



USAID
DEL PUEBLO DE LOS ESTADOS
UNIDOS DE AMERICA

USAID|PERU PRO-INTEGRIDAD

EIGHTH QUARTERLY REPORT FROM OCTOBER 1 TO DECEMBER 31, 2014

January 2015

This publication was produced for review by the United States Agency for International Development (USAID) and prepared by Tetra Tech DPK (Tt DPK), a division of ARD Inc. in Peru.

USAID|PERU PRO- INTEGRIDAD

EIGHTH QUARTERLY REPORT

FROM OCTOBER 1 TO DECEMBER 31, 2014

Program name:	USAID Project for the Promotion of Justice and Integrity in the Public Administration (Pro-Integridad)
USAID Financing Office:	USAID/Peru
Contract number:	AID-527-C-13-00001
Contractor:	ARD Inc.
Issue Date:	January 2015

JANUARY 2015

The opinions issued by the authors in this publication do not necessarily reflect the point of view of USAID or of the Government of the United States of America.

Contents

LIST OF ACRONYMS	4
I. INTRODUCTION	5
II. EXECUTIVE SUMMARY	5
III. OBJECTIVES AND RESULTS OF THE PROJECT.....	6
IV. WORK MEETINGS	22
V. ADMINISTRATIVE SUMMARY.....	25
VI. RELEVANT ELEMENTS OF THE PERUVIAN JUSTICE NATIONAL CONTEXT.....	25
VII. PRODUCTS AND DELIVERABLES	26
VIII. FINANCE QUARTERLY REPORT	27
IX. SUMMARY OF ACTIVITIES PLANNED, ACCOMPLISHED AND UNDER PROGRESS FOR THE PERIOD COVERING FEBRUARY 15, 2013 TO DECEMBER 31, 2014	28
ANNEX N° 1 PMP: UPDATED TABLE OF INDICATORS.....	31

LIST OF ACRONYMS

AMAG	Academy of the Magistracy
AWP	Annual Work Plan
CAJ	Comision Andina de Juristas
COP	Pro-Integridad Chief of Party
CPC	Criminal Procedures Codes
CSO	Civil Society Organization(s)
DCOP	Deputy Chief of Party
DIPLOMA	Diploma Course Specialized in the Judicial System to resolve corruption cases
ETI-CPC	Institutional Technical Team for the Implementation of the Criminal Procedure Code
GIZ	German International Cooperation Agency
GOP	Government of Peru
IDC	Implementation District Committee
IDEHPUCP	Institute of Democracy and Human Rights of the Pontifical Catholic University of Peru
IIM	Institutional Integrity Model
IIS	Institutional Integrity System
JB	Judicial Branch – Judiciary
JCA	Judicial Council Academy
JRC	Judicial Research Center
M&EP	Monitoring and Evaluation Plan
MEF	Ministry of Economy and Finances
MINJUS	Ministry of Justice and Human Rights
MoU	Memorandum of Understanding
NJC	National Judicial Council
NGOs	Non-governmental Organizations
OCTI	Office of International Technical Cooperation of the Judicial Branch
OPROCTI	Projects and International Technical Cooperation Office of the Public Ministry
PM	Public Ministry
PMP	Performance Management Plan
PROJECT	Pro-Integridad Project
PUCP	Pontifical Catholic University of Peru
ST-CEICPP	Technical Secretariat of the Special Commission for the Implementation of the Criminal Procedure Code
TOT	Training for Trainers
USAID	United States Agency for International Development
USG	Government of the United States of America

I. INTRODUCTION

This document provides the eighth quarterly report of the USAID/Peru Pro-Integridad Project, implemented by Tetra Tech ARD¹ pursuant to contract number 527-C-13-00001. This report covers the period October 1- December 30, 2014, and the activities scheduled in Pro-Integridad Project's annual Action Plan (the Project).

II. EXECUTIVE SUMMARY

This quarterly report reflects the progress of work that the project team successfully completed pursuant to the implementation scheduled in the Work Plan for Year 2 approved by USAID. The most significant actions of the project during the current quarter were:

- **Implementation of judicial and prosecution corporate management models:**
 - Update of the Judicial Office Regulation within the framework of the application of the Criminal Procedure Code – CPC, presented by the Institutional Technical Team for the Implementation of the Criminal Procedure Code – ETI-CPC to the Executive Council of the Judicial Branch for approval.
 - Development of the guidelines to program and manage hearings at the trial phase with the CPC, approved by the ETI-CPC of the Judicial Branch – JB.
 - Training workshops in Chachapoyas (Amazonas), Iquitos (Loreto) and Moyobamba (San Martín) with 79 participants (18 judges and 61 members of Support areas).
 - Adoption of the circles of innovation methodology in the Superior Courts of Justice of Amazonas, Loreto and San Martin.
- **Diploma of Specialization in the judicial system to resolve cases of Corruption – Diploma:** As of the date of this report, 13 judges, 14 prosecutors and 3 public attorneys anti-corruption of Lima and Callao finished the Diploma Course which specialized in investigating and adjudicating corruption cases. 15 judges, 19 prosecutors and 2 public attorneys from Loreto, Amazonas and San Martin have started the Diploma's virtual phase, with a launching ceremony at each of the judicial sites, attended by local authorities from the Public Ministry – PM and the JB, IDEHPUCP's Academic Coordinator, Pro-Integridad representatives, and the participants in the Diploma. Both the JB and the PM have appointed 22 judges and 17 prosecutors to take the final Diploma course which is starting January 2nd, 2015 for the judges with the National Criminal Chamber and from the judicial districts of Lima and Callao.
- **Technical Assistance to the Public Attorney's Office Specialized in Crimes of Corruption:** During the last quarter, the Public Attorney, Dr. Christian Salas, approved the Manual to calculate civil reparations in crimes against the public administration developed by the Project, and expressed his commitment to implement it. This quarter Pro-Integridad presented the proposal to develop and implement a "Simulator to calculate the civil reparation on damages", which is an automated tool aimed at facilitating the application of the methodology included in the Manual.
- **Development of a more Accessible and Detailed Jurisprudence System.** On June 30, 2014, the Project submitted to the JB the Guide for the systematizing of jurisprudence related to corruption matters to be used by the Judicial Research Center – JRC. On August 18th the Compendium of Legal Terms on Official Corruption, which is the first product of its kind developed for the JB, was finished and delivered to the counterpart. The finalized version of the compendium was submitted to USAID on October 6th, 2014. It will facilitate the organizing and search of decisional law and jurisprudence in corruption matters and may be replicated to other specialties. Both the guide and the compendium have been approved by OCTI and JRC.
- **Technical assistance to the Judicial Branch to develop a Clear and Simple Language Judicial Manual for Citizens.** The finalized version of the Manual and the key elements for its

¹ Since Tetra Tech DPK is an operating and subsidiary division that is fully owned by ARD, it is considered to be the main point of contact for all aspects of this contract.

implementation has been publicized and disseminated by Dr. Enrique Mendoza, President of the Judicial Branch, in a formal ceremony held on December 16, 2014, managed jointly with the OCTI.

- **Monitoring System in the Judicial Branch:** Pro-Integridad provided assistance to the ETI-CPC of the JB in the development of a monitoring system for corruption cases that will allow measuring 24 indicators relevant to workload, productivity in the courts, duration and delays of the process, orality and use of alternative outlets. This product was presented November 24 to Dr. Bonifacio Meneses, President of the ETI-CPC of the JB, who has approved the product. Currently the document is pending approval from the Executive Council to continue with its implementation.
- **Institutional Integrity Model - IIM in the Ministry of Justice and Human Rights - MINJUS:** On November 20, 2014, the Project delivered the intermediate assessment of the Institutional Integrity Model in the MINJUS, giving the institution a rating of 21/39, which according to the model means that the MINJUS is positioned **in the path to integrity**. As of this report, 845 MINJUS officials have been trained in the model: 797 are staff and 48 are public officials (directors and heads). The training is programmed to continue for all the Ministry workers.
- **Grants:**
 - **Grant 1 “Conocer para vigilar” (learn to monitor):** Forum Solidaridad – Forum finished its training program *Conocer para Vigilar*, with a last workshop in-presence in Chachapoyas (Amazonas) November 21 and 22, 2014. 70 people participated in the training for a total of 384 people trained by Forum during this year adding to the previous trainees in Lima and Loreto.
 - **Grant 2 “Social audit on the justice system”:** The *Comisión Andina de Juristas – CAJ*, has completed systematizing 167 judicial resolutions in the districts of Lima, Amazonas and Loreto. Currently, CAJ is analyzing the information to start publishing the workbooks.
 - **Grant 3 “Monitoring Capacity of Civil Society”:** As of this report, Proetica has developed its work plan and logical framework to monitor the advances in the grant outputs. It has also held meetings with members of the Roundtable for Poverty Reduction in Amazonas and organizations of native communities in the region. Proetica participated as well as observer in the last course developed by Forum in the city of Chachapoyas to approach the trainees with which it will develop the citizen surveillance actions.
 - **Grant 4 “Civil Society Monitoring”:** As of this report, the request for approval to sign the grant agreement is pending final review to be submitted to USAID.

III. OBJECTIVES AND RESULTS OF THE PROJECT

3.1 Objective 1: Increase the judicial system's capacity to process corruption cases in Lima, Lima North, Lima South and Callao, and the judicial districts of the Peruvian Amazon Region

3.1.1 *Strengthening the corporate management model in the Judiciary*

This quarter Pro-Integridad continued activities to strengthen the corporate management model in the JB. Technical assistance was provided to update the Judicial Office Regulation with the CPC. This regulation addresses administrative aspects such as organization and operation of the judicial office, notifications and summons, as well as the case file. The Regulation, which has been presented by the ETI-CPC to the Executive Council of the Judiciary for its approval, will allow for consistency among the rules related to this matter in the Judiciary.

Pro-Integridad has also provided technical assistance to the Technical Secretariat of the ETI-CPC in developing guidelines to program and manage hearings at the trial phase with the CPC. To that end, the Project hired the economist Luis Quiroz, a consultant with broad experience in studies and projects in the JB, to support the Project's technical team. The implementation of the guidelines

supported by the Project, plus the joint hearing agenda for judges and prosecutors prepared and approved by the JB and the PM, will contribute to increase the number of trials programmed and terminated.

Through an official letter dated November 28, 2014, Dr. Bonifacio Meneses, President of the ETI-CPC of the JB, approved the technical assistance provided by Pro-Integridad to develop the guidelines. He ordered training workshops to be conducted in the project pilot sites and highlighted this initiative resulting from the good coordination of the international cooperation and the judiciary in benefit of the criminal procedure reform. Training workshops on guidelines for programming and management of hearings in the trial stage with the CPC were performed as set forth below:

Site	Date	Participants			Women			Men			Workshop conduction	
		Total	Judges	Support	Total	Judges	Support	Total	Judges	Support	ETI-CPC	Pro-Integridad
Iquitos	December 10 and 11	32	10	22	19	6	13	13	4	9	David Marcos, Monitoring Area	Armando Plazolles, Jose Reátegui and consultant Luis Quiroz
Moyobamba	December 16	22	2	20	8	1	7	14	1	13	Alejandrina Luglio, Technical Secretary	Edith Sicha, Jose Reátegui and consultant Luis Quiroz
Chachapoyas	December 17 and 18	25	6	19	11	4	7	14	2	12	Alejandrina Luglio, Technical Secretary	Edith Sicha, Jose Reátegui and consultant Luis Quiroz
Total		79	18	61	38	11	27	41	7	34		

The workshops conducted in Iquitos, Chachapoyas and Moyobamba have had the following results:

- Participants have mastered the guidelines for the programming and management of hearings at the trial stage with the CPC and other provisions related to the organization and operation of corporate criminal court offices.
- Participants have standardized criteria for applying the guidelines and other provisions for the operation of the corporate criminal court office.
- The methodology of the Circles of Innovation has been transferred and accepted as a tool of implementation and sustainability of the changes.
- The program and training materials developed with the technical assistance of the Project may be replicated by the Judiciary at the national level.



Aldo Atarama, President of the Superior Court of Loreto chosen for the period 2015-2016, closed the workshop in Iquitos.



Jose Reátegui, Regional Liaison Coordinator with Pro-Integridad, presents the Circles of Innovation methodology at the Superior Court of Loreto.

3.1.2 Training for officials who apply the Criminal Procedures Code in corruption cases (Diploma of Specialization in the judicial system to resolve cases of Corruption)

Diploma in Lima and Callao

During the quarter, the in-presence phase of the Diploma for Lima and Callao operators was conducted from October 24 to November 16, 2014. The methodology used for this training was divided into two parts. In the first part, the instructor provided a review of what was covered at the virtual classes, and the second part involved working with case studies that were later discussed and analyzed encouraging the active participation of students. 13 judges, 14 prosecutors and 3 anti-corruption public attorneys from Lima and Callao finished the Diploma this quarter.



Josefina Coutiño, Pro-Integridad COP, and Erick Guimaray, IDEHPUCP's Anti-Corruption Project Coordinator, at the in-presence phase of the Diploma in Lima and Callao.



Participants in the Diploma in Lima and Callao. First left Iván Sequeiros, President of the Superior Court of Lima.

Diploma in Loreto

The Diploma for operators in Loreto was proceeding satisfactorily in its virtual phase which was initiated on September 2, 2014. This consisted of training and reading materials from modules I, II and III, delivered to the six judges, five prosecutors and one anti-corruption public attorney participating. They were all meeting the assignment deadlines scheduled by the IDEHPUCP.

Diploma in Amazonas

The Diploma for Amazonas was launched on September 29, 2014, in the Auditorium of the central headquarters of the Public Ministry in Chachapoyas. Present were: the President (e) of the Board of Superior Prosecutors of Amazonas Dr. Nilton Rodríguez; the President of the Superior Justice Court of Amazonas, Dra. Luz Vigil; Pro-Integridad COP Josefina Coutiño; members of the Project technical team Lourdes Rivera-Santander and Jose Reátegui; the main assistant of the Criminal Law Area of the IDEHPUCP Dra. Yvana Novoa; the manager of OPROCTI of the Public Ministry Dra. Yessica Martínez; as well as the six judges, seven prosecutors and one anti-corruption public attorney from Amazonas participating in the Diploma course.

During the initial presentation, both the Judiciary and the Public Ministry leadership highlighted the importance of the training to improve the operating performance of the judicial system operators. The representative of IDEHPUCP presented the methodology of the Diploma and made a practical demonstration of the operation of the virtual platform and how to access it.



Presentation of the Diploma in Chachapoyas. Left to right: Yvana Novoa, representative of IDEHPUCP, Luz Vigil, President of the Superior Court of Amazonas, Nilton Rodríguez, President (e) of the Board of Superior Prosecutors of Amazonas; Yessica Martínez, Manager of OPROCTI of the PM, and Josefina Coutiño, COP of Pro-Integridad.

Diploma in San Martín

The inauguration of the Diploma course starting on November 3, 2014, for three judges and seven prosecutors of the judicial district of San Martín was held on October 1st, 2014, in the auditorium of the central headquarters of the Public Ministry in Moyobamba. Attending the event were: the President of the Board of Superior Prosecutors of San Martín, Dr. Fermín Caro; the President of the Superior Justice Court of San Martín, Dr. Walter Ángeles; Pro-Integridad COP, Josefina Coutiño; members of the Project's technical team Lourdes Rivera-Santander and Jose Reátegui; the main assistant of the Criminal Law Area of the IDEHPUCP, Dra. Yvana Novoa; the manager of OPROCTI of the Public Ministry, Dra. Yessica Martínez; as well as the participating judges and prosecutors.

Both the Judiciary and the Public Ministry leadership highlighted the importance of the training in the judicial districts of the Amazon region in matters of impact such as the official corruption crimes. Here too the representative of IDEHPUCP presented the methodology of the Diploma and made a practical demonstration of the operation of the virtual platform and how to access it.

The participants in the Diploma in Loreto, Amazonas and San Martín received a USB unit with teaching and reading materials to use in case of internet connectivity issues.



Presentation of the Diploma in Moyobamba. Left to right: Josefina Coutiño, COP of Pro-Integridad (standing), Walter Angeles, President of the Superior Court of San Martín, Fermín Caro, President of the Board of Superior Prosecutors of San Martín, Yessica Martínez, Manager of the OPROCTI of the PM, and Yvana Novoa, representative of IDEHPUCP.

Diploma in Lima and Callao

The final Diploma was planned to start on January 2nd, 2015. OCTI received the letter of invitation and expression of interest from the Project and they in turn advertised it throughout the National Criminal Chamber and Superior Courts in Lima, Lima North, Lima South, Lima East and Callao. Following the expressions of interest received, the Judiciary appointed 22 judges to participate in this Diploma.

OPROCTI of the PM received the list of prosecutors who expressed interest in participating following the invitation of February 2014 and were not appointed to participate in the Diploma that ended in November 2014 in Lima. The PM appointed 16 prosecutors specialized in corruption and one prosecutor expert in environmental matters to participate in this last Diploma.

3.1.3 Strengthening management and the corporate model in the Public Ministry

In August 2014, the PM suspended the implementation of the new corporate criminal prosecution office according to the Organizational and Operative Manual. This was developed with technical assistance from Pro-Integridad. The suspension would last until the Prosecution Management System is in place and the needed resources to conduct training in the various districts are allocated. This said, the Project, in close coordination with the counterpart, has developed strategies to re-focus work towards the pilot sites to implement improvements identified by the local officials. With this background, Project year 3 will focus on topics that are fundamental for the adequate operation of the corporate management model, such as team work, coaching and change management applied to the corporate prosecution office.

3.1.4. Technical Assistance to the Public Attorney's Office Specialized in Corruption Crimes

This quarter Pro-Integridad presented to Dr. Christian Salas, Public Attorney General, a proposal to develop a simulator to calculate civil reparations in crimes against the public administration, according to the methodology developed with the Project, the follow up on case studies, and the implementation of training workshops. The Public Attorney replied expressed his interest and willingness to work on these topics with technical assistance of Pro-Integridad, as shown in the communication of November 5, 2014, below:



Following this requirement, the Pro-Integridad technical team prepared terms of reference to hire a programming expert to develop the simulator and a legal expert in civil reparations who will assist in the development of the automated tool, promote the adoption of the methodology to calculate the civil reparation by key actors, and support the identification and follow up of cases to support the calculated amount of the civil reparation requested according to the approved methodology.

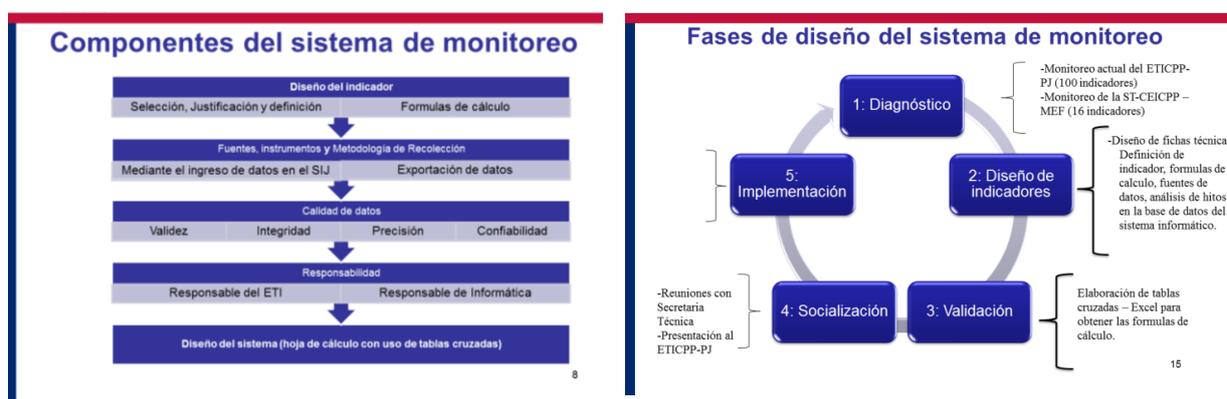
3.1.5 Technical Assistance to the Judiciary to strengthen its capacity for the implementation of the Criminal Procedure Code (the Judiciary Monitors and Evaluates the CPC)

This quarter, the Project’s technical team, led by Eng. Flor Torres, continued providing technical assistance to establish indicators that allow measuring the implementation of the CPC in corruption cases in the Judiciary.

On November 10th, 2014, the design of the monitoring system with 24 indicators was presented to Dr. Bonifacio Meneses, President of the ETI-CPC of the JB, during a meeting that included members of the Technical Secretariat of the ETI-CPC and of the OCTI. At the end of the presentation, Dr. Meneses expressed his approval of the work accomplished and committed himself to bring this proposal to the Executive Council for approval and implementation at national level along with the participation of the Information Technology Management.

On December 2nd, 2014, the President of the ETI-CPC of the JB sent a communication approving the product developed, highlighting the coordination between Pro-Integridad and the ETI-CPC to develop this product that will allow an adequate measurement of the CPC in corruption cases.

The components and phases of the monitoring system are shown below:



As a result of the presentation of the monitoring system, Pro-Integridad agreed with the ETI-CPC to develop a data report of the most relevant indicators to accompany the report that will be presented to the Executive Council for the approval of the system. The report data derives from 10 indicators with information on corruption in Lima, Lima North, Lima South and Callao. The project worked closely with the Information Technology (IT) Division of the Judiciary – which provided the data for the development of dynamic tables to calculate the required information in the formulas of the 10 indicators.

Once the Executive Council approves the adoption of the monitoring system, Pro-Integridad plans to support the ETI-CPC for a better implementation of the product.



Presentation of the CPC Monitoring System by Flor Torres, Pro-Integridad M&E Expert.



Bonifacio Meneses, President of the ETI-CPC of the JB and representatives of the Technical Secretariat of the ETI-CPC and the OCTI.

3.1.6 Technical Assistance to the Judiciary to Evaluate the Development of a Jurisprudence System more accessible and detailed

The Methodological Guide for the Systematizing and Analysis of Jurisprudence in Corruption Cases was presented to the JB on June 20, 2014, and the Compendium of Legal Terms developed based on the guide was submitted on August 18, 2014. Following the schedule, starting from there several review and validation meetings have been held by the Project's consulting team with representatives from OCTI, JRC, Cabinet of Advisors of the Presidency and IT Management of the JB, which allowed for the improvement of both documents and adapt them to the needs of the Judiciary's users. The methodological guide and the finalized compendium were submitted to the JB on October 6, 2014, and are approved by the counterpart.

Currently the JRC is coordinating with the IT management to associate the compendium descriptors to the judgments in corruption crimes on the web page of the Judiciary.

3.1.7 Technical assistance to the Judiciary to develop a Manual with Clear and Simple Language for the Citizens

This product, developed with technical assistance from Pro-Integridad, validated and submitted on October 6, 2014, falls within Dr. Enrique Mendoza's Citizen Pillar of the Strategic Agenda of the Judiciary 2013-2014, which aims to *"promote the use, at the jurisdictional level of simple language that allows citizens to fully understand the contents of the various documents that make a judicial process."*

The technical assistance of Pro-Integridad resulted in a letter dated December 11, 2014 from Dr. Mendoza to Mr. Ted Gehr, USAID/Peru Mission Director, in which he states that *"...thanks to the valuable and decided contribution of the United States Cooperation – USAID, under the framework of the Project "Justice and Integrity in the Public Administration" (Pro-Integridad), the Judicial Branch of Peru now has the Clear and Accessible Language Judicial Manual for the Citizens. This is a novel and complementary tool that will accompany the development of the judicial process and allow better communication between judges and citizens, litigants and lawyers and, therefore, the general understanding and confidence in justice. We know this important tool will be our best ally in the irreversible transition that we have started to go from the culture of complexity and secrecy to the paradigm of simplicity and clarity in the legal language."*

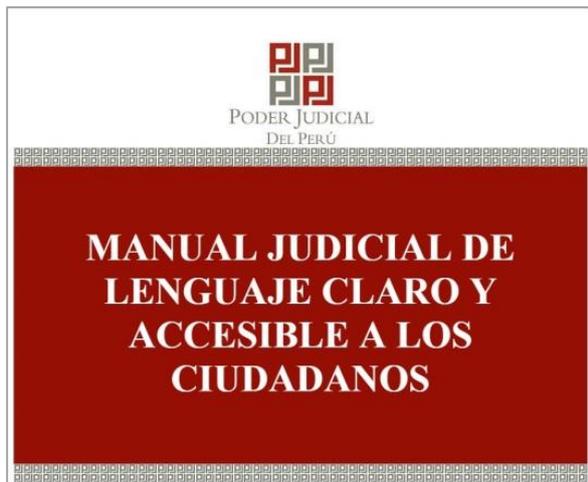
On December 16, 2014, in a formal ceremony held in the Hall of Oaths of the Palace of Justice, organized by the judiciary with support from Pro-Integridad, Dr. Enrique Mendoza introduced the Judicial Manual with senior officials of the institution. For the occasion, Pro-Integridad handled the editing and printing of 200 copies of the Judicial Manual. An interactive version of the document will also be published on the website of the counterpart.



Pablo Talavera, President of the National Council of the Magistracy, Horst Schoenbohm, GIZ representative, Enrique Mendoza, President of the JB, and Ted Gehr, USAID/Peru Mission Director, during the presentation of the Judicial Manual of Clear Language Accessible to Citizens.



Martín Castro, USAID COR, Enrique Mendoza, President of the JB, Ted Gehr, USAID/Peru Mission Director, Josefina Coutiño, COP Pro-Integridad, and María Antonieta Delgado, Head of the OCTI of the JB.



Cover of the edited version of the Judicial Manual of Clear Language and Accessible to the Citizens.

Viernes, 19 de diciembre de 2014. Año de la Promoción de la Industria Responsable y del Compromiso Climático

El Peruano

DIARIO OFICIAL

Promueven lenguaje sencillo en resoluciones

Dos importantes manuales que mejorarán el estilo de redacción de las resoluciones y sentencias emitidas por los jueces, a fin de transitar de un lenguaje engorroso a otro más sencillo y comprensible, presentó el Poder Judicial.

Se trata del Manual judicial de lenguaje claro y accesible a los ciudadanos; y del Manual para la fundamentación de sentencias penales: aspectos generales de estructura, argumentación y valoración probatoria. Reflexiones y sugerencias, elaborados con el apoyo del USAID y la cooperación alemana GTZ.

Al respecto, el titular de la Corte Suprema, Enrique Mendoza, anotó que estas herramientas contribuirán a obtener una justicia asequible y eficaz. "Reemplazarán el lenguaje engorroso y enrarecido que tienen en la práctica las resoluciones por un lenguaje de fácil entendimiento."

Ambos documentos permitirán mejorar la comunicación de los jueces con los litigantes, en beneficio de la comprensión y confianza ciudadana respecto a la justicia.

News about the Judicial Manual published on the Diario Oficial El Peruano. Retrieved from <http://www.elperuano.com.pe/edicion/noticia-promueven-lenguaje-sencillo-resoluciones-24833.aspx#.VJR15pCfY>. Visited December 19, 2014.

3.1.8 Study Tours with judges, prosecutors and ST CEICPP representatives

The CPC implementation is not only substituting one rule for another, but it demands a deep transformation of the roles of the participants and the optimization of the management models of the judicial and prosecution offices. Peru not only has the experience gained since the beginning of the criminal procedure reform in 2006, but also as reference the Latin American countries that have implemented such criminal procedure reform. Regarding office management, Costa Rica offers a unique opportunity to identify best practices and lessons learned that might be adapted to improve the organization and operation of the courts and prosecution offices in Peru. Based on this, Pro-Integridad, coordinating with the Office of Protocol and Public Relations of the Judicial Branch of Costa Rica, conducted two study and observation tours to the corporate prosecution and judicial offices in Costa Rica, as set forth below:

Object of the visit	Participants	Dates
Corporate prosecution office	<ul style="list-style-type: none"> - 5 representatives of the Public Ministry. - 1 representative of the ST-CEICPP. - 1 representative of USAID. - 1 representative of Pro-Integridad. 	October 13 to 17, 2014.
Corporate judicial office	<ul style="list-style-type: none"> - 5 representatives of the Judicial Branch - 1 representative of the ST-CEICPP. - 2 representatives of Pro-Integridad. 	November 3 to 7, 2014.



Participants in the observation and study tour to the prosecution office. Left to right: Martín Castro, Víctor Valdez, María del Carmen Ruiz, Armando Plazolles, Gustavo Quiroz, Carlos Bazo, Víctor Yaipén, and Alberto Caro.



Meeting with the President of the Judicial Branch of Costa Rica, Mag. Zarela Villanueva. Left to right: Dante Terrel, Juan Paredes, César Sahuanay, Giammpol Taboada, Mag. Zarela Villanueva, Lourdes Rivera-Santander, Edith Sicha, Miguel Castañeda, and Víctor Munte.

As a result of the study and observation tours, the participants achieved the following:

- Strengthened their knowledge on the criminal procedure reform.
- Identified best management practices of the corporate model of the office that might potentially be adapted and replicated in Peru.
- Made contacts in the Judicial Branch, the Public Ministry, and the Public Defense of Costa Rica for possible future collaboration.

The report on best practices from the visits was delivered to the counterparts at the PM, JB and ST-CEICPP during a work breakfast on December 11, 2014.



Dra. María A. Delgado, head of the OCTI of the JB, thanks Pro-Integridad for conducting the study and observation visits in Costa Rica. Left to right: Dra. Juana Berrocal and Lic. Daniel Cano, representatives of the OPROCTI of the Public Ministry, Dra. Elizabet Arteaga, representative of the OCTI of the JB, and Dr. Miguel Castañeda, superior judge of the Superior Court of Callao.

The products of this quarter under Objective 1 were:

- Product N° 40: Report on the technical assistance to the Public Attorney's Office specialized on crimes of corruption.
- Product N° 41: Report on the study and observation tours to the criminal prosecution and judicial offices in Costa Rica
- Product N° 43: Guidelines to program and manage hearings at the trial stage with the CPC.

3.2 Objective 2: Promote the Institutional Integrity Model within the Justice Sector

3.2.1 Ministry of Justice and Human Rights

At the counterpart's request, a mid-term assessment related to the development of the Institutional Integrity Model – IIM was conducted in November 2014 in the MINJUS, which followed the same methodology as the initial assessment in 2013. The main results obtained were:

1. The MINJUS shows a positive level of advance vs. the initial results of the 2013 assessment. At that time the institution obtained 6 points, rating it **in at risk position**. At the intermediate evaluation of November 2014 the MINJUS increased its rating to 21 points, making it achieve a position of **in the path to integrity**.
2. The initial assessment considered that the MINJUS had a potential projected advance of 11 points that has been exceeded to attain 21 points. This means that the actions undertaken not only were achieved, but the institution performed better than anticipated, allowing the advance in the IIM institutionalizing.
3. The most important aspects that explain this improvement have been the development of regulations and the internal dissemination of the IIM carried out by the MINJUS. The indicator 2 “Public perception of the Ministry of Justice and Human Rights” went from 0 initial points to 4 points. Indicator 5 “Regulations related to ethics and/or anti-corruption legislation” advanced from 1 to 6 points. In both cases the institutional leadership and the commitment of the authorities that form the Ministry's leadership have been key to fulfilling the improvements in the processes, with support from USAID's Pro-Integridad Project.
4. It will be important to pay attention to next year's performance indicators in such a way so as to evaluate each indicator individually and effectively monitor the efficient implementation of the Model and the institutional development, especially regarding “Human Resource Management” and “Public information management and transparency.”
5. A sustainability strategy is required to ensure that the results achieved will remain and be enhanced over time. This includes incorporating the IIM in documents of institutional policy, such as the Institutional Strategic Plan, the Multi-annual Budget, the Work Plans of 2015-2017, as well as in the MINJUS' Anti-Corruption Plan.

The following chart shows the consolidated results of the intermediate evaluation of the development of the IIM in the MINJUS, submitted to the counterpart on November 20, 2014:

Aspect Recording Unit	A	B	C	D	E	F	G	H	Σ
1. Organizational culture/climate studies	1	0	1	0	0	0	0	0	Σ = 2
2. Public perception regarding the Ministry of Justice	0	1	1	0	1	1	0	0	Σ = 4
3. Productivity statistics	1	1	1	0	0	0	0	0	Σ = 3
4. Human resource management systems (call, selection, training, performance evaluation)	1	0	0	1	1	0	0	0	Σ = 3
5. Regulations regarding ethics	1	1	1	1	1	0	1	0	Σ = 6

Aspect \ Recording Unit	A	B	C	D	E	F	G	H	Σ
and/or anti-corruption regulations									
6. Management of public information and transparency	0	0	1	1	0	1	0	0	$\Sigma = 3$
Sum of record units of the institution									$\Sigma = 21$
Integrity 100									$\Sigma X = 39$
Integrity									$35 \leq X$
On the way to integrity									$21 \leq X \leq 34$
In Risk situation									$X \leq 20$

In addition to the intermediate evaluation, this quarter the Project has accompanied the IIM training in the MINJUS. Up to date, 845 workers, including 48 directors or unit heads, (451 women and 394 men) have been trained in the most important aspects of the IMM and ethics in the public administration.



MINJUS personnel during a training journey on the IIM. At the bottom left, Carlo M. Velarde, Grants Manager with Pro-Integridad.

The products for this quarter under Objective 2 were:

- Product N° 39: Virtual survey on the Code of Ethical Behavior of the MINJUS.
- Product N° 42: Mid-term evaluation of the Institutional Integrity Model at the Ministry of Justice and Human Rights.

3.3 Objective 3: Strengthen the judicial system’s capacity to address corruption through effective civil society engagement

3.3.1 Learn to oversee/monitor Grant (Forum Solidaridad)

During this quarter, Forum Solidaridad continued the activities programmed through the work plan presented to Pro-Integridad for the grant award. The most significant activity of the quarter was the training “Learn to Oversee” conducted in Chachapoyas on December 21 and 22, 2014, with 70 persons attending (44 men and 26 women). The leader of the Awajun peoples and President of the Organization for the Development of the Border Communities of Cenepa - ODECOFROC, Zebelio Kayap, participated in this course. During his speech, the leader announced that three young men from the Awajun people were killed while they performed military service at a checkpoint in the border with Ecuador. Their commander, a sub-lieutenant of the Peruvian Army, killed the youth because they took food from him after several days of running out of rations. This news created a climate of unrest and sadness among the course participants and especially a claim for effective response of the justice system.

The main achievement of the course was that it generated interest and participation of representatives of indigenous organizations, the roundtables and university students who attended the two full days of the course in the CPC reform. The course also allowed participants to generate synergies between them and promote a vigilant attitude from their social organizations on the justice system to prevent corruption.



Awajun leader, Zebelio Kayap during his speech at the course “Learn to oversee” conducted in Chachapoyas.



Work table during Forum’s course in Chachapoyas.

The following is the financial summary of the grant implemented by Forum Solidaridad as of December 2014:

Status	Award Type	Period of Performance		Subcontract Amount	Costs Incurred Prior FY 2014	Costs Incurred in FY 2014	Subcontract Balance
		From	To				
Active	Fixed Obligation Grant	04/24/2014	09/30/2015	\$75,000.00	\$0.00	\$34,870.25	\$40,129.75

3.3.2 Social audit to the justice system Grant (Comisión Andina de Juristas)

In furtherance of its work plan, the *Comisión Andina de Juristas* – CAJ completed the organization of 167 judgments from the districts of Amazonas (21 judgments), Loreto (68 judgments) and Lima (78 judgments). Currently the CAJ is analyzing the information to start publishing the work books. The judgments were analyzed by university student volunteers formed into social audit committees, as shown below:

Site	Judicial District	University	University student volunteers			Judgments systematized
			Total	Women	Men	
Chachapoyas	Amazonas	Universidad Nacional Toribio	34	14	20	21

		Rodríguez de Mendoza				
Iquitos	Loreto	Universidad Científica del Perú	10	2	8	68
San Martín	Moyobamba	Universidad Nacional Mayor de San Marcos	11	11	0	78
			55	27	28	167

The following is the financial summary of the grant implemented by CAJ as of December 2014:

Status	Award Type	Period of Performance		Subcontract Amount	Costs Incurred Prior FY 2014	Costs Incurred in FY 2014	Subcontract Balance
		From	To				
Active	Fixed Obligation Grant	04/21/2014	04/30/2015	\$35,000.00	\$0.00	\$21,552.85	\$13,447.15

3.3.3 Citizen Surveillance/Monitoring (Proetica)

Under Project Objective 3, a grant agreement was signed with Proetica on October 19, 2014, to strengthen the monitoring capacity of the civil society to monitor and observe the justice institutions in corruption cases.

Proetica's proposal is focused on the capacity of civil society in Amazonas, Loreto and Lima, assuming the challenge that they share issues of mistrust in justice and elevated perception of corruption, but at the same time they differ in social, economic and cultural situations, especially due to the high concentration of native population in Amazonas and Loreto. This context led them to present a strategy that seeks to build bridges between urban and rural blocks of civil society and the State.

It is essential to clearly understand the knowledge of the problems and training needs of rural civil society – consisting of native communities, farmers' organizations, and groups of women users of social programs, among others – and distinguish them from those of the urban civil society. In that sense, Proética proposed to start their work with a series of workshops "to listen." This will allow moving on to a second stage which will involve training. This training will lead to a better understanding of the justice system and the scope of the criminal procedure reform underway, as well as its limitations and opportunities.

This proposal aims to build upon the surveillance exercises from those workshops a dialogue with judicial system authorities which in turn will allow strengthening the administration of justice itself, due in part to the evidence collected independently by the civil society actors. To this end, it is key to take advantage of formal spaces such as regional anti-corruption commissions and roundtables for the fight against poverty. Proetica will provide technical assistance remotely to social actors engaged in monitoring efforts such as what it has done in previous experiences to help solve problems and improve advocacy strategies in the public sphere.

Finally, to ensure that the observation and monitoring exercise impacts the at the local level, Proética proposes to use the experience of their program and journalism network *Poder Ciudadano* to cover the evolution of the initiatives and publicize their findings.

During this quarter, Proetica has held meetings with representatives of the roundtables, Ombudsman and women organizations of Amazonas. Its members attended the workshop conducted by Forum Solidaridad in Chachapoyas (Learn to Observe) on November 21 and 22, 2014, in order to approach the population with which it will work under their grant.

The following is the financial summary of the grant implemented by Proetica as of December 2014:

Status	Award Type	Period of Performance		Subcontract Amount	Costs Incurred Prior FY 2014	Costs Incurred in FY 2014	Subcontract Balance
		From	To				
Active	Fixed Obligation Grant	10/19/2014	09/30/2015	\$46,729.14	\$0.00	\$24,719.64	\$22,009.50

3.3.4 Monitoring Criminal Justice Regarding Vulnerable Populations in Corruption Cases

The fourth grant programmed by the Project is pending approval to be awarded to Proetica through a non-competed process due to the fact that the first call did not generate any proposals. Proetica was invited as it complies with all the institutional and technical requirements to perform a good work and achieve the expected results.

Proetica will develop an instrument that will allow vulnerable populations in three zones – Lima, Loreto and Amazonas – to monitor the implementation of the criminal justice, mainly related to corruption cases.

This tool will respond to the interests and problems of these populations in their relation with justice and must be developed to be used in a simple way. The tool will be transferred to vulnerable populations through training and a 3-month technical assistance in its use in judicial processes underway.

The products during this quarter under Objective 3 were:

- Product N° 44: Quarterly Grant Report Forum Solidaridad.
- Product N° 45: Quarterly Grant Report Comisión Andina de Juristas.
- Product N° 46: Quarterly Grant Report on Citizen Surveillance with Proetica.

3.4 Follow up of the Gender Inclusion Strategy

The gender inclusion throughout the Project had the following advances in the quarter:

OBJECTIVE	ACTIVITIES	STATUS
1. OB1: MANAGEMENT	<ul style="list-style-type: none"> ▪ Identify the existence of regulations, protocols and guidelines for the assistance of female users in corruption cases within the CPC application framework to corruption cases (within the management assessment framework). ▪ Promote the development of guidelines for the assistance to female users in corruption cases (within the technical assistance framework in management matters). 	<ul style="list-style-type: none"> ▪ Performed. ▪ Scheduled.
2. OB1: TRAINING	<ul style="list-style-type: none"> ▪ Encourage female participants in training courses that will be conducted by the Project. ▪ Encourage the participation of women in the education spectrum. ▪ Include in the training courses the analysis of cases that raise awareness among the justice operators regarding the importance of the gender equality approach. 	<ul style="list-style-type: none"> ▪ 14 of the 30 participants in the first Diploma course in Lima are women. ▪ Of 14 participants in the Diploma course in Loreto 4 are women ▪ Of 14 participants in the Diploma course in Amazonas 3 are women ▪ Of 10 participants in the Diploma course in San Martin 2 are women ▪ The courses include gender perspective as applicable, as well as material and procedural matters that apply to the trial and investigation of crimes against the environment.
3. OB1: MONITORING	In reviewing the PMP indicators, a cross-cutting gender focus will be included, considering the special features of each indicator.	The PMP has disaggregated the indicators by gender. Moreover, a grant award is pending related to the monitoring of criminal justice related to vulnerable populations in corruption cases.
4. OB2: INTEGRITY	<ul style="list-style-type: none"> ▪ Identify institutional policies and strategies aimed at an equalitarian valuation of the human potential 	The IIM Implementation work plan at the MINJUS includes the gender

	<p>from the gender equality perspective (within the framework of the integrity assessment).</p> <ul style="list-style-type: none"> ▪ Identify whether the institutional instruments to promote ethics, such as the Code of Ethics or other internal norms, include a gender equality approach. 	<p>perspective and incorporates constant women participation in the development of the IIM.</p>
<p>5. OB3: CIVIL SOCIETY</p>	<ul style="list-style-type: none"> ▪ Encourage female participants to engage in the actions that the Project shall carry out to provide support to the civil society (grants). ▪ Dissemination of reporting mechanisms on corruption cases that affect women. ▪ Interdisciplinary application of the gender equality approach in the development of communication campaigns: messages, trainings and indicators. 	<ul style="list-style-type: none"> • The RFA for grants adds the gender strategy developed by the Project, and has been defined as an evaluation criterion. • Also, in the development of training courses "Learn to monitor" conducted by Forum in Lima and Loreto, the program has included a module called "The New Criminal Procedure Code and its Treatment of Gender and Cultural Diversity." This implies that all the trainees have understood the importance of the gender perspective in the development of justice in our country.

3.5 Project Monitoring

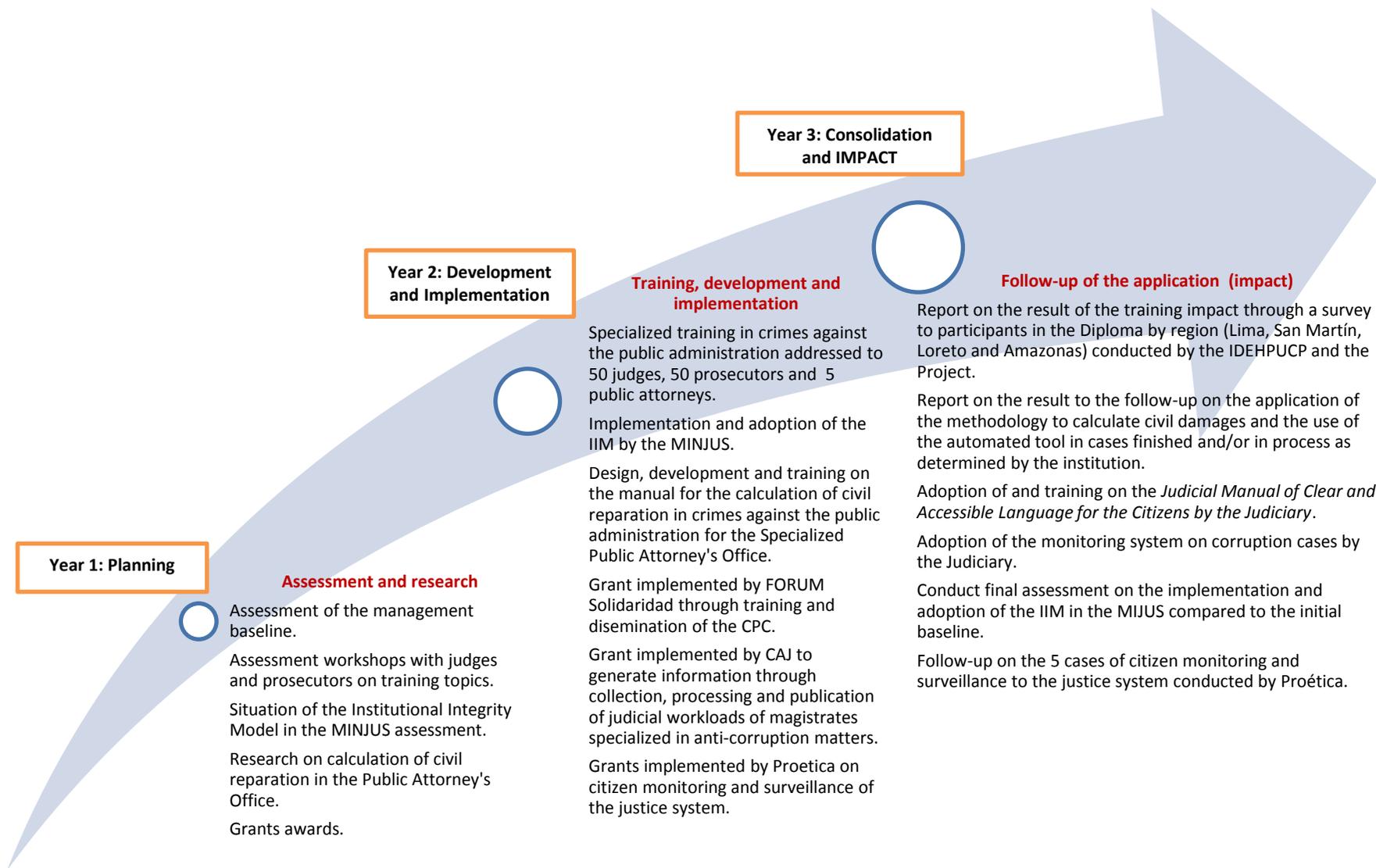
3.5.1 Annual Report on the Monitoring Plan

Monitoring Report

In October 2014 the annual report on indicators was submitted to USAID, both English and Spanish versions, as well as a hard copy of a Spanish document with the means of verification of the annual report which includes all the needed documents (resolutions, office letters, list of participants, minutes, among others) that validate each of the project indicators taking into account the indicator definition as shown in the PMP.

Project’s Curve of Impact

The Pro-Integridad team designed a proposed strategy to measure the impact of the project through case studies. This proposal focuses on the three objectives articulated in such a way that in the third year activities of change measurable in an objective way can be consolidated and can be reported as impacts attributable to the Project’s technical assistance developed with the counterparts. The curve of impact is shown in the following diagram:



3.5.2 Indicators Update

Annex 1 of this report shows the updated indicators report as well as the comparative table of the target planned and achievement for the quarter.

IV. WORK MEETINGS

4.1 Meetings at USAID

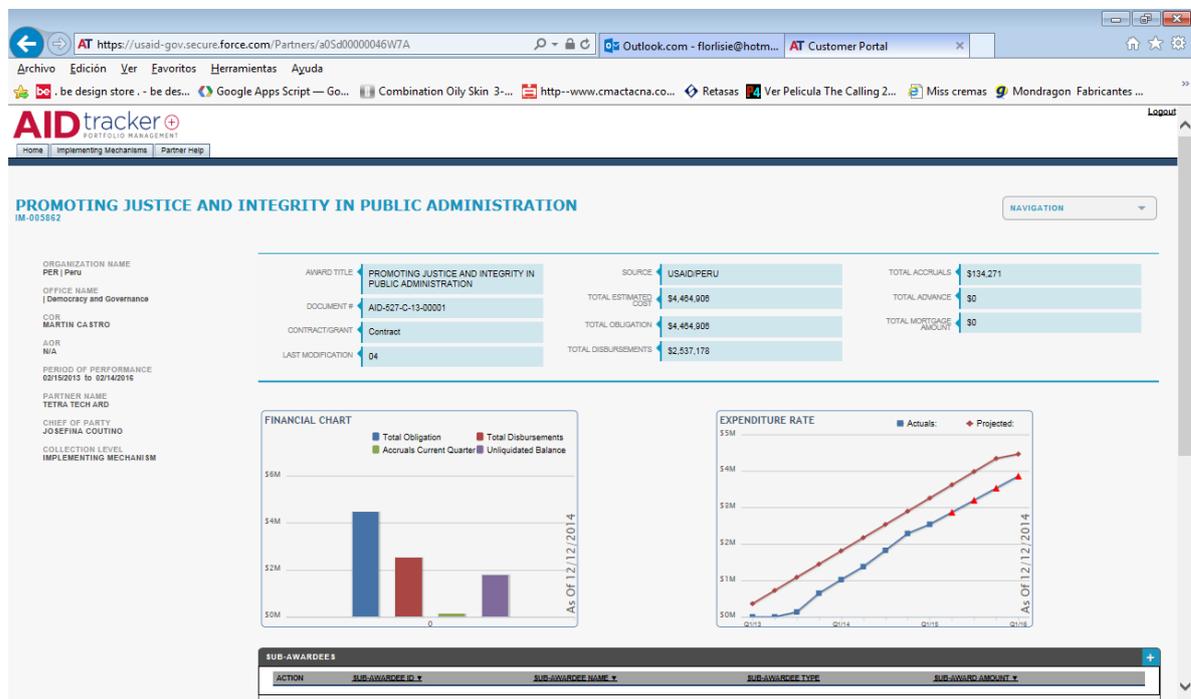
On November 5, 2014, Pro-Integridad attended a meeting held in the Mission for the validation and input of data to the AID-Tracker system. This system operates from Washington, DC, and its objective is to consolidate the information from all USAID projects globally.

The information in the system covers various topics:

1. Information and graphs on financial implementation projected and actual.
2. Project performance indicators with targets and actuals by implementation period.
3. Main products and reports delivered to USAID.

To access the system, USAID has provided passwords to COP Josefina Coutiño and the Project's M&E specialist Flor Torres, who are responsible to validate the information that appears in the system and has been previously uploaded by USAID COR, Martin Castro.

The validation of information process on the AID-Tracker must be done semi-annually.



4.2 Coordination meetings with national counterparts

4.2.1 Meetings with the International Technical Cooperation Office /ETI-CPP of the Judiciary

Date	Objective	Participants
10.14.2014	Coordination call for Diploma in Lima; study tour for judges.	María Antonieta Delgado, Vivian Weiner and Elizabet Arteaga from the OCTI, Josefina Coutiño, Edith Sicha, Lourdes Rivera-Santander
10.21.2014	Preparatory meeting for the study tour in Costa Rica.	María Antonieta Delgado, Vivian Weiner and Elizabet Arteaga from the OCTI, Josefina Coutiño, Edith Sicha, Lourdes Rivera-Santander, César Sahuanay, Dante Terrel, Giampol Taboada, Miguel Castañeda and Juan Paredes.
11.10.2014	Presentation of the CPC Monitoring System for corruption cases in the Judiciary.	Dr. Bonifacio Meneses, President of the ETI-CPC, Alejandrina Luglio, Technical Secretary with the ETI-CPC, María Antonieta Delgado, Vivian Weiner and Elizabet Arteaga from the OCTI, Josefina Coutiño, Armando Plazolles, Flor Torres and members of the Technical Secretariat of the ETI-CPC.
11.20.2014	Coordination of the edited version of the interactive Clear and Simple Language Judicial Manual for Users.	María Antonieta Delgado, Vivian Weiner and Elizabet Arteaga from the OCTI, Josefina Coutiño and Ivanna Narduzzi.
12.11.2014	Delivery of the report on the study and observation tour of the judicial office in Costa Rica	María Antonieta Delgado and Elizabet Arteaga from the OCTI, Giampol Taboada, Octavio Sahuanay, Dante Terrel and Miguel Castañeda from the Judiciary, Josefina Coutiño, Edith Sicha and Lourdes Rivera-Santander.

4.2.2 Meetings with the Projects and International Technical Cooperation Office /ETI-CPP of the Public Ministry

Date	Objective	Participants
12.11.2014	Delivery of the report on the study and observation tour of the prosecution office in Costa Rica.	Yessica Martínez, Daniel Cano and Juana Berrocal from the OPROCTI, María del C. Ruiz with the Public Ministry, Josefina Coutiño, Edith Sicha and Lourdes Rivera-Santander.

4.2.3 Meetings with the Public Attorney's Office Specialized in Crimes Against Corruption

Date	Objective	Participants
10.30.2014	Presentation of a proposal for technical assistance to develop a simulator for the calculation of damages against the State.	Dr. Christian Salas, Public Attorney General, Josefina Coutiño, Oscar Cornejo, Lourdes Rivera-Santander and Flor Torres.

4.2.4 Meetings with the MINJUS

Date	Objective	Participants
10.09.14	Provide technical assistance to the technical team leading the implementation of the Institutional Integrity Model.	Head of the Office of Budget Planning and Implementation, Head of Human Resources, Head of Legal Advisory, Advisor to the General Secretariat of the MINJUS and Carlo M. Velarde.
10.09.14	Training workshop "Thursdays of Ethics."	MINJUS staff and Carlo M. Velarde.
10.16.14	Provide technical assistance to the	Head of the Office of Budget Planning and Implementation,

Date	Objective	Participants
	technical team leading the implementation of the Institutional Integrity Model.	Head of Human Resources, Head of Legal Advisory, Advisor to the General Secretariat of the MINJUS and Carlo M. Velarde.
10.16.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
10.23.14	Provide technical assistance to the technical team leading the implementation of the Institutional Integrity Model.	Head of the Office of Budget Planning and Implementation, Head of Human Resources, Head of Legal Advisory, Advisor to the General Secretariat of the MINJUS and Carlo M. Velarde.
10.23.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
10.30.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
11.06.14	Provide technical assistance to the technical team leading the implementation of the Institutional Integrity Model.	Head of the Office of Budget Planning and Implementation, Head of Human Resources, Head of Legal Advisory, Advisor to the General Secretariat of the MINJUS and Carlo M. Velarde.
11.20.14	Provide technical assistance to the technical team leading the implementation of the Institutional Integrity Model.	Head of the Office of Budget Planning and Implementation, Head of Human Resources, Head of Legal Advisory, Advisor to the General Secretariat of the MINJUS and Carlo M. Velarde.
11.06.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
11.13.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
11.20.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
11.27.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
12.04.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
12.11.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
12.18.14	Training workshop “Thursdays of Ethics.”	MINJUS staff and Carlo M. Velarde.
12.19.14	Training workshop on the IIM at the National Congress of Anti-Corruption Public Attorneys.	Anti-Corruption Public Attorneys and Carlo M. Velarde.

4.2.5 Meetings with the Technical Secretariat of the Special Commission for Implementation of the Criminal Procedure Reform

Date	Objective	Participants
12.11.2014	Delivery of the report on the study and observation tour of the judicial and prosecution offices in Costa Rica.	Carlos Bazo and Víctor Muelle from the ST-CEICPP, Josefina Coutiño, Edith Sicha and Lourdes Rivera-Santander.

4.3 Coordination with Grantees and Sub-contractors

Date	Objective	Participants
10.15.2014	Coordination meeting with IDEHPUC.	Erick Guimaray, Yvana Novoa and Julio Rodríguez from IDEHPUCP, Josefina Coutiño and Lourdes Rivera-Santander.
10.20.2014	Information meeting on administrative and financial processes with Proética representatives.	Samuel Rotta and Cecilia Lanzara from Proética, Cledi Encarnación and Carlo M. Velarde.
10.24.2014	Inauguration of the in-presence sessions of the Diploma Course in IDEHPUCP.	Erick Guimaray and Yvana Novoa from IDEHPUCP, Josefina Coutiño and Lourdes Rivera-Santander and participants in the diploma course.
10.30.2014	Coordination meeting with IDEHPUC	Erick Guimaray from IDEHPUCP, Josefina Coutiño and Lourdes Rivera-Santander.
11.03.2014	Press conference with the President of	Martín Castro from USAID and Josefina Coutiño.

	Transparency International at Proética.	
11.25.2014	Coordination meeting with IDEHPUC	Erick Guimaray and Elizabeth Salmón from IDEHPUCP, Josefina Coutiño and Lourdes Rivera-Santander.
12.03.2014	Coordination meeting with IDEHPUC	Erick Guimaray, Yvana Novoa and Julio Rodríguez from IDEHPUCP, Josefina Coutiño and Lourdes Rivera-Santander.

4.4 Coordination with other International Cooperation Projects and Key Institutions

Date	Objective	Participants
11.03 and 04.2014	International conference on regional experiences in the implementation of the CPC promoted by GIZ.	Carlos Z. Vásquez from the ST-CEICPP, Horst Schoenbohm and William Ramírez from GIZ, and Josefina Coutiño.

V. ADMINISTRATIVE SUMMARY

5.1 ADMINISTRATIVE ACTIVITIES:

- This quarter the Project signed the third Grant Agreement with Proética, DOF-003-Pro-Integridad, to develop the topic “Strengthening the civil society monitoring capacity in the fight against corruption.”
- During this quarter the Project office has complied with all labor and tax obligations regarding personnel, such as CTS deposits, payment of fringe benefits, calculation and withholding of taxes for fourth and fifth categories, avoiding contingencies with the Peruvian Government.
- This quarter the Project hired consultant Luis Quiroz to Support the Development of Guidelines to program and manage hearings and handling procedural workload with the Criminal Procedure Code.
- On October and November the study and observation tours to the prosecution and judicial offices in Costa Rica took place, with participation of 12 officials appointed by the counterparts (five from the Public Ministry, five from the Judiciary, and 2 from the ST-CEICPP), and three members of the technical team of Pro-Integridad.

VI. RELEVANT ELEMENTS OF THE PERUVIAN JUSTICE NATIONAL CONTEXT

On December 4, 2014 the Plenary Chamber of the Supreme Court elected Dr. Victor Ticona as Chief Justice for the period 2015-2016. One of the challenges to be faced by Dr. Ticona's JB lead is the full implementation of the CPC nationwide until April 2016. In this matter, Pro-Integridad has planned for 2015 further support to the judiciary in strengthening the corporate office and conclude with the Diploma of Specialization in the Judicial System to resolve cases of corruption for 50 judges of Lima, Callao and the Amazon region.

On December 12 Chairmen of the Board of Superior Prosecutors for various prosecution districts nationwide for the period 2015-2016 were elected. Newly elected senior prosecutors have participated in Project activities such as the study and observation visit to Costa Rica. This is the case of Dr. Marco Valdez and Dra. María del C. Ruiz, who have been elected Chairmen of the Board of Superior Prosecutors of Loreto and Lima North, respectively.

Finally, in November 2014 the Public Attorney General Specialized in Crimes of Corruption, Dr. Christian Salas, resigned his position and was replaced by Dr. Joel Segura, who had been the Deputy Attorney. Dr. Segura has actively participated in the process to develop the methodology to calculate civil damages with the technical assistance of Pro-Integridad, so the change will not affect Project activities planned.

VII. PRODUCTS AND DELIVERABLES

Project Deliverables Summary & Tracking Sheet												
Peru Promoting Justice and Integrity in Public Administration – Pro-Integridad Project Contract No.: AID-527-C-13-00001												
QUARTERS 1, 2 and 3 2013	CONTRACT REFERENCE	February 2013 – June 2013					July 2013-Sept.2013			Oct. 2013 – Dec. 2013		
		Feb-2013	Mar-2013	Apr-2013	May-2013	Jun-2013	July-2013	Ago-2013	Sep 2013	Oct 2013	Nov 2013	Dec 2013
Initial Annual Work Plan	F.6(A)(a)		3/18									
Integrated Gender Strategy	C.3 (page C.10)				5/17							
Disabilities Integration Strategy	C.3 (page C.10)		3/18									
Performance Monitoring Plan (PMP)	F.6(B)			4/1								
Quarterly Progress/Financial Reports	F.6(C) & (D)			4/30								
Second Quarterly Progress/Financial Reports	F.6(C) & (D)					6/30						
CSO Mapping developed						6/30						
Third Quarterly Progress/Financial Reports	F.6(C) & (D)							9/30				
Baseline Study	F.6(C) & (D)							8/15				
Analysis of participatory training requirements and training programs for judges, prosecutors and court staff.	F.6(C) & (D)						7/31					
Four Quarterly Progress/Financial Reports	F.6(C) & (D)											12/31
QUARTERS 1, 2 and 3 2014	CONTRACT REFERENCE	February 2013 – June 2014					July 2013-Sept.2014			Oct. 2013 – Dec. 2014		
		Feb-2014	Mar-2014	Apr-2014	May-2014	Jun-2014	July-2014	Ago-2014	Sep 2014	Oct 2014	Nov 2014	Dec 2014
Report on developed strategic plan for CPC implementation on corruption cases and associated monitoring of the achievement of the plan approved by USAID	F.6(C) & (D)	01/31										
USAID approved and finalized report on <i>Organizational and Work Flow Management Redesign and Improvements for Corruption Cases</i>	F.6(C) & (D)	02/14										
Memo for Two grants awarded to increase public understanding of the criminal justice reform under the CPC for corruption cases	F.6(C) & (D)		03/15									
Fifth Quarterly Progress/Financial Reports	F.6(C) & (D)				04/30							
Conduct one international workshops focused on judges and key support staff to facilitate the implementation of the improved processes.					04-(7-11)							
Report on the development of the CPC M&E system of the Judicial Branch						06/30						
Methodological handbook for the systematizing and analysis of jurisprudence in corruption cases, approved by USAID						06/ 30						
Assessment Document MII/PM						06/26						
Report on the development of the Communications Strategy to improve citizen understanding regarding the criminal justice reform.			04/07									
Grants agreements signed by CAJ.			04/22									
Grants agreements signed by Forum.			04/22									
Sixth Quarterly Progress/Financial Reports	F.6(C) & (D)					06/30						
Seventh Quarterly Progress/Financial Reports	F.6(C) & (D)							09/30				
One grant awarded to support	F.6(C) &									10/19		

citizen oversight programs focusing on the performance of the judicial system and its handling of corruption cases in targeted regions and to train CSOs on mechanisms to foster consistent and sustainable oversight of the judicial system	(D)											
Report on Circles of Innovation as a tool for the sustainability of the improved processes in selected pilot sites.									9/30			
Second Quarterly Progress /Financial Reports Forum							09/30					
Second Quarterly Progress / Financial Reports CAJ							09/30					
Manual and Protocols for the improved management model including best practices for corruption cases											12/01	
Plain Language Bench book approved by USAID.									10/29			
Partial report on Diploma course implementation approved by USAID that includes partial evaluation reports.												
Study of standards/methodologies developed to calculate and recover damages in corruption cases									10/24			
Manual and/or Protocol proposal to calculate and recover damages in corruption cases									10/24			
Thesaurus for systematizing and analysis of jurisprudence in corruption cases									11/05			
Report summarizing study tours conducted, approved by USAID.											12/01	
Evaluation report on the implementation of the Institutional Integrity Model in the Ministry of Justice and Human Rights									11/20			
Annual indicators report									10/23			
Eight Quarterly Progress/Financial Reports												12/31
Third Quarterly Progress /Financial Reports Forum												12/31
Third Quarterly Progress /Financial Reports CAJ												12/31
First Quarterly Progress /Financial Report Proética												12/31

VIII. FINANCE QUARTERLY REPORT

Project's budgeting lines	Budget approved to date	Total quarterly expenses	Total expenses to date	Remaining balance
CLIN 001 – Increase judicial system capacity in Lima, Callao, and Peruvian Amazon regions to resolve corruption cases	\$2,939,782	\$312,610.68	\$1,900,808	\$976,033
CLIN 002 – Promotion of Institutional Integrity Model	\$ 318,919	\$24,158.40	\$210,696	\$165,001
CLIN 003 – Strengthen the judicial system's capacity to address corruption through effective civil society engagement	\$ 965,700	\$99,736.13	\$619,815	\$345,885
CLIN 004 – Fixed Fee	\$240,505	\$33,670.00	\$165,947	\$74,558
Total Costs	\$4,464,906	\$470,175	\$2,897,266	\$1,567,640

IX. SUMMARY OF ACTIVITIES PLANNED, ACCOMPLISHED AND UNDER PROGRESS FOR THE PERIOD COVERING FEBRUARY 15, 2013 TO DECEMBER 31, 2014

The table below shows a summary of the implementation status of the work plan for the second year of Pro-Integridad. In general, the Project is within the product goals of year 2 work plan.

ACTIVITY	TIMELINE	RESOURCES		EXPECTED PRODUCTS AND DELIVERABLES	Status
		Team	Counterpart		
OBJECTIVE 1: Increase the Capacity of the Judicial System in Lima, Callao, and Peruvian Amazon Regions to Resolve Corruption Cases					
Result 1.1: Increased capacity of judges and court staff in the targeted regions to manage and resolve corruption cases					
Activity 1: Establish efficient, timely and continuous systems for case management					
Organize coordination meetings with the <i>Presidency of the Judiciary</i>	Permanent	Project Team	OCTI PJ, Criminal ETI PJ.	Redesign Plans and Improvements on the Organizational Management and Workflow of Corruption Cases (for judges and court office staff)	In permanent progress
Detailed evaluation of current systems and case management processes	November 2013 - February 14, 2014	Consultant, Project Team			Submitted
Implement improved management processes for the judicial offices at the selected pilot sites in the Amazonia and Lima Center	March-September 2014	Consultant, Project Team	OCTI PJ, Criminal ETI PJ.	Report on the improved organizational management processes for the selected pilot sites approved by USAID.	In permanent progress
Develop a Manual for the new Management model for judges and supporting staff	March-September 30, 2014	Consultant, Project Team	OCTI PJ, Criminal ETI PJ.	Manual for the new management model for corruption cases.	In progress
Develop an international workshop for judges and prosecutors, with the purpose of facilitating the implementation of the improved processes	April, 2014	Consultant, Project Team	OCTI PJ, Criminal ETI PJ.	Consultancy reports, with materials, conclusions and recommendations from international experts.	Conducted by one international consultant from April 7 to 11, 2014
Activity 2: Train and implement case management systems in accordance with the CPC in general and specifically in the management of corruption cases					
Make a participative analysis of training required for corruption cases	April-July 2013	Consultant, Project Team	OCTI PJ, Criminal ETI PJ. OPROCTI-PM.	Analysis of the training requirements and participative training programs for judges and auxiliary staff	Submitted
Development of the Diploma course for 50 judges and 50 prosecutors	March 2014 – May 2015	IDEHPUCP, Project Team	OCTI PJ, Criminal ETI PJ. ETI Penal MP and OPROCTI-PM .	Final report of the first Diploma course implemented	Finished the Diploma in Lima and Callao; In progress Diploma Loreto, Amazonas, San Martin
Training on the processes improved at the pilot sites for judges and supporting staff	March - September 2014	Consultant, Project Team	OCTI PJ, Criminal ETI PJ.	Report on the training in improved processes at the selected pilot sites.	In progress
Result 1.2: Strengthen the capacity of prosecutors and support staff in the target judicial districts to process corruption cases					
(ii) The PM uses tools to improve the prosecutors' performance					
Activity 1: Support the PM to improve the tools used by the anticorruption prosecutors					
Support the PM in the drafting of a Training Manual on Corruption Cases for prosecutors (product of the Diploma course)	April-August 31, 2014	Project Team, IDEHPUCP	Criminal ETI MP and OPROCTI-PM.	Report on the development of manuals and protocols approved by USAID	In progress
Implement new improved management processes for the prosecution offices at the selected pilot sites in the Amazonia and Lima Center.	February 2014 – September 2014	Consultant, Project Team	Criminal ETI MP and OPROCTI-PM	Report on the improved organizational management processes approved by USAID for the selected pilot sites.	Manual for the corporate prosecutor's office submitted.
Result 1.3: Standard methodology for the quantification of damages caused to the State in corruption cases.					
Carry out a study that allows to determine standards / methodologies developed to estimate and recover damages in corruption cases	June- December 2014	Consultant, Technical Project Team	Consultant and Technical Team from the Public Attorney's Office	Study deliverable to USAID (31-12-2014)	Submitted To USAID 10/27/2014
Report on completed revision of manuals and protocols and training on how to apply standards approved by USAID	January-June 2015	Consultant, Technical Project Team	Consultant and Technical Team from the Public Attorney's Office	Training Guide deliverable to USAID (June 30, 2015)	Submitted To USAID 10/27/2014
Result 1.4: The Judiciary improves its capacity to implement the Criminal Procedures Code					
Activity 1: Establish goals and standards in core areas where the judicial performance can be measured other than the process of appeals.					
Analyze the current systems of monitoring and evaluation, as well as procedures used for the	March- June 30, 2014	Project Team	OCTI PJ, Criminal ETI PJ.	M&E system for the implementation of the CPC	Submitted

application of the CPC with respect to corruption cases					
Result 1.5: Strengthening the Special Commission's functions of coordination and monitoring of the implementation of the Criminal Procedures Code					
<i>(i) Improvement of the Special Commission's monitoring and evaluation of the implementation of the CPC</i>					
Activity 1: Improve the Special Commission's capacity with respect to M&E					
Strategic Plan proposal for the implementation of the CPC concerning corruption cases	September -2013- January, 2014	Consultant, Project Team	Technical Secretariat for the Special Commission	Strategic plan for the implementation of the CPC and related monitoring for the performance of the plan	Submitted
Technical Assistance to update the systems of monitoring and evaluation, for the application of the CPC with respect to corruption cases	March-December 2014	Project Team	Technical Secretariat for the Special Commission	M&E system for the implementation of the CPC	Pending contract amendment to change the deliverable
Result 1.6: Promote the furtherance of good practices and lessons learned in the judicial system to ensure the effective implementation of the Criminal Procedure Code (CPC) for the prosecution of corruption cases					
Make a research trip to Costa Rica with the Judiciary	March-September 2014	Project Team	OCTI PJ, Criminal ETI PJ.	Report	In progress

ACTIVITY	TIMELINE	RESOURCES		EXPECTED PRODUCTS AND DELIVERABLES	Status
		Team	Counterpart		
OBJECTIVE 2- Promotion of the Institutional Integrity Model within the Justice Sector					
Activity 2.1: Promote the Institutional Integrity Model in Justice institutions (IIM)					
Technical assistance to continue with the actions related to the implementation of the IIM in the MINJUS	February 2014- January, 2015	Project Team	MINJUS	IIM MINJUS assessment	Submitted
Identify leaders within each institution to lead the conceptual design of the IIM.	October 2013 and ongoing	Project Team, Short-term Expert	MINJUS	MINJUS assessment IIM PM assessment	Submitted 100% MINJUS
Develop the concept and training materials in the MINJUS	January-April, 2014	Project Team, Short-term Expert	MINJUS	IIM implemented	Submitted
Develop training workshops on IIM for institutional staff.	June - November, 2014	Project Team, Short-term Expert	MINJUS	IIM implemented	In progress
Conduct a situational diagnosis for the implementation of the IIM in the PM	June - November, 2014	Project Team, Short-term Expert	Office Advisor and PM's OPROCTI del MP	IIM PM assessment	Submitted

ACTIVITY	TIMELINE	RESOURCES		EXPECTED PRODUCTS AND DELIVERABLES	Status
		Team	Counterpart		
OBJECTIVE 3: Strengthen the judicial system's capacity to address corruption through effective civil society engagement					
Result 3.1: Civil society organizations contribute to raise the public understanding of the reform of the criminal justice					
Activity 1: Elaborate a specific communications plan to raise public awareness regarding the reform of the criminal justice					
Prepare a Communications Strategy to raise awareness among the general public with respect to the reform of the criminal justice (*deliverable to USAID)	November 2013 - April 7, 2014	Project Team and Falkom		Communications strategy	Submitted
Activity 2: Continue Grants Process for training/dissemination and production of information					
Develop the process to grant donations. a) To elaborate RFA; b) Agreement of donations submitted to USAID	December 2013- March 15, 2014	Objective 3 Coordinator and Project Team	Civil Society Organizations	Donation agreement submitted to USAID for review (deliverable to USAID, March 15)	Submitted
Award the grant to the grantees.	April 2014-February 2015	Objective 3 Coordinator, Project Team	Civil Society Organizations	Donation agreement signed by the grantee organization.	Submitted
Administer and monitor grants	April 2014-February 2015	Objective 3 Coordinator and Project Team	Grantee Civil Society Organizations	Quarterly indicators advance reports.	Ongoing

Result 3.2: Civil society organizations in targeted regions monitor the judicial system related to corruption cases	
--	--

Activity 1: Conduct processes to award two Grants: 1) Support Citizen Monitoring Programs, 2) Support youth, women and Afro-Peruvians to address their particular needs under the new CPC					
Carry out a process to award a Grant to support citizen monitoring programs focused on the judicial system performance and the management of corruption cases in selected regions and train CSOs on mechanisms to encourage coherent and sustainable supervision of the judicial system	May- August 2014	Objective 3 Coordinator and Project Team	Grantee civil society organizations	Grants memorandum submitted to USAID for review August 31, 2014	Submitted
Sign agreements with grantees	August 2014	Objective 3 Coordinator and Project Team		Grant agreement signed by the grantee	Finished
Administer and monitor grants	August 2014- August 2015	Objective 3 Coordinator and Project Team		Quarterly indicators advance reports.	Fully signed
Carry out a process to award a Grant to support youth, women and Afro-Peruvians to address their particular needs under the new CPC	May - August 2014	Objective 3 Coordinator and Project Team	Grantee civil society organizations	Grants memorandum submitted to USAID for review August 31, 2014	In Progress
Sign agreements with grantees	Pending approval	Objective 3 Coordinator and Project Team		Grant agreement signed by the grantee	Pending
Administer and monitor grants	Pending approval	Objective 3 Coordinator and Project Team		Quarterly indicators advance reports.	Pending

ANNEX N° 1 PMP: UPDATED TABLE OF INDICATORS

Advance in indicators:

The following is a summary of the indicators that show advance during this quarter and the attached matrix includes the cumulative for the Project up to date.

Indicator 2: percentage of judges and prosecutors registered in the Diploma Course Specialized in Anti-corruption for Justice Operators who approve the program: This quarter new participants were registered in the diploma courses: 1) in Amazonas (Chachapoyas) 6 judges, 7 prosecutors and 1 anti-corruption public attorney; 2) in San Martin (Moyobamba) 3 judges and 7 prosecutors. This total of 24 new participants will be measured during Project year 3 considering the variable “Approve the diploma course”.

Indicator 3: Number of judges and judicial personnel trained with USG Assistance: Three trainings were conducted this quarter in the Superior Courts for judges and support staff: Iquitos 32 participants (19 women and 13 men); Moyobamba 22 participants (8 women and 14 men); and Chachapoyas 25 participants (11 women and 14 men). A total of 79 participants have been trained – 18 judges and 61 support personnel – disaggregated into 38 women and 41 men.

Indicator 4: Percentage of progress in implementing the system for monitoring for the CPC for corruption cases in the Judicial Branch: By the end of this quarter, the total target planned for this indicator in Year 2 was achieved, 70% advance in the development of the CPC monitoring system for corruption cases in the Judicial Branch. The last phase implemented during this Project year was socializing and training in the system for the ETI-CPC. The last phase for the implementation (30%) is planned for Project year 3.

Indicator 6: Number of MINJUS staff trained in IIM: During this quarter, 306 new people in the MINJUS have been trained through the workshops named “Thursday of Ethics”, disaggregated into 157 men and 149 women.

Indicator 7: Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training: This quarter grantee Forum Solidaridad has trained 70 people (44 men and 26 women) among representatives of indigenous organizations, roundtables and university students in Chachapoyas on the topic “Learn to Observe.”

Indicator 9: Number of government officials receiving USG-supported anti-corruption training: This is a consolidated indicator reflecting all the training offered to officials. This quarter the new trainees from the Diploma Course are 9 judges, 14 prosecutors and 1 public attorney, for a total of 24 persons.

A total of 79 participants (18 judges and 61 support personnel) have been trained in office management at the Superior Courts of Iquitos, Moyobamba and Chachapoyas, of which 38 are women and 41 men.

Finally, a total 103 officials have been trained in anti-corruption topics this quarter.

Matrix/Table of Indicators

N°	Indicator	Definition	Data Source	Data	Baseline	Year 1 target	Year 1 actual	Year 2 target	Year 2 actual	Year 3 target	Year 3 actual	Total Target
Objective 1: Increase judicial system capacity in Lima, Callao, and Peruvian Amazon regions to resolve corruption cases.												
1	Number of improvements and/or processes implemented in judicial and/or prosecution offices at central headquarters of the pilot districts.	With Project assistance implement improvements and/or processes in judicial and/or prosecution offices at central headquarters of the 3 pilot districts that are Amazonas, Loreto and Lima. The key improved management processes identified are 6.	Project Records	Bi-annual	0	0		Chacha poyas: 3	Chacha poyas: 3	Chacha poyas: 3	:	Chacha poyas: 6
								Iquitos: 3	Iquitos:3	Iquitos: 3		Iquitos:6
								Lima: 3	Lima: TBD	Lima: 3		Lima: 6
2	Percentage of judges and prosecutors registered in the Diploma Course Specialized in Anti-corruption for Justice Operators who approve the program and are certified by the Pontifical Catholic University of Peru under rigorous academic standards	This indicator refers to the total percentage of judges and prosecutors (50 judges and 50 prosecutors) registered in the Diploma Course Specialized in Anti-corruption for Justice Operators who approve the program and are certified by the Pontifical Catholic University of Peru.	University and Project Records	Bi-annual	0	0		30%	49% by February 2015	60%		90%
Result 1.1: Increased capacity of judges and court staff in targeted regions to manage and resolve corruption cases.												
Result 1.2: Increased capacity of prosecutors and Support personnel in targeted regions to prosecute corruption cases.												
3	Number of judges and judicial personnel trained with USG Assistance	Judges, prosecutors and support personnel who receive training in different thematic areas aimed at the improvement of their performance in judicial and prosecution offices management in pilot sites	Project/Judicial Branch/Public Ministry Records	Quarterly	0	0		60	143	30		90
Result 1.4: The Judicial Branch improves its capacities to implement the Criminal Procedures Code. (i) The Judicial Branch effectively monitors and evaluates the CPC implementation.												

Matrix/Table of Indicators

N°	Indicator	Definition	Data Source	Data	Baseline	Year 1 target	Year 1 actual	Year 2 target	Year 2 actual	Year 3 target	Year 3 actual	Total Target
4	Percentage of progress in implementing the system for monitoring for the CPP for corruption cases in the Judicial Branch	Pro-Integridad will assist the Judiciary in the development of a monitoring system for the CPC for corruption cases implementation. The system will include the following set of activities: 1. Assessment (20%); 2. Definition of indicators (20%); 3. Validation of indicators with authorities (10%); 4. Training PJ personnel to use the monitoring system (20%); 5. Implementation of the monitoring system by PJ personnel (30%).	Advance matrix for the implementation of the Project's monitoring system.	Bi-annual	0	0		70%	70%	100%		100%
Objective 2: Promote the Institutional Integrity Model in the justice sector.												
5	Percentage of progress in implementing the Institutional Integrity Model IIM	The IIM institutionalization means the adoption of the model as institutional policy (administratively and functionally) disaggregated in 10 elements.	Project Records / Institutional Information	Bi-annual	0	MINJUS: 20%	MINJUS: 20%	MINJUS: 60%	MINJUS: 70%	MINJUS: 20%		MINJUS: 100%
						MP: 20%	0%	MP: 60%	MP: 10%	MP: 20%		MP: 100%
Result 2.1: Institutional Integrity Model (IIM) Promotion												
6	Number of MINJUS personnel trained in IIM.	Number of key personnel with the Ministry of Justice strengthens their skills relating the Institutional Integrity Model.	MINJUS / Project Records	Quarterly	0	0		38	845	10		48
Objective 3: Strengthen the judicial system's capacity to address corruption through effective civil society engagement												
Result 3.1: Civil society organizations generate increased public understanding of the criminal justice reform under the CPC												
7	Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training	This indicator measures the number of persons affiliated to a CSO that will be trained in topics related to criminal justice reform to process corruption cases as well as monitoring and supervision mechanisms to the judiciary in the 3 pilot sites of the Project (Lima Centro, Iquitos and Chachapoyas).	CSO and Project Records	Quarterly	0	0		180	311	180		360
Result 3.2: Civil society organizations in targeted regions monitor the judicial system and its handling of corruption cases.												

Matrix/Table of Indicators

N°	Indicator	Definition	Data Source	Data	Baseline	Year 1 target	Year 1 actual	Year 2 target	Year 2 actual	Year 3 target	Year 3 actual	Total Target
8	Number of monitoring activities to the justice system in corruption cases implemented by the CSO that receive project grants.	Number of activities for social audit/ civil surveillance for corruption cases developed by the CSO who receive Project grants.	CSO Records	Bi-annual	0	0		0		5		5
Indicator total												
9	Number of government officials receiving USG-supported anti-corruption training	This indicator measures the number of prosecutors, judges, solicitors and other staff of the judicial districts where the project will be implemented (Lima, Callao and the Amazon region) that will receive specialized training in anti-corruption issues, such as investigation techniques to address corruption, oral litigation, methodologies to assess and calculate damages caused by corruption, and case management, among others.	University and Project Records	Bi-annual	0	0		175	287	100		275