



Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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Technical assistance

Financial and budgetary matters

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Note by the Secretariat

I. Introduction

1. Pursuant to article 30, paragraph 2 (c), of the United Nations Convention against Transnational Organized Crime,¹ States parties to the Convention shall make concrete efforts to provide technical assistance to developing countries and countries with economies in transition to assist them in meeting their needs for the implementation of the Convention and, to that end, to endeavour to make adequate and regular voluntary contributions to an account specifically designated for that purpose in a United Nations funding mechanism. By its resolution 55/25 of 15 November 2000 the General Assembly adopted the Convention and decided that, until the Conference of the Parties to the United Nations Convention against Transnational Organized Crime decided otherwise, that account would be operated within the United Nations Crime Prevention and Criminal Justice Fund for the provision to developing countries and countries with economies in transition of the technical assistance that they might require for implementation of the Convention and the Protocols thereto, including for the preparatory measures needed for that implementation.

2. In order to comply with General Assembly resolution 55/25, an account was opened within the United Nations Crime Prevention and Criminal Justice Fund for the provision of the above-mentioned activities.

3. In its decision 2/6, the Conference decided to establish an open-ended interim working group to advise and assist it in the implementation of its mandate on technical assistance. The Open-ended Interim Working Group of Government

* CTOC/COP/2008/1.

¹ United Nations, *Treaty Series*, vol. 2225, No. 39574.



Experts on Technical Assistance met during the third session of the Conference, on which occasion it identified priority areas and adopted recommendations for technical assistance activities. Those recommendations were endorsed by the Conference in its decision 3/4.

4. The Working Group met again in Vienna from 3 to 5 October 2007. On the basis of the identified priority areas, the Conference set out a number of proposals for technical assistance activities (see the working paper prepared by the Secretariat CTOC/COP/2008/16). Once endorsed by the Conference, those proposals could be implemented during the period 2009-2011. The present note describes the budgetary requirements for the proposed technical assistance activities.

5. To date, contributions for the technical assistance activities required to implement the Convention and the Protocols thereto have been made to various accounts and projects, not solely to the account opened within the United Nations Crime Prevention and Criminal Justice Fund for the provision of the above-mentioned activities. Recalling article 30 of the Convention and General Assembly resolution 55/25, the Secretariat invites Member States to contribute directly to the account specifically created to assist in the implementation of the Convention, with a view to enhancing transparency and reporting. Information on the current status of the account is given in the annex to the present note.

II. Budgetary requirements for proposed technical assistance activities

6. The costs of carrying out the technical assistance activities proposed in the working paper prepared by the Secretariat (CTOC/COP/2008/16) are outlined below, grouped by priority area (the paragraph numbers mentioned below refer to the paragraphs in the working paper). The budgetary requirements given below do not include the 13 per cent programme support cost charges that will be levied on all activities.

A. Gathering information on the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

1. Support to States in fulfilling their reporting obligations (paragraphs 8 and 9)

7. There are no additional budgetary requirements for the activities proposed in paragraphs 8 and 9. One more day for training has been added to the cost estimate for the regional workshops described in paragraph 43.

2. Expansion of the legal library (paragraph 10)

8. It is estimated that resources in the amount of 197,600 United States dollars are required in order to provide for a staff member in the General Service (Other level) category for the period 2009-2010 to maintain all legal tools and, for two work months, for a staff member in the General Service (Other level) category to meet information technology requirements. Such resources would also cover the cost of expanding the online directory as outlined in paragraph 39.

3. Human resources for the management of information (paragraph 11)

9. It is estimated that resources in the amount of \$323,400 are required to provide for a staff member in the L-2 category for the period 2009-2011 to maintain data.

B. Strengthening criminal justice responses to organized crime based on the United Nations Convention against Transnational Organized Crime and the Protocols thereto**1. Strengthening capacity to combat organized crime in post-conflict settings (paragraph 23)**

10. It is estimated that resources in the amount of \$359,200 are required to cover the costs of the following:

(a) The fee for a consultancy to develop methodologies to assess the impact of organized criminal groups in post-conflict countries (\$25,000);

(b) The fee for a consultancy to develop an early warning system to identify and address issues and trends that could endanger the rule of law and stability in countries emerging from conflict (\$25,000);

(c) Mission travel to liaise with other relevant United Nations entities, including the Department of Political Affairs and the Department of Peacekeeping Operations of the Secretariat and the Peacebuilding Commission, and relevant academic institutions (\$35,000);

(d) A three-day international expert group meeting to be held in Vienna for 10 experts to review and evaluate the above methodologies and the early warning system (\$53,300).

11. Those resources are also required to cover the costs of:

(a) The fee for a consultancy to develop training materials and curricula for United Nations police officers and rule of law experts on organized crime and corruption (\$25,000);

(b) The fee for a consultancy to develop a Web-based training system (\$25,000);

(c) An information technology expert, for three work months, to develop a Web-based training system (\$41,100);

(d) The fee for a consultancy to develop other training tools, including handbooks and CD-ROMs (\$20,000).

12. Those resources are also required to provide for the collection of best practices, which would entail:

(a) The fee for a consultancy to collect, research, study and evaluate best practices in combating organized crime in post-conflict situations (\$25,000);

(b) A three-day international expert group meeting to be held in Vienna for 10 experts to review and evaluate best practices in combating organized crime in post-conflict situations (\$53,300);

(c) The publication and dissemination of best practices, for example in a 30-page manual, to be translated so as to be available in the six official languages of the United Nations (\$31,500).

2. Provision of legal advice and legislative assistance (paragraphs 24-29)

13. It is estimated that resources in the amount of \$1,387,900 are required to cover the costs of two four-day regional workshops per year, for three years, for 50 participants in West Africa and Europe (\$1,047,500) and of 32 one-week legal advisory missions per year, for three years, to countries requesting assistance from the United Nations Office on Drugs and Crime (UNODC) (\$340,400). Legal advisers in Latin America, Central Asia and South-East Asia will conduct missions in their regions, while legal advisers from UNODC headquarters will travel to Africa and any other region not covered by the other advisers.

14. It is estimated that resources in the amount of \$279,200 are required to cover the costs of one four-day expert working group meeting for 15 experts from least developed countries in the Philippines, whose Government has offered to host the expert working group (\$84,600), and the costs of two four-day expert working group meetings for 15 experts from least developed countries in Vienna (\$194,600).

3. Development of model legislation (paragraph 30)

15. It is estimated that resources in the amount of \$349,200 are required to develop model provisions and accompanying commentary for the implementation of the Convention by covering the costs of:

(a) Consultancy fees (\$33,600);

(b) Two three-day expert working groups for 10 experts in Vienna (\$106,700);

(c) Printing and translation services (\$66,500).

16. Those resources are also required to develop a model law and accompanying commentary for the implementation of the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime,² by covering the costs of:

(a) Consultancy fees (\$33,600);

(b) One three-day expert working group meeting for 10 experts in Vienna (\$53,300);

(c) Printing and translation services (\$55,500).

17. Existing funds from the regular budget of the United Nations will be used to develop a model law and accompanying commentary for the implementation of the Protocol against the Illicit Manufacture of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime.³

² Ibid., vol. 2241, No. 39574.

³ Ibid., vol. 2326, No. 39574.

4. Training of criminal justice actors to implement domestic legislation (paragraphs 31-33)

18. It is estimated that resources in the amount of \$53,300 are required to provide for one three-day expert working group meeting on specialized anti-organized crime units, for 10 experts, in Vienna.

19. As UNODC is currently carrying out research for the activities proposed in paragraph 33, no budgetary requirements are known at present.

5. Witness and victim protection (paragraph 34)

20. The budgetary requirements for the technical assistance activities proposed in paragraph 34 are contained in the project document of the UNODC Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Organized and Serious Crimes (GLO/T32), which has a total approved budget of \$2,728,900 exclusive of the 13 per cent programme support cost charge.

C. International cooperation and establishment or strengthening of central authorities for mutual legal assistance and extradition

1. Expansion of the online directory (paragraph 39)

21. The budgetary requirements for the activities proposed in paragraph 39 are presented in paragraph 8 above, on the expansion of the legal library.

2. Good practices in international cooperation (paragraph 40)

22. It is estimated that resources in the amount of \$106,700 are required to provide for two three-day open-ended working group meetings, one on extradition and one on mutual legal assistance, for 10 experts in Vienna.

3. Support to States in improving collection of data (paragraph 41)

23. It is estimated that resources in the amount of \$335,400 are required to provide for a criminal justice expert in the L-3 category for the period 2009-2010 (\$269,400) and six missions per year, for two years, to requesting countries in Africa, Asia and Latin America (\$66,000).

4. Addressing basic equipment and telecommunications needs (paragraph 42)

24. The proposed activities will be carried out on a bilateral basis and will involve endorsement of the concept and inclusion in future UNODC technical cooperation projects.

5. Follow-up to regional workshops for central authorities (paragraphs 43-45)

25. With regard to the activities proposed in paragraph 43, it is estimated that resources in the amount of \$348,900 are required to cover three four-day regional workshops, each to be attended by 60 participants and two staff members from UNODC headquarters. One of the regional workshops would be held in South Asia (\$117,600) and the other two in Africa (\$231,300).

26. With regard to the activities proposed in paragraph 44, it is estimated that resources in the amount of \$347,800 are required to provide for two four-day subregional workshops in Latin America and the Caribbean (\$305,800), each attended by 40 participants, and for three five-day training missions to Costa Rica, Suriname and Uruguay (\$42,000).

27. There are no additional budgetary requirements for the training activities proposed in paragraph 45. One more day has been added to the estimate of the subregional workshops in Latin America and the Caribbean mentioned in paragraph 44.

6. Advisory group of experts on international cooperation (paragraph 46)

28. It is estimated that resources in the amount of \$330,500 are required to cover the costs of holding three three-day meetings per year, for three years, in Vienna, for a standing group of six experts from Africa, Asia and South America. Such resources would cover the costs of bringing to Vienna two experts from Africa, two experts from South America and two experts from Asia.

7. Network of central authorities (paragraphs 47 and 48)

29. It is estimated that resources in the amount of \$72,700 are required to cover the cost of facilitating the attendance of 10 experts from least developed countries in a three-day expert group meeting in Vienna.

30. It is estimated that resources in the amount of \$444,500 are required to organize a four-day meeting of central authorities of States parties to the Convention in Vienna in 2009. Such resources would cover the costs of conference services, including interpretation in the six official languages of the United Nations, the printing and translation of 16 pages of pre-session documentation (\$140,400) and travel for two participants from each least developed country that is a party to the Convention (\$304,100).

D. Data collection

1. Strengthening national capacity to collect crime data (paragraph 57)

31. It is estimated that resources in the amount of \$685,100 are required to provide for:

(a) A crime and criminal justice statistics expert in the L-3 category for the period 2009-2010 (\$269,400);

(b) The translation of a 250-page manual on victim surveys, prepared jointly by UNODC and the Economic Commission for Europe from English into two other official languages of the United Nations (\$129,200);

(c) Three five-day regional workshops in Central America, Central Asia and South-East Asia, each attended by 20 experts (\$164,200);

(d) Pilot surveys in six requesting developing countries (\$62,300), for which it would be necessary to undertake six training missions per year for two years, and the allocation of one grant to each of the six requesting developing countries (\$60,000).

2. Strengthening law enforcement capacity to analyse crime data (paragraph 58)

32. It is estimated that resources in the amount of \$258,300 are required to provide for:

(a) The assistance of a staff member in the L-3 category for six work months per year for two years (\$134,700);

(b) Three training missions per year for two years to three requesting countries (\$34,800);

(c) A three-day workshop on organized crime analysis, attended by 18 experts from all regions, in Vienna (\$88,800).

E. Implementation of the Protocols to the Organized Crime Convention

Proposals concerning the Trafficking in Persons Protocol and the Migrants Protocol

1. Application of tools into technical assistance programmes (paragraphs 72-74)

33. It is estimated that resources in the amount of \$560,000 are required to provide for the delivery of training related to the Trafficking in Persons Protocol (\$150,000), which would include at least two training seminars in three target countries, each with up to 20 participants.

34. Such resources are also required to provide for:

(a) The development tools and the delivery of training related to the Migrants Protocol, including for the development of a model law against the smuggling of migrants through two four-day expert group meetings, attended by approximately 10 participants, in Vienna (\$70,400) and the work of a consultant (\$42,000);

(b) The development of a training manual through three four-day expert group meetings, each attended by 10 participants, in Vienna (\$105,600) and the work of a consultant (\$42,000);

(c) At least two training seminars in three pilot countries, each attended by 20 participants (\$150,000).

2. Research methodologies and tools to assess needs (paragraph 75)

35. It is estimated that resources in the amount of \$253,600 are required for a situation analysis and needs assessment that would include pilot testing and implementing a situation analysis and carrying out an assessment of national responses in four target countries.

36. Resources allocated for carrying out the situation analysis would provide for:
- (a) One staff member from UNODC headquarters to conduct two one-week missions to each country (\$26,800);
 - (b) A local interpreter for each mission (\$32,000);
 - (c) The subcontracting of a local research institute in each country to carry out research for four months (\$120,000).
37. Resources allocated for assessing national responses would provide for:
- (a) Four one-week assessment missions to the target countries by two staff members from UNODC headquarters (\$26,800);
 - (b) A local interpreter for each mission (\$16,000);
 - (c) Fees for a consultancy to prepare and facilitate each assessment mission (\$32,000).

3. Addressing human trafficking in the context of peacekeeping operations (paragraphs 76 and 77)

38. It is estimated that resources in the amount of \$838,000 are required for producing, in partnership with the Department of Peacekeeping Operations and the NATO School, a technical report on trafficking in persons in conflict and post-conflict situations and practices that have been developed as a response to such trafficking and for carrying out an assessment, including recommendations, on the impact of peacekeeping operations on trafficking in persons in three target countries. Such resources would provide for:

- (a) An international expert in the L-3 category for one year (\$130,000);
- (b) Consultancy fees (\$80,000);
- (c) Subcontracts (\$250,000);
- (d) Three national staff (\$108,000);
- (e) Travel and evaluation (\$125,000);
- (f) Two expert group meetings (\$80,000);
- (g) Supplies and reporting costs (\$65,000).

39. It is estimated that resources in the amount of \$195,000 are required to provide for a 50-page technical assistance publication on corruption and trafficking in persons and a 50-page technical assistance publication on money-laundering and trafficking in persons. Such resources would also cover consultancy fees for researching and drafting (\$84,000) the publications and for translating them so as to make them available in the six official languages of the United Nations (\$111,000).

Proposals concerning the Firearms Protocol

4. Legislative and operational assistance (paragraphs 78-80)

40. It is estimated that resources in the amount of \$1,183,400 are required to provide for:

(a) Assessment missions to 10 requesting countries in Africa and Latin America and the Caribbean by two UNODC staff members and an international expert (\$226,700);

(b) Fees for three consultants (one on marking, one on brokering and one on record-keeping) to assist in implementing the Firearms Protocol (\$75,600);

(c) Fees for two legal drafters expert in civil law and common law (\$67,200);

(d) One staff member in the L-3 category to work at UNODC headquarters for two years (\$269,400).

41. The resources would also cover the costs of carrying out training activities, including four five-day subregional training seminars, attended by up to 40 participants, in Latin America and the Caribbean (\$138,900), North Africa and the Middle East (\$120,700), Southern and East Africa (\$102,600) and West Africa (\$182,300); two UNODC staff members and two international experts would participate in each seminar.

5. Development of tools (paragraph 81)

42. It is estimated that resources in the amount of \$462,800 are required to provide for the finalization of legal and operational tools, in particular model legislation, through a five-day expert working group meeting in Vienna to discuss the final version of the law (\$117,000). Such resources would also cover the cost of updating existing manuals and of developing computer-based training modules, which would be done by:

(a) Hiring three consultants (one on marking, one on brokering and one on record-keeping) to assist in implementing the Firearms Protocol (\$75,600);

(b) Hiring an information technology expert in the L-3 category for six work months (\$67,400);

(c) Printing, translating and publishing a 150-page manual in the six official languages of the United Nations (\$166,600).

43. Such resources would also cover the costs of piloting the computer-based training programme in three countries in Africa and Latin America and the Caribbean, which would include sending two experts to install the programme and train the trainers and organizing follow-up missions to evaluate the pilot programme (\$36,200).

F. Ensuring the provision of integrated legal assistance

44. In addition to the budgetary requirements presented above, broken down by priority area and specific activities, the overarching funding needed by UNODC to

provide integrated legal assistance must be taken into account. Although the specifics of a programme for providing legal assistance activities, currently being designed by UNODC, are not available yet, sufficient funds to support such an endeavour will be essential to ensure the provision of coherent technical assistance during the period 2009-2011. Essentially, it is proposed that an adequate number of legal experts capable of holistically addressing various aspects of the legal mandate of UNODC and of substantively coordinating various assistance activities arising from those legal mandates be well integrated into the field office network of UNODC. A stronger presence of decentralized experts would enable UNODC to respond to requests for integrated technical assistance, including those outlined in the working paper prepared by the Secretariat (CTOC/COP/2008/16, paras. 36 and 49). At present, it is estimated that \$5 million will be required by the above-mentioned legal assistance programme during the first two years of its implementation. Further, it is expected that that amount will be split equally into the two priority areas of strengthening criminal justice responses to organized crime based on the United Nations Convention against Transnational Organized Crime and the Protocols thereto and international cooperation and establishment or strengthening of central authorities for mutual legal assistance and extradition, as these are the main areas that the programme will focus on, as reflected in the table below.

III. Summary

45. The total estimated budget required to undertake the activities described in the working paper prepared by the Secretariat (CTOC/COP/2008/16) amounts to \$10,590,900. A breakdown, by priority area, of the total estimated budgetary requirements is set out in the table below.

Estimated budgetary requirements for proposed technical assistance activities, by priority area

<i>Priority area</i>	<i>Estimated budgetary requirements (United States dollars)</i>
Gathering information on the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto	521 000
Strengthening criminal justice responses to organized crime based on the United Nations Convention against Transnational Organized Crime and the Protocols thereto	4 928 800
International cooperation and establishment or strengthening of central authorities for mutual legal assistance and extradition	4 486 500
Data collection	943 400
Implementation of the Protocols to the Organized Crime Convention	3 492 800
Total	14 372 500
13 per cent programme support cost	1 868 400
Grand total	16 240 900

Annex

Unaudited financial report on the use of contributions to the United Nations Crime Prevention and Criminal Justice Fund, United Nations Convention against Transnational Organized Crime component

Table A.1
Status of unpaid pledges to the United Nations Crime Prevention and Criminal
Justice Fund, United Nations Convention against Transnational Organized
Crime component, as at 31 July 2008
(United States dollars)

Donor	Amount pledged						Total	Collection	Unpaid pledges
	1998-1999	2000-2001	2002-2003	2004-2005	2006-2007	2008-2009	(a)	(b)	(a) minus (b)
Austria	35 956	-	-	-	-	-	35 956	35 956	-
Canada ^a	-	129 776	41 379	-	27 394	-	198 549	198 549	-
France	-	200 123	-	-	129 683	54 432	384 238	384 238	-
Greece	-	-	30 000	-	-	-	30 000	30 000	-
Italy ^b	13 549	238 377	227 390	163 094	-	-	642 410	642 410	-
Japan	300 000	433 410	94 000	-	-	-	827 410	827 410	-
Monaco	-	-	16 432	-	-	-	16 432	16 432	-
Norway	13 047	-	-	-	-	-	13 047	13 047	-
Poland	19 726	-	-	-	-	-	19 726	19 726	-
Republic of Korea	-	-	-	-	-	500 000	500 000	200 000	300 000
United Kingdom	-	-	-	-	20 000	(20 000)	-	-	-
United States	421 590	177 910	200 000	17 000	-	100 000	916 500	816 500	100 000
Subtotal	803 868	1 179 596	609 201	180 094	177 077	634 432	3 584 268	3 184 268	400 000
Asia Crime Prevention Foundation ^c	9 397	35 846	-	-	-	-	45 243	45 243	-
Total	813 265	1 215 442	609 201	180 094	177 077	634 432	3 629 511	3 229 511	400 000

^a Canada's contribution for the period 2006-2007 of \$27,394 was transferred and used for the second meeting of the Intergovernmental Expert Group to Prepare a Study on Fraud and the Criminal Misuse and Falsification of Identity, held in Vienna from 16 to 19 January 2007.

^b Italy contributed a total of \$689,610, of which \$47,200 was transferred and used for activities to address transnational organized crime in Brazil and Viet Nam.

^c The Asia Crime Prevention Foundation contributed a total of \$55,243, of which \$10,000 was transferred to project VIE/R21 and used for activities in Viet Nam (Asia) to address transnational organized crime.

Table A.2
Projected availability of funds, as at 31 July 2008
 (United States dollars)

I. Income	
(a) Contributions received as at 31 July 2008	3 629 511
(b) Add: interest available	43 532
(c) Add: prior periods savings	74 665
(d) Add: miscellaneous income	10 373
Amounts available for expenditure ((a)+(b)+(c)+(d))	3 758 081
II. Requirements	
(e) Total expenditure for the period 1 January 2000-31 December 2007	2 296 469
(f) Add: allotments issued in 2008	791 000
(g) Add: estimates for proposed technical assistance activities 2009-2011	16 240 900
Total estimated requirements	19 328 369
Estimated availability of funds (I-II)	15 570 288