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English only

**Implementation Review Group
of the United Nations Convention
against Corruption
First Meeting
Vienna, 28 June-2 July 2010**

**Matrix of Technical Assistance Needs Identified through the
United Nations Convention against Corruption Self-
assessment Checklist**

Note by the Secretariat

I. Introduction

1. In its resolution 3/1 on the “Review mechanism”, the Conference of the States Parties to the UNCAC, adopted at its third session, held in Doha from 9 to 13 November 2009, decided that “a comprehensive self-assessment checklist shall be used as a tool to facilitate the provision of information on implementation of the United Nations Convention against Corruption”. This checklist and further, the review process should assist States parties to identify and substantiate specific needs for technical assistance and to promote and facilitate the provision of technical assistance.
2. The matrix of technical assistance needs identified through the United Nations Convention against Corruption (UNCAC) self-assessment checklist has been welcomed as an effective tool for sharing knowledge on country-level needs. It has been a work in progress that has continuously been updated based on the responses received by States to the checklist or updates submitted directly to the Secretariat. States parties, technical assistance providers, and regional and international organizations alike have continuously welcomed the development of the matrix. **
3. This Note complements document CAC/COSP/IRG/2010/6, titled “Integrating technical assistance in the work of the Implementation Review Group”. It includes additional information received by the Secretariat from Ecuador, Malta, Nicaragua and the Philippines. It further includes information on the manner in which the matrix of technical assistance needs will be enhanced through the comprehensive self-assessment checklist.

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II. The matrix of technical assistance needs under the comprehensive self-assessment checklist

4. Pursuant to resolution 3/1, the Conference of the States Parties to the UNCAC requested “the Secretariat to finalize a comprehensive self-assessment checklist no later than two months after the conclusion of the third session of the Conference, using as a model the draft comprehensive self-assessment checklist, in consultation with States parties”. In resolution 3/4 on “Technical assistance to implement the United Nations Convention against Corruption”, the Conference of the States Parties, welcomed “the efforts of the Secretariat to analyse the technical assistance needs identified by States parties and signatories to the United Nations Convention against Corruption in their responses to the self-assessment checklist” and “the development by the Secretariat of a computer-based information-gathering tool to produce statistics and visual aids, such as charts and other graphics, enabling the Conference to better identify technical assistance needs”.

5. In the initial self-assessment checklist, if a State party answered that they had in part or not yet adopted the measures required of a given provision, then various sub-questions with regard to technical assistance needs could be marked. These included: no assistance would be required; model legislation; legislative drafting; legal advice; site visit by an anti-corruption expert; development of an action plan for implementation; and other assistance (please specify). In addition, State parties were asked whether technical assistance had already been provided, and if so, by whom.

6. During the consultative process leading to the finalization of the comprehensive self-assessment checklist, the technical assistance questions were also modified. These answers are wider in scope and allow States parties to identify a broad spectrum of technical assistance needs. Based on this information, pursuant to resolution 3/4, UNODC will be able “to continue to share with other possible technical assistance providers information on technical assistance needs compiled on the basis of responses to the self-assessment checklist and included in the matrix of technical assistance needs, in particular information on needs at the country level, in order to inform assistance activities in coordination with the beneficiary countries”.

7. The comprehensive self-assessment checklist includes the following questions and text with regard to technical assistance needs:

“Which challenges and issues are you facing in (fully) adopting/implementing the provision under review? (Check all the answers that apply and provide an explanation in the ‘Comments’ field)”.

Inter-agency coordination.

Inadequacy of existing normative measures (constitution, laws, regulations, etc).

Specificities in our legal system.

Competing priorities.

Limited capacity (e.g. human/technological/institution/other; please specify).

Limited resources for implementation (e.g. human/financial/other; please specify).
Other issues (please specify).

III. Amendments to the matrix of technical assistance needs as identified through the UNCAC self-assessment checklist or as updated by States parties

8. The matrix below is an update of document CAC/COSP/2009/CRP.5, titled “Matrix of technical assistance needs identified through the United Nations Convention against Corruption Self-assessment Checklist: Note prepared by the Secretariat”.

<i>Country</i>	<i>Article</i>	<i>Topic</i>	<i>Ongoing Assistance</i>
Ecuador	Article 5. Preventive anti-corruption policies and practices	<ol style="list-style-type: none"> 1. Site visit by an anti-corruption expert 2. Development of an action plan for implementation 3. Other assistance: training programmes; implementation of a virtual education platform for public servants; process for checking public servants’ wealth declarations and account statements; establishment of baselines and indicators for the National Transparency and Social Control System; creation of systems for monitoring transparency practices, and measuring and mapping corruption; development of models for improving transparency; adoption of transparency management and inter-institutional co-responsibility; promotion of institutional commitment and public ethics; strengthening of the monitoring system required by the Organic Law on Access to Public Information 	No assistance provided
	Article 6 Preventive anti-corruption body or bodies	<ol style="list-style-type: none"> 1. Model legislation 2. Legal advice 3. Other assistance: harmonization of the legal framework 	No assistance provided
	Article 9 Public procurement and management of public finances	<ol style="list-style-type: none"> 1. Site visit by an anti-corruption expert 2. Development of an action plan for implementation 3. Other assistance: identification of mechanisms for achieving the competitive participation of micro and small enterprises in government procurement; implementation of an information system for verifying the categories of the Central Product Classification and related categories in the Uniform International Industrial 	No assistance provided

<i>Country</i>	<i>Article</i>	<i>Topic</i>	<i>Ongoing Assistance</i>
		Classification; development of an interactive e-learning tool in the area of public procurement	
	Article 16 Bribery of foreign public officials and officials of public international organizations	<ol style="list-style-type: none"> 1. Model legislation 2. Legal advice 3. Other assistance: investigative training of offences committed by foreigners 	No assistance provided
	Article 23 Laundering of the proceeds of crime	<ol style="list-style-type: none"> 1. Legislative drafting 2. Development of an action plan for implementation 3. Other assistance: establishment of a national body for the recovery and effective administration of the proceeds of crime; adjusting and reforming the money-laundering regulations; special training for auditors in forensic auditing; standardisation of the money-laundering criteria; development of training and awareness-raising programmes; establishing a collaboration with international training bodies and programmes; development of training software relating to money-laundering; development of a list of technical assistance providers and related sources of finance; application of tools for preventing and detecting money-laundering; development of a manual 	No assistance provided
Malta	Article 9. Public procurement and management of public finances	<ol style="list-style-type: none"> 1. Model legislation 2. Legislative drafting 3. Legal advice 4. Development of an action plan for implementation 	Yes, two EU projects: (1) Instituting a robust Public Internal Financial Control System for the Public Sector in Malta: Acquisition of technical assistance to implement EU standards and best practices (between January and June 2008); and (2) Capacity building for the Public Internal Financial Control System in Malta – Technical training in Risk Management and Internal Auditing (between January and June 2009)
Nicaragua	Article 6. Preventive anti-corruption body or bodies	<ol style="list-style-type: none"> 1. Model legislation 2. Development of an action plan for implementation 	No assistance provided

<i>Country</i>	<i>Article</i>	<i>Topic</i>	<i>Ongoing Assistance</i>
The Philippines	Article 16. Bribery of foreign public officials and officials of public international organizations	1. Legislative drafting 2. Model legislation	No assistance provided
	Article 53. Measures for direct recovery of property	1. Legislative drafting 2. Model legislation	No assistance provided
	Article 54. Mechanisms for recovery of property through international cooperation in confiscation	1. Legislative drafting	No assistance provided
	Article 57. Return and disposal of assets	1. Legislative drafting	No assistance provided
