



SUMMIT IMPLEMENTATION
REVIEW GROUP (SIRG)
Sixth Regular Meeting for 2018
November 28, 2018
Lima, Peru

OEA/Ser.E
GRIC/O.6/doc.26/18rev.1
6 December 2018
Original: Spanish

**MECHANISM FOR FOLLOW-UP AND IMPLEMENTATION
OF THE LIMA COMMITMENT
“DEMOCRATIC GOVERNANCE AGAINST CORRUPTION”¹**

1. DESCRIPTION AND OBJECTIVES

The mechanism for follow-up and implementation of the Lima Commitment, “Democratic Governance against Corruption,” has the following objectives:

- To record the progress made by each state that attended the Eighth Summit of the Americas and by the organizations that make up the Joint Summit Working Group (JSWG), including the Organization of American States, in fulfilling the Lima Commitment, “Democratic Governance against Corruption.”
- To promote the exchange of good practices, technical capacity-building, and measures intended to strengthen, prevent, and combat corruption in the Hemisphere.
- To identify possibilities and resources for cooperation among the states, and between them and the JSWG member organizations, in the prevention and combat of corruption, and to create synergies with other international and regional mechanisms and initiatives of which our countries are part.

The Summit Implementation Review Group (SIRG)—the body charged with following up on the implementation of the mandates and initiatives stemming from the Eighth Summit of the Americas and all previous summits—will be responsible for the implementation of this mechanism, along with its Chair. The Summits Secretariat, as technical secretariat and institutional memory of the Summits process, and acknowledged for its important role in implementing the commitments and initiatives arising from the Eighth Summit and all previous summits, will be responsible for supporting the efforts of the Chair in setting up the Mechanism.

¹ “The Government of Nicaragua kindly informs the Heads of State and Government present at the Eighth Summit of the Americas that Nicaragua does not approve the Lima Commitment: “Democratic Governance against Corruption,” or other documents, declarations, communiqués, or resolutions that emanate from this Summit, given that it did not participate in the negotiation thereof.”

The Peruvian Chair will continue with the methodology adopted during the preparatory process for the Eighth Summit. Accordingly, based on the states' comments, revised versions of the Mechanism will be circulated. The presentation dates for the revised versions and deadlines for submitting comments are contained in Section 5 of this document.

2. ACTORS

- The States that participated in the Eighth Summit of the Americas
- Summits Secretariat
- JSWG, including the OAS and its competent bodies

The Mechanism for Follow-up and Implementation of the Lima Commitment is being developed based on the recommendations, knowledge, and lessons learned shared by the Technical Secretariat of the Mechanism for Follow-up on Implementation of the Inter-American Convention against Corruption (MESICIC), and the United Nations Office on Drugs and Crime (UNODC), which is responsible for following up on the United Nations Convention against Corruption (UNCAC).

The participation will be encouraged of relevant civil society organizations and other social actors that work in the area of transparency and the fight against corruption, including the academic sector and specialized networks.

Pursuant to paragraph 45 of the Lima Commitment, this Follow-up Mechanism will be designed so as not to duplicate the work being done by the MESICIC but rather to seek to strengthen it. Synergy will be sought between both mechanisms, with a view to helping to identify resources to strengthen the MESICIC operations, to be able to more efficiently address the new challenges posed by corruption in the Hemisphere.

3. MAIN FEATURES OF THE MECHANISM

a. The Mechanism will entail three broad stages or phases:

- **PHASE 1: Registration of progress made in compliance with the Lima Commitment** by states, the competent bodies of the OAS, and the other JSWG entities. This will be carried out over an online platform² that will include the follow-up or process indicators set out in Annex 1 to this Mechanism.³ These indicators are derived from all the commitments and will measure the changing level of implementation of each. The basic objective of the indicators to be adopted by the SIRG is to assist the states and JSWG

2. The virtual platform will be located on the web page of the Eighth Summit of the Americas (www.viiiicumbreperu.org). However, a link will be activated on the Summit Secretariat website, from which the platform can be accessed as well. The information will be migrated from the Summits of the Americas website (<http://www.summit-americas.org>) after the SIRG submits its report to the next Summit on the outcomes of the Mechanism for Follow-up and Implementation of the Lima Commitment. This platform will not replace the Summits of the Americas Follow-up System (SISCA). SISCA will remain in use for addressing the mandates of previous summits. For the purposes of follow-up on the Eighth Summit, SISCA will include a link to the Lima Commitment virtual platform. This platform has been fully funded by the Government of Peru.

3. Note that these are follow-up or process indicators, not outcome indicators. The Mechanism will not use the indicators for comparative reporting on states or for ranking them.

entities in recording their progress on the online platform. The registration process will be done from January to April 2019. The update to record further progress will be done from January to April 2020.

- **PHASE 2:** Creation of a **database of good practices and regional capacities** for preventing and combating corruption by the Summits of the Americas Secretariat based on the information gathered in Phase 1. States will be able to review and submit their comments on the consolidated database of good practices and regional capacities. For this purpose, there will be a two-week review period, after which the Secretariat will proceed with its publication. Similarly, the Summits of the Americas Secretariat, using the information recorded during Phase 1, will prepare a report on the challenges identified by states in implementing the Lima Commitment.

 - **PHASE 3:** The Summits Secretariat will promote networking forums for states and JSWG entities to pursue **cooperation initiatives** for preventing and combating corruption, *inter alia*, through technical meetings, working roundtables, and videoconferences. Such cooperation initiatives may be carried out among States, as well as between them and JSWG entities. The JSWG will assist States with resources and technical capacity-building, so that they can implement the commitments acquired (paragraph 52 of the Lima Commitment). Cooperation initiatives may also be funded by external sources. All cooperation initiatives and their outcomes will be registered on the Eighth Summit of the Americas web page.
- b. Mandate follow-up will be a comprehensive process based on strengthening the MESICIC, avoiding overlapping efforts, and promoting synergies with other international and regional anticorruption bodies. To that end, as applicable, States may take into account findings and experiences gleaned from implementation reviews of the Inter-American Convention against Corruption (IACC) and the United Nations Convention against Corruption (UNCAC).
- c. The follow-up and implementation mechanism will be voluntary and public, and the information it contains, freely accessible and available for consultation, except where, at the express request of a State, full or partial disclosure of information registered by that State would be inadvisable. Such nondisclosure should be requested in a written communication addressed to the Summits Chair.
- d. The Summits of the Americas Secretariat will continue to coordinate the process of participation and follow-up by social actors of the outcomes of the Eighth Summit of the Americas, including, in addition to assessing the progress made by states with the implementation of the Lima Commitment, the presentation of such recommendations as are deemed pertinent. In addition, each state may include the participation of civil society, youth, indigenous peoples, workers and the private sector in recording their progress on the mandates of the Lima Commitment. In such cases, each state will determine the method or form that civil society participation would take.⁴

⁴ Bolivia notes that the follow-up of implementation of the mandates of the different Summits of the Americas is incumbent upon the Summit Implementation Review Group (SIRG), rather than the Summits Secretariat, which only provides technical support to the States; much less is it authorized to evaluate the progress made by the States. The resolutions of the Organization of American States establish that the Summits Secretariat serves as the institutional memory and Secretariat of the Summits of the Americas. In that regard, the Summits Secretariat coordinates civil society participation and is

4. PHASES AND DEVELOPMENT OF THE MECHANISM

PHASE 1

The Chair of the SIRG has been developing an online platform, on the web page of the Eighth Summit of the Americas, where States will record their progress in meeting the mandates under the Lima Commitment. The platform's design is based on the mechanism used by UNODC for the UNCAC review rounds, which has been validated by the states parties to that Convention.⁵

The platform will have the following main components and features:

- a. The platform will allow detailed follow-up of all the mandates by including indicators for each of them.
- b. For reference purposes, the platform will identify how each mandate in the Lima Commitment relates to the provisions of the IACC and UNCAC. This will help each State to determine which aspects of prevention and the fight against corruption have been reviewed in their country previously.⁶
- c. Based on each indicator, the States and entities of the JSWG, including the OAS, will answer the following questions:⁷
 - What progress have you made in implementing this commitment? A. No progress made. B. Intermediate. C. Advanced. D. Completed. (Submit reply based on the corresponding indicator.)
 - Describe (identify and summarize) the measures adopted to ensure full implementation of this mandate of the Lima Commitment.
 - Provide examples and, as appropriate, statistics for how those measures are being applied in your country (or institution).
 - What challenges has your State encountered in implementing the Lima Commitment? Do you need technical assistance to implement this mandate? If so, indicate the type of assistance needed. (This question only applies to States.)
 - Are you receiving any technical assistance? If so, describe in general terms the nature of that assistance (e.g., legislative; creation or strengthening of institutions; policy design; capacity-building; data research, collection, and analysis; facilitation of international cooperation with other countries) and provide information on the donors. (This question only applies to States.)
 - Mention the good practices that your country has been using in the area of prevention and the fight against corruption that could be shared with other States that participated in the Eighth Summit of the Americas. Provide a

authorized only to formulate suggestions regarding the ways in which these organizations may contribute to the follow-up and implementation of the mandates arising from the Summits Process.

5. Based on the follow-up or process indicators included, the virtual platform will be able to measure the degree of progress made in implementing each mandate, setting this tool apart from others that are designed solely to collect information.

6. The way in which the mandates of the Lima Commitment relate to the provisions of the IACC and UNCAC is set out in Annex 2 of this document. This was done with the assistance of the MESICIC and UNODC.

7. The questions have been designed based on the review and evaluation mechanisms of the Inter-American Convention against Corruption and the United Nations Convention against Corruption (UNCAC).

- short description of each practice and attach files containing detailed information using the form in the Annex.⁸
- What kind of technical cooperation could your institution offer countries that took part in the Eighth Summit of the Americas which could contribute to the implementation of the Lima Commitment? (This question only applies to JSWG entities.)
 - d. The virtual platform will have three fields to be completed for each question: A. Summary response. B. Full response. C. Attached documents (States and JSWG entities may append documents supporting their registered responses). The Chair will develop an operational guide for registering information provided by the States and JSWG entities.
 - e. The National Coordinator for the Summits Process in each country will be the lead focal point for this Mechanism and will be responsible for overseeing the uploading of the state's answers to the online platform. Regardless of that, each State shall appoint an expert within its national anticorruption agency as a deputy focal point. It should be noted that, if necessary, the user ID and password provided by each state may be used by other personnel appointed by the focal points. In addition, States shall make efforts to include contributions from civil society and the private sector in responding to the questions asked.
 - f. Progress by States and the JSWG entities, including the OAS, in implementing the Lima Commitment will be registered from January to April 2019. Progress updates will be recorded from January to April 2020. The information will be posted on the Eighth Summit of the Americas web page at the end of each period (May 2019 and May 2020). It should be noted that states may, if necessary, continue updating their platforms with progress made, after coordinating with the Chair.
 - g. Registration of progress in the implementation of the Lima Commitment will be a comprehensive process based on strengthening the MESICIC, avoiding overlapping efforts, and promoting synergies with other international and regional anticorruption bodies.

PHASE 2

Based on the countries' answers in the initial registration and update periods, the Summits Secretariat will create a database of good practices and regional capacities for preventing and combating corruption and will identify requests for technical assistance made by States. The purpose of the database is to enable the systematic presentation of information provided by the participating States, as well as of offerings of institutional cooperation from the entities that make up the JSWG in the areas of prevention and the fight against corruption.

A "good practice" is defined as one that arises in response to a situation that requires amending or improving. It can be innovative (in the understanding that innovation does not only imply a new action, but can also be a different and creative way to perform or reorganize existing practices) and can, if applicable, include elements for assessing outcomes, for providing feedback on actions, and for reorganization. Thus, they are those activities that have a positive impact or lead to a qualitative leap forward in the country in connection with the implementation of one of the paragraphs of the Lima Commitment.

8. The form, which is included as Annex 3, was developed based on the methodology used by the MESICIC for the presentation of good practices.

The database of good practices and technical capacities will be publicly accessible through the Eighth Summit of the Americas web page. Its development, maintenance, and update will be the responsibility of the Summits Secretariat. Note that only those good practices that states submit using the form included as Annex 3 of this document will be published. Regardless of that, states can include descriptions of other good practices in their responses.

The consolidated information on the good practices and technical capacities database will enable the Summits Secretariat to promote cooperation forums, as detailed in Phase 3 of this document. In addition, that information will be shared with the MESICIC in order to contribute to the work that they are doing as a good practices exchange and repository, as well as with UNODC.

Similarly, the Summits of the Americas Secretariat, using the information recorded during Phase 1, will prepare a report on the challenges identified by states in implementing the Lima Commitment.

PHASE 3

The Summits Secretariat will promote cooperation on preventing and combating corruption among States, as well as between them and JSWG entities. The JSWG will assist States with resources and technical capacity-building, so that they can implement the commitments acquired (paragraph 52 of the Lima Commitment).

At its meetings, the SIRG will consider the progress made within the framework of the Mechanism for Follow-up and Implementation of the Lima Commitment, as well as that reported by the Chair of the Ninth Summit. In addition, a meeting of National Summits Process Coordinators will be scheduled for April 2019.

For the purposes of implementing Phase 3, it is envisaged that:

- a. The Summits Secretariat will use the database of good practices and regional capacities as a tool to promote cooperation among States, as well as between them and JSWG entities (offerings of institutional cooperation for specific technical assistance needs). To that end, the Summits Secretariat will arrange, *inter alia*, technical meetings, working roundtables, and videoconferences. The report on the challenges identified in implementing the Lima Commitment will also be taken into account.
- b. The Summits Secretariat will coordinate efforts with JSWG entities to generate spaces for contact, analysis, and exchange of information and good practices among those entities, as well as between them and States seeking cooperation.
- c. Cooperation initiatives may be open to funding by external sources, subject to what the States and/or JSWG entities involved may agree upon. All cooperation initiatives and their outcomes will be registered on the Eighth Summit of the Americas web page.
- d. The Summits Secretariat will encourage JSWG entities to present their institutional cooperation offerings in the context of the SIRG.
- e. The Summits Secretariat will coordinate with the MESICIC in order to program activities oriented toward the transfer of good practices to States based on the information registered in this Mechanism's platform.

5. SCHEDULE

- June 5, 2018: Presentation to the States that participated in the Eighth Summit of the Americas, of the Mechanism for Follow-up and Implementation of the Lima Commitment, “Democratic Governance against Corruption.” Delegations will have until Friday, June 22, to submit comments on the Mechanism.
- August 24, 2018: Distribution to the States that participated in the Eighth Summit of the Americas of a revised version of the Mechanism for Follow-up and Implementation of the Lima Commitment and its indicators. Delegations will have until September 14 to submit comments.
- September 4, 2018: At the Fifth Meeting of the SIRG in Washington, D.C., the States will submit their comments, either in writing or during proceedings, on the revised version of the Mechanism for Follow-up and Implementation of the Lima Commitment and its indicators.
- October 24, 2018: The Chair will distribute a new version of the Mechanism and its indicators based on the comments received from States. Delegations will have until November 9, 2018, to submit input on this new version.
- November 28, 2018: Approval of the final version of the Follow-up and Implementation Mechanism and its indicators, by the states, at the Sixth Meeting of the SIRG, in Lima, Peru.
- December 2018: Trial period for States of the Follow-up and Implementation Mechanism.
- January - April 2019: Registration by the States and the JSWG, including the OAS, of their progress in fulfilling the corresponding mandates of the Lima Commitment.
- May 2019: Publication of the information registered by States and the JSWG on the Eighth Summit of the Americas web page. Creation of a database of good practices and regional capacities in preventing and combating corruption by the Summits Secretariat. Meeting of National Summits Process Coordinators. Preparation of a report, by the Summits of the Americas Secretariat, on the challenges identified by the states in implementing the Lima Commitment.
- June 2019 – December 2019: The Summits Secretariat will promote cooperation initiatives for preventing and combating corruption among States, as well as between them and JSWG entities, through tools that already exist in the framework of the inter-American system.
- January – April 2020: Update by States and the JSWG, including the OAS, of their progress in fulfilling the corresponding mandates of the Lima Commitment.
- May 2020: Publication of the progress update registered by States and the JSWG on the Eighth Summit of the Americas web page. Consolidation of the database on good practices and regional capacities for preventing and combating corruption by the Summits of the Americas Secretariat. Identification of requests for technical assistance from the states.

Preparation of a report, by the Summits of the Americas Secretariat, on the challenges identified by the states in implementing the Lima Commitment.

- June 2020 – March 2021: The Summits Secretariat will promote cooperation forums for preventing and combating corruption among states, as well as between them and the JSWG entities.
- 2021 (Date to be determined): The SIRG will report, through the Chair of the Summits of the Americas process, on implementation of the Lima Commitment at the Ninth Summit of the Americas.

ANNEXES:

[Annexed 1: Indicators of the Mechanism for Follow up and Implementation of the Lima Commitment](#)

[Annexed 2: Mandates of the Lima Commitment and related articles of the Inter-American Convention against Corruption \(ICC\) and the United Nations Convention against Corruption \(UNCAC\)](#)

[Annexed 3: Standard format for presenting information on good practices](#)