



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

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## **Eighth session**

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Item 3 of the provisional agenda\*

### **Technical assistance**

## **Analysis of technical assistance needs emerging from the country reviews and assistance delivered by the United Nations Office on Drugs and Crime in support of the implementation of the United Nations Convention against Corruption**

### **Note by the Secretariat**

#### **I. Introduction**

1. In its resolution 3/1, the Conference of the States Parties to the United Nations Convention against Corruption adopted the terms of reference of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption. The Conference decided that the Implementation Review Group would be in charge of following up and continuing the work of the Open-ended Intergovernmental Working Group on Technical Assistance. Pursuant to paragraph 11 of the terms of reference, one of the goals of the Implementation Review Mechanism is to help States parties to identify and substantiate specific needs for technical assistance and to promote and facilitate the provision of technical assistance. In accordance with paragraph 44 of the terms of reference, the Review Group is tasked with considering technical assistance requirements in order to ensure effective implementation of the Convention.

2. In its resolution 4/1, the Conference recommended that all States parties, where applicable, in their responses to the comprehensive self-assessment checklists and in the country reports, should identify technical assistance requirements, preferably prioritized and related to the implementation of the provisions of the Convention examined during a given review cycle. In the same resolution, the Conference decided that the Review Group should consider, on the basis of the outcome of the review process and consistent with the terms of reference of the Implementation Review Mechanism, priority areas for the provision of technical assistance. Furthermore, in resolution 7/3 the Conference reiterated the importance of the Group considering such priority areas for the provision of technical assistance, as well as consolidated information on trends in technical assistance required and provided, and encouraged States parties to continue to voluntarily provide the Implementation Review Group, consistent with the agreed terms of reference, with information on current, anticipated

\* [CAC/COSP/2019/1](#).



and unmet technical assistance needs, including those needs identified through the review process, and also encouraged States parties to use that information to inform technical assistance programmes.

3. During the first review cycle States identified their technical assistance needs in pre-determined categories<sup>1</sup> in the comprehensive self-assessment checklist. However, at its sixth session, prior to the launch of the second review cycle, the Conference reconsidered how technical assistance needs should be identified in the second cycle (see [CAC/COSP/2015/10](#)). The way in which technical assistance needs were presented in the self-assessment checklist was therefore discussed on numerous occasions during the deliberations that preceded and led to the adoption of the revised self-assessment checklist ([CAC/COSP/IRG/2016/4](#)). The revised checklist allows States to identify technical assistance needs in a manner that is less restrictive and predetermined than during the first cycle. Nevertheless, the revised checklist provides examples of what type of assistance could be relevant.

4. It should be noted that the provision of technical assistance is an integral part of the Convention, in particular of its chapter VI, devoted to technical assistance and information exchange.

5. The assessment of technical assistance needs, particularly through the Implementation Review Mechanism and the delivery of such technical assistance, is essential to ensure that States parties are appropriately supported in achieving the full implementation of the Convention. Technical assistance spans all of the Convention's substantive areas and comprises a wide range of techniques, including the review and revision of legislative and policy frameworks, the development of new institutional bodies, coordination among public institutions, including across borders, increased support for criminal justice systems, and activities in the areas of asset recovery, education, wildlife and the private sector.

6. The present document provides an overview of the ways in which the United Nations Office on Drugs and Crime (UNODC) has responded to technical assistance needs and requests received since the Secretariat drafted a note on technical assistance in support of the implementation of the Convention for the seventh session of the Conference of the States Parties to the Convention, held in Vienna from 6 to 10 November 2017 ([CAC/COSP/2017/3](#)). As such, it highlights selected technical assistance activities implemented between August 2017 and August 2019.

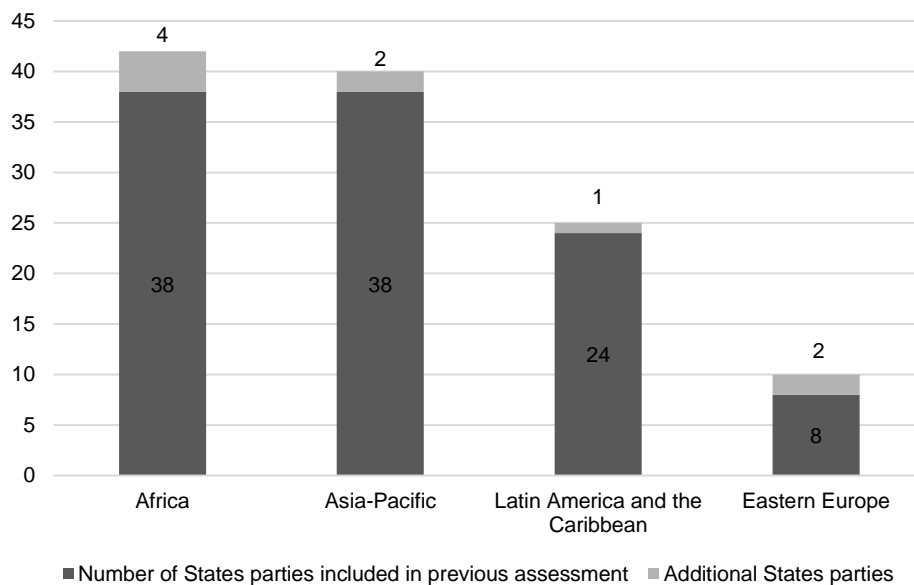
## **II. Analysis of technical assistance needs identified through the first cycle of the Implementation Review Mechanism**

7. By September 2019, 169 States parties to the Convention had completed their country review processes, with the majority of the remaining 15 reviews in the final stages of completion for the first cycle of the Mechanism. Since the note by the Secretariat presented to the Conference in 2017, entitled "Analysis of technical assistance needs emerging from the country reviews" ([CAC/COSP/2017/7](#)), nine additional reviews had been completed, all of which cited technical assistance needs. The previous note took stock of the developments over five years (2012–2017) and provided a comprehensive analysis of the overall technical assistance needs identified during the first cycle. For that reason, the present note focuses only on those specific areas where changes have occurred in the statistical analysis, as the overall substantive analysis has not changed sufficiently to merit a fuller reassessment.

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<sup>1</sup> The predetermined categories were: legislative drafting and legal advice; model legislation; development of an implementation action plan; summary of good practices or lessons learned; model treaties or agreements; capacity-building programmes; assistance by an on-site expert; technological assistance; and a catch-all category for other assistance.

Figure I  
**Increase in number of States parties having identified technical assistance needs, by region**



8. In the reviews of the first cycle of the Mechanism 3,672 individual technical assistance needs were identified, which included an additional 89 needs for the nine newly completed reviews. Of these, 53 needs related to chapter III, on criminalization and law enforcement, and 34 to chapter IV, on international cooperation. In both chapters, the largest increase related to the categories of needs for legislative assistance, capacity-building and visits of on-site experts.

Figure II  
**Additional technical assistance needs**

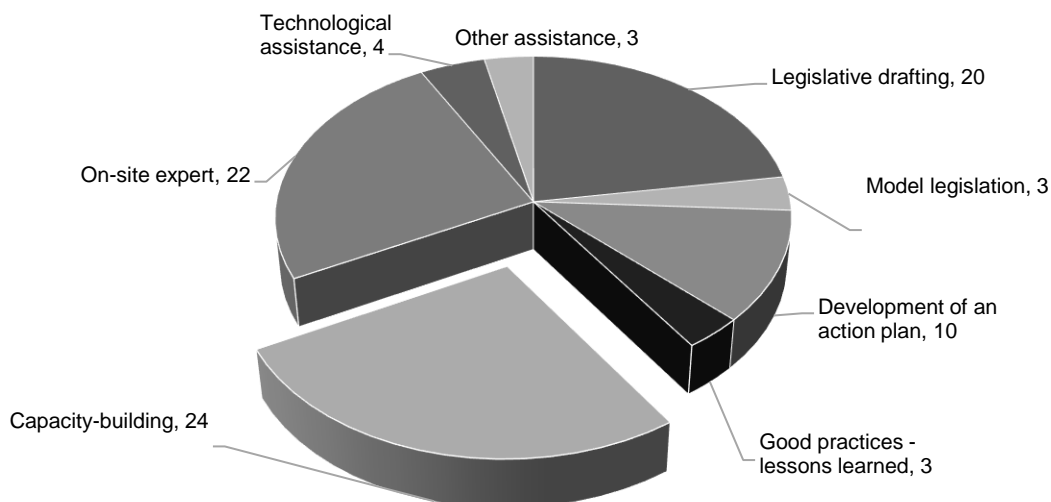
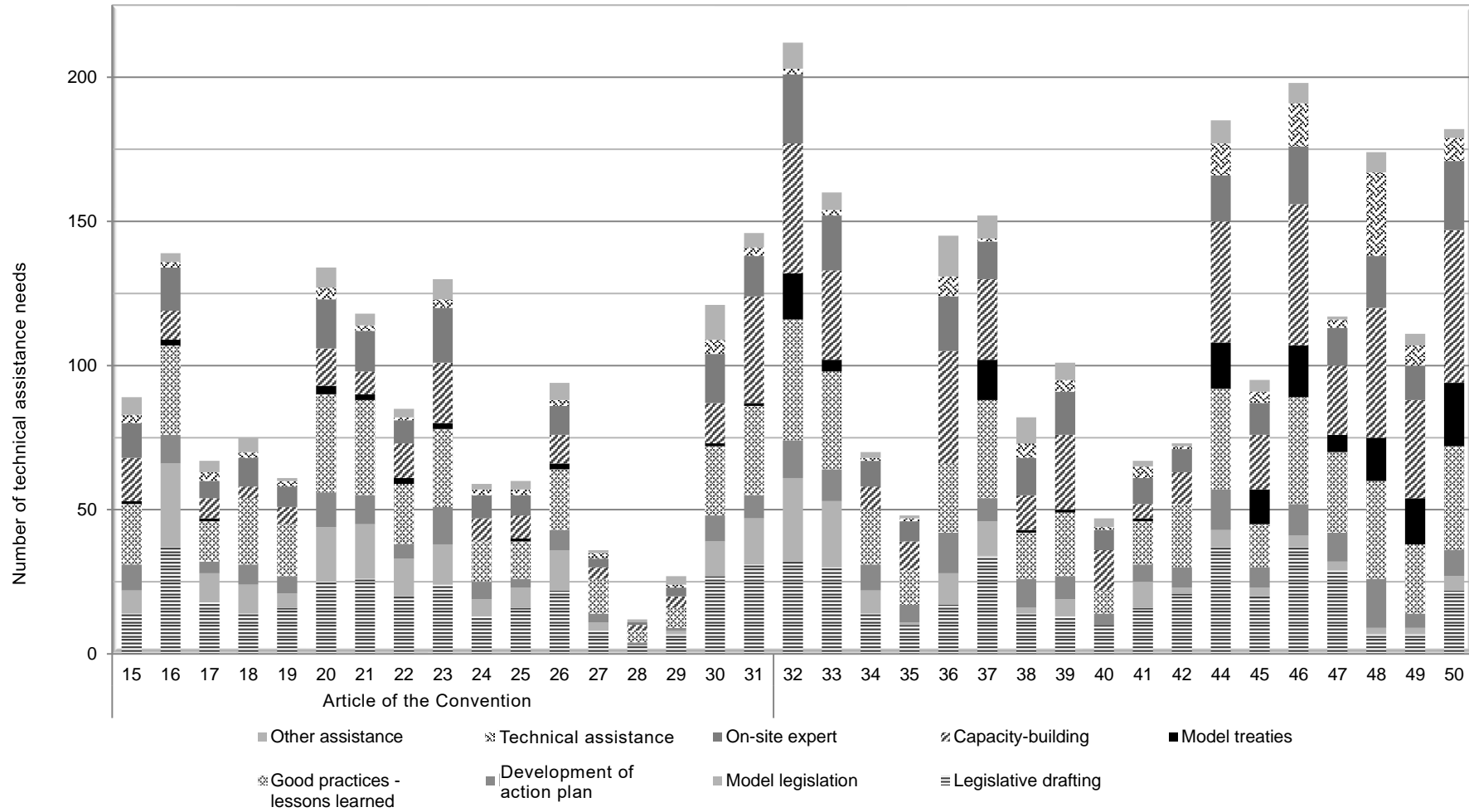


Figure III  
**Overall distribution of technical assistance needs, by article and category**



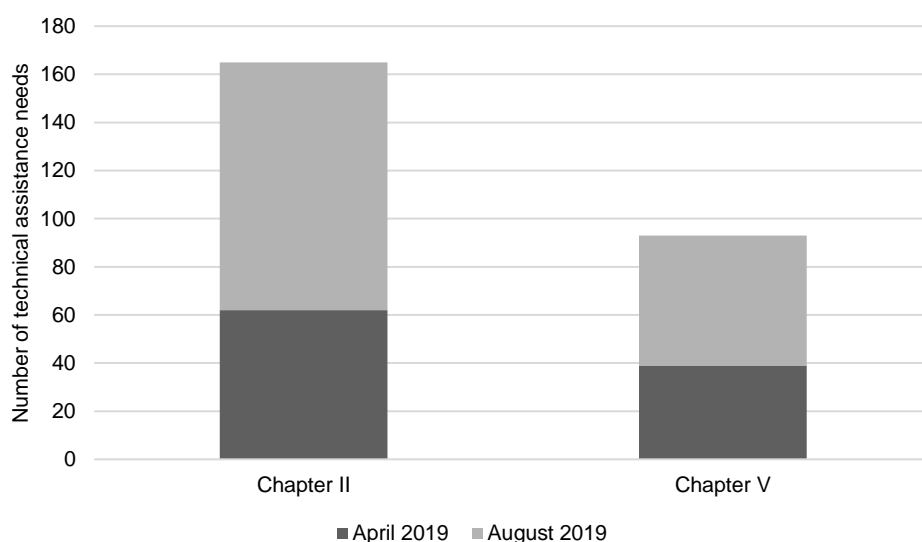
### III. Analysis of technical assistance needs identified in the second cycle of the Implementation Review Mechanism

#### 1. Overall assessment

9. For the tenth session of the Implementation Review Group, in May 2019, the Secretariat prepared a note analysing for the Group's benefit the needs emerging under the second cycle, entitled "Technical assistance in support of the implementation of the United Nations Convention against Corruption, including analysis of technical assistance needs emerging from the country reviews" (CAC/COSP/IRG/2019/5). At that time, 20 States had finalized their executive summaries, of which 10 had identified technical assistance needs. Since then, seven further States parties have completed the executive summaries of their country reviews, all of which identified technical assistance needs. This amounts to a total of 27 States parties, of which 17 have expressed technical assistance needs in the framework of the Implementation Review Mechanism.

Figure IV

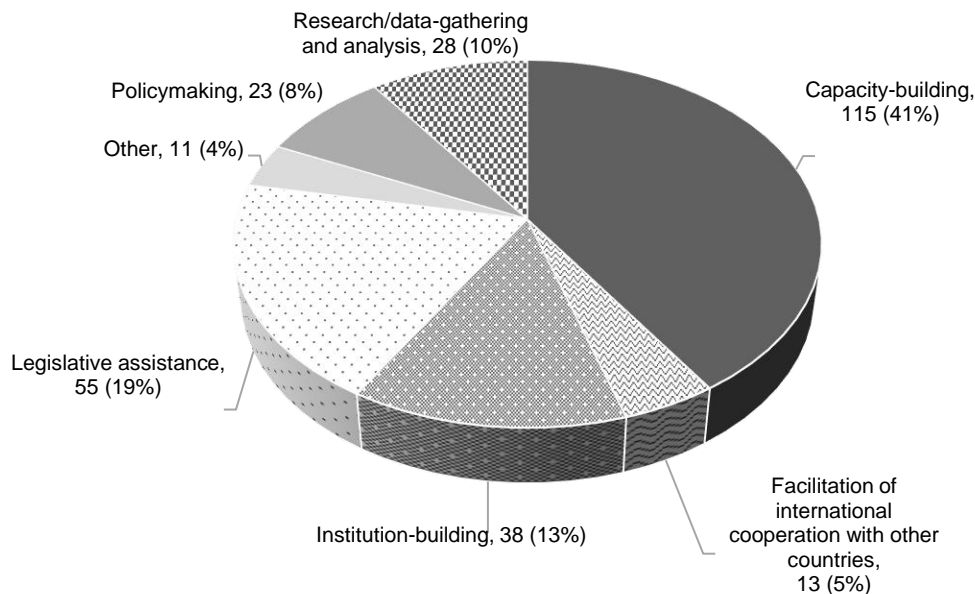
#### Number of technical assistance needs identified, by chapter



10. At present, a total of 282 individual needs have been identified, compared to 164 in the previous analysis. Despite this increase, the sample size of States continued to remain small, which, as in the previous analysis, means that it is still too early to provide any conclusive wider analysis. However, it is possible to further develop the identification of some preliminary trends analysed at the Group's session in May 2019.

11. While the technical assistance needs identified in the previous analysis appeared to be almost equally split between the two chapters under review, the updated analysis tilts the scales: some 62 per cent of the needs related to chapter II, on preventive measures, and 38 per cent to chapter V, on asset recovery. This would appear logical, as that difference would reflect the greater number of substantive provisions contained in chapter II.

Figure V  
**Number and percentage of individual technical assistance needs, by category**



## 2. Capacity-building

12. In line with the analysis of May 2019, the updated analysis continued to identify capacity-building (41 per cent, or 115 of the total needs identified) as the most prominent type of technical assistance need and, again, most notably referring to the need to enhance the substantive skills and capacity of staff. Budgetary constraints were noted to underlie many of the needs relating to staff shortages and skill development.

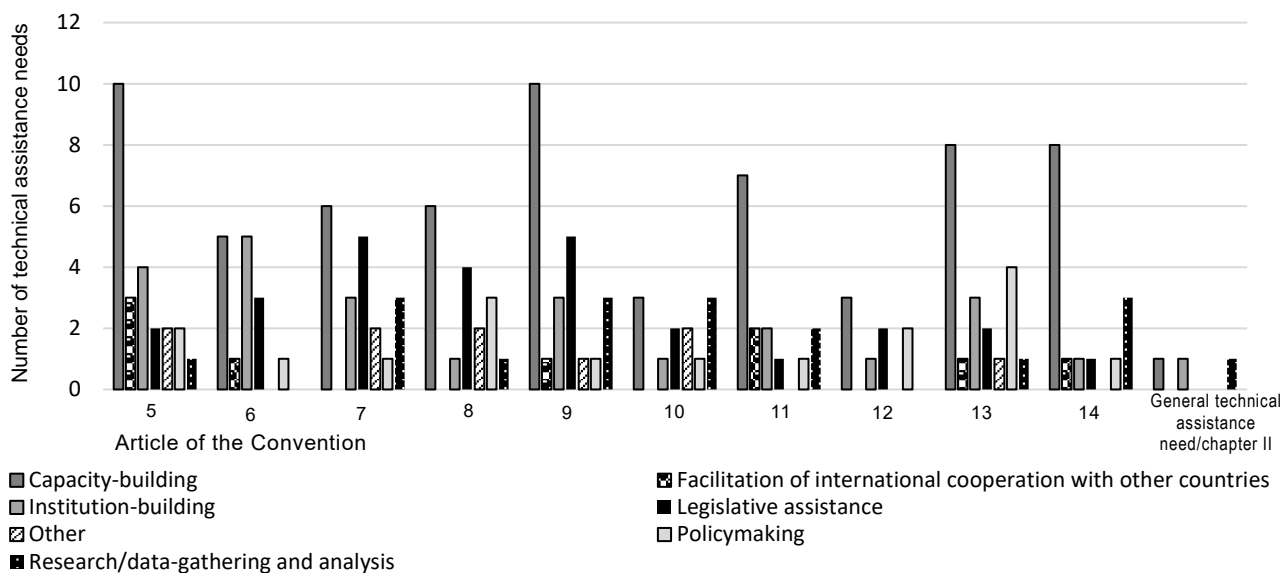
13. Several States highlighted the need to train officials for the purpose of awareness-raising, for example through the development of audiovisual messages and cartoons. Five States also identified the need for exchange programmes and the sharing of experiences with other States in order to learn from good practices in other jurisdictions.

14. One State indicated the need for assistance to enhance staff capacities related to the goal of establishing a post for a human resource official responsible for ensuring that job descriptions were designed to improve productivity and prevent corrupt practices. Such an official would also be dedicated to training staff on preventive measures, identifying risks and changing cultural perspectives on what behaviour should be deemed corrupt. In this regard, training to support research activities or the development and publishing of reports including research skills, methodology and report-writing skills was listed by half of the States that identified technical assistance needs.

## 3. Legislative assistance and institution-building

15. The second most identified category of needed technical assistance concerned legislative assistance (55 needs), which included assistance to draft or amend a variety of laws relevant to chapter II of the Convention, including electoral laws and laws on financial crime, public procurement, asset recovery and access to information. Institution-building was the third most prominent category of technical assistance (38 needs) in the current analysis and related to both prevention and asset recovery institutions, in equal measure. These two categories of needs were also combined in the more recent reviews with the needs for legislative assistance to harmonize existing legislation aimed at providing clarity on the roles of the different anti-corruption bodies and to minimize duplication of efforts.

Figure VI  
**Technical assistance needs, chapter II of the Convention, by category**



#### IV. Analysis of technical assistance needs identified in relation to chapter II of the Convention

16. Seventeen States parties identified technical assistance needs in relation to chapter II, focusing on preventive measures. Of these, nine States identified a total of 24 needs related to article 5, concerning preventive anti-corruption policies and practices. In relation to article 9, on public procurement and management of public finances, a total of 19 needs were identified by 10 States. Article 7, on the public sector (9 States), and article 13, on participation of society (8 States), were the articles for which the third most needs were identified, (20 each).

##### 1. Preventive anti-corruption policies and practices (article 5)

17. Many technical needs identified related to the development of preventive anti-corruption policies and practices, and these touched upon most categories of needs, such as capacity-building, legislative assistance and international cooperation.

18. Five States indicated the need for capacity-building for their anti-corruption bodies to assess the national systems and to develop and effectively implement national strategies. Two States noted the need for capacity-building to benefit from new technologies in the context of preventive policies and practices. One State referred to such assistance for the development of a web-based platform specifically for small island developing States. The web-based platform was identified as a tool for integrating activity online, capturing information and making it more available among small island developing States. To this end, it could also facilitate research and foster online discussions and debate among widely dispersed countries and professionals. In noting the financial constraints that small island developing States often faced, it was explained how such a platform would also allow for effectively broadening participation, by collecting and presenting valuable information on specific events of and for small island developing States, as well as making them accessible to people who were unable to attend an event.

19. In line with the observed trend of States expressing a need for increased cooperation and sharing of experiences, one State articulated the need to build bridges of cooperation with countries having best practices for preparing and implementing national strategies to fight corruption. This could be done through oversight of the training of staff responsible for the implementation of the different aspects of the

anti-corruption strategy. That State further listed the provision of knowledge on experiences in monitoring and coordinating the implementation of such strategies as a related need. Another State requested good-practice examples in the deployment of multisectoral anti-corruption strategies at different levels of government. The international cooperation-related needs highlighted the view that information exchanges among States were useful not only in the preparation of anti-corruption strategies, but also in their implementation. More States expressed needs relating to the implementation of a national preventive anti-corruption strategy (4) than in the preparation of such a strategy (2). In this regard, the need for technical assistance for policy analysis aimed at evaluating existing policies and practices was also noted by two States.

20. Two States expressed the need for greater inter-agency coordination, with one emphasizing the need to support integrity committees so that they can function at the level not only of villages but also of ministries, departments and agencies.

21. A shortage of resources was expressed by two States with respect to preventive risk assessments, institutional analysis to identify loopholes in the system, compliance checks, or the development of effective public expenditure tracking surveys. Training and mentoring for the purpose of skills enhancement was listed by two States.

## **2. Asset declarations and conflicts of interest**

22. Needs continued to be identified on the subject of asset declarations and conflicts of interest, primarily in relation to article 7, but at times also article 8. Several States noted the need for the development of procedures and systems for receiving, monitoring and verifying declarations and disclosures of interests, assets and gifts. Some States expressed such needs more vaguely, in terms of the need for conflict-of-interest management. Others were more specific and indicated the need to establish a system allowing for the detection of inconsistencies and suspicious behaviours that would point to a conflict of interest.

23. The need for technical support for the management of such asset declarations and conflict-of-interest disclosures was also highlighted by a third of the States that identified technical assistance needs. This included needs for technological assistance that were noted in relation to the implementation of several provisions of the Convention, as detailed in section V below. One State expressed the need to develop innovative approaches to make use of information and communications technology for asset-declaration reporting systems. Similarly, another State noted the need to develop a comprehensive computerized system to identify the areas that could be subject to conflict of interest. That State also noted the desire to benefit from best practices established at the international level.

24. On the subject of conflict of interest, some States also indicated the need for the development of rules and regulations on political-party funding and donor disclosure. One State specified the need to establish a verification regime to ensure that the lawful limit of donations was not exceeded.

## **3. Participation of society (article 13)**

25. Another noteworthy development was the increasing number of needs relating to article 13, on the participation of society. Some States expressed such needs more generally as enhancing the participation of society or the sharing of best practices on how society could be more involved in decision-making processes or the development and implementation of preventive policies and practices. Other States referred to the importance of training for awareness-raising and promoting the reporting of corruption.

26. Another way in which States addressed this theme was by citing the need for improved access to information through the simplification of procedures and the implementation of access-to-information laws.



27. One State cited the need for the finalization of a bill on non-governmental organizations so as to provide the necessary legal and regulatory environment allowing civil society organizations to operate more actively in the prevention of corruption. That State also noted that in encouraging advocacy by civil society organizations, the passing of that bill could in turn facilitate the passing of a bill on public access to information. The same State also expressed the need for capacity-building and mentorship for civil society organizations so as to facilitate the implementation of anti-corruption programmes and create synergies with civil society organizations' programmes for advocacy purposes.

28. Overall it was noted that States increasingly deployed efforts to enhance the capacities of society and promote the active participation of a plethora of groups outside the public sector.

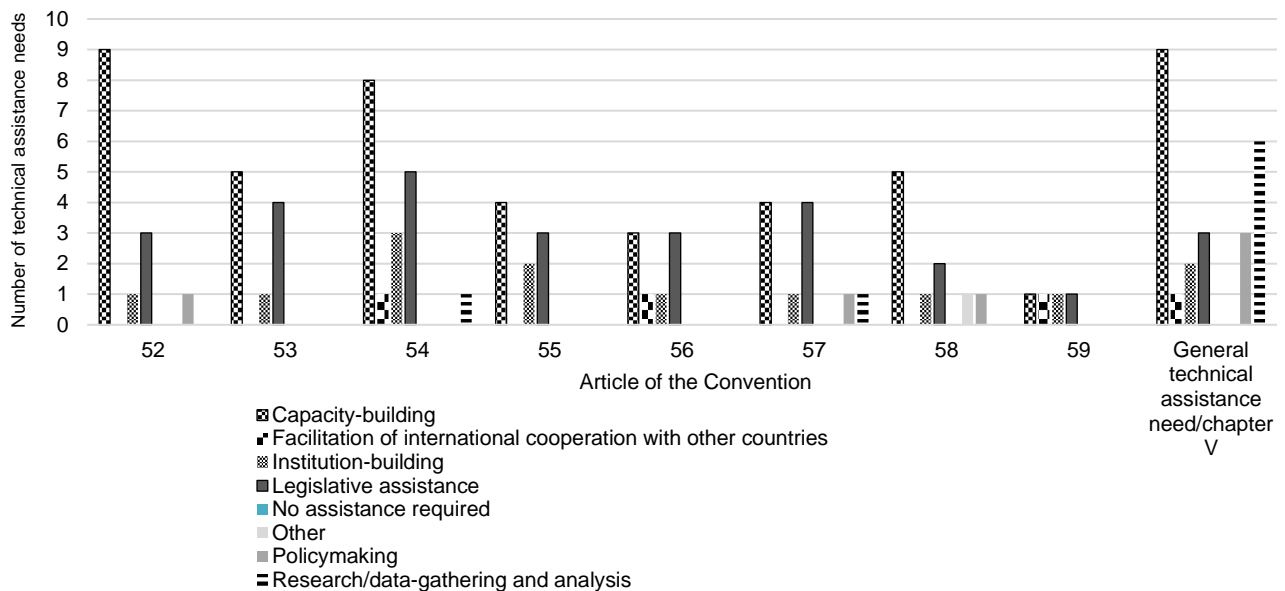
## **V. Analysis of technical assistance needs in relation to chapter V of the Convention**

29. In line with the report of May 2019, technical assistance needs for capacity-building remained the largest category of needs. Over half of the States that identified needs in relation to chapter V (12 of 23 States) specified those needs to be in the area of capacity-building.

30. The latest sample of technical assistance needs highlighted a growing number of needs related to technological assistance, including the digitization of records (such as court records and financial disclosures), enhancing electronic record-keeping systems and database management. This is also reflected in needs related to the prevention of money-laundering, where the needs for strategic analysis to decipher underlying trends, threats and vulnerabilities for the purpose of preventing money-laundering and the financing of terrorism, as well as to inform policy formulation and operational priorities, were identified. The need for technical assistance in relation to financial investigations and tracing and detecting ill-gotten assets and proceeds of crime was identified in relation to all articles of chapter V. Some States also linked the needs identified under chapter V to those identified under chapter II, article 14, on measures to prevent money-laundering.

31. The interlinkages between the two chapters reviewed in the second cycle of the Mechanism remained noticeable in terms of both the type of needs identified and the focus of such needs. For example, both articles 8 and 52 include provisions related to the declaration of assets; one third of the States identifying technical needs cited needs in this regard, and half of those States cited needs under article 8 and half under article 52. One State repeated the identical need in relation to both articles. Articles 14 and 58 provide another such interlinkage, with the category of capacity-building being identified in relation to financial investigations for both chapters. In future analysis, it will be interesting to look at trends and similarities with respect to the technical assistance needs identified in the implementation of chapter IV, on international cooperation, and chapter V, on asset recovery.

Figure VII  
**Technical assistance needs, chapter V, by category**



## VI. Delivery framework and resources

32. UNODC continued to provide a wide range of targeted technical assistance in the form of direct support and through a number of technical tools to meet the needs of States parties through its global,<sup>2</sup> regional<sup>3</sup> and national programmes.

33. In its resolution 6/1, the Conference recognized the valuable and ongoing role of technical assistance within the Implementation Review Mechanism, as well as the importance of country-led and country-based programme delivery as an effective means of addressing needs identified by States parties.

34. In its resolution 7/3, the Conference, in reaffirming its resolutions 3/4 and 4/1, emphasized the significant role that technical assistance plays in the effective implementation of the Convention and encouraged South-South cooperation to combat corruption and to respond to technical assistance needs, including in the form of capacity-building and training.

35. UNODC has continued to support technical assistance needs arising from the first review cycle, covering chapters III (Criminalization and law enforcement) and IV (International cooperation) of the Convention, and the second cycle, covering chapters II (Preventive measures) and V (Asset recovery). In addition, UNODC provided technical assistance concerning the Implementation Review Mechanism to focal points from States under review and to governmental experts from reviewing States parties to ensure that all States parties are equipped to complete the review, identify any further needs and implement recommendations. Furthermore, States parties may request technical assistance directly from UNODC outside the review process.

<sup>2</sup> Current UNODC 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, the Global Programme for the Implementation of the Doha Declaration: Towards the promotion of a culture of lawfulness and the Global Programme for Combating Wildlife and Forest Crime.

<sup>3</sup> Such projects include the United Nations Pacific Regional Anti-Corruption Project, which is a joint UNODC/United Nations Development undertaking, and “Strengthening criminal investigation and criminal justice cooperation along the cocaine route in Latin America, the Caribbean and West Africa” (CRIMJUST).

36. UNODC provided specific technical assistance concerning the prevention of corruption at the global, regional and national levels. These efforts are recounted in the report on the implementation of Conference resolutions 7/5 and 7/6. (CAC/COSP/2019/2).

37. Through its global presence, UNODC sought to effectively respond to the ever-increasing technical assistance requests. A team of field-based anti-corruption advisers is supported by substantive experts. At the time of writing, advisers with regional responsibilities were based in Fiji (for the Pacific), Kenya (for East and Southern Africa), Panama (for Central America and the Caribbean), Senegal (for West and Central Africa) and Thailand (for South and South-East Asia). They served as key focal points for the provision of anti-corruption assistance at the regional and the country level by providing rapidly deployable professional expertise to facilitate the delivery of on-site guidance to States parties. Thus, anti-corruption advisers played a key role in strengthening regional coordination, encouraging South-South cooperation and facilitating the exchange of good practices, thereby creating lasting bilateral, multilateral and regional relationships in which knowledge and expertise were shared.

38. UNODC field offices also implemented anti-corruption projects at the national level, including in Bolivia (Plurinational State of), Colombia, Ecuador, El Salvador, Egypt, Indonesia, Myanmar, Nigeria, Panama and Paraguay.

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

39. UNODC continued to strategically prioritize and deliver technical assistance based on identified needs, in coordination with other assistance providers, development partners and international organizations.

40. UNODC aimed to contribute to innovative policy reform and to identify and address emerging issues in the field of anti-corruption work. UNODC participated in meetings of the Group of 20 (G-20) Anti-Corruption Working Group under the co-chairmanship of Japan and Mexico, and in meetings of the Working Group on Bribery in International Business Transactions of the Organization for Economic Cooperation and Development (OECD), the Mechanism for Follow-up on the Implementation of the Inter-American Convention against Corruption of the Organization of American States and the Group of States against Corruption of the Council of Europe during the reporting period.

41. When developing and implementing anti-corruption technical assistance projects and programmes, UNODC strives to avoid duplicating efforts and works collaboratively with entities within and outside the United Nations system. In particular, during the reporting period closer cooperation was started with the International Monetary Fund and the World Bank. The joint UNODC/World Bank Stolen Asset Recovery (StAR) Initiative is an example of the two organizations working together to benefit from each other's comparative advantage and expertise; the tenth anniversary of the StAR Initiative will be celebrated next year. Another such example is the implementation of coordinated or joint anti-corruption projects with the United Nations Development Programme, in particular in the Pacific region in the framework of the joint United Nations Pacific Regional Anti-Corruption Project.

42. UNODC also cooperates with and contributes to the work of a number of intergovernmental or non-governmental organizations, including the African Union, the Asia-Pacific Economic Cooperation, the Association of Southeast Asian Nations, the Basel Institute on Governance, the Caribbean Community, the Commonwealth Secretariat, the Eastern Partnership, the Economic Community of West African States, Eurojust, the Global Organization of Parliamentarians against Corruption, the Group of Seven, G-20, the Group of States against Corruption of the Council of Europe, the International Association of Anti-Corruption Authorities, the International Criminal

Police Organization (INTERPOL), the International Foundation for Electoral Systems, the International Institute for Democracy and Electoral Assistance, the North Atlantic Treaty Organization (NATO) Building Integrity Programme, the Office for Democratic Institutions and Human Rights of the Organization for Security and Cooperation in Europe, OECD and its Development Assistance Committee's Anti-Corruption Task Team, the Southern African Development Community, Transparency International, the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the United Nations Global Compact, among others.

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

43. The present report details technical assistance delivered from the latter half of 2018 through September 2019. A comprehensive analysis of UNODC technical assistance was reported to the Implementation Review Group in May 2019 in document CAC/COSP/IRG/2019/5. Further information on technical assistance delivered with respect to the prevention of corruption is in the report of the Secretariat's report on the status of implementation of Conference resolutions 7/5 and 7/6.(CAC/COSP/2019/2).

### **1. Knowledge tools facilitating the delivery of assistance**

44. UNODC continued to develop and disseminate guides, handbooks and other tools that address the needs of anti-corruption practitioners and explain policies and best practices relating to the implementation of the Convention. The tools were developed at the global, regional and national levels.

45. A number of tools were published during the reporting period, including *Rotten Fish: A Guide on Addressing Corruption in the Fisheries Sector*, *Reporting Mechanisms in Sport: A Practical Guide for Development and Implementation*, and *Civil Society for Development: Opportunities through the United Nations Convention against Corruption*.

46. UNODC also launched the publication, *Strengthening the Rule of Law Through Education: A Guide for Policymakers*, in collaboration with UNESCO.

47. At the time of drafting, UNODC was finalizing the second edition of the *Implementation Guide and Evaluative Framework for Article 11*, set to be published by the end of 2019.

48. To help ensure the full and complete implementation of article 9 of the Convention, UNODC was also developing a guide on corruption risk assessments to assist countries in identifying and mitigating corruption vulnerabilities in the procurement process. The guide stemmed from the great interest and large number of requests for technical assistance in relation to article 9, on public procurement, and will complement the previously published *Guidebook on Anti-Corruption in Public Procurement and the Management of Public Finances: Good Practices in Ensuring Compliance with Article 9 of the United Nations Convention against Corruption*.

49. In the first half of 2019, UNODC publications, including those related to the ratification and implementation of the Convention, judicial integrity, the private sector and different forms of economic crime, were downloaded over 165,000 times from the UNODC website.

### **2. Mechanism for the Review of Implementation of the United Nations Convention against Corruption and follow-up**

50. 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. Through 13 global and eight regional training sessions, over 1,500 focal points and governmental experts from at least 162 States parties were trained on the second review cycle, including experts and focal points from 42 least developed countries since the beginning of the second review cycle.

51. Over the past two years, UNODC has supported a number of countries in preparing to engage with the Implementation Review Mechanism, including Burkina Faso, Chad, Ecuador, Guinea, Maldives, Micronesia (Federated States of) and the Russian Federation. Through a number of multi-stakeholder training workshops, civil society organizations and governmental experts were brought together to understand and discuss the different contributions that each constituency can bring to the implementation review process. For example, a regional workshop held in Ethiopia brought together governmental experts and civil society organizations from African States to enhance their capacity to benefit from and contribute to country reviews.

### **3. Regional platforms**

52. UNODC, with the support of the Cross-Government Prosperity Fund of the United Kingdom of Great Britain and Northern Ireland, has developed three regional platforms in South-East Asia, East Africa and South America to fast-track the implementation of the Convention. These platforms are designed to compel action by focusing on specific challenges and related technical assistance needs shared by multiple countries within the same region. At the time of writing, a fourth regional platform for Southern Africa was to be launched in Livingstone, Zambia, in October 2019.

53. In East Africa, UNODC continued to provide support on financial investigations, public procurement vulnerabilities and the establishment of legal and institutional frameworks that enable the protection of whistle-blowers. At the time of writing, UNODC was developing and designing responses to address identified gaps at the national level. A regional meeting of focal points was planned to take place in Uganda in November 2019, which would include a presentation of best practices from the region, such as the e-procurement system of Rwanda.

54. In South-East Asia, UNODC strengthened capacities for detecting, investigating and prosecuting corruption at the national and international levels. UNODC continued to support programmes aimed at preventing and detecting money-laundering, recovering stolen assets and increasing transparency in public services. UNODC was also working to develop a regional training and mentoring programme in Indonesia to deliver modules on corruption and financial investigations.

55. States parties within the newest UNODC regional platform, in South America, identified a number of priority areas to further implementation of the Convention, including improving public integrity, with a focus on conflicts of interest and asset declarations, corporate liability and corporate compliance, whistle-blower protection and improved international cooperation.

56. In addition to the above-cited regional platforms, UNODC launched a new regional initiative in March 2019 to accelerate the implementation of the Convention against Corruption in Africa funded by Germany. The initiative provides the framework for targeted technical assistance in Burkina Faso, Côte d'Ivoire, Ethiopia, Ghana and Morocco. The goal of the initiative is to support States in preparing for their country reviews in the second cycle of the Implementation Review Mechanism and to provide technical assistance in their efforts to address the outcomes of both review cycles. In addition, the initiative envisages strong peer-learning elements among the participating States, as well as the application of innovative approaches to anti-corruption efforts, such as gender-specific responses to corruption and the involvement of youth in awareness-raising and the monitoring of anti-corruption commitments.

57. Concrete follow-up activities at the regional and national levels, as well as the expansion of the regional platforms to other regions, were envisaged but subject to the availability of extrabudgetary contributions. UNODC remained hopeful that in the future it would be able to expand the regional work and the technical assistance delivery to West Africa and the Sahel subregion in the form of a new platform in the future.

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

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

58. The Conference of the States Parties, in its resolution 7/6, 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 reported in fuller detail in the report on the implementation of Conference resolutions 7/5 and 7/6 ([CAC/COSP/2019/2](#)).

59. UNODC continued to support the development and implementation of comprehensive anti-corruption strategies or policies in 10 States parties. For example, in the Federated States of Micronesia in July 2019 it facilitated a workshop on how to develop and implement a national anti-corruption strategy.

60. Further, UNODC supported prevention efforts in the areas of conflict of interest and asset declaration systems in Botswana, Chile, Thailand and Zambia, including the auditing of such systems to identify cases of illicit enrichment.

61. At the national level, UNODC held workshops facilitating the full implementation of paragraph 1 of article 9, on public procurement and management of public finances, in Rwanda and the United Republic of Tanzania, including with respect to the development of national-level working groups and a regional handbook to address corruption and fraud risks within the procurement sector.

62. UNODC also provided broad assistance to anti-corruption bodies in 15 States parties, including with respect to conducting needs assessments, developing workplans, identifying corruption risks and implementing mitigation plans. In Haiti, pursuant to a memorandum of understanding with the United Nations Mission for Justice Support in Haiti, UNODC provided technical assistance to foster the consolidation of anti-corruption institutions and to reinforce the capacity of judicial actors to implement legislation that addresses corruption-related offences.

63. The Conference of the States Parties continued to recognize the importance of including the subject of prevention of corruption in the 2030 Agenda for Sustainable Development, including through the implementation of Goal 16, to promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective accountable and inclusive institutions at all levels.

64. At the regional level, UNODC and UNDP jointly organized a workshop in Fiji for 13 Pacific island States on implementing and monitoring the implementation of the 2030 Agenda, including Goal 16.

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

65. Since the latter half of 2018, UNODC continued to work with States parties to build capacity in the criminal justice sector, particularly in investigating, prosecuting and adjudicating corruption-related offences, and by promoting techniques for integrity and accountability.

66. UNODC organized a second Global Expert Group Meeting on Corruption Involving Vast Quantities of Asset, held in Lima, in which over 80 experts specialized

in investigating and prosecuting corruption involving vast quantities of assets took part. The experts exchanged and identified good practices for tackling corruption in this substantive area, including through criminal measures, enhanced international cooperation and asset recovery. A third Global Expert Group Meeting was held in Oslo, from 12 to 14 June 2019 with over 140 experts taking part. A set of recommendations to effectively prevent and combat corruption involving vast quantities of assets was a key outcome of the Meeting.

67. At the regional level, UNODC held a workshop with the support of the Government of Canada on investigation and prosecution techniques in cases of corruption, which was attended by 30 officers from countries of the Caribbean, including Barbados, Belize, Grenada, Jamaica, Panama and Trinidad and Tobago.

68. In the area of prosecutorial integrity, UNODC supported Costa Rica and Ecuador by holding a workshop that focused specifically on cases of organized crime and drug trafficking under the umbrella of the CRIMJUST programme. Launched in 2016, CRIMJUST is a global programme aimed at combating the flow of illicit drugs by enhancing law enforcement and judicial strategies in Latin America, the Caribbean and West Africa and by fostering transnational responses to target the supply of drugs. UNODC also provided technical assistance to Uzbekistan to develop a draft code of conduct for prosecutors to further integrity reforms at the national level. Work on the same issue in Guatemala led to a baseline survey and strategic recommendations on how to improve the functioning of the attorney general's office.

69. In efforts to strengthen the capacity of investigators to detect and investigate corruption offences and to serve with integrity, UNODC provided substantive training to national-level units in Cambodia, Ghana, Panama and Papua New Guinea.

70. To encourage and facilitate the provision of technical assistance between States parties, UNODC supported the visits of officials from the Attorney General's Office of Ethiopia to the United Kingdom and its Crown Prosecution Service, the Foreign and Commonwealth Office and the National Crime Agency, including the International Anti-Corruption Unit and International Anti-Corruption Coordination Centre, among other key agencies, in June 2019.

### **3. Protection of reporting persons**

71. The protection of reporting persons, commonly known as whistle-blowers, remained one of the areas in which UNODC received the largest number of technical assistance requests. Recommendations from country reviews also frequently identified a lack of legislative or institutional protection for reporting persons as a key implementation gap that States parties needed to address.

72. Apart from the work carried out under the regional platforms described above, at the global level UNODC provided technical assistance in this area through the delivery of a lecture detailing emerging developments in the field of whistle-blower protection at the International Anti-Corruption Academy.

73. UNODC also facilitated the translation of the Witness Protection and Whistle-Blowing Protection Act of the United Republic of Tanzania into French to further regional exchanges of good practices on model legislation among francophone jurisdictions.

74. In Ethiopia and in the Lao's People's Democratic Republic, UNODC conducted training events on the development of effective whistle-blower programmes and the differences between the protection of whistle-blowers and that of witnesses.

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

75. UNODC continued to support the efforts of States parties in detecting and investigating corruption and money-laundering offences. For example, UNODC provided a workshop on criminal and financial investigations of corruption crimes

and links to money-laundering to a select group of anti-corruption and law enforcement agencies in Maldives during the reporting period.

76. On the basis of the *Implementation Guide and Evaluative Framework for Article 11*, in the Dominican Republic UNODC supported a workshop on anti-money laundering efforts that addressed the importance of institutional integrity to prevent corruption opportunities in law enforcement agencies.

## **5. Education and academic initiatives**

77. Assistance was provided in support of the implementation of the Education for Justice initiative, a component of the Global Programme for the Implementation of the Doha Declaration. UNODC, through that initiative, has supported regional and national-level workshops and facilitated the development of educational programmes in nine countries to empower and educate youth to build a culture of lawfulness and create a more just future. This work included the launch of new master's programmes and targeted capacity-building for university lecturers who may use UNODC educational materials.

78. Since the latter half of 2018, UNODC has also continued to implement the Anti-Corruption Academic Initiative, a collaborative academic project that aims to provide comprehensive anti-corruption education materials, including a menu of academic modules, syllabi, case studies and reference materials, for integration into academic programmes. The aim is to encourage the teaching of anti-corruption efforts as part of existing disciplines, such as law, business and criminology.

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

79. 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 conducted mainly in the context of the StAR Initiative. The information in the present report complements an updated progress report on the implementation of the mandates of the Open-ended Intergovernmental Working Group on Asset Recovery, containing detailed information on the work of UNODC and the StAR Initiative, submitted to the Working Group at its eleventh meeting ([CAC/COSP/WG.2/2017/3](#)).

80. The StAR Initiative supports asset recovery efforts through several different measures, including country engagement, policy advice, partnerships with States and other stakeholders, knowledge and innovation initiatives, and advocacy.

81. In Armenia, the StAR Initiative delivered an introductory workshop on financial investigations as part of its national-level engagement to a multi-agency group of investigators and prosecutors in September 2019.

82. In Mexico in August 2019, UNODC headquarters, in cooperation with the UNODC country office, conducted a workshop on asset recovery and non-conviction-based asset forfeiture within the framework of the Strategic Security and Anti-Corruption Programme.

83. At the global level, UNODC and the StAR Initiative participated in the expert round table on human rights principles and guidelines for the repatriation and use of stolen assets, organized by the Office of the United Nations High Commissioner for Human Rights, to forge closer links between asset recovery and human rights in June 2019.

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

84. The technical assistance needs identified by States parties and the recommendations emanating from the country reviews under the Implementation Review Mechanism continued to be the main source informing the delivery of



technical assistance at the global and regional levels. The comprehensiveness of the reviews, and their technical and objective nature, resulted in the identification of technical assistance needs that were led, owned and driven by national priorities at the country level, but at the same time validated through a peer review process. The reviews in the second cycle continued to be inclusive: 96 per cent of States parties included external stakeholders such as representatives of civil society and the private sector, members of academia and the media in their implementation review processes.

85. The needs identified by States parties during the review process often require targeted, long-term assistance adapted to and appropriate for each national system, including legislative, policy and technical advice components. In such cases, outcomes of country reviews informed future programming or ensured that ongoing programmes appropriately addressed the needs identified by each State party.

86. UNODC continued to provide targeted technical assistance in the preparation of and during the review process, as well as in the initial response to needs identified during the country reviews. At the regional level, such assistance continued to take the form of regional training workshops or exchanges of good practices. Extrabudgetary resources to carry out such workshops were necessary to ensure the effectiveness and sustainability of the work of the mechanism as well as to enhance the impact of regional and international cooperation.

87. To ensure coordination and to minimize the risk of duplicating efforts, UNODC also facilitated dialogue between national authorities, international organizations and relevant development partners in order to seek support for programming without imposing itself as the implementing agency.

88. The UNODC network of regional anti-corruption advisers and field offices has proved to be an important element allowing for rapid and effective delivery of technical assistance at the regional, subregional and country levels. The expert advisory services provided through this network will continue to require additional resources to ensure the continuation and sustainability of its operational success and its ability to meet the rising demand of technical assistance requests, as States parties strive to meet their obligations to fully implement the Convention. The Conference may wish to call upon States parties to continue contributing such extrabudgetary resources to support the long-term sustainability and expansion of this important resource.

89. UNODC has also seen a growing demand for mainstreaming integrity and anti-corruption efforts into other forms of 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 educational initiatives. In addition to specific technical assistance delivery, the Secretariat is well positioned to continue encouraging the incorporation of anti-corruption activities 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.

90. 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. Increased, flexible and long-term support from UNODC, development partners and other donors is essential in order to continue to provide specialized and tailored anti-corruption expertise to countries around the globe. The Conference of the States Parties may wish to acknowledge the ever-increasing number of technical assistance needs identified in relation to the Convention, many of which still remained untended to. 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 to meet the technical assistance needs identified in the context of the Implementation Review Mechanism.