

24 January 2012

English only

**Open-ended intergovernmental working group
on the review of the implementation of the
United Nations Convention against
Transnational Organized Crime and the
Protocols thereto**

Vienna, 23-27 January 2012

Item 2 of the provisional agenda

**Options and proposals for the establishment of a
mechanism or mechanisms to assist the Conference in the
review of the implementation of the United Nations
Convention against Transnational Organized Crime and
the Protocols thereto**

**Different scenarios for possible review mechanism(s) of the
United Nations Convention against Transnational
Organized Crime and the Protocols thereto and the
corresponding estimated financial requirements***

Note by the Secretariat

I. Introduction

1. This conference room paper has been prepared by the Secretariat as requested by States parties and signatories during the informal consultations from 14 to 15 December 2011 in preparation for the open-ended intergovernmental working group on the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto to be held in Vienna from 23 to 27 January 2012.

* As revised on 24 January 2012.



2. The calculations are based on four different scenarios, as proposed during the informal consultations:

- Scenario 1: a mechanism as outlined in the conference room paper entitled “Revised draft terms of reference as discussed during the informal consultations: Chair’s rolling text” (CTOC/COP/WG.5/2012/CRP.1);
- Scenario 2: a review mechanism with no peer reviewers;
- Scenario 3: a review mechanism with no country visits;
- Scenario 4: a review mechanism with three cycles (instead of two);
- Scenario 5: a review mechanism with 10 to 15 articles under review.

II. Estimated financial requirements

3. The preliminary cost estimates presented in the table are based on the following parameters:¹

(a) The review mechanism follows a five-year cycle (all scenarios);

(b) Approximately forty States parties are to be reviewed per year during a five-year cycle if the fifth year is kept as a buffer in accordance with lessons learned in the UNCAC review mechanism (all scenarios);

(c) The requirement for the translation of responses to the self-assessment checklist and of supporting documentation is estimated at 8,000 pages (scenario 1).² If the review is not carried out by peer reviewers, the requirement for translation of responses to the self-assessment checklist and of supporting documentation is estimated at 4,000 pages (scenario 2). If the review is carried out by peer reviewers but in three rather than two cycles, the requirement for the translation of responses to the self-assessment checklist and of supporting documentation is estimated at 6,000 pages (scenario 4). If a review of 10 to 15 articles is carried out, the requirement for the translation of responses to the self-assessment checklist would be estimated at 5,000 pages (scenario 5);

(d) Annual sessions of the Palermo Implementation Review Group are held, with a total number of 8 days in 2013 and ten days in 2014 and 2015, respectively; funding is provided for the participation of governmental experts from least developed countries in the session (all scenarios). Should the Palermo Implementation Review Group subsume some of the established Working Groups of the Conference, possible cost savings could be achieved by using the unutilized regular budget resources allocated for the meetings of the Palermo Implementation Review Group during 2013;

¹ The parameters as well as costing are based on actual expenditures incurred in the framework of the UNCAC review mechanism and reflect current deliberations on this matter. The information in the table containing the additional regular budget and extrabudgetary requirements has been disaggregated into two periods — 2013 and 2014-2015 — as it is expected that the costs for 2013 will be lower.

² The requirement for translation of the responses to the self-assessment checklist in the context of the UNCAC review was over 5,000 pages/year. As the UNTOC review will include four instruments, the requirements for translation are higher.

(e) Thirty country visits and joint meetings are organized per year, funding is provided for the participation of governmental experts from least developed and developing countries in these visits and meetings (scenario 1). If the review is not carried out by peer reviewers, the travel costs would be reduced to include only two members of the secretariat (scenario 2). If no country visits take place, this cost element is not required (scenario 3). If a review of 10 to 15 articles is conducted, the number of country visits would be reduced from 30 to 20 and their duration from 4 to 3 days (scenario 5);

(f) Training for governmental experts in preparation for country visits and joint meetings. If the review is not carried out by peer reviewers, the costs for training would be reduced to include only least developed and developing countries under review (scenario 2);

(g) Computer maintenance and communication costs (all scenarios).

4. The estimated staffing requirements have been established as follows (all scenarios with slight variations in terms of workweeks):³

(a) Forty reviews at 12 staff workweeks each = 480 staff workweeks;

(b) Preparation of 40 reports at 2 weeks each = 120 staff workweeks;

(c) Preparation of aggregate analytical reports = 25 staff workweeks;

(d) Preparation and servicing of the session of the Palermo Implementation Review Group = 14 staff workweeks;

(e) Active dialogue, including country visits at 2 weeks each (including preparation time) as well as tele/video conferences = 70 staff workweeks;

(f) Maintenance of expert database and other miscellaneous activities = 15 staff workweeks.

5. On the basis of these parameters, the total number of staff workweeks per year is 724. Based on an average annual figure of 42 effective workweeks per staff member, the total requirement to support the possible review mechanism(s) would be 17 staff members at various levels, including Professional and General Service staff. If a review of 10 to 15 articles is conducted, one less Professional post at the P-3 level would be required under the regular budget (scenario 5).

6. The anticipated new tasks need to be considered in the context of the overall requirements for the Conference of the States parties and the other mandated functions of the Secretariat, which in the case of this section, include a large volume of activities that are not directly related to the Organized Crime Convention and the possible review mechanism(s).⁴ While this will depend very much on the extent to which current requirements for preparing and servicing the Conference and its established Working Groups would be subsumed under the work of the review mechanism, it is possible that a minimal amount of the work can be accomplished

³ This calculation includes staff funded from both regular budget and extrabudgetary resources.

⁴ Currently, the Conference Support Section in the Organized Crime and Illicit Trafficking Branch comprises eight regular budget posts (2 P-5, 3 P-4, 2 P-3, 1 P-2, 1 General Service (Other level)), 2 General Service (Other level) funded from general temporary assistance, and 1 P-3 and 2 General Service (Other level) temporary posts funded through voluntary contributions.

by the current staff of the Secretariat. This would additionally depend, however, upon other work assigned to the Section. The bulk of activities currently implemented by OCB/CSS (in addition to the servicing of the COP), includes inter alia the implementation of mandated activities related to several types of emerging crimes (including UNODC's cybercrime programme and all related activities), to international judicial cooperation and drug legislation, as well as several other activities not related to the review mechanism, mandated by the commissions, the Conference, ECOSOC and the GA. The incumbents of the additional posts would be responsible for inter alia the organization of country reviews and joint meetings and the preparation of supplementary documentation. This would represent an additional regular budget requirement of \$809,900 for 2013 and \$2,824,500 for 2014-2015, respectively.

7. The anticipated post requirements also include six P-3 posts to be placed in the UNODC regional offices in Bangkok, Cairo, Dakar, Mexico City, Pretoria and Tashkent covering the countries under review within those regions. In addition to their participation in the active dialogue, including country visits, the staff members in those duty stations would be responsible for the coordination of translation of responses to the self-assessment checklist, the supporting documents and the country review reports as well as any required liaison with the country under review. The recruitment of staff for these regional offices would reduce costs for translation and travel, as well as facilitate communication with the States under review. This would represent an additional extra-budgetary requirement of \$429,900 and \$1,544,600 for 2013 and 2014-2015, respectively.

8. It is anticipated that for each of the 30 country visits and joint meetings, a minimum of four days would be required in order to undertake a proper review (the number of country visits would be reduced from 30 to 20 and their duration from four to three days under Scenario 5). On the basis of average travel costs for eight participants (including 6 governmental experts and Secretariat staff), the annual costs for country visits and joint meetings would amount to \$1,102,500 and \$2,205,000 for 2013 and 2014-2015, respectively. A small amount of funding would be reserved for local interpretation during country visits, if required. Furthermore, the translation of responses to the self-assessment checklist and pertinent supporting material (ca 8,000 pages) would represent an additional extrabudgetary requirement in the amount of \$400,000 and \$800,000 for 2013 and 2014-2015, respectively. Under Scenario 5, the estimated requirements for the translation of responses to the self-assessment checklist would be 5,000 pages.

9. In order to hold annual sessions of the Palermo Implementation Review Group for a duration of 8 days (16 meetings) in 2013 and 10 days in 2014 and 2015 (40 meetings), with interpretation in six languages and other conference services, regular budget resources would be required in the amount of \$189,000 for 2013 and \$471,800 for 2014 and 2015. The estimated requirement for the translation of 164 pages in 2013 and 700 pages for 2014 and 2015 of documentation for the annual sessions into all six official languages⁵ will require additional regular budget

⁵ In 2012, this requirement will include executive summaries (10x10 pages), the first thematic report (1x16 pages) and other meeting documentation (3x16 pages). In 2013-14, the requirement includes the executive summaries (41x10 pages), the thematic reports (5x16 pages), the regional reports (5x16 pages) and other meeting documentation (8x16 pages).

resources in the amount of \$324,000 and \$2,765,600 for 2013 and 2014-2015, respectively. While the Conference may consider subsuming some of its established Working Groups under the work of the review mechanism, the capacity of the Conference Management Service to absorb any meeting costs would be very limited as its budget for the biennium 2012-2013 was reduced. In order to enable the travel of representatives of least developed countries to the session and payment of daily subsistence allowance, voluntary contributions in the amount of \$191,200 and \$431,100 would be required for 2013 and 2014-2015, respectively. This amount was calculated on the basis of an average of 38 representatives of the least developed countries attending each annual session of the Palermo Implementation Review Group, if mandated by the Conference of the Parties.

10. In the draft terms of reference it is proposed that the governmental experts scheduled to take part in the review process as part of the review teams undergo training. In order to provide for travel costs for participation in annual five-day training courses for least developed and some developing countries, extrabudgetary resources in the amount of \$914,400 and \$1,828,800 in 2013 and 2014-2015, respectively, would be required.

11. A total amount of \$195,800 to be funded from the regular budget and extrabudgetary funds would also be required for general operating expenses as follows: (a) computer maintenance (\$41,300 for 2013 and \$49,600 for 2014-15) and (b) communication costs (\$48,200 for 2013 and \$56,700 for 2014-2015, respectively).

12. Should extrabudgetary resources be available, an additional 13 per cent representing programme support costs (\$399,000 for 2013 and \$890,000 for 2014-2015, respectively) should be included in the cost estimate.

13. The financial requirements corresponding to the five scenarios are presented below.

Scenario 1: A review mechanism as envisaged in document CTOC/COP/WG.5/2012/CRP.1

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding (United States dollars)

	<i>Year and amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Posts and related general operating expenses			
Posts (3 P-4, 4 P-3, 2 P-2 and 2 GS (OL) for core secretariat functions) ^a	809,900	2,824,500	RB Section 16
Staff assessment	136,100	471,200	RB Section 16
Computer maintenance	26,700	32,100	RB Section 16
Communication costs	31,200	36,700	RB Section 29F
Posts (6 P-3 for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent) ^a	429,900	1,544,600	Extra Budgetary
Computer maintenance	14,600	17,500	Extra Budgetary

	<i>Year and amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Communication costs	17,000	20,000	Extra Budgetary
	1,465,400	4,946,600	
Palermo Implementation review group			
Interpretation – 6 languages – and conference servicing	189,000	471,800	RB Section 2
Participation of 38 least developed countries to the sessions of the Implementation Review Group	191,200	431,100	Extra Budgetary
Translation of documentation (without printing)	324,000	2,765,600	RB Section 2
	704,200	3,668,500	
Other Translation			
Translation of responses to the self-assessment checklist and pertinent supporting material	400,000	800,000	Extra Budgetary
	400,000	800,000	
Individual reviews			
Travel of participants for country visits and joint meetings	1,102,500	2,205,000	Extra Budgetary
Training			
Training of government experts	914,400	1,828,800	Extra Budgetary
Other expenditures	0	0	Extra Budgetary
Subtotal Additional Requirements	4,586,500	13,448,900	
Income from staff assessment	(136,100)	(471,200)	Regular Budget
Programme Support Costs (13%)	399,000	890,100	Extra Budgetary
Total Additional Resource Requirements	4,849,400	13,867,800	

^a In this table posts for 2013 are costed as new posts (taking into account initial delays in recruitment). Posts for 2014-2015 are costed as continuing posts. Posts for field offices are shown net of staff assessments.

Summary total Additional Resource Requirements for 2013-2015 by Proposed Source of Funding
(United States dollars)

	<i>Year and Amount</i>	
	<i>2013</i>	<i>2014-2015</i>
Regular Budget	1,380,800	6,130,700
Extra Budgetary	3,468,600	7,737,100
Total Additional Resource Requirements	4,849,400	13,867,800

Scenario 2: A review mechanism with no peer reviewers

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding (United States dollars)

	<i>Year and amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Posts and related general operating expenses			
Posts (3 P-4, 4 P-3, 2 P-2 and 2 GS (OL) for core secretariat functions) ^a	809,900	2,824,500	RB Section 16
Staff assessment	136,100	471,200	RB Section 16
Computer maintenance	26,700	32,100	RB Section 16
Communication costs	31,200	36,700	RB Section 29F
Posts (6 P-3 for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent) ^a	429,900	1,544,600	Extra Budgetary
Computer maintenance	14,600	17,500	Extra Budgetary
Communication costs	17,000	20,000	Extra Budgetary
	1,465,400	4,946,600	
Palermo Implementation review group			
Interpretation – 6 languages – and conference servicing	189,000	471,800	RB Section 2
Participation of 38 least developed countries to the sessions of the Implementation Review Group	191,200	431,100	Extra Budgetary
Translation of documentation (without printing)	324,000	2,765,600	RB Section 2
	704,200	3,668,500	
Other Translation			
Translation of responses to the self-assessment checklist and pertinent supporting material	200,000	400,000	Extra Budgetary
	200,000	400,000	
Individual reviews			
Travel of participants for country visits and joint meetings	872,100	1,744,200	Extra Budgetary
Training			
Training of government experts	182,900	365,800	Extra Budgetary
Other expenditures	0	0	Extra Budgetary
Subtotal Additional Requirements	3,424,600	11,125,100	
Income from staff assessment	(136,100)	(471,200)	Regular Budget
Programme Support Costs (13%)	248,000	588,000	Extra Budgetary
Total Additional Resource Requirements	3,536,500	11,241,900	

^a In this table posts for 2013 are costed as new posts (taking into account initial delays in recruitment). Posts for 2014-2015 are costed as continuing posts. Posts for field offices are shown net of staff assessments.

Summary total Additional Resource Requirements for 2013-2015 by Proposed Source of Funding
(United States dollars)

	<i>Year and Amount</i>	
	<i>2013</i>	<i>2014-2015</i>
Regular Budget	1,380,800	6,130,700
Extra Budgetary	2,155,700	5,111,200
Total Additional Resource Requirements	3,536,500	11,241,900

Scenario 3: A review mechanism with no country visits

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding
(United States dollars)

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Posts and related general operating expenses			
Posts (3 P-4, 4 P-3, 2 P-2 and 2 GS (OL) for core secretariat functions) ^a	809,900	2,824,500	RB Section 16
Staff assessment	136,100	471,200	RB Section 16
Computer maintenance	26,700	32,100	RB Section 16
Communication costs	31,200	36,700	RB Section 29F
Posts (6 P-3 for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent) ^b	429,900	1,544,600	Extra Budgetary
Computer maintenance	14,600	17,500	Extra Budgetary
Communication costs	17,000	20,000	Extra Budgetary
	1,465,400	4,946,600	
Palermo Implementation review group			
Interpretation – 6 languages – and conference servicing	189,000	471,800	RB Section 2
Participation of 38 least developed countries to the sessions of the Implementation Review Group	191,200	431,100	Extra Budgetary
Translation of documentation (without printing)	324,000	2,765,600	RB Section 2
	704,200	3,668,500	
Other Translation			
Translation of responses to the self-assessment checklist and pertinent supporting material	400,000	800,000	Extra Budgetary
	400,000	800,000	
Individual reviews			
Travel of participants for country visits and joint meetings	0	0	Extra Budgetary
Training			
Training of government experts	914,400	1,828,800	Extra Budgetary
Other expenditures	0	0	Extra Budgetary

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Subtotal Additional Requirements	3,484,000	11,243,900	
Income from staff assessment	(136,100)	(471,200)	Regular Budget
Programme Support Costs (13%)	255,700	603,500	Extra Budgetary
Total Additional Resource Requirements	3,603,600	11,376,200	

^a In this table posts for 2013 are costed as new posts (taking into account initial delays in recruitment). Posts for 2014-2015 are costed as continuing posts. Posts for field offices are shown net of staff assessments.

Summary total Additional Resource Requirements for 2013-2015 by Proposed Source of Funding (United States dollars)

	<i>Year and Amount</i>	
	<i>2013</i>	<i>2014-2015</i>
Regular Budget	1,380,800	6,130,700
Extra Budgetary	2,222,800	5,245,500
Total Additional Resource Requirements	3,603,600	11,376,200

Scenario 4: A review mechanism with three cycles

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding (United States dollars)

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Posts and related general operating expenses			
Posts (3 P-4, 4 P-3, 2 P-2 and 2 GS (OL) for core secretariat functions) ^a	809,900	2,824,500	RB Section 16
Staff assessment	136,100	471,200	RB Section 16
Computer maintenance	26,700	32,100	RB Section 16
Communication costs	31,200	36,700	RB Section 29F
Posts (6 P-3 for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent) ^a	429,900	1,544,600	Extra Budgetary
Computer maintenance	14,600	17,500	Extra Budgetary
Communication costs	17,000	20,000	Extra Budgetary
	1,465,400	4,946,600	
Palermo Implementation review group			
Interpretation – 6 languages – and conference servicing	189,000	471,800	RB Section 2
Participation of 38 least developed countries to the sessions of the Implementation Review Group	191,200	431,100	Extra Budgetary
Translation of documentation (without printing)	324,000	2,765,600	RB Section 2
	704,200	3,668,500	

Other Translation

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Translation of responses to the self-assessment checklist and pertinent supporting material	300,000	600,000	Extra Budgetary
	300,000	600,000	
Individual reviews			
Travel of participants for country visits and joint meetings	1,102,500	2,205,000	Extra Budgetary
Training			
Training of government experts	914,400	1,828,800	Extra Budgetary
Other expenditures	0	0	Extra Budgetary
Subtotal Additional Requirements	4,486,500	13,248,900	
Income from staff assessment	(136,100)	(471,200)	Regular Budget
Programme Support Costs (13%)	386,000	864,100	Extra Budgetary
Total Additional Resource Requirement	4,736,400	13,641,800	

^a In this table posts for 2013 are costed as new posts (taking into account initial delays in recruitment). Posts for 2014-2015 are costed as continuing posts. Posts for field offices are shown net of staff assessments.

	<i>Year and Amount</i>	
	<i>2013</i>	<i>2014-2015</i>
Regular Budget	1,380,800	6,130,700
Extra Budgetary	3,355,600	7,511,100
Total Additional Resource Requirements	4,736,400	13,641,800

Scenario 5: A review mechanism with 10 to 15 articles under review

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding (United States dollars)

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Posts and related general operating expenses			
Posts (3 P-4, 3 P-3, 2 P-2 and 2 GS (OL) for core secretariat functions) ^a	735,600	2,557,700	RB Section 16
Staff assessment	124,900	430,700	RB Section 16
Computer maintenance	24,300	29,200	RB Section 16
Communication costs	28,300	33,300	RB Section 29F
Posts (6 P-3 for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent) ^a	429,900	1,544,600	Extra Budgetary

	<i>Year and Amount</i>		<i>Budget Section</i>
	<i>2013</i>	<i>2014-2015</i>	
Computer maintenance	14,600	17,500	Extra Budgetary
Communication costs	17,000	20,000	Extra Budgetary
	1,374,600	4,633,000	
Palermo Implementation review group			
Interpretation - 6 languages - & conference servicing	189,000	471,800	RB Section 2
Participation of 38 least developed countries to the sessions of the Implementation Review Group	191,200	431,100	Extra Budgetary
Translation of documentation (without printing)	324,000	2,765,600	RB Section 2
	704,200	3,668,500	
Other Translation			
Translation of responses to the self-assessment checklist and pertinent supporting material	250,000	500,000	Extra Budgetary
	250,000	500,000	
Individual reviews			
Travel of participants for country visits and joint meetings	687,100	1,374,200	Extra Budgetary
Training			
Training of government experts	914,400	1,828,800	Extra Budgetary
Other expenditures	0	0	Extra Budgetary
Subtotal Additional Requirements	3,930,300	12,004,500	
Income from staff assessment	-124,900	-430,700	Regular Budget
Programme Support Costs (13%)	325,500	743,100	Extra Budgetary
Total Additional Resource Requirements	4,130,900	12,316,900	

^a In this table posts for 2013 are costed as new posts (taking into account initial delays in recruitment). Posts for 2014-2015 are costed as continuing posts. Posts for field offices are shown net of staff assessments

Total Additional Resource Requirements for 2013-2015 and Proposed Source of Funding
(United States dollars)

	<i>Year and Amount</i>	
	<i>2013</i>	<i>2014-2015</i>
Regular Budget	1,301,200	5,857,600
Extra Budgetary	2,829,700	6,459,300
Total Additional Resource Requirements	4,130,900	12,316,900