



UNODC

United Nations Office on Drugs and Crime

THEMATIC PROGRAMME

ACTION AGAINST CORRUPTION, ECONOMIC FRAUD & IDENTITY-RELATED CRIME (2012 – 2015)

Countering corruption
by promoting transparency, integrity and accountability
and by advancing equality, justice and development.

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Introduction

As corruption permeates the political, economic and social spheres of communities and countries, the stability and security of individual countries and of the international community are threatened and there can be few prospects for development and prosperity. Specifically, corruption hinders efforts to achieve the internationally agreed upon Millennium Development Goals, undermines democracy and the rule of law, leads to human rights violations, distorts markets, erodes quality of life and allows organized crime, terrorism and other threats to human security to flourish. Evidence also shows that corruption hurts poor people disproportionately and is a dominant factor driving fragile countries towards state failure.

Affecting developed and developing countries alike, corruption has become a global concern. The 2005 World Summit¹ emphasized the need for solid democratic institutions responsive to the needs of people and the need to improve the efficiency, transparency, and accountability of domestic administration and public spending and the rule of law, to ensure full respect for human rights, including the right to development, and to eradicate corruption and build sound economic and social institutions. It further recognized that fighting corruption at all levels is a priority and that corruption is a serious barrier to effective resource mobilization and allocation, while diverting resources away from activities that are vital for poverty eradication, and economic and sustainable development.

UNODC through its Thematic Programme “Action against Corruption, Economic Fraud and Identity-related Crime”² acts as a catalyst and a resource to help States, in particular those with vulnerable developing or transitional economies, to effectively implement the provisions of the United Nations Convention against Corruption, by providing practical assistance and building the technical capacity needed to develop effective anti-corruption policies and institutions, including preventive anti-corruption frameworks in the public and private sector.

The present document also draws on the lessons learnt outlined in the Programme Performance Review for the Thematic Programme on Action against Corruption and Economic Crime (2010-2011).

¹ A/RES/60/1

² http://www.unodc.org/documents/corruption/Thematic_Programme/Thematic_Programme_on_Corruption_-_April_2011.pdf

I. NATURE OF THE CHALLENGE - AN ANALYSIS OF CORRUPTION

If corruption permeates the political, economic and social spheres of communities and countries, the stability and security of individual States and of the international community are threatened and there can be few prospects for development and prosperity. Specifically, corruption hinders efforts to achieve the internationally agreed upon Millennium Development Goals³, undermines democracy and the rule of law, leads to human rights violations, distorts markets, erodes quality of life and allows organized crime, terrorism and other threats to human security to flourish. Evidence also shows that corruption hurts the poor disproportionately and is a dominant factor driving fragile countries towards state failure.

Corruption - A crime against development and prosperity

Affecting developed and developing countries alike, corruption unduly influences a wide range of both public and private sector activities, hampers sustainable social, economic and political development and represents a serious obstacle to improving the lives of the poorest segments of the population.

In many countries, applicants for driver's licences, building permits and other routine documents have learned to expect a "surcharge" from civil servants. Often bribes are paid to win public contracts, to purchase political influence, to side-step safety inspections, to bypass bureaucratic red tape and to ensure that criminal activities are protected from interference by police and other criminal justice officials.

Corruption also impairs economic development by transferring large sums of money in directions that do not address poverty. Public funds, as well as funds intended for aid and private investment flow to the accounts of corrupt officials, beyond the reach of official seizure. The resources are therefore not available for the much needed investment in poor infrastructure, education, health and other services, which in turn create or perpetuate low standards of living. Foreign direct investment is discouraged and small businesses within the country often find it impossible to overcome the "start-up costs" required because of corruption.

When scarce public resources are allocated inefficiently, competent and honest citizens also feel frustrated and the general population's level of distrust rises. As a consequence, productivity is lower, administrative efficiency is reduced and the legitimacy of political and economic institutions is undermined.

The effectiveness of efforts on the part of development agencies to redress imbalances and foster development is also eroded as foreign aid disappears, projects are left incomplete and ultimately donors lose commitment.

Corruption - A crime against democracy, justice and the rule of law

Corruption is one of the main obstacles to peace, security, stability, democracy and human rights globally. It may weaken democratic institutions both in new and in long-established democracies.

Corruption attacks the foundation of democratic institutions by distorting electoral processes, perverting the rule of law, and creating bureaucratic quagmires whose only reason for existence is the soliciting of bribes. It often reaches into Governments and parliaments, undermining the state and its institutions. If a widespread public suspicion exists that institutions are corrupt, and that criminal acts committed by elites remain unpunished, it damages the legitimacy of a democratic regime in the eyes of the public and leads to a loss of public support for democratic institutions. Corruption also erodes the institutional capacity of government institutions as formal procedures are ignored, resources are diverted for private gain, and public offices are paid off through bribery or other means of enrichment.

³ <http://www.mdgmonitor.org/>

Corruption undermines such democratic values as public trust and tolerance of minority or powerless groups, thereby affecting the fulfillment of civil and political rights. When corruption is prevalent, those in public positions fail to take decisions with the interests of society in mind. People become discouraged from exercising their civil and political rights and from demanding that these rights be respected.

Corruption in the justice system is also a critical area. The lack of integrity, accountability, oversight and transparency throughout the judicial process allows for arbitrary and unfair decisions to be made, with no respect for the law, thereby endangering the basic human right to a fair hearing before an impartial tribunal as well as other key principles of human rights and the rule of law. A corrupt justice system can not operate as a check against mismanagement and corruption.

Corruption - A crime against the environment

Corruption in the environmental sector can have a devastating impact during the initial stages of the resource exploitation process as well as during operations. Such practices include grand corruption in the issuance of permits and licenses for natural resources exploitation, petty bribery of law enforcement and embezzlement during the implementation of environmental programmes. Committed at the international, national or local level, these offences may result in the loss of resources and habitats and the degradation of ecosystems, with direct and indirect effects on the livelihood of people.

Corruption - A crime against health

Corruption in the health sector has an especially destructive impact in developing and transitional economies and can lead to the deterioration of the general health of a population by depleting already scarce public resources, diverting resources from areas where they are needed most, undermining the effective use of existing services, distorting the procurement of medical supplies, inflating the cost of health care and services and literally becoming a matter of life and death. The direct financing of healthcare services and supplies appears to be particularly vulnerable to corruption.

Corruption - A crime against education

The education sector, one of the largest budget items in many countries, presents many opportunities for corrupt practices. Corruption in this sector is particularly devastating in that it can lead to poor quality education, inferior performance and drop out rates, which in turn can lead to increased levels of poverty. While corruption in the education sector is difficult to measure, it is a challenge for many countries and a long-term perspective is needed that recognizes the important role of tomorrow's leaders. Indeed, with the youth making up approximately one-fifth of the total population in many developing regions, including the Middle East, Sub-Saharan Africa, North Africa, and South Asia, investing in education and strengthening integrity and transparency in this sector will have a positive impact on preventing and addressing the challenges of corruption.

II. INTERNATIONAL LEGAL FRAMEWORK and MANDATES

(A) THE UNITED NATIONS CONVENTION AGAINST CORRUPTION, THE CONFERENCE OF THE STATES PARTIES TO THE CONVENTION AND ITS SUBSIDIARY BODIES

The United Nations Convention against Corruption

Preventing and combating corruption requires a comprehensive and multidisciplinary approach. Based on recognition of this fact, Member States negotiated the United Nations Convention against Corruption (hereafter “the Convention” or “UNCAC”), which covers five main areas: prevention, criminalization and law enforcement measures, international cooperation, asset recovery, and technical assistance and information exchange.

As the sole legally binding universal instrument against corruption, the Convention holds great potential as a framework for the prevention of and fight against corruption and as the backbone for national and international anti-corruption initiatives to ensure that unified standards are applied and consistent approaches are taken. The Convention's far-reaching approach and the mandatory character of many of its provisions make it a unique tool for developing a comprehensive response to a global problem. While the letter of the Convention is legally binding on countries that have ratified or acceded to it, its values and state-of-the-art principles are indeed applicable to the widest spectrum of society. In the area of asset recovery, in particular, UNCAC has charted an entirely new course in international law.

Since the adoption of UNCAC by the General Assembly on 31 October 2003, 161 States Parties (including the European Union) have ratified or acceded to the Convention (status as of July 2012). The common goal is to reach universal adherence to the Convention, which is an achievable aim, in view of the large number of ratifications and accessions received over a short period of time.

In the meantime, implementing UNCAC presents significant challenges for many countries. Much work needs to be done to achieve effective, practical application of the provisions of UNCAC and thus achieve an effective global regime against corruption, based on the fundamental principles of the rule of law. The challenge of “breathing life” into these provisions of the Convention is to ensure the effective interface of law, investigation and prosecution in both the developing and the developed world. Member States need to be able to rely on policy guidance and technical assistance for the effective implementation of the Convention, particularly its innovative provisions.

The Conference of the States Parties to UNCAC

Pursuant to article 63 of the Convention, the Conference of the States Parties to UNCAC (hereafter “the Conference” or “COSP”) was established to improve the capacity of and cooperation between States parties to achieve the objectives set forth in the Convention and to promote and review its implementation. UNODC is the Secretariat to the Conference, which provides policy guidance to UNODC for the development and execution of anti-corruption related activities.

The Conference has held four sessions to date:

- First session, Amman, Jordan, 10-14 December 2006;
- Second session, Nusa Dua, Indonesia, 28 January-1 February 2008;
- Third session, Doha, Qatar, 9-13 November 2009;
- Fourth session, Marrakech, Morocco, 24-28 October 2011.

The next session will be held in Panama in 2013.

At its different sessions, besides regularly calling States parties and signatories to adapt their laws and regulations to bring them into conformity with the provisions of UNCAC (resolutions 1/3 and 2/4), the Conference has adopted far-reaching resolutions and has mandated UNODC to implement them, including through the development of technical assistance projects.

The Conference currently has the Implementation Review Group and two working groups to further the implementation of specific aspects of the Convention, respectively on asset recovery and prevention, as well as expert group meetings on international cooperation, which meet regularly in the intersessional period.

These resolutions, as well as the work of the different subsidiary bodies of the Conference are presented thematically hereunder⁴.

The Mechanism for the Review of Implementation of UNCAC and the Implementation Review Group

Background

At its first session, the Conference of the States Parties agreed that it was necessary to establish an appropriate and effective mechanism to assist in the review of the implementation of the Convention (resolution 1/1) and established an Open-ended Intergovernmental Working Group on Review of the Implementation of UNCAC to make recommendations on how to best achieve this goal. Between 2007 and 2009, the Working Group held four sessions, as well as further informal consultations to comply with its mandate. Draft terms of reference of the mechanism for the review of implementation of UNCAC, a draft country report blueprint, as well as draft guidelines for governmental experts participating in the review teams were prepared for the third session of the Conference held in 2009.

In parallel, a voluntary pilot review programme limited in scope was developed by UNODC to offer opportunities to test methods to review the implementation of the Convention, with the overall objective to evaluate efficiency and effectiveness of the tested mechanism(s) and to provide to the Conference information on lessons learned and experience acquired, thus enabling it to make informed decisions on the establishment of the appropriate mechanism for reviewing the implementation of the Convention.

Terms of Reference and functioning of the Implementation Review Mechanism

The Conference at its third session, held in November 2009, adopted landmark Resolution 3/1 on the review of the implementation of the Convention, containing the terms of reference of the Mechanism for the Review of Implementation of the Convention. It established a review mechanism aimed at assisting countries to meet the objectives of the Convention through a peer review process. This aims to further enhance the potential of the Convention, by providing the means for countries to assess how they are doing in the implementation through the use of a comprehensive self-assessment checklist, identify potential gaps and develop action plans to strengthen the implementation of UNCAC domestically.

The experience of the above-mentioned voluntary pilot review programme provided the Conference with lessons learned on methods for reviewing implementation of the Convention and several features of the pilot programme were introduced into the terms of reference of the new review mechanism.

The Terms of Reference of the review mechanism specify that:

- Each review phase is composed of two review cycles of five years each. The first review cycle covers chapters III (criminalization and law enforcement) and IV (international cooperation) of UNCAC. The second review cycle covers chapter II (preventive measures) and V (asset recovery).
- All States parties must undergo the review within each cycle
- The selection of the State party under review and of the reviewing States parties is carried out by drawing of lots. Each State party is reviewed by two other States parties, with the State party under review being actively involved. At least one of the reviewing States parties is from the regional group of the reviewed State party.

⁴Please note that resolutions adopted during the sessions of the Conference of the States parties are numbered by session of the Conference – e.g.: Resolution 1/3 is the third resolution adopted during the first session of the Conference.

- An initial desk review is based on the responses of each State to the IT-based comprehensive self-assessment checklist, also endorsed by the Conference at its third session. States parties under review are encouraged to conduct broad consultations including all relevant stakeholders when preparing their responses.
- Active dialogue between the country under review and the reviewers is a key component of the process. Country visits or joint meetings are held when agreed by the State party under review.
- A country review report is prepared and agreed to by the country under review. The executive summary of this report is an official document of the United Nations.
- The Secretariat prepares thematic and regional reports based on the different country review reports.

All relevant documentation concerning the Review Mechanism, including the terms of reference, guidelines, lists of governmental experts, resource requirements and other background documents can be found at the following link: <http://www.unodc.org/unodc/en/treaties/CAC/IRG.html>

UNODC, as the secretariat to the review mechanism, plays a crucial role by coordinating all reviews, supporting relevant activities conducted in the context of individual reviews, preparing the initial country reports, and providing technical and substantive servicing of the Implementation Review Group.

Lots were drawn for all the countries under review during the first review cycle, as well as the respective reviewing States for the first year of the cycle (June 2010-June 2011), at the first session of the Implementation Review Group held in June 2010 and at a subsequent meeting of the Group held in August 2010. Of the 34 States selected by drawing of lots to undergo review in the first year, 27 indicated their readiness to proceed further.

At its second session, held in May/June 2011, the Group launched the second year of reviews (June 2011-June 2012) with a total of 41 States parties under review and drew lots for their reviewing States parties. An updated version of the comprehensive self-assessment checklist was rolled out for the second review year, addressing some technical issues.

Implementation Review Mechanism and technical assistance

In Resolution 1/5 on technical assistance, the Conference decided to establish an Open-Ended Intergovernmental Working Group on Technical Assistance to review needs, provide guidance on priorities and promote coordination of technical assistance for the implementation of UNCAC at the bilateral, regional and global levels.

Resolution 3/4 on technical assistance welcomed the recommendations of the working group, which held two intersessional meetings in 2007 and 2008. In view of its decision to establish the Implementation Review Mechanism, and considering that the identification of needs and the delivery of technical assistance to meet such needs and facilitate the successful and consistent implementation of UNCAC are at the core of the mechanism, the Conference decided to abolish the Open-Ended Intergovernmental Working Group on Technical Assistance and to fold its mandate into the work of the Implementation Review Group.

In Resolution 3/4, the Conference also endorsed the approach of country-led and country-based, integrated and coordinated technical assistance programme delivery as an effective vehicle for furthering implementation of the Convention. The Conference further encouraged donors and other technical assistance providers to incorporate those concepts and capacity-building activities into their programmes. In addition, the Conference requested UNODC to share with potential providers information on technical assistance needs compiled on the basis of responses to the self-assessment checklist, in particular information on needs at the country level. The Secretariat was also tasked with further developing its database of anti-corruption experts and forging partnerships with assistance providers as well as the public and private sectors.

In resolution 4/1, the Conference recognized the importance of addressing technical assistance needs in the Review Mechanism, recommended that States parties identify such needs in their

responses to the comprehensive self-assessment checklist and in the country reports and continue to provide UNODC with information on ongoing technical assistance projects, and encouraged them to share experience in this regard.

Participation of signatories, non-signatories, entities and intergovernmental organizations in the work of the Implementation Review Group and Non-governmental organizations and the Mechanism for the Review of Implementation.

According to resolution 4/5 of the Conference signatories, entities and intergovernmental organizations with a standing invitation from the General Assembly to participate in the work of the United Nations may attend sessions of the Implementation Review Group, deliver statements at the invitation of the Chair, receive documents and submit their views in writing. Non-signatories may apply for an observer status. In line with Resolution 4/6 of the Conference, briefings for non-governmental organizations shall be conducted on the outcomes of the review process at the margins of the sessions of the Implementation Review Group, with a view to continue constructive dialogue on their contribution to the Review Mechanism.

Open-Ended Intergovernmental Working Group on Asset Recovery

In Resolution 1/4, the Conference decided to establish an Open-Ended Intergovernmental Working Group on Asset Recovery to assist States parties in developing knowledge on the topic, to facilitate the exchange of information and to identify areas for capacity-building in requesting and carrying out mutual legal assistance for asset recovery.

The Working Group held its first intersessional meeting in August 2007 and adopted a series of recommendations on practical tools for asset recovery to be developed. It highlighted the need to gather information on different types of money-laundering, to analyse legal and regulatory frameworks and to recognize the responsibility of the financial sector. It stressed the importance of close cooperation, trust and exchange of knowledge between competent authorities in requesting and requested States and recommended the establishment of a global network of focal points for asset recovery and annual meetings of those focal points. In Resolution 2/3 on asset recovery, the Conference requested the Working Group to continue engaging in this highly innovative and technical field.

At its second intersessional meeting in September 2008, the Working Group gave high priority to capacity-building, the availability, creation and management of knowledge and the establishment of a network of contact points for asset recovery. It welcomed the progress made on an envisaged comprehensive knowledge management centre and recommended that such a tool should contain not only legislation but also analytical work on asset recovery. It further reconfirmed the recommendation to develop practical tools for asset recovery, in particular a practical step-by-step manual, an expanded version of the Mutual Legal Assistance Request Writer Tool and models or best practices guides where feasible.

At its third intersessional meeting in May 2009, the Working Group recommended that UNODC consider preparing a compilation of cases relating to asset recovery, and that information on case law at the national level be gathered, including through the self-assessment checklist. With a view to building confidence and trust between requested and requesting States, the Working Group recommended that UNODC explore how the database of asset recovery focal points could be amended with a view to making it possible to ascertain the contact details of persons in other jurisdictions. The establishment of close links between asset recovery focal points and regional anti-corruption networks was encouraged. The Working Group finally encouraged States parties to remove barriers to asset recovery and emphasized the importance of providing technical assistance and strengthening the capacity of legislators, law enforcement officials, judges and prosecutors on matters relating to asset recovery.

Resolution 3/3 on asset recovery welcomed the recommendations of the Working Group and the work undertaken by the Secretariat to implement those recommendations. It emphasized the ongoing importance of international cooperation for asset recovery and urged States to take a proactive approach when using the provisions of the Convention. The Conference also tasked the

Working Group, inter alia, to develop best practices in asset recovery including through the studies produced by the Stolen Asset Recovery (StAR) Initiative.

At its fourth meeting in December 2010, the Working Group stressed the importance of preparing States parties for the review of implementation of chapter V of UNCAC on Asset Recovery and encouraged States parties to voluntarily complete early the self-assessment checklist on that chapter. The Working Group recommended that the Secretariat develop a multi-year workplan for consideration at its next meeting. It reiterated the need for a global network of asset recovery focal points and requested States parties to nominate focal points. The Secretariat was requested to continue its work on expanding the Mutual Legal Assistance Request Writer Tool, compiling asset recovery cases and forging partnerships with the private sector.

At its fifth meeting, held in August 2011, the Working Group reiterated the importance of preparing States for the review of the implementation of Chapter V of UNCAC and encouraged States parties to use the self-assessment checklist as a way to benchmark their efforts. It requested the Secretariat to continue its work on collecting and systematizing information on asset recovery cases, and called on States to provide relevant information to the Secretariat. The Working Group recommended that further discussion should take place to determine the modalities for establishing a global network of asset recovery focal points and urged States Parties that had not yet done so to designate and communicate to the Secretariat their focal points.

In resolution 4/4 on asset recovery, the Conference urged States parties that had not already done so to designate a central authority and, where appropriate, focal points. It called upon States parties to give timely consideration to the execution of mutual legal assistance requests and to ensure that procedures allow for the seizure and restraint of assets for a sufficient time period. States parties and signatories were also urged to strengthen their capacity in asset recovery, and the Conference requested the Working Group to continue to consider the issue of establishing a global network of asset recovery focal points.

Open-Ended Intergovernmental Working Group on Prevention

Prior to the establishment of the Working Group on Prevention in 2009, the Conference had highlighted some key issues related to the prevention of corruption. In particular, in resolution 1/7, the Conference addressed the issue of bribery of officials of public international organizations and invited UNODC, other relevant public international organizations, and States, to initiate an open-ended dialogue on the issue and report to the second session of the Conference. In Resolution 1/8, the Conference decided to consider best practices in the fight against corruption at its next meeting. In resolution 2/5, the Conference requested UNODC to focus on methodologies of cooperation between public international organizations and States parties in investigating corruption involving international public officials.

In resolution 3/2 on preventive measures, the Conference established the Open-Ended Intergovernmental Working Group on Prevention to further explore good practices in this field. The importance of building public-private partnerships was highlighted, as businesses were lagging behind Governments in fighting corruption, especially after the establishment of the Review Mechanism.

At its first meeting held in December 2010, the working group recommended that the Secretariat continue to gather information, including on good practices and initiatives and on existing expertise on the prevention of corruption within the United Nations system and other relevant organizations. The working group stressed the importance of preparing States parties for the review of implementation of chapter II of the Convention, and encouraged States parties to voluntarily complete early the self-assessment checklist on that chapter. States parties were encouraged to promote regional activities and strengthen training and education mechanisms. The working group recommended that the Secretariat continue its work on public procurement, vulnerability assessments and professional and safe reporting on corruption by journalists.

At its second meeting in August 2011, the Working Group recommended that the Secretariat conduct analyses of good practices reported by States parties and collect information on relevant expertise

within the United Nations system and other organizations. It reaffirmed that States parties should continue to strengthen awareness-raising and education, and that special attention be devoted to work with young people and children. The secretariat was also asked to continue to assist in promoting the implementation of the Convention among the business community.

At its fourth session in October 2011, the Conference adopted the “Marrakech declaration on the prevention of corruption” in its resolution 4/3, in which it requested the Secretariat to continue to function as an observatory of good practices in preventing corruption. The Conference also requested the Secretariat to continue to assist in promoting awareness of the principles of the Convention among the business community, and to further collect and disseminate information on good practices in promoting responsible, professional reporting by journalists on corruption. Member States were requested to promote relevant bilateral, regional and international activities, to develop initiatives to promote and implement anti-corruption measures within public procurement, to devote special attention to the creation of opportunities to involve young people and to promote educational programmes.

Open-Ended Intergovernmental Expert Group Meetings on International Cooperation

In October 2011, the Conference further adopted resolution 4/2, in which it decided to convene Open-Ended Intergovernmental Expert Meetings on International Cooperation to advise and assist the Conference with respect to extradition and mutual legal assistance.

(B) MANDATES ON ACTION AGAINST CORRUPTION, ECONOMIC FRAUD AND IDENTITY-RELATED CRIME EMANATING FROM OTHER INTERGOVERNMENTAL BODIES

Besides the mandates emanating from the Conference of the States parties to UNCAC and its subsidiary bodies, mandates on action against corruption, economic fraud and identity-related crime are also established by the General Assembly and Economic and Social Council of the United Nations and by the Commission on Crime Prevention and Criminal Justice. The list of relevant resolutions is attached in Annex 1 to this document.

III. UNODC ORGANIZATIONAL CONTEXT and STRUCTURE

The Thematic Programme on Corruption, Economic Fraud and Identity-related Crime is based on the relevant elements of the Strategic Framework of UNODC for the Period 2012-2013⁵ and of UNODC Strategy for 2012-2013. Activities pursued under this Thematic Programme are complemented and supported by UNODC activities under other relevant thematic, regional and country programmes and relevant elements of UNODC programme of work under the regular budget of the United Nations. This Thematic Programme, therefore, must be read in conjunction with these documents.

UNODC Strategic Frameworks for 2012-2013 and 2014-2015

The goals and areas of work of UNODC have been defined in the Strategic Frameworks of UNODC for the Period 2012-2013 (Programme 13) and for the Period 2014-2015 (Programme 13), which establish the objective and expected accomplishments that UNODC seeks to achieve pursuant to its mandates, organized under seven thematic subprogrammes.

The objective of subprogramme 2 “Countering corruption” for 2012-2013 is to prevent and combat corruption, in line with UNCAC, with the following expected accomplishments:

- a) Improved capacity of Member States to prevent and fight corruption in line with UNCAC;
- b) Enhanced decision-making and policy direction by the Conference of the States Parties to UNCAC and its subsidiary bodies and the United Nations Congress on Crime Prevention and Criminal Justice;
- c) Improved capacity of Member States to implement UNCAC and to address economic fraud and identity-related crime.

With the same objective, the expected accomplishments of subprogramme 2 “Countering corruption” for 2014-2015 are:

- a) Ratifications of or accessions to UNCAC
- b) Enhanced decision-making and policy direction by the Conference of the States Parties to UNCAC and its subsidiary bodies (especially the Implementation Review Group) and the United Nations Congress on Crime Prevention and Criminal Justice
- c) Improved capacity to prevent and fight corruption in line with the UNCAC and to address economic fraud and identity-related crime

Given that the Strategic Framework of UNODC for the Period 2014-2015 (Programme 13) was designed to cover all the work done by UNODC (while the Strategic Framework of UNODC for the Period 2012-2013 was still mainly linked to the allocation of regular budget resources), the Strategic Framework 2014-2015 will be used as a reference when describing the operational framework of this Thematic Programme in Part V of this document.

UNODC Strategy for 2012-2015

The expected accomplishments of UNODC have been further defined in UNODC Strategy for the period 2012-2015. For Subprogramme 2 - Countering corruption, the expected accomplishments are as follows:

- 2.1. Effective implementation of the mandates of the Conference of the States Parties to the United Nations Convention against Corruption, the Implementation Review Mechanism and the subsidiary bodies of the Conference of the States Parties
- 2.2. Universal ratification of the United Nations Convention against Corruption

⁵ UN Document A/65/6/Rev.1 (Prog. 13)

- 2.3. Improved national capacity for the enactment of domestic legislation in line with the United Nations Convention against Corruption
- 2.4. Enhanced capacity of national institutions (in particular anti-corruption bodies and institutions within the criminal justice systems) to effectively raise awareness of corruption; to prevent, detect and prosecute corruption domestically; and to cooperate internationally in the investigation, prosecution and adjudication of corruption and related offences
- 2.5. Enhanced capacity of national institutions to develop, monitor and evaluate anti-corruption strategies/action plans
- 2.6. Enhanced integrity, accountability, oversight and transparency of appropriate criminal justice institutions and other public sector institutions, through enhancing national capacity, and with a view to reducing vulnerabilities to corrupt practices
- 2.7. Enhanced capacity of national institutions to prevent and fight corruption in the private sector and to enhance the role of the private sector as a stakeholder in the prevention of and fight against corruption, through advocating the effective implementation of the United Nations Convention against Corruption
- 2.8. Enhanced national capacities to produce data and conduct statistical and analytical studies on corruption prevalence, patterns and typologies
- 2.9. Increased capacity of competent national authorities to undertake tracing, seizure, freezing, confiscation and/or return of the proceeds of corruption and to cooperate internationally in such matters
- 2.10. Enhanced knowledge of challenges, policies and good practices with respect to the implementation of the United Nations Convention against Corruption
- 2.11. Strengthened collaboration and coordination, coherence and consistency of policies, strategies and initiatives at the national, regional and global levels in line with the provisions of the United Nations Convention against Corruption
- 2.12. Enhanced role of civil society, parliamentarians and the development assistance community as stakeholders in the prevention of and fight against corruption, through advocating the effective implementation of the United Nations Convention against Corruption
- 2.13. Enhanced national capacities to address economic fraud and identity-related crime

UNODC organisational structure

Since 2010, UNODC has streamlined its strategic planning and implementation tools to ensure maximum consistency in its objectives, policy approaches and management arrangements, both at HQ and in the field. Five thematic clusters have been established to ensure a global perspective on the substantive work of the Office, namely the Organized Crime and Illicit Trafficking Branch; the Corruption and Economic Crime Branch; the Terrorism Prevention Branch; the Justice Section; and the Drug Prevention and Health Branch. Furthermore, the Research and Trend Analysis Branch (Division for Policy Analysis and Public Affairs) conducts research and analysis in all the thematic areas and the Integrated Programming and Oversight Branch (Division of Operations) is responsible for field programme development and oversight and the integration of themes from the five thematic areas into the field programmes, at both the regional and country levels.

Within UNODC, the overall substantive and implementation responsibility and functions relating to the Thematic Programme on Corruption, Economic Fraud and Identity-related Crime are vested with the **Corruption and Economic Crime Branch (CEB)** in the Division for Treaty Affairs, which also performs the functions of Secretariat to the Conference of the States Parties to UNCAC, the Implementation Review Mechanism and other subsidiary bodies.

The Branch, through its **Conference Support Section (CSS)** and its **Implementation Support Section (ISS)**, performs normative and operational work. It provides substantive, programming and technical

support to policy-making bodies with respect to corruption, economic crime and identity-related fraud. It also acts both as a catalyst and resource to assist Member States in devising coherent responses to prevent and combat corruption, economic crime and identity-related fraud, through the delivery and coordination of technical assistance activities, in accordance with UNCAC and under the overall guidance of the Conference and its subsidiary bodies for all matters related to corruption.

The Branch performs the technical and substantive secretariat functions for the Implementation Review Mechanism, including the Implementation Review Group. In this regard, the Branch is responsible for organizing and supporting the individual country reviews, as well as for preparing thematic and regional implementation review reports.

The Branch is also responsible for the substantive and technical servicing of the Working Group on Asset Recovery and the newly established Expert Meetings on International Cooperation. In this context, it implements activities related to asset recovery and international cooperation, including under the joint World Bank/UNODC Stolen Asset Recovery (StAR) Initiative.

Furthermore, the Branch leads UNODC's work regarding all required functions to improve countries' capacity to ratify and implement UNCAC through targeted advisory services, the development of tools, the identification and promotion of good practices, and awareness raising in society at large. In this context, the Branch manages a network of anti-corruption mentors/advisers in the field.

Another main area of responsibility related to UNODC's activities is the wide area of corruption prevention. In this context, the Branch is responsible for providing technical and substantive services to the Working Group on Prevention and takes the lead on the development of educational programmes and training tools. Furthermore, the Branch spearheads UNODC's initiatives with the private sector and in the area of public private partnerships. The implementation of tasks in the area of economic crime and identity-related fraud is also included in the responsibility of the Branch.

Cooperation and synergies within UNODC headquarters

Close working relations with other UNODC thematic Branches/Sections are critical for providing expertise and experience, and making an extended network of contacts and substantive resources available to Member States. Cooperation and coordination may include sharing of information; providing legislative assistance and advice and expertise on corruption, economic crime and identity-related fraud; carrying out joint assessment missions; jointly supporting programme and policy development in cross-cutting areas; and developing joint publications and tools. The Branch further seeks to integrate corruption, economic crime and identity-related fraud throughout the work of the Office to ensure a unified, coordinated and holistic approach.

The Branch worked closely with the **Organized Crime and Illicit Trafficking Branch (OCB)** of the Division for Treaty Affairs to develop a comprehensive self-assessment checklist (Omnibus) to facilitate the provision by Member States of information on their implementation of UNCAC and of the United Nations Convention against Transnational Organized Crime and the Protocols thereto (UNTOC). Lessons have been learned from the use of Omnibus in the Implementation Review Mechanism of UNCAC and in the pilot programme to review the implementation of UNTOC, and have been incorporated in the updated versions of Omnibus. Such efforts will continue in the future.

The Branch draws on the expertise of the **Global Programme against Money Laundering (GPML)** of **OCB** for the development and implementation of activities related to asset recovery, as appropriate.

In 2012-2013, the Branch will also work closely with **OCB** to design methods, tools and ways to fight environmental crimes that often involve organized criminal groups and corruption. Joint support will be provided to regional and field offices through awareness raising and capacity building activities to strengthen the rule of law and law enforcement cooperation against environmental crimes. The Branches will also enhance their contribution to the work of the International Consortium on Combating Wildlife Crime (ICWC), a partnership established in 2011 by CITES Convention on International Trade in Endangered Species of Wild Fauna and Flora, Interpol, the World Customs Organisation, the World Bank and UNODC, to bring coordinated support to the national wildlife law enforcement agencies and to relevant sub-regional and regional networks.

Additionally, cooperation with **OCB** will be intensified for all matters related to international cooperation in criminal matters (and more specifically extradition and mutual legal assistance), in particular in relation to the new Open-Ended Intergovernmental Expert Meetings on International Cooperation established by the Conference of the States parties to UNCAC in October 2011.

Close cooperation on identity-related crime issues will also continue, to ensure that overlaps are avoided with the work undertaken by **OCB** on cybercrime.

The Branch will work with the **Justice Section** of the Division for Operations in the development of assessments, guides, manuals, tools and approaches to strengthen integrity, accountability and transparency in the criminal justice system, and specifically in the implementation of outcome 5 (integrity, accountability, oversight and transparency of national criminal justice institutions) of this Thematic Programme and of outcomes 1 (crime prevention and criminal justice reform initiatives), 2 (tools, manuals and training materials are used by Member States to improve criminal justice procedures and practices) and 3 (new UN standards and norms in crime prevention and criminal justice) of the Thematic Programme on Crime Prevention and Criminal Justice for 2012-2015. Jointly, the Branch and the Section will support the field office network in designing and implementing projects and programmes aimed to implement UNCAC and relevant UN standards and norms on professional standards of conduct of criminal justice professionals. Cooperation with the Justice Section will also be explored in the area of crime prevention.

Within the Division of Policy Analysis and Public Affairs, specific activities developed in coordination with the **Statistics and Surveys Section** include the conduct of corruption risk assessments/studies and strengthening of national capacities to implement them; the improvement of methodological tools to produce quantitative and statistical data on corruption, with a focus on experiences of different forms of corruption; as well as the support to the creation of nationally owned studies, data and analyses. These activities are presented in the Thematic Programme on Corruption, as the results will be used as a basis for policy dialogue and policy making to advance the prevention and the fight against corruption. They will also be reflected in the Thematic Programme on Research and Trends Analysis.

Cooperation and coordination is ensured with the **Advocacy Section** of the Division of Policy Analysis and Public Affairs, which communicates the mission and objectives of UNODC among decision and opinion makers; leads on campaigns to commemorate International Days through a comprehensive effort that includes a strong and consistent message and engaging and informative public information materials targeting the media, key constituencies and the public at large; as well as promotes effective outreach to civil society organizations.

Cooperation and synergies with UNODC field office network

The Corruption and Economic Crime Branch is working in close contact with UNODC **field office network**, which plays a major role in planning, delivering and coordinating anti-corruption programmes, projects and activities at the national, sub-regional and regional levels.

The long-term goal is to achieve a judicious mix of:

- Core capacity at headquarters in terms of specialized substantive expertise and support functions for the Conference and its subsidiary bodies, ensuring effective policy and programme coordination, strategic interventions, advocacy and awareness-raising, partnerships at the global level, consistency in approaches worldwide and translation of lessons learnt into best practices;
- Substantive expertise and operational capacity in the relevant UNODC field offices to initiate, coordinate and implement activities at the regional, sub-regional and country level, including through transfer of skills from UNODC headquarters.

With a view to achieving this goal and to facilitate the comprehensive integration of anti-corruption issues in the overall work of UNODC, the Corruption and Economic Crime Branch therefore:

- Provides policy guidance and technical input to UNODC field office network to conceptualize, integrate, develop, and review anti-corruption components of UNODC regional and country programmes as well as specific anti-corruption projects, programmes and other technical assistance initiatives to ensure the coherence and consistency of UNODC delivery;
- Contributes to strengthen the capacities of UNODC field office network in the development and implementation of anti-corruption initiatives, through inclusion in training programmes, workshops and other events, as well as through the dissemination of guidance notes and tools;
- Contributes to the efficient management and delivery of anti-corruption projects, programmes and other technical assistance initiatives in the field;
- Establishes a bottom-up information flow and knowledge management between the field and HQ with a view to identifying, documenting and disseminating good practices emerging from UNODC's work in the field and helping UNODC field offices in the cross-fertilisation of approaches, projects and tools at the regional and international levels.

IV. GUIDING PRINCIPLES, SERVICES, TOOLS and PARTNERSHIPS

UNODC'S comparative advantage in the prevention of and fight against corruption

As the guardian of UNCAC, UNODC has resident in-depth knowledge and extensive expertise on the Convention emanating from having supported the negotiations of the treaty. As the Secretariat of the Conference of the States Parties to the Convention and its Implementation Review Mechanism, UNODC is mandated to conduct the analysis of States Parties' self-assessment reports and facilitate and support country peer reviews. UNODC is also mandated to compile technical assistance needs identified through the self-assessment checklist and the country reports, analyze gaps in implementing UNCAC and thus assist the Conference in identifying technical assistance priorities and develop responses.

UNODC is in a position to play a lead role in providing technical assistance for the implementation of UNCAC, but can also act as an honest broker responsible for matching needs for technical assistance with technical assistance offered by other providers. The Implementation Review Mechanism also provides the opportunity to review the impact of technical assistance delivered.

(A) GUIDING PRINCIPLES

The following key principles guide the Corruption and Economic Crime Branch in implementing its programme of work:

1. Using UNCAC as a backbone for UNODC's anti-corruption initiatives, and advocating the use of UNCAC as the framework of action for other international, regional and national actors to avoid that different standards are applied and inconsistent approaches are taken;
2. Developing anti-corruption activities with a comprehensive and multidisciplinary approach which covers prevention, criminalization and law enforcement, international cooperation and asset recovery, thereby ensuring that all aspects of corruption are considered and addressed;
3. Ensuring the involvement and engagement of all parts of society in the prevention and fight against corruption (government, public institutions, parliamentarians, private sector, civil society, media, academia);
4. Ensuring a mix of normative, operational, data collection and research work to strengthen the capacities of Member States:
 - Normative work to promote adherence to UNCAC and its effective implementation by Member States;
 - Operational work to develop, manage, implement and coordinate technical assistance activities related to the prevention of and fight against corruption, and to assist countries in the development and implementation of programmes aimed at effective institution- and capacity-building;
 - Data collection and development of statistical indicators to provide benchmarks for the assessment of corruption;
 - Research and analytical work to increase knowledge and understanding of corruption and to support evidence-based normative, policy and operational decisions.
5. Supporting country-led and country-based technical assistance delivery by developing tailor-made national activities, supported and supplemented by sub-regional and regional activities as well as by a range of state-of-the-art and specialized global tools to address the different needs of Member States;
6. Fostering cooperation between Member States (in particular through the Implementation Review Mechanism and other workshops and conferences), with a view to creating fruitful bilateral, regional and multilateral exchanges beyond activities implemented by UNODC, with an emphasis on South-South cooperation;

7. Reaching out to Member States that have received little or no anti-corruption technical assistance so far in order to ensure that no country is “left behind” in the prevention and fight against corruption;
8. Providing technical assistance in different formats, to adjust to the requests received by Member States: ad-hoc short-term assistance (missions by staff members or consultants), development of comprehensive projects/programmes or placement of a mentor/adviser for “on-the-spot” more intensive assistance;
9. Building on existing projects, programmes and activities developed by other regional and international organizations and consolidating and expanding partnerships with other organizations to reinforce the coherence, consistency and impact of anti-corruption activities;
10. Proposing innovative activities and approaches to answer emerging needs in a prompt and efficient manner.

(B) UNODC SERVICES - FOCUSING ON TECHNICAL ASSISTANCE NEEDS

The breadth of the Convention as well as the high number of ratifications and accessions, in particular by developing countries and countries with economies in transition, warrant an equally robust capacity of UNODC to offer a broad set of technical assistance responses/activities to meet the growing demands of Member States.

The following services are provided by the Corruption and Economic Crime Branch as well as through UNODC field office network:

- Deliver substantive and technical services and strategic advice to relevant intergovernmental bodies;
- Support the analysis of the weaknesses of relevant national laws, institutions, and policies, as a basis for sound policy development and technical assistance and as benchmarks for the evaluation of progress;
- Support the development of domestic legislation which fully complies with the provisions of UNCAC;
- Support Member States in setting up, strengthening and managing the institutional framework required by UNCAC (in particular anti-corruption bodies, financial intelligence units and central authorities responsible for mutual legal assistance) and in developing a wide range of policies, rules, and procedures, as well as the operational tools and skills required for their proper implementation;
- Build training capacities and programmes to ensure that countries can rely on a body of highly skilled anti-corruption practitioners;
- Assist Member States in enhancing the integrity, accountability and oversight of their criminal justice institutions (including police, prosecution and judiciary) as well as other institutions (in particular in sectors that have specific relevance to the achievement of the Millennium Development Goals);
- Support Member States in communicating and raising awareness about the negative impact of corruption and about the benefits of compliance with UNCAC, as well as to encourage a proactive stance against corruption, through targeted information campaigns to mark the International Anti-Corruption Day and through effective work with the media;
- Support to civil society in strengthening the demand for good governance through the International Anti-Corruption Day campaigns, raising awareness about the negative impact of corruption in daily life and encouraging a more active stand against corruption;
- Support Member States in preventing and fighting corruption in the private sector and promote the business community’s engagement in the prevention of and fight against corruption;

- Support Member States to strengthen national capacities to carry out corruption risk assessments, in order to enable them to acquire a profound knowledge and understanding of the scope, nature, causes, contributing factors and challenges posed by corruption;
- Collect and analyse quantitative and statistical data on corruption; improve methodological tools to produce such data and produce analytical reports; support Member States to strengthen their capacities and develop nationally owned studies, data and analyses;
- Develop and disseminate guides, handbooks and other tools which address the needs of anti-corruption practitioners on specific aspects, challenges, policies and good practices on the implementation of the Convention;
- Facilitate the exchange of good practices, sharing of experiences and replication of successful approaches on the various aspects of UNCAC at the sub regional, regional and global levels;
- Advocate and facilitate the use of UNCAC as the framework for technical assistance delivery by international, regional and bi-lateral organizations and contribute to strengthening the coherence and consistency of sub-regional, regional and global policies, strategies and initiatives;
- Support Member States in enhancing their capacities to address economic fraud and identity-related crime.

These services are provided in different formats, to adjust to the requests received by Member States. This includes, in particular, ad-hoc/short-term assistance (missions by staff members or consultants), the placement of a mentor/adviser (medium- or long-term) who can provide hands-on, on-the-spot and day-to-day expertise and support to anti-corruption bodies and other relevant institutions, as well as the development and implementation of comprehensive national projects/programmes.

(C) TOOLS, MANUALS AND PUBLICATIONS

To provide guidance and assistance for the prevention of and fight against corruption, economic fraud and identity-related crime, UNODC has developed several tools, manuals and publications and is constantly developing new ones with a view to enhancing knowledge of challenges, policies and good practices on the implementation of UNCAC, in particular in line with the needs identified through the Review Mechanism. These tools can be adapted to regional and national needs, upon request.

Prevention and fight against corruption

- *Travaux préparatoires* of the negotiations for the elaboration of the United Nations Convention against Corruption
- Legislative Guide for the Implementation of the United Nations Convention against Corruption
- Technical Guide to the United Nations Convention Against Corruption
- Comprehensive Self-Assessment Checklist on the Implementation of the United Nations Convention against Corruption (Omnibus software)
- Basic documents on the Implementation Review Mechanism (Terms of Reference, Guidelines and Blueprint)
- Tools and Resources for Anti-Corruption Knowledge (TRACK), a Web-based portal and collaborative forum on anti-corruption and asset recovery (<http://www.track.unodc.org>)
- UNODC Anti-Corruption Legal Library (part of TRACK)
- UNDP/UNODC guidance note - UNCAC self-assessments: Going beyond the minimum
- Empowering the Victims of Corruption through Social Control Mechanisms
- International Anti-Corruption Day Campaign materials (www.actagainstcorruption.org)

Focus on Integrity

- Commentary on the Bangalore Principles of Judicial Conduct
- Resource Guide on Strengthening Judicial Integrity and Capacity
- United Nations Handbook on Practical Anti-Corruption Measures for Prosecutors and Investigators
- Handbook on Police Accountability, Oversight and Integrity
- Assessment of Judicial Integrity and Capacity in three Nigerian States, 2006
- Assessment of Justice Sector Integrity and Capacity in two Indonesian Provinces, 2006
- Assessment of Justice Sector Integrity and Capacity in ten Nigerian States, 2007
- Impact assessment of Justice Sector Reform in three Nigerian States, 2007
- Judicial Ethics Training Manual for Nigerian Judges

Focus on the private sector

- UNODC-UN Global Compact anti-corruption e-learning tool for the private sector (<http://thefightagainstcorruption.unodc.org>)
- Anti-corruption Policies and Measures of the Global Fortune 500
- Corruption Prevention to Foster SME Development (UNIDO/UNODC – 2 volumes)
- Handbook on Good Practices for Promoting Responsible and Professional Reporting on Corruption (forthcoming)
- Promoting UNCAC as a framework to mainstream anti-corruption safeguards related to the organization of major public events (forthcoming).
- Anti-Corruption Compliance Handbook for Businesses (forthcoming)

Focus on Asset Recovery

- Management of Returned Assets: Policy Considerations
- Income and Asset Declarations: Tools and Trade-offs
- Towards a Global Architecture for Asset Recovery
- Politically Exposed Persons: Preventive Measures for the Banking Sector
- A Good Practice Guide for Non-Conviction Based Asset Forfeiture
- Asset Recovery Handbook: A Guide for Practitioners
- Barriers to Asset Recovery: An Analysis of the Key Barriers and Recommendations for Action
- The puppet masters: how the corrupt use legal structures to hide stolen assets and what to do about it
- Tracking Anti-Corruption and Asset Recovery Commitments (a joint StAR-OECD Publication)
- The Identification and Quantification of Proceeds of Bribery (a joint StAR-OECD Publication)
- Study on illicit enrichment (forthcoming)
- Corruption and the Misuse of Corporate Vehicles (forthcoming)
- Digest of Asset Recovery Cases (forthcoming)
- Public office, Private interests: accountability through income and asset disclosure (forthcoming)
- Mutual Legal Assistance / Asset Recovery Writer Tool (forthcoming)

Focus on Research

- Corruption in Afghanistan: Bribery as reported by the victims
- Business survey on corruption - Executive summary
- Corruption in the western Balkans: bribery as experienced by the population
- Corruption in Albania: bribery as experienced by the population
- Corruption in Croatia: bribery as experienced by the population
- Corruption in the former Yugoslav Republic of Macedonia: bribery as experienced by the population
- Corruption in Montenegro: bribery as experienced by the population
- Corruption in Serbia: bribery as experienced by the population

Economic fraud and identity-related crime

- Handbook on identity-related crime

(D) PARTNERSHIPS

UNCAC provides a comprehensive framework for concerted action by Member States to prevent and control corruption at the domestic level and to cooperate internationally towards that goal. As such, it should also guide international, regional and bi-lateral organizations in the design, conduct and evaluation of technical assistance programmes, projects, and other activities geared towards supporting countries in the implementation of UNCAC.

So far, however, technical assistance provided by various multi- and bilateral organizations does not follow a consistent approach or single logic and is not equally accessible to countries in needs of such assistance. Various providers of technical assistance often recommend inconsistent or contradictory solutions and ignore the need for coherence and coordination between programmes as well as the actual domestic capacities to implement them.

Enhancing consistency, coherence, coordination and cooperation among providers of technical assistance should become a priority at the global, regional and national levels. The first step towards coordination consists in regular and structured information-sharing so that potential duplication of effort can be avoided and opportunities for cooperation and synergies arise over time and can be taken advantage of.

In this regard, as early as 2002, the International Group for Anti-Corruption Coordination (IGAC) was launched by UNODC with the purpose of ensuring improved impact of technical assistance through systematic and continuing coordination and cooperation across the UN and other organizations active in the field of anti-corruption work. More than 40 international and regional organizations, as well as a number of NGOs, attended the different Interagency Anti-Corruption Coordination Meetings, with a view to improving mutual understanding of their processes as well as to developing a common understanding of UNCAC and the requirements for its implementation. In 2009, UNODC evaluated the experience of IGAC and, in the interest of efficiency, folded its work into that of the Implementation Review Mechanism.

The Mechanism for the Review of Implementation of UNCAC provides a unique framework to review needs, provide guidance on priorities and promote coordination of technical assistance at the bilateral, regional and global levels. The identification of technical assistance needs is an integral part of the Mechanism. By providing a forum for Member States to report on technical assistance received for the implementation of UNCAC, it also gives an opportunity to assess whether the assistance has achieved the goals and filled the gaps identified.

As the Secretariat to the Review Mechanism, UNODC is mandated to analyze gaps in implementing UNCAC, compile technical assistance needs identified at the national regional and global levels, and

thus assist the Conference in identifying technical assistance priorities and developing responses. UNODC also shares with other technical assistance providers such information.

In providing technical assistance for the prevention of and fight against corruption, UNODC collaborates closely with other international, regional and bilateral agencies, and NGOs. The existing strategic partnerships will be strengthened and expanded where appropriate.

UN system-wide coordination

In order to further create and strengthen synergies with other Departments, Offices, Funds and Programmes, within the UN system, UNODC has forged a number of strategic partnerships on matters related to the prevention and fight against corruption, including through the provision of substantive input on relevant matters to facilitate the inclusion of these aspects in their activities. These partnerships will be further strengthened and new partners will be sought in 2012-2013:

- Since 2007, UNODC and the World Bank work together in the joint Stolen Asset Recovery (StAR) Initiative, which aims to implement the Convention's provisions on asset recovery, build capacity, lower barriers for asset recovery worldwide and assist the Conference in formulating policy on asset recovery. The two organizations established the institutional framework of the Initiative based on a joint Secretariat located in Washington D.C. and a multi-donor trust fund.
- In the framework of the Memorandum of Understanding signed between UNODC and the United Nations Development Programme (UNDP) in 2008, anti-corruption projects have been developed in different countries. Most recently, UNODC and UNDP have been working towards a better coordination and streamlining of their action at the global level, as well as towards joint programming in specific regions. UNODC and UNDP have further jointly trained governmental experts participating in the Review Mechanism and developed a joint guidance note on UNCAC self-assessments. A joint anti-corruption training course, which will be part of the general training on the United Nations Development Assistance Framework (UNDAF), is also being developed. Since 2009, UNODC also partners with UNDP for the international campaign to mark the International Anti-Corruption Day, with a focus on how corruption hinders the achievement of the Millennium Development Goals. UNODC also participates regularly in UNDP Regional Community of Practice and UNDP Democratic Governance Group meetings.
- UNODC maintains a close partnership with the United Nations Global Compact with a view to promoting the implementation of the Tenth Principle of the Global Compact ("Businesses should work against corruption in all its forms, including extortion and bribery"), and participates in the meetings of the Global Compact Working Group on the Tenth Principle. UNODC and the Global Compact also launched an e-learning tool for the private sector on the Tenth Principle and UNCAC (<http://thefightagainstcorruption.unodc.org/>).
- A joint UNODC/United Nations Department of Economic and Social Affairs (UNDESA) new category of the annual United Nations Public Service Awards was created in 2010, namely on "Preventing and combating corruption in the public service". The awards are presented annually on the United Nations Public Service Day.
- Collaboration with the United Nations Industrial Development Organization (UNIDO) on guides for small and medium-size businesses is ongoing.
- In the research field, UNODC has partnered with the United Nations Interregional Crime and Justice Research (UNICRI) and the members of the United Nations Crime Prevention and Criminal Justice Programme Network of Institutes (PNI).
- UNODC has also taken the lead in the United Nations System Chief Executives Board (CEB) institutional integrity initiative, which aims at extending the principles and standards of the Convention to the organizations of the United Nations system.
- Existing and potential partners within the UN system also include the UN Ethics Office, UN Women, and the Office of the United Nations High Commissioner for Human Rights (OHCHR).

Partnerships with other international and regional organizations

- UNODC has supported the establishment of the International Association of Anti-Corruption Authorities (IAACA). UNODC remains consistently supportive of the work of IAACA, including, with a view to enhancing the active and effective participation of anti-corruption bodies in the UNCAC review process.
- UNODC participates fully in the Working Group on Bribery in International Business Transactions, the Development Assistance Committee (OECD/DAC) and the Anti-Corruption Task Team of that Committee's Network on Governance (GOVNET) of the Organization for Economic Cooperation and Development (OECD).
- UNODC participates regularly as an observer in the Council of Europe's Group of States against corruption (GRECO) mechanism.
- In the framework of the Memorandum of Understanding with the Organization of American States signed in 2010, UNODC is an observer to the Follow-up mechanism for the implementation of the Inter-American Convention against Corruption (MESISIC).
- UNODC participates as an observer in the G20 Anti-Corruption Working Group since its establishment.
- UNODC has also been invited to participate in the B20 Working Group on Improving Transparency and Anti-Corruption.
- UNODC is working closely with the International Olympic Committee. This includes the preparation of a comparative study compiling criminal law provisions on match-fixing and illegal/irregular betting from legislation of countries around the world, particularly Members States facing acute challenges in combating these criminal activities; and assessing the applicability of existing multilateral conventions including the United Nations Convention against Transnational Organized Crime and the United Nations Convention against Corruption. The cooperation between UNODC and the International Olympic Committee also includes a collaboration on the identification of good practices for preventing corruption in connection with major public events, such as sports events.
- UNODC supported the International Anti-Corruption Academy (IACA) in its institutional development, a process which led to the establishment of IACA as an international organization in 2011. UNODC and IACA are considering the conclusion of a Cooperation Agreement.
- Existing partners among international and regional organisations outside the UN system also include the African Union, International Bar Association, INTERPOL, the African Development Bank, the Asian Development Bank, the Inter-American Development Bank, the Asia Pacific Economic Cooperation (APEC), the Southern African Development Community, the U4 Centre, the International Olympic Committee, the Organization for Security and Cooperation in Europe (OSCE), the European Union, EUROJUST, the European Anti-Fraud Office (OLAF) and the Financial Action Task Force on Money Laundering.

Partnerships with the private sector

UNODC has developed strong partnerships with private sector entities and initiatives, with a view to promoting the implementation of UNCAC among the business community:

- A vibrant and productive relationship with the World Economic Forum (WEF), and especially its Partnering Against Corruption Initiative (PACI) is ongoing, including through the participation of UNODC in the annual gathering of the WEF in Davos, Switzerland.
- Through its close partnership with the United Nations Global Compact, and in particular its Working Group on the Tenth Principle, UNODC regularly engages in discussions with the business community. Both entities have also jointly made available free of charge an e-learning tool for the private sector on the Tenth Principle and UNCAC (<http://thefightagainstcorruption.unodc.org/>).

- UNODC is a member of the Task Force on Improving Transparency and Anti-Corruption of the Business 20 (B20), an offshoot of the G20 and a forum for the world's largest companies to share views and define a joint strategy to move G20 nations forward on global issues.
- Through the Siemens Integrity Initiative, UNODC is a recipient of funding for the period 2011-2014 for three anti-corruption projects aimed at reducing vulnerabilities to corruption in public procurement systems; creating systems of legal incentives to encourage corporate integrity and cooperation, including reporting of internal incidents of corruption; and developing an outreach and communication programme targeted at the private sector and an academic learning course on UNCAC for future generations of business and public leaders.
- UNODC, together with the OECD and the World Bank, has started to develop an anti-corruption compliance handbook to enable the private sector to adopt anti-corruption policies that are aligned with UNCAC and put in place checks and balances needed to strengthen transparency and accountability.
- UNODC and PricewaterhouseCoopers joined forces for the joint publication of Anti-Corruption Policies and Measures of the Fortune Global 500, produced by PwC, on a pro bono basis, for the benefit of the private sector.
- Microsoft also provided pro bono technological advice for the Tools and Resources for Anti-Corruption Knowledge (TRACK)/Legal Library.

Partnerships with civil society organizations

Article 13 of UNCAC recognizes the role of civil society in preventing and combating corruption by calling on Governments to increase transparency and participation in government decision-making and improve public access to information. UNODC is working in partnership with the Coalition of the Civil Society Friends of UNCAC (hereafter the Coalition) and Transparency International to broaden and deepen the engagement of civil society organisations from all regions, at grassroots, local, national, regional and international levels.

- UNODC in partnership with the Coalition has initiated a series of training courses that aim to enhance the skills and capacity of non-governmental organizations to understand UNCAC and its Review Mechanism.
- Since 2009, UNODC and UNDP have marked the International Anti-Corruption Day with a joint campaign. In 2011 the campaign was launched under the theme "ACT - Against Corruption Today" in an effort to encourage a multi-sectoral approach involving in particular civil society, non-governmental and community-based organizations, as well as the media. Communications materials are made available for free download in all UN official languages (www.actagainstcorruption.org).
- UNODC, together with the Coalition, is also facilitating the participation of civil society organisations from developing countries in the Conference of the States Parties, with the aim to increase understanding of the Convention, facilitate its implementation at the local, national and regional level and foster anti-corruption activities.
- In line with resolution 4/6, adopted by the Conference in October 2011, briefings will be conducted for non-governmental organizations on the outcomes of the review process in the margins of the sessions of the Implementation Review Group, in order to continue constructive dialogue on their contribution to the Review Mechanism.

Partnerships with the academia

- UNODC supported the International Anti-Corruption Academy (IACA) in its institutional development, a process which led to the establishment of IACA as an international organization in 2011. UNODC and IACA are considering the conclusion of a Cooperation Agreement
- Since 2011, UNODC is also supporting the establishment of a Regional Anti-Corruption Academy for Central America and the Caribbean (Academia Regional Anticorrupción para Centroamérica y el Caribe - ARAC), in Panama City, Panama, as requested by the Government of Panama.
- UNODC leads the development of the Anti-Corruption Academic Initiative (ACAD). The initiative, which is pursued in partnership with the OECD, the International Bar Association and other relevant institutions, aims to develop a comprehensive anti-corruption academic curriculum composed of individual units which universities could integrate into existing academic programmes. The materials are being developed in close cooperation with the UN Global Compact Office and its Principles for Responsible Management Education initiative.
- Through the Siemens Integrity Initiative, UNODC is a recipient of funding for the development of an academic learning course on UNCAC for future generations of business and public leaders.

Partnerships with the media

UNODC started developing a substantive tool on good practices for promoting responsible and professional reporting on corruption, with UNCAC as a framework.

Partnerships with parliamentarians

UNODC is working closely with the Global Organization of Parliamentarians Against Corruption (GOPAC) to encourage parliamentarians to contribute to ensuring the implementation of UNCAC, including through proper reporting systems.

V. OPERATIONAL FRAMEWORK FOR 2012-2015

The Corruption and Economic Crime Branch strives to continuously support Governments, society at large and the private sector to transform the objectives of the United Nations Convention against Corruption into reality and to thereby promote effective responses to corruption.

Our specific objectives for 2012-2015 are:

- To promote further steps towards universal adherence to UNCAC;
- To successfully service and support intergovernmental processes related to UNCAC, in particular the Conference of the States Parties to UNCAC and its subsidiary bodies;
- To facilitate and support the Implementation Review Mechanism, including with respect to the analysis of technical assistance needs at the country, regional and global levels;
- To foster progress in the effective implementation of UNCAC, with UNODC acting as a direct technical assistance provider and/or as a facilitator of the provision of such assistance;
- To consolidate the mandates related to the prevention of corruption, and to significantly advance or implement special initiatives;
- To contribute to successes in the field of asset recovery;
- To expand our range of state-of-the-art, timely knowledge products, and innovative approaches;
- To establish and/or strengthen partnerships with other international and regional organizations, the private sector and civil society.

(A) OUTCOMES, OUTPUTS AND INDICATORS

These overall objectives are implemented through 8 specific outcomes, for each of which technical assistance activities will be delivered by UNODC from Headquarters and at the field level, as appropriate.

The Implementation Review Mechanism will function as the conduit for the identification of technical assistance needs and ensure that the gaps identified will be filled by prioritizing the delivery of technical assistance as an integral part of the Mechanism.

As the Thematic Programme is designed and implemented according to the overall mandates and guidance provided by UNCAC and its Conference of the States Parties, as well as other relevant policy-making bodies, conceptual reassessment and amendments to its objectives and/or outcomes may become necessary. The Programme and its project components have been developed with sufficient flexibility to take new or expanded mandates for UNODC into account.

UNODC's Regional and Country Offices are encouraged to use these outcomes, outputs and indicators as the framework for programme and project development.

The 8 specific outcomes hereunder can be grouped under the 3 expected accomplishments listed in the Strategic Framework of UNODC for the Period 2014-2015 (Programme 13) for subprogramme 2 "Countering corruption".

OUTCOME 1– Member States ratify, or accede to, the United Nations Convention against Corruption.

Outcome indicators:

- Number of States parties ratifying and/or acceding to the United Nations Convention against

Target 2012-2013: 20 new ratifications/accessions (as of July 2012: 161 ratifications/accessions)

Outputs

- Awareness of the importance and benefits of ratifying / acceding to UNCAC raised among non-parties, through advocacy and political-level consultations
- Member States assisted in ratifying or acceding to UNCAC upon request

OUTCOME 2 –Enhanced decision-making and policy direction by the Conference of the States Parties to the Convention against Corruption and its subsidiary bodies

Outcome indicators:

- Percentage of Member States participating in the Conference of the States Parties to UNCAC expressing full satisfaction with the quality and timeliness of technical and substantive services provided by the Secretariat

Target 2012-2015: 85% (Fifth Conference in 2013 and Sixth Conference in 2015).

- Percentage of Member States participating in the United Nations Congress on Crime Prevention and Criminal Justice expressing full satisfaction with the quality and timeliness of technical and substantive services provided by the Secretariat

Target 2012-2015: 85% (implementation of the Salvador declaration adopted during the 12th Congress and servicing of the 13th Congress in 2015)

Outputs

- Conference of the States Parties serviced by its Secretariat (technical and substantive servicing)
- Implementation Review Group serviced (technical and substantive servicing)
- Working Group on Asset Recovery serviced (technical and substantive servicing)
- Working Group on Prevention serviced (technical and substantive servicing)
- Expert Group Meetings on International Cooperation serviced (technical and substantive servicing)
- Improved participation of Least Developed Countries (LDCs) in sessions of the Conference and meetings of its subsidiary bodies
- Salvador Declaration on Comprehensive Strategies for Global Challenges: Crime Prevention and Criminal Justice Systems and Their Development in a Changing World (adopted at the Twelfth United Nations Congress on Crime Prevention and Criminal Justice in 2010) implemented with regard to the mandates related to economic crime
- Thirteenth United Nations Congress on Crime Prevention and Criminal Justice (2015) serviced (technical and substantive servicing)
- Substantive input provided to other relevant intergovernmental bodies, in particular the General Assembly, the Economic and Social Council and the Commission on Crime Prevention and Criminal Justice
- Core group of experts on identity-related crime efficiently and effectively serviced (technical and substantive servicing)

- Substantive inputs contributed to facilitate the inclusion of matters related to economic fraud and identity-related crime in relevant intergovernmental processes and in activities of entities within the UN system or with international and regional organisations outside the UN system, with a view to facilitating policy-making

OUTCOME 3 – States parties participate actively and effectively in the Implementation Review Mechanism of UNCAC

Outcome indicators⁶:

- Number of States parties responding to the self-assessment checklist

Target 2012-2015: 110 responses

- Number of executive summaries and country review reports finalised through the Implementation Review Mechanism

Target 2012-2015: 110 executive summaries finalized and published

Outputs

- Capacities of States parties to collect and analyse data related to their implementation of UNCAC strengthened
- Capacities of States parties to participate in the Implementation Review Mechanism of UNCAC strengthened
- Comprehensive self-assessment checklist completed by States parties within the Implementation Review Mechanism
- Country reviews completed and executive summaries and country review reports finalised
- Technical assistance needs identified through the Review Mechanism analysed (through national, regional and thematic reports)
- Follow-up actions of States parties to address the findings and recommendations emerging from the review process supported
- Comprehensive and up-to-date database of relevant anti-corruption laws and regulations, cases, strategies and institutions available

OUTCOME 4 – Member States improve their capacity, through domestic legislation, to prevent and fight corruption in line with the United Nations Convention against Corruption.

Outcome indicator:

- Number of countries drafting and/or revising domestic legislation to incorporate provisions of the United Nations Convention against Corruption with assistance from UNODC

Target 2012-2015: 20 countries assisted by UNODC CEB and/or by UNODC field office network

Outputs

- Comprehensive self-assessment checklist completed by States parties as part of an ad-hoc gap analysis, domestic legal frameworks assessed and potential gaps identified

⁶ For both indicators, the assumption is that all the States parties under review will be responsive and complete their country reviews in due time, as per the Terms of Reference of the Review Mechanism.

- Improved national capacity for the enactment of domestic legislation in line with UNCAC
- Legislation drafted to incorporate UNCAC provisions in the domestic legal framework
- Enhanced capacities of national authorities to effectively apply domestic legislation in line with UNCAC
- Manuals, tools and training materials on standards, policies, operational procedures and good practices providing guidance and technical support to Member States for the implementation of domestic legislation in line with UNCAC developed and disseminated

OUTCOME 5 –Member States take action to effectively prevent, raise awareness of, detect, investigate and prosecute corruption and to address economic fraud and identity-related crime notably

Outcome indicators:

- Number of relevant national institutions assisted in strengthening their capacities to effectively prevent and combat corruption

Target 2012-2015: 35 institutions assisted by UNODC CEB and/or by UNODC field office network

- Number of national criminal justice institutions (as well as other public institutions) assisted in strengthening their capacities for greater integrity, accountability, oversight and transparency

Target 2012-2015: 3 institutions assisted by UNODC CEB and/or by UNODC field office network

- Number of national anti-corruption strategies and/or action plans developed with UNODC assistance

Target 2012 – 2015: 26 strategies/ action plans

- Number of institutions assisted in addressing economic fraud and identity-related crime

Target 2012-2015: 3 institutions assisted by UNODC CEB and/or by UNODC field office network

Outputs

- Capacities of national bodies/institutions in charge of the prevention, awareness raising, detection and prosecution of corruption (in particular anti-corruption agencies) assessed through a comprehensive gap analysis
- Accountability, integrity, transparency and oversight of criminal justice institutions (including police, prosecution and judiciary) as well as other public sector institutions assessed
- Capacities to develop, monitor and evaluate the implementation of national strategies/action plans strengthened in line with UNCAC and with the findings and recommendations emerging from the UNCAC review process and/or of a comprehensive gap analysis
- Anti-corruption strategies/action plans implemented in line with UNCAC and with the findings and recommendations emerging from the UNCAC review process and/or of a comprehensive gap analysis
- Institutional framework, structures, policies, processes and procedures (such as codes of conduct, asset declaration systems, conflict of interest policies and human resource management systems) established and strengthened to effectively prevent and combat corruption, including within institutions
- Increased staff and operational capacities of relevant national authorities to effectively prevent and combat corruption, including within institutions

- Implementation of the Bangalore Principles of Judicial Conduct (ECOSOC 2006/23), the Standards of Professional Responsibility and Statement of the Essential Duties and Rights of Prosecutors (CCPCJ Res. 17/2) and other relevant standards governing the conduct of criminal justice personnel promoted
- Advisory services provided with a view to reducing the vulnerability to corrupt practices of specific sectors of the economy (for example, corruption in the environmental sector)
- Manuals, tools and training materials on standards, policies, operational procedures and good practices developed and disseminated to meet the needs of relevant national authorities to effectively prevent and combat corruption
- Manuals, tools and training materials on standards, policies, operational procedures and good practices developed and disseminated, with a view to enhancing knowledge of legal, institutional and operational challenges, policies and good practices to address economic fraud and identity-related crime
- Ad-hoc assistance provided to Member States, upon request, to enhance the capacity of national competent authorities to address economic fraud and identity-related crime.

OUTCOME 6 – Enhanced cooperation with and among relevant stakeholders, notably international organisations, civil society organisations, and the private sector, in order to effectively prevent and fight corruption.

Outcome indicator:

- Number of joint activities/initiatives implemented (UNODC with the public sector, private sector organizations, civil society organizations, academia, parliamentarians, youth and the general public) with the aim to enhance the role of these groups in anti-corruption efforts

Target 2012-2015: 22 jointly-developed activities/initiatives implemented

- Number of Memorandums of Understanding, Letters of Agreement and/or initiatives/activities/projects *developed* and *implemented* jointly with other entities within and outside the UN system or with international and regional organisations.

Target 2012-2015: 10 new Memorandums of Understanding, Letters of Agreement and/or joint initiatives/activities/projects developed and implemented

Outputs

Private sector

- Domestic legal frameworks relevant to the private sector assessed (in particular with regard to the implementation of articles 9, 26, 32, 37 and 39 of UNCAC) and potential gaps identified
- Legislation drafted to incorporate UNCAC provisions related to the private sector in the domestic framework
- Awareness and knowledge in the private sector of how to support and promote the implementation of UNCAC and anti-corruption efforts in general raised, including through targeted outreach and communication campaign(s)
- Private sector supported in participating in the effective implementation of UNCAC and in complying with the Tenth Principle of the UN Global Compact⁷

⁷“Business should work against corruption in any form, including bribery and extortion”

- Manuals, tools and training materials on standards, policies, operational procedures and good practices providing guidance and technical support to Member States and/or the private sector in relevant areas (for example the alignment of systems of public procurement; legal incentives for the private sector to cooperate with competent authorities in reporting internal incidents of corruption; or vulnerabilities of specific business sectors) developed and disseminated
- Coordinated partnerships with the private sector as well as between the public and private sector, developed and promoted, in order to leverage resources for advancing technical assistance efforts
- Coordination with and support to relevant sub-regional, regional and international initiatives targeting the private sector and aiming at enhancing its role as stakeholder in the prevention of and fight against corruption ensured

Civil society organisations, the academia, parliamentarians, the media, youth and the general public

- Academic learning course on UNCAC developed and disseminated
- Anti-corruption expertise reinforced through the development and promotion of comprehensive academic and professional training on anti-corruption issues, in partnership with universities (including law schools and business schools) and other academic institutions and research centres
- Civil society organisations supported and actively engaged in participating in the effective implementation of UNCAC and in anti-corruption efforts in general
- Activities for the Anti-Corruption Day promoted, including through the development and dissemination of materials made available to civil society and other interested parties
- Education, awareness and knowledge on how to support and promote the implementation of UNCAC fostered through activities targeting youth, parliamentarians, media and the general public
- Coordination with and support to relevant sub-regional, regional and international initiatives targeting the different constituencies and aiming at enhancing their role in anti-corruption efforts ensured
- Manuals, tools and training materials providing guidance and technical support to the different target groups in relevant areas developed and disseminated

Other entities within and outside the UN system and international and regional organisations

- UNCAC promoted among other organizations and mechanisms at the international, regional and sub-regional levels
- Knowledge and understanding of UNCAC as an international framework for the development and implementation of anti-corruption activities strengthened among relevant bilateral and multilateral organisations involved in development assistance
- Substantive input provided on matters related to the prevention and fight against corruption to facilitate the inclusion of these aspects in the activities of other Departments, Offices, Funds and Programmes within the UN system as well as with international and regional organizations outside of the UN system
- Initiatives/activities/projects developed and implemented jointly with other Departments, Offices, Funds and Programmes within the UN system as well as with international and regional organizations outside of the UN system, on matters related to the prevention and fight against corruption
- Relevant and effective strategies for the coordinated implementation of technical assistance

activities, projects and programmes (together with relevant partners and donors) in particular in relation to the technical assistance needs identified through the Implementation Review Mechanism defined and monitored

- Single portal of activities, initiatives, documents and tools on corruption of relevant organizations available
- Comprehensive database of anti-corruption experts for the delivery of technical assistance activities developed, updated and available upon request

OUTCOME 7 – National institutions trace, seize, freeze, and confiscate and/or return the proceeds of corruption (chapters IV and V of UNCAC)

Outcome indicators:

- Number of instances of action taken by Governments for the return of assets

Target 2012-2015: 8 instances of action taken by Governments for the return of assets

Outputs

- Domestic legal frameworks relevant to asset recovery assessed and potential gaps identified, including by using the self-assessment checklist for Chapter V of UNCAC
- Legislation drafted to incorporate UNCAC provisions on asset recovery in the domestic framework
- Enhanced capacities of national authorities to effectively apply domestic legislation on asset recovery
- Staff of relevant national authorities equipped to: participate in international cooperation in criminal matters pertaining to anti-corruption (in particular mutual legal assistance and extradition) among relevant national authorities and with authorities of other Member States; and to effectively cooperate on asset recovery matters
- Cooperation among relevant competent authorities, anti-corruption bodies and practitioners involved in international cooperation in criminal matters pertaining to anti-corruption (in particular mutual legal assistance and extradition) encouraged
- Network(s) of asset recovery focal points established and operational
- Advocacy work for the lowering of barriers to asset recovery pursued
- Manuals, tools and training materials on standards, policies, operational procedures and good practices to support Member States in building their capacity to prepare and respond to requests for mutual legal assistance and extradition, in undertaking tracing, seizure, freezing, and confiscation and/or return of the proceeds of corruption and in addressing specific issues with regard to international cooperation in criminal matters pertaining to corruption and asset recovery developed and disseminated

OUTCOME 8 –National institutions produce and collect data and conduct statistical and analytical studies on corruption prevalence, patterns and typologies, as a basis to formulate adequate anti-corruption policies.

The work under this outcome is to be undertaken by the Statistics and Surveys Section in the Division of Policy Analysis and Public Affairs, in close cooperation with CEB, and will be used as a basis for policy dialogue and policy making to advance the prevention and the fight against corruption.

Outcome indicator: Number of national and regional analytical reports on corruption finalised on the basis of relevant methodologies developed by UNODC, jointly with relevant national institutions

Outputs

- Statistical and analytical methodologies to profile corruption (standardized survey tools and core set of indicators) consolidated at the international level
- Surveys and analytical reports on corruption, at national and regional level available in order to provide evidence and analyses for policy implementation and monitoring
- National capacities to assess corruption and conduct relevant studies of corruption strengthened
- Improved national capacities to monitor anti-corruption measures and policies
- Evidence based policy dialogue and policy making to advance the prevention and the fight against corruption promoted
- Additional innovative data gathering methodologies and tools developed

(B) GLOBAL PROGRAMMES / PROJECTS ADDRESSING CORRUPTION, ECONOMIC FRAUD AND IDENTITY-RELATED CRIME

The present thematic programme is implemented through different global projects managed by UNODC Corruption and Economic Crime Branch.

Towards an Effective Global Regime against Corruption (GLOT58) (on-going rolling project)

This Project aims to provide sustained support to the Conference of the States Parties and its subsidiary bodies, with regard to the full implementation of its technical assistance related mandates and recommendations, thus enabling the Conference to carry out its functions and assist Member States in ratifying and fully implementing UNCAC.

Resolution 3/1 of the Conference which adopted the terms of reference of the UNCAC Implementation Review Mechanism also recommended that part of the activities related to the Mechanism be covered from voluntary contributions. Such activities are included in this project, and include more specifically: training courses for governmental experts and focal points; costs of translation from and into one or several of the six working languages of the Mechanism for individual reviews as necessary (and into other language(s), if requested by the States party under review); country visits and joint meetings in Vienna; travel and daily subsistence allowance for representatives of least developed countries to attend the meetings of the Implementation Review Group and operating costs of UNODC to support the review process.

This project also provides the framework for the delivery of technical expertise and skills to achieve full and effective implementation of UNCAC, to strengthen institutional capacities to enact relevant national implementing legislation, and to enhance international cooperation in criminal matters. Through this project, legal advisory services, ad-hoc advisory services, substantive briefings, workshops or trainings delivered by headquarters-based staff have been delivered so far to over 50 countries throughout the world, including some of the follow-up activities to the Voluntary Pilot Programme for Review of the Implementation of the UNCAC (2007-2009) and the Implementation review Mechanism of UNCAC (established in 2009). Small-scale sub-projects are also implemented jointly with field offices through this project, in particular in Iraq, Lao PDR, Colombia and Bolivia as well as with UNDP Programme on Governance in the Arab Region (POGAR).

Joint Action towards a Global Regime against Corruption (2012-2016)

The project seeks, in close consultation and coordination with UNDP, to advance the ratification and follow-up to the implementation review of the United Nations Convention against Corruption (UNCAC) with a view to building an effective global regime against corruption with a specific focus on Small Island Developing States (SIDS), as well as countries in South and East Asia, North Africa and the Middle East, and in Eastern and Southern Africa. More specifically, the project seeks (1) to accelerate UNCAC ratification and effective participation in the implementation of the UNCAC Review Mechanism by SIDS, including support to the effective follow-up to the findings and recommendations emerging from the country reviews; (2) to support the effective implementation of UNCAC in South and East Asia, Northern Africa and the Middle East, and Eastern and Southern Africa; and (3) to strengthen coherence, consistency and effectiveness of technical assistance in support of States parties follow-up actions to the implementation review. The Project complements parallel activities undertaken by UNDP under its Programme on Anti-Corruption for Development Effectiveness (PACDE).

Stolen Asset Recovery Assistance (GLOT08) (2008-2014)

UNODC and the World Bank launched the Stolen Asset Recovery (StAR) Initiative on 17 September 2007 in New York as a collaborative effort which aims to create a global partnership, helping to

ensure that there are no safe havens for the proceeds of corruption. The objectives of the StAR initiative are three-fold:

- (a) StAR assists countries with specific asset recovery cases by drafting mutual legal assistance requests or the response to such requests, assist countries to develop capacity for the management of their asset recovery cases and for the various stages of asset recovery, such as tracing, freezing, seizing and the return of assets;
- (b) StAR helps countries develop and put in place the legislative and regulatory framework that would be necessary for full implementation of Chapter V of UNCAC and successful asset recovery, as well as to build the necessary capacity to implement the legal framework; and
- (c) StAR works to lower barriers to international cooperation for asset recovery.

The World Bank and UNODC have created an efficient and transparent institutional framework for the StAR Initiative. To oversee the work of the Initiative, the two organizations have created a joint StAR Secretariat housed in the offices of the World Bank in Washington, D.C., and composed of World Bank and UNODC staff. The Secretariat coordinates all activities that fall under the StAR Initiative work programme, serves as a central point of contact for States seeking or receiving support. A multi-donor trust fund has been created at the World Bank in order to fund StAR-related activities. The trust fund is the funding vehicle for providing the technical assistance to States as outlined above. Other activities funded through the trust fund include the development of training tools, a library of good practices and a web-based list of focal points.

In order to ensure UNODC's continued involvement in the StAR Initiative, 2 staff members in the StAR Secretariat in Washington D.C as well as 1 staff member in UNODC HQ /Vienna are fully involved in coordinating UNODC-led activities within the STAR Initiative and ensuring that policy guidance of the Working Group on Asset Recovery from the Conference of the State Parties to UNCAC is properly reflected in the implementation of StAR.

Anti-Corruption Mentor Programme (GLOS48) (2007-2013)

To respond to requests for longer term, sustained technical assistance UNODC launched the Global Anti-corruption Mentor Programme, which provides specialized expertise to government institutions tasked with the prevention and control of corruption. Activities under the programme are delivered by professional anti-corruption advisers with a long-standing experience in anti-corruption work. The advisers are chosen to fit the specific requirements and priorities of the respective government counterparts and may provide technical support to advance the UNCAC ratification process, review anti-corruption legislation, establish policies and strategies consistent with international standards and norms, strengthen anti-corruption institutions, and more generally the capacity of counterparts to fight corruption, improve preventive measures and public awareness through civil society and media participation. While in the past, mentors were placed in specific national institutions (in Bolivia, Kenya, Tajikistan, Cape Verde, Jordan, South Sudan and Thailand), new forms of mentoring have been explored since August 2011 through the placement of regional mentors to advise several countries in the same sub-region, in Bangkok for East Asia; Kenya for East Africa and Panama for Central America and the Caribbean. A mentor has been placed at the national level upon the request of the Government of the Democratic Republic of the Congo.

The placement of regional mentors/advisers enables UNODC to address the increased number of requests from countries for assistance on specific aspects related to the ratification and the implementation of UNCAC. Regional mentors/advisers can be placed in national institutions, for which they only discharge part of their responsibilities; or in a Field Office; or could share their physical presence between both options. Such solution ensures a greater geographical coverage in regions where the needs are spread between several countries/national institutions, but also allows to better manage the risk of changing political and budgetary support which may arise over time.

While the mentors have a broad role in delivering technical assistance to countries under their geographical responsibilities, their work is also connected to the Implementation Review Mechanism. Indeed, in several cases, the regional mentors have assisted governmental experts to understand

their roles within the context of the Review Mechanism, provided further assistance to countries under review in completing the checklists and followed up on technical needs identified in the first year of the Implementation Review Mechanism.

Thanks to their geographical basis, mentors are also in a good position to meet and coordinate regional needs identified through the Implementation Review Mechanism. In particular, they will help to foster cooperation and coordination based on geographical location, better address issues that arise at the regional level and provide rapidly deployable technical assistance to States parties. In addition, they could assist in the establishment and facilitation of regional anti-corruption coordination mechanisms for national authorities that would engage in international cooperation activities, joint investigations and data-sharing. The mentors would also organize and deliver sub regional workshops that bring practitioners and sector leaders together for capacity-building activities in core areas where technical assistance needs have been identified.

In 2012-2013, subject to the availability of the necessary resources, UNODC is considering the deployment of new regional mentors to be based in Dakar (for West and Central Africa), Pretoria (for Southern Africa), Cairo (for the Middle East and North Africa), Suva (for the Pacific), Delhi (for South India) and Vienna (for Small Islands Developing States), as well as national mentors upon specific requests.

Corruption Knowledge Management and Legal Library project (GLOT51) (2009-2014)

The aim of Project GLOT51 is to create, disseminate and maintain the web-based portal known as Tools and Resources for Anti-corruption Knowledge (TRACK), which was publicly launched by UNODC on 1 September 2011, at <http://www.track.unodc.org>.

TRACK contains legislation and jurisprudence relevant to UNCAC from over 175 States. This legal information is searchable by country, by UNCAC article and other criteria such as legal systems and levels of human development. This component of TRACK is known as the UNCAC Legal Library.

TRACK is also a powerful search engine. It enables users to access corruption-related information generated by UNODC, the World Bank, OECD, UNDP and other partner organizations according to predetermined search criteria or keywords. In this way, TRACK amplifies the anti-corruption knowledge generated by its partner institutions and provides a central location where legal and non-legal information on anti-corruption and asset recovery is accessible to users world-wide.

Finally, TRACK is also a collaborative forum where registered anti-corruption practitioners can upload and exchange information.

TRACK is UNODC's response to the calls repeatedly made by the Conference of the States Parties to UNCAC and its subsidiary bodies to generate and disseminate reliable knowledge of the Convention and its requirements for the benefit of States parties, their policy makers, law makers and practitioners.

TRACK is also designed to be compatible with the UNCAC self-assessment checklist, a computer-based application mandated by the Conference to collect information on States' efforts to implement the Convention, thus activating the UNCAC Implementation Review Mechanism. This compatibility will enable normative information supplied by States that undergo the review process to feed into the database, thus validating its content and keeping it up to date.

The 6 Ps: Public Private Partnership for Probity in Public Procurement (GLOX30) (2011-2014)

The overall objective of this project is to promote States' implementation of article 9 of UNCAC while supporting private actors' efforts to comply with the 10th Principle of the United Nations Global Compact ("Business should work against corruption in any form, including bribery and extortion"). The project is piloted in Mexico and India and takes an innovative approach by involving both public and private actors.

The project aims to reduce vulnerabilities to corruption in public procurement systems by:

- reviewing, in the framework of high-level committees of public officials and representatives of the private sector, systems of public procurement, and assessing their compliance with UNCAC, with recommendations feeding into possible legislative amendments;
- designing and delivering a joint training programme for public procurement personnel and private counterparts on the system of public procurement in force in both countries, giving participants opportunity for mutual learning;
- organizing meetings of international experts to share lessons learned and good practices in aligning national public procurement systems with the requirements of UNCAC, and to formulate model practices at the global level. Subject to the need for further training activities, a training module on integrity in public procurement will be developed.

This project is complementary to projects GLOX31 - Outreach and Communication Programme for UNCAC and GLOX32 – Incentives to Corporate Integrity and Cooperation in accordance with UNCAC, and synergies are sought in implementing these three projects.

Outreach and Communication Programme for the United Nations Convention against Corruption (GLOX31) (2011-2014)

The project aims at enhancing companies' knowledge of UNCAC and to encourage the business community to turn their anti-corruption commitments into action by bringing their integrity programmes in line with the universal principles of UNCAC. The project also seeks to support learning institutions which have come to realize that they do have a role to play in preparing the next generation of public and business leaders to the challenge of making right and ethical decisions. This will be achieved by:

- creating and disseminating a structured outreach and communication program that combines a global perspective with local contexts, reaching out to private companies;
- developing a comprehensive academic learning course on UNCAC and its implication for public administrators and private operators to be embedded in curricula of business, law and public administration schools.

This project is complementary to projects GLOX30 - The 6 Ps: Public Private Partnership for Probity in Public Procurement and GLOX32 – Incentives to Corporate Integrity and Cooperation in accordance with UNCAC, and synergies are sought in implementing these three projects.

Incentives to Corporate Integrity and Cooperation in accordance with the United Nations Convention against Corruption (GLOX32) (2011-2014)

The project aims to promote States' implementation of articles 26 (Liability of legal persons), 32 (Protection of witnesses, experts and victims), 37 (Cooperation with law enforcement authorities) and 39 (Cooperation between national authorities and the private sector) of UNCAC and to facilitate private actors' compliance with the 10th Principle of the UN Global Compact ("Business should work against corruption in any form, including bribery and extortion") by:

- reviewing, in the framework of high-level committees of public officials and private sector representatives, legislation on corporate liability and legal incentives for companies to voluntarily report on internal incidents of corruption and cooperate with public authorities, and recommending amendments to ensure full compliance with the Convention;
- designing and delivering joint training workshops for law enforcement, judicial authorities and companies' representatives on existing domestic laws governing corporate liability;
- organizing meetings of international experts to share existing knowledge and generate innovative approaches on how Governments should best encourage and reward companies which report instances of corruption.

The project is piloted in Mexico and India and takes an innovative approach by involving both public and private actors. It is complementary to projects GLOX30 - The 6 Ps: Public Private Partnership for Probity in Public Procurement and GLOX31 - Outreach and Communication Programme for UNCAC, and synergies are sought in implementing these three projects.

Trends M.A.P. Support (Trends Monitoring and Analysis Programme Support) (GLOU34) / Corruption component

The overall project objective is to enhance knowledge of corruption modalities and patterns, including through strengthening countries' capacity to conduct studies on vulnerabilities to corruption and produce information for policy development and implementation. Specific activities will aim at further developing methodologies to assess corruption vulnerabilities and state response and producing related analytical reports, assist countries in implementing studies and surveys on corruption and develop standards and methodologies to produce statistical data and indicators on corruption.

During 2012-2013, assistance to countries will be provided in the conduct of surveys and studies on corruption. These studies will have various targets: general population, business sector, civil servants or sectors of public administration. Other studies will aim to assess state response to corruption and establish benchmarks to monitor activities of anti-corruption authorities. Support activities will include training of national officials, workshops with national stakeholders, joint development of methodological tools and support to data analysis.

Enhancing Communication and Public Information (GLOU42) / Corruption component

GLOU42 seeks to raise the profile of UNODC as a global leader in the fight against illicit drugs, crime and terrorism and to increase knowledge and understanding about these issues. Project activities include producing high-quality materials for the print and broadcast media, developing lively and interesting print and electronic publications and running international campaigns.

In 2012-2013, efforts will be concentrated in expanding the existing joint UNODC-UNDP Campaign to mark the International Anti-Corruption Day (9 December). In 2011 the campaign was re-launched under the theme "ACT - Against Corruption Today" in an effort to encourage involvement of all sections of society in addressing the root causes of corruption. The theme embodies the spirit of UNCAC, which recognizes that preventing and countering corruption requires a multi-sectoral approach involving all stakeholders, including those outside the public sector such as civil society, non-governmental and community-based organizations, as well as the media. For the next biennium, UNODC and UNDP will further build on the campaign by supporting field and country offices and their local partners in organizing events and activities around the International Day, actively engaging local media and informing communities, and developing additional materials to be made available for free at the campaign website (www.actagainstcorruption.org).

Looking Beyond: Towards a Strategic Engagement with Civil Society on Anti-Corruption, and Drugs and Crime Prevention(GLOU68) / Corruption component

One of the major activities of this project relates to UNCAC, which under Article 13, recognizes and provides a role for civil society in combating corruption by calling on governments to increase transparency and improve public access to information, as well as to promote the contribution of the public to government decision-making processes. Thus, this project provides unique opportunities for bolstering the capacity and engagement of civil society, especially from developing countries, to increase transparency and promote active participation of Civil Society Organisations (CSOs) in the process. By raising awareness and delivering training to CSOs about international legal frameworks such as UNCAC and its review mechanism, and supporting CSO engagement in intergovernmental meetings, CSOs will be better equipped to work constructively with their governments and with the private sector on UNCAC implementation.

The activities that will be covered in 2012-2013 encompass four training sessions on UNCAC, Coordination of CSO participation in the briefing sessions of the Implementation Review Group as per

resolution 4/5 of the Conference of the States Parties to UNCAC and participation of CSO in the Fifth Conference in 2013.

(C) HUMAN AND FINANCIAL RESOURCES FOR 2012-2013

Staffing and operational expenses for the headquarters-based part of the thematic programme on corruption, economic crime and identity-related fraud are covered by a combination of regular budget of the United Nations and extra-budgetary resources (voluntary contributions of donor countries, international organisations and private sector entities) through different projects and programmes.

Regular budget resources enable the development and execution of activities related to the implementation of resolutions of the Conference of the States Parties to UNCAC as well as recommendations of its working groups.

Voluntary contributions support different anti-corruption projects, through which legal advisory services, ad-hoc advisory services, substantive briefings, workshops and training courses are delivered in the field by headquarters-based as well as field-based staff.

Provided below is an overview of the current level of human and financial resources for anti-corruption work delivered by UNODC headquarters.

Through its Field Office Network and the implementation of regional and country programmes, UNODC also assists developing countries, countries emerging from conflict and countries with economies in transition, in preventing and fighting corruption. An overview of current regional programmes and relevant field-based projects is available in Annex 2 to this document. Please note however that available resources for activities delivered by the Field Office Network are not included in the overview hereunder.

An estimate of human and financial resources for the period 2014-2015 will be provided in an updated version of this Thematic Programme to be presented in 2013.

Human resources

Posts financed by headquarters from the Regular Budget (2012-2013 allocation)

Post level	Post number	Functional title	Substantive functions
D1	203121	Chief of Branch	Oversees the management of activities undertaken by the Branch ensuring policy level coordination of activities between the two sections working on different aspects of support to UNCAC.
P5	203122	Chief of Section (Conference Support Section/CSS)	Oversees and provides guidance and leadership for the substantive and technical servicing of the Conference of the States parties, its Implementation Review Group, its Asset Recovery Working Group as well as for the overall implementation of the Review Mechanism.
P5	203176	Chief of Section (Implementation Support Section/ISS)	Oversees and provides guidance and leadership for the work in support of the Working Group on Prevention of the COSP, as well as technical assistance activities in support of the implementation of UNCAC and of mandates related to

			economic fraud and identity-related crime.
P4	203199	Crime Prevention and Criminal Justice Officer (CSS)	Supports the Chief of Section in the implementation of the Review Mechanism, with a specific focus on identifying technical assistance needs and priorities.
P4	200135	Crime Prevention and Criminal Justice Officer (CSS)	Supports the Chief of Section in the implementation of the Review Mechanism, with a specific focus on the country reviews.
P4	203176	Crime Prevention and Criminal Justice Officer (ISS)	Assists the Chief of Section in promoting the ratification and implementation of UNCAC and supports the implementation of mandates emanating from the COSP and its working groups, particularly in relation to prevention.
P-4	202055	Crime Prevention and Criminal Justice Officer (ISS)	Plans and supports the implementation of technical assistance projects, programmes and activities to strengthen integrity and transparency of criminal justice and security institutions, as well as other public sector institutions, at the national and regional levels.
P3	203200	Crime Prevention and Criminal Justice Officer (CSS)	Supports the implementation of mandates emanating from the COSP and its working groups, particularly in relation to asset recovery.
P3	202328	Crime Prevention and Criminal Justice Officer (CSS)	Provides specialized substantive and technical expertise for individual country reviews, with specific emphasis on international cooperation and criminalization.
3*P2	203123 /203124 /201788	Associate Crime Prevention and Criminal Justice Officers (CSS)	<u>3 positions</u> - Substantive input for the Section's activities related to individual country reviews of States parties.
P2	203125	Associate Crime Prevention and Criminal Justice Officer (ISS)	Conducts and provides substantive input for the Section's activities related to the delivery of technical assistance activities in support of the implementation of UNCAC
G6	203127	Assistant (CEB)	Administrative support to the Chief of the Branch
G6	201790	Assistant (CSS)	Administrative support to the Chief of Section.

Posts financed at headquarters from voluntary contributions

Post level	Post number	Functional title	Substantive functions	Project number
P-5	202685	Senior Legal Adviser (CSS)	Based in Washington in the joint UNODC/World Bank Secretariat of the StAR Initiative. Provides legal advice on all aspects of the StAR Initiative.	GLOT08
P-5	203328	Anti-Corruption Mentor – Nairobi (ISS)	Implements anti-corruption technical assistance activities in East Africa as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOS48
P-4	202539	Crime Prevention and Criminal Justice Officer (CSS)	Plans, performs and provides specialized substantive and technical expertise for legal technical assistance activities in support of UNCAC.	GLOT58
P-4	202094	Crime Prevention and Criminal Justice Officer	Plans and supports the implementation of projects, programmes and activities in support of the implementation of UNCAC.	GLOT58

		(ISS)		
P4	203461	Programme Officer – Budget and Oversight (CEB)	Develops, oversees, monitors and evaluates programmes, operations and activities of the Branch	GLOT58
P-4	203308	Anti-Corruption Mentor – Bangkok (ISS)	Implements anti-corruption technical assistance activities in South East Asia as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOS48
P-4	203307	Anti-Corruption Mentor – Panama (ISS)	Implements anti-corruption technical assistance activities in Central America and the Caribbean as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOS48
P-4	203295	Anti-Corruption Mentor – Kinshasa (ISS)	Implements anti-corruption technical assistance activities in the Democratic Republic of Congo as agreed upon with the host government counterpart and in line with the provisions of UNCAC. (currently occupied by a consultant)	GLOS48
P-4	203642	Anti-Corruption Mentor – Suva (ISS)	Implements anti-corruption technical assistance activities in the Pacific as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOS48
P-4	203643	Crime Prevention and Criminal Justice Officer (Small Island and Developing States)	Implements anti-corruption technical assistance activities (including policy advice, technical expertise and practical day-to-day support to anti-corruption bodies) in line with the provisions of UNCAC, with specific focus on providing support to Small Island and Developing States.	GLOX69
P-4	203639	Anti-Corruption Mentor – New Delhi (ISS)	Implements anti-corruption technical assistance activities in South Asia as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOX69
P-4	203640	Anti-Corruption Mentor – Cairo (ISS)	Implements anti-corruption technical assistance activities in Northern Africa and the Middle East as agreed upon with the host government counterparts and in line with the provisions of UNCAC.	GLOX69
P-4		Crime Prevention Expert – New York	Liases and provides substantive and technical expertise on the prevention and fight against corruption to relevant New York based UN bodies and entities, Permanent Missions, inter-governmental and regional entities.	GLOT58 / GLOU46 / GLOR35
P-3	202966	Crime Prevention Expert (CSS)	Plans, performs and provides specialized substantive and technical expertise to support the implementation of mandates emanating from the COSP and its working groups	GLOT58
P-3	200333	Crime Prevention Expert (ISS)	Plans, performs and provides specialized substantive and technical expertise for assistance activities in support of the implementation of UNCAC.	GLOT58
P-3	202837	Crime Prevention Expert (ISS)	Plans, performs and provides specialized substantive and technical expertise for assistance	GLOT58

			activities in support of the implementation of UNCAC.	
P-3	203611	Crime Prevention and Criminal Justice Officer (CSS)	Plans, performs and provides specialized substantive and technical expertise for assistance activities in support of the implementation of UNCAC.	GLOT58
P-3	203393	Crime Prevention Expert (CSS)	Based in Vienna. In close coordination with the joint UNODC/World Bank Secretariat of the StAR Initiative, plans, performs and provides specialized substantive and technical expertise for a group of assistance activities in support of the implementation of UNCAC provisions on asset recovery.	GLOT08
P-3	202695	Crime Prevention Expert (CSS)	Based in Washington in the joint UNODC/World Bank Secretariat of the StAR Initiative. Plans, performs and provides specialized substantive and technical expertise for a group of assistance activities in support of the implementation of UNCAC provisions on asset recovery.	GLOT08
P-3	203422	Programme Officer (ISS)	Responsible for the management of projects GLOX30 and GLOX32 financed by the Siemens Integrity Initiative, including the coordination of the different national components (India and Mexico)	GLOX30 / GLOX32
P-3		Project Coordinator – Lao PDR	Leads the activities aimed at Strengthening Basic Anti-Corruption Capacity in Lao PDR.	GLOT58 / LAOI95
P-3	203616	Crime Prevention and Criminal Justice Officer (CSS)	Plans, performs and provides specialized substantive and technical expertise for assistance activities in support of the implementation of UNCAC.	GLOX69
P-3	203644	TEMP Accountability Officer (ISS)	Supports the development of a joint donor position on anti-corruption. Leads technical donor/inter-agency coordination. Provides advice on the development of increased transparency and accountability of aid and international NGO operations. Suggests suitable ideas for support of governance reform initiatives and manages technical assistance activities.	GLOS48
P-3		Statistician	Provides substantive research expertise for the development of indicators, data collection, analysis and reporting in the area of corruption, in particular in the framework of the UNODC/UNDP project in Iraq	GLOT58/GLOU34
P-2	203484	TEMP - Associate Programme Officer (ISS)	Responsible for the management of project GLOX31 financed by the Siemens Integrity Initiative	GLOX31 / GLOT58
3*GS	201663/ 203462/ 203509	Assistant (CSS)	3 positions (at different level) - General office, administrative and financial support to the Section.	GLOT58
3*GS	202836/ 201839/ 202996	Assistant (ISS)	3 positions (at different level) - General office, administrative and financial support to the Section.	GLOT58
GS	203423	Assistant (ISS)	General office, administrative and financial support	GLOX30 /

			to the projects financed by the Siemens Integrity Initiative.	GLOX32
NPO		National Programme Officer on Corruption - India	Based in Delhi. Provides advice and technical assistance in the implementation of UNCAC, with special emphasis on development and enhancement of capacities against corruption in the region.	GLOT58
NPO		National Programme Officer on Corruption - Brazil	Based in Brasilia. Provides advice and technical assistance in the implementation of UNCAC, with special emphasis on development and enhancement of capacities against corruption in the region.	GLOT58

In addition to project-specific posts, two **Associate Crime Prevention and Criminal Justice Officers** (one paid by Finland and one by Germany) are assigned to the Implementation Support Section to provide specialized substantive and technical expertise for fulfilling the mandates and the programme of activities for the ratification and implementation of UNCAC.

Financial resources

Regular Budget

For 2012-2013, regular budget resources available to the Corruption and Economic Crime Branch amount to US\$ 2,224,800 per year, as follows:

	Per year	TOTAL
Posts	2,065,900	4,131,800
Consultants	14,600	29,200
Expert Groups	104,300	208,600
Official travel of staff	13,700	27,400
External printing	26,300	52,600
TOTAL	2,224,800	4,449,600

Voluntary contributions (Funding available and requirements)

In the recent years, CEB has expanded the number and variety of contributors to UNODC anti-corruption activities, to include new donors.

In 2010-2011, voluntary contributions have been received from Australia, Austria, Brazil, Canada, France, Germany, Luxembourg, Mexico, Morocco, the Netherlands, Norway, Panama, Qatar, the Russian Federation, Sweden, Switzerland, the United Kingdom of Great Britain and Northern Ireland, the United States, United Nations Development Programme (UNDP), and the World Bank.

In-kind contributions have been provided by Portugal (translation of documents from and into Portuguese) and the Russian Federation (training facilities and accommodation during a regional training workshop).

CEB has also received a large contribution from Siemens AG for three projects (Public-Private Partnership for Probity in Public Procurement (GLOX30); Incentives to Corporate Integrity and Cooperation (GLOX32); and Outreach and Communication (GLOX31)).

In addition, for all activities implemented, cost-sharing of the proposed national activities by the respective Governments is sought and secured where possible.

The overall budget for all the projects (which also includes research and advocacy projects undertaken by the Division for Policy Analysis and Public Affairs) is approximately USD 55,139,120 as of August 2012. The projects span over different periods of time. GLOT58 for example is a rolling project, which started in 2009, while GLOX69 started in 2012. This overall budget therefore corresponds to the sum of the budgets covering the overall durations of the different specific projects.

To fully implement the current programme of work (which also covers research and advocacy activities undertaken by the Division for Policy Analysis and Public Affairs), the Corruption and Economic Crime Branch currently has a shortfall of approximately USD 12,523,383 for the biennium 2012-2013 and USD 29,764,206 for the biennium 2014-2015.

Additional funds will be solicited to expand the programme in a modular/incremental manner for tailored and/or time-bound activities within the overall framework outlined in this thematic programme.

Additional positions may be added as needed and relevant, in particular in the context of the Joint Programmes being developed and implemented with UNDP, but also, when funding is available, to support UNODC regional programmes through staff posted in each region.

Allocations and requirements for activities delivered directly by the UNODC field office network, in particular within the framework of regional/country programmes (See Annex 2), are not included in the overall funding requirement for this thematic programme.

In US dollars	Overall project budget	Projected requirements 2012	Projected requirements 2013	Funding available 2012-2013	Funding gap 2012-2013	Projected requirements 2014	Projected requirements 2015	Funding available 2014-2015	Funding gap 2014-2015
Projects administered at Headquarters by the Corruption and Economic Crime Branch									
GLOT58 - Towards an effective Global Regime against Corruption - General Branch activities	22,535,536	2,000,000	2,000,000	3,717,100	-282,900	2,000,000	2,000,000	0	-4,000,000
GLOT58 - Implementation Review Mechanism		2,202,700	2,341,800	4,727,700	183,200	2,341,800	2,341,800	183,200	-4,500,400
GLOT58 - Follow-up activities to the Implementation Review Mechanism		2,000,000	2,500,000	500,000	-4,000,000	3,000,000	3,500,000	0	-6,500,000
GLOX69 - Joint Action towards a Global Regime against Corruption	8,858,070	569,520	2,360,005	2,929,525	0	2,427,805	2,345,315	4,773,120	0
GLOT08 - Stolen Asset Recovery Initiative	5,692,687	974,060	926,385	1,634,500	-265,945	978,806	975,000	0	-1,953,806
GLOS48 - Anti-Corruption Mentor Programme	5,711,049	1,500,000	2,000,000	1,704,400	-1,795,600	2,500,000	2,500,000	0	-5,000,000
GLOT51 - Corruption Knowledge Management and Legal Library project	1,978,219	250,000	250,000	354,300	-145,700	250,000		0	-250,000
GLOX30 - the 6 Ps- Public Private Partnership for Probity in Public Procurement	1,222,979	414,089	507,512	921,601	0	106,898	0	106,898	0
GLOX31 - Outreach and communication programme for UNCAC	745,497	274,124	158,157	432,282	0	66,060	0	66,060	0
GLOX32 - Incentives to Corporate Integrity and Cooperation in accordance with UNCAC	1,124,081	373,501	504,970	878,471	0	94,694	0	94,694	0
New activities - Anti-corruption activities targeting the private sector	0	1,500,000	1,500,000	0	-3,000,000	1,500,000	1,500,000		-3,000,000
New activities - Prevention of corruption	0	750,000	1,000,000	0	-1,750,000	1,000,000	1,000,000	0	-2,000,000
Projects administered at Headquarters by the Division for Policy Analysis and Public Affairs									
GLOU34 - Trends M.A.P. Support (Trends Monitoring and Analysis Programme Support) / Corruption component	450,000	200,000	250,000	200,000	-250,000	250,000	250,000	0	-500,000
GLOU42 - Enhancing Communication and Public Information / Corruption component	4,573,464	30,000	30,000	0	-60,000	30,000	30,000	0	-60,000
GLOU68 - Looking Beyond: Towards a Strategic Engagement with Civil Society on Anti-Corruption, and Drugs and Crime Prevention / Corruption component	2,247,538	1,102,912	1,144,626	1,091,100	-1,156,438	1,000,000	1,000,000	0	-2,000,000
TOTAL	55,139,120	14,140,906	17,473,455	19,090,978	-12,523,383	17,546,063	17,442,115	5,223,972	-29,764,206

(D) EXTERNAL FACTORS / RISKS

The following assumptions and risks should be taken into account for the thematic programme to achieve its expected objectives:

- Member States are committed to preventing and combating corruption
- Member States are ready to ratify/accede to UNCAC and to implement its provisions;
- Member States are capable of complying with the provisions of UNCAC, and fulfil their relevant reporting obligations, including submission of treaty mandated data. In particular, it is assumed that all the States parties under review are responsive and complete their country reviews in due time, as per the Terms of Reference of the Review Mechanism;
- The readiness of Governments to engage in technical assistance programmes that go beyond the legislative drafting assistance is crucial for the success of the programme.
- Member States are willing to strengthen judicial cooperation among themselves, especially in matters involving extradition, mutual legal assistance and asset recovery;
- Member States are willing to implement the policy directives of the treaty based organs and governing bodies related to corruption;
- Timely and quality data and statistical information are provided by Member States;
- Bearing in mind the current financial crisis, the sustainability and regularity of funding (or lack thereof) will have an impact on the capacity of UNODC to deliver planned activities in a timely manner, as many of the activities, including important components of the Implementation Review Mechanism, depend on the availability of extra-budgetary resources.
- The actual implementation of follow-up technical assistance activities to respond to the needs identified through the Implementation Review Mechanism will also depend on the availability of extra-budgetary resources for UNODC, and/or on other donors integrating identified needs when planning and developing their technical assistance programmes.
- An active engagement of the private sector into new UNODC anti-corruption programmes will be crucial to ensure the success of this thematic programme.
- UNODC/CEB has been advocating the importance of the UN Convention against Corruption in many fora, including the G20. Maintaining the high level of visibility of the Convention will be a major challenge for the future.
- The need to further ensure coordination between the technical assistance providers will also be essential in order to avoid overlaps and donor fatigue, and to reinforce the impact of anti-corruption activities, especially as scarce resources are spread more thinly across a higher number of recipient countries.

(E) MONITORING AND REPORTING

The monitoring of the execution of the Thematic Programme will be the responsibility of UNODC Corruption and Economic Crime Branch.

A series of monitoring indicators are built into the Thematic Programme, which will be used to track progress in the implementation, demonstrate results, and take corrective action that would be needed to ensure the success of the programme. Indicators are listed for each of the 8 outcomes foreseen in this programme.

Concrete and measurable baselines will be established at the beginning of the implementation phase, against which progress can be registered during the period under consideration.

The information on progresses will be collected through different tools, including in particular official reports submitted to the different intergovernmental bodies (Conference of the States parties to UNCAC and its subsidiary bodies for example); semi-annual and annual progress reports as well as self-evaluation reports of the different projects included in the Thematic Programme; post-training questionnaires distributed at the end of the different training sessions/workshops; reports on the achievements of CEB based on the annual work plans, reports from IMDIS on the components covered through regular budget funding.

Annual reviews of the Thematic Programme will be conducted through the Programme Review Committee of UNODC, which highlights both policy and substantive achievements and threats, as well as reviews operational issues such as implementation rate, changing environment and the funding situation.

(F) EVALUATION AND AUDITING

The evaluation of the activities included in the current Thematic Programme will be carried out in accordance with the evaluation policy and guidelines of UNODC and in line with the norms of and standards of the UN Evaluation Group (UNEG).

Such evaluation will be linked to the evaluation of the relevant projects developed as components to the Thematic Programme and funds to cover evaluation costs have been set aside on Budget Line 5700 in the respective project budgets. Since this Thematic Programme does not have a budget per se (and is only the sum of different projects and activities), funds for the overall evaluation of the Thematic Programme will be set aside under each global and field-office managed anti-corruption projects (for a total amount of USD 50,000).

Depending on the length and specificities of each of these projects, mid-term and/or final Independent Project Evaluations will be undertaken at different stages of implementation to determine the relevance, efficiency, effectiveness, impact and sustainability of the project and to identify lessons to be learned.

The evaluation process will be managed by the respective project managers, in close coordination with UNODC Independent Evaluation Unit (IEU). An independent evaluator will be recruited to conduct the evaluation. Major stakeholders for the evaluation (Core Learning Partners) will include UNODC project team in the Corruption and Economic Crime Branch, beneficiaries of the project at the national/regional/global levels, partner institutions and Member States of the UN (through their Permanent Missions). More details on the purpose, scope and duration of the evaluation will be provided in the Terms of reference to be drafted by the project managers and cleared by IEU.

The Governments benefiting from UNODC technical assistance through such projects will be requested to facilitate any review/evaluation missions by UNODC, as requested.

The evaluation will be conducted by the evaluators (desk review, evaluation methodology first hand research, draft report, final report), with substantive and logistical support from the project managers, and with methodological support from IEU. The draft report will be circulated to the Core Learning Partners and relevant comments will be integrated by the evaluator. Relevant lessons learned will be integrated in future UNODC anti-corruption projects.

It should however be noted that, as the nature of the prevention and fight against corruption, identity-related crime and economic fraud is complex and far-reaching, and requires an extensive range of partnerships and management of interdependencies in order to be successful, the challenge to evaluate the impact of this Thematic Programme is considerable. Furthermore, as is often the case with UNODC mandate areas, the work of UNODC in the area of corruption, identity-related crime and

economic fraud will be deemed successful when an event has not taken place, rather than when an identifiable marker has occurred. Thus, success is measured by declining trends, stability and absence from the emergence from new forms of crime, for example. In addition, the role UNODC has to play in achieving that trend over time is only, and can only be expected to be, one small part of a holistic effort that must be made by a range of actors, including Member States, regional and inter-regional bodies and civil society.

Finally, the project components of the Thematic Programme are also subject to examination by both the United Nations Office for Internal Oversight (OIOS) and the United Nations Board of External Auditors. Upon their request, the auditors' access to project documentation and correspondence, accounts, expenditure and inventory records will be facilitated.

Annex 1 – Relevant UNODC mandates established by the General Assembly and Economic and Social Council of the United Nations and by the Commission on Crime Prevention and Criminal Justice

Besides the mandates emanating from the Conference of the States parties to UNCAC and its subsidiary bodies, the following UNODC mandates on action against corruption, economic fraud and identity-related crime have been established by the General Assembly and Economic and Social Council of the United Nations and by the Commission on Crime Prevention and Criminal Justice.

General Assembly resolutions

46/152	Creation of an effective United Nations crime prevention and criminal justice programme
55/2	United Nations Millennium Declaration
55/59	Vienna Declaration on Crime and Justice: Meeting the Challenges of the Twenty-first Century
56/119	Role, function, periodicity and duration of the United Nations congresses on the prevention of crime and the treatment of offenders
57/170	Follow-up to the plans of action for the implementation of the Vienna Declaration on Crime and Justice: Meeting the Challenges of the Twenty-first Century
58/4	United Nations Convention against Corruption
60/1	2005 World Summit outcome
60/207	Preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with UNCAC
61/209	Preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with UNCAC
62/202	Preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with UNCAC
63/226	Preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with UNCAC
64/237	Globalisation and interdependence: Preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with UNCAC
65/1	“Keeping the promise: united to achieve the Millennium Development Goals” (paragraph 52)
65/227	Realignment of the functions of UNODC and changes to the strategic framework
65/230	Twelfth United Nations Congress on Crime Prevention and Criminal Justice
66/177	Strengthening international cooperation in combating the harmful effects of illicit financial flows resulting from criminal activities
66/179	Follow-up to the Twelfth United Nations Congress on Crime Prevention and Criminal Justice and preparations for the Thirteenth United Nations Congress on Crime Prevention and Criminal Justice
66/181	Strengthening the United Nations crime prevention and criminal justice programme, in particular its technical cooperation capacity

Economic and Social Council resolutions

1992/1	Establishment of the Commission on Crime Prevention and Criminal Justice
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- 2004/25 The rule of law and development: strengthening the rule of law and the reform of criminal justice institutions, with emphasis on technical assistance, including in post-conflict reconstruction
- 2004/26 International cooperation in the prevention, investigation, prosecution and punishment of fraud, the criminal misuse and falsification of identity and related crimes
- 2004/29 Strengthening international cooperation and technical assistance in combating money-laundering
- 2005/14 Model bilateral agreement on the sharing of confiscated proceeds of crime or property covered by the United Nations Convention against Transnational Organized Crime and the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988
- 2005/18 Action against corruption: assistance to States in capacity-building with a view to facilitating the entry into force and subsequent implementation of UNCAC
- 2006/23 Strengthening basic principles of judicial conduct
- 2006/24 International cooperation in the fight against corruption
- 2007/20 International cooperation in the prevention, investigation, prosecution and punishment of economic fraud and identity-related crime
- 2007/22 Strengthening basic principles of judicial conduct
- 2009/22 International cooperation in the prevention, investigation, prosecution and punishment of economic fraud and identity-related
- 2009/25 Improving the collection, reporting and analysis of data to enhance knowledge on trends in specific areas of crime
- 2010/17 Realignment of the functions of UNODC and changes to the strategic framework
- 2010/18 Twelfth United Nations Congress on Crime Prevention and Criminal Justice
- 2010/19 Twelfth United Nations Congress on Crime Prevention and Criminal Justice
- 2010/20 Support for the development and implementation of an integrated approach to programme development at UNODC
- 2010/21 Realignment of the functions of UNODC and changes to the strategic framework
- 2011/30 Follow-up to the Twelfth United Nations Congress on Crime Prevention and Criminal Justice and preparations for the Thirteenth United Nations Congress on Crime Prevention and Criminal Justice
- 2011/32 Strengthening international cooperation in combating the harmful effects of illicit financial flows resulting from criminal activities
- 2011/34 Support for the development and implementation of an integrated approach to programme development at UNODC
- 2011/35 International cooperation in the prevention, investigation, prosecution and punishment of economic fraud and identity-related crime

Commission on Crime Prevention and Criminal Justice resolutions

- 19/1 Strengthening public-private partnerships to counter crime in all its forms and manifestations

Annex 2 – Overview of technical assistance delivered by UNODC field offices to promote effective responses to corruption (as of July 2012)

The Thematic Programmes are being developed by UNODC Headquarters to provide an overview of the mandate and strategy of UNODC in a particular thematic area.

The Regional Programmes, country programmes and relevant projects developed by UNODC Field Office Network are fully complementary and mutually reinforcing instruments, which operationalize the same objectives of UNODC Strategy, with a “bottom up” approach, to ensure:

- full “ownership” by partner countries through alignment with regional/national policies and priorities;
- an integrated framework for transferring UNODC know-how and expertise at the regional/national level;
- clear objectives for the provision of technical assistance by the Field Office Network in specific thematic areas, to ensure consistency and coherence in UNODC programmatic approach;
- more effective cooperation and planning with other UN entities in the context of the One UN, and other multilateral donors.

The Regional Programmes are reviewed periodically, and modified as required as a result of lessons learned during implementation.

Although each Programme is developed on the basis of the specific needs and priorities of a region, the anti-corruption component features in each of them, and the areas identified in this thematic programme are thereby implemented within the specific context of the different UNODC Regional Programmes. Due consideration is also given to ensure synergies with technical assistance delivered in the field through headquarters based projects.

Note: allocations and requirements for activities delivered by field offices, in particular within the framework of regional programmes are not included in the overall funding requirement for this thematic programme.

Regional Programme for South Eastern Europe

The following anti-corruption project is currently implemented in the framework of UNODC regional programme for South Eastern Europe:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Assessment of corruption and crime in the Western Balkans	2010-2013	XEET93	1,298,324	-13,489

In 2011 UNODC has completed the first phase of the EU-funded project ‘*Assessment of Corruption and Crime in the Western Balkans*’ that produced comprehensive and comparable corruption household surveys in seven countries/territories of the region.⁸

⁸ See the regional report ‘Corruption in the western Balkans: Bribery as experienced by the population’, UNODC, Vienna 2011, and the seven national reports ‘Corruption in [Country]’: Bribery as experienced by the population, produced by UNODC and its implementing partners in the region. See: <http://www.unodc.org/unodc/en/frontpage/2011/May/corruption-in-the-western-balkans.html>

In the second phase (2012-2013), following consultation with stakeholders, business corruption was identified as topic of interest to provide policy-makers with evidence about the extent and nature of corruption and crime targeting businesses. A survey on corruption affecting business sector will be implemented by countries/territories of the western Balkans, with support from UNODC.

Regional Programme for Afghanistan and Neighbouring Countries

The following anti-corruption projects are currently implemented in the framework of UNODC regional programme for Afghanistan and neighbouring countries:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Strengthening anti-corruption measures in Afghanistan	2007-2012	AFGR86	8,943,947	2,375,629
Strengthening Anti-Corruption Measures in Uzbekistan	2010-2011	UZBT65	282,153	-35,197
UNODC Technical Cooperation on Drugs and Crime in the Islamic Republic of Iran - Country Programme 2011-2014 - Sub-Programme 3 on Crime, Justice and Corruption	2011-2014	IRNV05	4,600,000	2,691,904

Regional Programme for East Asia and the Pacific

Besides the regional anti-corruption mentor based in Bangkok under project GLOS48 (managed by UNODC Corruption and Economic Crime Branch), the following anti-corruption projects are currently implemented in the framework of UNODC regional programme for East Asia and the Pacific, which covers 34 countries and territories:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
UN Pacific Regional Anti-Corruption (UN-PRAC) Project	2012-2016	XSPX70	1,043,368	0
Strengthening Judicial Integrity and the Capacity in Indonesia, Phase III	2011-2013	IDNX27	1,100,000	-89,005
Strengthening the Capacity of Anti-Corruption Institutions in Indonesia	2009-2012	IDNT71	3,040,000	671,742
Support to the Fight against Corruption in Indonesia	2009-2012	IDNT81	3,808,933	306,019
Countering Illegal logging and the Linkage between Forest Crime and Corruption in Indonesia	2010-2013	IDNX14	2,282,100	16,319

Regional Programme for South Asia

No specific anticorruption project is currently implemented in the framework of UNODC regional programme for South Asia.

Regional Programme for Central America

Besides the regional anti-corruption mentor based in Panama under project GLOS48 (managed by UNODC Corruption and Economic Crime Branch), the following anti-corruption projects are currently implemented in the framework of UNODC regional programme for Central America, which covers Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica, Belize, Panama and the Dominican Republic:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
MDG Programme: Economic Governance on Water and Sanitation Sectors of the RAAN and RAAS in Nicaragua	2009-2012	NICT43	146,804	0
Establishment of Regional Anti-Corruption Academy for Central America and the Caribbean (ARAC)	2011-2013	PANX33	776,875	349,735

Individual projects for Latin America and the Caribbean (not included under a Regional Programme)

The following anti-corruption projects are currently implemented in Latin America and the Caribbean:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Implementation of National Anti-Corruption Measures in Brazil	2005-2011	BRAS07	4,474,600	644
Implementing UNCAC in Colombia	2010-2012	COLX03	1,100,000	473,522
Strengthening Ethics, Good Governance and Transparency in Ecuador.	2010-2012	ECUT87	400,000	12,000
Strengthening an Effective and Democratic Administration for Water and Sanitation in Mexico to Support the Achievement of the Millennium Goals	2009-2012	MEXT44	282,796	0
Support to the transitional process of the democratic model in Bolivia: Promoting the change in peace	2010-2012	BOLX01	526,975.00	0
Integrated Programme Paraguay (component II)	2012-2014	PRYX68	670,000	170,000

Regional Programme for the Arab States

The following anti-corruption projects are currently implemented in the framework of UNODC regional programme for the Arab States:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Assistance for promoting transparency and integrity and strengthening the anti-corruption measures in Libya	2009-2012	LBYT77	4,500,000	0
Supporting Measures to Combat Corruption and Money Laundering, and to Foster Asset Recovery, Egypt	2011-2014	EGYX49	3,646,669	71,128

Regional Programme for West Africa

The following anti-corruption project is currently implemented in the framework of UNODC regional programme for West Africa:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Partnership with Bayelsa State: Bayelsa Expenditure and Income Transparency Initiative (BEITI) and Judicial Integrity Action Programme	2010-2013	NGAT97	3,600,171	4,943

Regional Programme for Eastern Africa

Besides the regional anti-corruption mentor based in Nairobi under project GLOS48 (managed by UNODC Corruption and Economic Crime Branch), the following anti-corruption projects are currently implemented in the framework of UNODC regional programme for Eastern Africa, which covers Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Tanzania and Uganda:

Project Title	Duration	Project number	Proposed budget (US\$)	Shortfall
Anti-Corruption - Regional Programme for East Africa	2010-2013	XEAU77	884,700	-190,813

Regional Programme for Southern Africa – Central African Region

Besides the national anti-corruption mentor based in Kinshasa (Democratic Republic of Congo) under project GLOS48 (managed by UNODC Corruption and Economic Crime Branch), no specific anti-corruption project is currently implemented in the framework of UNODC regional programme for Southern and Central Africa.