PHOTOGRAPH: USAID

CIVIL SOCIETY ENGAGEMENT ASSESSMENT

August 2021

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ABSTRACT

This cross-sectional assessment examines citizen engagement mechanisms (the term "mechanism" refers to the structures or forms of citizen participation promoted by implementing partners) in five USAID-supported projects to capitalize on learning and strengthen interventions in this field, with a view to improving the integrity of the state and combating corruption. It focuses on the characterization of mechanisms, the analysis of effectiveness and sustainability, and lessons learned, which are addressed through a qualitative methodology. The assessment characterizes the mechanisms by distinguishing three forms of citizen engagement based on their main function: advocacy and citizen awareness; surveillance and oversight; and a third form that performs both functions. It identifies achievements that include the dynamization of citizen engagement of the members of the mechanisms and the immediate environment of intervention, the dissemination of information, some improvements sought in the operations of the State, and some achievements of a broader institutional nature. It finds organizational, management, support, and feedback strategies that fostered the effectiveness and sustainability of the mechanisms in different ways. Interinstitutional work and close- and somewhat locally based—support to the mechanisms is noteworthy. Volunteer involvement plays a crucial role and suggests an enormous potential for citizen engagement, which would require diversified strategies. factors that limit effectiveness and sustainability include the design and formulation of the interventions, modalities of support, and a precarious civic culture of the general public to complex relations with the State. the assessment derives recommendations for implementing partners, USAID, and the Peruvian government.

CONTENTS

ACRONYMS AND ABBREVIATIONS

ARC	Authority for Reconstruction with Changes
CDCS	Country Development Cooperation Strategy
LCC	Local Coordinating Council
LQ	Learning Question
RCC	Regional Coordinating Council
CGR	Comptroller General's Office of the Republic
CHS	Capital Humano y Social Alternativo
EITI	Extractive Industries Transparency Initiative
GoP	Government of Peru
IP	Implementing partner
JNE	National Electoral Board
NGO	Non-governmental organization
ONPE	National Electoral Processes Office
OSB	Grassroots social organizations
OSCE	Public Procurement Supervisory Body
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

ASSESSMENT PURPOSE AND QUESTIONS

The purpose of the assessment is to analyze the effectiveness and sustainability of citizen participation and oversight mechanisms promoted by the United States Agency for International Development (USAID) in Peru and to identify challenges, best practices, and lessons learned.

The assessment questions are:

1. How do citizen participation and oversight mechanisms work?
2. To what extent can USAID's interventions influence citizens' ethical behavior or reduce their social tolerance to corruption? (LQ DO 2.1)
3. To what extent are mechanisms for citizen participation and oversight sustainable?
4. What are the lessons learned from these activities?

METHODOLOGY

This was a qualitative study. The methodological instruments were designed to take into consideration their qualitative nature and the necessary triangulation of information from the various sources queried. The assessment team conducted in-depth interviews with 43 stakeholders (implementing partners, members of monitoring committees, activists, and key informants) and were carried out entirely online because of the health crisis caused by COVID-19. The sample included individuals from 10 of the 15 regions where the projects studied were implemented. Data collection involved review of various project documents, academic studies, and web pages. The study used a participatory approach through two workshops with USAID and implementing partners: one at the start of the project to receive insights into the study design, and a later one to co-create recommendations for key stakeholders.

FINDINGS

CHARACTERIZATION AND OPERATION

1. The mechanisms promoted in USAID projects present different forms of citizen engagement.
2. The citizen engagement mechanisms differ in their inception, structure, and operation for several reasons.
3. The USAID-promoted oversight/surveillance form of citizen participation shares similarities and complementary relationships with others promoted by the Peruvian government. There are shared spaces and opportunities for synergies that stakeholders can take advantage of to channel surveillance products generated under this form of citizen participation.
4. Inclusion of vulnerable groups is a cross-cutting strategy in citizen engagement forms.
5. The enabling elements that supported the mechanisms' operations were: adequate coordination between the mechanism and the implementing partner; additional advocacy support; and volunteer commitment. Hindering factors included the complex relationship with the State, complex oversight objects, and limited follow-up and feedback.

6. Mechanisms are aligned with project objectives and with the broader civil society strengthening work carried out by implementing partners.

EFFECTIVENESS

7. The mechanism's achievements are limited and time-bound, focusing on the immediate scenario of the planned activities. The mechanisms did not involve changes in ethical attitudes or behaviors or tolerance to corruption, beyond the immediate achievements. Nevertheless, some of them had demonstration effects.

8. The mechanisms' most outstanding achievements are their contribution to raising awareness and mobilizing people around the enforceability of citizen's rights   and some tangible results of their implementation.

SUSTAINABILITY

9. The mechanisms' outcomes may be sustainable, but there is no guarantee that their impact on practices and attitudes will last beyond the interventions, as long as the project design does not distinguish what sustainability is sought or expected.

LESSONS LEARNED

1. The more clear projects can be on the expected impacts up front, the easier it will be to determine the project's direct effects on citizen engagement.

   The projects involved in the study showed weaknesses in their effect or impact chains (i.e., undefined gaps or incomplete links), which made it difficult to identify the effective contribution of the mechanism to the expected objectives and impacts.

2. The mechanism members will be more committed if they are aware of the objectives, functions, strategies, and forms of coordination from the beginning of the intervention.

   The Clean Elections and Early Elections projects developed a plan for the advocacy and awareness mechanisms that included the objectives, outcomes, activities, implementation phases, and the roles and responsibilities of strategic allies from the regions. The work plan of the oversight committees (Transparent Reconstruction Project) includes the management guidelines, the communications strategy, and a strategy to include information on gender in the reconstruction process agenda.

3. A participative approach to developing and implementing work plans increases efficiency and cohesion. The Mirada Ciudadana oversight committees incorporated their members' various interests and perspectives, which involves operational action plans differentiated for each region. The citizen advocacy and awareness mechanisms, linked to the demand for rights and needs regarding the local elections in Lima and Huánuco, refined their corresponding strategies to meet the requirements of the context.

4. Management actions agreed upon and coordinated between nationwide and regional levels contribute to the operation, learning, and effectiveness of mechanisms.

   The Transparent Reconstruction Project's implementing partner established shared and delegated management with the Mirada Ciudadana oversight committees for the performance of activities. The regional promotion committees, which organized the work of the Mirada Ciudadana oversight committees, provided technical assistance and permanent monitoring. The Mirada Ciudadana oversight committees were organized under a collective management structure and were supported by the regional offices of CHS Alternativo, which are also part of the Mirada Ciudadana oversight

committees. For the advocacy and awareness form of citizen engagement, a similar role was played by working with specialized allies who participated in the design, management, and/or implementation of the mechanism to which they were linked, contributing to the transfer of capacities to the target groups and to the allies themselves entering the advocacy field. For the mechanisms implemented in areas reclaimed from drug trafficking, an advisory team was established to lead the local work and help adapt the performance of activities previously or simultaneously carried out in Lima.

5. The surveillance instruments should meet the needs of surveillance committees. Effectiveness will depend on the quality and contextualization of their development.

    The Transparent Reconstruction project modified several data gathering instruments in response to the needs or problems reported by the Mirada Ciudadana oversight committees in some areas. In other cases, mechanism members reported difficulties in applying these instruments.

6. Shared learning among implementing partners might improve mechanisms and could be better exploited, both nationwide—as is the scope of NGOs—and local intervention areas.

    Asociación Civil Transparencia and Grupo Propuesta Ciudadana established exchange and cooperation elements, but these were not further developed because of the pandemic.

7. Ongoing support and training strengthen the continuity of the mechanism and the members' ability to access online information. This was crucial during the pandemic and reflected the implementing partners' adaptability.

8. For visibility, social validation, and achievement of results, it is vital to disseminate information and liaise with respected leaders and public entities. Disseminating gradual achievements contributes significantly to this. Therefore, relations with the media are a helpful tool. In oversight, connections with governmental control entities (e.g., allies or recipients of findings) can make a difference. In advocacy, relationships with specialized State entities and the legislative branch can be helpful.

    Mirada Ciudadana oversight committees deliberately aim to build cooperation with local media and government institutions, which has a positive effect. The citizen advocacy and awareness activities from the Clean Elections and Early Elections projects were organized together in conjunction with actions in national media and alternative regional media, websites, and institutional and allied local groups' social media accounts. The work of Mirada Ciudadana oversight committees (Transparent Reconstruction project) was reported to authorities of the supervised institutions like the Ministry of Education, the Ministry of Housing and Construction, and the Public Procurement Supervisory Authority during meetings promoted by implementing partner; these were sometimes organized locally by promoting committees.

BEST PRACTICES

1. **Strategically including groups that have traditionally been marginalized (e.g., women, young people, LGBTIQ people) not only as participants but also as beneficiaries.** During the Lima municipal elections, LGBTIQ advocacy groups, through the Presente non-profit organization, led advocacy actions with proposals by people with disabilities, indigenous populations, Afro-descendants, and women. Advocacy actions were performed in areas where alternative crops are grown, involving local organization leaders, farmers, schoolchildren, and young people. As a result, the mayor of Monzón adopted some of the proposals made by youth and farmers during his term.

2. **Involving allies whose specialized work could turn them into multiplying agents in mechanism management and implementation.** Citizen advocacy and awareness mechanisms were implemented with allied institutions and volunteers with relevant expertise, who became

involved as mobilizing agents (e.g., journalists, analysts, artists, or members of groups carrying out advocacy work). During the subnational and snap Congressional elections, the citizen advocacy and awareness mechanisms forged alliances with institutions related to specific groups and issues that made it possible for them to reach the target audiences, involve them, and jointly carry out dissemination or advocacy work.

3. **The design and application of strategies implemented to mainstream a gender perspective, or to include specific groups in surveillance and participation mechanisms, or citizen engagement in general.** The citizen oversight committees implemented the following gender perspective strategies: a) mapping and analyzing the conditions in which women took part in the spaces and roles provided as part of oversight bodies; b) monitoring women's attendance at training events; c) evaluating suitable schedules and places for women's participation; d) differentiating criteria for women's participation in accordance with urban and rural contexts, age groups, and occupations.

4. **The design and application of technical instruments for citizen surveillance, such as guides and forms.** The citizen oversight committees (Transparent Reconstruction project) were provided with technical guidelines for creating and operating promotion committees, technical records for project supervision, and methodological guides for training, which were adapted to an online format because of the ongoing pandemic.

5. **The involvement of local organizations in the leadership of mechanisms at a territorial level.** In Lima, the citizen advocacy and awareness mechanisms involved allied institutions to lead the consensus and response work on the rights of marginalized populations, and for dissemination and public mobilization in relation to integrity in politics and institutional reforms. In Moquegua, volunteers and local organization representatives became involved. Their experience supported the work of the EITI Project's surveillance committee. The Mirada Ciudadana oversight committees include local organizations differentiated by regions. This institutional membership strengthened the work of these mechanisms.

6. **Disseminating information on the mechanisms and their achievements in local and national media, including social media.** The citizen advocacy and awareness mechanisms for electoral processes shared messages and events from the other project mechanisms on their own (and allied institutions' or individuals') social media accounts. The Mirada Ciudadana oversight committees maintain a website where each regional committee's events and those from their network are promoted, as well as some victims' cases or risk situations that have occurred in their regions.

7. **Providing feedback to mechanisms on the activities and contributions carried out based on the data produced in the participation and surveillance processes.** The Mirada Ciudadana oversight committees received feedback in the form of "citizen oversight reports" and the macroregional meetings held by Asociación Civil Transparencia, where these documents were analyzed and disseminated. Some oversight bodies, supported by their promoting committees, prepared their own results reports and held a local event where these were shared with the community. The EITI Surveillance Committees held meetings with local councils or residents, which attracted the local population and even encouraged a mayor to adopt transparency and accountability actions, or a neighboring authority to promote surveillance.

CONCLUSIONS

1. The mechanisms promoted by USAID projects involve three types of citizen engagement: citizen advocacy and awareness, oversight and surveillance, and a combination of both. The types of citizen engagement found reveal strategies that are better adjusted to certain conditions and variables. Close support, strong technical assistance, and shared management were positive factors for all. For citizen advocacy and awareness, working with actors that are multiplying agents was a strong asset. For oversight and surveillance, having an institutional base through organizational memberships rather than individual memberships, or through a support consortium was a helpful strategy. Highlights of the mixed form of engagement are management based on peer agreement, internal and network coordination, and the adaptation of tasks to the type of member organization. All these elements promote seamless operation, encouraging the involvement of members themselves and potential multiplying effects.

2. The mechanisms depended on volunteer commitment during surveillance and/or advocacy actions, which helped them face the challenges of the pandemic and the transition to online work successfully. Volunteer commitment, regardless of role or work or the mechanism complexity or purpose, was helpful for all three forms of engagement.

   Volunteer commitment often lasts beyond the period of support. This personal commitment encourages them to continue volunteering in the mechanism despite their different motivations (e.g., gaining knowledge, reinforcing their employability or leadership skills, showing concern for the community or country, fighting a social evil). However, volunteers express greater satisfaction when they notice the support given to their work (e.g., advisory, tools, support to facilitate their tasks or to address the State), and either factual or symbolic recognition, from tokens of gratitude to invitations to events or training sessions. Even when they are institutional members, personal commitment does make a difference.

3. The interaction of mechanisms with public entities and authorities or private sector actors under surveillance by the local population is difficult and limits synergy. There are mechanisms that achieved a positive relationship with the State through the support of supplementary advocacy work on an individual and/or parallel basis, and at a higher level. Success also depended on the officials' or authorities' openness contingent to the mechanisms' persistence. Other mechanisms were able to take advantage of official spaces, such as public hearings.

4. The mechanisms involved local organizations and individuals, showing diversity and including vulnerable groups. Young people and women were in larger proportions, while rural inhabitants, farmers, indigenous populations, Afro-descendants, LGBTIQ individuals, and people with disabilities were present in a smaller proportion. Several mechanisms achieved greater inclusion in terms of participants or beneficiaries by means of ad hoc strategies, or by involving institutional members. Two limiting factors to achieving diversity are the sexist culture and low civility. Both are felt more strongly in the country's interior.

5. The substantial willingness to take part in volunteering and to mobilize for the common good is valuable capital for citizen engagement. Mechanisms were more successful through management, support, and continued and customized feedback. The involvement of new sectors may be limited by the emphasis on experienced volunteers or strategies that attract self-selected audiences. The vast diversity existing in the potential volunteer universe which may be mobilized for citizen engagement requires various strategies adapted to different individual profiles and the mechanism purpose.

6. Together with the participants' involvement, the mechanisms generated social sensitivity and an interest by third parties in their issues at a local level. This was possible through mechanisms' processes and achievements and their direct effects: personal experience, insights into new or complex civilian-related issues, lessons learned by individuals, communities, and organizations, the

understanding of achieved effects—including potential response from the State—and institutional advocacy. For citizen engagement, the challenges are to consolidate, extend the population/territorial scope, and translate this sensitivity and interest into a more solid objective.

7. Mechanisms tend to influence personal involvement attitudes and behaviors, but do not necessarily lead to a rejection of corruption. Some mechanisms, especially those including citizen advocacy and awareness, involved educational elements of citizenship and democratic values. However, as these were short projects for a single electoral process, or specific or brief dissemination or training action, they have a limited scope and do not lead to longer-lasting impacts. The theories of change and outcome frameworks provide a very limited reflection of the nature and effectiveness of a mechanism's contribution to the final project objective, i.e., the complete linkage (possible or achieved) between the mechanism and this objective.

8. The value of a citizen engagement mechanism lies in its role as a "proxy" for representation channels or the individual-State relationship and in its role in strengthening individual identity and citizenship and a sense of belonging. It is important to safeguard this value by preventing an overestimation of expectations, a reinforcement of the lack of trust in the State, or feelings that the efforts made through citizen engagement have not been effective; particularly because Peru is a country where there is a significant lack of trust in the State and a weak attachment to democratic values.

9. For mechanism institutionalization and sustainability, it is important to receive local feedback and ensure effective dissemination to the public through the media and/or public entities. The mechanisms have made citizen engagement more dynamic, but their scope and replication capacity or duration are uncertain. Mechanisms' and projects' design and implementation do not make the purpose of their sustainability clear.

    The factors influencing institutionalization and sustainability perspectives and mechanism effectiveness have a common thread. This thread includes two dimensions: (1) attention to reality (at micro and macro levels) of the mechanisms and their members, and (2) a close and decentralized (e.g., regional) operation platform, to help provide close support and to integrate a local perspective into the intervention. Both dimensions become all the more important in countries with a weak democratic culture and where there is widespread mistrust of the State, which, in Peru, is even more evident at regional level.

10. The mechanism's operation, support, effectiveness, and sustainability are favored when there is clarity in the causal relationship that connects the mechanism with the project's theory of change. Likewise, when the design of the mechanism is clear from the beginning, the desired sustainability can be identified as a concrete structure or as a nucleus whose functions can be assumed by other structures or other means.

RECOMMENDATIONS

The following are recommendations organized by stakeholder. These recommendations were formulated during the Co-Creation Workshop held online on August 12, 2021 and from the assessment.

IMPLEMENTING PARTNERS

1. Incorporate a clear definition of the mechanism and a theory of change in the project design, showing the causal relationships between the mechanisms and other strategies and the established objectives, and the mechanism indicators and baselines.

2. Ensure that project management adapts strategies and actions to the characteristics and varieties of mechanisms and local contexts, with support (e.g., training, advisory, monitoring and follow-up, interaction, feedback, communication, technical, and orientation instruments), distribution of tasks adapted to the profile, and support for local or central advocacy.

3. Strengthen volunteering management and sustainability through diversified strategies in relation to the members' profiles and the mechanism, including feedback, symbolic reaffirmation of their work, spaces for socialization, and transferred quality capacities. In the context of COVID-19, execute strategies to keep the link with volunteers active, and provide them with training in the use of technological tools.

4. Strengthen the inclusion of vulnerable individuals and groups, either to integrate them to the mechanism or as target groups, by means of strategies or ad hoc interventions.

5. Increase inter-institutional and inter-regional management and working modes or fields: alliances, consortiums, or cooperation with organizations that bring technical capacity and are multiplying agents of involvement as well as a supporting foundation for sustainability.

6. Integrate citizenship education content on institutions and democratic values and their significance to the common good, personal-social behavior, integrity and corruption topics, and the mechanism's specific topic and purpose, in the strengthening of mechanism capacities. Incorporate or reinforce citizenship education content in advocacy and mechanism promotion and dissemination actions, including the revaluation of citizenship as the axis and target of all actions carried out by the State.

7. Expand participant and audience profiles, and involve allies in the field of communication to strengthen the scope of mechanisms with citizen advocacy and awareness functions.

8. Strengthen the dissemination of the mechanisms' work on diversified media to promote proactive responses by the State and sustain longer-lasting demonstrative and multiplying effects.

9. Incorporate, starting with the design stage, plans for coordinating and communicating with public and private stakeholders to disseminate the mechanisms' findings. Coordinate actions to influence the State in relation to the conditions affecting citizen engagement.

10. Link and support volunteers through a virtual platform.

USAID

11. Include a clear and detailed definition of causal and programmatic linkages, both horizontal and vertical, and among mechanism, projects, and sustainability, in the agreements with the implementing partners.

12. Promote interventions in democracy education that provide a robust foundation and sustainability through reflective internalization of practices, including through communicational-educational goals and citizen engagement activities that are close to citizens' daily lives in relation to the State (e.g., claims channels, suggestion boxes).

13. Promote innovative spaces for collaboration with the State and other cooperation agencies on new, effective forms of citizen engagement and citizen surveillance of the State, in which there are open or pre-established alternatives for them to channel their initiatives or recommendations to the public sector.

14. Explore, together with partners and other cooperation agencies, the creation of an accreditation scheme for strengthening the capacities of volunteers and members of the sponsored mechanisms, with an established curriculum, standards, and strategies tailored to the various volunteer types.

This should serve as a foundation to support the accreditation of graduates by the implementing partner, so that they can represent the mechanism to external stakeholders.

15. Promote shared learning among implementing partners and through exchange channels, including dissemination of strategy papers and tools, achievements, best practices, solutions, and challenges.

16. Emphasize interventions that promote citizen participation in the regional or decentralized level that strengthen the capacities of citizens as participants or target audience. This helps address regional perspectives from the operational and contextual points of view; i.e., through interventions that include spaces at a territorial level, and involve regional/local individuals or institutions in the programmatic or operational design and/or the implementation of the intervention and the citizen engagement mechanisms. This may be carried out in consultation with groups, allied implementers, or local offices or teams. This also helps incorporate adapted strategies to the macro and micro-contextual characteristics of the areas where the operation will take place, and to the citizens who will enroll as participants or will benefit from the initiative. The intervention should also integrate dialogue and shared learning among the various territories.

GOVERNMENT OF PERU

17. Promote coordination among the mechanisms promoted by the State and civil society, and the openness of public sector entities to citizen participation and surveillance.

18. Strengthen public ethics tools (e.g., codes, regulations, training material) in public sector entities.

ASSESSMENT PURPOSE AND QUESTIONS

PURPOSE

This is a cross-sectional assessment that focuses on and analyzes the mechanisms of citizen participation and oversight, a strategy implemented in Peru by some United States Agency for International Development (USAID)-funded projects.[1] These mechanisms, in conjunction with certain strategies, sought to reduce corruption, contribute to greater state transparency, and promote greater citizen engagement in issues of national interest.

The purpose of the assessment is to analyze the effectiveness and sustainability of citizen participation and oversight mechanisms promoted by USAID, including the identification of challenges, best practices, and lessons learned.

Objectives of the evaluation

a) Analyze the effectiveness and sustainability of the mechanisms for citizen participation and oversight promoted by USAID and categorize the forms and variants of these mechanisms based on their formation processes, constituent elements, operation, purpose, and results.

b) Identify challenges, best practices, and lessons learned.

c) Provide recommendations for improving interventions that promote citizen and societal participation.

The audiences for this assessment are the USAID/Peru Office of Democracy, Human Rights, and Governance, implementing partners, civil society organizations, the Government of Peru, and international cooperation entities operating in the country.

ASSESSMENT QUESTIONS

The key questions and guiding sub-questions for the assessment are:

Exhibit 1. Assessment questions and sub-questions

QUESTION	SUBQUESTION
1. How do mechanisms for citizen participation and oversight work?	1.1 What are the processes of formation, structure, and operation of the mechanisms for citizen participation and oversight?
	1.2 What are the characteristics and forms of participation of members of the mechanisms for citizen participation and oversight, their contributions, commitments, expectations, and needs?
	1.3 What similarities and differences exist between the mechanisms for citizen participation promoted by USAID and those promoted by the Peruvian government agencies and other donor entities?
	1.4 Are there differences in the level and type of participation between women, youth, and indigenous populations?
	1.5 How do the mechanisms for citizen participation and oversight relate to the public and private institutions that they oversee? How do they relate to other organizations at the local and regional level?

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[1] "Project" is used to refer to an intervention designated an "Activity" by USAID.

QUESTION	SUBQUESTION
	1.6 What obstacles do these mechanisms have to overcome in order to operate effectively?
	1.7 What factors facilitate effective functioning and sustainability of citizen participation and oversight mechanisms (e.g., context, organizational, community, cost, political, individual)?
	1.8 To what extent are interests aligned between civil society and the institutions monitored? To what extent does USAID funding facilitate alignment and collaboration?
2. To what extent can USAID interventions influence citizens' ethical behavior or reduce their social tolerance to corruption?	2.1 What are the concrete achievements of the mechanisms for citizen participation and oversight at the institutional, community and individual level?
	2.2 To what extent can changes in citizens' demands for transparency and accountability be linked to work carried out by the mechanisms for citizen participation and oversight?
	2.3 Which of the mechanisms have been more effective in generating spaces for accountability and transparency? What are the factors that have influenced this?
3. To what extent are mechanisms for citizen participation and oversight sustainable?	3.1 What factors facilitate and hinder sustainability (e.g., programmatic, financial, political, legal, etc.)?
	3.2 Have other mechanisms for citizen participation and oversight or practices emerged of their own initiative from these efforts or other stakeholders (government and other donor agencies)?
	3.3 What is needed to make mechanisms for citizen participation and oversight more sustainable?
4. What are the lessons learned of these activities?	

BACKGROUND

One of the core purposes of USAID in Peru is to support the strengthening of accountable and responsive governance, which, permeating the citizenry, encourages attention in line with it. This is the goal of USAID's Accountable and Responsive Governance Program,[2] implemented through comprehensive improvements in key governmental processes to prevent and reduce corruption, illegality, and citizen dissatisfaction with public administration (USAID/Peru 2018, 5).[3]

The purpose of the Accountable and Responsive Governance Program is consistent with other international and Peruvian priorities and regulations. The program purpose is aligned with Sustainable Development Goal (SDG) 16, which calls for the promotion of just, peaceful, and inclusive societies. For USAID, the promotion of inclusive societies involves ensuring that public institutions are effective and accountable, and at the same time, are strongly inclusive and open to citizen scrutiny or oversight at all levels of government. Integrity in public management requires a strong civil society that participates in the decision-making process and in the oversight of its authorities (USAID/Peru 2018, 10). The Political Constitution of Peru recognizes the right of people to individual or associated participation in the political, economic, social, and cultural life of the nation (Political Constitution of Peru, Art. 2, 1993) and recognizes the right to participate in public affairs through referendum, legislative initiative, removal or dismissal of authorities, demand for accountability, and the right to be elected and freely elect their representatives (Political Constitution of Peru, Art. 5, 1993). In addition, Peru has a legislative regulatory framework for citizen participation.

In this framework, USAID financed five projects aimed at creating public awareness, influencing citizen opinion, and promoting civil participation in issues of priority interest for the country, which were implemented between July 2014 and March 2021 by IDEA Internacional, Grupo Propuesta Ciudadana, Asociación Civil Transparencia, and Capital Humano y Social Alternativo. The projects carried out various activities aimed at promoting informed elections of upright public authorities, transparency in the management of the public budget and public investment, promotion of rights, and assistance to victims of human trafficking.

One of the strategies implemented by these interventions included the mobilization of social engagement at the territorial level and the establishment and operation of watchdog committees with a broad and diverse population structure and geographic presence. This assessment focuses on these strategies and does not attempt to analyze the interventions as a whole. Exhibit 2 summarizes the basic characteristics of each project where the citizen engagement strategies included in the assessment are inserted.

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[2] Responsible and Responsive Governance
[3] The translation from English to Spanish is our own based on machine translation (Google Translate)

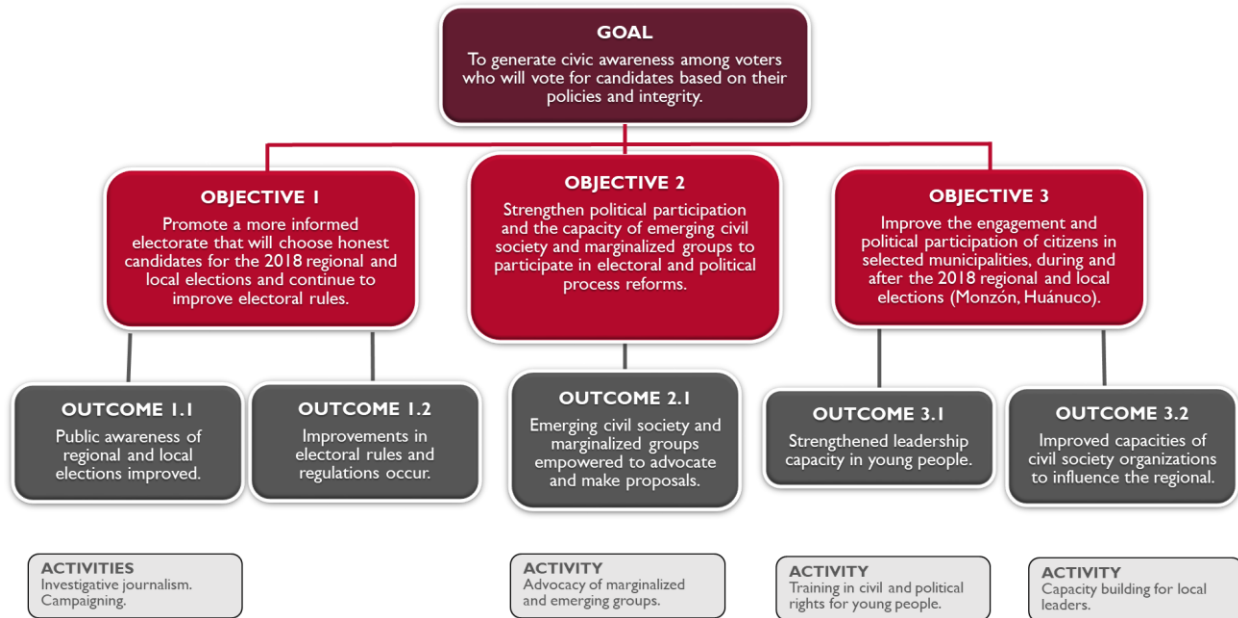Exhibit 2. Strategies of the projects included in the assessment

AGREEMENT NO.	PROJECT	IMPLEMENTING PARTNER	IMPLEMENTATION PERIOD	INTERVENTION AREA	CITIZEN ENGAGEMENT STRATEGY
72052718GR00002	Citizen Engagement in Clean Elections	IDEA Internacional	March 2018–September 2019	Nationwide, Huánuco and Ucayali	Mobilization of civil society to raise public awareness and influence public. Opinion for the election of authorities with integrity.
Award No. 72052720FA00001	Advanced Peruvian Congressional Snap Elections in January 2020	IDEA Internacional	November 2019–July 2020	Nationwide	
FAA Number: 72052719FA00001	Building Better Management Practices and Governance of the Extractive Sector in Peru - Extractive Industries Transparency Initiative (EITI)	Grupo Propuesta Ciudadana	December 2018–March 2021	Nationwide, Piura, Moquegua, Arequipa, Apurímac, Loreto, Cusco	Surveillance Committees: • Funds from the mining canon in regions with extractive activities. • Public budget allocated to the reconstruction of the north of the country.
Cooperative Agreement # 72052718CA00005	Citizen Engagement for a Transparent Reconstruction	Asociación Civil Transparencia	April 2018–December 2020	Nationwide, Lima Provincias, Tumbes, Piura, Lambayeque, La Libertad, Áncash	
AID-527-A-14-00004	Human Trafficking in the Peruvian Amazon	Capital Humano y Social Alternativo (CHS Alternativo)	July 2014–September 2020	Lima, Loreto, Madre de Dios, Cusco	Citizen oversight committees to raise public awareness against human trafficking

Each project defined the functions for the mechanisms they promoted and their direct coordination with other results, which delimits the object of this assessment. A summary of each project is presented below.

The **Citizen Engagement in Clean Elections** (hereafter Clean Elections Project) sought to contribute to the October 2018 local and regional election process, generating civic awareness among voters about integrity in politics. It operated in Lima and Monzon (Huanuco). The work targeted stakeholders with influence on the electorate and political parties, including journalists, civil society organizations, political leaders and local leaders, candidates, and elected authorities. The implementation was carried out with partner institutions in programmatic co-management and with responsibilities according to their specialty. This project had one goal, three objectives, and five outcomes. The citizen

engagement mechanisms that the assessment analyzes are related to four outcomes in which actions that they developed were identified (outcomes 1.1, 2.1, 3.1 and 3.2).
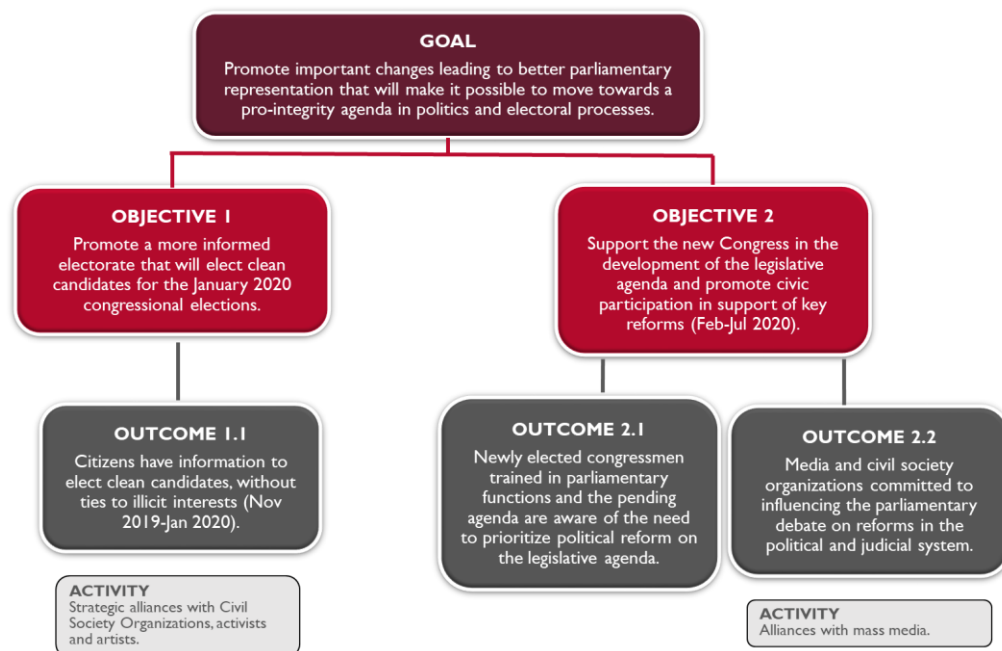
Exhibit 3. Citizen Engagement in Clean Elections

GOAL
To generate civic awareness among voters who will vote for candidates based on their policies and integrity.

OBJECTIVE 1
Promote a more informed electorate that will choose honest candidates for the 2018 regional and local elections and continue to improve electoral rules.

OBJECTIVE 2
Strengthen political participation and the capacity of emerging civil society and marginalized groups to participate in electoral and political process reforms.

OBJECTIVE 3
Improve the engagement and political participation of citizens in selected municipalities, during and after the 2018 regional and local elections (Monzón, Huánuco).

OUTCOME 1.1
Public awareness of regional and local elections improved.

OUTCOME 1.2
Improvements in electoral rules and regulations occur.

OUTCOME 2.1
Emerging civil society and marginalized groups empowered to advocate and make proposals.

OUTCOME 3.1
Strengthened leadership capacity in young people.

OUTCOME 3.2
Improved capacities of civil society organizations to influence the regional.

ACTIVITIES
Investigative journalism. Campaigning.

ACTIVITY
Advocacy of marginalized and emerging groups.

ACTIVITY
Training in civil and political rights for young people.

ACTIVITY
Capacity building for local leaders.

The **Advanced Peruvian Congressional Snap Elections in January 2020** (hereafter referred to as the Early Elections Project) sought to promote changes leading to parliamentary representation that would make it possible to advance a pro-integrity agenda in politics and electoral processes. Until the elections, it focused on raising awareness of the importance of electing candidates with integrity and without suspicious connections and disseminating information on their backgrounds with novel strategies and through alliances (civil society, activists, and artists); it also focused on providing technical assistance to electoral bodies. After the election, it provided technical assistance to elected congress people and parliamentary benches. At the same time, it mobilized citizen support for key institutional reforms through activism, artivism, and communications campaigns, also working with the media and civil society. This intervention had one high-level objective ("goal"), two objectives, and three outcomes. The mechanisms promoted are located in outcomes 1.1 and 2.2,[4] as follows:

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[4] The graph was prepared from project documentation: IDEA International (n/d) and IDEA International 2019b.

GOAL
Promote important changes leading to better parliamentary representation that will make it possible to move towards a pro-integrity agenda in politics and electoral processes.

OBJECTIVE 1
Promote a more informed electorate that will elect clean candidates for the January 2020 congressional elections.

OBJECTIVE 2
Support the new Congress in the development of the legislative agenda and promote civic participation in support of key reforms (Feb-Jul 2020).

OUTCOME 1.1
Citizens have information to elect clean candidates, without ties to illicit interests (Nov 2019-Jan 2020).

OUTCOME 2.1
Newly elected congressmen trained in parliamentary functions and the pending agenda are aware of the need to prioritize political reform on the legislative agenda.

OUTCOME 2.2
Media and civil society organizations committed to influencing the parliamentary debate on reforms in the political and judicial system.

ACTIVITY
Strategic alliances with Civil Society Organizations, activists and artists.
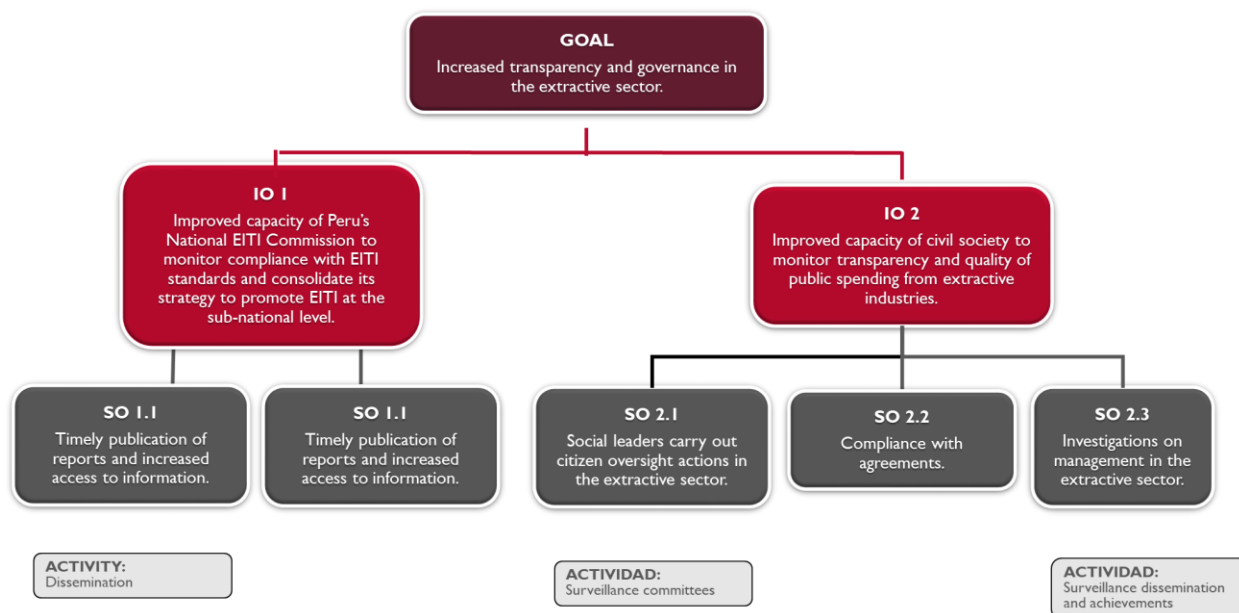
ACTIVITY
Alliances with mass media.

The project implemented by Grupo Propuesta Ciudadana, **Building Better Management Practices and Governance of the Extractive Sector in Peru – Extractive Industries Transparency Initiative** (hereafter EITI Project)[5] aimed to support the Government of Peru in institutionalizing the EITI mechanism to promote extractive sector performance with the highest standards of transparency to contribute to a better relationship with communities and civil society, especially in regions with important mining and energy resources, and to ensure that Peru maintains its status as a Standard Compliant Country. It also worked to improve the capacity of the EITI Peru National Commission to monitor compliance with the EITI standards and consolidate them at the sub-national level and to strengthen the capacity of civil society to monitor the transparency and quality of public spending from the extractive industries by promoting the formation of oversight bodies. The intervention had one goal, two intermediate outcomes, and five sub-outcomes. The committees that are the subject of this assessment are located in a sub-outcome (2.1), as shown in the following exhibit.[6]

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[5] The Extractive Industries Transparency Initiative (EITI) is an international standard for openness in the governance of oil, gas, and mineral resources. Governments that adhere to this initiative commit to disclose the revenues of extractive companies operating in the country, and these companies must disclose how much they pay. Participating governments are subject to seven requirements: oversight by the designated multi-stakeholder group (state, private sector, and civil society), contracting and licensing, exploration and production, revenue collection, revenue distribution, social and economic spending, and outcomes and impact. (EITI, web page)
[6] The information was obtained mainly from the project description document (Grupo Propuesta Ciudadana n.d.) and from other management documents (Grupo Propuesta Ciudadana 2019a, b, c and d).

GOAL
Increased transparency and governance in the extractive sector.

IO 1
Improved capacity of Peru's National EITI Commission to monitor compliance with EITI standards and consolidate its strategy to promote EITI at the sub-national level.

IO 2
Improved capacity of civil society to monitor transparency and quality of public spending from extractive industries.

SO 1.1
Timely publication of reports and increased access to information.

SO 1.1
Timely publication of reports and increased access to information.

SO 2.1
Social leaders carry out citizen oversight actions in the extractive sector.

SO 2.2
Compliance with agreements.

SO 2.3
Investigations on management in the extractive sector.

ACTIVITY:
Dissemination

ACTIVIDAD:
Surveillance committees

ACTIVIDAD:
Surveillance dissemination and achievements

The **Citizen Engagement for a Transparent Reconstruction** project (hereafter Transparent Reconstruction Project) sought to promote an effective and transparent reconstruction process in the regions most affected by the climatological phenomenon known as "Coastal El Niño" that occurred in Peru in 2017, by strengthening civil society oversight and State accountability. It operated in six regions of the country where citizen oversight committees were created by citizens who, on a voluntary basis, monitored the execution of the works included in the Comprehensive Plan for Reconstruction with Changes in collaboration with the Authority for Reconstruction with Changes (ARC), the Comptroller General's Office of the Republic (CGR), the Supervisory Body for State Contracting (OSCE) and other public entities.[7] The implementation was carried out by Asociación Civil Transparencia, the civil society consortium Integrity Observatory and by civil society institutions in the target regions. This project had three levels of objectives: goal, objectives, and outcomes. The mechanisms analyzed are located in Outcome 1.1 regarding the effective supervision of reconstruction by civil society.[8]

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[7] In the project documents, they are called citizen oversight committees, but in the public reports of the Asociación Civil Transparencia, they are called Citizen Oversight Bodies for Reconstruction.
[8] The information presented in the graph was obtained from project documents (Asociación Civil Transparencia 2018 and 2019f).

Exhibit 6. Citizen Engagement for a Transparent Reconstruction

GOAL

Promote an effective and transparent reconstruction process in the regions affected by the Coastal Niño phenomenon.

OBJECTIVE 1

Improve the capacity of civil society to monitor and propose improvements to the reconstruction process of the Government of Peru.

OBJECTIVE 2

Maintain ongoing citizen engagement with the reconstruction process through accessible and effective information mechanisms developed by the Observatory and the ARC.

OUTCOME 1.1

Effective civil society oversight of reconstruction.

OUTCOME 2.1

Increased public awareness of reconstruction progress.

ACTIVITY:
Oversight bodies.

The **Human Trafficking in the Peruvian Amazon** project (hereafter referred to as the Trafficking in Persons Project) sought to contribute to reducing cases of human trafficking in Peru through public policy advocacy and prevention and promotion work. The project supported the formation and work of oversight committees in five regions of the country (called *Mirada Ciudadana de la Trata de Personas, Tráfico de Migrantes y Personas Desaparecidas Oversight Committees*) with the purpose of strengthening the regional level in the implementation of public policies and the consolidation of the work of the State, civil society, and the community against human trafficking. Within this framework, the committees are located in Objective 2 of the project, which consists of increasing the capacity of public institutions and selected communities to develop the fight against human trafficking in the regions. As will be seen below, the reports produced by the committees contribute to the Annual Alternative Report on Human Trafficking prepared by the implementing partner (Objective 1 activity), which contributes to Objective 3, which consists of placing human trafficking issues with regional impact on the national agenda. The project was implemented by Capital Humano y Social Alternativo (CHS).

Exhibit 7. Human Trafficking in the Peruvian Amazon
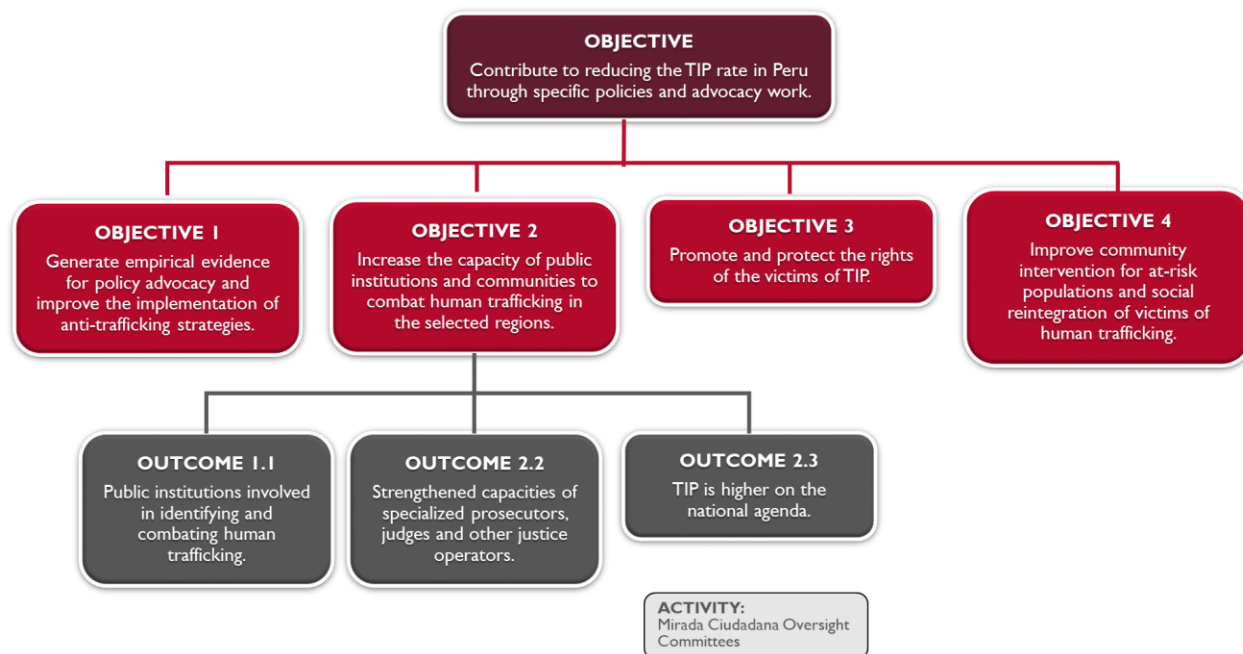
TIP: Trafficking in persons, as used in the figure above.

CONCEPTUAL ELEMENTS

For the purposes of this assessment, it is important to identify the link between citizen participation and oversight mechanisms and the purposes and effects sought by USAID with its support and cooperation for development. In this sense, an essential reference for the conceptual framework is USAID's perspective on participation, oversight, and citizen engagement and their value and functionality. The conceptual elements described in this section are based on concepts used by USAID to describe its work and on democratic theory.

In this assessment, the concept of citizen engagement refers to a practical dimension of a citizen's relationship with public affairs, which may differ from the subjective conviction or commitment to civic or democratic values (which do not necessarily imply action or, if they do, may connote, inversely, an intense degree of dedication). This practical dimension is also understood as a form of link with the public sphere and a sense of active participation in public affairs which, in a democracy, are essential for a solid institutional framework. Under this scheme, citizen engagement is taken as a general form of participation, vigilance, or other form of civic action or activism.

In the last 20 years, the practice of citizen participation in its various forms has been in force. However, in the last decade, the production of assessments and conceptual publications based on experiences linked to development, actions, or deliberate interventions with a view to a positive impact and that could enrich the promotion and implementation of successful experiences, is relatively scarce in Peru. The renewed impetus given to results-oriented and evidence-based action approaches offers an important window of opportunity for a new look at citizen engagement that seeks impact on various aspects of development. This assessment is placed on that horizon, seeking to contribute to a reflection

and conceptual development around citizen engagement that is closely linked to practices that can have an impact.

Against this backdrop, it is interesting to outline the guidelines that inform USAID's programmatic support for development, particularly in the areas that are the focus of the assessment.

USAID's Bureau for Democracy, Human Rights, and Governance (DRG) considers the engagement of civil society as a supporting factor to strengthen state institutions and facilitate or promote good governance (as stated in the USAID/Peru strategy document, 2021):

> "USAID works with civil society organizations, public entities and private-sector partners to strengthen the responsiveness, transparency, and accountability of key government institutions to increase public integrity, reduce corruption, and support human rights" (USAID/Peru 2021, 1).

The document establishes a link between citizen engagement and the quality and capacity of democracy. In this sense, engagement is a means of institutional strengthening, which is why it is also closely linked to accountability. Conversely, as part of democratic governance, state responsibility is fundamental to ensure that government actions benefit the citizenry. In other words, engagement is the end and not just the means. Both dimensions are interrelated.

Citizen participation and oversight is important for its intrinsic democratic value. Support for inclusive, equitable policies, promotion of human rights, special attention to vulnerable populations or groups, and the promotion of citizen engagement and participation and participatory state entities and processes point to the importance of giving people a voice and capacity to influence decisions that govern their lives and their rights. Both dimensions play a role as a factor of change because of their direct intervention and the legitimacy they generate, which go hand in hand with mitigating dissatisfaction with the government, its performance, and its institutions.

All the experiences of the mechanisms in this assessment can be understood through the two dimensions mentioned in the previous paragraph. The dimension of democratic value and entitlement in citizen engagement is more explicitly expressed in USAID's Strategy on Democracy, Human Rights and Governance (2013). The document repeatedly points out that citizen engagement, voice, and participation are essential components of democracy. Some noteworthy aspects of the Strategy in this context are:

> "Strong democratic institutions, respect for human rights, and participatory, accountable governance are crucial elements for improving peoples' lives in a sustainable way" (p.4).

> "USAID will prioritize participation and inclusion to empower reformers and citizens from the bottom up so they can have a greater say in how they are governed and have a stake in the process. USAID will support accountability to shift the incentives of the ruling elite so they will support meaningful reforms and more inclusive and accountable modes of political and economic governance" (p.13).

> "Citizen voice and participation are essential to build and sustain democratic societies. Yet, in many countries, large groups of people are excluded from involvement in the political processes that define their opportunities and quality of life" (p.15).

Finally, it should be noted that in this assessment, the term "mechanism" of citizen engagement refers to the concrete structures or forms of citizen participation promoted by the implementing partners. This may include more or less structured committees or groups, activity hubs or participation platforms, face-to-face or online (such as websites that offer informative or promotional tools or materials), and spaces for socialization. All these modalities channel or organize one or more lines of intervention aimed at generating different forms of civic engagement.

ASSESSMENT METHODS AND CONSTRAINTS

The assessment used qualitative methods to answer key questions and sub-questions. Data were obtained from primary and secondary sources, which allowed for triangulation to generate evidence. The participatory approach allowed incorporating feedback from the design to the co-creation of recommendations from stakeholders (USAID and implementing partners of the strategies covered in the assessment).

DATA COLLECTION TECHNIQUES AND INSTRUMENTS

The assessment is based on primary and secondary sources and the following techniques:

- **In-depth interviews**. The assessment team conducted semi-structured interviews with key stakeholders: implementing partners, oversight committee members, activists, and key informants. Because of restrictions imposed by the COVID-19 pandemic, the team conducted interviews through teleconferences (Zoom and WhatsApp) and phone calls. Interviews were conducted between June 3 and 14. *APPENDIX D* contains the data collection instruments by type of stakeholder.

  Following the highest standards of qualitative research and to protect participants, MELS subjected the study design and corresponding data collection instruments to an internal review process by the EnCompass institutional review board (IRB). The assessment was conditionally approved by the IRB prior to initiating data collection. At the conclusion of data collection, the MELS team provided the IRB with the final informed consent protocol used by the team to finalize the approval process (see *APPENDIX E*).

- **Document review**. The assessment team reviewed USAID documents and reports, general literature on the subject, documents and materials from the projects studied, such as agreements and contracts, implementation plan, monitoring and evaluation plan, quarterly and annual reports, workshop reports, communication and observer products, and reports from observers and research by local journalists, among others, provided by the implementing partners. In addition, the team collected information from implementing partners' websites and social media. The literature and list of documents reviewed can be found at *APPENDIX G*.

SAMPLE

The sample was qualitative and determined with reference to the nature and diversity of the mechanisms in each project included in the assessment. The sample was selected based on the criteria of intentionality, sufficiency, regional participation, gender, and based on the triangulation of information.

Intentionality was linked to the purpose of the assessment and was based on the experience and judgment of the research team. Sufficiency was based on the repetition of the answers to the key questions and on the attention to aspects of promising interest that emerged from the interviews or other sources. The criterion of regional participation guided the search for sources of information from the different regions where the mechanisms were implemented, covering the variety of territorial characteristics as relevant to the intervention zones of each implementing partner (natural region, north, center, and south, urban and rural).

For all these criteria, the triangulation of information was a guiding element, which also served as a guide to counteract possible limitations of access to certain sources or types of data. Thus, from a preliminary sample configured with the contact information provided by the implementing partners, the final sample involved changing or supplementing this version by seeking functional equivalents in the list of people interviewed, in the project documents, in information and documentation from websites and social media, or thematic spaces linked directly or indirectly (by topic, for example) to the mechanisms studied.

The team conducted 43 in-depth interviews, covering 10 of the 15 regions where the citizen participation and oversight mechanisms studied were implemented, as shown in the following table. The list of stakeholders interviewed can be found in *APPENDIX F*.

Exhibit 8. Sample reached

PROJECT	REGION	VOLUNTEERS /ACTIVISTS	IMPLEMENTING PARTNERS	SURVEILLED INSTITUTIONS	OTHER
Clean Elections	Huánuco			1	
	Lima	4	1		
Early Elections	Arequipa	1			
	Lima	1			
EITI	Apurímac	1			
	Arequipa		1		
	Cusco	1			
	Lima	3	2		
	Moquegua	1	1		
	Piura	1			
Transparent Reconstruction	Lambayeque	1			
	Lima		1		1
	Piura	3		1	
	Arequipa	2			
Human Trafficking	Cusco	5	1		
	Lima		3		
	Loreto	2			1
	Madre de Dios	2	1		
TOTAL		**28**	**11**	**2**	**2**

The total number of mechanisms included in the sample is detailed below.

Exhibit 9. Number of mechanisms by project included in the assessment

PROJECT	NUMBER OF MECHANISMS
Clean Elections	5
Early Elections	2
EITI	7
Transparent Reconstruction	3
Human Trafficking	5
TOTAL	**22**

The qualitative information was processed and organized, taking into account the questions that guided the assessment, using data organization matrices. For the analysis, two types of triangulations were carried out: between primary data, considering the breadth of the sample, which allowed the observation of differences among the mechanisms of civil participation and their geographic diversity, and the triangulation of primary and secondary data.

STRENGHTS AND CONSTRAINTS

The main strength of the assessment was the methodology applied, as it made it possible to receive information from a variety of sources, such as citizen monitors, representatives of local organizations, public officials, and implementing partners. The characterization analysis and comparative approach made it possible to identify general dimensions and specific overlapping or contrasting areas that help to isolate citizen engagement factors or features—and their corresponding elements of judgment—that can be used or adapted to different conditions and contexts.

The main constraint faced by the assessment was the COVID-19 pandemic, which forced the entire information gathering process to be conducted online. While all the interviews were successfully conducted through the relevant online platforms, not everyone had adequate connectivity; nor was it possible to interview people in distant places, and some could not even be located despite the use of various channels of contact. In the end, the assessment sample covered all the proposed characteristics in terms of variety of mechanisms, geography, and diversity of stakeholders.

CONTEXT

In Latin America and Peru, major changes in recent decades exerted pressure and raised questions about the democratic regime, especially regarding its representative nature. In these processes of change, the democratic system promoted mechanisms for citizen participation, information, oversight, and co-management emerged that complemented and strengthened the established mechanisms of representative democracy.

Within this framework, over the course of 20 years in Peru, citizen organizations and non-governmental bodies carried out or promoted actions to monitor local governments or issues of collective interest such as environmental damage, human trafficking, fair elections, corruption, the execution of the participatory budget, or works and programs. At the same time, the Peruvian government generated norms that incorporated mechanisms for citizen participation in the processes of information, oversight, management, and proposals for changes in authorities or regulatory modifications. These processes

gained momentum when the return to the democratic system was sought in the 2000s through the various efforts of civil society and State powers generating regulations and mechanisms for citizen participation, co-management, and oversight. Legislation was applied to different degrees and at different paces, sometimes requiring citizen pressure, as in the case of making the cabildo effective, which required a regulatory ordinance.

The spaces of citizen oversight were promoted around different themes of varying duration. The document of the Public Management Secretariat of the Presidency of the Council of Ministers – USAID Pro-Decentralization Program (n.d., 45) states that "there are ... spaces for free and voluntary citizen oversight that are formed based on collective interests to monitor or control the operation of public policy and the actions of authorities (...). This oversight takes the form of organized groups. Some are circumstantial to follow up on a public management process or the application of a specific policy. Others are of longer temporal scope to follow action plans, such as the implementation of the Concerted Development Plans or the application of a sectoral or State policy that involve processes that are spread out over time."

Despite the existence of these institutional spaces, the social and political situation in Peru shows that it is important to further strengthen the democratic system so it can fulfill its principles of citizen-oriented service, effectively responding to their demands and needs and providing opportunities to each. While social progress has been made as a result of economic growth, there are still serious management and governance problems in the country. Distrust of the State affects confidence in democracy.

These circumstances are aggravated by corruption in politics. The need to bring the population closer to the State and democracy highlights the importance of citizen engagement, understood as their interest and practical relationship with public affairs. This engagement as direct participation of people to influence the management of public affairs that concern them or an informed follow-up or surveillance, provides an experience of citizenship and of being an active participant in the State. In this context of leveraging and expanding the resources of democracy to promote citizen engagement, we find initiatives to encourage citizen engagement. USAID-sponsored projects have developed this type of initiative in different fields and in different ways.

CONTEXT IN WHICH THE MECHANISMS UNDER ASSESSMENT ARE IMPLEMENTED

Clean Elections and Early Elections Projects: The citizen participation mechanisms promoted by these projects were developed in the midst of strong political instability in 2018 and during the regional and municipal elections scheduled for October of that year. A packed slate of political groups set the scene. The fragmented political spectrum triggered a contentious relationship between Congress and the Executive Branch, with scandals and judicial actions for alleged acts of corruption involving the highest government officials. Political instability reached the judicial and electoral spheres, a situation that prompted the President to promote a package of political reforms and to call a referendum on central issues. Congress approved the project presented by the Executive Branch, but with modifications. This situation was considered by the Executive Branch to be an alteration of the essence of the political reform, which led to a confrontation between both powers and ended with the dissolution of Congress and the call for snap parliamentary elections.

In this complex context, the Clean Elections project ended as the sub-national elections approached. Thus, the second project for the extraordinary congressional elections began. Journalism covered major

political issues with little breadth or depth, and the electoral rules allowed candidates under suspicion or under criminal investigation to run for office, situations that provided the basis for the objective and strategy of the second project, Early Elections.

In January 2020, the country held snap congressional elections. President Vizcarra did not obtain parliamentary representation and the confrontation with the new Congress intensified. In March of that year, the COVID-19 pandemic forced the adoption of lockdown and social distancing measures, which resulted in a serious economic crisis and great pressure on the management of the State. The Early Elections project was only affected by the pandemic for a short time because the project ended in July 2020.

EITI Project: The EITI initiative is an international mechanism that seeks to establish practices of enforceability and respect for rights, effectiveness, and integrity in the extractive sector, with standards to be met by public and private stakeholders. Peru adhered to this initiative and has been a compliant country since 2012. Since most of the social conflicts in the country are related to the work of the extractive industries, the consolidation of the EITI standards through the stakeholders involved can contribute to a more stable operation of the industries and can preventatively address social conflict, discouraging distrust among the population in the government and in the private extractive sector. The implementation of the EITI in Peru entails its decentralization, with regional structures alongside the national one. Within this framework, Grupo Propuesta Ciudadana signed an agreement with USAID to implement a project on the subject.

Transparent Reconstruction Project: The 2017 Coastal El Niño phenomenon caused a serious emergency situation with severe loss of human life, destitution, and destruction. The government organized the Reconstruction with Changes Program, with a special entity in charge, a substantial volume of resources, and under the special emergency regulatory conditions. As mentioned above, since 2018, instability increasingly worsened. Successive governments maintained the program, which was implemented slowly and with delays, undergoing various management and regulatory changes. In April 2018, USAID and Asociación Civil Transparencia (on behalf of the Integrity Observatory, a consortium created to contribute to advances in this area in the country) signed an agreement for the implementation of the project. With the arrival of the pandemic, the project activities changed to conduct online monitoring of resources allocated to the care of vulnerable populations affected by the pandemic. Thus, in addition to monitoring projects associated with the reconstruction, the project started monitoring social relief programs and actions implemented by the government in the reconstruction regions.

Trafficking in Persons Project: Trafficking in persons is a complex crime associated with a variety of illicit behaviors. It involves problems related to human rights violations and affects vulnerable populations, such as minors, women, and migrants. The United Nations deems Peru to be a country of origin, transit, and destination for human trafficking. The greatest number of victims are underage women, and the areas with the highest rate of complaints are Arequipa, Cusco, Lima, Loreto, Madre de Dios, and Puno. People's knowledge of this issue and the rights it affects is meager, which enables human trafficking to continue. State technical, management, and information resources to address the problem are limited, and issue aggravated by the multiplicity of aspects of the problem. In 2014, the NGO Capital Humano y Social Alternativo (CHS Alternativo) signed an agreement with USAID for the implementation of a project aimed at counteracting human trafficking.

FINDINGS

CHARACTERIZATION AND OPERATION

Assessment question:

How do citizen participation and oversight mechanisms work?

Summary of findings:

- *The mechanisms promoted in USAID projects present different forms of citizen engagement.*

- *The citizen engagement mechanisms differ in their inception, structuring, and operation due to several factors.*

- *The USAID-promoted oversight/surveillance form of citizen engagement shares similarities and complementary relationships with others promoted by the government. There are shared spaces and opportunities for synergies that can be taken advantage of to channel surveillance products generated under this type of citizen engagement.*

- *Inclusion of vulnerable groups is a cross-cutting strategy in citizen engagement forms.*

- *The enabling elements for the operation of the mechanisms were adequate coordination between the mechanism and the implementing partner, support, additional advocacy support and, as a key element, volunteer commitment. Hindering factors included the complex relationship with the State, complex oversight objects, and limited follow-up and feedback.*

- *Mechanisms are appropriately aligned with project objectives and with the broader civil society strengthening work carried out by implementing partners.*

FINDING 1:   **The mechanisms promoted in USAID projects present different forms of citizen engagement.**

To analyze the different mechanisms developed in the projects, this assessment generated a typology taking into account the leading or dominating role they perform and that delineate the type of actions they carry out. Three forms of citizen engagement were identified: (1) citizen advocacy/awareness, (2) oversight/surveillance, and (3) citizen advocacy/awareness and oversight. In practice, the mechanisms do not fall exclusively into one category or the other, and may share features of the other forms.

Citizen advocacy/awareness: This form is fundamentally aimed at promoting citizen engagement through a greater awareness of civic-democratic issues in general and specific aspects associated with the purpose of the implementing partner's project, and mobilization of people to influence the political or state apparatus in public policies or norms related to rights and the state's service to the citizenry. This category included the mechanisms for electing authorities with integrity and channeling the citizen voice developed by the Clean Elections and Early Elections Projects in the electoral context.

Oversight/surveillance: This refers to organized forms that bring together and organize individuals or groups to carry out observation tasks on various aspects of the State's performance, as a way of controlling its due adherence to standards, procedures, and principles of integrity. There forms appeal

to fundamental democratic principles of transparency, accountability in their citizen-oriented actions, citizen orientation in state actions, and the citizen's right to be held accountable.

Partner mechanisms that fit this form include those promoted to encourage a transparent and effective reconstruction process with changes developed by the Transparent Reconstruction Project and the oversight committees promoted by the EITI Project.

Citizen advocacy/awareness and oversight: This form combines roles that fall under the other two forms. This includes the mechanism implemented by CHS Alternativo to mobilize support and awareness in the fight against human trafficking, but also to promote citizen oversight of the occurrence of cases or risks and the actions and compliance of the State in this field. This second aspect is linked to CHS's monitoring of the situation and of the State, culminating in the periodic Alternative Reports on Human Trafficking.

Exhibit 10. Mechanism forms and main functions

Citizen advocacy/awareness	Oversight/surveillance
• Promotes citizen engagement • Increased awareness of civic-democratic issues • Mobilization to influence the political or state apparatus in public policies or norms	• Observation and monitoring of the State's performance

Citizen advocacy/awareness and oversight

- Support and awareness in the fight against human trafficking
- Citizen oversight on the occurrence of cases or risks, actions, and state compliance in this field

Although this typology defines the main function, in practice, the mechanisms of one form usually perform, to some degree, actions associated with another. For example, a political advocacy initiative assumes some level of public oversight and scrutiny, offering something that is presumed to need to be changed. Similarly, a surveillance initiative hopes to have some influence on public affairs and to develop some degree of civic awareness. Still, this is a useful conceptual typology for identifying emphases in the work of the mechanisms and variations in their characteristics as a form of citizen engagement.

FINDING 2:	The citizen engagement mechanisms differ in their formation, structuring, and operation for several reasons.

There is considerable diversity among the mechanisms used by the projects analyzed. They have different characteristics, both among the forms identified and among the mechanisms within the same form. The following is a description of the identified characteristics, organized into nine dimensions:

Objective or main function of the mechanism. This is the predominant dimension according to the way in which the mechanism is organized and the set of functions and activities assigned to it. This is the defining feature of the division between forms:

- **Citizen advocacy/awareness:** The various mechanisms of the Clean Elections and Early Elections Projects provided platforms and core activities or processes to engage citizens in electoral democratic issues in different ways: with proposals, advocacy with political stakeholders, or through the deployment of educational and/or informative strategies, both traditional and non-traditional, including art.

- **Oversight/surveillance:** The main function of these mechanisms is to monitor specific aspects of government activity with a view to promoting transparency and accountability in the government's performance and the development of its functions. The oversight committees (EITI Project) focused on the transparency and quality of public spending from extractive industries, including the oversight of public works (time and costs). The citizen oversight committees (Transparent Reconstruction Project) were engaged in monitoring projects or programs implemented in the aftermath of the emergency of the Costal El Niño and, later, the pandemic, to ensure that they meet the needs of the population and the contractual terms and deadlines foreseen. The implementing partners channeled the information produced by the committees of this form to instances or authorities at the national, regional, and local levels, identifying specific cases of feedback between these levels.

- **Citizen advocacy/awareness and oversight:** This includes the Mirada Ciudadana Oversight Bodies (Trafficking in Persons Project). The main function is advocacy and prevention of human trafficking and related issues. In addition, these bodies monitor key regional institutions for the fulfillment of their functions and prepare reports that contribute to the Alternative Reports developed by CHS for the United Nations and the Peruvian chapter, Observa LA Trata (Observe Latin American Human Trafficking).

Activities performed by the mechanisms. A variety of activities were carried out under each form, which are presented below:

Exhibit 11. Mechanisms and activities performed

MECHANISM	ACTIVITIES CARRIED OUT
Citizen advocacy/awareness Mechanisms that promoted the Clean Elections and Early Elections Projects	- Capacity building through the creation, follow-up, and advice for a network of regional investigative journalists. - Dissemination and training on electoral processes, democracy, and integrity through traditional and alternative media, web tools and national and local campaigns. - Dissemination and training on democracy, rights of marginalized groups through traditional and alternative media and social networks, campaigns, and events. - Debates between candidates. - Creative strategies for training, mobilization, and awareness-raising on democracy, elections, and integrity through art, innovative communication, and dissemination outreach events. - Capacity building, mobilization, and political advocacy (with candidate/authorities) of emerging/marginalized groups and youth and local leaders in alternative crop areas.

MECHANISM	ACTIVITIES CARRIED OUT
Oversight/surveillance Oversight Committees – EITI Project	• Online oversight through websites. • Preparation of surveillance report. • Individual advice and follow-up received by the committees with two regional advisors. • Dissemination and advocacy: submission of reports to authorities and to Grupo Propuesta Ciudadana, which deploys more actions in this field.
Citizen Oversight Bodies – Transparent Reconstruction Project	• Visits to public works (cards, online because of the pandemic) and reports. • Coordination with the leadership teams of the containment activity and macro-regional training meetings and coordination with other oversight bodies. • Dissemination and advocacy: campaigns, marches, events with authorities (e.g., accountability).
Citizen advocacy/awareness and oversight Mirada Ciudadana Oversight Committees – Trafficking in Persons Project	• Internal training for members and other public institutions that are not part of the oversight body. • Advocacy and preventive work: awareness-raising actions, communication campaigns, both their own and those of the Regional Network of Oversight bodies. • Articulation with different state institutions to organize preventive activities. • Detection, follow-up, and monitoring of emblematic cases. The emphasis differs by oversight body and even among its members, according to the subject matter or specialization. The most localized complementary actions are carried out by some oversight bodies; they include visits to state institutions and operations in public places (e.g., land terminals, as in the case of Cusco). • Support (follow-up) to gather information from public entities for the CHS Alternativo Annual Report and regional reports.

Background and formation. In the **citizen advocacy/awareness form**, the mechanisms for citizen engagement have precedents in previous interventions with other stakeholders or are based on convening institutions or individuals specialized in a field of interest (thematic or functional, such as discrimination, or communications, such as an artistic genre) for the project. Thus, the mechanisms associated with journalism or communications were developed with organizations or individuals who were partners in previous experiences, such as the *Mohme Foundation, TV Cultura, Presente*, artist Ana Correa, among others.

For the implementation of the actions of a mechanism, they usually called for volunteers as target groups who, in turn, participated and met a more or less specific profile. Examples of this are the people called to workshops and actions of mechanisms linked to art (young artists), to decentralized strengthening of journalistic capacities (independent journalists), to advocacy for the rights of specific populations (collectives that advocate for traditionally marginalized groups, such as Afro-Peruvians, women, LGTBIQ, indigenous peoples of the Amazon, etc., or people identified with these groups). In addition, the projects covered in the assessment were developed consecutively, so that the first project

had developed interventions and alliances on which the mechanisms of the subsequent project were built, such as the interventions in Ucayali and Huánuco, which was included at the request of USAID.

The **oversight/surveillance form** includes mechanisms based on public calls for proposals aimed at certain types of stakeholders. The two implementing partners have a long experience in citizen participation and oversight initiatives of a diverse nature: the Asociación Civil Transparencia, mainly in electoral observation, with a decentralized network of volunteers, and the Grupo Propuesta Ciudadana, for example, with the participatory budget. To form the oversight committees attached to the EITI Project, they carried out public calls through social media, WhatsApp, or email, targeting people with a certain profile, such as members or former members of social organizations and students. The Transparent Reconstruction Project used electronic media, broadcasting on local radios or in communities to previously identified networks or collectives.

With the mixed **form of citizen advocacy/awareness and oversight,** the calls for proposals were public, although mainly aimed at networks or institutions with experience in issues of convergent interest or in advocacy.

Composition and size. The **citizen advocacy/awareness** and **oversight/surveillance forms** included the participation of individuals and organizations; the mixed form integrated institutions and organizations.

The first form, citizen advocacy/awareness, is more varied in its membership because it involved individual institutions or related networks (communications, art, or rights of certain populations), professionals or experts in fields relevant to the mechanisms, as activists as promoters, and volunteers as public users. The mechanisms included, for example, the Mohme Foundation and Ojo Público to train institutions or professionals in regional independent journalism and form a network with them; the communications association TV Cultura and its regional network for the development and audiovisual dissemination of content; national media, such as Radio Programas del Perú, Latina TV, El Comercio, and La República; art associations and artists, such as Micro Teatro/Jordi Villalta, Ana Correa, or Alejandro Clavier for citizen training through art, with young volunteer artists and promoters or audiences, both in Lima and in some regions and through the Internet; the association Presente (LGBTIQ+ rights), which mobilizes others in Lima, such as Sociedad y Discapacidad - SODIS, Ashanti (Afro-descendants), Plataforma Comadres (women/gender); regional media such as *El Búho* in Arequipa, with the platform PolitiQuien; professionals, such as Javier Incio, who offers the tool *Decide Bien* and presents educational content and analysis on social media, and local associations (young people, producers) in areas recovered from drug trafficking.

In this form, in general terms, the mechanisms were implemented with allied institutions and specialists, and with volunteers with certain specialties or from the general public, who were integrated as mobilizing agents (journalists, analysts, artists, or members of collectives with citizen advocacy/awareness work, etc.). As examples, for the congressional elections, these institutions, specialists, and volunteers worked with seven major media outlets, 85 journalists in training, and between 12 and 16 journalists as part of a decentralized network, with more than 50 artists. For the sub-national elections, they worked with 54 NGOs of marginalized groups in Lima, with 12 youth organizations in Monzón. They also involved a target audience of end users of information, web applications, audiovisual pieces, and stage or film presentations, with wide variability in the size of these audiences; sometimes beyond the scope of the first form, as in street art interventions, or deductible from usage counters or visits to a website (10 million for the information application on congressional candidates).

The second form, **oversight/surveillance,** involves the participation of citizen volunteers and representatives of local organizations, especially in the citizen oversight committees and their steering committees of the Transparent Reconstruction Project; while in the oversight committees supported by the EITI Project, people participated in committees of 2–3 people. In some cases, the observers act independently.

For its part, the **citizen advocacy/awareness and oversight** form involved the engagement of local organizations in an effort to be flexible and reflect contextual particularities, showing variations in each region. For example, while the Mirada Ciudadana Oversight Bodies in Madre de Dios encourages the participation of civil society organizations, the oversight bodies in Cusco are more focused on social or grassroots organizations. The size of the oversight bodies ranges from nine to 19 organizations.

Structure and organization. In all three forms, the implementing partners had project staff at their headquarters in Lima assigned to the mechanisms, whose organization and role differed between forms. In addition, they had some regional offices or decentralized leadership and/or advisory teams, which varied by several factors.

In the **citizen advocacy/awareness form**, the mechanisms were conducted under a general basic scheme with variations due to the characteristics of each one. Most of them operated in Lima, others in USAID intervention zones, while the online applications PolitiQuien and *Decide Bien* were developed in Arequipa and the other in the United States. This system, based on the work of the Clean Elections and Early Elections Projects with partners, involves a shared management with the partner institution or specialists, from the design stage to its implementation and follow-up. In the Clean Elections Project, there was an itinerant team of advisors (who coordinated with Lima) and some of the mechanisms operating in Lima traveled to localities in the area of El Monzón (Huánuco) to develop their activities with the target groups. The work with journalists in the different regions was directed from Lima by the team formed by the Clean Elections or Early Elections Projects and the allied institutions (Mohme Foundation and *Ojo Público*), although decentralized training workshops were organized.

In the other two forms, the projects had decentralized teams that shared functions with their Lima headquarters and were responsible for a set of processes, but there were variations. In all cases, while the collection of information through monitoring or oversight was carried out by or with the help of local mechanisms, the analysis was carried out centrally in Lima, where most relevant actions were also carried out, whether citizen advocacy/awareness or coordination with public entities, and the broader work of dissemination. Thus, in the EITI Project, the information collected was used to feed the EITI system or publications of Grupo Propuesta Ciudadana, or was translated into reports published by Asociación Civil Transparencia; in the other form, it was translated into alternative reports published by CHS Alternativo.

Within the **oversight/surveillance** form, the mechanisms aimed at transparent reconstruction had a driving committee in their respective regions that decided on the characteristics of the oversight committees' work, the works to be observed, the operational planning, the dissemination work in their constituencies, and the coordination and advice of the mechanisms.[9] In the case of the monitoring of funds coming from extractive industries, the EITI Project relied on two advisors who covered the participating regions and, with them, each committee prepared its work plan. The aim was for the committees to function autonomously. General planning, dissemination, and consolidation of reports for

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[9] Seven steering committees were created in the six intervention regions; there were two in Piura and one in each of the following regions: Lambayeque, Ancash, Tumbes, La Libertad, and Lima Provinces.

additional citizen advocacy/awareness processes (linked to EITI) were prepared in Lima independently of the committees.

In the **citizen advocacy/awareness and oversight form**, in addition to the Lima headquarters, CHS has offices in three of the six regions where the mechanisms are located. These offices played a key role in supporting the Mirada Ciudadana Oversight Bodies in their respective regions through advice, training, and coordination. For example, the regional offices of Madre de Dios and Loreto organized calls for oversight bodies and proposed activities such as meetings, vigils, and information fairs. The Mirada Ciudadana Oversight Bodies have a shared leadership scheme, with a coordinating committee that divides organizational functions, involving the local CHS office. In addition, it is responsible for each thematic axis. It has a collective coordination format, so that the oversight committee's local steering committee is made up of two or more member institutions (not depending on the presence or availability of a single person designated as representative).[10] Thus, in Loreto, the collective coordination was performed by Young Christian Workers; in Arequipa, the College of Obstetricians of that region; and in Madre de Dios, it is currently performed by Interquorum Network, Youth with Moral Practices, and the Dominican Missionaries. CHS promoted decentralized planning, so the oversight bodies drew up their own annual operating plans.

Regarding the organizational consistency of the mechanisms, differences were observed between the forms. In the advocacy/citizen awareness form, the mechanisms were temporary ad hoc groups to influence the targeted process. They are not organically strong associative conglomerates; however, mutual coordination or joint work (with directors/coordinators or among participants) implies a certain link or consistency that could transcend the situation, for example, the journalism network, the digital communities using *TV Cultura* or *NAPA* or *Sala de Parto/La Plaza* and, in general, the young participants in "artivism."

There are marked differences in the **oversight/surveillance** form. The citizen oversight committees promoted by the Transparent Reconstruction Project showed considerable cohesion in the way they organized their work. The working sessions of these committees were regular and with appropriate internal communication flows for the face-to-face supervision of the projects before the pandemic, evidencing adaptation processes to carry out online monitoring as a result of COVID-19.

As a set or network of mechanisms, a lower organizational density was observed, presumably because of sporadic contact between the committees. As regards oversight connected to the EITI project, in the case of small or single-person committees, these have little coordination between one and another, which also implies little organization as a whole, while contact with the coordinating layer is, ultimately, contingent and weak, which the pandemic must have exacerbated. The cases in which the reports produced are not submitted by the committee to any authority, and in which a committee loses one of the two people it started with, as in Moquegua and Arequipa, are illustrative.

In the mixed citizen **advocacy/awareness and oversight form**, the mechanisms associated with human trafficking show significant consistency and cohesion given the style of organization and management, support from the respective CHS regional offices and the institutional nature of the membership. However, there is less cohesion, as far as could be verified through interviews, with respect to grassroots and/or very small organizations, which was exacerbated by the pandemic. The convening and participation in all campaign events, for example, was not effective with all member

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[10] Refers to the steering committee of the oversight body in each region.

organizations; there are examples in Cusco, reported by some institutions whose work was done in isolation, especially during the pandemic.

Purpose and complexity of citizen advocacy/awareness. There is a wide diversity in the purpose of the mechanisms. In the citizen **advocacy/awareness** form, the focus of the mechanisms was a set of political processes and specific thematic areas, for the purpose of dissemination or citizen education and political advocacy; they included citizen rights for groups still marginalized, areas at risk of links between politics and illicit action, corruption, and candidates' backgrounds and proposals, all with the main goal of promoting clean elections. There is diversity in the complexity of citizen engagement for citizen advocacy/awareness according to the way of working, which included the strengthening of journalistic work and production combined with the promotion of decentralized journalism networks; the production and dissemination of communication pieces; formulation of rights agendas or proposals, with mobilization and consensus among the convened groups; web tools for political information, and workshops and artistic interventions. At the production pole of these processes were expert stakeholders (organizations or individuals). At the reception pole were the target public, as consumers or end users (any voter faced with information on candidates or corruption) or, as possible, multiplying agents (via training of journalists, young artists, members of human rights collectives or interest groups, etc., information and approaches transmitted to large media outlets, or dissemination of informative/formative communication pieces that anyone in the public can reuse and disseminate).

In the **oversight/surveillance form**, there are important differences in the scale of the projects and budgets monitored. In the citizen oversight committees promoted by the Transparent Reconstruction Project, oversight covered large, medium, and small projects, from heavy machinery rentals, restoration of pavement and sidewalks, improvement of roads and drinking water networks, reinforcement of perimetric fences and cleaning of riverbeds, to the construction of educational institutions and hospitals. In 2020, with the COVID-19 pandemic, monitoring via web portals began to become predominant, for example, for online purchasing process. In the oversight committees (EITI Project), the object of monitoring included public budgets with different magnitudes and purposes, from specific projects, such as the repair of a canal in a rural community, to major works, such as a regional highway in which a section of the road was being analyzed.

In the **citizen advocacy/awareness and oversight form,** the purpose of engagement in the mechanisms has been similar in terms of the citizen advocacy/awareness component, but varies in terms of the oversight component. All the Mirada Ciudadana Oversight Bodies studied carried out citizen advocacy/awareness activities, campaigns with the participation of all their member organizations (e.g., commemoration of the day against human trafficking and women's day), micro-localized information operations on aspects of human trafficking relevant to the specific context (in risk areas, for population sectors at risk, etc., carried out in fairs, markets, and municipal squares). There are elements of citizen advocacy/awareness in which the oversight bodies differ, with activities or channels that one oversight body or another implements, but the rest do not; such is the case of WhatsApp networks for notification and follow-up of risk occurrences or victims, as in Madre de Dios. There were also cases of oversight bodies carrying out alert and awareness-raising vigils for cases of abuse or disappearance in Madre de Dios or Cusco and, in the same places, dialogues with candidates were observed.

The oversight component in this form varies from one oversight body to another and by the type of member organizations. Regarding the type of member organization, the participation of members in the process—associated with the elaboration of alternative reports on trafficking—of requesting and gathering information from relevant public entities is more systematic in the case of more specialized institutions (such as academics or NGOs); although smaller or grassroots organizations report on cases

close to them or that come to their knowledge. For example, in Cusco, visits are made to land terminals in order to identify and sensitize potential victims of human trafficking; in Madre de Dios, monitoring has resulted in the follow-up on emblematic cases.

Interaction. Interaction and communication between members of a mechanism or different mechanisms through online social media varies across forms. In addition, the post-pandemic context offers some differences from the pre-pandemic scenario.

In the **citizen advocacy/awareness form** there was, in general, relatively significant interaction because the advocacy work or strategies implemented often involved coordination, collective activities, or network communication, either with participating groups or volunteers. Examples of this are the reflection and debate on possible common agendas in the mechanisms that worked on proposals on rights or priorities for municipal governments, as in Metropolitan Lima and Monzón, and, in those same places, the preparation and implementation of artistic interventions or public campaigns, as well as decentralized journalism groups. The use of social networks also established communication with the corresponding audiences/target public; this also occurred in mechanisms that provided information or digital applications on the web, such as tools to learn about candidates or communication pieces. Finally, this form shows that the social media channels of one mechanism generally disseminated content and events of the others. With the pandemic, virtual communication replaced face-to-face interaction on the basis of interconnection or computerization, pre-existing in several cases and with special adaptations, as in the virtual reformulation of workshops and theatrical interventions with young artists under the leadership of the actress Ana Correa, or the Internet broadcasting of theater plays and forums.

The **oversight/surveillance** and the **mixed citizen advocacy/awareness and oversight forms** have in common that interactions with one or all of the mechanisms promoted by an implementing partner took place, for the most part, in the context of specific events, such as training sessions or meetings. In the case of the citizen oversight committees, the Transparent Reconstruction Project organized macro-regional meetings in Piura in 2017, where more than 60 institutions from Tumbes, Piura, Lambayeque, La Libertad, and Ancash attended, with the participation of oversight bodies and state officials, such as the executive director of the Authority for Reconstruction with Change. On the other hand, internally, group and/or face-to-face monitoring activities generated a link and some local dissemination actions or interactions with the Steering Committee. Each year, the Transparent Reconstruction Project organized national meetings of all the Steering Committees; interaction between the oversight bodies and the Steering Committee was constant and served as a link for interaction within the committees, among themselves and with headquarters. The Oversight Committees (EITI Project) had an instrument, a WhatsApp group, to enable communication among all the committees, although it was limited to events of collective or common interest to the participants.

In the **mixed form of citizen advocacy/awareness and oversight**, the Mirada Ciudadana Oversight Bodies had interactions in joint meetings and training; for example, mutual training events in Madre de Dios, Cusco, and Arequipa.[11] In addition, their citizen advocacy/awareness component implied a strong interaction within the oversight bodies to carry out campaigns or joint advocacy/awareness and dissemination efforts. However, as mentioned, not all members participated in all campaigns or events. Some interviewees (e.g., grassroots organizations in Cusco) reported that interaction is not uniform

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[11] In July 2021, the First Meeting of Oversight Bodies was held at the national level with the participation of members of the oversight bodies of Lima, Loreto, Cusco, Puno, Arequipa, Madre de Dios, and Piura.

among them. The dependence on digital media exacerbated this situation with respect to members who are not technologically savvy or do not have access to the Internet.

Relationship with counterpart or monitored public or private entities. The mode of relationship with external entities at which the mechanisms are aimed can be characterized in two aspects, keeping in mind that the advocacy/citizen awareness form shows particular dynamics and that the pandemic caused effects. First, regarding the mechanisms themselves, the people interviewed agreed that they found limitations in the State or in the executing companies to facilitate access to information (or to find it) and surveillance. Secondly, there is a level of relations that originates separately from the team at the central headquarters in Lima and, frequently, with the help of teams in the regions. This level of interaction is linked to broader advocacy actions, either with respect to the purpose and function of the mechanisms or to the objectives of the implementing partner's project in which they are engaged. Sometimes, this interaction is built on the intermediation of regional hubs (steering committees and regional offices) that serve as a bridge between headquarters and the committees, or on their inputs. However, there are variations and particularities among forms and within them.

In the **citizen advocacy/awareness form,** the mechanism was linked to institutions that were the object of the advocacy/awareness when required for the purpose (since it was not relevant for actions with educational or informative purposes). Thus, in the generation and presentation of proposals for candidates in the regional and municipal elections—and later, elected authorities—in Lima and in the former coca-growing areas, the mechanisms carried out awareness-raising, debate, and persuasion work. The interaction of the mechanisms with these stakeholders was mediated and supported by the project management teams in Lima or at the regional level, as appropriate.

In the **citizen advocacy/awareness and oversight form**, the relationship at the national level with State entities was framed by the work of CHS in general and its promotion of the Mirada Ciudadana Oversight Bodies, which provide them with support from institutions and networks that can facilitate or catalyze the work of the oversight bodies. The functioning of the oversight bodies, with the support of the regional CHS bodies, is more autonomous and their relationship with state entities, or other types of institutions related to their field of action, is also more direct in their region or locality. The information gathered by the oversight body feeds CHS's centralized information system, which consolidates and prepares the Alternative Report on an annual basis.

In the **citizen oversight/surveillance form**, the Transparent Reconstruction Project established links with relevant state entities to influence them in support of the project's objectives and the oversight mechanisms and their work. In this sense, Propuesta Ciudadana carried out activities parallel to the mechanisms to promote the EITI system (campaigns, assessments, investigative journalism) and to incorporate in its follow-up the input produced by the oversight bodies on the use of canon resources in public investment projects.

In this way, the citizen oversight bodies engaged in dialogue with the regional offices of the Comptroller General of the Republic, the Authority for Reconstruction with Changes, the Public Procurement Supervisory Body, and the Ministries of Education and Housing, among other entities involved in the projects supervised. Sometimes, the citizen oversight committees had links with the aforementioned entities at the national level supported by the project team. They also interacted with the promotion committees in the regions (such as Piura and Lambayeque). The broadest citizen advocacy/awareness was developed by Asociación Civil Transparencia in Lima based on information from the citizen oversight committees, both on the findings contained in their reports and on the conditions or limitations they encounter in their oversight processes. It was aimed at seeking improvements in the

conditions and norms under which the committees operate or in state procedures or processes that govern or affect the implementation of reconstruction with change.

For their part, some monitoring committees of works executed with public budgets, funds from the canon, promoted by the EITI Project, articulated with public institutions, such as local municipalities in Cusco and Moquegua, to present some findings that generated explanations from those responsible for the municipality and mayors.

In terms of mechanisms, the relationship conditions changed because surveillance had to change its modality when the pandemic was declared; previously, it included or accounted for a face-to-face component of visits to the monitored works for direct verification and to executing units or other public entities to collect or provide information.[12] After the pandemic, and with reinforced training and counseling, oversight was conducted virtually in both cases. Before or after the pandemic, under the different conditions, the interviews invariably refer to the difficult relationship with the state executing unit and also, in the case of the citizen oversight committees, with the executing company in the same work (because of resistance or disinterest in providing information, attempts to provide incorrect information, and not recognizing the legitimacy of the committee or its representatives in a face-to-face visit to carry out the oversight or inspection). However, the interviews allowed the assessment team to find some oversight bodies of the Transparent Reconstruction Project that were able, by themselves, to establish a positive and synergic relationship with the local authorities (executing units) that were or became receptive to their work and sought to capitalize on it for their locality and management, as happened with some communities in Piura and Lambayeque.

After the beginning of the pandemic, the inconveniences faced refer to the type, extent, or complexity of access to the information that needs to be collected, which is most frequently reported in interviews of the EITI Project mechanisms.[13]

In the mixed **citizen advocacy/awareness and oversight** form, through interviews, the members of the mechanisms indicated that they experienced similar problems on the oversight side, although it did not make it impossible for them to obtain information before and after the pandemic. The mechanisms generally establish bridges of dialogue with certain institutions and with the regional governments of Cusco and Arequipa because of other formal networks relevant to human trafficking and the participation of public entities along with some member organizations of the oversight mechanisms. Some oversight bodies (or through members of them) that carry out some oversight tasks sometimes achieved good collaboration with public entities, such as in Loreto, Cusco, and Arequipa, with prosecutors' offices, the police, or the Port Authority, although this may vary over time, depending on the openness of the officials in charge. In general, this form shows experiences of dialogue and collaboration with institutions such as the Ministry of the Interior, the Peruvian National Police, the Ministry of Women and Vulnerable Populations, the Public Prosecutor's Office, and, in some cases, with regional and local governments for citizen advocacy/awareness, prevention, and training activities. An example is the regional forums organized in July 2020 by the Arequipa Oversight body[14] aimed at its

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[12] The citizen oversight committees of the Transparent Reconstruction Project conducted visits because the activity began well before the pandemic. While the EITI Project oversight committees, although they had planned on-site visits, they were not able to implement them because of the pandemic.

[13] Under pandemic conditions, there are exceptional cases of individual members of the committees who made inspection visits to public works, basically for personal efforts and with limited results (work in recess, biosafety restrictions). The case of the Chulucanas Surveillance Committee stands out, which reported visits in which access was denied because they did not have equipment such as masks and face shields.

[14] Regional Forum: Meeting with authorities of Arequipa "The phenomenon of human exploitation and migration".

members and mayors, social development managers, and the Regional Network on Trafficking, and another in September in partnership with the Ombudsman's Office, the Third Prosecutor's Office for Crime Prevention, and CHS Alternativo.[15]

Support from the implementing partner. In the **citizen advocacy/awareness and oversight form**, partners' support was very active, including the following:

- Guidance and technical assistance in content and development of dissemination and advocacy/awareness actions. The central team and partner institutions, each in its own field with the respective mechanism, were close to the implementation. In the intervention in areas of alternative crops, a decentralized team complemented this support with its presence, in addition to the operation of teams from other mechanisms for local work.

- Supplementary support through the articulation of campaigns and dissemination of events between mechanisms and their participants. In most cases, the different mechanisms participated in each other's campaigns.

- Facilitation and direct and indirect technical support for citizen advocacy/awareness of the mechanisms: in the mechanisms aimed at influencing candidates with proposals, the central team (in coordination with the leader of the mechanism) made arrangements for meetings and dialogue events with public entities, authorities, and candidates, as well as for the legalization and follow-up of agreements.

In the **oversight/surveillance form**, support to the mechanisms varied in modes and degrees, being more intense in the citizen oversight bodies and with a substantial contribution from partner institutions. The support role, in conjunction with the intermediate bodies and/or allied institutions, included the following:

EITI Project:

- General management in charge of the headquarters, which liaises with other central or regional bodies linked to the EITI system within the containing activity for its articulation and dissemination.

- Follow-up of committees through individual counseling (offered by two advisors) and support in the interconnection of all committees via WhatsApp.

- Strengthening, monitoring, and citizen advocacy/awareness for the EITI system. The central team and the functional and regional EITI activity instances channeled committee reports to the system and their dissemination.

Transparent Reconstruction Project:

- The headquarters was in charge of the general steering and follow-up, as well as the strengthening of strategies, interacting with the regional steering committees and, on several occasions, directly supporting the committees and joint events.

- Co-direction of the regional networks of oversight bodies developed by the (collegiate) promotion committees, with constant inter-consultation between them and Lima; direct advice and support to each committee was intense, with significant intervention by the members of

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[15] Region--al Forum: Routes and prevention of the crime of trafficking in persons in times of COVID-19 in Arequipa.

the collegiate. The committees also carried out local or regional dissemination actions with the oversight bodies, as well as some interventions for citizen advocacy/awareness and collaboration with local state entities, including the Reconstruction Authority.

- Regional and national coordination/citizen advocacy/awareness with public entities and other institutions (Authority for Reconstruction with Changes, ministries, OSCE, and Lima Chamber of Commerce) and through the Integrity Observatory. This was done more substantially from headquarters, but also from the steering committees. Promotion and dissemination were carried out at the headquarters level and from the promotion committees.

- Another example of the support activities carried out is the collaboration with the Public Integrity Secretariat, with which the project collaborated on a platform for obtaining complaints to be published in the *El Peruano* official gazette; in addition, training of its officials was carried out, in person in Lima and Lambayeque and online in the other areas.

In the **citizen advocacy/awareness and oversight** forms, the role of the implementing partner was also active, with the CHS regional offices playing an important role as intermediary and guide for the oversight bodies in their region. This included:

- General planning for all the oversight bodies, which included decentralized planning.

- Preparation of reports and the web platform for information on regional and national situations, as well as dissemination activities.

- Articulation with different state institutions to organize preventive activities at the national level, especially in the regions, where similar work was also carried out.

- Annual report for the Alternative Report against human trafficking, for which regional inputs are essential.

FINDING 3: The USAID-promoted oversight/surveillance form shares similarities and complementary relationships with others promoted by the government. There are shared spaces and opportunities for synergies that can be taken advantage of to channel surveillance products generated under this form of citizen participation.

A topic of interest of the assessment was to identify the similarities and differences of the forms sponsored by USAID with the mechanisms promoted by the Peruvian government. In this case, the only form that can be compared is that of oversight/surveillance since the government does not promote mechanisms for citizen advocacy/awareness.

As mentioned above, EITI Project surveillance committees and citizen oversight bodies of the Transparent Reconstruction Project are under the oversight/surveillance form. These committees perform functions similar to the committees sponsored by the Citizen Control Monitors Program of the Comptroller General's Office of the Republic. Similarly, USAID-sponsored committees have functions similar to Neighborhood Community Councils, which can arise spontaneously and be recognized by municipal legislation.[16]

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[16] Article 116 of the Organic Municipality Act 27972 establishes that neighborhood community councils are made up of city councils, at the proposal of the mayor, councilors, or at the request of neighbors, through a public call

However, USAID-sponsored committees have more freedom to choose the topics to oversee and the procedures to use compared to those that are born and operate within the framework of the legislation. Another difference is that government-sponsored mechanisms have legal backing or support from a public institution that promotes them. They have objectives, procedures, accreditation and regulatory recognition, a procedure to channel irregularities and turn them into complaints and sanctions, if applicable.

A joint look at the specified mechanisms allows us to find several complementary relationships between them. The first complementarity is access to public information as inputs for the work of the oversight/surveillance forms implemented by USAID and the mechanisms promoted by the State. Surveillance/oversight committees obtained information through access to public information as mandated by the Transparency and Access to Public Information Act (Law 27806). This law gives citizens the right to request and receive public information, establishes short response times when a specific request is made (i.e., 7 days), and contains an appeal process if the requested information is not obtained.

In addition, access to information through the web was useful when it was not possible to visit public works in person in the context of the pandemic. Likewise, the low cost of access to information and the term of no more than seven business days to access the information was one of the most important resources. For instance, the Moquegua Surveillance Committees obtained information through a direct request from the public institution, provided under Law 27806, to validate the progress of the works being executed with the canon resources, replacing the in-field verifications. The information obtained complemented that of the EITI from secondary sources.

The second complementary relationship lies in the destination given to the information reported by the committees at the local level. For example, as a result of the surveillance of committees, the mayor of Ilo (Moquegua) was summoned to a community meeting to explain the design of the road access between Panamericana Sur (South Pan-American Highway) and La Upis Alto Ilo (Moquegua), as well as the mayor of Canchis, who had to explain, in the rural community meeting, about the progress of the Mamacunca irrigation system work. Although these mechanisms are not strictly detailed in the legislation on citizen participation and control, it is established that the State should be oriented to promote and establish mechanisms to achieve an adequate participatory democracy of citizens through direct and indirect mechanisms of participation and the right to participate in the budgetary processes, supervision, execution, and control of the State management encompassed in the Framework Act for State Modernization 27658.

A third potential complementarity is that oversight/surveillance form reports can feed the surveillance bodies established by the legislation, such as neighborhood councils, the accountability of Participatory Budget Surveillance and Control Committees, town councils, or regional hearings. They could also be channeled to the Citizen Control Monitors or as complaints in public works and procurement of goods and services of the Comptroller General's Office of the Republic, whose official character allows them an effectiveness that the citizen mechanisms sponsored by USAID do not have, which operated as independent organizations seeking to establish irregularities or report violations, but without having a pre-established procedure for government control bodies.

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for elections. Councils shall be responsible for supervising the provision of local public services, compliance with municipal regulations, the execution of municipal works and other services which are precisely specified in the ordinance of their creation. Neighborhood councils have the right to speak at municipal council sessions.

Another possible use is to pose the questions that are included in the demand for accountability of Act 26300, whose answers must be published by municipalities and regional governments within a maximum term of 60 days, after being admitted by the National Electoral Board (JNE, by its Spanish initials).

A fourth potential complementarity occurs in case of the surveillance of non-municipal works (for example, the Improvement of the Academic Service of the Faculty of Architecture and Urbanism of Universidad Nacional de Piura (National University of Piura), which reports significant delays according to the report on Citizen Proposal – Vigila Perú – Comité Piura, 2020), which can be channeled to the Comptroller General's Office of the Republic because there are no control bodies, such as those established for municipal or regional governments.[17]

These complementarities work regardless of whether surveillance/oversight committee reports can be sent to the media, local journalists, NGOs, observers, or people interested in the subject.

FINDING 4:   Inclusion of vulnerable groups is a cross-cutting strategy in the forms of citizen engagement.

This point analyzes the situation of vulnerable groups in the three citizen engagement forms, delving into their inclusion as participants in the mechanisms and as a beneficiary population of them. Analysis approaches include: human rights, gender, interculturality, intergenerational and youth, and disability.

Overall, and considering the aforementioned approaches, the three citizen engagement forms studied show positive elements in the inclusion of vulnerable groups, with significant achievements in terms of women, the LGTBIQ population, and young people. The cross-cutting inclusion of indigenous and Afro-descendant people and people with disabilities made fewer uniform achievements with respect to their inclusion as participants or as a beneficiary population.

The inclusion of vulnerable groups in citizen participation and surveillance mechanisms is evident both in design and implementation, presenting a greater inclusion as participants and, to a lesser extent, as a beneficiary population. Except for women, the inclusion of vulnerable groups as a beneficiary population was less worked on and, in general, there is no evidence of activities carried out to make vulnerable groups visible or give priority attention to them and include their specific problems and interests in the work agendas, requirements, or production of statistics, plans, or other activities carried out.

As for the elderly, their engagement as participants was relevant in the oversight/surveillance form and in the citizen advocacy/awareness and oversight form. However, this group of people have limited access to and management of the Internet, an indispensable element for virtual participation in the context of the COVID-19 pandemic.

Some of the mechanisms studied incorporated in a general, but concrete and effective way, an inclusive approach, emphasizing some groups. The different mechanisms that promoted the Clean Elections and Early Elections Projects contain approaches and strategies, some more explicit than others, aimed at inclusion, with emphasis on a perspective of promotion of rights. The planning frameworks within which the various mechanisms are inscribed refer to a gender approach, social inclusion, strengthening the

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[17] The points of similarity and coincidence with the Citizen Control Monitors program implemented by the Comptroller General's Office of the Republic enabled that some members of the committees promoted by the EITI Project continue to carry out surveillance, but as part of that body of the state institution.

political participation of new civil society groups and marginalized groups and their capacity to influence politics.

The contents of materials and training spaces, forums, events, and journalistic and communication pieces contain different aspects of social and political inclusion in general or are focused on particular groups. The mechanisms, by allying with institutions related to specific groups and issues, made it possible to reach those target audiences, involve them and jointly disseminate or advocate, as was the case, for example, for early congressional elections. Two cases that stand out especially are the mechanism for municipal elections in Lima, aimed at advocacy with proposals from groups of people with disabilities, indigenous population, Afro-descendants, women, and LGTBIQ people. The other case is the one developed in areas of alternative crops, oriented to something similar with respect to leaders of local organizations and producers, schoolchildren, and young people. The balance of participation between men and women was also present in the development of work.

In the case of surveillance committees (EITI Project), the strategy included announcements that prioritized indigenous, youth, and women's organizations with greater need of empowerment over extractive activities. Moreover, the pedagogical program and the topics addressed in the communication campaign (regional and national) associated with EITI included these aspects. The committees included people from rural areas, including women. However, the assessment team found no evidence that the committees included Quechua-speaking people. A relative balance of participation between men and women was observed.

The following section addresses the mechanisms in each of the cross-cutting approaches, also giving a synthesis vision on the citizen engagement forms studied.

Human rights. The three forms studied were based on this approach, which is reflected in project design and implementation. The objectives and principles of the mechanisms are aimed at increasing citizen awareness of the rights of all people, emphasizing the exercise and enforceability of civil and political rights associated with social participation, transparency, and the fight against corruption. The final report of the Transparent Reconstruction Project indicates, as one of the main issues considered in the process of implementation of the oversight for reconstruction, that the cooperative agreement has been executed from a human capacities approach, considering the activities impact in human rights, women's rights, and overlapping pre-existent inequalities based on ethnic identities, socio-economic status, age groups, among others" (Transparencia 2020c, 15.).

As for the citizen advocacy/awareness and oversight form, Mirada Ciudadana Oversight Bodies promoted by CHS are conceived with the purpose of "[…] Put on the national agenda regional or local problems linked to some of the aspects of human trafficking, such as prevention, assistance, protection, and punishment of crime, as well as other associated phenomena that increase the effects of human trafficking in society, such as corruption or its link to other crimes." (CHS Alternativo, n.d., 1)

Gender. This is the most developed approach in both the design and implementation of citizen engagement mechanisms. The inclusion of the gender approach in citizen oversight committees, for example, was explicit in the project as a guiding principle, including indicators to measure progress and achievements. In the implementation phase, the Transparent Reconstruction Project implemented specific strategies aimed at promoting and guaranteeing the participation of women in citizen oversights, such as: (1) mapping and analysis of the conditions in which women participated in the spaces and roles facilitated as part of oversights, (2) monitoring of women's attendance at training events, (3) assessment of appropriate times and places for women's participation, and (4) differentiation criteria for women's

participation in urban and rural territories, age groups, and occupations. With these strategies, the Transparent Reconstruction Project achieved important results, such as: greater inclusion of women in the citizen oversight committees (60 percent of members were women),[18] commitment of local authorities to hire more women in public infrastructure works, and preparation of a guide with criteria to implement gender mainstreaming in the supervision of reconstruction.

In the Mirada Ciudadana Oversight Bodies promoted by the Trafficking in Persons Project, the gender approach included efforts to include women and LGTBIQ people as participants in its activities and the development of specific strategies. The results are the participation of the organization Existimos LGTBIQ + of Madre de Dios in the Mirada Ciudadana Oversight Body in Madre de Dios and in Cusco, the LGTBIQ activist organization K'uychi Ayllu is a member of the Mirada Ciudadana Oversight Body in that region. However, the inclusion of the problems and needs of the LGTBIQ population in the programmatic work of all the mechanisms studied represents a challenge.

Interculturality. Within the framework of the mixed citizen advocacy/awareness and oversight form, Mirada Ciudadana Oversight Bodies made efforts to achieve the participation of representative Afro-descendant collectives. For example, the Afro-descendant Regional Network of Madre de Dios has an active role in overseeing that region. This year, it participated in preparing dialogue with congressional candidates, so it included the fight against human trafficking, smuggling of migrants, gender violence, and related violence in political agendas.[19]

In addition to the above, there were no other strong strategies to include culturally marginalized populations, or for surveillance work to help make visible their problems, agenda, and local needs. None of the mechanisms involved the participation of the Andean or Amazonian indigenous population. According to the sources consulted, this is a challenge associated with the geographical remoteness of these populations.

Intergenerational and Youth. In the three citizen engagement forms studied, the participation of young people as individual volunteers and as representatives of local collectives stood out. In the citizen advocacy/awareness form, artistic activities ("artivism") achieved an important engagement of young people at the local level, as well as the mechanisms for the advocacy of marginalized groups and in areas recovered from drug trafficking. In the citizen oversight/surveillance form, the engagement of young people was part of the strategic design of projects and was achieved through convening strategies aimed at representative groups.

In citizen oversight committees, the alliance for these purposes with the Interquórum Network, an organization specialized in the empowerment of youth, was strategic, deploying its activists at the national level. In these oversight bodies, the participation of professional young women, specialists in issues of supervised projects (civil engineering, accounting, and law) was relevant.

In the citizen advocacy/awareness and oversight form, the Mirada Ciudadana Oversight Body in Loreto stands out. It achieved wide participation of young people from local representative groups. Activities, such as vigils and marathons, had the active participation of youth in that region. For example, in 2018,

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[18] Of a total of more than 700 members of citizen oversight bodies. (Transparencia 2020c, 13)

[19] The Mirada Ciudadana Oversight Body in Madre de Dios created an organizing commission made up of representatives of the Interquorum Network, the National Federation of Peasant, Artisan, Indigenous, Native, and Salaried Women of Peru (FEMUCARINAD), the Dominican Missionaries and the Afro-descendant Regional Network of Madre de Dios (AFROMAD).

the Oversight Office of Loreto organized a large marathon for social awareness about the problem of human trafficking, an event that was widely disseminated by local youth networks, achieving participation of the population in general, and particularly the youth of Loreto. This experience was replicated in 2019. As previously mentioned, in Loreto, the collegiate coordination of the Mirada Ciudadana Oversight Body is exercised in alliance with Young Christian Workers.

Regarding the intergenerational and older adult approach, although older participants were presented in the three citizen engagement forms, this type of participation was more representative in the citizen advocacy/awareness and oversight form. The Mirada Ciudadana Oversight Bodies of Arequipa and Cusco have the participation of older adults, as well as representatives of local civil society organizations. As has been pointed out before, sustaining the participation of older adults is critical because of the lack of access of older people to the Internet and management of virtual platforms that virtual social participation requires in the context of the COVID-19 pandemic.

People with disabilities. With reference to the cross-cutting disability approach, although in the three citizen engagement forms there were strategies to convene the representative collectives of people with disabilities, few results were observed in inclusion of people with disabilities as participants in the mechanisms. In the citizen oversight/surveillance form, the Transparent Reconstruction Project established strategic alliances with public and private organizations to make visible the importance of including the needs of people with disabilities in these groups in public investment projects.[20] However, the inclusion of people with disabilities as participants in the mechanisms and as a beneficiary population is a challenge for the future.

FINDING 5:	The enabling elements for the operation of the mechanisms were an adequate coordination between the mechanism and the implementing partner, support, additional advocacy support and, as a key element, volunteer commitment. Hindering factors included the complex relationship with the State, complex surveillance objects, and limited follow-up and feedback.

In general terms, the enabling elements for the operation of the mechanisms vary from management elements to elements specific to each form. The greater coordination of project management teams with the mechanisms helped its operation. In the same way, having solid definitions, identification of objectives, and strategies of the mechanisms favored their operation. Likewise, the active support of the implementing partner and decentralized bodies are elements that favor the development of the mechanisms.

In the **citizen advocacy/awareness** form, management is reinforced by alliances, which not only incorporated the tasks, learning, and potential impact of the mechanism in allied institutions, but also capitalized on the resources, technical or other, of these, freeing the implementing partner of time and expense for other functions and dedicating each institution to its specialty. It also allows close support and feedback. The additional work of the implementing partner (International IDEA), in parallel advocacy

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[20] The Ombudsman's Office participated in initiatives led by the Citizen Oversight Bodies for Reconstruction with Change and provided information to evaluate the response to disasters in terms of the protection of human rights in the immediate and long term, with special attention to people with disabilities, girls, and adolescents, among other vulnerable populations. Transparencia, final project report, p. 10.

and enabling contacts, built the bridge with political actors that enabled the effectiveness of results. Meeting with candidates and presenting policy agendas to them best illustrates this aspect.

In the **oversight/surveillance** form, the case of citizen oversight committees reproduces a similar picture of conditions and advantages. Level (decentralized in important aspects) and collegiate management helped the operation, learning, and effectiveness of the mechanisms. Having regional management bodies, with the promoting committees and the capacities brought by their institutional members, was important. Effectiveness was greater where there was greater closeness and interaction with oversight bodies (and between them, by learning), including interconnection. Advocacy monitoring and support from the central and regional bodies made it possible to generate more substantial results at the institutional level, from the work of oversight bodies. In the case of surveillance committees promoted by the EITI Project, there was less internal and project articulation, which was exacerbated by the pandemic and by the small size and little organicity of the committees. The presence of leaders with some experience was a strength because mechanisms are composed of individual volunteers.

In the **citizen advocacy/awareness and oversight** form, the operation of oversight bodies was favored by the support of the regional offices of CHS and its coordination with the headquarters of Lima and by the institutional representation of its members. The parallel work of CHS in advocacy and in the fields of care and protection of victims of human trafficking were complementary to the effectiveness of oversight bodies. Interconnection between oversight bodies was a favorable factor, especially in Madre de Dios. In some oversight bodies, the advocacy made with authorities to establish points of common interest enabled collaboration and openness on issues of human trafficking.

In all forms, additional advocacy from the national level was of paramount importance in enabling access to information and openness of external actors to which the work of the mechanisms relates. A factor that also played a key role, in all forms, was the visibility of the surveillance or advocacy interventions developed by the mechanisms. This was influenced by direct or additional strategies of advocacy and dissemination that generated external citizen interest and, in addition, social pressure for the openness of the actors on which action is taken and, in general, their relationship with the State.

Finally, the strong commitment by members of the mechanisms, whose participation is voluntary or with aspects of voluntariness, in cases of institutional membership, has been a great pillar for the operation of the mechanisms through form differences.

In terms of obstacles, two contextual elements were identified: the COVID-19 pandemic and Peruvian culture.

The COVID-19 pandemic, including confinement, risk and biosafety conditions, was the most limiting external factor for all mechanisms. The main consequence was the temporary standstill, of different duration, of the activities of the mechanisms. In addition to the consequences to the personal lives of members and management teams, the standstill led to confusion in the organization, change of activities, and changes in the forms of communication of the mechanisms. Restructuring and adjustment of activities in a virtual environment took time. It was more difficult when the precariousness of living conditions was greater and the mastery of virtual media was lower, affecting more, mechanisms in some geographical areas with less organicity and older people not close to technology. Membership and participation were also affected.

The characteristics of mechanisms, as well as the organizational and management capabilities associated with each, influenced the strength and speed of the response of the implementing partners. It could be

more solid for the mechanisms of the Clean Elections and Early Elections Projects, the Transparent Reconstruction Project and, in cases of greater organicity, the members of its oversight bodies (Trafficking in Persons Project).

Another contextual factor that affected the three forms equally is the precarious civic culture (and the consequent management of democratic principles) that exists in the country, a situation that permeates the openness of actors to whom the mechanisms are linked, as well as the reception and capacity for more permanent assimilation of the issues and topics they promote. In the **citizen advocacy/awareness** form, the short time frame of the mechanisms and their specific reference to an electoral process sets parameters for the effects that the mechanisms can achieve. Moreover, with mechanisms developing momentary events (e.g., fairs, artistic interventions), the scope of audiences is limited.

In the **oversight/surveillance** form, the closed and bureaucratic state culture is reflected in difficulties in relating to the State and obtaining information that most mechanisms have suffered. Greater complexity in the object of surveillance enhances this problem, even more so if surveillance instruments are not exhaustive; moving to virtual work also brought complications. Lacking elements that prove the legitimacy of the surveillance work before external actors was an obstructing feature mentioned in the interviews by most of the members of the mechanisms, although in some cases, actions were developed to mitigate them. Here, as in other aspects, the intensity of the support of the implementing partner or other bodies showed the importance of interaction and the additional role of advocacy. Finally, less feedback and local response to the mechanisms was a disadvantage for the cohesion, robustness, and effectiveness of mechanisms.

In the **citizen advocacy/awareness and oversight** form, in addition to the above, the work of surveillance or detection of cases carried out by some oversight bodies was affected by the lack of technical support tools, so these functions are consequently difficult to extend among mechanisms.

The following table summarizes the set of enabling and hindering factors for the operation of the mechanisms.

Exhibit 12. Enabling and hindering factors for the operation of the mechanisms by form

| | FORMS | | |
FACTORS	CITIZEN ADVOCACY/ AWARENESS	CITIZEN OVERSIGHT/ SURVEILLANCE	CITIZEN ADVOCACY/ AWARENESS AND OVERSIGHT
Enabling Factors			
Allied mechanism with specialized institution	✓		
Well-articulated management	✓		
Robust advocacy and communication strategies	✓		
Active advocacy support from the implementing partner	✓		
Parallel advocacy action		✓	
Support of the implementing partner or its regional nuclei		✓	✓
Surveillance visibility		✓	✓

FACTORS	FORMS		
	CITIZEN ADVOCACY/ AWARENESS	CITIZEN OVERSIGHT/ SURVEILLANCE	CITIZEN ADVOCACY/ AWARENESS AND OVERSIGHT
Identification of mutual benefit between mechanism and observed entity			✓
Internal communication and with peer mechanisms			✓
Volunteer commitment	✓	✓	✓
Hindering Factors			
Limited attainable audience in certain activities	✓		
Limited scope of effect in short advocacy project	✓		
Complexity of the surveillance object		✓	
Lack of accreditation		✓	
Unforeseen or difficult response/feedback in a pandemic		✓	
Inaccessible public information		✓	✓
Insufficient articulation in/with the mechanism		✓	✓
Insufficient technical tools to carry out surveillance			✓
Pandemic	✓	✓	✓
Poor citizen culture limits the rooting of mass dissemination content	✓	✓	✓

FINDING 6: Mechanisms are appropriately aligned with project objectives and with the broader civil society strengthening work carried out by implementing partners.

It was indicated above that the assessment does not cover all the projects where mechanisms are promoted. However, it is relevant to mention the link between these and the other strategies for the achievement of the objectives, as well as for the work of NGOs in their role of strengthening civil society and advocacy in public policies and in the private sector.

It should be highlighted that mechanisms were among the strategies of projects to place the strengthening of civil society in a larger scope, the national one, or to decentralize it. In some cases, they were aimed at individual citizens as a national audience, and in other cases, to subnational scenarios, with themes or problems at the local level and, at the same time, of national interest. In addition, this strategy was the one that most linked the work of projects with a micro-social context of local communities. In this line, mechanisms have an important value in the effort of projects in a decentralized work and objectives and in articulating national and regional themes. Thus, they contribute to the broader work that implementing partners carry out in the regions and as civil society organizations at the national level.

As mentioned at the beginning, Mirada Ciudadana Oversight Bodies, promoted by the Trafficking in Persons Project, formed part of a project strategy with the purpose of strengthening the regional level in

the execution of public policies and consolidating the work of the State, civil society, and community work against human trafficking. Under this framework, these committees were located in the second objective of the project, which is to strengthen social audit work at the regional level and complemented the other objectives of the project. The contribution of Mirada Ciudadana Oversight Bodies was key to the extent that they gave important points of connection, as well as between the other strategies of the project with the regional communities, which is the guiding axis of the project. Strategically, the work of oversight bodies, together with the other actions to invigorate the fight against trafficking in persons at the regional level, complemented the national efforts that the implementing partner executes outside and within the project, referring, for example, to the annual publication of the alternative report, as well as advocacy activities with national State institutions, such as the Congress of the Republic and key ministries of the Executive Branch, such as the Ministry of the Interior, the Ministry of Justice and Human Rights, and the Ministry of Labor, among others.

The Surveillance Committees promoted by the EITI Project formed part of an intervention aimed at institutionalizing the EITI mechanism in Peru. The work of surveillance committees was important in disseminating the EITI system and its findings and publications at the regional level and in more local spaces. Also, the information they produced contributed to the journalistic studies carried out. In this way, citizen surveillance committees provided a space for the dissemination and direct engagement, at the regional level, of citizens and local communities at the regional level in the problems addressed with the EITI system and with the supervision of the royalty resources management promoted by Grupo Propuesta Ciudadana.

The citizen oversight bodies promoted by the Transparent Reconstruction Project were one of the strategies to promote an effective and transparent reconstruction process of the regions affected by the Coastal El Niño phenomenon. The committees constituted a key strategy of the project and the implementing partner to make citizen participation a pillar of transparency and quality of state performance in the regional scenario. The experience of the Asociación Civil Transparencia served as a basis for the design of citizen oversight committees. The oversight mechanism was linked to a management strategy (or direction), advice and advocacy crystallized in the promotion committees that, as mentioned before, were integrated by regional civil society organizations. These committees constituted the platforms for connecting each regional space both with the total scope of the reconstruction and with the broader objectives of the project's impact (regional or national). Thus, with this bridge platform, the strategy constituted by the oversight mechanisms was able to articulate citizen engagement with the other partial objective and purpose of the project. That is, the mechanism effectively channeled that engagement to obtain both local and broader results. It initiated citizen awareness and engagement processes in the face of state investment in the process for reconstruction with changes in areas where previously the nexus was non-existent or very weak. It highlights its value of the oversight bodies and its promotion committees in the connection of the project and the implementing partner with the regional private sector, foreseen as a result of the first objective of the project. Currently, this experience is replicated by Transparencia to other activities and intervention regions, for example, for the monitoring of the COVID-19 vaccination process and for the monitoring of regional public investment.

The citizen advocacy and awareness mechanisms promoted by the Clean Elections and Early Elections Projects clearly demonstrate their cross-cutting contribution to all project components, derived from the wide call deployed at the territorial level and the diversity of activities, alliances with local

organizations and varied target audiences in the promotion of citizen engagement in the regions.[21] By way of example, mechanisms of dissemination objectives (e.g., information materials and tools, advocacy strategies, artivism, and art interventions) were also applied to strengthening the leadership capacity of young people and leaders in Lima and the Monzón Valley and contributed to their results. More generally, what was produced by one of the mechanisms was transmitted to the others for dissemination or as an input for their own work. Thus, the information and research produced by the mechanisms that involved national and decentralized journalism was also channeled to other dissemination mechanisms or that involved training. The mechanisms of the two projects were oriented to a national audience or had a specific territorial or population orientation, but always highlighted the connection between the national and the regional. For example, the effort to strengthen citizen engagement at the territorial level of the project and the implementing partner was evidenced with special relevance in the work carried out in the Monzón Valley, where strategic activities to promote a clean local electoral process converged successfully and penetrated at the local level, thereby generating an experience with unprecedented value in the implementing partner.

EFFECTIVENESS

Assessment question:

To what extent can USAID interventions influence citizens' ethical behavior or reduce their social tolerance for corruption?

Summary of findings:

- *The mechanisms' achievements are limited and time-bound, focusing on the immediate scenario of the planned activities. They did not involve ethical attitudes or behaviors or tolerance to corruption, beyond the immediate achievements. Nevertheless, some of them had demonstration effects.*

- *The most outstanding achievements of the mechanisms studied are the contribution to raising awareness and mobilizing people around the enforceability of citizen's right and some tangible results of their implementation.*

FINDING 7:	The mechanisms' achievements are limited and time-bound, focusing on the immediate scenario of the planned activities. They did not involve ethical attitudes or behaviors or tolerance to corruption, beyond the immediate achievements. Nevertheless, some of them had demonstration effects.

The achievements identified are of two types: some, referring to the mechanisms, which are achievements limited in scope and time, although they show additional potential. Other identified achievements of a more substantial nature are associated with the work that the implementers or their intermediate nuclei carried out. Furthermore, a distinction can be made between achievements at the individual level and their immediate environment, at the community level, and at the organizational level.

Achievements at the individual level: The three forms achieved a dynamization of citizen engagement in their environment, although to different degrees and with different motivations. In the

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[21] Only a relationship between these mechanisms and the result "improvements in electoral rules and regulations" is less visible because, due to its own regulatory and institutional nature, it was addressed to a state target audience (mainly Congress and electoral bodies).

citizen advocacy/awareness form, the announcement managed to involve people of the desired profile (journalists, students/artists, leaders of organizations in Lima and in the area of alternative development, large media, general public attending forums or creative interventions), while in terms of dissemination, the goals of mass audience were exceeded (visits or reproduction of communication material, informative web applications). The profile sought (e.g., age or field) is matched with the motivating interest and participation achieved.
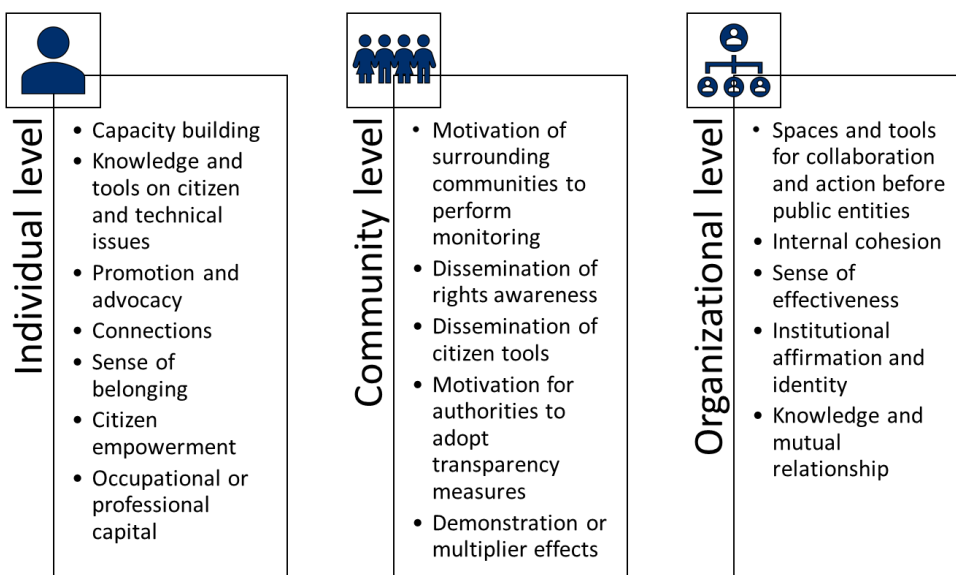
In the **oversight/surveillance** form, part of the members of the EITI Project Surveillance Committees stated that they were involved out of curiosity or novelty, to learn more or clarify the problems that arose in a project near their homes that benefited or harmed them. Nearly two-thirds of the members had previous experience. The profile sought partially coincided with that achieved, but with a predominant presence of young people rather than, as expected, of leaders of organizations. The pandemic prevented people from peasant or indigenous groups and women from congregating. By December 2019, there were 73 people trained and 52 of them interested in participating in surveillance initiatives (joining five surveillance groups in Arequipa, Cusco, Loreto, and Apurimac). With the appearance of COVID-19, remote training was prepared and implemented, initially with 49 participants (26 committees that added to the previous ones to Apurímac, Loreto, Moquegua, and Piura), with 36 people participating in the virtual process, of which 32 completed 16 citizen surveillance initiatives.

In the case of reconstruction, the motivation of members was more direct and the call combined a profile of leadership and residents in general, which was effective, as well as the institutional integration of promoting committees. More than 700 trained citizens were able to supervise public bidding processes and the execution of public infrastructure projects (more than 60 percent were women).

In the **citizen advocacy/awareness and oversight** form, in relation to institutional participation, the transmitted commitment denotes a very personal engagement, finding cases of people who continued to do face-to-face activities on their own in the midst of social confinement.

So, the type of personal engagement achieved in all forms relates to several dimensions, corroborated in the interviews and reports of implementing partners. The achievements included: strengthening of capacity, knowledge, and tools in citizen and technical issues and, especially, for the first and the mixed forms, in promotion and advocacy, connections, sense of belonging, citizen empowerment, and occupational or professional capital.

Individual level
- Capacity building
- Knowledge and tools on citizen and technical issues
- Promotion and advocacy
- Connections
- Sense of belonging
- Citizen empowerment
- Occupational or professional capital

Community level
- Motivation of surrounding communities to perform monitoring
- Dissemination of rights awareness
- Dissemination of citizen tools
- Motivation for authorities to adopt transparency measures
- Demonstration or multiplier effects

Organizational level
- Spaces and tools for collaboration and action before public entities
- Internal cohesion
- Sense of effectiveness
- Institutional affirmation and identity
- Knowledge and mutual relationship

Achievements at the community level: in some cases, effective achievements were identified in the community close to the mechanisms or broader. Other achievements of a more substantial nature were also evident. There are several dimensions that can be specified as citizen engagement in itself: for example, motivating the undertaking of surveillance in a neighboring community, disseminating awareness of citizen rights and tools, motivating authorities to adopt measures of transparency, surveillance, or attention to groups of citizens, setting precedents, methodologies and rules, and, in general, demonstration or multiplier effects.

In the **citizen advocacy/awareness** form, the most significant and evident was the placement of agendas on proposals and rights in Monzón and Lima that bore fruit. In both cases, the capacities of leaders of 75 organizations of underrepresented collectives in Lima and producers of alternative crops in intervention areas, as well as adolescents and young people, were mobilized and built. The new mayor of Metropolitan Lima agreed to gather the proposal made and then issued an ordinance prohibiting all forms of discrimination in his constituency. The mayor of Monzón also adopted part of the agendas of young people and producers in his administration. Communication, dissemination, and "artivism" experiences, both in Lima and in regions reached in person (including USAID intervention areas) or virtually, mobilize artists and institutions that reproduce similar messages or initiatives.

In the **citizen oversight/surveillance** form, the work implemented is important. First, because it showed that the State is not only accountable to State entities (such as the Comptroller General's Office of the Republic) but also to citizens. This form of citizen engagement had specific achievements and changes. For example, the Moquegua Surveillance Committee achieved changes in a work, generation of interest, and neighborhood participation, while setting a precedent before residents and authorities. A surveillance committee in Cusco was able to make the community meeting call the mayor and explain the delay of works and their expenditure, in an atmosphere of social expectation that demanded his presence, with rights awareness (both of the EITI Project).

Similarly, the citizen oversight committees (Transparent Reconstruction Project) show outstanding achievements. In the José Leonardo Ortiz district in Lambayeque, a governance agreement was established with candidates, which aroused interest in the surrounding mayors to have oversight bodies and a cooperative relationship has been established with the Integrity Office of the regional government. In the rural highlands of Piura, where, according to interviewees, no one arrived before, currently oversight bodies and their members are empowered and respected citizens personally. In Colán, the pressure of the population made the mayor, who did not want to be supervised, start a work. In Catacaos, the young people of La Arena and La Unión joined the neighborhood council to the oversight body to request information jointly and, thus, they were served. There were also operations that were carried out at the request of local oversight bodies.

Concrete effects include the rectification of companies that had incurred unpaid wages or that began to include locals for contracted road services, eliminating stairs on small vehicle routes or for traction (Lalaquiz). The oversight bodies themselves used or transferred locally what they learned to monitor, in their environment, works of municipal or regional responsibility outside the framework for reconstruction with changes. In Catacaos, the population, knowing the work of the oversight body, began to coordinate and inform. This led to increased interest and participation in community assemblies. A regional councilor invited a member of the oversight body on his unannounced inspection visits to works. With the influence of the promoting committees, cooperation relations were established with national and regional state entities. A joint operation was carried out with the Comptroller's Office, while the OSCE carried out operations similar to those adopted by the Transparent Reconstruction Project. Advocacy work from the headquarters and promotion committees, and within the framework of Observatorio de Integridad, has contributed or given rise to forms or work tools and regulations.

The **citizen advocacy/awareness and oversight** form, mainly comprising actions to promote oversight bodies, developed a set of interventions in the regions, although their results (throughout their existence), in terms of scope or impact exerted on target audiences, are not determinable. It is clear that they participate in the preparation of regional reports and the alternative national report on the situation of human trafficking and associated problems on the basis of the work for following up and collecting information in their localities. The institutional engagement achieved is an indication of its positioning, as is the positive relationship with state or other entities (NGOs, academics), which may vary in degree and scope depending on the region. It also varies in relation to organizations or individual members when performing assigned tasks specific to their topic.

In terms of promotion, local work among its networks and with Lima meant the realization of annual commemorations, fairs, forums, training for public and private entities, thematic meetings, and local events (fairs, information operations, promotion or monitoring or coordination visits, for example, with local authorities or police stations, vigils, etc.). There is episodic but repeated reference to cases in which the police, the prosecutor's office, or another jurisdictional institution has had to respond after pressure from oversight bodies and public opinion. It is possible to affirm that this form disseminated information on the meaning, situation, rights, risks, rules, and forms of care in local communities, although it is not possible to delimit the effect achieved at the community level directly or broadly.

Additionally, in the three forms of citizen involvement, dissemination was important at the community level, both by the mechanisms and by the partners and their intermediate instances. In some cases, where dissemination channels were restricted to the web pages or social networks of implementers or their partners, mass dissemination was limited and possibly reached an audience already convinced or involved in public affairs or the specific issue.

Achievements at the organizational level: Although the design and purpose of the mechanisms differs between one and the other, as well as between forms, organizational achievements are observed in terms of spaces and tools for collaboration and action before public entities, internal cohesion, sense of effectiveness, institutional affirmation and identity, and knowledge and mutual relationship. To one degree or another, all forms and mechanisms achieved a positive balance in all these dimensions.

For mechanisms that are institutional memberships or that include it, such as citizen oversight committees (Transparent Reconstruction Project) and Mirada Ciudadana Oversight Bodies and those with allied organizations, as in the case of the Clean Elections and Early Elections Projects, achievements are more defined and solid because they have an organizational base. Referring to achievements at the community level, the examples of demonstration effects, transfer or self-initiative ventures—which also refer to Surveillance Committees (EITI Project), even without an institutional membership—indicate that the mechanisms themselves acquired capacities, opportunities for collaboration, and community affirmation (subjective and in action, of the mechanism itself and, in relevant cases, from its network).

In some cases, institutional support is very important. For example, the citizen advocacy/awareness mechanisms of the Clean Elections and Early Elections Projects are formed for a finite purpose and time, but the reiteration of subsequent similar activities and the appropriation of approaches and methodologies by participating institutions show organizational achievements. In the same vein, in the mechanisms addressed to the EITI, organizational achievement is more defined when there is continuity of the mechanisms or their individual members. The activity of the EITI was aimed at an institutionalization of these surveillance structures or surveillance in organizations whose leaders would integrate them, but the composition of the committees did not allow it and their effectiveness operated, rather in the personal and their environment, being more straightforward on the community issue.

The different dimensions of organizational strengthening also occur in intermediate structures and at the headquarters of institutions implementing projects, thus being of greater proportion and importance in the cases referred to above: articulation through monitoring mechanisms and dissemination and/or advocacy closely connected with the work and results of mechanisms.

Taking stock of the achievements at the three levels indicated in relation to the scope of citizen engagement, it is clear that it refers to different aspects of state performance or its action or coverage in terms of rights, because it is sought to agree with principles of integrity or compliance with principles or rules. This means that the practices provoked in the participants and their environments are linked in the field of public ethics, the prevention of corruption and transgressions of rules, although with the specific reference of the object monitored or on which it is sought to influence. Positive elements were reported that would suggest that these practices could form or would be forming habits or attitudes towards the public sphere, at least towards the territorial scenario close to the mechanisms. However, the evidence is not enough to assure this, nor to verify that these practices involve a general or cemented attitude in favor of any aspect of public integrity or rejection of other manifestations of corruption or regulatory transgression. The evidence supports the claim that there were demands for compliance, integrity, or action by the State that arose in the communities or groups as a result of the visibility of the mechanisms or their work, although the durability of that attitude of demand cannot be guaranteed either.

FINDING 8:	The most outstanding achievements of the mechanisms studied are the contribution to raising awareness and mobilizing people around the enforceability of citizen's right and some tangible results of their implementation.

Exhibit 14. Achievements obtained by the mechanisms in relation to their functions

Complementing what is stated in Finding 6, the main achievements of the mechanisms are presented based on the conductive functions of identified forms. A cross-cutting achievement is the awareness or sensitization of citizens in their wider environment regarding the enforceability of the State before citizens regarding its actions, its services, and its expenditure.

Citizen advocacy/awareness

Incorporation of proposals and demands of disadvantaged and emerging groups in the democratic system
Mobilization of people and populations for local and national public affairs

Oversight/surveillance

Mobilization for local public affairs with national significance related to the duty of the State to a performance, provision of services and use of public finances based on citizenship
Placement of products of the oversight exercised before authorities and public entities

Citizen advocacy/awareness

- The incorporation of proposals and demands of disadvantaged and emerging groups in the democratic system through agendas collected and some points addressed, as achieved by the mechanisms of the Clean Elections and Early Elections Projects in the municipalities of Lima and Monzón by local governments. Examples of this include:
    - The Municipal Ordinance of non-discrimination of Metropolitan Lima aligned with the agenda presented.
    - The agendas of young people and local producers collected by the mayor of Monzón.
    - The collaboration and response of the State achieved for cases and problems in the field of human trafficking and related problems.
- The mobilization of people and populations for local and national public affairs, such as integrity in politics, rights, and inclusion, human trafficking, enforceability of the State before citizens regarding their actions, their services and their spending. Greater awareness of these issues among the general public is one dimension of this.
    - Individuals, groups, organizations; journalists, communicators, and the media; artists and allies, participated as implementers and recipients working as effective or potential multiplier agents of citizen training and dissemination of democracy issues.
    - The general public is exposed to information and democratic reflection on these issues.
    - Strengthening of decentralized journalistic networks for the proper treatment of political and public affairs.
    - Massive campaigns made available to public web tools, quality information, and materials for the voter.
    - Networks of organizations come together to act and raise awareness on their localities on issues related to human trafficking.

Oversight/surveillance

- The mobilization of individuals, organizations, and communities for local public affairs with national significance related to the duty of the State to a performance, provision of services, and use of public finances based on citizenship: of quality, transparent, effective, and adaptable to their needs and opportunities.

    o The engagement of citizens for the good of their community around the reconstruction with changes and the use of royalty funds, in the different aspects that are associated with human trafficking, provides the experience of a potentially fruitful interaction with the State and one's own citizen rights.

    o The formation of oversight nuclei oriented to these purposes and of personal and/or organizational capacities to act for them, which also entails:

        ▪ Relationship and coordination instruments, such as interconnected networks by means such as WhatsApp.

        ▪ Peer-to-peer learning and exchange.

        ▪ Practical surveillance tools and advocacy learning.

    o The awareness of local communities on the enforceability of the State, the role of citizen surveillance and the issues of the mechanisms, even generating the direct interest or participation of the local population.

- The placement of products of the oversight exercised and the advocacy associated with it before authorities and public entities. Examples of this include:

    o The submission of reports to local, regional, or national authorities, including the Comptroller's Office.

    o Changes achieved in works or services.

    o Dialogue with candidates and elected authorities and the delivery of agenda items on the issues of human trafficking and member organizations of regional oversight bodies.

- The advocacy achieved with the active intervention of partners and their intermediate bodies, both in relation to the results of oversight bodies and the institutional conditions to exercise surveillance.

    o The regulatory pieces and inputs for surveillance forms and methodologies to which the Transparent Reconstruction Project contributed.

    o The practical support that was added both to the activation of alerts and mobilization of opinion, as well as to the advocacy work, operated locally, which contributed to encourage adequate responses or collaboration of the State and to enhance the advocacy of oversight bodies around human trafficking.

SUSTAINABILITY

Assessment question:

To what extent are mechanisms for citizen participation and surveillance effective and sustainable?

Summary of findings:

- *The mechanisms' outcomes may be sustainable, but there is no guarantee that their impact on practices and attitudes will last beyond the interventions, as long as the project design does not distinguish what sustainability is sought or expected.*

FINDING 9:	The mechanisms' outcomes may be sustainable, but there is no guarantee that their impact on practices and attitudes will last beyond the interventions, as long as the project design does not distinguish what sustainability is sought or expected.

Overall, mechanisms show little evidence of sustainability beyond the project and the presence of the implementing partner. However, they present variations and angles to consider with respect to the form and mechanism as well as the context of the pandemic.

In terms of sustainability, the greatest impact of the pandemic was the disconnection of the project teams from members of the mechanisms, disconnection between members, or the loss of them. For example, in Mirada Ciudadana Oversight Bodies in Cusco and Loreto, where the ravages of the pandemic were enormous, member participation was less regular. The EITI Project Surveillance Committees in Piura, Iquitos, and Moquegua ended up being unipersonal.

Although there were decreases in participation in all types of mechanisms, the adaptation response of the implementing partners and their regional bodies was decisive in restoring activities and guiding them in the new context. It is important to note that Propuesta Ciudadana suffered the unfortunate loss to COVID-19 of the person responsible for working with surveillance committees. CHS adapted to regional situations and the characteristics of its oversight bodies. Transparencia achieved a remarkable recovery, as did IDEA, although its only current project with USAID closed in July 2020.

With these remarks and differences, some elements common to the forms that give some support to the sustainability potential of mechanisms can be highlighted.

Working in alliances to lead or support mechanisms and shared leadership, as IDEA, Transparencia and CHS do, enables the independent transfer or replication of experiences. It should be reiterated that the work of Transparencia at the central level in advocacy and collaboration with entities, such as OSCE, CGR, and ministries, contributed to the development of standards, procedures, and as an input to shape official forms of surveillance. Member organizations of the Mirada Ciudadana Oversight Bodies incorporated the theme of human trafficking into their organizations along with knowledge and tools to address it. The mechanisms of the Clean Elections and Early Elections Projects helped assimilate civic-oriented working modalities into institutions and allies (e.g., artists who led the experiences, *Ojo Público*) and to generate multiplier stakeholders with their target audiences, as happened with El Búho from Arequipa, which independently replicated the work in a decentralized network and again offered an information tool on candidates. These are examples of demonstration or multiplier effects and how they

represent the generation of practices or initiatives of citizen engagement from the work done by the mechanisms.

Building a **relationship between times, strategies, the type and scope of an activity, or the work of the mechanism and actors**, depending on whether they are participants and/or multiplying agents or the general public, is important. In the experience of the Clean Elections and Early Elections Projects for regional and local government elections, the strategic design of the mobilization of representative organizations (of people with disabilities, LGTIBQ people, indigenous populations, women, Afro-descendants, etc.) conceived its duration for the sole purpose of placing a common agenda before candidates, working the demands for each group separately and then reaching consensus on common points.

In all forms, a powerful **synergy of the direct work of the mechanisms and a parallel work of close accompaniment and advocacy** from the central level was observed. This is shown by the citizen oversight committees of the Transparent Reconstruction Project and various mechanisms of the Clean Elections and Early Elections Projects (the municipal agendas of Lima and Monzón as the highlights). In the EITI Project Surveillance Committees, it is observed that a parallel effort by the regional and central bodies of the system facilitated a larger dissemination at the regional level, as in Arequipa, through publications based on products of the committees.

It is complicated to determine the sustainability capacity in the mechanisms by the overlap of various aspects that can be taken as a reference point, i.e., as subjects of sustainability.

The sustainability of the mechanisms can be judged in terms of the mechanism in relation to different dimensions. First: is the sustainability of the mechanism itself, its achievements, or the achievements of the project in which it is inserted sought? According to the answer, is it about the achievements produced in the near and immediate, or in something broader or in the long term? In addition, it is different if the expected change must occur in the external object of the surveillance or advocacy (a correction in a work, a regulatory piece, a state process), i.e., it is objective; or if it is subjective, at the actor level (their beliefs, opinions, decisions, practices, attitudes, habits). Finally, it matters whether you want to influence the people directly participating or receiving, or in a delimited universe of citizenship, or in the general public, or in objective changes that have social reach, beyond the personal or the immediate environment. This is the constellation of sustainability aspects in which a mechanism moves and, generally, it is not something that is specified in its definition or in its project.

In the three forms studied, the mechanisms sought citizen engagement based on the final objective of the project where they are located, thus having a thematic tint. It is also important to underline that the central interest of the assessment is the influence on the ethical behavior of citizens or their social tolerance to corruption (Question 2 of the assessment). Taking into account both considerations, it is difficult to indicate with certainty the sustainability of the mechanism, which highlights that the causal chaining of mechanisms and objectives is not precisely presented in the formulation of projects and their mechanisms. Nor is it explicit where sustainability is oriented. On this basis, the treatment of sustainability offered in this assessment addresses points that may be relevant to different aspects. However, it emphasizes the dimension of attitudes and behaviors of citizen engagement. The following points found on the potential for sustainability are raised by the two polar forms.

Citizen advocacy/awareness

- The form of the Clean Elections and Early Elections Projects contains the aforementioned type of formulas that are replicable and transferable: working in alliances, with shared leadership and more specific strategies for objectives, target audiences, and time frames.

- With mechanisms geared toward defined electoral processes, some short-term mechanisms face scope limitations. Some street artistic activities involve students from the workshops, but the impact on them and on the audiences reached does not necessarily imply security for their dynamic effects or sustainability.

- Several of the mechanisms tend to generate a self-selection of participants, as in interventions with art; in others, of mass audience, there is no certainty that the information received will achieve any of the desired effects (integrity criteria for the vote, attitudes of integrity), although the reception of information in itself is important. Without an additional strategy, nothing can be said to be true, given that the country's grassroots civic culture is precarious.

Oversight/Surveillance

- Institutional support is a basis for sustainability, which can be found in supra mechanism structures, in a sustained horizontal connection and also in an institutional form of membership for mechanisms. The lower organicity of grassroots social organizations is a potential weakness and working with individual volunteers is more precarious and of uncertain sustainability.

- In volunteer work, the difference lies in the strategies of local and personal response and feedback that can include symbolic (recognition, signs of community) and real (in capacities, connections, experience) benefits, as well as more manageable forms of surveillance aligned with the profile of individuals.

Local dissemination of surveillance and its results enhances the common benefit of citizens and authorities or the State, which would expand the possibilities of leaving lasting effects of the dynamization generated by the mechanisms. It is illustrated by the engagement generated in neighboring communities and the openness in attitude and practice of authorities, as observed with several cases mentioned in Finding 6 regarding citizen oversight committees (Transparent Reconstruction Project) and, to a lesser extent, surveillance committees associated with the EITI system. These cases are indications that the work of the mechanisms aroused practices of citizen engagement, whether participation or surveillance, although without a direct evaluation of these other experiences, it is not possible to affirm that they are long-term. Nevertheless, the case found of an overseer who reports the practice of seeking other spaces to exercise or promote surveillance denotes that participation in the mechanism can generate or at least cement in people the most sustainable attitude or practice of surveillance. There are similar examples with volunteers who, representing their grassroots organizations in Mirada Ciudadana Oversight Bodies, carry out activities of supervision, promotion, or dissemination, bringing messages and methods of oversight to their own fields of action, thus expanding them.

In general, the variety of cases with multiplier or replication effects that the assessment has reported among its findings are examples, precisely, that the work of the mechanisms has given rise to practices of citizen engagement through mobilization for advocacy, participation in existing or new spaces of relationship with the State, the surveillance of state performance, or the opening of local authorities and rulers to the voice of citizens and, even, to some authority seeking to undertake a surveillance experience.

There is no evidence that the mechanisms led to the creation of other mechanisms of engagement, but there is evidence that the State gathered lessons and inputs from the work of the mechanisms sponsored by USAID, such as the advocacy and synergy achieved by the Transparent Reconstruction Project with OSCE, the Comptroller General's Office of the Republic, the Presidency of the Cabinet, and in the very work of the consortium of which it is a member, the Integrity Observatory. In a somewhat different way, the activities of dissemination and incidence of the mechanisms implemented by the Clean Elections and Early Elections Projects and their allies generated new actors and channels of, precisely, dissemination and advocacy, illustrated by the continuous engagement of actors, such as artists, art associations, the media (among which the case of El Búho stands out, which built its own regional journalistic network, independently of the original mechanism); and the ordinance of Metropolitan Lima against all discrimination, which is an institutional piece of rights that opens the door for citizen demand and participation.

LESSONS LEARNED AND BEST PRACTICES

LESSONS LEARNED

1. The more clear projects can be on the expected impacts up front, the easier it will be to determine the project's direct effects on citizen engagement.

   The projects involved in the study showed weaknesses in their effect or impact chains (i.e., undefined gaps or incomplete links), which made it difficult to identify the effective contribution of the mechanism to the expected objectives and impacts.

2. The mechanism members will be more committed if they are aware of the objectives, functions, strategies, and forms of coordination from the beginning of the intervention.

   The Clean Elections and Early Elections projects developed a plan for the advocacy and awareness mechanisms that included the objectives, outcomes, activities, implementation phases, and the roles and responsibilities of strategic allies from the regions. The work plan of the oversight committees (Transparent Reconstruction Project) includes the management guidelines, the communications strategy, and a strategy to include information on gender in the reconstruction process agenda.

3. A participative approach to developing and implementing work plans increases efficiency and cohesion. The Mirada Ciudadana oversight committees incorporated their members' various interests and perspectives, which involves operational action plans differentiated for each region. The citizen advocacy and awareness mechanisms, linked to the demand for rights and needs regarding the local elections in Lima and Huánuco, refined their corresponding strategies to meet the requirements of the context.

4. Management actions agreed upon and coordinated between nationwide and regional levels contribute to the operation, learning, and effectiveness of mechanisms.

   The Transparent Reconstruction Project's implementing partner established shared and delegated management with the Mirada Ciudadana oversight committees for the performance of activities. The regional promotion committees, which organized the work of the Mirada Ciudadana oversight committees, provided technical assistance and permanent monitoring. The Mirada Ciudadana oversight committees were organized under a collective management structure and were supported by the regional offices of CHS Alternativo, which are also part of the Mirada Ciudadana oversight committees. For the advocacy and awareness form of citizen engagement, a similar role was played by working with specialized allies who participated in the design, management, and/or implementation of the mechanism to which they were linked, contributing to the transfer of

capacities to the target groups and to the allies themselves entering the advocacy field. For the mechanisms implemented in areas reclaimed from drug trafficking, an advisory team was established to lead the local work and help adapt the performance of activities previously or simultaneously carried out in Lima.

5. The surveillance instruments should meet the needs of surveillance committees. Effectiveness will depend on the quality and contextualization of their development.

   The Transparent Reconstruction project modified several data gathering instruments in response to the needs or problems reported by the Mirada Ciudadana oversight committees in some areas. In other cases, mechanism members reported difficulties in applying these instruments.

6. Shared learning among implementing partners might improve mechanisms and could be better exploited, both nationwide—as is the scope of NGOs—and local intervention areas.

   Asociación Civil Transparencia and Grupo Propuesta Ciudadana established exchange and cooperation elements, but these were not further developed because of the pandemic.

7. Ongoing support and training strengthen the continuity of the mechanism and the members' ability to access online information. This was crucial during the pandemic and reflected the implementing partners' adaptability.

8. For visibility, social validation, and achievement of results, it is vital to disseminate information and liaise with respected leaders and public entities. Disseminating gradual achievements contributes significantly to this. Therefore, relations with the media are a helpful tool. In oversight, connections with governmental control entities (e.g., allies or recipients of findings) can make a difference. In advocacy, relationships with specialized State entities and the legislative branch can be helpful.

   Mirada Ciudadana oversight committees deliberately aim to build cooperation with local media and government institutions, which has a positive effect. The citizen advocacy and awareness activities from the Clean Elections and Early Elections projects were organized together in conjunction with actions in national media and alternative regional media, websites, and institutional and allied local groups' social media accounts. The work of Mirada Ciudadana oversight committees (Transparent Reconstruction project) was reported to authorities of the supervised institutions like the Ministry of Education, the Ministry of Housing and Construction, and the Public Procurement Supervisory Authority during meetings promoted by implementing partner; these were sometimes organized locally by promoting committees.

BEST PRACTICES

1. **Strategically including groups that have been traditionally marginalized (women, young people, LGBTIQ people) not only as participants but also as beneficiaries.**

   During the Lima municipal elections, LGBTIQ advocacy groups, through the Presente non-profit organization, led advocacy actions with proposals by people with disabilities, indigenous people, Afro-descendants, and women. Advocacy actions were performed in areas where alternative crops are grown, involving local organization leaders, farmers, schoolchildren, and young people. As a result, the mayor of Monzón adopted some of the proposals made by the young people and farmers during his term.

2. **Involving allies whose specialized work could turn them into multiplying agents in mechanism management and implementation.**

   Citizen advocacy and awareness mechanisms were implemented with allied institutions and volunteers with a certain expertise, who became involved as mobilizing agents (e.g., journalists,

analysts, artists, or members of groups carrying out advocacy work). During the subnational and snap Congressional elections, the citizen advocacy and awareness mechanisms forged alliances with institutions related to specific groups and issues that made it possible for them to reach the target audiences, involve them, and jointly carry out dissemination or advocacy work.

3. **The design and application of strategies implemented to mainstream gender perspective, or to include specific groups in surveillance and participation mechanisms, or citizen engagement in general.**

The Citizen Oversight bodies implemented the following gender perspective strategies: a) mapping and analyzing the conditions in which women took part in the spaces and roles provided as part of oversight bodies; b) monitoring women's attendance at training events; c) evaluating suitable schedules and places for women's participation; d) developing differentiation criteria for women's participation in accordance with urban and rural contexts, age groups, and occupations.

4. **The design and application of technical instruments for citizen surveillance, such as guides and forms for this purpose.**

The citizen oversight bodies (Transparent Reconstruction project) were provided with technical guidelines for creating and operating promotion committees, technical records for project supervision, and methodological guides for training, which were adapted to an online format in the context of the ongoing pandemic.

5. **The involvement of local organizations in the leadership of mechanisms at a territorial level.**

In Lima, the citizen advocacy and awareness mechanisms involved allied institutions to lead the consensus and response work on the rights of marginalized populations, and for dissemination and public mobilization in relation to integrity in politics and institutional reforms. In Moquegua, volunteers and local organization representatives became involved. Their experience supported the work of EITI Project's Surveillance Committee. The Mirada Ciudadana Oversight Bodies include various local organizations in different regions. The fact that institutions are members strengthened the perspectives of continuity for the work of these mechanisms.

6. **Disseminating information on the mechanisms and their achievements on local and national media, including social media.**

The citizen advocacy and awareness mechanisms for electoral processes shared messages and events from the other project mechanisms on their own (and allied institutions' or individuals') social media accounts. The Mirada Ciudadana Oversight Bodies maintain a website where each regional committee's events and those from their network are promoted, as well as some victims' cases or risk situations which have occurred in their regions.

7. **The feedback provided to mechanisms on the activities and contributions carried out with the data produced in the participation and supervision processes.**

The Mirada Ciudadana Oversight Bodies received feedback in the form of "citizen oversight reports" and the macroregional meetings held by Asociación Civil Transparencia, where these documents were analyzed and disseminated. Some oversight bodies, supported by their promoting committees, prepared their own results reports and held a local event where these were shared with the community. The EITI Surveillance Committees held meetings with local councils or residents, which attracted the local population and even encouraged a mayor to adopt transparency and accountability actions, or a neighboring authority to promote surveillance.

CONCLUSIONS

Conclusion 1	**Associated findings**
The mechanisms promoted by USAID projects involve three citizen engagement forms: citizen advocacy and awareness, oversight and surveillance, and a combination of both. The citizen engagement forms found reveal strategies that are better adjusted to certain conditions and variables. Close support, strong technical assistance, and shared management were positive factors for all. In the citizen advocacy and awareness form, working with actors that are multiplying agents was a strong asset. A positive factor in the oversight/surveillance form was to have an institutional base through membership of organizations rather than individuals, or through a support consortium and implementing dissemination or advocacy from the committee itself or another management level (involving greater interaction). Highlights of the mixed form are management based on peer agreement, internal and network coordination, and the adaptation of tasks to the type of member organization. All these elements promote seamless operation, encouraging the involvement of members themselves and potential multiplying effects.	• Finding 1
Conclusion 2	**Associated findings**
The mechanisms depended on volunteer commitment during surveillance and/or advocacy actions. This is what helped them face the challenges of the pandemic and the transition to online work successfully. An element that encompasses the mechanisms of all forms is the key role of volunteer commitment, regardless of their role or work, or the mechanism complexity or purpose. Volunteer commitment often lasts beyond the period of support. This personal commitment encourages them to continue volunteering in the mechanism despite their different motivations (e.g., gaining knowledge, reinforcing their employability or leadership skills, showing concern for the community or country, fighting a social evil). However, volunteers express greater satisfaction when they notice the support given to their work (e.g., advisory, tools, support to facilitate their tasks or to address the State), and either factual or symbolic recognition, from tokens of gratitude to invitations to events or training sessions. Even when they are institutional members, personal commitment does make a difference.	• Finding 2
Conclusion 3	**Associated findings**
The interaction of mechanisms with public entities and authorities or private actors under surveillance by the local population is difficult and limits synergy. There are mechanisms that achieved a positive relationship with the State through the support of supplementary advocacy work on an individual and/or parallel basis, and at a higher level. Success also depended on the officials' or authorities' openness contingent to the mechanisms' persistence. Others were able to take advantage of official spaces, such as links to public hearings.	• Finding 2

Conclusion 4	Associated findings
The mechanisms involved local organizations and individuals, showing diversity, and included vulnerable groups. Young people and women were in larger proportions, while rural area inhabitants, farmers, indigenous populations, Afro-descendants, LGBTIQ individuals, and people with disabilities were present in a smaller proportion. Several mechanisms achieved greater inclusion in terms of participants or beneficiaries by means of ad hoc strategies, or by involving institutional members. Two limiting factors to achieving diversity are the sexist culture and low civility. Both are felt more strongly in the country's interior.	● Finding 4
Conclusion 5	Associated findings
The substantial willingness to take part in volunteering and to mobilize for the common good is valuable capital for citizen engagement. Mechanisms were more successful through management, support, and continued and customized feedback. The involvement of new sectors may be limited by the emphasis on experienced volunteers or strategies that attract self-selected audiences. The vast diversity existing in the potential volunteer universe which may be mobilized for citizen engagement requires various strategies adapted to different individual profiles and the mechanism purpose.	● Finding 5
Conclusion 6	Associated findings
Together with the participants' involvement, the mechanisms generated social sensitivity and an interest by third parties in their issues at a local level. This was possible through mechanisms' processes and achievements and their direct effects: personal experience, insights into new or complex civilian-related issues, lessons learned by individuals, communities, and organizations, the understanding of achieved effects—including potential response from the State—and institutional advocacy. For citizen engagement, the challenges are to consolidate, extend the population/territorial scope, and translate this sensitivity and interest into a more solid objective	● Finding 6
Conclusion 7	Associated findings
Mechanisms tend to influence personal involvement attitudes and behaviors, but not necessarily a rejection of corruption. In such regard, several mechanisms—especially those including citizen advocacy and awareness—involve citizen education elements with a possibility of introducing the essentials of institutions and everyday demonstrations of democratic values. However, as these were short projects for a single electoral process, or specific or brief dissemination or training actions, they are prepared with a more limited scope, instead of the consistency and scope that may lead to more precise and longer-lasting impacts. The theories of change and outcome frameworks provide a very limited reflection of the nature and effectiveness of a mechanism's contribution to the final project objective; that is to say, the	● Finding 6

complete (possible or achieved) linking between the mechanism and this objective.

Conclusion 8	**Associated findings**
The value of a citizen engagement mechanism lies in its role as a "proxy" for representation channels or the individual-State relationship and in its role in strengthening individual identity and citizenship and a sense of belonging. It is important to safeguard this value by preventing an overestimation of expectations, a reinforcement of the lack of trust in the State, or feelings that the efforts made through citizen engagement have not been effective; particularly because Peru is a country where there is a significant lack of trust in the State and a weak attachment to democratic values.	• Finding 7
Conclusion 9	**Associated findings**
For mechanism institutionalization and sustainability, it is important to receive local feedback and ensure effective dissemination to the public through the media and/or public entities. The mechanisms have made citizen engagement more dynamic, but their scope and replication capacity or duration are uncertain. Mechanisms' and projects' design and implementation do not make the purpose of their sustainability clear. The factors influencing institutionalization and sustainability perspectives and mechanism effectiveness have a common thread. This thread includes two dimensions: (1) attention to reality (at micro and macro levels) of the mechanisms and their members, and (2) a close and decentralized (e.g., regional) operation platform, to help provide close support and to integrate a local perspective into the intervention. Both dimensions become all the more important in countries with a weak democratic culture and where there is widespread mistrust of the State, which, in Peru, is even more evident at regional level.	• Finding 5 • Finding 9
Conclusion 10	**Associated findings**
The mechanism's operation, support, effectiveness, and sustainability are favored when there is clarity in the causal relationship that connects the mechanism with the project's theory of change. Likewise, when the design of the mechanism is clear from the beginning, the desired sustainability can be identified as a concrete structure or as a nucleus whose functions can be assumed by other structures or other means.	• Lessons learned • Finding 2 • Finding 3 • Finding 5 • Finding 6 • Finding 7

RECOMMENDATIONS

The following are recommendations organized by stakeholder. These recommendations were formulated during the Co-Creation Workshop held online on August 12, 2021 and from the assessment.

IMPLEMENTING PARTNERS

1. Incorporate a clear definition of the mechanism and a theory of change in the project design, showing the causal relationships between the mechanisms and other strategies and the established objectives, and the mechanism indicators and baselines.

2. Ensure that project management adapts strategies and actions to the characteristics and varieties of mechanisms and local contexts, with support (e.g., training, advisory, monitoring and follow-up, interaction, feedback, communication, technical, and orientation instruments), distribution of tasks adapted to the profile, and support for local or central advocacy.

3. Strengthen volunteering management and sustainability through diversified strategies in relation to the members' profiles and the mechanism, including feedback, symbolic reaffirmation of their work, spaces for socialization, and transferred quality capacities. In the context of COVID-19, execute strategies to keep the link with volunteers active, and provide them with training in the use of technological tools.

4. Strengthen the inclusion of vulnerable individuals and groups, either to integrate them to the mechanism or as target groups, by means of strategies or ad hoc interventions.

5. Increase inter-institutional and inter-regional management and working modes or fields: alliances, consortiums, or cooperation with organizations that bring technical capacity and are multiplying agents of involvement as well as a supporting foundation for sustainability.

6. Integrate citizenship education content on institutions and democratic values and their significance to the common good, personal-social behavior, integrity and corruption topics, and the mechanism's specific topic and purpose, in the strengthening of mechanism capacities. Incorporate or reinforce citizenship education content in advocacy and mechanism promotion and dissemination actions, including the revaluation of citizenship as the axis and target of all actions carried out by the State.

7. Expand participant and audience profiles, and involve allies in the field of communication to strengthen the scope of mechanisms with citizen advocacy and awareness functions.

8. Strengthen the dissemination of the mechanisms' work on diversified media to promote proactive responses by the State and sustain longer-lasting demonstrative and multiplying effects.

9. Incorporate, starting with the design stage, plans for coordinating and communicating with public and private stakeholders to disseminate the mechanisms' findings. Coordinate actions to influence the state in relation to the conditions affecting citizen engagement.

10. Link and support volunteers through a virtual platform.

USAID

11. Include a clear and detailed definition of causal and programmatic linkages, both horizontal and vertical, and among mechanism, projects, and sustainability, in the agreements with the implementing partners.

12. Promote interventions in democracy education that provide a robust foundation and sustainability through reflective internalization of practices, including through communicational-educational goals

and citizen engagement activities that are close to citizens' daily lives in relation to the State (e.g., claims channels, suggestion boxes).

13. Promote innovative spaces for collaboration with the State and other cooperation agencies on new, effective forms of citizen engagement and citizen surveillance of the State, in which there are open or pre-established alternatives for them to channel their initiatives or recommendations to the public sector.

14. Explore, together with partners and other cooperation agencies, the creation of an accreditation scheme for strengthening the capacities of volunteers and members of the sponsored mechanisms, with an established curriculum, standards, and strategies tailored to the various volunteer types. This should serve as a foundation to support the accreditation of graduates by the implementing partner, so that they can represent the mechanism to external stakeholders.

15. Promote shared learning among implementing partners and through exchange channels, including dissemination of strategy papers and tools, achievements, best practices, solutions, and challenges.

16. Emphasize that interventions that promote citizen engagement should be part of a regional or decentralized entity and include a localization focus, which strengthens citizens' capacities as participants or target audience. This helps address regional perspectives from the operational and contextual points of view; i.e., through interventions that include spaces at a territorial level, and involve regional/local individuals or institutions in the programmatic or operational design and/or the implementation of the intervention and the citizen engagement mechanisms. This may be carried out in consultation with groups, allied implementers, or local offices or teams. This also helps incorporate adapted strategies—and adaptation strategies—to the macro and micro-contextual characteristics of the areas where the operation will take place, and to the citizens who will enroll as participants or will benefit from the initiative. The intervention should also integrate dialogue and shared learning among the various territories.

GOVERNMENT OF PERU

17. Promote coordination between the mechanisms promoted by the State and civil society, and the openness of public sector entities to citizen participation and surveillance.

18. Strengthen public ethics tools (e.g., codes, regulations, training material) in public sector entities.

APPENDICES

APPENDIX A: RESUMEN EJECUTIVO

PROPÓSITO Y PREGUNTAS DEL ESTUDIO

El propósito del estudio es analizar la eficacia y la sostenibilidad de los mecanismos de participación y vigilancia ciudadana promovidos por USAID, incluyendo la identificación de desafíos, mejores prácticas y lecciones aprendidas.

Las preguntas clave del estudio son las siguientes:

1. ¿Cómo funcionan los mecanismos de participación y vigilancia ciudadana?

2. ¿En qué medida las intervenciones de USAID pueden influir en el comportamiento ético de los ciudadanos o reducir su tolerancia social a la corrupción? (LQ DO 2.1)

3. ¿En qué medida son efectivos y sostenibles los mecanismos de participación y vigilancia ciudadana?

4. ¿Cuáles son las lecciones aprendidas en estas actividades?

METODOLOGÍA

El estudio tuvo un corte cualitativo. Los instrumentos metodológicos se diseñaron considerando su naturaleza cualitativa y la necesaria triangulación de información de las diversas fuentes consultadas. Se realizaron entrevistas en profundidad con 43 actores (socios implementadores, integrantes de comités de vigilancia, activistas e informantes claves) las cuales se aplicaron íntegramente de manera virtual dada la crisis sanitaria ocasionada por el COVID-19. La muestra abarcó a personas de 10 de las 15 regiones donde se implementaron los proyectos estudiados. La recopilación de datos comprendió la revisión de diversos documentos de los proyectos, estudios académicos y páginas web. El estudio tuvo un enfoque participativo a través de dos talleres participativos con USAID y los socios implementadores: un primer taller al iniciar el proyecto a fin de recibir la mirada apreciativa sobre el diseño del estudio, y un segundo taller para la co-creación de las recomendaciones para los actores claves.

HALLAZGOS

CARACTERIZACIÓN Y FUNCIONAMIENTO

1. Los mecanismos promovidos en los proyectos de USAID muestran diferentes formas de involucramiento ciudadano.

2. Los mecanismos de involucramiento ciudadano presentan diversidad en formación, estructuración y funcionamiento que responde a diferentes factores.

3. La forma de veeduría/fiscalización promovida por USAID tiene similitudes y relaciones complementarias con otras promovidas por el gobierno peruano. Existen espacios compartidos y oportunidades de sinergias que los actores pueden aprovechar para canalizar los productos de la vigilancia generados bajo esta forma de involucramiento.

4. La inclusión de grupos vulnerables es una estrategia transversal en las diferentes formas de involucramiento ciudadano.

5. Los elementos facilitadores para el funcionamiento de los mecanismos fueron una gestión del socio implementador bien articulada con el mecanismo, el acompañamiento, el apoyo adicional en incidencia y, como elemento clave, el compromiso del voluntariado. Fueron factores obstaculizadores la difícil relación con el Estado, los objetos de vigilancia complejos y el seguimiento y retroalimentación limitados.

6. Los mecanismos están alineados con los objetivos de los proyectos y con el trabajo más amplio de fortalecimiento de la sociedad civil que desarrollan los socios implementadores.

EFICACIA

7. Los logros obtenidos por los mecanismos son acotados y temporalmente delimitados, concentrándose en el escenario inmediato de las actividades previstas. No implicaron cambios en actitudes o comportamientos éticos o tolerancia a la corrupción, más allá de los logros inmediatos, No obstante, algunos tuvieron efectos demostrativos.

8. Los logros más destacados de los mecanismos estudiados son la contribución a la toma de conciencia y a la movilización de las personas en torno a la exigibilidad de los derechos ciudadanos y algunos resultados tangibles de su implementación.

SOSTENIBILIDAD

9. Los resultados de los mecanismos pueden ser sostenibles, pero no hay garantía de que su impacto en las prácticas y actitudes duren más allá de las intervenciones, siempre que el diseño de los proyectos no distinga qué sostenibilidad se busca o se espera.

LECCIONES APRENDIDAS

1. Mientras más explícita es la cadena de efectos e impactos esperados del proyecto y la vinculación del mecanismo con ésta, facilitará la delimitación y viabilidad del impacto en términos de involucramiento ciudadano. Los proyectos del estudio presentaron debilidades en las cadenas de efectos o impactos (brechas no definidas o eslabones incompletos) que hizo difícil identificar la contribución efectiva del mecanismo a los objetivos e impactos esperados.

2. La labor de los/las integrantes de los mecanismos será más comprometida si conocen con claridad los objetivos, funciones, estrategias y formas de articulación desde el inicio de la intervención. Los Proyectos Elecciones Limpias y Elecciones Anticipadas desarrollaron un Plan de los mecanismos de incidencia y conciencia ciudadana que incluyeron los objetivos, resultados, actividades, fases de implementación y de manera explícita los roles y responsabilidades de los aliados estratégicos en las regiones. Por su parte, el Plan de Trabajo de los Comités de Veeduría (Proyecto Reconstrucción Transparente) contiene los lineamientos de gestión, la estrategia comunicacional y la estrategia para incorporar información sobre género en la agenda del proceso de reconstrucción.

3. Un enfoque participativo para formular e implementar planes de trabajo aumenta la eficiencia y la cohesión. Las Veedurías Mirada Ciudadana incorporaron las diferentes perspectivas de sus integrantes y elaboraron planes operativos diferenciados en cada región. Los mecanismos de incidencia y conciencia ciudadana ligados a la reivindicación de derechos y necesidades de cara a las elecciones locales en Lima y Huánuco adecuaron sus estrategias al contexto.

4. La gestión coordinada y colegiada entre el nivel nacional y el regional ayuda al funcionamiento, aprendizaje y efectividad de los mecanismos. El socio implementador del Proyecto Reconstrucción Transparente estableció una gestión compartida y delegada con los Comités de Veedurías Ciudadanas para la ejecución de las actividades. Se establecieron los comités de impulso regionales que organizaron el trabajo de los Comités de Veedurías Ciudadanas, les brindaron asistencia técnica y seguimiento permanente. Las Veedurías Mirada Ciudadana se organizaron con una gestión colegiada y tuvieron el apoyo de las oficinas regionales de CHS Alternativo, que también forman parte de las Veedurías. Para la forma de involucramiento ciudadano de incidencia/conciencia ciudadana jugó un rol similar el trabajo con aliados especializados que participaban en el diseño, gestión y/o implementación del mecanismo al que estaban ligados, aportando a la transferencia de capacidades a los grupos objetivo y a que los propios aliados entren en el campo de la incidencia. Para sus mecanismos implementados en zona recuperada al narcotráfico, se estableció un equipo asesor que lideraba el trabajo local y apoyaba para adaptar la ejecución de actividades que antes o paralelamente se desarrollaban en Lima.

5. Los instrumentos de vigilancia deben responder a las necesidades de los comités de vigilancia. La precisión dependerá de la calidad y la contextualización del desarrollo de los mismos. El proyecto Reconstrucción Transparente modificó algunos instrumentos de recojo de información en respuesta a necesidades o problemas transmitidos por los Comités de Veedurías Ciudadana de algunas localidades. En otros casos, los integrantes de los mecanismos expresaron dificultades para aplicar los instrumentos.

6. El interaprendizaje entre socios implementadores, desde el nivel nacional en el que operan las ONG y las zonas de intervención local, es un elemento potencial para fortalecer los mecanismos y puede ser mejor aprovechado. La Asociación Civil Transparencia y el Grupo Propuesta Ciudadana establecieron elementos de intercambio y cooperación, pero por la pandemia no los desarrollaron.

7. El acompañamiento continuo y la capacitación fortalecen la continuidad del mecanismo y la capacidad de los miembros a acceder a información virtual. Lo anterior fue crucial en la pandemia y reflejó la adaptabilidad de los socios implementadores.

8. Para la visibilidad, validación social y logro de los resultados es vital la difusión y vinculación con líderes respetados y entes públicos. Aporta mucho la difusión de los logros graduales. Por ello, la relación con los medios de comunicación es un instrumento de ayuda. En la veeduría los nexos con entes de control gubernamental (aliados o destinatarios de sus hallazgos) puede hacer la diferencia; en incidencia la vinculación con organismos especializados del Estado, según el caso, y con el Poder Legislativo. Las Veedurías Mirada Ciudadana buscaron deliberadamente relaciones de colaboración con medios de comunicación locales y con instituciones gubernamentales, con efectos positivos. Las actividades de incidencia y conciencia ciudadana de los Proyectos Elecciones Limpias y Elecciones Anticipadas estuvieron acompañadas de acciones de difusión en medios nacionales de comunicación y medios alternativos regionales, páginas web y redes sociales institucionales y de los colectivos locales aliados. La labor de los Comités de Veedurías Ciudadanas (Proyecto Reconstrucción Transparente) fue comunicada a las autoridades de las instituciones supervisadas, como el Ministerio de Educación, el Ministerio de Vivienda y Construcción y el Organismo Supervisor de las Contrataciones del Estado, en reuniones impulsadas por el socio implementador y, a veces, realizadas a nivel territorial por algún comité impulsor.

BUENAS PRÁCTICAS

1. **Incluir estratégicamente grupos tradicionalmente marginados (mujeres, jóvenes, población LGTBIQ) no solo como participantes, sino también como población beneficiaria.** En las elecciones municipales en Lima, los grupos LGTBIQ, a través de la asociación

Presente, lideraron acciones de incidencia con propuestas de personas con discapacidad, población indígena, afrodescendientes y mujeres. En zonas de producción de cultivos alternativos se realizaron acciones de incidencia con líderes de organizaciones locales y productores, escolares y jóvenes. Como resultado, el alcalde de Monzón adoptó parte de la agenda de propuestas de los jóvenes y productores en su gestión.

2. **La incorporación de aliados cuya especialidad puede convertirlos en agentes multiplicadores, en la gestión e implementación de los mecanismos.** Los mecanismos de incidencia/ conciencia ciudadana, se implementaron con instituciones aliadas, así como con voluntarios con cierta especialidad que se integraron como agentes movilizadores (p. ej. periodistas, analistas, artistas o miembros de colectivos con trabajo de incidencia, etc.). Durante las elecciones subnacionales y las congresales anticipadas, los mecanismos de incidencia/ conciencia ciudadana establecieron alianzas con instituciones relacionadas con grupos y temas específicos que les posibilitaron llegar a esos públicos objetivo, involucrarlos y hacer difusión o incidencia de manera conjunta.

3. **El diseño y aplicación de estrategias implementadas para transversalizar el enfoque de género o para la inclusión de grupos específicos en los mecanismos de participación y vigilancia, o involucramiento ciudadano en general.** Los Comités de Veedurías Ciudadanas implementaron las siguientes estrategias de enfoque de género: a) mapeo y análisis de las condiciones en las que las mujeres participaron en los espacios y los roles facilitados como parte de las veedurías, b) monitoreo de la asistencia de las mujeres a los eventos de capacitación, c) evaluación de los horarios y lugares adecuados para la participación de las mujeres, d) criterios de diferenciación para la participación de las mujeres en los territorios urbanos y rurales, grupos de edad y ocupaciones.

4. **El diseño y aplicación de instrumentos técnicos para el monitoreo ciudadano, tales como guías y formatos para realizar la fiscalización ciudadana.** Los Comités de Veedurías Ciudadanas (Proyecto Reconstrucción Transparente) contaron con lineamientos técnicos para la creación y operación de los comités de impulso, fichas técnicas para la supervisión de los proyectos y guías metodológicas para la capacitación, las cuales se adaptaron al formato virtual en el contexto de la pandemia.

5. **El involucramiento de organizaciones locales en el liderazgo de los mecanismos a nivel territorial.** En Lima, los mecanismos de incidencia/ conciencia ciudadana, incluyeron instituciones aliadas para dirigir el trabajo de consenso y propuesta sobre derechos de poblaciones marginadas y para la difusión y movilización pública en temas de integridad en la política y reformas institucionales. En Moquegua se involucraron voluntarios/as y representantes de organizaciones locales, cuya experiencia fue un apoyo para el funcionamiento del Comité de Vigilancia del proyecto EITI. Las Veedurías Mirada Ciudadana están integradas por organizaciones locales diferenciadas por regiones. Esta membresía institucional fortaleció la continuidad para el trabajo de estos mecanismos.

6. **La difusión de los mecanismos y sus logros en los medios de comunicación nacionales y locales, incluyendo las redes sociales.** Los mecanismos de incidencia/conciencia ciudadana para procesos electorales difundían en sus propias redes sociales (y las de las instituciones o personas aliadas) mensajes y eventos de los otros mecanismos del proyecto. Las Veedurías Mirada Ciudadana tienen un sitio web en que publicitan los eventos de cada veeduría regional y de la red de todas ellas, así como casos de víctimas o situaciones de riesgo ocurridos en sus regiones.

7. **La devolución a los mecanismos sobre las actividades y aportes logrados con la información producida en los procesos de participación y fiscalización.** Los Comités de Veedurías Ciudadanas fueron retroalimentados con los "reportes de veeduría ciudadana" y los encuentros macrorregionales organizados por la Asociación Civil Transparencia, donde dichos documentos eran analizados y difundidos. Algunas veedurías con el apoyo de su comité impulsor

realizaron su propio informe de resultados y un evento local en que los presentaron a la comunidad. Los Comités de Vigilancia EITI realizaron reuniones municipales o vecinales que atrajeron interés de la población local y que, incluso, motivaron a un alcalde a tomar acciones de transparencia y de rendición de cuentas, o a una autoridad vecina a impulsar una similar vigilancia.

CONCLUSIONES

1. Los mecanismos promovidos por los proyectos de USAID muestran tres tipos de involucramiento ciudadano: incidencia/conciencia ciudadana, veeduría/fiscalización y una combinación entre ambos. Las formas de involucramiento ciudadano encontrados revelan estrategias más ajustadas a ciertas condiciones y variables. En todos ellos el acompañamiento cercano, la fuerte asistencia técnica y la gestión compartida fueron factores positivos. En incidencia/conciencia ciudadana trabajar con actores que son agentes multiplicadores fue un activo potente. En veeduría/fiscalización una membresía de organizaciones más que de personas fue un factor positivo. En la forma mixta resalta una gestión colegiada, la coordinación interna y en red y la adecuación de las tareas al tipo de organización miembro. Todos estos elementos fortalecen un funcionamiento fluido que alienta tanto el involucramiento de los miembros mismos como los posibles efectos multiplicadores.

2. Los mecanismos dependieron del compromiso del voluntariado en acciones de vigilancia y/o incidencia y fue lo que los mantuvo en pie frente a los desafíos de la pandemia y la virtualización. Un elemento que atraviesa las diferentes formas de mecanismos es el papel central que jugó el compromiso de las personas voluntarias que los integran, sin importar el rol o labor que asuman, ni la complejidad o propósito del mecanismo.

   El compromiso de los voluntarios a menudo dura más allá del periodo de apoyo. Este compromiso personal los alienta a continuar siendo voluntarios en el mecanismo a pesar de sus diferentes motivaciones (por ejemplo, adquirir conocimientos, fortalecer empleabilidad o liderazgo, preocupación por la comunidad o el país, combatir un mal). Sin embargo, los voluntarios demuestran mayor satisfacción cuando notan el apoyo a su trabajo (por ejemplo, asesoría, herramientas, respaldo para facilitar sus tareas o para presentarse ante el Estado) y reconocimiento emblemático o fáctico (desde agradecimiento y símbolos de comunidad hasta invitaciones a eventos o capacitaciones). Incluso, cuando son miembros institucionales, el compromiso personal marca una diferencia.

3. La interacción de los mecanismos con entidades públicas y autoridades o actores privados bajo vigilancia de la propia localidad es difícil y limita la sinergia. Existen mecanismos que lograron una relación positiva con el Estado, lo cual se alcanzó con el apoyo de un trabajo suplementario de incidencia propio y/o paralelo y a un nivel más alto. El éxito también dependió de la apertura personal de funcionarios o autoridades en función del tesón de los mecanismos. Otros mecanismos supieron aprovechar espacios oficiales, por ejemplo, las audiencias públicas.

4. Los mecanismos involucraron organizaciones y personas locales mostrando diversidad e incluyendo a grupos vulnerables. Destacan en mayor proporción los jóvenes y mujeres, en contraste con la menor presencia de sectores rurales, campesinos, indígenas, afrodescendientes, LGTIBQ y personas con discapacidad. Existen mecanismos que lograron mayor inclusión en términos de participantes o de beneficiarios con estrategias ad hoc o mediante la integración de miembros institucionales. Son limitantes, para avanzar a la diversidad, una cultura machista y un civismo deficitario; ambos persisten más fuertemente en el interior del país.

5. La gran disposición al voluntariado y a movilizarse por un bien público es un capital para el involucramiento ciudadano. Los mecanismos tuvieron mayor éxito a través de la gestión, el acompañamiento y la retroalimentación más continua y contextualizada. El involucramiento de sectores nuevos se puede ver limitado por un énfasis en voluntarios experimentados o por

estrategias que atraen públicos autoseleccionados. La enorme diversidad que existe en el universo potencial del voluntariado que se podría movilizar a un involucramiento ciudadano supone distintas estrategias adaptadas a los diferentes perfiles de las personas y al propósito del mecanismo.

6. Junto con el involucramiento de sus participantes, los mecanismos generaron, localmente, una sensibilidad social y el interés cívico de terceros en sus temas. Este efecto mediato fue posible gracias a los procesos y los logros de los mecanismos y sus efectos directos: vivencias personales; mayor perspectiva sobre temas cívicos nuevos o complejos; aprendizajes personales, comunales y organizacionales; la constatación de efectos conseguidos, incluyendo posibles respuestas desde el Estado, y la incidencia institucional obtenida. Para el involucramiento ciudadano los desafíos son arraigar, ampliar el alcance poblacional/territorial y colocar esta sensibilidad e interés en un horizonte más firme.

7. Los mecanismos tienden a provocar efectos en las actitudes y conductas personales de involucramiento y no necesariamente llevan al rechazo a la corrupción. Respecto a lo último, algunos mecanismos, sobre todo los que incluyen incidencia y conciencia ciudadana integraron elementos de formación ciudadana y de valores democráticos. Pero, tratándose de proyectos cortos de incidencia para un proceso electoral o de acciones puntuales o breves de difusión o capacitación, tienen un alcance limitado y no para generar impactos a largo plazo. Las teorías de cambio y marcos de resultados reflejan muy limitadamente la naturaleza y el grado de precisión de la contribución de un mecanismo al objetivo final del proyecto, es decir, el eslabonamiento completo (posible o logrado) entre este y el mecanismo.

8. Lo valioso de un mecanismo de involucramiento ciudadano radica en que es un «proxy» de canales de representación o relacionamiento persona-Estado nación y de afirmación de identidad y capacidad ciudadana personal y del sentido de pertenencia. Es importante resguardar ese valor evitando suscitar un sobredimensionamiento de expectativas, reforzamiento de la desconfianza en el Estado o sentimientos de ineficacia de los esfuerzos hechos con el involucramiento, especialmente, siendo el Perú un país con tanta desconfianza al Estado y con precario apego democrático.

9. Para la institucionalización y sostenibilidad de los mecanismos son relevantes la devolución y la retroalimentación a nivel local y la divulgación efectiva entre la opinión pública a través de los medios de comunicación y/o entidades públicas. Los mecanismos han dinamizado el involucramiento ciudadano, pero con un alcance y capacidad de multiplicación o duración inciertos. El modo en que están formulados y en que están implementados tanto los proyectos como los mecanismos es poco claro respecto al qué y para qué se busca su sostenibilidad.

Esos factores que influyen en las perspectivas de institucionalización y sostenibilidad (y también en la efectividad de los mecanismos) tienen un hilo en común. Este contiene dos dimensiones: (i) atención a la realidad (micro y macro) de los mecanismos y de sus integrantes, y (ii) una plataforma de operación cercana, descentralizada, (por ejemplo, regional), tanto para impartirles (o ayudar a impartir) el acompañamiento de modo cercano, como para integrar en la intervención una perspectiva local. Ambas dimensiones son tanto más importantes por el contexto de país que hemos subrayado repetidamente, de una cultura democrática poco enraizada, y, por el contrario, de una desconfianza hacia el Estado tan extendida, más aún en las regiones.

10. El funcionamiento, acompañamiento, efectividad y sostenibilidad del mecanismo se ven favorecidos cuando hay claridad en la relación causal que conecta el mecanismo con la teoría de cambio del proyecto. Asimismo, cuando el diseño del mecanismo está claro desde el principio se puede identificar la sostenibilidad deseada: como estructura concreta o como un núcleo cuyas funciones pueden ser asumidas por otra estructura u otras vías.

RECOMENDACIONES

A continuación, se presentan recomendaciones organizadas por actores, las cuales fueron formuladas en el Taller de Co-creación de Recomendaciones realizado de manera virtual el 12 de agosto de 2021, además de otras derivadas del estudio.

SOCIOS IMPLEMENTADORES

1. Incorporar en el diseño de los proyectos una definición clara del mecanismo y una teoría de cambio que muestre las relaciones causales de los mecanismos con las otras estrategias y los objetivos propuestos, así como indicadores y líneas de base de los mecanismos.

2. Asegurar que la gestión de los proyectos armonice las estrategias y acciones a las características o variedad de mecanismos y realidades locales, con acompañamiento (capacitación, asesoría, seguimiento y monitoreo, interacción y retroalimentación, intercomunicación, instrumentos orientadores y técnicos para el trabajo), distribución de tareas adaptadas al perfil y respaldo para la incidencia local o central.

3. Reforzar la gestión y sostenibilidad del voluntariado con estrategias diversificadas en relación con el perfil de los miembros y del mecanismo; con retroalimentación, reafirmación simbólica a su labor, espacios de socialización y capacidades de calidad transferidas. En el contexto del COVID-19, ejecutar estrategias para mantener activo el vínculo con los/las voluntarios/as y brindarles capacitación en el uso de las herramientas tecnológicas.

4. Reforzar el avance en la inclusión de personas y grupos en especial situación de vulnerabilidad, según sea para integrarlos al mecanismo o como público objetivo, con estrategias o bloques de intervención ad hoc.

5. Incrementar modalidades o áreas de trabajo y gestión de tipo interinstitucional e interregional: alianzas, consorcios o cooperación con organizaciones que traen un capital técnico y son agentes multiplicadores del involucramiento, así como una base de apoyo a la sostenibilidad.

6. Integrar en el fortalecimiento de capacidades de los mecanismos contenidos de formación ciudadana sobre las instituciones y valores democráticos y su significación en relación con el bien común, con la conducta personal-social, con temas de integridad y corrupción y con la temática y propósito específicos del mecanismo. Incorporar o reforzar contenidos de formación ciudadana en las acciones de incidencia, promoción y difusión de los mecanismos, incluyendo la revalorización de la ciudadanía como eje y destinataria de toda acción estatal.

7. Para potenciar el alcance de los mecanismos con funciones de incidencia y conciencia ciudadana, ampliar el perfil de participantes y audiencias, e involucrar a aliados en el campo de la comunicación.

8. Reforzar la difusión del trabajo de los mecanismos con medios de comunicación diversificados para promover respuestas proactivas del Estado y sustentar efectos demostrativos y multiplicadores más perdurables.

9. Incorporar desde la etapa de diseño, planes de coordinación y comunicación con actores públicos y privados para difundir los hallazgos de los mecanismos. Asimismo, realizar coordinaciones desde la gestión para incidir en el Estado sobre las condiciones que afectan el involucramiento ciudadano.

10. Vincular y apoyar a los voluntarios a través de una plataforma virtual.

USAID

11. Incluir en los acuerdos con las instituciones socias implementadoras una definición clara y detallada de la cadena de eslabonamiento causal y programático, horizontal y vertical, entre mecanismo, proyecto y sostenibilidad.

12. Promover intervenciones en educación democrática que proporcionen una base sólida y sostenible a través de la internalización reflexiva de prácticas, incluso a través de metas comunicacionales-educativas y actividades de participación ciudadana que estén cerca de la vida cotidiana de los ciudadanos en relación con el Estado

13. Impulsar espacios innovadores de colaboración con el Estado y otras agencias cooperantes sobre nuevas formas efectivas de involucramiento ciudadano y vigilancia, y en las que haya canales de recepción abiertos o preestablecidos para la canalización de sus planteamientos o recomendaciones al ámbito estatal.

14. Explorar, con socios y otros cooperantes, la creación de un esquema de acreditación del fortalecimiento de capacidades de voluntarios y miembros de los mecanismos auspiciados, con currículo establecido, estándares y estrategias diferenciadas por tipo de voluntario y, sobre este cimiento, apoyar la acreditación de los egresados por el socio implementador para su actuación ante actores externos como miembros del mecanismo.

15. Fomentar el interaprendizaje de los socios implementadores y canales de intercambio, incluyendo hojas de difusión de las estrategias e instrumentos, logros, buenas prácticas, soluciones y retos enfrentados.

16. Enfatizar las intervenciones de promoción del involucramiento ciudadano en el ámbito regional o descentralizado que fortalezcan las capacidades de los ciudadanos como partícipes o como público objetivo. Es decir, mediante intervenciones que incluyan espacios a nivel territorial e integren personas o instituciones regionales/locales en el diseño programático u operacional y/o en la implementación de la intervención y de los mecanismos de involucramiento ciudadano. Puede cristalizarse en grupos consultivos, implementadores aliados, u oficinas o equipos locales. Desde el diseño incorporar estrategias adaptadas a las características macro y micro contextuales de las localidades en que se operará y de la/os ciudadanos que se convocará como participantes o serán atendidos en la iniciativa. En este marco, es importante asegurar que la intervención integre, asimismo, diálogo e interaprendizaje entre las distintas territorialidades.

GOBIERNO DEL PERÚ

17. Promover la articulación entre los mecanismos impulsados por el Estado y por la sociedad civil y la apertura de las entidades públicas a la participación y vigilancia ciudadana.

18. Fortalecer las herramientas de ética pública (códigos, reglamentos, material formativo) en las entidades estatales.

APPENDIX B: ASSESSMENT TEAM

ASSESSMENT TEAM

Elsa Bardález, team leader

Engelbert Barreto, citizen participation specialist, technical support

Nataly Ponce, citizen participation specialist, technical support

Susana Guevara, specialist in Evaluation and Inclusion, USAID MELS Project, technical supervision

Carolina Avilés Koldys, specialist in Evaluation, EnCompass, project manager

TEAM MEMBER QUALIFICATIONS AND EXPERIENCE

Elsa Bardález, team leader

Degree in Philosophy. Graduated from the PhD in Political Science. Over 20 years' experience in the field of development as an international evaluator and researcher. She is skilled at strategic solutions, inter-institutional relations, and advocacy. Her career path ranges from senior management, resource mobilization and advocacy, to program implementation. She is experienced in fields such as development and public policy, democracy, governance and accountability; children's rights (institutional strengthening, conflict/post-conflict situations), citizen participation and engagement.

Engelbert Barreto, technical support

Degree in Sociology. Graduate studies in Sociology, Political Science, Local Development, Decentralization, and Project Management. Lecturer of Political Science at Universidad Nacional Mayor de San Marcos, and specialist in political investigations from the National Electoral Board (2005-2007). Evaluator of political participation projects from 2001, with publications in this field.

Nataly Ponce, technical support

Degree in Law, Master's Degree in Government and Public Policy, with a specialization in Social Welfare Program Evaluation. Over 20 years' national and international experience in the formulation of studies and evaluations in fields including transparency and information access, community leadership, gender violence, judicial system reforms, fight against corruption, among others. In 2015, she was the main researcher in a study of the judicial system specialized in environmental matters, for USAID. She has been a public official, researcher, consultant, and trainer. University lecturer at graduate level in Strategic Thinking and Management applied to public management (School of Government and Public Policy, PUCP).

Susana Guevara, technical supervision

Degree in Sociology. Master's degree in Public Policy Evaluation and Social Management. Over 25 years' experience in program and project design, development of monitoring and evaluation systems, design and implementation of baselines, process and impact assessments, applying quantitative and qualitative methods. She is experienced in health, human rights, childhood, gender, and vulnerable populations issues.

Carolina Aviles Koldys, Project Manager of the assessment and technical support

Degree in Economics. MBA in Economics and International Finance. Over 10 years' experience in the design and implementation of performance monitoring systems and performing qualitative and mixed-method evaluations. Her experience encompasses several focus areas, including economic growth, agriculture, climate change, labor markets, governance, and human rights.

APPENDIX C: CONCEPT NOTE

CIVIL SOCIETY ENGAGEMENT ASSESSMENT

Concept note

CONTEXT AND PURPOSE

CONTEXT

USAID developed five activities within the framework of its Institutional Strengthening and Governance Program, which has promoted citizen oversight and participation.

1. **Citizen Engagement in Clean Elections** was implemented from March 2018 to September 2019 by the NGO International IDEA in Huanuco, Ucayali, and at the national level with technical assistance to Congress. The purpose was to promote a clean electoral process during Peru's October 2018 round of local and regional elections. The activity was expected to generate civic awareness about voting for candidates based on their background and integrity. The interventions carried out involved representatives from five organizations of marginalized groups (people with disabilities, LGBTIQ people, Afro-Peruvians, indigenous people, and women leaders and academics). These groups convened at least 15 collectives from their communities to design the chapter corresponding to their constituency. Proposals were directed to candidates for municipalities to be included in municipal government plans. Likewise, the activity organized a campaign to promote the exercise of the vote by transgender people.

2. **Advanced Peruvian Congressional Snap Elections in January 2020** was implemented by the NGO International IDEA from November 2019 to July 2020 at a National level. The objective was to promote changes aimed at achieving better parliamentary representation by creating the conditions for progress towards a pro-integrity agenda in electoral politics. One of the activities carried out was to build strategic alliances among civil society organizations, activists, and artists to conduct mobilization activities that raise public awareness around choosing candidates without links to illegal activities.

3. **Building Better Management Practices and Governance of the Extractive Sector in Peru - Extractive Industries Transparency Initiative (EITI)** is being implemented from December 2018 to March 2021 at the national level and in Piura, Moquegua, Arequipa, Apurimac, Loreto, and Cusco by Grupo Propuesta Ciudadana. The activity's first objective is to "support the Government in institutionalizing EITI as a mechanism to promote investment in the extractive sector that complies with high transparency standards, thereby improving the sector's relationship with society, particularly in the regions with mining and hydrocarbon resources". The second objective is to strengthen civil society capacity to monitor the transparency and quality of public expenditures derived from extractive industries. Interventions comprise awareness-raising and capacity-building for social leaders, including women and indigenous people, in order to monitor compliance with the commitments of the government, private sector companies, and social organizations. These initiatives include citizen oversight bodies to monitor the use of funds coming from the extractive sector (royalties and taxes), which are distributed to subnational governments to develop public investment projects in favor of the poorest Peruvians. The activity also includes training investigative journalists to document case studies on the use of these funds in specific regions and districts.

4. **Citizen Engagement for a Transparent Reconstruction** is being implemented by the NGO Transparencia from October 2018 to December 2020. The objective is to "promote an effective and transparent reconstruction process of the regions affected by the Coastal Niño phenomenon". This activity is implemented at the national level and in six of the 13 affected

regions: Lima, Tumbes, Piura, Lambayeque, La Libertad, and Ancash. A primary intervention is promoting citizen oversight bodies as a monitoring mechanism in reconstruction areas. To this end, the activity has developed a capacity-building program on oversight mechanisms, the use of government web platforms to find information on budget distribution and execution, public procurement processes, and how to oversee public works in the field. Additionally, the program has developed a training program to strengthen the leadership and communication skills of social leaders to perform their function as citizens monitors ("*veedores ciudadanos*") and to promote the supervision of emblematic public works and budget execution.

5. **Human Trafficking in the Peruvian Amazon** began in 2014 and ended in September 2020, with implementation in Lima, Loreto, Madre de Dios, and Cuzco by the NGO Capital Humano y Social Alternativo (CHS Alternativo). The activity's objectives were to: 1) contribute to reducing the incidence of human trafficking in Peru through advocacy and direct assistance to victims; 2) develop advocacy actions and capacity building in institutions, CSO, and among government officials to improve inter-institutional coordination. The intervention promoted citizen oversight bodies in order for them to carry out awareness-raising actions against human trafficking.

These activities have all promoted mechanisms for citizen participation and oversight, but each has distinct aims and characteristics. IDEA promotes the mobilization of to influence public opinion, while Transparencia, Grupo Propuesta Ciudadana, and CHS all promote participation through citizen oversight bodies. Even among the latter three, however, the interventions have distinct characteristics: the citizen oversight bodies promoted by Grupo Propuesta Ciudadana and Transparencia oversee public budgets, while the committees promoted by CHS raise awareness among the population.

PURPOSE

The purpose of this assessment is to analyze the *effectiveness* and *sustainability* of the mechanisms for citizen participation and oversight promoted by the five activities listed above, including generating lessons learned.

AUDIENCE

The intended primary audience for the assessment is the USAID/Peru Democracy, Human Rights and Governance Office and its associated teams. The assessment's key secondary audiences are civil society organizations in Peru and other international cooperation/donor entities. To facilitate knowledge capture, transfer, and sustainability among secondary audiences, MELS will: 1) delineate assessment recommendations for the three separate groups of USAID, other donor entities, and Peruvian civil society organizations; and 2) develop an assessment briefer in English and Spanish for electronic dissemination. The briefer will be a short, visually appealing communication product highlighting key takeaways. Additional groups for recommendations, such as the Government of Peru, may be identified during the assessment design stage.

SCOPE

The study will cover the five activities mentioned above, specifically the interventions related to citizen participation and oversight. It should be taken into account that each activity had a different period of time and intervention area, so each activity should be considered as independent, and the period of time

should not constitute a critical element in terms of the achievements reached. Because each activity had a different geographical scope, the analysis should take into account the distinct regions (coast, mountains, and jungle) and the geography (north, center, and south).

Emphasis will be placed on the lessons learned, to increase relevance to the different groups of actors (audiences). The lessons learned identified during the fieldwork will be critically analyzed and validated with USAID for prioritization. Based on these lessons learned, a workshop will be held to co-create the assessment's final set of recommendations.

GUIDING ASSESSMENT QUESTIONS

KEY ASSESSMENT QUESTIONS	SUB QUESTIONS
2. How do mechanisms for citizen participation and oversight work?	2.1 What are the processes of formation, structure, and operation of the mechanisms for citizen participation and oversight?
	2.2 What are the characteristics and forms of participation of members of the mechanisms for citizen participation and oversight, their contributions, commitments, expectations, and needs?
	2.3 What similarities and differences exist between the mechanisms for citizen participation promoted by USAID and those promoted by Peruvian government agencies and other donor entities?
	2.4 Are there differences in the level and type of participation between women, youth, and indigenous populations?
	2.5 How do the mechanisms for citizen participation and oversight relate to the public and private institutions that they oversee? How do they relate to other organizations at the local and regional level?
	2.6 What obstacles do these mechanisms have to overcome in order to operate effectively?
	2.7 What factors facilitate effective functioning and sustainability of citizen participation and oversight mechanisms (e.g., context, organizational, community, cost, political, individual)?
	2.8 To what extent are interests aligned between civil society and the institutions monitored? To what extent does USAID funding facilitate alignment and collaboration?
3. To what extent can USAID interventions influence citizens' ethical behavior or reduce their social tolerance to corruption? (LQ DO 2.1)	3.1 What are the concrete achievements of the mechanisms for citizen participation and oversight at the institutional, community and individual level?
	3.2 To what extent can changes in citizens' demands for transparency and accountability be linked to work carried out by the mechanisms for citizen participation and oversight?
	3.3 Which of the mechanisms have been more effective in generating spaces for accountability and transparency? What are the factors that have influenced this?
4. To what extent are mechanisms for citizen participation and oversight sustainable?	4.1 What factors facilitate and impede sustainability (e.g., programmatic, financial, political, legal, etc.)?

	4.2 Have other mechanisms for citizen participation and oversight or practices emerged of their own initiative from these efforts or other actors (government and other donor agencies)?
	4.3 What is needed to make mechanisms for citizen participation and oversight more sustainable?
5. What are the lessons learned of these activities?	

METHODOLOGY

A qualitative methodology will be applied to answer the guiding assessment questions. In the first stage, a document review of the five activities will establish the similarities and differences between the mechanisms for citizen participation and oversight, as well as the scope and characteristics of each activity. A review of the literature produced by other donors and by the academic sector will also be carried out. In the second stage, primary source data will be collected through in-depth interviews and focus groups with the relevant actors that are a part of the mechanisms for citizen participation and oversight, the institutions monitored, and implementation teams. This methodology will make it possible for the assessment to document the training and operational processes, the achievements obtained, and factors influencing sustainability. Specific protocols for data collection must consider health and safety restrictions imposed by COVID-19.

The selection of experiences should show the geographic differences, the variety of experiences, and the different groups involved.

MANAGEMENT AND DELIVERABLES

- Assessment Design (including data collection tools) – Spanish
- Draft Assessment Report – English
- Final Assessment Report – English
- Presentation of Final Assessment Report: internal to USAID – English
- Report Briefer on Key Findings: Spanish and English (oriented toward external stakeholders)

DISSEMINATION

The assessment results will be presented using PowerPoint presentations in English and Spanish, in order to accommodate presentations with different audiences. Likewise, a report briefer will be prepared in both languages to summarize the assessment, highlighting strategic aspects that may be used by USAID teams and other relevant stakeholders.

APPENDIX 1: PROPOSED WORK PLAN

Note: all timing dependent on release of the RFTOP and execution of the Task Order contract (items in *italics* below).

TECHNICAL DELIVERABLE AND ASSOCIATED ACTIVITIES	JAN	FEB	MARCH	APRIL	MAY	JUNE	JULY	AUGUST
USAID prepares package for TO issuance (approx. January 4 – 15)	X							
ROAA approves and issues the RFTOP (approx. January 18 – 22)	X							
EnCompass prepares and submits TO proposal and recruits evaluation team (approx. January 25 – February 7)	X	X						
USAID evaluates technical and cost proposal (approx. February 8 – 12)		X						
Clarifications from EnCompass (approx. February 15 – 17)		X						
Issuance of TO Contract (approx. February 18 – March 3)		X	X					
Draft and finalize assessment design			X					
Conduct data collection and analysis				X	X	X		
Draft assessment report						X		
Facilitate virtual validation and co-creation of recommendations workshop							X	
Finalize assessment report and briefer							X	
Presentation of the final assessment report to USAID								X

APPENDIX D: DATA COLLECTION INSTRUMENTS

INSTRUMENT 1: SEMI-STRUCTURED INTERVIEW TO IMPLEMENTING PARTNERS

INSTRUCTIONS FOR INTERVIEWER

- Introduction: My name is (full name) and I'm part of the team working for the MELS (Monitoring, Evaluation and Learning for Sustainability) project by USAID for the assessment of Civil Society Engagement. Its aim is to analyze the effectiveness and sustainability of the citizen participation and surveillance mechanisms, including the identification of challenges, best practices and lessons learned.

- Acknowledgment and informed consent: Thanks for taking part in this interview and for giving your informed consent.

- Technical Information:

    - Remind the interviewee that the interview lasts between 40 and 60 minutes.

    - The interview will take place by phone or in an online meeting.

    - The interview will be recorded with the interviewee's consent.

    - A notebook will be used to write down the phrases or ideas that may help summarize, outline, and/or represent the information shared by the interviewee.

QUESTIONS:

Mechanism formation, structure and operation

1. What was the starting point of the initiative for carrying out these activities? How long have you been carrying out these activities?

2. What can you say about the people who are part of the citizen surveillance or oversight bodies? How about activists? How about the institutions subject to citizen surveillance or oversight? How were you called?

3. How were the committees or oversight bodies formed? What is your organizational structure?

4. How does your organization work?

Citizen participation and surveillance characteristics and forms

5. How open or cooperative are institutions under surveillance or oversight to the project activities? Are these institutions in any way influenced by citizen participation activities? Have they shown any positive or negative change?

6. For you, what are the objectives of these oversight or surveillance activities? Did the objectives change over time?

7. Do you think that there have been changes in the citizens' demand of transparency and accountability in the last few years? What are those changes? Have there been any changes in the objectives or way the committees/mechanisms you promote work?

Similarities and differences in relation to other mechanisms

8. Do you know any other citizen participation mechanisms or citizen surveillance committees promoted by the government or any other international cooperation agencies? Or any activities

promoting citizen participation? What similarities or differences do you find in relation to the experiences promoted by USAID projects?

9. Do you believe that they complement the surveillance committee that this interview is about? How could their complementarity be strengthened?

Participation of women and vulnerable population

10. Do women participate? How do women participate in these activities? Would you say that women participate as much as men do? What is the main contribution of women? Which aspects limit women's participation? How could women's participation be promoted?

11. Do young people take part? How do young people participate in these activities? Would you say that their participation is significant? What is the main contribution of young people? Which aspects limit young people's participation? How could young people's participation be promoted?

12. Does the LGBTI population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of LGBTI people to these activities? Which aspects limit LGBTI people's participation in these activities? How could LGBTI people's participation be promoted?

13. Does the afro-descendant population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of afro-descendant people to these activities? Which aspects limit afro-descendant people's participation in these activities? How could afro-descendant people's participation be promoted?

14. Do people with disabilities take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of people with disabilities to these activities? Which aspects limit people with disabilities' participation in these activities? How could people with disabilities' participation be promoted?

15. Does the indigenous population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of indigenous people to these activities? Which aspects limit indigenous people's participation in these activities? How could indigenous people's participation be promoted?

Relationship and response of public institutions

16. When did the public institutions you supervise or observe find out that they were being monitored? What was their initial reaction? Did this behavior remain unchanged or vary over time? Do they make it difficult to perform observation or supervision work? Do they facilitate observation or supervision work? Are they indifferent to observation or supervision work? How can the relationship and response of public institutions to citizen participation and surveillance be improved?

17. What is the relationship between surveillance committees and the institutions they supervise or whose behavior or performance they monitor? What activities do you carry out with them? Do you meet with them? Do you send documents to each other? Are there any visits to the public works or any other area of interest? Has the relationship with these institutions always been characterized as such? Has it changed over time? What are the most important changes you have noted over time? How long did it take for those changes to take place?

18. From what has been noted in the institution you supervise or monitor, what are its priority objectives or interests? What have you noted? Why do you think that way? Explore: is there a coincidence between interests and objectives? What are those coincidences? Are there any differences between interests and objectives? What are those differences?

Citizen participation and surveillance effectiveness and sustainability

19. What are the greatest achievements of the surveillance or participation mechanisms promoted by the project? Do you believe there are concrete contributions/benefits for the community? Explain and provide concrete examples.

20. Which factors hinder it or prevent it from achieving more? What difficulties have you faced in your role as supervisor, observer, or participation promoter? Why?

21. If you consider all the time that you have done supervision and surveillance, transparency or accountability work, which are the most effective mechanisms you used? Which factors influenced this degree of effectiveness? Why do you think that way?

22. In these activities, are any indicators used to establish progress or results achieved? Which are those indicators? How do these indicators behave over time? Have they evolved favorably or not? Why do you think that way? If there are any other indicators, do you know any indicators of this type that are used by other organizations or groups? If your answer is yes, what are the similarities or differences between the ones that your ...... uses and those from other organizations or groups?

23. Apart from the topics we've talked about, which other factors facilitate the operation of surveillance, oversight, or citizen participation activities? Which other factors facilitate your activities? (To the interviewer: explore social, organizational, community, political, individual, family, cost, resource, opportunity contexts, etc.) Would you say that you are sustainable or that you can function independently (from USAID support)? Why do you think that way? Find out if they require financial, political, legal, programmatic, methodological resources, support to create security or trust, technical assistance. How can the sustainability and independence of these activities be strengthened?

Lessons learned

24. Based on your experience, what are the lessons learned from implementing these activities? Why do you think that way? Could you give some examples?

INSTRUMENT 2: SEMI-STRUCTURED INTERVIEW FOR SURVEILLANCE COMMITTEE MEMBERS

INSTRUCTIONS FOR INTERVIEWER

- Introduction: My name is (full name) and I'm part of the team working for the MELS (Monitoring, Evaluation and Learning for Sustainability) project by USAID for the assessment of Civil Society Engagement. Its aim is to analyze the effectiveness and sustainability of the citizen participation and surveillance mechanisms, including the identification of challenges, best practices and lessons learned.

- Acknowledgment and informed consent: Thanks for taking part in this interview and for giving your informed consent. Read the Informed Consent Form before starting the interview.

- Technical Information:

    - Remind the interviewee that the interview lasts between 40 and 60 minutes.

    - The interview will take place by phone or in an online meeting.

    - The interview will be recorded with the interviewee's consent.

    - A notebook will be used to write down the phrases or ideas that may help summarize, outline, and/or represent the information shared by the interviewee.

QUESTIONS:

Mechanism formation, structure and operation

1. Could you tell us the story of how the mechanism/committee where you participate was formed? How did they get started? How is it organized? How many people take part? How were called to be part of this mechanism/committee?

2. What are your committee/mechanism interests? What was it organized or created for originally?

    To the interviewer: Explore:

    Are these interests the same nowadays, or have they changed over time?

3. If they state that they have changed over time, explore: What are your current interests or objectives?

4. Who makes up the citizen surveillance committee? What are their activities or occupations? Do members take part in other civil society organizations?

Citizen participation and surveillance characteristics and forms

5. How do you carry out citizen surveillance? What other activities do you carry out?

6. When and how do you meet? What activities do you carry out? Do you split activities equally? To those responsible for certain topics? Are deadlines agreed upon? What are the members' contributions -in terms of time, ideas, arrangements, or any other ways?

7. What are the expectations of those individuals who are part of the committees or perform oversight? What are their needs for strengthening their participation?

8. Do you think that there have been changes in the citizens' demand of transparency and accountability in the last few years? What are those changes? Have there been any changes in the objectives or in the way your committee/mechanism works?

Similarities and differences in relation to other mechanisms

9. Do you know or have you taken part in any other citizen participation mechanisms or citizen surveillance committees? What similarities or differences in relation to those experiences have you found?

10. Do you believe that they complement the surveillance committee that this interview is about? How could their complementarity be strengthened?

Participation of women and vulnerable population

11. Do women participate? How do women participate in these activities? Would you say that women participate as much as men do? What is the main contribution of women? Which aspects limit women's participation? How could women's participation be promoted?

12. Do young people take part? How do young people participate in these activities? Would you say that their participation is significant? What is the main contribution of young people? Which aspects limit young people's participation? How could young people's participation be promoted?

13. Does the LGBTI population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of LGBTI people to these activities? Which aspects limit LGBTI people's participation in these activities? How could LGBTI people's participation be promoted?

14. Does the afro-descendant population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of afro-descendant people to these activities? Which aspects limit afro-descendant people's participation in these activities? How could afro-descendant people's participation be promoted?

15. Do people with disabilities take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of people with disabilities to these activities? Which aspects limit people with disabilities' participation in these activities? How could people with disabilities' participation be promoted?

16. Does the indigenous population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of indigenous people to these activities? Which aspects limit indigenous people's participation in these activities? How could indigenous people's participation be promoted?

Relationship and response of public institutions

17. When did the public institutions you supervise or observe find out that they were being monitored? What was their reaction? Has this behavior remained unchanged, or has it varied over time? Do you know what they think about being observed or monitored? Do they make it difficult to perform observation or supervision work? Do they facilitate observation or supervision work? Are they indifferent to observation or supervision work? How can the relationship and response of public institutions to citizen participation and surveillance be improved?

18. What is your relationship with the institutions you supervise or whose behavior or performance you monitor? What activities do you carry out with them? Do you meet with them? Do you send documents to each other? Are there any visits to the public works or any other area of interest? Has the relationship with these institutions always been characterized as such? Has it changed over time? What are the most important changes you have noted over time? How many years has it taken for these changes to occur?

19. From what has been noted in the institution you supervise or monitor, what are its priority objectives or interests? What have you noted? Why do you think that way? Explore: Are there any coincidences between interests or objectives? What are those coincidences? Are there any differences between interests and objectives? What are those differences?

Citizen participation and surveillance effectiveness and sustainability

20. What are the most important achievements of your participation committee or mechanism? Do you believe there are concrete contributions/benefits for the community? On a personal level? Explain.

21. Which factors hinder it or prevent it from achieving more? What difficulties have you faced in your role as supervisor or observer? What difficulties have you faced to participate in the topics that your committee deemed worthy of interest?

22. In your oversight activities, do you use any indicators to establish progress or results achieved? Which are those indicators? How do these indicators behave over time? Have they evolved favorably or not? Why do you think that way? If there are any other indicators, do you know any indicators of this type that are used by other organizations or groups? If your answer is yes, what are the similarities or differences between the ones that your ...... uses and those from other organizations or groups?

23. Apart from the points discussed, which other factors facilitate the operation of your committee/mechanism? Which other factors facilitate your supervision, oversight or surveillance activities? (To the interviewer: explore social, organizational, community, political, individual, family, cost, resource, opportunity contexts, etc.) Would you say that your committee/mechanism is sustainable or that it can function independently (from USAID support)? Why do you think that way? Explore if they require financial, political, legal, programmatic or methodological resources, support to create security, trust, technical assistance, etc.

24. How can the mechanism sustainability and independence be strengthened?

Lessons learned

25. Based on your experience, what are the lessons learned by the committees/mechanisms? Why do you think that way? Could you give some examples?

INSTRUMENT 3: SEMI-STRUCTURED INTERVIEW FOR ACTIVISTS

INSTRUCTIONS FOR INTERVIEWER

- Introduction: My name is (full name) and I'm part of the team working for the MELS (Monitoring, Evaluation and Learning for Sustainability) project by USAID for the assessment of Civil Society Engagement. Its aim is to analyze the effectiveness and sustainability of the citizen participation and surveillance mechanisms, including the identification of challenges, best practices and lessons learned.

- Acknowledgment and informed consent: Thanks for taking part in this interview and for giving your informed consent. Read the Informed Consent Form before starting the interview.

- Technical Information:

    - Remind the interviewee that the interview lasts between 40 and 60 minutes.

    - The interview will take place by phone or in an online meeting.

    - The interview will be recorded with the interviewee's consent.

    - A notebook will be used to write down the phrases or ideas that may help summarize, outline, and/or represent the information shared by the interviewee.

QUESTIONS:

Mechanism formation, structure and operation

1. How did you become involved in the Project activities?

2. What are your objectives when carrying out this activity?

3. Who works with you or supports you in this activity? Why do they help you or support you when carrying out your activities?

Citizen participation and surveillance characteristics and forms

4. How do you promote citizen surveillance or oversight? How about citizen participation? What other activities do you carry out?

5. When and how do you meet? What activities do you carry out? Do you split activities equally? To those responsible for certain topics, are any deadlines agreed upon? What are the members' contributions -in terms of time, ideas, arrangements, or any other ways?

6. What objectives are you interested in promoting through these activities?

7. Do you think that there have been changes in the citizens' demand of transparency and accountability in the last few years? What are those changes? Have there been any changes in the objectives or in the way you carry out your activities promoting participation?

Similarities and differences in relation to other mechanisms

8. Do you know or have you taken part in any other citizen participation mechanisms or citizen surveillance committees? Or any activities promoting citizen participation? What similarities or differences in relation to those experiences have you found?

9. Do you believe that they complement the surveillance committee that this interview is about? How could their complementarity be strengthened?

Participation of women and vulnerable population

10. Are women included? How do women participate in these activities? Would you say that women participate as much as men do? What is the main contribution of women? Which aspects limit women's participation? How could women's participation be promoted?

11. Do young people take part? How do young people participate in these activities? Would you say that their participation is significant? What is the main contribution of young people? Which aspects limit young people's participation? How could young people's participation be promoted?

12. Does the LGBTI population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of LGBTI people to these activities? Which aspects limit LGBTI people's participation in these activities? How could LGBTI people's participation be promoted?

13. Does the afro-descendant population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of afro-descendant people to these activities? Which aspects limit afro-descendant people's participation in these activities? How could afro-descendant people's participation be promoted?

14. Do people with disabilities take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of people with disabilities to these activities? Which aspects limit people with disabilities' participation in these activities? How could people with disabilities' participation be promoted?

15. Does the indigenous population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of indigenous people to these activities? Which aspects limit indigenous people's participation in these activities? How could indigenous people's participation be promoted?

Relationship and response of public institutions

16. When did the public institutions you supervise or observe find out that they were being monitored? How have they reacted? Has this behavior remained unchanged, or has it varied over time? Do you know what they think about being observed or monitored? Do they make it difficult to perform observation or supervision work? Do they facilitate observation or supervision work? Are they indifferent to observation or supervision work? How can the relationship and response of public institutions to citizen participation and surveillance be improved?

17. Do you build relationships with State institutions related to the participation activities that you promote?

Citizen participation and surveillance effectiveness and sustainability

18. What are the greatest achievements of the activities promoting participation that you have carried out? What are their concrete contributions/benefits for the community? On a personal level? Explain.

19. Which factors hinder it or prevent it from achieving more? What difficulties have you faced to carry out the activities you considered to be of interest? Why?

20. Is there any indicator or reference for how successful your activities have been? What is this indicator or measurement of success? To the interviewer: Explore - What are these indicators, milestones or events that serve as examples of success?

21. Apart from what has been discussed, which other factors facilitate the activities that you carry out? Do you think these activities could function independently, or do they depend on the support, guidance or sponsorship of any other institution? How would they operate without this support or sponsorship?

22. How can the activities' sustainability and independence be strengthened?

Lessons learned

23. Based on your experience, what are the lessons learned from the activities promoting participation that you have carried out? Why do you think that way? Could you give some examples?

INSTRUMENT 4: SEMI-STRUCTURED INTERVIEW FOR KEY INFORMERS (INSTITUTIONS UNDER SURVEILLANCE)

INSTRUCTIONS FOR INTERVIEWER

- Introduction: My name is (full name) and I'm part of the team working for the MELS (Monitoring, Evaluation and Learning for Sustainability) project by USAID for the assessment of Civil Society Engagement. Its aim is to analyze the effectiveness and sustainability of the citizen participation and surveillance mechanisms, including the identification of challenges, best practices and lessons learned.

- Acknowledgment and informed consent: Thanks for taking part in this interview and for giving your informed consent. Read the Informed Consent Form before starting the interview.

- Technical Information:

  - Remind the interviewee that the interview lasts between 40 and 60 minutes.

  - The interview will take place by phone or in an online meeting.

  - The interview will be recorded with the interviewee's consent.

  - A notebook will be used to write down the phrases or ideas that may help summarize, outline, and/or represent the information shared by the interviewee.

QUESTIONS:

Mechanism formation, structure and operation

1. What is the story of the public work or activity under surveillance or supervision by the citizen committee?

2. When did you find out that you are under citizen surveillance or oversight?

3. How much do you know about this surveillance or oversight body? What are their interests, in your opinion? Why do you think that they carry out these activities?

Citizen participation and surveillance characteristics and forms

4. How do you participate in citizen surveillance or oversight activities?

5. What activities do you carry out together with these committees?

6. To the interviewer -Explore: What activities do you carry out with the surveillance or oversight body? Do they meet? Do they send each other letters or communicate in any way? Do they report together to the population, or do so in writing?

7. For you, what are the objectives of these oversight or surveillance activities?

8. Do you think that there have been changes in the citizens' demand of transparency and accountability in the last few years? What are those changes? Have there been any changes in the objectives or in the way the committee/mechanism works?

Similarities and differences in relation to other mechanisms

9. Do you know any other citizen participation mechanisms or citizen surveillance committees? What similarities or differences in relation to those experiences have you found? Do they exist or are they applied in this area?

10. Do you believe that they complement the surveillance committee that this interview is about? How could their complementarity be strengthened?

Participation of women and vulnerable population

11. Do women participate? How do women participate in these activities? Would you say that women participate as much as men do? What is the main contribution of women? Which aspects limit women's participation? How could women's participation be promoted?

12. Do young people take part? How do young people participate in these activities? Would you say that their participation is significant? What is the main contribution of young people? Which aspects limit young people's participation? How could young people's participation be promoted?

13. Does the LGBTI population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of LGBTI people to these activities? Which aspects limit LGBTI people's participation in these activities? How could LGBTI people's participation be promoted?

14. Does the afro-descendant population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of afro-descendant people to these activities? Which aspects limit afro-descendant people's participation in these activities? How could afro-descendant people's participation be promoted?

15. Do people with disabilities take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of people with disabilities to these activities? Which aspects limit people with disabilities' participation in these activities? How could people with disabilities' participation be promoted?

16. Does the indigenous population take part? How do these people participate? Would you say that their participation is significant? What is the main contribution of indigenous people to these activities? Which aspects limit indigenous people's participation in these activities? How could indigenous people's participation be promoted?

Relationship and response of public institutions

17. What do you think about being observed or supervised by citizens or citizen groups?

18. Are there any visits to the public works or any other area of interest? Has the relationship with these institutions always been characterized as such? Has it changed over time? What are the most important changes you have noted over time? How many years has it taken for these changes to occur?

Citizen participation and surveillance effectiveness and sustainability

19. What are the greatest achievements of the participation committee or mechanism that you have noted? Do you believe there are concrete contributions/benefits for the community? Explain.

20. From your point of view, which factors hinder it or prevent it from achieving more? Do you know if the committee has faced any difficulties to operate? Why?

Lessons learned

21. Based on your experience, what are the lessons learned by the committees/mechanisms? Why do you think that way? Could you give some examples?

APPENDIX E: INFORMED CONSENT FORM

Initial introduction in interview meeting

[The text in square brackets must not be read out.]

[I.   Introduction]
- [Acknowledgment] ....
- [Interviewer's name and role]

    My name is .... I'm a researcher for the team hired by MELS -meaning Monitoring, Evaluation and Learning for Sustainability- for the Civil Society Engagement assessment carried out from May to September 2021 as requested by USAID (the United States Agency for International Development).

- [Names and roles or any other researchers present]. I'm here with ....
- [Purpose of assessment]

    The aim of our assessment is to analyze the citizen participation, surveillance and engagement mechanisms that USAID has supported, so that we learn (in terms of achievements, challenges and lessons learned) that may be useful in the future for experiences related to these issues.

- In this interview, for rigor and professional ethics reasons, there is a protocol for consent and confidentiality that we should follow and I'm going to read to you. Is that fine?

INSTRUMENT: INFORMED CONSENT FOR INTERVIEW

First of all, please allow me to record your details in relation to the project.

We need your FIRST and LAST NAMES, INSTITUTION, AND ROLE IN THE PROJECT [OF THE INTERVIEWEE]:

_____

[II. Explanation of the informed consent and confidentiality elements]

1. This interview with you is related to the .... project, by ...., whose aim was... [objective]...., and included citizen engagement, participation or surveillance mechanisms that we are assessing.

2. Your participation is very important to us because of your first-hand knowledge of this initiative. The first thing we would like to stress is that this interview, lasting around 60 minutes, does not result in any type of compensation or gain, and for that reason your collaboration is even more appreciated.

3. This protocol refers to another three basic points: your participation in this interview is voluntary; your confidentiality will be protected (how); and having your authorization for recording the contents of the interview.

4. Being voluntary means that,

   - if you agree to participate, you have the right to decide whether or not you answer any questions, and to end the interview at any point.

   - If you refuse to participate, or at the end of the interview you do not want your answers to be used, we will delete all the information that you provided or that we had already recorded.

5. These measures about your information are part of the confidentiality and extreme care in all your communication. We are also committed to it, which means:

   - all you say will be used strictly and exclusively for the purposes of the assessment

   - when the assessment is disseminated, it will not include any information that may be used to identify you.

6. Every objective and reliable assessment must record the information collected, and we will take notes from this conversation. However, it is also important to be able to record it, and for confidentiality reasons:

   - No information collected in your interview will be shared outside the assessment team, who will be the only people to process recordings and notes. In addition, neither the assessment -nor quotes from your statements; contents or names of text or video records- will contain any element that may be associated to your identity, as data protection techniques will be used.

7. Once the assessment is completed, all _original_ written or recorded materials will be eliminated, and only summaries or excerpts will be preserved. This is another reason why it is important to make a recording: to be able to double-check our interviews during our research, as evidence that what is reported in the assessment is authentic.

[III.   Contact with MELS team]

If, for any reason related to this interview, you need to contact the MELS team, please contact Susana Guevara Salas, 997 611 979.

[IV.   Certificate of Consent]

So, as it is vital for your participation in this assessment to have your conscientious and voluntary consent, we'd be grateful if you could answer three questions. We would like to record your answers to them. Do you give your consent for us to record them? Thank you. Here are the questions:

- Have you been informed of the aims of the assessment and the interview we would like to have, and do you understand them clearly? Interviewer initials: _____

  |__| YES |__| NO ==> ask what they did not understand.

                                    The necessary information will be repeated/explained.

- Do you voluntarily agree to take part in the interview (that is to say, do you give your consent), understanding that no pressure is being placed on you to do so?

  |__| YES |__| NO ==> consider that consent has been denied

- Do you allow us to record this interview? With the confidentiality elements I mentioned...

  |__| YES |__| **NO** ==> **only in this case,** state the following:

                In this case, I will record everything in writing. The interview will not be as fluid and this will take some more time, but if that is fine by you, we'll do it that way.

Thank you. So, we will continue recording, to proceed with the interview itself.

I, (FIRST AND LAST NAMES AND SIGNATURE OF INTERVIEWER REQUESTING CONSENT)

_____

Have read carefully the information sheet for the potential participant and, to the best of my ability, have ensured that the participant understands their participation in the assessment.

I hereby confirm that the participant was given the opportunity to ask questions about the assessment, and that all the questions asked by the participant were accurately answered in the best possible way. I hereby confirm that the participant was not forced to provide their consent, and that such consent was given freely and voluntarily.

CROSS THE RESULT (by the interviewer):

1.   Consent for the interview is given

2.   Consent for recording the interview is given

3.   Consent for recording the interview is not given

FIRST AND LAST NAMES AND SIGNATURE OF INTERVIEWER REQUESTING CONSENT

_____

DATE: _____

APPENDIX F: INTERVIEWED STAKEHOLDERS

	INSTITUTION AND POSITION	IMPLEMENTING PARTNER	REGION
1	Artist	IDEA International	Lima
2	Community Ombudsman's office, oversight	CHS Alternativo	Cusco
3	TV Culture, Member of the Board	IDEA International	Lima
4	Surveillance Committee from Can chis, Cusco; oversight	Grupo Propuesta Ciudadana	Cusco
5	Transparencia, coordinator	Asociación Civil Transparencia	Lima
6	Asociación de Vigilancia y Control Caudatan, oversight	CHS Alternativo	Arequipa
7	Concertation Board for the Fight against Poverty, technical secretary, oversight	CHS Alternativo	Loreto
8	CHS Alternativo, coordinator	CHS Alternativo Cusco	Cusco
9	CHS Alternativo, technical team	CHS Alternativo	Lima
10	Organization Presente, founder and president of the board	IDEA International	Lima
11	Piura Promotion Committee, formerly in oversight	Asociación Civil Transparencia	Piura
12	Surveillance committee, oversight	Grupo Propuesta Ciudadana	Cusco
13	Surveillance committee, oversight	Grupo Propuesta Ciudadana	Arequipa
14	Jóvenes con Practicas Morales de Madre de Dios, monitor	CHS Alternativo	Madre de Dios
15	Former coordinator (CHS Iquitos office)	CHS Alternativo	Loreto
16	Surveillance committee, oversight	Grupo Propuesta Ciudadana	Moquegua
17	Surveillance committee from Mariscal Nieto, Moquegua	Grupo Propuesta Ciudadana	Moquegua
18	Oversight	Asociación Civil Transparencia	Lambayeque
19	Authority for Reconstruction with Changes, Regional Deputy Director, Piura	Asociación Civil Transparencia	Piura
20	Engineers' Association from Chulucanas, Piura; oversight	Asociación Civil Transparencia	Piura
21	Propuesta Ciudadana, technical team	Grupo Propuesta Ciudadana	Lima
22	Tambo de Luz Cusco, oversight	CHS Alternativo	Cusco
23	Dominican Missionaries, oversight	CHS Alternativo	Madre de Dios
24	Surveillance committee, oversight	Grupo Propuesta Ciudadana	Apurímac
25	El Buho, director	IDEA International	Arequipa

	INSTITUTION AND POSITION	IMPLEMENTING PARTNER	REGION
26	K´uychi Ayllu, oversight	CHS Alternativo	Cusco
27	Asociación Central de Mujeres de Cusco, oversight	CHS Alternativo	Cusco
28	Surveillance committee, oversight	Grupo Propuesta Ciudadana	Arequipa
29	Propuesta Ciudadana, technical team	Grupo Propuesta Ciudadana	Lima
30	CHS Alternativo, coordinator	CHS Alternativo	Lima
31	Mayor of the District of Monzón, Huánuco	IDEA International	Huánuco
32	Interquórum Network Piura; Transparencia, coordinator	Asociación Civil Transparencia	Piura
33	Ojo Público, Editor in Chief and co-founder	IDEA International	Lima
34	Propuesta Ciudadana, surveillance committee advisor	Grupo Propuesta Ciudadana	Arequipa, Moquegua, Piura, Loreto
35	CHS Alternativo, coordinator	CHS Alternativo	Loreto
36	Office of the Comptroller General's of the Republic, Deputy Citizen Participation Manager	Asociación Civil Transparencia	Lima
37	CHS Alternativo, member of Observa la Trata	CHS Alternativo	Lima
38	IDEA, coordinator	IDEA International	Lima
39	CHS Alternativo, coordinator	CHS Alternativo	Madre de Dios
40	Surveillance committee from Ilo, Moquegua	Grupo Propuesta Ciudadana	Moquegua
41	Fundación Gustavo Momhe Llona, president	IDEA International	Lima
42	Dean of the Regional Association of Midwifes IV, oversight	CHS Alternativo	Arequipa
43	Yachachinakuy, oversight	CHS Alternativo	Cusco

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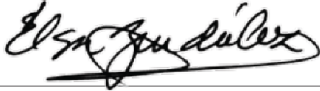
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APPENDIX H: DISCLOSURE OF CONFLICT OF INTERESTS

Disclosure of Conflicts of Interest for USAID MELS Team Members

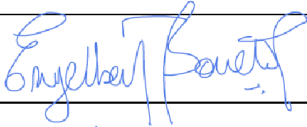|	
Name	**Elsa Bardález del Águila**
Title	**LEAD EVALUATOR FOR A STUDY ON CITIZEN PARTICIPATION AND OVERSIGHT**
ORGANIZATION	**EnCompass LLC**
Evaluation Position?	[x] Team Leader [ ] Team member
Evaluation Award Number (contract or other instrument)	TO 72052721F00002
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	Activities involved by: · Citizen Engagement in Clean Elections and Advanced Peruvian Congressional Snap Elections in January 2020 implemented for IDEA International, Building Better Management Practices and Governance of the Extractive Sector in Peru - Extractive Industries Transparency Initiative implemented for Grupo Propuesta Ciudadana · Citizen Engagement for a Transparent Reconstruction implemented for Transparencia Internacional · Human Trafficking in the Peruvian Amazon implemented for Capital Humano y Social Alternativo (CHS Alternativo)
I have real or potential conflicts of interest to disclose.	[ ] Yes [x] No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	As indicated in my CV, I worked in Asociación Civil Transparencia from 2003 to 2009, which also operates in a field similar to that in which IDEA International does. Nonetheless, I am confident that I can form objective judgments about this organization and its work in any aspect that the evaluation may require and thus express substantiated and unbiased opinions, analysis and conclusions professionally and with a view to learning and improvement.

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	*Elsa Gonzalez*
Date	May 7, 2021

Disclosure of Conflicts of Interest for USAID MELS Team Members

Name	**ENGELBERT BARRETO HUAMAN**
Title	**SPECIALIST FOR STUDY ON CITIZEN PARTICIPATION AND OVERSIGHT**
ORGANIZATION	**EnCompass LLC**
Evaluation Position?	☐ Team Leader ☒ Team member
Evaluation Award Number *(contract or other instrument)*	**TO 72052721F00002**
USAID Project(s) Evaluated *(Include project name(s), implementer name(s) and award number(s), if applicable)*	Activities involved by: · Citizen Engagement in Clean Elections and Advanced Peruvian Congressional Snap Elections in January 2020 implemented for IDEA International, Building Better Management Practices and Governance of the Extractive Sector in Peru - Extractive Industries Transparency Initiative implemented for Grupo Propuesta Ciudadana · Citizen Engagement for a Transparent Reconstruction implemented for Transparencia Internacional · Human Trafficking in the Peruvian Amazon implemented for Capital Humano y Social Alternativo (CHS Alternativo)
I have real or potential conflicts of interest to disclose.	☐ Yes ☒ No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	07/05/2021

Disclosure of Conflicts of Interest for USAID MELS Team Members

Name	**NATALY PONCE**
Title	**SPECIALIST FOR STUDY ON CITIZEN PARTICIPATION AND OVERSIGHT**
ORGANIZATION	**EnCompass LLC**
Evaluation Position?	[ ] Team Leader [X] Team member
Evaluation Award Number (contract or other instrument) **USAID Project(s) Evaluated** (Include project name(s), implementer name(s) and award number(s), if applicable)	TO 72052721F00002 Activities involved by: · Citizen Engagement in Clean Elections and Advanced Peruvian Congressional Snap Elections in January 2020 implemented for IDEA International, Building Better Management Practices and Governance of the Extractive Sector in Peru - Extractive Industries Transparency Initiative implemented for Grupo Propuesta Ciudadana · Citizen Engagement for a Transparent Reconstruction implemented for Transparencia Internacional · Human Trafficking in the Peruvian Amazon implemented for Capital Humano y Social Alternativo (CHS Alternativo)
I have real or potential conflicts of interest to disclose.	[ ] Yes [X] No
If yes answered above, I disclose the following facts: *Real or potential conflicts of interest may include, but are not limited to:* 1. *Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.* 2. *Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.* 3. *Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.* 4. *Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.* 5. *Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.* 6. *Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.*	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

Signature	
Date	5/7/2021