



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

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## **Eighth session**

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Item 2 of the provisional agenda\*

**Review of the implementation of the United Nations  
Convention against Corruption**

## **Good practices and experiences of, and relevant measures taken by, States parties after the completion of the country reviews, including information related to technical assistance**

### **Report of the Secretariat**

#### **I. Introduction**

1. During the fifth session of the Conference of the States Parties to the United Nations Convention against Corruption, the Secretariat presented a note entitled “Translating commitment into results: impact of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption” (CAC/COSP/2013/14). In its decision 5/1, the Conference decided that the Implementation Review Group should begin promptly to collect, with the support of the Secretariat, and discuss relevant information in order to facilitate the assessment of performance of the Mechanism. The Conference also decided that the Group should include in its future sessions an agenda item allowing for the discussion of such information.
2. The document “Translating commitment into results” was well received, but it was primarily based on the experiences of Secretariat staff who had participated in country reviews or provided technical assistance to States parties in preparation for, during or subsequent to the country review process. In its resolution 6/1, the Conference encouraged States parties to continue voluntarily sharing information on good practices, experiences and relevant measures taken after the completion of their reviews, including information related to technical assistance, and to consider providing such information to the Secretariat for publication on its website.
3. Encouraged by the discussions during the subsequent sessions of the Group and in line with decision 5/1 and resolution 6/1, the Secretariat addressed four notes verbales (on 25 February 2015, 17 April 2016, 31 March 2017 and 2 August 2019) to States parties, inviting them to submit information on any action they had taken in follow-up to gaps or needs identified during the first-cycle reviews. The information received was included in three separate notes by the Secretariat: the first for the sixth session of the Conference, entitled “Assessment of the performance of the Mechanism

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\* CAC/COSP/2019/1.

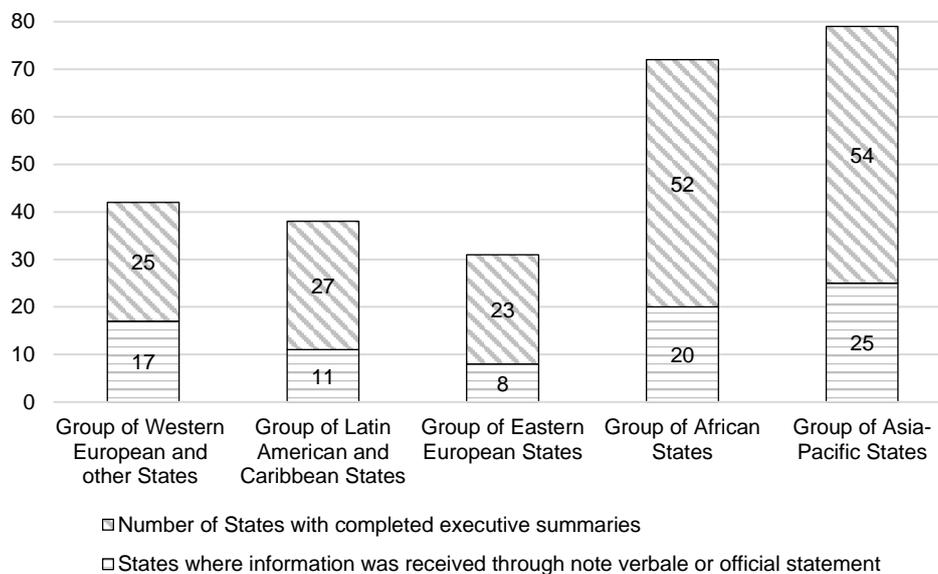


for the Review of Implementation of the United Nations Convention against Corruption” (CAC/COSP/2015/6), the second for the resumed seventh session of the Group, entitled “Good practices and experiences of, and relevant measures taken by, States parties after the completion of the country reviews, including information related to technical assistance” (CAC/COSP/IRG/2016/12), and the third for the seventh session of the Conference, entitled “Analysis of good practices, experiences and relevant measures taken by States parties after completion of the country reviews during the first cycle of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption” (CAC/COSP/2017/12).

4. As at September 2019, 169 States had completed their executive summaries under the first cycle of the Mechanism. Of these, 81 provided relevant information on good practices, experiences and measures taken after the completion of their reviews in response to the Secretariat’s requests for information, either by notes verbales or in the context of statements made at the sessions of the Implementation Review Group. Figure I provides a regional breakdown of these States parties and relates it to the total number of completed reviews per regional group.

Figure I

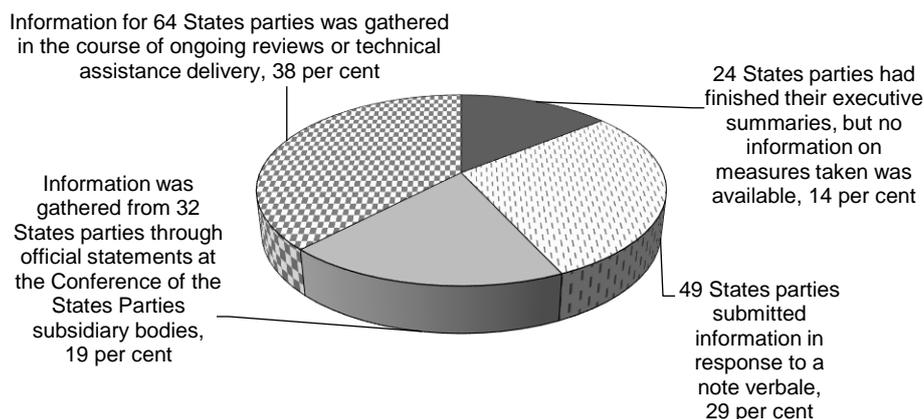
**Regional breakdown of States parties that submitted information on measures taken after the completion of the reviews (as at September 2019)**



5. Information on anti-corruption measures taken by another 66 States parties as a direct result of the reviews was gathered either in the context of the ongoing reviews or through the delivery of technical assistance. In total, information from 145 States parties<sup>1</sup> was collected and used for the overarching analysis of the present note, amounting to 86 per cent of the 169 States that had finalized their first-cycle reviews.

<sup>1</sup> Afghanistan, Algeria, Angola, Antigua and Barbuda, Argentina, Armenia, Australia, Austria, Azerbaijan, Bahamas, Bangladesh, Belarus, Belgium, Belize, Benin, Bhutan, Bolivia (Plurinational State of), Botswana, Brazil, Brunei Darussalam, Burkina Faso, Burundi, Cabo Verde, Cambodia, Cameroon, Central African Republic, Chile, China, Colombia, Cook Islands, Costa Rica, Côte d’Ivoire, Cuba, Djibouti, Dominica, Dominican Republic, Ecuador, Egypt, El Salvador, Eswatini, Ethiopia, Fiji, Finland, France, Gabon, Gambia, Ghana, Greece, Grenada, Guatemala, Guinea, Guinea-Bissau, Haiti, Honduras, Hungary, India, Indonesia, Iran (Islamic Republic of), Iraq, Ireland, Israel, Italy, Jamaica, Japan, Jordan, Kenya, Kiribati, Kuwait, Lao People’s Democratic Republic, Lebanon, Liberia, Libya, Liechtenstein, Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Mexico, Micronesia (Federated States of), Montenegro, Morocco, Mozambique, Myanmar, Namibia, Nauru, Nepal, New Zealand, Nicaragua, Niger, Nigeria, Niue, North Macedonia, Oman, Pakistan, Palau, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Poland, Portugal, Qatar, Republic of Korea, Serbia, Russian Federation, Rwanda, Samoa, Sao Tome and Principe, Saudi Arabia,

Figure II  
**Information regarding measures taken after the completion of reviews (total of 169 as at September 2019)**



6. In line with resolution 6/1, the present note seeks to provide an account of good practices, experiences and measures taken by States parties after the completion of their reviews. It was prepared to update the information presented to the Conference of the States Parties at its seventh session, in November 2017 ([CAC/COSP/2017/12](#)). With a larger sample size, the note also seeks to provide a deeper analysis of the previously identified areas where measures have been taken by States parties after the completion of the reviews.

7. The following statistical information summarizes the impact of the Review Mechanism in promoting the full implementation of the Convention in the 145 States parties for which information was available:

(a) 90 per cent of States parties reported legislative reform efforts by outlining the adoption of new laws or the amendment of current laws to bring them into line with the requirements of the Convention;

(b) 71 per cent found that the Mechanism and its peer review process had helped identify gaps and shortcomings in their frameworks and systems for fighting corruption and/or expressly noted the overall positive impact of the Mechanism on their national efforts to fight corruption, including by leading to improvements in their national institutional structure and cooperation;

(c) 58 per cent provided information about measures taken relating to chapters II and V of the Convention, either as a direct outcome of the first or in preparation for the second implementation review cycle. This was even more prominent in the most recent submissions, 73 per cent of which, in terms of thematic focus, reported on measures taken relating to the second cycle.

## II. Identifying and addressing gaps and shortcomings in national frameworks for fighting corruption

8. Some 71 per cent of States reported on how undergoing the review and participating in the work of the Mechanism had led to improvements in their institutional structure and cooperation at the national level. States emphasized the important role played by the Mechanism in highlighting gaps and shortcomings in existing frameworks and systems for fighting corruption, as well as in identifying

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Senegal, Seychelles, Slovakia, Solomon Islands, South Africa, South Sudan, Spain, Sri Lanka, State of Palestine, Sudan, Sweden, Switzerland, Tajikistan, Thailand, Timor-Leste, Togo, Trinidad and Tobago, Tunisia, Tuvalu, United Arab Emirates, Uganda, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, United States of America, Uruguay, Uzbekistan, Vanuatu, Venezuela (Bolivarian Republic of), Viet Nam, Zambia and Zimbabwe.

concrete ways forward for States parties to address such gaps and strengthen the system as a whole.

9. Many States outlined how the ratification or accession process itself had prompted reflection on their anti-corruption systems, while others described how responding to the self-assessment checklist had helped identify weaknesses that needed to be addressed. Other States had indicated a preference to await the outcome of the review with a view to receiving clearer indications of where changes were required and what gaps identified by the peer reviewers needed attention.

10. States continued to highlight the importance and the benefits of the peer-learning aspect of the Mechanism, which allowed States to accumulate a wealth of experience. One State asserted its conviction that “we have much to gain from collaborations dedicated to fighting [corruption] and thus will continue enforcing the recommendations from the review process and lessons learned from our participation in the [Implementation Review Group] and related meetings”. States further commended the Implementation Review Mechanism’s intergovernmental and technical character, transparency, openness to wide participation, impartiality and non-punitiveness. One State described how the information exchange and the non-intrusive peer “understanding” during the review process had made it all the more encouraging.

11. One State also referred to the Mechanism’s durability, pointing out that it had been tested by time and established itself as a reliable tool for assessing progress made and identifying best practices as well as difficulties encountered in the implementation of the Convention. The Mechanism thereby contributed to legislative and institutional reforms to strengthen cooperation between competent authorities, civil society, the private sector and academia, as well as to foster international cooperation. In that regard, one State referred to its efforts to “continue engaging the citizenry, especially the private sector and civil society, who are robustly creating a culture of integrity for attitudinal change, to mitigate risks and prevent corruption”.

12. States also noted the Mechanism’s influence in shaping the course and strategic policy adopted in the fight against corruption. One State described how the recommendations received had helped shape the development of its whole national anti-corruption agenda, including strategies, policies, legislation and other measures in the fight against corruption.

### **III. Improved institutional cooperation and institution-building**

13. States outlined how several new institutions had been established after the completion of their first-cycle reviews. One State reported drafting legislation to establish its first anti-corruption agency, which, unlike its predecessors, would have its own staff, be financed from the State budget and have guarantees of independence.

14. Following a review of the national capabilities of its law enforcement authorities, one State reported establishing a new body to detect and investigate corruption with a view to improving the effectiveness of its legal, regulatory and institutional frameworks. Another State described efforts that were being undertaken to clarify the scope of activities of the different institutions and officials.

15. Some States mentioned the formation of inter-institutional coordination bodies comprising various State institutions, as well as members of civil society, to better implement recommendations emanating from the review. Similarly, some States were creating corruption prevention units in different governmental institutions so as to ensure that anti-corruption norms were respected in all bodies.

16. Other States reported holding periodic meetings with various national stakeholders to better coordinate their actions and policies. One State reported that as part of its anti-corruption programme, a series of meetings was being held with various national authorities, including prosecutors from the National Public Prosecutor’s Office, to determine areas requiring specific actions to be taken by the

authorities to address the recommendations of the first-cycle review. The same State also reported that an anti-corruption conference was organized annually by the anti-corruption department of the Criminal Bureau of the Police Headquarters, bringing together representatives of the Public Prosecutor's Office, the Central Anti-Corruption Bureau, the Military Police, the Ministry of Investment and Economic Development, the Ministry of Sport and Tourism, the Ministry of Finance, the Public Procurement Office and other entities. The State specified that these initiatives were a direct result of the recommendations made in the course of its country review.

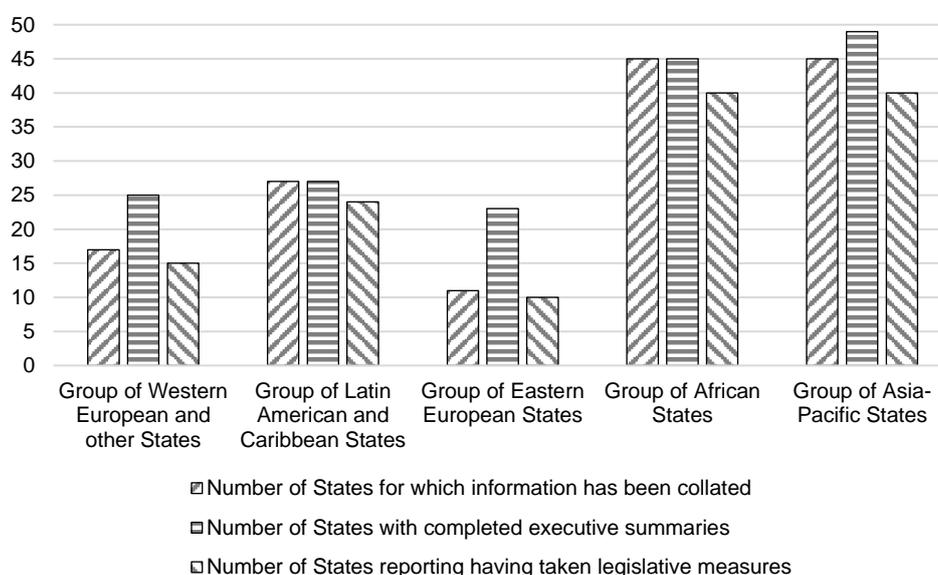
17. In addition to improved national cooperation and coordination, many States also noted the importance of strengthening institutional capacities to promote, coordinate and implement anti-corruption measures. Some States reported that legislative amendments had led to an expansion of the powers of their anti-corruption commissions, allowing them to investigate and prosecute all types of corruption offences. Another State indicated that new legislation had increased national capacities by introducing the possibility of special investigative techniques, such as undercover operations, surveillance and monitoring of supervised deliveries, the interception of communications and the seizure of data.

#### IV. Triggering legislative reform and changes

18. As reported in earlier notes by the Secretariat, legislative drafting, amendments and the adoption of new laws could be seen as a general trend and natural consequence of the reviews conducted during the first cycle. In particular, chapters III and IV of the Convention outline a large number of legislative requirements. Based on the information available to the Secretariat, 90 per cent of States had taken, or were in the process of taking or were planning, various legislative measures subsequent to the completion of their country reviews. States indicated that they had adopted or were in the process of adopting new laws or legal provisions with the aim of better implementing the Convention's requirements and addressing the recommendations issued during the review process.

Figure III

##### Regional breakdown of States for which information was available on legislative reform and other measures



19. Some States reported that comprehensive legislative reform efforts were well under way and that packages of specialized anti-corruption laws, governing areas such as whistle-blower protection, public procurement, money-laundering and access to

information, had been drafted. States also explained that the review had led to constitutional amendments to enshrine the independence of anti-corruption agencies.

### **Protection of witnesses and reporting persons (articles 32 and 33)**

20. The most common legislative reform continued to relate to the protection of witnesses and/or reporting persons. Over a third of the States having taken legislative measures reported having adopted or being in the process of drafting or adopting new legislation on articles 32 and/or 33 of the Convention.

21. Several States reported adopting legislation exclusively ensuring the protection of witnesses, experts and victims. In response to a recommendation on witness protection, one State reported including in its new draft code of criminal procedure a specific chapter on the special protection of persons engaged in criminal proceedings. Another State reported that while it had not addressed a recommendation concerning whistle-blower protection in the private sector, a revision of its Police Act provided for enhanced protection of witnesses.

22. Concerning protections from retaliation, a newly adopted law in one State relaxed requirements with regard to whistle-blowers who made disclosures in the normal course of their duties so that it became more difficult to exclude such disclosures from protection. The law also required agencies to propose mandatory minimum penalties against supervisors found to have carried out retaliatory acts, and that when a supervisor was found to have committed a prohibited practice a second time, the agency was required to propose his or her removal. Moreover, it included a provision prohibiting access to a whistle-blower's medical records and their use against the whistle-blower in an act of retaliation.

23. Several States had adopted whistle-blower protection laws or provisions that included new mechanisms allowing for anonymous reporting. Legislation adopted by one State was reported to ensure that reports were properly investigated by requiring governmental agencies to develop and implement procedures and appoint authorized officers to facilitate the reporting. Another State reported a proposal for a regulation applying whistle-blower protection measures to parts of the private sector, including schools and health-care and social services that are privately run but publicly funded. Reporting persons who worked in such sectors would benefit from enhanced protection when they disclosed information to the media, as their employer would thereby not be permitted to inquire into the identity of the employee who had disclosed the information.

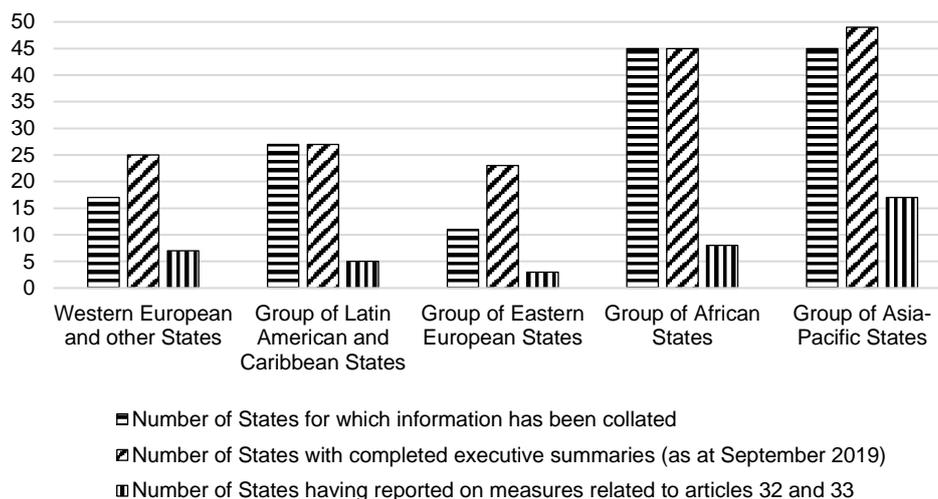
24. Institution-building has also been part of States parties' efforts in relation to whistle-blower protection. One State reported the establishment of a specialized authority dedicated to monitoring the handling of reports and managing staff development and the provision of training on this matter. Another State had reinforced institutional capacities for whistle-blower protection: it had enhanced the investigative and prosecutorial authority's capabilities by means of clarifying the terms of its access to agency documents, including attorney-client communications. The State party reported that, under the new law, agencies could not, on the basis of any common law privileges, withhold information or records requested by the authority and that the authority had the right to investigate an agency's own investigation of a whistle-blower even in cases where it had not resulted in any action.

25. Also related to whistle-blower protection, one State explained that, parallel to the development of its Whistle-blower Protection Law, a Complaint Handling Mechanism Workshop had been organized to strengthen capacities in this regard. Several States had launched electronic reporting platforms. One State explained that an incoming complaint was given an identification number with a pass key allowing the complainant to access the communication and track the status of the investigation and other relevant information. Another State party lauded such measures for also preserving the anonymity of third parties and of State authorities.

26. It is interesting to note that measures reported by States were in line with the set of non-binding recommendations and conclusions on lessons learned regarding the implementation of chapters III and IV of the United Nations Convention against Corruption (CAC/COSP/IRG/2019/3) in relation to article 32. Those recommendations identified the importance of strengthening the effective protection of witnesses, experts and victims, as well as their relatives or associates, as appropriate, in particular by adopting a legal and institutional framework on witness protection. They also highlighted how the framework for such protection should offer all necessary forms of protection, including physical protection and evidentiary rules (such as concealment of identities), to permit witnesses and experts to give testimony in a manner that ensured their safety. Finally, the adoption of a witness protection programme and entering into relocation agreements or arrangements with other States were also noted in the non-binding recommendations as being worthy of consideration.

Figure IV

**States having taken measures relating to the protection of witnesses and/or reporting persons (articles 32 and 33)**



**The liability of legal persons and cooperation with the private sector (articles 26 and 39)**

27. The liability of legal persons (art. 26) was the second central issue raised in the first-cycle review for which several States reported legislative reforms. In an effort to introduce effective and dissuasive sanctions for legal persons, one State had adopted legislation by increasing the maximum for corporate fines. Similarly, another State reported addressing a recommendation on the liability of legal persons by introducing an amendment to remove the requirement of prior conviction of a natural person as a condition for liability of a collective entity.

28. One State described measures taken following a recommendation regarding the impediment caused by the legal principle of *societas non delinquere potest* in its criminal code. As a result of the recommendation, the simultaneous liability of a natural person and a legal person had been made possible: the amended code now included a clause providing that “the criminal liability of legal persons shall not exclude that of natural persons who are the perpetrators of or have participated in the same acts”.

29. Another good practice that was noted in the above-mentioned set of non-binding recommendations related to the engagement of the private sector in fighting corruption, e.g., through cooperation between national authorities and the private sector. The importance of the active engagement of public authorities with the private sector was noted, in particular through efficient information transfer mechanisms between investigative authorities and financial institutions, the training of private

sector entities on prevention measures and awareness-raising. Furthermore, mechanisms to facilitate access to information by law enforcement authorities and to encourage the reporting of corruption were highlighted as good practices.

30. One State reported undertaking measures to strengthen cooperation between its national authorities and the private sector. It noted that its law enforcement authorities had engaged in extensive outreach with the private sector to facilitate the effective implementation of a newly adopted customer due-diligence rule, including developing guidance documents to address industry questions and articulating supervisory expectations for bank examinations assessing compliance with the rule. The same State indicated that it had launched an expanded public-private information-sharing platform, involving the national anti-money-laundering supervising authority, law enforcement agencies and financial institutions, to facilitate the collection, integration and dissemination of information on illicit finance. Another State indicated that its anti-corruption commission had signed a joint declaration of cooperation with its Federation of Chambers of Commerce and Industries.

31. Finally, a number of States had introduced new offences as a direct result of the outcome of their reviews, including illicit enrichment, bribery of foreign public officials, trading in influence and corruption in the public sector. One State reported addressing review recommendations by amending its anti-corruption law through the addition of a definition of corruption, the determination of action to be taken for the loss or damage of State-owned properties and the issuance of an order for private entities to establish codes of conduct. Other States had amended their laws to extend the statute of limitations, while another State had amended its legislation in response to a recommendation so that the statute of limitations ran from the date of discovery of the offence of corruption rather than the date of its commission.

## **V. International cooperation: impact across national borders**

32. The interlinkages among the four substantive chapters of the Convention became ever more evident as the second cycle of the Implementation Review Mechanism proceeded. The international dimension of corruption, which is present throughout the four substantive chapters, remained the *raison d'être* for the Convention. Hence, States reported on measures linked to international cooperation in several respects, and not only in relation to chapter IV. As an example, in relation to the liability of legal persons, one State noted that a legislative proposal was being considered to extend the jurisdiction of its domestic courts to cover also bribery offences committed abroad if they were committed during the exercise of a national company's business activities, regardless of the citizenship of the person who committed the offence.

33. Institutional cooperation was also improved with the aim of facilitating international cooperation in several States. One State explained how, with a view to more effectively and efficiently responding to its international cooperation commitments under the Convention, the Ministry of Justice had created specialized teams to expedite the execution of foreign mutual legal assistance requests by seeking court orders for the production of business and computer records and coordinating with law enforcement agencies to provide other assistance. The same State also reported that it increasingly relied on the international cooperation provisions of the Convention as a legal basis for cooperation.

34. Several States indicated that they continued to sign and ratify agreements and memorandums of understanding on mutual legal assistance in criminal matters. One State reported that in response to a recommendation encouraging the expansion of its network of mutual legal assistance treaties, further bilateral agreements and memorandums of understanding had been signed and several more were in various stages of negotiation. Another State similarly indicated that in order to further

international cooperation, its anti-corruption commission had signed bilateral memorandums of understanding with counterparts in several other jurisdictions.

35. Several States emphasized the value of the exchange of best practices and the day-to-day exchange of information relating to operational and investigative activities conducted by the services of other countries. One State shared its experience of cooperation with international organizations and law enforcement agencies of other countries, including though nationally accredited liaison officers. Another State explained that its Prosecutor General's Coordinating Council had conducted an analytical review in order to improve the cooperation of offices of the Prosecutor General.

36. Examples of South-South exchanges continued to highlight the value of cooperation among countries facing similar challenges. One State provided another with technical support for the development of electronic platforms for anonymous reporting and expressed its willingness to expand the areas of cooperation and exchange, both regionally and internationally, as well as to offer its services in case of requests for cooperation formulated by partner countries and organizations.

37. The same emphasis on international cooperation was prevalent in the information provided by States parties in the area of asset recovery. One State explained that the practice of spontaneous sharing of information with a wide number of domestic and international counterparts had led to successful cases of asset freezing. The State also reported developing guidance on how to detect criminal activity of politically exposed persons, including a set of indicators on how to identify such persons once they no longer fell within the minimal definition of politically exposed person.

## **VI. Enhanced use of information technology solutions**

38. As also observed in the previous note prepared by the Secretariat ([CAC/COSP/2017/12](#)), many States highlighted the importance of sharing information in a secure and timely manner. In this context, an increased use of measures harnessing information technology and e-systems to more effectively and efficiently address issues raised in the context of a review was reported by many States. The use of information technology solutions echoed the good practices related to public procurement (art. 9) identified in the second-cycle reviews, such as prioritizing the use of online procurement portals or full e-procurement systems.

39. For the present note, States parties reported on the establishment of reporting hotlines, online platforms for the reporting and sharing of information among national authorities, and a series of asset declaration systems that were managed electronically. The latter was seen to be of particular importance for ensuring a proper asset verification mechanism for fighting illicit enrichment.

40. One State explained how its administrative procedures had been simplified through the use of information technology to facilitate citizens' access to the competent decision-making procedures of the public authorities. Examples included the use of information technology for public procurement, the dematerialization of the prescription of medicines, electronic identification of users of the national health system and health professionals, the e-invoice system and a platform enabling the electronic submission of documents for use in court cases. A number of States spoke of gradually adopting e-budgeting, e-procurement and e-planning systems. In the context of public procurement, one State reported its implementation of an innovative complaint mechanism as a tool for identifying requests for bribes by public servants, as well as any other irregular behaviour committed by public or private actors.

41. Some States mentioned the creation of central registers for beneficial owners and enhanced beneficial ownership transparency through public registers. One State explained that, taking into consideration a recommendation relating to article 40, on bank secrecy, an electronic register of account information had been created,

containing data relating to bank accounts and deposits of securities. The register could be accessed electronically by law enforcement authorities without a court order and was therefore an effective measure to avoid unnecessary delays in accessing bank information.

42. Information technology was also shown to be instrumental in facilitating international cooperation. For example, the electronic register of account information cited above also served to address a recommendation on article 46, on mutual legal assistance. By allowing law enforcement authorities to access information electronically, easily and without a court order, mutual legal assistance could be provided more efficiently.

43. Several States also reported adopting information systems that systematically compiled statistical data and information on extradition and mutual legal assistance cases with a view to similarly facilitating the monitoring and tracking of such cases and assessing the effectiveness of implementation with regard to, among other things, the duration of mutual legal assistance and extradition proceedings. These measures underscored the cross-cutting nature of the use of information technology, as such tools could be leveraged in many different areas to better implement the Convention.

44. Information technology was also noted to be of increased importance in the context of training activities. One State explained that an e-learning platform on preventing conflicts of interest had been developed for officers and employees of the border guard service.

## **VII. Impact beyond the first cycle: measures related to the second review cycle**

45. The previous notes by the Secretariat reported on how the momentum generated by efforts undertaken to complete the review under the first cycle also led to initiatives in areas under review during the second review cycle, both in relation to chapter II, on preventive measures, and chapter V, on asset recovery. The analysis of the information presented to the Conference of the States Parties in November 2017 concluded that of the then 95 States parties, 58 per cent, had initiated such measures as a direct result of the first-cycle outcome or in preparation for the second cycle. As the second review cycle has advanced, States have also increasingly reported measures explicitly related to chapters II and V, without linking such efforts to their first-cycle reviews. Overall, 83 States parties, or 58 per cent, reported that the Mechanism had led to measures being taken with regard to chapters II and V. However, it is noteworthy that of the most recent submissions, 73 per cent included information on preventive measures and asset recovery measures undertaken as a result of or in advance of the review.

46. Nevertheless, States continued to express the view that many of the challenges encountered in the course of the first cycle remained highly relevant during the second cycle (such as the protection of reporting persons). One example of measures taken as a result of the outcome of the first review cycle and of direct relevance to the chapters under review during the second cycle related to illicit enrichment and the means for detecting this offence. States outlined how they had established new systems for the declaration of assets and other liabilities that targeted the prevention of conflicts of interest.

47. The drafting and establishment of codes of conduct for public officials continued to be priority measures in several States. One State explained that newly adopted legislation had expanded the scope of officials having the obligation to submit a declaration of interests and assets, as well as extending this obligation to the official's family members. Failure to submit the declarations in compliance with the requirements, procedures and time limits prescribed by law entailed administrative and criminal liability, and the registries of interests and assets were made publicly available on a governmental website.

48. Many States reported that they had adopted or were in the process of adopting anti-corruption strategies and corresponding action plans. One State explained that its action plan was a “living document” and that local authorities had decided to voluntarily participate in the implementation of the strategy by developing an action plan of their own.

49. Many States reported on strengthening advocacy mechanisms through awareness-raising activities, including workshops, study tours, press conferences and television series. In connection with the enhanced use of information technologies observed for measures relating to the first cycle, one State reported on its use of social media to inform citizens of the results of hearings, infographics displaying the status of cases awaiting hearing and video interviews of the public prosecutor informing the public about these cases. The State also reported developing a more user-friendly website of the public ministry providing information on cases under investigation and how complaints could be filed.

50. It was notable that many of the awareness-raising activities reported by States were aimed at youth, including school and university students. One State cited the holding of an international youth competition on anti-corruption and the corresponding award ceremony, stating that in view of the positive public response the event would be repeated in the coming year. Another State adopted a compulsory semester-long course on human rights and efforts against corruption in all its universities. In one State, “integrity units” had been established in schools and colleges to “nurture the practice of honesty among youth”. The same State’s Anti-Corruption Commission also initiated public hearings allowing the public to hold their officials and representatives accountable.

51. In an effort to strengthen transparency, some States also reported drafting legislation on access to information.

52. Some States had adopted new anti-money-laundering legislation and specific anti-money-laundering strategies, and some States reported conducting risk assessments. States also reported enhancing capacities for financial investigations and prosecutions in support of asset recovery efforts. In response to a recommendation made during its review, one State conducted an inter-institutional study to improve its management of seized or confiscated proceeds of crime. One State reported adopting legislation to set up an agency for the recovery of illicit assets, while another State reported that it was considering the establishment of such a body.

53. One State noted that in “denying a perpetrator the chance to benefit from any stolen wealth or [its] proceeds”, asset recovery itself was an effective tool in the prevention of corruption.

## **VIII. Technical assistance**

54. The Secretariat has prepared an analysis of technical assistance needs emerging from the country reviews of both the first and second cycle, which also provides an overarching assessment of the evolution of technical assistance needs over the period 2013–2019 (CAC/COSP/2019/14). Nevertheless, in its resolution 6/1 the Conference requested States to share information related to technical assistance. While most information submitted to the Secretariat focused on efforts made and measures taken following the review process, a small number of States also included information relating to technical assistance, either received or provided in relation to the outcome of the implementation reviews. Such information has been reflected in earlier notes of the Secretariat in relation to the substantive matters and measures discussed in the present note.

55. A full account of technical assistance provided by the United Nations Office on Drugs and Crime (UNODC) in support of the reviews can be found in document CAC/COSP/2019/14.

## **IX. Conclusions and issues for further consideration**

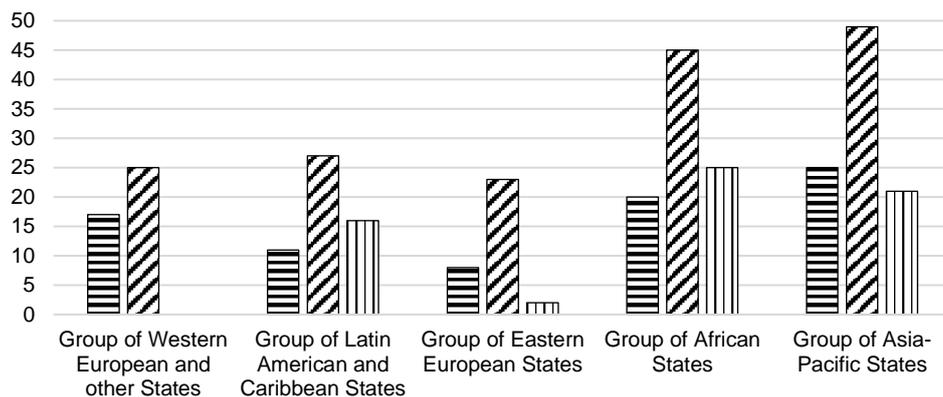
56. While the findings of the implementation review resulted in individual measures at the domestic level, it was noted that the implementation of the Convention had an impact well beyond national borders. Thus, the impact of the reviews was not limited to the chapters under review in each cycle, but addressed the Convention as a whole. The impact was also felt in relation to other anti-corruption peer review mechanisms and technical assistance delivery and programming. As evidenced above, as well as in previous analysis done on this issue, the provisions reviewed during the first review cycle and the challenges relating to them allowed an insight into the provisions that would be under review during second cycle.

57. The latest information provided by States parties in reply to the note verbale and during the meetings of the subsidiary bodies of the Conference has increasingly related solely to the implementation of chapter II, on preventive measures, and chapter V, on asset recovery. Such a development would be natural, as the second cycle of the Mechanism entered its fourth year in June 2019. However, it should be underscored that precisely because of the Convention's interlinkages, the Conference, in discussing the next phase of the Mechanism, may wish to ensure that the implementation of chapter III, on criminalization and law enforcement, and chapter IV, on international cooperation, not be left to stagnate.

58. The impact of the Mechanism was also felt in relation to technical assistance delivery and addressing the needs identified by States parties in both cycles. As can be seen in the above-cited document CAC/COSP/2019/14, several donors had harnessed the strength and validity of the nationally owned and prioritized technical assistance needs and had designed various technical assistance delivery vehicles or programmes around the outcome of the reviews. While this was encouraging, a large number of technical assistance needs still remained to be addressed. The Conference, in discussing the next phase of the Mechanism, may also wish to recall that chapter VI of the Convention addresses technical assistance and information exchange. That chapter has not yet been subject to any review, and some States parties have on a number of occasions suggested in the subsidiary bodies that it could be a subject for review in the next phase.

59. Finally, as depicted in figure V, the submissions received via official channels, such as responses to notes verbales and official statements of States at meetings of the subsidiary bodies, amounted to only 54 per cent of the sources of information that allowed for the present analysis. However, the additional information and experiences emanating from the country reviews and technical assistance delivery have allowed for a comprehensive analysis that demonstrates the impact of the Mechanism not only during the first cycle, but also its continuing influence in the second cycle. It is noteworthy that, from among the 145 States parties from which information was gathered, the impact of the Mechanism was acknowledged by countries from all regions.

Figure V  
**Regional breakdown of how information was received from the States parties that had finalized their executive summaries (total of 169 as at September 2019)**



- ▨ States from which information was received through note verbale or official statement
- ▩ Number of States with completed executive summaries
- ▮ States regarding which information was received through the review of technical assistance delivery

60. In accordance with paragraph 12 of Conference resolution 6/1, the Secretariat is in the process of publishing, as applicable, States' reports on follow-up, to be found on the Implementation Review Group's dedicated country profile pages ([www.unodc.org/unodc/en/treaties/CAC/country-profile/index.html](http://www.unodc.org/unodc/en/treaties/CAC/country-profile/index.html)).