



MECHANISM FOR FOLLOW-UP ON
IMPLEMENTATION OF THE INTER-AMERICAN
CONVENTION AGAINST CORRUPTION

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Committee of Experts

**STANDARD FORMAT
FOR THE PREPARATION OF THE PROGRESS REPORTS (ARTICLES 31 AND 32 OF
THE RULES OF PROCEDURE AND OTHER PROVISIONS OF THE COMMITTEE)¹**

(For reporting on progress made between March 7, 2016, and March 13, 2017)

**INTRODUCTORY SECTION: PRINCIPAL DEVELOPMENTS RELATED TO THE
IMPLEMENTATION OF THE RECOMMENDATIONS AND MEASURES SUGGESTED BY
THE COMMITTEE IN THE FIRST THREE ROUNDS AND REGARDING OTHER
MEASURES PROVIDED IN THE CONVENTION²**

Instructions: Please list below, in no more than one page, the principal developments that have taken place in your country, within the period referred to in this report (March 7, 2016, to March 13, 2017), with regard to the implementation of the recommendations and measures suggested by the Committee in the first four rounds of review, as well as with regard to other measures provided for in the Convention:

SECTION I. PROGRESS IN THE IMPLEMENTATION OF THE RECOMMENDATIONS

A. FIRST ROUND OF REVIEW

Instructions: Following the same structure as the country report of the First Round,³ and with respect to each one of the recommendations⁴ to which your country wishes to refer in this progress report, please provide the following information:

- I. RECOMMENDATION: Please transcribe the text of the recommendation made to your State by the Committee in the country report of the First Round, and with respect to which you would like to inform on progress that has been made:

1. This format was adopted by the Committee at the Plenary Session held on June 29, 2007, within the framework of its Eleventh Meeting, and has been updated in order to include the information corresponding to the Third Round of Review.

2. This section is included pursuant to what was agreed to by the Committee at its Seventeenth Meeting, held from September 13 to 16, 2010.

3. By way of a guide, the last page of this standard format describes that structure in connection with the issues covered in the First Review Round.

4. The recommendations still current on the topics analyzed in the First Round, which are listed in ANNEX I of the report adopted by the Committee of Experts with respect to your country in the Fourth Round.

- II. **ADOPTED MEASURES:** Please note the measure or measures suggested by the Committee, or the alternative measure or measures that have been adopted to implement the above recommendation; and briefly describe the concrete steps that have been taken in connection with the measures adopted. If appropriate, please indicate the Internet web site where more detailed information may be obtained with respect to the measures adopted and the steps taken to implement the foregoing recommendation, specifically identifying where the information can be obtained on that website:

B. SECOND ROUND OF REVIEW

Instructions: Following the same structure as the country report of the Second Round,^{5/} and with respect to each one of the recommendations to which your country wishes to refer in this progress report, please supply the following information:

- I. **RECOMMENDATION:** Please transcribe the text of the recommendation made to your State by the Committee in the country report of the Second Round, and with respect to which you would like to inform on progress that has been made:

- II. **ADOPTED MEASURES:** Please note the measure or measures suggested by the Committee, or the alternative measure or measures that have been adopted to implement the above recommendation; and briefly describe the concrete steps that have been taken in connection with the measures adopted. If appropriate, please indicate the Internet web site where more detailed information may be obtained with respect to the measures adopted and the steps taken to implement the foregoing recommendation, specifically identifying where the information can be obtained on that website:

C. THIRD ROUND OF REVIEW

Instructions: Following the same structure as the country report of the Third Round,^{6/} and with respect to each one of the recommendations to which your country wishes to refer in this progress report, please supply the following information:

5. By way of a guide, the last page of this standard format describes that structure in connection with the issues covered in the Second Round.
6. By way of a guide, the last page of this standard format describes that structure in connection with the issues covered in the Third Round.

- I. **RECOMMENDATION:** Please transcribe the text of the recommendation made to your State by the Committee in the country report of the Second Round, and with respect to which you would like to inform on progress that has been made:

- II. **ADOPTED MEASURES:** Please note the measure or measures suggested by the Committee, or the alternative measure or measures that have been adopted to implement the above recommendation; and briefly describe the concrete steps that have been taken in connection with the measures adopted. If appropriate, please indicate the Internet web site where more detailed information may be obtained with respect to the measures adopted and the steps taken to implement the foregoing recommendation, specifically identifying where the information can be obtained on that website:

NOTE: *Points I and II referred to in Chapters A (First Round), B (Second Round) and C (Third Round) of Section 1, in relation to each of the recommendations with respect to which your State wishes to refer to progress on implementation, would be repeated.*

D. FOURTH ROUND OF REVIEW

Instructions: Regarding each of the 4 or 5 **oversight bodies from your country that were examined in the Fourth Review Round** to which your country wishes to refer in this report, provide the following information as regards the recommendations that were formulated by the Committee in connection with them to which your country wishes to make reference in this report:

NAME OF THE OVERSIGHT AGENCY EXAMINED: Office of Government Ethics (OGE)

RECOMMENDATION: 4.4.1 Take the steps necessary to ensure that ethics officials receive adequate training to promote uniform application of ethics principles in the agencies of the executive branch.

ADOPTED MEASURE: In fiscal year 2016, OGE continued to deliver training for ethics officials through its online learning series. These twice-monthly events allow OGE to reach ethics officials throughout the government with timely policy guidance, basic training, advanced training, model practices, and ethics news and information. A typical event reaches more than 250 officials during the live broadcast and is available on-demand for viewing after the event. In fiscal year 2016, OGE offered 6 events targeted to experienced officials and 5 events targeted to new officials. Topics covered included gifts between employees, financial disclosure, and the criminal conflict of interest statutes.

To prepare ethics officials for the Presidential transition, OGE also offered the Transition Readiness Series comprising 12 distance learning events and 4 in-person workshops. The sessions covered transition-related topics such as nominee financial disclosure, post-government employment counseling, resource planning strategies, and training of new senior officials.

As part of the Transition Readiness Series, OGE developed and delivered two Massive Open Online Courses (MOOCs) on public financial disclosure and seeking post government employment. MOOCs enable large numbers of ethics officials to experience content OGE typically delivers through half-day in-person training workshops. These multi-session presentations bring the feel of in-person classroom training to the online classroom by incorporating lectures, practical exercises, and self-assessments. Over 800 officials participated in the two MOOCs presented in fiscal year 2016, with 90 percent of respondents to a course evaluation reporting that attendance made them better able to do their jobs.

OGE also conducted a National Government Ethics Summit in March 2016. The Summit was attended by more than 500 officials in person and received approximately 2,000 streaming views. The Summit covered topics relevant to Presidential transition such as public financial disclosure review, new employee ethics training, post-government employment counseling, and strategies for managing an increase in workload. Eighty-seven percent of respondents to the Summit evaluation report being better equipped to do their jobs as a result of attendance. The Summit effort also included a special financial disclosure Symposium. The Symposium, attended by approximately 250 officials, provided training to new and experienced nominee financial disclosure reviewers.

RECOMMENDATION: 4.4.2 Promote periodic meetings between OGE and Designated Agency Ethics Officials, and, when feasible, include Alternate Designated Agency Ethics Officials in those periodic meetings, in the event that they are not already included, given that they perform similar functions as the Designated Agency Ethics Official.

ADOPTED MEASURE: OGE's Director continued the practice of holding quarterly meetings for the most senior agency ethics officials, with telephone recaps for those who could not attend in-person. At these meetings, OGE's senior leaders shared information critical to managing an effective ethics program and encouraged discussion of current ethics issues facing the executive branch, such as the Presidential transition. OGE also used these meetings to consult with agency ethics official regarding contemplated changes in OGE's policies and regulations. For their part, agency ethics officials attending these meetings shared with OGE information about their priorities and needs, which led OGE to adjust various activities in order to increase the effectiveness of its support to the executive branch ethics community.

OGE announced each upcoming meeting by e-mail to agency Designated Agency Ethics Officials (DAEOs), Alternate Designated Agency Ethics Officials (ADAEOs), and primary points of contact. Due to space limitations, registration for each meeting is limited to one official from each agency. The telephone recaps are promoted through OGE's Ethics Listserv to all registered ethics officials, and participation in a telephone recap is open to any ethics official including DAEOs and ADAEOs located outside of the Washington, D.C. area.

RECOMMENDATION: 4.4.3 Take steps necessary to keep the online list of Designated Agency Ethics Officials and Alternate Designated Agency Ethics Officials up-to-date.

ADOPTED MEASURE: OGE personnel follow a Standard Operating Procedure (SOP), in checklist form, for recording changes in agency ethics personnel and ensuring the appropriate updates to the online DAEO and ADAEO list. OGE regularly reviews and updates the SOP and continues to look for ways to streamline the process. The SOP was most recently updated in January 2017, and a copy of the current checklist and a summary of the changes was circulated to OGE personnel.

RECOMMENDATION: 4.4.4: Conduct a review of OGE regulations in order to identify any rules, such as those related to standards of conduct, or ethics program requirements, such as agency ethics training requirements, that could be made more effective.

ADOPTED MEASURE: Since March 2016, OGE has finalized key regulatory changes to the Standards of Ethical Conduct for Employees of the Executive Branch found at 5 C.F.R. part 2635 (Standards of Conduct). The Standards of Conduct serve as the foundation of federal government employment and set the expectations of conduct for every executive branch employee. OGE revised two areas of significant interest to ethics officials and employees: gifts and seeking employment (subparts B and F of part 2635). OGE focused on the gift rules because they generate more questions than any other area of the Standards of Conduct, and on the rules governing seeking employment because they were affected by new reporting and recusal requirements that were enacted as part of the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act).

The STOCK Act also imposed additional financial disclosure requirements on individuals required to file public financial disclosure reports. In order to address these additional requirements, OGE conducted an in-depth review of its financial disclosure regulations at 5 C.F.R. part 2634 and published proposed revisions to incorporate the new reporting requirements, as well as to modernize and clarify the regulation.

Finally, OGE reviewed the regulation relating to executive branch ethics program responsibilities and administration found at 5 C.F.R. part 2638. OGE completely revised this regulation, clarifying certain provisions that have historically caused confusion among external stakeholders regarding OGE's role in the ethics program.

RECOMMENDATION: 4.4.5: Review OGE records in order to determine whether there are additional documents and/or data that might be of value to the public and which could be made publicly available by OGE.

ADOPTED MEASURE: OGE's Freedom of Information Act (FOIA) Office is uniquely situated to gain a sense of the types of materials the public is seeking. As a result, OGE has included a distinct step in its FOIA processing procedures that directs FOIA professionals to determine whether it is likely there will be future interest in a record. If so, OGE's FOIA processing procedures direct FOIA professionals to proactively disclose the record on OGE's website. Due to recent changes in the FOIA, records that are requested three times are deemed "frequently requested records" that are required to be made available on OGE's website. OGE's FOIA Office is also preparing to implement a "Release to One, Release to All" proactive posting policy. Under this policy, OGE's FOIA Office will post records released in response to FOIA requests, subject to very limited posting exclusions.

In addition to FOIA improvements, OGE created new documents of value to the public related to the President transition. OGE plays a vital role in the transition by reviewing the financial disclosure reports of potential Presidential nominees and resolving their conflicts of interest so they can serve with integrity. OGE developed and published several resources which are featured on the [Presidential Transition](#) page of OGE's website. OGE created an [ethics guide](#) specifically for Presidential nominees. This easy-to-read guide outlines all the important information potential nominees need to prepare for the confirmation process. OGE also published an [agency profile](#) which provides information about OGE's organization, mission and programs in a public friendly format.

RECOMMENDATION: 4.4.6: Consider making any necessary changes to the Ethics in Government Act in order to ensure its continued effectiveness in light of OGE and other oversight bodies' practical experience in its application.

ADOPTED MEASURE: Congress is currently considering the renewal of OGE's authorization, a process designed to provide Congress the opportunity to add or remove an agency's authorities and responsibilities in order to ensure its continued effectiveness. As part of this process, OGE submitted a proposed reauthorization bill text. The draft legislation would authorize OGE through 2022 and would make technical corrections to its organic legislation, the Ethics in Government Act. OGE also continues to issue advisories and update its regulations to clarify and update its interpretation of the Ethics in Government Act.

NOTE: Points I and II referred to in Chapter D (Fourth Round) are to be repeated for each of the 4 or 5 oversight bodies examined to which your country wishes to make reference and with respect to each of the recommendations formulated in connection with them on which your country wishes to report progress with implementation.

SECTION II: DIFFICULTIES IN THE IMPLEMENTATION OF THE RECOMMENDATIONS (ONLY RESPOND TO THIS SECTION IF YOUR COUNTRY CONSIDERS IT NECESSARY)

A. FIRST ROUND OF REVIEW:

Instructions: Following the same structure as the country report of the First Round,⁷ and with respect of each one of the recommendations with respect to which your country wishes to refer to the difficulties that have been faced with respect to implementation, please provide the following information:

- I. RECOMMENDATION: Please transcribe the text of the recommendation made to your State by the Committee in the country report of the First Round, and with respect to which you would like to refer to the difficulties that you have faced with respect to implementation:

- II. MEASURES: Please determine the measure(s) suggested by the Committee to comply with the foregoing recommendation, or the alternative measure(s) selected for this purpose, and with respect to which you wish to inform of the difficulties that have been encountered with respect to its implementation, and also briefly inform of those difficulties. If you consider it relevant, please indicate the "Internet" webpage where more detailed information in this regard can be obtained, specifically indicating what information on that page you wish to refer to:

7. By way of a guide, the last page of this standard format describes that structure in connection with the issues covered in the First Review Round.

B. SECOND ROUND OF REVIEW:

Instructions: Following the thematic structure of the country reports from the Second Round of Review, and with respect to each of the recommendations to which your country wishes to report on the difficulties that have been encountered in relation to implementation, please provide the following information:

- I. RECOMMENDATION: Please transcribe the text of the recommendation formulated to your State by the Committee in the country report from the Second Round, and with respect to which you would like to inform on the difficulties encountered in relation to its implementation:

- II. MEASURES: Please determine the measure(s) suggested by the Committee to comply with the foregoing recommendation, or the alternative measure(s) selected for this purpose, and with respect to which you wish to inform of the difficulties that have been encountered with respect to its implementation, and also briefly inform of those difficulties. If you consider it relevant, please indicate the “Internet” webpage where more detailed information in this regard can be obtained, specifically indicating what information on that page you wish to refer to:

NOTE: Points I and II referred to in Chapters A (First Round) and B (Second Round) of Section 1, in relation to each of the recommendations with respect to which your State wishes to refer to progress on implementation, would be repeated.

C. THIRD ROUND OF REVIEW:

Instructions: Following the thematic structure of the country reports from the Third Round of Review, and with respect to each of the recommendations to which your country wishes to report on the difficulties that have been encountered in relation to implementation, please provide the following information:

- I. RECOMMENDATION: Please transcribe the text of the recommendation formulated to your State by the Committee in the country report from the Second Round, and with respect to which you would like to inform on the difficulties encountered in relation to its implementation:

- II. MEASURES: Please determine the measure(s) suggested by the Committee to comply with the foregoing recommendation, or the alternative measure(s) selected for this purpose, and with respect to which you wish to inform of the difficulties that have been encountered with respect to its implementation, and also briefly inform of those difficulties. If you consider it relevant, please indicate the “Internet” webpage where more detailed information in this regard can be obtained, specifically indicating what information on that page you wish to refer to:

NOTE: *Points I and II referred to in Chapters A (First Round), B (Second Round), and C (Third Round) of Section 1, in relation to each of the recommendations with respect to which your State wishes to refer to progress on implementation, would be repeated.*

D. FOURTH ROUND OF REVIEW:

Instructions: Regarding each of the 4 or 5 **oversight bodies from your country that were examined in the Fourth Review Round** to which your country wishes to refer in this report, provide the following information as regards the recommendations that were formulated by the Committee in connection with them regarding which your country wishes to report on the difficulties encountered in their implementation:

NAME OF THE OVERSIGHT AGENCY EXAMINED:

I. RECOMMENDATION: Please transcribe the text of the recommendation made to your State by the Committee in connection with the aforesaid oversight agency in the Fourth Round report and with respect to which your country wishes to report on the difficulties encountered in its implementation:

II. DIFFICULTIES: Please briefly indicate those difficulties below. If deemed appropriate, please indicate the web page on which more detailed information on them can be obtained, clearly indicating the information on the web site to which you are referring:

NOTE: *Points I and II referred to in Chapter D (Fourth Round) are to be repeated for each of the 4 or 5 oversight bodies examined to which your country wishes to make reference and with respect to each of the recommendations formulated in connection with them on which your country wishes to report difficulties with implementation.*

SECTION III: OTHER PROGRESS IN THE IMPLEMENTATION OF THE CONVENTION (ONLY RESPOND TO THIS SECTION IF YOUR COUNTRY CONSIDERS IT NECESSARY)

Instructions: Following the thematic structure of the Inter-American Convention against Corruption, and in relation to each one of the Convention provisions to which your country wishes to refer to progress in implementation, please provide the following information:

I. PROVISION OF THE CONVENTION: Please indicate the number of the Article of the Convention and of the paragraph of that Article, if appropriate, with respect to which you would like to refer to progress in implementation:

II. MEASURES: Please briefly describe the concrete measures or actions that have been executed in relation to the implementation of the provision of the Convention noted above. If you consider it

relevant, please indicate the “Internet” webpage where more detailed information in this regard can be obtained, specifically indicating what information on that page you wish to refer to:

NOTE: Points I and II referred to in Section III, with respect to each of the provisions of the Convention, in relation to each of the recommendations with respect to which your State wishes to refer to progress on implementation, would be repeated.

THEMATIC STRUCTURE OF THE COUNTRY REPORTS OF THE FIRST ROUND

1. STANDARDS OF CONDUCT AND MECHANISMS TO ENFORCE COMPLIANCE (ARTICLE III, PARAGRAPHS 1 AND 2 OF THE CONVENTION)
 - 1.1 Conflicts of interest
 - 1.2 Standards of conduct and mechanisms to ensure the proper conservation and use of resources entrusted to government officials
 - 1.3 Measures and systems requiring government officials to report to appropriate authorities acts of corruption in the performance of public functions of which they are aware
2. SYSTEMS FOR REGISTERING INCOME, ASSETS AND LIABILITIES (ARTICLE III, PARAGRAPH 4, OF THE CONVENTION)
3. OVERSIGHT BODIES FOR THE SELECTED PROVISIONS (ARTICLE III, PARAGRAPHS 1, 2, 4, AND 11, OF THE CONVENTION)
4. MECHANISMS TO ENCOURAGE PARTICIPATION BY CIVIL SOCIETY AND NONGOVERNMENTAL ORGANIZATIONS IN EFFORTS TO PREVENT CORRUPTION (ARTICLE III, PARAGRAPH 11 OF THE CONVENTION)
 - 4.1 General participation mechanisms
 - 4.2 Mechanisms for access to information
 - 4.3 Mechanisms for consultation
 - 4.4 Mechanisms to encourage participation in public administration
 - 4.5 Mechanisms for participation in the follow-up of public administration
5. ASSISTANCE AND COOPERATION (ARTICLE XIV OF THE CONVENTION)
6. CENTRAL AUTHORITIES (ARTICLE XVIII OF THE CONVENTION)
7. GENERAL RECOMMENDATIONS

THEMATIC STRUCTURE OF THE COUNTRY REPORTS OF THE SECOND ROUND

1. SYSTEMS FOR GOVERNMENT HIRING AND STATE PROCUREMENT OF GOODS AND SERVICES (ARTICLE III, PARAGRAPH 5 OF THE CONVENTION)
 - 1.1. Hiring systems for public officials
 - 1.2. Systems for the procurement of goods and services by the state
2. SYSTEMS FOR PROTECTING PUBLIC SERVANTS AND PRIVATE CITIZENS WHO, IN GOOD FAITH, REPORT ACTS OF CORRUPTION (ARTICLE III, PARAGRAPH 8 OF THE CONVENTION)
3. ACTS OF CORRUPTION (ARTICLE VI OF THE CONVENTION)
 - 3.1. Criminalization of the acts of corruption set out in Article VI.1 of the Convention
 - 3.2. Application of the Convention to other acts of corruption not described therein, pursuant to the terms of Article VI.2
4. GENERAL RECOMMENDATIONS

THEMATIC STRUCTURE OF THE COUNTRY REPORTS OF THE THIRD ROUND

1. DENIAL OR PREVENTION OF FAVORABLE TAX TREATMENT FOR EXPENDITURES MADE IN VIOLATION OF THE ANTICORRUPTION LAWS (ARTICLE III, PARAGRAPH 7 OF THE CONVENTION)
2. PREVENTION OF BRIBERY OF DOMESTIC AND FOREIGN GOVERNMENT OFFICIALS (ARTICLE III, PARAGRAPH 10 OF THE CONVENTION)
3. TRANSNATIONAL BRIBERY (ARTICLE VIII OF THE CONVENTION)
4. ILLICIT ENRICHMENT (ARTICLE IX OF THE CONVENTION)
5. NOTIFICATION OF CRIMINALIZATION OF TRANSNATIONAL BRIBERY AND ILLICIT ENRICHMENT (ARTICLE X OF THE CONVENTION)
6. EXTRADITION (ARTICLE XIII OF THE CONVENTION)