeks to continue taking note of those challenges and technical assistance needs expressed by the countries to help further the effective implementation of the mandates.

This document is structured in three parts:
- first, there is a presentation of the current levels of implementation of the Lima Commitment by mandate and by pillar;
- second, the challenges and technical assistance needs identified by the states are addressed and classified based on their nature; and
- third, good practices are highlighted as well as the opportunity they offer to make progress in implementing the Lima Commitment.

Regarding the methodology employed to assess the extent of mandate implementation, the evaluation relies on the information provided by the states. This information is based on their progress levels in implementing the mandates, as indicated in Response No. 1 of the Lima Commitment Mechanism Platform.: What is your country's level of progress in implementing this commitment? The possible levels of progress are: No progress, Preliminary, Intermediate, Advanced, and Completed.

In order to estimate and quantify the level of implementation reported for each mandate, values are assigned from 1 to 4 to the levels of progress as follows: 1 for Preliminary progress; 2 for Intermediate progress; 3 for Advanced progress; and 4 for Completed. Each mandate received a variable number of responses from the states. Based on the number of states that respond, one can determine the maximum possible number for implementation, which is calculated by adding up the values of all the responses if all of them were to report "Completed." This maximum value is compared to the number that reflects the actual progress reported, resulting in a percentage with respect to the maximum possible implementation.

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10. Mandates Adopted at the IX Summit of the Americas. Inter-American Action Plan on Democratic Governance, mandate 12 and mandate 12.m. Available at: http://www.summit-americas.org/Publications/IX_Summit/Mandatos%20adoptados%20IX%20Cumbre%20ENG%20DIGITAL.pdf

To access the complete analytical methodology for registering levels of progress, assistance needs, and the practices identified, the Annex 1 of the methodological section can be consulted.

III. Level of implementation of the Lima Commitment reported

a. Information recorded by the states

Eighteen (18) states that participated in the Eighth Summit of the Americas recorded information on at least one of the 57 mandates of the Lima Commitment, for a total of 572 reports, 330 of which were submitted prior to the production of the Report on Challenges in 2019; and 242 since then. On average, 10 country reports were submitted per mandate.

As regards the total levels of implementation, the most common level reported is "Advanced," with 150 reports so characterized. This is followed by "Completed," with 101, and "Preliminary" and "Intermediate," with 76 and 75 reports, respectively. In addition, in 170 of the 572 reports the states do not assign a specific level of implementation. Next are the corresponding percentages.

Levels of implementation reported in percentages

- N/A — 30%
- Preliminary — 13%
- Intermediate — 13%
- Advanced — 26%
- Completed — 18%
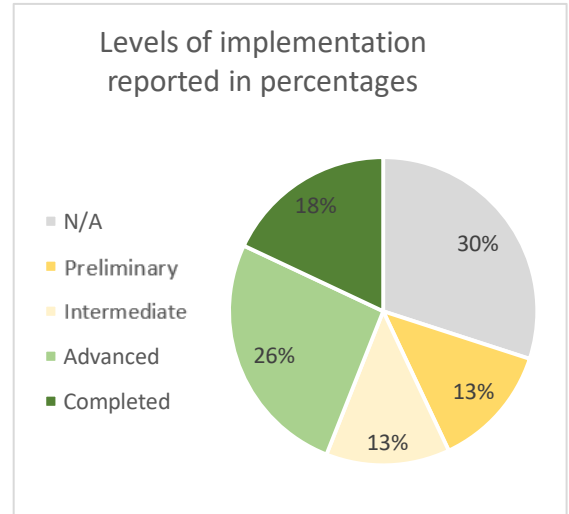
b. Level of implementation by pillars of the Lima Commitment

The 57 mandates of the Lima Commitment are divided into seven pillars:

A. Strengthening Democratic Governance;
B. Transparency, Access to Information, Whistleblower Protection, and Human Rights, including Freedom of Expression;
C. Financing of Political Organizations and Election Campaigns;
D. Prevention of Corruption in Public Works, Government Contracts and Procurement;
E. International Legal Cooperation; Fighting Bribery, International Corruption, Organized Crime and Money Laundering; and Asset Recovery;
F. Strengthening the Inter-American Anticorruption Mechanisms; and
G. Follow-up and Reports.

The general percentage of implementation reported for all mandates of the seven pillars of the Lima Commitment is 67 percent. Pillar G has the most advanced level of implementation, with 79 percent, followed by pillars F, C, E, D, and A. Pillar B is at a more preliminary level, with 64 percent progress.

The level of progress most frequently reported for the entire Lima Commitment is "advanced." In addition, on ordering the 402 reports on levels of progress, the mean of the variables is also "advanced." For pillars C, F, and G, the most frequent level of implementation is "completed"; for A,

B, D, and E it is "advanced." Finally, for all the pillars the median recorded is equivalent to an "advanced" level of implementation.

For pillar A, Strengthening Democratic Governance, the level of implementation recorded ranges from 39 percent to 80 percent, depending on each mandate, with an overall 65 percent. The level of implementation most reported for the whole pillar is "advanced"; it is also the median.

Pillar A: Percentages of progress and number of responses recorded
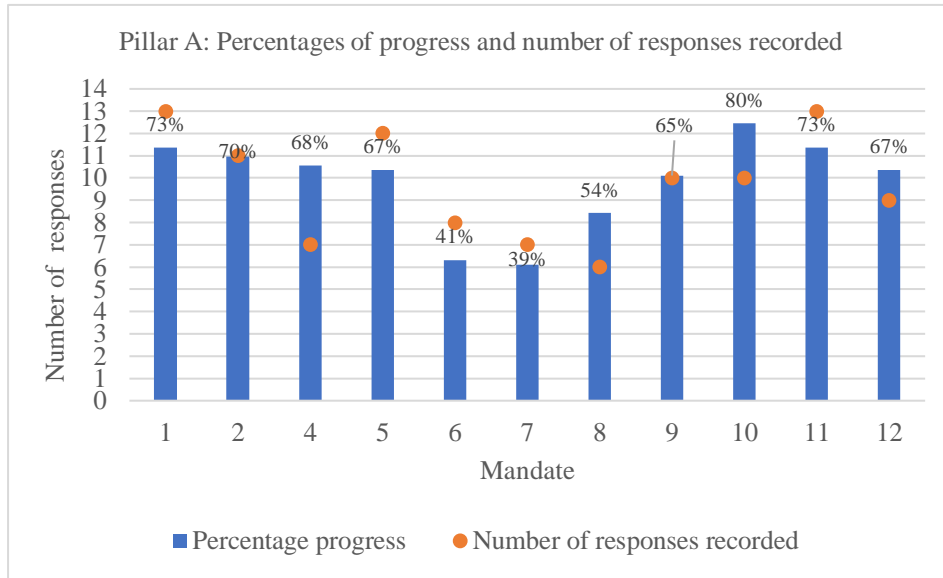
Pillar B, on transparency, whistleblower protection, and human rights shows an overall level of progress just below that of pillar A, with 64 percent, and greater homogeneity in implementation, with levels that range from 47 percent to 73 percent. In addition, both the median and the mode are "advanced."

Pillar B: Percentages of progress and number of responses recorded
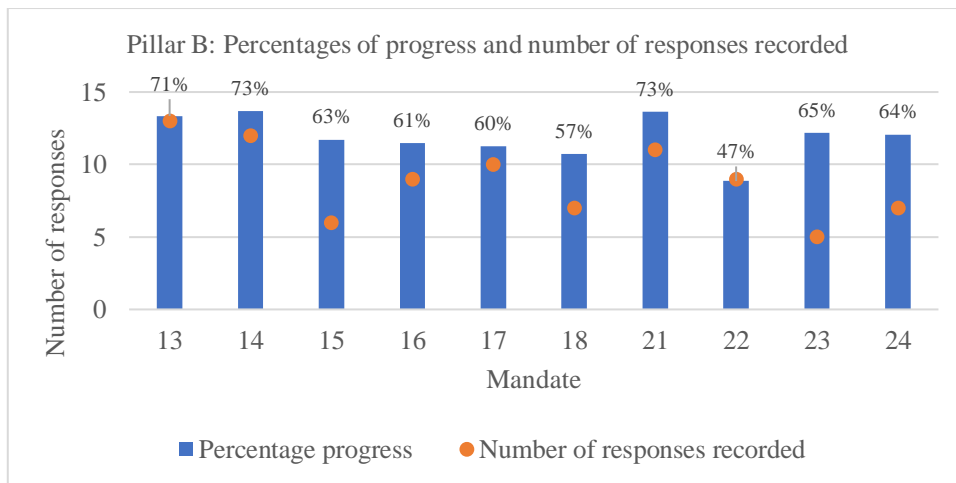
Pillar C on financing of political organizations and campaigns has overall implementation of 72 percent; "completed" is the most frequent level, though the median is "advanced."

Pillar D, which addresses preventing corruption in public works, has a level of progress of 65 percent; "advanced" is the most frequent level cited, and is also the median.

Pillar C and D: Percentage of progress and number of responses recorded

Mandate	25	26	27	28	29	31	32	33
Percentage progress	69%	75%	73%	61%	68%	57%	54%	69%

Legend: ■ Percentage progress ● Number of responses recorded
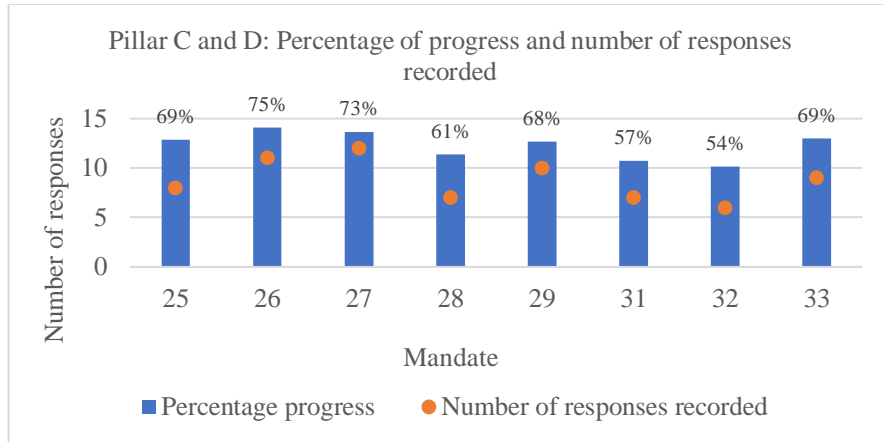
* Mandates 25 and 26 correspond to pillar C and mandates 27 to 33 correspond to pillar D.

The eleven mandates of pillar E, which address the issues of international legal cooperation and organized crime and money laundering, record an overall level of implementation of 68 percent. The "advanced" level represents the value recorded most frequently and is also the median.

Pillar E: Percentages of progress and number of responses recorded

Mandate	34	35	36	37	38	39	40	41	42	43	44
Percentage progress	64%	77%	82%	65%	80%	50%	58%	59%	64%	69%	70%

Legend: ■ Percentage progress ● Number of responses recorded
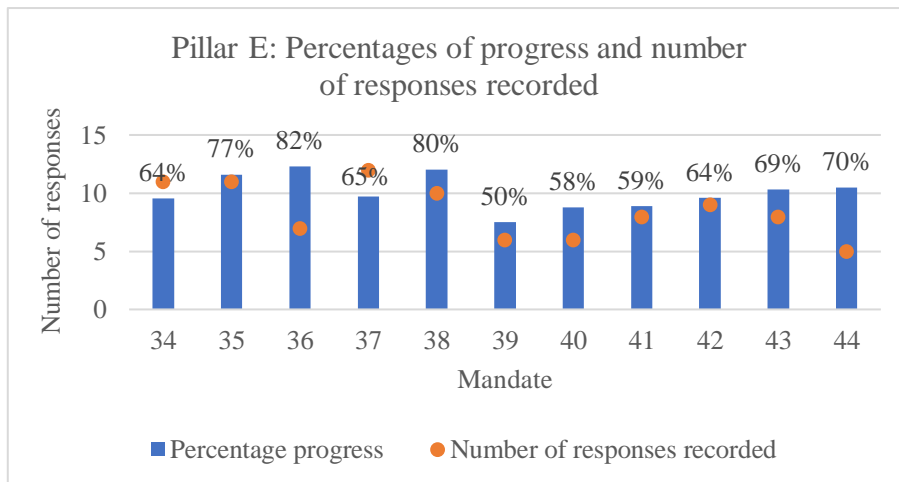
Finally, pillars F, on inter-American anticorruption mechanisms, and G, on follow-up and reports, record overall levels of progress of 76 percent and 79 percent, respectively. Yet due to the nature of the mandates, which are related to follow-up activities and mandates that correspond to mechanisms of the inter-American system and the JSWG, the sample of states that effectively report some level of implementation is much smaller. For example, in five of the ten mandates that record progress for these two pillars, only two countries have reported.

Pillars F and G: Percentages of progress and number of responses recorded
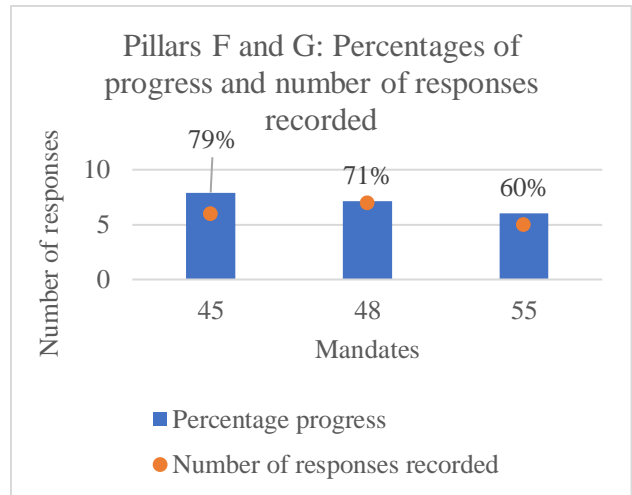
* Pillar F is made up of mandates 45 to 51, and Pillar G from 52 to 57.

c. Level of implementation by mandates

Next are those mandates of the Lima Commitment that record more advanced levels of implementation and which, therefore, are closer to completion according to the responses provided by the states. In all, 15 mandates of the Lima Commitment show levels greater than 70 percent:

A. **Strengthening democratic governance**
Mandate 1: Institutional strengthening to fight corruption
Mandate 2: Autonomy and judicial independence
Mandate 10: Preventing conflicts of interest
Mandate 12: Participation of the private sector

B. **Transparency, access to information, whistleblower protection, and human rights, including freedom of expression**
Mandate 13: Civil society participation
Mandate 14: Open government, digital government, and open data
Mandate 21: Criminalization of acts of corruption

C. **Financing of political organization and election campaigns**
Mandate 26: Sanctions for public officials involved in acts of corruption

D. Preventing corruption in public works and government contracts and procurement
Mandate 27: Transparency in government procurement and public works

E. International legal cooperation; fighting bribery, international corruption, organized crime, and money laundering; and asset recovery
Mandate 35: Responsibility of the judicial branch
Mandate 36: Provision of assistance to investigations into corruption
Mandate 38: Cooperation among financial institutions
Mandate 44: Transparency in the exchange of tax information

F. Strengthening the inter-American anticorruption mechanisms
Mandate 45: Strengthening the MESICIC
Mandate 48: Implementing the recommendations of the MESICIC

At the same time, as regards those mandates whose implementation is at more preliminary levels, the states show levels of progress of 50 percent or less for the following:

A. **Strengthening democratic governance**
Mandate 6: Recognize the contributions of Indigenous peoples and Afrodescendent communities to improving the efficiency of the public administration.
Mandate 7: Promote gender equity as a crosscutting objective of anticorruption policies.

B. **Transparency, access to information, whistleblower protection, and human rights, including freedom of expression**
Mandate 22: Whistleblower protection

D. Preventing corruption in public works and government contracts and procurement
Mandate 31: Foster transparency in the management of public resources to ensure resilience in the face of disasters.
Mandate 32: Promote coordinated and transparent practices for issuing government permits.

E. International legal cooperation; fighting bribery, international corruption, organized crime, and money laundering; and asset recovery
Mandate 39**:** Promote cooperation among financial institutions and the financial oversight bodies.

d. Content of the progress reported from June 2019 to June 2022

The issues addressed in the new responses are very diverse, as new information was reported for almost all the mandates. Even so, some trends can be discerned. First, a large number of instances of progress recorded pursuant to the Lima Commitment are related to open government strategies. Several reports mention the adoption of laws for access to public information and the creation of transparency portals that pull together all the information that is disseminated. Similarly, reports have come in on the development and improvement of public digital portals on procurement to record all biddings. Many of these efforts report that they are made in the context of Open Government Plans produced with the Open Government Partnership (OGP).

Several states report on policies that ensure the ethical and effective performance of human resources in public administrations, with a particular emphasis on those in the judicial branch. Special note can be made of the drafting or reform of codes of conduct, the establishment of institutions and reform of provisions governing conflicts of interest, and new formats for presenting and investigating sworn statements. In addition, with a view to ensuring efficient public management, transparent and merit-based procedures for selecting personnel and trainings on integrity issues have been promoted. Along these same lines, one can note the development of interinstitutional integrity systems with various types of institutions that work collaboratively to exchange information and good practices, and which act in conjunction with one another to move the anticorruption agenda forward.

A large number of reports underscore the efforts made even in the context of COVID-19 as well as those aimed at mitigating the risks of corruption that could have been accentuated by the pandemic. These include efforts to incorporate civic values in the curricula of civics classes and the awareness-raising campaigns that were sustained during the pandemic by migrating to virtual formats. Also addressed are the strengthening of government procurement systems for emergency procurement, the guides for procurement in the context of the pandemic, and the dissemination of budgetary information on expenditures related to the health emergency.

In addition, mention is made, on some occasions, of policies aimed at making transparent the financing of campaigns and at studying the net worth of candidates. In this regard, reports are also submitted on various regulations that seek to limit access of persons convicted of corruption to positions of power.

Furthermore, the states have worked on issues related to mitigating the risks of corruption in the relationship between the public and private sectors. Compliance practices have been disseminated to businesses; and provisions of law have been adopted that establish corporate criminal liability. They have also been developing legal frameworks for preventing and fighting corruption while putting in place systems to protect whistleblowers and witnesses, and for lodging anonymous reports.

Similarly, and above all in the areas of money laundering, asset recovery, and international corruption, the states report their active participation in international and inter-American forums and the signing of agreements aimed at promoting the sharing of information among jurisdictions. In addition, various reports focus on strengthening asset forfeiture provisions.

Finally, the new responses recorded show an interest on the part of the states in combining the fight against corruption with issues of inclusion of groups in vulnerable conditions. Mention is made repeatedly of policies to serve persons with disabilities, to consult Afrodescendent and Indigenous populations on specific policies, and to incorporate concepts of integrity to those policies. Likewise, one notes the implementation of various policies aimed at the political empowerment of women and preventing violence against women.

IV.   Challenges and Technical Assistance Needs

In all, 93 challenges or technical assistance needs were identified. Of these, 63 were identified by June 2019, and the remaining 30 by October 2022. Those pillars that record, proportionally, the largest number of new needs are D and B, which saw the number increase from 7 to 10 and from 18 to 27, respectively. For their part, pillars F and G, which recorded one technical assistance report each, as of the writing of this new report have two each.

a. Relationship between the level of implementation and the assistance required

As regards the level of implementation and the number of instances of needs for assistance recorded, there does not appear to be a negative or positive relationship between these variables. This means that the variation in the needs for assistance reported does not appear to depend on whether the progress recorded is greater or less.

There are 13 mandates in the Lima Commitment in respect of which three or more states report a need for technical assistance:

Number of technical needs per pillar

- Pillar A: 31
- Pillar B: 27
- Pillar C: 2
- Pillar D: 10
- Pillar E: 19
- Pillar F: 2
- Pillar G: 2

■ Pillar A ■ Pillar B ■ Pillar C ■ Pillar D ■ Pillar E ■ Pillar F ■ Pillar G
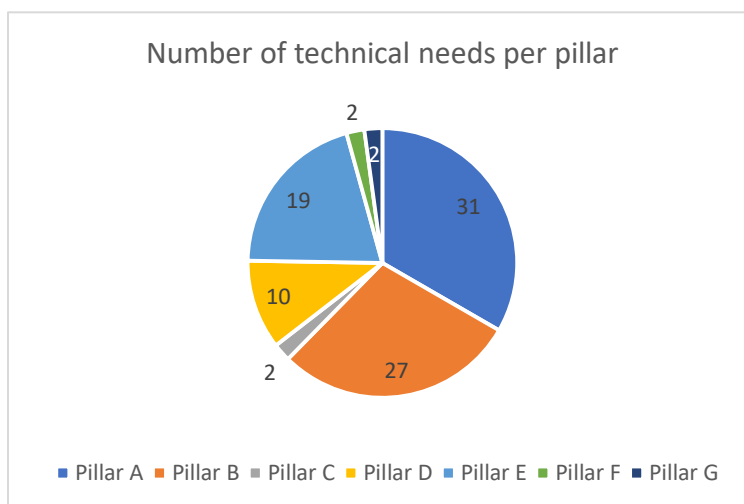
Mandate 1: Institutional strengthening against corruption
Mandate 5: Awareness-raising campaigns to prevent corruption
Mandate 7: Promote gender equity as a crosscutting objective of anticorruption policies
Mandate 9: Objective selection of public officials
Mandate 11. Promote codes of conduct for public officials
Mandate 12. Involvement of the private sector
Mandate 13: Participation of civil society
Mandate 14: Open government, digital government, and open data
Mandate 18: Prepare statistics and indicators that evaluate the impact of transparency policies and anticorruption efforts
Mandate 22: Whistleblower protection
Mandate 34: Antibribery measures
Mandate 39: Promote cooperation between financial institutions and the financial oversight bodies
Mandate 42: Participation in multilateral networks to fight money laundering
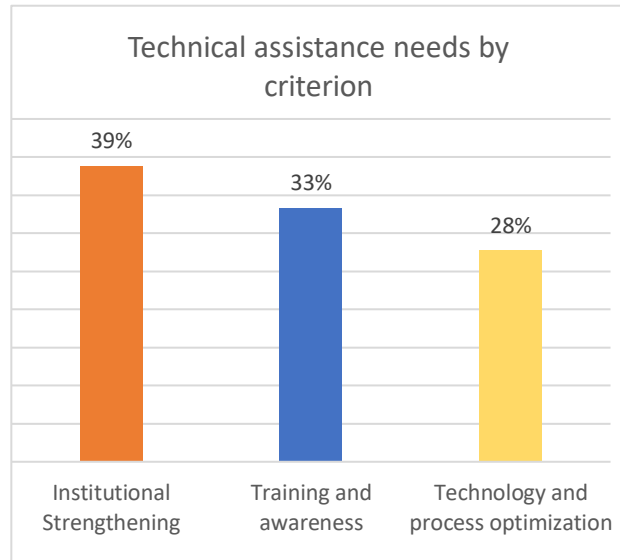
Of these, four mandates (1, 11, 13, and 14) show a level of progress greater than 70 percent. For these cases, the high level of progress leads one to assume that there are capabilities in the countries of the Hemisphere that could prove useful when it comes to sharing experiences and providing technical assistance to those states that so require.

At the same time, mandates 7, 22, and 39 present an overall percentage of progress equal to or less than 50 percent. This means that the states may face greater challenges when it comes to finding the technical assistance required to address the needs reported. In this regard, the entities of the JSWG play an even more crucial role in addressing the needs reported.
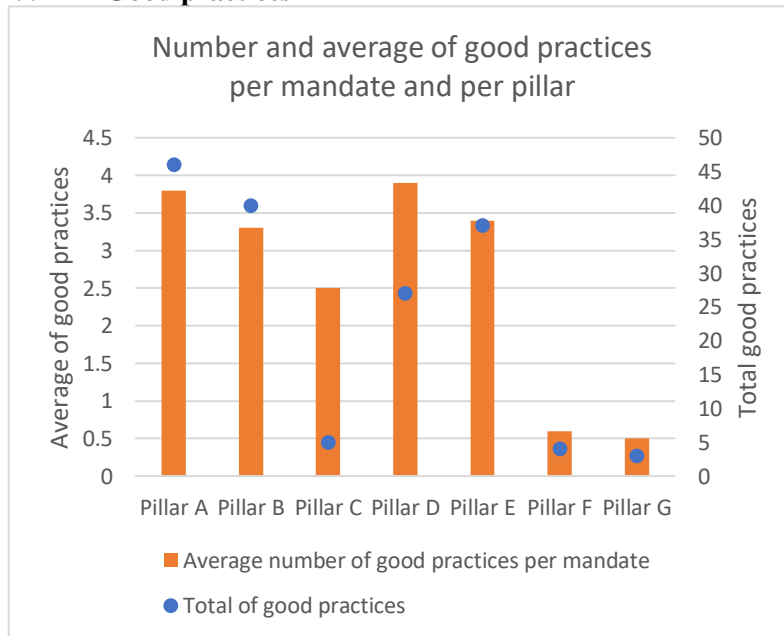
b. Classification of the needs identified by the states

The previous report on challenges and needs identified by the states for implementing the Lima Commitment describes three criteria for classifying the needs: (1) Institutional Strengthening; (2) Training and Awareness; and (3) Technologies and Process Optimization.

Following the same criteria, of the 30 new needs for assistance identified, almost 40 percent are for institutional strengthening, one-third for training and awareness, and 28 percent for technology and process optimization. While the order of the categories is the same as in the report published in 2019, with institutional strengthening in the lead and technology in last place, one observes a considerable increase in the needs associated with technology and training. The needs associated with technology reported up to June 2019 account for only 1 percent of the total, and those related to education and training, 28 percent, while those identified since then account for 28 percent and 33 percent, respectively. To access the needs reported with their respective categories, individually, see Annex 2 on the technical needs.

Technical assistance needs by criterion

- Institutional Strengthening: 39%
- Training and awareness: 33%
- Technology and process optimization: 28%

V.   Good practices

Number and average of good practices per mandate and per pillar

- Average number of good practices per mandate
- Total of good practices

A total of 162 good practices were recorded, 78 of which have been recorded or modified as of the second half of 2019. The pillars that report the largest number of good practices in absolute terms are A, B, and E, with 46, 40, 37 records, respectively. Nonetheless, the mandates recorded for pillars D and A registered, on average, a larger number of good practices, with 3.9 and 3.8 good practices per mandate, respectively.

10 mandates record a larger number of good practices (6 or more). They are:

Mandate 1: Institutional strengthening to fight corruption
Mandate 5: Awareness-raising campaigns to prevent corruption
Mandate 10: Prevent conflicts of interest
Mandate 11: Promote codes of conduct for public officials

Mandate 14: Open government, digital government, and open data
Mandate 16: Strengthening transparency bodies and access to information
Mandate 17: Use of technologies that facilitate digital government
Mandate 27: Transparency in procurement and public works
Mandate 29: Inclusion of anticorruption clauses in government contracts
Mandate 33: Reduction of bureaucracy and simplifying administrative processes

Good practices, in addition to demonstrating the capacities that exist in the region to prevent and fight corruption, are a valuable source of information for implementing new public policies in states that could face challenges implementing the mandates of the Lima Commitment. In that regard, several mandates with respect to which the greatest challenges or needs for technical assistance have been identified are also those in respect of which the largest number of good practices have been found. This is the case for mandates 1, 5, 11, 14, and 29. Similarly, all the mandates with levels of implementation less than 50 percent have at least three good practices (except for mandate 6, which has one).

VI.   Conclusions

Based on the data provided by the 18 states that have provided or recorded their information at the Virtual Platform of the Mechanism for Follow-up and Implementation of the Lima Commitment, one can draw some preliminary conclusions. The overall level of implementation reported for the mandates is "advanced," representing a level of progress of 67 percent.

Considering the totals for the seven pillars, G, which concerns follow-up, is closest to completion. It is followed by pillar F, on strengthening the inter-American anticorruption mechanisms. They are followed by pillars C, with mandates on the financing of political organizations and election campaigns, and E, on international legal cooperation and fighting organized crime and money laundering. Those pillars with relatively lower levels of implementation are D, on preventing corruption in public works; A, on strengthening democratic governance; and B, transparency and human rights.

The mandates with more advanced levels of implementation address the issues of institutional strengthening, conflicts of interest, judicial independence, participation of the private sector and civil society, open government and transparency in government procurement, criminalization of corruption and the imposition of sanctions on officials for corruption, responsibility of the judicial branch, and cross-border exchange of information with institutional cooperation, as well as strengthening the MESICIC.

Those mandates with lower levels of implementation have to do with the role of women, Indigenous peoples, and Afrodescendent communities in improving public administration and anticorruption policies, whistleblower protection, transparency in the management of public resources for resilience in the face of disasters, the issuance of government permits, and cooperation between financial institutions and financial oversight bodies.

As regards the new specific actions carried out by the states pursuant to the Lima Commitment since the second half of 2019 and up until October 2022, special mention should be made of those related to open government and digitization. Efforts have also focused on ensuring ethical conduct and

the effective performance of public officials. In addition, policies have been implemented to adapt to the situation stemming from COVID-19 with the use of virtual formats and new accountability mechanisms. Policies have also been developed to make campaign finance transparent and to limit the access of persons convicted of corruption to positions of power. In addition, work has been under way to mitigate risks of corruption in the relationship between the public and private sectors with compliance practices, corporate criminal liability, and whistleblower protection. As regards money laundering and international corruption, the exchange of information among jurisdictions has been promoted and asset forfeiture has been strengthened. Finally, one notes the interest of the states in integrating the struggle against corruption with issues of inclusion of groups in vulnerable situations.

The greatest challenges and needs reported that must be addressed to achieve compliance are focused on institutional strengthening measures to fight corruption and further open government, putting in place awareness-raising campaigns, promoting gender equity in anticorruption policies, the selection of public servants and codes of conduct, and furthering private sector and civil society participation, whistleblower protection, and cooperation between financial institutions and networks that fight money laundering. In addition, while institutional strengthening continues to be the main category of needs identified, those related to training and technology and process optimization have experienced significantly greater growth.

It should also be noted that on several occasions those mandates in which the largest number of challenges were identified were also those that have recorded a more advanced stage of implementation, which may suggest that capacities exist to address those demands. Along these same lines, a large number of good practices have been identified both in mandates in relation to which there are various requests for assistance and in mandates with relatively lower levels of implementation.

A considerable number of good practices were modified or reported after the second half of 2019. The mandates that record the largest number of good practices are institutional strengthening to fight corruption, awareness-raising, conflicts of interest, codes of conduct, open government, transparency bodies, transparency in government procurement, anticorruption clauses, and simplifying administrative processes.

This report provides a general overview of the regional trends in policies to prevent and fight corruption and to promote democratic governance pursuant to the mandates of the Lima Commitment. It should be updated continually as additional information is recorded by the 15 states that have yet to report on the Platform of the Lima Mechanism and by the 18 that could update the information already provided. It is expected that it will continue contributing to the exchange of information and analysis on the part of the states with respect to implementing the mandates emanating from the Eighth Summit of the Americas and fostering cooperation among the states and technical and/or financial assistance by the institutions of the JSWG.

VII.   Annexes

Annex 1: Section on Methodology

<u>Consideration of responses actually recorded</u>

This analysis studies only the responses actually recorded by the states. To date, 18 countries of the 32 participating in the Mechanism for Follow-up and Implementation of the Lima Commitment have recorded information. Similarly, those states that do record information do not necessarily do so for each of the 57 mandates of the Commitment. In order to study the levels of implementation only existing responses are considered, since the failure to record information does not necessarily imply no progress by the state or regarding the mandate in question, and in light of the impossibility of generating or considering information other than what is provided by the participating states. In effect, the mandates correspond not only to the states, but also to entities of the JSWG, including the OAS. Five are direct mandates and 14 are indirect,[11] for they are not directly established for the JSWG, yet they do fall into the categories of projects that the JSWG is carrying out.

Along the same lines, at the moment of analyzing the levels of implementation of mandates separately, consideration is given only to those in which five or more countries record progress. These are mandates 3, 19, 20, 46, 47, 49, 50, 51, 52, 53, 54, 56, and 57. This is due to the small size of the sample obtained, which tends to undercut the validity of the resulting level of implementation.

<u>Levels of implementation and their quantification</u>

In order to evaluate the level of implementation of the mandates, the states' progress reports for each of them are recorded, in relation to Question No. 1 of the Platform of the Mechanisms of the Lima Commitment. That question reads: What is the level of progress in implementing this commitment in your country? The available levels of progress are: No progress, Preliminary, Intermediate, Advanced, and Completed.

In order to estimate and quantify the level of implementation reported in each mandate, values of 1 to 4 are assigned to the levels of progress as follows: 1 for Preliminary progress; 2 for Intermediate progress; 3 for Advanced progress; and 4 for Completed. Each mandate receives a different number of responses from the states. The maximum possible number for implementation is based on the number of states that respond; it is calculated adding up the values that would be obtained if all the responses reported progress of "Completed." This maximum value is compared with the number that reflects the actual progress reported and is then expressed as the percentage it represents of the maximum possible score for implementation.[12]

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11. Direct mandates for the JSWG: 5, 30, 44, 51, and 52. Indirect mandates: 7, 14, 17, 19, 20, 27, 31, 42, 43, 47, 49, 50, 55, and 56.
12. For example, for Mandate 2, a total of 11 countries reported some level of progress. If all the states had reported this mandate as "Completed," which would be assigned a value of 4, then the aggregate number that could be recorded would be 44. Due to the varied implementation, with some states also reporting preliminary, advanced, or intermediate levels of implementation, the actual total obtained is 31, which is 70% of 44. Therefore, one could infer that the estimated overall percentage of implementation of Mandate 2 of the Lima Commitment is 70%.

The mandates for which the states do record information, but do not assign a level of progress, are not taken into account in the calculations of aggregate levels of implementation. This is due, first, to the impossibility of anyone determining a level of progress other than the very state institution in charge of recording the progress. Also, the failure to assign a value for level of implementation should not be interpreted as no progress, since the record of responses presupposes an accountability action in which the state reports on specific measures taken pursuant to the mandate. Indeed, some states report on almost all the mandates and report good practices, but do not assign a level of implementation in any of their reports.

Period studied

For the purpose of this analysis the full universe of responses recorded has been taken into account, independent of when they were given. While there is a report that already evaluates what was reported in the first half of 2019, to understand the current general levels of implementation one must consider that prior information as well because it represents progress already attained. Nonetheless, for the purpose of understanding the evolution of the general level as of mid-2019 as compared to mid-2022, comparisons are made in the sections on qualitative analysis and technical assistance needs, and the information is isolated based on period reported.

Evaluation of good practices

With respect to the good practices recorded, consideration is given to those that are so defined by the states. While the Summits Secretariat publishes only those that have a specific record form in the Database of Good Practices and Regional Capacities, for the purposes of this report, given that they are evaluated in quantities, one can consider the full group of good practices mentioned as such by the states in their reports.

Use of complementary quantitative and qualitative methods

Considering the intrinsic weaknesses associated with the use of averages for these kinds of qualitative variables, such as the levels of implementation studied, this analysis also looks at the median and the mode. Accordingly, it combines the capacity to quantify the level of progress of the Lima Commitment with the modes and medians of the variables studied.

Finally, it is important to note that the quantification of reports of levels of implementation is insufficient to grasp the reality of the states' efforts to comply with the text of the Lima Commitment. This is due, first, to the fact that the report adopts the considerations of the states themselves as to their levels of progress, thus there may be differences of criteria for a specific level of implementation. That is why this analysis supplements the quantitative information with qualitative considerations.

Annex 2: Table of technical assistance needs or challenges

Mandate	Technical Assistance Needs or Challenges by Pillar	Criteria
A. Strengthening democratic governance		
1	Improvements in the efficiency of anticorruption institutions	Institutional strengthening
3, 4	Development of inclusive educational models with teacher training	Training and awareness
5	Assistance in designing awareness-raising campaigns and identifying issues	Institutional strengthening
6	Development of systems for monitoring public policies and more technical and technological resources for achieving effective inclusion	Technologies and process optimization
7	Strengthening capacities, exchanging experiences and economic resources	Training and awareness
8	Training for public officials and methodologies for designing workshops	Training and awareness
11	Exchange of experiences in the area of applying instruments to evaluate the integrity of the state and promotion of methodologies for urging the private sector to develop codes of conduct	Institutional strengthening
12	Improving processes in initiatives with civil society	Technologies and process optimization
B. Transparency, access to information, whistleblower protection, and human rights, including freedom of expression		
13, 14, 16, 17	Implementation of national anticorruption systems and strategies, e-government and open government, training methodologies and methodologies for electronic platforms and access to public information	Institutional strengthening and Technologies and process optimization
	Completion of integrity plans by subnational governments that require information technology tools	Institutional strengthening and Technologies and process optimization
18	Strengthening technical and institutional capacities for generating statistics on corruption	Institutional strengthening and Training and awareness
19	Continuation of cooperation projects to develop guides and strategies that promote citizen and institutional oversight in the area of public spending	Institutional strengthening
20, 23	Training for public officials in open data and the design of human rights policies	Training and awareness
21	Mechanisms of cooperation among counterpart institutions for the return of assets	Institutional strengthening
22	Managing procedures for handling complaints, developing technological tools and trainings	Technologies and process optimization and Training and awareness
23	Undertaking studies to identify actors and strategies used to harass journalists who investigate corruption cases	Institutional strengthening
24	Policy-making and data analysis for protecting public servants in charge of investigating and resolving procedures to determine administrative liability	Institutional strengthening
D. Prevention of corruption in public works and government contracts and procurement		
28	Training in the technical management of equipment, administrative and financial management, intercultural communication, radio production and intercultural programming	Training and awareness
29	Strengthening methodologies for monitoring and oversight of processes; training for public servants on issues of contracting and procurement to avoid unlawful acts	Technologies and process optimization; Training and awareness

30, 31	Creation of a new IT platform with emphasis on the exchange of experiences and training to transfer knowledge and policies	Technologies and process optimization and Training and awareness
E. International legal cooperation; fighting bribery, international corruption, organized crime, and money laundering; and asset recovery		
36	Training and strengthening of specialized judicial officers	Training and awareness
38	Exchange of good practices and dialogues to share with counterpart institutions and support for plans related to public finance, central banking, economic and financial statistics on risk, and related legal matters	Institutional strengthening
39	Identification and recovery of assets	Institutional strengthening
40, 41	Exchange of good practices in the area of effectiveness in asset recovery and support for plans on public finance, central banking, economic and financial statistics on risk and related legal matters	Institutional strengthening
42	Training in asset recovery and for preparation of a Guide among the countries of the Lima Commitment to identify and seize assets that are the proceeds of the crimes of bribery, international corruption, organized crime and money laundering	Training and awareness
42	Develop agile tools for tracking and identifying assets of illicit origin and for putting legal frameworks in place	Technologies and process optimization
43, 44	Develop technological products that will make it possible to exchange information automatically	Technologies and process optimization
F. Strengthening inter-American anticorruption mechanisms		
48	Improvements in technological platforms for accountability and social oversight in the conduct of public affairs and citizen participation	Institutional strengthening and Technologies and process optimization
G. Follow-up and reports		
55	Strengthening technical capabilities, exchanging experiences, accessing funds from international cooperation	Training and awareness