



JOINT SUMMIT WORKING GROUP



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**ACTION PLAN 2019-2021**

**JOINT SUMMIT WORKING GROUP**

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## **I. Introduction**

In April 2018, the Heads of State and Government of the Western Hemisphere agreed, by consensus at the Eighth Summit of the Americas, to carry out an ambitious agenda to address Corruption and Democratic Governance in the region. The “Lima Commitment: Democratic Governance against Corruption” sets out 57 mandates, concrete measures, to be implemented by the participating states with the collaboration from international and regional organizations that comprise the Joint Summit Working Group (JSWG), whom also received mandates from the Leaders of the Americas to advance implementation of the Lima Commitment.

In November 2018, participating states of the Eighth Summit approved the Mechanism for Follow-Up and Implementation of the Lima Commitment with a threefold objective: 1) record the progress made by each state that attended the Eighth Summit of the Americas and by the organizations that make up the JSWG, including the Organization of American States (OAS), in fulfilling the Lima Commitment, “Democratic Governance against Corruption”; 2) promote the exchange of good practices, technical capacity-building, and measures intended to strengthen, prevent, and combat corruption in the Hemisphere; and 3) identify possibilities and resources for cooperation among the states, and between them and the JSWG member organizations, in the prevention and fight against corruption, and to create synergies with other international and regional mechanisms and initiatives of which participating countries are part.

The JSWG will provide assistance to the States in the implementation of their mandates with resources and technical capacities (paragraph 52 of the Lima Commitment), including through efforts reflected in it as part of the commitment of the JWG 2019-2021 Action Plan. This document contains the Action Plan of the JWG, prepared and revised in a coordinated and coherent manner within the framework of the follow-up and during the implementation of the Lima Commitment for the period 2019-2021, with the corresponding information on the activities at the institutional level and, as appropriate, on activities and initiatives developed jointly. In May 2019, a first version of the JSWG Action Plan prepared on the basis of the efforts of, was distributed, which reflected the baseline of progress made by the JWG institutions in the fight against corruption. This updated version of the JSWG Action Plan takes into account the technical assistance needs identified and registered by the states in the online platform of the Mechanism, Follow-up and Implementation of the Lima Commitment, the mandates of the Lima Commitment received by the GTCC, as well as the good practices of the states in the area of prevention and fight against corruption registered by the States on the online platform of the aforementioned Mechanism. The Action Plan also takes into account the possible technical offers of the organizations by entities of the JSWG and the information gathered in the technical meetings of the JSWG held on May 1, 2019 in Washington D.C. and on June 26, 2019 in Medellín, Colombia.

In compliance with the provisions of the Mechanism for Follow-up and Implementation of the Lima Commitment, the Summits Secretariat, as part of its work to support the execution of the Mechanism, has promoted cooperation initiatives on prevention and fight against corruption among the states, as well as between these and the institutions of the JSWG. Part of these initiatives are reflected in this Action Plan. The Summit Implementation Review Group (SIRG) - the main executing body of the Summits Process, and body in charge of monitoring the implementation of the mandates and initiatives derived from the Eighth Summit of the Americas and previous summits, it is responsible for the execution of the Mechanism together with its Presidency. The Summits

Secretariat, as the Technical Secretariat and institutional memory of the Summits Process, is in charge of supporting the efforts of the Chair and the states in the implementation of the Mechanism.

The Inter-American System has led the development of cooperation frameworks to address corruption, including the Inter-American Convention against Corruption and its implementation Follow-up Mechanism - MESICIC. This has led to a gradual strengthening of the regulatory framework, which has led, among other things, to an increase in the rate of activism in the matter of judicial prosecution in recent years. The members of the JSWG have developed an impressive set of specific programs and technical support in the region. More recently, the Lima Compromise has provided an opportunity to take advantage of and accelerate these

Likewise, many countries in the region are members of the Open Government Partnership and have made commitments to improve transparency in public institutions. The OAS has also been working in the last decade to contribute to strengthen public institutions so they are more transparent, effective and with mechanisms for citizen participation. Particularly, the OAS has contributed to the development and adoption of open data national policies and to promote open data and open contracting practices which contribute to the transparency of procurement processes.

## **II. The Joint Summit Working Group**

The Joint Summit Working Group (JSWG) derives from the Quebec Plan of Action (Third Summit of the Americas, 2001), where the Heads of State and Government of the Americas stressed the importance of permanent coordination within the Inter-American System, in order to ensure the effective and efficient implementation of the mandates from the Summit. Over time, the JSWG moved from four to thirteen member institutions, including the Organization of American States (OAS), which also leads the JSWG, the Inter-American Development Bank (IADB), the Economic Commission for Latin America and the Caribbean (ECLAC), the Pan American Health Organization (PAHO), the Inter-American Institute for Cooperation of Agriculture (IICA), World Bank, the Development Bank for Latin America (CAF), the International Labor Organization (ILO), the Central American Bank for Economic Integration (CABEI), the Caribbean Development Bank (CDB), the International Organization for Migrations (IOM), the United Nations Development Program (UNDP) and, more recently, the Organization for Economic Cooperation and Development (OECD).

The Lima Commitment<sup>1</sup> states in mandate 52 “Requesting that the Joint Summit Working Group assist States with resources and technical capacity-building so that they can implement the commitments undertaken at this Summit in the area of strengthening democratic governance and the fight against corruption, including those commitments that refer to implementation of legislation, institution-building, training, and cooperation.” (For a summary of direct and indirect mandates of the Lima Commitment to the JSWG, please refer to Annex 2)

In addition, Hemisphere leaders agreed that the JSWG will play a leading role in several key areas of the anti-corruption program, such as: supporting civic education (mandate 3), creating a platform on regional infrastructure (mandate 30), promoting the participation of countries in networks to address money laundering (mandate 42), identification of final beneficiaries to limit tax evasion (mandate 43), exchange of tax information (mandate 44) and establishment of a working

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<sup>1</sup> Lima Commitment: Democratic Governance against Corruption, <http://www.viiiicumbreperu.org/us/lima-commitment-democratic-governance-against-corruption/>

group on leadership and empowerment of women to promote gender considerations and analysis (mandate 7). Some of the member institutions of the JSWG are currently working in various areas of the Lima Commitment (7, 14, 17, 20, 42, 43, 45, 46, 47 and 50).

In fact, in regards to anti-corruption, many of the JSWG member institutions have been steadily working with countries on mostly all of the areas mentioned in the Lima Commitment, presenting an important opportunity to align and coordinate efforts, avoid duplication, as well as share information and best practices. Each of the thirteen JSWG member organizations has an established profile in addressing issues of corruption, either directly or by strengthening democratic governance in the region. Some have a lengthy engagement in this area others are developing their capacity and programing. Some work directly with participating countries to strengthen their capacity through technical or financial support, others provide support by strengthening regional networks and multilateral mechanisms.

Drawing from the list of needs and challenges<sup>2</sup> reported by the participating states in the Mechanism for Follow-up and Implementation of the Lima Commitment<sup>3</sup> with the information registered by the JSWG member institutions, the Summits of the Americas Secretariat has elaborated this JSWG Action Plan (2019-2021) for the support of implementing the mandates of the Lima Commitment as stipulated on Article VI of the Memorandum of Understanding (MOU) “Functions of the JSWG.”

Building on requests submitted by the states from the direct mandates received by the JSWG in relation to the areas addressed by the Lima Commitment, the Summits Secretariat hereby presents a proposal for the implementation of agreed mandates through activities during the implementation phase of the Eighth Summit of the Americas. This Action Plan is a living document and could be modified through multiple iterations based on the information submitted by the JSWG institutions and their feedback, as well as other stakeholders of the Summits Process.

Table 1 (see annex) presents the pillars of the Lima Commitment and the areas of intervention of each of the JSWG institutions, organized by category, based on the information provided by said institutions at the fifth and sixth regular meetings of the SIRG of 2018, in the second semester of 2018, as well as information registered in the virtual platform of the Follow-up and Implementation Mechanism of the Lima Commitment. Table 2 (see annex) includes all the direct and indirect mandates of the Lima Commitment specifically directed at the JSWG institutions.

### **III. Programmatic Areas and Activities**

The Action Plan addresses the commitments outlined by the Heads of State and Government as well as the need and challenges expressed by the States on three parallel tracks.

During the period 2019-2021, the Summits Secretariat, within the execution framework of the Mechanism, based on the information provided by participating states on the Mechanism for

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<sup>2</sup> Challenges and Technical Assistance Needs of the States that took part in the VIII Summit of the Americas in Implementation of the Lima Commitment, Doc. [http://www.summit-americas.org/SIRG/2019/27062019/Informe%20de%20Retos\\_EN.doc](http://www.summit-americas.org/SIRG/2019/27062019/Informe%20de%20Retos_EN.doc)

<sup>3</sup> Mechanism for Follow-up and Implementation of the Lima Commitment, [http://www.summit-americas.org/SIRG/2018/112818/Mecanismo\\_EN.doc](http://www.summit-americas.org/SIRG/2018/112818/Mecanismo_EN.doc)

Follow-Up and Implementation of the Lima Commitment, and as requested by participating states, will prepare follow-up reports, including reports on challenges and capacity constraints identified by states in implementing the Lima Commitment, create and consolidate a database of good practices and regional capacities, and promote cooperation initiatives for preventing and combating corruption among states, as well as between them and JSWG organizations<sup>4</sup>. The process also draws from the information submitted by the JSWG institutions on the Mechanism, including their potential technical offers to participating states in response to their identified needs and challenges during the implementation of the Lima Commitment. In addition, information provided by JSWG institutions within the Mechanism will represent a key input for the preparation and consolidation by the Summits Secretariat of the Mechanism's virtual bank on good practices and regional capacities. Furthermore, reports will be prepared to track JSWG initiatives for submission to the SIRG at the Ministerial Level to be held on the occasion of the OAS General Assembly, as well as the annual meeting of High-level Authorities of the JSWG. The needs expressed by the states and the direct mandates from the Lima Commitment to the JSWG, create an intersection for their need to collaborate together to achieve a mutual beneficial purpose.

The provision of detailed information about sectors of engagement and regional or country-specific activity when aggregated by institution, will identify areas of clustered activity by multiple institutions. This will facilitate further technical discussions within the JSWG to promote, where possible, a comprehensive response from the JSWG to anti-corruption mandates.

The Lima Commitment also calls for the promotion of gender equity and equality and women's leadership in the region, mainly through mandates 7 and 55. In this regard, the Summits Secretariat will urge JSWG emphasize for the inclusion of a gender equality approach and promote women's leadership in the implementation of activities. The Lima Commitment includes human rights as a stand-alone objective calling for the protection of freedom of expression in mandate 23 as well as support to implement human rights –based programs to develop the capacity of police, public prosecutors offices, the judiciary, and domestic oversight agencies, as expressed in mandate 51. In addition, in pursuing all tracks, the fullest engagement of participating states and specialized civil society and social actors, including academia, think tanks and private sector will be promoted in the implementation of this action plan.

## **ACTIVITIES WITHIN PROGRAMMATIC AREAS**

### **3.1 DEVELOPING AND STRENGTHENING EFFECTIVE AND TRANSPARENT MECHANISMS FOR PUBLIC SERVICE**

#### **3.1.1 Policy area: Civil Service – Integrity**

**Mandates:** 9, 10, 11, 14, 15, 16, 17, 27, 50

Participating states have requested assistance to enhance integrity frameworks for a responsive civil service in: the definition of the organizational structure of the civil service, including selection and promotion methods, regulations on the prevention of conflict of interest at the national

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<sup>4</sup> Mechanism for Follow-up and Implementation of the Lima Commitment (document: GRIC/O.6/doc.26/18rev.1 More information: [http://www.summit-americas.org/SIRG/2018/112818/Mecanismo\\_EN.doc](http://www.summit-americas.org/SIRG/2018/112818/Mecanismo_EN.doc)

and subnational levels, disclosure of financial interests, enforcement of disciplinary measures, remuneration of public officials, and awareness-raising exercises on public ethics.

In relation to public integrity, states have requested support at various levels including policy formulation on integrity action plans in the executive and judiciary branches and financial oversight institutions; indicators to assess effectiveness of public integrity plans and frameworks for mitigating and managing corruption and fraud risks.

**Current and proposed JSWG cooperation:**

- a) 2019 CAF Annual Conference: Governance, Integrity and Transparency for Development. This conference will address the region's governance challenges, strengthening its institutions and applying stricter standards in public and private sector integrity.

**Venue and date:** Ecuador, November 7, 2019

**Source of funding:** CAF

**Mandates:** 9, 10, 11

- b) Elaboration, presentation and workshops: CAF 2019 Report on Economic Development “*Integrity in public policy: keys to prevent corruption*”.

**Venues and dates:**

- Quito, Ecuador - November 7, 2019
- Mexico City, Mexico in partnership with Secretaría Ejecutiva del Sistema Nacional Anticorrupción (SESNA) – November 11, 2019
- Asuncion, Paraguay – November 19, 2019
- Lima, Perú – November 21, 2019
- Bogota, Colombia, in partnership with the Escuela de Gobierno Alberto Lleras Camargo, Universidad de los Andes - November 27, 2019
- Panama City, Panama, in partnership with Autoridad Nacional de Transparencia y Acceso a la Información – December 12, 2019
- Santiago de Chile, Chile in partnership with Espacio Público – January 16, 2020

**Source of funding:** CAF

**Mandates:** 9, 10, 11

- c) Policy Dialogue organized jointly by the Summits Secretariat and CAF to present the Economy and Development Report (RED) 2019 as a contribution to the current reform agenda for integrity in the region. RED Report covers a broad spectrum of policy areas, including operation and dissuasive capacity of supervisory bodies and state control; the role of input mechanisms to bureaucracy and politics of selection of public officials; the exercise of public oversight and transparency initiatives; and strengthening processes and legal frameworks to limit the influence of private interests in public policy decisions.

**Venue and date:** Washington, D.C., April 2, 2020

**Source of funding:** CAF and Summits Secretariat

**Mandates:** 9, 10, 11, 14, 15, 16, 17, 27

- d) Regional Workshop on integrity frameworks for a responsive civil service: Organized by the Summits Secretariat and the Government of Chile (Dirección de Servicio Civil) with participation of 6 states and JSWG institutions. The Summits Secretariat will coordinate participation of Secretariat of MESICIC and OAS/DEPM, as well as other pertinent entities. Participating States: Ecuador, Uruguay, Paraguay, Argentina, Peru and Guatemala.

**Venue and date:** Santiago de Chile, Chile, April 20-22, 2020

**Source of funding:** Summits Secretariat and Government of Chile

**Mandates:** 9, 10, 11

- e) OECD/IADB Network for Public Integrity in Latin America and the Caribbean: The objective of the network is to bring together the actors involved in public integrity systems of the LAC region to exchange ideas and solutions to common challenges in the implementation of public integrity policies. The meeting convened in November 2019 (Chile) was cancelled due to unforeseen events and will be rescheduled to Q1/Q2 2020. The meeting will discuss integrity and infrastructure, and it can be an opportunity to discuss needs submitted through the Follow-up and Implementation Mechanism of the Lima Commitment.

**Venue and date:** Q1/Q2 2020

**Source of funding:** Summits Secretariat, OECD, IADB

**Mandates:** 9, 10, 11

- f) The OAS through the Department of Effective Public Management (DEPM) supports innovative practices in effective public management related to civil service reform. The following activities can also contribute to strengthen the Inter-American Cooperation Mechanism for Effective Public Management (MECIGEP). (Panama, Costa Rica, Paraguay have requested support through DEPM).

- MECIGEP Round in Panama: Policy advice and technical support for the creation and roll-out of the Civil Service Commission.

**Venue and date:** Panama, TBD

**Source of funding:** TBD

**Mandates:** 10, 11, 50

- MECIGEP Round in Costa Rica: Implementation of a Skills Development Program for Management of the Legal Service.

**Venue and date:** Costa Rica, TBD

**Source of funding:** TBD

**Mandates:** 50

- MECIGEP Round in Paraguay: Development of a Judicial Performance Evaluation Program

**Venue and date:** Paraguay, TBD

**Source of funding:** TBD

**Mandates:** 50

- g) Second High-level Meeting of the OECD- Latin America and the Caribbean Regional Programme (LARCP) on Integrity and Good Governance. The proposed agenda highlights relevant work of OECD related to integrity and anti-corruption in Latin America. It will also take stock on the implementation of the OECD Action Plan presented at the First High Level meeting (Peru, October 2018) which intends to support countries in the design and implementation of national integrity and anti-corruption strategies as well as the implementation to address the Lima Commitment. The meeting could serve as space to take stock on the implementation of the Lima Commitment prior to the 2021 Summit of the Americas.

**Venue and date:** El Salvador. Q3/Q4 2021.

**Source of funding:** OECD

**Mandates:** 9, 10, 11, 12, 14, 15, 16, 17, 27

### **3.1.2 Policy area: Open Data**

**Mandates:** 14, 17, 20

In the area of open and digital government, Ecuador, Guatemala, Honduras, Peru, Belize and the Dominican Republic have requested support for the development of open government tools. The open and digital government request complement well the response to the Lima Commitments 14, 17 and 20 in these countries. In particular, governments have expressed to the OAS their interest in continue improving their open data reediness towards the adoption of the Inter-American Open Data Program (PIDA) to Combat Corruption; as well as receiving technical assistance to support the improvement of their digital efforts to process and handle pro-transparency claims, such as is the case of the Public Service Commission of Belize.

#### **Current and proposed JSWG cooperation:**

- a) CAF is committed to provide technical support the Governments of Colombia and Ecuador in the elaboration of their national open government strategies in line with the PIDA. (Pending final negotiation with host governments).

**Source of funding:** CAF

**Mandates:** 14, 17, 20

- b) The Inter-American Telecommunications Commission (OAS / CITEL) promotes the access to reliable telecommunications/ICTs to promote sustainable development in the region. To this end, promoted 309 Inter-American agreements in the 2019 World Radiocommunication Conference, to foster the use of new technologies that facilitate digital inclusion, transparency and interaction with citizens.

**Venue and date:** Sharm el-Sheik, Egypt. October 28 -November 22, 2019

**Source of funding:** PCC.II Specific Fund of OAS/CITEL Secretariat

**Mandates:** 13, 14, 17, 20

- c) Technical support Mission lead by the OAS/DEPM and the Summits Secretariat in support to the Government of Honduras to socialize and validate with authorities and relevant stakeholders the draft of the national policy on open data before it is submitted to the executive branch.

**Venue and date:** Tegucigalpa, Honduras. November 18-20, 2019

**Source of funding:** Summits Secretariat covered participation of open data authorities of El Salvador and the Dominican Republic, and experts of Colombia.

**Mandates:** 13, 14, 17, 20

- d) Training by ECLAC, the Latin American and Caribbean Institute for Economic and Social Planning (ILPES) and the Open Government Partnership (OGP) on “Open Government: tools for transparent, participatory and collaborative public management.”

**Venue and date:** Chile, November 2019

**Source of funding:** ECLAC

**Mandates:** 13, 14, 17, 20

- e) Online Seminar (Webinar) Online Seminar (Webinar) on open data, including “Data Democratization: open data to prevent and combat corruption” organized by the Summits Secretariat and the Department for Effective Public Management (DEPM) along with the Servicio Nacional de Empleo (SENA) of Colombia.

**Venue and date:** Online, March 2020

**Source of funding:** Summits Secretariat

**Mandates:** 13, 14, 17, 20

- f) DEPM and the Summit Secretariat will provide technical assistance to Ecuador and the Dominican Republic in their efforts to accomplish the co-creation of their open data national policies to enable governments and civil society to open, publish, and utilize, priority datasets described in PIDA. The process will support and facilitate the final stages of the in-country co-creation dialogues, provision of recommendations and policy drafts, and follow-up for policy approval.

**Dates:** February to May

**Source of funding:** DEPM and Summits Secretariat

**Mandates:** 13, 14, 17, 20

- g) Implementation of a MECIGEP-MESICIC Round in Belize to provide the Government of Belize with an analysis and recommendations for the improvement of their Public Service Commission. The DEPM, the Department of Legal Services, and the Summits Secretariat of the OAS implement align with Commitment 50, and GA mandate 5 of the section ii of the Strengthening Democracy Resolution AG/RES. 2931 (XLIX-O/19). DEPM will coordinate with the Belizean counterpart and DSL for the design of the in-country activities, and with other government experts to accompany the mission. DEPM will elaborate a report and recommendations in conjunction with DSL and the Summits Secretariat for delivery to Belizean authorities.

**Dates:** February to May 2020

**Source of funding:** TDB

**Mandates:** 17, 20, 33, 38, 50

- h) Training by ECLAC through its Latin American and Caribbean Institute for Economic and Social Planning (ILPES): International Course (in Spanish) "Open Government Policies on the Implementation of the 2030 Agenda for Sustainable Development"

**Venue and date\*:** Mexico City, June 29 to July 3, 2020

**Source of funding:** no tuition fee.

**Mandates:** 14, 17, 20

\*This course also includes a virtual phase (June 15-19, 2020)

- i) Training by ECLAC through its Latin American and Caribbean Institute for Economic and Social Planning (ILPES): International Course (in Spanish) "Open Government: Tools for transparent, participatory and collaborative public management"

**Venue and date\*:** Santiago de Chile, October 19-23, 2020

**Source of funding:** tuition fee USD 720.

**Mandates:** 14, 17, 20

\*This course also includes a virtual phase (October 5-9, 2020)

### 3.1.3 **Policy areas: Procurement**

**Mandates:** 27, 28, 29

Ecuador and Peru have requested support to strengthen public procurement strategies. Support could be addressed to the executive government agencies responsible for public procurement in Ecuador - Servicio Nacional de Contratación Pública- SERCORP; Peru Compra.

#### **Current and proposed JSWG cooperation:**

- a) OAS/DEPM, World Bank, International Development Research Center (IDRC), Iniciativa Latinoamericana para los Datos Abiertos (ILDA): Through the Inter-American Network on Government Procurement (RICG), the OAS supported elaboration of innovative open government strategies on public procurement "Hacia una política de datos abiertos del Sistema de Compra Pública para los países miembros *de la RIGG*." The document was presented at the XV Annual Conference of the RICG.

**Venue and date:** Dominican Republic, October 2019

**Source of funding:** OAS/DEPM, World Bank, IDRC, ILDA

**Mandate:** 27

- b) Webinar on disruptive technologies in the fight against corruption, including the application of Artificial Intelligence (AI) and Blockchain to areas related to procurement, tax evasion, and customs, among others.

**Venue and date:** Abril 2020  
**Source of funding:** Summits Secretariat  
**Mandate:** 27

- c) OAS/DEPM and CAF will develop a project on implementing data analytics to prevent corruption in infrastructure procurement processes.  
Possible starting date: March 2020

**Source of funding:** CAF  
**Mandate:** 27

3.1.4 **Policy area: Infrastructure**  
**Mandate:** 30, 31

**Current and proposed JSWG cooperation:**

- a) CAF Workshop on the tools to promote integrity in the value chain of the infrastructure sector to promote the digitalization of the sector with standards such as Building Information Modeling (BIM), as well as the incorporation of special open data standards in the sector such as the OC4IDS (which allows synchronizing information between contracts and global infrastructure projects).

**Venue and date:** Second quarter 2020  
**Source of funding:** CAF  
**Mandates:** 30, 31

- b) Working meeting of JSWG to discuss follow-up on implementation of mandate 30 related to the creation of an infrastructure platform to facilitate the exchange of experiences, training, and cooperation programs.

**Venue and date:** TBD  
**Source of funding:** CAF  
**Mandates:** 30

3.1.5 **Policy area: Education**  
**Mandate:** 3

The Inter-American Committee on Education established by the Ministers of Education of the OAS Member States as dialogue mechanism to operationalize the discussions stemming from the Ministerial Meetings of Education, the OAS General Assembly, and the Summits of the Americas Process adopted in 2017 the Inter-American Education Agenda with three priority areas: i) Quality, Inclusive and Equitable Education, ii) Strengthening of Teaching Profession and iii) Comprehensive Early Childhood care.

For the implementation phase of the Inter-American Education Agenda, a work plan was developed an approved back in April 2018 outlining three main components:

**A:** Advance the implementation of initiatives in the three thematic areas the Inter-American Education Agenda.

**B:** Build alliances to leverage the existing resources and practices of national, sub-regional, regional, and global organizations.

**C:** Engage in inter-sectoral collaboration that emphasizes, inter alia, the link between education and labor for producing competitive economies and decent work, as well as the importance of promotion of science and technology.

### **3.2 STRENGTHENING PROTECTION MECHANISMS FOR WHISTLEBLOWERS, WITNESSES AND VICTIMS OF CORRUPTION**

#### **3.2.1 Policy area: Whistle-blowers, witnesses and victims of corruption** **Mandate: 22**

Chile, Ecuador, Dominican Republic, Jamaica, Peru, and Uruguay have requested support for the development of strategies for the protection of judiciary personnel and whistleblowers, witnesses and victims. Ecuador has indicated the need of support the Judicial Council (Ecuador) to support an inter-agency complaints procedure and whistleblower system. Uruguay requested support to adapt their legal framework related to whistleblower protection. Jamaica has requested support for the implementation of the Protected Disclosures Act (PDA).

#### **Current and proposed JSWG cooperation:**

- a) The Follow-Up Mechanism for the Implementation of the Inter-American Convention against Corruption (MESICIC) adopted in 2013 a Model Law: “To facilitate and encourage the reporting of acts of corruption and to protect whistleblowers and witnesses.” A regional workshop will be jointly organized by the Summits Secretariat and the Technical Secretariat of the MESISIC (OAS Department of Legal Cooperation) to discuss the status of implementation of recommendations related to whistleblower protection mechanisms is contemplated.

**Venue and date:** Second semester 2020

**Source of funding:** Summits Secretariat depending on availability of funds

**Mandate:** 22

- b) The OECD Latin American and Caribbean Anti-Corruption Law Enforcement Network (LAC LEN) (see 4.4.1) had discussed extensively good practices to enhance detection of corruption in different sectors and countries. Detection through whistleblowers and witnesses has been at the center of this discussion. The next meeting could dedicate special attention to whistleblowers and witness’s protection in promoting detection, as identified in anti-corruption instruments such as the OECD Anti-Bribery Convention and OAS MESISIC.

**Venue and date:** Costa Rica (TBD). 3Q/4Q 2020

**Source of funding:** OECD

**Mandate:** 22

3.2.2 **Policy area: Protection of journalists**

**Mandate:** 23

**Current and proposed JSWG cooperation:**

- a) Peru and Mexico have requested support on risk-assessment methodologies for journalists. The Summits Secretariat, in consultation with the Special Rapporteur of Freedom of Expression of the Inter-American Commission on Human Rights (IACHR) and the Inter-American Society for the Freedom of Expression (SIP), will organize a policy dialogue/workshop on risk assessment methodologies for journalists in the region drawing from the “Inter-American standards and national practices on prevention, protection and prosecution of perpetrators.”

**Venue and date:** TBD, second quarter 2020 or first quarter 2021

**Source of funding:** Summits Secretariat

**Mandate:** 23

**3.3 ANTI-CORRUPTION COMPLIANCE AND CORPORATE GOVERNANCE**

3.3.1 **Policy area: Corporate compliance**

**Mandates:** 27, 28, 29

Recognizing the importance of corporate liability in the fight against corruption and of the need to raise awareness and build the capacity of prosecutors and law enforcement authorities to effectively investigate and prosecute corruption cases involving companies, Ecuador and Peru indicated the need to receive support in corporate compliance programs with a particular focus on integrity in State Owned Enterprises (SOES). Uruguay has requested assistance on the criminal liability of legal entities.

**Current and proposed JSWG cooperation:**

- a) The Joint OECD/CAF LAC Network on Corporate Governance of SOEs aims to enhance the governance of SOEs in the region through an ongoing exchange of experience and knowledge on SOE governance policies, practices and reforms. It uses the OECD Guidelines on Corporate Governance of State Owned Enterprises and the OECD Guidelines on Anti-Corruption and Integrity for SOEs as the main references for consideration of relevant reforms. The meeting for 2020 can be hosted, particularly looking at best practices of SOEs governance in the region.

**Venue and date:** TBD

**Source of funding:** OECD

**Mandates:** 27, 28, 29

- b) CABEI Training in corporate compliance operations with Banks stakeholders in the Central American region.

**Venue and date:** TBD

**Source of funding:** CABEI

**Mandates:** 27, 28, 29

### **3.4 DETECTION, INVESTIGATION AND PROSECUTION OF CORRUPTION**

#### **3.4.1 Policy areas: Anti-bribery- anti-money laundering – tax evasion- asset recovery**

**Mandates:** 34-44, 7, 55

Ecuador, Peru and Mexico have requested assistance for the identification of cases of transnational bribery, elaboration of property confiscation laws; models for tax evasion risk and tax fraud; creation of public registry of final beneficiaries. Institutions: Financial Intelligence Units (FIU); Law enforcement agencies; Superintendence of Banks.

#### **Current and proposed JSWG cooperation:**

- a) A Policy Dialogue on Money Laundering and its relationship with Corruption Investigations to be carried out in Washington, D.C. on September 12, 2019. Event coordinated jointly by the Summits Secretariat and the OAS Department against Transnational Organized Crime (DDOT)/OAS, and with the participation of experts from the World Bank StAR Initiative, the Inter-American Development Bank, the Asset Recovery Inter-Agency Network, the MACCIH/OAS and high level authorities of the Judicial and Executive branches of Peru.

**Venue and date:** Washington, D.C., September 12, 2019

**Source of funding:** Summits Secretariat

**Mandates:** 39, 40, 41, 42, 43, 44, 7, 55

- b) In coordination with the Summits Secretariat, the DDOT/OAS, Secretariat of Multidimensional Security, will conduct a workshop to review the national risk assessments (NRA) ML/TF of Central American countries in preparation for the 4th Round of Mutual Evaluations in the region with the aim of addressing deficiencies and examples of current practices. El Salvador will serve as the Host country, with participation of Costa Rica, Guatemala, Honduras, Nicaragua and Panamá. In addition to the DDOT/OAS and the Summits Secretariat, the IADB and the Executive Secretariat of GAFILAT will participate in the event.

**Venue and date:** San Salvador, El Salvador. July 20-21, 2020.

**Source of funding:** Summits Secretariat will support participation of 6 government authorities and the Technical Secretary of GAFILAT in the event.

**Mandate:** 43

- c) Special Session on cooperation in matters of investigations and procedures related to corruption, tax crimes and associated money laundering. In the context of the XLVIII Meeting of the Working Groups of the Group of Experts for the Control of Money Laundering (GELAVEX). This session will offer keynote presentations by invited experts from the Organization for Economic Cooperation and Development (OECD); the Stolen Asset Recovery (StAR) Initiative; the Inter-American Center of Tax Administrations (CIAT). The session will allow for the exchange of experiences and knowledge to strengthen cooperation mechanisms of JSW institutions with countries in the region.

**Venue and date:** Washington D.C., April 16-17th, 2020. Summits Secretariat  
**Source of funding:** Summits Secretariat will support the participation of OECD expert.  
**Mandate:** 37 and 44

#### IV. Publications

- a) The Summits Secretariat in collaboration from the JSWG High-Level Advisory Board will elaborate a report to take an in-depth look at the current efforts of anti-corruption in Latin America and the Hemisphere with a focus on public policies and legislation in curbing corruption.  
**Date:** Second semester 2020  
**Source of funding:** Summits Secretariat and CAF
- b) Key findings and main recommendations of publications by JSWG institutions related to governance and anti-corruption issues could be disseminated in tailored activities coordinated with participating states.

#### V. Other Relevant Activities

- a) “Shaping the Agenda with Data – The Impact of Corruption on Women. Regional findings and strategy for a gender approach to corruption in Latin America and the Caribbean,” Organized by Transparency International (TI). Participation of the Summits Secretariat along with the heads of TI and UN Women LAC Regional Office in the opening panel. The 2019 Global Barometer on Corruption was launched by TI during the event.

**Venue and date:** Guatemala, September 24<sup>th</sup>, 2019  
**Source of funding:** Transparency International  
**Mandates:** 7, 55.

- b) Policy Dialogue on the outlook of anti-corruption efforts in the Hemisphere.

**Venue and date:** TBC  
**Source of funding:** TBC

- c) Meeting of the JSWG High Level Authorities, Washington, D.C. September 2020

**Venue and date:** Washington, DC  
**Source of funding:** Summits Secretariat  
**Mandate:** 52

- d) Meeting of the JSWG High Level Authorities, Washington, D.C. September 2021

**Venue and date:** Washington, DC  
**Source of funding:** Summits Secretariat  
**Mandate:** 52

**VI. Annex**

**TABLE 1  
JSWG COVERAGE OF THE LIMA COMMITMENTS BY PILLARS\***

<b>Pillars of the Lima Commitment</b>		<b>OAS</b>	<b>IADB</b>	<b>ECLAC</b>	<b>PAHO</b>	<b>WB</b>	<b>IICA</b>	<b>CABEI</b>	<b>CAF</b>	<b>IOM</b>	<b>ILO</b>	<b>UNDP</b>	<b>OECD</b>
A	Reinforcement of Democratic Governance	6/12	4/12	1/12	1/12	4/12	0/12	0/12	0/12	0/12	0/12	4/12	4/12
B	Transparency, Access to Information, Protection of Whistleblowers, and Human Rights, Including Freedom of Expression	8/12	5/12	4/12	0/12	6/12	0/12	0/12	2/12	0/12	0/12	3/12	3/12
C	Financing of Political Organizations and Election Campaigns	2/2	0/2	0/2	0/2	0/2	0/2	0/2	0/2	0/2	0/2	1/2	1/2
D	Prevention of Corruption in Public Works and Public Procurement and Contracting	1/7	1/7	0/7	1/7	0/7	0/7	2/7	0/7	0/7	0/7	2/7	2/7
E	International Legal Cooperation; the Fight Against Bribery, International Corruption, Organized Crime, and Money Laundering; and Asset Recovery	8/11	4/11	1/11	0/11	8/11	0/11	0/11	0/11	0/11	0/11	0/11	0/11
F	Strengthening of Inter-American Anti-Corruption Mechanisms	5/7	0/7	0/7	0/7	0/7	0/7	0/7	0/7	1/7	0/7	0/7	0/7
G	Follow-Up and Reports	4/6	2/6	1/6	1/6	1/6	0/6	0/6	0/6	0/6	0/6	1/6	1/6

\* The information contained in this table was provided by JSWG members in 2019. It is not an exhaustive list of all work done in these areas and requires additional review by JSWG members for purposes of accuracy.

\*\* Fractions reflect the estimated coverage of mandates in a category that are addressed in JSWG members' activities.

**TABLE 2**  
**DIRECT AND INDIRECT MANDATES FOR THE JOINT SUMMIT WORKING GROUP OF**  
**THE LIMA COMMITMENT**

<b>Table of Mandates for the Joint Summit Working Group (JSWG)</b>
<b>Direct Mandates</b>
<b>3.</b> Promoting a hemispheric initiative to coordinate the efforts of competent regional and international organizations in the framework on the Inter-American Education Agenda focusing on civic education led by the Organization of American States (OAS), through the Inter-American Committee on Education (CIE), with the support of the Joint Summit Working Group (JSWG) and with respect for regional diversity.
<b>30.</b> Requesting that the Joint Summit Working Group (JSWG), together with other relevant regional and international bodies, develop an infrastructure platform to facilitate the exchange of experiences, training and cooperation programs for project monitoring and development, feasibility and risk analysis studies, transparent bidding procedures, and government procurement.
<b>44.</b> Promoting transparency in the exchange of tax information and requesting that the Joint Summit Working Group (JSWG) consider strengthening cooperation in this area among our States consistent with the existing international framework.
<b>51.</b> Calling upon the Joint Summit Working Group (JSWG) to support the implementation and strengthening of national human rights-based programs to develop the capacity of the police, public prosecutors' offices, the judiciary, and domestic oversight agencies to combat acts of corruption, including those related to drug trafficking, trafficking in persons, trafficking in firearms and other weapons and the smuggling of goods and wildlife.
<b>52.</b> Requesting that the Joint Summit Working Group (JSWG) assist States with resources and technical capacity-building, so that they can implement the commitments undertaken at this Summit in the area of strengthening democratic governance and the fight against corruption, including those commitments that refer to implementation of legislation, institution-building, training, and cooperation.
<b>Indirect Mandates*</b>
<b>7.</b> Promoting gender equity and equality and women's empowerment as a cross-cutting goal of our anti-corruption policies, through a task force on women's leadership and empowerment that will actively promote cooperation among inter-American institutions and synergies with other international agencies.
<b>14.</b> Promoting and or strengthening the implementation of national policies and plans, and as appropriate subnational plans in the areas of open government, digital government, open data, fiscal transparency, open budgeting, digital procurement systems, public contracting and a public registry of state suppliers, considering towards that end the participation of civil society and other social actors.
<b>17.</b> Promoting the use of new technologies that facilitate digital government in order to promote transparency, interaction with citizens and accountability, through development of tools for the identification, detection, systematization, and monitoring of government procedures and, to that end, strengthening cooperation and exchange of best practices on the development and application of such technologies.

**19.** Bolstering transparency and strengthening the accountability mechanisms of regional and international organizations of which we are members.

**20.** Promoting the establishment of an Inter-American Open Data Program within the OAS in order to strengthen open information policies and increase the capacity of governments and citizens to prevent and fight corruption, bearing in mind the important work done in this field within the inter-American framework and other regional and global initiatives.

**27.** Promoting the use of digital systems for government procurement and contracting of services and public works, to ensure disclosure, transparency, citizen oversight, and effective accountability.

**31.** Fostering transparency in the management of infrastructure and public resources allocated to ensure resilience to disaster, including the aforementioned infrastructure platform, in order to improve the response to emergencies and prevention, mitigation, recovery and reconstruction projects, and, to that end, promoting coordination through the Regional Platform for Disaster Risk Reduction in the Americas.

**42.** Deepening the participation of our States in multilateral networks and initiatives against money laundering, by providing the broadest and most rapid assistance possible to identify, trace, freeze, confiscate, forfeit, and recover assets.

**43.** Taking effective measures against tax evasion and to combat tax avoidance, money laundering, and the illicit financial flows derived from corruption; as well as measures to identify beneficial ownership.

**47.** Calling upon MESICIC to coordinate with other international and regional anti-corruption bodies so as to foster synergies and to avoid duplication of efforts in the fight against corruption.

**49.** Calling upon MESICIC to develop, within the framework of its sphere of competence, an initiative for observing and measuring anti-corruption policies, with a view to formulating anti-corruption indicators, promoting corruption prevention mechanisms, evaluating the impact and progress of public policies, consolidating a database of regional best practices, and conducting prompt risk analysis.

**50.** Strengthening the Inter-American Cooperation Mechanism for Effective Public Management (MECIGEP) as a forum for sharing best practices in democratic governance and open government.

**55.** Taking action such that follow-up measures stemming from the Lima Commitment promote the advancement of gender equity and equality and women's empowerment in the Hemisphere.

**56.** Recognizing the importance of the Summits Secretariat in following up on and implementing the mandates and initiatives stemming from the VIII Summit of the Americas and prior Summits, as well as that of the Technical Secretariat, which is the institutional memory of the process and the coordinating body of the Joint Summit Working Group (JSWG), and recalling that all tasks to be executed by the OAS stemming from this Lima Commitment and prior Summits are to be implemented respecting the necessary budgetary sustainability of the Organization.

\*Indirect mandates are those that are not directly stated for the JSWG, but fall under categories of projects that they are being carried out

## ACTION PLAN CALENDAR 2019-2021

JSWG ACTION PLAN (2019-2021)												
Activity	Host country	2019				2020				2021		
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
<b>Policy Dialogues</b>												
Money Laundering and its relationship with Corruption Investigations (September 12, 2019)	Washington D.C., USA											
2019 CAF Annual Conference: <b>"Governance, Integrity and Transparency for Development"</b> (November 4, 2019)	Quito, Ecuador											
Elaboration, presentation and workshops: CAF 2019 Report on Economic Development <b>"Integrity in public policy: keys to prevent corruption"</b> .	Ecuador, Mexico, Paraguay, Peru, Colombia & Chile											
Policy Dialogue <b>"Integrity in Public Policies"</b> OAS/CAF ( April 2, 2020)	Washington D.C., USA											
Policy Dialogue <b>"Outlook on anticorruption efforts in the Hemisphere"</b> . October 2020	TBC											
<b>Technical Assistance/Exchange of good practices</b>												
Socialize the national policy on open data draft with support of OAS/MECIGEP (November 2019)	Tegucigalpa, Honduras											
Technical assistance on Integrity in Public Service in follow-up to the Lima Commitment- a regional activity with participation of several member states (March 4-5, 2020)	Chile											
Technical meeting on Tax and Financial Crime Investigations. XLVI Meeting of the Group of Experts for the Control of Money Laundering (GELAVEX) (April 16-17th, 2020)	Washington D.C., USA											
Stocktaking exercise in coordination with the SSM/OAS on the outcomes of the Mutual Evaluation Reports on AML/CFT Anti-Money Laundering and Combatting the Financing of Terrorism ( July 20-21, 2020)	El Salvador, San Salvador.											
Workshop on risk assessment methodologies for journalists in the region drawing from the Inter-American standards and national practices on prevention, protection and prosecution of perpetrators to be coordinated with the OAS Rapporteur on Freedom of Expression (September)	TBC											
Policy advice and technical support for the creation and roll-out of the Civil Service Commission	Panama											
Creation and training of a Skills Development Program for the Management of the Civil Service	Costa Rica											
Development of a Judicial Performance Evaluation Program	Paraguay											
Technical assistance on the implementation of recommendations related to whistleblower protection mechanisms formulated by MESICIC	TBC											
Training by ECLAC through its Latin American and Caribbean Institute for Economic and Social Planning (ILPES): International Course (in Spanish) <b>"Open Government Policies on the Implementation of the 2030 Agenda for Sustainable Development"</b> (June, 2020)	Mexico City, Mexico											
Training by ECLAC, the Latin American and Caribbean Institute for Economic and Social Planning (ILPES) and the Open Government Partnership (OGP) on <b>"Open Government tools for transparent, participatory and collaborative public management"</b> . (October, 2020)	Santiago de Chile, Chile											
Presentation of document: <b>"Hacia una política de datos abiertos del Sistema de Compra Pública para los países miembros de la RIGG"</b>	Santo Domingo, República Dominicana											
Technical assistance on the implementation of recommendations related to whistleblower protection mechanisms formulated by MESICIC	TBC											
<b>Forums and Conferences</b>												
OECD/IADB Network for Public Integrity in Latin America and the Caribbean	Chile											
OECD Latin American and Caribbean Anti-Corruption Law Enforcement Network (LAC-LEN)	TBC											
OECD/CAF LAC Network on Corporate Governance of SOEs	TBC											
Second High-level Meeting of the OECD- on Latin America and the Caribbean Regional Programme (LARCP) on Integrity and Good Governance												
<b>Publications</b>												
Elaboration and presentation of the main findings of the Publication: <b>"Integrity in public policies: keys to prevent corruption"</b> during the CAF Annual Event												
Outlook of anti-corruption efforts in Latin America and the Hemisphere High Level Advisory Board Report (HLAB)												
<b>Other relevant activities</b>												
Participation in TI Regional Conference on <b>"Women and Corruption"</b>	Guatemala											
Meeting of the JSWG High Level Authorities 2020, Washington, D.C	Washington D.C., USA											
Technical Meeting of JSWG 2020												
Meeting of the JSWG High Level Authorities 2021, Washington, D.C	Washington D.C., USA											
Technical Meeting of JSWG 2021												
<b>Webinars</b>												
Democratization of information organized by the Summits Secretariat, OAS/DEPM and the Servicio Nacional de Empleo (SENA)-Colombia												
Disruptive technologies in the fight against corruption												

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