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English, French, Spanish, Russian,
Arabic and Chinese

**Implementation Review Group of the
United Nations Convention against Corruption**
Sixth session
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UNITED NATIONS CONVENTION AGAINST CORRUPTION
Revised self-assessment checklist for cycle 2 of the Implementation Review Mechanism
– Draft for discussion –

Summary

A document containing the consolidated draft flow of questions and the proposed thematic structure of the revised self-assessment checklist for reviewing chapters II and V of the United Nations Convention against Corruption on preventive measures and asset recovery was circulated on 19 December 2014 with a view to soliciting comments to be taken into account when finalizing the revised version of the self-assessment checklist for the second cycle of the Implementation Review Mechanism for the Convention. The present document provides the revised draft of the self-assessment checklist for the second cycle of the Implementation Review Mechanism.



GENERAL INFORMATION

Focal point	Name and position
Institutions consulted	List of institutions consulted

1. Please provide information on the ratification of the United Nations Convention against Corruption in your country.

Guidance: Information sought is the date your country ratified the Convention and the date of deposit of the instrument of ratification with the Secretary-General of the United Nations. This information may be available in the report of the first review cycle, which focused on chapters III and IV of the Convention.

2. Please briefly describe the legal and institutional system of your country.

Guidance: Information sought relates to the legal system in place in your country (common law, civil law, mixed or other system), the status of judicial decisions, the hierarchy of norms, the unitary or federal character of your country, etc.

Further information relates to the status of the Convention in your country's legal system, whether the Convention can be applied directly or whether it needs implementing legislation.

Further information sought is the type of criminal process in your country (accusatory, inquisitory, mixed) and the structure and main phases of the criminal process.

Finally, the most important institutions responsible for implementing the various provisions of the Convention.

3. Please provide a list of relevant laws, policies and/or other measures that are cited in the responses to the self-assessment checklist and send them as attachments to or hyperlinks in a separate e-mail addressed to the secretariat (uncac.cop@unodc.org). If available, please also provide versions in any other official language of the United Nations (Arabic, Chinese, English, French, Russian or Spanish) as attachments or hyperlinks. Please revert to this question after finishing your self-assessment to ensure that all legislation, policies and/or other measures you have cited are included in the list.

4. If applicable, you may also wish to send relevant draft bills, policies and measures that you want to be taken into account in the review to the secretariat (uncac.cop@unodc.org) as attachments or hyperlinks by separate e-mail.

5. Please provide any available assessments of anti-corruption measures taken by your country that you wish to share.

Guidance: Information to be included here could be gap analysis reports, reports of other international and regional review mechanisms, and policy studies, both at the national and international level (e.g. reports of the Asian Development Bank (ADB)/Organisation for Economic Co-operation and Development (OECD) Anti-Corruption Initiative for Asia and the Pacific, the African Peer Review Mechanism, the Deauville Partnership with Arab Countries in Transition, the Financial Action Task Force (FATF), the Group of States against Corruption (GRECO), the Group of Twenty (G20), the Istanbul Anti-corruption Action Plan, the Mechanism for Follow-Up on the Implementation of the Inter-American Convention against Corruption (MESICIC), and the OECD Working Group on Bribery in International Business Transactions).

6. Please describe the process that you used to compile the information in this checklist.

Guidance: Please describe sources of information used in completing the checklist, from both the public and private sector/civil society, and the consultative processes held, e.g. validation workshops, etc.

7. Please describe three practices that you consider to be good practices in the implementation of the Chapters of the Convention that are under review.

Guidance: Please describe innovative, successful approaches to implementing the Convention which might be interesting to other States in their efforts to implement the Convention.

8. The following resources developed by or in cooperation with the secretariat might be useful in the compilation of information:

- Travaux Préparatoires of the negotiations for the elaboration of the United Nations Convention against Corruption (<http://www.unodc.org/unodc/en/treaties/CAC/travaux-preparatoires.html>)
- Legislative Guide for the Implementation of UNCAC (<http://www.unodc.org/unodc/en/treaties/CAC/legislative-guide.html>)
- Technical Guide to the United Nations Convention against Corruption (http://www.unodc.org/documents/corruption/Technical_Guide_UNCAC.pdf)

Chapter II:

- Guidebook on anti-corruption in public procurement and the management of public finances (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- 2011 UNCITRAL Model Law on Public Procurement (http://www.uncitral.org/uncitral/en/uncitral_texts/procurement_infrastructure/2011Model.html)
- Reporting on Corruption: A Resource Tool for Governments and Journalists (http://www.unodc.org/documents/corruption/Publications/2014/13-87497_Ebook.pdf)

- Resource Guide on Good Practices in the Protection of Reporting Persons (forthcoming, <http://www.unodc.org/unodc/en/corruption/publications.html>)
- An Anti-Corruption Ethics and Compliance Programme for Business: A Practical Guide (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- Anti-Corruption Ethics and Compliance Handbook for Business (OECD/UNODC/World Bank) (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- A Resource Guide on State Measures for Strengthening Corporate Integrity (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- Commentary on the Bangalore Principles of Judicial Conduct (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- Implementation Guide and Evaluative Framework for Article 11 (<http://www.unodc.org/unodc/en/corruption/publications.html>)

Chapter V:

- Manual on Mutual Legal Assistance and Extradition (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- Manual on International Cooperation for the Purposes of Confiscation of Proceeds of Crime (<http://www.unodc.org/unodc/en/corruption/publications.html>)
- Handbook on the International Transfer of Sentenced Persons (http://www.unodc.org/documents/organized-crime/Publications/Transfer_of_Sentenced_Persons_Ebook_E.pdf)
- StAR (UNODC/World Bank) Study: Public Wrongs, Private Actions (https://star.worldbank.org/star/sites/star/files/pwpa_consolidated.pdf)
- StAR (UNODC/World Bank) Study: Left out of the Bargain – Settlements in Foreign Bribery Cases and Implications for Asset Recovery (<https://star.worldbank.org/star/sites/star/files/9781464800863.pdf>)
- StAR (UNODC/World Bank) Study: On the Take – Criminalizing Illicit Enrichment to Fight Corruption (<https://star.worldbank.org/star/sites/star/files/9781464800863.pdf>)
- StAR (UNODC/World Bank) Study: Politically Exposed Persons – Preventive Measures for the Banking Sector (https://star.worldbank.org/star/sites/star/files/Politically%20Exposed%20Persons_0.pdf)
- StAR (UNODC/World Bank) Study: Public Office, Private Interests – Accountability through Income and Asset Disclosure (<https://star.worldbank.org/star/sites/star/files/Public%20Office%20Private%20Interests.pdf>)
- StAR (UNODC/World Bank) Study: Identification and Quantification of the Proceeds of Bribery – A joint OECD-StAR Analysis (<https://star.worldbank.org/star/sites/star/files/Quantification.pdf>)
- StAR (UNODC/World Bank) Study: The Puppet Masters: How the Corrupt Use Legal Structures to Hide Stolen Assets and What to Do About It (<https://star.worldbank.org/star/sites/star/files/puppetmastersv1.pdf>)
- StAR (UNODC/World Bank) Study: Few and Far – The Hard Facts on Stolen Asset Recovery (https://star.worldbank.org/star/sites/star/files/few_and_far_the_hard_facts_on_stolen_asset_recovery.pdf)

- StAR (UNODC/World Bank) Study: Tracking Anti-Corruption and Asset Recovery Commitments: A Progress Report and Recommendations for Action (<https://star.worldbank.org/star/sites/star/files/Anti-corruption-and-Asset-Recovery-commitments-%28Accra%29.pdf>)
- StAR (UNODC/World Bank) Study: Barriers to Asset Recovery: An Analysis of the Key Barriers and Recommendations for Action (<https://star.worldbank.org/star/sites/star/files/Barriers%20to%20Asset%20Recovery.pdf>)
- StAR (UNODC/World Bank) Study: Asset Recovery Handbook: A Guide for Practitioners (<https://star.worldbank.org/star/sites/star/files/Asset%20Recovery%20Handbook.pdf>)
- StAR (UNODC/World Bank) Study: Towards a Global Architecture for Asset Recovery (<https://star.worldbank.org/star/sites/star/files/GlobalArchitectureFinalwithCover.pdf>)
- StAR (UNODC/World Bank) Study: Stolen Asset Recovery: Management of Returned Assets – Policy Considerations (<https://star.worldbank.org/star/sites/star/files/ManagementReturnedAssets.pdf>)
- StAR (UNODC/World Bank) Study: Stolen Asset Recovery: A Good Practices Guide for Non-Conviction Based Asset Forfeiture (<https://star.worldbank.org/star/sites/star/files/Non%20Conviction%20Based%20Asset%20Forfeiture.pdf>)

Kindly note that guidance boxes have been provided throughout the self-assessment checklist to provide examples of the type of the information sought. As such, the guidance boxes are merely indicative in nature. Please note that it is neither compulsory to provide any of the information mentioned in the guidance box, nor does your country need to have implemented all measures mentioned in order to have implemented the respective provision of the Convention.

THEMATIC AREAS

A. Prevention (arts. 5-13)

Article 5: Preventive anti-corruption policies and practices

Article 5, paragraph 1

1. Each State Party shall, in accordance with the fundamental principles of its legal system, develop and implement or maintain effective, coordinated anti-corruption policies that promote the participation of society and reflect the principles of the rule of law, proper management of public affairs and public property, integrity, transparency and accountability.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Any anti-corruption policies (strategy, plan, or other policies) that have been developed by the State party;
- Establishment of policy implementation mechanisms (including allocated budget, designated responsible institutions, etc.);

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- Policy coordination mechanisms which have been put in place (including establishment of coordination structures, protocols or procedures);
 - Description of how the participation of society is promoted, including whether stakeholders were consulted and involved in the development, implementation, coordination and monitoring of the policies;
 - Description of how the policies reflect the principles of the rule of law, proper management of public affairs and public property, integrity, transparency and accountability.
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Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Anti-corruption policy documents (strategy, action plan or other policies) or other documents containing anti-corruption policies;
 - Government regulations, decrees etc., establishing coordination structures and/or procedures;
 - Examples of the operation of the mechanisms for inter-institutional coordination;
 - Progress reports on the implementation of national anti-corruption strategies, action plans and/or policies;
 - Other annual reports or public reports analysing the anti-corruption policies;
 - Evaluation reports of the effectiveness of measures taken to prevent and detect corruption;
 - Studies or measurements of corruption;
 - Public surveys of the extent of corruption in various sectors;
 - Risk assessments of areas or sectors particularly susceptible to corruption.
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Response:

Article 5, paragraph 2

2. *Each State Party shall endeavour to establish and promote effective practices aimed at the prevention of corruption.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on other articles of Chapter II in the present self-assessment report.

Information sought may include:

- Practices and tools aimed at the prevention of corruption, indicating methods adopted to measure their effectiveness. Examples could include training, education and outreach programmes, integrity monitoring, diagnostic studies and risk assessments of institutions;
- Assessment of the existing legal and institutional framework to prevent and sanction acts of corruption;
- Baseline reports at the beginning and end of the period of national anti-corruption strategies, action plans and/or policies.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Reports on the implementation of national anti-corruption strategies, action plans and/or policies;
- Surveys of the effectiveness of practices aimed at the prevention of corruption;
- Monitoring and evaluation reports as well as audit reports discussing effectiveness of the corruption prevention practices employed.

Response:

Article 5, paragraph 3

3. *Each State Party shall endeavour to periodically evaluate relevant legal instruments and administrative measures with a view to determining their adequacy to prevent and fight corruption.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance:

Information sought may include:

- Description of internal policies, practices, or requirements to periodically evaluate legal instruments and administrative measures with a view to determining their adequacy to prevent and fight corruption;
- Description of structures or institutions responsible for evaluating relevant legal instruments and administrative measures with a view to determining their adequacy to prevent and fight corruption;
- Description of the processes for periodically evaluating relevant legal instruments and administrative measures with a view to determining their adequacy to prevent and fight corruption;
- Description of the requirements in relation to the frequency of these evaluations;

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Primary or secondary legislation or administrative acts which provide for establishing structures, processes and responsibilities in the evaluation process;
- Evaluation reports of relevant legal instruments and administrative measures;
- Reports to Parliament and records of public hearings of such reports;
- Relevant audit reports;
- Reports evaluating the involvement of civil society, academia or the private sector;
- Relevant performance reports relating to specific budget related measures;

- Internal and external publications analysing impact of new legislation or measures taken to prevent corruption;
- Legislative reports on the adequacy of anti-corruption laws and administrative measures.

Response:**Article 5, paragraph 4**

4. States Parties shall, as appropriate and in accordance with the fundamental principles of their legal system, collaborate with each other and with relevant international and regional organizations in promoting and developing the measures referred to in this article. That collaboration may include participation in international programmes and projects aimed at the prevention of corruption.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information provided in relation to other articles of Chapter II may also be relevant in this response.

Information sought may include:

- Information on membership in international and regional organizations, initiatives and/or networks that address anti-corruption;
- Information on participation in international programmes or projects that address anti-corruption;
- Description of regional cooperation and/or programmes that address anti-corruption;
- Description of cooperation within regional frameworks on anti-corruption policies;
- Follow-up on joint recommendations arising out of meetings, international or regional organizations, initiatives and/or networks that address anti-corruption.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information provided in relation to other articles of Chapter II may also be relevant in this response. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- International or regional memoranda of understanding and cooperation agreements aimed at the prevention of corruption or the relevant provisions of such documents;
- Published reports on international or regional events and/or panel discussions organized or attended;
- International or regional decisions and/or declarations in which your country participated;
- Reports on outcomes of regional or international inter-institutional events on anti-corruption policies;
- Outputs developed together with international partners or experts.

Response:

Article 6 – Preventive anti-corruption body or bodies

Article 6, paragraph 1

1. Each State Party shall, in accordance with the fundamental principles of its legal system, ensure the existence of a body or bodies, as appropriate, that prevent corruption by such means as:

a) implementing the policies referred to in article 5 of this Convention and, where appropriate, overseeing and coordinating the implementation of those policies;

b) Increasing and disseminating knowledge about the prevention of corruption.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the main body or bodies (e.g. agency, commission, organization, department, national committee or secretariat) that prevent corruption and, if applicable, oversee and coordinate the implementation of those policies;

- Description of the institutional structure and approach to monitor and evaluate the implementation of a national anti-corruption strategy, action plan and/or other anti-corruption policies;
- Description of focal points or units within government ministries and departments responsible for the implementation of anti-corruption policies designed to prevent corruption;
- Description of the structure or structures to deal effectively with grievances and complaints from citizens, such as an anti-corruption commission, ethics office, auditor general's office, ombudsman office, central procurement office, etc.;
- Description of the body or bodies that prevent corruption by increasing and/or disseminating knowledge about the prevention of corruption, including through conducting research. Such knowledge could include one or more of the subjects addressed in Chapter II, such as: civil service reform, anti-corruption policy making and coordination, codes of conduct for public officials, corruption risks in procurement, management of public finances, anti-money laundering measures, public administration reforms, increasing governmental transparency and the involvement of civil society and the private sector.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Reports prepared by the body or bodies that prevent corruption;
- Other internal or external reports or publications on the effectiveness and capacity of the body or bodies that prevent corruption;
- Surveys of the extent of public knowledge about the prevention of corruption;
- Public awareness campaigns or communication actions implemented;
- Methods used to increase and disseminate knowledge about the prevention of corruption.

Response:

Article 6, paragraph 2

2. *Each State Party shall grant the body or bodies referred to in paragraph 1 of this article the necessary independence, in accordance with the fundamental principles of its legal system, to enable the body or bodies to carry out its or their functions effectively and free from any undue influence. The necessary material resources and specialized staff, as well as the training that such staff may require to carry out their functions, should be provided.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the legal framework which provides for the independence and autonomy of the body or bodies that prevent corruption;
- Description of the mandate of the body or bodies that prevent corruption, and the extent to which they include prevention and education;
- Legal safeguards of the independence of the body or bodies that prevent corruption, aimed at enabling them carrying out their functions effectiveness and protect them from any undue influence;
- The procedures for appointment of the head or heads of the body or bodies that prevent corruption as well as the procedures for the recruitment and selection of specialized staff;
- The procedures for ensuring the allocation of necessary material resources of the body or bodies that prevent corruption, including annual budgets and expenditures;
- Description of the mandatory and optional training requirements for staff of the body or bodies that prevent corruption to allow them to carry out their functions.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Reports prepared by the body or bodies that prevent corruption, including budgetary submissions and expenditure reports;
- Analytical assessments of the human and material resource needs of body or bodies that prevent corruption, including number of employees working on prevention activities;

- Studies, analysis and evaluation reports on the effectiveness and performance of the body or bodies that prevent corruption;
- Parliamentary reports regarding the effectiveness and performance of the body or bodies that prevent corruption.

Response:

Article 6, paragraph 3

3. *Each State Party shall inform the Secretary-General of the United Nations of the name and address of the authority or authorities that may assist other States Parties in developing and implementing specific measures for the prevention of corruption.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Has your country provided the information as prescribed above? If so, please also provide the appropriate reference

Guidance: The Secretary-General would be grateful if Governments would send the aforementioned information to the Secretary of the Conference of the States Parties to the United Nations Convention against Corruption, Corruption and Economic Crime Branch, United Nations Office on Drugs and Crime, Vienna International Centre, P.O. Box 500, 1400 Vienna, Austria (uncac.cop@unodc.org).

Response:

Article 7 – Public sector

Article 7, paragraph 1

1. *Each State Party shall, where appropriate and in accordance with the fundamental principles of its legal system, endeavour to adopt, maintain and strengthen systems for the recruitment, hiring, retention, promotion and retirement of civil servants and, where appropriate, other non-elected public officials:*

(a) *That are based on principles of efficiency, transparency and objective criteria such as merit, equity and aptitude;*

(b) *That include adequate procedures for the selection and training of individuals for public positions considered especially vulnerable to corruption and the rotation, where appropriate, of such individuals to other positions;*

(c) *That promote adequate remuneration and equitable pay scales, taking into account the level of economic development of the State Party;*

(d) *That promote education and training programmes to enable them to meet the requirements for the correct, honourable and proper performance of public functions and that provide them with specialized and appropriate training to enhance their awareness of the risks of corruption inherent in the performance of their functions. Such programmes may make reference to codes or standards of conduct in applicable areas.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: In relation to subparagraph 1 (a), information sought may include:

- The legal framework for recruitment and hiring, retention and promotion of civil servants and, where appropriate, other non-elected public officials, including any public examinations that may be administered as part of the process, and any specific criteria applied that aim at assessing their merit, equity and aptitude as well as their integrity;
- Description of the specific procedures for the recruitment and hiring of senior managers, if they are different from other civil servants;
- Description of the methods used to ensure that principles of efficiency, transparency and objectivity of criteria for human resource management are applied;
- Description of any safeguards aimed at guaranteeing the transparency and fairness of the recruitment process (e.g. the procedures and practices to publish and disseminate vacancy announcements, documentation or recording of interviews and rating of candidates, administration of written tests, use of interview panels);
- Description of the mechanism(s) to file a complaint or appeal against a human resource decision, including in relation to a recruitment process or decision.

In relation to subparagraph 1 (b), information sought may include:

- Which procedures are used to determine public positions considered especially vulnerable to corruption;
- Description of specific recruitment requirements and procedures for the selection of individuals to fill certain categories of positions considered especially vulnerable to corruption, including possible early identification of potential conflicts of interest;
- Rules and procedures for rotation of these categories of civil servants;
- Training requirements and curricula for individuals in public positions considered especially vulnerable to corruption.

In relation to subparagraph 1 (c), information sought may include:

- The authority that establishes the pay scales (basic salary, allowances, performance bonuses, etc.) applicable to public officials and set forth how the pay scales are determined;

- The criteria governing the increase or adjustment of the remuneration or part of the remuneration of civil servants;
- Description of how such remuneration and pay scales take into account the level of economic development of the State party;
- Description of the mechanism for administering the remuneration system for public officials.

In relation to subparagraph 1 (d), information sought may include:

- Institutions or systems for the education and training of public officials both in relation to integrity and corruption issues and more broadly in relation to their functions and necessary skills as a public official;
- Description of how integrity and corruption prevention are integrated into the training of civil servants and, where appropriate, other non-elected public officials;
- Description of any initial and ongoing training requirements and curricula for civil servants, as well as any reference to applicable codes or standards of conduct;
- Description of the criteria and process used to evaluate performance, as well as the consequences in cases of a failure to perform.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

In relation to subparagraph 1 (a), information sought may include:

- Examples in which measures (administrative practices) regarding the management and recruitment of civil servants and other non-elected public officials have been successfully introduced in practice;
- Examples in which an individual or a group of individuals has successfully used procedures to appeal against a decision made in relation to their employment status or conditions or recruitment decisions.

In relation to subparagraph 1 (b), information sought may include:

- Reports or studies produced regarding the existence and impact of specialized training for public officials in positions considered to be especially vulnerable to corruption;
- Assessment reports of civil servant positions or public sectors considered to be especially vulnerable to corruption;
- Case studies demonstrating the effectiveness of the measures taken in relation to such positions or sectors;

- Statistics regarding rotation of positions identified to be especially vulnerable to corruption.

In relation to subparagraph 1 (c), information sought may include:

Information may, in particular, include the following:

- Internal or external studies conducted to assess the adequacy of remuneration for public officials;
- Examples where the remuneration system or pay scales were adjusted and implemented;
- Publications of pay scales and the mechanism for automatic increases.

In relation to subparagraph 1 (d), information sought may include:

- Statistics regarding the number of public officials that have participated in general competency-building training and/or integrity and anti-corruption training;
- Internal or external studies demonstrating the impact of anti-corruption training in the public sector, for example, with reference to the willingness of public servants to report acts of corruption and to seek guidance on ethics related matters;
- Statistics regarding violations of applicable codes or standards of conduct by public officials, or failure to perform;
- Statistics on the number of integrity and anti-corruption trainings carried out per year;
- Training curricula and the methods or tools used to evaluate and improve training programmes.

Response:

Article 7, paragraph 2

2. *Each State Party shall also consider adopting appropriate legislative and administrative measures, consistent with the objectives of this Convention and in accordance with the fundamental principles of its domestic law, to prescribe criteria concerning candidature for and election to public office.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Minimum requirements – such as age, education, professional background, citizenship and integrity – to present a candidacy for election to hold elected public office;
- Criteria for disqualifying a person from presenting a candidacy for election to hold elected public office, such as a previous criminal conviction or other offence;

- Requirements of candidates for elected public office to:
 - (i) demonstrate the absence of a potential conflict of interest with the position sought or disclose certain information about relevant interests as a condition of their candidacy;
 - (ii) file asset declarations prior or upon entry into office;
 - (iii) demonstrate compliance with tax obligations, past and present;
- Description of sanctions, including disqualification, for presenting false or incomplete information in any of the above-mentioned disclosure requirements or for conduct during the campaign that would disqualify a candidate from presenting a candidacy for election;
- Description of focal points or units within the executive and legislative branch responsible for setting out standards on ethical behaviour and giving guidance to parliamentarians, ministers, etc. on ethical behaviour and corruption risks.

If your country has considered, but not adopted, any measures to implement this provision, please describe the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Examples of disclosures made by candidates for public office demonstrating their eligibility, including examples where a candidacy was rejected for failing to meet one or more of the applicable requirements. Statistics regarding disciplinary/criminal procedures against public officials or candidates for public office who have been sanctioned for presenting false or inaccurate information in making disclosures required by their candidacies, including any sanctions imposed;
 - Statistics on compliance with assets disclosure requirements;
 - Examples where a candidacy was initially accepted and subsequently disqualified based on additional information or an election overturned based on an invalid candidacy or conduct while a candidate;
 - Reports or other information on the process in which the adoption of any measure to implement the provision was considered.
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Response:**Article 7, paragraph 3**

3. *Each State Party shall also consider taking appropriate legislative and administrative measures, consistent with the objectives of this Convention and in accordance with the fundamental principles of its domestic law, to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The legal definition of what constitutes a donation or contribution to a political party;
- The laws, rules and regulations applicable to the funding of candidatures for elected public office;
- Sanctions for the violation of any relevant laws, rules and regulations applicable to political candidates or political parties;
- The laws, rules and regulations relevant to the funding of political parties;
- Description of any specific requirements aimed at enhancing transparency in the funding of candidatures for elected public office and political parties, such as:
 - (i) Requirements to prevent conflicts of interest in political donations;
 - (ii) Public disclosure of donations and donors, both private and public;
 - (iii) Requirement for candidates and political parties to maintain a separate account for financing of campaigns, including receipt of donations and allocations of expenditures;
 - (iv) Transparency of donations by foreign donors or legal entities including those wholly or partially owned by the State;
 - (v) Regular financial reporting obligations of donations and expenditures, including pre- and post-election, for candidates and political parties;
 - (vi) Recording requirements for information relevant to donations and expenditures, including the identification of individual and corporate donors, special interest or advocacy groups;
 - (vii) The mandate and responsibilities of administrators or treasurers for political candidates and political parties with regard to transparency;

- (viii) Description of the mechanisms in place to independently monitor the financing of political candidates or political parties.

If your country has considered, but not adopted, any measures to implement this provision, please describe the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Disclosure reports by candidates for public office and/or political parties and other relevant entities and whether such information is publicly available;
- Audit reports;
- Cases and/or statistics involving violations of the political funding provisions concerning transparency, including any sanctions applied or resulting criminal prosecutions;
- Public reports by Government institutions of public funding provided to candidates and parties.

Response:

Article 7, paragraph 4

4. *Each State Party shall, in accordance with the fundamental principles of its domestic law, endeavour to adopt, maintain and strengthen systems that promote transparency and prevent conflicts of interest.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 8, paragraphs 2 and 5, and articles 10 and 13 of the Convention in the present self-assessment report.

Information sought may include:

- Description of conflict of interest standard(s), indicating if these standards
 - (i) are publicized widely;
 - (ii) regulate the outside activities of public officials;
 - (iii) prohibit the holding by public officials of certain types of assets or positions in legal entities that are incompatible with their primary functions, such as an individual sitting on the board of a company;
 - (iv) limit the official actions a public official may take because of a conflict of interest;
 - (v) apply criminal, administrative or other sanctions where public officials do not comply with applicable conflicts of interest regulations;
- Description of training or advisory services to public officials regarding relevant conflicts of interest regulations;
- Description of declaration of interest system and public access to such declarations;
- Description of public access to information on government processes in which there is a higher risk of conflict of interest between the interests and activities of a public official and the particular type of government process;
- Description of responsibility of the specialized staff or bodies given responsibility to strengthen transparency and prevent conflicts of interest in government;
- Description of the institutional structure and procedures to oversee the compliance with conflict of interest legislation and apply respective sanctions.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 8, paragraphs 2 and 5 and articles 10 and 13 of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Examples in which conflicts of interest have been discovered and the specific measures taken in relation to the relevant public officials;
- Statistics regarding the number of cases taken forward regarding alleged breaches of conflicts of interest regulations;
- Statistics and studies on training officials on the conflicts of interest standards;

- Procedures on managing conflicts of interest in the public service and examples of their implementation;
- Statistics on resignations, recusals, divestitures or other steps required/taken in order to avoid conflicts of interest;
- Published declarations of interest.

Response:

Article 8 – Codes of conduct for public officials

Article 8, paragraph 1

1. In order to fight corruption, each State Party shall promote, inter alia, integrity, honesty and responsibility among its public officials, in accordance with the fundamental principles of its legal system.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 7 of the Convention in the present self-assessment report. Information sought may include:

- Laws, policies, administrative regulations or instructions or other practices aimed at promoting integrity, honesty and responsibility among public officials;
- Description of the oath of office or other forms of assurances by public officials upon induction that address the values above (i.e. upon entering service or periodically);
- Any positive incentives offered to public officials for the promotion of integrity, honesty and responsibility, such as annual integrity awards;
- Description of responsibility of specialized staff or bodies in the public administration to promote integrity, honesty and responsibility among public officials;
- Training programmes for public officials regarding the promotion of integrity, honesty and responsibility in public service, including whether this training is mandatory or optional, online or in-person.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 7 of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Internal or external studies on the measures taken to promote integrity, honesty and responsibility among public officials;
- Statistics regarding the number of public officials who have been trained, if applicable, and any assessments of the effectiveness of such trainings.

Response:

Article 8, paragraphs 2 and 3

2. *In particular, each State Party shall endeavour to apply, within its own institutional and legal systems, codes or standards of conduct for the correct, honourable and proper performance of public functions.*

3. *For the purposes of implementing the provisions of this article, each State Party shall, where appropriate and in accordance with the fundamental principles of its legal system, take note of the relevant initiatives of regional, interregional and multilateral organizations, such as the International Code of Conduct for Public Officials contained in the annex to General Assembly resolution 51/59 of 12 December 1996.*

1. Is your country in compliance with these provisions?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of correct, honourable and proper performance of public functions in any laws, policies, guidelines or similar;
- List of existing codes or standards of conduct for the performance of public functions. You may wish to explain if:
 - there is one code or set of standards of conduct for all public officials;
 - such code or codes is/are designed to be enforceable or aspirational;
 - there are different codes or standards of conduct for ministries, departments or other public sector offices;

- there are codes or standards of conduct that govern designated levels of officials, such as managers/leaders or particular professions;
 - there are codes or standards of conduct by profession; or
 - there is a combination of the above;
 - such codes or standards are reviewed and updated regularly;
- Description of how relevant initiatives of regional, interregional and multilateral organizations have been incorporated into codes or standards of conduct for public officials. Examples may include:
 - International Code of Conduct for Public Officials (annex to General Assembly resolution 51/59);
 - Standards of Conduct for the International Civil Service (General Assembly resolution 56/244);
 - Charter for the Public Service in Africa (annex to the letter dated 11 April 2001 from the Permanent Representative of Namibia to the United Nations addressed to the Secretary-General; A/56/63–E/2001/21); and
 - Ibero-American Charter for the Public Service (annex to the letter dated 28 July 2003 from the Permanent Mission of Bolivia to the United Nations addressed to the Secretary-General; A/58/193);
 - Description of responsibility to specialized staff or bodies to ensure that the codes or standards of conduct are applied, including induction and/or ongoing training, monitoring of compliance, the provision of advisory service on resolving ethical challenges as well as the review of alleged violations of the codes of conduct;
 - Description of any initiatives aimed at raising awareness of the codes or standards of conduct among public officials as well as among the public at large.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Codes or standards of conduct and/or ethics;
- Statistics regarding the number of training programmes on codes or standards of conduct held, the number of public officials trained, the frequency of training events and the curricula used;

- Internal or external studies that have evaluated the effectiveness of applicable codes or standards of conduct.

Response:

Article 8, paragraph 4

4. Each State Party shall also consider, in accordance with the fundamental principles of its domestic law, establishing measures and systems to facilitate the reporting by public officials of acts of corruption to appropriate authorities, when such acts come to their notice in the performance of their functions.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the systems established to facilitate the reporting by public officials of acts of corruption to appropriate authorities, such as hotlines or dedicated offices;
- Guidelines issued to public officials on the reporting of acts of corruption.

Response:

3. Please provide examples of implementation

Guidance: Information may, in particular include the following:

- Statistics regarding the number of reports made by public officials;
- Number of trainings on the reporting of acts of corruption.

Response:

Article 8, paragraph 5

5. *Each State Party shall endeavour, where appropriate and in accordance with the fundamental principles of its domestic law, to establish measures and systems requiring public officials to make declarations to appropriate authorities regarding, inter alia, their outside activities, employment, investments, assets and substantial gifts or benefits from which a conflict of interest may result with respect to their functions as public officials.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 7, paragraph 4 of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Description of the objectives of the declaration system applicable to public officials (prevention of conflict of interest, illicit enrichment, or both [dual system]).
- Where such a declaration system is in place, you may wish to provide information on the following:
 - Types (categories) of public officials required to make declarations and approximate total number of persons submitting declarations ;
 - Information that must be declared (assets, outside activities and employments, positions in companies, other associations, gifts and other benefits, liabilities, etc.);
 - Frequency of declarations required;
 - How declarations are submitted (in paper format, electronically, in person) and the entities to which they are submitted;
 - Availability of tools and advisory services that officials can use in order to comply with their disclosure-related obligations (guidelines for filling out forms, resources for learning about conflict of interest issues, resources for receiving tailored advice on specific conflict of interest situations, etc.);
 - Whether information is declared on assets of public officials' family members or members of public officials' households and under which circumstances such information is provided;
 - What mechanisms are in place for ensuring compliance with the obligation to disclose;
- Any mechanism in place to carry out the verification/monitoring of the content of declarations;
- Information on the verification mechanism, such as:
 - How many disclosures are verified (all, a certain percentage, etc.);
 - What triggers verification (complaints, routine verification/ex-officio, notifications from other institutions, random selection, etc.);

- What processes are involved in the verification/review process (checks for internal consistency, cross-checks with external databases, comparisons across years, identification of potential conflicts of interest, etc.);
- What information can be accessed during the verification/review process (from public officials or public and private sector entities);
- What happens once irregularities are identified (potential conflicts of interest, unjustified variations of wealth, inaccurate information, etc.);
- Whether and to what extent the content of disclosures (in summary form or all information disclosed) or names of persons submitting declarations are made available to the public and other public sector entities and, moreover, how the information is made available (upon individual request, on-line, etc.);
- Number of trained staff dedicated to collection, compliance, providing advisory services to officials, making disclosures publicly available, verification, sending referrals to other entities; what types of sanctions are available in the declaration system (for non-submission, actual conflict of interest, false statement, illicit enrichment, etc.).

Response:

3. Please provide examples of implementation

Guidance: You may wish to refer to any relevant information provided on article 7, paragraph 4 of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement.

Information may, in particular, include the following:

- Statistics regarding the level of compliance with obligation to submit declarations;
- Number of cases in which potential conflicts of interest were identified and officials were advised on how to manage them;
- Number of cases in which incompatibilities were identified, and examples of measures that were taken accordingly;
- Number of officials who sought advice on conflict of interest related-issues;
- Statistics on the number/percentage of declarations that raised red flags during verification/review, required follow-up and those that did not require follow-up;
- Referrals made to other institutions when indications of incomplete or inaccurate information, potential corruption offences (for example illicit enrichment), actual conflict of interest situations, incompatibilities, potential tax evasion, etc. were identified;

- Sanctions imposed for failure to comply with obligation to disclose, for disclosing incomplete or inaccurate information, for actual conflict of interest situations or other sanctions imposed as a result of referrals to other institutions for further action.

Response:

Article 8, paragraph 6

6. Each State Party shall consider taking, in accordance with the fundamental principles of its domestic law, disciplinary or other measures against public officials who violate the codes or standards established in accordance with this article.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the channels for reporting violations of codes or standards by public officials, including available measures for whistle-blower protection;
- Description of disciplinary or other measures that may be taken against public officials who violate the codes or standards of conduct and how such disciplinary measures are being recorded;
- Outline of the process, including steps that need to be taken, before a public official can be sanctioned, as well as the availability of any appeal processes;
- Description of the institutional mechanism mandated to investigate suspected violations, make decisions on sanctions and ensure that the disciplinary or other measures are enforced;
- Advisory services provided to public officials regarding the sanctions that could be imposed for breaching the codes or standards of conduct.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Examples in which public officials have been sanctioned for violating the codes or standards of conduct, as well as the specific measures taken;
- Statistics regarding the number of public officials who have been sanctioned, the type of violations that have occurred and which sanctions were imposed;
- Internal or external reports regarding the effectiveness of investigation and disciplinary procedures.

Response:

Article 9 – Public procurement and management of public finances

Article 9, paragraph 1

1. *Each State Party shall, in accordance with the fundamental principles of its legal system, take the necessary steps to establish appropriate systems of procurement, based on transparency, competition and objective criteria in decision-making, which may take into account appropriate threshold values in their application shall address, inter alia:*

(a) The public distribution of information relating to procurement procedures and contracts, including information on invitations to tender and relevant or pertinent information on the award of contracts, allowing potential tenders sufficient time to prepare and submit their tenders;

(b) The establishment, in advance, of conditions for participation, including selection and award criteria and tendering rules, and their publication;

(c) The use of objective and predetermined criteria for public procurement decisions, in order to facilitate the subsequent verification of the correct application of the rules or procedures;

(d) An effective system of domestic review, including an effective system of appeal, to ensure legal recourse and remedies in the event that the rules or procedures established pursuant to this paragraph are not followed;

(e) Where appropriate, measures to regulate matters regarding personnel responsible for procurement, such as declaration of interest in particular public procurements, screening procedures and training requirements.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the system of public procurement, including how the system is based on transparency, competition and objective criteria in decision-making. In providing this information, you may wish to include the following:
 - Procedures used for determining conditions for participation in a tender, including selection and award criteria as well as tendering rules, and any weight given to a particular criterion (such as the price);
 - Provisions for establishing a sufficient time for potential tenders to prepare and submit their tenders;
 - The means and procedures by which procurement decisions are announced and published and to what extent there is a threshold value that must be reached for an open procedure to be mandatory;
 - Permissible grounds for the rejections of tenders;
 - Rules that allow for the use of procurement methods other than open tender procedures and information relating to procurement procedures and contracts are publicly distributed and available;
 - Procedures that allow for changes in the tendering rules and or selection/award criteria during the procuring procedure;
 - Consequences for failing to follow the applicable laws, regulations and procedures including those regarding publication;
- In providing this information, please indicate whether and to what extent the system of public procurement adheres to the standards of the UNCITRAL Model Law on Procurement of Goods, Construction and Services (2011);
- The procedures and content required regarding the public distribution of invitations to tender, including, for example:
 - Means by which such invitations are published;
 - Inclusion of all relevant and pertinent information on the award of contracts;
 - Manner of application (including the use of electronic procurement platforms); and
 - Criteria to be used for selection and award;
- The procedures, rules and regulations for review of the procurement process, including the system of appeal and available legal recourse or remedies;
- Description of the selection of personnel responsible for procurement, including declarations of interest and potential conflicts in particular cases (manner and required disclosures), screening procedures and training requirements (at induction and ongoing) and curricula, rotation of personnel;
- Description of any other administrative practices promoting integrity in procurement (such as debarment procedures etc.).

Response:**3. Please provide examples of the implementation of those measures**

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Statistics regarding the extent to which the system of public procurement is used, including cases that illustrate procurement decisions taken on the basis of transparent, competitive and objective criteria;
- Internal or external assessment reports regarding the effectiveness of the system of public procurement and the extent to which it is based on transparency, competition and objective criteria in decision-making;
- Statistics regarding the number of public procurement processes conducted, the subject matter of the procurement processes, the number and diversity of tenders and the resulting outcomes and award decisions;
- Examples of invitations to tender, and descriptions of the media through which those invitations were published;
- Standard bidding documents used to submit a tender;
- Guidelines on the conduct of tender procedures;
- Cases involving a successful appeal or challenge to a procurement process;
- Statistics on the number of procurement officers trained, including applicable curricula, guidance manuals and other material.

Response:**Article 9, paragraph 2**

2. *Each State Party shall, in accordance with the fundamental principles of its legal system, take appropriate measures to promote transparency and accountability in the management of public finances. Such measure shall encompass, inter alia:*

- (a) *Procedures for the adoption of the national budget;*
- (b) *Timely reporting on revenue and expenditure;*
- (c) *A system of accounting and auditing standards and related oversight;*

(d) *Effective and efficient systems of risk management and internal control; and*

(e) *Where appropriate, corrective action in the case of failure to comply with the requirements established in this paragraph.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: In relation to subparagraph 2 (a), information sought may include:

- The applicable laws, regulations and procedures for the preparation and adoption of national budgets, including those that specify the type of information required as part of the submission to the legislature;
- Description of how and the extent to which budget proceedings are made public, including the role of the media in this regard;
- Description of the extent to which there is opportunity for public input and debate concerning the proposed national budget before its adoption;
- Consequences for failing to comply with the applicable laws, regulations and procedures including those regarding publication.

In relation to subparagraph 2 (b), information sought may include:

- Outline of the requirements for reporting on revenue and expenditure, including the following information, if available:
 - Timeline and frequency for government reporting of revenue and expenditure including consequences for failure to report at all or for failure to report in a timely manner;
 - Institution or agency responsible for preparing revenue and expenditure reports;
- Body or bodies to which the reports are distributed, including the extent to which the reports are available to the public.

In relation to subparagraph 2 (c), information sought may include:

- The laws, regulations and rules governing accounting and internal and external auditing standards for the national budget and the administration of public finances;
- Examples of measures/steps taken to address problems detected;
- Training and accreditation requirements for government accountants and auditors;
- Oversight, supervision and evaluation of the performance of government accountants and auditors.

In relation to subparagraph 2 (d), information sought may include:

- Outlines of the systems of risk management and internal control currently in place and on what level they operate (office, department, ministry, government-wide, etc.);

- The means by which systems of risk management and internal control are designed, implemented and reviewed, including the department or agency responsible;
- Description of the roles and responsibilities of public officials authorized to certify payment orders, financial reports, etc., and the extent of liability for unintentional errors or financial wrongdoing by subordinates;
- Description of how the offices responsible for risk management and internal control maintain, organize and store records.

In relation to subparagraph 2 (e), information sought may include:

- Outline of possible corrective action in the management of public finances, including:
 - Types of corrective action permitted;
 - Time allowed for corrective action to be taken following an auditor’s report or in other circumstances;
 - Mechanism to ensure oversight and implementation of corrective action;
- Description of how recommendations for corrective action are tracked and followed up, including potential consequences for failing to take corrective action or failing to audit when required.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

In relation to subparagraph 2 (a), information sought may include:

- Reports regarding the most recent national budget submission and adoption process;
- Internal or external reports regarding the extent to which the process through which the national budget is adopted reflects the promotion of transparency and accountability.

In relation to subparagraph 2 (b), information sought may include:

- Examples of consequences imposed for failure to report in a timely manner;
- Recent revenue and expenditure reports;
- Information on means of reporting (i.e. newspapers, websites, etc.).

In relation to subparagraph 2 (c), information sought may include:

- Recent accounting and/or audit reports concerning government revenues, expenditures and management of the national budget.

In relation to subparagraph 2 (d), information sought may include:

- Internal or external reports regarding the effectiveness and efficiency of the risk management system and internal controls;
- Statistics on number of reports made of suspected financial mismanagement or misconduct, including the number of follow-up investigations and their outcomes.

In relation to subparagraph 2 (e), information sought may include:

- Cases where corrective actions were required and taken in the management of public finances;
- Statistics on number of follow-up instances and corrective actions taken, following accounting, auditing or other financial management reports, including the time taken between the issuance of the reports and the initiation of corrective action;
- Statistics regarding any sanctions imposed against individuals and agencies for failing to adopt corrective action within the prescribed time.

Response:**Article 9, paragraph 3**

3. *Each State Party shall take such civil and administrative measures as may be necessary, in accordance with the fundamental principles of its domestic law, to preserve the integrity of accounting books, records, financial statements or other documents related to public expenditure and revenue to prevent the falsification of such documents.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention**Guidance:** Information sought may include:

- Description of the mechanism for recording, storing and preserving the integrity of accounting books, records, financial statements and other related documents, including any national archiving or other recordkeeping institution;
- Outline of the general schedule of records retention and disposition, including any controls or security standards for government records;
- Outline of the government policies and procedures regarding the storage and preservation of electronic records, including security measures;
- Standards to prevent the falsification of official government accounting books, records, financial statements or other documents;

- Potential consequences, penalties or offences for falsifying official government accounting books, records, financial statements or other documents.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Statistics regarding the amount of information or number of documents currently in storage, added within the last year or disposed of per a scheduled cycle;
- Examples demonstrating the effectiveness of the system for preserving integrity of such records, including cases of the discovery or prevention of an act of falsification of official government accounting books, records, financial statements or other documents and whether investigations resulted and their outcomes;
- Examples of consequences for the failure to record and/or maintain records and/or the deliberate destruction of records that were required to be maintained.

Response:

Article 10 – Public reporting

Article 10, subparagraph (a)

Taking into account the need to combat corruption, each State Party shall, in accordance with the fundamental principles of its domestic law, take such measures as may be necessary to enhance transparency in its public administration, including with regard to its organization, functioning and decision-making processes, where appropriate. Such measures may include, inter alia:

(a) Adopting procedures or regulations allowing members of the general public to obtain, where appropriate, information on the organization, functioning and decision-making processes of its public administration and, with due regard for the protection of privacy and personal data, on decisions and legal acts that concern members of the public;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 13, subparagraph 1(b) of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Outline of the laws, procedures or regulations allowing members of the general public to obtain information on the organization, functioning and decision-making processes of public administration;
- Description of the type of information to be proactively made available and automatically published by the government, including details as to:
 - The types of bodies required to publish information;
 - The scope of the information that is published;
 - The means by which the information is published;
 - How often the information is updated;
- Description of the types of information to be made available upon request by a member of the public (i.e. freedom of information or access to information legislation);
- Standards to protect privacy and personal data in the disclosure of such information;
- Description of awareness-raising initiatives amongst the public regarding what information is available and how it can be accessed;
- Mechanism to appeal against the denial of requests for access to information.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 13, subparagraph 1(b) of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Websites, libraries, archives or other means by which information about the organization, and functioning and decision-making of government is made available to the general public;
- Official government gazettes and publications;
- Statistics regarding the usage of these sources by the public;
- Examples in which requests received under freedom of information or access to information laws have led to the release of information about the organization, and

- functioning and decision-making processes of government that would otherwise not have been made publicly available;
- Examples demonstrating how the protection of public privacy and personal data has been maintained in the context of the disclosure of such information;
 - Data (statistics and examples) on appeals against the denial of a request for access to information;
 - Statistics on number of access to information requests and the results of these requests.

Response:

Article 10, subparagraph (b)

Taking into account the need to combat corruption, each State Party shall, in accordance with the fundamental principles of its domestic law, take such measures as may be necessary to enhance transparency in its public administration, including with regard to its organization, functioning and decision-making processes, where appropriate. Such measures may include, inter alia:

(b) Simplifying administrative procedures, where appropriate, in order to facilitate public access to the competent decision-making authorities; and

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Outline of applicable administrative procedures to facilitate public access to competent decision-making authorities. Please include the following information, if applicable:
 - Standards, rules or regulations governing responsiveness to requests for public access to decision-making authorities;
 - Reform efforts undertaken to simplify administrative procedures or expedite the processing of requests made to government bodies by members of the public;
 - Designation of officials or entities responsible for providing information to the public;
 - Examples of proactive publication of information by institutions without a special request.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Internal or external reports regarding the effectiveness and efficiency of administrative procedures in the facilitation of public access to competent decision-making authorities;
 - Reports regarding the outcome and/or implementation of any reform measures taken to simplify such administrative procedures.
-

Response:

Article 10, subparagraph (c)

Taking into account the need to combat corruption, each State Party shall, in accordance with the fundamental principles of its domestic law, take such measures as may be necessary to enhance transparency in its public administration, including with regard to its organization, functioning and decision-making processes, where appropriate. Such measures may include, inter alia:

(c) Publishing information, which may include periodic reports on the risks of corruption in its public administration.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Measures taken to publish information referred to in subparagraphs (a) and (b);
 - Policies and procedures providing for the publication of periodic reports on the risks of corruption in public administration. Please include the following information, if applicable:
 - The frequency of the publication of such reports;
-

- The scope of such reports; The mechanism through which such reports are prepared, including the institutions, offices and/or agencies responsible and other stakeholders consulted.

Response:**3. Please provide examples of the implementation of those measures**

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Government reports assessing the risk of corruption in public administration;
- Examples of efforts made by the government to publicize the existence, results and findings of such reports.

Response:***Article 11 – Measures relating to the judiciary and prosecution services*****Article 11, paragraph 1**

1. Bearing in mind the independence of the judiciary and its crucial role in combating corruption, each State Party shall, in accordance with the fundamental principles of its legal system and without prejudice to judicial independence, take measures to strengthen integrity and to prevent opportunities for corruption among members of the judiciary. Such measures may include rules with respect to the conduct of members of the judiciary.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The constitutional and legal framework applicable to ensure the independence and integrity of the judiciary;
- Codes of conduct and disciplinary mechanisms applicable to members of the judiciary and the establishment of focal points or units within the judicial branch responsible for giving guidelines to judges on ethical behaviour, corruption risks, etc. In describing such measures, you may wish to point out whether they were developed with reference to international standards (such as the Basic Principles on the

Independence of the Judiciary and the Bangalore Principles on Judicial Conduct);

- Description of any measures aimed at increasing transparency and accountability in the selection, recruitment, training, performance management and removal of members of the judiciary;
- Description of induction and ongoing training requirements and curricula for members of the judiciary, particularly in terms of codes of conduct, integrity and independence;
- Description of the standard for determining a potential conflict of interest for a judge and the steps that are required to be taken to address that conflict;
- Procedures on asset declarations by judges and how they are used to prevent conflicts of interest, including in relation to the assignment of cases;
- Description of any measures aimed at guaranteeing transparency in the court process, for example by allowing public and media access to court proceedings, facilitating access to court judgments and raising public awareness through information sharing and outreach programmes;
- Description of the procedures governing case assignment and distribution.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Cases in which the violation of a judicial code of conduct has led to the application of disciplinary measures;
- Statistics on total number of disciplinary cases and examples of disciplinary sanctions or prosecution of judges;
- Statistics on the total number of the judges and their workload;
- Reports identifying ethical dilemmas, corruption risks etc. for the judiciary and measures to eliminate/manage them;
- Examples in which members of the judiciary have been subject to criminal proceedings as a result of alleged acts of corruption;
- Statistics regarding the number of reports on corruption in the judiciary received, including mechanisms in place to facilitate such reporting, number of investigations that resulted and their outcomes;
- Statistics regarding case management systems, including trend analysis concerning increased efficiency in case management, particularly in the context of any reforms that have been taken in this area;

- Statistics and case studies demonstrating the impact of educational and training programmes for members of the judiciary as regards their adherence to judicial codes or standards of conduct;
- Information about the system of asset declarations of judges and how they are used to prevent conflicts of interest (particularly if related to the case assignment system in order to avoid assigning a judge who has to recuse him or herself from the case due to a conflict of interest).

Response:**Article 11, paragraph 2**

2. *Measures to the same effect as those taken pursuant to paragraph 1 of this article may be introduced and applied within the prosecution service in those States Parties where it does not form part of the judiciary but enjoys independence similar to that of the judicial service.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 8 and article 11, paragraph 1 of the Convention in the present self-assessment report. Information sought may include:

- The constitutional and legal framework applicable to ensure the independence and integrity of the prosecution service;
- Codes of conduct and disciplinary mechanisms applicable to members of the prosecution service and the identification of focal points or units within the prosecution service responsible for setting out standards on ethical behaviour and providing guidance to prosecutors on ethical behaviour, corruption risks, etc. In describing such measures, please also point out whether they were developed with reference to international standards such as the Guidelines on the Role of Prosecutors and the Standards of Professional Responsibilities and the Statement of the Essential Duties and Rights of Prosecutors;
- Description of any measures aimed at increasing transparency and accountability in the selection, recruitment, training, performance management and removal of members of the prosecution service;
- Description of induction and ongoing training requirements and curricula for members of the prosecution service, particularly in terms of codes of conduct, integrity and independence;
- Description of procedures governing case assignment and distribution in relation to the prosecution service;

- Procedures on providing information about asset declarations of prosecutors and how they are used to prevent conflicts of interest (particularly if related to the case assignment system in order to avoid assigning a prosecutors who has to recuse him or herself from the case due to a conflict of interest).

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Examples in which the breach of a prosecutorial code of conduct has led to the application of disciplinary measures;
- Cases in which members of the prosecution service have been subject to criminal proceedings as a result of alleged acts of corruption;
- Statistics regarding the number of reports of corruption in the prosecution service received, including mechanisms in place to facilitate such reporting, number of investigations that resulted and their outcomes;
- Statistics and case studies demonstrating the impact of educational and training programmes for members of the prosecution as regards their adherence to prosecutor codes or standards of conduct;
- Information about the system of financial disclosures of prosecutors and how they are used in systems to prevent conflicts of interest (particularly if related to case assignment system in order to avoid assigning a prosecutor who has to recuse him or herself from the case due to a conflict of interest).

Response:

Article 12 – Private sector

Article 12, paragraph 1

1. Each State Party shall take measures, in accordance with the fundamental principles of its domestic law, to prevent corruption involving the private sector, enhance accounting, and auditing standards in the private sector, and where appropriate, provide effective, proportionate and dissuasive civil, administrative, or criminal penalties for failure to comply with such measures.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Standards and procedures designed to prevent corruption in the private sector, such as anti-corruption and corporate governance related laws, regulations, policies, procedures and guidance, internal controls, codes of conduct and corporate manuals;
- Accounting and auditing standards for the private sector which promote transparency, compliance, integrity in business transactions and the detection of misconduct;
- Civil, administrative and/or criminal penalties that may be imposed by the government against private sector entities for failure to comply with the measures outlined above. Such penalties may include the following:
 1. Financial penalties;
 2. Debarment;
 3. Suspension;
 4. Loss of privileges or preferred status;
 5. Suspension or revocation of professional accreditation for attorneys or accountants;
 6. Criminal prosecution of individuals and legal entities.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Internal or external reports regarding the adoption and implementation of guidelines in the private sector, procedures or policies to prevent corruption promulgated by the government;
- Internal or external reports or other efforts promoting the adoption and implementation of risk-based, tailored guidelines, procedures or policies aimed at preventing corruption in the private sector;
- Statistics regarding the number of complaints received on corruption in the private sector, including types of corruption reported, number of follow-up investigations and their outcomes;

- Statistics and cases regarding the application of civil, administrative and/or criminal penalties against private sector entities or their managers or officers for corruption and violations of accounting and auditing standards.

Response:

Article 12, paragraph 2

2. *Measures to achieve these ends may include, inter alia:*

- (a) *Promoting cooperation between law enforcement agencies and relevant private entities;*
- (b) *Promoting the development of standards and procedures designed to safeguard the integrity of relevant private entities, including codes of conduct for the correct, honourable and proper performance of the activities of business and all relevant professions and the prevention of conflicts of interest, and for the promotion of the use of good commercial practices among businesses and in the contractual relations of businesses with the State;*
- (c) *Promoting transparency among private entities, including, where appropriate, measures regarding the identity of legal and natural persons involved in the establishment and management of corporate entities;*
- (d) *Preventing the misuse of procedures regulating private entities, including procedures regarding subsidies and licenses granted by public authorities for commercial activities;*
- (e) *Preventing conflicts of interest by imposing restrictions, as appropriate and for a reasonable period of time, on the professional activities of former public officials or on the employment of public officials by the private sector after their resignation or retirement, where such activities or employment relate directly to the functions held or supervised by those public officials during their tenure;*
- (f) *Ensuring that private enterprises, taking into account their structure and size, have sufficient internal auditing controls to assist in preventing and detecting acts of corruption and that the accounts and required financial statements of such private enterprises are subject to appropriate auditing and certification procedures.*

1. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 39 of the Convention in the previous self-assessment report.

Information may, in particular, include the following:

- Description of any measures aimed at promoting and encouraging cooperation between law enforcement agencies and relevant private entities, including the following:
 - Mechanisms for internal reporting of corruption and whistle-blower protection;
 - Legal or other incentives that encourage private entities to report instances of corruption to regulatory and/or law enforcement agencies;

- Mechanisms and procedures used by law enforcement to strengthen cooperation with the private sector, including outreach, points of contact and confidential reporting lines;
- Description of measures aimed at promoting the development of standards and procedures designed to safeguard the integrity of private sector entities, including through the distribution of models, guidance, good practices and/or training on the following:
 - Codes of conduct for private entities in the performance of business activities, including for relevant professions (legal, medical, construction, etc.) and in the prevention of conflicts of interest; and
 - Standards representing good business practices, both among businesses and in any contractual relations they may have with the State;
- Description of any measures aimed at promoting transparency among private entities, such as through public corporate registration requirements, including the identities of legal and natural person involved in the establishment and management of corporate entities; and requirements as to transparency of beneficial ownership of legal entities, including availability and accessibility of the beneficial ownership information by relevant competent authorities;
- Description of any measures aimed at providing public oversight of the use of subsidies by private entities and licenses granted by public authorities for commercial activities, including appropriate sanctions and penalties for their misuse;
- Description of any measures aimed at preventing conflicts of interest concerning former public officials in private entities, such as through the following:
 - Restrictions, for a reasonable period of time, on the professional activities of former public officials;
 - Restrictions, for a reasonable period of time, on the employment of former public officials by the private sector after resignation or retirement;
- Description of any requirements for private enterprises to establish internal auditing controls sufficient (based on their structure and size) to assist in preventing and detecting acts of corruption. Such measures may include the following:
 - Mandatory periodic disclosure to government audit or oversight bodies of financial statements of private enterprises;
 - Random and/or regular government audit and certification procedures for financial records of private enterprises;
 - Promulgation of standards for the establishment internal auditing controls in private enterprises, including recordkeeping, financial management reporting and compliance with applicable laws and regulations.

Response:

2. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 39 of the Convention in your previous self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Cases and/or statistics regarding the cooperation between law enforcement agencies and relevant private entities, including cases referred by private entities to law enforcement of suspected acts of corruption;
- Statistics regarding the number of private entities adopting standards and procedures to safeguard integrity, including codes of conduct and the prevention of conflicts of interest;
- Statistics regarding the number of private entities registering with the State that disclose the identity of legal and natural persons involved in the establishment and management of the business;
- Information as to the availability and accessibility of beneficial ownership information of legal entities and legal arrangements in so far as they are used to conduct business or carry out transactions, or act as directors and/or shareholders of legal entities;
- Cases and/or statistics regarding sanctions or penalties imposed for the misuse of procedures for granted subsidies or licenses;
- Cases regarding the prohibition of former public officials from participating in professional activities or private sector employment based on a potential conflict of interest;
- Statistics regarding the number of private entities adopting internal auditing controls in compliance with standards set by the State;
- Cases and/or statistics on criminal fraud relating to the private sector.

Response:

Article 12, paragraph 3

3. *In order to prevent corruption, each State Party shall take such measures as may be necessary, in accordance with its domestic laws and regulations regarding the maintenance of books and records, financial statement disclosures and accounting and auditing standards, to prohibit the following acts carried out for the purpose of committing any of the offences established in accordance with this Convention:*

- (a) *The establishment of off-the-books accounts;*
- (b) *The making of off-the-books or inadequately identified transactions;*
- (c) *The recording of non-existent expenditure;*
- (d) *The entry of liabilities with incorrect identification of their objects;*

- (e) *The use of false documents; and*
- (f) *The intentional destruction of bookkeeping documents earlier than foreseen by the law.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on other parts of this article and article 9 of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Rules, regulations and procedures for private entities regarding the maintenance of books and records, financial statement disclosures and accounting and auditing standards. In describing these measures, please make reference to those that aim to prohibit the following acts:
 - The establishment of off-the-books accounts;
 - The making of off-the-books or inadequately identified transactions;
 - The recording of non-existent expenditure;
 - The entry of liabilities with incorrect identification of their objects;
 - The use of false documents;
 - The intentional destruction of bookkeeping documents earlier than foreseen by the law.
- Description of possible sanctions or penalties the government may impose on private entities for failure to comply with such rules, regulations and procedures.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to information provided in relation to other parts of this article and article 9. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Studies and/or statistics on levels of compliance by private entities with rules, regulations and procedures established by the State;

- Examples of measures implemented by private entities to prohibit the acts listed above;
- Cases and/or statistics regarding the imposition of sanctions or penalties the government has imposed on private entities for failure to comply with relevant rules, regulations and procedures, including any remedial action that was taken.

Response:**Article 12, paragraph 4**

4. *Each State Party shall disallow the tax deductibility of expenses that constitute bribes, the latter being one of the constituent elements of the offences established in accordance with articles 15 and 16 of this Convention and, where appropriate, other expenses incurred in furtherance of corrupt conduct.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of the legislation or other requirements that disallow the tax deductibility of expenses that constitute bribes, consistent with articles 15 and 16 of the Convention;
- Description of the legislation or other requirements that disallow the tax deductibility of expenses incurred in furtherance of corrupt conduct.

Response:**3. Please provide examples of the implementation of those measures**

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include statistics and/or cases where tax deductibility was denied by the tax authorities based on the expenses constituting a bribe or otherwise in furtherance of corrupt conduct.

Response:

Article 13 – Participation of society

Article 13, subparagraph 1(a)

1. Each State Party shall take appropriate measures, within its means and in accordance with the fundamental principles of its domestic law, to promote the active participation of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption and to raise public awareness regarding the existence, causes and gravity of and the threat posed by corruption. This participation should be strengthened by such measures as:

(a) Enhancing the transparency of and promoting the contribution of the public to decision-making processes;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 10 of the Convention in the present self-assessment report. Information sought may include:

- Description of citizen and stakeholder involvement in decision-making processes, such as through large-scale consultations, online platforms, working groups, task forces, citizen referenda and community meetings, and measures to promote such involvement;
- Description of any measures adopted to promote an institutional culture of transparency, open data, open-door policies and regular communication between government and civil society;
- Description of any measures adopted to allow members of the public to decide or contribute to decisions on how to allocate parts of the public budget in specific institutions;
- Description of any measures adopted to provide opportunities to individuals and groups outside the public sector to be consulted during legislative drafting processes;
- Requirement for public consultations before issuing regulations or other administrative policies and any consequences in the case of failure to adhere to this public participation requirement.

Response:

3. Please provide examples of the implementation of those measures

Guidance Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Strategic plans that include elements of public participation plans;
- Relevant press releases, online information and other publications inviting individuals and groups outside the public sector to participate in government decision-making processes;
- Minutes of meetings, copies of agreements reached through or with public participation and similar publications;
- Number of regulations/policies issues following the required notice and participation process;
- Data on processing applications from the public for participation in these procedures.

Response:

Article 13, subparagraph 1(b)

1. Each State Party shall take appropriate measures, within its means and in accordance with the fundamental principles of its domestic law, to promote the active participation of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption and to raise public awareness regarding the existence, causes and gravity of and the threat posed by corruption. This participation should be strengthened by such measures as:

(b) Ensuring that the public has effective access to information;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 10 of the Convention in the present self-assessment report. Information sought may include:

- Legislation, regulations, policies and procedures regarding public access to information, including details regarding:
 - Means by which requests may be submitted (in writing, via internet, via telephone);
 - The types of bodies required to publish information;
 - The scope of the published information;

- Any information that must be submitted by the requester as part of the request for information;
 - Costs charged to submit a request;
 - Applicable time limits within which the government must respond to the request;
 - Grounds on which a request for information from the public may be denied;
 - Right to apply for a review or an appeal of a decision denying access to information;
- Description of staff or entity responsible for administering the access to information requests;
 - Description of steps taken to ensure that all public officials are aware of obligations to provide information to the public upon request;
 - Description of steps taken to ensure that the existing laws, regulations, policies and procedures regarding access to information are widely known and accessible to the public;
 - Description of the means by which the public is informed on how to access information.

Response:**3. Please provide examples of the implementation of those measures**

Guidance: You may wish to refer to any relevant information provided on article 10 of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Statistics regarding the number of requests received, the number of responses provided and the average time for providing a response;
- Statistics and/or examples regarding any requests for information that were denied, including the grounds for denial;
- Statistics and/or cases regarding the review or appeal of a decision denying access to information and the decisions taken in this regard.

Response:

Article 13, subparagraph 1(c)

1. Each State Party shall take appropriate measures, within its means and in accordance with the fundamental principles of its domestic law, to promote the active participation of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption and to raise public awareness regarding the existence, causes and gravity of and the threat posed by corruption. This participation should be strengthened by such measures as:

(c) Undertaking public information activities that contribute to non-tolerance of corruption, as well as public education programmes, including school and university curricula;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Description of public information (education and awareness-raising) activities, including specific initiatives targeting groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations which contribute to non-tolerance of corruption;
- Description of various means and/or technologies have been used for the purposes of undertaking public information activities;
- Description of educational courses or modules that have been introduced in primary and secondary schools that include aspects related to corruption or related issues such as ethics, civic rights or governance;
- Description of educational course or modules that have been introduced in universities that include aspects related to corruption or related issues such as public administration, public procurement, ethics, criminal law or corporate governance.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Posters, flyers, handouts, brochures, publications and other awareness-raising material;
- Internal or external evaluation reports or other means of measuring the impact of the public education or awareness-raising programmes;

- Training manuals, curricula, syllabi, course packets, websites and/or other educational material;
- Statistics on number of students or members of the general public participating in anti-corruption education programmes or public information campaigns.

Response:**Article 13, subparagraph 1(d)**

1. Each State Party shall take appropriate measures, within its means and in accordance with the fundamental principles of its domestic law, to promote the active participation of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption and to raise public awareness regarding the existence, causes and gravity of and the threat posed by corruption. This participation should be strengthened by such measures as:

(d) Respecting, promoting and protecting the freedom to seek, receive, publish and disseminate information concerning corruption. That freedom may be subject to certain restrictions, but these shall only be such as are provided for by law and are necessary:

- (i) For respect of the rights or reputations of others;*
- (ii) For the protection of national security or ordre public or of public health or morals.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 10 and article 13, subparagraph 1(b) of the Convention in the present self-assessment report.

Information sought may include:

- Outlines of the procedures or regulations that ensure the freedom of the public to seek and receive information concerning corruption. You may wish to include the following information, if applicable:
 - The extent to which such information is proactively and systematically published by the government;
 - The extent to which such information is available upon request for access to information by a member of the public;
- Outlines of the legislation or procedures that ensure the freedom to publish and disseminate information concerning corruption;
- Any restrictions to the exercise of the freedom to seek, receive, publish and disseminate this information, including:
 - Restrictions for the respect of the rights or reputation of others (libel and defamation laws, etc.);

- Restrictions for the protection of national security or *ordre public* or of public health or morals;

- Description of how such restrictions are applied in practice;
- Description of procedures that allow for a member of the public to apply for a review or appeal of the application of such a restriction by the government.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 10 and article 13 subparagraph 1(b) of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Research or studies on the exercise of the freedom to seek, receive, publish and disseminate information on corruption;
- Websites, libraries, archives or other locations where information on the work of government is proactively and systematically made available to the public;
- Statistics regarding number of public requests received for information concerning corruption, including responses provided;
- Statistics/examples of information about corruption that is published or disseminated by government;
- Statistics and examples regarding any applications of restrictions to the freedom to seek, receive, publish and disseminate information concerning corruption;
- Cases of review or appeal of the application of a restriction and their outcomes.

Response:

Article 13, paragraph 2

2. *Each State Party shall take appropriate measures to ensure that the relevant anti-corruption bodies referred to in this Convention are known to the public and shall provide access to such bodies, where appropriate, for the reporting, including anonymously, of any incidents that may be considered to constitute an offence established in accordance with this Convention.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 8, paragraph 4 of the Convention in the present self-assessment report, as well as information provided on articles 32 and 33 of the Convention in your previous self-assessment report.

Information sought may include:

- Description of public information campaigns which promote knowledge of the existence of these bodies;
- Description of the means of access to these bodies to report acts of corruption by the public;
- Description of the operational mechanism and applicable procedures for such reporting channels, including reporting obligations, information to be provided and whether reports may be made anonymously.;
- Information relating to protection for members of the public to report acts of corruption, including physical protection as well as protection from workplace or other retaliation.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 8, paragraph 4 of the Convention in the present self-assessment report, as well as information provided on articles 32 and 33 of the Convention in your previous self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Examples of public information campaigns and any studies on their effectiveness;
- Statistics on the number and substance of reports of acts of corruption made by members of the public;
- Statistics on the number of resultant investigations and their outcomes;
- Cases illustrating the effectiveness of the measures taken;
- Statistics on the number of reporting persons receiving some form of protection, including the type of protection administered.

Response:

B. Money-laundering (arts. 14, 52 and 58)

Article 14: Measures to prevent money-laundering

Article 14, subparagraph 1(a)

1. *Each State Party shall:*

(a) *Institute a comprehensive domestic regulatory and supervisory regime for banks and non-bank financial institutions, including natural or legal persons that provide formal or informal services for the transmission of money or value and, where appropriate, other bodies particularly susceptible to money-laundering, within its competence, in order to deter and detect all forms of money-laundering, which regime shall emphasize requirements for customer and, where appropriate, beneficial owner identification, record-keeping and the reporting of suspicious transactions;*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to include information on the legal provisions, regulations, policies or other forms of guidance issued by regulatory or supervisory bodies (including for monitoring and detecting money-laundering), advisories, compliance reviews and sanctions for non-compliance, as well as whether you have conducted a money-laundering risk assessment.

Information may, in particular, include the following:

- Information on anti-money-laundering regulatory and supervisory regimes;
- Description of the relevant sectors and types of institutions or persons subject to the regimes;
- Description of the anti-money-laundering requirements.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information sought may include:

- Compliance reviews (scope and frequency);
- On-site and off-site supervision by financial sector regulators;
- Sanctions issued for non-compliance, including enforcement actions, prosecutions, regulatory or supervisory fines or sanctions (statistics for the past 3 years).

If available, you may wish to provide statistical information for the past three years, including the number of suspicious transaction reports received by the Financial intelligence Unit (FIU) or similar body, the number of suspicious transaction reports forwarded to law enforcement after analysis by the FIU, as well as information on whether those reports led to investigations and/or prosecutions.

You may also wish to provide the full text or key findings and recommendations of a national or sectoral money-laundering and terrorist financing risk assessment.

Response:

Article 14, subparagraph 1 (b)

1. *Each State Party shall:*

(b) Without prejudice to article 46 of this Convention, ensure that administrative, regulatory, law enforcement and other authorities dedicated to combating money-laundering (including, where appropriate under domestic law, judicial authorities) have the ability to cooperate and exchange information at the national and international levels within the conditions prescribed by its domestic law and, to that end, shall consider the establishment of a financial intelligence unit to serve as a national centre for the collection, analysis and dissemination of information regarding potential money-laundering.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

1. **Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention**

Guidance: Information sought may include:

- Information on how your country ensures it has the ability to cooperate in accordance with article 14;
- Whether your country has established a Financial Intelligence Unit and if so, information on

- Which other bodies or agencies are responsible for combating money-laundering;
 - Whether the FIU has the ability to exchange information domestically and if so with which institutions;
 - Whether the FIU has the ability to exchange information internationally;
 - Whether your country’s FIU is a member of the Egmont Group or any other network of agencies for the purpose of information exchange and if it has signed Memoranda of Understanding or other agreements with other FIUs, including for the purpose of information exchange;
- You may wish to add a list of MoUs your FIU maintains with foreign FIUs.

Please describe the functioning of the system mainly in terms of domestic cooperation and exchange of information.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on articles 38 and 48 of the Convention in your previous self-assessment report.

Information may, in particular, include the following:

- Information on domestic coordination mechanisms;
- Information on protocols for the exchange of information;
- Information on participation in AML regional or international networks.

If applicable and available, please provide information on recent corruption-related money laundering cases prompted by your Financial Intelligence Unit, including data on investigations, prosecutions, convictions, as well as related freezing, seizure and confiscation orders.

Response:

Article 14, paragraph 2

2. States Parties shall consider implementing feasible measures to detect and monitor the movement of cash and appropriate negotiable instruments across their borders, subject to safeguards to ensure proper use of information and without impeding in any way the movement of legitimate capital. Such measures may include a requirement that individuals and businesses report the cross-border transfer of substantial quantities of cash and appropriate negotiable instruments.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Whether your country has a cross-border cash declaration requirement, and if so, whether it covers: (i) incoming and outgoing cross-border transportation; and (ii) all physical cross-border transportation (by travellers, through mail, through cargo);
- Whether there is a reporting threshold or any other measures to detect and monitor the movements of cash and negotiable instruments;
- What the sanctions and other available measures are in case of false declaration or failure to declare.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information sought may include:

- Statistics and other information on declared cross-border cash transfers;
- Statistics and other information on detected undeclared cross-border cash transfers.

Response:

Article 14, paragraph 3

3. States Parties shall consider implementing appropriate and feasible measures to require financial institutions, including money remitters:

(a) To include on forms for the electronic transfer of funds and related messages accurate and meaningful information on the originator;

(b) To maintain such information throughout the payment chain; and

(c) To apply enhanced scrutiny to transfers of funds that do not contain complete information on the originator.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Details required to identify the originator (e.g. name, address, ID number, account number) and any existing requirements to maintain those details by the intermediary institution;
- Details of requirements in case of incoming transfers without sufficient/complete information on the originator.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information sought may include:

- Compliance guidance issued by regulatory/supervisory authorities including on how to enhance scrutiny measures when complete originator information is not included;
- Measures for supervisors to ensure compliance with those requirements;
- If available, statistics reflecting the level of compliance with those requirements, such as statistics pertaining to sanctions or other enforcement actions.

Response:

Article 14, paragraph 4

4. *In establishing a domestic regulatory regime and supervisory regime under the terms of this article, and without prejudice to any other article of this Convention, States Parties are called upon to use as a guideline the relevant initiatives of regional, interregional and multilateral organizations against money-laundering.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to take into account, inter alia, the International Standards on Combating Money-Laundering and the Financing of Terrorism and Proliferation – FATF Recommendations, and provide information on whether your country has undergone evaluations by the FATF or a FATF-Style Regional Body, or another international organization that conducts assessments/evaluations on anti-money-laundering topics.

Information sought may, in particular, include details on whether your country has used the relevant initiatives of regional, interregional and multilateral organizations against money-laundering as a guideline and if yes, information on how they are used.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information sought may include:

- Details on which body's guidelines you have used;
- If available, statistics reflecting the level of compliance with those guidelines.

Response:

Article 14, paragraph 5

5. States Parties shall endeavour to develop and promote global, regional, subregional and bilateral cooperation among judicial, law enforcement and financial regulatory authorities in order to combat money-laundering.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Please provide any additional information here that you have not provided under your response on article 14, subparagraph 1 (b) of the Convention.

Information sought may, in particular, include details on how your country develops and promotes the cooperation described in the provision, including information on membership, chairmanship, or other participation in international organizations, groups, regional networks, informal networks, or topical fora related to anti-money-laundering.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Information sought may include:

- MoUs your judicial, law enforcement and financial regulatory authorities maintain with their respective international counterparts in order to combat money-laundering;
- Information on other initiatives promoting global, regional, subregional and bilateral cooperation among judicial, law enforcement and financial regulatory authorities, such as conferences, trainings, judicial exchanges, etc.;
- If available, statistics reflecting the frequency of interactions of your judicial, law enforcement and financial regulatory authorities with their respective international counterparts on money-laundering issues.

Response:

Article 52 Prevention and detection of transfers of proceeds of crime**Article 52, paragraph 1**

1. Without prejudice to article 14 of this Convention, each State Party shall take such measures as may be necessary, in accordance with its domestic law, to require financial institutions within its jurisdiction to verify the identity of customers, to take reasonable steps to determine the identity of beneficial owners of funds deposited into high-value accounts and to conduct enhanced scrutiny of accounts sought or maintained by or on behalf of individuals who are, or have been, entrusted with prominent public functions and their family members and close associates. Such enhanced scrutiny shall be reasonably designed to detect suspicious transactions for the purpose of reporting to competent authorities and should not be so construed as to discourage or prohibit financial institutions from doing business with any legitimate customer.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 14, subparagraph 1 (a) of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Types of financial institutions and, where applicable, any other entities subject to customer due diligence requirements (e.g. banks, money service businesses, money transfer service providers, bureaux de change, brokerages, mutual funds, mortgage providers, insurance, casinos, trust and company services providers, independent legal professionals, accountants, etc.);
- Whether your country requires financial institutions and, where applicable, any other entities to apply a risk-based approach in their customer due diligence, recordkeeping and other preventive measures in order to identify and take appropriate steps to mitigate money-laundering risks, including as they relate to types of customers, accounts, and transactions;
- Whether the financial institutions and, where applicable, any other entities are required to conduct direct customer due diligence or may reasonably rely on customer due diligence conducted by third parties;
- Any specific customer due diligence requirements on identification and verification of beneficial ownership of accounts and related funds, including those accounts held under the names of legal entities and/or legal arrangements;
- Requirements relating to the monitoring of high value accounts;

- With regard to persons entrusted with prominent public functions and their family members and close associates (PEPs): the systems in place to identify PEPs;
- Requirements of enhanced scrutiny/enhanced due diligence of accounts maintained by or on behalf of PEPs;
- Whether your country differentiates between foreign and domestic PEPs, the measures applied to each.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include relevant jurisprudence, regulations, policies and/or guidance notes reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to implement this provision in practice.

Response:

Article 52, subparagraph 2 (a)

2. *In order to facilitate implementation of the measures provided for in paragraph 1 of this article, each State Party, in accordance with its domestic law and inspired by relevant initiatives of regional, interregional and multilateral organizations against money-laundering, shall:*

(a) Issue advisories regarding the types of natural or legal person to whose accounts financial institutions within its jurisdiction will be expected to apply enhanced scrutiny, the types of accounts and transactions to which to pay particular attention and appropriate account-opening, maintenance and record-keeping measures to take concerning such accounts;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Whether your country issues advisories to financial institutions and, where applicable, any other entities on when and how to apply enhanced customer due diligence, recordkeeping and ongoing monitoring of accounts and transactions, including requirements that apply to different types of natural or legal persons and types of accounts and transactions;
- Whether the advisories issued are in accordance with domestic law;
- Any guidance, including training, provided to financial institutions on how to exercise enhanced scrutiny;
- To what extent the domestic legal requirements are inspired by relevant initiatives of regional, interregional and multilateral organizations against money-laundering.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. You may wish to describe to what extent the measures are inspired by relevant initiatives of regional, interregional and multilateral organizations against money-laundering. Information sought may, in particular, include advisories, or similar documents, issued by the competent authorities of your country (such as the Central Bank or monetary/financial supervisory authority, Financial Intelligence Unit, the Banking Supervisory Authority, professional supervisory bodies, etc.).

Response:

Article 52, subparagraph 2 (b)

2. *In order to facilitate implementation of the measures provided for in paragraph 1 of this article, each State Party, in accordance with its domestic law and inspired by relevant initiatives of regional, interregional and multilateral organizations against money-laundering, shall:*

(b) Where appropriate, notify financial institutions within its jurisdiction, at the request of another State Party or on its own initiative, of the identity of particular natural or legal persons to whose accounts such institutions will be expected to apply enhanced scrutiny, in addition to those whom the financial institutions may otherwise identify.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Whether your country has a system to notify financial institutions (and, where applicable, any other entities) of the identity of high-risk persons and if yes:
 - Whether it includes names of natural and legal persons received from another State Party;
 - Which criteria are being used to determine to whose accounts such enhanced scrutiny should be applied;
 - Whether financial institutions notified accordingly need to report on enhanced scrutiny to such accounts;
 - To what extent domestic measures are inspired by relevant initiatives of regional, interregional and multilateral organizations against money-laundering.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. Specific information sought may also include examples of notifications/advisories with which your responsible authorities informed financial institutions and, where applicable, any other entities of the identity of particular natural or legal persons to whose accounts such institutions are expected to apply enhanced scrutiny.

Response:

Article 52, paragraph 3

3. *In the context of paragraph 2 (a) of this article, each State Party shall implement measures to ensure that its financial institutions maintain adequate records, over an appropriate period of time, of accounts and transactions involving the persons mentioned in paragraph 1 of this article, which should, as a minimum, contain information relating to the identity of the customer as well as, as far as possible, of the beneficial owner.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The record keeping requirements in your country and their legal basis, i.e. specific provisions in anti-money-laundering legislation, laws and regulations governing banking and other financial institutions, where applicable, any other entities, or general provisions, e.g. in corporate law;
- Record keeping requirements applicable to (i) customer related records (including documents and other pertinent information) and (ii) transaction related records (including documents and other pertinent information);
- Requirements concerning the location of such records (including whether they are required to be held in the country and by the relevant institution or whether records are permitted to be held outside of the country by others, such as authorized third parties) and the duration that records are to be maintained;
- Any required format for record keeping (hard copy, digital, etc.).

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Response:

Article 52, paragraph 4

4. With the aim of preventing and detecting transfers of proceeds of offences established in accordance with this Convention, each State Party shall implement appropriate and effective measures to prevent, with the help of its regulatory and oversight bodies, the establishment of banks that have no physical presence and that are not affiliated with a regulated financial group. Moreover, States Parties may consider requiring their financial institutions to refuse to enter into or continue a correspondent banking relationship with such institutions and to guard against establishing relations with foreign financial institutions that permit their accounts to be used by banks that have no physical presence and that are not affiliated with a regulated financial group.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Legal and regulatory provisions for preventing the establishment of shell banks (i.e. banks that have no physical presence and that are not affiliated with a regulated financial group);
- Legal and regulatory provisions for financial institutions to prevent them from entering into or continuing a correspondent banking business with such banks as well as with foreign financial institutions that permit their accounts to be used by such banks.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Cases in which licenses were denied to banks without physical presence and that are not affiliated with a regulated financial group;
- Cases in which your financial institutions were required to terminate a correspondent banking relationship with such institutions;
- Statistics on sanctions imposed on banks dealing with shellbanks.

Response:**Article 52, paragraph 5**

5. Each State Party shall consider establishing, in accordance with its domestic law, effective financial disclosure systems for appropriate public officials and shall provide for appropriate sanctions for non-compliance. Each State Party shall also consider taking such measures as may be necessary to permit its competent authorities to share that information with the competent authorities in other States Parties when necessary to investigate, claim and recover proceeds of offences established in accordance with this Convention.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 8, paragraph 5, article 7, paragraph 4 and article 9, subparagraph (1) (e) of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Categories of public officials subject to financial disclosure systems;
- Whether (and to what extent) financial disclosures by public officials are publicly available and if so, how they can be accessed or obtained, including by competent authorities in other States parties;
- If not, the reasons why financial disclosures are not made publicly available;

- Which governmental authorities may access such information, including in order to share such information with competent authorities in other States parties;
- Sanctions applicable to public officials for non-compliance as well as delayed, incomplete and/or false disclosure.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrate the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Statistical information on compliance of public officials with financial disclosure requirements;
- Information on cases initiated based on the information contained or failed to be reported in asset declarations;
- Sanctions imposed for non-compliance, including delayed, incomplete and/or false disclosure.

Response:

Article 52, paragraph 6

6. Each State Party shall consider taking such measures as may be necessary, in accordance with its domestic law, to require appropriate public officials having an interest in or signature or other authority over a financial account in a foreign country to report that relationship to appropriate authorities and to maintain appropriate records related to such accounts. Such measures shall also provide for appropriate sanctions for non-compliance.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 8, paragraph 5, article 7, paragraph 4 and article 9, subparagraph (1) (e) of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Whether such reporting obligations are generally applicable in your country or whether they are applicable to public officials, or to certain categories of public officials;
- A description of the records that are required to be maintained by persons subject to this requirement;
- Whether declarations of such interests/relationships by public officials are publicly available and if so, how they can be obtained;
- If not, reasons why they are not made publicly available;
- Whether and how competent authorities may gain access to such information;
- Sanctions applicable for non-compliance with reporting obligations as well as delayed, incomplete and/or false declarations.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. Information sought may also include:

- Statistical information on compliance and information on instances where sanctions have been imposed for non-compliance as well as delayed, incomplete and/or false disclosure;
- Cases in which the investigation of such accounts led to charges or convictions for offences established in accordance with this Convention, including Article 23, and/or to asset recovery.

Response:

Article 58. Financial intelligence unit

States Parties shall cooperate with one another for the purpose of preventing and combating the transfer of proceeds of offences established in accordance with this Convention and of promoting ways and means of recovering such proceeds and, to that end, shall consider establishing a financial intelligence unit to be responsible for receiving, analysing and disseminating to the competent authorities reports of suspicious financial transactions.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 14, paragraph 1 of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- Information about applicable institutional arrangement(s) and measure(s);
- The mandate, powers and role of the FIU in cooperating with foreign counterparts and authorities;
- Participation in international and regional bodies and networks (e.g. the Egmont Group), as well as any other measures taken for promoting cooperation for the purpose of asset recovery.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 14, paragraph 1 of the Convention in the present self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

If applicable and available, please provide the website address of your financial intelligence unit, as well as reports or other documents published by it (or corresponding web links).

Response:

C. Asset recovery (arts. 53-57 and 59)

Article 53: Measures for direct recovery of property

Article 53, subparagraph (a)

Each State Party shall, in accordance with its domestic law:

(a) Take such measures as may be necessary to permit another State Party to initiate civil action in its courts to establish title to or ownership of property acquired through the commission of an offence established in accordance with this Convention;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention.

Guidance: Information sought may include:

- Legislation providing legal standing of other States parties and permitting them to initiate civil action in the courts of your country to establish title to, or ownership of property acquired through the commission of an offence established in accordance with the Convention;
- Information on whether States parties are automatically recognized as legal persons in your country's system, or whether there is a mechanism through which they can be recognized;
- Whether (and if so, how) you made other States parties aware of the possibility to use your courts to initiate civil action.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases and statistical or other evidence which demonstrate that there are no legal or other obstacles to another State launching such civil litigation, including that State parties have used your courts in the past to initiate civil action to establish title or prior ownership of property acquired through the commission of an offence established by the Convention. If available, please include statistics for the past three to five years.

Response:

Article 53, subparagraph (b)

Each State Party shall, in accordance with its domestic law:

(b) Take such measures as may be necessary to permit its courts to order those who have committed offences established in accordance with this Convention to pay compensation or damages to another State Party that has been harmed by such offences;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include reference to legislation or jurisprudence allowing other States parties to stand before the courts of your country and claim damages or otherwise receive compensation for the damages incurred. Furthermore, it may include whether, and if so, how you have made other States parties aware that your courts can order those who have committed an offence established in accordance with this Convention to pay compensation for damages.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information showing that other State parties have stood before the courts of your country to claim damages or otherwise receive compensation for the damages incurred. If available, please include statistics for the past three to five years.

Response:

Article 53, subparagraph (c)

Each State Party shall, in accordance with its domestic law:

(c) Take such measures as may be necessary to permit its courts or competent authorities, when having to decide on confiscation, to recognize another State Party's claim as a legitimate owner of property acquired through the commission of an offence established in accordance with this Convention.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 31, paragraph 9 of the Convention in your previous self-assessment report.

Information sought may, in particular, include legislation providing for the recognition of third party rights of foreign States parties in confiscation procedures.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on other State Parties pursuing claims for ownership in confiscation proceedings. If available, please include statistics for the past three to five years.

Response:

Article 54. Mechanisms for recovery of property through international cooperation in confiscation

Article 54, subparagraph 1 (a)

1. Each State Party, in order to provide mutual legal assistance pursuant to article 55 of this Convention with respect to property acquired through or involved in the commission of an offence established in accordance with this Convention, shall, in accordance with its domestic law:

(a) Take such measures as may be necessary to permit its competent authorities to give effect to an order of confiscation issued by a court of another State Party;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 31 of the Convention in your previous self-assessment report.

Information may, in particular, include the following:

- The procedures of giving effect to an order of confiscation issued by a court of another State party, including whether there are limitations based on whether such order is derived from conviction or non-conviction based proceedings;
- Whether this is regulated by national legislation or by bilateral/multilateral treaties;
- Whether this is regulated by specific legislation or by general provisions related to the enforcement of foreign judgments.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on the enforcement of foreign orders of confiscation, disaggregated by 1) criminal confiscation, 2) non-conviction based forfeiture, and 3) administrative forfeiture. If available, please include statistics for the past three to five years.

Response:

Article 54, subparagraph 1 (b)

1. Each State Party, in order to provide mutual legal assistance pursuant to article 55 of this Convention with respect to property acquired through or involved in the commission of an offence established in accordance with this Convention, shall, in accordance with its domestic law:

(b) *Take such measures as may be necessary to permit its competent authorities, where they have jurisdiction, to order the confiscation of such property of foreign origin by adjudication of an offence of money-laundering or such other offence as may be within its jurisdiction or by other procedures authorized under its domestic law;*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include whether you have the possibility of using the money-laundering offence as a basis for confiscation instead of the predicate offence.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on confiscation based on foreign corruption-related money-laundering offences, disaggregated by 1) criminal confiscation, 2) non-conviction based forfeiture, and 3) administrative forfeiture. If available, please include statistics for the past three to five years.

Response:

Article 54, subparagraph 1 (c)

1. Each State Party, in order to provide mutual legal assistance pursuant to article 55 of this Convention with respect to property acquired through or involved in the commission of an offence established in accordance with this Convention, shall, in accordance with its domestic law:

(c) Consider taking such measures as may be necessary to allow confiscation of such property without a criminal conviction in cases in which the offender cannot be prosecuted by reason of death, flight or absence or in other appropriate cases.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include the legislative basis in your country for any form of non-conviction based forfeiture; and for the provision of mutual legal assistance in non-conviction based asset forfeiture cases.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information, including amounts confiscated, on non-conviction based forfeiture and mutual legal assistance provided in non-conviction based forfeiture cases. If available, please include statistics for the past three to five years.

Response:

Article 54, subparagraph 2 (a)

2. *Each State Party, in order to provide mutual legal assistance upon a request made pursuant to paragraph 2 of article 55 of this Convention, shall, in accordance with its domestic law:*

(a) Take such measures as may be necessary to permit its competent authorities to freeze or seize property upon a freezing or seizure order issued by a court or competent authority of a requesting State Party that provides a reasonable basis for the requested State Party to believe that there are sufficient grounds for taking such actions and that the property would eventually be subject to an order of confiscation for purposes of paragraph 1 (a) of this article;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include the procedures available for recognizing foreign freezing or seizure orders, the required evidentiary threshold, and the available duration of such measures.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information, such as the amounts frozen using the procedures described in the provision. If available, please include statistics for the past three to five years.

Response:

Article 54, subparagraph 2 (b)

2. *Each State Party, in order to provide mutual legal assistance upon a request made pursuant to paragraph 2 of article 55 of this Convention, shall, in accordance with its domestic law:*

(b) Take such measures as may be necessary to permit its competent authorities to freeze or seize property upon a request that provides a reasonable basis for the requested State Party to believe that there are sufficient grounds for taking such actions and that the property would eventually be subject to an order of confiscation for purposes of paragraph 1 (a) of this article; and

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may also include the legislative/regulatory authority in place and the evidentiary threshold required for issuing freezing or seizure orders based on a request by another State party.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. If available, please include statistics for the past three to five years.

Response:

Article 54, subparagraph 2 (c)

2. *Each State Party, in order to provide mutual legal assistance upon a request made pursuant to paragraph 2 of article 55 of this Convention, shall, in accordance with its domestic law:*

(c) Consider taking additional measures to permit its competent authorities to preserve property for confiscation, such as on the basis of a foreign arrest or criminal charge related to the acquisition of such property.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include legislation permitting the competent authorities to issue preservation orders without prior request for mutual legal assistance, merely based on a foreign arrest or a criminal charge in relation to property acquired (or suspected to be acquired) through crimes committed abroad.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. If available, please include statistics for the past three to five years.

Response:

Article 55. International cooperation for purposes of confiscation

Article 55, subparagraph 1 (a)

1. A State Party that has received a request from another State Party having jurisdiction over an offence established in accordance with this Convention for confiscation of proceeds of crime, property, equipment or other instrumentalities referred to in article 31, paragraph 1, of this Convention situated in its territory shall, to the greatest extent possible within its domestic legal system:

(a) Submit the request to its competent authorities for the purpose of obtaining an order of confiscation and, if such an order is granted, give effect to it; or

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 46 of the Convention in your previous self-assessment report.

Information sought may, in particular, include:

- The procedure for submitting a foreign confiscation request to competent authorities and applying, on the basis of the information provided in the request, for a domestic order of confiscation;
- Measures taken to inform requesting State Parties of the procedures to be followed when submitting a request for confiscation;
- An outline of any differences in the procedure depending on whether the requesting authority is criminal, civil or administrative.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on the received requests that have resulted in an order for confiscation. If available, please include statistics for the past three to five years. If procedures for requesting State parties have been made publicly available, please indicate where such resources may be found.

Response:

Article 55, subparagraph 1 (b)

1. A State Party that has received a request from another State Party having jurisdiction over an offence established in accordance with this Convention for confiscation of proceeds of crime, property, equipment or other instrumentalities referred to in article 31, paragraph 1, of this Convention situated in its territory shall, to the greatest extent possible within its domestic legal system:

(b) Submit to its competent authorities, with a view to giving effect to it to the extent requested, an order of confiscation issued by a court in the territory of the requesting State Party in accordance with articles 31, paragraph 1, and 54, paragraph 1 (a), of this Convention insofar as it relates to proceeds of crime, property, equipment or other instrumentalities referred to in article 31, paragraph 1, situated in the territory of the requested State Party.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 54, subparagraph 1 (a) of the Convention in the present self-assessment report.

Information sought may, in particular, include:

- The procedure for submitting a foreign order of confiscation to competent authorities and giving effect to it;
- Measures taken to inform requesting State parties of the procedures to be followed when submitting a foreign order of confiscation;
- Information on whether such recognition is also permitted with regard to orders concerning non-conviction based forfeiture.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on requests received by your competent authorities for giving effect to a foreign confiscation order. If available, please include statistics for the past three to five years. If procedures for requesting State parties have been made publicly available, please indicate where such resources may be found.

Response:

Article 55, paragraph 2

2. Following a request made by another State Party having jurisdiction over an offence established in accordance with this Convention, the requested State Party shall take measures to identify, trace and freeze or seize proceeds of crime, property, equipment or other instrumentalities referred to in article 31, paragraph 1, of this Convention for the purpose of eventual confiscation to be ordered either by the requesting State Party or, pursuant to a request under paragraph 1 of this article, by the requested State Party.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 31 of the Convention in your previous self-assessment report.

Information sought may, in particular, include the procedures available for identifying, tracing, freezing or seizing property following a request.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on requests received and action taken for the identification, tracing and freezing or seizing proceeds of crime and/or instrumentalities. If available, please include statistics for the past three to five years.

Response:

Article 55, paragraph 3

3. *The provisions of article 46 of this Convention are applicable, mutatis mutandis, to this article. In addition to the information specified in article 46, paragraph 15, requests made pursuant to this article shall contain:*

(a) *In the case of a request pertaining to paragraph 1 (a) of this article, a description of the property to be confiscated, including, to the extent possible, the location and, where relevant, the estimated value of the property and a statement of the facts relied upon by the requesting State Party sufficient to enable the requested State Party to seek the order under its domestic law;*

(b) *In the case of a request pertaining to paragraph 1 (b) of this article, a legally admissible copy of an order of confiscation upon which the request is based issued by the requesting State Party, a statement of the facts and information as to the extent to which execution of the order is requested, a statement specifying the measures taken by the requesting State Party to provide adequate notification to bona fide third parties and to ensure due process and a statement that the confiscation order is final;*

(c) *In the case of a request pertaining to paragraph 2 of this article, a statement of the facts relied upon by the requesting State Party and a description of the actions requested and, where available, a legally admissible copy of an order on which the request is based.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 46 of the Convention in your previous self-assessment report.

Information sought may, in particular, include:

- Any specific additional information your country requires to be included in the request to be able to execute it;
- Measures taken to inform requesting State Parties of the procedures to be followed.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision. If procedures for requesting State Parties have been made publicly available, please indicate where such resources may be found.

Response:

Article 55, paragraph 4

4. The decisions or actions provided for in paragraphs 1 and 2 of this article shall be taken by the requested State Party in accordance with and subject to the provisions of its domestic law and its procedural rules or any bilateral or multilateral agreement or arrangement to which it may be bound in relation to the requesting State Party.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 55, subparagraphs 1 (a) and (b), and article 55, paragraph 2 of the Convention in the present self-assessment report.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 55, subparagraphs 1 (a) and (b), and article 55, paragraph 2 of the Convention in the present self-assessment report.

Response:

Article 55, paragraph 5

5. Each State Party shall furnish copies of its laws and regulations that give effect to this article and of any subsequent changes to such laws and regulations or a description thereof to the Secretary-General of the United Nations.

1. Has your country furnished copies of its laws to the Secretary-General of the United Nations as prescribed above? If so, please provide the appropriate reference.

Guidance: The Secretary-General would be grateful if Governments would send the aforementioned information to the Secretary of the Conference of the States Parties to the United Nations Convention against Corruption, Corruption and Economic Crime Branch, United Nations Office on Drugs and Crime, Vienna International Centre, P.O. Box 500, 1400 Vienna, Austria (uncac.cop@unodc.org). If laws have been furnished, please confirm whether any changes have been made to such laws and regulations and whether they remain in full force and effect.

Response:

Article 55, subparagraph 6

6. *If a State Party elects to make the taking of the measures referred to in paragraphs 1 and 2 of this article conditional on the existence of a relevant treaty, that State Party shall consider this Convention the necessary and sufficient treaty basis.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- Whether your country makes cooperation for purposes of confiscation conditional on the existence of a treaty;
- A list of bilateral and multilateral treaties based on which your country can provide mutual legal assistance for the purpose of identifying, tracing, freezing, seizing and confiscating the proceeds of crime or instrumentalities;
- Whether your country can use the Convention as legal basis for cooperation.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information may, in particular, include the following:

- Cases, statistical or other information where your country used the Convention as the legal basis for cooperation. If available, please include statistics for the past three to five years;
- Copies of the bilateral and multilateral treaties or alternatively web links to such treaties based on which your country can provide mutual legal assistance for the purpose of identifying, tracing, freezing, seizing and confiscating the proceeds of crime or instrumentalities.

Response:

Article 55, paragraph 7

7. Cooperation under this article may also be refused or provisional measures lifted if the requested State Party does not receive sufficient and timely evidence or if the property is of a de minimis value.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include whether your country’s legal system recognizes any ground for refusal of such cooperation, and the standards for refusing cooperation. If any such grounds exist, you may wish to include information on the procedures for any consultation with the requesting State Party prior to refusal of cooperation on whether the property is of de minimis value or on ways and means of respecting any deadline for the provision of additional evidence.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information where your country refused cooperation or lifted provisional measures due to insufficient or untimely evidence or because the property was of de minimis value. If available, please include statistics for the past three to five years.

Response:

Article 55, paragraph 8

8. *Before lifting any provisional measure taken pursuant to this article, the requested State Party shall, wherever possible, give the requesting State Party an opportunity to present its reasons in favour of continuing the measure.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 26 of the Convention in your previous self-assessment report.

Information sought may, in particular, include whether you have any formal mechanisms in place which provide this opportunity to the requesting State Party, including procedures for informing the requesting State Party of applications for discharge of an order or other legal challenges brought in your country

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 26 of the Convention in your previous self-assessment report.

Such examples might include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to implement this provision.

Information sought may, in particular, include cases, statistical or other information on recent cases in which a requesting State Party has been given the opportunity to present its reasons in favour of continuing a provisional measure before it was lifted. If available, please include statistics for the past three to five years.

Response:

Article 55, paragraph 9

9. *The provisions of this article shall not be construed as prejudicing the rights of bona fide third parties.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 31, paragraph 9 of the Convention in your previous self-assessment report.

Information sought may, in particular, include elements beyond what has already been inserted under article 53, subparagraph (c) of the Convention, and legislation providing for protection of bona fide third parties in the context of international cooperation for purposes of confiscation.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 31, paragraph 9 of the Convention in your previous self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on recent cases involving the protection of bona fide third parties in the context of international cooperation for purposes of confiscation. If available, please include statistics for the past three to five years.

Response:

Article 56. Special cooperation

Without prejudice to its domestic law, each State Party shall endeavour to take measures to permit it to forward, without prejudice to its own investigations, prosecutions or judicial proceedings, information on proceeds of offences established in accordance with this Convention to another State Party without prior request, when it considers that the disclosure of such information might assist the receiving State Party in initiating or carrying

out investigations, prosecutions or judicial proceedings or might lead to a request by that State Party under this chapter of the Convention.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 4 of the Convention in your previous self-assessment report.

Information sought may, in particular, include legislation providing for spontaneous transmission of information to another State party on proceeds of offences established in accordance with the Convention.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 4 of the Convention in your previous self-assessment report. Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on recent cases involving such spontaneous transmission of information. If available, please include statistics for the past three to five years.

Response:

Article 57. Return and disposal of assets

Article 57, paragraph 1

1. *Property confiscated by a State Party pursuant to article 31 or 55 of this Convention shall be disposed of, including by return to its prior legitimate owners, pursuant to paragraph 3 of this article, by that State Party in accordance with the provisions of this Convention and its domestic law.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include legislation and jurisprudence concerning the disposal of confiscated assets, including their return to their prior legitimate owner.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases and total monetary value of properties confiscated by your country and disposed of in accordance with the requirements of the Convention, including examples and monetary values of amounts disposed of. If available, please include statistics covering the longest period possible.

Response:

Article 57, subparagraph 3 (a)

3. *In accordance with articles 46 and 55 of this Convention and paragraphs 1 and 2 of this article, the requested State Party shall:*

(a) In the case of embezzlement of public funds or of laundering of embezzled public funds as referred to in articles 17 and 23 of this Convention, when confiscation was executed in accordance with article 55 and on

the basis of a final judgment in the requesting State Party, a requirement that can be waived by the requested State Party, return the confiscated property to the requesting State Party;

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The legislative basis enabling competent authorities to return confiscated proceeds of embezzlement, misappropriation or other diversion by a public official for his or her benefit or for the benefit of another person or entity to requesting State Parties;
- The legislative basis, if any, enabling the waiving of the requirement of a final judgement in the requesting State Party.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases of confiscated proceeds of embezzlement which have been returned to a requesting State Party, and information on whether (and under what circumstances) the final judgement requirement has been waived. Such information may include type of assets and total monetary value of assets confiscated and returned. If available, please include statistics covering the longest period possible.

Response:

Article 57, subparagraph 3 (b)

In accordance with articles 46 and 55 of this Convention and paragraphs 1 and 2 of this article, the requested State Party shall:

(b) *In the case of proceeds of any other offence covered by this Convention, when the confiscation was executed in accordance with article 55 of this Convention and on the basis of a final judgement in the requesting State Party, a requirement that can be waived by the requested State Party, return the confiscated property to the requesting State Party, when the requesting State Party reasonably establishes its prior ownership of such confiscated property to the requested State Party or when the requested State Party recognizes damage to the requesting State Party as a basis for returning the confiscated property;*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The legislative basis and/or case law enabling the return of confiscated proceeds of any other offences under the Convention (except embezzlement) to requesting State Parties;
 - (a) when they reasonably established their prior ownership; or
 - (b) when your country recognizes damage to the requesting State party as basis for returning the property;
- The legislative basis enabling the waiving of the requirement of a final judgement in the requesting State Party.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases of confiscated proceeds of any offences under the Convention other than embezzlement which have been returned to a requesting State Party, including examples of mechanisms used for the return. Such information may include type of assets and total monetary value as well as any other statistical data available. If available, please include statistics covering the longest period possible.

Response:

Article 57, subparagraph 3 (c)

3. *In accordance with articles 46 and 55 of this Convention and paragraphs 1 and 2 of this article, the requested State Party shall:*

(c) In all other cases, give priority consideration to returning confiscated property to the requesting State Party, returning such property to its prior legitimate owners or compensating the victims of the crime.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include:

- The legislative basis enabling competent authorities to return to requesting State Parties confiscated proceeds of any other offences under the Convention, including in cases where the requesting party cannot establish prior ownership or damages;
- The legislative basis for returning such confiscated proceeds to its prior legitimate owners;
- The legislative basis or case law enabling compensation for the victims of the crime.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases of confiscated proceeds of any other offences under the Convention which have been returned to a requesting State Party, the prior legitimate owners or have been used to compensate the victims of the crime. Such information may include type of assets and total monetary value of assets confiscated and total money value of assets returned as well as any statistical data available. If available, please include statistics covering the longest period possible.

Article 57, paragraph 2

2. *Each State Party shall adopt such legislative and other measures, in accordance with the fundamental principles of its domestic law, as may be necessary to enable its competent authorities to return confiscated property, when acting on the request made by another State Party, in accordance with this Convention, taking into account the rights of bona fide third parties.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 53, subparagraph (c) and article 55, paragraph 9 of the Convention in the present self-assessment report.

Information may, in particular, include the following:

- The legal basis enabling competent authorities to return confiscated assets to other State Parties;
- The legal basis enabling competent authorities to take into account the rights of bona fide third parties in doing so.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, total monetary value of properties confiscated and amounts which have been returned upon the request of another State Party, taking into account the rights of bona fide third parties. If available, please include statistics covering the longest period possible.

Response:

Article 57, paragraph 4

4. *Where appropriate, unless States Parties decide otherwise, the requested State Party may deduct reasonable expenses incurred in investigations, prosecutions or judicial proceedings leading to the return or disposition of confiscated property pursuant to this article.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may also include the legislative basis providing for States parties to deduct reasonable expenses incurred in investigations, prosecutions or judicial proceedings prior to return or disposition of confiscated property.

If your country does not deduct reasonable expenses, please clarify the rationale behind this decision.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, asset sharing agreements, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to implement this provision in practice.

Information sought may, in particular, include cases in which expenses incurred have been deducted or not deducted. If available, please include statistics covering the longest period possible and including the amount of such expenses.

Response:

Article 57, paragraph 5

5. *Where appropriate, States Parties may also give special consideration to concluding agreements or arrangements, on a case-by-case basis, for the final disposal of confiscated property.*

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: Information sought may include examples of concluded agreement(s), arrangement(s) or other measure(s) for the final disposal of confiscated property.

Response:

3. Please provide examples of the implementation of those measures

Guidance: Such examples may include jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to effectively implement this provision.

Information sought may, in particular, include cases, statistical or other information on recent cases in which such agreements or arrangements were applied. Case examples could also include cases where the country shared jurisdiction over the confiscated assets with another States Party and allowed the other State Party to effect the asset return. If available, please include statistics covering the longest period possible.

Response:

Article 59. Bilateral and multilateral agreements and arrangements

States Parties shall consider concluding bilateral or multilateral agreements or arrangements to enhance the effectiveness of international cooperation undertaken pursuant to this chapter of the Convention.

1. Is your country in compliance with this provision?

Yes/Yes, in part/No

2. Please describe (cite and summarize) the measures/steps your country has taken (or is planning to take) to implement this provision of the Convention

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 30 and article 48, paragraph 2 of the Convention in your previous self-assessment report. You may also wish to refer to article 62, paragraph 4 of the Convention in describing measures taken by your country.

Information sought may include the number and the text of any standing agreements signed by your country.

If your country has considered, but not adopted, any measures to implement this provision, please describe these measures and the process in which they were considered.

Response:

3. Please provide examples of the implementation of those measures

Guidance: You may wish to refer to any relevant information provided on article 46, paragraph 30 and article 48, paragraph 2 of the Convention in your previous self-assessment report or Article 62 (4) of the Convention. Such examples may include any bilateral and multilateral agreements and arrangements aimed at enhancing the effectiveness of international cooperation undertaken pursuant to this chapter, jurisprudence, reports, studies, statistics or any other relevant information which illustrates the measures your country has taken to implement this provision in practice.

Information sought may also include cases, statistical or other information on recent cases in which such bilateral or multilateral agreements or arrangements were applied. If available, please include statistics covering the longest period possible.

Response:

Technical assistance

At the end of each article, the following set of questions on technical assistance will be included:

- 1. Please outline actions required to ensure or improve the implementation of the article under review and describe any specific challenges you might be facing in this respect.**

Guidance: Required actions could include the passing of a law and a time frame to do this. Related challenges could include inter-agency coordination, specificities in the legal system, competing priorities, limited capacity (e.g. technological, institutional, other), limited resources for implementation (e.g. human, financial, other), lack of a policy framework, and limited expertise and skills. In describing these issues, please be as specific as possible.

Response:

- 2. Do you require technical assistance for the implementation of this article? If so, please specify the forms of technical assistance that would be required. For example:**

Legislative assistance: Please describe the type of assistance

Guidance: The forms of legislative assistance should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article. Specific forms of legislative assistance might include e.g. model arrangements and agreements, legal drafting and/or advisory support.

Response:

Institution-building: Please describe the type of assistance

Guidance: The forms of institution-building should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article, including domestic coordination issues. Specific forms of assistance in the area of institution-building might include e.g. summary of good practices and lessons learned, model arrangements and agreements, on-site assistance by a relevant expert and/or mentoring, as well as the development of an action plan for implementation.

Response:

Policymaking: Please describe the type of assistance

Guidance: The forms of policymaking should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article. Specific forms of assistance in the area of policymaking might include e.g. summary of good practices and lessons learned, sensitization of decision-making bodies, on-site assistance by a relevant expert and/or mentoring.

Response:

Capacity-building: Please describe the type of assistance

Guidance: The forms of capacity-building should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article. Specific forms of assistance in the area of capacity-building might include e.g. case-related assistance, on-site assistance by a relevant expert and/or mentoring, strengthening the operational and/or institutional capacities of relevant authorities through training and online learning, development of an action plan for implementation.

Response:

Research/data-gathering and analysis: Please describe the type of assistance

Guidance: The forms of research, data-gathering and analysis should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article. Specific forms of assistance in the area of research, data-gathering and analysis might include e.g. expert advice on data-gathering and storage systems, statistical advice or sample studies.

Response:

Facilitation of international cooperation with other countries: Please describe the type of assistance

Guidance: The forms of facilitation of international cooperation with other countries should relate to the responses provided under this article, as well as any challenges identified for the implementation of this article. Specific forms of assistance in the area of facilitation of international cooperation might include e.g. case-related assistance, model legislation or model treaties.

Response:

Others: Please specify

Response:

3. Is any technical assistance already being provided?

Guidance: If you are receiving or have received such assistance, please provide details, including on the assistance provider, description of core objectives, duration, budget, results and impact. Please include information on technical assistance being provided in the most generic way so as to also capture projects that do not directly fit into the anti-corruption category but that address aspects relevant for the implementation of the Convention against Corruption. Please also indicate whether the extension and/or expansion of such assistance would help your country to adopt the measure(s) described in the article under review.

Response: