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**List of statements of financial implications presented to the United Nations Convention against Transnational Organized Crime before its consideration of draft resolutions at its seventh session**

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## Annex I

### **Financial statement on the revised draft resolution entitled “Strengthening the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols Thereto”**

1. The present statement is made in accordance with rule 75 of the rules for procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. Under the terms of operative paragraphs 4, 6, 7, 8, 9, 15 to 17 of revised draft resolution CTOC/COP/2014/L.4/Rev.2,<sup>1</sup> the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would:

4. *Request* the United Nations Office on Drugs and Crime to convene, within existing resources from the regular budget and without prejudice to other mandated activities, at least one open-ended intergovernmental meeting, with interpretation, to include government officials with practical expertise related to the implementation of the Convention and its Protocols, with a view to analysing the above-mentioned options and submissions by States parties, and to submit to the Conference at its eighth session a report containing concrete recommendations for reviewing, through a possible mechanism or mechanisms, the implementation of the Convention and the Protocols thereto, and recommendations for cooperating with relevant international and regional organizations and non-governmental organizations, in line with article 32 of the Convention and as guided by the principles and characteristics contained in its resolution 5/5;

6. *Decide* that the Working Group on Trafficking in Persons, the Working Group on the Smuggling of Migrants and the Working Group on Firearms will be constant elements of the Conference of the Parties, forwarding their reports and recommendations to the Conference, and encourage those working groups and the Working Group on International Cooperation and the Working Group of Government Experts on Technical Assistance to consider meeting on an annual basis, as needed, and to hold their meetings consecutively, in order to ensure the effective use of resources;

7. *Also decide* that the working groups shall continue to analyse, in a comprehensive manner, the implementation of the Convention and the Protocols thereto, making the best use of the information gathered through the comprehensive self-assessment software (“omnibus survey software”) and other tools that have been developed and compiled so far by the Secretariat, in full respect of the principle of multilingualism;

8. *Reiterate* its call for States parties, in accordance with article 32, to provide information and, in this regard, invites them and signatories, on a voluntary basis, to submit to the Secretariat, through the omnibus survey software, information on their programmes, plans and practices, in a concise

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<sup>1</sup> Conference resolution 7/1.

and focused manner, as well as legislative and administrative measures taken to implement the Convention and the Protocols thereto;

9. *Invite* States parties and, on a voluntary basis, signatories, to provide information on the relevant legislative tools to be included in the knowledge management portal known as Sharing Electronic Resources and Laws on Crime;

15. *Request* the Secretariat to continue assisting the working groups in the performance of their functions;

16. *Also request* the Secretariat to prepare, within existing resources, a report for the working groups, setting out specific efficiency and cost-saving measures that the Conference of the Parties may consider adopting;

17. *Request* the United Nations Office on Drugs and Crime to report to the Conference at its eighth session on the progress achieved in the implementation of the present resolution.

3. With regard to the requests contained in operative paragraphs 4 and 6, the conference servicing requirements of the working groups will be accommodated during the biennium 2014-2015 and 2016-2017 within the overall entitlements of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and its individual working group(s). The scheduling of the meetings will have to be done in consultation with the Conference Management Service of the United Nations Office at Vienna. With regards to documentation, on the understanding that documents will be submitted in accordance with established guidelines, i.e. in a timely manner and within the indicative limit for number of words, they will be processed within available resources.

4. With regard to the requests contained in operative paragraphs 7, 8, 9 and 15, additional extrabudgetary resources would be required in the amount of \$81,100 per year for the translation of the working documents (non-parliamentary). The resources will provide for the translation of a maximum of two pages per reply, including any accompanying legislation, to an average of 15 articles per year. The translation will only be provided from a language that is not English, French or Spanish and will be done in cooperation with the Conference Management Service of the United Nations Office at Vienna.

5. With regard to the requests contained in operative paragraph 16 and 17, it is envisaged that the reports will be part of the background documentation for the Conference, and as such will not entail any additional requirements.

6. Should the resources mentioned above not be provided, the activities will not take place.

7. Hence, the adoption of revised draft resolution CTOC/COP/2014/L.4/Rev.2 will not entail any additional appropriation under the programme budget for the biennium 2014-2015 and the proposed programme budget for the biennium 2016-2017.

## Annex II

### **Financial statement on the revised draft resolution entitled “Importance of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime”**

1. The present statement is made in accordance with rule 75 of the rules of procedure for the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. Under the terms of operative paragraphs 13, 14, 18, 19 and 21 of the revised draft resolution CTOC/COP/2014/L.6/Rev.2,<sup>2</sup> the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would:

13. *Request* the United Nations Office on Drugs and Crime through its Global Programme to continue to assist requesting States in their efforts to ratify or accede to and implement the Firearms Protocol;

14. *Request* the United Nations Office on Drugs and Crime to continue gathering information from States parties on illicit trafficking in firearms on a regular basis, and direct the Working Group on Firearms to consider the outcomes of the study, with a view to making recommendations to the Conference, at its eighth session, on the future of the study, including, but not limited to, whether the study should be repeated and/or updated and improved upon;

18. *Request* the Secretariat to inform the Working Group about: (a) the activities of the United Nations Office on Drugs and Crime to assist the Conference in promoting and supporting the implementation of the Firearms Protocol, (b) coordination with other relevant international and regional organizations, (c) best practices in the areas of training and capacity-building and (d) awareness-raising strategies to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition;

19. *Also request* the Secretariat to support the Working Group in the performance of its functions;

21. *Decide* that the Secretariat shall provide to the Conference at its eighth session a report on the meeting of the Working Group to be held prior to the eighth session of the Conference.

3. With regard to operative paragraph 13, the requested assistance will be provided to the extent that extrabudgetary resources are made available for this purpose.

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<sup>2</sup> Conference resolution 7/2.

4. With regard to the request contained in operative paragraph 14, it is estimated that additional extrabudgetary resources in the amount of \$204,500 would be required for the collection and analysis of data on illicit firearms trafficking. The resources would provide for consultancies, and the editing and printing for the study (200 pages, English only).
5. With regard to the request contained in operative paragraph 19, it is envisaged that there will not be any budgetary implications.
6. With regard to the requests contained in operative paragraphs 18 and 21, it is envisaged that the reports will be part of the documentation for the Working Group, and as such will not entail any additional requirements.
7. Should the resources mentioned above not be provided, the activities will not take place.
8. Hence, the adoption of revised draft resolution CTOC/COP/2014/L.6/Rev.2 will not entail any additional appropriation under the programme budget for the biennium 2014-2015 and the proposed programme budget for the biennium 2016-2017.

## Annex III

### **Financial statement on the draft resolution entitled “Implementation of the provisions on technical assistance of the United Nations Convention against Transnational Organized Crime”**

1. The present statement is made in accordance with rule 75 of the rules of procedure for the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. Under the terms of operative paragraphs 1 and 2 of draft resolution CTOC/COP/2014/L.7,<sup>3</sup> the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the recommendations adopted by the Working Group of Government Experts on Technical Assistance at its meeting held from 28 to 30 October 2013, which are contained in Annex I to the resolution; and also endorse the recommendations adopted by the Working Group of Government Experts on Technical Assistance at its meeting held on 6 and 7 October 2014, during the seventh session of the Conference, which are contained in Annex II to the resolution.

3. More specifically, under the terms of paragraph 16, 22, 27, 29, and 30 of Annex I of the above-mentioned draft resolution CTOC/COP/2014/L.7, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the following recommendations:

16. The Office should prepare a study on the institutionalization of witness protection programmes in Member States, subject to the availability of extrabudgetary resources.

22. The Office should, subject to the availability of extrabudgetary resources, facilitate regional and international meetings of central authorities to discuss practical issues, including good practices and challenges.

27. The Office should expand the knowledge base on legislative and administrative measures to combat transnational organized crime, including by preparing, subject to the availability of extrabudgetary resources, issue papers on provisions of the Convention.

29. The Office, subject to the availability of extrabudgetary resources, should hold pre-ratification and self-assessment workshops for States, upon request, utilizing the omnibus survey software and other relevant technical assistance tools.

30. The Office, subject to the availability of extrabudgetary resources, should continue the development of technical assistance tools, for the Convention and the Protocols thereto and on specialized issues, including mutual legal assistance and extradition. In particular, the Office should continue to work on the knowledge management portal known as Sharing

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<sup>3</sup> Conference resolution 7/3.

Electronic Resources and Laws on Crime, building on the work accomplished in the development of the digest of organized crime cases.

4. In addition, under the terms of paragraphs 8 and 11 of Annex II of the above-mentioned draft resolution CTOC/COP/2014/L.7, the Working Group recommended that:

8. States parties and signatories are encouraged to provide to the United Nations Office on Drugs and Crime information on the liability of legal persons so that the Office may report to the Working Group of Government Experts on Technical Assistance at its next meeting, subject to the availability of extrabudgetary resources.

11. The Office should continue to develop a knowledge base for assessing challenges in identifying good practices and needs for technical assistance in implementing the United Nations Convention against Transnational Organized Crime and the Protocols thereto,<sup>4</sup> through analytical reports and updates to previous reports provided to the Conference, based on information provided by States parties and signatories.

5. With regard to the recommendation contained in paragraph 16 of Annex I, it is estimated that extrabudgetary resources in the amount of \$280,300 would be required to prepare a study on the institutionalization of witness protection programmes in Member States. The resources would provide for consultancy, mission travel, and the publication of the 80-page study in 6 United Nations languages.

6. With regard to the recommendation contained in paragraph 22 of Annex I, it is estimated that extrabudgetary resources in the amount of \$414,400 would be required to facilitate regional and international meetings of central authorities. The resources would provide for the travel of participants to 4 subregional meetings (the Gulf countries, East Africa, West Africa and Central Asia) for 3 days each in Vienna, without interpretation.

7. With regard to the recommendation contained in paragraph 27 of Annex I, it is estimated that for each issue paper, extrabudgetary resources in the amount of \$86,600 would be required for consultancy and the publication of a 25-page issue paper in 6 United Nations languages.

8. With regard to the recommendation contained in paragraph 29 of Annex I, it is estimated that extrabudgetary resources in the amount of: (a) \$223,800 would be required for the pre-ratification workshop, which would provide for the travel of participants, 100-page documentation in 2 United Nations languages, and a 3-day meeting in Vienna, with interpretation in 2 United Nations languages; and (b) \$543,500 for 4 regional self-assessment workshops (Africa, Asia, Eastern European Group and GRULAC), which would provide for the travel of participants, 100-page documentation in 2 United Nations languages, and 4 times 3-day meeting in Vienna, each with interpretation in 2 United Nations languages.

9. With regard to the recommendation contained in paragraph 30 of Annex I, it is estimated that extrabudgetary resources in the amount of \$217,400 would be

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<sup>4</sup> United Nations, *Treaty Series*, vols. 2225, 2237, 2241 and 2326, No. 39574.

required for consultancy and for two years of IT support maintenance costs for the existing SHERLOC portal.

10. With regard to the recommendation contained in paragraph 8 of Annex II, it is envisaged that the report will be an oral report and as such will not entail any additional requirements.

11. With regard to the recommendation contained in paragraph 11 of Annex II, it is estimated that extrabudgetary resources in the amount of \$81,700 would be required for each report. The resources would provide for consultancy and a 16-page report in 6 United Nations languages.

12. Should the resources mentioned above not be provided, the activities will not take place.

13. Hence, the adoption of draft resolution CTOC/COP/2014/L.7 will not entail any additional appropriation under the programme budget for the biennium 2014-2015 and the proposed programme budget for 2016-2017.



## Annex IV

### **Financial statement on the draft resolution entitled “Implementation of the international cooperation provisions of the United Nations Convention against Transnational Organized Crime”**

1. The present statement is made in accordance with rule 75 of the rules of procedure for the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. Under the terms of operative paragraph 1 of draft resolution CTOC/COP/2014/L.8,<sup>5</sup> the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the recommendations adopted by the Working Group on International Cooperation at its meeting held on 8 and 9 October 2014, during the seventh session of the Conference, which are annexed to the present resolution.

3. More specifically, under the terms of paragraphs (o), (r), (s), (t), (u) and (v) of Annex I of the draft resolution CTOC/COP/2014/L.8, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the following recommendations:

(o) States should, as appropriate, continue working with the United Nations Office on Drugs and Crime in the establishment of new regional networks of central authorities or judicial authorities, as well as in the implementation, strengthening and financial support of existing networks, including the Central American Network of Prosecutors against Organized Crime and the Network of West African Central Authorities and Prosecutors against Organized Crime;

(r) States should consider, with the assistance of the Secretariat and subject to the availability of extrabudgetary resources, the possibility of developing a global network through a virtual environment, for the purpose of establishing and enhancing direct contact between central authorities;

(s) The Secretariat should undertake efforts to collect information from States on different possible models for central authorities for mutual legal assistance, with a view to sharing experience with States wishing to establish or strengthen a central authority, as well as with a view to gaining a better understanding of the functioning and operation of central authorities at the national and international levels;

(t) The Secretariat should continue its work to collect and disseminate, including through the knowledge management portal known as Sharing Electronic Resources and Laws on Crime, relevant national laws, guidelines and materials that can assist practitioners in the preparation and submission of requests for mutual legal assistance;

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<sup>5</sup> Conference resolution 7/4.

(u) The Secretariat should continue the further development of tools for international cooperation in criminal matters, including the Mutual Legal Assistance Request Writer Tool, with a view to supporting central authorities in strengthening communication channels and, as appropriate, in exchanging information at both the regional and international levels; and

(v) The Secretariat should consider, in consultation with States, the possibility of updating the *Legislative Guides for the Implementation of the United Nations Convention against Organized Crime and the Protocols Thereto*.<sup>6</sup>

4. With regard to the recommendation contained in paragraph (o) of Annex I, it is estimated that extrabudgetary resources in the amount of \$1,375,100 would be required for staff coordination of network activities and travel and substance for participants to network meetings. The resources will provide for 4 professional staff (2 at the P-5 level and 2 at the P-4 level) and 1 GS (Other level) staff, as well as 4 regional trainings (Latin America, West Africa, Central Asia and the Gulf Countries) with 30 participants each.

5. With regard to the recommendation contained in paragraph (r) of Annex I, it is estimated that extrabudgetary resources in the amount of \$73,000 would be required for the organization of an open-ended intergovernmental expert group meeting (2 days in Vienna with interpretation) to share views on the establishment of a global network. Extrabudgetary resources in the amount of \$23,100 would subsequently be required for consultancy services in order to carry out a scoping study for the development of a virtual environment based on the recommendations of the intergovernmental expert group.

6. With regard to the recommendation contained in paragraphs (s) and (t) of Annex I, it is estimated that extrabudgetary resources in the amount of \$92,200 would be required for consultancy services in order to collect information from States on different possible models for central authorities as well as the collection and dissemination of relevant national laws, guidelines and materials that can assist practitioners in the preparation and submission of requests for mutual legal assistance.

7. With regard to the recommendation contained in paragraph (u) of Annex I, it is estimated that extrabudgetary resources in the amount of \$46,100 would be required for consultancy services for the further technical development of the mutual legal assistance writer tool, as well as \$105,000 for staff travel to coordinate piloting of the tool in requesting countries.

8. With regard to the recommendation contained in paragraph (v) of Annex I, it is estimated that extrabudgetary resources in the amount of \$115,600 would be required for the organization of an open-ended intergovernmental expert group meeting (3 days in Vienna with interpretation) to share views on areas of the legislative guide that may need updating or revision. Extrabudgetary resources in the amount of \$46,100 would subsequently be required for consultancy services in order to work on revisions to the legislative guide, as well as \$314,900 for the editing and printing of the revised guide.

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<sup>6</sup> United Nations publication, Sales No. E.05.V.2.

9. Should the resources mentioned above not be provided, the activities will not take place.

10. Hence, the adoption of draft resolution CTOC/COP/2014/L.8 will not entail any additional appropriation under the programme budget for the biennium 2014-2015 and the proposed programme budget for the biennium 2016-2017.

**Annex V****Financial statement on the draft decision entitled  
“Organization of the work of the eighth session of the  
Conference of the Parties to the United Nations Convention  
against Transnational Organized Crime”**

1. The present statement is made in accordance with rule 75 of the rules of procedure for the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. Under the terms of the operative paragraphs (a) and (b) of draft decision CTOC/COP/2014/L.3,<sup>7</sup> the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would:

(a) Decide that the eighth session of the Conference should take place over five working days; that the number of meetings should remain the same as for the previous sessions, that is, 20 meetings, with interpretation in the six official languages of the United Nations; and that a decision should be taken at the end of the eighth session on the duration of the ninth session;

(b) Request that the resources allocated to the Conference should be maintained at the same level, and should be made available, *inter alia*, for any working groups or committee of the whole established by the Conference.

3. With regard to the requests contained in operative paragraphs (a) and (b) related to the extension of the mandates of the Working Groups established by the Conference, the conference servicing requirements of the Working Groups will be accommodated during the biennium 2016-2017 within the overall entitlements of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and its individual working group(s). The scheduling of the meetings will have to be done in consultation with the Conference Management Service of the United Nations Office at Vienna. With regards to documentation, on the understanding that documents will be submitted in accordance with established guidelines, *i.e.* in a timely manner and within the indicative page limit, they will be processed within available resources as follows: 1 report per working group.

4. Hence, the adoption of draft decision CTOC/COP/2014/L.3 would not entail any additional appropriation under the programme budget for the biennium 2014-2015.

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<sup>7</sup> Conference decision 7/2.