



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

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### Technical assistance

## Technical assistance in support of the implementation of the United Nations Convention against Corruption

### Note by the Secretariat

#### I. Introduction

1. The effective implementation of the United Nations Convention against Corruption poses a challenge for States parties, and may require significant changes in legislative and policy frameworks, institutional arrangements, the criminal justice system and the civil service. The delivery of technical assistance to meet the needs identified by States through the Mechanism for the Review of Implementation of the United Nations Convention against Corruption is pivotal to the successful and consistent implementation of the Convention.

2. The present document provides an overview of the response of the United Nations Office on Drugs and Crime (UNODC) to technical assistance needs identified since the time of the drafting of the note by the Secretariat on selected highlights from two years of technical assistance in support of the implementation of the Convention (CAC/COSP/2013/4), for the fifth session of the Conference of the States Parties to the United Nations Convention against Corruption, held in Panama City from 25 to 29 November 2013. It highlights selected technical assistance activities implemented between August 2013, when the previous note was submitted, and August 2015, and thereby complements the background document on technical assistance in support of the implementation of the Convention presented to the fifth session of the Implementation Review Group (CAC/COSP/IRG/2014/2).

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\* CAC/COSP/2015/1.



## II. Delivery framework and resources

3. UNODC has continued to provide a broad set of tailored technical assistance activities at the global, regional and national levels and to develop a variety of tools to meet the growing demands of Member States. Assistance was provided within the framework of the thematic programme on action against corruption, economic fraud and identity-related crime for the period 2012-2015 and through several global,<sup>1</sup> regional<sup>2</sup> and national projects.

4. UNODC provided assistance in relation to many different requests, covering the full breadth of the Convention. As more countries complete their reviews, a large number of technical assistance needs have been identified in relation to chapters III (Criminalization and law enforcement) and IV (International cooperation) of the Convention.<sup>3</sup> In addition, UNODC has often been requested to provide technical assistance before and during the review process, in relation to both the completion of the review and substantive gaps or needs that have become apparent during the review process. An increasing number of requests have been received from States for technical assistance in relation to the prevention of corruption. The assistance provided has been reported in more detail in the note by the Secretariat on the implementation of Conference resolution 5/4 (CAC/COSP/2015/8). Technical assistance was also delivered in relation to asset recovery, including through the Stolen Asset Recovery (StAR) Initiative of UNODC and the World Bank, as reported in the progress report on the implementation of the mandates of the Working Group on Asset Recovery (CAC/COSP/2015/3).

5. In line with Conference resolutions 3/4 and 4/1, technical assistance delivered by UNODC for the implementation of the Convention takes into account the importance of country-based and country-led, integrated and coordinated technical assistance delivery, and follows a three-tiered approach (global, regional and national) to ensure synergies and efficiency.

6. At the global level, UNODC, including through the StAR Initiative, has focused on preparing knowledge products such as handbooks and tools to address needs that have been identified by a large number of countries around the world, including through the Implementation Review Mechanism. These technical tools and publications are available on the UNODC website ([www.unodc.org/unodc/en/corruption/publications.html](http://www.unodc.org/unodc/en/corruption/publications.html)) and have been widely used over the reporting period.

7. UNODC has also facilitated the exchange of expertise and experience between countries globally and regionally, in an effort to provide a sustainable approach to

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<sup>1</sup> Such projects include: “Towards an effective global regime against corruption”, “Joint action towards a global regime against corruption”, the anti-corruption mentor programme, the Stolen Asset Recovery (StAR) Initiative, “Public-private partnership for probity in public procurement”, “Outreach and communication programme for the United Nations Convention against Corruption” and “Incentives for corporate integrity and cooperation in accordance with the United Nations Convention against Corruption”.

<sup>2</sup> Such projects include the joint UNODC/United Nations Development Programme (UNDP) Pacific regional anti-corruption project and the UNODC Sahel programme (2013-2017).

<sup>3</sup> Detailed information on technical assistance needs emerging from the country reviews is available in the note by the Secretariat on that topic (CAC/COSP/2015/4).

technical assistance. As countries have gathered more experience in implementing the Convention, there has been increasing interest in sharing lessons learned. Assistance at the regional level has proved particularly effective given the large number of technical assistance needs that are shared by countries in the same region, as well as the need to strengthen international cooperation, which makes the international dimension to the assistance crucial.

8. At the national level, UNODC has continued to provide direct assistance to States to strengthen the implementation of the provisions of the Convention, which included support for legislative drafting, policy development, institutional reform, training and capacity-building.

9. UNODC has strived to ensure a global presence to be able to respond to technical assistance requests. Staff members at headquarters are complemented by field-based staff in high-demand regions. Since 2011, UNODC field-based anti-corruption advisers serve as key focal points for the provision of anti-corruption technical assistance at the regional and country levels. Currently, UNODC has regional advisers for South and South-East Asia, West, Central, North, East and Southern Africa, Central America and the Caribbean, the Pacific region, the Middle East and small island developing States. Staff from headquarters provide both support to the regional advisers and direct technical assistance in response to requests from countries outside of these regions.

10. In addition, a national adviser is located in Mozambique to provide dedicated advice and support. During the reporting period, a national adviser was also deployed in South Sudan, but that position had to be discontinued owing to the conflict in the country. Another national adviser will be posted in El Salvador in the coming months.

11. Through the advisers, UNODC has been able to provide rapidly deployable professional expertise to facilitate the delivery of on-site guidance and advice to States parties requesting assistance in strengthening legislation and institutions in furtherance of their implementation of the Convention. In line with the UNODC principles of technical assistance delivery, the advisers have also provided assistance to Governments in their efforts to engage all groups of society in anti-corruption work, and have played an important role in strengthening regional and subregional coordination, encouraging South-South cooperation and facilitating the exchange of regional good practices, thereby creating lasting bilateral, multilateral and regional exchanges of knowledge and expertise.

12. UNODC field offices also have a variety of country programmes on anti-corruption or related issues. In particular, over the last two years, UNODC has implemented programmes in Afghanistan, Brazil, Colombia, Egypt, Indonesia, Iraq, Libya, Nigeria, Panama, Paraguay and Timor-Leste. An anti-corruption project in Kosovo<sup>4</sup> is managed from UNODC headquarters.

13. UNODC technical assistance activities in support of the implementation of the Convention, including the work of many of the professional experts required for their delivery, are financed through extrabudgetary contributions. The support of donor countries has remained stable, reflecting confidence in effective programme

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<sup>4</sup> All references to Kosovo in the present document should be understood to be in the context of Security Council resolution 1244 (1999).

delivery. During the period from January 2013 to July 2015, a total of approximately 17.2 million United States dollars in voluntary contributions was made available to UNODC for technical assistance activities managed from headquarters in the area of combating corruption.<sup>5</sup> That figure does not include the contributions made available to UNODC field offices to implement country-based projects and regional programmes. It also does not include the voluntary contributions made available for the functioning of the Implementation Review Mechanism during the same period (approximately 10.3 million dollars).<sup>6</sup>

### **III. Coordination and cooperation in the delivery of technical assistance**

14. In the face of an ever-increasing number of technical assistance requests, UNODC has sought to adopt a prioritized and strategic approach in its delivery of technical assistance, coordinating and cooperating with other assistance providers.

15. As more reviews are completed, the Implementation Review Mechanism has provided a platform for identifying technical assistance needs and validating them based on collected evidence and the peer reviews. More detailed information on technical assistance needs emerging from the country reviews is available in document CAC/COSP/2015/4, which contains an analysis of the technical assistance needs identified to date in the finalized country reviews for the implementation of chapters III (Criminalization and law enforcement) and IV (International cooperation) of the Convention. Of the 101 States that have completed their reviews to date, 59 have identified specific needs for technical assistance.

16. The first cycle of the Implementation Review Mechanism has shown that support provided early in the review process can play a key role in ensuring higher-quality review reports and better-defined technical assistance needs. Further, many States parties sought technical assistance before or during the reviews to bring them into compliance with the Convention. In taking forward the recommendations emerging from the review process, and the technical assistance needs identified, UNODC has adopted a two-pronged approach by providing direct technical assistance and seeking to engage the larger development assistance community.

17. Based on lessons learned, UNODC has begun to adopt a more proactive approach to working with countries on follow-up to the reviews. Prioritized national action plans, based on the outcomes of the reviews, have been drafted and are being used as the framework for the development of technical assistance programmes to combat corruption in several countries, as detailed below. UNODC has also provided ad hoc assistance to address gaps or technical assistance needs identified through the reviews.

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<sup>5</sup> Since January 2013, contributions have been received from Australia, Austria, France, Germany, Italy, Japan, Luxembourg, Mexico, Morocco, Norway, Panama, Qatar, the Russian Federation, Sweden, the United Kingdom of Great Britain and Northern Ireland, the United States of America, the “One United Nations” fund for Viet Nam, UNDP, the World Bank, the International Centre for Sport Security, the Natural Resource Governance Institute and the Siemens Integrity Initiative.

<sup>6</sup> Some of the costs of training on the Implementation Review Mechanism for focal points and governmental experts are covered by those funds.

18. UNODC has sought to engage the broader technical assistance community in the follow-up to the review process. For instance, in March 2015, a delegation from Brazil conducted a mission to Sao Tome and Principe to develop a technical cooperation programme to support the prosecution services in implementing the recommendations arising from the review. In many cases, donors or existing donor coordination groups were invited to participate in the dialogue held during the country visits or in meetings held afterwards. That has had the benefit of providing donors with an in-depth perspective on the technical assistance needs identified during the review process and has allowed for discussions on whether ongoing technical assistance programmes could address some of the needs identified in the reviews.

19. UNODC has also worked with development partners to strengthen donor coordination in the field of anti-corruption, including through the “Partnership for anti-corruption knowledge” initiative. A guidance note for development partners on how to use the Convention for technical assistance and anti-corruption programming was finalized in 2013 and a number of national workshops were organized during the reporting period, including in Panama and Paraguay. UNODC also co-organized, with the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD), the Department for International Development of the United Kingdom of Great Britain and Northern Ireland, the Department of State of the United States of America and the Government of Brazil, a symposium on anti-corruption development assistance and good practices among providers of development cooperation. The symposium brought together 65 anti-corruption experts and development assistance partners and explored anti-corruption development cooperation work, reflecting on what had been successful and what else still needed to be learned.

20. When developing and implementing its anti-corruption technical assistance projects and programmes, UNODC strives to avoid duplication of effort and to build synergies with entities within and outside the United Nations system. Such coordination includes the partnership with the World Bank in the StAR Initiative and the implementation of a joint anti-corruption project for the Pacific, as well as other complementary global projects with parallel workplans with the United Nations Development Programme (UNDP) in the framework of the memorandum of understanding signed between the two entities. UNODC also cooperates and coordinates with a number of other international organizations, including OECD, the Organization for Security and Cooperation in Europe, the International Association of Anti-Corruption Authorities, the Group of Seven and the Group of Twenty, the United Nations Educational, Scientific and Cultural Organization, the International Criminal Police Organization (INTERPOL), the International Anti-Corruption Academy, the Association of Southeast Asian Nations (ASEAN), the Commonwealth secretariat, Eurojust, the Caribbean Community (CARICOM), the Economic Community of West African States, the Southern African Development Community, the International Centre for Asset Recovery, the North Atlantic Treaty Organization, the Council of Europe Group of States against Corruption, the Basel Institute on Governance, Transparency International and the Global Organization of Parliamentarians against Corruption.

21. UNODC also works closely with a number of private sector organizations and entities, including the United Nations Global Compact, the Business 20 and the

World Economic Forum. Further details are set out in the report on the implementation of Conference resolution 5/6 (CAC/COSP/2015/9).

22. The Office has continued to promote the Convention among other organizations and mechanisms at the international, regional and subregional levels, and to provide substantive input on matters related to the prevention of and fight against corruption to facilitate their inclusion in the activities of other entities within and outside the United Nations system.

23. UNODC has also continued its work with UNDP, with the support of the United Nations System Staff College, to promote the integration of anti-corruption into United Nations development assistance programming. In 2013 and 2014, train-the-trainers workshops were held in Turin, Italy, to create a pool of 55 certified trainers ready to assist United Nations country teams in the integration of anti-corruption into the United Nations Development Assistance Framework. Regional and global training courses were held in Italy, Panama and Turkey for participants from a total of 35 country teams from nine different United Nations agencies. In-country training courses were provided by the certified trainers, including in Iraq, Kenya, Madagascar and Zambia, and staff members also participated in inter-agency working groups to develop the assistance frameworks. The training of the country teams on addressing anti-corruption in national development processes in dialogue with partner Governments has led in several cases to the identification of anti-corruption as a core programming principle for the next United Nations Development Assistance Framework cycle. For example, the new United Nations Development Assistance Framework for Kenya (2014-2018) integrated anti-corruption and various entry points for work on transparency, integrity and accountability. The Framework for Madagascar included the follow-up to the recommendations stemming from the review of the implementation of the Convention.

24. UNODC has actively engaged in the debate on the post-2015 development agenda and participated, together with the wider United Nations family, in the preparation of input for consideration by the Open Working Group of the General Assembly on Sustainable Development Goals, including on the issues relating to establishing measurable indicators for the new proposed goal 16, on promoting peaceful and inclusive societies for sustainable development, providing access to justice for all and building effective, accountable and inclusive institutions at all levels.

25. UNODC considers gender as a cross-cutting issue in its work, based on a guidance note on gender mainstreaming in the work of UNODC, and monitors the participation of women in training initiatives. During the reporting period, UNODC collaborated with the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) on the organization of training activities in Albania to promote the introduction of effective measures to facilitate reporting of corruption by women and provided women's groups with the opportunity to give comments on a draft whistle-blower protection law prepared by the Government of Albania. UNODC also initiated discussions with the Council of Europe Group of States against Corruption on collaboration in the area of the gender dimensions of corruption.

26. During the reporting period, UNODC continued to produce a newsletter, entitled “Anti-corruption update”, to report on the anti-corruption initiatives and activities of UNODC throughout the world. The issues of the newsletter produced to date were distributed by e-mail to a range of stakeholders and are available on the UNODC website (www.unodc.org). A biannual regional-specific newsletter has also been produced for the Pacific region. Thematically specific outreach activities are being carried out by the StAR Initiative secretariat, including through the extensive use of social media.

#### **IV. Highlights of technical assistance delivered**

##### **A. Assistance with regard to the process for ratifying and acceding to the Convention**

27. UNODC continued to promote the ratification of and accession to the Convention through targeted awareness-raising and advocacy at both the political and legislative levels, as well as through the provision of technical assistance in those countries that are not yet States parties. Of the nine countries that have ratified or acceded to the Convention since September 2013, five have been assisted by UNODC with the pre-ratification process and/or immediately after ratification (Grenada, Kiribati, Oman, South Sudan and the State of Palestine).

28. In the case of Kiribati, detailed briefings were provided to a range of government stakeholders, and a workshop was delivered for senior government officials and one for parliamentarians.

29. Sample documentation and advice on the process of depositing their instruments of accession to the Convention were provided to Oman, Somalia, South Sudan and the Sudan. Following their accession, Oman and the State of Palestine received training and assistance related to the Implementation Review Mechanism. Grenada acceded to the Convention following a regional pre-ratification workshop for officials from five countries in the Caribbean. After the accession, Grenada received training and assistance related to the Implementation Review Mechanism, as well as advisory services related to the requirements under the Convention.

30. Following UNODC advocacy work and workshops organized around the ratification of the Convention, steps are being taken by many countries, in particular in Asia, the Caribbean and the Pacific, to ratify or accede to the Convention. To reinforce advocacy efforts in the Caribbean, a second regional pre-ratification workshop was recently delivered for Barbados, Belize, Saint Kitts and Nevis and Saint Vincent and the Grenadines, in coordination with the CARICOM secretariat. Ratification workshops were also held for Samoa, Tonga and Tuvalu. Tonga, with the support of the joint UNODC-UNDP anti-corruption project for the Pacific and the Global Organization of Parliamentarians against Corruption, established a standing committee on anti-corruption that has, among other things, been tasked with the issues related to the accession to the Convention.

## **B. Assistance provided for the identification of gaps in the implementation of the Convention and of technical assistance needs**

31. In accordance with the terms of reference and the guidelines of the Implementation Review Mechanism, UNODC organized group and regional training courses to familiarize the focal points of the States parties under review and the governmental experts of reviewing States with the substantive provisions of the Convention and the methodology of the review process. In addition, a large number of national workshops, which in most cases included assistance with the completion of the comprehensive self-assessment checklist, were conducted. In many cases, including in Cambodia, the Central African Republic, Maldives, Myanmar and Swaziland, the workshops enhanced inter-agency cooperation, including through the establishment of inter-agency working groups, and involved stakeholders from outside Government.

32. Assistance was also provided in several cases for the preparation of the review of implementation of chapters II and V of the Convention during the second cycle. This included training, early preparation of the self-assessment checklist and undertaking of gap analyses. The report on the status of implementation of Conference resolution 5/4 (CAC/COSP/2015/8) and the progress report on the implementation of the mandates of the Working Group on Asset Recovery (CAC/COSP/2015/3), also presented to the Conference, provide further information in this regard.

33. UNODC also supported the efforts of countries to follow up on their reviews, in particular by preparing action plans for the implementation of the recommendations from the review, including in Bangladesh, Botswana, El Salvador, Indonesia, the Lao People's Democratic Republic, Malaysia, the Marshall Islands, Mauritius, Micronesia (Federated States of), Nigeria, Palau, Panama, Papua New Guinea, Paraguay, the Philippines, Sao Tome and Principe, Solomon Islands, Tunisia, Uganda, the United Republic of Tanzania, Vanuatu and Zimbabwe. In addition, training programmes to meet some of the needs identified have been developed in many countries, including Indonesia, the Marshall Islands, Micronesia (Federated States of), Mozambique, Niger, Nigeria, Palau, Panama, the Philippines, Rwanda, Sao Tome and Principe, Solomon Islands, Timor-Leste and Viet Nam.

34. UNODC sought to ensure that those processes were country-led, to ensure that the expertise would remain available beyond the formal review process and would allow for States to develop their own capacity to monitor existing gaps, review progress and reassess compliance with the Convention on a regular basis.

## **C. Legislative assistance to incorporate provisions of the Convention into national legislation**

35. While many countries have already adopted anti-corruption legislation in line with the Convention, UNODC continued to receive requests from States seeking to improve their domestic legislation to prevent and fight corruption, in particular based on the challenges and recommendations identified through the country reviews.



36. States supported during the reporting period included: Antigua and Barbuda, Burkina Faso, Central African Republic, Chile, Côte d'Ivoire, Egypt, El Salvador, Guinea, Lebanon, Mauritania, Micronesia (Federated States of), Myanmar, Niger, Nigeria, Palau, Panama, Papua New Guinea, Philippines, Senegal, Solomon Islands, Somalia, South Sudan, State of Palestine, Thailand, Tunisia, Vanuatu and Viet Nam. That assistance served to strengthen the capacity of States to draft and implement legislation and to ensure that new legislation is drafted in compliance with the requirements of the Convention. While most of the pieces of legislation addressed corruption in a comprehensive manner, several laws covered specific aspects such as the establishment of a specialized anti-corruption body, codes of conduct, conflicts of interest, the acceptance and giving of bribes by companies, public procurement, income and asset declarations, whistle-blower protection, financial intelligence units, financing of political parties and access to information, or were on cross-cutting issues related to international cooperation, such as mutual legal assistance, extradition, non-conviction-based confiscation and the management, use and disposal of seized and confiscated assets. Where relevant, examples and good practices from other States were shared with the authorities.

37. The joint UNODC-UNDP anti-corruption project in the Pacific placed a legal specialist in the Ministry of Justice in the Federated States of Micronesia and a right-to-information officer, who is co-funded by the Government, in Vanuatu.

#### **D. Assistance in strengthening national institutional and policy frameworks and the capacity of national authorities to effectively prevent and combat corruption**

38. The Office continued to provide broad-ranging support to Member States to improve their capacity to prevent, detect, investigate and prosecute corruption. Assistance was provided for the development of national anti-corruption strategies, for the establishment and strengthening of relevant institutional frameworks, structures, policies, processes and procedures and for strengthening the preventive, investigative and prosecutorial capacities of relevant institutions, through both national and regional activities.

39. A report on the status of implementation of resolution 5/4 (CAC/COSP/2015/8), also presented to the sixth session of the Conference, provides information on the technical assistance UNODC has provided in the establishment of specialized anti-corruption bodies, the development of national anti-corruption strategies and policies and the conducting of capacity assessments. It also provides an overview of UNODC capacity-building activities in the areas related to the prevention of corruption.

40. During the reporting period, UNODC provided extensive training to build the capacity of specialized institutions to successfully investigate and prosecute corruption. Workshops and training sessions, covering topics such as investigation management, search and seizure operations, document analysis, financial investigations, audits, special investigation techniques, interview techniques, forensic accounting, trial advocacy skills and case management were delivered in Albania, Algeria, Botswana, Burkina Faso, Colombia, Côte d'Ivoire, Egypt, El Salvador, Guatemala, India, Jordan, Kiribati, Lebanon, Malawi, the Marshall

Islands, Micronesia (Federated States of), Morocco, Mozambique, Niger, Palau, Panama, Paraguay, Samoa, Sao Tome and Principe, Solomon Islands, South Sudan, the State of Palestine, Thailand, Tunisia, Uganda, the United Republic of Tanzania and Vanuatu, as well as in Kosovo. Similar topics were also covered in regional training activities in Asia, East and West Africa and Latin America, as well as in training activities for Commonwealth countries in Africa.

41. Ongoing support was provided to Mozambique that included training to investigators, auditors and magistrates on detecting corruption, interview techniques and case planning. This training was followed by on-site mentoring and case-specific advisory services related to concrete criminal investigations. A training curriculum on investigating corruption, money-laundering and asset recovery is being developed in Panama for the future training institution for prosecutors. Mock trial training courses were delivered to prosecutors and senior investigators in Botswana, Uganda and the United Republic of Tanzania. In Burkina Faso and the Niger, anti-corruption authority officials and investigators were trained in handling complaints, interviewing techniques, detecting corruption and investigating and preventing corruption. In Nigeria, the Economic and Financial Crimes Commission Academy was supported in establishing a two-week regional training course for investigators and prosecutors from anti-corruption authorities in West Africa. Specialized training events on financial investigations and money-laundering were held in Iraq, Morocco and the State of Palestine and are ongoing for Algeria, Egypt, Jordan, Lebanon, Thailand and Tunisia. Those events provided investigators, prosecutors and judges with practical tools and skills to effectively investigate suspicious transactions and to trace and follow the proceeds of crime through banking institutions and remittance services.

42. Other types of assistance included support for the development and implementation of action plans; support for the development of intelligence bodies, including in Malawi; development of investigations manuals, including in Uganda; and study tours, such as that of a delegation from Sao Tome and Principe to Timor-Leste on the integrated case management system. UNODC also continued to deploy its electronic systems goCASE and goAML for managing the investigations of corruption cases and for analysing suspicious transaction reports, including in Egypt and the United Republic of Tanzania.

43. UNODC also continued to provide technical assistance related to combating money-laundering. Workshops have been organized for reporting entities from the private sector in several States, including Cabo Verde and Panama. Several financial intelligence units, such as in Benin, Burkina Faso, Côte d'Ivoire, the Gambia, Guinea, Guinea Bissau, Mali, the Niger, Pakistan, Sao Tome and Principe, Senegal, Sierra Leone, the State of Palestine and Togo, benefited from training on financial analysis techniques. All these training courses involved experts from the region, thus fostering South-South cooperation. The financial intelligence units of Fiji mentored the financial intelligence units of Kiribati, Marshall Islands, Micronesia (Federated States of), Nauru, Palau and Solomon Islands to strengthen their capacity to combat money-laundering. UNODC also provided technical advice to investigators and magistrates, including in Cambodia, Guatemala, the Lao People's Democratic Republic, Paraguay and Viet Nam. In West Africa, UNODC is currently implementing a train-the-trainer programme on financial investigations in Benin, Côte d'Ivoire, Ghana and Senegal, in cooperation with national training institutions.

In the area of asset recovery, UNODC, including through the StAR Initiative, is actively supporting a number of regional networks, such as the Asset Recovery Inter-Agency Network of Southern Africa, the Asset Recovery Inter-Agency Network for West Africa, the Asset Recovery Network of the Financial Action Task Force of Latin America against Money-Laundering, the Asset Recovery Inter-Agency Network for Asia and the Pacific and the Asset Recovery Inter-Agency Network for Eastern Africa, and has organized expert workshops on asset recovery. UNODC also actively partners with Financial Action Task Force-style regional bodies.

44. While support was often provided on an ad hoc basis, specific country projects were also developed and implemented to address the capacity-building needs of countries in a broad manner. Where feasible, technical assistance needs identified in country review reports were taken into account when developing new activities and projects.

45. For example, through two large anti-corruption projects in Indonesia, UNODC continued to support law enforcement agencies, including the Corruption Eradication Commission, in enhancing capacity, professionalism and transparency through technical assistance and specialized training programmes.

46. In 2014, UNODC commenced the implementation of a project to strengthen anti-corruption institutions in Timor-Leste. The project supports the Anti-Corruption Commission of Timor-Leste and other law enforcement agencies in enhancing capacity and professionalism through specialized training programmes, as well the development of a national anti-corruption strategy and the strengthening of national anti-corruption policies and legislation.

47. In Egypt, assistance continued to be provided under a UNODC project for rationalizing the legal and institutional set-up for countering corruption, under the umbrella of the national anti-corruption strategy. Assistance was provided to increase the State's capacity to detect and prosecute corruption cases and efforts to deal with the recovery of the assets of former leaders and other high-ranking officials accused of or found to have engaged in corruption.

48. UNODC continued to support the Government of Nigeria through an anti-corruption project aimed at providing effective support to anti-corruption coordination, policy formulation and legislation, through the adoption of an evidence-based approach; strengthening institutional and operational capacity in the main anti-corruption agencies, the police and the judiciary, with an emphasis on cooperation; and enhancing accountability, transparency and civil society engagement in the fight against corruption. So far, the project has provided assistance to improve coordination between the law enforcement and corruption prevention bodies and supported the efforts of the Government to strengthen the anti-corruption legal and policy framework as well as to build the capacity of the Nigerian institutions to address corruption.

49. In Afghanistan, UNODC commenced a country-level anti-corruption assistance project in April 2015. The project seeks to update the normative and policy anti-corruption frameworks by supporting efforts to bring national penal provisions into line with the Convention, to draft an updated national anti-corruption strategy and to establish an inter-agency policy coordination framework.

50. Through a project in Paraguay, UNODC facilitated the development of an anti-corruption strategy for the public sector to prevent, detect and combat corruption in governmental structures, which is currently pending approval.

51. Through a project in Panama, UNODC has supported the establishment of the Regional Anti-Corruption Academy for Central America and the Caribbean and provided technical assistance and training to Governments in the region.

52. In Colombia, UNODC assisted the Government in strengthening its legal and regulatory regime to fight corruption by providing training in investigation techniques against corruption.

53. During the reporting period, UNODC also assisted the authorities in Iraq to address the shortcomings in prevention, detection and investigation of corruption on the basis of the outcomes of the Implementation Review Mechanism and surveys and assessments conducted by UNODC in the country.

54. In El Salvador, UNODC is about to commence a project focused on providing assistance to follow up on the review recommendations, to strengthen the investigation and prosecution of corruption and money-laundering offences and to enhance police, judicial and prosecutorial integrity.

55. In Kosovo, UNODC delivered targeted technical assistance to the judiciary and the prosecution service in order to strengthen their capacity to address issues related to integrity, professional ethics and disciplinary investigations and to enhance inter-agency coordination to fight corruption.

#### **E. Assistance for international cooperation in criminal matters pertaining to countering corruption**

56. The Office continued to maintain a list of designated central authorities responsible for requests for mutual legal assistance in accordance with article 46, paragraph 13, of the Convention. That list currently contains the contact information for 112 authorities. Information on relevant authorities is available to competent authorities and government agencies with a user account, through a secure online directory. The same directory also contains information on the competent prevention authorities, in accordance with article 6 of the Convention, in 94 countries, as well as information on nominated asset recovery focal points in 65 countries.

57. The Office continued to encourage cooperation among relevant competent authorities, anti-corruption bodies and practitioners involved in international cooperation in criminal matters pertaining to countering corruption. Capacity-building and advisory services were provided at the national and regional levels. The Office also continued to actively participate, together with other stakeholders, in meetings aimed at coordinating international cooperation among requesting and requested States. At those meetings, delegations of States exchanged operational information, thus reinforcing communication and dialogue.

58. At the regional level, UNODC continued to support regional associations of anti-corruption authorities and networks of anti-corruption agencies, such as the African Association of Anti-Corruption Authorities, the East African Association of Anti-Corruption Authorities and the Network of National Anti-Corruption

Institutions in West Africa. For example, UNODC supported two general assembly meetings of the Network of National Anti-Corruption Institutions in West Africa and provided support to its secretariat. As a result of these efforts, several countries in the region have started joint investigations on corruption cases. Establishing informal channels of communication between requesting and requested States, including direct contacts between central authorities, law enforcement agencies and financial intelligence units, has also been highlighted as key for international cooperation.

59. UNODC, in cooperation with the Asset Recovery Inter-Agency Network for Eastern Africa, is in the process of developing a handbook on how to obtain international cooperation from East African States. In West Africa, UNODC organized a regional conference on anti-corruption that focused on international cooperation.

60. In 2014, in cooperation with the Cambodian Anti-Corruption Unit, UNODC organized a regional meeting in South-East Asia on curbing foreign bribery. The meeting gathered 65 participants from all ASEAN countries, as well as Australia, Japan and Timor-Leste, and international organizations. The meeting took stock of country experiences in developing and implementing foreign bribery legislation and mutual legal assistance mechanisms and identified good practices and common challenges. Participants agreed on a set of recommendations with regard to the development of effective bribery legislation and the investigation of cases of foreign bribery.

61. Also in the context of international cooperation, UNODC continued to promote peer advice and South-South cooperation. For example, the Office facilitated a visit by delegations from Brazil and the United Kingdom to the CARICOM secretariat and a workshop for 15 CARICOM member States in Trinidad and Tobago to share experience in international cooperation for the purposes of asset return and asset-sharing.

62. As examples of UNODC support at the national level, UNODC provided training to prosecutors and judges on international cooperation in Namibia and training on the Convention and international cooperation to anti-corruption and judicial authorities in India. Legislative drafting assistance was also provided on several laws related to international cooperation, including in Myanmar, Panama and the Philippines.

63. A progress report on implementing the mandates of the expert meetings to enhance international cooperation under the Convention will be presented at the next meeting of the experts during the sixth session of the Conference (CAC/COSP/EG.1/2015/2).

64. In its resolution 23/1, the Commission on Crime Prevention and Criminal Justice requested Member States to take full advantage of the international cooperation provisions of the United Nations Convention against Transnational Organized Crime and the Convention against Corruption to prevent and combat trafficking in forest products. In line with that resolution, efforts are being undertaken to mainstream anti-corruption into the UNODC Global Programme for Combating Wildlife and Forest Crime to identify and counter corruption risks. For example, in Indonesia, a project focused on the links between forest crime and corruption and the issue of countering illegal logging. UNODC is currently working

with the Kenya Wildlife Service to develop and implement a corruption prevention strategy which, inter alia, will be aimed at tackling the potential collusion between wildlife criminals and those tasked with protecting wildlife in Kenya. Regional workshops on topics related to the investigation of wildlife and timber trafficking and related money-laundering and asset recovery have been organized, including in Panama and Viet Nam. UNODC has also participated in training programmes on the links between organized crime and corruption.

## **F. Assistance related to the prevention of corruption**

65. A report on the status of implementation of Conference resolution 5/4 (CAC/COSP/2015/8) is also submitted to the sixth session of the Conference. The paper highlights the wide range of activities carried out by States parties and the assistance provided by UNODC in the implementation of the resolution. It includes information on the efforts of States parties in the early preparation for the review of chapter II of the Convention, as well as activities supporting the legislative and institutional framework for the prevention of corruption. The report presents, among others, initiatives to strengthen integrity across the entire criminal justice system and in the public service, educational activities and activities aimed at engaging individuals and groups outside the public sector in the prevention of corruption.

66. The report on the status of implementation of Conference resolution 5/6 (CAC/COSP/2015/9), also submitted to the Conference, provides detailed information on the work of UNODC in relation to the private sector.

## **G. Assistance related to asset recovery**

67. UNODC has provided assistance to national institutions to strengthen their capacities to trace, seize, freeze, confiscate and return the proceeds of corruption. Such work mainly took place within the context of the StAR Initiative of UNODC and the World Bank. An updated progress report on the implementation of the mandates of the Working Group on Asset Recovery, containing detailed information on the work of UNODC and the StAR Initiative, has been prepared for the Conference at its sixth session (CAC/COSP/2015/3). The report presents action taken to implement the recommendations of the Conference and the Working Group on Asset Recovery with regard to the development of cumulative knowledge, building trust and knowledge between requesting and requested States, and technical assistance, training and capacity-building.

## **H. Technical assistance tools facilitating the delivery of assistance on the ground**

68. At the global level, the Office has continued to develop and disseminate guides, handbooks and other tools that address the needs of anti-corruption practitioners with regard to specific aspects, challenges, policies and good practices relating to the implementation of the Convention.

69. The Implementation Review Mechanism has served to identify areas where tools are needed. For example, the *Resource Guide on Good Practices in the*

*Protection of Reporting Persons*, which will be launched during the sixth session of the Conference, addresses one of the gaps most often identified with regard to technical assistance needs in country reviews. At the request of the States parties, UNODC has also produced a wide range of tools related to the prevention of corruption to assist States in their efforts to prepare for the second review cycle. One of these tools, *National Anti-Corruption Strategies: A Practical Guide for Development and Implementation*, will also be launched during the Conference.<sup>7</sup>

70. The tools have been, and will continue to be, used by UNODC staff in providing training and capacity-building to national authorities. Their use promotes the high quality of training, ensures consistency and provides sustainability in that learning can continue on the basis of the tools once the training itself is concluded.

71. Printed copies of UNODC handbooks and guides have been widely distributed at intergovernmental meetings, such as the Conference of the States Parties and its subsidiary bodies, conferences and workshops. All technical tools and publications can be found online ([www.unodc.org/unodc/en/corruption/publications.html](http://www.unodc.org/unodc/en/corruption/publications.html)) and have been widely used by the public.

72. The Tools and Resources for Anti-Corruption Knowledge (TRACK) portal, developed by UNODC in 2012, continued to be successful. Internal records show that 50,960 visits were made to the portal between August 2013 and August 2015. The legal library, which is part of TRACK and contains laws, jurisprudence and information on anti-corruption authorities from 176 States,<sup>8</sup> has fully benefited from the Implementation Review Mechanism, as the reviews are used to validate and update the information it contains. TRACK also hosts the Anti-Corruption Academic Initiative, through which academic resource material on anti-corruption is made available, and a private sector portal.

## **I. Evidence-based assessments of corruption patterns and modalities**

73. UNODC continued to provide support to Member States in collecting data and developing statistical indicators to provide benchmarks for the assessment of corruption, as well as in undertaking research and analytical work to increase knowledge on corruption and to support evidence-based normative, policy and operational decisions.

74. Following direct assistance provided by UNODC for studies on corruption and integrity, including to Afghanistan and countries in the western Balkans, the reports *Corruption in Afghanistan: Recent Patterns and Integrity Challenges in the Public*

<sup>7</sup> Other tools launched during the reporting period include *The United Nations Convention against Corruption: Implementation Guide and Evaluative Framework for Article 11*; *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*; *The United Nations Convention against Corruption: Reporting on Corruption — A Resource Tool for Governments and Journalists*; *The United Nations Convention against Corruption: A Strategy for Safeguarding against Corruption in Major Public Events*; *The United Nations Convention against Corruption: A Resource Guide on State Measures for Strengthening Corporate Integrity*; and *An Anti-Corruption Ethics and Compliance Programme for Business: A Practical Guide*.

<sup>8</sup> The legal library currently contains a total of 56,068 legal provisions.

*Sector and Business, Corruption and Crime in the Western Balkans: The Impact of Bribery and Other Crime on Private Enterprise*, and seven related national reports, were launched in late 2013.

75. Currently, UNODC is providing support to the National Bureau of Statistics of Nigeria in conducting the first large-scale survey on experiences of corruption by Nigerian households, which will be used to assess the modalities and scope of bribery and to evaluate vulnerabilities to corruption in the public sector. UNODC also provided technical assistance to a group of Latin American and Caribbean countries who partnered in the development of a common instrument for surveys on crime and corruption in the region, known as the Latin American and Caribbean crime victimization survey initiative.

76. UNODC has actively participated in the technical process of identifying indicators for monitoring the sustainable development goals by contributing to the United Nations system mechanisms and activities. In that regard, UNODC has contributed to areas within its mandate, which fall mainly under the proposed goal 16. For example, UNODC has shared its expertise in the measurement of corruption through the implementation of surveys on experiences of bribery and the indicators that can be derived from them.

## **V. Issues for further consideration on technical assistance**

77. As highlighted during meetings of the Implementation Review Group and during the fourth and fifth sessions of the Conference of the States Parties to the Convention, the delivery of technical assistance to meet identified needs is pivotal to the successful and consistent implementation of the Convention.

78. The Convention review process, as well as the identification of follow-up actions aimed at the full implementation of the Convention, must be country-led, country-owned and driven by national priorities; be inclusive and comprehensive, involve all relevant actors in a systematic manner; and be country-coordinated, as support for the implementation of remedial actions by the national authorities should be closely coordinated with international technical assistance providers, as deemed appropriate.

79. Ad hoc, short-term and targeted technical assistance should be available during the review process and offered as an initial response to needs identified during the country reviews. The experience of UNODC in delivering such assistance so far has shown that it increases trust and confidence of States parties in the Implementation Review Mechanism and encourages the prioritization of the most pressing needs that emerge from a review. Examples of possible actions include the development or revision of a comprehensive national anti-corruption strategy (including priorities, outputs, monitoring, evaluation and reporting) and/or an action plan to address the needs identified during the review; a training course on financial investigations; a training course on international cooperation in cases of corruption, including extradition and mutual legal assistance; legal advice to ensure that the shortcomings identified in current national legislation are addressed; expert advice on the development of a case management system for the national anti-corruption agency; and legal advice and training on the adoption and use of special investigative techniques. Regular requests have also been received by UNODC on



ways to improve the detection of corruption through the development of witness and whistle-blower protection programmes or through advisory services relating to how to structure asset and income declaration systems. In previous years, the availability of seed funding has allowed UNODC to offer such short-term follow-up assistance upon request.

80. In addition, and as shown in the thematic reports and the consolidated analytical study entitled “State of implementation of the United Nations Convention against Corruption: criminalization, law enforcement and international cooperation” (CAC/COSP/2013/CRP.7), together with the related summary (CAC/COSP/2015/5), common needs have also been identified at the regional and subregional levels. Regional short-term assistance may take the form of regional training workshops or support for regional exchanges of good practices, and could include the following: regional training sessions on international cooperation to build capacity and strengthen networking among practitioners in the region; workshops to discuss model agreements and arrangements for law enforcement cooperation and for joint investigations; regional workshops on good practices and lessons learned, and legal advice with regard to provisions related to foreign bribery and bribery in the private sector; and regional workshops to discuss model legislation to counter the laundering of proceeds of corruption. Seed funding to carry out such regional training workshops can greatly enhance the impact of the work of the Implementation Review Mechanism and may lead to greater immediate regional and international cooperation.

81. Such short-term assistance may be all that is required if needs are limited or if States parties are able to include the necessary measures in their national budgets over the medium and long term. However, in many cases, that initial support would also lead to a more sustained technical assistance programme.

82. Often, the needs identified in the country reviews require more robust multi-year assistance, which could include the following: legislative, policy and technical advice components such as on the establishment and operational capacity-building of anti-corruption bodies; the development and operation of inter-agency coordination and cooperation mechanisms to fight corruption, supported by an appropriate secretariat; the strengthening of the investigative and prosecutorial capacities of national anti-corruption bodies; the enhancement of capacities to conduct complex financial investigations, trace and freeze assets and recover the proceeds of corruption at the national and international levels; the provision of case management software; and the development of witness and/or whistle-blower protection programmes.

83. In such cases, a strategic approach is needed to ensure that assistance providers consider the outcome of the reviews for either new technical assistance programming or for incorporating those needs into programmes that are already ongoing, for example in the areas of governance and public administration and justice reform. The role of UNODC in that process would be to facilitate dialogue between the national authorities and relevant development partners in order to seek support for the programme, without imposing itself as an implementing agency. That is in line with the mandates given to UNODC by the Conference, which has specified that the outcomes of the Implementation Review Mechanism should also be used to facilitate technical cooperation between those in need of technical assistance and the providers of such assistance.

84. Considering that the Implementation Review Mechanism has not yet covered all chapters of the Convention, not all technical assistance needs related to the implementation of the Convention have been identified through the Mechanism. UNODC continues to receive and respond to requests for technical assistance in the areas of corruption prevention and asset recovery, including related to the States parties' efforts to prepare for the second review cycle. In particular, technical assistance requests related to the prevention of corruption have been steadily increasing and it is important that those needs are addressed. More analysis of such requests is included in CAC/COSP/2015/8.

85. The Conference may therefore wish to recommend that States parties increase their efforts to provide direct assistance and/or funding to UNODC or other development partners to meet the technical assistance needs identified in the context of the Implementation Review Mechanism and through other means.

86. UNODC has also seen a growing demand to integrate anti-corruption efforts into other technical and development assistance — including in areas such as combating various forms of transnational organized crime, criminal justice reform, strengthening the rule of law and governance reform. In addition to specific technical assistance delivery, the Secretariat is very well positioned to continue encouraging the incorporation of anti-corruption into the wider development agenda, including through the sustainable development goals.

87. The Conference may wish to encourage efforts to integrate anti-corruption on the basis of the Convention into development assistance programming, including through the sustainable development goals.

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