**Conference of the States Parties
to the United Nations
Convention against Corruption**

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Item 4 of the provisional agenda*
Prevention

Work of the Open-ended Intergovernmental Working Group on the Prevention of Corruption

Background paper prepared by the Secretariat

I. Introduction

1.   At its third session, held in Doha from 9 to 13 November 2009, the Conference of the States Parties to the United Nations Convention against Corruption adopted resolution 3/2, entitled "Preventive measures". In that resolution, the Conference decided to establish an interim open-ended intergovernmental working group, in accordance with article 63, paragraph 7, of the Convention, and rule 2, paragraph 2, of the rules of procedure of the Conference, to advise and assist the Conference in the implementation of its mandate on the prevention of corruption.

2.   In the same resolution, the Conference also decided that the working group should perform the following functions:

(a)   Assist the Conference in developing and accumulating knowledge in the area of prevention of corruption;

(b)   Facilitate the exchange of information and experiences among States on preventive measures and practices;

(c)   Facilitate the collection, dissemination and promotion of best practices in the prevention of corruption;

(d)   Assist the Conference in encouraging cooperation among all stakeholders and sectors of society in order to prevent corruption.

3.   Also in the same resolution, the Conference decided that the working group should meet during the sessions of the Conference and, as appropriate, hold at least

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* CAC/COSP/2011/1.

two intersessional meetings, within existing resources. The Conference also decided that the working group should submit reports on all its activities to the Conference. The Open-ended Intergovernmental Working Group on the Prevention of Corruption held two meetings, both of them in Vienna: the first meeting was held from 13 to 15 December 2010, and the second meeting was held from 22 to 24 August 2011.

4.   The purpose of the present background paper is to inform the Conference about the discussions and recommendations of the Working Group at its first meeting. It provides an account of actions that have been taken in the meantime to implement those recommendations. The paper also provides an overview of the conclusions and recommendations agreed on by the Working Group at its second meeting. The paper is aimed at assisting the Conference in its deliberations and in continuing to map its way towards effective action in the prevention of corruption.

II.   Overview of the discussions and recommendations of the Working Group at its first meeting

5.   Discussions in the Working Group at its meeting held in December 2010 were divided into four themes:

(a)   Development and accumulation of knowledge in the area of prevention of corruption;

(b)   Exchange of information and experience among States on preventive measures and practices;

(c)   Collection, dissemination and promotion of best practices in the prevention of corruption;

(d)   Cooperation among all stakeholders and sectors of society in order to prevent corruption on preventive measures and practices.

6.   With regard to the development and accumulation of knowledge in the area of prevention of corruption, several intergovernmental organizations shared their relevant activities and experiences. The Secretariat had prepared a compilation of good practices in the prevention of corruption and regulation models in the public sector. Methodologies in preventing corruption, focusing on evidence-based and quantitative assessments, were also discussed.

7.   Under the topic of exchange of information and experience among States on preventive measures and practices, the Working Group discussed the experiences by States in the areas of preventing corruption in management of public finances, public administration and the public sector in general. Speakers shared best practices in reforming bureaucratic systems and establishing ombudsman offices. Speakers highlighted the importance of sharing experiences on a regional level, of coordinating corruption prevention activities at the national level and of providing assistance to other countries. Speakers also stressed the need for strong justice systems and codes of conduct and the need to train public officials on the content of those codes.

8.   Regarding the collection, dissemination and promotion of best practices in the prevention of corruption, measures taken in public procurement and public service

were discussed following the presentation of a background paper prepared by the Secretariat on good practices in the prevention of corruption in public procurement.

9. Addressing the issue of cooperation among stakeholders and sectors of society in order to prevent corruption, a representative of the United Nations Office on Drugs and Crime (UNODC) reported on the implementation of the UNODC Institutional Integrity Initiative, aimed at aligning the rules and regulations of the members of the United Nations System Chief Executives Board for Coordination with the principles of the Convention.

10. The importance of public-private partnerships was emphasized, and examples were given of concrete efforts made to engage private-sector stakeholders in integrity initiatives. Furthermore, the role of the media in preventing corruption was discussed and a background paper prepared by the Secretariat on best practices for promoting responsible and professional reporting on corruption for journalists was presented. The Working Group also emphasized the importance of civil society's participation in the prevention of corruption. The Secretariat presented a conference room paper on progress on youth and corruption, and the Working Group asked the Secretariat to gather more information on good practices in, and initiatives for, educating young persons in the prevention of corruption.

III. Update on the status of implementation of the recommendations made by the Working Group at its first meeting

A. Development and accumulation of knowledge in the area of prevention of corruption

11. The Working Group recommended at its first meeting that each of its future meetings focus on a specific and manageable number of substantive topics drawn from chapter II of the Convention. The Working Group also recommended that its discussion at its second meeting should focus on the following topics:

    (a) Awareness-raising policies and practices, with special reference to articles 5, 7, 12 and 13 of the Convention;

    (b) The public sector and prevention of corruption: codes of conduct (article 8 of the Convention) and public reporting (article 10 of the Convention).

The Working Group further recommended that the Secretariat should continue to collect information on existing expertise within the United Nations system and other relevant organizations in the prevention of corruption and, in doing so, should pay particular attention to the specific features of anti-corruption strategies and policies in different sectors. The priority in gathering such information should be to facilitate discussion on specific topics addressed at the meetings of the Working Group in a way that would best assist States parties in implementing effectively those articles of the Convention relating to the prevention of corruption.

12.   Pursuant to the recommendations in paragraph 11 above, the Secretariat sent to Member States a note verbale dated 18 March 2011 and a reminder note verbale dated 26 April 2011 in which it requested the submission of information on relevant initiatives and good practices in the area of prevention of corruption, in order to support the Secretariat's information-gathering efforts related to chapter II of the Convention. A total of 28 Member States had submitted such information by 27 May 2011:[1] Argentina, Armenia, Austria, Bahrain, Cambodia, Chile, China, Cyprus, Czech Republic, Egypt, El Salvador, Georgia, Germany, Japan, Jordan, Latvia, Madagascar, Mauritius, Mexico, Nicaragua, Pakistan, Panama, Philippines, Romania, Russian Federation, Switzerland, Uruguay and Viet Nam. Those responses were reflected in two background papers prepared by the Secretariat for the second meeting of the Working Group: "Good practices and initiatives in the prevention of corruption: awareness-raising policies and practices with special reference to articles 5, 7, 12 and 13 of the United Nations Convention against Corruption" (CAC/COSP/WG.4/2011/2); and "Good practices and initiatives in the prevention of corruption: the public sector and prevention of corruption; codes of conduct (article 8 of the Convention) and public reporting (article 10 of the Convention)" (CAC/COSP/WG.4/2011/3).

13.   In preparation for those background papers, the Secretariat also compiled information about the work undertaken by the United Nations Commission on International Trade Law (UNCITRAL), the Department of Economic and Social Affairs of the Secretariat, the United Nations Global Compact, the United Nations Development Programme (UNDP), the International Institute for Educational Planning of the United Nations Educational, Scientific and Cultural Organization (UNESCO), the Asia and Far East Institute for the Prevention of Crime and the Treatment of Offenders, the Organization for Security and Cooperation in Europe (OSCE), the World Bank, the Organization for Economic Cooperation and Development (OECD), the Asian Development Bank/OECD Anti-Corruption Initiative for Asia-Pacific, the Council of Europe's Group of States against Corruption (GRECO), the European Union and the International Anti-Corruption Academy (IACA).

14.   At its first meeting, the Working Group recommended that, in view of the limited information collected to date on chapter II of the Convention and the fact that the review of that chapter would not begin until 2015, the States parties and the Secretariat should strive towards early reporting on chapter II, with emphasis on evaluation of the effectiveness of existing prevention measures, the compilation of good practices and the identification of technical assistance needs. In addition, the Working Group stressed the importance of building legislative and institutional frameworks consistent with the requirements set forth in chapter II.

15.   Pursuant to the recommendations in paragraph 14 above, as a tool to foster information-sharing, UNODC is developing a legal library of legislation and jurisprudence relevant to the Convention from over 175 States, systematized in

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[1] Responses submitted after that deadline by Azerbaijan, Belarus, Greece, Guatemala, Indonesia, Kazakhstan and the Republic of Korea could not be reflected in the two reports prepared for the second meeting of the Working Group. Those responses, together with the other submissions, have been made available on the website of UNODC (www.unodc.org/unodc/en/treaties/CAC/working-group4.html).

accordance with its requirements. The key objective of the legal library is to collect, systematize and disseminate updated and validated legal knowledge on anti-corruption to help strengthen implementation of the Convention and ratification or accession by non-States parties. The legal library is part of a broader initiative known as Tools and Resources for Anti-Corruption Knowledge (TRACK), a Web-based portal and collaborative forum for practitioners and partner institutions for collecting and disseminating legal and non-legal knowledge on anti-corruption and asset recovery, including case studies, best practices and policy analyses, and is supported by the Stolen Asset Recovery (StAR) Initiative, UNDP and other partner institutions. The legal library and TRACK will be launched in September 2011.

16.   The Conference, in its resolution 3/1, decided that a comprehensive self-assessment checklist should be used as a tool to facilitate the provision of information on implementation of the Convention. An improved and more user-friendly version of the self-assessment checklist was presented to the Implementation Review Group at its second session, held in Vienna from 30 May to 3 June 2011. The new version is available in all six official languages of the United Nations. While chapter II of the Convention will only be reviewed in the second five-year cycle of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption, information on the implementation of chapter II was submitted by three Member States, on a voluntary basis, through the comprehensive self-assessment checklist during the first year of the first cycle.

17.   UNDP and UNODC, together with the Deutsche Gesellschaft für Internationale Zusammenarbeit, the Basel Institute on Governance and the Institute of Governance Studies (Bangladesh), developed in 2010 the "Guidance note on UNCAC self-assessments: going beyond the minimum", which provides a methodology for comprehensive analysis of anti-corruption systems by looking at countries' legislation and practices and engaging all relevant stakeholders. The guidance note supports the implementation review process of the Convention and contributes to national anti-corruption reform. UNODC is undertaking, at the request of the respective State, a comprehensive gap analysis, including the chapter on prevention, in Ecuador, Mali and Namibia, and a formal request for a similar analysis has been received from the United Republic of Tanzania.

18.   In order to integrate anti-corruption into the United Nations Development Assistance Framework (UNDAF), UNODC is working with UNDP to develop an anti-corruption training course, which would be part of the general training on the UNDAF process. The overall objective of the course is to provide participants with essential conceptual knowledge as well as analytical and practical skills on anti-corruption and its programming and how such programming can be integrated into the UNDAF process.

19.   UNODC has also continued to provide technical assistance to support Member States in the implementation of the Convention. Anti-corruption capacity-building projects, covering preventive and enforcement aspects, were implemented in a number of countries, including Afghanistan, Indonesia, Iraq and Nigeria. Technical assistance was also provided at the regional level for Arabic-speaking countries, for Eastern and Central Africa and for the western Balkans. UNODC also provides technical assistance in the area of anti-corruption in the framework of its anti-corruption mentor programme. The programme aims to provide long-term and on-site specialized expertise through the placement of anti-corruption experts,

principally in its regional offices. The programme has been revitalized in 2011 through the placement of an adviser with national responsibility in the Democratic Republic of the Congo and the placement of advisers with regional responsibilities in Thailand (for South-East Asia), Kenya (for Eastern Africa) and Panama (for Central America).

20.   UNODC has also continued to develop technical assistance tools to facilitate the delivery of tailored capacity-building assistance on the ground. Pursuant to Economic and Social Council resolution 2007/22, UNODC, in cooperation with the American Bar Association Rule of Law Initiative and the Research Institute on Judicial Systems of the National Research Council of Italy, prepared a resource guide on strengthening judicial integrity and capacity, which was initially elaborated by a group of experts on justice sector reform in 2009. The purpose of the guide is to support and inform those who are tasked with reforming and strengthening justice systems, as well as development partners, international organizations and other providers of technical assistance. The guide draws together ideas, recommendations and strategies developed by experts on judicial and legal reform and includes references to successful measures taken in a range of countries. The guide will be presented during the second meeting of the Working Group and will be made available online. UNODC has also finalized a handbook on police accountability, oversight and integrity, for use by policymakers and managers of police agencies. The handbook is available online.

21.   At its first meeting, the Working Group noted the various efforts undertaken to assess vulnerabilities to corruption in the public and private sectors and recommended that the Secretariat continue to support States parties in such efforts.

22.   Pursuant to that recommendation, UNODC has provided continuous support to States in their efforts to assess the nature and extent of corruption. In Afghanistan, a comprehensive programme of surveys on corruption and integrity of civil servants has been developed jointly with UNDP. Programme activities started in the second half of 2010 and are being implemented in close collaboration with national authorities. In Iraq, UNODC and UNDP developed a programme of surveys aimed at providing a comprehensive assessment of integrity and working conditions of civil servants. That programme is implemented in close collaboration with national anti-corruption bodies and the national statistical agency. A comprehensive survey will be implemented by September 2011 and results are due to be published in early 2012. With financial support from the European Commission, UNODC implemented a programme of surveys on corruption and crime in the western Balkans (the surveys were conducted in Albania, Bosnia and Herzegovina, Croatia, Montenegro, Serbia and the former Yugoslav Republic of Macedonia, as well as in Kosovo[2]). The report was published in May 2011. The European Commission will support another programme of surveys in the same subregion on corruption affecting the business sector. Activities are due to start by the end of 2011 and will be implemented throughout 2012.

23.   In Nigeria, UNODC completed a large anti-corruption project, which provided support to the Economic and Financial Crimes Commission of Nigeria and the

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[2] All references to Kosovo in the present background paper should be understood to be in compliance with Security Council resolution 1244 (1999).

Nigerian judiciary, in partnership with the European Union. The project included, among other activities, a large-scale assessment of justice sector integrity and capacity providing baseline data that allowed for the measurement of progress. In another project, UNODC is assisting the Nigerian private sector in the development of principles for the ethical conduct of business, as well as the conduct of corruption risk assessments in the private-public sector interface.

24. In the framework of a study on crime victimization in Africa, a chapter on the experience of bribery by the population will be presented, thus providing first-hand data on the experience of corruption in 11 African countries. The report will be published in the second half of 2011.

B. Exchange of information and experience among States on preventive measures and practices

25. At its first meeting, the Working Group encouraged States parties to share their initiatives and good practices in the area of prevention of corruption, particularly those practices relevant to specific topics to be addressed at future meetings of the Working Group, and to communicate such initiatives and good practices to the Secretariat.

26. More than 30 Member States had submitted information on initiatives and good practices in the area of prevention of corruption by the end of August 2011 (see paragraph 12 above).

27. The background paper on awareness-raising policies and practices with special reference to articles 5, 7, 12 and 13 of the United Nations Convention against Corruption (CAC/COSP/WG.4/2011/2) describes the tasks of specialized anti-corruption agencies established by several States parties to disseminate information about anti-corruption and to act as coordinators of such activities on the national and international levels. Institutional cooperation between the public and private sector, either in the form of community councils or under the umbrella of anti-corruption agencies, is viewed as essential to raising awareness. Reference is also made to the use of the Internet to reach the private sector, as well as to the relevance of conferences organized by intergovernmental and regional organizations, and the usefulness of creating networks and platforms for collaboration between the private sector and governments. Examples include anti-corruption advertisement campaigns launched through traditional marketing channels, such as television, radio, billboards and the Internet, as well as the creative use of other channels such as short message service (SMS) transmissions, airlines, stamps, religious gatherings, hotlines and electronic mail (e-mail) to reach society as a whole. Many States parties to the Convention recognize the importance of focusing on youth and have reported on the initiation of anti-corruption educational courses, summer and winter camps, integrity clubs and artistic and academic competitions and on measures taken to adapt university curricula or complement existing curricula with a course on anti-corruption. An initiative has recently been launched by UNODC, in collaboration with a range of partner organizations and universities, to develop a comprehensive academic anti-corruption curriculum outline (see paragraph 52 below).

28.   According to the background paper on the public sector and prevention of corruption; codes of conduct and public reporting (CAC/COSP/WG.4/2011/3), preventive measures promoting transparency and integrity in the public sector include the adoption of codes of conduct, requirements for financial disclosures and disciplinary measures against misconduct. Most States parties reported to have developed codes of conduct, equivalent public statements or conduct standards for their public officials to clarify what is expected, as well as the disciplinary consequences, if such standards are violated. Many States parties reported on systems and measures to increase transparency within their public administrations. Those measures guarantee the legal right of citizens to access information on public management and provide citizens with tools for such access. The tools commonly reported on are electronic online systems facilitating e-government, e-administration and e-procurement systems.

29.   At its first meeting, the Working Group encouraged Member States, with the assistance of the Secretariat, as appropriate, and in collaboration with relevant regional organizations, to promote regional activities to prevent corruption, including regional workshops for the exchange of relevant experiences and good practices.

30.   Pursuant to the recommendations described in paragraph 29 above, UNODC participated in, and supported, a number of regional workshops that were organized by regional organizations to foster the exchange of relevant experiences and good practices among countries in the region. The events mentioned below were aimed at assisting participants in preparing for the discussion on the prevention of corruption to be held during the fourth session of the Conference.

31.   On 5 July 2011, OSCE organized a round table in Vienna entitled "On the road to Marrakesh: The role of civil society in fighting corruption". UNODC participated in the round table, which was aimed at raising awareness of the importance of further strengthening the role of civil society in the fight against corruption. During the round table, the following issues were discussed: (a) building a well-informed and engaged civil society in the fight against corruption; (b) the role of the media in uncovering public and private sector corruption; (c) transparency in public procurement: the role of civil society; and (d) transparency and accountability in the public management of natural resources. The round table facilitated the exchange of innovative practices and models among OSCE participating States and its partners for cooperation.

32.   UNODC also participated in the seventh Pan-African Forum on the Modernization of Public Services and State Institutions, organized by the Government of Morocco and the African Training and Research Centre in Administration for Development (CAFRAD). The Forum was held in Rabat on 27 and 28 June 2011. The theme of the Forum was "Fighting corruption and reinforcing good governance to reduce poverty and achieve comprehensive and sustainable development in Africa". The main objective of the Forum was to bring together African officials in charge of public services, governance and the fight against corruption, with a view to examining together the state of implementation of national development programmes and goals, the challenges to be overcome and possible solutions to ensure the actual achievement of those objectives.

C. Collection, dissemination and promotion of good practices in the prevention of corruption

33. At its first meeting, the Working Group recommended that the Secretariat continue to carry out its information-gathering activities relating to chapter II of the Convention, concentrating on good practices and initiatives established by States parties.

34. An initiative has been launched by UNODC and the Department of Economic and Social Affairs to create a new category of the annual United Nations Public Service Awards: preventing and combating corruption in the public service. The United Nations Public Service Awards represent the most prestigious international recognition of excellence in public service. They are granted to reward creative achievements and contributions of public service institutions that lead to a more effective and responsive public administration in countries throughout the world. First-place winners in the first year of the new category of the Awards were Mexico, Oman, the Republic of Korea, Slovakia and South Africa; and second-place winners for that category were Egypt, the Republic of Korea (for a different initiative) and Romania. The Awards were presented on 23 June — the United Nations Public Service Day — during a ceremony at the 2011 United Nations and Africa Public Service Forum in Dar es Salaam, United Republic of Tanzania. It is hoped that supporting positive experiences and practices will motivate countries to continue their efforts towards excellence in public service and will also be a source of inspiration for other countries.

35. UNODC also contributed to an expert group meeting and a workshop on the theme "Citizen engagement to enhance public service delivery", organized by the Division for Public Administration and Development Management of the Department of Economic and Social Affairs in Vienna from 7 to 8 and from 11 to 13 July 2011. The goal of the expert group meeting was to update global knowledge in the area of citizen engagement to enhance public service delivery, with particular emphasis on ways in which participatory approaches are being used in countries throughout the world to strengthen public sector accountability and prevent corruption. The workshop was aimed at enhancing knowledge and building a shared understanding of participatory institutions, approaches and tools that could be adopted by countries to make public service delivery more effective, equitable, transparent, responsive and citizen-oriented, with a view to advancing implementation of the Millennium Development Goals. The outcomes of the expert group meeting and the workshop will be used by the Division to develop technical tools, guidelines and online training courses.

36. UNODC also participated in the twenty-first UN/INTOSAI Symposium, which was organized by the Department of Economic and Social Affairs, through the Division for Public Administration and Development Management, and the International Organization of Supreme Audit Institutions (INTOSAI). The Symposium, which was held in Vienna from 13 to 15 July 2011, focused on the theme "Effective practices of cooperation between SAIs and citizens to enhance public accountability". The Symposium provided an opportunity to assess how supreme audit institutions engaged citizens in their own work, as well as how they communicated their work to citizens. The theme of the Symposium reflected a growing recognition of the need to deepen the participatory processes in public

administration matters. In terms of greater public scrutiny, supreme audit institutions have a key role to play. By making their reports public, they make government actions transparent to citizens; and by being responsive to the legitimate concerns of citizens, civil society and the private sector, they help to build public confidence.

37. At its first meeting, the Working Group recommended that the Secretariat should continue to strengthen cooperation with Member States and relevant international organizations in addressing the prevention of corruption in the public procurement sector, including through the use of electronic systems for public procurement (e-procurement), with a view to enhancing the effectiveness of the relevant provisions of the Convention.

38. The Working Group noted with appreciation the cooperation between the Secretariat and UNCITRAL with regard to public procurement and recommended that such cooperation be further pursued, particularly in aligning the UNCITRAL Model Law on Procurement with article 9, paragraph 1, of the Convention.

39. The Working Group also recommended that States parties may wish to consider, according to their needs, the establishment or improvement of mechanisms for assessing vulnerabilities and preventing corruption at all stages of the procurement process and on the part of both the procuring entity and the provider of goods or services.

40. The Model Law on Procurement was adopted by UNCITRAL in June 2011. The Model Law will be accompanied by a guide to enactment, which will contain a commentary on policy and implementation issues. Since the adoption of the Model Law, UNODC and the UNCITRAL secretariat have been looking for ways to jointly support the implementation of the Model Law and article 9, paragraph 1, of the Convention and for opportunities to develop technical assistance programmes, in close cooperation with partners and interested Member States.

41. In the first half of 2011, UNODC, with the support of the Siemens Integrity Initiative, launched three anti-corruption projects aimed at promoting the private sector's engagement in anti-corruption efforts. One of those technical assistance projects, entitled "Public-Private Partnership for Probity in Public Procurement", is to reduce vulnerabilities to corruption in public procurement systems and to bridge knowledge and communication gaps between public procurement administrations and the private sector. The project will promote States' implementation of article 9 of the Convention and support private actors' efforts to comply with principle 10 of the United Nations Global Compact.

42. At its first meeting, the Working Group noted the efforts of the Secretariat to gather information on good practices in promoting responsible, professional and safe reporting by journalists on corruption and recommended that the Secretariat continue that work. The Working Group also noted the possibility of other future work to promote responsible, professional and safe reporting in accordance with article 13 of the Convention, in particular paragraph 1 (d) of that article, and the respective laws of States parties.

43. Pursuant to the recommendation described in paragraph 42 above, UNODC is exploring options to continue work on promoting the responsible, professional and safe reporting in accordance with article 13 of the Convention and, subject to the

availability of extrabudgetary resources, aims to pursue the development of a substantive tool outlining good practices in that regard. Such a tool could then eventually (depending on the availability of funding) also provide the basis for, and lead to, regional and country-level training workshops. UNODC plans to cooperate closely in that area with the International Press Institute and IACA.

44.   At its first meeting, the Working Group noted with appreciation the efforts of the Secretariat to promote integrity within the United Nations system through the Institutional Integrity Initiative and recommended that the Conference consider how States parties and the Secretariat might pursue such efforts further.

45.   At the first meeting of the Working Group, the Secretariat presented a background paper entitled "Alignment of rules and regulations of the members of the United Nations System Chief Executives Board for Coordination to the principles of the United Nations Convention against Corruption" with the aim of facilitating the deliberations of the Working Group on how to further pursue the alignment of the financial and other public integrity rules of international organizations with the principles set forth in the Convention.

46.   UNODC contributed to the third meeting of the United Nations Ethics Network, which was hosted by the International Atomic Energy Agency and the United Nations Industrial Development Organization in Vienna from 13 to 15 July 2011. The meeting brought together ethics officers and practitioners representing the United Nations Secretariat, United Nations funds and programmes, specialized agencies in the United Nations system and international financial institutions. Representatives were asked to urge their organizations to participate in, and substantively contribute to, the Institutional Integrity Initiative and to ensure that the Convention was considered when internal integrity rules were revised or strengthened within their respective organizations.

47.   UNODC has also followed up with each of the members of the United Nations System Chief Executives Board for Coordination that had not yet responded to the checklist used as the basis for the compilation of information within the Institutional Integrity Initiative and asked them to submit their contributions well in advance of the fourth session of the Conference.

D.   Cooperation among stakeholders and sectors of society in order to prevent corruption

48.   At its first meeting, the Working Group recommended that States parties should improve training and education at all levels of the public and private sectors in the prevention of corruption and, depending on their national legislation, should make such training and education an integral part of national anti-corruption strategies and plans.

49.   As acknowledged in article 13 of the Convention, civil society is a critical partner in all efforts to prevent corruption. Under the terms of reference of the Implementation Review Mechanism, States parties under review are encouraged to prepare their responses to the comprehensive self-assessment checklist through broad consultations at the national level with all relevant stakeholders, including the private sector, individuals and groups outside the public sector. States parties are

also encouraged to facilitate engagement with all relevant national stakeholders in the course of a country visit. In order to strengthen civil society capacity to contribute to the implementation of the Convention and its review mechanism, UNODC, together with Transparency International, organized training at the IACA facility in Laxenburg, Austria, from 2 to 4 February 2011. The training was aimed at equipping civil society representatives with substantive knowledge about the Convention and informing them about the methodology for country reviews, including the use of the comprehensive self-assessment checklist. The workshop included a training-the-trainer component in order to prepare participants to replicate the training at the national and regional levels.

50.   As already mentioned, the corporate community has a key role to play in enhancing integrity, accountability and transparency. In the period 2010-2011 United Nations Global Compact and UNODC have together developed an e-learning tool for the private sector to enhance understanding of principle 10 of the Global Compact (anti-corruption) and its underlying legal instrument, the Convention, as it applies to actors operating in the business community. The e-learning tool consists of six short interactive learning modules developed for anyone who acts on behalf of a company. They are based on real-life scenarios designed to provide guidance on how to deal with potential risks of corruption that people working in business may face in their daily work. Issues covered include: (a) receiving gifts and hospitality; (b) gifts and hospitality towards others; (c) facilitation payments and corruption; (d) the use of intermediaries and lobbyists; (e) corruption and social investments; and (f) insider information. Each module lasts about five minutes, providing a quick and effective way of learning. The e-learning tool (available at http://thefightagainstcorruption.unodc.org or http://thefightagainstcorruption.un globalcompact.org) is publicly accessible and free of charge.

51.   As mentioned in paragraph 41 above, in 2011 UNODC launched three anti-corruption projects funded through the Siemens Integrity Initiative, focusing on the relevance of the Convention to the private sector. One of the projects is entitled "Public-Private Partnership for Probity in Public Procurement". Another project, entitled "Incentives to Corporate Integrity and Cooperation in Accordance with the United Nations Convention against Corruption", is intended to foster cooperation between the private sector and government authorities, especially law enforcement authorities. It aims to create systems of legal incentives for companies, thus encouraging business to report internal incidents of corruption. Those two projects are being piloted in India and Mexico and also encompass the compilation and dissemination of good practices and lessons learned. The "Outreach and Communication Programme" seeks to familiarize companies with the Convention and to encourage them to bring their integrity programmes in line with its provisions.

52.   As already indicated, UNODC, in collaboration with a range of partner organizations and universities, has also launched an initiative to develop a comprehensive anti-corruption curriculum outline for universities with suggested course topics, annotated bibliographies and collected teaching materials, including teaching aids such as case studies, textbooks and a teacher's manual. The aim is to provide an educational tool that will facilitate the inclusion of anti-corruption as a subject into law, business, social science and interdisciplinary curricula of higher education for future leaders and professionals worldwide. The material itself is

intended to be compatible with, and adaptable to, a variety of legal systems (common law, civil law, Islamic law) and different education models and traditions, also taking into account the needs of universities in developing countries. One expert group meeting was hosted by Northeastern University in Boston in May 2011, and a second expert group meeting is to be held in Marrakech in conjunction with the fourth session of the Conference.

53. UNODC has also been actively involved in the establishment of, and is partnering with, international and regional anti-corruption academies. The academies offer many opportunities for cooperation in building the capacity of practitioners working in various sectors on anti-corruption matters. IACA was established following a joint initiative by UNODC, Austria, the European Anti-Fraud Office (OLAF) and other stakeholders, and became an independent international organization on 8 March 2011. IACA is designed to function as a centre of excellence in the field of anti-corruption education, training, networking and cooperation, as well as academic research. In July 2011, IACA organized its first International Anti-Corruption Summer Academy, in which 70 anti-corruption practitioners participated. A representative of UNODC briefed participants on its role as secretariat to the Conference and on its cooperation with IACA. UNODC is assisting the Government of Panama in the establishment of a regional anti-corruption academy for Central America and the Caribbean and will support the development of the training curriculum.

IV. Conclusions and recommendations agreed on by the Working Group at its second meeting

54. At its meeting held in August 2011, the Working Group agreed on the following conclusions and recommendations:

(a) The Working Group recommended that the Conference at its fourth session consider deciding that the Working Group should continue its work and hold two meetings before the fifth session of the Conference;

(b) The Working Group recommended that, at its future meetings, it should continue to focus on a manageable number of specific substantive topics relevant to the implementation of the articles in chapter II of the Convention and reiterated that the availability of expertise on the topics would benefit the discussions. The topics could include:

(i) Implementation of article 12 of the Convention, including the use of public-private partnerships;

(ii) Conflicts of interest, reporting acts of corruption and asset declarations, particularly in the context of articles 7-9 of the Convention.

(c) The Working Group considered that, at its future meetings, it should follow a multi-year workplan for the period up to 2015, when the second cycle of the Implementation Review Mechanism would begin, and recommended that the Conference discuss that matter at its fourth session. In advance of each meeting of the Working Group, States parties should be invited to share their experiences in implementing the provisions under consideration, preferably by using the self-assessment checklist, including, where possible, successes, challenges,

technical assistance needs and lessons learned in implementation. Also in advance of each meeting of the Working Group, the Secretariat should prepare background papers for the topics to be discussed, based on input provided by States parties, specifically as they relate to initiatives and good practices. The background papers should synthesize the different approaches taken by States parties in their different contexts, presenting the broad options and typologies of approach that have been used and drawing attention to any common issues arising or lessons identified by States parties. Panel discussions should be held during the meetings of the Working Group; the panel discussions should involve experts from countries that provided written responses on the topics to be discussed;

(d)   The Working Group noted with appreciation that many States parties had shared information on their initiatives and good practices on the following topics: awareness-rising policies and practices, with special reference to articles 5, 7, 12 and 13 of the Convention; and the public sector and prevention of corruption: codes of conduct (article 8 of the Convention) and public reporting (article 10 of the Convention). The Working Group requested States parties to continue to share with the Secretariat updated information on initiatives and good practices relating to chapter II of the Convention;

(e)   The Working Group reminded States parties to continue to notify the Secretary-General about the designation of competent authorities to assist other States parties in developing and implementing specific measures for the prevention of corruption, pursuant to article 6, paragraph 3, of the Convention, in particular, to update existing information where needed;

(f)   The Working Group recommended that the Secretariat conduct, subject to the availability of extrabudgetary resources and further substantive guidance by the Working Group, analyses of good practices reported by States parties on measures taken to address practical issues related to the implementation of provisions contained in chapter II of the Convention and to collect information on existing expertise within the United Nations system and other relevant organizations in that regard;

(g)   The Working Group took note of the guide on strengthening judicial integrity and capacity, developed by UNODC, and emphasized the need to include in its future work the issue of integrity of the judiciary and prosecution services, with a view to promoting article 11 of the Convention;

(h)   The Working Group noted with appreciation the cooperation between UNODC and the Department of Economic and Social Affairs with regard to preventing corruption in the public sector, and recommended that such cooperation continue, particularly with regard to the United Nations Public Service Awards, as well as through other initiatives, including activities enhancing the delivery of public services and the prevention of corruption;

(i)   The Working Group took note of the initiatives taken by the Secretariat to promote partnerships with the private sector against corruption, in close cooperation with the Global Compact Office and other relevant entities, and recommended that the Secretariat continue to assist in promoting the implementation of the Convention among members of the business community;

(j)   The Working Group reaffirmed that States parties should continue to strengthen awareness-raising and education throughout all sectors in society and that attention should be devoted to working with young people and children as part of a strategy to prevent corruption;

(k)   The Working Group welcomed the initiative taken by the Secretariat to develop comprehensive anti-corruption academic materials for universities and requested regular updates about progress in that endeavour;

(l)   The Working Group recommended that the Secretariat continue to support efforts of States parties to assess vulnerabilities to corruption in the public and private sectors and requested to be informed at a future meeting about further action taken in that regard;

(m)   The Working Group welcomed the continued efforts of the Secretariat to promote integrity among members of the United Nations System Chief Executives Board for Coordination through the Institutional Integrity Initiative, including in cooperation with the United Nations Ethics Office, and recommended that the Conference provide guidance to the Secretariat on how to further pursue the Initiative;

(n)   The Working Group recommended that the Secretariat, in close cooperation with multilateral and bilateral assistance providers, continue to provide technical assistance to States parties, upon request, with a view to advancing the implementation of chapter II of the Convention, including in preparing for participation in the process of reviewing the implementation of chapter II;

(o)   The Working Group recommended that sufficient financial resources be made available to effectively meet the technical assistance needs identified by State parties for the implementation of chapter II of the Convention;

(p)   The Working Group requested the Secretariat, at its next meeting, to report on the activities undertaken pursuant to the present recommendations.

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