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**List of statements of financial implications presented to the
United Nations Convention against Transnational Organized
Crime before its consideration of draft resolutions at its
eighth session**

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Annex I

Financial statement on the revised draft resolution entitled “Enhancing the effectiveness of central authorities in international cooperation in criminal matters to counter transnational organized crime”

1. The present statement is made in accordance with rule 75 of the rules of procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. By operative paragraph 16 of draft resolution CTOC/COP/2016/L.4/Rev.2, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the recommendations adopted by the Working Group on International Cooperation at its meetings held on 27 and 28 October 2015 and from 19 to 21 October 2016, annexed to the present resolution, and encourages States parties to implement them.

3. More specifically, under the terms of paragraph (g) of Annex I of the above-mentioned resolution, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the following recommendation:

(g) The Secretariat should continue the further development of tools for international cooperation in criminal matters, including the finalization of the revised Mutual Legal Assistance Request Writer Tool, and should report to the Conference of the Parties to the Organized Crime Convention at its eighth session on the pilot phase to test the use of this tool in practice as training material;

4. More specifically, under the terms of paragraph (g) of Annex II of the above-mentioned resolution, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the following recommendation:

(g) The Conference of the Parties to the Organized Crime Convention should make use of all information available to the Working Group on International Cooperation for, inter alia, giving effect to the provisions of article 32 of the Convention as a means of reducing the burden for practitioners and avoiding duplication, where appropriate, by using the knowledge management portal known as Sharing Electronic Resources and Laws on Crime.

5. With regard to the recommendations contained in paragraph (g) of Annex I, it is estimated that extrabudgetary resources in the amount of \$497,800 would be required for 5 training workshops in Vienna in English with 40 participants and a duration of 2 days each.

6. With regard to the recommendations contained in paragraph (g) of Annex II, it is estimated that extrabudgetary resources in the amount of \$216,600 per year would be required for a junior consultant for 12 working months and IT development costs.

7. The activities related to the request contained in operative paragraph 16 would be carried out provided that the extrabudgetary resources mentioned above are made available.

8. Hence, the adoption of draft resolution CTOC/COP/2016/L.4/Rev.2 would not entail any additional appropriation under the programme budget for the biennium 2016-2017.

Annex II

Financial statement on the draft resolution entitled “Mechanism for the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto”

1. The present statement is made in accordance with rule 75 of the rules of procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.
2. By operative paragraphs 6, 7a and c, 8, 13, 15, 16 and 17 of draft resolution CTOC/COP/2016/L.5, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would:
 6. Request the United Nations Office on Drugs and Crime to convene, within existing resources from the regular budget and without prejudice to other mandated activities, at least one open-ended intergovernmental meeting, with interpretation, for the purpose of defining the specific procedures and rules for the functioning of the review mechanism, and invites States parties to remain engaged in the process, including during the intersessional period;
 7. Decide to include in the specific Procedures and rules for the functioning of the Mechanism the following elements:
 - (a) The review mechanism to be established shall be conducted, within the Conference and its existing working groups, which shall add the matter as an item to their agenda consistent with their areas of expertise and without prejudice to their respective existing mandates;
 - (c) The desk review of the information gathered shall be conducted for each State party by two other States that are parties to the relevant instrument, with the active involvement of the State party under review. The State under review and reviewing countries shall appoint as their Governmental experts for the purpose of the review mechanism persons with relevant expertise to examine the issues under evaluation.
 8. Invite States parties to carry out the desk review and to fulfil any request for or provision of supplementary information and clarification by making the largest possible use of all the available technological tools, such as virtual networks, conference calls and videoconferences. The Secretariat shall facilitate, where appropriate, the establishment of open lines of communication among the participants;
 13. Decide that an evaluation of the organization, functioning and performance of the review process, once established, shall be conducted, when appropriate, by the Conference at its next sessions so as to amend and improve the existing mechanism;
 15. Reiterate all relevant decisions of the Conference of the Parties regarding the existing questionnaires, and requests all States parties to submit responses to the questionnaire on the implementation of the UNTOC and the Protocols thereto, and to provide updated information and responses including identifying technical assistance needs;
 16. Request the Secretariat, within existing resources, to provide an assessment on best practices, lessons learned and obstacles to the implementation of the

provisions of the Convention and the Protocols thereto, based on the information collected through the questionnaire;

17. Request States parties to inform the Secretariat of any technical assistance need that should be addressed to support them in providing the information requested under the questionnaires, and requests States parties and other interested donors to provide resources for technical assistance as a matter of priority.

3. With regard to operative paragraph 6 and 7a, the conference servicing requirements of the open-ended intergovernmental meeting and the working groups will be accommodated within the overall entitlements of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and its individual working groups. The scheduling of the meetings will have to be done in consultation with the Conference Management Service of the United Nations Office at Vienna. With regards to documentation, on the understanding that documents will be submitted in accordance with established guidelines, i.e. in a timely manner and within the indicative page limit, and remain within the overall entitlements of the Conference, they will be processed within available resources.

4. With regard to the operative paragraphs 7c and 8, it is estimated that extrabudgetary resources in the amount of \$269,000 would be required to facilitate establishment of open lines of communication among participants, in particular virtual networks. The resource requirements would provide for one GS (Other level) staff for 12 working months and IT development costs for the virtual network.

5. With regard to operative paragraph 13, extrabudgetary resources would be required. The cost estimate will be provided when the type of evaluation of the functioning and performance of the review process will be defined.

6. With regard to the operative paragraphs 15, 16 and 17, it is estimated that extrabudgetary resources in the amount of \$3,337,700 would be required to provide for: (i) 4 professional staff at P-3 level for 12 working months; (ii) one General Service (Other Level) for 12 working months; (iii) two consultants for 12 working months to coordinate the information gathering with the focus on translation of the responses; (iv) maintenance of SHERLOC; (v) 7 regional workshops with 50 participants each and interpretation into 2 languages and travel costs of two Vienna-based staff to facilitate the workshops; and (vi) 25 reports of 16 pages in 6 languages.

7. The activities related to the request contained in operative paragraphs 6, 7a and c, 8, 13, 15, 16 and 17 would be carried out provided that the extrabudgetary resources mentioned above are made available.

8. Hence, the adoption of draft resolution CTOC/COP/2016/L.5 would not entail any additional appropriation under the programme budget for the biennium 2016-2017.

Annex III

Financial statement on the revised draft resolution entitled “Strengthening the implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime”

1. The present statement is made in accordance with rule 75 of the rules of procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. By operative paragraphs 25, 26, 27, 28 and 29 of draft resolution CTOC/COP/2016/L.6/Rev.1, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

25. Requests the United Nations Office on Drugs and Crime, through its Global Programme on Firearms, to continue to assist requesting States in their efforts to ratify, accept, approve of or accede to and implement the Firearms Protocol, and encourages those Member States in a position to do so to make available extrabudgetary resources to enable the Office to implement its mandate in this regard;

26. Also requests the United Nations Office on Drugs and Crime to continue to assist States parties, upon request, in their efforts to strengthen their firearms control regime, consistent with the Firearms Protocol, in particular in the areas of legislative development; firearms identification, seizure, confiscation and disposal; technical support for marking, record-keeping, and tracing; and training and capacity-building in the investigation and prosecution of related crimes, with a view to preventing, combating and eradicating the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition;

27. Requests the United Nations Office on Drugs and Crime to continue to promote and encourage international cooperation in criminal matters, pursuant to the Convention, with the aim of investigating and prosecuting the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, including when related to terrorism and to other crimes, such as urban crime committed by gangs, through regional and cross-regional workshops, including for countries that are on relevant trafficking routes;

28. Further requests the United Nations Office on Drugs and Crime to continue to collect and analyse, on a regular basis, quantitative and qualitative information and suitably disaggregated data on trafficking in firearms, their parts and components and ammunition, taking into consideration the usefulness of the UNODC Study on Firearms 2015 as a starting point for further analysis and taking into account target 16.4 of the Sustainable Development Goals, as well as to continue to share and disseminate its findings on best practices, the dimensions and characteristics of such trafficking, and lessons learned;

29. Requests the United Nations Office on Drugs and Crime to continue in its efforts to improve the methodology of the UNODC Study on Firearms 2015, and in this regard invites the Office and other organizations with similar firearms data-collection mandates to continue to explore ways to cooperate and coordinate with each other, with a view to developing synergies between the

distinct reporting obligations of States parties and, where appropriate, facilitating the production of standardized and comparable data.

3. With regard to operative paragraph 25, it is estimated that extrabudgetary resources in the amount of \$1,366,700 would be required to continue to assist requesting States in their efforts to ratify, accept, approve of or accede to and implement the Firearms Protocol. The resource requirements would provide for: (i) 4 3-day regional pre-ratification workshops to be held in Africa, Asia, the Caribbean and Central Asia with 20 participants each; (ii) two professional staff at P-3 level, Legal Officer and Programme Management/Firearms Officer for two years; (iii) travel costs for staff and consultants to provide tailored legislative advice to legislators and policymakers to support accession or ratification in at least 10 countries; and (iv) Legal consultants for 6 working months over two year period.

4. With regard to operative paragraph 26, it is estimated that extrabudgetary resources in the amount of \$5,143,800 would be required to continue assist States parties, upon request, in their efforts to strengthen their firearms control regime, consistent with the Firearms Protocol. The resource requirements would provide for: (i) legislative assistance to 20 countries to review and amend/draft national firearms legislation; (ii) 10 3-day legislative drafting workshops with 30 participants each; (iii) national legal consultant for 2 years; (iv) technical and capacity-building support for marking, record-keeping, tracing, as well as collection and disposal of firearms to at least 10 countries; (v) 10 specialized courses on investigation and prosecution skills to at least 15 countries including 5 courses held in border regions; (vi) purchasing and delivery of 5 firearms marking and 3 destruction machines for 5 beneficiary countries; (vii) customization and deployment of record-keeping software and equipment to 10 countries; (viii) technical support for arms collection and stockpile management in 5 countries; and (ix) 4 professional staff at P-3 level: Programme Management Officer, Firearms and Explosive Expert, Legal Officer, Training Officer (Investigation and Prosecution) and 1 GS (Other Level), programme and finance assistant, for two years each.

5. With regard to operative paragraph 27, it is estimated that extrabudgetary resources in the amount of \$573,600 would be required to continue to promote and encourage international cooperation in criminal matters. The resource requirements would provide for: (i) 4 3-day regional workshops to promote international cooperation and information exchange with regards to cases of firearms trafficking in the context of terrorism/organized crime in Northern Africa (MENA), South-Eastern Europe and Latin America with 20 participants each; and (ii) travel and conference costs to hold one 3-day cross-regional meeting in Vienna with 45 participants each with interpretation.

6. With regard to operative paragraph 28, it is estimated that extrabudgetary resources in the amount of \$3,156,200 would be required to continue to collect and analyse, on a regular basis, quantitative and qualitative information and suitably disaggregated data on trafficking in firearms. The resource requirements would provide for: (i) 1 professional staff at P-4 level, researcher, 2 professionals at P-3 level, Crime Prevention and Criminal Justice/Firearms Expert and Statistician, 1 GS (Other Level) Programme Assistant and 2 National Programme Officers for two years; (ii) 6 2-day regional workshops with designated focal points and firearms experts with 20 participants each; (iii) 2 expert group meetings in Vienna with 35 participants and interpretation into six languages; (iv) consultants for 6 working months over two year period; (v) costs for IT services to adapt and develop data collection and analysis tools; and (vi) costs on editing and disseminating periodic data findings.

7. With regard to operative paragraph 29, it is estimated that extrabudgetary resources in the amount of \$99,400 would be required to conduct coordination

meetings with relevant organizations, to coordinate activities, exchange information and discuss findings of the collected data. The resource requirements would provide for travel costs.

8. The activities related to the request contained in operative paragraphs 25, 26, 27, 28 and 29 would be carried out provided that the extrabudgetary resources mentioned above are made available.

9. Hence, the adoption of draft resolution CTOC/COP/2016/L.6/Rev.1 would not entail any additional appropriation under the programme budget for the biennium 2016-2017.

Annex IV

Financial statement on the draft resolution entitled “Implementation of the provisions on technical assistance of the United Nations Convention against Transnational Organized Crime”

1. The present statement is made in accordance with rule 75 of the rules of procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.

2. By operative paragraph 1 of draft resolution CTOC/COP/2016/L.7, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the recommendations adopted by the Working Group of Government Experts on Technical Assistance at its meeting held from 17 to 19 October 2016, during the eighth session of the Conference (as contained in Annex I of the draft resolution CTOC/COP/2016/L.7).

3. More specifically, under the terms of paragraphs 2, 3, 4, 5 and 12 of Annex I of the above-mentioned resolution, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime would endorse the following recommendations:

(2) States parties should designate a focal point for the purpose of communicating with the Secretariat to facilitate implementation of paragraphs 4 and 5 of article 32 of the Convention and the Protocols thereto and to provide UNODC with the contact details of that focal point. UNODC should compile the contact details of those focal points;

(3) States should consider financially contributing to the maintenance and further development of the SHERLOC knowledge management portal in order to sustain the information gathering, dissemination and analysis;

(4) States should consider making legislation public and accessible, preferably through the Internet. States that have repositories of legislation and case law should provide links to those repositories to the Secretariat for inclusion into the SHERLOC knowledge management portal;

(5) The Working Group of Government Experts on Technical Assistance recommends that the Working Group on International Cooperation considers requesting States parties to report on the use of the Organized Crime Convention as a legal basis for international cooperation, in particular extradition and mutual legal assistance, including examples of various crime types. States should also report, through providing examples of cases, on the practical use of the Convention and the Protocols thereto with other parties. UNODC should compile this information and include it under the SHERLOC knowledge management portal;

(12) UNODC should continue to gather national examples of the implementation of obstruction of justice offences based on Article 23 of the Convention for inclusion into the SHERLOC knowledge management portal, with a focus on identification of successful practices, challenges and technical assistance needs.

4. With regard to the recommendations contained in paragraphs 2, 3, 4, 5 and 12 of Annex I, it is estimated that extrabudgetary resources in the amount of \$318,900 would be required per annum to: (a) support further development and maintenance of

the SHERLOC knowledge management portal; (b) provide for one junior consultant for 12 working months; and (c) to provide for travel of participants (4 experts per region) to an expert group meeting to identify successful practices, challenges and technical assistance needs in the implementation of the Convention as well as use of the Convention and the Protocols thereto vis-a-vis other parties, meeting for 3 days in Vienna without interpretation.

5. The activities related to the request contained in operative paragraph 1 would be carried out provided that the extrabudgetary resources mentioned above are made available.

6. Hence, the adoption of draft resolution CTOC/COP/2016/L.7 would not entail any additional appropriation under the programme budget for the biennium 2016-2017.

Annex V

Financial statement on the draft decision entitled “Organization of the work of the ninth session of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime”

1. The present statement is made in accordance with rule 75 of the rules of procedure of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime.
2. Under the term of the operative paragraphs (a) and (b), the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, would:
 - (a) Decide that the ninth session of the Conference should take place over five working days; that the number of meetings should remain the same as for the previous sessions, that is, 20 meetings, with interpretation in the six official languages of the United Nations; and that a decision should be taken at the end of the ninth session on the duration of the ninth session;
 - (b) Request that the resources allocated to the Conference should be maintained at the same level, and should be made available, inter alia, for any working groups or Committee of the Whole established by the Conference.
3. With regard to the requests contained in operative paragraphs (a) and (b) related to the extension of the mandates of the Working Groups established by the Conference, the conference servicing requirements of the Working Groups will be accommodated during the biennium 2016-2017 within the overall entitlements of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime and its individual working group(s). The scheduling of the meetings will have to be done in consultation with the Conference Management Service of the United Nations Office at Vienna. With regards to documentation, on the understanding that documents will be submitted in accordance with established guidelines, i.e. in a timely manner and within the indicative page limit, they will be processed within available resources as follows: 1 report per working group.
4. Hence, the adoption of draft decision CTOC/COP/2016/L.3 would not entail any additional appropriation under the programme budget for the biennium 2016-2017.