



# Conference of the States Parties to the United Nations Convention against Corruption

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Item 4 of the provisional agenda\*

### Prevention

## Status of implementation of Conference resolution 5/4, entitled “Follow-up to the Marrakech declaration on the prevention of corruption”

Background paper prepared by the Secretariat

### I. Introduction

1. The Conference of the States Parties to the United Nations Convention against Corruption, at its fifth session, held in Panama City from 25 to 29 November 2013, welcomed the progress made by States parties and the Secretariat in the implementation of Conference resolution 4/3, entitled “Marrakech declaration on the prevention of corruption”. Based on this success, the Conference adopted resolution 5/4, entitled “Follow-up to the Marrakech declaration on the prevention of corruption”, in which the Conference decided, among other things, that the Open-ended Intergovernmental Working Group on the Prevention of Corruption should continue its work to advise and assist the Conference in the implementation of its mandate on the prevention of corruption. The Conference requested the Secretariat to submit a report on the implementation of resolution 5/4 to the Working Group at its intersessional meetings and to the Conference at its sixth session.

2. At the fifth meeting of the Working Group, held in Vienna from 8 to 10 September 2014, a background paper was made available on the action taken in the previous period to implement the resolution (CAC/COSP/WG.4/2014/4). The present report is an update to that background paper and is intended to provide a basis for a discussion by the Conference on mapping the way towards effective action to prevent corruption. It includes all measures relevant to the implementation of the resolution taken from July 2013 to July 2015. That reporting period has been chosen to ensure continuity since the last report to the Conference on the

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\* CAC/COSP/2015/1.



implementation of resolution 4/3 (CAC/COSP/2013/17-CAC/COSP/WG.4/2013/4). That report included measures taken up to June 2013.

## **II. Update on the status of implementation of resolution 5/4**

### **A. Working Group on the Prevention of Corruption**

#### **Reporting on the implementation of chapter II of the Convention**

3. Pursuant to resolution 5/4 (paras. 3 to 5),<sup>1</sup> the Working Group continued to follow the multi-year workplan for the period up to 2015, which addressed two topics of chapter II of the Convention each year. Prior to the meeting, States parties were invited to share their experiences in implementing the provisions under discussion. Submissions were provided within the deadline by 29 States parties in 2014 and by 30 States parties in 2015. They were analysed and compiled in documents CAC/COSP/WG.4/2014/2, CAC/COSP/WG.4/2014/3, CAC/COSP/WG.4/2015/2, and CAC/COSP/WG.4/2015/3. Input from the private sector was sought through organizations and initiatives such as the United Nations Global Compact, the World Economic Forum Partnering against Corruption Initiative and the International Chamber of Commerce.

4. The Conference had welcomed the efforts of the Secretariat in the performance of its functions as an international observatory and requested the Secretariat, subject to the availability of extrabudgetary resources, to continue this work and, at the request of the Working Group or the Conference, to provide information on lessons learned and the adaptability of good practices, as well as related technical assistance activities, which could be offered to States parties upon request (paras. 6 and 7). Based on that request, the United Nations Office on Drugs and Crime (UNODC) continued to gather information and made all information provided by States parties ahead of each Working Group meeting, as well as presentations made during the meeting, relevant reports and links to further resource material, available through the thematic website of the Working Group ([www.unodc.org/unodc/en/corruption/WG-Prevention/working-group-on-prevention.html](http://www.unodc.org/unodc/en/corruption/WG-Prevention/working-group-on-prevention.html)) launched in 2013. For ease of access and in the interest of user-friendliness, the material was clustered by article and subtopic of the Convention.

5. The Conference had encouraged States parties to strive towards early reporting on the implementation of chapter II of the Convention, using the self-assessment checklist, and had requested the Secretariat, in close cooperation with multilateral and bilateral assistance providers, to continue to provide technical assistance to States parties, upon request, with a view to advancing the implementation of chapter II of the Convention, including in preparation for participation in the review process for chapter II (paras. 33 and 34).

6. UNODC assisted several countries, including Iraq, Jordan, Palau and Serbia, in using the revised draft checklist for chapter II to conduct self-assessments or to start other forms of early preparation for the second review cycle. In the case of

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<sup>1</sup> All references to paragraphs in the present document relate to paragraphs of Conference resolution 5/4.

Palau, Malaysia provided assistance in the form of South-South cooperation. Iraq agreed to publish the outcome of this “test-run” on the understanding that it constituted an informal internal self-assessment for chapter II outside the formal review process (CAC/COSP/WG.4/2014/CRP.2).

7. A number of other countries informed the Secretariat about their activities to prepare for the second review cycle or to conduct a gap analysis for the implementation of chapter II outside of the formal review cycle. Some of those were undertaken with support from the United Nations Development Programme (UNDP). UNODC and UNDP continued to seek opportunities to work together in the provision of assistance to States in relation to self-assessments.

8. During the fifth intersessional meeting of the Working Group, a panel discussion was held on the experiences and lessons learned by States parties with the self-assessment for their implementation of chapter II outside the formal review process. The discussion included presentations by Iraq, Malaysia, Mongolia and Namibia.

## **B. Public sector**

### **Anti-corruption strategies**

9. The Conference highlighted the importance of the development and implementation of effective, coordinated anti-corruption policies, consistent with article 5 of the Convention, and took note of the Kuala Lumpur statement on anti-corruption strategies (CAC/COSP/2013/CRP.12). The Conference requested the Secretariat to identify and disseminate good practices among States parties regarding the development of national anti-corruption strategies and to provide assistance in that regard upon request (para. 11).

10. UNODC had contributed to the development of the Kuala Lumpur statement, adopted in October 2013. Subsequently, UNODC developed a practical guide for the development and implementation of national anti-corruption strategies, a draft of which was discussed during an international expert group meeting held in Vienna from 6 to 8 May 2015. The guide will highlight good practices and important points to consider during the various stages of an anti-corruption strategy — from analysis to drafting, implementation and monitoring — and will be launched during the sixth session of the Conference.

11. At the regional level, UNODC supported the development of a joint strategy document (2015-2017) of the Network of National Anti-Corruption Institutions in West Africa (NACIWA). The document was adopted during the NACIWA general assembly meeting hosted by the Economic Community of West African States in Abuja from 10 to 13 March 2015. Furthermore, UNODC organized a regional meeting for countries from the Middle East and North Africa on anti-corruption strategies, held in Egypt on 17 and 18 June 2014.

12. Jointly with UNDP, the European Commission and the Commonwealth of Independent States, UNODC organized a regional anti-corruption conference for South-East European countries, held in Sarajevo on 9 and 10 December 2013. The conference brought together anti-corruption experts and civil society to take stock of anti-corruption efforts and strategies to identify and agree on areas for

improvement. UNODC also participated in an event on anti-corruption strategies organized by the Organization for Security and Cooperation in Europe (OSCE) for countries of the South Caucasus, held in Georgia in December 2014.

13. At the country level, UNODC provided assistance in various forms in the development of anti-corruption strategies to a number of countries, including Afghanistan, Egypt, Georgia, Hungary, Iraq, Kenya, Libya, Mongolia, Morocco, Mozambique, Namibia, the Niger, Nigeria, Paraguay, Senegal, Solomon Islands, Timor-Leste and Ukraine. UNODC also facilitated South-South learning opportunities on the subject, for instance in the form of a presentation of experiences by Papua New Guinea to Solomon Islands.

14. In addition, UNODC assisted States parties in linking the recommendations of the first cycle of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption and the results of voluntary self-assessments to the development of anti-corruption strategies or action plans (see, for instance, CAC/COSP/IRG/2014/3, sect. IV). A number of countries, including Indonesia, Malaysia, Mongolia and Papua New Guinea, took the outcomes of reviews into account in updating national anti-corruption strategies or action plans. Assistance was also provided to countries such as Mozambique and Solomon Islands, which are still in the process of developing their strategies.

#### **Anti-corruption body or bodies**

15. Taking note of the Jakarta Statement on Principles for Anti-Corruption Agencies, the Conference recognized the importance of ensuring that anti-corruption bodies had the necessary independence to enable them to carry out their functions effectively and free from any undue influence (paras. 12 and 13).

16. At the global level, UNODC continued its close cooperation with the International Association of Anti-Corruption Authorities (IAACA), including participation in the seventh Annual Conference and General Meeting of IAACA, held back-to-back with the fifth session of the Conference of the States Parties in Panama, from 22 to 24 November 2013.

17. UNODC also supported the second conference of the African Association of Anti-Corruption Authorities (AAACA), held in Ghana from 16 to 18 September 2013, where the statutes of the Association were adopted. Subsequently, UNODC provided technical assistance to the first meeting of the Executive Committee of AAACA in Burundi, held on 31 March and 1 April 2014, during which a multi-year strategic plan and annual workplan were adopted. UNODC also supported a meeting between AAACA and the African Union Advisory Board on Corruption to strengthen cooperation and coordination between the two organizations. That meeting was held in Senegal on 29 May 2014. UNODC held a meeting with the African Union Advisory Board on Corruption on 13 June 2015 to discuss joint work.

18. At the regional level, UNODC provided capacity-building assistance to NACIWA in the revision of the NACIWA constitution, which was adopted during its extraordinary general assembly held on 8 and 9 June 2015 in Bamako. The general assembly brought together heads and representatives of anti-corruption institutions from Benin, Burkina Faso, Côte d'Ivoire, Guinea, Liberia, Mali, the Niger, Senegal, Sierra Leone and Togo, as well as representatives of the African Development Bank

and civil society, with the aim to strengthen West African anti-corruption institutions in the interest, notably, of promoting economic and social development. Support was also provided to the East African Association of Anti-Corruption Authorities, including in the form of training on whistle-blower protection held from 18 to 22 November 2013, and an analysis of training needs that was completed in October 2014.

19. UNODC formed a partnership with the Africa Anti-Corruption Centre of the Commonwealth in Botswana and has contributed technical resource consultants for capacity-building. A three-module leadership development course was delivered to 17 heads of anti-corruption agencies in Africa.

20. Expert advice was provided to Burkina Faso, Côte d'Ivoire, Egypt, Libya, Papua New Guinea and Somalia in the conceptualization of an anti-corruption body and in the drafting of laws to establish a specialized anti-corruption body. Further assistance to anti-corruption bodies, such as an assessment of technical needs, was provided in Maldives, the Niger and Senegal, while a South-South knowledge exchange was supported through study tours by experts from Solomon Islands to Malaysia and Timor-Leste. Dedicated support provided to the South Sudan Anti-Corruption Commission had to be halted in 2014 owing to the crisis in the country.

21. UNODC also supported and participated in related capacity-building events organized by other international organizations, such as the international meeting held in Zagreb on the effectiveness of corruption prevention measures for representatives from 12 countries from South-Eastern Europe, Central Asia and the Caucasus, which was organized by the Organization for Economic Cooperation and Development (OECD), the Regional Anti-Corruption Initiative (for South-Eastern Europe) and the Regional Arms Control Verification and Implementation Assistance Centre.

22. In many countries, UNODC also provided assistance and training to anti-corruption bodies in charge of the investigation and prosecution of corruption offences, including in areas such as financial investigations, interrogation, interview techniques and case management. As that assistance was mainly linked to areas not within the ambit of resolution 5/4, it has not been described in the present report, but it is reflected in the note by the Secretariat on technical assistance in support of the implementation of the United Nations Convention against Corruption (CAC/COSP/2015/2).

#### **Designation of competent authorities**

23. The Conference noted that a large number of States parties had informed the Secretary-General about the designation of competent authorities that might assist other States parties in developing and implementing specific measures for the prevention of corruption, as required under article 6, paragraph 3, of the Convention, and called upon States parties that had not yet done so to provide that information and to update existing information where needed (para. 14).

24. As of July 2015, the Secretary-General had received notifications of competent authorities from 94 States parties. An updated list is available to competent authorities and government agencies in an online directory ([www.unodc.org/compauth\\_uncac/en/index.html](http://www.unodc.org/compauth_uncac/en/index.html)).

**Asset declarations and conflicts of interest**

25. The Conference encouraged States parties, in accordance with article 8, paragraph 5, of the Convention, to endeavour, where appropriate and in accordance with the fundamental principles of their domestic law, to establish and strengthen asset declaration systems applicable to public officials, aimed at the identification and resolution of conflicts of interest. It further requested the Secretariat to continue supporting States parties in that regard (para. 20).

26. UNODC provided assistance to several States parties, including Egypt, Ethiopia, Iraq, Panama, Tajikistan, Uganda and the State of Palestine, in the drafting of legislation or by analysing and sharing information on global trends and good practices in relation to the introduction of asset declaration systems to address conflicts of interest among public officials. In South Sudan, assistance was provided to develop a computerized income and asset declaration system.

27. UNODC also organized several regional events on asset declaration systems. The first event was a regional conference on asset disclosure for West and Central Africa, held in collaboration with UNDP and the World Bank in Senegal on 26 and 27 May 2014, involving governmental experts, parliamentarians and civil society from 22 different countries. The conference adopted the Dakar declaration on asset disclosure, setting out guiding principles to strengthen asset disclosure systems at the country level. The second was a workshop for participants from 10 countries of the Middle East and North Africa region that was held in Egypt on 24 and 25 June 2014 to discuss challenges in the implementation of asset declaration legislation, its corruption prevention role, public disclosure, and verification procedures to ensure the sharing of information and experience. The third workshop, held in December 2014 in Antigua and Barbuda, was organized by UNODC in collaboration with the World Bank, and addressed asset declarations for eight Caribbean countries and Mauritius. The training addressed comparative practices in asset declarations in small islands, lessons learned and challenges in implementation.

**Public procurement**

28. The Conference called upon States parties to put in place effective processes to promote transparency, competition and objective decision-making in public procurement systems, in line with article 9 of the Convention, and to take into consideration the anti-corruption-related recommendations contained in the Model Law on Public Procurement of the United Nations Commission on International Trade Law (para. 22).

29. With the support of the Siemens Integrity Initiative, UNODC continued to implement the project on public-private partnership for probity in public procurement until September 2014, with components in India and Mexico. The project was aimed at reducing vulnerabilities to corruption in public procurement systems and bridging knowledge and communication gaps between public procurement administrations and the private sector. In both countries, multi-stakeholder working groups developed studies analysing the compliance of national and regional procurement legislation with article 9 of the Convention and

making recommendations for future action.<sup>2</sup> In addition, baseline surveys and focus group discussions were conducted with representatives from the public and private sectors to identify good practices and gaps in the implementation of anti-corruption laws. Based on those studies, UNODC developed and delivered tailored training programmes to inform procurement officials and the private sector of the national and international legal framework and good international practices.

30. Under the same project, UNODC also finalized the *Guidebook on Anti-Corruption in Public Procurement and the Management of Public Finances: Good Practices in Ensuring Compliance with Article 9 of the United Nations Convention against Corruption*. Furthermore, the International Anti-Corruption Academy (IACA), in collaboration with UNODC, developed a one-month procurement anti-corruption training programme which was delivered at the campus of IACA in Austria in September 2013 and September 2014.

31. Addressing the specific situation of small island developing States, a tailored resource guide on public procurement in small island developing States is currently being prepared, involving small island developing States in the Caribbean, the Indian Ocean and the Pacific. Two regional workshops were held, in Bangkok and Panama, to gather relevant information to be included in the publication, which is expected to be finalized in late 2015. Furthermore, preventing and combating corruption in public procurement was also on the agenda of a global conference on anti-corruption reform in small island States, organized in collaboration with the Government of Mauritius and UNDP and held in Mauritius in August 2015.

#### **Major public events and large-scale sporting events**

32. The Conference strongly encouraged States parties to mitigate the global risk of corruption in the organization of large-scale sporting events, and welcomed the initiative to establish a global alliance for integrity in sports (para. 21). In regard to that subject, UNODC published, in 2013, a handbook and accompanying corruption prevention checklist, entitled *A Strategy for Safeguarding against Corruption in Major Public Events*. These are currently being adapted as a training programme that would provide all stakeholders with the knowledge and tools necessary to address the threat of corruption in the organization of a major public event, in line with international good practices.

33. UNODC also participated in the Global Compact subworking group on sports sponsorship and sport-related hospitality. In order to address the associated risk of corruption in this field through transparency and integrity measures, the subworking group developed a practical guide for companies, entitled *Fighting Corruption in Sport Sponsorship and Hospitality*, which was launched in December 2013.

34. Furthermore, in partnership with the International Centre for Sport Security, UNODC is currently developing a manual to combat match-fixing and illegal betting for investigative and law enforcement officials. UNODC also contributed to

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<sup>2</sup> *India: Probity in Public Procurement* (New Delhi, UNODC) and *Transparency, Objectivity and Competition in Public Procurement: Legal Assessment of Mexico's Compliance with Article 9 of the United Nations Convention against Corruption in the Federal Government, the Federal District and the State of Puebla* (Mexico, UNODC, 2013).

the Financial Integrity and Transparency in Sport project currently under preparation by the Centre, which focuses on promoting financial integrity in football. Additionally, UNODC worked with the International Olympic Committee to develop model criminal provisions on competition manipulation and/or the updating of relevant offences in an effort to achieve convergence in national approaches and facilitate international cooperation in criminal matters.

#### **Transparency in public administration and access to information**

35. The Conference urged States parties, in accordance with articles 10 and 13 of the Convention, to continue taking measures to enhance transparency in public administration, including through the introduction of effective measures facilitating access to information by the public. It requested the Secretariat to provide technical assistance upon request to States parties seeking to introduce or enhance measures in that area, in cooperation, where appropriate, with interested donors (para. 23).

36. The Conference also noted with appreciation the development of the publication *Reporting on Corruption: A Resource Tool for Governments and Journalists*, relating to the implementation of article 13 of the Convention, including access to information (para. 30). It requested the Secretariat, upon request and subject to the availability of extrabudgetary resources, to further support States parties and journalists in that regard.

37. UNODC translated the publication into French and continued to collaborate with the United Nations Educational, Scientific and Cultural Organization (UNESCO) in the framework of the United Nations Plan of Action on the Safety of Journalists and the Issue of Impunity.

38. Regionally, UNODC provided capacity-building for investigative journalists from 14 countries in West and Central Africa in the investigation and reporting of corruption and organized crime. The workshop, which also involved journalists from Latin America and Europe, was held in Senegal from 24 to 27 November 2014 and was organized in partnership with UNESCO and several civil society organizations and organizations for journalists. Furthermore, UNODC assisted a meeting of journalists, held in Burkina Faso from 8 to 9 July 2015, to conceptualize a centre for investigative journalism in West Africa.

39. With assistance provided under the joint UNODC-UNDP Pacific regional anti-corruption project, Vanuatu developed, and Palau and Solomon Islands started, the development of a freedom of information policy, legislation and/or a related implementation plan. In Vanuatu, a freedom of information officer working with the Government was co-funded under the project to support this initiative. Moreover, a training event was held in Tonga on 10 and 11 August 2015 for media in the Pacific region to familiarize journalists with the Convention, assist in the identification of sources for research and strengthen investigative journalism skills.

40. UNODC organized a regional workshop on transparency in public administration and access to information for countries in the Middle East and North Africa to provide expertise and to facilitate the sharing of experience and good practices among them. The workshop was held in Tunisia on 13 and 14 June 2014.

41. In the Plurinational State of Bolivia, UNODC implemented a project in support of the Ministry for Institutional Transparency and the Fight against

Corruption on institutional transparency and citizen participation in local governance. The project strengthened transparency and accountability in 30 municipalities and empowered civil society to make use of its right to access information and exercise effective oversight of local administration.

#### **Protection of reporting persons**

42. The UNODC initiative on the protection of reporting persons, as well as witnesses, victims and experts, was welcomed by the Conference (para. 31). UNODC continued its work under that initiative by developing and publishing the *Resource Guide on Good Practices in the Protection of Reporting Persons*. A draft of the Guide was discussed at an international expert group meeting, held in Austria on 22 and 23 April 2014, at which 25 participants from 20 organizations and 12 countries shared their experiences and provided comments.

43. UNODC also assisted several States, including Egypt, Micronesia (Federated States of) and Peru, in the drafting of whistle-blower protection laws. UNODC also supported women's groups in Albania with regard to the development of measures to facilitate the reporting of incidents involving corruption. Furthermore, UNODC participated in capacity-building and regional events on whistle-blower protection organized by other international organizations, such as the World Customs Organization (WCO) (in Belgium), the World Bank (in France), the office of the Special Rapporteur on the promotion and protection of the right to freedom of expression (in Austria) and the Regional Anti-Corruption Initiative and International Whistle-blower Research Network (in Bosnia and Herzegovina).

44. From 18 to 22 November 2013, UNODC provided a training course on witness and whistle-blower protection to the East African Association of Anti-Corruption Authorities, which included officials from Burundi, Djibouti, Ethiopia, Kenya, Rwanda, South Sudan, Uganda and the United Republic of Tanzania.

#### **Parliamentarians**

45. UNODC continued its cooperation with the Global Organization of Parliamentarians against Corruption (GOPAC) to strengthen the role of parliamentarians in the fight against corruption. A workshop for members of Parliament was hosted jointly by UNODC and GOPAC in Nigeria in October 2013 to promote the Convention and to seek support for reviving the GOPAC national chapter in Nigeria. UNODC made further efforts to raise awareness of the Convention and the prevention of corruption among members of Parliament in Côte d'Ivoire and Myanmar.

46. In the Pacific region, GOPAC Oceania, UNODC and UNDP conducted a national workshop for parliamentarians in Tonga in May 2015. A key outcome of the workshop was that the Parliament of Tonga established the Pacific's first standing committee on anti-corruption, as well as a GOPAC national chapter. Future workshops were planned in Nauru and Niue.

47. Regionally, UNODC and UNDP organized an anti-corruption workshop for Pacific parliamentarians focusing on South-South learning and Pacific island countries that had not yet acceded to the Convention. They further collaborated with the Africa-Caribbean-Pacific-European Union (ACP-EU) Joint Parliamentary

Assembly and hosted an anti-corruption session during the ACP-EU annual meeting in Fiji on 13 June 2015.

48. UNODC and UNDP have also worked increasingly with public accounts committees in the Pacific, namely in Fiji, Nauru and Vanuatu. In Vanuatu, technical assistance relating to roles and responsibilities of the Parliament's Committee on Public Accounts is provided through an in-country adviser who works under the direct supervision of the Clerk of Parliament.

49. UNODC also participated in the Fifth Forum of Parliamentarians, held as a special event in parallel with the fifth session of the Conference, in Panama City on 27 November 2013. The Forum addressed the role of national legislators and international law in the struggle for accountability. In November 2014, UNODC provided input on the use of the Convention as a tool for the prevention of corruption at a joint North Atlantic Treaty Organization (NATO)-GOPAC event on strengthening transparency, accountability and integrity in the defence and security sector.

### **C. Criminal justice**

50. The Conference, recognizing the corrosive impact that corruption has on the development of rule of law by eroding the legitimacy and effectiveness of key public institutions, called upon States parties to devote special attention to strengthening integrity across the entire criminal justice system, including the police, prosecution, defence counsel, judiciary, court administration, prison and probation services. It noted with appreciation the assistance provided by the Secretariat to States parties upon request in the integration of anti-corruption measures in institutions of the criminal justice system. The Conference took note of the development of a guide containing proposals for States parties to facilitate the implementation of measures to strengthen judicial integrity and independence and prosecutorial integrity (paras. 15 and 16).

#### **Judicial and prosecutorial integrity**

51. UNODC developed the "Implementation guide and evaluative framework for article 11" to provide comprehensive guidance on relevant international standards and national best practices to enhance integrity and prevent opportunities for corruption in the judiciary and the prosecution service. It includes a set of practical questions that can be used for self-assessment.

52. During the finalization phase of the guide, UNODC conducted pilot workshops upon request in Micronesia (Federated States of) for countries from the Pacific region, in Trinidad and Tobago for countries from the Caribbean, as well as in Indonesia and in Panama. Further States, such as the Marshall Islands, have used the guide, and others have requested UNODC to provide assistance. The guide has been translated into Serbian and Indonesian and is further being translated into Arabic, French and Spanish.

53. UNODC implemented a judicial integrity project in Kosovo<sup>3</sup> as part of a broader UNDP project to support anti-corruption efforts there. The project included the provision of regular training activities to enhance the capacity of the judiciary in Kosovo to prevent and investigate internal cases of corruption and to increase the ability of law enforcement institutions to investigate and prosecute cases of corruption across all parts of public administration.

54. UNODC also provided support to national authorities in their efforts to increase the efficiency and integrity of judicial and prosecutorial bodies, inter alia under the umbrella of broader technical assistance projects in Ethiopia, Indonesia and Nigeria. UNODC further provided capacity-building to Panama, Paraguay, the former Yugoslav Republic of Macedonia, Tunisia and Viet Nam.

55. UNODC also provided significant substantive input to a number of training workshops held by the International Bar Association (IBA), and in cooperation with OECD, to educate members of the legal profession in Azerbaijan, Nigeria, Thailand, the United Arab Emirates and Viet Nam regarding the international anti-corruption legal framework, focusing in particular on corruption risks for legal representatives. The workshops were delivered under the IBA anti-corruption strategy for the legal profession, in which UNODC is an official partner.

#### **Police and law enforcement**

56. UNODC supported projects to integrate anti-corruption measures in police reform, in countries such as Kenya, Panama and Viet Nam. The project in Viet Nam included a study tour of Vietnamese police officers to Hong Kong, China, and an in-country workshop held in June 2015 to provide an overview of integrity measures.

57. In collaboration with OSCE, UNODC also addressed the subject of prevention of corruption in border control and customs. Under the UNODC-WCO global Container Control Programme, a training event on corruption risk assessments in ports was held in Albania in April 2015 for officials from customs and related public sector organizations.

58. UNODC collaborated with the Department of Peacekeeping Operations of the Secretariat in its efforts to develop a strategic guidance framework for international police in peacekeeping, providing expertise on police integrity and accountability.

59. The Regional Anti-Corruption Academy for Central America and the Caribbean (Panama), with support from UNODC, offered a course to various Panamanian law enforcement agencies and other national institutions on how to implement the provisions of the Convention on investigations in line with international human rights obligations.

#### **Prisons**

60. UNODC supported initiatives to address corruption risks in prison systems in Brazil, Panama and Somalia. Based on increasing numbers of requests for guidance material, UNODC held an international expert group meeting in Austria in

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<sup>3</sup> All references to Kosovo in the present document should be understood to be in compliance with Security Council resolution 1244 (1999).

September 2014 to gather input for the development of a handbook on anti-corruption measures in prisons. The handbook will be finalized in early 2016.

#### **Security sector reform and the rule of law**

61. In February 2014, UNODC became an official implementing partner to the Building Integrity Programme of NATO, reflecting the strong support that UNODC has provided to the Programme since its establishment in 2007. UNODC participated in the Building Integrity education and training discipline conference, held in Belgium from 25 to 26 February 2014, and contributed to the Building Integrity course for senior military and defence ministry officials, held in Germany from 3 to 4 November 2014. UNODC also provided substantive contributions to a Building Integrity workshop held in Poland from 15 to 17 April 2014, which focused on enhancing the self-assessment questionnaire used in the Building Integrity peer review process. Under this process, 11 countries have conducted a self-assessment of anti-corruption measures in place in the defence sector. UNODC also participated in the biannual Building Integrity conference held in the United States of America in February 2015.

62. UNODC provided regular input and advice for the development of a series of United Nations guidance notes on security sector reform. Those notes support strategic planning and programme implementation at both the headquarters and field levels by strengthening coordination and ensuring coherence in the approach to security sector reform.

#### **D. Private sector**

63. The Conference requested States parties to promote, where appropriate, training and education for the private sector in the prevention of corruption, to promote the transparency of legal persons and to exchange of best practices in the identification of beneficial owners of legal structures used to commit crimes of corruption or to hide or transfer proceeds (paras. 18 and 24). Additionally, resolution 5/6, entitled “Private sector”, was adopted, marking the first time that the private sector has been the focus of a resolution at the Conference.

64. An interim update on the work with the private sector was included in a conference room paper available to the fifth meeting of the Working Group (CAC/COSP/WG.4/2014/CRP.1), and a full report on the implementation of resolution 5/6 will be submitted to the Conference at its sixth session (CAC/COSP/2015/9).

#### **E. Civil society**

65. The Conference reaffirmed that, while the implementation of the Convention was the responsibility of States parties, the promotion of a culture of integrity, transparency and accountability and the prevention of corruption were responsibilities to be shared by all stakeholders and sectors of society, in accordance with articles 7 to 13 of the Convention. It also urged States parties, in accordance with article 13 of the Convention, to continue promoting the participation of individuals and groups outside the public sector, such as civil society,

non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption, and encouraged States parties to enhance the capacity of such individuals and groups in that regard (paras. 2 and 25).

66. In line with this, UNODC sought to promote the involvement of groups outside the public sector in anti-corruption initiatives. Many of the activities and projects referred to in the present report involved stakeholders outside the public sector. Civil society organizations, for instance, participated in the self-review for chapter II carried out by Palau and Iraq. In Indonesia, UNODC continued to support the anti-corruption forum, which held its fourth meeting in June 2014 and facilitated multi-stakeholder involvement in the strengthening and monitoring of the implementation of the Convention. UNODC also supported events for civil society in the Marshall Islands, Micronesia (Federated States of), Palau, Papua New Guinea, Solomon Islands and Vanuatu on the outcomes of the implementation review. Additional workshops for civil society organizations were held in Fiji, Tonga and Tuvalu.

67. UNODC also assisted civil society organizations in awareness-raising initiatives, such as a rally held in Nigeria relating to public procurement and management of public funds and the “clean election” campaign in Solomon Islands.

68. In March 2014, UNODC led a workshop in Tajikistan in cooperation with OSCE that brought together civil society organizations and government officials to consider how all stakeholders can work together to introduce more effective corruption prevention measures. That workshop resulted in the agreement of a joint statement between Government and civil society organizations identifying the key areas on which future cooperation and reform would be focused.

69. Since 2009, UNODC and UNDP have marked International Anti-Corruption Day on 9 December with a joint campaign. On 9 December 2013, the new global campaign “Zero corruption, 100 per cent development” was launched. In 2014, the theme of the campaign was “Break the corruption chain” to highlight how corruption undermines democracy and the rule of law, leads to human rights violations, distorts markets and allows organized crime, terrorism and other threats to human security to flourish. UNODC participated in and supported International Anti-Corruption Day activities in December 2013 and 2014 in 20 countries, including through the award of small grants to civil society organizations in West Africa and the Pacific region. Civil society organizations in many other countries also organized activities to mark International Anti-Corruption Day.

70. In order to strengthen the capacity of civil society to contribute to the implementation of the Convention and the Implementation Review Mechanism, UNODC continued its series of training events, organized jointly with the UNCAC Coalition, a network of over 360 civil society organizations working on the promotion of the Convention against Corruption. Thus far, the sessions have enabled 248 civil society representatives from 96 countries to be trained on the Convention and the review mechanism. In 2014, the methodology of the training events was modified to include, in addition to civil society representatives, representatives of national authorities in order to provide a platform for constructive dialogue. So far, three workshops of this kind have been held, one in Malaysia in February 2014 for the Asia-Pacific region, one in Austria in June 2014 for the African region, and one in Ethiopia in February 2015, also for the African region.

Additional training events for representatives of civil society organizations on the review mechanism were conducted in Guatemala and Honduras.

## **F. Education and academic initiatives**

71. The Conference noted the steps taken by States parties to promote, at various levels of the education system, programmes that instil concepts and principles of integrity, and encouraged further efforts in that regard. In particular, it requested States parties to promote training and education at all levels of the public sector and, where appropriate, of the private sector in the prevention of corruption, and to make such training and education an integral part of national anti-corruption strategies and plans (paras. 18 and 27).

72. Furthermore, the Conference welcomed the progress made by the Secretariat under the Anti-Corruption Academic Initiative (ACAD), in cooperation with relevant partners, to develop comprehensive anti-corruption academic materials for universities and other academic institutions, and requested the Secretariat to continue its support to States parties in this field. The Conference also noted the development by the Secretariat of an academic course on the Convention (paras. 28 and 29).

### **Anti-Corruption Academic Initiative**

73. UNODC continued its leading role in the ACAD Initiative. Seeking to promote the active engagement of academia in the teaching and research of corruption-related issues, UNODC is further developing a model course on the Convention that will be available in all official languages of the United Nations. The course uses the Convention as a framework to help university students to gain an understanding of the measures needed to effectively fight corruption at the national level. Currently, at least 30 institutions in Albania, Argentina, Brazil, Bulgaria, China, Egypt, Gabon, Greece, Italy, Liberia, Serbia, Spain, Tunisia, Qatar and the United States have delivered or have started to deliver the course in whole or in part.

74. The fourth annual meeting of the ACAD Initiative, held on the margins of the fifth session of the Conference, in partnership with OECD, IBA and other relevant stakeholders, brought together over 50 academics from around the world, enabling them to share their experiences and identify key challenges faced by academic institutions interested in providing anti-corruption education. The academics recommended strengthening the exchange between academics and the transfer of knowledge between academic disciplines. As a result of this recommendation, a first teach-the-teacher workshop was hosted by UNODC in Austria from 11 to 13 August 2014. It provided a forum for exchange to over 40 academics.

75. UNODC hosted the fifth annual ACAD meeting of academics specialized in the field of anti-corruption in Doha from 25 to 27 February 2015 to discuss the future development of the model course on the Convention and the teach-the-teacher approach. One of the key recommendations of the meeting was to develop regionally focused teach-the-teacher workshops. Consequently, two regional teach-the-teacher workshops were held in Doha, one on 27 and 28 May 2015 for 18 academics from South-East Europe, the other from 2 to 4 June 2015 for 27 academics from West and Central Africa. As a result of these workshops, a large

number of additional institutions have shown a strong interest in delivering the model course and in developing and teaching courses on anti-corruption.

76. UNODC has also significantly increased the number of academic resources available from the UNODC anti-corruption portal called Tools and Resources for Anti-Corruption Knowledge (TRACK) ([www.track.unodc.org](http://www.track.unodc.org)), to over 1,800, as well as expanded the number of links to academic lectures, case studies and other tools. UNODC is in the process of adding further material in Arabic, Chinese, French, Russian and Spanish.

77. UNODC further supported anti-corruption academic initiatives in multiple countries and provided lectures to students from universities in Albania, Australia, Austria, the Czech Republic, France, Germany, Ukraine, the United Kingdom of Great Britain and Northern Ireland and the United States, to students at IACA and to legal experts from the Republic of Korea, Rwanda and Uganda.

#### **Anti-corruption academies**

78. UNODC maintained its strong collaboration with IACA, based on the official cooperation agreement signed in November 2011. Activities included cooperation in the delivery of projects funded by the Siemens Integrity Initiative and contributions of UNODC to the IACA summer academy, the IACA master's degree in anti-corruption studies and "Power of the pen", an IACA event for journalists held in Ghana in May 2014.

79. UNODC also continued to support the work of the Regional Anti-Corruption Academy for Central America and the Caribbean by assisting in the development and delivery of training modules and promoting partnerships with various institutions. As a result, UNODC, in cooperation with the Regional Academy and the Universidad Católica Santa María La Antigua (Panama), designed a postgraduate diploma on measures to prevent and fight corruption. The course was inspired by the syllabus and academic materials made available through the ACAD Initiative. The first edition was delivered to 42 students in 2014 and the second to 38 students in 2015.

80. UNODC supported an exchange between the Economic and Financial Crimes Commission Academy (Nigeria) and IACA, held in June 2014, on the experience of IACA in conducting the annual anti-corruption summer academy. Furthermore, UNODC supported the first meeting of the NACIWA anti-corruption academy advisory board, held on 27 June 2015 in Senegal. During that meeting, members of NACIWA agreed to designate the Academy as a capacity-building and knowledge-sharing institution for anti-corruption authorities within the region and to strengthen it so that it could serve that purpose. The meeting also agreed to establish a NACIWA anti-corruption academy within the Academy. A memorandum of understanding was signed and a draft curriculum was developed for a first training course, to be held from 28 September to 9 October 2015.

#### **Further awareness-raising initiatives and initiatives for young people and children**

81. The Conference reaffirmed that States parties should continue to strengthen awareness-raising measures throughout all sectors of society and that special attention should be devoted to work with young people and children as part of a

strategy to prevent corruption (para. 26). Marking the importance accorded by the Conference to the involvement of young people in the prevention of and the fight against corruption, the Conference adopted resolution 5/5, specifically addressing the promotion of the contribution of young people and children in preventing corruption and fostering a culture of respect for the law and integrity.

82. In parallel with the fifth session of the Conference, UNODC held a special event entitled “Fighting corruption through education”, in which panellists from China, the former Yugoslav Republic of Macedonia and the United States, as well as from IBA, outlined how the integration of integrity issues at all stages of the educational process can serve as an effective anti-corruption measure. During the fourth meeting of the Working Group, States parties also shared and discussed information on public education, in particular the engagement of children and young people and the role of mass media and the Internet.

83. UNODC and UNDP, in collaboration with the Pacific Youth Council, organized the 2015 Pacific Youth Forum against Corruption, held in Fiji from 22 to 24 February 2015. It was the first of its kind in the region and was attended by 45 young people between the ages of 18 and 30, from 14 Pacific countries. A number of small grants were awarded to creative projects of young people from Fiji, Kiribati, Micronesia (Federated States of), Tonga and Tuvalu.

84. A colouring booklet for primary school children introducing integrity values to promote the creation of a culture of zero tolerance to corruption was developed by the Regional Anti-Corruption Academy for Central America and the Caribbean and has been used in coordination with the Ministry of Education and the Office of the Accounts Prosecutor of Panama to promote anti-corruption values. The booklet was also used during the first anti-corruption conference held in Jamaica and was distributed among 237 primary school students.

## **G. Other preventive work**

### **Regional and national prevention activities**

85. The Conference requested States parties, with the assistance of the Secretariat and donors, as appropriate, to promote bilateral, regional and international activities to prevent corruption, including workshops for the exchange of relevant experiences and good practices (para. 8).

### **United Nations Development Assistance Framework and the post-2015 development agenda**

86. The Conference took note of the initiative of UNODC and UNDP to integrate the prevention of and the fight against corruption into the broader development agenda, including through the United Nations Development Assistance Framework. It strongly encouraged States parties to integrate anti-corruption policies into broader crime prevention and criminal justice reform strategies and public sector reform plans and to undertake similar action with regard to development programmes, strategies and action plans. It called upon development partners to intensify their cooperation and coordination in the provision of requested technical assistance in preventing corruption (paras. 9, 10 and 35). Information on the related

initiatives of UNODC is included in the note by the Secretariat on technical assistance in support of the implementation of the United Nations Convention against Corruption (CAC/COSP/2015/2).

#### **Institutional Integrity Initiative**

87. The Conference invited the Secretariat to share with Member States the report to be produced through the Institutional Integrity Initiative, in cooperation with the members of the United Nations System Chief Executives Board for Coordination, on promoting the consistency of the integrity and anti-corruption policies of the United Nations system with the principles of the Convention (para. 32). The report, which included the input of all members of the Chief Executives Board, was submitted to the Board and was released during a special event held on 15 April 2015 on the margins of the Thirteenth United Nations Congress on Crime Prevention and Criminal Justice in Doha. The report, which will be published, is available online<sup>4</sup> and will be made available as a conference room paper at the sixth session of the Conference (CAC/COSP/2015/CRP.3).

### **III. Delivery framework and resources for technical assistance**

88. The Conference acknowledged the crucial importance of technical assistance in building institutional and human capacity in States parties so as to facilitate the implementation of the provisions of chapter II of the Convention. It underlined the importance of providing UNODC with sufficient funding to be able to respond to the increasing demand for its services, and encouraged Member States to make adequate voluntary contributions to the account referred to in article 62 of the Convention for the provision to developing countries and countries with economies in transition of the technical assistance that they may require to build their capacities to implement chapter II of the Convention. Furthermore, the Conference invited States parties and other donors to provide extrabudgetary resources for the purposes identified in resolution 5/4, in accordance with the rules and procedures of the United Nations.

89. UNODC has continued to provide technical assistance to support States parties in the implementation of the Convention, both through tailored legislative and capacity-building activities and through the development of tools that facilitate the delivery of assistance on the ground. While such assistance covers the full spectrum of the Convention, the present report focuses on initiatives and activities that implement resolution 5/4.

90. Several global projects, managed from UNODC headquarters, enable UNODC to provide professional guidance, advice and expertise to States parties upon their request. Those include, among other things, the projects entitled “Towards an effective global regime against corruption” and “Joint action towards a global regime against corruption”, as well as the Anti-Corruption Mentor Programme and the projects under the Siemens Integrity Initiative (see also CAC/COSP/IRG/2014/2).

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<sup>4</sup> See [www.unodc.org/documents/corruption/Publications/2015/InstitutionalIntegrityInitiative.pdf](http://www.unodc.org/documents/corruption/Publications/2015/InstitutionalIntegrityInitiative.pdf).

91. The close cooperation of UNODC with other technical assistance providers, in particular UNDP, as noted in several instances in the present report, has continued to be very fruitful.

92. In addition to staff located at UNODC headquarters, regional and national anti-corruption advisers have been instrumental in delivering successful technical assistance initiatives. They provide rapidly deployable professional expertise at both the country and regional levels, so as to facilitate the delivery of on-site guidance to States parties requesting assistance in strengthening legislation and institutions in furtherance of their implementation of the Convention. Their contributions to the implementation of resolution 5/4 are reflected throughout the present report.

93. Based on extrabudgetary resources, advisers with regional responsibilities were placed in Fiji (for the Pacific), Thailand (for South-East Asia), South Africa (for East and Southern Africa), Senegal (for West and Central Africa), Egypt (for the Middle East and North Africa), Panama (for Central America and the Caribbean) and Vienna (for assisting small island developing States). After the position of a regional adviser for South Asia terminated in November 2014, the countries in that region were covered by other advisers. Because of the need for more focused assistance, a national anti-corruption adviser was placed in Mozambique. A second national adviser was placed in South Sudan until June 2014, but that adviser's activities have since been discontinued because of the conflict.

94. Furthermore, the UNODC field office network implemented comprehensive on-the-ground anti-corruption projects in specific countries, including Bolivia (Plurinational State of), Brazil, Colombia, Egypt, Indonesia, Iraq, Kenya, Mexico, Nigeria, Panama and Paraguay.

95. The expertise of UNODC is highly valued by States parties as well as other stakeholders, and reflected in increasing numbers of requests for assistance or participation in initiatives and workshops. This is expected to continue in view of the preparations for the second cycle of the review mechanism.

96. Given these circumstances and the broad mandate under resolution 5/4, ongoing and long-term support from development partners and other donors is essential to continue this work.

#### **IV. Conclusions and recommendations**

97. The Conference may wish to consider the progress that has been made in the implementation of resolution 5/4 and chapter II of the Convention and suggest measures to be taken for the future. In this regard the Conference may also wish to draw upon the conclusions and recommendations of the fifth and sixth sessions of the Working Group on the Prevention of Corruption.

98. The Conference may wish to encourage States parties to continue their efforts towards early preparation for the second review cycle for chapter II, using the revised self-assessment checklist. The Conference may further wish to consider how to continue the work, and the exchange of information and experiences, on the prevention of corruption, especially in view of the upcoming second cycle.

99. The Conference may wish to underline the importance of and need for sufficient funding of UNODC and of extrabudgetary resources to continue the provision of technical assistance to strengthen the implementation of chapter II, and strongly encourage States parties and other donors to reconfirm their commitment to the prevention of corruption through the provision of such financial means.

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