

UNDP Support Transparency, Integrity and Citizen Participation for Sustainable Development:

Annual Progress Report

**Award Number:** 72052319IO000001

**Activity Start Date and End Date** August 1, 2019 to September 30, 2022

**Total Estimated Cost:** 2,100,000 USD

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**Date:** October 30, 2020 Version: 1

**Reporting Period:** August 1 to September 30, 2020 (Year 1)

**DISCLAIMER**

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by Moisés Rodríguez, Óscar Cárdenas, Adán Corral, Arlen Ramírez, Arturo Parra, Ana Martínez and Belén Muñoz.

**Acronyms**

CCE Business Coordinating Council

COM Citizen Oversight Mechanism

CONAFOR National Forestry Commission

CPC Citizen Participation Committee

CSO Civil Society Organization

GOM Government of Mexico

ICME Mexico Integration Collaboration Monitoring Evaluation

INDESOL National Institute of Social Development

INPI National Institute of Indigenous Communities

MSMEs Micro, Small and Medium Enterprises

OGP Open Government Partnership

RNA National Anti-corruption Network

SADER Ministry of Agriculture and Rural Development

SEP Ministry of Public Education

SESNA Executive Secretariat of the National Anti-Corruption System

SLA Local Anticorruption System

SFP Ministry of Public Administration

UIF Financial Intelligence Unit

UNAM National Autonomous University of Mexico

UNDP United Nations Development Program

USAID United States Agency for International Development

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# 1. Executive Summary

|  |  |
| --- | --- |
| Activity Name | UNDP Support Transparency, Integrity and Citizen Participation for Sustainable Development |
| Activity Start and End Date | **Start:** August 1, 2019 **End:** September 30, 2022 |
| Activity Purpose | Support the Government of Mexico’s efforts to strengthen transparency, accountability, oversight and citizen participation through several initiatives with scalable results, by collaborating with Government of Mexico (GOM) counterparts in the federal executive branch, decentralized institutions, and targeted subnational government entities, as well as with the support of civil society. |
| Activity Description | The Activity will be carried out in two main workstreams generating six results:**Component 1: Citizen participation and open institutions**Results:1.1 Strengthening of citizen oversight and advocacy capacities to combat corruption in the subnational level. 1.2 Co-responsible civil society.1.3 Open institutions at the national and subnational levels.**Component 2: Integrity, ethics and anti-corruption practices**Results:2.1 Ethics and integrity for public servants. 2.2 Corruption risk assessment methodology for public policies.2.3 Corporate integrityThe Activity is implemented by the United Nations Development Program (UNDP) in coordination with the US Agency for International Development (USAID) and will have partnerships with the Government of Mexico (GOM), civil society organizations (CSOs), and the private sector.The desired result of the implementation of this activity is a reduction in corruption risks in intervention areas and increased citizen trust in public institutions, fostered through effective civil society advocacy and strengthened integrity in the public and private sectors. |
| Geographic Areas[[1]](#footnote-1) | Result 1.1 will be implemented in at least 5 states. For the reported period, the negotiations with GOM and CSOs have resulted on the following subnational territories: Sinaloa, Durango, Tabasco, State of Mexico and Queretaro. Result 1.2 is related to the states where CSOs are present so it is expected that at least 8 states will have associated activities. For the reported period, the draft Action Plan of the Anti-Corruption Network CSOs have resulted on the following subnational territories: Mexico City, State of Mexico, Sinaloa, Durango, Tabasco, Queretaro, Colima and Baja California.Result 1.3 considers the development of tools to strengthen open municipality practices, it is expected that these tools will be piloted and then implemented in several municipalities (specific geographic area yet to be confirmed).Result 2.1 implemented online to public servants across the national territory.Result 2.2 consists of two phases, a general methodology and sector-specific ones. It is expected that the sector-specific methodologies will be implemented at state level which will be defined along with USAID and Executive Secretariat of the National Anti-corruption System (SESNA).Target states will be identified in coordination with USAID and GOM.2.3 to be implemented online to private sector stakeholders across the national territory. |

# 2. Context Analysis

During the project’s first year, in February 2020, the COVID-19 pandemic emerged and spread around the world, pushing governments to take measures to contain the expansion of the virus. Social distancing policies and limitations became the norm worldwide, and Mexico has not been an exception.

Due to this unprecedented phenomenon, UNDP had to adapt a remote working modality. The development of documents, methodologies, participation in webinars, trainings and other activities have been carried out remotely. Besides, all external consultants hired by UNDP worked remotely as most of their initial activities are focused on desk-based research and without the need of in-person meetings

Notwithstanding the challenges that the pandemic has posed, UNDP has completed several activities successfully during the first year of work. These are properly addressed in this report.

Moreover, during this year of work SFP expressed concerns about displaying the USAID logo in reports, public materials, training courses and other documents elaborated with the technical assistance of UNDP Mexico, particularly in Components 1.1, 2.1 and 2.3. This situation has difficulted the compliance of the Branding and Marking Plan, agreed by UNDP and USAID under the framework of the grant. This situation will force UNDP to propose some activities modifications on Year 2.

During the last quarter of year 1, three new members joined the team; Arturo Parra, Monitoring and Evaluation Specialist, Ana Mercedes Martínez, Citizen Participation and Social Comptroller Specialist and Alejandro González, Effective governance and Democracy Assistant. Helke Enkerlin, Effective governance and Democracy Specialist, resigned at the beginning of September.

# 3. Indicator Progress

See Indicator Summary Table, Tab 1 of Annexes.

For year one, the target for the “Number of Citizen Oversight Mechanisms in which CSO are integrated” Indicator was 2. Due to the logo situation with SFP, the integration of the COMs was delayed, and the target was not reached. However, at least 3 COMs will be fully integrated on October.

Besides, the target for the “Number of government officials receiving USG-supported anti-corruption training” Indicator (DR 2.4-1) was set at 470. During this period, 521 government officials were enrolled in the “New Ethics & Integrity in the Public Service” course, however, 413 (88%) completed the online course. The first edition of the course coincided with the beginning of the quarantine and SFP mentioned that many public servants were not easily reachable. The target has not been met, nevertheless, UNDP expects to achieve it in year two, now working with state governments.

Also, the target for year 1 of the “Number of mechanisms for external oversight of public resource use supported by USG assistance” Indicator (DR 2.4-2) was successfully met. The implementation of 5 COMs pilots was assisted by UNDP, through USAID support.

Furthermore, nine people affiliated with NGOs received anti-corruption training, one person shy of the year one target for Indicator DR 2.4-3 (10). Initially, 10 people were going to receive the training, however, one person got sick and wasn’t able to attend the workshops.

Since some changes have emerged throughout the length of the project, UNDP presented to USAID a proposal to modify some indicators (logical framework). Approval from USAID is still due.

# 4. Accomplishments and Overall Status

**Component 1: Citizen participation and open institutions**

* 1. *Strengthening of citizen oversight and advocacy capacities to combat corruption in the subnational context.*

CSOs from the RNA signed a collaborative agreement with UNDP to implement pilot tests of COMs projects in five different social programs of five Mexican federal states.

The main goal of the COMs is to promote active citizenship through a) the identification and traceability of public expenditure, b) by detecting possible corruption risks, and c) reporting possible irregularities. During this reporting period five social programs selected for pilots:

* Scholarships for Wellbeing / Becas para el Bienestar (SEP)
* Cattle Credit Program / Programa Crédito Ganadero a la Palabra (SADER).
* Women’s Support Program for Subnational Entities / Programa de Apoyo a las Instancias de Mujeres de las Entidades Federativas (INDESOL).
* Program for the Economic Strengthening of Indigenous Peoples and Communities / Programa para el Fortalecimiento económico de los Pueblos y Comunidades Indígenas (INPI).
* National Reforestation Program / Programa Nacional de Reforestación (CONAFOR).

Moreover, GESOC signed a collaborative agreement with UNDP to provide technical advice throughout the implementation of the pilots and to strengthen the capacities of the RNA CSOs. As part of this agreement, during this year GESOC carried out of 8 capacity building workshops:

* “Management for Development Results”. GESOC explained the design and structure of social programs in Mexico, recommendations to monitor them and to ensure their proper management and administration.
* “Social Development Federal Policy”. The workshop covered the main elements and objectives of social programs in Mexico, using results-based management in the execution of social programs, and a detailed explanation of the policy cycle.
* “Performance Evaluation System”. The workshop provided a thorough explanation of the Performance Evaluation System, a comprehensive presentation on how to elaborate an efficient logical framework and implement a results-based budgeting strategy, and technical training on how to access and operate the platform that contains the registry of the social programs beneficiaries.
* “Social Comptroller Model”. The session went through the main elements and objectives of the new Social Comptroller Model that the SFP is currently implementing.

The four remaining workshops will be carried out in October. Also, the implementation of the pilots is expected to start at the beginning of the second year of the project.

*1.2 Co-responsible civil society.*

During this year, UNDP signed five agreements, one per each line of work, to collaborate closely with organizations that make up the RNA to support the formulation, implementation, and monitoring of state-level anti-corruption policies.

* Agreement with Arkemetría Social, A.C. to integrate the COMs and to conduct the pilot tests (Line 1). The activities conducted under this agreement are explained in the section above.
* Agreement with Comité Ciudadano del Estado de Colima, A.C. to participate in workshops and consultation forums for the construction of the Corruption Risks Assessment Model, and to provide support in its pilot implementation (Line 2).
* Agreement with Tierra Colectiva A.C. to adapt the Catalog of Monitoring and Evaluation Variables to the local context (Line 3).
* Agreement with Solidaria México, A.C. to contribute to the strengthening of anti-corruption strategies of Local Anti-Corruption Systems and civil society through the generation of gender mainstreaming tools with a Human Rights approach within the framework of the PNA (Line 4).
* Agreement with Organización Juvenil Mexiro, A.C. to contribute to the strengthening of the capacities of the Local Anticorruption Systems through a document of best practices, recommendations and the systematization of the consultative and participatory processes of the State Anticorruption Policies (Line 5).

These collaborative agreements are currently underway. In August, UNDP held several meetings with the CSOs to formally start the activities. At the end of this reporting period the following progress has been made towards achieving the goals of the agreements:

* **Line 1**. RNA CSOs are being trained on topics related to social programs analysis, 2030 Agenda and citizen oversight by GESOC. The implementation of the pilots will start in October.
* **Line 2.** RNA CSOs are currently pilot testing the first version of the the Corruption Risks Assessment Model in four states (Colima, Durango, Quintana Roo and Sinaloa). The inputs derived from the pilots will be incorporated into the final version of the Model, which is expected to be published in October-November.
* **Line 3.** RNA CSOs started to work in the adaptation of SESNA’s National Anti-Corruption Policy Monitoring and Evaluation Model variables to their local contexts.
* **Line 4.** RNA CSOs are developing a Manual to integrate Gender Perspectives and Human Rights into the State Anti-Corruption Policies.
* **Line 5**. RNA CSOs are systematizing good participatory practices to promote them among the SLAs.

In October, UNDP will hold bimonthly meetings with the CSOs to track the progress of the agreements. In addition, UNDP asked the CSOs to send quarterly reports to monitor the activities advance. The first report will be sent in October.

On the other hand, in coordination with SESNA, and with the support of USAID, on August 17th, the project launched the [Second Call for Co-responsibility of Civil Society Organizations with State Anticorruption Policies and the National Anticorruption Policy](https://www.mx.undp.org/content/mexico/es/home/presscenter/pressreleases/2020/08/pnud--sesna-y-usaid-lanzan-convocatoria-de-corresponsabilidad-de.html), which encourages CSOs from eight states (Baja California, Baja California Sur, Sonora, Coahuila, Jalisco, Quintana Roo, Zacatecas and Guanajuato) to present project proposals with a local approach that contribute to the detection, prevention and sanctioning of corruption.  The session was recorded and can be viewed in the following link: <https://www.youtube.com/watch?v=I8xbcx-he0I&feature=youtu.be>.

Also, on August 24th, UNDP, in coordination with SESNA and ICME, held an informative session to provide details and guidance to the CSOs interested in applying to the Second Call.

During the session, UNDP officials delivered a thorough explanation about the requirements and rules of the Call and a brief presentation regarding the 2030 Agenda and SDG 16. Subsequently, SESNA presented a general context of the Local Anticorruption Systems of the States considered for the Call.  Afterwards, ICME provided technical inputs and recommendations to the CSOs on how to design and elaborate a functional Logical Framework. Finally, UNDP answered questions from the participants.  The session was recorded and can be viewed in the following link: <https://www.youtube.com/watch?v=I8xbcx-he0I>

UNDP sent formal invitations to Alfonso Hernández (CPC), Fabiola Navarro (UNAM), and Ligia González (CCE) to become part of the Ruling Technical Commission (Comisión Técnica de Dictaminación) that will select the awarded projects. All of them accepted the invitation.

September 7th marked the application deadline for the Second Call*.* A total of 64 applications were received. UNDP went through a strict validation process to disqualify those proposals that didn’t fulfill the Call’s criteria. The proposals that fulfilled all the Call’s requirements were shared with the Evaluation Technical Commission to determine which of them will be awarded. After the Commission’s ruling, the selected proposals will be sent to USAID for final approval. The selected proposals will be announced no later than October 29th.

* 1. *Open institutions at the national and sub-national levels.*

During the first year of work, UNDP Mexico and the Coordinating Committee of OGP Mexico held different meetings with the purpose of triggering a multi-stakeholder collaboration to develop products and activities that align to the design and implementation of Mexico’s 4th Open Government Action Plan. UNDP presented its programmatic priority to position the principles of open government as relevant factors to enable effectiveness and transparency in the operations of public institutions.

Moreover, UNDP has suggested concrete activities to kickstart the collaborative initiative, all of them aimed to enhance the implementation of the 4th Action Plan, such as:

* Development of technical tools regarding citizen oversight on federal programs that might be useful during the implementation of the Commitment 1 of the Action Plan;
* An Open Municipal Government Toolkit was presented as a potential activity to strengthen the execution of Commitment 13
* Develop a Monitoring Framework to transversally evaluate the level of implementation of the open government principles and of the sustainable development approach across the execution of the Action Plan commitments.

In order to formalize the possible collaboration, UNDP proposed the signing of a MOU with the OGP Committee. However, OGP Mexico expressed its willing to cooperate with UNDP Mexico in adjusting and moving forward on this agenda without the signing of a MoU, but through one-on-one collaborations between UNDP and each party of the OGP Committee. Hence, it was agreed that UDNP will proceed with bilateral consultations to adjust the design of the proposed activities in order to begin the cooperation. A reunion to resume the works is planned to take place on October 1st.

In regard to the Federal Government’s Open Government Policy, UNDP held a meeting with officials from the SFP's General Directorate of Transparency and Open Government, with the purpose of triggering a possible collaboration in monitoring and evaluation actions of the Transparency, Open Government and Open Data Policy of the Federal Public Administration. At the end of the meeting, the following agreements were reached:

* The SFP will share the final version of the Open Government and Open Data Policy with the UNDP once it is the final version.
* The SFP will share with the UNDP the monitoring and evaluation framework of the National Program to Combat Corruption and Impunity and to Improve Public Management 2019-2024.
* The SFP requested UNDP’s support to design and implement the Monitoring and Evaluation Framework of the Transparency, Open Government and Open Data Policy. SFP will prepare a document with the expectations regarding the collaboration with UNDP.

Nevertheless, due to the ongoing situation with SFP, these activities are currently on hold.

**Component 2: Integrity, ethics, and anti-corruption practices**

*2.1 Ethics and integrity for public servants.*

During the first year of work, UNDP launched the “Ethics & Integrity in the Public Service” Course in close coordination with the GOM. Please refer to section ten (Participant Training) for further information.

* 1. *Corruption risk assessment methodology for public policies.*

The Project launched activities related to the development of the Corruption Risks Assessment Model to identify potential corruption acts in a variety of sectors and policy arenas in collaboration with SESNA.

On May 27th, the Project held a virtual session to present the advances of the mapping of national and international best practices to identify, measure, and reduce risks and incentives for corruption. This document is a precursor to the Corruption Risk Assessment Model. The event brought together 89 participants from Local Executive Secretariats, academia, and civil society organizations.

As a result of this session, UNDP received valuable feedback for the development and implementation of the Model, including: to specify the units of analysis of the Model, to consider local actors’ capacity to implement the Model, and to include gender perspective on the development of the methodology. This participatory exercise was complemented with an online survey completed by 22 participants, and feedback coming from RNA, all which UNDP has systematized for the next steps.

The [mapping document](https://www.mx.undp.org/content/mexico/es/home/library/democratic_governance/mapeo-de-buenas-practicas-metodologias-para-la-gestion-de-riesgo.html) was finished in July and published by UNDP on August 3rd.

Furthermore, on July 29th, the project held a second virtual session to present the progress of the Model. The objective of this virtual session was to present and receive feedback on the Model, built from the findings derived from the mapping. The feedback obtained on this session has been used to improve the design of the Corruption Risk Management Model. The session was recorded and can be viewed in the following link: [https://youtu.be/JvSqiJOqKJM](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fyoutu.be%2FJvSqiJOqKJM&data=02%7C01%7Carturo.parra%40undp.org%7C2fc184f9f654485ff1f208d837f3949b%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C637320866588346697&sdata=IJyFG9iVFug8WVhKb8Qgip6U8ztGw4xTcRS2aND6zY8%3D&reserved=0)

UNDP and SESNA are currently assisting the National Anti-Corruption Network (RNA) in a pilot testing of the Model at the local level (Line 2 of RNA activities, mentioned in activity 1.2).

*2.3 Corporate integrity*

During this period, various meetings were held with the consulting agency in charge of designing and managing the Virtual Course on Corporate Integrity (Moodle), in order to provide feedback on the content, design and editing of the course.

Finally, the first week of September, UNDP approved the course contents, however, its virtual delivery is on hold due to the SFP’s reluctance to display donor logos on the product.

Moreover, the contents of the Corporate Integrity webinars were approved. In a meeting held on July 20th with the SFP, it was agreed that the sessions would be held from August 17th to 21st. However, due to the situation with the SFP mentioned in the previous paragraph, these products are also on hold and at the close of this report the sessions have not been carried out.

# 5. Problems and Delays (and/or Lessons Learned)

Due to the COVID-19 pandemic, timelines for some activities and their implementation were modified. Despite this situation, and the fact that all of the work was done remotely, most of the activities contemplated for the first year of the project were achieved successfully.

In addition, as mentioned in Section 2, the SFP expressed concerns about displaying the USAID logo in products elaborated with the technical assistance of UNDP Mexico. This situation has hindered the continuity of the following activities: (a) the implementation of the COMs, (b) the elaboration of a Monitoring and Evaluation Framework of the Transparency, Open Government and Open Data Policy, (c) training of public servants and private sector on integrity issues, (d) virtual integrity course.

# 6. Major activities or corrective actions

On August 13th, UNDP sent to USAID a revised version of the MEL Plan’s Logical Framework for review. At the end of this reporting period, comments from USAID were still due.

Due to the situation with SFP, explained on section five, UNDP is working on a modification of activities proposal document. The proposal will present the possibility of redirecting activities and resources to the local level, without compromising the expected outcomes and results of the Agreement. This proposal will be sent in October to USAID for approval.

# 7. Updates on Evaluation and Learning plans or activities

No evaluations or learning plans were carried out in this period.

# 8. Environmental Compliance

Not Applicable.

# 9. Financial Projections Report

1. Select the Period you are reporting:

|  |  |
| --- | --- |
| Q1 (September - December) to be reported on January 31st |  |
| Q2 (January - March) to be reported on April 30th |  |
| Q3 (April - June) to be reported on July 31st |   |
| Q4 (July - September) to be reported on October 30th | X |

1. Please write the amount in USD that your activity will spend in:

|  |  |  |  |
| --- | --- | --- | --- |
| Current Quarter (Q3 FY20) | Q4 FY20 | Q1 FY21 | Q2 FY21 |
|  $ 306,553.09 |  $ 165,787.28 |  $ 120,473.82 | $ 254,393.82 |

1. Exchange Rate used: 1 USD= $22.25 MXN

# 10. Participant Training

On April 7th, UNDP launched the “Ethics & Integrity in the Public Service” Course in close coordination with the SFP. This course enabled 377 public servants to bolster their technical and professional capacities by carrying out a 40-hour behavioral training with the purpose of restoring the intrinsic motivation of serving citizens by executing their public duties with ethics, transparency, and integrity.

The course finished on May 18th and the attendance results were the following:

* + No. of persons enrolled: 480
	+ No. of persons that have successfully concluded Module 1: 387
	+ No. of persons that have successfully concluded Module 2: 382
	+ No. of persons that have successfully concluded Module 3: 380
	+ No. of Certificates issued: 377; 238 women (63%) and 139 men (37%).

On May 15th, UNDP sent an official letter to the Head of the Public Ethics and Conflict of Interest Prevention Unit of the SFP, which formalized the course transferring from UNDP to the SFP digital platform.

In addition, during the first two weeks of May, UNDP prepared to launch the second edition of the "Ethics & Integrity in the Public Service" course, which was aimed at civil servants of the UIF of the Ministry of Finance and Public Credit (SHCP).This edition was opened to 41 public servants for five weeks (June 1st -July 7th ). The attendance results were the following:

* + No. of persons enrolled: 41
	+ No. of persons that have successfully concluded Module 1: 37
	+ No. of persons that have successfully concluded Module 2: 36
	+ No. of persons that have successfully concluded Module 3: 36
	+ No. of Certificates issued: 36; 14 women (39%) and 22 men (61%).

On September 1st, the Federal Government published the Second Government Report of President Andrés Manuel López Obrador. This report mentioned UNDP, noting that the "Ethics and Integrity in Public Service" Course is now available in the Virtual Training System for Public Servants, and that so far 3,022 officials have successfully completed the course under SFP’s management.

# 11. Annexes

Tab 1. Indicator Summary Table

1. Some geographic areas of influence have yet to be determined. These areas will depend, for example, on where the CSO’s that will be selected from the call of proposals are located, or where political will exists to pilot the initiatives that the Activity proposes. [↑](#footnote-ref-1)