



# 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, in particular 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 note provides an overview of the response of the United Nations Office on Drugs and Crime (UNODC) to technical assistance needs identified and requests made since the time of the drafting of the note by the Secretariat on technical assistance in support of the implementation of the Convention, for the sixth session of the Conference of the States Parties to the United Nations Convention against Corruption, held in Saint Petersburg, Russian Federation, from 2 to 6 November 2015 ([CAC/COSP/2015/2](#)). It highlights selected technical assistance activities implemented between August 2015, when the previous note was submitted, and August 2017.

#### II. Delivery framework and resources

3. UNODC has continued to provide a broad set of tailored technical assistance activities and to develop a variety of tools to meet the growing demands of States parties through several global,<sup>1</sup> regional<sup>2</sup> and national projects.

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\* [CAC/COSP/2017/1](#).

<sup>1</sup> The current global programmes are the global programme to prevent and combat corruption through effective implementation of United Nations Convention against Corruption in support of Sustainable Development Goal 16 and the Global Programme for the Implementation of the Doha Declaration.

<sup>2</sup> Such projects include a joint initiative of UNODC and the United Nations Development Programme, entitled “United Nations Pacific Regional Anti-Corruption Project (UN-PRAC)” and “Strengthening criminal investigation and criminal justice cooperation along the cocaine route in Latin America, the Caribbean and West Africa (CRIMJUST)”.



4. 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. In its resolution 6/1, the Conference underscored the importance of addressing the technical assistance priorities identified in the country reviews, and invited technical assistance providers to consider those priorities either for new technical assistance programmes or for incorporating them into ongoing programmes.

5. UNODC has continued to follow up on the technical assistance needs arising from the first review cycle covering chapters III (Criminalization and law enforcement) and IV (International cooperation) of the Convention.<sup>3</sup> Since the start of the second review cycle, a number of technical assistance needs have also been identified in relation to chapters II (Preventive measures) and V (Asset recovery). 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. In addition, UNODC responds to direct requests for technical assistance from States.

6. UNODC provided specific assistance on the prevention of corruption under a number of projects at the global, regional and national levels. Those prevention-related assistance efforts are covered in the report on the status of implementation of Conference resolution 6/6 (CAC/COSP/2017/4). The focus of the present note will therefore be on technical assistance delivered in relation to criminalization and law enforcement, including whistle-blower protection, efforts to counter money-laundering, combating corruption in the private sector, international cooperation and asset recovery.

7. UNODC has striven to ensure a global presence to be able to effectively respond to technical assistance requests. Staff members at headquarters are complemented by field-based staff in high-demand regions. 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. Those advisers provide rapidly deployable professional expertise at both the country and the regional levels to facilitate the delivery of on-site guidance to States parties. Anti-corruption advisers play an important role in strengthening regional coordination, encouraging South-South cooperation and facilitating the exchange of good practices, thereby creating lasting bilateral, multilateral and regional exchanges of knowledge and expertise.

8. Currently, advisers with regional responsibilities are based in Fiji (for the Pacific), Thailand (one adviser for South-East Asia and a second one for South Asia and South-East Asia), Senegal (for West and Central Africa) and Panama (for Central America and the Caribbean). A senior global adviser is based in Vienna and advisers with national focuses are currently based in El Salvador, Guyana and Qatar. A number of adviser posts were discontinued during the reporting period owing to insufficient funding: regional advisers based in South Africa (for East and Southern Africa), Egypt (for the Middle East and North Africa) and Vienna (for small island developing States), as well as the national adviser for Mozambique.

9. UNODC field offices, with support from headquarters staff, implemented on-the-ground anti-corruption projects in several countries, including Bolivia (Plurinational State of), Colombia, Egypt, El Salvador, Indonesia, Iran (Islamic Republic of), Iraq, Kenya, Nigeria, Panama, Paraguay and Timor-Leste, as well as Kosovo.<sup>4</sup>

<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/2017/7).

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

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

10. In the light of the increased demand for the provision of technical assistance, UNODC has adopted a prioritized and strategic approach, seeking to coordinate and cooperate with other assistance providers and international organizations.

11. UNODC has continued to contribute to policy discussions about anti-corruption and development in both regional and international forums. For example, UNODC participated in meetings of the Anti-Corruption Task Team of the Development Assistance Committee of the Organization for Economic Cooperation and Development, the Group of Seven and the Group of Twenty (G-20), as well as the Anti-Corruption Summit organized by the United Kingdom of Great Britain and Northern Ireland in London on 12 May 2016.

12. 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 joint [UNODC/World Bank Stolen Asset Recovery \(StAR\) Initiative](#) and the implementation of coordinated or joint anti-corruption projects with the United Nations Development Programme (UNDP) globally and in the Pacific region under the framework of the joint United Nations Pacific Regional Anti-Corruption Project.

13. UNODC also cooperates and coordinates with a number of other intergovernmental or non-governmental organizations, including the Organization for Economic Cooperation and Development, the Organization for Security and Cooperation in Europe, the International Association of Anti-Corruption Authorities, the United Nations Educational, Scientific and Cultural Organization, the International Criminal Police Organization (INTERPOL), the United Nations Global Compact, the Association of Southeast Asian Nations (ASEAN), the Commonwealth secretariat, Eurojust, the Caribbean Community (CARICOM), the African Union, the Economic Community of West African States, the Southern African Development Community, the Group of States against Corruption of the Council of Europe, the Basel Institute on Governance, Transparency International and the Global Organization of Parliamentarians against Corruption.

14. UNODC participated in the meetings of the G-20 Anti-Corruption Working Group in 2016 and 2017. In 2016, the Working Group was co-chaired by China and the United Kingdom. UNODC provided background papers and presentations on the implementation of the Convention, the disposition and management of recovered assets and immunity from prosecution. A key agenda item was the adoption of the G-20 Anti-Corruption Implementation Plan for 2017-2018. In 2017, the Anti-Corruption Working Group was co-chaired by Brazil and Germany. UNODC briefed the Working Group on the second review cycle and technical assistance needs identified through the Review Mechanism; presented papers on addressing corruption and wildlife crime, and international cooperation; and delivered presentations on fighting corruption in sports and international cooperation in civil and administrative proceedings. In April 2017, the Working Group adopted high-level principles on corruption and wildlife crime, on the liability of legal persons and on organizing against corruption. UNODC is to host a meeting of the Anti-Corruption Working Group for the first time, to be held in September 2017, and co-organized a side meeting on corruption and illegal wildlife trade with Germany.

15. UNODC also participated in the seventeenth International Anti-Corruption Conference, hosted by Transparency International in Panama City in December 2016, where UNODC addressed three panels on the following themes: effective implementation of the Convention in support of Sustainable Development Goal 16; shared planet, shared responsibility: creating multi-stakeholder alliances to combat wildlife, forest and fisheries crime; and corruption, security and organized crime.

## IV. Highlights of technical assistance delivered

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

16. UNODC continued to promote the ratification of and accession to the Convention through targeted awareness-raising and advocacy, as well as through the provision of technical assistance in those countries that are not yet States parties. Tuvalu acceded to the Convention on 4 September 2015, the Holy See on 19 September 2016 and Belize on 12 December 2016. New Zealand ratified the Convention on 1 December 2015 and Bhutan did so on 21 September 2016. Japan accepted the Convention on 11 July 2017.

17. Following UNODC advocacy work and workshops organized on the ratification of the Convention, steps are being taken by many countries to ratify or accede to the Convention. For example, UNODC conducted a mission to Barbados in July 2017 to encourage ratification and offer assistance with the creation of an anti-corruption body. The Pacific Regional Anti-Corruption Project also organized workshops in Samoa and Tonga aimed at ratification or accession. In April 2017, UNODC conducted a meeting with the Ministry of Justice of Chad to encourage ratification of the Convention and prepare for a ratification workshop.

### B. Technical assistance tools facilitating the delivery of assistance

18. UNODC continued to develop and disseminate guides, handbooks and other tools that address the needs of anti-corruption practitioners with regard to specific challenges, policies and good practices relating to the implementation of the Convention. The tools were developed at the global, regional and national levels.

19. A number of tools were published and translated into additional languages during the reporting period, including *National Anti-Corruption Strategies: A Practical Guide for Development and Implementation* and the *Resource Guide on Good Practices in the Protection of Reporting Persons*. Two further publications will be launched during the seventh session of the Conference in November 2017: a handbook on anti-corruption measures in prisons and an updated *State of Implementation of the United Nations Convention against Corruption: Criminalization, Law Enforcement and International Cooperation*.

20. In January 2016, UNODC launched an e-learning course on anti-corruption that consisted of two separate modules. The first module, entitled “Introduction to anti-corruption”, provided an overview of the Convention. The second, entitled “Prevention of corruption”, enabled learners to gain more advanced knowledge about preventive measures. The modules are currently available in Arabic and English, and versions in French and Spanish are in preparation.<sup>5</sup> As of July 2017, over 10,500 users had taken the courses.

21. The interactive e-learning tool for the private sector, entitled “The fight against corruption” is now available in 24 languages. The tool was developed jointly by UNODC and the Global Compact to enhance the understanding by the private sector of the Convention and the Global Compact’s tenth principle against corruption. To date, more than 225,000 users have taken the course and more than 40,000 users have successfully passed the end-of-course assessment and obtained the course certificate.<sup>6</sup>

22. A number of publications were targeted at particular regions. In 2016, the Pacific Regional Anti-Corruption Project published two guidebooks aimed at the Pacific region: *Criminalization and Law Enforcement: The Pacific’s Implementation of Chapter III of the UN Convention against Corruption* and *International Cooperation:*

<sup>5</sup> The course is available at [www.unodc.org/elearning/frontpage.jsp](http://www.unodc.org/elearning/frontpage.jsp).

<sup>6</sup> <http://thefightagainstcorruption.org/certificate>.

*The Pacific's Implementation of Chapter IV of the UN Convention against Corruption.* In 2017, the Project published the *Pacific Youth Anti-Corruption Advocate's Toolkit*, in collaboration with the Pacific Youth Council. As a follow-up to a number of review recommendations, UNODC also worked from 2016 to 2017 to develop a handbook on foreign bribery and international cooperation in South-East Asia.

23. Continuing its work in supporting small island developing States, UNODC finalized a guide entitled *Procurement and Corruption in Small Island Developing States: Challenges and Emerging Practices*.

24. UNODC continues to expand its efforts in providing country-specific resources. In El Salvador, UNODC launched the official website of a project supporting prevention, investigation and prosecution of corruption in El Salvador.<sup>7</sup> In Colombia, UNODC developed an online database for the private sector with case studies that demonstrate how businesses address the challenge of corruption.<sup>8</sup> The database includes a multimedia component with video clips, and provides a platform for the national compliance officers network to share best practices and lessons learned on preventing and combating corruption.

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

### **1. Implementation Review Mechanism and follow-up**

25. In accordance with the terms of reference and the guidelines of the Implementation Review Mechanism, UNODC organized training courses to familiarize focal points of the States parties under review and governmental experts of reviewing States with the Convention and the methodology of the review process. For example, in March 2017, UNODC provided experts in the Democratic Republic of the Congo with training on the Implementation Review Mechanism and assistance with the self-assessment checklist. In Guinea, UNODC supported a workshop aimed at validating the self-assessment checklist. The Pacific Regional Anti-Corruption Project supported the focal point of Tuvalu with the finalization of the first review cycle self-assessment checklist.

26. UNODC participated in the steering committee meeting in Belize in February 2017 for the approval of a project on strengthening of national systems for the implementation of the Convention in Belize, which is being implemented in coordination with UNDP. In May 2017, UNODC delivered a training course on the preparation of the self-assessment checklist for the first cycle of the Implementation Review Mechanism.

27. Over the past two years UNODC has provided support to a number of countries with preparations for the second cycle of the Implementation Review Mechanism. Those countries included Egypt, Fiji, Grenada, Guyana, Lao People's Democratic Republic, Mauritius, Mexico, Myanmar, Nigeria, Palau, Papua New Guinea, Saudi Arabia, the United Republic of Tanzania and Viet Nam. UNODC also organized global training programmes in Moscow and Vienna, as well as regional workshops in Grenada, Malaysia, Panama and Qatar to familiarize participants with the review process. The Pacific Regional Anti-Corruption Project further supported the focal points from the Cook Islands, Kiribati, the Marshall Islands, Micronesia (Federated States of), Nauru and Solomon Islands in the second cycle self-assessment process.

28. UNODC held discussions with the Holy See in April 2017 about its participation in the Implementation Review Mechanism. In December 2016, UNODC delivered a presentation to the European Parliament organized by the European Parliament Intergroup on Integrity, Transparency, Corruption and Organized Crime, and urged

<sup>7</sup> [www.combatealacorrupcion.org](http://www.combatealacorrupcion.org).

<sup>8</sup> <http://hacialaintegridad.unodc.org.co>.

the European Commission to increase its anti-corruption reporting and participate in the Implementation Review Mechanism.

29. In Kosovo, UNODC organized a workshop on the methodology of the implementation review as a first step in assisting government counterparts in carrying out a gap analysis under the Convention and developing an anti-corruption strategy.

30. As countries completed their first cycle reviews, UNODC worked with a number of States, including Ghana, Kenya, Namibia and the United Republic of Tanzania, to develop comprehensive strategies to address the recommendations in the reviews. In Sri Lanka, UNODC facilitated a workshop for governmental and non-governmental stakeholders to prioritize necessary actions and identify agencies, resources and time frames to implement the recommendations arising from the implementation review. In May 2017, UNODC organized a workshop on the follow-up to the review in Tuvalu, resulting in a road map for the implementation of the review recommendations from the first review cycle.

31. UNODC has sought to engage the broader technical assistance community in the follow-up to the review process. In many cases, donors or donor coordination groups were invited to participate in the dialogue held during the country visits or in meetings held afterwards. That dialogue has provided donors with an in-depth perspective on the technical assistance needs identified during the review process. For example, in Ghana in March 2016, UNODC organized a conference to bring together policymakers from development partners, anti-corruption institutions, ministries and civil society to develop an implementation action plan to address challenges identified during the review process.

32. UNODC continued to implement a project in El Salvador that was developed to address the recommendations of the review. In 2016, UNODC worked with Sweden to develop a multi-year anti-corruption project to support the national authorities of Myanmar in their implementation of the Convention, as a follow-up to the first cycle review.

33. In 2017, UNODC assisted in establishing a national review mechanism in Mexico, as a follow-up to one of the recommendations of its first cycle review, to support the implementation of the Convention at the state and local levels. In Nigeria, UNODC delivered a presentation on the recommendations emanating from the country review. Those recommendations concerned the strengthening of statistics relating to corruption offences. The presentation was attended by the focal points and researchers of 14 anti-corruption agencies in order to support the development of a standardized data template for corruption statistics.

## **2. Anti-Corruption Summit**

34. UNODC participated in the Anti-Corruption Summit held in London in May 2016, which brought together States and international and regional organizations. During the Summit, UNODC committed itself to accelerating the implementation of the Convention and the achievement of Sustainable Development Goal 16, and ensuring timely and effective follow-up to the challenges and needs identified in the country reviews.

35. Building on the momentum generated by the Summit, UNODC organized a series of regional workshops aimed at establishing a platform to strengthen and prioritize the implementation of the Convention and the achievement of Sustainable Development Goal 16. The first such regional workshop, on the theme of fast-tracking implementation of the Convention as a means of achieving economic and social development in South-East Asia, was held in Bangkok in February 2017. The conference provided a regional platform for 150 representatives of anti-corruption agencies, law enforcement authorities, prosecution services, state audit institutions, public procurement agencies and financial intelligence units, as well as representatives from civil society and the private sector from ASEAN countries and Timor-Leste, to work together to identify strategic priorities for the implementation

of the Convention. The technical discussions were followed by a high-level meeting that resulted in joint recommendations on priorities relating to investigations and prosecutions, international cooperation, public procurement, asset declaration systems, money-laundering and asset recovery.

36. Similarly, UNODC hosted a regional workshop in Nairobi in February 2017 for government representatives of eight East African countries, together with civil society representatives and development partners, to build partnerships and explore ways of fast-tracking the implementation of the Convention. The resulting set of recommendations focuses on four main areas: financial investigations, international cooperation, whistle-blower protection and public procurement.

37. Concrete follow-up activities at the regional and national levels, as well as the expansion of the regional platforms to other regions, are planned.

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

38. UNODC regularly receives requests from States seeking to improve their legislation to prevent and fight corruption, often based on the recommendations identified through the country reviews. During the period covered by the present note, UNODC assisted 24 States in drafting or amending their anti-corruption legislation. At a workshop in Viet Nam, for example, UNODC facilitated discussions on the anti-corruption measures introduced in the penal code as a follow-up to the country review, and organized a further workshop to discuss the new draft anti-corruption law in relation to its compliance with the provisions of the Convention.

39. In Cambodia, Honduras and Malawi, UNODC facilitated and supported multi-stakeholder workshops and meetings for drafting or amending anti-corruption legislation, based on the findings and recommendations of the country reviews. UNODC delivered workshops or other technical support on legislative drafting to address the findings of country reviews in the Dominican Republic, Guinea, the Lao People's Democratic Republic, Liberia, Mozambique, Myanmar, Namibia, Sri Lanka and Swaziland.

40. UNODC also supported multiple workshops and drafting sessions in El Salvador and Panama on the preparation of national legislation related to corruption investigations and prosecutions, money-laundering, extradition and mutual legal assistance. In 2015 and 2016, UNODC facilitated several legislative drafting sessions to prepare amendments to the Uniform Ethics Code and the Penal Code of Panama. Similarly, in 2016, UNODC supported the drafting of an intelligence services bill to include anti-corruption provisions.

41. In Guatemala, UNODC worked with the Office of the Comptroller General to deliver a seminar on asset declarations and illicit enrichment, followed by legislative drafting sessions to amend the Probity Law to address recommendations emanating from Guatemala's first cycle review.

42. UNODC provided training to senior government officials and legislators in Afghanistan on amendments to national legislation to bring it into compliance with the requirements of the Convention, including by developing a comprehensive chapter in the draft Penal Code on fighting corruption.

43. The Pacific Regional Anti-Corruption Project supported Vanuatu in the development of a right to information bill, which was adopted in 2016. It also supported Nauru in the preparation of a leadership code bill and amendments to the Criminal Code. In Solomon Islands, the Project supported the draft anti-corruption bill and right to information bill. The Project also supported Fiji in the drafting of a codes of conduct bill.

44. In West Africa, Burkina Faso and the Niger strengthened their national anti-corruption authorities through new laws adopted with technical support from

UNODC. Guinea and Mauritania also adopted new anti-corruption legislation, following consultations with UNODC experts.

45. In 2017, UNODC began an ongoing project in the Gambia to address gaps in its legislative framework related to fighting corruption. To date, UNODC has provided input on a draft bill to establish an anti-corruption commission and an envisaged freedom of information bill.

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

### **1. Prevention of corruption**

46. In its resolution 6/6, the Conference called upon States parties to continue and to reinforce the effective implementation of the preventive measures outlined in chapter II of the Convention and in Conference resolutions. The work of UNODC on the prevention of corruption is therefore highlighted in detail in the implementation of Conference resolution 6/6 ([CAC/COSP/2017/4](#)).

### **2. Criminal justice sector**

47. UNODC has continued to work with States parties to build capacity in the criminal justice sector, particularly in the investigation and prosecution of corruption-related offences. UNODC provided training programmes 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.

48. In Sao Tome and Principe, UNODC delivered a workshop on the investigation and prosecution of corruption offences, organized in cooperation with the Federal Public Ministry of Brazil and the Office of the Attorney General of Sao Tome and Principe, as a follow-up to a review recommendation to strengthen investigatory and prosecution capacities. In Cabo Verde, UNODC delivered a training course on the investigation of economic and financial crimes, corruption, and abuse of power of prosecutors, judges and police officers.

49. In Tunisia, the UNODC country office supported the development of training manuals for the Magistrate Training institute on financial investigations and mutual legal assistance. In 2016, UNODC delivered training sessions for 126 judges on financial investigations and 112 on mutual legal assistance, based on these manuals.

50. In October 2016, UNODC made a presentation on the links between corruption and tax crime at a workshop convened by the World Bank in Nairobi, attended by tax investigators from Burundi, Kenya, Rwanda, Uganda and the United Republic of Tanzania.

51. In June 2017, the Pacific Regional Anti-Corruption Project and UNODC organized a regional workshop for investigators, prosecutors and law enforcement officials from 15 Pacific island countries and territories with the aim of strengthening collaboration and enhancing their capacity to investigate and prosecute corruption. Similar national workshops were delivered by UNODC in Ecuador, the Marshall Islands and Solomon Islands.

### **3. Reporting of corruption**

52. One of the areas in which UNODC continues to receive a large number of requests for technical assistance — and in which it continues to address gaps identified through the country reviews — is the protection of reporting persons. To date, 156 States that have completed their first cycle reviews have identified 155 instances of technical assistance needs related to article 33 of the Convention on the protection of reporting persons. As a result, UNODC has made a concerted effort

to expand its work in providing technical assistance under that article in order to meet those needs.

53. In November 2015, UNODC launched the *Resource Guide on Good Practices in the Protection of Reporting Persons*. It was subsequently translated into Arabic, French and Spanish.

54. At the regional level, UNODC conducted two workshops, one in Thailand in April 2016 for South-East Asia on the protection of whistle-blowers and witnesses, and one in Vienna in June 2016 for small island developing States. A similar workshop was held for West African countries in September 2016, in support of efforts by the Economic Community of West African States, and led to the adoption of the joint “Monrovia Statement on Whistle-blower and Witness Protection” as well as national priority actions.

55. UNODC was requested to provide national-level technical assistance in a number of countries to support follow-up to review recommendations. UNODC participated in a round table on that topic organized by authorities in Cambodia in March 2017, and provided comments on a draft law on whistle-blower protection. Legislative drafting assistance in relation to whistle-blower protection laws was also provided to El Salvador, Liberia and Solomon Islands.

56. In the Lao People’s Democratic Republic, UNODC and the State inspection and anti-corruption authority organized a seminar for national authorities on corruption reporting mechanisms. The seminar led to the adoption of a national road map for improving such mechanisms.

57. In the Pacific, the Pacific Regional Anti-Corruption Project organized a South-South exchange workshop for Papua New Guinea, Solomon Islands and Vanuatu on the “Phones against corruption” initiative of Papua New Guinea, an anonymous and free-of-charge corruption reporting system accessible by mobile phone or text messaging. The workshop also addressed broader accountability and innovations in the field of countering anti-corruption.

58. UNODC further coordinated with regional and international organizations to provide capacity-building related to the protection of reporting persons. For example, UNODC contributed to a workshop hosted by Transparency International in the former Yugoslav Republic of Macedonia in October 2015 to discuss the draft whistle-blower law, which was subsequently adopted. UNODC also participated in a regional event organized by the Regional Anti-Corruption Initiative in Croatia in May 2016 on reporting corruption and whistle-blower protection in South-Eastern Europe. The event was organized for participants from nine States parties and Kosovo.

59. In July 2017, UNODC participated in a workshop on whistle-blower protection, organized by the Anti-Corruption and Transparency Working Group of Asia-Pacific Economic Cooperation. The Office delivered a presentation on the Convention and the results of the first cycle review with respect to the protection of reporting persons in member States of Asia-Pacific Economic Cooperation. UNODC provided support to the Asian Football Confederation on the drafting and development of the Confederation’s new whistle-blower policy, entitled “Do the right thing”.

#### **4. Corruption and money-laundering**

60. UNODC continued to support the efforts of States parties in combating corruption and money-laundering, providing capacity-building support on the detection and investigation of corruption and money-laundering offences in several States, including the Cook Islands, Egypt, Jordan, Lebanon, the Marshall Islands, Morocco, Mozambique, Papua New Guinea, the State of Palestine and Vanuatu. For example, in Mozambique, a national anti-corruption adviser delivered multiple training courses and seminars to public prosecutors and investigators on investigating and prosecuting money-laundering cases as a method for fighting corruption.

61. UNODC worked with stakeholders in El Salvador and Panama to launch the 2016 campaign against money-laundering, including on social media, in preparation for the International Day for the Prevention of Money-Laundering Prevention, in October. In El Salvador, UNODC provided training to prosecutors and police, including all heads of relevant specialized units, on investigating and prosecuting money-laundering offences. In the Dominican Republic, UNODC provided legislative drafting advice on a bill against money-laundering, as a follow-up to recommendations resulting from the country review.

62. UNODC has implemented initiatives in Panama related to efforts to counter money-laundering. For example, UNODC developed a training curriculum for prosecutors on investigating corruption, money-laundering and asset recovery, which led to increased prosecutions of corruption and money-laundering offences. UNODC delivered training courses on the prevention and detection of money-laundering to a newly created office for the supervision and regulation of non-financial subjects of Panama, which is responsible for oversight of casinos, real estate agents, free zones, notaries and attorneys. In addition, UNODC worked with the Ministry of Economy and Finance to identify capacity-building needs in preparation for the next examination of Panama by the Financial Action Task Force. In June 2017, UNODC met with officials of the financial analysis unit of Panama and the superintendent of banks to launch a national campaign against money-laundering. In July 2017, UNODC delivered a presentation at the first congress on the prevention of money-laundering, organized by the Chamber of Commerce of Colon, Panama.

63. In the Pacific region, the Pacific Regional Anti-Corruption Project and the UNODC Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism worked together to deliver a regional training programme on the topic of the detection, deterrence, disruption and prevention of money-laundering that was attended by participants from the Cook Islands, Fiji, Papua New Guinea, Samoa and Tonga. The Project also facilitated an exchange programme in the financial intelligence unit of Fiji for four participants each year from the financial intelligence units of other Pacific region countries in order to enhance participants' understanding of financial analysis and investigation of transactions related to corruption, money-laundering and terrorist financing. In addition, the Project supported the attachment of an official from the Fiji financial intelligence unit to that of the Marshall Islands in order to strengthen its intelligence management framework.

64. UNODC contributed to the draft typology report, prepared by the secretariat of the Middle East and North African Financial Action Task Force, which covered the links between corruption and money-laundering for 19 Member States. UNODC presented the results of that report and the outcome of the Convention reviews in the region to the Task Force's Technical Assistance and Typology Working Group in Kuwait in April 2017. Working with the Task Force, UNODC organized a workshop on disrupting terrorist financing in Qatar with participants from throughout the region.

65. In May 2017, UNODC participated in a meeting in Panama of the Parliament of Latin America, delivering a presentation on anti-money-laundering efforts and initiatives in the region. UNODC further participated as a panellist in the seminar "Illicit financial flows: stop it, track it, get it and use it", held in New York and sponsored by Nigeria and Norway.

## **5. Private sector**

66. The Conference continued to acknowledge the vital role of the private sector in the fight against corruption. In accordance with resolution 6/5, entitled "St. Petersburg statement on promoting public-private partnership in the prevention of and fight against corruption", UNODC further developed its efforts in combating corruption in the private sector. For example, in October 2016, UNODC delivered a lecture in Panama, entitled "Anti-corruption, ethics and compliance programme for business" at the 2016 Congress of the Panamanian Association of Compliance

Officers, which was attended by approximately 300 compliance officers from local companies and banks.

67. In February 2017, UNODC conducted a series of workshops in Indonesia, co-organized with the Corruption Eradication Commission, on the topic of Indonesian Supreme Court regulations on criminal corporate liability. The workshop was aimed at disseminating information about the regulations to the wider public, raising awareness in the private sector, and providing training on the regulations to national prosecutors, investigators and police officers.

68. UNODC worked with international and regional organizations to promote anti-corruption efforts in the private sector. In May 2016, at a trade law forum for the ASEAN region, organized by the United Nations Commission on International Trade Law, the Office delivered a presentation on the Convention and public procurement for government and private sector participants. In March 2017, at the Regional Business Integrity Conference organized by the ASEAN Corporate Social Responsibility Network, UNODC contributed to a panel discussion on anti-corruption efforts in the private sector and a side event on public procurement.

69. UNODC continued to work closely with a number of private sector organizations and entities, including the Business 20 (B20), the G-20 dialogue with the private sector, and the World Economic Forum. For example, UNODC took part in a B20 conference entitled “From Aspiration to Business Action: the 2030 Agenda as driver for responsible business and anti-corruption in infrastructure development”. UNODC participated in a meeting of the cross-thematic Group on Responsible Business Conduct and Anti-Corruption of the B20, aimed at identifying concrete steps that businesses can use to put the Sustainable Development Goals into action. In December 2016, UNODC participated in a seminar in Brussels addressing anti-corruption concerns for Belgian companies operating overseas. In March 2017, UNODC delivered a training course in Panama on ethics and compliance to the Colon Chamber of Commerce.

70. In addition to its work directly with private sector entities, UNODC made considerable efforts to promote and support public-private partnerships in the fight against corruption in accordance with Conference resolution 6/5. For example, in October 2016 in London, UNODC delivered the opening presentation at the fifth Anti-Bribery and Corruption Forum of the Anti-Money-Laundering Professionals Forum, a platform that brings together public and private sector experts to address preventing and combating corruption. In May 2017, UNODC also delivered a presentation in Spain on the importance of the Convention and public-private partnerships at a conference on integrity in the private sector. The conference was hosted by EY and was attended by approximately 120 chief financial officers and chief compliance officers.

71. In collaboration with the United Nations Global Compact, and with funding from the Siemens Integrity Initiative, UNODC is implementing an ongoing project in Colombia that is aimed at reducing opportunities for corruption by enhancing public-private sector dialogue, improving governmental anti-corruption frameworks and legislation, and creating a culture of integrity in the private sector. UNODC worked with the Global Compact to develop the “Blueprint for SDG Leadership”, a series of guides describing how private sector entities can contribute to achieving the Sustainable Development Goals. UNODC is continuing its work on translating the e-learning tool “The fight against corruption”, developed in collaboration with the Global Compact, into additional languages to make it accessible to a wider audience.

72. In the Pacific region, the Pacific Regional Anti-Corruption Project supported the Pacific Islands Private Sector Organization in developing a draft code of conduct and a toolkit for that Organization and its national subsidiary bodies. In Mexico, UNODC is working with UNDP to develop a model code of ethics and risk analysis protocol for small and medium-sized enterprises, along with corresponding handbooks, as part of a project aimed at supporting the corporate integrity component of the national anti-corruption system. During the first half of 2017, UNODC also

worked closely with the United Kingdom to provide technical assistance at the national and state levels in Mexico. UNODC organized a workshop in Mexico to introduce the concept of beneficial ownership. At the state level, activities were organized with the government of Mexico City in order to support its public works review laboratory, which is in charge of auditing public construction projects as part of the country's corruption prevention strategy.

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

73. UNODC continues 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. The list currently contains the contact information of authorities designated by 128 States.

74. UNODC continues to recognize the crucial role of international cooperation in the fight against corruption and to encourage cooperation among relevant competent authorities, anti-corruption bodies and practitioners in criminal matters pertaining to countering corruption. The open-ended intergovernmental expert meeting to enhance international cooperation under the Convention held meetings in Saint Petersburg, Russian Federation, in November 2015, and in Vienna in November 2016. At those meetings, States parties shared good practices in international cooperation, evaluated the findings of the country reviews on international cooperation and discussed international cooperation in civil and administrative proceedings relating to corruption, among other topics. The next expert meeting is to be held during the seventh session of the Conference.

75. Capacity-building and advisory services on international cooperation were provided at the regional and national levels, and UNODC continued to participate in meetings and conferences aimed at coordinating international cooperation. For example, at the regional workshops in South-East Asia and East Africa, organized as follow-up to the Anti-Corruption Summit, participants highlighted international cooperation as a priority area to fast-tracking the implementation of the Convention and developed concrete recommendations for how to strengthen international cooperation in both regions.

76. UNODC continued to support regional associations of anti-corruption authorities and networks of anti-corruption agencies, including 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. The Network, with UNODC support, set up a permanent secretariat in Senegal, which has held three general meetings. In addition, the members of the Network established in Nigeria a training academy for anti-corruption officials from the region, which held its first two-week training programme in September 2015. Preparations for a second course are under way.

77. In Central America and the Caribbean, UNODC facilitated a regional workshop on best practices in international cooperation with representatives from Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua and Panama. In El Salvador in July 2016, UNODC facilitated the launch of a legislative drafting task force aimed at drafting the first mutual legal assistance and extradition laws.

78. In Europe in April 2017, UNODC participated on a panel at the Annual Forum on Combating Corruption in the European Union aimed at promoting international cooperation under the Convention. UNODC also delivered a presentation on international cooperation in corruption investigations at a conference on the Secure Information Exchange Network Application (SIENA) for Anti-Corruption Authorities, organized by the Austrian Federal Bureau of Anti-Corruption. The conference sought to enhance investigative cooperation among European anti-corruption authorities.

79. In South-East Asia, UNODC participated in the annual meeting of anti-corruption agencies that are members of the South-East Asian Parties Against Corruption. UNODC also participated in a regional conference on improving cross-border justice cooperation in the ASEAN region, held in Thailand in March 2017, and delivered training sessions on extradition and mutual legal assistance and on tools that UNODC has developed to facilitate international cooperation. A third day of meetings focused on strengthening international cooperation in Cambodia, the Lao People's Democratic Republic, Myanmar and Viet Nam.

80. In June 2017, UNODC delivered a presentation on international cooperation at an international symposium organized by the Wayamo Foundation for investigators from Kenya, Rwanda, Uganda and the United Republic of Tanzania.

81. In addition, UNODC has worked to redevelop the Mutual Legal Assistance Request Writer Tool to make it more user-friendly, expand its functionality and integrate features on asset recovery and additional forms of international cooperation. The updated version of the online tool is to be launched in late 2017.

82. UNODC continued to support international cooperation in a range of thematic areas, including environmental and wildlife protection and integrity in sport. Further information on those topics is contained in the report on the implementation of resolution 6/6 ([CAC/COSP/2017/4](#)).

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

83. UNODC has provided assistance to national institutions to strengthen their capacities to trace, seize, freeze, confiscate and return the proceeds of corruption. Work in that area was mainly conducted in the context of the StAR Initiative. The information in the present note complements an updated progress report on the implementation of the mandates of the Working Group on Asset Recovery, which contains detailed information on the work of UNODC and StAR, and was submitted to the Working Group at its eleventh session (see [CAC/COSP/WG.2/2017/3](#)).

84. StAR supports asset recovery efforts through a number of different measures, including country engagements, policy advice, partnerships with States and other stakeholders, knowledge and innovation initiatives, and advocacy.

85. StAR continued to provide demand-driven, country-specific assistance to States in their asset recovery efforts. Each year, StAR provides assistance to more than 20 countries, as well as several asset recovery forums and regional networks. In addition, StAR worked with a number of other jurisdictions through regional and/or international organizations in areas such as capacity-building and technical assistance. The bulk of the work of StAR consists of country engagements that are designed as multi-year programmes and cover a range of diverse activities including tactical analysis and establishment of asset recovery strategies, financial investigation techniques, asset disclosure, forensic audit preparatory to cases, case management advice and the facilitation of contacts with other jurisdictions. Such assistance entails both generic capacity-building activities as well as targeted, case-related engagements. StAR methodologies include training workshops, the placement of mentors, and the practical facilitation of coordination and cooperation, both domestically and internationally.

86. The following examples illustrate the type of country assistance provided by StAR. In a country in Latin America, StAR delivered a workshop on open-source intelligence for members of the inter-institutional asset recovery group of that country, and launched a guide on preparing requests for mutual legal assistance in criminal matters relating to corruption. In a country in Africa, StAR held a capacity-building workshop to support the development of a medium-term implementation action plan for the Proceeds and Instruments of Crime Act of that country. StAR supported the anti-corruption agency of an Asian country in developing manuals and guides on the legal and internal administrative processes for asset recovery cases. In

January 2017, StAR conducted a mission to Mongolia as part of its second phase of engagement. In another country in Africa, StAR worked to support a strategy session for judges and prosecutors on the effective application of non-conviction-based forfeiture legislation. Furthermore, over the past two years, StAR has provided a number of countries with legal assistance in the development or amendment of asset forfeiture laws, including several countries in Latin America, Africa and Asia.

87. StAR also continued to provide and disseminate guides, handbooks and other tools to assist with the recovery of stolen assets, including the handbook *Getting the Full Picture on Public Officials: A How-To Guide for Effective Financial Disclosures*, which was launched in December 2016. In 2016, the publication *The Puppet Masters: How the Corrupt Use Legal Structures to Hide Stolen Assets and What to Do About It* was made available in Arabic. StAR is also working on a new edition of that guide to bring it up-to-date with new cases and developments in beneficial ownership issues. In addition, StAR supported the ninth and tenth practitioner workshops on the return of illicit assets of politically exposed persons in Switzerland, which resulted in the development of a guide for the implementation of the Guidelines for the Efficient Recovery of Stolen Assets developed as part of the Lausanne process. UNODC worked with representatives of Ethiopia and Switzerland on an international expert meeting on the management and disposal of recovered and returned stolen assets.

88. Together with INTERPOL, StAR serviced the sixth and seventh conferences of the Global Focal Point Network on Asset Recovery, hosted by India in November 2015 and Canada in June 2017, respectively. The 2017 conference was attended by delegates from 45 countries and five regional networks, and it included 40 bilateral meetings, involving 27 countries and the five regional networks.

89. Through StAR, UNODC actively supported a number of regional networks in asset recovery, including 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. Similarly, StAR supported efforts like the Arab Forum on Asset Recovery and the upcoming Global Forum on Asset Recovery. UNODC also actively partners with regional bodies similar to the Financial Action Task Force. In September 2016, UNODC provided technical assistance to the CARICOM secretariat on legal consultations regarding the regional agreement for the return and sharing of recovered assets, which was approved by the secretariat in January 2017 and signed in February.

90. In addition, UNODC co-hosted the international Conference on Promoting International Cooperation in Combating Illicit Financial Flows and Enhancing Asset Recovery to Foster Sustainable Development, held in Abuja in June 2017. The conference brought together representatives of government, civil society, the private sector and international organizations, and highlighted the importance of understanding illicit flows in commercial transactions, asset recovery and international cooperation. The participants adopted the Abuja Declaration on Promoting International Cooperation to Combat Illicit Financial Flows and Enhancing Asset Recovery to Foster Sustainable Development, which put forward detailed recommendations to combat illicit financial flows.

## V. Issues on technical assistance for further consideration

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

92. The implementation 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 and involve all relevant actors in a systematic manner; and be country-coordinated.

93. 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. At the regional level, such assistance may take the form of regional training workshops or exchanges of good practices. Extrabudgetary resources to carry out such regional training workshops are necessary to enhance the impact of the work of the mechanism as well as regional and international cooperation.

94. The needs identified in the country reviews often require more robust multi-year assistance, including legislative, policy and technical advice components. In such cases, a strategic approach is needed to ensure that assistance providers consider the outcome of the reviews either for new technical assistance programming or for incorporation into ongoing programmes. To this end, UNODC facilitates dialogue between the national authorities and relevant development partners in order to seek support for the programme without imposing itself as an implementing agency.

95. Examples of possible actions to address recommendations arising out of the reviews or in furtherance of other ad hoc technical assistance requests to strengthen implementation of the Convention 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 priorities identified; training on the investigation and prosecution of corruption offences, including financial investigations; training on enhancing international cooperation in corruption cases, including extradition and mutual legal assistance; legislative advice to address shortcomings identified in current national legislation; 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 reporting of corruption through the establishment of reporting mechanisms, witness and whistle-blower protection programmes, as well as on the oversight and monitoring of asset and interest declaration systems.

96. 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 sessions on the following: international cooperation in the building of capacity and the strengthening of networking among practitioners in the region; model agreements and arrangements for law enforcement cooperation and for joint investigations; good practices and lessons learned, and legal advice to address gaps in criminalization provisions; and model legislation to counter the laundering of proceeds of corruption.

97. The UNODC network of regional anti-corruption advisers has been invaluable in the rapid and effective delivery of technical assistance to meet regional, subregional and country-level needs. The sustainability of the network of anti-corruption advisers, and its expansion to other regions currently not served by a regional adviser, depends exclusively on the availability of extrabudgetary resources. The expert advisory services provided through that network will require additional resources to ensure the continuation of its operational success and ability to provide the requested technical assistance. The Conference of the States Parties may wish to call upon States parties to contribute additional resources to support the long-term sustainability and expansion of that important resource.

98. UNODC has also seen a growing demand for integrating 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 well-positioned to continue encouraging the incorporation of anti-corruption into the wider development agenda, including through the achievement of the Sustainable Development Goals and the 2030 Agenda for Sustainable Development. The Conference may wish to encourage efforts to integrate

anti-corruption reform into development assistance programming, including in support of efforts to achieve the Sustainable Development Goals.

99. There is a need to bridge the growing discrepancy between the increase in the demand for services provided by UNODC and its capacity to deliver that support and to meet the expectations of States parties. The Conference of the States Parties may wish to acknowledge the increase in the number of technical assistance requests in relation to the Convention, and note that that increase is expected to continue during the second review cycle of the Implementation Review Mechanism. The Conference may wish to call upon States parties and other donors to reconfirm their commitment to the prevention, detection and investigation of corruption through the provision of such financial means, particularly in the form of multi-year, soft-earmarked extrabudgetary contributions.

100. The Conference of the States Parties may also wish to recommend that States parties increase their efforts to provide direct assistance and/or funding to development partners in order to meet the technical assistance needs identified in the context of the Implementation Review Mechanism.

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