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DEL PUEBLO DE LOS ESTADOS  
UNIDOS DE AMÉRICA

# PRODECENTRALIZATION PROGRAM

QUARTERLY REPORT (JULY - SEPTEMBER 2013)  
AND PRESENTING ANNUAL RESULTS

OCTOBER 2013

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.



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# QUARTERLY REPORT

## INTRODUCTION

This report describes the activities of the last quarter of the fiscal year 2013, as well as the progress of the Program since it started in October 2012.

During this first year, the Program has carried out several activities for the improvement of the political-regulatory framework to strengthen decentralization and the delivery of public services by regional and local governments. Among the most effective policies and reforms resulting from this assistance include: analyses of the territorial planning and land use (with the National Assembly of Regional Governments [ANGR]) and citizen participation (with the Public Management Secretariat of the Prime Minister's Office [PCM]); the reconstruction of three promising decentralized management experiences in San Martín; the drafting of the document "From Practice to Policy", some guidelines for the reconstruction of decentralized public management experiences; and technical assistance for key entities, such as the Decentralization Secretariat, the National Congress, the Ministry of Education (MINEDU) and the National Dialogue and Sustainability Office (ONDS, *in Spanish*).

By making the Annual Report of the decentralization process available to the key stakeholders of the national government, the subnational governments and civil society, the Program has contributed to the progress of political dialogue among these stakeholders. Additionally, concerning the progress towards the formulation of appropriate guidelines and procedures for the implementation of policies, four user-friendly and educationally appropriate technical and regulatory documents have been made available this year to the National Center for the Evaluation, Prevention and Reduction of Disaster Risks (*Centro Nacional de Estimación, Prevención y Reducción de Riesgo de Desastres, CENEPRED*) for such implementation.

At a decentralized level, conditions were created at the very beginning for an appropriate identification of the decentralized governments to be considered as members of the Decentralized Management Groups (GGD, *in Spanish*), including the development of five departmental diagnostics and the adjustment of the main tools that would be applied, i.e. FOCAS and QSIP. Later on, the Program implemented the five stages planned in its operational schedule for the strengthening of institutions and improvement of the services rendered by decentralized governments. One of the main achievements was the 100% accomplishment of the goals set for the application of the FOCAS tool (there are 27 analysis of institutional capabilities: 5 GR, 5 MP and 17 MD) and 80% for the application of the QSIP tool (because in the case of the GGD in San Martín a special operational schedule is followed). The five GGDs have plans for strengthening of institutional capabilities and the improvement of prioritized services.

Regarding the promotion of dialogue and the prevention of social conflicts, the capabilities of the decentralized governments in exercising this duty were strengthened. Additionally, in relation to disaster risk management, an emphasis has been made on strengthening the preventive and prospective capabilities in disaster risk management of the subnational governments.

Concerning the strengthening of capabilities in transparency and citizen participation mechanisms, the work done by the Program was in line with an open government policy and the processes started in each GGD. Among the actions taken to achieve this outcome, it is worth mentioning some analyses of citizen participation and oversight, short-term training activities and the design and validation of the three training programs.

Concerning the strengthening of alliances, the Program has consolidated collaborative work with some national authorities, for example, the Decentralization Secretariat, the Public Management Secretariat, the CENEPRED and the National Dialogue and Sustainability Office at PCM. Other authorities include the Ministries of Education, Environment, Development and Social Inclusion, Women and Vulnerable Populations and Culture, as well as the National Comptroller's Office.

In order for the Program's team to operate efficiently and effectively, the following activities were carried out in the first months: recruiting, hiring and mobilizing the technical and administrative team; looking for and renting an office; procuring and installing office equipment and furniture; and designing planning instruments (the Program Working and Monitoring Plans). It is important to mention that the Program's technical team has been very flexible and adapted well to the challenges and the complexities that have arisen while working to achieve the expected results. Additionally, the Program's administrative team has been able to integrate well, so the Plan of activities has been implemented as expected.

We have also had the opportunity to look back and reflect on the first year of the Program. In this process, one of the primary conclusions was that the assumptions made at the time of designing the Program that would become its foundation were not completely proved. Among the main assumptions that were not backed up by facts, we may mention, as an example: the certainty that the governmental policy of the new administration would be oriented towards "a great transformation," therefore, the strengthening of decentralization and the political will and consensus to articulate and strengthen the decentralization process between the national, regional and local governments; the existence of decentralized management experiences of other USAID projects, as a departing point for the implementation of *ProDecentralization Program*; citizen participation experiences in public services oversight in the departments; and a great demand of the Program activities by the authorities of the National Government.

Finally, looking back over the implementation of the Program after a year, we have identified some opportunities to be seized in the following years. They include the existing Platform of subnational governments (ANGR, REMURPE and AMPE); the regulations established for the modernization of public management (Policies, Plan and Handbook for an improvement of citizen services in public agencies); the willingness of some sectors to move forward with the decentralized management of their services (Education); and changes made in key governing authorities (PCM, Ministries) to forge new alliances.

## PROGRESS TOWARD PROGRAM RESULTS (TASKS)

### I. RESULT I: IMPROVE KEY POLICIES AND REFORMS

During the first year of the Program, there has been important progress made towards the accomplishment of Result 1. We may affirm that the foundations have been laid for the improvement of key public policies that may strengthen the decentralization process, particularly a decentralized management of services. Indeed, in relation to the Intermediate Result 1.1, policies have been improved by means of three working approaches: technical assistance for key entities for the formulation of guidelines and instruments that may contribute to build and improve decentralized management; the documentation of decentralized management experiences; and the drafting of documents containing useful information for the formulation and improvement of public decentralization policies.

Regarding technical assistance, because of its potential impact on the progress towards decentralized management, the following have been emphasized:

- Technical Assistance to the Decentralization Secretariat for the preparation of “A Guide to the Development of a Decentralized Management of Public Services” (*“Guía para la Construcción de la Gestión Descentralizada de los Servicios Públicos”*) and the “Guidelines for the Development of a Decentralized Management of Public Services” (*“Lineamientos para el desarrollo de la Gestión Descentralizada de los Servicios Públicos?”*).
- Technical Assistance for the National Dialogue and Sustainability Office (ONDS) for the drafting of an “Executive Order Draft for the strengthening of the ONDS institutional, structural and operational position” (*“Anteproyecto de decreto supremo para fortalecer a la ONDS en cuanto a su posición institucional, estructura y funcionamiento”*) and a “Bill proposed for the creation of a National System for the Prevention and Management of Social Conflicts” (*“Anteproyecto de ley de creación del Sistema Nacional de Prevención y Gestión de Conflictos Sociales?”*).
- Technical Assistance for the Ministry of Education for the development of decentralized management matrixes.

Additionally, four promising experiences or practices have been identified and reconstructed in the Department of San Martín, considering that is one of the departments that have received important technical assistance from USAID, and that its local and regional authorities have shown great interest in documenting the actions they have been taking. The following experiences were documented during the first year:

- “Some milestones in the creation and implementation of the Regional Environmental Authority (*Autoridad Regional Ambiental, ARA*) of San Martín”
- “Solid waste management experience carried out by the District Municipality of Jepelacio”
- “Conflict prevention and management experience by the Regional Government of San Martín”
- “Systematization and identification of milestones in the implementation of the Educational Management Model by the Regional Education Office (*Dirección Regional de Educación, DRE*) of the Regional Government of San Martín” (in course).

The second year of the Program will continue the same approach. For this purpose, the document “From Practice to Policy: Guidelines for the Reconstruction of Decentralized Public Management Experiences” was drafted. This instrument will serve as a guide for the identification and reconstruction of other promising experiences.

Concerning the progress towards the Intermediate Result 1.2, in this first year, the Program has sought to strengthen and create spaces for dialogue among the different entities of the national government, the decentralized governments and civil society. For this purpose, it has forged a strong alliance with the National Platform of Decentralized Governments, consisting of ANGR, AMPE and REMURPE, and has

helped organize several technical meetings in relation to the removal of authorities and territorial planning and land use.

Additionally, another important accomplishment that is worth mentioning is the strategic alliance formed with the newspaper *Diario Oficial El Peruano*. As a result, a special supplement on decentralization was published on Tuesday, September 3. It should be mentioned that this Supplement of the *Diario Oficial El Peruano* is distributed to all the public authorities and entities in the country because it is the newspaper in which the legal rules and other regulations issued by the different agencies of the Peruvian State are published.

Finally, concerning the progress towards the Intermediate Result 1.3, the Program has agreed with CENEPRED and the Public Management Secretariat/PCM to make an educational adaptation of important documents related to the disaster risk management policy and the State management modernization policy.

Based on this progress, we realize that in the first twelve months of the Program, a significant work has been done to improve key policies and reforms, as shown in the matrix annex 2.7

Below follows the report of the activities carried out in the last quarter.

## **1.1 Intermediate result 1.1 Formulation of policy refined.**

- **Progress towards the construction: “From Practice to Policy”**

- **Institutional milestones of the Regional Environmental Authority (ARA) of the Regional Government of San Martín**

The Program has drafted the document: *“Regional Environmental Authority (ARA) of the Regional Government of San Martín: Institutional Milestones of This Experience,”* in support of the Regional Amazon Council (*Consejo Regional Amazónico, CIAM*). The initial version of this document was improved with the comments of the CIAM Technical Secretariat and the representatives of the technical teams of the USAID *Perú Bosques* Project and the US Forest Service. In August 2013, the document was submitted to the ARA technical team of the Regional Government of San Martín for consultation.

The Head of the ARA San Martín sent her comments in the last week of September that were incorporated into the final version of the document. It will be formally submitted to the Collegiate Chairmanship of the CIAM. In this way, the first product containing a decentralized management practice that will be disseminated to other governmental levels will be finalized.

- **Systematization of the solid waste management experience by the District Municipality of Jepelacio**

The Program has been providing technical assistance to the District Municipality of Jepelacio in order to systematize its solid waste management experience. Between August 19 and August 24, 2013, a field visit was made to the district for the purpose of collecting the required information. During this visit, the following activities took place: interviews with the authorities, technicians and neighbors of the district; the observation and measurement of weather, geological and altitude conditions; and the collection of compost samples produced by the municipality in the solid waste separation plant replacing the old garbage dump, etc.

The systematization of this experience will be finalized in the first week of October. The document will be submitted to the authorities and the technical team of the Municipality. The Program will rely on the second documented decentralized management experience that will be released to and, hopefully, adopted by other local governments.

➤ **Reconstruction of the working experience of the Technical Team for the Prevention and Management of Social Conflicts of the Regional Government of San Martín (GORESAM, in Spanish)**

The Program has been providing technical assistance to the GORESAM<sup>1</sup> for the systematization of its working experience in the prevention and management of social conflicts. For this purpose, between September 3 and 6, 2013, a field trip was made to collect the required information. During this visit, the activities included interviews with the authorities, public officials and representatives of civil society as well as the residents of the City of Tarapoto who are familiar with the work done by the regional government team.

The document in which this working experience is systematized was finalized during the first week of October in order to be submitted to the authorities and the technical team of the regional government. The Program will rely on the third documented decentralized management experience that will be released to and, hopefully, adopted by other local governments.

➤ **Systematization and identification of milestones in the implementation of the Educational Management Model by the Regional Education Office (DRE) of the Regional Government of San Martín (GORESAM)**

Within the framework of the Regional Educational Project for 2021 (PER, *in Spanish*), and for the purpose of improving the delivery of educational services in the Department, the DRE of the GORESAM has been making progress towards its institutional redesign, particularly of the Local Educational Management Unit (UGEL, *in Spanish*) of Lamas. It believes it is important to systematize the present experience and disseminate it to other UGELs in the Department. In early September, the Department requested the technical assistance of the Program to draft a document that will reconstruct and systematize the developed processes, the adopted measures, and the applied methodology, among other aspects of the implementation of the educational management model.

Since the DRE expected to present its experience at the Second International Seminar on Educational Decentralized Management, organized by the Ministry of Education on September 25 and 27, the technical assistance began with the preparation of a PPT, emphasizing the milestones and processes developed from the start of the regional educational reform in 2007, the progress and outcomes achieved until this date and the challenges. This presentation was made on Thursday, September 26, by the GORESAM Regional Director of Education.

The final document with the systematization and identification of milestones in the implementation of the Educational Management Model by the Regional Education Office (DRE) of the Regional Government of San Martín (GORESAM) will be ready in November 2013. The Program will rely on the fourth documented decentralized management experience that will be ready for its release.

➤ **Methodological instrument for the transition: “From Practice to Policy”**

The Program drafted the document “*From Practice to Policy: Guidelines for the Reconstruction of Decentralized Public Management Experiences*” containing a basic methodological plan for the reconstruction of public management experiences in the decentralization process. The document is a roadmap of an inductive nature that helps strengthen national or subnational policies, starting with the practices or experiences that decentralized governments may have in the delivery of services to the population.

In this context, the first stage of the roadmap is the identification of a promising decentralization management practice or experience for the purpose of reconstructing it. Additionally, this reconstruction should facilitate the identification of any aspects that may need to be strengthened. It should also help draw some general criteria for the formulation of reforms of the institutional regulatory framework of

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<sup>1</sup> The assistance was requested by means of the Official Letter #826-2013-GRSM/GRPyP, received on August 27, 2013.

decentralized management, or some criteria for its reproduction or adaptation by its counterparts or other governmental levels, for the sake of the population and their rights.

This tool that has already been approved by USAID will be used during the first years of implementation of the Program. It is expected that in the next months, some alliances will be forged with the entities responsible for the decentralization process for the joint release of the tool. It is also expected that the tool may be used by the different entities of the national government and the decentralized governments.

- **Contributing to the critical issues of decentralization: an analysis of territorial planning and land use and citizen participation**

- **Territorial planning and land use**

One of the critical issues of decentralized management that is closely related to social conflicts is territorial planning and land use. For this reason, the document “Balance and proposals to improve the regulatory framework and public policies on territorial planning and land use” (“*Balance y propuestas para mejorar el marco normativo y las políticas públicas sobre ordenamiento territorial*”) has been drafted, and contains a situational analysis of the regulatory and institutional framework of territorial planning and land use in Peru. This document also incorporates proposals for and recommendations about the interventions that the Peruvian State may implement in order to improve territorial planning and land use policies of the country.

This document has been prepared for the National Assembly of Regional Governments (ANGR, *in Spanish*) because territorial planning and land use is one of the most important issues in any agenda so that the regional governments may move forward with the management of their territories and the assumption of the obligations shared with the national government. It should be mentioned that the content of the document has been ratified in a working meeting on August 9, with the participation of PCM representatives; public officials of the Regional Governments of Lambayeque, Piura and San Martín; representatives of civil society and specialists in this matter.

- **Citizen participation in decentralized management and public policies**

Concerning the request for technical assistance made by the Public Management Secretariat of the PCM, the Program prepared the document “Systematization of the Regulatory Framework and Proposals for the Strengthening of Citizen Participation within the context of the Open Government Plan of Action and the National Public Management Modernization Policy” (“*Sistematización del marco normativo y propuestas para fortalecer la participación ciudadana en el marco del Plan de Acción de Gobierno Abierto y la Política Nacional de Modernización de la Gestión Pública*”).

In the month of September, the draft document was reviewed and enhanced with the comments of the technical team of the Public Management Secretariat and the technical team of the *ProDescentralización* Program. At the end of the quarter, there was a final version of the document. Its main purpose is to provide the Public Management Secretariat with a basic proposal for guidelines so that the Office, in its governing role, may formulate a strategy for the strengthening of citizen participation in the implementation of public policies. The Public Management Secretariat expects that this strategy will be approved by a resolution of the agency and becomes part of the implementation of the National Management Modernization Policy.

- **Institutional strengthening in support of the national policy on dialogue, sustainability and the prevention of social conflicts**

Con For the purpose of strengthening the national policy for the prevention and management of social conflicts and making it more effective, the Program has continued to give technical assistance to the National Dialogue and Sustainability Office (ONDS) by drafting of two regulatory documents: i) an “Executive Order Draft for the strengthening of the ONDS institutional, structural and operational

position;” and ii) a “Bill proposal for the Creation of the National System for the Prevention and Management of Social Conflicts”<sup>2</sup>

The main aspects of the executive order draft for the ONDS institutional strengthening were introduced during the international event organized by the ONDS on July 19. Later on, this proposed regulation was finalized. The ONDS has the final version of the executive order draft for its institutional strengthening<sup>3</sup>. For this reason, it is expected that this regulation will be issued sometime soon by the PCM.

Additionally, on Thursday, September 26, the last version of the bill proposal for the creation of the National System for the Prevention and Management of Social Conflicts, along with the relevant statement of reasons, was submitted to the ONDS for its review and recommendations. Right now, the Program is waiting for the ONDS to make its final comments so that they are incorporated into the final version of the bill proposal. The final version will lay the basis of a bill that the Executive Branch will submit to the National Congress.

- **Legislative agenda for the strengthening of decentralized management**

Based on an alliance with the *ProGobernabilidad* Project of the Canadian Agency for International Development, the Program provided technical assistance to the Commission on Decentralization, Regionalization, Local Governments and State Modernization Management of the National Congress for the preparation of the basic document of its annual report on the status of the decentralization process<sup>4</sup>.

The final version of the document was sent to the Congress on June 20. The text of the annual report, as written based on the document submitted, was approved on June 22 by the Commission on Decentralization, Regionalization, Local Governments and State Modernization Management in an Ordinary Session. Its public presentation was on July 3.

- **Contributing to education decentralized management: technical assistance for the Ministry of Education (MINEDU)**

Technical assistance for the MINEDU for the formulation of a decentralized management policy has continued<sup>5</sup>. The Program has become a member of the “Technical Committee for the Development of Decentralized Management Matrixes”, made official by the Regional Coordination Office (OCR, *in Spanish*) of the MINEDU<sup>6</sup>. Since August, it leads the working subgroup, in association with the ANGR that is developing the decentralized management matrix of the “Teachers’ Hiring Management” process. The preliminary proposal of this matrix will be presented to the Technical Committee in the first week of October. The Program will continue to develop the matrixes of the other three processes prioritized by the MINEDU: Curriculum System Administration; Educational Institutions Development Management (infrastructure); and the Administration of Educational Materials and Resources Distribution.

Additionally, the Program’s assistance included participating as a facilitator in the workshop: “Management for the Transformation of Education” that took place on August 15 and 16 in the Department of Ucayali.

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<sup>2</sup> The Official Letter #0471-2013 dated August 12, 2013 expressed gratitude for the technical assistance given for the executive order draft and requested additional technical assistance for the drafting of the bill.

<sup>3</sup> Official Letter #0471-2013 dated August 12, 2013

<sup>4</sup> Official Letter #708 – 2012 - 2013/CDRGLMGE – CR, received on May 7, 2013.

<sup>5</sup> Official Letter #00148 -2013-MINEDU/VMGI, received on June 24, 2013.

<sup>6</sup> The official appointment of this working team took place on July 18, 2013. Its members are representatives of the OCR of the MINEDU, ANGR, REMURPE, AMPE, GRADE and the USAID ProDescentralización Program.

- **Contributing to inter-culturalism decentralized management: technical assistance for the Vice Ministry of Inter-Culturalism**

For the purpose of assisting the Vice Ministry of Inter-Culturalism with the adoption of an inter-culturalism approach in decentralized public management,<sup>7</sup> the technical assistance included reading and reviewing the following documents: i) A matrix of capabilities of the national, regional and local governments in relation to inter-culturalism and the right to prior consultation; ii) Guidelines for the prioritization of the public services that should adopt an inter-culturalism approach; iii) a Training Plan on Inter-Culturalism and the rights of Indigenous People, and; iv) a Research Protocol about the situation of inter-culturalism and the rights of indigenous people in the departments. Additionally, the Program is supporting the design of a methodology for the validation and implementation of the documents indicated by the decentralized governments.

In this period, several coordinating meetings were organized. The professional team members of the Program who will be responsible for each requested intervention have been appointed.

- **Contributing to decentralized management for the defense of women's and disabled people's rights: technical assistance for the Ministry for Women and Vulnerable Populations (MIMP)**

For the purpose of contributing to the implementation of a decentralized management of the services involving the rights of vulnerable groups, the Program has agreed to give technical assistance to the General Policy Monitoring and Evaluation and Decentralized Management Office of the MIMP<sup>8</sup>. The technical assistance will involve: i) reading and organizing meetings for the validation of the methodology to be used by the MIMP for the development of the decentralized management matrixes of the Women Emergency Centers and the Comprehensive Family Development Centers (CEM & CEDIF, *respectively, in Spanish*), as well as the duties related to the care of disabled people; ii) supporting the formulation of guidelines for the creation of decentralized management matrixes of its duties and other social protection services, administered by the MIMP; and iii) supporting the systematization of an inter-governmental articulation experience with the Municipal Child and Adolescent Advocacy Office (DEMUNA, *in Spanish*) of the District Municipality of *Independencia*.

At the time of writing this report, the MIMP has sent a preliminary version of the document containing the methodology that it will use to formulate the decentralized management matrixes of the CEM, CEDIF and its duties related to the care of disabled people. It is expected that the first working meeting with the technical team of the Program will take place during the second week of October.

## **1.2 Intermediate Result 1.2: Policy dialogue between national and sub-national governments and civil society promoted and strengthened.**

- **Promoting intergovernmental dialogue on Environmental and Economic Zoning (ZEE) and Territorial Planning and Land Use**

Based on an alliance with the *ProGobernabilidad* Project of the Canadian Agency for International Development, the Program organized a working meeting on August 9 in relation to “Territorial Planning and Land Use and Environmental and Economic Zoning” (ZEE, *in Spanish*). This meeting was attended by representatives of the relevant regulatory agencies (National Territorial Demarcation Technical Office (DNTDT) of the PCM, the Decentralization Secretariat (SD) of the PCM and the National Strategic Planning Center (CEPLAN); the Regional Governments of Piura, Lambayeque and San Martín); the associations of decentralized governments (ANGR, AMPE, REMURPE); civil society organizations; international cooperation agencies; and experts in these matters.

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<sup>7</sup> The assistance was requested by means of the Official Letter #0059-2013-DGCI-VMI/MC, received on August 06, 2013.

<sup>8</sup> The assistance was requested by means of the Official Letter #042-2013-MIMP-OGMEPGD, received on July 26, 2013.

As a result of this working meeting to promote dialogue among the stakeholders of the three levels of government and civil society, a technical report was written and distributed electronically to the participants and other entities interested in territorial planning and land use and ZEE. Both the ProDescentralización Program and the ProGobernabilidad Project were responsible for the distribution.

- **Contributing to the debate for the strengthening of the decentralization process: publication about the decentralization process in the *Diario Oficial El Peruano***

In response to the debate proposed by the President in his speech of July 28, 2013<sup>9</sup>, and for the purpose of publishing information that may be useful for the debate, the Program forged a strategic alliance with the *Diario Oficial El Peruano* to release the main challenges pending in the Decentralization process, based on the proposals presented by the Prime Minister's Office; the Commission on Decentralization, Regionalization, Local Governments and State Modernization Management of the National Congress; the National Assembly of Regional Governments; the Network of Rural Municipalities of Peru and the USAID *ProDescentralización* Program. This alliance was reflected in the publication of a special decentralization Supplement in the *Diario Oficial El Peruano* on Tuesday, September 3.

In addition to the release of the agenda, the Program coordinated the cooperation of renowned specialists (college professors of the *Universidad del Pacífico*, the *Pontificia Universidad Católica del Perú* and the *Universidad Nacional Mayor de San Marcos*) of the different disciplines involving the decentralization process. Their opinions were included in the above-mentioned Supplement.



### 1.3 Intermediate result 1.3: Clear guidelines to implement policies approved and disseminated

- **User-friendly disaster risk management materials**

The Program will provide technical assistance to CENEPRED to make an educational adaptation of the main disaster risk management regulatory documents: i) the Disaster Risk Management Policy; ii) the Law of the National Disaster Risk Management System no. 29664 (SINAGERD, *in Spanish*) and its regulations; and iii) Guidelines for the Application of the Disaster Risk Management Policy: the technical guidelines of the disaster risk estimation process and some guidelines for the creation and operation of working groups for disaster risk management in the three levels of government. The purpose of this educational adaptation is for the CENEPRED to rely on user-friendly materials that it may print and distribute among the public officials of the subnational governments.

- **User-friendly Manual version for the improvement of citizen service in the public administration agencies of the Public Management Secretariat/PCM**

The Public Management Secretariat/PCM has requested the technical assistance of the Program for an educational adaptation of the Manual for the improvement of citizen service in public administration agencies. This request was approved by the Ministerial Resolution #156-2013-PCM<sup>10</sup>. This user-friendly version will be distributed to all the State agencies. For this reason, the Public Management Secretariat will be in charge of printing it. It is expected that the distribution will start in December.

<sup>9</sup> Specifically, the President of the Republic said: "It is also necessary to start a national dialogue about the effectiveness of the decentralization process towards which we have been moving forward for a decade. We should ask ourselves whether we have been able to create a present effective and transparent State that serves all our fellow countrymen."

<sup>10</sup> Official Letter #1095-2013-PCM/SGP, received on September 25, 2013.

## 2. RESULT 2: STRENGTHEN DECENTRALIZED SUBNATIONAL INSTITUTIONS IN TARGET REGIONS

In the first year, the Program has carried out training and technical assistance activities to move forward with the strengthening of subnational governments. For this purpose, the Program takes into account the territorial, the decentralized and coordinated management approach between the different levels of government and the integration of the sectors. In general terms, we may emphasize the following progress towards the accomplishment of Result 2:

- The identification of the decentralized governments that are members of the first five Decentralized Management Groups (GSD, *in Spanish*). These GSDs involve a total of 27 decentralized governments: 5 regional governments, 5 provincial local governments and 17 district local governments. This was possible because there were quick (social, economic and political) departmental analyses, and because of the formulation of criteria for the selection of the potential governments participating in the GGD.
- The foundations have been laid for an intergovernmental coordination by means of the creation of 5 GGDs, one in each department of the Amazon region, consisting of a Regional Government, a Provincial Local Government and three or four District Local Governments. At the end of the first year of the Program, there is a GGD per department.
- There has been some progress in the integration of the sectors, especially governing authorities, at a national level (MINEDU, MINAM, MIDIS and PCM) in the work to improve public services by the GGDs. The experience of intergovernmental coordination that is taking place in San Martín with the MINEDU and the SGP/PCM for the improvement of a decentralized management of education is particularly important.
- The member governments of the GGDs rely on the analyses of their institutional capabilities in five main duties: planning, regulatory, executive/administrative, promotion of citizen participation and oversight and control. Based on these analyses, some plans have been formulated for the strengthening of institutional capabilities. These plans have been implemented in each government, along with the joint activities among the GGD members.
- Each GGD has identified a public service related to the narrowing of social gaps in education (distribution of educational materials), health (Growth and Development Control for children under 5 years old [CRED, *in Spanish*]) and environment (solid waste collection and transport). Some plans have been developed for their improvement. At the end of the first year, the implementation of the relevant activities has started.

| DECENTRALIZED MANAGEMENT AND PRIORITIZED SERVICE GROUP |                  |  |   |
|--|------------------|--|---|
| DECENTRALIZED MANAGEMENT GROUP                         | PRIORITIZED AREA | PRIORITIZED SERVICE  | CONTRIBUTION TO THE RESULT              |
| MADRE DE DIOS  | Environment      | Solid Waste Collection and Transport                                   | Improvement of Solid Waste Management   |
| UCAYALI  |                  |  |   |
| SAN MARTÍN   | Education        | Educational Materials Distribution                                     | Improvement in learning accomplishment  |
| AMAZONAS   | Health           | Growth and Development Control of Children under 5 years of age - CRED | Reduction of Child Chronic Malnutrition |
| LORETO   |                  |  |   |

- Considering the diversity of departmental contexts in which each GGD takes place, the levels of progress of service improvement plans are diverse. The implementation process of service improvement plans has been finalized, validated and started in the GGDs of Madre de Dios, Ucayali and Loreto, whereas in the Amazon region it is pending of approval. San Martín has required a particular strategy that is adapted to the reform and modernization process of educational management in a decentralized context, started by the Regional Government (DRE) itself, the Ministry of Education (MINEDU) and the SGP of the PCM.
- Concerning the promotion of dialogue and the prevention of social conflicts, there are the analyses of the duties and responsibilities assigned to this issue at an institutional level of five of the regional governments. Additionally, in coordination with the governing authority (ONDS), the capabilities to the exercise of this duty of two decentralized institutions (San Martín and Loreto), as well as of social leaders in the relevant departments, particularly the training of the social leaders of the Awajún Community in San Martín, have been strengthened.
- Concerning disaster risk management, the Program has helped coordinate and articulate the decentralized governments with the new prevention regulatory authority (CENEPRED). Within the context of an alliance with the MEF and CENEPRED, the Program has contributed to the strengthening of the capabilities of subnational governments in three departments: San Martín, Ucayali and Madre de Dios, for the incorporation of a disaster risk analysis in public investment projects.

## 2.1 Intermediate Result 2.1 Public administration capabilities strengthened.

In this quarter, several actions contained in the Strengthening Plan of the Institutional Capabilities of the GGDs were implemented. The development of the service quality improvement plans was finalized, using the QSIP tool to adapt to the reality of each department and prioritized service.

- **The subnational governments of the GGDs continue implementing the Strengthening Plans of Institutional Capabilities**

The most important progress made in the quarter includes:

| AMAZONAS   |
|--|
| Regarding the Fund for Economic Inclusion in Rural Areas (FONIE, in Spanish), the technical assistance provided by the Program for the drafting of technical documents to be submitted to the Fund has contributed to the improvement of articulation capabilities among the GGD governments. In the quarter, 10 technical files have been submitted to the Housing and Sanitation Sector for the purpose of beginning the process to request financing from the FONIE for a total amount of new Soles 2, 381,082.16. Four Projects, out of the ten submitted, corresponded to the regional government, three to the provincial Municipality of Condorcanqui and there to the district Municipality of El Cenepa. If these Projects are implemented, they will benefit 19 locations. |
| MADRE DE DIOS  |
| The actions had the purpose of: <ul style="list-style-type: none"> <li>– Improving tax revenue capabilities. For this purpose, the technical assistance has helped finance the services rendered to the citizens by the provincial Municipality of Tambopata and the district Municipality of Inambari.</li> <li>– Having an impact on policy decision-makers for the improvement of final solid waste disposal by district municipalities in order to have regulated landfills</li> <li>– Informing the public officials of the district Municipality of Inambari about the need to meet the goals of the Municipal Incentive Plan (PI) in relation to solid waste management (characterization study).</li> </ul>  |
| LORETO   |
| For the District Municipality of Mazan and other subnational governments that are members of the GGD in Loreto, and within an alliance with the MEF, several actions were implemented to prepare a workshop on   |

public investment projects for OPI and UF. The Program, in coordination with the Regional Health Office (DIRESA), is preparing a list of health projects, specifically in child chronic malnutrition, developed by local governments that may be financed by the regional government.

Technical assistance for the strengthening of the OPI in the district Municipality of Mazán is starting to be provided. The development of the Project would support the expansion and improvement of the Health Center.

### SAN MARTÍN

In permanent coordination with the MINEDU and the SGP/PCM, the Program is assisting the Regional Education Office of the GORESAM in the different working commissions for an effective implementation of the Regional Educational Plan. Some technical assistance has been provided to 6 technical teams of the DRE that will:

1. Designing the Processes and Citizen Service Improvement Plans
2. Formulating the Capabilities Development Plan of people
3. Formulating and implementing the Communication Development Plan. In this regard, both the Regional Education Office and the Local Educational Management Unit (UGEL) have strengthened their capabilities in communications planning (they have a plan until 2016).
4. Implementing the Regional Educational Management Model
5. Redesigning and making an organizational adaptation within the framework of the reform and modernization of the regional government. The design of the institutional management instruments (ROF, CAP & MOF) of the DRE and the 11 UGELs has already started. In this quarter, the work with the UGELs in Lamas and Rioja has finalized while the work with the UGEL Bellavista and the DRE is currently taking place.
6. Designing actions in ethics, transparency and participation matters
7. Formulating and disseminating the medium-term Educational Plan (shared with the SUMA Project). For the release of the Plan, the Program, along with the DRE, organized the Regional Forum: "Implementation of Local Educational Management within the framework of the Regional Educational Management Model." In this Forum, the President of the Regional Government and the provincial and district mayors have agreed to devote all the necessary efforts to reduce educational gaps in each of their territories.

### UCAYALI

The following actions are important to mention:

- Organizing an internship in a treatment and administration plant of a landfill, as well as visits to the MINAM and ProInversiones in order to learn about other experiences in comprehensive solid waste management
- Organizing a comprehensive solid waste management course for the Municipality of Coronel Portillo that would be extended later to the institutions of the GGD in Ucayali
- Recommendations for the ROF Project of the ARA Ucayali to include solid waste management obligations.

All the actions taken within the framework of the implementation of the Capabilities Strengthening Plan may be read in the matrix Annex 2.8: Chart of the progress towards the implementation of the Strengthening Plans of Institutional Capabilities.

- **The five GGDs have Plans for the improvement of the quality of prioritized public services**

In the last quarter, the implementation of the QSIP has started in the GGDs in Loreto, Amazonas and San Martín; the collection of data in the GGDs of Ucayali and Madre de Dios is being finalized; and the formulation of the plans for the improvement of services quality for the five GGDs is being finalized. The plan for the improvement of service quality in the Amazon region is pending validation. In the case of the GGD in San Martín, it has required a particular strategy that is compatible with the reform and modernization process of educational management in a decentralized context, started by the Regional Education Government (DRE) itself and the Ministry of Education (MINEDU), in close cooperation

with the SGP/PCM. The following chart shows some detailed information of the progress towards the design and implementation of the Plans for the improvement of the quality of prioritized services for each of the GGD.

| PROGRESS IN THE IMPLEMENTATION OF THE PLANS FOR THE IMPROVEMENT OF THE QUALITY OF PRIORITIZED SERVICES                |   |   |   |   |
|---|---|---|---|---|
| PRIORITIZED SERVICE/STAGES  | AMAZONAS  | LORETO  | MADRE DE DIOS   | UCAYALI   |
|   | GROWTH AND DEVELOPMENT CONTROL FOR CHILDREN UNDER 5 YEARS OF AGE - CRED   | GROWTH AND DEVELOPMENT CONTROL FOR CHILDREN UNDER 5 YEARS OF AGE - CRED   | SOLID WASTE COLLECTION AND TRANSPORT  | SOLID WASTE COLLECTION AND TRANSPORT  |
| <b>Vision and Values Session</b>  | <p><b>September 17</b></p> <p><b>Vision:</b> "By 2017, the children in the Amazon Region will receive quality CRED service, with a comprehensive and intercultural approach, as a result of an articulate action of public and private institutions and civil society. Such service will be provided by qualified staff that has a calling for service and is committed to reduce chronic child malnutrition."<br/> <b>Motto: "The Amazon region: a leader in healthy and competent children"."</b></p> | <p><b>August 27</b></p> <p><b>Vision:</b> "By 2017, the children under 5 years of age will receive quality, efficient and effective CRED services that are rendered by qualified professionals and technicians who are committed and have a calling for service." The management of the services is decentralized and articulate among the different public stakeholders, and relies on the support of a population that is aware of the problem of chronic malnutrition in the region."<br/> <b>Motto:</b> "Loreto, a strong and large region with controlled expectant mothers and children."</p> | Reported in the last quarter  | Reported in the last quarter  |
| <b>Workshop: Designing tools for service improvement (Technical Assistance for each member government of the GGD)</b> | <p><b>September 18</b></p> <p>Four Service Improvement Teams (EMS) per each health center that is head of a micro-network - Condorcanqui<br/> A schedule for the application of service evaluation tools (satisfaction surveys and focus groups) was developed.</p>   | <p><b>August 28</b></p> <p>4 Service Improvement Teams (EMS) per each health center that is head of a micro-network - Maynas<br/> Application of service analysis tools: 400 surveys made to service users (100 per health center) and 60 service providers that participated in the focus groups.</p>  | Reported in the last quarter  | Reported in the last quarter  |
| <b>Action Planning Workshop (Technical Assistance for each member government of the GGD)</b>                          | <p><b>September 17-27</b></p> <p>Four proposed improvement plans to be validated by the results of surveys in the Health Centers of Nieva, Kig Kis (Nieva), Galilea (Río Santiago) and Huampami (El Cenepa).</p>  | <p><b>September 25</b></p> <p>Four improvement plans prepared and ready to be implemented in the Health Centers of Moronacocho (Maynas), Bellavista Nanay (Punchana), Pueblo Libre (Belén) and Mazán (Mazán).</p>   | <p><b>July 18-20/August 15-30</b></p> <p>Four improvement plans prepared and ready to be implemented by the Provincial Municipality of Tambopata (urban area) and the District Municipalities of Laberinto, Las Piedras and Inambari.</p> | <p><b>August 1-30</b></p> <p>Four improvement plans prepared and ready to be implemented by the Provincial Municipality of Coronel Portillo (urban area) and the District Municipalities of Campo Verde, Nueva Requena, Manantay and Yarinacocho.</p> |



Aplicacion of PMCS in Amazonas

- **Beginning of the implementation of Plans for the improvement of the quality of prioritized public services of the GGDs**
  - There has been progress in **Madre de Dios** towards:
    - An intergovernmental and inter-sectorial coordination in relation to hospital waste management.
    - The implementation of a special strategy for the Regional Government, oriented towards an improvement of citizen service. For this purpose, a workshop was designed for the improvement of the customer service rendered by the natural resources, economic development, social development, planning, agriculture and education Regional Executive and Administrative Offices.
  - **In Ucayali**, the GGD members have started the following activities:
    - Preparing an educational campaign, articulated with some information and dissemination actions about solid waste collection and transport service (collection schedule and environmental education in schools).
    - The Provincial Municipality of Coronel Portillo has started an infrastructure modernization process to improve the delivery of prioritized services (purchase of recycling garbage containers).
    - Technical Assistance with the teams of the subnational governments in order to rebuild the solid waste collection process and detect any potential problems. This methodology has helped the public officials to recognize the service production cycle (chain of value), the problems they face and the improvements that may be made.
  - **In San Martín**, as it was mentioned before, it has been necessary to formulate a particular strategy that is compatible with the reform and modernization process started by the Regional Government itself and all its operational agencies. There is the advantage of a favorable context for an intergovernmental and inter-sectorial coordination in the territory, with the participation of the health and education sectors and the Qali Warma-MIDIS program.

## **2.2 Intermediate result 2.2: Modernization of public administrative systems and policies at sub-national levels improved.**

- **The public officials of decentralized governments have strengthened their management capabilities by results**

Through an alliance with UNICEF and the Ministry of Economy and Finance (MEF), the Certification Course “Management by Results, with an Emphasis on Early Childhood” (“*Gestión por Resultados con Énfasis en la Primera Infancia*”) has been organized in the Department of Amazonas. Approximately fifty public officials, regional and local authorities of Amazonas and representatives of the Universidad Nacional Toribio Rodríguez de Mendoza have participated. The last module will begin at the end of this quarter.

- **Public officials strengthen their capabilities through promoting a coordinated public investment**

There has been progress coordinating the actions of the MEF, UNICEF and PRISMA for the organization of macro regional decentralized workshops for the promotion of a coordinated public investment in education and health. The workshop for the Departments of Amazonas, San Martín, Loreto and Ucayali will take place on October 28 and 29 in the City of Tarapoto.

## 2.3 Intermediate result 2.3: Integration of sectors within sub-national governments achieved.

Progress in this period:

- In **San Martín**
  - o A coordinated implementation of several actions to enhance the outcomes of the workshops. This is based on the actions coordinated in the local management committee of social development that has been created in each district, with the participation of the GORESAM – DRE, MINEDU, the Public Management Secretariat/PCM, local governments, Health, Qali Warma, the National Identification and Vital Statistics Registry (RENIEC), UGEL, the educational network and USAID.
- In **Amazonas**, we should emphasize the integration of the MIDIS (through its social programs and the FONIE), as well as the Ministries of Housing and Construction and Economy and Finance, in relation to actions for the strengthening of safe water management capabilities. From the beginning of the Program, some efforts have been devoted to bring together the subnational governments within these sectors. The response has been favorable.

In **Ucayali and Madre de Dios**, efforts are being made to involve the MINAM and ProInversión. Specifically, in Ucayali the authorities that are GGD members (the Regional Manager, the Provincial Mayor of Coronel Portillo and the District Mayors of Manantay, Campoverde, Yarinacocha and Nueva Requena) will benefit by the awareness campaigns organized by the MINAM regarding the national environmental management strategy and comprehensive solid waste management. This will be the result of an internship that these public officials will experience in Lima in November.

## 2.4 Intermediate Result 2.4: Capacity to effective manage and respond to conflict and natural disasters.

### • Promotion of dialogue and prevention of social conflicts

In the last quarter, in San Martín the capabilities for the promotion of dialogue and prevention of social conflicts have been strengthened by means of training courses, in coordination with the National Dialogue and Sustainability Office of the PCM (ONDS/PCM). This accomplishment is reflected in the following results:

- 48 public officials of regional and municipal governments and representatives of civil society are capable of applying methodological tools for the prevention of social conflicts; they understand the importance of having a Regional Office for Dialogue and Prevention of Social Conflicts; and are committed to the promotion of dialogue as an approach to prevent and solve social conflicts in their departments. This was the result of the training workshop in the City of Tarapoto that took place from July 31 to August 2.
- 28 Representatives and leaders of the Indigenous Community of Awajun in San Martín are capable of applying dialogue mechanisms and tools for the promotion of peace in their community, and formulating strategies for the resolution of specific conflicts (as it is the case of the Native Community of Bajo Naranjillo). This workshop took place in the Native Community of Shampuyacu (on September 5 and 6).



Social Conflict Workshop with Indigenous Community of Awajun – San Martín

Additionally, for the purpose of strengthening the governing authority of the ONDS-PCM in the matter, the following actions have been jointly taken:

- Building capacities to promote dialogue among the public officials of decentralized governments, starting with the design and implementation of an appropriate theme program.
- Strengthening the capabilities of dialogue and prevention of social conflicts of the authorities and public officials of the national government and the decentralized governments, as well as the leaders of civil society, by preparing and making an educational adaptation of training materials (issues or supplements).

- **Disaster Risk Management**

There has been progress in this component:

- The public officials of the regional governments of nine departments (five of which were the Regional Government of Madre de Dios and the Provincial Municipality of Tambopata) strengthened their capabilities in the application of advanced participation methods (the principles of facilitation, design and application of the question approach, and principles and procedures of a consensus workshop). They may also successfully guide cooperative work and develop basic facilitation techniques. The training course took place in the last quarter of the year.
- The Program has proposed a Guide to Regulations and Technical Guidelines for Disaster Risk Management in Peru that is educationally adapted for the promotion and dissemination in a user-friendly language of regulatory policies and technical contents in disaster risk management matters.
- Strengthening of the strategic alliance with the CENEPRED (countersigned by the Official Letter #329-2013-CENEPRED) in order to promote the incorporation of disaster risk management in the management instruments of regional and local governments (ROF, MOF & PDC).



### **3. RESULT 3: ENHANCE TRANSPARENCY MECHANISMS AND CITIZEN PARTICIPATION**

The accomplishment of this outcome is related to the commitments made by Peru, set forth in the Open Government Plan of Action, to improve the levels of transparency and the guaranteed right of access to public information, citizen participation and accountability mechanisms and an increase of public integrity and services because of the use of information technology.

For the logical purpose of proposing appropriate strategies to achieve the expected result, quick evaluations were performed on the organizations of civil society and the spaces and committees of citizen oversight existing in the five departments of the Amazon region. This analysis helped reveal the great weakness of the social web and the lack of existence of spaces dedicated to the oversight of public services, especially health, education and environmental management ones.

This acknowledgment encouraged the development of the so-called “immediate-impact actions” that included short-term theme and methodological training proposals in transparency and access to public information, citizen participation and accountability mechanisms, leadership and political impact and citizen oversight for the improvement of public services.

These actions intended to prepare the ground for an appropriate implementation of the capabilities strengthening programs that the *ProDescentralización* Project has aimed to formulate in the first year, in coordination with the Public Management Secretariat of the Cabinet Chief of Staff, in its capacity of Technical Secretariat of the Permanent Multi-sectorial Commission for the monitoring of the implementation of the Open Government Plan of Action and its governing role in the transparency and access to public information policy<sup>11</sup>.

One of the results of the “immediate-impact actions” has been identifying the training needs of the public officials of the regional and local governments, the organizations of civil society and the spaces and committees of citizen oversight in the Amazon region. Additionally, it has been recognized how important it is to promote citizen participation, transparency and accountability, as mechanisms that legitimate public management and make it democratic. These actions helped strengthen the capabilities of over 600 public officials and members of organizations of civil society.

#### **3.1 Intermediate result 3.1: Government accountability and independent control systems used effectively**

- **Strengthening control duties**

In the last quarter, the General Comptroller’s Office (CGR) of the Republic has been provided with user-friendly materials for affidavits. *ProDescentralización* has provided technical assistance for an educational adaptation of two manuals about the use of online affidavits, both for the Heads of the General Administration Offices (OGA, *in Spanish*) and for officials who need to use them. The CGR has been favorable to the proposed educational adaptation of both manuals. It believes that its user-friendly design will contribute to increase the number of affidavits that are properly submitted.

The *ProDescentralización* Program has consolidated this alliance by committing to give additional cooperation in the area of citizen audits. These actions will help to better comply with the open government obligations of the Peruvian State, particularly the commitment to public integrity and more transparency.

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<sup>11</sup> The *ProDescentralización* Program presented the proposed technical assistance for the development of these capabilities strengthening programs during the second Ordinary Meeting of the Technical Secretariat of the Permanent Multisectorial Commission for the monitoring of the implementation of the Open Government Plan of Action that took place on April 25, 2013, in the main office of the Cabinet Chief of Staff.

- **Strengthening oversight duties**

The political situation surrounding the election of the Head of the Ombudsman's Office made it difficult for collaborative work that may set in motion the intention to strengthen the capabilities of the departmental teams of this constitutional agency for the oversight of health and education public services.

In the last quarter, the commitment of this institution has been defined by identifying the actions set forth in its plan of activities for 2014 that may complement the actions proposed by the Program in relation to the oversight of public health and education services as well as the oversight of transparency portals and accountability mechanisms of the public agencies in the Amazon region. For this purpose, this institution has expressed the need for strengthening the capabilities of its departmental teams. This is an issue that the Program has included in the planning of fiscal year 2014.

On the other hand, the Ombudsman's Office has been a key stakeholder in the preparing activities (Quick-Impact Actions) for the implementation of the capabilities strengthening interventions that the Program has been promoting in the five departments of the Amazon Region.

- **Strengthening the capabilities of the public officials of regional and local governments in transparency, access to public information, citizen participation and accountability**

The Program has finalized formulating the strengthening of capabilities in transparency, access to public information, citizen participation mechanisms, accountability and open government of the public officials of regional and local governments. This Program has educationally appropriate themes, as well as a methodological guide, that will facilitate the relevant training during the second year of implementation of the Program.

Its production has been coordinated with the Public Management Secretariat/PCM that also participated in the validation of the Program with the GGD in Loreto. Finally, it is expected that the program may contribute to meet the commitments of the Peruvian State, made in the Open Government Plan of Action, and the accountability for which the State is responsible every year as an Open Government Society.

With the validation of the Program, the capabilities of the public officials of the decentralized governments that are members of the Decentralized Management Group in Loreto were also strengthened. This action is worth mentioning because it consolidated the strategic alliance with the Public Management Secretariat of the PCM the participation of which helped position its governing role in transparency and access to public information, and identify the demands and suggestions of the decentralized governments in this matter.

- **Improving the communication skills of the Decentralized Management Groups within the framework of an Open Government policy**

Concerning the development of Communication Plans per department, it has been specified that the National Modernization Policy and the Open Government Plan of Action are cross-cutting themes for any communication actions that the member governments of the GGD may take.

For this reason, some activities were carried out between August and September with the Heads of the Institutional Image Offices of the member governments of the GGD in order to know their training and technical assistance needs. These activities, along with the meetings with local communicators, represent the beginning of a sustained technical assistance for the communicators and/or specialists that are members of the GGD for the improvement of their communication skills.

### **3.2. Intermediate result 3.2: Citizen Participation in public participatory processes increased**

- **Strengthening the capacities of the organizations of civil society**

The organizations of civil society have a program for the strengthening of capabilities in human rights, democracy and citizenship; open government; transparency and access to public information; citizen participation mechanisms and accountability; and impact and democratic leadership. Within the framework of the technical assistance coordinated with the Public Management Secretariat/PCM, *ProDescentralización* has finalized developing the program containing some educationally appropriate themes, as well as a methodological guide, that have been validated by representatives of the civil society participating in the activities for the improvement of the GGD's service in Loreto.

It is expected that this program for the strengthening of capabilities will be implemented in the second year. It is expected that it will contribute to comply with the Open Government Plan of Action because the program involves the performance of the governmental institutions and the participation of civil society.

- **Strengthening the leadership and impact capabilities of key indigenous leaders and public officials in the Amazon region**

Some members of the Neighborhood Councils of the Province of Condorcanqui (Department of Amazonas), where the *awajún* and *wampis* population has an average knowledge of the Spanish language, strengthened their leadership and political impact capabilities in this last quarter.

For this purpose, the Program developed a methodology that favored play activities and reduced actions requiring reading and writing skills. As a result, the evaluation by the participants was highly positive. Multiple training requests were received related to leadership and citizen oversight of public services.

As a consequence of the activities in September, the Program has positioned itself as an institution contributing to the strengthening of the capabilities of indigenous leaders, incorporating an intercultural approach in an effective way, and creating spaces for dialogue with key public officials in citizen participation and transparency matters.

- **Native communities have culturally appropriate communication materials**

Based on the needs of the public officials of the Health Network in the Province of Condorcanqui, in the Department of Amazonas, the preparation of communication materials (service user instruments), addressed to native communities in Amazonas and Loreto, for the service of Child Growth and Development Control, has been coordinated in the last weeks. In the case of Amazonas, there is a Booklet and a Banner of the "Development Evaluation Instrument for children between 0 and 30 years". These products are developed in permanent coordination with the Condorcanqui – Nieva Health Network. It is expected to print these materials in the following period.

### **3.3. Intermediate result 3.3: Effective citizen oversight committees improved and broadened**

- **Strengthening the capacities of citizen oversight committees and spaces**

The third capabilities strengthening program, coordinated with the Public Management Secretariat/PCM, involves the Citizen Oversight Committees and Spaces dealing with the conceptual issues of citizen oversight, as well as the oversight of public health, education and environmental services (in an illustrative way).

In the quarter, the development of the program containing educationally appropriate theme issues and a methodological guide was finalized. This program will help comply with the Open Government Plan of Action because it will incorporate the principle of cooperation between the State and civil society for a better delivery of public services.

- **Strengthening the capabilities of key leaders and public officials in citizen oversight of public services**

The weakness of a social web within the scope of action of the Program makes sustainable citizen oversight difficult. The preparatory actions for the implementation of the above programs, however, helped identify potential citizen oversight spaces where the Program has provided training. There has been a favorable response to the proposed oversight of public services in their locations.

There has been some training workshops for the leaders of organizations that are interested in the oversight of public health services (Amazonas and Loreto) and solid waste management (Madre de Dios and Ucayali). As a result of these actions, some spaces have been created for joint meetings and learning among civil society and decentralized governments. It is expected that an effective oversight of public services will come to fruition within the framework of the plans for the improvement of services quality implemented by the GGDs.

- **Improving the knowledge of the role of organizations of civil society and citizen oversight spaces**

When the Communication Plans per department were developed, some feedback was received for a better dissemination of the role of organizations of civil society and citizen oversight spaces and committees. These actions have been incorporated into the departmental communication plans. They will be used to strengthen the communication skills and the spoke-person role of the leaders of civil society regarding prioritized services.

## 4. CROSS-CUTTING THEMES: SOCIAL INCLUSION, GENDER AND INTER-CULTURALISM

The actions taken in the first year have incorporated the social inclusion, gender and inter-culturalism approaches. This is a characteristic of the Program that has been recognized by governing authorities at a national level and the decentralized governments with which the Program has jointly worked, as explained in detail below.

- **Social inclusión**

The Program has supported the initiatives of the decentralized governments to incorporate and abide by the social inclusion policy favored by the Peruvian State that is in line with the strategy of all the stages of the Program (design, implementation and evaluation). An analysis of the situation of the member Offices of the new Regional Social Inclusion and Equal Opportunity Head Office (Office for Disabled People, Office for the Development of Indigenous People and Office for the Promotion of Law and Gender) has contributed to an institutional strengthening of the Regional Government of San Martín. It has also involved technical assistance in the process of reviewing the POI and PEI and developing the SWOT analysis of each of these offices. Based on these items (Analysis and SWOT), the team of the Regional Social Inclusion and Equal Opportunity Head Office has developed a working plan for the upcoming years, relying on the technical assistance of the Program.

- **Gender**

The decentralized governments and key stakeholders of the departments in the Amazon region (San Martín, Amazonas, Loreto, Madre de Dios and Ucayali)<sup>12</sup> rely on information about the main gender gaps, which will help them to make decisions regarding public policies promoting the equality of genders. This information is contained in the document: “Gender Analysis in the Amazon Region” (*Diagnóstico de Género en la Amazonía*) that was prepared in coordination with the Ministry for Women and Vulnerable Populations (MIMP) and the Inter-Regional Amazon Council (CIAM). In the last quarter it was agreed to have it published and disseminated.

Additionally, in this quarter, the MIMP and *ProDescentralización*, for the purpose of promoting a decentralized management of the services in their charge, and moving forward with the intergovernmental coordination in gender matters, have taken actions to build the decentralized management matrixes of the Women Emergency Centers (CEM) and the Comprehensive Family Development Centers (CEDIF), as well as to prepare an intergovernmental coordination protocol between the MIMP and the District Municipality of *Independencia*, based on the experience of the Municipal Child and Adolescent Advocacy Office (DEMUNA), started by the municipality.

- **Inter-culturalism**

The Program has been particularly sensitive to taking into account the specific needs of the indigenous communities that have a significant presence in the departments of the Amazon region during the design, implementation and evaluation of its activities. It has contributed to get recognition for these communities and reduce the inequalities they suffer.



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<sup>12</sup> The identified gender gaps are related to a limited access to health and education services (especially, the continuance and finalization of high school for women and early education), as a result of a basic knowledge or the lack of a fluent knowledge of Spanish; the differentiated impacts of extractive industries; and the administration of natural resources due to the differentiated roles of women and men both in urban and rural areas, among other factors.

In this regard, during the quarter, the Program has strengthened the capabilities in the promotion of dialogue and prevention of social conflicts of 28 representatives and leaders of the indigenous community Awajún in San Martín. It has further given them mechanisms and tools for the resolution of any conflicts specific to their reality. Additionally, special attention has been paid to convening and securing the participation of the representatives of native communities in the Amazon region in all the activities carried out by the Program.

In Amazonas, the Program has promoted access to the services of the Growth and Development Control Center for children under 5 years old (CRED) by adapting the CRED evaluation instrument to the *awajún* and *wampis* languages. This instrument will help reduce the inter-cultural gap limiting the access of children and their parents to the service, which is in line with the struggle against child chronic malnutrition being promoted by the decentralized member governments of the GGD. It is important to mention that these materials, as all the other ones produced by the Program, use gender-sensitive language.

For the purpose of assisting the Vice Ministry of Inter-Culturalism with the adoption of an inter-culturalism approach in decentralized public management, the technical assistance included reading and reviewing the following documents: i) A matrix of capabilities of the national, regional and local governments in relation to inter-culturalism and the right to prior consultation; ii) Guidelines for the prioritization of the public services that should adopt an inter-culturalism approach; iii) a Training Plan on Inter-Culturalism and the rights of Indigenous People, and; iv) a Research Protocol about the situation of inter-culturalism and the rights of indigenous people in the departments. It is expected to contribute to efforts for an increased representation and participation of the indigenous population in the decision-making processes and give them the benefit of access to the delivery of quality public services.

## 5. STRATEGIC ALLIANCES

In the first year, the alliances forged by the Program and its strategic partners, such as the governing public authorities of the theme working areas, the USAID projects, other cooperation agencies and the associations of subnational governments, have been consolidated in order to combine efforts for the strengthening of decentralized management, the reduction of any existing gaps for the access to and delivery of quality public services and, in some cases, the expansion of the scope of the Program activities.

Among the strategic alliances that have been formalized and consolidated this year are the following:

**For Result 1: An improved regulatory-political framework.** There have been many opportunities for coordination with the governing authorities of the national government that are responsible for the design of public policies: the Decentralization and Public Management Secretariats, the National Dialogue and Sustainability Office, the CENEPRED of the Prime Minister's Office, the Ministries of Education and Women and Vulnerable Population and the steering committee of the National Election Board (JNE, *in Spanish*). In these meetings, an agreement was reached and there has been progress towards the implementation of technical assistance interventions for the modification and strengthening of decentralized management policies. This also includes international cooperation Programs (the *ProGobernabilidad* Project and GIZ), NGOs (Transparencia and Idea Internacional) and associations of decentralized governments (REMURPE, AMPE, ANGR and CIAM).

**For Result 2: Most efficient subnational governments.** Concerning the progress towards strengthening the capabilities of decentralized governments in the efficient delivery of prioritized public services, the synergic work done with different national stakeholders, as well as other cooperation agencies, should be emphasized. This includes:

- In the health sector, it has been important to combine efforts with the Ministry of Development and Social Inclusion (MIDIS), through the Fund for Economic Inclusion in Rural Areas (FONIE); the Ministry of Housing, Construction and Sanitation (MVCS), through the National Rural Sanitation Program (PNSR) and the Drinking Water and Sanitation Program for Rural Areas in the Amazon Region; the Ministry of Economy and Finance (MEF); the UN Children Fund (UNICEF); the Round Table for the Struggle against Poverty [*Mesa de Concertación para la Lucha contra la Pobreza, MCLCP*]; Cáritas of Perú; the *Fondo de las Américas* (FONDAM); and the PRISMA Association. Additionally, with the *Perú Bosques* Project, for the creation of the Regional Environmental Authority in Ucayali, Madre de Dios and Loreto. The coordination with these institutions has been particularly important to move forward with the actions implemented to reduce child chronic malnutrition in the Department of Amazonas but it is expected to expand the work to other departments in the Amazon region.
- In the education sector, the Program has jointly worked with the Ministry of Education (MINEDU), through its Regional Coordination Office; the Public Management Secretariat (SGP/PCM) and the Regional Education Office (DRE) of the Regional Government of San Martín, as well as with the SUMA Project.
- In the environmental management sector, the coordinating activities with the governing authority in this matter, the Ministry of the Environment (MINAM), have been particularly important to promote interventions in the GGDs of Madre de Dios and Ucayali. Likewise, the coordinated work of all the USAID projects and programs, particularly in Madre de Dios, in line with the Roadmap established by the GR in 2012, has been important.
- The work coordinated with the National Dialogue and Sustainability Office (ONDS/PCM) has been significant for the promotion of dialogue at a decentralized level.
- Concerning disaster risk management, an important alliance has been forged with the National Center for the Estimation, Prevention and Reduction of Disaster Risks (CENEPRED) and the MEF. Additionally, in this period, a relationship of coordinating actions has been established with OFDA-USAID, which helped define the scope of activities of the Program.

**For Result 3: Improved transparency and citizen participation mechanisms.** The main strategic alliance of the Program has been formed with the Multi-sectorial Commission of Open Government comprising the Public Management Secretariat of the PCM; the General Comptroller's Office of the Republic, the Ombudsman's Office and representatives of civil society. It is in charge of monitoring the implementation of the Plan of Action for the strengthening of capabilities in an effective application of the transparency and access to public information policies by the decentralized governments. Furthermore, the Program has jointly worked with the General Comptroller's Office (CGR) for the strengthening of its oversight duties through the General Administration Offices (OGA); the Ombudsman's Office, for an improvement of the oversight capabilities of health and education public services; and CRS, particularly with the Project of Conflict Mitigation and Development of the Amazon Region, for the identification of potential cooperation areas in common working areas.

## 6. COMMUNICATIONS

- **Communications strategy**

Communication actions have been designed with the purpose of releasing information, positioning prioritized services and strengthening the communication skills of the stakeholders. As a result, there has been an internal coordination with the communication teams of the GGD member institutions and focused technical assistance, as well as support for the improvement of their communication strategies and products with a gender and an inter-culturalism inclusive approach in relation to services.

The results produced this first Year include:

- A strategy proposing communication guidelines oriented towards the improvement of the actions of the Decentralized Management Groups.
- The member subnational governments of the GGDs rely on Communication Plans (a plan per department).
- The design of the Knowledge Management Platform has started in coordination with the Public Management Secretariat/PCM.
- The “Decentralization” policy has been released in the national media for free. Based on some coordinating actions with the Head of News of the newspaper “*El Peruano*,” the “*Jurídica*” Supplement was identified as an appropriate space. The “*ProDescentralización*” Program published a special issue, with the assistance of 8 feature writers specialized in this matter and the production of central reports. The article analyzes the progress and the challenges of the process (starting with the known common issues of the agenda, as proposed in the meetings organized with the Cabinet Chief of Staff, the National Congress, the National Assembly of Regional Governments and the Network of Rural Municipalities of Peru). The publication was distributed both in hard copy and electronically (website of the newspaper and emailing) at a national level.
- Technical assistance for the administration of information in the Education Forum of San Martín. The media participated in the Forum “Implementation of Local Educational Management within the framework of the Regional Educational Management Model,” through the communicator responsible for the Regional Education Office, with the technical assistance of the “*ProDescentralización*” Program. The press release was distributed to the other communicators of the Educational Management Units (UGEL) in San Martín. Several telephone interviews on the radio were made to Education specialists and members of the “*ProDescentralización*” Program before the forum. In the press, 5 press releases were published while another 2 were disseminated in national informational portals (Inforegión and Andina). Seven communicators of public institutions (of the Regional Government, Provincial and District Municipalities, the UGEL, the “*Qalivarma*” Program, etc.) and seven journalists who shared the commitments of the Forum participated in the press conference. Because of these actions, the Regional Educational Management Model was positioned in the mass media.

## 7. MONITORING AND EVALUATION

- **Performance Monitoring Plan - PMP**

In the first year of the Program, the relevant activities were monitored according to the Monitoring and Evaluation Plan. The available data of the indicators corresponding to the results of the Program has been collected, systematized and analyzed. Data collection included the collection of field information and the use of secondary sources. This data was systematized and analyzed in Excel worksheets in order to obtain information about the level of progress or accomplishment of the goals of each indicator for the relevant report.

At the end of the first year of the Program, the following instruments are available:

- **Monitoring and Evaluation Plan (PMP)**, developed 60 days after the beginning of the Program and approved by USAID on February 1, 2013.
- **Designed data collection tools** for the collection of information by the indicators.

Additionally, for the monitoring of the Program, there is information available from:

- **The results of the analysis of institutional capacities (FOCAS)** and the needs for institutional development that will serve as a basis.
- **The evaluations of the quality of the services prioritized by the PCMs (QSIP)**, based on service user surveys.
- **Surveys of the citizens' perception** of the performance of regional and local governments in the delivery of services in the Amazon departments.
- **Information of secondary sources.** This information is triangulated with the data obtained from the evaluations and the service quality surveys in order to infer the level of progress of the activities and identify any problems, which will guarantee the efficiency and usefulness of the monitoring.

The results of these evaluations and the key indicators, as well as data collection methods, are used to draw conclusions about the results of the Program and the delivery of public services at a decentralized level.

The balance of the first year regarding the activities carried out and the results obtained is positive. It has been possible to reach the goals set for each PMP indicators:

Thirteen out of the 26 PMP indicators, had set goals for the first year of the Program; 100% of the goals of the 13 indicators have been met while, in other cases, this percentage has been exceeded. Detailed information and the performance report of the PMP indicators (Annual Performance Indicator Report) are enclosed to the Report as an Annex matrix 2.1

### **Changes to Scope of work - Program SOW**

Within the context of the contractual modifications made by USAID to the Program (modifications/adjustments of the Statement of Work [SOW] of the Program), one of the actions in progress is reviewing the Performance Monitoring Plan (PMP) and making the necessary adjustments of the indicators according to the modifications in order to measure the effectiveness of the Program implementation.

These reviews will reinforce the approach of the programming, based on results and using comprehensive and articulate instruments, such as baselines, institutional analyses, citizen perception surveys and audits of the delivery of municipal services, among others. The reviews of the PMP will reflect the information obtained from the Institutional Capacities Analyses and the Plans for the Improvement of Service Quality.

- **Survey on public perception**

At the end of the last quarter, there are the results of the **survey of the performance of regional and local governments in the delivery of services in the departments of the Amazon region**, completed in the month of July in the selected districts of the Provinces of Condorcanqui (Amazonas), Maynas (Loreto) Tambopata (Madre de Dios) Lamas (San Martín) and Coronel Portillo (Ucayali). In order to have a better idea of what was happening specifically in each location, a sample of 500 cases was determined in each province, with a total of 2500 comments in the survey. The research was conducted by the Instituto de Estudios Peruanos (IEP).

One of the conclusions drawn from the results of the survey indicates that although the results are very interesting, the Institute believes that it is not the best measurement as a baseline for the *ProDescentralización* Program. It is very difficult to grasp a change in perception. Even more, during the eight years that [the Institute] has asked similar questions at a national level, it has determined that the perception data about satisfaction with the services of local governments has not changed (*Barómetro de las Américas*). Therefore, they wonder, *How can a short-term program change this perception, specifically if citizens are asking for development in terms of economic improvement and water, electricity and sewage?* This is an issue that will be discussed at the time of reviewing the PMP indicators.

- **Status of compliance of the deliverables of the period**

During During the first year, the *ProDescentralización* Program has complied with and forwarded to USAID on time, a total of **24 deliverables comprising 65 products** and representing 100% of the scheduled deliverables. Most of these deliverables were submitted before the deadline, as shown in Annex 2.1 Matriz of deliverables.

# ANNEXES



# I. SUCCESS STORY:

## 1. Commitment to improve education in the Region of San Martin

**Inter-sectoral and inter-governmental (national, regional and local) coordination in strengthening Local Management of Education**



Seminar on the Implementation of Local Management of Education, held in Lamas – San Martin – on 20 September 2013/2013.

*“(…) San Martin is moving forward, the Regional President, alongside municipal mayors, is managing the process that will show the country that it is possible to “decentralize” education, working hand-in-hand with the national government. Articulating efforts of sectors and levels of government is only possible if the efforts produce concrete results which benefit the population …”*

— Patricia Correa, Chief of the Office of Regional Coordination of the Ministry of Education

The Regional Government of San Martin, through the Regional Education Directorate (DRE), in coordination with the Local Education Management Units (UGELs), Provincial and District Governments of San Martin and the USAID ProDescentralización project organized the *"Forum : Implementing Local Management of Education"* with 255 participants committed to improving the quality of education in the Region of San Martin.

The President of the Regional Government of San Martin, Mr. Cesar Villanueva Arevalo, the Regional Director of Education, Mr. Mercedes Karina Ortiz Torres, Provincial and District Mayors of San Martin, educational directors and specialists, school council representatives, the Health Sector of the Ministry of Education, domestic and foreign donors and invited guests signed a Memorandum of Agreements and Commitments for Improving the Learning Achievement of Children in the department. Highlights of the agreements include:

1. Commitment to implement of the *"Local Management of Education for Social Development"* in selected districts in each province, with support and technical assistance and UGELs DRE.
2. The provincial and district municipalities will support implementation in the pilot districts (Cacatachi, Alberto Leveau, Buenos Aires, Bajo Biavo, Nuevo Progreso, Pachiza, Agua Blanca, Alto Sapasoa, Nueva Cajamarca, Yantalo, Barranquita).
3. The mobilization of Parent Associations, Local Participatory Education Councils, Regional Participatory Education Councils, to learning achievement.
4. The inclusion of financing and activities for institutional development in 10 provincial and 77 district level budgets.



## SUCCESS STORY:

# 2. The “Awajún” Indigenous Community strengthened to resolve social conflicts

### The promotion of dialogue between the native communities of “Shampuyacu” and “Bajo Naranjillo” for the prevention and resolution of social conflicts



Workshop on Social Conflicts and the Promotion of Dialogue in the native community of Shampuyacu- Rioja (05 - 06 de September, 2013).

*“(...) Traditionally, the community has always worked on the peaceful management of conflicts, but one never stops learning and this work shop has helped the community leaders to resolve problems day-to-day”*

— Julio Peas Yagkitai, Interim Chief of the Community.

The National Office of Dialogue and Sustainability of the Presidency of the Council of Ministers in Peru has defined a National Strategy for the Prevention of Social Conflict promoting dialogue to preventively address situations that might escalate to violence.

The ProDescentralización Program of USAID has supported the Regional Government of San Martín in the application of the strategy by the capacity building of civil society organizations, the dissemination of key concepts and dialogue tools, and strategies for the management and resolution of social conflicts.

ProDecentralization conducted a *"Social Conflict Prevention and Promotion of Dialogue"* workshop in the City of Moyobamba (May 30-31, 2013) seven representatives of the Awajún indigenous community. These participants, in turn, asked that ProDecentralization conduct a follow on training for the native community of "Shampuyacu" in the province of Rioja (Sept. 05-06, 2013), with the following results:

1. The 28 participants chose as a case study "Bajo Naranjillo", a power struggle between two native leaders (Noe and Manuel) seeking to assert their leadership of the community).
2. Workshop participants - including key, present day leaders of “Bajo Naranjillo” such as the interim Chief of the community, Julio Peas Yagkitai, and Governor Cahuaza Tsamuch Lenin - who proposed specific, dialogue based strategies for resolving the conflict.
3. The workshop produced a Methodological Guide tailored to the specific, conflict resolution needs of the Awajún community, taking into account linguistic diversity, cultural practices, group dynamics, oral and artistic expression.



## II. MATRIXES

- 2.1 ANNUAL PERFORMANCE INDICATOR REPORT AND DELIVERABLES
- 2.2 CONTRIBUTIONS OF PARTNERS FROM PUBLIC AND PRIVATE SECTORS
- 2.3 ANNUAL SUMMARY MATRIX OF CAPACITY STRENGTHENING AND TECHNICAL ASSISTANCE
- 2.4 CONSOLIDATED ANNUAL WORKSHOP MATRIX AND NUMBER OF PEOPLE TRAINED
- 2.5 CONSOLIDATED ANNUAL TECHNICAL ASSISTANCE MATRIX AND NUMBER OF PEOPLE THAT RECEIVED T.A.
- 2.6 ACTIVITIES AND PROGRESS IN THE DEPARTMENTS DURING 2013 (INCLUDING GGD)
- 2.7 PROGRESS IN RESULT 1 DURING FY 2013
- 2.8 PROGRESS IN INSTITUTIONAL STRENGTHENING OF CAPACITY-BUILDING PLANS

