

Reference: CU 2019/149/DTA/CEB

The Secretariat of the Conference of the States Parties to the United Nations Convention against Corruption presents its compliments to the [[[AddressLine1]]] and has the honour to refer to note verbale CU 2019/84/DTA/CEB of 18 March 2019, in which States parties and signatories to the Convention were requested to provide pertinent information on their experiences to the Secretariat in preparation for the tenth intersessional Open-ended Intergovernmental Working Group on Prevention, to be held in Vienna from 4 to 6 September 2019.

In its resolution 7/5, entitled “Promoting preventive measures against corruption”, the Conference decided that the Working Group should include as the topic for 2019 lessons learned in the development, evaluation and impact of anti-corruption strategies (art. 5 of the Convention). The topic for discussion at the tenth intersessional meeting of the Working Group will therefore be: Lessons learned in the development, evaluation and impact of anti-corruption strategies (art. 5 of the Convention).

**Collection of information prior to the tenth meeting of the Working Group:** In note verbale CU 2019/84/DTA/CEB of 18 March 2019, the Secretariat referred to the recommendation of the Working Group that in advance of each future meeting of the Working Group, States parties should be invited to share their experiences of implementing the provisions under consideration, preferably by using the self-assessment checklist and including, where possible, successes, challenges, technical assistance needs, and lessons learned in implementation (CAC/COSP/WG.4/2011/4, paragraph 12).

In order to assist States parties and signatories in the provision of the requested information, the Secretariat further produced a Guidance Note (attached as Annex I) outlining the type of information States parties and signatories may wish to provide in advance of the Working Group on the topic under consideration, namely, lessons learned in the development, evaluation and impact of anti-corruption strategies (art. 5 of the Convention).

[[[AddressLine1]]]

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The Secretariat wishes to express its appreciation for those States parties and signatories that have submitted relevant information within the initial deadline for submissions of 25 April 2019 and requests those that have not yet done so to provide material that would facilitate discussion on the topic to be addressed by the **extended deadline of 27 May 2019**.

In its resolution 7/6, the Conference requested States parties to continue sharing information on good practices in preventing corruption and requested the Secretariat to continue its work as an international observatory, including updating the thematic website of the Working Group with relevant information. States parties and signatories are therefore also encouraged to provide the Secretariat with new and updated information and good practices on their implementation of other provisions of chapter II of the Convention, which the Secretariat will gather, systematize and disseminate.

As in previous years, the Secretariat will make all submissions provided ahead of the next Working Group meeting available online unless a contrary position is indicated by States parties or signatories when providing the relevant information. In doing so, the Secretariat hopes to facilitate the sharing of good practices between States parties and signatories.

The Secretariat would be grateful if the Government could send any pertinent information to the Secretary of the Conference of the States Parties to the United Nations Convention against Corruption, Corruption and Economic Crime Branch, United Nations Office on Drugs and Crime, Vienna International Centre, P.O. Box 500, 1400 Vienna, Austria, Fax: +43 1 26060 6711 or to e-mail [uncac.cop@unodc.org](mailto:uncac.cop@unodc.org), at its earliest convenience, **but not later than 27 May 2019**.

26 April 2019

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## **Annex I**

### **Guidance Note for the provision of information by States parties for the tenth intersessional meeting of the Working Group on Prevention from 4 to 6 September 2019**

1. The Secretariat has produced this Guidance Note to assist States parties and signatories in providing information as to initiatives and practices they have implemented regarding the topic under consideration at the tenth intersessional meeting of the Working Group on Prevention taking place from 4 to 6 of September 2019.
2. The Secretariat wishes to recall paragraph 12 of the report of the Working Group on Prevention on its second intersessional meeting, in which the Group recommended that States parties should be invited to share their experiences of implementing the provisions of the Convention under consideration in advance of each meeting, preferably by using the self-assessment checklist.
3. In furtherance of this, the Secretariat outlines below a selection of issues based on the questions from the self-assessment checklist that States parties may wish to use as a guide when providing information, while also taking into account that some of the information may have been provided by their Governments in the context of their reviews under the second cycle of the Implementation Review Mechanism. States parties are encouraged to view the information below only as guidance and remain free to provide any information believed to be relevant to the topic under consideration.

#### **I - Information requested from States parties in relation to lessons learned in the development, evaluation and impact of anti-corruption strategies (art. 5 of the Convention)**

- 1. Please describe (cite and summarize) the measures/steps your country has taken, if any, (or is planning to take, together with the related appropriate time frame) to ensure full compliance with this provision of the Convention, and in particular to develop, implement, monitor and evaluate the impact of the country's anti-corruption policies.**

In relation to article 5 and measures/steps that have been taken, States parties and signatories may wish to consider including the following:

##### **a) Development and Implementation Process**

- Description of the process and steps taken for the development of the anti-corruption policies (strategy, plan, or other policies, regardless of their format or official title) that have been produced or are currently being developed by the State party;
- Description of how the policies reflect the principles of the rule of law, proper management of public affairs and public property, integrity, transparency and accountability;
- Description of the applicable implementation mechanisms (including allocated budget, designated responsible institutions, timeline for implementation, etc.) which were established at national, sub-national and/or local government levels;
- Description of any coordination mechanisms which have been put in place (including structures, protocols or procedures); and

- Description of how the participation of society was promoted, including whether stakeholders outside of government were consulted and involved in the development, implementation and coordination.

**b) Monitoring and Evaluation**

- Description of the monitoring mechanisms which were established (including monitoring protocols, mechanisms and channels, feedback mechanisms, etc.);
- Description of the evaluation mechanisms which were established (including indicators, targets, baselines, data collection tools, data analysis procedures, validation and presentation or reporting of the evaluation findings to the policymakers and to the public at large);
- Description of analytical approaches and methodologies used with regard to data and indicators in order to measure progress in implementation as well as the impact of measures taken further to the implementation process; and
- Description of how the participation of society was promoted, including whether stakeholders outside of government were consulted and involved in the monitoring and evaluation processes.

States parties and signatories are encouraged to provide information on the implementation of article 5(2), 5(3) and 5(4), when this would help illustrate how the anti-corruption policies are developed, implemented, monitored and evaluated.

**2. Please outline the actions required to ensure or improve the implementation of the measures described above and any specific challenges you might be facing in this respect.**

Examples of the actions required to ensure or improve the implementation of the measures described above and challenges States parties and signatories may face include:

**a) Development and Implementation Process**

- Description of challenges encountered in the development and implementation process, particularly in terms of effectiveness, coordination and impact in both urban and rural areas, and steps that were taken, if any, to address these challenges;
- Reports, studies, statistics or any other relevant information which illustrates the measures the State party has taken to effectively implement this provision;
- Anti-corruption policy documents (strategy, action plan or other policies) or other documents containing anti-corruption policies;
- Government regulations, decrees or similar decisions establishing coordination structures and/or procedures; and
- Examples of the operation of the mechanisms for inter-institutional coordination.

**b) Monitoring and Evaluation**

- Progress reports on the implementation and/or impact of national anti-corruption strategies, action plans and/or policies;
- Description of challenges in the development, data collection and/or analysis of indicators to evaluate the implementation of relevant policies and their impact on the prevention and detection of corruption;
- Evaluation reports of the impact and effectiveness of measures taken to prevent and detect corruption;
- Public surveys of the perceived and experienced extent of corruption in various sectors; and
- Risk assessments of areas or sectors particularly susceptible to corruption.

**3. Please describe any lessons learned in the development, evaluation and impact of anti-corruption policies or strategies.**

States parties and signatories are encouraged to provide a description of lessons learned in the following: a) the development and implementation of anti-corruption policies or strategies; and b) the monitoring and evaluation of progress made in the implementation of anti-corruption policies and strategies, including their actual or perceived impact.

**4. Do you consider that any technical assistance is required in order to allow you to fully implement this provision? If so, what specific forms of technical assistance would you require?**

States parties and signatories are encouraged to provide a description of any such assistance already being provided, including donor information.