

# **The estimated financial requirements for the mechanism for the review of the United Nations Convention against Transnational Organized Crime and the Protocols thereto**

## **Non-paper by the Secretariat**

### **I. Introduction**

1. This non-paper on the estimated financial requirements for the mechanism for the review of the United Nations Convention against Transnational Organized Crime and the Protocols thereto has been prepared by the Secretariat for purposes of the informal consultations on the review mechanism, to be held on 3 September 2012, in preparation for the Conference of the Parties, to be held from 15 to 19 October 2012.

### **II. Estimated financial requirements**

2. The preliminary cost estimates presented in the table are based on the following parameters, as proposed during the second session of 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, held from 23 to 26 January 2012:<sup>1</sup>

(a) The review mechanism follows a five-year cycle<sup>2</sup>;

(b) Approximately forty States parties are to be reviewed per year during a five-year cycle;

(c) The requirement for the translation of responses to the self-assessment tool and of other supporting working documentation is estimated at 5,200 pages, starting in 2014.<sup>3</sup>

(d) Annual sessions of the Palermo Implementation Review Group are held, with a total number of 2,5 days (5 meetings) in 2013 from the number of meetings still available for the Working Group on the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto allocated for the biennium 2012-2013, and eight days (16 meetings) in two sessions per year as of 2014. Funding is provided for the participation of governmental experts from least developed countries in the sessions. Should the Palermo Implementation Review Group subsume some of the other established Working Groups of the Conference, possible cost savings could be

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<sup>1</sup> The parameters as well as costing are based on actual expenditures incurred in the framework of the mechanism for the review of the United Nations Convention against Corruption (UNCAC) and reflect current deliberations on this matter. The information in the tables containing the additional regular budget and extrabudgetary requirements has been disaggregated into three periods — 2013, 2014-2015 and 2016-2017— as it is expected that the costs for 2013 will be lower.

<sup>2</sup> For more information on the cycles, please see [http://www.unodc.org/documents/treaties/organized\\_crime/2012\\_CTOC\\_COP\\_WG5/CTOC\\_COP\\_WG.5\\_2011\\_5\\_Rev.1/CTOC\\_COP\\_WG.5\\_2011\\_5\\_Rev.1\\_E.pdf](http://www.unodc.org/documents/treaties/organized_crime/2012_CTOC_COP_WG5/CTOC_COP_WG.5_2011_5_Rev.1/CTOC_COP_WG.5_2011_5_Rev.1_E.pdf)

<sup>3</sup> The annual requirement for translation of the responses to the self-assessment checklist in the context of the mechanism for the review of the UNCAC was more than 5,200 pages.

achieved by using the unutilized regular budget resources allocated for further meetings of the Palermo Implementation Review Group during 2013;<sup>4</sup>

(e) Forty-five country visits and joint meetings, for a duration of 3 days, are organized per biennium in 2014-2015 and in 2016-2017, respectively. Funding is provided for the participation of governmental experts from least developed countries in these visits and meetings;

(f) Training for up to 2 governmental experts from 80% of State Parties is conducted in preparation for the reviews;

(g) Computer maintenance and communication costs are budgeted for.

3. The estimated staffing requirements have been established as follows:<sup>5</sup>

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

(b) Preparation of 40 reports at 2 weeks each = 80 staff workweeks;

(c) Preparation of aggregate thematic and, as of 2016-2017, regional reports = 15 staff workweeks;

(d) Preparation and servicing of the session of the Palermo Implementation Review Group = 10 staff workweeks;

(e) Active dialogue, including tele/video conferences and preparation for and carrying out of country visits, at 1,5 weeks each = 60 staff workweeks;

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

(g) Outsourcing of translation of non-parliamentary documentation and liaison with least developed countries via six regional offices <sup>6</sup> = in total 42 staff workweeks. In view of the experience gathered from UNCAC, UN Office at Vienna's Conference Management Service (CMS) is exploring the possibility of managing the outsourcing centrally.

4. On the basis of these parameters, the total number of staff workweeks per year is 702. Based on an average annual figure of 42 effective workweeks per staff member per year, the total requirement to support the possible review mechanism(s) would be 15.7 staff members at various levels, including Professional and General Service staff, in the headquarters and, starting in 2014, two working months annually for field office local staff in six regional offices<sup>7</sup>.

5. The anticipated new tasks need to be considered in the context of the overall requirements for the Conference of the Parties and the other mandated functions of the Secretariat, which in the case of the Conference Support Section of the Organized Crime Branch (CSS/OCB) include a large volume of activities that are not directly related to the review mechanism.<sup>8</sup> 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

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<sup>4</sup> Section 2 of the regular budget is intended to cover, within its limits, mandated conference servicing requirements of all Vienna-based organizations; however, it does not include dedicated resources for any particular body.

<sup>5</sup> This calculation includes staff funded from both regular budget and extrabudgetary resources.

<sup>6</sup> Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent.

<sup>7</sup> Standard salary costs will be adjusted for 2013, 2014-2015 and 2016-2017.

<sup>8</sup> 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)) and 1 General Service (Other level) funded from general temporary assistance.

review mechanism, it is possible that approximately 30 per cent of the work can be accomplished 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 CSS/OCB (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, the preparation of supplementary documentation and reports as well as organization of sessions of the Palermo Implementation Review Group. This would represent an additional regular budget requirement of \$407,200 for 2013, \$2,938,800 for 2014-2015 and \$2,938,800 for 2016-2017 respectively<sup>9</sup>. Should it not be possible to adopt an additional regular budget requirement in 2013, 3 fixed-term posts (12 working months each) at the professional level, from voluntary contributions, would be required in order to carry out the preparations in 2013.

6. It is anticipated that for each of the country visits and joint meetings, a minimum of three days would be required in order to undertake a proper review. On the basis of average travel costs for 6 participants (including 4 governmental experts and 2 Secretariat staff), the annual costs for country visits and joint meetings would amount to \$1,293,000 for 2014-2015 and \$1,293,000 for 2016-2017. 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 tool and other pertinent supporting working documentation (ca. 5,200 pages) would represent an additional extrabudgetary requirement in the amount \$587,600 for 2014-2015 and \$587,600 for 2016-2017. For purposes of outsourcing the translation of non-parliamentary documentation and liaison with least developed countries, an additional extrabudgetary requirement in the amount of \$217,000 would be required per biennium as of 2014 for field office local staff in six regional offices.

7. In order to hold annual sessions of the Palermo Implementation Review Group with interpretation in six languages and other conference services, the following regular budget resources would be required: In 2013, 5 meetings (2,5 days) can be accommodated from the number of meetings still available for the Working Group on the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, allocated for the biennium 2012-13. From 2014 to 2017, regular budget resources in the amount of \$369,800 would be required for 16 annual meetings (8 days) in two sessions in 2014-2015 and 2016-2017 respectively. The estimated requirement for the translation of 100 pages in 2013 would be covered from the regular budget allocated for the biennium 2012-2013 as part of the overall UNODC translation quota. In 2014-2015, the translation of 496 pages of documentation for the annual sessions into all six official languages<sup>10</sup> will require regular budget resources in the amount of \$1,991,600 for 2014-2015. In 2016-2017, the translation of 626 pages of documentation for the annual sessions into all six official languages<sup>11</sup> will require regular budget resources in the amount of \$2,513,400. In order to enable the travel of representatives of least

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<sup>9</sup> Standard salary costs will be adjusted for 2013, 2014-2015 and 2016-2017.

<sup>10</sup> In 2014-2015, the annual requirement includes the executive summaries (40x10 pages), the thematic reports (2x16 pages) and other meeting documentation (4x16 pages). The regional addenda (5x16 pages) are included in the annual requirements in 2016-17.

<sup>11</sup> In 2016-2017, the annual requirements are increased to include additional executive summaries (5x10 pages) and regional addenda (5x16 pages).

developed countries to the sessions and payment of daily subsistence allowance, voluntary contributions in the amount of \$148,300 would be required for 2013 and \$646,400 would be required for 2014-2015 and for 2016-2017, respectively. This amount was calculated on the basis of an average of 39 representatives of the least developed countries attending each session of the Palermo Implementation Review Group, if mandated by the Conference of the Parties.

8. 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 three day training courses for up to two experts per 80% of the State Parties, extrabudgetary resources in the amount of \$258,500 in 2013, \$517,000 in 2014-2015 and \$258,500 in 2016-2017, would be required. Should more funding be available for training purposes, the duration can be extended and travel costs for participation for up to four experts per State Party be covered.

9. A total amount of \$92,600 to be funded from the regular budget would also be required in 2014-2015 and in 2016-2017 for general operating expenses as follows: (a) computer maintenance and hardware (\$43,000) and (b) communication costs (\$49,600).

10. The financial requirements corresponding to the scenario are presented in the tables below.

**Table 1. Additional budgetary requirements for 2013, 2014-2015 and 2016-2017 and proposed source of funding, should the Conference of the Parties decide to follow the funding model as adopted in the context of the review mechanism to the Convention against Corruption**

(United States dollars)

<i>Budgetary item</i>	<i>2013</i>	<i>2014-2015</i>	<i>2016-2017</i>
<b>A. Regular budget</b>			
<b>Posts and related general operating expenses</b>			
Posts (3 P-4, 5 P-3, 1 P-2 and 2 GS (OL) for core secretariat functions <sup>a</sup>	407,200	2,938,800	2,938,800
Computer maintenance		43,000	43,000
Communication costs		49,600	49,600
	<b>407,200</b>	<b>3,031,400</b>	<b>3,031,400</b>
<b>Palermo Implementation review group</b>			
Interpretation - 6 languages - & conference servicing 2.5 days (5 meetings) in 2013 – no additional costs 8 days (16 meetings) in 2 sessions per year as of 2014	-	369 800	369 800
Translation of documentation 100 pages in 2013 – as per UNODC quota <sup>b</sup> 496 pages per year in 2014-2015 and 626 pages per year in 2016-2017	-	1 991 600	2 513 400
	-	<b>2 361 400</b>	<b>2 883 200</b>
<b>Total A. Regular budget</b>	<b>407,200</b>	<b>5,392,800</b>	<b>5,914,600</b>
<b>B. Extrabudgetary special purpose funds</b>			
<b>Posts and related general operating expenses</b>			
Field Office local staff costs (2 months each for regional offices Bangkok, Cairo, Dakar, Mexico City, Pretoria, Tashkent)	-	217 000	217 000
<b>Palermo Implementation review group</b>			
Participation of 39 least developed countries to the sessions of the Implementation Review Group	148 300	646 400	646 400
<b>Individual reviews</b>			
Travel of participants for country visits and joint meetings: - in 2014-2015: a total of 45 country visits for the biennium of 3 days, 6 participants (4 government experts, 2 secretariat staff each visit) - in 2016-2017: a total of 45 country visits for the biennium	-	1 293 000	1 293 000
<b>Translation</b>			
Translation of working documentation and pertinent supporting material (5,200 pages per year, outsourced)	-	587 600	587 600
<b>Training</b>			
Training of government experts (68 experts per year from 2013 to 2016)	258 500	517 000	258 500
<b>Total B. Extrabudgetary</b>	<b>406 800</b>	<b>3 261 000</b>	<b>3002 500</b>
<b>Total</b>	<b>814,000</b>	<b>8 653 800</b>	<b>8 917 100</b>

<sup>a</sup> In this table, posts are presented net of staff assessment and posts for 2013 are costed for three work months taking into account delays in recruitment.

<sup>b</sup> Mandates will have to be respected under the CMS quota system.

**Table 2. Summary table - budgetary requirements for 2013 and 2014-2015 and proposed source of funding**

(United States dollars)

<i>Funding source</i>	<i>2013</i>	<i>2014-2015</i>	<i>2016-2017</i>
Regular Budget	407,200	5 392 800	5 914 600
Extrabudgetary	406 800	3 261 000	3 002 500
<b>Total</b>	<b>814,000</b>	<b>8 653 800</b>	<b>8 917 100</b>

### III. Summary of cost-saving measures

11. The Secretariat plans to undertake the following cost-saving measures:

(a) Out of the overall requirements of 15.7 posts, to implement the activities in the framework of the review mechanism, 4.7 posts would be accommodated through the use of existing posts in the Organized Crime and Illicit Trafficking Branch. There are no other resources provided under the programme budget that could be made available for the implementation of the review mechanism.

(b) With regard to the Palermo Implementation Review Group, under section 2, General Assembly and Economic and Social Council affairs and conference management, of the proposed programme budget for the biennium 2012-2013, provision can be made for 2,5 days (5 meetings) in 2013 from the number of meetings still available for the Working Group on the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto. Section 2 of the regular budget is intended to cover, within its limits, mandated conference servicing requirements of all Vienna-based organizations; however, it does not include dedicated resources for any particular body.

(c) With regard to the documentation requirements, under section 2, General Assembly and Economic and Social Council affairs and conference management, of the proposed programme budget for the biennium 2012-2013, provision can be made for the translation of 100 pages in 2013, which would be covered from the regular budget allocated for the biennium 2012-2013 as part of UNODC's overall regular budget allocation for documentation for the current biennium.

(d) Should the Palermo Implementation Review Group subsume some of the other established Working Groups of the Conference, possible cost savings could be achieved by using the unutilized regular budget resources allocated for further meetings of the Palermo Implementation Review Group during 2013;

(e) Should the Palermo Implementation Review Group subsume some of the other established Working Groups of the Conference and should the regular budget entitlement of the Organized Crime Branch of UNODC remain at the same level as in biennium 2012-2013, further cost savings could be achieved through reallocation of existing entitlements. The Working Group on the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto had 15 meetings (7,5 days) and 96 pages (6 documents) of parliamentary documentation available to it in 2012-2013. The Working Group on Technical Assistance had 2 meetings (1 day) and 48 pages (3 documents) of parliamentary documentation available to it in 2012-2013.

(f) Should the meetings of the Palermo Implementation Review Group be held in parallel with the Conference of the Parties, further cost savings could be achieved.

(g) With regard to the operational requirements, namely trainings of government experts, country visits, and travel and a daily subsistence allowance for representatives of least developed countries, UNODC will seek to realize several cost-efficiencies, including but not limited to the organization of trainings back-to-back with the sessions of the Palermo Group, other established Working Groups of the Conference and the Conference of the Parties, purchase of economy class tickets only and payment of DSAs for stays in Vienna only, and the organization of regional trainings. Furthermore, UNODC will seek to cooperate with other international organizations in covering directly the costs of travel of additional participants.

(h) In view of the experience under the mechanism for the review of the UNCAC, the Conference Management Service is exploring the possibility of managing the outsourcing of translation of documentation in a centralized manner from extra-budgetary resources