



**Conference of the States Parties  
to the United Nations  
Convention against Corruption**

Distr.: General  
18 June 2013

Original: English

**Conference of the States Parties to  
the United Nations Convention  
against Corruption**

**Fifth session**

Panama City, 25-29 November 2013

Item 4 of the provisional agenda\*

**Prevention**

**Open-ended Intergovernmental  
Working Group on the Prevention  
of Corruption**

Vienna, 26-28 August 2013

Item 2 (b) of the provisional agenda\*\*

**Implementation of Conference resolution 4/3,  
entitled “Marrakech declaration on the  
prevention of corruption”, and of the  
recommendations made by the Working Group  
at its meeting in August 2012: other  
recommendations**

**Report on the status of implementation of resolution 4/3,  
entitled “Marrakech declaration on the prevention of  
corruption”**

**Background paper prepared by the Secretariat**

**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 Open-ended Intergovernmental Working Group on the Prevention of Corruption, 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. In the same resolution, 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;

\* CAC/COSP/2013/1.

\*\* CAC/COSP/WG.4/2013/1.



(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. At its fourth session, held in Marrakech, Morocco, from 24 to 28 October 2011, the Conference adopted resolution 4/3, entitled “Marrakech declaration on the prevention of corruption”.

4. In that resolution, the Conference decided that the Open-ended Intergovernmental Working Group should continue its work to advise and assist the Conference in the implementation of its mandate on the prevention of corruption. It also requested the Secretariat, subject to the availability of extrabudgetary resources, to continue to perform the functions of an international observatory gathering existing information on good practices in preventing corruption, thereby focusing in particular on systematizing and disseminating the information received from States parties.

5. At the third meeting of the Open-ended Intergovernmental Working Group on the Prevention of Corruption, held in Vienna from 27 to 29 August 2012, a background paper was prepared to inform the Working Group about the actions that had been taken in the previous period to implement resolution 4/3 (CAC/COSP/WG.4/2012/4).

6. The purpose of the present background paper is to inform the Conference of the States Parties about the actions that have been taken by the Working Group and others to implement resolution 4/3 since its adoption. The paper seeks to support the efforts of the Working Group to assist the Conference in mapping the way towards effective action in the prevention of corruption.

## **II. Update on the status of implementation of resolution 4/3 of the Conference of the States Parties to the United Nations Convention against Corruption**

### **A. Open-ended Intergovernmental Working Group on the Prevention of Corruption**

#### *Institutional Integrity Initiative*

7. The Conference noted the continued efforts of the Secretariat to promote integrity among members of the United Nations System Chief Executives Board for Coordination (CEB) through the Institutional Integrity Initiative, including in cooperation with the Ethics Office.

8. The United Nations Office on Drugs and Crime (UNODC) has continued to take forward the Institutional Integrity Initiative, which seeks to review the internal rules and regulations of the international organizations represented on CEB against the standards of the United Nations Convention against Corruption. UNODC is now

finalizing a draft report for circulation to participating bodies and will launch the final report at the fifth session of the Conference of the States Parties.

9. UNODC has partnered with the Organization for Economic Cooperation and Development (OECD) on a project aimed at canvassing a broader range of international organizations with regard to existing anti-corruption measures. The project will seek to identify potential common standards and good practices in the efforts of international organizations to combat corruption in their operations, and to ensure effective cooperation and information-sharing with national Governments in corruption investigations.

*Reporting on the implementation of chapter II of the Convention*

10. The Conference encouraged States parties to strive towards early reporting on the implementation of chapter II of the Convention against Corruption, using the self-assessment checklist, with emphasis on the evaluation of the effectiveness of existing prevention measures, the compilation of good practices and the identification of technical assistance needs. The Conference underlined, in view of the forthcoming review of chapter II during the second cycle of the Mechanism for the Review of Implementation of the Convention, the importance of building legislative and institutional frameworks consistent with the requirements of the chapter.

11. The topics for discussion at the fourth meeting of the Working Group on the Prevention of Corruption, to be held in Vienna from 26 to 28 August 2013, will be (a) integrity in the judiciary, judicial administration and prosecution services (art. 11 of the Convention) and (b) public education, in particular the engagement of children and young people and the role of mass media and the Internet (art. 13 of the Convention). States parties have been invited to share their experiences in implementing the provisions under discussion, which are to be compiled in documents CAC/COSP/WG.4/2013/2 and CAC/COSP/WG.4/2013/3.

12. To facilitate reporting on implementation, the Secretariat is working to streamline and simplify the self-assessment checklist for chapter II. Furthermore, the Secretariat has established a website for the Working Group in which all information provided to date by States parties ahead of each meeting, as well as relevant reports produced by the Secretariat and presentations, is organized according to theme.<sup>1</sup> That initiative, carried out in fulfilment of the Secretariat's role as an observatory of good practices, will facilitate the effective use of the information provided.

## **B. Public sector**

13. The Conference noted with appreciation the cooperation between UNODC and the Department of Economic and Social Affairs of the Secretariat on the prevention of corruption in the public sector, and requested the Secretariat to continue such cooperation, particularly with regard to the United Nations Public Service Awards, as well as through other initiatives, including activities that enhance public service delivery and prevent corruption.

---

<sup>1</sup> [www.unodc.org/unodc/en/corruption/WG-Prevention/working-group-on-prevention.html](http://www.unodc.org/unodc/en/corruption/WG-Prevention/working-group-on-prevention.html).

*United Nations Public Service Awards*

14. UNODC continued its collaboration with the Department of Economic and Social Affairs regarding the management of the category “Preventing and combating corruption in the public service” of the annual United Nations Public Service Awards. The awards recognize creative achievements and contributions of public service institutions that lead to a more effective and responsive public administration in countries worldwide. First-place winners for that category in 2012 were Mauritius, Mexico, the Republic of Korea and Turkey, and second-place winners were Georgia, Mexico (for a different initiative) and Singapore. First-place winners in 2013 were Morocco, India, Italy and Oman, and second-place winners were Georgia, the Republic of Korea and Slovenia. After three years of collaborating in this area with the Department of Economic and Social Affairs and after a thorough assessment of its involvement in the establishment and management of the category “Preventing and fighting corruption in the public service”, UNODC has decided to suspend its participation in the United Nations Public Service Awards programme for the next two years.

15. UNODC participated in the expert group meeting on the subject “Transfer and adaptation of innovative practices for improved public service delivery in least developed countries”, organized by the Department of Economic and Social Affairs and held in New York on 25 and 26 February 2013. The expert group meeting provided a platform for discussions of innovations best suited for transfer to least developed countries, the facilitating role of the United Nations in that process and the Department of Economic and Social Affairs project on strengthening capacities of the public sector in least developed countries to deliver quality services equitably through the transfer and adaptation of innovative practices.

16. UNODC also contributed to an expert group meeting and capacity-development workshop on the theme “Preventing corruption in public administration: citizen engagement for improved transparency and accountability”, held under the umbrella of the Public Service Awards ceremony and Forum in 2012. UNODC participated as an observer at the twelfth session of the Committee of Experts on Public Administration of the Economic and Social Council, which was held at United Nations Headquarters in New York from 15 to 19 April 2013. The Committee reviewed the role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda.

*Parliamentarians*

17. UNODC is cooperating with the Global Organization of Parliamentarians against Corruption to strengthen the role of parliamentarians in the fight against corruption. UNODC participated in the Fifth Global Conference of Parliamentarians against Corruption, held in Manila from 31 January to 2 February 2013.

*Designation of competent authorities*

18. The Conference called upon States parties that have not yet done so to inform the Secretary-General about the designation of competent authorities that may assist other States parties in developing and implementing specific measures for the prevention of corruption and to update existing information where needed.

19. As of 17 May 2013, the Secretary-General had received notifications of competent authorities for assistance in prevention measures, pursuant to article 6, paragraph 3, of the Convention, from 83 States parties: Albania, Argentina, Armenia, Austria, Azerbaijan, Bangladesh, Belgium, Bolivia (Plurinational State of), Brunei Darussalam, Bulgaria, Cameroon, Canada, Chile, China, Colombia, Cook Islands, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Cyprus, Denmark, Ecuador, Egypt, El Salvador, Estonia, Ethiopia, Finland, France, Guatemala, Haiti, Iceland, India, Iraq, Israel, Jordan, Kazakhstan, Kenya, Latvia, Liechtenstein, Lithuania, Luxembourg, Madagascar, Maldives, Malta, Mauritius, Mexico, Mongolia, Montenegro, Morocco, Namibia, Netherlands, Nicaragua, Norway, Pakistan, Panama, Peru, Philippines, Poland, Portugal, Qatar, Republic of Korea, Romania, Russian Federation, Serbia, Seychelles, Singapore, Slovakia, Slovenia, Spain, Saint Lucia, Sweden, Switzerland, Thailand, the former Yugoslav Republic of Macedonia, Turkey, Uganda, United Arab Emirates, United States of America, Uruguay, Uzbekistan, Venezuela (Bolivarian Republic of) and Viet Nam. Information about relevant authorities will be available through an online directory<sup>2</sup> to competent authorities and government agencies that have a user account.

*Asset declarations and conflicts of interest*

20. At its third meeting, held in Vienna from 27 to 29 August 2012, the Open-ended Intergovernmental Working Group on the Prevention of Corruption discussed conflict of interest, asset declaration and reporting acts of corruption. Drawing on the information provided, the Secretariat has delivered training and technical assistance to a number of countries, including Egypt, Turkmenistan and South Sudan, in the drafting of conflict-of-interest legislation and the delivery of presentations on global trends and good practices in relation to the introduction of asset declaration systems.

*Public procurement*

21. At its fourth session, the Conference of the States Parties called upon States parties to promote the business community's engagement in the prevention of corruption by, inter alia, developing initiatives to promote and implement, where appropriate, anti-corruption measures within public procurement, consistent with article 9 of the Convention, and by working with the business community to address practices that generate vulnerability to corruption in the private sector. Furthermore, it noted with appreciation the cooperation between the Secretariat and the United Nations Commission on International Trade Law (UNCITRAL) on public procurement, aimed at assisting States parties in the implementation of article 9 of the Convention.

22. An updated Model Law on Public Procurement was adopted by UNCITRAL in July 2011. The Model Law is accompanied by the Guide to Enactment of the UNCITRAL Model Law on Public Procurement, published in 2012, which contains a commentary on policy and implementation issues. UNODC and the UNCITRAL secretariat have since been looking to jointly support the implementation of the Model Law and article 9 of the Convention and to develop technical assistance programmes, in close cooperation with partners and interested States.

---

<sup>2</sup> [www.unodc.org/compauth\\_uncac/en/index.html](http://www.unodc.org/compauth_uncac/en/index.html).

23. Implemented by UNODC with the support of the Siemens Integrity Initiative, the Public-Private Partnership for Probity in Public Procurement project is aimed at reducing vulnerabilities to corruption in public procurement systems and bridging knowledge and communication gaps between public procurement administrations and the private sector. Technical working groups have been established in India and Mexico to review existing legislation, its implementation, and good practices and challenges. UNODC has conducted baseline surveys in which it solicited the views of both public and private sector actors to develop joint training initiatives, which will provide further opportunities for companies and government officials to discuss and address this common challenge. UNODC is currently drafting a good-practice guide on preventing corruption in public procurement, in line with article 9 of the Convention.

### **C. Criminal justice**

24. The Conference of the States Parties called upon States parties to use the Convention as a framework for the development of specific and tailored anti-corruption safeguards in sectors that may present a greater vulnerability to corruption and requested the Secretariat to assist States parties in doing so, upon request and subject to the availability of extrabudgetary resources.

25. UNODC has continued to develop knowledge tools to facilitate the delivery of tailored capacity-building assistance, including in relation to sectors and situations that may be vulnerable to corruption.

#### *Judicial and prosecutorial integrity*

26. In December 2011, UNODC finalized and published the *Resource Guide on Strengthening Judicial Integrity and Capacity*. The purpose of the *Guide* is to support and inform those who are tasked with reforming and strengthening the justice systems of their countries, as well as development partners, international organizations and other providers of technical assistance. The *Guide* is aimed at providing practical information on how to build and maintain an independent, impartial, transparent, effective, efficient and service-oriented justice system that enjoys the confidence of the public and lives up to international standards.

27. UNODC is developing an implementation guide for article 11 of the Convention (Measures relating to the judiciary and prosecution services), including a practical evaluative framework for use by States. That resource will serve as a valuable tool by identifying and summarizing international standards and resources relevant to judicial and prosecutorial integrity and outlining a framework for States to use in evaluating their implementation of article 11. A draft was discussed at regional workshops attended by senior members of the judiciary for the Middle East and North Africa and South-East Asia. A final version of the tool will be presented at the fifth session of the Conference of the States Parties.

#### *Anti-corruption agencies*

28. UNODC continued its close cooperation with the International Association of Anti-Corruption Authorities, participating in its annual meetings and its

fifth training seminar, on technical assistance and information exchange, held in Jinan, China, in June 2013.

29. In November 2012, at the invitation of the Corruption Eradication Commission of Indonesia, the United Nations Development Programme (UNDP) and UNODC, current and former heads of anti-corruption agencies, anti-corruption practitioners and experts from around the world gathered in Jakarta at the International Conference on Principles for Anti-Corruption Agencies to discuss a set of principles for anti-corruption agencies that promote and strengthen the independence and effectiveness of anti-corruption agencies. Participants discussed experiences, challenges faced by anti-corruption agencies and requirements to ensure their independence and effectiveness. The International Conference adopted the Jakarta Statement on Principles for Anti-Corruption Agencies, designed to guarantee the authority of such agencies and to safeguard their independence.

30. UNODC is researching anti-corruption agencies and national anti-corruption strategies, including good practices and challenges, to provide technical guidance on the review and implementation of articles 5 and 6 of the Convention. UNODC provided assistance in the drafting of terms of reference for a new anti-corruption agency in South Sudan and the strengthening of institutional and operational capacities in the main anti-corruption agencies in Nigeria.

31. UNODC participated in the Policy Dialogue on Corruption Prevention, jointly organized by the Southern African Forum against Corruption and UNDP, held in Maseru on 4 and 5 December 2012. The objective of the Policy Dialogue, which brought together 61 participants from 16 anti-corruption agencies from East Africa and Southern Africa, was to assess global trends and challenges and to share best practices in preventing corruption.

#### *Prevention of money-laundering*

32. UNODC has provided technical assistance to review draft anti-money-laundering legislation to countries in Asia and the Pacific to ensure that the legislation adequately reflects the requirements of the United Nations Convention against Corruption.

33. UNODC is actively participating in regional forums on money-laundering, such as the Caribbean Financial Action Task Force, to sensitize Governments regarding the prevention of money-laundering within the framework of the Convention and to advocate for accession to the Convention. UNODC has also provided briefings on technical assistance available to States parties, upon request.

#### *Police*

34. UNODC participated in and supported a regional training event on the fight against police corruption in the former Yugoslav Republic of Macedonia for countries from the western Balkan region. The training event was organized by Austria and France; the latter had developed a comprehensive tool to assess the vulnerabilities of police officers to corruption.

### *Prisons*

35. Under its counter-piracy programme, UNODC is supporting the prevention of corruption in prisons in Somalia. Two anti-corruption training sessions, one for senior prison officers and the other for general and newly hired officers, were delivered in November 2012 at the prison academy in Garowe, Puntland. On the basis of positive feedback and requests for further support, an anti-corruption component has been integrated into the counter-piracy programme for 2013. Anti-corruption aspects will be embedded in the training programme of the prison academy in order to strengthen human and institutional capacities to address corruption within the prison system. UNODC will support the establishment of measures to mitigate the risk of corruption and the development of oversight structures. Those measures will address the specific requirements of a fragile State and explore entry points for anti-corruption work in the broader justice sector.

36. UNODC supported the drafting and adoption of a code of conduct and ethics for Panamanian corrections officials. With the support of the Regional Anti-Corruption Academy for Central America and the Caribbean, that code is becoming a training module that will be a part of the initial training for corrections officials. UNODC is also assisting in the preparation of training on the prevention of corruption and ethics for corrections officials in Uruguay.

### *Security sector reform and the rule of law*

37. UNODC has provided active support to the North Atlantic Treaty Organization (NATO) Building Integrity Programme. The Programme was established in November 2007 to raise awareness, promote good practices and provide practical tools to help States enhance integrity and reduce risks of corruption in the security sector by strengthening transparency and accountability. In this regard, UNODC contributed to an education and training workshop for subject matter experts, held in Brussels in October 2012, to identify the key training requirements of NATO forces in relation to integrity and anti-corruption issues. UNODC furthermore participated in the NATO Building Integrity Conference held in Monterey, United States, in February 2013. UNODC experts have also served as instructors at training events of the NATO Building Integrity Programme in Turkey and Germany in 2011 and 2012, respectively.

38. In addition, UNODC has provided regular input and advice for the development of a series of United Nations guidance notes on security sector reform. Those notes will support strategic planning and programme implementation at both the headquarters and field levels by strengthening coordination and ensuring coherence in the approach to security sector reform. UNODC continues to be active in providing input and guidance for United Nations reports and activities relevant to anti-corruption efforts.

## **D. Private sector**

39. The Conference of the States Parties recalled the momentum gathered through the Bali Business Declaration, in which the private sector entities present at the second session of the Conference made a commitment to work towards the alignment of business principles with fundamental values enshrined in the

Convention, develop mechanisms to review company compliance and strengthen public-private partnerships for combating corruption. It also took note of the initiatives taken by the Secretariat to promote partnerships with the private sector against corruption, in close cooperation with relevant international organizations, and requested the Secretariat to continue to assist in promoting awareness of the principles of the Convention among the business community. The Conference further called upon States parties to promote the business community's engagement in the prevention of corruption by working with the business community to address practices that generate vulnerability to corruption in the private sector.

40. UNODC is striving to enable the private sector to adopt anti-corruption policies that are aligned with the United Nations Convention against Corruption and to put in place the checks and balances needed to strengthen transparency and accountability. In this regard, UNODC is actively engaged in the multi-stakeholder project, undertaken together with OECD and the World Bank, to develop a practical handbook for businesses that will bring together guidelines and related material on private sector anti-corruption compliance. In addition, UNODC is working on a practical guide for business on how to develop an anti-corruption ethics and compliance programme. The practical guide will be launched at the fifth session of the Conference of the States Parties, in November 2013.

#### *United Nations Global Compact*

41. UNODC maintains its partnership with the United Nations Global Compact with a view to promoting the implementation of the tenth principle of the Global Compact, which states that "Businesses should work against corruption in all its forms, including extortion and bribery". The ninth meeting of the United Nations Global Compact Working Group on the Tenth Principle, against corruption, was held in the margins of the fourth session of the Conference of the States Parties, in 2011. UNODC also participated in the 11th meeting of the Working Group, in New York in December 2012, and in the 12th meeting, in New Delhi in April 2013.

42. Complementing UNODC efforts towards the identification of good practices in the organization of major public events (see para. 77 below), UNODC is also a member of the United Nations Global Compact's sub-working group on the subject of sport sponsorship and sport-related hospitality. The sub-working group is developing a guide for companies of all sizes on how to approach those matters in a transparent and accountable manner, which will be published in 2013.

43. Together with the United Nations Global Compact Office, the Food and Agriculture Organization of the United Nations, the United Nations Children's Fund and the United Nations Industrial Development Organization (UNIDO), UNODC co-hosted the annual United Nations System Private Sector Focal Points Meeting, in Vienna on 28 and 29 March 2012. The discussion focused on the topic "Accelerating United Nations-business partnerships", recognizing the important role the private sector plays in the realization of United Nations goals. UNODC also participated in a meeting in Geneva in April 2013, focused on the topic "Strengthening partnership synergies for local impact".

44. Further, UNODC and the United Nations Global Compact continue to cooperate on the interactive e-learning tool for the private sector called "The fight against corruption". The tool is aimed at enhancing understanding of the

tenth principle and the Convention as they apply to the business community. Since February 2012, the tool has had 24,000 online users and a certificate programme was launched in early 2013. A French version of the tool was launched in early 2013, and more official United Nations languages and other languages, including German, Korean and Portuguese, will follow.

*Group of Twenty and the World Economic Forum*

45. UNODC participates as an observer in the Group of Twenty (G-20) Anti-Corruption Working Group. In 2012, UNODC was also invited to participate in the Business-20 (B-20) Task Force on Improving Transparency and Anti-Corruption. UNODC contributed to the development of the renewed G-20 anti-corruption action plan for the period 2013-2014, which pays increased attention to efforts to engage the private sector more actively.

46. UNODC has a strong relationship with the World Economic Forum, in particular its Partnering against Corruption Initiative (PACI). UNODC participated in the PACI Task Force meetings in Mexico (April 2012), in Geneva (October 2012), and in New Delhi (April 2013), providing presentations on UNODC work with the private sector. The Executive Director of UNODC participated in the annual meetings of the World Economic Forum in Davos, Switzerland, in January 2012 and 2013. In January 2012, he delivered a keynote address to chief executives, stressing the power of businesses to effect positive change.

47. Recommendations were presented to G-20 leaders at the B-20 and G-20 summits in Los Cabos, Mexico, in June 2012. Together with the Business and Industry Advisory Committee to the OECD (BIAC) and the World Economic Forum, UNODC took the lead in formulating the recommendations on engaging the private sector to participate in the Mechanism for the Review of Implementation of the Convention. UNODC worked together with the International Chamber of Commerce and OECD on recommendations to create training and education business programmes to encourage cross-fertilization within the private sector and between the public and the private sector, with a focus on capacity-building. In addition, UNODC co-led, with OECD, BIAC and the Great Eastern Energy Corporation Ltd., the work on transparency in government procurement.

*Other private sector initiatives*

48. The Integrity Initial Public Offering initiative was officially launched during the twenty-first session of the Commission on Crime Prevention and Criminal Justice, held in Vienna in April 2012. Integrity Initial Public Offering provides businesses with an opportunity to help developing countries to tackle corruption. Under the initiative, companies and investors can make financial contributions to support developing countries in their efforts to develop anti-corruption legislation and institutions and to promote integrity.

49. With the support of the Siemens Integrity Initiative, UNODC is developing an outreach and communication programme for the United Nations Convention against Corruption to promote the Convention and anti-corruption measures in the private sector by better informing the corporate community about the Convention's value and benefits for businesses. UNODC is also currently creating a website that acts as

a clearing house for information and resources on the Convention that are relevant to the business community.

50. With the support of the Siemens Integrity Initiative, UNODC is implementing the Incentives to Corporate Integrity and Cooperation in Accordance with the United Nations Convention against Corruption project. The project seeks to create systems of legal incentives for individuals and companies to come forward and report corruption. Technical working groups have reviewed government legislation in India and Mexico, and two global expert working group meetings were held to provide inputs into a good-practice guide that UNODC will finalize in 2013.

51. In partnership with UNIDO, UNODC completed a report entitled *Corruption Prevention to Foster Small and Medium-Sized Enterprise Development: Volume 2*. Based on a series of meetings of experts, business representatives and the staff of relevant institutions, the publication addresses the dynamics of corruption in smaller businesses and identifies the tools needed by small and medium-sized enterprises to successfully defend themselves in a corrupt business environment.

## **E. Civil society**

52. The Conference of the States Parties recognized that, while the implementation of the Convention is the responsibility of States parties, the promotion of a culture of integrity, transparency and accountability and the prevention of corruption are responsibilities to be shared by all stakeholders and sectors of society, in accordance with articles 7 to 13 of the Convention. It also recalled the important role of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of corruption and in capacity-building in support of the prevention of corruption.

53. The Conference urged States parties, in accordance with article 13 of the Convention, to continue promoting the participation of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of and the fight against corruption, and encouraged States parties to enhance their capacity in this regard.

54. Since 2009, UNODC and UNDP have marked International Anti-Corruption Day on 9 December with a joint campaign. In 2011 the campaign was launched under the theme “ACT — against corruption today” in an effort to encourage the involvement of all sectors of society in addressing the root causes of corruption. Several countries organized events and activities around International Anti-Corruption Day, engaging local media and informing communities. Informative materials, including posters and leaflets, were created in all official languages and are available for download at the campaign website ([www.actagainstcorruption.org](http://www.actagainstcorruption.org)).

55. In order to strengthen civil society’s capacity to contribute to the implementation of the Convention and its Review Mechanism, UNODC continued its series of training events, organized jointly with the UNCAC Coalition, a network of over 340 civil society organizations working on the promotion of the Convention against Corruption. Thus far, the sessions have enabled 104 civil society

representatives from 68 countries to be trained on the Convention and its Review Mechanism.

## **F. Academic initiatives**

56. The Conference of the States Parties called upon States parties, consistent with the fundamental principles of their education and legal systems, to promote, at various levels of the education system, programmes that instil concepts and principles of integrity. It further welcomed the initiative taken by the Secretariat, in collaboration with relevant partner institutions, to develop comprehensive anti-corruption materials for universities and other academic institutions, and requested the Secretariat to continue its efforts to make specific information about the Convention and its prevention commitments as widely available as possible.

57. The Conference also requested States parties to promote training and education at all levels of the public and private sectors in the prevention of corruption and, depending on their national legislation, to make such training and education an integral part of national anti-corruption strategies and plans. In addition, the Conference called upon States parties to devote special attention to the creation of opportunities to involve young people as key actors to successfully prevent corruption.

### *Anti-Corruption Academic Initiative*

58. UNODC has a leading role in the Anti-Corruption Academic Initiative, a collaborative academic project aimed at producing a comprehensive anti-corruption curriculum composed of individual academic modules, syllabi, case studies, educational tools and reference materials that may be integrated by universities and other academic institutions into their existing programmes. To date, over 35 universities have participated in the Initiative through the incorporation of anti-corruption learning into graduate and postgraduate courses.

59. An online menu of topics was launched in January 2013 to support professors and students interested in teaching and studying anti-corruption issues in institutions of higher education. The menu contains almost 600 anti-corruption educational materials, structured according to 20 topics.<sup>3</sup>

60. UNODC has also recently finalized a comprehensive course for university students aimed at developing an understanding of the measures needed to fight corruption at the national level. The course provides students with an introduction to the issue of corruption and explores measures that Governments can take to combat it, using the Convention as a framework. From January to April 2013, the American University Washington College of Law completed a pilot version of the course, and in the coming academic year, additional universities will be piloting the course.

### *Anti-corruption academies*

61. In November 2011, UNODC signed an official cooperation agreement with the International Anti-Corruption Academy. Through the Public-Private Partnership for

---

<sup>3</sup> See [www.track.unodc.org/Academia/Pages/Home.aspx](http://www.track.unodc.org/Academia/Pages/Home.aspx).

Probity in Public Procurement project, UNODC will cooperate with the Academy to develop a module on integrity in public procurement, which will be embedded in the courses taught at the Academy.

62. UNODC assisted the Government of Panama in the establishment and operation of the Regional Anti-Corruption Academy for Central America and the Caribbean, which was officially launched in November 2012. Three training modules were developed: (a) prevention of corruption in the public sector; (b) prevention of corruption in the private sector; and (c) investigation and prosecution of corruption offences. In addition, UNODC continues to provide ad hoc advice upon request to countries considering the establishment of anti-corruption academies.

## **G. Regional and national corruption prevention activities and technical assistance**

63. The Conference of the States Parties requested Member States, as appropriate, with the assistance of the Secretariat and in collaboration with relevant regional and international organizations, to promote bilateral, regional and international activities to prevent corruption, including workshops for the exchange of relevant experiences and good practices.

64. The Conference also acknowledged the crucial importance of technical assistance to building institutional and human capacity in States parties in order to facilitate the implementation of the provisions of the Convention through effective international cooperation. It further requested the Secretariat, in close cooperation with multilateral and bilateral assistance providers, to continue to provide technical assistance to States parties, upon request, with a view to advancing the implementation of chapter II, including in preparing for participation in the review process for chapter II.

65. UNODC participated in and supported a number of regional workshops related to the prevention of corruption to foster the exchange of relevant experience and good practices among countries. This included, for example, a regional conference in Jordan on the role of national justice authorities in the implementation of the Convention; an expert seminar in Turkey on the independence and integrity of the judiciary; an expert group meeting in Qatar on the development of training materials on the implementation of the Convention and business in the Arab region; a regional workshop on judicial integrity in South-East Asia; a high-level round-table dialogue on anti-corruption efforts and strategic collaboration and partnerships in the Asian and Arab region; a regional conference on financial disclosure by public officials on practices, challenges and lessons learned in Asia; a regional anti-corruption conference of the Asian Development Bank/OECD Anti-Corruption Initiative for Asia and the Pacific; and the Integrity in Action Community of Practice meeting. UNODC also continued to participate in the Group of States against Corruption of the Council of Europe, the Mechanism for Follow-up on the Implementation of the Inter-American Convention against Corruption, the OECD Working Group on Bribery in International Business Transactions and the OECD Development Assistance Committee Network on Governance.

66. UNODC has continued to provide technical assistance to support States parties in the implementation of the Convention, both through tailored legislative and capacity-building activities and through the development of tools that facilitate the delivery of assistance on the ground. The global programme “Towards an effective global regime against corruption” enables UNODC to provide professional guidance, advice and expertise upon the request of States parties to the Convention. Furthermore, comprehensive, on-the-ground capacity-building programmes have been carried out in a number of countries (see CAC/COSP/IRG/2012/3 and CAC/COSP/IRG/2013/3).

67. UNODC also provides technical assistance in the framework of its anti-corruption adviser programme. There are advisers with regional responsibilities in Thailand (for South-East Asia), Kenya (for East and Southern Africa), Senegal (for West and Central Africa) and Fiji (for the Pacific). Three more advisers will be recruited and will be placed in India (for South Asia), Panama (for Central America) and Egypt (for the Middle East and North Africa). One adviser, responsible for assisting small island States, is based in Vienna. Two more national advisers are being placed in South Sudan and Mozambique to provide technical assistance in those countries.

68. Gap analyses and needs assessments, conducted within the framework of the self-assessment checklist, are being or were conducted in Afghanistan, Bosnia and Herzegovina, Cambodia, Ethiopia, the Lao People’s Democratic Republic, Mali, Mongolia, Namibia and the United Republic of Tanzania at the request of the State party concerned. On the basis of the outcome of the self-assessment, national anti-corruption strategies have been revised. The Secretariat is assisting States in reviewing their implementation of all four chapters of the Convention, in particular the chapter on prevention, and will, where requested, provide advice on actions required or technical assistance needed to fill identified gaps.

69. UNODC has also continued its efforts to provide support to national authorities in their efforts to increase the efficiency and integrity of judicial and prosecutorial bodies. Two major technical assistance projects in Nigeria and Indonesia continued to provide support for the efforts of national Governments in this area.

70. UNODC provided technical assistance to Iraq in follow-up to the conclusions of the Convention against Corruption implementation review process through a two-day workshop in March 2013. UNODC recently signed a memorandum of understanding with the Government of Iraq to continue such support. Similar assistance in follow-up to the implementation review has been provided to Uganda, Mongolia, Zambia and Zimbabwe.

71. In February 2013, UNODC conducted a training workshop on anti-corruption strategies for Indian law enforcement officers. A training manual on police integrity in the Indian anti-corruption legal framework is being prepared. UNODC has also assisted in the development of updated national anti-corruption strategies in Egypt, Georgia and Libya and is working with other States on an ad hoc basis upon request to strengthen strategies and monitoring mechanisms.

*United Nations Development Programme and the United Nations Development Assistance Framework process*

72. The Conference requested the Secretariat, and called upon national, regional and international donors and recipient countries, to intensify their cooperation and coordination in the provision of technical assistance for preventing corruption and welcomed the cooperation between the Secretariat and UNDP to integrate Convention-based anti-corruption technical assistance in the broader development agenda, including the United Nations Development Assistance Framework (UNDAF).

73. UNODC and UNDP, with the support of the United Nations System Staff College, are jointly implementing an initiative aimed at supporting and guiding the integration of anti-corruption activities into United Nations programming processes, particularly UNDAF. In this regard, an anti-corruption training course is being developed as part of the general training on the UNDAF process. An anti-corruption training-of-trainers workshop was held in Turin, Italy, from 15 to 18 April 2013 and involved 26 participants from UNDP, the World Health Organization, the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries and UNODC. The final training material will be made available online in 2013.

74. UNODC and UNDP have started advising and training staff from the Government of Kenya and other United Nations agencies on how to mainstream anti-corruption efforts into the Kenya United Nations Development Assistance Framework currently under development for the period of 2013-2017.

## **H. Other prevention work**

75. In its resolution 4/3, the Conference of the States Parties requested that the Secretariat perform the functions of an international anti-corruption observatory and that States parties use the Convention as a framework for the development of specific and tailored anti-corruption safeguards in sectors that could present a greater vulnerability to corruption. The Conference also took note of efforts of the Secretariat to gather information on good practices in promoting responsible, professional reporting by journalists on corruption and requested the Secretariat to further collect and disseminate such information.

*Tools and Resources for Anti-Corruption Knowledge*

76. UNODC launched an anti-corruption portal called Tools and Resources for Anti-Corruption Knowledge (TRACK) ([www.track.unodc.org](http://www.track.unodc.org)) in September 2011. TRACK provides a platform for a searchable, indexed electronic repository of legislation, jurisprudence, anti-corruption strategies and institutional data from 178 States.

*Major public events*

77. The UNODC initiative on a strategy for safeguarding against corruption in major public events has identified good practices for preventing corruption in the context of major events. A meeting held in Vienna from 4 to 6 June 2012 brought

together more than 40 high-level international experts. A handbook on good practices accompanied by a comprehensive checklist for the organization of major public events will be officially launched at the fifth session of the Conference of the States Parties.

*Good practices in promoting responsible, professional reporting on corruption*

78. UNODC has developed a technical tool on good practices in promoting ethical and professional reporting on corruption by journalists, covering freedom of expression, access to information and restrictions. It also provides information on how to foster investigative journalism and measures to reduce vulnerability to corruption. The tool will be officially launched at the fifth session of the Conference of the States Parties.

*Corruption and the environment*

79. In the margins of the fourth session of the Conference of the States Parties, UNODC organized a special event to assess corruption in selected sectors, namely, trafficking in wildlife, hazardous waste management, petrol exploitation and forestry management.<sup>4</sup>

80. In 2012 UNODC completed two initiatives to promote the participation and the coordination of the social and institutional actors for the reinforcement of water and sanitation services, as well as promoting awareness campaigns for better use of water as a natural resource and disaster prevention in Mexico and Nicaragua. In Indonesia, UNODC continued to strengthen the capacity of law enforcement and forest personnel to better investigate, prosecute and adjudicate illegal logging cases.

81. UNODC continued to engage intensively in the International Consortium on Combating Wildlife Crime, established in 2010. The consortium produced the *Wildlife and Forest Crime Analytic Toolkit* in 2012.<sup>5</sup> UNODC also participated in the symposium “Combating wildlife crime: securing enforcement, ensuring justice and upholding the rule of law”, held in Thailand in March 2013.

82. Finally, a thematic discussion on the challenge posed by emerging forms of crime that have a significant impact on the environment and ways to deal with it effectively was organized during the twenty-second session of the Commission on Crime Prevention and Criminal Justice, in Vienna from 22 to 26 April 2013.<sup>6</sup>

*Gender*

83. UNODC developed a guidance note for its staff entitled “Gender mainstreaming in the work of UNODC” to assist staff in effectively integrating a gender perspective into all aspects of their work. A section of the guidance note focuses specifically on gender and countering corruption.

84. UNODC, in collaboration with the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), held two workshops in Albania in

---

<sup>4</sup> See [www.unodc.org/eastasiaandpacific/en/indonesia/2012/04/uncac/story.html](http://www.unodc.org/eastasiaandpacific/en/indonesia/2012/04/uncac/story.html).

<sup>5</sup> Available from [www.cites.org/eng/resources/pub/Wildlife\\_Crime\\_Analytic\\_Toolkit.pdf](http://www.cites.org/eng/resources/pub/Wildlife_Crime_Analytic_Toolkit.pdf).

<sup>6</sup> [www.unodc.org/unodc/en/commissions/CCPCJ/session/22.html](http://www.unodc.org/unodc/en/commissions/CCPCJ/session/22.html),  
[www.unodc.org/unodc/en/commissions/CCPCJ/session/22-thematic-discussions.html](http://www.unodc.org/unodc/en/commissions/CCPCJ/session/22-thematic-discussions.html).

November 2012 with the participation of government officials, parliamentarians, women's groups and representatives of other civil society organizations. The workshops provided an opportunity for participants to discuss the impact of corruption on women and explore ways in which government and civil society can work together to ensure that the concerns of women are addressed in future anti-corruption policies and measures. A follow-up activity is planned for 2013 to focus on whistle-blower protection.

85. In March 2013, a South-East Asia Regional Conference entitled Women Fight Corruption was held in Jakarta, bringing together representatives of civil society organizations and governments to increase awareness and strengthen commitment to women's groups fighting corruption.

#### *Research*

86. In the field of research on corruption and integrity, UNODC is engaged in developing statistical methodologies to assess modalities of corruption and vulnerabilities to it. The focus is on producing evidence-based assessments that can portray the main features of corruption on the basis of experience — and not perception — of corruption. In recent years direct assistance has been given to a number of countries in conducting such studies, including Afghanistan, Iraq and countries in the western Balkans.

#### *Anti-corruption newsletter*

87. In February 2012, UNODC launched the first issue of the *Anti-Corruption Update* newsletter to report on developments in the anti-corruption initiatives and activities of UNODC, both in Vienna and throughout the world. The newsletter is published on a quarterly basis, is mailed electronically to a broad range of stakeholders and is available on the UNODC website ([www.unodc.org/unodc/en/corruption/index.html](http://www.unodc.org/unodc/en/corruption/index.html)).

### **III. Conclusions and recommendations**

88. The Working Group may wish to consider the progress that has been made in the implementation of the provisions of chapter II of the Convention and suggest further ways of enhancing the implementation of the Convention's prevention provisions.

89. The Working Group may wish to encourage States parties to continue their efforts towards early reporting on the implementation of chapter II, using the self-assessment checklist.

90. The Working Group may wish to provide guidance on the development of specific and tailored anti-corruption safeguards in those sectors that may face greater vulnerability to corruption.

91. The Working Group may also wish to provide guidance in relation to the prevention of corruption in the criminal justice system, including through strengthening the integrity of the judiciary and prosecution services.

92. Noting the important role of individuals and groups outside the public sector, such as civil society, non-governmental organizations and community-based organizations, in the prevention of corruption and in capacity-building in support of the prevention of corruption, the Working Group may wish to reiterate its recommendation for the States parties to continue promoting the participation of such individuals and groups in the prevention of corruption and to enhance their capacity in that regard.
93. The Working Group may wish to recommend that States parties step up their efforts to involve the private sector in efforts to prevent corruption and devote greater attention to the strengthening of public-private partnerships.
94. The Working Group may wish to reiterate the importance of education and training at all levels of the public and private sectors in the prevention of corruption and encourage States parties to make such education and training an integral part of national anti-corruption strategies and plans.
95. Regarding technical assistance, training and capacity-building, the Working Group may wish to provide guidance on the prioritization of technical assistance needs to strengthen the prevention of corruption and to undertake awareness-raising efforts.
-