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**Implementation Review Group  
Resumed first session**

Vienna, 29 November-1 December 2010  
Item 4 of the provisional agenda\*

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


Note prepared by the Secretariat

**Introduction**

1. In its resolution 3/1, entitled "Review mechanism", the Conference of the States Parties to the United Nations Convention against Corruption underlined that the Mechanism for the Review of Implementation of the United Nations Convention against Corruption requires a budget that ensures its efficient, continued and impartial functioning. In line with this resolution, paragraph 17 of General Assembly resolution 64/237 of 31 March 2010 requested the Secretary-General to ensure that the Mechanism for the Review of Implementation of the Convention was adequately funded, in line with resolution 3/1.
2. As requested during the first meeting of the Implementation Review Group which took place in June 2010, the Secretariat is submitting budgetary information to the Implementation Review Group, including an outline of the estimated costs and information on the expenditures in the first months of the functioning of the Mechanism. This note also includes proposals for funding for the biennium 2012-2013 and beyond.

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**I) Requirements for the biennium 2010-2011 approved by the General Assembly of 24 December 2009**

3. In paragraph 17 of resolution 64/237 of 31 March 2010, the General Assembly requested the Secretary-General to continue to provide the United Nations Office on Drugs and Crime with the resources necessary to enable it to promote, in an effective manner, the implementation of the United Nations Convention against Corruption and to discharge its functions as the secretariat of the Conference of the States Parties to the Convention. The Assembly also requested the Secretary-General to ensure that the new mechanism for the review of implementation of the Convention was adequately funded, in line with resolution 3/1 of the Conference.

4. The budgetary requirements for posts (1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service posts and staff assessment) and related general operating expenses (Computer maintenance and Communication costs as well as the requirements for the Implementation Review Group, (Interpretation in six languages and conference servicing for one meeting of ten days duration per year and Translation of 100 pages of documentation in six languages per year) contained in resolution 64/237 were approved on 24 December 2009 by the General Assembly which took up the report of the Second Committee on preventing and combating corrupt practices and transfer of assets of illicit origin and returning such assets, in particular to the countries of origin, consistent with the United Nations Convention against Corruption (document A/64/422/Add.2) and the relevant report of its Fifth Committee (document A/64/599).

5. The budgetary requirements were then included in the programme budget for the biennium 2010-2011.

6. Additional resources were made available under section 16, International drug control, crime and terrorism prevention and criminal justice, section 28F, Administration, Vienna, and section 36, Staff assessment, the latter being offset by the same amount under Income section 1, Income from staff assessment, of the proposed programme budget for the biennium 2010-2011.

7. With regard to the Implementation Review Group, under section 2, General Assembly and Economic and Social Council affairs and conference management, of the proposed programme budget for the biennium 2010-2011, provision had been made for 40 meetings of the review mechanism subsidiary body, that is, 20 meetings per year, as well as for the processing of the related reports and background documentation. This provision, which was based on the requirements of the previous implementation review working group, was made available for the conference servicing of the Implementation Review Group.

**II) Additional requirements for the biennium 2010-2011**

8. Additional requirements for the Mechanism for the biennium 2010-2011 include costs of communication and translation from and into working language or languages of the Mechanism designated for individual reviews, travel and daily subsistence allowance for representatives of least developed countries to attend the annual meetings of the Implementation Review Group, training and general

operating expenses, as well as country visits and joint meetings in Vienna, and translation and interpretation into languages other than the six working languages of the Mechanism, if requested by the States party under review.

9. With regard to these requirements, the Secretary-General, as requested by the Conference, proposed to the Implementation Review Group for consideration and decision at its first meeting, (Vienna 28 June to 2 July 2010), further means for funding the implementation of the Mechanism in its “Note of the Secretary-General on resource requirements for the functioning of the Mechanism for the bienniums 2010-2011 and 2012-2013” (CAC/COSP/IRG/2010/5)

10. The additional budgetary requirements for the biennium 2010-2011 were estimated as follows: For an estimated 40 country visits per biennium costs would amount to \$678,000; with regard to translation of the self-assessment checklist and pertinent supporting material a cost of \$1,787,400 was estimated; in order to enable the travel to the sessions of representatives of least developed countries (31) parties to the Convention and payment of daily subsistence allowances, an amount of \$459,000 was estimated; training of governmental experts taking part in the review process in 2010 and 2011 was estimated with \$267,800. An amount of \$67,800 was estimated for general operating expenses for conference calls and videoconferences. The total additional budgetary requirements for the biennium 2010-2011 were therefore estimated at USD 3,260,000.

11. In its Resolution 1/1, adopted on 2 July 2010, the Implementation Review Group welcomed the voluntary contributions received so far, which covered partially these requirements of the Mechanism for the biennium 2010-2011. It also requested UNODC in accordance with the Terms of Reference to continue to seek voluntary contributions to cover those costs of the Mechanism not covered by the regular budget of the United Nations.

### **III) Voluntary contributions received to cover the additional requirements for the biennium 2010-2011**

12. Since the beginning of 2010, the Secretariat has made considerable efforts to raise funds for these additional requirements through voluntary contributions, by repeatedly sending out funding proposals as well as by organizing a donor briefing in Vienna, in addition to presenting the funding shortfall at various other fora.

13. To date, voluntary contributions have been received from France, Germany, Mexico, the Netherlands, Norway, Qatar, Sweden, the United Kingdom, the United States of America, and the United Nations Development Programme (UNDP) and pledges have been received from Australia and Canada. In-kind contributions have also been provided by Portugal and the Russian Federation.

14. The voluntary contributions received so far thus cover most of the additional operational requirements of the Mechanism for the biennium 2010-2011 as listed under part II of this document.

### **IV) Expenditures for the first months of the functioning**

15. Travel costs and daily subsistence allowance were covered for 24 representatives of least developed countries Parties to the Convention to enable them to participate in the first meeting of the Implementation Review Group, which

took place in Vienna from 28 June to 2 July 2010. Similar arrangements are in place for the resumed session of the Implementation Review Group, and the exact number of participants benefiting from this contribution will be made available to the Implementation Review Group at its second meeting in 2011.

16. In accordance with the terms of reference of the Review Mechanism and the guidelines for governmental experts and the secretariat, UNODC organized training workshops to familiarize focal points of States parties under review and governmental experts of reviewing States parties with the substantive provisions of the Convention and the methodology of the review process. These workshops were based on a regional and linguistic distribution of States. Seven workshops were held, in Dakar, Panama, Rabat, Moscow, Vienna, Jakarta and Pretoria. A last ad hoc workshop will be organized during the week of the resumed session of the Implementation Review Group for States parties that were unable to attend any of the other workshops, thus ensuring that all States parties under review and reviewing States parties had an opportunity for training.

17. The initial cost estimates for training of experts were based on 30 experts from developing countries participating each year. However, following requests from States parties, the costs of one expert per country under review and two experts per reviewing country (altogether, over 100 experts) were covered through voluntary contributions, thus increasing the estimated costs.

18. With regard to video and telephone conference costs, the actual costs will most likely be reduced by favouring telephone conferences over video conferences, but also by organizing face-to-face initial conferences and joint meetings in parallel with the training workshops, the resumed session of the Implementation Review Group as well as the meetings of the working groups on asset recovery prevention which will take place in December 2010, whenever focal points and governmental experts are present at such events.

19. Individual country reviews were expected to require limited translation of documentation (including responses to the self-assessment checklist and pertinent supporting material) from one official language into another and vice versa. It was initially estimated that an average 2,000 pages from one language into another would be required per year.

20. From the 25 country reviews which had started as of 19 November 2010 (for four reviews, the initial conference call had not yet taken place), ten are conducted in one language, 13 are conducted in two languages, and two in three languages. In accordance with the Terms of Reference of the Mechanism and the guidelines for governmental experts and the secretariat, the Secretariat is to provide translation from and into languages which are not working languages of the United Nations. The Secretariat has provided such translation with respect to two reviews.

21. Based on the initial submissions of the complete responses to the UNCAC self-assessment checklist and of relevant supporting documents, and considering the different language combinations, the number of pages to be translated for the first year will by far exceed the initial estimates.

22. The increased number of pages and the various language combinations created bottlenecks both in terms of human and financial resources. The in house translation capacity would not have guaranteed a timely delivery of the translated documents

within one month after receipt of the checklist. In addition, voluntary contributions were insufficient to cover the additional requests for translation at the official United Nations standard translation rate.

23. In order to accelerate the translation, and in order to reduce the overall costs, it was therefore decided to outsource the translations of the responses to the self-assessment checklist and of relevant supporting documents through UNODC field office network.

24. In terms of the country visits, it was estimated that for each of the 40 country visits per biennium, a minimum of three days would be required. Five participants (including governmental experts from developing countries and Secretariat staff) are expected to travel. Costs for interpretation are foreseen in 15 countries. With only one visit in progress, it is too early to give an indication of the exact costs.

25. Detailed information on expenditures will be provided to the Implementation Review Group at its second session in May 2011.

#### V) Resource requirements for the biennium 2012 -2013

26. The following outputs of the mechanism are foreseen for the biennium 2012-2013: Analysis of self-assessment responses received and supplementary information (80 per biennium); Analysis of country reports and preparation of executive summaries of country reports (80 per biennium); Preparation of thematic reports and regional addenda (12 per biennium); List of experts participating in the review process, updated annually (up to 15 experts each of a current total of 147 States parties); Technical assistance needs matrix, updated annually; Pool of experts for the provision of technical assistance; Database of competent authorities, asset recovery focal points central authorities; Country visits (40 per biennium); Training of experts (10 regional workshops per biennium).

27. The overall budgetary requirements for the implementation of the request contained in paragraph 17 of resolution A/RES/64/237 for the biennium 2012-2013 are based on the same parameters as for the biennium 2010-2011, as highlighted in paragraph 10 of the present document. .

#### Overall budgetary requirements for 2012-2013

(United States dollars)

<b>Posts and related general operating expenses *</b>	
1 D-1, 1 P-5, 2 P-4, 1 P-3, 3 P-2 and 1 General Service (Other level) posts	2 707 300
Staff assessment	405 700
Computer maintenance	23 400
Communication costs	27 000
<b>Subtotal</b>	<b>3 163 400</b>
<b>Individual reviews</b>	
Country visits (5 participants per country visit for 40 countries)	678 000
Translation of documents for individual reviews in 2 languages (4,000 pages)	1 787 400
<b>Subtotal</b>	<b>2 465 400</b>

<b>Implementation Review Group (1 meeting of 10 days duration per year) *</b>	
Interpretation in 6 languages and conference servicing	395 000
Translation of 100 pages of documentation in 6 languages per year	395 400
<b>Subtotal</b>	<b>790 400</b>
Travel and subsistence allowance for representatives of least developed countries (31 representatives, 14 days daily subsistence allowance per year)	
	459 000
<b>Subtotal</b>	<b>459 000</b>
<b>Training</b>	
Five-day training course for 30 experts from developing countries per year	267 800
<b>Subtotal</b>	<b>267 800</b>
<b>General operating expenses</b>	
Videoconference costs	67 800
<b>Subtotal</b>	<b>67 800</b>
<b>Total (gross)</b>	<b>7 213 800</b>
<b>Income from staff assessment</b>	<b>(405 700)</b>
<b>Total (net)</b>	<b>6 808 100</b>

\* Pursuant to adoption of resolution 64/237, these items were provided for in the programme budget for the biennium 2010-2011

28. Based on experience gained, challenges identified and lessons learned in the coming months, the Secretariat might need to revise these estimates and/or provide new estimates to the Implementation Review Group and/or the Conference of the States Parties for their consideration and approval.

## **VI) Recommendations for funding of the overall requirements for the biennium 2012-2013**

29. In view of the difficulties encountered in raising the additional resources required for the operationalization of the Mechanism in the Biennium 2010-2011, the Implementation Review Group recommended in its resolution 1/1 that the budgetary requirements of the Mechanism and its secretariat be funded from the regular budget of the United Nations in accordance with the terms of reference annexed to resolution 3/1 for the biennium 2012-2013.

30. It also requested the Secretary General to include in his proposals for the programme budget for the biennium 2012-2013 the budgetary requirements necessary for the full functioning of the Mechanism, including posts and related general operating expenses, costs of communication and translation from and into working language or languages of the Mechanism designated for individual reviews, functioning of the Group, and the participation of least developed countries in its meetings in accordance with the estimates included in document CAC/COSP/IRG/2010/5, but excluding the line items proposed on country visits and training, submitted to the Implementation Review Group at its first session.

31. If insufficient resources were made available from the regular budget, and if the additional requirements of the mechanism and its secretariat for 2012-2013 were to be funded through voluntary contributions, there can be no guarantee that a sufficient level of voluntary contributions would be received to ensure that the requirements of the mechanism were met. As the experience to date in trying to raise funds for the mechanism has demonstrated, voluntary contributions are unpredictable, and without a minimum level of funding being provided, it might not be possible to ensure successful reviews. The Implementation Review Group may thus wish to encourage States parties to take urgent action in this regard.

32. Furthermore, during its first meeting, the Implementation Review Group stressed the urgent need for timely action with regard to advocating for additional resources for the biennium 2012-2013; it also suggested holding a number of informal consultations to consider the resource requirements for the functioning of the Mechanism for the biennium 2012-2013 and developing a plan of action. The Implementation Review Group may also wish to encourage States parties to take urgent action in this regard as well.

33. Additionally, as a result of the country reviews, detailed information on technical assistance requirements and priorities of developing countries will be made available through the technical assistance matrix. This information has the potential to ensure more streamlined, coherent and consistent technical assistance programming, which would support countries in filling the gaps identified by the reviews and action plans developed as a follow-up to the reviews. Funds will need to be provided for technical assistance activities to meet the needs identified by countries in respect of the implementation of the Convention.

34. The Implementation Review Group may wish to make recommendations on the way forward in terms of ensuring that the growing demands of reviewed States parties are met and that a broad set of technical assistance responses/activities is available to those States parties which request it.

35. So far, only one country has indicated that it is contemplating to earmark a significant amount of funds for the implementation of technical assistance activities over a period of three years. Such multi-year contributions will enable a continuous and flexible support to those States parties which request assistance and contribute to ensure that relevant needs are met.

36. The Implementation Review Group may wish to consider recommending to the Conference of the States Parties ways and means to ensure the provision of technical assistance to meet requirements identified through the Implementation Review Mechanism.

37. In considering this issue, the Implementation Review Group may wish to take into account the desirability and means of ensuring a strategic alignment of donors' activities. Further the Implementation Review Group may wish to consider ways of ensuring the predictability of funding (in line with, inter alia, the Mutual Accountability principle of the Paris Declaration on Aid Effectiveness agenda), while allowing for the necessary implementation flexibility.