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Financial and budgetary matters

Resources and expenditures for the functioning of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption

Note by the Secretariat

I. Introduction

1. The present note contains budgetary information on expenditures incurred so far for the operation of the first and second cycles of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption, resources received both from the regular budget and from voluntary contributions, projected expenditures and the current shortfall on resource requirements for the functioning of the Mechanism.

II. Regular budget resources and expenditures for the Review Mechanism

2. Tables 1, 2, 3 and 4 present regular budget resources and expenditures for the bienniums 2010-2011, 2012-2013, 2014-2015 and 2016-2017, respectively.

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



Table 1
Regular budget resources and expenditures for the Review Mechanism in the biennium 2010-2011
 (United States dollars)

| <i>Budgetary item</i> | <i>Budget, 2010-2011 (final)</i> | <i>Expenditures, 2010-2011</i> |
|---|--------------------------------------|------------------------------------|
| Posts and related general operating expenses | | |
| Posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level)), net of staff assessment ^a | 1 458 600 | 1 474 100 |
| Computer maintenance (\$1,300 per staff member per year) | 23 400 | 23 400 |
| Communications costs (\$1,500 per staff member per year) | 27 000 | 27 000 |
| Subtotal | 1 509 000 | 1 524 500 |
| Implementation Review Group | | |
| Interpretation (20 meetings per year, 6 languages) and conference servicing ^b | 465 600 | 351 300 |
| Translation of documentation (100 pages per year, 6 languages) ^c | 472 900 | 534 900 |
| Subtotal | 938 500 | 886 200 |
| Total | 2 447 500 | 2 410 700 |

^a For the biennium 2010-2011, posts were budgeted as new posts, taking into account delays in recruitment. The over-expenditure was reported in the context of the second performance report.

^b Interpretation was provided for a total of 34 meetings. Thus the final expenditure was less than the estimate.

^c Translation was provided for a total of 268 pages of documentation for the first, resumed first, second and resumed second sessions of the Implementation Review Group. The Conference Management Service of the United Nations Office at Vienna was able to cover the additional expenditures for translation of documentation in the reporting period through the reallocation of existing translation resources under Section 2 of the approved regular budget. At the same time, owing to delays in the country reviews and in the finalization of the country reports and the related executive summaries, several such reports were presented to the Group as conference room papers, for which no translation was provided.

Table 2
Regular budget resources and expenditures for the Review Mechanism in the biennium 2012-2013
 (United States dollars)

| <i>Budgetary item</i> | <i>Budget, 2012-2013</i> | <i>Expenditures, 2012-2013</i> |
|--|------------------------------|------------------------------------|
| Posts and related general operating expenses | | |
| Posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level)) (continuing posts), net of staff assessment ^a | 2 497 800 | 2 497 000 |
| Computer maintenance | 26 400 | 35 100 |
| Communications costs | 30 000 | 30 000 |
| Subtotal | 2 554 200 | 2 562 100 |
| Implementation Review Group | | |
| Interpretation (20 meetings per year, 6 languages) and conference servicing ^b | 461 400 | 317 000 |
| Translation of documentation (100 pages per year, 6 languages) ^c | 401 600 | 2 569 400 |
| Subtotal | 863 000 | 2 886 400 |
| Total | 3 417 200 | 5 448 500 |

^a In this table, posts are costed as continuing posts.

^b Interpretation was provided for a total of 28 meetings in the biennium 2012-2013.

^c Translation was provided for a total of 1,340 pages of documentation for the third, resumed third, fourth and resumed fourth sessions of the Implementation Review Group in 2012 and 2013. The Conference Management Service of the United Nations Office at Vienna was able to cover the additional expenditures for translation of documentation in the reporting period through the reallocation of existing translation resources under Section 2 of the approved regular budget. At the same time, owing to delays in the country reviews and in the finalization of the country reports and the related executive summaries, several such reports were presented to the Group as conference room papers, for which no translation was provided.

Table 3
Regular budget resources and expenditures for the Review Mechanism in the biennium 2014-2015
 (United States dollars)

| <i>Budgetary item</i> | <i>Budget, 2014-2015</i> | <i>Expenditures, 2014-2015</i> |
|--|------------------------------|------------------------------------|
| Posts and related general operating expenses | | |
| Posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level)) (continuing posts), net of staff assessment ^a | 2 634 400 | 2 320 800 |
| Computer maintenance | 26 300 | 17 700 |
| Communications costs | 30 000 | 23 800 |
| Subtotal | 2 690 700 | 2 362 300 |
| Implementation Review Group | | |
| Interpretation (16 meetings per year, 6 languages) and conference servicing ^b | 388 800 | 302 800 |
| Translation of documentation (100 pages per year, 6 languages) ^c | 361 400 | 1 440 000 |
| Subtotal | 750 200 | 1 742 800 |
| Total | 3 440 900 | 4 105 100 |

^a In this table, posts are costed as continuing posts.

^b Interpretation was provided for a total of 25 meetings in the biennium 2014-2015 (7 meetings for the fifth session, in June 2014, 6 meetings for the resumed fifth session, in October 2014, 10 meetings for the sixth session, in June 2015, and 2 meetings for the resumed sixth session, in November 2015).

^c Translation was provided for a total of 797 pages of documentation for the fifth session, in June 2014, the resumed fifth session, in October 2014, the sixth session, in June 2015, and the resumed sixth session, in November 2015, of the Implementation Review Group. The Conference Management Service of the United Nations Office at Vienna was able to cover the additional expenditures for translation of documentation in the reporting period through the reallocation of existing translation resources under Section 2 of the approved regular budget.

Table 4
Regular budget resources and expenditures for the Review Mechanism in the biennium 2016-2017
 (United States dollars)

| <i>Budgetary item</i> | <i>Revised budget, 2016-2017</i> | <i>Expenditures as at 28 February 2017</i> |
|--|--------------------------------------|--|
| Posts and related general operating expenses | | |
| Posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level)) (continuing posts), net of staff assessment ^a | 2 338 100 | 1 186 300 |
| Computer maintenance | 31 000 | 18 100 |
| Communications costs | 30 000 | 17 500 |
| Subtotal | 2 399 100 | 1 221 900 |
| Implementation Review Group | | |
| Interpretation (16 meetings per year, 6 languages) and conference servicing ^b | 405 000 | 167 400 |
| Translation of documentation (300 pages per year, 6 languages) ^c | 1 084 000 | 2 632 600 |
| Subtotal | 1 489 000 | 2 800 000 |
| Total | 3 888 100 | 4 021 900 |

^a In this table, posts are costed as continuing posts as per the standard salary costs, version 16, issued by the Programme Planning and Budget Division.

^b Interpretation was provided for four meetings in June 2016 and three meetings in November 2016 for the seventh session of the Implementation Review Group.

^c Translation was provided for a total of 317 pages of documentation in June 2016 and 1,140 pages of documentation in November 2016 for the seventh session of the Implementation Review Group. The higher number of pages was due to the high number of completed executive summaries of country review reports. The Conference Management Service of the United Nations Office at Vienna was able to cover the additional expenditures

for translation of documentation in the reporting period through the reallocation of existing translation resources under Section 2 of the approved regular budget. At the same time, owing to delays in the country reviews and in the finalization of the country reports and the related executive summaries, several such reports were presented to the Group as conference room papers, for which no translation was provided.

III. Estimates and extrabudgetary expenditures for the first cycle of the Review Mechanism

3. Table 5 presents the final extrabudgetary expenditures for the first year of the Review Mechanism. Tables 6, 7, 8 and 9 present estimates and interim extrabudgetary expenditures for the second, third, fourth and fifth years, respectively, for the operation of the first cycle of the Mechanism.

Table 5
Final extrabudgetary expenditures for the first year of the first cycle of the Review Mechanism^a
(United States dollars)

| <i>Budgetary item</i> | <i>Final expenditures for the first year</i> |
|---|--|
| Travel of participants for country visits and joint meetings | 607 500 |
| Translation of working documentation | 303 000 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 185 900 |
| Training of governmental experts | 275 200 |
| Consultants | 99 900 |
| Total | 1 471 500 |

^a The first year of the Mechanism started in June 2010. Expenditures reported under the first year relate to activities undertaken with regard to the first group of 27 countries under review.

Table 6
Estimates and interim extrabudgetary expenditures for the second year of the first cycle of the Review Mechanism^a
(United States dollars)

| <i>Budgetary item</i> | <i>Interim expenditures for the second year as at 28 February 2017</i> | <i>Estimates for the second year</i> |
|---|--|--------------------------------------|
| Travel of participants for country visits and joint meetings | 753 000 | 758 200 |
| Translation of working documentation | 426 400 | 470 500 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 287 000 | 287 000 |
| Training of governmental experts | 454 600 | 454 600 |
| Additional posts (1 P-3, 1 General Service (Other level)) | 36 800 ^b | 36 800 |
| Computer maintenance and communications costs | 1 800 | 1 800 |
| Total | 1 959 600 | 2 008 900 |

^a The second year of the Mechanism started in June 2011. Expenditures reported under the second year relate to activities undertaken with regard to the second group of 41 countries under review.

^b Expenditure reported covers only the salary costs of the new General Service (Other level) post for the period from January to May 2012, since the new Crime Prevention and Criminal Justice Officer (P-3) started in November 2012.

Table 7
Estimates and interim extrabudgetary expenditures for the third year of the first cycle of the Review Mechanism^a
 (United States dollars)

| <i>Budgetary item</i> | <i>Interim expenditures for the third year as at 28 February 2017</i> | <i>Estimates for the third year</i> |
|---|---|-------------------------------------|
| Travel of participants for country visits and joint meetings | 609 100 | 632 600 |
| Translation of working documentation | 412 000 | 426 100 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 251 700 | 251 700 |
| Training of governmental experts | 490 200 | 490 200 |
| Additional posts (1 P-3, 1 General Service (Other level)) | 174 900 ^b | 174 900 |
| Computer maintenance and communications costs | 7 100 | 7 100 |
| Total | 1 945 000 | 1 982 600 |

^a The third year of the Mechanism started in June 2012. Expenditures reported under the third year relate to activities undertaken with regard to the third group of 35 countries under review.

^b Expenditure reported covers the salary costs of the General Service (Other level) post for the period from June 2012 to May 2013 and of the new Crime Prevention and Criminal Justice Officer (P-3) post for the period from November 2012 to May 2013.

Table 8
Estimates and interim extrabudgetary expenditures for the fourth year of the first cycle of the Review Mechanism^a
 (United States dollars)

| <i>Budgetary item</i> | <i>Interim expenditures for the fourth year as at 28 February 2017</i> | <i>Estimates for the fourth year</i> |
|---|--|--------------------------------------|
| Travel of participants for country visits and joint meetings | 1 020 500 ^b | 1 233 800 |
| Translation of working documentation | 707 400 | 933 500 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 290 500 | 290 500 |
| Training of governmental experts | 387 400 | 500 800 |
| Additional posts (1 P-3, 1 General Service (Other level)) | 267 500 ^b | 267 500 |
| Computer maintenance and communications costs | 7 600 | 7 600 |
| Total | 2 680 900 | 3 233 700 |

^a The fourth year of the Mechanism started in June 2013. Expenditures reported under the fourth year relate to activities undertaken with regard to the fourth group of 76 countries under review. The fourth group of countries includes those that were part of the fourth group in June 2013 and those that have ratified or acceded to the Convention since June 2013.

^b Expenditure reported covers the salary costs of the General Service (Other level) post and of the Crime Prevention and Criminal Justice Officer (P-3) post for the period from June 2013 to May 2014.

Table 9
Estimates and interim extrabudgetary expenditures for the fifth year of the first cycle of the Review Mechanism^a
 (United States dollars)

| <i>Budgetary item</i> | <i>Interim expenditures for the fifth year as at 28 February 2017</i> | <i>Estimates for the fifth year</i> |
|---|---|-------------------------------------|
| Participation of least developed countries in the sessions of the Implementation Review Group | 522 000 | 522 000 |
| Additional posts (1 P-3, 1 General Service (Other level)) | 709 800 ^b | 917 000 |
| Computer maintenance and communications costs | 17 600 | 18 900 |
| Total | 1 249 400 | 1 457 900 |

^a The fifth year started on 1 June 2014. Expenditures with regard to staff and sessions of the Group incurred since the beginning of the fifth year are reported under the fifth year. Expenditures that relate to training provided in relation to country reviews after 31 May 2014 are reported under the fourth year of the Review Mechanism. Other expenditures that relate to the second, third or fourth group of countries under review are reported under the second, third and fourth year of the Review Mechanism, respectively. Expenditures that relate to countries that have ratified the Convention since June 2014 are reported under the fourth year of the Review Mechanism.

^b Expenditure reported covers the salary costs of the General Service (Other level) post and of the Crime Prevention and Criminal Justice Officer (P-3) post for the period from June 2014 to February 2017.

IV. Estimates for the second cycle of the Review Mechanism

4. Tables 10 and 11 show the estimated financial requirements for the operation of the first and second years of the second cycle. The estimates are based on the projected costs for the first two years of the second cycle of the Mechanism as presented and explained in greater detail in annex I of document [CAC/COSP/2015/10](#).

Table 10
Estimates for the first year of the second cycle of the Review Mechanism^a
 (United States dollars)

| <i>Budgetary item</i> | <i>Interim expenditures for the fifth year as at 28 February 2017</i> | <i>Estimates for the first year</i> |
|--|---|-------------------------------------|
| Travel of participants for country visits and joint meetings | 18 600 | 810 400 |
| Translation of working documentation | 68 900 | 586 800 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 309 500 | 280 800 |
| Training of governmental experts | 332 000 | 468 100 |
| Travel of experts of the United Nations Office on Drugs and Crime (UNODC) to provide targeted assistance in countries under review | 26 000 | 58 600 |
| Additional posts (1 P-4, 2 P-3) ^b | 173 100 | 570 800 |
| Computer maintenance and communications costs | 1 100 | 22 600 |
| Total | 929 200 | 2 798 100 |

^a The first year of the second cycle of the Mechanism started in June 2016. The estimates for the first year of the second cycle cover the projected operational expenditures for conducting 36 country reviews, the salary costs for three Crime Prevention and Criminal Justice Officers (1 P-4, 2 P-3) for the period from 1 July 2016 to 30 June 2017. The estimate includes the estimated costs of the participation of delegates from least developed countries in the seventh session (June 2016) and the resumed seventh session (November 2016) of the Group.

^b One Crime Prevention and Criminal Justice Officer (P-4) since July 2016 and one Crime Prevention and Criminal Justice Officer (P-3) since August 2016, working in support of the second cycle, are covered by the second-cycle funds.

Table 11
Estimates for the second year of the second cycle of the Review Mechanism^a
 (United States dollars)

| <i>Budgetary item</i> | <i>Estimates for the second year</i> |
|---|--------------------------------------|
| Travel of participants for country visits and joint meetings | 810 400 |
| Translation of working documentation | 586 800 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 280 900 |
| Training of governmental experts | 468 100 |
| Travel of UNODC experts to provide targeted assistance in countries under review | 58 500 |
| Additional posts (1 P-4, 2 P-3) | 583 200 |
| Computer maintenance and communications costs | 22 600 |
| Total | 2 810 500 |

^a The second year of the second cycle of the Mechanism starts in June 2017. The estimates for the second year of the second cycle cover the projected operational expenditures for conducting 36 country reviews, the salary costs of three Crime Prevention and Criminal Justice Officers (1 P-4, 2 P-3) for the period from 1 July 2017 to 30 June 2018. The estimate includes the estimated costs of the participation of delegates from least developed countries in the eighth session (tentatively in June 2017) and the resumed eighth session (tentatively November 2017) of the Group. No expenditures were incurred for the second year as at 28 February 2017.

V. Resource requirements for the functioning of the Review Mechanism, extrabudgetary contributions received and funding shortfall

5. As shown in tables 12 and 13, a total of \$12,400,400 in voluntary contributions has been received from Australia, Austria, Brazil, Canada, France, Germany, Italy, Japan, Liechtenstein, Mexico, Morocco, the Netherlands, Norway, Oman, Panama, Qatar, the Russian Federation, Saudi Arabia, Sweden, Switzerland, Turkey, the United Kingdom of Great Britain and Northern Ireland, the United States of America and the United Nations Development Programme (UNDP) between 2010 and 2017. In-kind contributions have also been provided by Angola, Argentina, Armenia, Austria, the Bahamas, Bahrain, Benin, Botswana, Brazil, Cabo Verde, Cameroon, China, Colombia, the Dominican Republic, Ecuador, Egypt, Fiji, Gabon, Granada, Greece, India, Israel, Italy, Kazakhstan, Kenya, Kiribati, Liechtenstein, Madagascar, Malaysia, Mauritania, Nepal, Oman, Papua New Guinea, Portugal, the Russian Federation, Saudi Arabia, Singapore, Solomon Islands, Tajikistan, Turkey, the United Arab Emirates, Uzbekistan and Vanuatu.

Table 12
Extrabudgetary contributions to the Review Mechanism, as at 28 February 2017
 (United States dollars)

| | <i>All years</i> | <i>2010</i> | <i>2011</i> | <i>2012</i> | <i>2013</i> | <i>2014</i> | <i>2015</i> | <i>2016</i> | <i>2017</i> |
|--|-------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Extrabudgetary contributions received as at 28 February 2017 | 12 400 400 | 1 999 600 | 2 711 000 | 2 094 500 | 2 085 900 | 2 031 100 | 392 600 | 814 900 | 270 800 |

Table 13
Extrabudgetary contributors to the Review Mechanism, as at 28 February 2017

| <i>Extrabudgetary contributors</i> | |
|------------------------------------|---|
| 2010 | Canada, France, Germany, Mexico, Netherlands, Norway, Sweden, United Kingdom, United States, UNDP |
| 2011 | Australia, Austria, Brazil, Canada, France, Norway, Qatar, Russian Federation, Sweden, Switzerland, United States |
| 2012 | Australia, France, Mexico, Norway, Sweden, United States |
| 2013 | Australia, France, Italy, Mexico, Morocco, Norway, Qatar, Russian Federation, Sweden, Switzerland, United States |
| 2014 | Australia, France, Norway, Oman, Panama, Russian Federation, Saudi Arabia, Sweden, United Kingdom, United States |
| 2015 | Australia, France, Mexico, Morocco, Sweden, Turkey, United States |
| 2016 | France, Japan, Mexico, Morocco, Norway, Qatar, Russian Federation, Sweden, United States |
| 2017 | Germany, Liechtenstein, Qatar, Sweden |

6. As shown in table 14, the voluntary contributions received so far cover the costs for the operation of the first cycle of the Review Mechanism, whereas a significant funding shortfall — at the time of writing this report, on 28 February 2017 — continues to endanger the effective operation of the second cycle during its first two years. Additional funding is urgently required to enable the Secretariat to adequately cope with the total workload of the second cycle of the Review Mechanism, finance the costs associated with the conduct of the country reviews and the participation of representatives from least developed countries in the sessions of the Implementation Review Group.¹

7. As requested by the Conference in its resolution 6/1, the Secretariat examined the shortfall on resource requirements for the functioning of the first two years of the second cycle of the Mechanism. The Secretariat reconfirms its previous analysis and concludes that the shortfall cannot be addressed through cost-efficiencies, as has already been indicated to the Group at its previous sessions.

Table 14
Extrabudgetary resource requirements for the functioning of the Review Mechanism, contributions received and funding shortfall, as at 28 February 2017
 (United States dollars)

| | <i>Total estimated requirements</i> | <i>Requirements covered by extrabudgetary contributions</i> | <i>Shortfall</i> |
|------------------------------|-------------------------------------|---|------------------|
| First cycle | | | |
| All years | 10 154 600 | 10 154 600 | 0 |
| Second cycle | | | |
| First year | 2 798 100 | 2 245 800 | 552 300 |
| Second year | 2 810 500 | 0 | 2 810 500 |
| <i>First and second year</i> | <i>5 608 600</i> | <i>2 245 800</i> | <i>3 362 800</i> |

¹ Workload and costs associated with the operation of the first two years of the second cycle are detailed in the Note by the Secretariat on Projected costs for the functioning of the second cycle of the Mechanism (see [CAC/COSP/2015/10](#), annex I).

Annex

Interim statement of regular budget expenditures for the functioning of the Mechanism

(United States dollars)

| <i>Budgetary item</i> | <i>Biennium 2010-2011</i> | <i>Biennium 2012-2013</i> | <i>Biennium 2014-2015</i> | <i>Biennium 2016-2017</i> |
|---|-------------------------------|-------------------------------|-------------------------------|-------------------------------|
| Posts and related general operating expenses | | | | |
| Posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level)) | 1 474 100 | 2 497 000 | 2 320 800 | 1 186 300 |
| Computer maintenance | 23 400 | 35 100 | 17 700 | 18 100 |
| Communications | 27 000 | 30 000 | 23 800 | 17 500 |
| Subtotal | 1 524 500 | 2 562 100 | 2 362 300 | 1 221 900 |
| Implementation Review Group | | | | |
| Interpretation | 351 300 | 317 000 | 302 800 | 167 400 |
| Translation of documentation | 534 900 | 2 569 400 | 1 440 000 | 2 632 600 |
| Subtotal | 886 200 | 2 886 400 | 1 742 800 | 2 800 000 |
| Total | 2 410 700 | 5 448 500 | 4 105 100 | 4 021 900 |

Interim statement of extrabudgetary expenditures for functioning of the first cycle of the Mechanism

(United States dollars)

| <i>Budgetary item</i> | <i>Expenditures for the first year</i> | <i>Expenditures for the second year</i> | <i>Expenditures for the third year</i> | <i>Expenditures for the fourth year</i> | <i>Expenditures for the fifth year</i> | <i>Expenditures for all years</i> |
|---|--|---|--|---|--|---------------------------------------|
| Travel of participants for country visits and joint meetings | 607 500 | 753 000 | 609 100 | 1 020 500 | - | 2 990 100 |
| Translation of working documentation | 303 000 | 426 400 | 412 000 | 707 400 | - | 1 848 800 |
| Participation of least developed countries in the sessions of the Implementation Review Group | 185 900 | 287 000 | 251 700 | 290 500 | 522 000 | 1 537 100 |
| Training of governmental experts | 275 200 | 454 600 | 490 200 | 387 400 | - | 1 607 400 |
| Consultants | 99 900 | - | - | - | - | 99 900 |
| 1 P-3 post and 1 General Service (Other level) post | - | 36 800 | 174 900 | 267 500 | 709 800 | 1 189 000 |
| Computer maintenance and communications costs | - | 1 800 | 7 100 | 7 600 | 17 600 | 34 100 |
| Total | 1 471 500 | 1 959 600 | 1 945 000 | 2 680 900 | 1 249 400 | 9 306 400^a |

^a As shown in table 14, the total estimated extrabudgetary resource requirements for the completion of 179 country reviews under the first cycle amount to \$10,154,600.