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USAID/PERU PRO-INTEGRIDAD

FIRST YEAR ANNUAL WORK PLAN – FINAL VERSION

FEBRUARY 15, 2013 TO FEBRUARY 14, 2014

USAID/PERU

PRO-INTEGRIDAD

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ATTACHMENTS

A. YEAR I ACTIVITY GANTT CHART

LIST OF ACRONYMS

AWP	Annual Work Plan
CERIAJUS	Special Commission for Comprehensive Reform of the Administration of Justice
COP	Chief of Party
CPC	Criminal Procedure Code
CSOs	Civil Society Organizations
DCOP	Deputy Chief of Party
GOP	Government of Peru
IIM	Institutional Integrity Model
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NGOs	Non-governmental organizations
OCMA	<i>Oficina de Control de la Magistratura</i>
PM	Public Ministry (<i>Ministerio Público</i>)
PMP	Performance Management Plan
TOT	Trainer of Trainers
USAID	United States Agency for International Development
USG	United States Government

USAID/PERU PRO-INTEGRIDAD PROJECT

FIRST-YEAR WORK PLAN

I. INTRODUCTION

This First Annual Work Plan (AWP) for the USAID/Peru Pro-Integridad Project, implemented by Tetra Tech ARD¹, covers the performance period of February 15, 2013 to February 14, 2014. The overarching objective of the project is to support the effort of the Government of Peru (GOP) to reduce corruption and strengthen the rule of law through activities closely aligned with Peruvian reform initiatives and harmonized with other international support. Pro-Integridad will build upon USAID's and the international donor community's prior activities to advance the rule of law and reduce corruption in Peru with three main objectives:

1. Increase the capacity of the judicial system to resolve corruption cases;
2. Increase the capacity of the judiciary to address internal corruption; and
3. Strengthen the judicial system's capacity to address corruption through effective civil society engagement

Background

Peru has a long history of efforts to improve the performance of the nation's justice system. To that end, in October 2003 the GOP enacted Law 28083, which created the Special Commission for Comprehensive Reform of the Administration of Justice (CERIAJUS). CERIAJUS was composed of representatives from every justice sector institution and incorporated civil society participation in order to achieve its main objective: to develop and adopt a national plan for comprehensive and coordinated justice sector reform in Peru. As a result of this effort, the GOP also decided to enact substantive criminal justice reforms, namely a new Criminal Procedure Code (CPC), executed through Legislative Decree No. 957 (July 2004), which is being implemented progressively in Peru's different judicial districts. This policy instrument is designed to bring about a radical change in the delivery of criminal justice services by replacing the antiquated inquisitorial procedural model with a modern adversarial system based on the principles of orality, transparency, adversarial challenge, and respect for and protection of the rights of defendants and victims.

This promising trend will require a major sustained effort if the justice system is to overcome remaining serious challenges and widespread doubts about its capacity and integrity. Success will be measured by a demonstrated capacity of the justice system to play an appropriate public service role in the preservation of civil rights, the accountability and integrity of government, guarantees of security of person and property, and fair and timely resolution of disputes. The international community is supporting Peru's efforts with a broad array of programs. USAID has focused particular attention on the capacity of the justice system to address corruption cases and internal corruption within the judicial system, and to engage civil society on corruption issues. These are priorities for Peru and also for United States foreign policy.

It is with this backdrop that the Pro-Integridad Project was conceived. On February 15, 2013 a contract was signed between Tetra Tech DPK (Tt DPK) and USAID with a goal of supporting the development of sustainable tools, systems, and skills to strengthen the capacity of the Peruvian judicial system to promote justice and integrity in public administration in Lima, Lima Sur, Lima Norte, Callao, Amazonas, Loreto, Madre de Dios, Ucayali, and San Martin. The results expected follow:

¹ Tetra Tech DPK, an operating division of ARD, is the main point of contact for this contract.

Project Results Framework

Pro-Integridad supports USAID/Peru’s Development Objective 2 of —Management and quality of public services improved in the Amazon Basin. The project specifically targets the Intermediate Result (I.R.) 2.1: Improved government capacity to provide quality public services by supporting the following sub-intermediate results (Sub-IRs):

- Sub-IR 2.1.1: Improved management at sub-national levels
- Sub-IR 2.1.2: Improved enabling environment for decentralized service provision

The project also targets IR 2.2: Increased citizen engagement in decision making and oversight by supporting the following Sub-IRs:

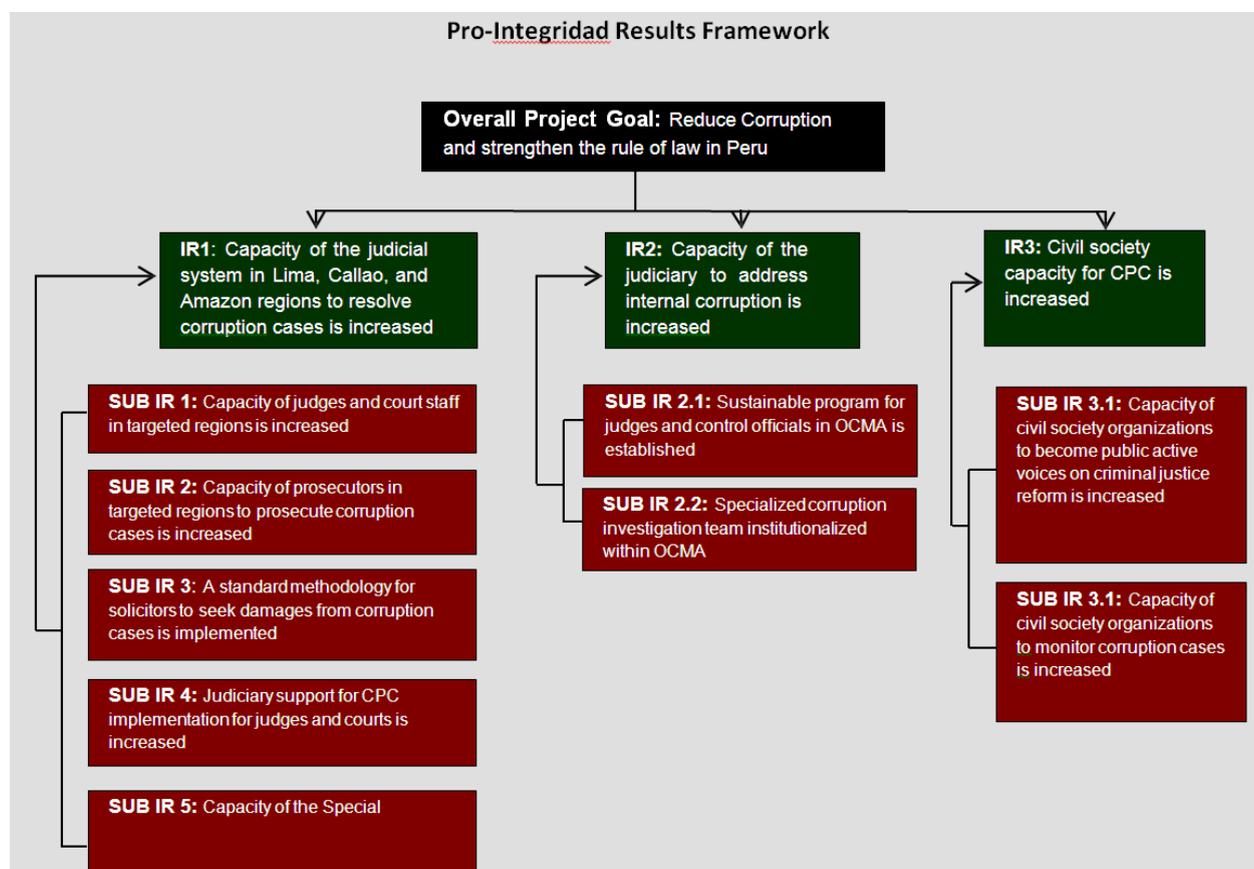
- Sub-IR 2.2.1: Increased citizen capacity to articulate needs
- Sub-IR 2.2.2: Improved citizen access to public information

Guided by the overarching objective to reduce corruption and strengthen the rule of law, Pro- Integridad also supports the USG Foreign Assistance —Governing Justly and Democratically program objective, Program Area 2.1 Rule of Law and Human Rights, and the following program element and sub-elements:

- Program Element 2.1.3 Justice System
- Program Element 2.2.4 Anti-Corruption
- Program Element 2.4.1 Civic Participation

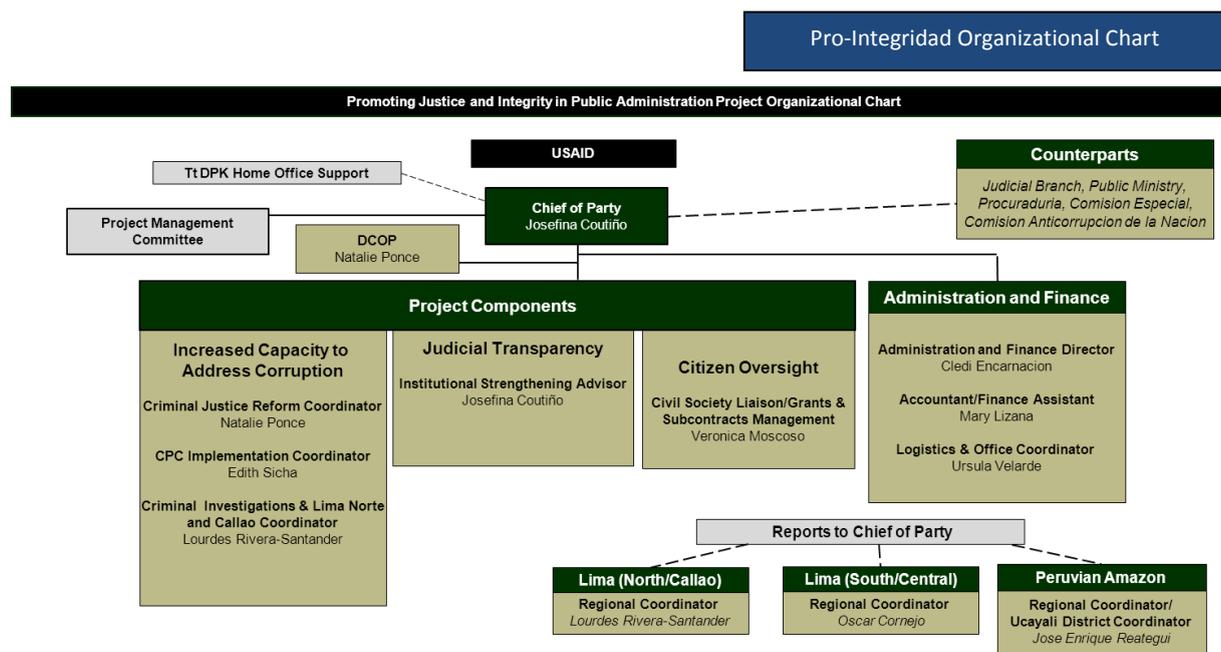
Project Results Areas

Within the foregoing results framework, Pro-Integridad’s main results areas include:



II. PROJECT MANAGEMENT

Pro-Integridad will dedicate the first few weeks of the project to focus on personnel, the recruitment of TBD staff, and the hiring of long-term staff. The organizational chart below illustrates the fully recruited long-term team as well as the overall management structure of the project and the human resources allocated to each project objective. The team will be based in Lima, with the exception of Regional Coordinator, Jose Enrique Reategui –who will maintain a long-term presence in the Amazon region. Our long-term team will require the support of short-term experts, grantees, and the Universidad ESAN to complete the activities outlined in this first year work plan. The required support is noted in the tables that follow the discussion of activities for each objective.



The table at the end of each objective provides a management summary of the specific activities planned, actors involved, expected results and outputs, and a timeline for achieving those results. The Gantt Chart provided in Section IX shows the current levels of accomplishments for each activity and target completion dates. A detailed budget associated with Year 1 activities is included in Section XI.

III. PROJECT LAUNCH AND BASELINE STUDY

Administrative Start-Up

During the first quarter of the project, Pro-Integridad will focus intensely on making sure that a rapid and smooth administrative start-up is in place. With substantial support from our Chief of Party (COP), Josefina Coutiño, local legal advisor Veronica Moscoso, and experienced start-up specialists from our home-office; including Tt DPK Director Robert W. Page Jr.; Project Officer, Monica Underwood; Project Officer, Patricia Valdivieso; Assistant Project Officer, Alejandro Aleman; and Business Development Manager, Crystal Costa, our team will register the project with the GOP, secure office space, procure office equipment and furniture, open a project bank account, hire the long-term team, train staff on field office systems and procedures, and with the support of the long-term team, finalize the first set of deliverables for submission to USAID. More details on the timeline of these activities can be found in Section VIII below, Key Achievements in the First 100 Days.

Technical Start-Up

Within the first two months of the project, Pro-Integridad will conduct a baseline study to evaluate the current status of target court and target prosecution office management models, case management systems, and business processes and practices. The objective of the study will be to evaluate the

current models, systems and processes currently implemented in targeted corruption courts according to their alignment with the requirements of the CPC and the extent to which they are conducive to efficient, transparent, and professional service delivery. The baseline study activity will be a coordinated effort among counterparts, the Project's long-term technical staff, a short-term M&E expert, and a subcontract with Universidad ESAN. The baseline study will provide a clear snapshot of the status quo, a defined set of priorities for action and technical assistance throughout the life of the project, and a foundation for which to measure progress and impact of Project efforts.

Once the baseline study is completed and the areas of intervention have been defined with Project counterparts and stakeholders, Pro-Integridad will hold a Project Launch Conference in May 2013. The purpose of the Project Launch Conference will be to showcase the assistance of the American people in support of the GOP. With the support of a local short-term communications expert, Pro-Integridad will develop a set of key messages related to the criminal justice reform and CPC to disseminate in association with the project launch event. The messages will be targeted towards judicial actors and seek to convey "the starting line for Pro-Integridad, the project's main goals, how they are going to be achieved—with whom, how, and where—and what is action plan for Pro-Integridad to help the GOP comply with the CPC for corruption cases."

The conference will aim to feature attendees such as USAID, local counterparts, high ranking Peruvian justice officials, internationally recognized senior rule of law and integrity advisors, relevant local civil society organizations (CSOs) and non-governmental organizations (NGOs), Project long-term staff, media representatives, and other interested opinion leaders. COP, Josefina Coutiño will closely coordinate the event with our COR to develop the list of attendees and to ensure Mission protocols for communications and marking and branding are closely followed.

IV. OBJECTIVE 1: INCREASE JUDICIAL SYSTEM CAPACITY IN LIMA, CALLAO, AND PERUVIAN AMAZON REGIONS TO RESOLVE CORRUPTION CASES

Law 29648 (January 1, 2011) accelerated the application of the CPC to corruption cases. As a result, the CPC is now in effect nationwide for all cases addressing corruption crimes. Activities under this Objective will therefore focus on improving the judicial system's capacity to resolve corruption cases under the new CPC in the project's targeted judicial districts. More specifically, Year 1 activities under this Objective will aim to improve existing case management systems such as the *modelo corporativo* in the Judiciary and the Public Ministry (PM), provide trainings, new tools, manuals and mentoring on the application of enhanced systems and processes, and finally create a monitoring and evaluation system within the judiciary to monitor the administration and management of corruption cases under the new CPC. To this end, Pro-Integridad will primarily work with judges, court staff and prosecutors to achieve these objectives. The achievement of this result will be of key importance to increase citizen's trust in the judiciary. Achievements in Year 1 will be intimately linked with communication and outreach activities in Objective 3.

Trainings under this objective will be coordinated closely with counterparts, and other donors, especially the World Bank's *Proyecto de Mejoramiento de los Servicios de Justicia*.

Activities and Tasks

In Year 1, Pro-Integridad will carry out the following activities related to Objective 1:

Result 1.1: Increased capacity of judges and court staff in targeted regions to manage and resolve corruption cases

Activity 1: Institute efficient, timely, and consistent case management systems

- Hold meetings to coordinate project activities with the *Presidencia del Poder Judicial*
- Based on the information gathered during the baseline study, carry out a detailed assessment of current case management systems and processes

- Issue a subcontract to develop *Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Cases (Judges & Court Staff)*. The *Blueprints* will include:
 - Revision of the *Modelo Corporativo* to identify potential improvements
 - Proposal for the redesign of administrative systems
 - Signing of Memorandums of Understanding (MOUs) with targeted anticorruption courts to implement the revised systems and process improvements

Activity 2: Training and implementation of case management systems to operate under the CPC generally and manage corruption cases specifically

- Once the blueprints for the new systems and models are developed, identify and evaluate the main gaps in the skills of judges and court staff to implement the new models
- Develop a training plan and provide trainings to apply the newly proposed or revised systems through the following sub-activities:
 - Provide targeted trainings for judges and non-judicial personnel, and joint trainings where appropriate
- Promote and introduce the Circles of Innovation methodology to promote the sustainability of the model
- Publication of the revised *Modelo Corporativo*
- Develop training and operational texts such as bench books and CPC training modules
- Pro-Integridad will sponsor a close-out public event to honor and showcase the achievements accomplished by our counterparts within the framework of the project. The event will include recognition to the good practices and improvements to promote integrity within the public administration

Result 1.2: Increased capacity of prosecutors and support personnel in targeted regions to prosecute corruption cases

Sub-result (i): Increased skills to investigate and prosecute corruption cases demonstrated by prosecutors in targeted regions

Activity 1: Analysis of PM's current case management systems and processes

- Pro-Integridad will carry out a detailed analysis of the application of the *Modelo Corporativo* by prosecutors –including review of current systems, models and processes. Similar to the deliverables produced in Result 1.1., Pro-Integridad will also produce a *Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Cases (Prosecutors)*. The prosecutor focused *Blueprints* will include:
 - Revision of the *Modelo Corporativo* for prosecutors to identify potential improvements
 - Proposal for the redesign of administrative systems
 - Signing of MOUs with prosecutor teams in targeted anticorruption courts to implement the revised systems and process improvements
 - Implementation of the revised systems and processes accompanied by trainings and technical support and development of related support materials to conduct the trainings
 - Publication of the revised *Modelo Corporativo*
 - Publication of training materials
 - Hold a close out activity to include participation of prosecutors in the event described above in Result 1.1

Activity 2: Initial activities to improve prosecutor skills

- In coordination with the *Ministerio Público (PM)* and the PM Training School, and with the help of a short-term expert, Pro-Integridad will help facilitate a self-assessment workshop to identify training needs of prosecutors
- Develop a participatory process to develop the work plan
- Develop a set of guidelines for criminal prosecution policies related to corruption cases as well as intense, practical trainings on the use of the guidelines.

Activity 3: Strengthen prosecutors' skills and abilities to prosecute corruption cases under the new CPC

- Identify existing trainer of trainers (TOTs) in the PM and work to improve their capacity and skills as trainers
- Conduct trainings in areas to be defined with the PM, related with the investigation of corruption cases such as: case theory, analysis of evidence, and joint training of prosecutors and police, among other subject areas
- Help the PM to develop modules oriented to the new CPC
- Assist the PM and PM Training School to draft a Corruption Case Procedural Handbook

Sub-result (ii): The PM uses improved tools to monitor prosecutor performance

Activity 1: Support the PM to improve tools used by the anticorruption prosecutors

- With the help of a short term international specialist with experience developing training programs for prosecutors, the project will develop methodologies, manuals, and protocols for the investigation of corruption cases
- Work with the PM to explore the need to amplify the number of specialized investigation staff such as accountants and financial investigators
- With the support of a short-term local expert, hold specialized corruption investigation workshops for accountants and financial investigators
- Help organize and develop mentoring programs for less experienced prosecutors through roundtables and Tt DPK Circles of Innovation Methodology¹
- Improve inter-institutional coordination and communication through meetings, workshops, and roundtables to improve communication with judges of the prosecution courts and police

Sub-result (iii): The PM's case management system is more efficient

Activity 1: Support enhancements to prosecution case management systems

Activities related to this sub-result will primarily include the development of the prosecutor *Blueprints* mentioned above, in addition to the following sub-activities:

- Working with ESAN and a short-term local organizational management specialist, explore adjustments to the prosecutor case management system to improve case processing (emphasis on corruption cases) based on complexity, type, size and reality of their local implementing environment
- Hold roundtables with PM leadership to review specialization and prosecutor workload distribution to enhance effective utilization of resources

Result 1.3: Standard methodology for quantifying the damage that corrupt acts cause to the State

- Activities leading to this result will begin in Year 2. However, technical assistance may

¹ The Circles of Innovation Methodology™ will be used to develop local plans and encourage our local partners and beneficiaries to take ownership of them. The methodology will also be used to develop implementation processes, as it will help our partners and beneficiaries to identify the best ways to optimize and strengthen their work. This methodology has the advantage of helping to strengthen and raise awareness among our beneficiaries of the importance of accountability, and it also creates a culture of continuous improvement. We will also train Circles of Innovation participants in Advanced Participatory Methodologies, in order to develop skills and techniques that are essential for group participation.

begin during Year 1 based on the agreements to be reached with the counterpart

Result 1.4: The Judiciary improves its capacity to implement the CPC

Sub-result (i): The judiciary monitors and evaluates the implementation of the CPC

Activity 1: Establish goals and standards in main areas where judicial performance can be measured

- Conduct an analysis of current monitoring and evaluation systems and procedures regarding the implementation of the CPC as it relates to corruption cases
- With the support of local short-term monitoring and evaluation (M&E) expert, Cesar Jurado, develop a set of indicators and a corresponding CPC M&E System to measure the performance of the Judiciary in handling corruption cases under the CPC
- With the support of a short-term expert, conduct trainings related to the implementation of the M&E system and application of the set of indicators
- Provide technical assistance to support implementation of the new M&E system
- Work with the Judiciary to establish standard evaluative reports that include the basic metrics of cases that filed, disposed, and pending and time related data such as average times from complaint to trial

Sub-result (ii): Model for the Judicial Observatory developed

Activities leading to this result will begin in Project Year 2

Sub-result (iii): More accessible and comprehensive jurisprudence system developed

Activities leading to this result will begin in Project Year 1, according to the technical assistance agreements to be reached with the Judiciary, and the budgetary limitations of the Project

Result 1.5: Increased capacity of the Special Commission to coordinate and lead the CPC implementation

Sub-result (i): Improve monitoring and evaluation of CPC implementation

Activity 1: Improve M&E capacity of Special Commission

- Technical assistance to the Special Commission's Technical Secretariat to carry out an evaluation that identifies: (1) performance on CPC implementation, (2) development of data and indicators to measure CPC implementation in corruption matters
- Provide technical assistance to define, promote, and disseminate a strategic plan for CPC implementation
- Organize roundtables to improve inter-institutional coordination for corruption cases
- Support systematization of the evaluation process for corruption cases

As requested by the Ministry of Justice and Human Rights, these activities will incorporate a cross-cutting and participatory approach.

Sub-result (ii): Sustainability plan for long-term monitoring of the CPC developed

- Activities leading to this result will begin in Year 2

Activity Timeline, Resources (including personnel required and counterparts) and Expected Deliverables/Outputs by end of Year I

ACTIVITY	TIMELINE	RESOURCES		EXPECTED DELIVERABLES & OUTPUTS
		Team	Counterparts	
Result 1.1: Increased capacity of judges and court staff in the targeted regions to manage and resolve corruption cases				
Activity 1: Institute efficient, timely, consistent case management systems				
Conduct meetings to coordinate project activities with the Presidency of the Judiciary	March – April 2013	Project Team	Judiciary (Advisory Cabinet of the Presidency, CPC Technical Implementation Team, Office of International Technical Cooperation)	Meetings held
Review and evaluate current workflow and processes of corruption case management system (<i>Modelo Corporativo</i>)	June – September 2013	Consultant, Project Team		Assessment of current workflow and processes of corruption case management system
Develop Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Cases	October 2013	Consultant, Project Team		Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Cases
Select pilot judicial districts and hold event to raise awareness of the new corruption case management model design	December 2013	Project Team	Judiciary, PM, Ministry of Justice and DDHH	Judicial districts selected
Implement new case management model in selected pilot districts	January – September 2014	Consultant, Project Team	Judiciary (Advisory Cabinet of the Presidency, CPC Technical Implementation Team, Office of International Technical Cooperation)	New case management model applied successfully in pilot judicial districts.
Activity 2: Training and implementation of case management systems to operate under the CPC generally and manage corruption cases specifically				
Conduct participatory training needs assessment for management of corruption cases	January – February 2014	Consultant, Project Team	Judiciary (Advisory Cabinet of the Presidency, CPC Technical Implementation Team, judges and court staff from targeted judicial districts)	Assessment of training requirements for judges (<i>jueces de investigacion preparatoria y unipersonales</i>) and court staff
Develop training module on the new case management model for judiciary staff	February – May 2014	Consultant, Project Team		Training module on the new case management model for judiciary staff
Train judges and court staff on the new case management model (joint trainings to be delivered as deemed necessary)	June – July 2014	Consultant, Project Team		50 judges and court staff trained on the new model

Develop Manual and management protocols on the new case management model	August - September 2014	Consultant, Project Team	Judiciary (Advisory Cabinet of the Presidency, CPC Technical Implementation Team, Center for Judicial Research, judges, courts staff from the targeted judicial districts and Judicial Academy)	Manual and management protocols on the new case management model for corruption cases
Assess training needs for strengthening judges' and court staff's performance (*USAID deliverable)	April – July 2013	Project Team		Training needs assessment for strengthening judges' and court staff's performance
Develop and implement Training Plan for strengthening judges' and court staff's performance	September 2013 - Year 2	Consultants, Trainers, Project Team		Training Plan 50 judges and court staff trained with tools to improve judicial efficiency
Promote and introduce the circles of innovation methodology to promote the sustainability of the revised model	July 2013 – December 2015	Consultant, Project Team	Judiciary, PM, Ministry of Justice and Human Rights	Delivered trainings aimed at promoting and introducing the Circles of Innovation methodology within the Judiciary
Result 1.2: Increased capacity of prosecutors in targeted regions to prosecute corruption cases				
(i) Increased skills to manage, investigate, and prosecute corruption cases demonstrated by prosecutors in targeted regions				
Activity 1: Improve PM's current case management systems and processes				
Organize coordination meetings with the PM	March – April 2013	Project Team		Meetings held
Review and evaluate current workflow and processes of corruption case management system (<i>Modelo Corporativo</i>)	June – September 2013	Consultant, Project Team	MP (Office of International Cooperation, and Technical at for CPC Implementation)	Assessment of current workflow and processes of corruption case management system
Develop and publish Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Case management in the MP	October 2013	Consultant, Project Team		Blueprints for Organizational and Work Flow Management Redesign and Improvements for Corruption Cases (prosecutors)
Select pilot judicial districts and hold event to raise awareness of the new corruption case management model design	December 2013	Project Team	Judiciary, PM, and Ministry of Justice and Human Rights	Judicial districts selected

Implement new case management model in selected pilot districts	January – September 2014	Consultant, Project Team	MP (Office of International Cooperation, and Technical Secretariat for CPC Implementation)	New case management model applied successfully in pilot judicial districts
Develop a manual and management protocol for corruption case management	May – October 2014	Consultant, Project Team		Manual and management protocol for corruption case management
Organize round-table sessions with MP authorities to carry out an evaluation of specializations, distribution of the caseloads among prosecutors to how to optimize the effective use of resources	August – October 2014	Project Team		Roundtable sessions held
Activity 2: Initial activities to improve prosecutor skills				
Assess training needs for strengthening prosecutors' and prosecutors office staff's performance	April – July 2013	Project Team, Consultant	MP Technical Secretariat for CPC Implementation	Training needs assessment for strengthening prosecutors' and prosecutors office staff's performance
Conduct participatory process to develop an Action Plan	August – September 2013	Project Team		Action Plan in place for project assistance to address prosecutors' and prosecutors office staff's training needs
Develop guidelines of criminal prosecution policies for corruption cases and provide trainings on the guidelines	October-December 2013	Project Team		Guidelines for criminal prosecution policies for corruption cases developed and disseminated electronically
Activity 3: Strengthen trial advocacy skills related to prosecuting corruption cases under the new CPC				
Identify existing trainers and improve capacity and skills of trainers	June 2013 - January 2014	Project Team	PM (Training School, PM Technical Secretariat)	Prosecutors have improved trial advocacy skills
Provide training activities based on the training needs assessment	September 2013 and ongoing in Year 2			At least 10 TOTs identified and trained to improve skills
Help the PM develop training modules oriented to the new CPC	January 2014 and ongoing in Year 2			At least 25 prosecutors trained
Assist PM and its Training School draft a Corruption Case Procedural Handbook	January 2014 and ongoing in Year 2			Training modules developed for PM in accordance with the CPC
				Corruption Case Procedural Handbook

(ii) The PM uses improved tools to monitor prosecutor performance				
Activity 1: Support the PM to improve tools to monitor prosecutor performance				
Analyze current MP monitoring and evaluation systems as well as procedures utilized for CPC implementation on corruption cases	September – October 2013	Project Team, M&E Consultant	PM (Training School, Technical Secretariat)	Complete analysis of MP's CPC M&E system
Develop and publish a set of indicators and a M&E system to measure the performance of the PM in managing corruption cases in accordance with the CPC.	November 2013	Consultant, Project Team		Agreed upon set of indicators to measure the MP's performance handling corruption cases in accordance with the CPC Set of indicators published
Hold specialized workshops according to the training needs identified in the assessment. For example, trainings for prosecutors on financial investigation	January 2014 and ongoing in Year 2	Local Consultant		Specialized workshops developed according to needs assessment. For example, trainings for prosecutors on financial investigation
Help organize and develop mentoring programs for less experienced prosecutors -- through roundtables and circles of innovation	August 2014 and ongoing in Years 2 & 3	Project Team		Documentation that supports the implementation of mentoring programs that contribute to the professional development of less experienced prosecutors
Facilitate improved communications and coordination between prosecutors and police	August 2014 and ongoing in Years 2 & 3	Project Team		Two work groups designed to improve communication and coordination between prosecutors and police
(iii) The PM's case management system is more efficient				
Activity 1: Support enhancements to prosecution case management systems				
Conduct roundtables with the PM to improve case processing based on complexity and reality of the region	August 2014 and ongoing in Years 2 & 3	Consultant, Project Team	PM (Training School and Technical Secretariat)	Improved prosecution of corruption cases based on case type
Result 1.4: Increased institutional support from the judiciary for judges and courts to implement the CPC				
(i) The Judiciary effectively monitors and evaluates the implementation of the CPC				
Activity 1: Establish goals and standards in basic areas where judicial performance can be measured outside the appellate process				
Evaluate the development of a detailed and accessible jurisprudence system for corruption cases	November 2013	Consultant, Project Team	Judiciary (Advisory Cabinet of the Presidency, CPC Technical Implementation Team, Performance Evaluation Office)	Report on evaluation to develop or update a jurisprudence system for corruption cases that provides recommendations for implementation

Analyze current Judiciary M&E system as well as procedures utilized for CPC implementation on corruption cases	June – August 2013	Project Team, M&E Consultant		Complete analysis of Judiciary's CPC M&E system
Develop and publish a set of indicators and a M&E system to measure the performance of the Judiciary in managing corruption cases in accordance with the CPC (*USAID Deliverable). .	September-October 2013			Agreed upon set of indicators to measure the Judiciary's performance handling corruption cases in accordance with the CPC
Organize workshops related to helping the Judiciary implement and use the set of indicators and CPC M&E system	November – December 2013			A training workshop concerning the implementation of the M&E and implementation of the set of indicators
Provide technical assistance to support the Judiciary to implement their M&E system	November – December 2013			Technical assistance provided
Work with Judiciary to establish standard evaluative reports that include the basic metrics of cases that are filed, disposed, and pending and time-related data such as average times from complaint to trial	January 2014 and Years 2 and 3			Standard reports developed to monitor pending and closed cases, and compliance with procedural times
Result 1.5: Increased capacity of the Special Commission to coordinate and lead the CPC implementation				
(i) Improve M&E of CPC implementation by the Special Commission				
Activity 1: Improve M&E capacity of Special Commission				
Based on the needs and gaps collected during the Baseline Study, support the development of a participatory action plan for CPC implementation related to corruption cases (*USAID Deliverable)	July – September 2013	Consultant, Project Team	CPC Implementation Technical Secretariats and Teams	Action Plan to strengthen CPC Implementation in corruption cases
Provide technical assistance to support implementation of the Action Plan	October 2013 and ongoing through Years 2 and 3			Action Plan implemented
Organize roundtables to improve inter- institutional coordination for corruption cases	November 2013 ongoing through Years 2 and 3	Project Team	MP, Judiciary, and Ministry of Justice and Human Rights Technical Secretariats and CPC Implementation teams	Roundtable sessions held
Support formalization of the CPC monitoring and evaluation system for corruption cases	August 2013 and ongoing through Years 2 and 3	Project Team		M&E indicators in place and used for monitoring and evaluating CPC implementation in corruption cases

V. OBJECTIVE 2: INCREASE THE CAPACITY OF THE JUDICIARY TO ADDRESS INTERNAL CORRUPTION

Corruption is an enormous challenge in Peru. While activities under Objective 1 focus on improving the Judiciary's capacity to process external corruption cases under the new CPC, activities under Objective 2 aim to improve the capacity of the judiciary to address internal corruption. Some of the key issues the Peruvian judiciary is currently facing related to the results of this Objective include: (1) low confidence in the integrity of the Judiciary; (2) weak capacity to pro-actively detect and investigate corruption cases and (3) lack of communication/coordination within the judicial sector.

Taking these key weaknesses into account, Year 1 activities under this result will focus on institutional integrity with Project counterparts. In order to begin to assist the judiciary to address internal corruption issues, Pro-Integridad will introduce Tt DPK's Institutional Integrity Model™ (IIM) approach, which Tt DPK pioneered in the Dominican Republic under the guise of our COP, Josefina Coutiño.

Activities and Tasks

In Year 1, Pro-Integridad will support our counterparts to develop and implement the following main activities:

Activity 1: Implement Institutional Integrity Model (IIM)²

According to agreements to be reached with institutions, the Project team will carry out the following activities to institute the IIM:

- Hire a short-term organizational integrity expert to help conduct an assessment of existing laws related to ethics, merit systems, organizational culture, and disciplinary systems within the Judiciary, OCMA, PM, and the Ministry of Justice and Human Rights
- Carry out roundtables to identify leaders within each institution to lead the conceptual design of the IIM in the Judiciary, OCMA, PM, and the Ministry of Justice and Human Rights
- Issue a grant to a local NGO such as *Proetica* to organize workshops and roundtables as appropriate to introduce the IIM, publish materials and carry out an Integrity communications campaign directed at judicial actors within counterpart institutions

Result 2.1: Sustainable training program for judges and control officials in OCMA established

- Activities leading to this result will begin in Year 2, upon approval by the counterparts

Result 2.2: Specialized corruption investigation team institutionalized within OCMA

- Activities leading to this result will begin in Year 2

² The Institutional Integrity Model™ (IIM) was originally introduced by Tt DPK in a USAID project in the Dominican Republic. More than 5,000 judicial sector professionals have participated in this model, which was developed jointly between Tt DPK and leaders from the justice sector in the Dominican Republic in response to the need for institutional leadership to increase and improve the capacity, integrity, and management of judicial institutions, and create the right conditions to effectively implement a new criminal procedure code. The IIM has achieved the effective implementation of planned reforms, significant overall improvements in performance and public perception of the judicial system, as well as numerous awards.

Activity Timeline, Resources (including personnel required and counterparts) and Expected Deliverables/Outputs by End of Year I

ACTIVITY	TIMELINE	RESOURCES		EXPECTED DELIVERABLES
		Team	Counterparts	
Activity 1: Institute Institutional Integrity Model (IIM)				
Conduct integral base assessment for IIM implementation (laws related to ethics, merit systems, organizational culture, and disciplinary systems)	October 2013 – December 2013	Project Team, Organizational Integrity Consultant	Technical teams from the Judiciary and MP Judiciary (Advisory Cabinet of the Presidency, OCMA, Office of International Cooperation, MP, Ministry of Justice and Human Rights)	IIM introduced and foundations for increased institutional integrity among counterparts in place
Identify leaders within each institution to lead the conceptual design of the IIM in OCMA and PM	October 2013 – December 2013			Relationships established between leaders within each institution to lead the conceptual design of the IIM in OCMA and PM
Develop concept and workshops to introduce IIM and publication of training materials	October 2013 and ongoing in Years 2 & 3			IIM concept elements implemented to increase integrity within institutions and counterparts

VI. OBJECTIVE 3: STRENGTHEN THE JUDICIAL SYSTEM’S CAPACITY TO ADDRESS CORRUPTION THROUGH EFFECTIVE CIVIL SOCIETY ENGAGEMENT

This Objective addresses the public’s perception and understanding of the criminal justice reform under the new CPC. Under this result, Pro-Integridad will improve the capacity of local NGOs to carry out effective communication campaigns to increase public understanding and awareness of the CPC as well as support the capacity of local NGOs to monitor judicial performance under the CPC. The focus of Year 1 work will be twofold: (1) develop a multi-dimensional and holistic communications plan to improve public understanding in targeted judicial districts of criminal justice reform under the CPC and (2) issue grants to local NGOs to conduct public education and awareness activities. During Year 1, the goal of this objective will be to communicate the improvements and achievements Project counterparts have made so as to increase public understanding of the criminal justice reform and boost confidence and trust in the judicial system.

Activities and Tasks

In Year 1, Pro-Integridad will conduct the following main activities:

Result 3.1: Civil society organizations contribute to increased public understanding of the criminal justice reform under the CPC

Activity 1: Develop a Communications Strategy for increasing public understanding of criminal justice reform

- Develop a map of the existing NGO environment and related communication activities in terms of the CPC
 - Conduct desk research of existing publications/studies on public opinion and review the activities of current NGOs regarding advocacy and promotion of public understanding of justice reform
 - Conduct a series of roundtables and focus groups

- Coordinate with the Special Commission and the Technical Secretariat along with leaders/directors of relevant NGOs, law schools, professional associations, and media representatives to review current programs and strategies to increase public understanding of justice reform
 - Issue a grant to conduct a public opinion survey regarding current levels of public awareness on the CPC and judicial reform
 - Conduct a series of roundtables and focus groups with leaders of stakeholder institutions
 - Meet with the communication specialists of each counterpart to discuss and review their communication strategies and available resources (i.e. OCMA, PM, Judiciary, etc.)
- With the support of a local specialist or organization with experience in local and mass media, develop a Communications Strategy for increasing public understanding of criminal justice reform

Activity 2: Distribute Grants

- Develop terms of reference for request for applications (RFA)
- Initiate competition for competitive grants for public awareness activities among NGOs identified in Activity 1 above
- Review applications and select grantees in collaboration with USAID
- Fund grantees
- Monitor grantees' results

Activity 3: Train NGOs and the media on the CPC

- Long-term technical team will provide trainings to NGOs (grantees) on the CPC
- Conduct media tours with media representative to visit project sites and counterparts to document the project's achievements and the achievements of Project counterparts with respect to the reform and implementation of the CPC
- Issue a grant to create a certification program for media representatives on the CPC
 - Provide media representatives with a basic training on the main concepts of the reform/CPC
 - Provide support to define the training materials and objectives of the series of trainings associated with the certificate program
 - Oversee execution of the trainings

Result 3.2: Civil society organizations in targeted regions monitor the judicial system and its handling of corruption cases

- Activities leading to this result will begin in Year 2

Activity Timeline, Resources (including personnel required and counterparts) and Expected Deliverables/Outputs by End of Year 1

ACTIVITY	TIMELINE	RESOURCES		EXPECTED DELIVERABLES
		Team	Counterparts	
Result 3.1: Civil society organizations generate increased public understanding of the criminal justice reform under the CPC				
Activity 1: Develop a targeted communications plan for increasing public understanding of criminal justice reform				
Develop a Map of Existing NGO Environment and related communication activities in terms of the CPC	May – June 2013	Project Team	Special Commission, PM and Judiciary Technical Secretariats and Teams, OCMA and CSOs	Map of Existing NGO Environment and related communication activities to inform the public about the CPC implementation Map shows levels of coordination between CSOs and the Special Commission's Technical Secretariat (Lima and Amazonia)
Coordinate with the Special Commission and the Technical Secretariat to review current programs and strategies to increase public understanding of criminal justice reform	June – Years 1, 2, 3	Project Team, local specialist or organization with experience in local and mass media, Grantees		Current CSO activities related to the CPC clearly outlined
Develop a Communications Strategy for increasing public understanding of criminal justice reform (*USAID Deliverable)	July – December 2013	Project Team, local specialist or organization with experience in local and mass media		Communications Strategy for increasing public understanding of criminal justice reform
Activity 2: Distribute grants				
Develop Terms of Reference for RFA	August 2013	Project Team	Special Commission, PM and Judiciary Technical Secretariats and Teams, OCMA and CSOs	RFA TORs completed
Initiate competition with NGOs identified in Activity 1 above for competitive grants for public awareness activities	August 2013			Grants competition process initiated
Review applications and select grantees in collaboration with USAID	September 2013			Grantees selected
Fund grantees (*USAID Deliverable)	November 2013			NGOs carry out public awareness activities At least 3 NGOs receive grants for public awareness activities
Monitoring of grantees' activities	December 2013 and Years 2 and 3	Project Team	Selected CSOs	Monitoring Report on grantees' activities

To support Objective 3, the Project will use Tt DPK's **Q-10™** User Satisfaction Survey methodology to measure public perception of the criminal procedure reform. The process will begin with an initial

baseline study on public perception of the application and implementation of the criminal procedure code during the first year of the project. To measure impact, Pro-Integridad will compare these initial results with subsequent Q-10 public perceptions surveys at the end of each implementation year.

VII. CROSS-CUTTING ACTIVITIES

Donor Coordination Activities

The leadership of Pro-Integridad is committed to constant contact, regular consultation, and effective coordination with counterparts in the host government, US implementers and agencies, and other donors operating in Peru. Activities to achieve effective donor coordination in Year 1 include:

- Communicate closely and frequently with our COR and USAID
- Participate in quarterly donor coordination meetings
- Define multi-lateral MOUs with the counterparts and other donors to concretize roles and commitments of each actor where opportunities for overlap or synergies exist – for example, trainings in related to Objective 1

Sustainability

Pro-Integridad is devoted to integrating local capacity development as a key ingredient towards achieving project results. Our commitment to using local organizations such as ESAN, local short-term experts, as well as staffing our long-term team with local technical experts are three concrete ways the Project is fostering sustainability of our technical assistance in Project Year 1. Other key strategies planned for Year 1 include: institutionalization of strategic planning processes, sharing of key methodologies (i.e. IIM, circles of innovation) with local counterparts, and the steadfast participation of counterpart leadership and staff in assessments, participatory action plans and design of training materials and courses.

Gender and Vulnerable Population Considerations

Pro-Integridad will take into account the role of women and men and vulnerable populations such as indigenous people and Afro-Peruvians in its implementation and will facilitate, where possible, their involvement.

Data will be collected, as appropriate, with particular attention to the technical assistance provided to women, indigenous and Afro-Peruvians. Furthermore, where data indicates a gender or ethnic bias in the training or application of assistance, the project will recommend initiatives or revisions to the design approach to ensure a more equitable sharing of project outcomes as appropriate. The project will include, wherever possible, a concerted effort to have at least 50% of the participants be female and 25% of participants representing minority groups.

During Year 1 and based on the Gender Inclusion Strategy to be developed within the first 90 days of the project, Pro-Integridad will implement activities such as the following:

- As part of the Communications Strategy and to increase public understanding of criminal justice reform, the project will support local CSOs to raise awareness around the CPC, including dissemination on women's and indigenous groups' rights
- Facilitate and host roundtables with leaders of NGOs to improve communications and build the relationship between NGOs focused on gender or vulnerable population issues and judicial actors to highlight issues related to gender and vulnerable population considerations
- Publish project materials in multiple languages used by minority communities
- Support the Judiciary's program "Justicia en tu Comunidad" with grants to local NGOs
- Participate in justice reform focused inter-institutional discussion groups that involve community authorities, the Judiciary, PM, public defenders, and police of regional communities
- Act on other opportunities that are identified during the course of the project

The project will use the Gender Inclusion Strategy as framework to guide its interventions and will share it with its counterparts to promote its adoption.

Disabilities Integration Strategy

Pro-Integridad will strengthen access to justice for persons with disabilities as it relates to the implementation of the CPC for corruption cases in targeted judicial districts. The overall strategy for Project activities related to persons with disabilities is to first address the supply side of the judicial system as it relates to this disadvantaged population by ensuring that management data is readily available to allow key decision makers and leaders to make appropriate decisions on how to best accommodate persons with disabilities. Project activities will also integrate the special needs of persons with disabilities in trainings with judicial actors. As for the demand side, Pro-Integridad will engage the local NGO community to help raise awareness of the judicial system's capacity to accommodate persons with disabilities, the rights of persons with disabilities, and judicial reform under the CPC. Specifically, the following activities will be achieved in Year 1:

Activity 1: Conduct an evaluation of the current operating environment and develop a participatory action plan

Pro-Integridad will carry out an evaluation and analysis (during the Baseline Study) of current case management data regarding the number of people with disabilities who are filing corruption cases. Data for the analysis will be derived from the PM and the Judiciary and courts in targeted judicial districts where the Project is operating. Data will be disaggregated by the type of crime reported, age, sex, region of resident of the person who filed the case, as well as the data on the result of the case filing where appropriate. Pro-Integridad will then facilitate roundtables with the PM and the Judiciary leadership to develop a participatory action plan to take concrete steps to improve the availability and quality of data being collected related to persons with disabilities.

Activity 2: Improve data quality on persons with disabilities in the PM and Judiciary

Pro-Integridad will work with the PM and the Judiciary to incorporate assessment findings into the newly revised and improved case management systems the Project is helping to support and develop under Objective 1 (result 1.1 and 1.2). Where data is not available, Pro-Integridad will suggest revisions and improvements to existing models, systems, and processes in order to capture this important data for future reference. Similarly, under Result 1.4 and the development of a standard set of indicators and CPC M&E system, Pro-Integridad will ensure the standard set of indicators and the CPC M&E system developed for the Judiciary is able to aggregate and summarize data for various population groups, including persons with disabilities.

Activity 3: Improve services for persons with disabilities

Pro-Integridad will incorporate the considerations of persons with disabilities in our trainings with judges, court staff, and prosecutors.

Activity 4: Conduct public awareness activities focused on persons with disabilities as the target population

- Issue a grant to a relevant local NGO(s) to conduct public awareness activities which focus on informing targeted disabled populations of the main changes introduced by the CPC, particularly as it relates to corruption cases, noting their rights and how to access the justice system. The main information of the campaign will focus on how to use complaints mechanisms and what are the alternatives for the resolution of cases, considering that the latter mechanisms could be beneficial for whistleblowers with physical limitations that restrict their ability to actively participate in the criminal justice system.
- Issue a grant to a relevant local NGO(s) to conduct public awareness activities which inform targeted disabled populations about the different mechanisms that are available (i.e. Call Center Hello OCMA) which allow citizens to file complaints or allegations of corruption with OCMA.

VIII. KEY ACHIEVEMENTS IN THE FIRST 100 DAYS

The following chart showcases the projects main achievements during the first 100 days after award (February 15 – May 25, 2013)

PRO-INTEGRIDAD INTITAL ACTIVITIES	WEEKS (FIRST 100 DAYS)														
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
All full time key and other named personnel mobilized	■	■	■	■											
Recruitment contracting and mobilization of all TBD full-time staff completed	■	■													
Office lease signed and procurement and installation of office equipment and furnishing completed	■	■	■	■	■	■	■	■	■	■					
First annual work plan submitted to USAID 30 days after award				■											
Introductory meeting with USAID and national and district level GoP counterparts				■	■	■									
Validation of Year 1 Work Plan with Counterparts				■	■	■									
Final PMP submitted to USAID 60 days after contract award								■							
Finalize subcontract with ESAN	■	■	■	■											
First quarterly Progress report submitted to USAID						■									
Grants Manual and BIP/MP submitted to USAID 30 days after contract award				■											
Gender Integration Strategy submitted to USAID 90 days after contract award												■			

IX. PROJECT YEAR I GANTT CHART

As demonstrated by the Gantt Chart in Attachment A, the critical focus of Pro-Integridad’s activities in Project Year 1 will fall under Objective 1—specifically as it relates to the implementation of revised and improved case management systems. In order to focus and ensure the best concentration of efforts to Objective 1 activities, the team has decided that a majority of activities related to Objective 2 will begin in Project Year 2; whereas activities for Objective 3 in Year 1 will focus primarily on increasing public awareness, technical assistance related to judicial monitoring of the application of the CPC will begin in Year 2 once the revised case management systems are in place.

X. MONITORING AND EVALUATION

Pro-Integridad’s M&E system will be guided by the project performance management plan (PMP). The PMP will be finalized and submitted to USAID for approval on April 1st. We will integrate the base date upon completion of the Baseline Study in late April. Details of our Project’s M&E system include:

M&E Implementation. Our long-term component leaders will spearhead the M&E component of the Project with the support of local short-term M&E consultants. During the first 100 days of the project, our home-office M&E specialists will provide support to finalize the PMP, design the Project’s M&E system, and train the Project staff on data collection and USAID’s data reporting requirements. We will also hire a local short-term M&E expert to provide assistance during the baseline evaluation and provide ongoing data analysis and Project M&E support on a quarterly basis as needed.

Our approach is to use a straightforward Microsoft Excel spreadsheet to maintain our Project data. We have found that this approach is the most effective because it allows us to easily receive information and align our indicators and data sources with our project counterparts, who most often use excel and are familiar with the software.

Most importantly, our M&E system is source of the project's adaptive management approach. Understanding that monitoring and evaluation are mutually enforcing but distinct concepts, data and our PMP will be used to not only monitor progress against the Project's expected results, but also to evaluate results in order to guide management decisions, program activities, level of technical assistance, application of our approach and technical methodologies, and the distribution of resources. In short, our M&E system is an aggregation of the best available evidence to rigorously and credibly make hard choices, learn more systematically, document program effectiveness, and measure impact. To this end, Pro-Integridad's analytic methodology provides an opportunity to respond in real time to changes in the operating environment and the status quo because it includes (1) the consideration of both planned and unplanned results, (2) frequent reexamination of the Development Hypothesis (as well as its underlying assumptions), and (3) adjustments to program activities based on new evidence.

Responsibility Among Implementation Team for Data Collection, Compilation, Analysis, and Data Quality Assessments. Data collection will be overseen by the COP and managed on a day to day basis by the Deputy Chief of Party (DCOP). Each component leader will be responsible for collecting and compiling data for his/her component; whereas the DCOP will take ownership over all project data collection, quality assessments, and report generation. Project data analysis will be a joint effort among the COP and the component leaders.

Data Collection and Disaggregation Methods. Where feasible, we will disaggregate data by court, region/location, race/ethnicity, sex, age, disability status, and other agreed upon criteria. We will field test any data collection instruments that are developed and then make appropriate changes in these instruments as the field tests indicate. We will provide analysis of disaggregated data to ensure that different population segments are not disproportionately involved or benefited.

Data Sources, Frequency of Data Collection and Analysis. During the Baseline Study, our team will identify the most practical and reliable data sources for our set of project indicators. The majority of data collection will be performed quarterly (backed-up/saved on an external hard drive monthly) and summarized into the Project's quarterly reports on an ongoing basis. Public opinion surveys will be carried out on an annual basis, while the number of judges and prosecutors which receive training under the Project will be observed on a quarterly basis and included in each report. The PMP will be updated semi-annually with specific focus on informing the annual planning process. We will use this information as the basis for our frequent working review of project progress with USAID.

XI. YEAR I TECHNICAL ACTIVITY BUDGET

Pro- Integridad will submit a revised Technical Activity Budget as soon as the final version of the AWP for Year 1 is approved by USAID.