

Preliminary/tentative cost estimates for the outcome of the discussions of the second open-ended intergovernmental meeting for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for the UNTOC and the Protocols thereto, held in Vienna from 30 October to 1 November 2017

*Status: 22 December 2017*

**Introduction**

Based on the document entitled “Outcome of the discussions of the second open-ended intergovernmental meeting for the purpose of defining the specific procedures and rules for the functioning of the review mechanism for UNTOC and the Protocols thereto” (document symbol: CTOC/COP/WG.9/2018/CRP.1), it is possible to envisage two different scenarios regarding the role of the Secretariat in supporting the mechanism, which have different cost implications.

The present document was prepared considering both scenarios, i.e. a “light involvement of the Secretariat” and a “heavier involvement of the Secretariat.”

Under either scenario, it is foreseen that 2 General service staff at the G-5 level would be needed to conduct organizational and administrative tasks generated by the review process and 1 post at the P-3 level would be needed for SHERLOC information-gathering tasks, among other tasks. In addition, one General Temporary Assistant (GTA) at the P-3 level per year would be needed to cover the tasks associated with an increase in adherence status. **Moreover, under either scenario, USD\$ 335,610 (XB, PSC included) will be needed for a year to develop the new module of SHERLOC, and USD \$ 100,570 (XB, PSC included) for maintenance of SHERLOC for each subsequent year\*.**

A detailed breakdown of costs, based on the paragraphs of the draft procedures and rules, is included from page 3 onwards.

**Overview of staff costs**

Resource requirements (per year)	Brief description of tasks	RB (new)	RB (continuing)	XB (incl. PSC)
	<i>Light involvement of the Secretariat</i>			
2 GS	Support the work of both the intersessional meetings and the working groups that meet annually	\$103,400	\$184,600	\$240,400
1 P3	Information gathering, drawing of lots	\$71,600	\$125,300	\$185,500

\* The cost projections at Information Technology Service are a Service Charge rather than a Staffing Requirement. This standard approach for recovering IT services includes all staffing efforts (there will be a significant number of OICT staff working on the project in different capacities, for a longer or shorter timeframe), hardware and software costs, backup and disaster recovery as well as quality assurance and ITS technical project coordination efforts.

4 P3s	Reports, consultations, servicing working group meetings	\$286,400	\$501,200	\$741,700
1 P4	Extra resource requirements for servicing working groups on trafficking in persons and smuggling of migrants to be held annually	\$88,600	\$155,900	\$230,900
1 P3	Extra resource requirements for servicing working group on firearms to be held annually	\$71,600	\$125,300	\$185,500
1 GTA at P3 level	General tasks associated with an increase in adherence status	\$71,600	\$125,300	\$185,500
<b>Total cost for staff</b>		<b>\$693,200</b>	<b>\$1,217,600</b>	<b>\$1,769,500</b>
<i>Heavier involvement of the Secretariat</i>				
2 GS	Support the work of both the intersessional meetings and the working groups that meet annually	\$103,400	\$184,600	\$240,400
1 P3	Information gathering, drawing of lots	\$71,600	\$125,300	\$185,500
7 P3s	Reports, consultations, servicing working group meetings	\$501,200	\$877,100	\$1,298,000
1 P4	Extra resource requirements for servicing working groups on trafficking in persons and smuggling of migrants to be held annually	\$88,600	\$155,900	\$230,900
1 P3	Extra resource requirements for servicing working group on Firearms to be held annually	\$71,600	\$125,300	\$185,500
1 GTA at P3 level	General tasks associated with an increase in adherence status	\$71,600	\$125,300	\$185,500
<b>Total cost for staff</b>		<b>\$908,000</b>	<b>\$1,593,500</b>	<b>\$2,325,800</b>

### Standard costs for printing and translation

Standard report	RB	XB (incl. PSC)
16-page report (printing, translation into 6 languages)	\$29,100	\$32,800
20-page report (printing, translation into 6 languages)	\$36,200	\$41,000

**Please also note** the following:

**Current documents entitlements** for the Conference are 64 documents per biennium (8,500 words each). Therefore, if country reports are 1,000 words each, in the current adherence status, they can be absorbed by existing documents entitlements. 20 documents would be needed yearly for the country review reports and 40 per biennium. 24 documents would therefore remain available for the Conference and the five working groups in the biennium, 22 of which will be used for the annotated provisional agendas and reports of the Conference and the five working groups, and 2 of which will be used for the background documents for other agenda

items to be considered by COP and its working groups. This explanation is based on the current numbers of Parties to the Convention and its three protocols. **The document entitlement needed for the country review report will increase along with the rise of the adherence status.**

**Translation costs** were not calculated, as they are not specified in the outcome document. However, if the States Parties so decide, there will be costs for the translation of replies to the questionnaires and written feedback from the reviewing SPs on measures taken to implement the Convention and its Protocols and successes in and challenges of such implementation. **Therefore, it is necessary for the draft procedures and rules to specify how many words or pages maximum each reply and written feedback should contain** and in how many languages these replies and written feedback will be translated. **There may be costs for the translation of lists of focal points and national experts. It is also necessary for the draft procedures and rules to specify if such lists should be translated and if so, in how many languages.**

### **Detailed breakdown and description**

- **Para. 13:** The selection of States Parties participating in the review process shall be carried out by the drawing of lots at the beginning of each review phase in accordance with paragraphs 22-24 of the present procedures and rules.
- **Para. 14:** Each State party shall appoint a focal point to coordinate its participation in the review, and make this information available on SHERLOC. In case a State party has not appointed a focal point by the time of the drawing of the lots referred to in paragraph 22, all communications will be submitted to the permanent representative to the United Nations Office in Vienna, permanent representative to the United Nations Office in Geneva, or the permanent representative to the United Nations in New York, in that order, who shall act as temporary focal point.
- **Para. 18:** The self-assessment questionnaire shall be available on the knowledge management portal known as Sharing Electronic Resources and Laws on Crime (SHERLOC). A new secure module shall be developed as a further component of SHERLOC to host the questionnaires and responses thereto, which shall ensure the full confidentiality of all data submitted by States Parties. The module shall include a secure written communications platform for the ensuing dialogue between the State party under review and the reviewing States Parties, and archive capabilities.
- **Para. 23:** Each State party shall, for the purposes of the review, appoint governmental experts for each instrument to which it is a party and make this information available on SHERLOC. The appointed governmental experts shall have expertise relevant to the issues under evaluation.
- **Para. 24:** For each State party under review, the relevant working groups shall draw lots to select as reviewing States one State from the regional group of the State party under review and one State from another regional group, with the understanding that States shall not undertake mutual reviews and that reviewing States shall be parties to the respective instruments. If possible, one of the reviewing States Parties shall have a legal system similar to that of the State under review. The State party under review and the reviewing States may request a maximum of two times each that the drawing

of lots be repeated. In exceptional circumstances, the drawing of lots may be repeated more than twice.

- **Para. 26:** The working groups shall hold joint intersessional meetings open to all States Parties for the purpose of the drawing of lots referred to in paragraph 22 of the present procedures and rules, without prejudice to the right of State party to request that the drawing of lots be repeated at the group's subsequent session.

1. **Resource requirements:** The cost for the development of the new module to host the questionnaires, responses thereto and the lists of focal points and experts will be \$ 335,610 (XB, PSC included). The development of the new module is expected to be finalized in one year. For maintenance of the new module of SHERLOC, USD \$ 100,570 (XB, PSC included) will be needed for each subsequent year.

2. In addition, one P3 staff is needed per year to carry out the following: the new module of SHERLOC will allow SPs upload information as contained in the above mentioned paragraphs through an external entry interface, and the P3 staff facilitates the SPs uploading it by assisting them with e-training, instructions, immediate advice, credentials, etc. The tasks also include transferring the legislation and cases provided by SPs during the review process to the public part of SHERLOC. Furthermore, as per paras. 13 and 24, the P3 is also responsible for servicing the intersessional meetings for the purpose of the drawing of lots through conducting the preparatory work including the drawing and recording the drawing result.

3. Furthermore, two G5 staff members are needed to support the work of both the intersessional meetings and the working groups that meet annually, including coordinating meeting slots, meeting rooms and office arrangements, processing documentation, drafting and issuing invitations, registration of participants, preparation of list of participants, uploading documentation in the six working languages to the website, etc.

4. Regarding the intersessional meetings, interpretation/translation requirements, if needed, would carry additional financial implications.

- **Para. 17:** Each State party under review shall provide the responses to the self-assessment questionnaire to the reviewing States Parties through the Secretariat.

5. **Resource requirements:** As per para. 17, the SPs under review may directly upload responses to the questionnaires and inform the reviewing SPs and the Secretariat. If this is the case, there will be no further cost for this task except those generated by para. 18. However, if all responses are provided to the Secretariat for uploading to SHERLOC, it will cause a large amount of human resource requirements. **It is therefore critical to clarify the role of the Secretariat in this paragraph.**

- **Para. 21:** The Secretariat shall be responsible for adjusting and maintaining SHERLOC to serve as the user-friendly database for collecting and disseminating information on the review mechanism.

6. **Resource requirements:** If this task is a reiteration of the tasks contained in para.18, there are no additional financial implications.

- **Para. 28:** The State party under review shall undertake consultations with the reviewing States Parties, through their focal points, with the assistance of the Secretariat, on the establishment of schedules and the requirements of the country review, including the selection of one working language, in accordance with section VI of the present procedures and rules.
- **Para. 36:** At the final stage of the country review process, the reviewing States, with the assistance of the Secretariat and in close cooperation and coordination with the State party under review, shall prepare a country review report to summarize the outcome of the process. The final document shall be short –no more than 1000 words -, precise and concise, and based on the blueprint format. The report may include: successes and good practices; challenges in implementation, where applicable; observations on the implementation of the articles under review; and, in particular, technical assistance needs identified to improve implementation of the Conventions and its Protocols.

7. **Resource requirements:** As per para. 28, the purpose of the consultations is to establish schedules of the review process and to establish the requirements of the country review, including the selection of one working language. It would seem that these tasks can be accomplished by holding one consultation per review process. For the purpose of the present calculation of resource requirements, it is assumed that there will be only one consultation per review process to be organized at the beginning of the process. If the Secretariat is expected to facilitate more consultations throughout a specific review process, extra resources will be needed.

8. In addition, in order to facilitate establishing the schedule and requirements of the country review, the Secretariat will prepare the blueprint and a one-only generic guidance or SPs within existing resources. If the Secretariat is expected to prepare tailored guidance for each review process, extra resources will be needed.

9. As per para. 36, two possible scenarios can be envisaged based on a light and a heavier involvement of the Secretariat in the drafting of the country review report. Please see below the calculation details of the staff requirements in the two scenarios as generated by the above mentioned two paragraphs<sup>†</sup>:

**- Light involvement:**

10. As per para. 36, a light involvement of the Secretariat is as follows: the reviewing SPs prepare the country review report and conduct consultations between the reviewing and reviewed SPs including through the written communication platform to be developed within SHERLOC, without assistance of the Secretariat. The Secretariat's tasks are strictly restricted to editing the country review reports prepared and agreed upon by the reviewing SPs, seeking clarification on the report for editing purposes and ensuring consistency among the country

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<sup>†</sup>Please note that the standard working time is 44 workweeks per year with 40 hours per week = 1760 work/hours per year.

Please also note that as results for the number of needed staff contains decimals, the standardized approach of rounding up numbers from .5 was adopted.

review reports. If the Secretariat is expected to perform more tasks, more resource will be needed.

1. Instrument	2. Status of ratification	3. Number of reviews and reports per year	4. Number of parliamentary documents per year (containing eight 1,000 words reports)	5. Total number of hours needed to prepare 1,000-word reports (assuming 3 days-24 working hours for each report per year)	6. Secretariat support to consultations (para. 26 of proposal) – assuming 8 hours per State party per year	8. Total number of hours needed per year	9. Total number of staff members needed per year
UNTOC	189	47	6	47x24= 1,128	47x8= 376	1,504	.854 (1)
TIP	172	43	5	1,032	344	1,376	.781 (1)
SOM	146	37	5	888	296	1,184	.672 (1)
Firearms	115	29	4	696	232	828	.470 (1)

**- Heavier involvement:**

11. Under this second scenario the Secretariat drafts the country review report based on the written feedback prepared by the reviewing SPs as prescribed in para. 32, conducts necessary consultations with reviewing and reviewed SPs, and solicits and incorporates comments into the drafts. In order to facilitate the preparation of the country review report, it may be necessary to decide at a later stage the length and structure of the written feedback in the specific procedures and rules or the guidance developed.

1. Instrument	2. Status of ratification	3. Number of reviews and reports per year	4. Number of parliamentary documents per year (containing eight 1,000 words reports)	5. Total number of hours needed to prepare 1,000-word reports (assuming 2 weeks-80 working hours for each report per year)	6. Secretariat support to consultations (para. 26 of proposal) – assuming 8 hours per State party per year	8. Total number of hours needed per year	9. Total number of staff members needed per year
UNTOC	189	47	6	47x80= 3,760	47x8= 376	4,136	2.35 (2)
TIP	172	43	5	3,440	344	3,784	2.15 (2)
SOM	146	37	5	2,960	296	3,256	1.85 (2)
Firearms	115	29	4	2,320	232	2,552	1.45 (1)

12. The above mentioned calculations in both scenarios are based on the current status of adherence to the Convention and its Protocols. It is foreseen that during the review process the numbers of the SPs will increase. As it is difficult to foresee the increase in an accurate manner, the Secretariat proposes to request a General Temporary Assistant (GTA) at P-3 level per year to cover for tasks caused by the increase in adherence status.

13. In addition to above mentioned staff requirements, in both scenarios, additional staff requirements were added to the overview of staff costs to include 1 post at the P-4 level and 1 post at the P-3 level for the servicing of working groups on the three protocols should these meet annually. The tasks relating to servicing the Working Group on Trafficking in Persons and the Working Group on Smuggling in Migrants include: substantive support to the two working groups for the development of the respective questionnaires including preparatory discussions with the chairs and necessary follow-up; preparation of conference room documentation for the working groups on the basis of the country reviews; and providing secretarial and substantive servicing of the annual meetings of the working groups, including consultation with SPs on the agenda items and panellists, drafting of the reports and preparation of two thematic background papers per working group. Tasks relating to the Working Group on Firearms include: the drafting of three substantive reports for the working group, preparatory work for the working group, follow-up work after the meeting and extended bureau support.

- **Para. 30:** The Secretariat shall provide administrative support to facilitate the establishment of open lines of communication among the governmental experts involved in the review process. The Secretariat shall also issue a step-by-step guide to facilitate the conduct of the review in accordance with the procedures and rules, which may be based, inter alia, on the UNODC legislative, technical and assessment guides.

14. **Resource requirements:** If the establishment of open lines of communication is limited to the secure written communications platform contained in para. 18, there is no extra cost estimate. If the establishment of open lines of communication entails active engagement of the Secretariat during the review process then additional resources would be required to ensure that the Secretariat is able to support States Parties.

15. If the step-by step guide mentioned in the second part of the paragraph is a general guidelines for governmental experts and the Secretariat in the conduct of country reviews similar to the one form UNCAC review mechanism, the cost can be absorbed by the Secretariat.

- **Para. 35:** Any additional translations and interpretations required for the conduct of the country review shall be provided by extrabudgetary resources.
- **Para. 39:** The finalized country review report shall be translated into the six official languages of the United Nations and be made available a joint document<sup>‡</sup> of the relevant working groups of the Conference for discussion under the agenda item referred to in paragraph 15.

16. **Resource requirements:** Please see the documentation and translations costs note at the beginning of the document for further information.

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<sup>‡</sup> Suggest States Parties to revise “a joint document”, as this language might not reflect what they intend.

- **Para. 44:** As a follow-up to its country review report, State party shall be provided, upon request, technical assistance based on the specific needs identified in the review process with a view to improve the capacity of the State party to effectively implement the Convention and, where applicable, Protocols, subject to the availability of the necessary resources.
- **Para. 47:** The Secretariat of the Conference shall be the Secretariat of the Mechanism and shall perform all tasks required for the efficient functioning of the Mechanism, including providing technical and substantive support, upon request, to States parties in the course of the functioning of the Mechanism.

17. **Resource requirements:** None have been calculated; the cost estimate for the technical assistance will be provided in accordance with relevant requests, as accumulated in the course of functioning of the mechanism. Regarding para. 47, if the tasks of the Secretariat is strictly limited to the tasks elaborated in the current cost estimates, there will be no further resource requirements. However, if extra tasks are given, there will be more resource requirements.

- **Para: 54:** The Secretariat shall be responsible for preparing a proposed biennial budget for the activities of the Mechanism.

18. **Resources requirements:** The secretariat will prepare a proposed biennial budget for the activities of the Mechanism within existing resources.