



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

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**Review of the implementation of the United Nations
Convention against Transnational Organized Crime and
the Protocols thereto**

Estimated financial requirements for a mechanism to review the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto

Note by the Secretariat

I. Introduction

1. At its second meeting, held in Vienna from 23 to 26 January 2012, the open-ended intergovernmental working group on the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto approved the revised draft terms of reference of the mechanism for the review of implementation of the Convention (CTOC/COP/WG.5/2011/2/Rev.1), except paragraphs 41 and 54 to 57, on which no consensus was reached.

2. During that session, the working group considered five different scenarios for the review mechanism, prepared by the secretariat at the request of States parties and signatories, with a view to providing guidance on the budgetary process and providing the Conference with elements for a decision. Several issues were discussed, including the following: (a) the consideration of the expediency of the proposed P-3 posts to be placed in the regional offices of the United Nations Office on Drugs and Crime (UNODC); (b) the possibility of reducing the duration of sessions of the Palermo Implementation Review Group; (c) the option of subsuming some of the working groups into the Palermo Implementation Review Group, provided that the review mechanism was adopted; (d) reducing the volume of

* CTOC/COP/2012/1.



documentation and the number of country visits; (e) the number of governmental experts to be trained; and (f) the need for any mechanism to be cost-effective.

3. It was recommended that the first cycle could possibly begin in 2013, and it was reiterated that the review mechanism should be effective, efficient, sustainable and impartial. It was noted that such a mechanism should not be unduly burdensome on States parties and the secretariat.

4. It was noted that it might be appropriate for the secretariat to consider, without any prejudice to the effective implementation of the core functions of the mechanism, the issue of reducing costs in the context of the review mechanism and to regularly inform States parties and signatories of such savings.

5. The working group agreed that the total preliminary estimates for scenario 1 for a review mechanism, as contained in CTOC/COP/WG.5/2012/CRP.7, i.e. additional requirements of \$4.8 million in 2013 and \$13.9 million in 2014-2015, represented a ceiling within which the budget to be presented to the Conference should be prepared.

6. In preparation for the possible adoption of a review mechanism by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime at its sixth session, the secretariat presented revised estimates for consideration by States during informal consultations held on 3 July and 3 September 2012. The present document contains estimated financial requirements for the mechanism to review the implementation of the Convention and the Protocols thereto, for approval by the Conference of the Parties, on the basis of comments made by States during those informal consultations.

II. Estimated financial requirements

7. The financial requirements for the mechanism for the review of implementation of the Convention and the Protocols thereto are based on the following parameters:¹

(a) The review mechanism follows a five-year cycle;²

(b) Approximately 40 States parties are to be reviewed per year during a five-year cycle;

(c) The annual requirement for the translation of responses to the self-assessment tool and of other supporting working documentation is estimated at 5,200 pages, starting in 2014;³

¹ The parameters, as well as costing, are based on actual expenditures incurred in the framework of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption and reflect current deliberations on this matter. The information in the tables presenting the additional regular budget and extrabudgetary requirements has been disaggregated into three periods: 2013, 2014-2015 and 2016-2017.

² For more information on the proposed cycles, see CTOC/COP/WG.5/2011/Rev.1.

³ The annual requirement for translation of the responses to the self-assessment checklist in the context of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption was more than 5,200 pages.

(d) Annual sessions of the Palermo Implementation Review Group are held, with a total number of 2.5 days (5 meetings) in 2013 reallocated from the number of meetings remaining for the working group on the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto allocated for the biennium 2012-2013, and eight days (16 meetings) in two sessions per year as of 2014. Funding is provided for the participation in the sessions of governmental experts from least developed countries. Should the Palermo Implementation Review Group subsume some of the other established working groups of the Conference, possible cost savings could be achieved by using the unutilized regular budget resources allocated for further meetings of the Palermo Implementation Review Group during 2013;⁴

(e) Forty-five country visits and joint meetings, for a duration of three days, are organized for the biennium 2014-2015 and also for the biennium 2016-2017. Funding is provided for the participation of governmental experts from least developed countries in those visits and meetings;

(f) Training for up to two governmental experts from 80 per cent of States parties is conducted in preparation for the reviews;

(g) Computer maintenance and communications costs are budgeted for.

8. The estimated staffing requirements have been established as follows:⁵

(a) Forty reviews, at 12 staff workweeks each: 480 staff workweeks;

(b) Preparation of 40 reports, at 2 weeks each: 80 staff workweeks;

(c) Preparation of aggregate thematic and, as of 2016-2017, regional reports: 15 staff workweeks;

(d) Preparation and servicing of the session of the Palermo Implementation Review Group: 10 staff workweeks;

(e) Active dialogue, including tele- or videoconferences and preparation for and carrying out of country visits, at 1.5 weeks each: 60 staff workweeks;

(f) Maintenance of expert database and other miscellaneous activities: 15 staff workweeks;

(g) Outsourcing of translation of non-parliamentary documentation: in total, 42 staff workweeks to be funded from extrabudgetary resources. In view of the experience garnered from dealing with the United Nations Convention against Corruption, the United Nations Office at Vienna Conference Management Service is exploring the possibility of managing the outsourcing centrally.

9. On the basis of these parameters, the total number of staff workweeks per year is 702. Based on an average annual figure of 42 effective workweeks per staff member per year, the total requirement to support the possible review mechanism, not taking into account the outsourcing of non-parliamentary documentation, would

⁴ Section 2 of the programme budget is intended to cover, within its limits, mandated conference-servicing requirements of all Vienna-based organizations; however, it does not include dedicated resources for any particular body.

⁵ Including staff funded from both regular budget and extrabudgetary resources.

be 15.7 staff members at various levels, including Professional and General Service staff, at headquarters.

10. The anticipated new tasks need to be considered in the context of the overall requirements for the Conference of the Parties and the other mandated functions of the Secretariat, which in the case of the Conference Support Section of the Organized Crime and Illicit Trafficking Branch include a large volume of activities that are not directly related to the review mechanism.⁶ While this will depend very much on the extent to which current requirements for preparing and servicing the Conference and its established working groups would be subsumed under the work of the review mechanism, it is possible that approximately 30 per cent of the work can be accomplished by the current staff of the secretariat. This would additionally depend, however, upon other work assigned to the Conference Support Section. The bulk of activities currently implemented by the Section (in addition to the servicing of the Conference of the Parties) involve the implementation of mandated activities related to several types of emerging crimes (including the UNODC cybercrime programme and all related activities) and to international judicial cooperation and drug legislation, as well as several other activities not related to the review mechanism but mandated by the Commission on Narcotic Drugs, the Commission on Crime Prevention and Criminal Justice, the Conference, the Economic and Social Council and the General Assembly. The incumbents of the additional posts would be responsible for, inter alia, the organization of country reviews and joint meetings, the preparation of supplementary documentation and reports and the organization of sessions of the Palermo Implementation Review Group. This would represent an additional regular budget requirement of \$2,064,100 for 2014-2015 and \$2,938,800 for 2016-2017.⁷ As States parties expressed the view that it would not be possible to approve an additional regular budget requirement in 2013, three fixed-term posts (12 working months each) at the Professional level, funded from extrabudgetary resources, would be required in order to carry out the preparations in 2013. This would represent an additional extrabudgetary requirement of \$569,100. These estimates are made taking into account the vacancy rates approved by the General Assembly, whereby, under the regular budget, new Professional posts are costed at 50 per cent and new General Service posts at 65 per cent, while Professional posts converted from extrabudgetary resources or general temporary assistance are costed at 90.4 per cent and General Service posts converted from extrabudgetary or general temporary assistance at 95.3 per cent, in the biennium in which they are approved. Hence, the full impact of the posts proposed to be approved in 2014-2015 will be reflected in the biennium 2016-2017.

11. It is anticipated that for each of the country visits and joint meetings, a minimum of three days would be required in order to undertake a proper review. On the basis of average travel costs for six participants (four governmental experts and two secretariat staff), the annual costs for country visits and joint meetings would amount to \$1,293,000 for 2014-2015 and \$1,293,000 for 2016-2017. A small amount of funding would be reserved for local interpretation during country visits, if required. Furthermore, the translation of responses to the self-assessment tool and

⁶ Currently, the Conference Support Section of the Organized Crime and Illicit Trafficking Branch comprises nine regular budget posts (2 P-5, 3 P-4, 2 P-3, 1 P-2, 1 General Service (Other level)) and one General Service (Other level) position funded from general temporary assistance.

⁷ Standard costs will be adjusted for 2013, 2014-2015 and 2016-2017.

other pertinent supporting working documentation (about 5,200 pages per year) would represent an additional extrabudgetary requirement in the amount \$587,600 for 2014-2015 and \$587,600 for 2016-2017. For the outsourcing of translation of non-parliamentary documentation, an additional extrabudgetary requirement in the amount of \$224,900 would be required per biennium as of 2014.

12. In order to hold annual sessions of the Palermo Implementation Review Group with interpretation in six languages and other conference services, the following regular budget resources would be required:

(a) In 2013, five meetings (2.5 days) can be accommodated from funding for the number of meetings remaining for the working group on the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, allocated for the biennium 2012-2013.

(b) From 2014 to 2017, regular budget resources in the amount of \$369,800 would be required for 16 annual meetings (8 days) in two sessions in 2014-2015 and also in 2016-2017;

(c) The estimated requirement for the translation of 100 pages in 2013 would be covered from the regular budget allocated for the biennium 2012-2013 as part of the overall UNODC translation quota;

(d) In 2014-2015, the translation of 496 pages of documentation for the annual sessions into all six official languages⁸ will require regular budget resources in the amount of \$1,991,600;

(e) In 2016-2017, the translation of 626 pages of documentation for the annual sessions into all six official languages⁹ will require regular budget resources in the amount of \$2,513,400;

(f) In order to enable the travel of representatives of least developed countries to the sessions and the payment of daily subsistence allowance, voluntary contributions in the amount of \$148,300 would be required for 2013, while \$646,400 would be required for 2014-2015 and also for 2016-2017. This amount was calculated on the basis of an average of 39 representatives of least developed countries attending each session of the Palermo Implementation Review Group, if mandated by the Conference of the Parties.

13. In the draft terms of reference it is proposed that the governmental experts scheduled to take part in the review process as part of the review teams undergo training. In order to provide for travel costs for the participation of up to two experts from 80 per cent of States parties in three-day training courses, extrabudgetary resources in the amount of \$258,500 in 2013, \$517,000 in 2014-2015 and \$258,500 in 2016-2017 would be required. Should more funding be available for training purposes, the duration can be extended and travel costs for participation for up to four experts per State party can be covered.

⁸ In 2014-2015, the annual requirement includes the executive summaries (40×10 pages), the thematic reports (2×16 pages) and other meeting documentation (4×16 pages). The regional addenda (5×16 pages) are included in the annual requirements for 2016-2017.

⁹ For 2016-2017, the annual requirements are increased to include additional executive summaries (5×10 pages) and regional addenda (5×16 pages).

14. A total amount of \$92,600 to be funded from the regular budget would also be required in 2014-2015 and again in 2016-2017 for general operating expenses, as follows: computer maintenance and hardware (\$43,000) and communication costs (\$49,600). An amount of \$17,900 to be funded from extrabudgetary resources would also be required for general operating expenses in 2013, while \$6,000 would be required in 2014-2015 and also in 2016-2017.

15. The financial requirements corresponding to the scenario described above are presented in tables 1 and 2.

Table 1

Additional budgetary requirements for 2013, 2014-2015 and 2016-2017 and proposed source of funding, should the Conference of the Parties decide to follow the funding model adopted for the Mechanism for the Review of Implementation of the United Nations Convention against Corruption
(United States dollars)

<i>Budgetary item</i>	<i>2013</i>	<i>2014-2015</i>	<i>2016-2017</i>
A. Regular budget			
Posts and related general operating expenses			
Posts (3 P-4, 5 P-3, 1 P-2 and 2 General Service (Other level) for core secretariat functions ^a)	-	2 064 100	2 938 800
Computer maintenance		43 000	43 000
Communications costs		49 600	49 600
Subtotal	-	2 156 700	3 031 400
Palermo Implementation Review Group			
Interpretation in six languages and conference servicing 2.5 days (5 meetings) in 2013: no additional costs 8 days (16 meetings) in 2 sessions per year as of 2014		369 800	369 800
Translation of documentation 100 pages in 2013, as per UNODC quota ^b 496 pages per year in 2014-2015 and 626 pages per year in 2016-2017	-	1 991 600	2 513 400
Subtotal	-	2 361 400	2 883 200
Total, regular budget	-	4 518 100	5 914 600
B. Extrabudgetary special-purpose funds			
Posts and related general operating expenses			
Posts (1 P-4, 2 P-3) for core secretariat functions	569 100	-	-
Computer maintenance and communications costs	17 900	-	-
Palermo Implementation Review Group			
Participation of 39 least developed countries in the sessions of the Palermo Implementation Review Group	148 300	646 400	646 400
Individual reviews			
Travel of participants for country visits and joint meetings In 2014-2015: a total of 45 country visits for the biennium, of 3 days' duration, 6 participants (2 experts per reviewing country, 2 secretariat staff each visit); in 2016-2017: a total of 45 country visits for the biennium	-	1 293 000	1 293 000

<i>Budgetary item</i>	<i>2013</i>	<i>2014-2015</i>	<i>2016-2017</i>
Translation of non-parliamentary documentation			
Translation of working documentation and pertinent supporting material (5,200 pages per year, outsourced)	-	587 600	587 600
Post (1 General Service (Other level)) for coordination of translation	-	224 900	224 900
Computer maintenance and communications costs	-	6 000	6 000
Subtotal, translation of non-parliamentary documentation		818 500	818 500
Training			
Training of government experts (68 experts per year from 2013 to 2016)	258 500	517 000	258 500
Total, extrabudgetary	993 800	3 274 900	3 016 400
Grand total	993 800	7 793 000	8 931 000

^a Standard costs will be adjusted for 2013, 2014-2015 and 2016-2017.

^b Mandates will have to be respected under the Conference Management Services quota services.

Table 2

Summary: budgetary requirements for 2013, 2014-2015 and 2016-2017 and proposed source of funding
(United States dollars)

<i>Funding source</i>	<i>2013</i>	<i>2014-2015</i>	<i>2016-2017</i>
Regular budget	-	4 518 100	5 914 600
Extrabudgetary	993 800	3 274 900	3 016 400
Total	993 800	7 793 000	8 931 000

III. Potential for absorption and summary of cost-saving measures

16. The secretariat plans to undertake the following cost-saving measures:

(a) Out of the overall requirements for 15.7 posts to implement the activities in the framework of the review mechanism, 4.7 posts would be accommodated through the use of existing posts in the Organized Crime and Illicit Trafficking Branch (see paras. 9-10 above). There are no other human resources provided for under the programme budget that could be made available for the implementation of the review mechanism;

(b) With regard to the Palermo Implementation Review Group, under section 2, General Assembly and Economic and Social Council affairs and conference management, of the proposed programme budget for the biennium 2012-2013, provision can be made for 2.5 days (5 meetings) in 2013 from funding for the number of meetings remaining for the working group on the review

of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, as indicated in paragraph 12 above;¹⁰

(c) With regard to the documentation requirements, under section 2 of the proposed programme budget for the biennium 2012-2013, provision can be made for the translation of 100 pages in 2013 as part of the official documentation for the Palermo Implementation Review Group, which would be covered from the regular budget allocated for the biennium 2012-2013 as part of the overall UNODC regular budget allocation for documentation for the current biennium, as indicated in paragraph 12 above;

(d) Should the Palermo Implementation Review Group subsume some of the other established working groups of the Conference, possible cost savings could be achieved by using the unutilized regular budget resources allocated for further meetings of the Group during 2013;

(e) Should the Palermo Implementation Review Group subsume some of the other established working groups of the Conference, and should the regular budget entitlement of the Organized Crime and Illicit Trafficking Branch of UNODC remain at the same level as in the biennium 2012-2013, the requirements for the Palermo Implementation Review Group could be reduced further through reallocation of existing entitlements. The working group on the review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto had 15 meetings (7.5 days) and 96 pages (6 documents) of parliamentary documentation available to it in 2012-2013. The Working Group of Government Experts on Technical Assistance had 2 meetings (1 day) and 48 pages (3 documents) of parliamentary documentation available to it in 2012-2013. If the Conference of the Parties decides to subsume those two working groups, the budgetary requirements for the Palermo Implementation Review Group would be reduced as shown in table 3;¹⁰

(f) Should the meetings of the Palermo Implementation Review Group be held in parallel with the Conference of the Parties, travel costs for States parties would be reduced. In addition, the Conference would benefit from the participation of least developed countries;

(g) With regard to operational requirements — training of government experts, country visits, and travel and daily subsistence allowance for representatives of least developed countries — UNODC will seek to realize several cost efficiencies, including but not limited to the organization of training back to back with the sessions of the Palermo Implementation Review Group, other established working groups of the Conference and the Conference of the Parties; purchase of economy class tickets only and payment for stays in Vienna only; and the organization of regional training events. Furthermore, UNODC will seek to cooperate with other international organizations in covering the costs of travel of additional participants. These assumptions have been taken into account in the estimates for the training of governmental experts.

¹⁰ Section 2 of the programme budget is intended to cover, within its limits, mandated conference-servicing requirements of all Vienna-based organizations; however, it does not include dedicated resources for any particular body.

Table 3
Reduced budgetary requirements for the Palermo Implementation Review Group in 2014-2015 and 2016-2017 if working groups are subsumed through reallocation of existing entitlements
 (United States dollars)

<i>Budgetary item</i>	<i>2014-2015</i>	<i>2016-2017</i>
Regular budget		
Working group on the review of implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto		
Interpretation in 6 languages and conference servicing 8 days (15 meetings) per biennium, 20 interpreters	184 900	184 900
Translation of documentation 96 pages per biennium	192 700	192 700
Subtotal	377 600	377 600
Working group on technical assistance		
Interpretation in 6 languages and conference servicing 1 day (2 meetings) per biennium, 14 interpreters	17 200	17 200
Translation of documentation 48 pages per biennium	96 300	96 300
Subtotal	113 500	113 500
Total	491 100	491 100
Revised additional budgetary requirements for the Palermo Implementation Review Group if working groups are subsumed		
Interpretation in 6 languages and conference servicing 8 days (16 meetings) in 2 sessions per year as of 2014	167 700	167 700
Translation of documentation 496 pages per year in 2014-2015 and 626 pages per year in 2016-2017	1 702 600	2 224 400
Total	1 870 300	2 392 100

IV. Funding of the Conference of the Parties

17. In its resolution 55/25, in which it adopted the United Nations Convention against Transnational Organized Crime, the General Assembly requested that the Secretary-General provide the necessary secretariat services to the Conference of the Parties to the Convention and that the secretariat assist the Conference in carrying out the activities set forth in article 32 of the Convention and make arrangements and provide the necessary services for the sessions of the Conference (article 33, para. 2 (a)). In the same resolution, the Assembly requested the Secretary-General to designate UNODC to serve as the secretariat for the Conference of the Parties. It also requested the Secretary-General to provide UNODC with the resources necessary to enable it to promote the expeditious entry into force of the Convention and to discharge the functions of secretariat of the Conference. The Assembly decided that, until the Conference of the Parties decided otherwise, a specific 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 to prepare for ratification and implementation of the Convention.

18. Since the adoption of the United Nations Convention against Transnational Organized Crime, regular budget resources have been provided under (a) section 2, General Assembly and Economic and Social Council Affairs and conference management, of the programme budget for the provision of conference services to the Conference of the Parties, and (b) section 16, International drug control, crime and terrorism prevention and criminal justice,¹¹ to carry out functions related to the implementation of the Convention. The provision of technical assistance to developing countries and countries with economies in transition to prepare for ratification and implementation of the Convention has been funded through voluntary contributions.

19. The programme budget of the United Nations (the regular budget) is funded through assessed contributions and is subject to the approval of the General Assembly. The procedures and methodology related to the approval of regular budget resources are governed by General Assembly resolution 41/213. After review by the Advisory Committee on Administrative and Budgetary Questions and endorsement by the Fifth Committee of the General Assembly (ideally by consensus), the programme budget for the coming biennium is approved by the Assembly in December of the preceding year. In accordance with regulation 2.10 of the Financial Regulations and Rules of the United Nations (ST/SGB/2003/7 and Amend. 1), no council, commission or other competent body shall take a decision involving either a change in the programme budget approved by the Assembly or the possible requirement of expenditure unless it has received and taken account of a report of the Secretary-General on the programme budget implications of the proposal.

20. Where, in the opinion of the Secretary-General, a proposed expenditure cannot be made from existing appropriation, it shall not be incurred until the Assembly has made the necessary appropriation, unless the Secretary-General certifies that the expenditure can be made under the provisions of the Assembly resolution relating to unforeseen and extraordinary expenses. The Fifth Committee reviews and approves additional requirements, after review by the Advisory Committee of statements of programme budget implications and/or revised estimates.

V. Conclusions and recommendations

21. The financial requirements for the mechanism for the review of the United Nations Convention against Transnational Organized Crime and the Protocols thereto are proposed to be funded from the regular budget and from extrabudgetary resources.

22. If the Conference of the Parties recommends that the staffing requirements of the mechanism and its secretariat, as well as the conference servicing requirements of the Palermo Implementation Review Group, be funded from the regular budget of the United Nations, a draft resolution will be presented to the General Assembly for

¹¹ Before the biennium 2008-2009, the budget section was entitled "International drug control, crime prevention and criminal justice".

its decision. In accordance with rule 153 of the rules of procedure of the Assembly, prior to its decision a statement of programme budget implications will have to be presented to the Assembly, should the adoption of the draft resolution entail financial implications for the programme budget.

23. If the Conference of the Parties were to recommend that the operational requirements of the mechanism and its secretariat — namely, travel, interpretation and translation for the country reviews; travel and daily subsistence allowance for representatives of least developed countries attending the sessions of the Palermo Implementation Review Group; training of government experts; and three posts in 2013 — be funded through extrabudgetary contributions, there would be no guarantee that a sufficient level of voluntary contributions would be received to ensure that the requirements of the mechanism were met.
