



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 31 August to 2 September 2015

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. 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.

5. Also in its resolution 5/4, the Conference decided 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 31 August to 2 September 2015, focused its attention on the following topics:

(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).

II. Conclusions and recommendations

6. The Working Group acknowledged the progress that had been made in the implementation of resolution 5/4 and underlined the need to maintain those efforts.

7. The Working Group encouraged the United Nations Office on Drugs and Crime (UNODC) to continue providing tailored capacity-building, upon request and subject to extrabudgetary resources, on anti-corruption preventive measures, and to continue identifying comparative good practices to prevention of corruption.

8. The Working Group recommended that States parties should continue efforts to produce and share statistics on money-laundering cases. The Working Group encouraged UNODC to provide capacity-building to strengthen the specialized skills of law enforcement officers, prosecutors and judges in relation to money-laundering cases and financial investigations, upon request.

9. The Working Group underlined the important role of financial intelligence units in supporting the implementation of the Convention.

10. The Working Group recognized the efforts of the States parties to strengthen public procurement systems and the management of public finances and urged States to continue sharing experiences and good practices to enhance transparency, integrity and objective decision-making in the area of procurement and to strengthen public financial management systems to prevent corruption. The Working Group encouraged States parties to explore how institutional reforms could enhance accountability and how relevant regional and international organizations could contribute to those reforms. The Working Group invited the secretariat to support those efforts, subject to the availability of extrabudgetary resources.

11. The Working Group highlighted the need for sufficient extrabudgetary resources to continue the provision of technical assistance by UNODC to strengthen

the implementation of chapter II, including through the development of new knowledge products and training materials in coordination with States parties, and called upon States parties and other donors to reconfirm their commitment to the prevention of corruption through the provision of such financial means.

12. The Working Group encouraged States parties to continue sharing information on their implementation of chapter II. The Working Group welcomed the secretariat's commitment to continuing its functions as an international observatory for the gathering of information on good practices in preventing corruption, and requested the secretariat to continue to update the Working Group's website with relevant information.

13. The Working Group also encouraged States parties to continue their efforts towards early preparation for the second review cycle, with the support of the secretariat, upon request.

14. The Working Group noted the importance of preparing for the general discussion at the sixth session of the Conference of States Parties, to be held in St. Petersburg, Russian Federation, from 2 to 6 November 2015, as regards the future of the Working Group.

III. Organization of the meeting

A. Opening of the meeting

15. The Open-ended Intergovernmental Working Group on the Prevention of Corruption held its sixth meeting in Vienna from 31 August to 2 September 2015. The meetings of the Working Group were chaired by Angélica Maytín Justiniani (Panama) and Paulus Noa (Namibia).

16. In opening the meeting, the Chair recalled Conference resolution 5/4, in which the Conference had encouraged 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. That had been done through activities in the private and public sectors, including in the area of criminal justice reform, and through numerous education-based activities, often in partnership with civil society. All of those activities were a clear indication of the strong will to find effective corruption preventive measures. She highlighted the need to continue the important work of the Conference and the Working Group in advancing the prevention of corruption.

17. The secretariat underscored the importance of the measures to prevent corruption set out in chapter II of the Convention and reflected in Conference resolutions 5/4, 5/5 and 5/6. The task of the Working Group was to assist States in the implementation of chapter II of the Convention. It was noted that the Working Group had addressed a broad range of prevention topics as set out in the Group's workplan. The secretariat highlighted that the Group had been fundamental in providing a framework through which States had been able to share good practices and information regarding the prevention of corruption and in providing the basis for the secretariat to carry out technical assistance in that area.

18. The secretariat introduced the documents of the session. The reports on measures to prevent money-laundering (article 14 of the Convention) (CAC/COSP/WG.4/2015/2) and on integrity in public procurement processes and transparency and accountability in the management of public finances (articles 9 and 10 of the Convention) (CAC/COSP/WG.4/2015/3) 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 29 and 31 May 2015, from 28 and 30 Member States, respectively. An additional 18 submissions were received after that date and were posted on the UNODC website, together with those submissions received earlier, with the agreement of the States concerned. In accordance with resolution 5/4, the secretariat also sought inputs from the private sector in relation to the topics under consideration at the current meeting of the Working Group. The secretariat referred to the oral report to be given on the last day of the meeting, on the status of implementation of resolution 5/4, which would outline action taken to implement the resolution.

19. The representative of South Africa, speaking on behalf of the Group of African States, expressed appreciation for Conference resolution 5/4, reiterated the importance of the effective implementation of the provisions on prevention set forth in the Convention and underlined the importance of the provision of relevant and adequate technical assistance, upon request, to assist States in the implementation of the Convention. The speaker referred to the second cycle of the Mechanism for the Review of Implementation of the Convention and emphasized the importance of a comprehensive review of all the articles of chapter II (Preventive measures) and chapter V (Asset recovery), to enable the identification of challenges and good practices related to all articles of the Convention.

20. A statement was made by the representative of the Russian Federation informing the Working Group that the host country agreement for the sixth session of the Conference of the States Parties, to be held in St. Petersburg, Russian Federation, had been signed and that the priority theme during the session would be the partnership of State and business in the prevention of and fight against corruption. A statement was also made by the representative of Ecuador in relation to the efforts of Ecuador to increase transparency and oversight. The speaker also highlighted the intergovernmental nature of the Working Group.

B. Adoption of the agenda and organization of work

21. On 31 August, 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 September 2014:

- (a) Good practices and initiatives in the prevention of corruption:
 - (i) Measures to prevent money-laundering (article 14 of the United Nations Convention against Corruption);
 - (ii) Integrity in public procurement processes and transparency and accountability in the management of public finances (articles 9 and 10 of the United Nations Convention against Corruption);
 - (b) Other recommendations.
3. Future priorities.
 4. Adoption of the report.

C. Attendance

22. 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, Bolivia (Plurinational State of), Brazil, Brunei Darussalam, Burkina Faso, Burundi, Canada, Chile, China, Colombia, Costa Rica, Côte d'Ivoire, Cuba, Cyprus, Czech Republic, Dominican Republic, Ecuador, Egypt, El Salvador, Fiji, Finland, France, Gabon, Germany, Ghana, Guatemala, Honduras, Hungary, India, Indonesia, Iran (Islamic Republic of), Iraq, Italy, Jordan, Kazakhstan, Kenya, Kuwait, Lebanon, Libya, Luxembourg, Malaysia, Mauritius, Mexico, Morocco, Namibia, Netherlands, Nicaragua, Nigeria, Norway, Pakistan, Panama, Paraguay, Peru, Philippines, Portugal, Qatar, Republic of Korea, Romania, Russian Federation, Saudi Arabia, Sierra Leone, Singapore, Slovakia, Slovenia, South Africa, Spain, State of Palestine, Sudan, Switzerland, Thailand, Timor-Leste, Tunisia, Turkey, Turkmenistan, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United States of America, Uruguay, Venezuela (Bolivarian Republic of), Viet Nam and Yemen.

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

24. The following State signatory to the Convention was represented: Japan.

25. The following Secretariat units, funds and programmes, institutes of the United Nations crime prevention and criminal justice programme network and specialized agencies were represented by observers: United Nations Commission on International Trade Law (UNCITRAL), World Food Programme, United Nations Industrial Development Organization, UNODC and Korean Institute of Criminology.

26. The following intergovernmental organizations were represented by observers: Asian-African Legal Consultative Organization, Financial Action Task Force, International Anti-Corruption Academy, International Federation of Red Cross and Red Crescent Societies, Organization for Security and Cooperation in Europe and Organization of American States.

27. The International Institute for the Unification of Private Law 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 Vienna from 8 to 10 September 2014

A. Good practices and initiatives in the prevention of corruption

1. Measures to prevent money-laundering (article 14 of the United Nations Convention against Corruption)

28. The Chair introduced the substantive discussion of the item in relation to which the secretariat had prepared a background note (CAC/COSP/WG.4/2015/2). The secretariat noted that article 14 of the Convention required States parties to implement measures to prevent money-laundering.

29. The secretariat thanked Member States for the information they had provided in advance of the meeting and noted that the contributions had focused on the following key thematic areas: measures adopted by States to establish a comprehensive domestic regulatory and oversight regime to deter and detect money-laundering; measures adopted by States to establish or consider establishing financial intelligence units; measures demonstrating the use of mutual legal assistance in cases of money-laundering; and coordination challenges among relevant agencies responsible for combating money-laundering with regard to monitoring compliance in global, regional and bilateral cooperation.

30. A panellist from Lebanon gave a presentation on the Lebanese domestic regulatory framework and on good practices identified while implementing measures to combat money-laundering. He outlined the role of the Lebanese financial intelligence unit, the Special Investigative Commission, and highlighted the key characteristics of an effective domestic regulatory and supervisory regime. In particular, he outlined the importance of the suspicious transaction reports created by reporting entities and emphasized that such reports should be kept confidential throughout the reporting, analysis and dissemination stages. The speaker also emphasized that it was crucial that financial intelligence units had the authority to freeze funds on a provisional basis. Finally, he noted that a draft law on the cross-border transportation of funds was currently being reviewed by a Committee of the Parliament of Lebanon.

31. A panellist from Belgium provided a presentation on cross-border movement of cash and negotiable instruments. He illustrated a number of challenges in that regard, such as the inefficiencies caused by different systems having to work together and a lack of reliable feedback and statistics. He emphasized the importance of international cooperation between customs authorities or financial intelligence units; the need for proactive searches by customs; and the importance of effective national cooperation between customs and police authorities. He referred to two operational issues within the European Union: (a) the free movement of cash between States members of the European Union; and (b) the lack of a centralized database for all cash declarations in member States.

32. A panellist from the Financial Action Task Force gave an in-depth overview of the structure of the Financial Action Task Force and its methodology for assessing technical and effectiveness compliance. He highlighted the recommendations of the Financial Action Task Force as they related to article 14 of the Convention, including in relation to preventive measures on customer due diligence, beneficial ownership, record-keeping and reporting requirements for the financial sectors, and “designated non-financial businesses and professions”. Emphasis was also placed on national cooperation and coordination, international cooperation and the importance of establishing a financial intelligence unit, as required under the Financial Action Task Force recommendations.

33. A panellist from the Anti-Money-Laundering Section of the Inter-American Drug Abuse Control Commission of the Organization of American States provided an overview of the work of the Section to raise standards to combat money-laundering in the Americas to international levels, including those set out in the Convention. A number of challenges were identified, including the need to harmonize regulatory frameworks in the region, the small number of court cases resulting in convictions, and bank secrecy. Certain risk areas were underreported owing to a lack of consistency among countries in relation to suspicious transactions and reporting entities. The speaker also made reference to the importance of inter-agency cooperation at the national and international levels.

34. Several speakers reported on recent legislative reforms in their countries to enhance the effectiveness of their legal frameworks to prevent and combat money-laundering and terrorist financing. One speaker noted that legislation had been amended to allow for any crime to serve as a predicate offence for money-laundering. A number of speakers stated that laws and regulations regarding know-your-customer obligations had been strengthened, in line with the Financial Action Task Force recommendations. Some stressed the importance of subjecting politically exposed persons to similar obligations.

35. States also reported on efforts to strengthen beneficial ownership identification. Reference was made to the ongoing development of policies to prohibit anonymous shareholders. Some speakers further reported on measures taken to enhance oversight over “designated non-financial businesses and professions”, including for lawyers acting as financial intermediaries.

36. A number of speakers referred to the development of a national strategy against money-laundering and an integrity plan requiring a multisectoral and multi-stakeholder approach to preventing corruption, money-laundering and terrorist financing. Some speakers referred to instituting reforms based on a risk assessment.

37. One speaker stressed the importance of a relationship of trust between the financial intelligence unit and the reporting entities to encourage the reporting of suspicious transactions. Some speakers referred to the establishment of national inter-agency coordination mechanisms to strengthen the national response to prevent and detect money-laundering and terrorist financing. It was highlighted that institutional reforms included the creation of specialized units within the national police forces and prosecution services to combat money-laundering.

38. One speaker stated that a presidential initiative in her country had involved the setting up of a national anti-corruption body that had a preventive and investigative mandate to combat corruption and organized crime.

39. One speaker underlined that the fact that certain task forces and initiatives had been given an opportunity to address the Working Group and share information with the Group on their practices and functions. That did not in any way mean that the Working Group was conveying any specific status or recognition to those task forces and initiatives or their work or actions.

40. A comprehensive mandate for financial intelligence units to perform their functions at the domestic level was seen as essential for effective international cooperation. The importance of interregional cooperation and the need to build trust between requesting and requested countries was highlighted as key to further strengthening effective international cooperation in line with the Convention. Some speakers also highlighted the need to harmonize criminal legislation against money-laundering in support of international cooperation in accordance with article 14, paragraph 5, of the Convention.

41. Speakers also referred to emerging challenges in the prevention of money-laundering, such as combating the infiltration of the legal economy by organized criminal groups, subjecting crowdfunding to requirements to prevent money-laundering, and limiting the use of virtual currency for payments and the anonymity of the users of such currency.

42. One speaker highlighted the recent adoption of the Doha Declaration on Integrating Crime Prevention and Criminal Justice into the Wider United Nations Agenda to Address Social and Economic Challenges and to Promote the Rule of Law at the National and International Levels, and Public Participation, adopted by the Thirteenth United Nations Congress on Crime Prevention and Criminal Justice, held in Doha from 12 to 19 April 2015. In the Doha Declaration, Heads of State and Government, Ministers and Representatives of Member States stated that they were striving to continue the development of specialized networks of law enforcement authorities, central authorities, prosecutors, judges, defence lawyers and legal aid providers to exchange information and share good practices and expertise, including, where appropriate, by promoting a global virtual network to advance, where possible, direct contact among competent authorities to enhance information-sharing and mutual legal assistance, making the best possible use of information and communication platforms.

43. Owing to the evolving complexity and transnational nature of crime, emphasis was placed on the need to ensure continuous training and other forms of capacity-building, such as the exchange of good practices and the sharing of success stories. In addition, one speaker emphasized the importance of awareness-raising activities within the broader community with regard to international standards on the prevention of money-laundering. 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.

2. Integrity in public procurement processes and transparency and accountability in the management of public finances (articles 9 and 10 of the United Nations Convention against Corruption)

44. The Chair introduced the substantive discussion on the item, in relation to which the secretariat had prepared a background note (CAC/COSP/WG.4/2015/3). The secretariat introduced the note and thanked Member States for the information

provided in advance of the meeting. It was highlighted that all contributions received had been made available online,¹ with the permission of the States concerned.

45. The secretariat summarized the written contributions received from States, which focused on the following key thematic areas in relation to public procurement: the importance of principles of transparency, competition and objective criteria in decision-making and establishing in advance the conditions for participation; the need to provide sufficient time to prepare and submit tenders and to use, by default, an open tender procedure; the issue of transparent publishing of procurement decisions, including invitations to tender; the need to put in place procedures, rules and regulations for the review of the procurement process, including a system of appeal; the importance of the selection of personnel and establishing a conflict-of-interest management system; and other administrative practices promoting integrity in procurement. In relation to transparency and accountability in the management of public finances, the submissions of States addressed the need for timely reporting on revenue and expenditure; the importance of putting in place an effective system of accounting and auditing and an effective and efficient system of risk management and internal control; and the need to provide for corrective action in case of failure to comply with the legal requirements.

46. A panellist from Italy provided a presentation on the recent legislative amendments that had established the National Anti-Corruption Authority of Italy. The Authority was responsible for guiding the public administration authorities through the exercise of its regulatory, advisory and supervisory functions. The panellist noted that, in fulfilling its regulatory function, the Authority had been requested by awarding administrative and economic operators to develop interpretative guidelines for regulations that had created a new body of soft law. It was also noted that the Authority's advisory function, by which it could settle disputes during the tendering procedure, had reduced litigation and ensured a uniform and consistent application of law. That alternative dispute resolution instrument had been identified by the Organization of Economic Cooperation and Development as an international good practice.

47. A panellist from Argentina gave an overview of his country's reform efforts to regulate its system of procurement through a mapping exercise on public tendering and procurement. The mapping exercise had involved the extensive collection of available data from 15 national key organizations and had included studying 15,000 purchase orders and over 1,000 procurement files, and interviewing public officials. The analysis of that information, which had been carried out with support from the United Nations Development Programme (UNDP), had identified vulnerabilities in the public procurement system in order to prevent opportunities for corruption. The main findings of the mapping exercise underscored the importance of clarity in the bidding process to ensure the transparent and fair awarding of contracts, as well as the risk that a high turnover of staff involved in procurement processes could create inconsistencies in the application of processes and rules.

¹ www.unodc.org/unodc/en/treaties/CAC/working-group4.html.

48. A panellist from Germany provided an overview of corruption risks in public procurement, which included the setting of technical requirements in such a way as to limit competition and the existence of inadequate quality control systems that could be open to abuse. To address some of those risks, systemic anti-corruption programmes had been introduced, which involved regular and extensive risk assessments. The risk-based screening of staff in selection decisions, managed staff rotation and measures to segregate purchasing and payment functions for goods or services were highlighted as particularly effective measures for limiting corruption risks. All German federal public agencies used a decentralized web-based reporting system through which the impact and evaluation of corruption-prevention measures could be assessed and presented in a comprehensive report by the Federal Ministry of the Interior to the Court of Audit and Parliament.

49. A panellist from UNCITRAL highlighted the importance of prevention efforts when fighting corruption and fraud in public procurement, including through the implementation of the Convention and the promotion of a culture of integrity. A transparent procurement process remained key to that end, and could best be achieved by using electronic procurement processes. The panellist proceeded with an overview of the United Nations Commission on International Trade Law Model Law on Public Procurement as a tool to provide guidance to countries seeking to establish procurement systems based on transparency, competition and objective criteria in decision-making. The panellist noted that it was important to ensure a balance between providing the public procurement system with a solid regulatory framework and over-regulation, bearing in mind that a system's effective implementation remained the most important objective.

50. During the ensuing discussion, many speakers reported that their countries had carried out significant amendments and restructuring to their processes and legal frameworks in the area of public procurement over the past decade, and were continuing such reforms. Speakers highlighted that such changes had also resulted in the establishment of new national institutions, including specialized procurement authorities. A number of speakers recalled the fundamental role of national audit offices in ensuring oversight of the national budget as the framework for public expenditure.

51. Most speakers highlighted the establishment and increasing use of electronic applications and web-based procurement systems. A number of speakers noted the establishment of centralized online portals or catalogues of public goods and services, which were efficient and allowed for the separation of purchasing and beneficiary agencies. Several speakers also noted that contracts, forms and procedures linked to the public procurement process had been standardized.

52. Efforts had been made in several States to ensure that potential conflicts of interest were averted, by excluding persons with financial or other interests from public procurement committees, allowing the annulment of public contracts awarded where such conflict had been identified retrospectively, and requiring public officials to declare their assets and business interests.

53. Some speakers outlined efforts to establish tools, indicators and other means of measuring the effectiveness of reforms to enhance transparency and access to information. One speaker explained that the State's comptroller had developed a scale to measure how access to information was ensured at the subnational level.

54. Some speakers reported on efforts to actively engage citizens, public associations, civil society and community-based organizations by providing access to information through online portals.
55. One speaker emphasized the importance of civil society in the prevention of corruption and welcomed the holding of discussions on cooperation with relevant non-governmental organizations at the sixth session of the Conference of the States Parties, while others underscored the importance of preserving the intergovernmental nature of all the working groups established by the Conference.
56. The use of both administrative and criminal sanctions as a deterrent was mentioned by several speakers as a way of seeking enhanced compliance with procurement rules and regulations. Administrative sanctions included prohibiting companies from bidding for further public contracts. Complaint mechanisms allowing for unsuccessful bidders to appeal the outcome of the process had also been established.
57. One speaker called on States to consider sharing information at the international level on blacklisted entities in order to prevent them from re-establishing themselves in other States. Another speaker highlighted that the establishment of a register of companies that were allowed to participate in public procurement bidding allowed for the identification of persons previously excluded in order to prevent them from taking part in a bidding process again by establishing a new company.
58. A number of speakers noted that continuous efforts were required to identify vulnerabilities in existing public procurement systems and at each stage of the procurement process, from tendering through to the implementation of the contract. The importance of the capacity-building and training of procurement officials was underlined.
59. Many speakers noted that their national reforms, which were aimed at either centralizing or decentralizing public procurement processes, had included inter-institutional coordination efforts in order to enhance synergies and ensure complementarity. Several speakers reported that reforms had been carried out in the area of public procurement transparency, with the support of bilateral and multilateral partners such as the World Bank, the Inter-American Development Bank, UNDP, UNODC and the German Agency for International Cooperation.
60. The International Anti-Corruption Academy underlined its specialized procurement anti-corruption training, developed in cooperation with UNODC on the basis of “Public-private partnership for probity in public procurement”, a project aimed at promoting States’ implementation of article 9 of the Convention.
61. Some speakers raised the possibility of organizing briefings with non-governmental organizations on the margins of the meetings of the Working Group, extending the positive experience of the Implementation Review Group with such briefings organized in line with resolution 4/6. Some other speakers underscored the necessity of preserving the intergovernmental nature of all the working groups established by the Conference of the States Parties, in accordance with the rules of procedure of the Conference, and objected to any recommendation by the Working Group in that regard. Two speakers emphasized that the matter was outside the mandate of the Working Group.

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

62. The Chair introduced the discussion on other recommendations to further implement Conference resolution 5/4. The secretariat provided an update on the implementation of resolution 5/4, including technical assistance activities provided and knowledge tools developed by UNODC. A background paper on the status of implementation of the resolution would be submitted to the Conference of the States Parties at its sixth session (CAC/COSP/2015/8).

63. The secretariat reported on the collection of information from States parties on their implementation of chapter II and on the update of the website of the Working Group on Prevention, a knowledge platform developed as part of the efforts of the secretariat to fulfil its mandate as an international observatory for good practices in the prevention of corruption.

64. 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 had produced a publication entitled *National Anti-Corruption Strategies: A Practical Guide for Development and Implementation*, and had continued its close collaboration with and support for anti-corruption agencies and associations of such agencies.

65. Further, UNODC provided technical assistance and expertise to States parties in the implementation of the Convention through targeted legislative and capacity-building activities at the regional and country levels, including on asset declaration and conflict of interest regulation systems, procurement, transparency in public administration, access to information and the protection of reporting persons. On the latter topic, UNODC had produced a publication entitled *Resource Guide on Good Practices in the Protection of Reporting Persons*.

66. UNODC also carried out multiple initiatives focused on the prevention of corruption in the justice sector. The *Implementation Guide and Evaluative Framework for Article 11 of the United Nations Convention against Corruption*, on judicial and prosecutorial integrity, had been finalized and had been used in several pilot workshops. UNODC had also implemented a national project on judicial integrity and had provided assistance to several other States parties on that topic. Additionally, UNODC had strengthened the integration of anti-corruption measures into law enforcement authorities, including police, customs, border control and prison authorities.

67. The eight field-based regional UNODC advisers and two national anti-corruption advisers had been instrumental in the delivery of assistance over the previous two years and had worked in close collaboration with experts at UNODC headquarters.

68. UNODC also promoted the participation of individuals and groups outside the public sector, including civil society, in the prevention of corruption through training on the Convention and the Implementation Review Mechanism and through support for awareness-raising initiatives and involvement in other activities. With regard to work with the private sector, the secretariat underlined that the Conference

had adopted resolution 5/6, entitled “Private sector” and that a report on the status of implementation of that resolution would be submitted to the Conference at its sixth session (CAC/COSP/2015/9).

69. Under the Anti-Corruption Academic Initiative, UNODC continued to perform its leading role, including organizing two annual meetings of the Initiative and three “teach-the-teacher” workshops to strengthen knowledge transfer and exchange between academics. The updated website² of the Initiative now included over 1,800 resources, as well as the updated model course on the Convention, which had been or was being taught by at least 30 universities worldwide.

70. UNODC, in collaboration with UNDP and the United Nations System Staff College, continued to integrate anti-corruption into United Nations programming, particularly the United Nations Development Assistance Framework, through a second “train-the-trainer” event and roll-out activities. The importance of the initiative was expected to increase further with the adoption of the sustainable development goals in September 2015.

71. Many States reported on their activities in relation to the implementation of resolution 5/4 and the prevention of corruption during their statements made in regard to the previous agenda items, including in relation to the work of anti-corruption bodies, the development and implementation of anti-corruption strategies and other measures aimed at increasing integrity, transparency and accountability in the public service.

V. Future priorities

72. In its resolution 5/4, the Conference had decided 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 Implementation Review Mechanism, as agreed by the Working Group. The Chair highlighted that the workplan for the period 2012-2015 had come to an end with the sixth meeting of the Working Group. The plan had provided a framework for the substantive discussions of the provisions of chapter II of the Convention and had assisted States parties in their preparation for the review of the implementation of chapter II.

73. She drew the attention of the Working Group to the upcoming second review cycle, including the review of implementation of chapter II of the Convention, and invited the Working Group, in consideration of its mandate to advise and assist the Conference, to discuss future priorities in the area of prevention of corruption and the continuation of substantive discussions on the implementation of chapter II.

74. The secretariat noted that several States parties had been active in assessing their implementation of chapter II of the Convention. It was noted that the processes and approaches used had varied, and that the sharing of experiences in that regard was welcomed in order to enrich the preparation for the upcoming review cycle. The secretariat noted the need to take stock of the cumulative and participatory effort to collect information and experiences of States parties on the implementation of all

² www.track.unodc.org/Education/Pages/home.aspx.

provisions of chapter II and to discuss the strengths and weaknesses of those efforts as a basis for the development of ideas for the future.

75. Several speakers recommended that space for the discussion of the implementation of chapter II by expert practitioners should be preserved, and proposed that the Working Group should consider recommending its continuation. Further, they highlighted the need for sufficient consideration of the structure of the different subsidiary bodies of the Conference to avoid duplication of work and ensure efficiency. In particular, the mandate of the Implementation Review Group and the Working Group should be clarified by the Conference, for example by tasking the Implementation Review Group with the discussion of procedural matters and the Working Group with substantive matters.

76. One speaker pointed out that the discussion of the architecture of the subsidiary bodies should be left to the Conference of the States Parties as it was fundamentally linked to the second cycle of the Implementation Review Mechanism.

77. Another speaker stated that all of the provisions of chapter II should be reviewed at the same time, given their strong interlinkages, details of which should be discussed at the sixth session of the Conference.

VI. Adoption of the report

78. On 2 September 2015, the Working Group adopted the report on its meeting.
