



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

Distr.: General  
18 August 2022

Original: English

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## Open-ended intergovernmental expert meeting to enhance international cooperation under the United Nations Convention against Corruption

Vienna, 7–11 November 2022

Item 3 of the provisional agenda\*

**Implementation of chapter IV of the United Nations  
Convention against Corruption: lessons learned,  
good practices and challenges**

## Progress in implementing the mandates of the open-ended intergovernmental expert meeting to enhance international cooperation under the United Nations Convention against Corruption

Note by the Secretariat

### I. Introduction

1. In its resolution 4/2, entitled “Convening of open-ended intergovernmental expert meetings to enhance international cooperation”, the Conference of the States Parties to the United Nations Convention against Corruption decided to convene open-ended intergovernmental expert meetings on international cooperation to advise and assist it with respect to extradition and mutual legal assistance.
2. In the same resolution, the Conference also decided that the expert meetings should perform the following functions: (a) assist it in developing cumulative knowledge in the area of international cooperation; (b) assist it in encouraging cooperation among relevant existing bilateral, regional and multilateral initiatives and contribute to the implementation of the related provisions of the United Nations Convention against Corruption under the guidance of the Conference; (c) facilitate the exchange of experiences among States by identifying challenges and disseminating information on good practices to be followed in order to strengthen capacities at the national level; (d) build confidence and encourage cooperation between requesting and requested States by bringing together relevant competent authorities, anti-corruption bodies and practitioners involved in mutual legal assistance and extradition; and (e) assist the Conference in identifying the capacity-building needs of States.
3. The first to tenth expert meetings were held annually from 2012 to 2021.

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\* [CAC/COSP/EG.1/2022/1](#).



4. In paragraph 8 of its resolution 8/2, the Conference called upon States parties to further promote, facilitate and support international cooperation and technical assistance in the prevention of and fight against corruption, in line with article 1 (b) of the Convention against Corruption, with a view to facilitating the implementation of article 43 of the Convention.
5. In addition, in line with Conference resolutions 8/1, 8/2 and 8/6 and the recommendations agreed at the eighth open-ended intergovernmental expert meeting to enhance international cooperation under the Convention, held in May 2019 (see [CAC/COSP/EG.1/2019/4](#)), States parties were encouraged to continue to provide to the secretariat information on challenges and good practices in international cooperation and with respect to other topics outlined in Conference resolutions and the recommendations of the expert meetings so that the secretariat could continue its analytical work with regard to challenges in international cooperation on the basis of the Convention and on the implementation of chapter IV.
6. In line with the recommendations of the same meeting, States parties were also encouraged to share information on their legal requirements for international cooperation as well as statistical information and examples relevant to international cooperation in transnational corruption cases.
7. Furthermore, in its resolutions 9/1, entitled “Sharm el-Sheikh declaration on strengthening international cooperation in the prevention of and fight against corruption during times of emergencies and crisis response and recovery”, and 9/2, entitled “Our common commitment to effectively addressing challenges and implementing measures to prevent and combat corruption and strengthening international cooperation: follow-up to the special session of the General Assembly against corruption”, the Conference provided further mandates for the expert meeting.
8. The present document has been prepared to inform the expert meeting of the status of implementation of its recommendations and the resolutions of the Conference relating to international cooperation. Its purpose is to assist the eleventh expert meeting in its deliberations and in determining its future activities.

## **II. Overview of the status of implementation of the recommendations of the expert meeting and the mandates issued by the Conference of the States Parties**

9. Previous expert meetings have focused on three main themes, in line with the mandates of the meetings as contained in Conference resolution 4/2: (a) developing cumulative knowledge; (b) building confidence and trust between requesting and requested States; and (c) technical assistance, training and capacity-building.

### **A. Developing cumulative knowledge**

#### **1. Information and knowledge products relevant to the implementation of chapter IV of the Convention**

10. The United Nations Office on Drugs and Crime (UNODC) continued to develop and disseminate guides, handbooks and other tools. Thus far, more than 40 publications have been made available online, regularly reprinted and distributed. Since the previous expert meeting, the Stolen Asset Recovery (StAR) Initiative has launched a total of four knowledge products and, taking into account regional needs, UNODC has also published tailored regional knowledge products relevant to international cooperation, as outlined in the progress report of the Open-ended Intergovernmental Working Group on Asset Recovery.<sup>1</sup>

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<sup>1</sup> Additional information on knowledge products relevant to international cooperation in support of asset recovery is contained in the note by the Secretariat on progress in implementing the

11. In 2022, UNODC published a practical guide on international cooperation for the investigation of corruption cases in South America and Mexico, which provides an overview of the legal frameworks regulating mutual legal assistance and extradition for cases of corruption in 10 countries. UNODC also developed a regional guide on mutual legal assistance in Southern Africa.

12. UNODC, in partnership with the International Olympic Committee (IOC), has developed a guide entitled *Legal Approaches to Tackling the Manipulation of Sports Competitions*, as well as a publication entitled *Tackling Bribery in Sport: An Overview of Relevant Standards and Laws*, developed by the International Partnership against Corruption in Sport Task Force 4, on enhancing effective cooperation between law enforcement agencies, criminal justice authorities and sport organizations, which is co-chaired by UNODC and IOC.

13. Moreover, UNODC launched an advance version of the *Global Report on Corruption in Sport*, a landmark publication that highlights the scale, manifestations and complexity of corruption in sport, including many examples of adjudicated cases highlighting the importance of international cooperation in tackling the problem.

14. The Tools and Resources for Anti-Corruption Knowledge (TRACK) portal was created in 2010 as a knowledge management portal focused on the implementation of the Convention. In 2021, it was decided to update the portal by restructuring its content and adding new thematic areas. As a result, the TRACK portal was relaunched during the ninth session of the Conference, held in Sharm el-Sheikh, Egypt, in December 2021, as a unique gateway for accessing information related to corruption and economic crime.<sup>2</sup> TRACK offers a variety of resources arranged by chapter of the Convention (preventive measures, criminalization and law enforcement, international cooperation and asset recovery), as well as by thematic area, including sports, gender, the environment and others. The portal is also conceptualized as a repository for all contributions submitted on a voluntary basis by States parties on the implementation of the Convention and the political declaration adopted at the special session of the General Assembly against corruption, such as on good practices and progress made in the use of international cooperation mechanisms under the Convention.

15. A key element of the TRACK portal is its legal library, which brings together more than 70,000 pieces of anti-corruption legislation from over 180 jurisdictions worldwide. This increased geographical coverage serves to enable judges, prosecutors, policymakers, legal practitioners, researchers and other interested parties to consult legislative provisions in different jurisdictions to identify good practices and challenges and to develop model legislation. Currently, the Sharing Electronic Resources and Laws on Crime (SHERLOC)<sup>3</sup> and TRACK teams are working together to make the legislation collected through the Mechanism for the Review of Implementation of the United Nations Convention against Corruption accessible in the SHERLOC legislation database under the crime type “Corruption”. This fusion of TRACK and SHERLOC will allow the sharing of UNODC expertise with a wider audience and foster greater inclusiveness.

## **2. Gathering information on best practices and challenges concerning international cooperation in combating corruption during times of emergencies and crisis response and recovery**

16. In its resolution 9/1, the Conference directed the open-ended intergovernmental expert meeting to enhance international cooperation to collect and analyse, with the support of the secretariat, information provided by States parties on a voluntary basis

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mandates of the Open-ended Intergovernmental Working Group on Asset Recovery prepared for the sixteenth meeting of the Working Group (CAC/COSP/WG.2/2022/2).

<sup>2</sup> Available at <https://track.unodc.org/>.

<sup>3</sup> SHERLOC is another knowledge management portal maintained by the United Nations Office on Drugs and Crime (UNODC) to facilitate the dissemination of information regarding the implementation of the United Nations Convention against Transnational Organized Crime, the three Protocols thereto and the international legal framework against terrorism.

on best practices and challenges concerning international cooperation in combating corruption during times of emergencies and crisis response and recovery, with a view to developing non-binding guidelines for strengthening international and multilateral cooperation to further prevent, identify, investigate and prosecute corruption during times of emergencies and crisis response and recovery.

17. In the same resolution, the Conference further decided that the eleventh expert meeting should have, as a topic on its agenda, “Strengthening international and multilateral cooperation to further prevent, identify, investigate and prosecute corruption during times of emergencies and crisis response and recovery”.

18. Also in the same resolution, the Conference invited the secretariat, within existing resources, to compile a report on the links between corruption and other forms of crime, in particular organized crime and economic crime, including money-laundering, including during times of emergencies and crisis response and recovery. The report is to be based on the voluntary information provided by States parties and submitted to the Conference at its tenth session.

19. Pursuant to the aforementioned mandates, the secretariat circulated a note verbale on 27 July 2022, inviting States parties to provide relevant information by responding to a questionnaire annexed to the note verbale, including examples of measures they had taken to further prevent, identify, investigate and prosecute corruption, whether domestic or transnational, during times of emergencies and crisis response and recovery, including through international cooperation. The questions related to identifying corruption risks and typologies, including their transnational elements, during times of emergencies and crisis response and recovery, measures taken to address corruption through different means and mechanisms at domestic levels and through international cooperation, views and perspectives on the effectiveness of international cooperation methods and frameworks to respond to corruption during times of emergencies and crisis response and recovery, the use of information and communications technology tools and the collection of data and statistics to track and analyse trends concerning international cooperation in those contexts. States parties were also invited to share information on key preventive measures taken to address corruption at the domestic level.

20. States parties were encouraged in responding to the questionnaire to take a broad view of emergencies and crisis response and recovery, including humanitarian emergencies, natural disasters, conflict and post-conflict contexts, and health emergencies such as the coronavirus disease (COVID-19) pandemic.

21. On the basis of the responses to the questionnaire, and to inform the deliberations of the expert meeting, the secretariat has prepared a conference room paper on best practices and challenges concerning international cooperation in combating corruption during times of emergencies and crisis response and recovery (CAC/COSP/EG.1/2022/CRP.1). The paper, together with the discussions during the eleventh expert meeting, are intended to inform further deliberations leading to the development of non-binding guidelines for strengthening international and multilateral cooperation to further prevent, identify, investigate and prosecute corruption during times of emergencies and crisis response and recovery.

22. In the same note verbale, the secretariat also invited States parties to provide voluntary information, such as analyses or assessments undertaken, on the links between corruption and other forms of crime, in particular organized crime and economic crime, including money-laundering, including during times of emergencies and crisis response and recovery, with a view to preparing a report on this topic for the Conference at its tenth session.

## **B. Building confidence and trust between requesting and requested States**

### **1. Central authorities**

23. In its resolution 7/1, the Conference urged States parties to ensure that the information provided regarding their central and competent authorities, in line with article 46, paragraph 13, of the Convention, was up to date, in order to enhance dialogue on mutual legal assistance.

24. In line with the recommendation of the expert meeting, the secretariat continued to update the online directory of competent national authorities (available at <https://sherloc.unodc.org/cld/v3/sherloc/cna/index.jsp>).

25. As of August 2022, the directory contained information on the following:

- (a) Central authorities for mutual legal assistance in 133 States parties;
- (b) Prevention authorities in 120 States parties;
- (c) Asset recovery focal points in 86 States parties;
- (d) Central authorities on extradition in 36 States parties;
- (e) Focal points for international cooperation in the use of civil and administrative proceedings in 36 States parties.

26. In order for States parties to benefit from a single outlet of information on competent authorities under all treaties relevant to UNODC, the online directory of competent national authorities under the Convention was merged with the directory of competent national authorities in the SHERLOC portal in July 2019.

### **2. Operation of the Global Operational Network of Anti-Corruption Law Enforcement Authorities**

27. One of the main purposes of the Convention is to promote, facilitate and support international cooperation and technical assistance in the prevention of and fight against corruption, including in asset recovery. The Conference has repeatedly called for enhanced measures to further promote, facilitate and support international cooperation and technical assistance in the prevention of and fight against corruption.

28. The Global Operational Network of Anti-Corruption Law Enforcement Authorities (GlobE Network) was established in June 2021 under the auspices of UNODC to facilitate informal cooperation and to address the lack of a truly global network for anti-corruption law enforcement authorities. In the political declaration adopted at the special session of the General Assembly against corruption, States were encouraged to participate in and make best use of the Network, as appropriate.

29. Since its launch, the GlobE Network has grown rapidly. As at 9 August 2022, it included 112 authorities from 63 States parties to the Convention and one observer.

30. The first plenary meeting of the GlobE Network was held in Vienna in a hybrid format from 15 to 17 November 2021. In its first meeting, the plenary adopted the charter of the GlobE Network and established its governance structure to ensure that its activities directly respond to the needs of its members. During that meeting, Spain and Saudi Arabia were selected as the Chair and Vice-Chair of the Network, and authorities from Chile, China, Mauritius, Mexico, Morocco, Nigeria, North Macedonia, the Republic of Korea, Romania, the Russian Federation, the State of Palestine, the United States of America and Zimbabwe were chosen as the other members of the Steering Committee.

31. During the ninth session of the Conference, the GlobE Network hosted a high-level panel that examined challenges in cross-border cooperation, the role of practitioner networks and how best to ensure an effective and efficient GlobE Network. In addition to the high-level panel discussion, the secretariat of the Network

organized a number of bilateral meetings between member authorities and other representatives of delegations in order to further international cooperation.

32. In its resolution 9/5, entitled “Enhancing international anti-corruption law enforcement cooperation”, the Conference, inter alia, welcomed the work undertaken by UNODC in the establishment of the GlobE Network and invited States parties that had not yet done so to encourage their anti-corruption law enforcement authorities to join, effectively participate in and make best use of the GlobE Network.

33. The second plenary meeting of the GlobE Network was held in Vienna from 28 to 30 June 2022. The meeting comprised three parts: a networking event that took place in the afternoon of 28 June, a closed session for the representatives of member authorities on 29 June, and an open session on 30 June to which observers and other relevant international networks, organizations and bodies were invited. The second plenary meeting was attended (in person and online) by 105 representatives of 62 member authorities from 47 countries. The open session of the meeting was attended by representatives of 14 international organizations, 11 permanent missions and 6 anti-corruption law enforcement authorities that are not yet members of the Network.

34. The second plenary meeting of the GlobE Network:

(a) Acknowledged the annual workplan of the Network and instructed the secretariat of the Network to continue reporting on the progress made under its components, with a view to informing and guiding the development of the workplan for 2023;

(b) Validated the observer status of the International Centre for Asset Recovery of the Basel Institute on Governance;

(c) Agreed on an interim secure communication solution and decided to establish a task force to explore and advise on the development of a long-term solution for the secure communication platform;

(d) Agreed to establish three thematic working groups within the Network, namely, for operations, the online one-stop hub of tools and resources, and knowledge and capacity development;

(e) Agreed to hold the third meeting of the Steering Committee and the third plenary meeting in the fourth quarter of 2022.

35. Finally, the GlobE Network has a knowledge and capacity-building component through which the Network aims to offer front-line anti-corruption authorities the training, strategies, methods and toolkits that they need to advance the fight against corruption. Specific outputs under that component are currently being explored.

### **C. Technical assistance, training and capacity-building**

36. UNODC, including through the StAR Initiative, jointly with the World Bank, continued to provide tailored capacity-building and advisory services at the global, regional and national levels and to participate in meetings and conferences aimed at promoting international cooperation among States parties.<sup>4</sup>

37. UNODC has experienced steady growth in demand for country-level technical assistance. The UNODC field-based and country-based anti-corruption advisers played an important role in providing rapid, demand-driven expert assistance and advice, and the Office continued to deploy advisers with regional responsibilities. To meet the dual challenges of the volume of work and the wide range of different technical skills needed to fulfil those requests, UNODC has begun to create regional

<sup>4</sup> For further information on capacity-building activities conducted by the StAR Initiative, see [CAC/COSP/WG.2/2022/2](#).

anti-corruption hubs. So far, two hubs have been established, in Mexico and South Africa.

38. UNODC continued to work with Mexico and with States parties in South-East Asia, East Africa, Southern Africa and South America to implement activities in priority thematic areas identified through the regional platforms established to fast-track the implementation of the Convention. Almost all the platforms consider international cooperation to be one of the priority areas in which assistance is needed to strengthen the implementation of the Convention.

39. UNODC also continued to organize workshops at the regional and subregional levels and to assist States parties in establishing more effective, direct law enforcement cooperation at the regional and interregional levels. In South-East Asia, UNODC continued to coordinate the South-East Asia Justice Network, which facilitates mutual legal assistance among the central authorities for mutual legal assistance in the region in order to promote cooperation on transnational organized crime and corruption. As of February 2022, the South-East Asia Justice Network had facilitated 42 pending mutual legal assistance matters. UNODC also launched a regional study on regulatory frameworks and challenges in conducting financial investigations in South-East Asian countries.

40. In Latin America and the Caribbean, UNODC supported the Working Group Specialized in the Fight against Transnational Corruption of the Organization of Latin American and Caribbean Supreme Audit Institutions in developing a guide for the exchange of information between supreme audit institutions that was launched on 9 February 2022.

41. In West Africa, UNODC supported two sessions of the fifth annual General Assembly of the Network of National Anti-Corruption Institutions in West Africa, held online in June 2021 and in Abuja in March 2022. In addition, in May 2021, UNODC delivered an online training session on the Bangalore Principles of Judicial Conduct, also covering new international guidance on gender issues and the use of social media, for the respective focal points in the Network of West African Central Authorities and Prosecutors against Organized Crime.

42. In addition to its regional and subregional work, UNODC provided country-level support to States parties on issues related to international cooperation on numerous occasions. For example, in April 2022, in Benin, the Office provided legislative advice on the revision of the criminal procedure code, including on provisions related to international cooperation, on the basis of recommendations arising from the Implementation Review Mechanism. In Indonesia, UNODC conducted a study and a series of round-table discussions for enhancing the overall capacity of government agencies in the areas of mutual legal assistance and asset recovery. In Indonesia, Thailand and Viet Nam, UNODC organized training programmes on financial investigations with a focus on international cooperation and mutual legal assistance. On 17 December 2021, UNODC and the Supreme People's Procuracy of Viet Nam organized a legislative drafting workshop to discuss the new draft law on mutual legal assistance in criminal matters.

43. Since the previous expert meeting, and through its Programme on Safeguarding Sport from Corruption and Crime, UNODC organized, contributed to or supported more than 40 activities, including national and regional capacity-building workshops with a strong focus on enhancing cooperation between law enforcement and criminal justice authorities and sports organizations. Notable examples included partnering with IOC to deliver workshops for Africa, the Nordic countries, and selected Governments belonging to the Confederation of North, Central America and Caribbean Association Football region. UNODC also collaborated with the Fédération Internationale de Football Association to implement, as part of the Association's Global Integrity Programme, 29 virtual workshops for over 400 integrity officers and government officials from around the globe.

44. In addition, UNODC participated in meetings and conferences on international cooperation, including meetings of the Group of 20 Anti-Corruption Working Group, the anti-corruption working group of Brazil, the Russian Federation, India, China and South Africa, and the Anti-Corruption and Transparency Experts Working Group of the Asia-Pacific Economic Cooperation forum.

### **III. Follow-up to the special session of the General Assembly against corruption**

45. At its special session on challenges and measures to prevent and combat corruption and strengthen international cooperation, held in New York from 2 to 4 June 2021, the General Assembly adopted the political declaration entitled “Our common commitment to effectively addressing challenges and implementing measures to prevent and combat corruption and strengthen international cooperation”. It covers all aspects of preventing and fighting corruption and advancing the anti-corruption agenda and contains a special section on international cooperation, which touches upon several areas covered by the functions of the expert meeting and themes of the present document.

46. In the political declaration, Member States committed to enhancing common endeavours to make full use of the Convention and other legal instruments to advance international cooperation in preventing and combating corruption at all levels, to afford one another the widest measure of mutual legal assistance and relevant technical assistance and to take measures to address, tackle and effectively respond to international challenges and barriers hindering relevant cooperation. In addition, they called for an inter-agency approach among various competent authorities and the addressing of relevant deficiencies in domestic regulatory regimes.

47. Also in the political declaration, Member States committed to better utilizing and strengthening international, regional and cross-regional law enforcement and, as appropriate, judicial cooperation networks as platforms among competent authorities for information-sharing and mutual legal assistance and the development and dissemination of specialized knowledge and noted that they were encouraged to use and strengthen appropriate focal points to facilitate information exchange between each other, while noting existing agreements, formal international forums or networks for that purpose, including the International Criminal Police Organization (INTERPOL)/StAR Initiative Global Focal Point Network on Asset Recovery and the Globe Network. In addition, Member States called upon UNODC and INTERPOL to continue working in close cooperation to promote reliable, high-quality, timely and effective communication and procedures, including through secure electronic communication channels.

48. In its resolution 9/2, entitled “Our common commitment to effectively addressing challenges and implementing measures to prevent and combat corruption and strengthening international cooperation: follow-up to the special session of the General Assembly against corruption”, the Conference requested UNODC to create and maintain a repository of all contributions submitted on a voluntary basis by States parties on the implementation of the Convention and the political declaration adopted at the special session of the General Assembly against corruption, such as contributions on good practices and progress made in the use of international cooperation mechanisms under the Convention.

49. In response, in July 2022, UNODC circulated a note verbale inviting States parties to provide information on measures taken to implement the Convention and to achieve the commitments contained in the political declaration. UNODC will analyse the responses and provide the expert meeting with an update on the results.

## IV. Reporting and follow-up

50. The secretariat will continue to collect additional information from States parties pursuant to the mandates contained in Conference resolutions 8/2, 8/6 and 9/1 and the recommendations of the expert meeting.

51. The eleventh expert meeting may wish to provide further guidance to the secretariat on which issues may deserve additional consideration in its future meetings, including in follow-up to various commitments made in the political declaration adopted at the special session of the General Assembly against corruption in relation to international cooperation.

52. In the context of the expert meeting, attention could also be drawn to the need to devote adequate resources to training and capacity-building of competent authorities engaged in international cooperation, including by donors and technical assistance providers, to enhance the effectiveness of international cooperation.

53. Specific reference could be made to measures to enhance international cooperation in combating corruption during times of emergencies and crisis response and recovery.

54. The expert meeting may also wish to invite States parties that have not yet done so to encourage their anti-corruption law enforcement authorities to join, effectively participate in and make best use of the GlobE Network.

55. Finally, the expert meeting may wish to consider whether additional actions should be undertaken by the secretariat to ensure the implementation of the relevant mandates.

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