



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

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## Report on the meeting of the Open-ended Intergovernmental Working Group on the Prevention of Corruption held in Vienna from 8 to 10 September 2014

### I. Introduction

1. In its resolution 3/2, the Conference of the States Parties to the United Nations Convention against Corruption decided to establish an interim open-ended intergovernmental working group, in accordance with article 63, paragraph 7, of the United Nations Convention against Corruption, and rule 2, paragraph 2, of the rules of procedure of the Conference, to advise and assist the Conference in the implementation of its mandate on the prevention of corruption.

2. The Conference decided that the Working Group should perform the following functions:

(a) Assist the Conference in developing and accumulating knowledge in the area of prevention of corruption;

(b) Facilitate the exchange of information and experience among States on preventive measures and practices;

(c) Facilitate the collection, dissemination and promotion of best practices in corruption prevention;

(d) Assist the Conference in encouraging cooperation among all stakeholders and sectors of society in order to prevent corruption.

3. In its resolution 5/4, entitled “Follow-up to the Marrakech declaration on the prevention of corruption”, the Conference decided that the Open-ended Intergovernmental Working Group on the Prevention of Corruption should continue its work to advise and assist the Conference in the implementation of its mandate on the prevention of corruption and should hold at least two meetings prior to the sixth session of the Conference, and, taking into account the workplan for the forthcoming meetings of the Working Group, encouraged the Group to seek inputs, as appropriate, from the private sector, in accordance with the Convention and its rules of procedure.



4. Also in that resolution, the Conference noted with appreciation the achievements of the Working Group in facilitating sharing of information between States parties on their initiatives and good practices on the topics considered at the meetings of the Group held in 2012 and 2013, and encouraged States parties to continue to share with the Secretariat new as well as updated information on such initiatives and good practices.

5. In the same resolution, the Conference requested the Secretariat, subject to the availability of extrabudgetary resources, to continue to perform the functions of an international observatory and, at the request of the Working Group or the Conference, to provide information on lessons learned and the adaptability of good practices, as well as related technical assistance activities, which could be offered to States parties upon request.

6. Further, the Conference decided, in resolution 5/4, that the Working Group should continue to follow the multi-year workplan for the period up to 2015 and the start of the second cycle of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption, as agreed by the Working Group. Accordingly, the Working Group, at its meeting held from 8 to 10 September, focused its attention on the following topics:

(a) Mandates of anti-corruption body or bodies in respect of prevention (article 6 of the Convention);

(b) Public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties (articles 5 and 7 of the Convention).

## **II. Conclusions and recommendations**

7. The Working Group noted that, pursuant to Conference resolution 5/4, it would hold its sixth meeting in 2015, prior to the sixth session of the Conference of the States Parties.

8. In accordance with that resolution, the Working Group will focus on the following topics at its sixth meeting:

(a) Measures to prevent money-laundering (article 14);

(b) Integrity in public procurement processes and transparency and accountability in the management of public finances (articles 9 and 10).

9. The Working Group recommended that States should ensure that the necessary material resources and specialized staff were provided to bodies that prevent corruption in order to allow them to carry out their functions effectively, in accordance with article 6, paragraph 2, of the Convention.

10. Noting the importance of joint efforts to support the effective development, implementation and coordination of preventive anti-corruption policy, the Working Group recommended that preventive anti-corruption authorities should endeavour to enhance cooperation, share best practices and conduct joint training. The Working Group took note of resolution 5/4, in which the Conference called upon all States

parties that had not yet done so to inform the Secretary-General of the designation of competent authorities that might assist other States parties in developing and implementing specific measures for the prevention of corruption, as required under article 6 of the Convention.

11. The Working Group reaffirmed that States parties should continue to consider taking appropriate public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties, in line with the objectives of the Convention, in order to prevent corruption more efficiently and effectively.

12. The Working Group requested the secretariat, subject to the availability of extrabudgetary resources, to continue its efforts to gather information on good practices related to enhancing the transparency of funding of candidatures for elected public office and, where applicable, the funding of political parties, particularly in preparation for the next implementation review cycle, with a special focus on preventive oversight and enforcement. The Working Group further requested the United Nations Office on Drugs and Crime (UNODC) to provide, upon request and subject to the availability of extrabudgetary resources, awareness-raising and other forms of technical assistance on the subject.

13. The Working Group encouraged States parties to continue their efforts towards early reporting on the implementation of chapter II of the Convention (Preventive measures).

14. The Working Group recalled Conference resolution 5/5, entitled “Promotion of the contribution of young people and children in preventing corruption and fostering a culture of respect for the law and integrity”, and Conference resolution 5/6, entitled “Private sector”, both of which addressed key areas in relation to the implementation of chapter II of the Convention.

15. The Working Group highlighted the need for sufficient extrabudgetary resources to complement the regular funding provided to UNODC to continue the effective implementation of resolution 5/4, including through providing technical assistance on the provisions of chapter II, and called upon States parties and other donors to reconfirm their commitment to the prevention of corruption through the furnishing of such financial means.

16. The Working Group requested the secretariat, subject to the availability of extrabudgetary resources, to continue its functions as an international observatory for the gathering of information on good practices in preventing corruption, with a focus on systematizing and disseminating the information received from States parties, including through the thematic website on the Working Group.

17. In accordance with resolution 5/4, the Working Group requested the Secretariat to report to it at its next meeting on the activities undertaken pursuant to the above-mentioned recommendations.

### **III. Organization of the meeting**

#### **A. Opening of the meeting**

18. The Working Group on the Prevention of Corruption held its fifth meeting in Vienna from 8 to 10 September 2014. The meeting of the Working Group was chaired by Paulus Kalomho Noa (Namibia).

19. In opening the meeting, the Chair recalled Conference resolution 5/4, in which the Conference had stressed the importance of implementing articles 5-14 of the Convention and had urged States parties to continue to share information concerning initiatives and good practices in the prevention of corruption. The Chair also underscored the impressive work carried out by members of the Working Group and the Secretariat to implement resolution 5/4, through activities in the public, private, criminal justice, education and other sectors and with civil society. Such activities were a clear indication of the strong will to find effective preventive measures to combat corruption. Further, he highlighted the need to continue the important work of the Working Group.

20. The secretariat underscored the importance attributed in the Convention to the existence of measures to prevent corruption and underlined that chapter II included provisions essential to promoting transparency, integrity and good governance. The task of the Working Group was to assist States in the implementation of that chapter. It was noted that, so far, the Working Group had addressed the following topics: public procurement; vulnerabilities to corruption in the public and private sectors; media coverage; promoting integrity through youth; awareness-raising policies and practices; public sector codes of conduct and public reporting; conflicts of interest and asset declarations; public-private partnerships; integrity in the judiciary, judicial administration and prosecution services; and public education, in particular the engagement of children and young people and the role of mass media and the Internet.

21. The secretariat also introduced the documents of the session. The reports on mandates of anti-corruption body or bodies in respect of prevention (article 6 of the Convention) (CAC/COSP/WG.4/2014/2) and on public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties (articles 5 and 7 of the Convention) (CAC/COSP/WG.4/2014/3), had been prepared on the basis of the responses submitted by Member States following a request by the secretariat for information. Those reports reflected the information received by 20 June 2014 from 29 Member States and one organization; 10 of the submissions received after that date had been posted on the UNODC website, together with those submissions received earlier, with the agreement of the State concerned. In accordance with resolution 5/4, the secretariat had also sought inputs from the private sector in relation to the topics under consideration at the current session of the Working Group. Three responses had been received and reflected in the reports where relevant. The report on the status of implementation of resolution 5/4 (CAC/COSP/WG.4/2014/4) contained an outline of action taken to implement the resolution and to assist the Working Group in mapping the way towards effective efforts to prevent corruption.

22. The Philippines, on behalf of the Group of 77 and China, reiterated the importance of effective implementation of the provisions on prevention set forth in

the Convention and called for coordinated anti-corruption policies that promoted the participation of society and which were in accordance with the fundamental principles of their legal systems, and for technical assistance to support effective and efficient implementation. Efforts by States parties to strengthen the effective role of anti-corruption bodies were welcomed, as was the adoption of resolution 5/4 by the Conference of the States Parties.

23. The Russian Federation officially informed the Working Group that the sixth session of the Conference of the States Parties would be held in Saint Petersburg, Russian Federation. The delegation also announced that it had made a voluntary financial contribution to UNODC in the amount of \$1,126,000 to ensure the full-fledged functioning of the Implementation Review Mechanism and a further contribution of \$1,000,000 to the general-purpose fund.

24. Prior to the adoption of the agenda, Mexico, Switzerland and the United States of America, as well as the European Union, made statements<sup>1</sup> about the participation of non-governmental organizations as observers in the Working Group and raised the importance of civil society in the prevention of corruption in general. They asked for the granting of observer status, in accordance with rule 17 of the rules of procedure of the Conference, to qualified non-governmental organizations having submitted applications. The Chair proceeded with the adoption of the agenda. Some delegations, speaking under agenda item 4, raised objections to such participation, stating that they considered the granting of observer status to non-governmental organizations as beyond the mandate of the Working Group and not consistent with rule 17.

## **B. Adoption of the agenda and organization of work**

25. On 8 September, the Working Group adopted the following agenda:

1. Organizational matters:
  - (a) Opening of the meeting;
  - (b) Adoption of the agenda and organization of work.
2. Implementation of Conference resolution 5/4, entitled “Follow-up to the Marrakech declaration on the prevention of corruption”, and of the recommendations made by the Working Group at its meeting held in August 2013:
  - (a) Good practices and initiatives in the prevention of corruption:
    - (i) Thematic discussion on the mandates of an anti-corruption body or bodies in respect of prevention (article 6 of the United Nations Convention against Corruption);
    - (ii) Thematic discussion on public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties

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<sup>1</sup> Available on the UNODC website.

(articles 5 and 7 of the United Nations Convention against Corruption);

(b) Other recommendations.

3. Future priorities and consideration of topics indicated for 2015 in the multi-year workplan.
4. Adoption of the report.

### **C. Attendance**

26. The following States parties to the Convention were represented at the meeting of the Working Group: Afghanistan, Algeria, Angola, Argentina, Armenia, Austria, Bahrain, Belarus, Belgium, Benin, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Burkina Faso, Burundi, Cambodia, Canada, Chile, China, Colombia, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Cyprus, Czech Republic, Denmark, Dominican Republic, Ecuador, Egypt, El Salvador, Finland, France, Gabon, Ghana, Guatemala, India, Indonesia, Iran (Islamic Republic of), Iraq, Israel, Italy, Jordan, Kazakhstan, Kenya, Kuwait, Latvia, Lebanon, Libya, Luxembourg, Madagascar, Malaysia, Mexico, Mongolia, Montenegro, Morocco, Namibia, Netherlands, Nigeria, Norway, Oman, Pakistan, Panama, Paraguay, Peru, Philippines, Poland, Portugal, Qatar, Republic of Korea, Russian Federation, Saudi Arabia, Serbia, Singapore, Slovakia, Slovenia, South Africa, Spain, Sri Lanka, State of Palestine, Sudan, Switzerland, Thailand, Tunisia, Turkey, Uganda, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United States, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam, Yemen and Zimbabwe.

27. The European Union, a regional economic integration organization that is a party to the Convention, was also represented at the meeting.

28. The following States signatories to the Convention were represented by observers: Germany, Japan and Syrian Arab Republic.

29. The following Secretariat units, funds and programmes were represented by observers: United Nations Development Programme (UNDP), United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) and UNODC.

30. The following intergovernmental organizations were represented by observers: Asian-African Legal Consultative Organization, Eurasian Group on Combating Money Laundering and Financing of Terrorism, Eurojust, International Anti-Corruption Academy, Organization for Economic Cooperation and Development (OECD) and Organization for Security and Cooperation in Europe.

31. The Sovereign Military Order of Malta, an entity maintaining a permanent observer office at United Nations Headquarters, was also represented.

#### **IV. Implementation of Conference resolution 5/4, entitled “Follow-up to the Marrakech declaration on the prevention of corruption”, and of the recommendations made by the Working Group at its meeting held in August 2013**

##### **A. Good practices and initiatives in the prevention of corruption**

###### **1. Thematic discussion on the mandates of anti-corruption body or bodies in respect of prevention (article 6 of the United Nations Convention against Corruption)**

32. The Chair introduced the substantive discussion of the item in relation to which the secretariat had prepared a background note (CAC/COSP/WG.4/2014/2). The secretariat noted that article 6 of the Convention required States parties to ensure the existence of a body or bodies for the prevention of corruption, to grant that body or bodies the necessary independence to carry out its or their functions effectively and free from any undue influence and to ensure that the necessary material resources and specialized staff were provided.

33. The secretariat thanked Member States for the information they had provided in advance of the meeting, which had been summarized. The written contributions had focused on the following key thematic areas: structure and functions of preventive anti-corruption bodies; role of such bodies in preventive anti-corruption policies; granting of necessary independence and resources; role of preventive anti-corruption bodies in sharing knowledge about the prevention of corruption; and cooperation between preventive anti-corruption bodies.

34. A panellist from Argentina gave a presentation on the national anti-corruption agency. He outlined the role of the agency and key concerns in relation to the provision of adequate financial and human resources. In particular, he outlined measures in place to prevent conflict of interest for public officials, both before assuming and while holding office.

35. A panellist from Morocco gave a presentation in which he described a number of barriers to the effectiveness of the anti-corruption body. The mandate of the body was being adapted to include powers to overcome those barriers and to investigate, as well as to prevent corruption. It was emphasized that preventive measures should be seen as investments because of their impact on reducing corruption.

36. A panellist from Nigeria gave an in-depth overview of the structure and mandates of the various anti-corruption agencies that performed the core preventive mandates in Nigeria. He acknowledged the technical assistance received from UNODC and highlighted how coordination issues between agencies had been resolved. He also described challenges faced by anti-corruption bodies, in particular with regard to communication, implementation and funding issues, which had an impact on their efficiency and independence.

37. The leading role played by anti-corruption bodies in implementing, overseeing and coordinating preventive anti-corruption strategies and policies was underlined by a number of speakers. Some speakers further noted that preventive anti-corruption bodies should also be authorized to receive reports of corrupt activities. In addition, the need for effective national coordination by involving

other relevant stakeholders and civil society was stressed. One speaker highlighted that the expertise of anti-corruption bodies established by Governments for the prevention of corruption was unique and unprecedented in character.

38. Many speakers highlighted a plurality of measures, including constitutional, legal and institutional measures, that protected anti-corruption bodies from undue influence and ensured their necessary independence. A large number of speakers underlined the need for sufficient and sustainable resources, in particular financial resources, to be made available to preventive anti-corruption bodies in order for them to carry out their functions effectively, particularly in the light of their expanding mandates.

39. The development of tools and the use of modern communication technologies, in particular online portals, radio, television and mobile phones, were highlighted by some speakers as a means for corruption prevention bodies to raise awareness, develop cost-effective awareness-raising programmes and disseminate knowledge about the prevention of corruption.

40. A number of speakers highlighted the importance of providing technical assistance to support the implementation of the Convention and noted the potential role of UNODC in that regard. Some speakers noted that their anti-corruption bodies had a strong focus on education and training. One participant described an experience of using a corruption risk assessment as a tool for identifying and addressing specific corruption risks in different sectors. In the course of that initiative, specific training had been provided to civil servants, civil society and representatives of the business community. Another speaker underlined the value of developing “train-the-trainer” courses to effectively promote corruption prevention activities.

41. Several speakers emphasized that managing, coordinating and processing asset declaration systems had recently been added to the mandate of their anti-corruption agencies. Many speakers noted that asset declarations had proved to be an effective system for preventing corruption and that such declarations, which were easily made accessible to members of the public, allowed for greater transparency.

42. A number of speakers underlined the need for flexibility in implementing article 6. They noted that different approaches, such as having either a centralized anti-corruption agency or multiple agencies, or having either a single mandate (prevention) or a dual mandate (prevention and law enforcement), could be more or less effective depending on the national legislation and circumstances of a given State party. However, the need for effective and interdisciplinary coordination among stakeholders, in particular through the use of focal points, was emphasized as a good practice.

43. One speaker stated that surveys were needed to assess the impact of preventive measures with a view to developing good practices that could be communicated and shared with the Working Group. Several speakers underscored the need for those measures to allow for effective prioritization and efficient use of resources, for example by reaching out to other relevant national stakeholders with shared aims and objectives that could contribute to corruption prevention activities.

44. Several speakers addressed the issue of preventive measures for public officials exposed to potential conflicts of interest. In that context, the mapping of

linkages between private companies and Government ministries, and making such information widely available, was identified as a good practice when considering special measures to prevent high-level corruption in public procurement.

45. In relation to judicial integrity, one speaker highlighted the existence of a body that rigorously vetted members of the judiciary involved in complex corruption cases that potentially had national repercussions, so as to identify any potential, perceived or actual conflicts of interest.

46. The representative of the International Anti-Corruption Academy provided an update on the Academy's initiatives, including its master's degree in anti-corruption studies, and highlighted its work in providing training and education in the field of corruption prevention.

**2. Thematic discussion on public sector legislative and administrative measures, including measures to enhance transparency in the funding of candidatures for elected public office and, where applicable, the funding of political parties (articles 5 and 7 of the United Nations Convention against Corruption)**

47. The Chair introduced the substantive discussion on the item, in relation to which the secretariat had prepared a background note (CAC/COSP/WG.4/2014/3). The secretariat introduced the note and thanked Member States for the information provided in advance of the meeting.

48. The secretariat noted that article 7, paragraph 3, of the Convention required States parties to consider taking measures to enhance transparency in the funding of candidatures for public office and the funding of political parties. Such measures, both administrative and legislative, should be consistent with the purpose of the Convention so as to prevent and combat corruption efficiently and effectively.

49. The secretariat had summarized the written contributions received from States parties, which focused on the following key thematic areas: definition and types of donations or contributions; sources of funding; limits set on the value of contributions; and expenditure by political parties and candidates during political campaigns. Other areas addressed by States included the transparency of funding and expenditure and oversight and enforcement mechanisms.

50. A panellist from Brazil provided an overview of the legal framework to enhance transparency for political candidates and provided an outline of the federal prosecution service's oversight function. The purpose of the so-called "Clean Record Act" in 2010 was to enhance the transparency of the electoral process by making persons who had criminal records, had been excluded from a professional union for ethical impropriety or had been convicted by a civil court for administrative misconduct ineligible as candidates for public office. Furthermore, the use of an inter-institutional database held by the federal prosecution service to support investigations had also prevented the use of slush funds to support candidatures for elected public office.

51. A panellist from France gave an overview of his country's efforts to regulate the funding of candidatures for public office and of political parties. Eleven relevant laws had been enacted or amended since 1988 and they formed the current legal framework, which had been founded on three cornerstones: (a) State-provided financial aid to political parties to level the playing field; (b) prohibiting corporate

contributions; and (c) limiting political parties' campaign spending and putting a ceiling on contributions received.

52. A panellist from Slovenia gave a presentation on recent amendments to address gaps identified in the previous legislative framework. The changes included prohibiting all legal persons, sole proprietors and individuals who independently performed commercial activities from financing political parties. The new legislation enhanced transparency by requiring detailed reports on donations that were published in full on the Internet. The court of audit, an oversight body, was mandated to conduct comprehensive audits and had received increased funding to allow it to perform that function.

53. A panellist from OECD referred to a declining level of trust in Government and even less trust in political parties. The provision of direct and indirect public funding and limitations on private funding were seen as tools to promote and reinstate integrity in politics. Other proposed measures included the introduction of limits on campaign spending, enhancing transparency by disclosing individual donations and promoting accountability through proper verification and auditing of campaign accounts. It was noted that regulation was not enough on its own, but that oversight and enforcement were also required.

54. During the ensuing discussion, numerous speakers highlighted transparency and accountability in the area of funding of candidatures for public office and of political parties as fundamental in ensuring sustainable democracies. Some speakers reported that their countries had carried out significant amendments and restructuring to their processes and legal frameworks in that area over the previous decade and were continuing to further strengthen such reforms.

55. Legislative reforms and measures in many countries included the prohibition of anonymous and, in a number of cases, foreign funding. Some speakers noted that, as a consequence, contributions to political parties had declined. Efforts to place limits on the contributions received and spending on campaigns were also common, particularly in relation to contributions from legal persons such as companies, political foundations or non-governmental organizations. The introduction of limits on donations by individuals was also noted by several speakers. On the question of not allowing corporate funding, one delegate suggested that an electoral fund be established in order to make use of such contributions.

56. Challenges linked to the anonymity provided by the Internet and donations made electronically were mentioned by several speakers. However, it was highlighted by many States that the Internet was also a tool for ensuring transparency and allowing the public to access information freely.

57. Many speakers reported that the introduction of public funding was a means of levelling the playing field and enhancing political participation. Most speakers outlined the requirement for political parties to establish and provide records of separate bank accounts in order for them to be audited independently. The importance of offering training to stakeholders as a means of ensuring compliance with the new regulatory framework was underlined by a number of speakers.

58. The important role of asset declaration and verification systems was underscored. One speaker reported that while this requirement was introduced in his country, only half of the officials had declared their assets, despite having signed a

code of ethics. Several countries conducted a vetting of political candidates and their past illicit activities to exclude such persons from political appointments or standing for office. Two speakers also mentioned that reform efforts had been used to enhance the participation of women in politics.

59. Several speakers emphasized that an independent oversight mechanism was a key feature in ensuring an accountable electoral system and process. The institutions entrusted with that task varied from country to country and included anti-corruption authorities, audit authorities, electoral boards and specialized parliamentary commissions. One speaker stated that her country had also established a unit of prosecutors specialized in electoral crime.

60. One delegation highlighted the governmental nature of the Working Group and that any change as to its legal nature should be carried out in line with the appropriate rules of procedure and as a decision of the highest competent instance, namely the Conference of the States Parties.

61. It was highlighted that efficient sanctions with a deterrent effect constituted an important means of preventing corrupt practices in the area of political financing. States parties reported that the applicable sanctions ranged from fines to exclusion from political office for a set period of time. It was noted by several speakers that public financing of political parties had tended to result in a multiplication of political parties during the electoral period, which was linked to the siphoning of public funds and the laundering of proceeds of crime. That problem had been addressed by regulating the requirements for the establishment of a political party.

62. A number of speakers highlighted that a regulatory regime for the transparency of political parties and campaigns should not be seen as detrimental to the political process, but rather as a means of reinforcing its legitimacy. Transparency remained instrumental in preventing the misuse of public funds in political campaigns.

63. Most speakers agreed that challenges faced by States related to the effective implementation of legislation and monitoring and that that required adequate resources. In noting that some political parties refused public funding in order to avoid having to comply with transparency rules, one speaker underscored that legislative and administrative measures needed to be kept up to date to address new challenges.

64. A representative of the Council of Europe reported that its Group of States against Corruption had devoted a full evaluation cycle to the issue of political party financing based on Recommendation Rec(2003)4 of the Committee of Ministers to member States on common rules against corruption in the funding of political parties and electoral campaigns. The evaluation had encompassed three aspects, transparency, monitoring and sanctions, and the recommendations stemming from the Group's evaluations had resulted in strengthened monitoring and increased sanction by States.

## **B. Report on the status of implementation of Conference resolution 5/4 and other recommendations**

65. The Chair introduced the discussion on other recommendations to further implement Conference resolution 5/4, in relation to which the secretariat had

prepared a background paper (CAC/COSP/WG.4/2014/4). The secretariat delivered a presentation to provide an update on the implementation of resolution 5/4, including technical assistance activities provided and knowledge tools developed by UNODC.

66. The secretariat reported on the continuous collection of information by States parties on their implementation of chapter II and on the update of the website of the Working Group on Prevention. The secretariat noted that the development of that knowledge platform formed part of its efforts to meet the mandate given to it by the Working Group to act as an international observatory for good practices in the prevention of corruption.

67. The secretariat provided information on its multiple technical assistance initiatives at the national, regional and global levels to support States parties in the prevention of corruption. UNODC assisted States parties in the development or revision of national anti-corruption strategies and continued its close collaboration with and support to anti-corruption agencies and associations of such agencies.

68. Further, UNODC provided technical assistance and expertise to States parties in the implementation of the Convention through targeted legislative and capacity-building activities, including on asset declaration and conflict of interest regulation systems, procurement and transparency in public administration. UNODC's field-based anti-corruption advisers, including eight regional advisers and two national advisers, were instrumental in the delivery of such assistance and worked in close collaboration with experts from UNODC headquarters.

69. The secretariat reported on the publication of a number of knowledge tools, which had been launched at the fifth session of the Conference of the States Parties. These included a guidebook on public procurement and the management of public finances, which had been developed under the Siemens Integrity Initiative; a handbook of good practices in the implementation of anti-corruption safeguards for the organization of major public events; a resource tool for Governments and journalists on reporting on corruption; an implementation guide and evaluative framework for article 11 of the Convention on judicial integrity; and several publications on the prevention of corruption in the private sector.

70. With regard to activities undertaken with the private sector, UNODC stressed that the Conference had adopted a specific resolution, resolution 5/6, entitled "Private sector", and that a conference room paper (CAC/COSP/WG.4/2014/CRP.1) had been prepared to provide an update on current activities involving the private sector.

71. The secretariat further highlighted assistance projects in the area of prevention of corruption in the justice sector, including with judges, prosecutors, police and prison authorities, and noted that new knowledge products in that area were under development.

72. Under the Anti-Corruption Academic Initiative, UNODC continued its leading role, including organization of two workshops and the updating of the website ([www.track.unodc.org/Education](http://www.track.unodc.org/Education)) with a multitude of new resource materials. Those 1,700 resources, in addition to the model course on the Convention, would support academics across the world to strengthen education on and research into combating corruption.

## V. Future priorities and consideration of topics indicated in the multi-year workplan for 2014 and 2015

73. The Chair introduced the multi-year workplan of the Working Group for the period up to 2015. The plan, which had been reaffirmed by the Conference, in resolution 5/4, provided a framework for the substantive discussions on individual provisions of the Convention and assisted States parties in their preparation for the review of the implementation of chapter II of the Convention. The Chair noted that, according to the workplan, the topics for the sixth intersessional meeting of the Working Group were measures to prevent money-laundering (article 14 of the Convention) and integrity in public procurement processes, public reporting and transparency and accountability in the management of public finances (articles 9 and 10 of the Convention).

74. Further, the Chair drew the attention of the Working Group to the second review cycle, including the review of chapter II of the Convention, and introduced the panel discussion on experiences of States parties with the self-assessment of their implementation of chapter II, outside of the formal review process.

75. The secretariat noted that several States parties had been active in assessing their implementation of chapter II of the Convention. It was noted that processes and approaches had varied, and the sharing of experiences in that regard was welcomed in order to enrich the preparations for the upcoming review cycle.

76. A panellist from Malaysia provided information on its preparations for the second review cycle, which had been based on experiences and lessons learned from the first review cycle and was coordinated by a designated task force team of the Malaysian Anti-Corruption Commission. Key steps included the establishment of a map of relevant focal points for each provision of chapter II; the preparation of a task list for relevant stakeholders, both within and outside the public sector; the organization of a workshop to familiarize stakeholders with the processes; and the completion of the self-assessment checklist. The speaker highlighted some of the challenges faced in that process, including the collection of data and case examples to support the responses; the mastering of the self-assessment software; and the different levels of understanding of the provisions. With regard to the self-assessment checklist, he highlighted that Malaysia had added even more detailed questions to be answered during the preparation for the review process, in order to enable the country to establish a solid basis of data and information on anti-corruption measures.

77. A panellist from Mongolia reported on the country's tentative self-assessment. The assessment had been led by the Independent Authority against Corruption and was carried out in cooperation with civil society, independent experts and UNDP. She explained that the tentative self-assessment had included target group interviews and seminars to discuss the draft document and had yielded very useful information, including the establishment of an initial database on the implementation of the articles. Further, the initiative had been an important exercise for Mongolia to establish a road map to prepare for the second cycle of the implementation review mechanism. She reported that a challenge had been the involvement of the private sector, which would be addressed in future.

78. A panellist from Namibia presented Namibia's self-assessment of the implementation of chapter II, which had been completed two years ago and was currently being updated. She welcomed the support provided by UNODC during this initiative and noted the importance of close collaboration between the Anti-Corruption Commission of Namibia and different stakeholders, including various public sector institutions, civil society and development partners, such as UNDP. She explained that despite existing challenges, including limited resources and expertise, it had been possible to carry out the self-assessment in a relatively short time and that updates continued to be received on a regular basis. That review and reviews conducted under other mechanisms, including the Financial Action Task Force, provided the basis for legislative reforms and the development of a new anti-corruption strategy.

79. A panellist from Iraq presented the country's experience in using the updated self-assessment checklist for the review of the implementation of chapter II, an initiative led by the Commission of Integrity with the support of UNODC and involving relevant governmental organizations, the private sector and multiple civil society organizations. The final report was distributed at the Working Group meeting (CAC/COSP/WG.4/2014/CRP.2). The panellist further provided a summary of some of the key findings of the assessment of articles 5-14 of the Convention, including identified good practices and challenges, which had supported ongoing legislative reforms and activities in various areas, including the right of access to information, the protection of reporting persons, informants, experts and victims and funding of political parties.

80. One speaker reported on experience in conducting a voluntary self-assessment of the implementation of the Convention and acknowledged the importance of such initiatives to prepare for the second cycle of the review mechanism. Another speaker noted that lessons drawn from the first cycle of the implementation review mechanism should inform the discussion and planning of the second cycle.

81. In addition, several speakers reported on the establishment of committees, at both the higher policy level and the technical level, to facilitate and coordinate the process of self-assessments and preparations for the second cycle.

82. Several speakers recommended that efforts should be made to make the omnibus self-assessment checklist software more user-friendly, while not losing the high quality of the assessment. Speakers noted the need for more discussion about the scope of the self-assessment checklist, balanced with the need for an in-depth review. The panellists confirmed the usefulness of the detailed questions while undertaking the self-assessments of chapter II.

## **VI. Adoption of the report**

83. On 10 September 2014, the Working Group adopted the report on its meeting.

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