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

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**Open-ended Intergovernmental Working Group
on the Prevention of Corruption**
Vienna, 27-29 August 2012
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 2011: 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**

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* CAC/COSP/WG.4/2012/1.
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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;

(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 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 shall continue its work to advise and assist the Conference in the implementation of its mandate on the prevention of corruption.

5.   The purpose of the present background paper is to inform the Working Group about the actions that have been taken to implement resolution 4/3. 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.

6.   The background paper is structured according to the functions of the Working Group. While some of the mandates emanating from resolution 4/3 and the corresponding work undertaken by the Secretariat may fall under multiple functions, each of them is discussed under the most relevant area.

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. Development and accumulation of knowledge in the area of prevention of corruption

Development of knowledge tools

7.   In its resolution 4/3, the Conference 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 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.

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

9.   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 who provide support to this process. Work on this guide began following ECOSOC Resolution 23/2006, which endorsed the Bangalore Principles on Judicial Conduct and requested the United Nations Office on Drugs and Crime to develop a technical guide on approaches to the provision of technical assistance aimed at strengthening judicial integrity and capacity. The guide draws together ideas, recommendations and strategies developed by contemporary experts on judicial and legal reform, and includes reference to successful measures taken in a range of countries to address particular challenges in strengthening the justice system. Ultimately, the guide aims to provide 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 the expectations contained in relevant international legal instruments, standards and norms.

10.   UNODC is implementing an initiative entitled "The United Nations Convention against Corruption as a Framework to Mainstream Anti-corruption Safeguards for the Organization of Major Public Events". The initiative aims at identifying good practices, based on the Convention, for preventing corruption in connection with major public events. An international expert group meeting was held in Vienna from 4 to 6 June 2012, bringing together more than 40 high-level experts representing Governments, international organizations, the private sector and civil society. Based on an initial desk review on existing measures, practices, experiences and concrete cases as well as the recommendations of the expert group, a compilation of good practices is being prepared.

11.   Another tool under development aims to assist States parties in establishing measures to allow journalists to engage in responsible and professional reporting on corruption (see paragraphs 33 and 34).

12. In the margins of the fourth session of the Conference of States Parties, UNODC organized a special event entitled "Impact of corruption on the environment and the United Nations Convention against Corruption as a tool to address it". The special event was conducted in line with resolution 16/1 of the Commission on Crime Prevention and Criminal Justice, which, inter alia, encouraged Member States to "prevent, combat and eradicate the illicit international trafficking in forest products including timber, wildlife and other forest biological resources through the use of international legal instruments such as the United Nations Convention against Transnational Organized Crime, and the United Nations Convention against Corruption". The special event assessed the state and risks of corruption in a few selected sectors, namely, wildlife species trafficking, hazardous waste management, petrol exploitation and forestry management. It also offered to both panellists and participants a platform to explore ways for using the UNCAC to address these problems. Contributions to the special event were recently compiled in a publication available on the UNODC website.[1] It is intended that this publication will be followed by further research, leading to concrete actions to be taken at the international, regional, national and local levels.

13. UNODC has provided continuous support to countries in their efforts to assess the nature and extent of corruption: in the Western Balkans a comprehensive survey programme was implemented with the support of the European Commission and reports were published jointly with national authorities during 2011. The Office provided support for surveys on the integrity of civil servants in Afghanistan and Iraq and these reports will be published during 2012. Results from corruption surveys identify areas and sectors with higher vulnerability to corruption, with the view of supporting countries' efforts to develop effective anti-corruption policies and measures.

Institutional Integrity Initiative

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

15. 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 the United Nations System Chief Executive Board of Coordination against the standards of the UNCAC. In furtherance of this aim, UNODC has continued to receive and collate responses to a self-assessment checklist distributed to those organizations to assist them in the preparation of a brief outline of the integrity rules by which they are governed. In November 2011, the G20 called upon the United Nations to continue and broaden its work in relation to this initiative.

16. Following a request by the Secretariat, the issue of the Institutional Integrity Initiative was included on the agenda of the Chief Executive Board meeting in April 2012. A background paper in relation to the Initiative was produced by the Secretariat ahead of the meeting and the issue was raised for discussion by the Executive Director of UNODC. Members of the Board took note of the Initiative

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[1] www.unodc.org/eastasiaandpacific/en/indonesia/2012/04/uncac/story.html.

and committed to fully participate in it. Following the meeting, a number of new responses to the self-assessment checklist circulated by the Secretariat have been received and a renewed effort to take forward the Initiative has been launched by the Secretariat.

B. Exchange of information and experience among States on preventive measures and practices

Reporting on the implementation of chapter II

17.   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. Furthermore, it underlined, in view of the forthcoming review of chapter II of the Convention 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.

18.   The Conference 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 and, at the request of the Working Group or the Conference and based on that information, to provide information on lessons learned and the adaptability of good practices, as well as related technical assistance activities, which could be offered to States parties upon request.

19.   At its second intersessional meeting held in Vienna from 22 to 24 August 2011, the Working Group recommended that it should follow a multi-year workplan for the period up to 2015 and continue to focus on a manageable number of specific substantive topics relevant to the implementation of the articles in chapter II of the Convention.[2] The Secretariat prepared a note entitled "Proposal for a possible multi-year workplan for the Open-Ended Intergovernmental Working Group on Prevention for the period up to 2015"[3] which was circulated for comments through note verbale CU 2011/177 of 30 September 2011.

20.   The Conference, in its resolution 4/3, decided that the future meetings of the Working Group will follow a multi-year workplan, for the period up to 2015, when the second cycle of the Review of Implementation of the United Nations Convention against Corruption begins.

21.   In light of the comments received from States parties and signatories to note verbale CU 2011/77, the Secretariat circulated a proposed change to the multi-year workplan through note verbale 2011/213 of 3 January 2012. Having received contrasting responses, the Secretariat informed States parties and signatories that the proposed change would not take effect and confirmed that the topics for discussion

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[2] CAC/COSP/WG.4/2011/4, paragraph 11.
[3] CAC/COSP/2011/CRP.4.

at the third meeting of the Working Group would remain: (a) "Implementation of article 12 of the Convention, including the use of public-private partnerships" and (b) "Conflicts of interest, reporting acts of corruption and asset declarations, particularly in the context of articles 7-9 of the Convention". As of 7 June 2012, a total of 27 Member States had submitted information on these topics. The responses are reflected in two notes prepared by the Secretariat.[4]

22.   The Conference noted with appreciation that many States parties had shared information on the topics considered by the second meeting of the Working Group, namely: "awareness-raising policies and practices with special reference to articles 5, 7, 12 and 13 of the Convention"; and "the public sector and prevention of corruption: codes of conduct (article 8 of the Convention) and public reporting (article 10 of the Convention)".[5] It urged States parties to continue to share new as well as updated information on such initiatives and good practices.

23.   Pursuant to that request, the Secretariat sent to Member States note verbale CU 2011/211 (A) of 9 December 2011, inviting States to continue to share updates and new information on initiatives and good practices related to the topics discussed by the Working Group at its second meeting. As of 14 June 2012, a total of 10 Member States had submitted such information: Argentina, Austria, Ecuador, Poland, Mexico, Rwanda, Syria, Thailand, the United States of America and Venezuela. The submissions of these States are, with their permission, available on the UNODC webpage.[6]

24.   As a tool to foster information-sharing and provide an accessible anti-corruption resource, UNODC has developed an anti-corruption portal "Tools and Resources for Anti-Corruption Knowledge" or TRACK, that was launched in September 2011.[7] TRACK is a web-based platform containing the UNCAC Legal Library, an electronic repository of legislation, jurisprudence, anti-corruption strategies and institutional data from 178 States. Administered by UNODC and supported by the Stolen Asset Recovery (StAR) Initiative and its partner organizations, the Legal Library collects legal information that is indexed and searchable according to the provisions of the Convention against Corruption, and thus provides a detailed analytical breakdown of how States have implemented the Convention. The TRACK portal also serves as a search engine that enables States, academics, the anti-corruption community, the general public and the private sector to access the anti-corruption knowledge generated by UNODC and its partner organizations, including case studies, best practices and policy analyses, in one central location. Recognizing the challenges inherent in cross-border communication among practitioners, TRACK also provides a community of practice for registered members of anti-corruption authorities, central authorities for mutual legal assistance and asset recovery focal points.

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[4] CAC/COSP/WG.4/2012/3 and CAC/COSP/WG.4/2012/2.

[5] The information submitted by States was reported in background papers CAC/COSP/WG.4/2011/2, CAC/COSP/WG.4/2011/2/Corr.1 and CAC/COSP/WG.4/2011/3. The submissions of States parties were also, with their permission, posted online at www.unodc.org/unodc/en/treaties/CAC/working-group4-meeting2.html.

[6] www.unodc.org/unodc/en/treaties/CAC/working-group4.html.

[7] www.track.unodc.org.

Designation of competent authorities

25.   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.

26.   As of 14 May 2012, the Secretary-General has received notifications of competent authorities for assistance in prevention measures pursuant to article 6, paragraph 3, of the Convention from 84 States parties: Albania, Argentina, Armenia, Austria, Azerbaijan, Bangladesh, Belgium, Bolivia, Brunei Darussalam, Bulgaria, Cameroon, Canada, Chile, China, Colombia, Costa Rica, Croatia, Cuba, Cyprus, Denmark, Ecuador, Egypt, El Salvador, Estonia, Ethiopia, Finland, France, Greece, Guatemala, Haiti, Iceland, India, Iraq, Israel, Jordan, Kazakhstan, Kenya, Kuwait, Latvia, Liechtenstein, Lithuania, Luxembourg, Madagascar, Malaysia, 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, St. Lucia, Sweden, Switzerland, the former Yugoslav Republic of Macedonia, Thailand, Turkey, Uganda, United Arab Emirates, United States of America, Uruguay, Uzbekistan, Venezuela (Bolivarian Republic of) and Viet Nam. Information of relevant authorities will be available through an online directory[8] to competent authorities and government agencies subject to a user account.

Regional and international corruption prevention activities

27.   The Conference 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.

28.   Pursuant to that request, UNODC participated in and supported a number of regional workshops related to the prevention of corruption that were organized by regional and international organizations to foster exchange of relevant experiences and good practices among countries. This included, for example, a regional conference on the role of national justice authorities in the implementation of UNCAC in Jordan; an expert seminar co-sponsored by OECD on the independence and integrity of the judiciary in Turkey; an expert group meeting on the development of training materials on the implementation of UNCAC and Business in the Arab Region in Qatar; a regional workshop on judicial integrity in South-East Asia, organized jointly with Indonesia's Supreme Court and the Judicial Commission of Indonesia, UNDP and the German Federal Ministry for Economic Cooperation and Development in Indonesia; a high-level round-table dialogue on anti-corruption and strategic collaborations and partnerships in the Asia and Arab Region, organized by the Malaysian Anti-Corruption Commission, Malaysian Anti-Corruption Academy and UNDP in Malaysia; a regional conference on financial disclosure by public officials on practices, challenges, and lesson learned in Asia, organized by the World Bank; a regional anti-corruption conference of the

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[8] www.unodc.org/compauth_uncac/en/index.html.

Asian Development Bank/OECD Anti-Corruption Initiative for Asia and the Pacific; and the Integrity in Action Community of Practice Meeting, organized by the UNDP Asia-Pacific Regional Centre. 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, the OECD Development Assistance Committee Network on Governance and the Anti-Corruption Working Group of the Group of Twenty (G20).

C. Collection, dissemination and promotion of good practices in the prevention of corruption

29. As mentioned above, the Conference 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 (see paragraph 18).

United Nations Public Service Awards

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

31. UNODC continued its collaboration with UNDESA regarding the management of the category "Preventing and combating corruption in the public service" of the annual United Nations Public Service Awards.[9] The United Nations Public Service Awards is the most prestigious international recognition of excellence in public service. It rewards the creative achievements and contributions of public service institutions that lead to a more effective and responsive public administration in countries worldwide. Through an annual competition, the United Nations Public Service Awards promotes the role, professionalism and visibility of public service. First place winners in 2012 were: Mauritius, Mexico, Republic of Korea, and Turkey, and second-place winners for that category were: Georgia, Mexico (for a different initiative), and Singapore. The awards were presented in a ceremony during the United Nations Public Service Forum, held in New York from 25 to 27 June 2012. It is hoped that supporting positive experiences and practices will motivate countries to continue their efforts towards excellence in the public service and will also be a source of inspiration for other countries.

32. UNODC also contributed to an Expert Group Meeting and Capacity-Development Workshop on "Preventing Corruption in Public Administration: Citizen Engagement for Improved Transparency and Accountability", held under the overall umbrella of the Public Service Awards and Forum 2012. The underlying objective of the meeting was to enable the experts to arrive at a consensus on some recommendations concerning anti-corruption

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[9] Established by Economic and Social Council Resolution 2000/231.

strategies and citizen engagement in this process, based on the lessons learned in preventing corruption in the public sector. The materials gathered and the discussions during the meeting will be analysed and formulated into practical tools to strengthen public administration and engage citizen for public accountability and to prevent and fight corruption.

33. Furthermore, UNODC participated in UNDESA's workshop on "Engaging Citizens to Counter Corruption for Better Public Service Delivery and Achievement of the MDGs" held in the context of the Fourth Session of the Conference of the States Parties to the United Nations Convention against Corruption, 26-27 October 2011. The Workshop provided a substantive contribution to the discussions among States Parties aiming at enhancing the implementation of UNCAC, in particular its chapter II, through the sharing among experts of experiences and lessons learned.

Good practices in promoting responsible, professional reporting on corruption

34. The Conference took note of the efforts of the Secretariat, as requested in Conference resolution 3/2, to gather information on good practices in promoting responsible, professional reporting by journalists on corruption, and requests the Secretariat to further collect and disseminate such information.

35. UNODC is implementing a project aimed at developing practical materials to assist States parties in establishing measures to allow journalists to engage in responsible and professional reporting on corruption, including through sharing of good practices, current experiences and relevant case examples. An initial desk review on existing measures, practices, experiences and concrete cases is currently being conducted. The results of this review will be discussed and elaborated further at an international expert group meeting to be held in Vienna in October 2012.

D. Cooperation among stakeholders and sectors of society to prevent corruption

36. The Conference 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 recognized 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.

37. The Conference further urged States parties, in accordance with article 13 of the Convention, to continue promoting the participation of individuals and groups outside of 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.

Civil society

38. Since 2009, UNODC and UNDP have marked the 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 involvement of all sections of society in addressing the root causes of corruption. The theme embodies the spirit of the Convention, which recognizes that preventing and countering corruption requires a multi-sectoral approach involving all stakeholders. Several countries (Brazil, Colombia, Indonesia, Iran, Libya, Nigeria and Viet Nam), some of them supported by UNODC and UNDP through their network of field and country offices and their local partners, organized events and activities around the International Day, actively engaging local media and informing communities. Communications materials, including posters and leaflets, were created in all official languages and made available for free download at the campaign website.[10]

39.   Under the terms of reference of the Implementation Review Mechanism, States parties under review are encouraged to prepare their responses to the self-assessment checklist through broad consultation at the national level with all relevant stakeholders, including the private sector, individuals and groups outside of the public sector. States parties are also encouraged to facilitate engagement with all relevant national stakeholders in the course of a country visit.

40.   In order to strengthen civil society capacity to contribute to the implementation of the Convention and its review mechanism, UNODC continued its series of trainings, organized jointly with the UNCAC Coalition, a network of over 340 civil society organizations (CSO) working on the promotion of the Convention against Corruption. On 20-23 March 2012, 45 representatives from over 30 countries across Africa and Asia attended a workshop designed to increase the knowledge on working constructively with their Governments to implement the Convention. CSO representatives were able to improve their substantive knowledge on the Convention and of the methodology for country reviews through interactive sessions. Participants were also encouraged to reproduce the training at national levels with local CSO and the private sector. As an incentive, UNODC has announced a new small grants scheme for civil society organizations in a bid to enable them to share knowledge or promote innovative ideas with small and medium-sized enterprises on the prevention of corruption.

The private sector

41.   The Conference recalled the momentum gathered through the Bali Business Declaration, which contains the commitment of the private sector entities present at the second session of the Conference, inter alia, 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 further 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.

42.   UNODC is striving to enable the private sector to adopt anti-corruption policies that are aligned with UNCAC and to put in place the checks and balances needed to strengthen transparency and accountability. In this regard, UNODC is

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[10] www.actagainstcorruption.org.

actively engaged in the multi-stakeholder project, undertaken together with OECD and the World Bank, aiming at the development of a practical handbook for businesses, that will bring together guidelines and related material on private sector anti-corruption compliance.

43. UNODC maintains a close 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", and participates in the meetings of the Global Compact Working Group on the Tenth Principle. The ninth meeting of the Global Compact Working Group on Anti-Corruption was held in the margins of the fourth session of the Conference of the States Parties to UNCAC, from 23 to 25 October 2011. The meeting discussed incentives for improving policy and corporate anti-corruption performance and preventive measures; reviewed progress made on anti-corruption collective action projects; and reflected how to integrate business perspectives into the Rio+20 agenda.

44. Complementing UNODC's efforts towards the identification of good practices in the organization of major public events (see paragraph 10), UNODC is also a member of the United Nations Global Compact 10th Principle Sub-Working Group "Sport Sponsoring and Hospitalities". This Sub-Working Group aims at developing a practical guidance for businesses on fighting corruption in sport sponsoring and hospitality through the provision of processes for businesses to address corruption in the field, complemented with practical scenarios and identifying respective risk areas.

45. UNODC, together with Transparency International, the World Economic Forum, the International Chamber of Commerce and the Global Compact, organized a High-Level Forum on UNCAC and Global Competition in the margins of the fourth session of the Conference. This event offered an opportunity for dialogue between Governments and private sector representatives on how to use the Convention to promote a level playing field for global competition and to strengthen private sector participation in its implementation.

46. UNODC co-hosted together with the United Nations Global Compact Office, the Food and Agriculture Organization (FAO), the United Nations Children's Fund (UNICEF), and the United Nations Industrial Development Organization (UNIDO), the Annual United Nations System Private Sector Focal Points Meeting, from 28 to 29 March 2012 in Vienna, Austria. The discussion focused on the notion of "Accelerating UN-Business Partnerships", recognizing the important role the private sector plays in the realization of United Nations goals.

47. Further, UNODC and the Global Compact continue to cooperate regarding the e-learning tool for the private sector on the Tenth Principle and UNCAC. The tool aims at enhancing understanding of the 10 Principle of the Global Compact and its underlying instrument, the convention, as it applies to actors operating in the business community. Since September 2011, over 290,000 people have visited the website. The e-learning tool is publicly accessible[11] and free of charge.

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[11] http://thefightagainstcorruption.unodc.org and
http://thefightagainstcorruption.unglobalcompact.org.

48.   UNODC participates as an observer to the G20 Anti-Corruption Working Group since its establishment. In 2012, UNODC has also been invited to participate in the Task Force on Improving Transparency and Anti-Corruption of the Business 20 (B20), an offshoot of the G20 and a forum for the world's largest companies to share views and define a joint strategy to move G20 nations forward on global issues. UNODC has been actively involved in the discussions on the scope and objectives of what business can pledge to deliver to the G20 and in developing respective private sector-led policy recommendations. These recommendations were presented to G20 leaders at the B20 and G20 Summits in Los Cabos, Mexico, on 17 and 18 June 2012. Together with the Business and Industry Advisory Committee (BIAC), OECD and the World Economic Forum (WEF), UNODC took the lead in formulating the recommendations on engaging the private sector to participate in the Implementation Review Mechanism under the Convention against Corruption. UNODC worked together with the International Chamber of Commerce (ICC) and OECD on the recommendations to create business programmes, including training and education, to encourage cross-fertilization within private sector and between public and private, with a specific 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. In Los Cabos, the G20 Governments reiterated their commitment to the ratification and full implementation of the Convention against Corruption. They further welcomed continuing engagement from the B20 in the fight against corruption and, in accordance with the Terms of Reference of the review mechanism, will involve the private sector and civil society in the review process on a voluntary basis.

49.   UNODC has a vibrant and productive relationship with WEF, in particular its Partnering Against Corruption Initiative (PACI). During the annual meeting of WEF in Davos, Switzerland, in January 2012, the Executive Director of UNODC delivered a keynote address to chief executives stressing the power of businesses to effect positive change.

50.   A new initiative, the Integrity Initial Public Offering (IPO), was officially launched during the 21st session of the Commission on Crime Prevention and Criminal Justice, which took place in Vienna from 23 to 27 April 2012. The IPO offers businesses the chance to help developing countries tackle corruption and strengthen their ability to fight it. Under the IPO, companies and investors can contribute financially to supporting developing countries in their efforts to develop anti-corruption legislation and institutions and to promote integrity, giving the private sector with the possibility to show their commitment to tackling corruption and become integrity leaders.

51.   With support of the Siemens Integrity Initiative, UNODC is developing "Outreach and Communication Programme for UNCAC". This initiative seeks to support the integrity efforts of private actors by educating present and future generations of business and public leaders as well as informing the corporate community of the Convention. Under this umbrella, a structured outreach and communication programme will be created and disseminated that will seek to enhance the private sector's knowledge of how the Convention is relevant and applicable to their work, and to encourage that their integrity programmes be brought in line with the principles of the Convention.

52.   With support of the Siemens Integrity Initiative, UNODC is also implementing the "Incentives for Corporate Integrity and Cooperation" project. The project aims at creating systems of legal incentives for individuals and companies to come forward and report instances of corruption. Technical working groups have been established in India and Mexico, at national- and state-levels, which will review government legislation, policy and practice in relation to articles 26, 32, 37 and 39 of the Convention. Public and private sector officials in India and Mexico will share their views on such topics as incentives, sanctions, and whistle-blower programmes through a baseline study which will form the basis for joint public-private training programmes. In addition, global expert working group meetings will be held to formulate good practices. The third project supported by the Siemens Integrity Initiative, "The Public-Private Partnerships for Probity in Public Procurement", will be further elaborated below (see paragraph 56).

53.   In partnership with UNIDO, UNODC has completed a report entitled, "Corruption prevention to foster small and medium sized enterprise (SME) development, Volume 2". Based on a series of meeting of experts, business representatives and the staff of relevant institutions, this publication tries to begin filling the knowledge gap that still exists with regard to the dynamics of corruption in smaller businesses and to identify the tools needed by SMEs to successfully defend themselves in a corrupt business environment.

Public procurement

54.   The Conference 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.

55.   An updated Model Law on Public Procurement was adopted by UNCITRAL in July 2011. The Model Law will be accompanied by a guide, to be published in 2012, which will contain a commentary on policy and implementation issues. Since the adoption of the Model Law, UNODC and the UNCITRAL secretariat have been looking for ways to jointly support the implementation of the Model Law and article 9 of the Convention and for opportunities to develop technical assistance programmes, in close cooperation with partners and interested Member States.

56.   The third project implemented by UNODC with the support of the Siemens Integrity Initiative is "The Public-Private Partnership for Probity in Public Procurement" project, 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 at both the national- and State-levels to review existing legislation, its implementation, and good practices and challenges. UNODC will conduct a baseline survey which will solicit the views of both public and private sector actors and use the data to develop joint training

initiatives, which will provide further opportunities for companies and government officials to discuss and address this common problem. UNODC is also working closely with UNCITRAL to examine the findings of the legislative reviews, based on the Model Law and article 9 of the Convention. Findings, good practices and recommendations will be further discussed at global expert groups meetings organized in cooperation with the International Anti-Corruption Academy.

Educational initiatives

57.   The Conference called upon States parties, consistent with the fundamental principles of their education and legal systems, to promote, at various levels of the education system, educational 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 academic 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.

58.   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.

59.   UNODC has a leading role in the Anti-Corruption Academic Initiative (ACAD), a collaborative academic project which aims to produce a comprehensive anti-corruption academic curriculum composed of a menu 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 academic programmes. A second meeting of the ACAD expert group was held in Marrakech in October 2011 and a draft outline of the proposed curriculum to be produced under the Initiative was agreed upon.

60.   Following this meeting, UNODC led a consultation process under which the views of academic experts presently not involved in the Initiative were sought on the draft curriculum produced. These consultations also acted as an opportunity to broaden the base of experts involved in the project. Responses received in relation to the consultation were positive, with a number of those consulted expressing a strong interest in contributing to the project going forward.

61.   UNODC hosted a third meeting of the Initiative in Vienna from 7 to 8 June 2012. At this meeting, experts resolved to produce a finalized curriculum outline, with annotations and supporting reading materials by September this year. This curriculum outline, in addition to sample courses, will be made available on the UNODC TRACK website. Contributing experts outlined the individual modules and units that they have already produced within the framework of the Initiative and those they will be contributing in the future.

62.   UNODC is also actively involving the United Nations Global Compact Office and its Principles for Responsible Management Education initiative (PRME) in the development of the materials for the ACAD.

63.   As a part of its Outreach and Communication Programme, UNODC is developing a one-semester academic learning course on the Convention against

Corruption and its implications for both the public and private sectors. It is intended that this course will be embedded in curricula of business, law and public administration schools. The course will be completed in late 2012 following which UNODC will promote the course to a wide range of academic institutions for incorporation into their existing academic programmes. By producing the learning course, UNODC seeks to support learning institutions which have increasingly come to realize that they also have a role to play in preparing the next generation of public and business leaders for the challenge of making right and ethical decisions. An outline of the proposed course was presented at the third meeting of the ACAD expert group and the course will be made available as a resource under ACAD.

64. UNODC has also been actively involved in the establishment of, and is partnering with, international and regional anti-corruption academies. The International Anti-Corruption Academy (IACA) was established following a joint initiative by UNODC, Austria, the European Anti-Fraud Office (OLAF) and other stakeholders, and became an independent international organization on 8 March 2011. Through "The Public-Private Partnerships for Probity in Public Procurement" project, UNODC will cooperate with the International Anti-Corruption Academy to develop a module on integrity in public procurement which will be embedded into the academic courses taught at the Academy. The module will aim to address good practices and common challenge in ensuring legislation, policies and practices are in place to promote transparency, integrity and accountability in public procurement systems. In May 2012, representatives of UNODC participated in a panel discussion and delivered a key note address at a training for private sector officials from Eastern Europe and Central Asia, entitled "Overcoming the Challenge of Corruption in Today's Environment: Lessons for the Private Sector".

65. UNODC is assisting the Government of Panama in the establishment of a regional anti-corruption academy for Central America and the Caribbean and has supported the development of the training curriculum.

E. Technical assistance

66. 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.

67. UNODC has continued to provide technical assistance to support Member States in the implementation of the Convention, both through tailored legislative and capacity-building activities and through the development of tools that facilitate assistance delivery 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 were carried out in a number of countries. Document CAC/COSP/IRG/2012/3 provides a

comprehensive account of such assistance, including a list of receiving States and regions. UNODC's technical assistance activities are often broad-ranging and focused on multiple areas covered by the Convention. In view of the forthcoming review of chapter II, as the focus is shifting towards the prevention of corruption, additional technical assistance in this particular area will be required.

68. UNODC also provides technical assistance in the framework of its anti-corruption mentor programme. The programme aims to provide long-term and on-site specialized expertise through the placement of field-based anti-corruption advisors, principally in its regional offices. The programme was revitalized in 2011 through the placement of an adviser with national responsibility in the Democratic Republic of Congo and the placement of advisers with regional responsibilities in Thailand (for East Asia), Kenya (for Eastern Africa) and Panama (for Central America).

69. Following several trainings and workshops, gap analyses and needs assessments, conducted within the framework of the self-assessment checklist, are being or were conducted in Ecuador, Ethiopia, Mali, Namibia and the United Republic of Tanzania at their request. 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 prevention chapter, and will, where requested, further provide advice on actions required or technical assistance needed to fill identified gaps.

70. 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 in preventing corruption, and welcomed the cooperation between the Secretariat and the United Nations Development Programme (UNDP) to integrate Convention-based anti-corruption technical assistance in the broader development agenda, including the United Nations Development Assistance Framework (UNDAF).

71. UNODC and UNDP, with support of the United Nations System Staff College (UNSSC), are jointly implementing an initiative aimed at supporting and guiding the integration of anti-corruption into United Nations programming processes, particularly the UNDAF. In this regard, an anti-corruption training course will be developed and included as part of the general training on the UNDAF process. The overall objective of the course is to provide participants with essential conceptual knowledge as well as analytical and practical skills on anti-corruption and its programming and how such programming can be integrated into the UNDAF process. It will also create a vetted roster of resource persons to hold such training courses. A training of trainers course and a training package, including a resource toolkit, facilitation manual and training materials, are expected to be finalized and made available to the United Nations Country Teams by the end of 2012.

72. In February 2012, UNODC launched the first Anti-Corruption Update newsletter to report on developments both in Vienna and throughout the world in the anti-corruption initiatives and activities of UNODC. The newsletter, issued on a quarterly basis, is distributed to a broad network of Member States, international organizations and United Nations partners. The newsletter will include articles covering both the activities of the inter-governmental processes of the UNCAC and

updates from the field at the regional and country levels in order to keep a broad array of stakeholders and interested parties informed as to the progress of UNCAC implementation and the delivery of technical assistance.

III. Conclusions and recommendations

73. The Working Group may wish to consider the progress that has been made in the implementation of the prevention provisions of the Convention and in efforts to raise awareness of corruption in all sectors of society. The Group may also wish to suggest further ways of enhancing the implementation of the Convention's prevention provisions.

74. The Working Group may wish to continue consideration of the multi-year workplan for the period up to 2015, when the second cycle of the Review of Implementation of the Convention begins, and to identify substantive topics for the consideration of the future meetings of the Working Group.

75. The Working Group may wish to encourage States parties to continue their efforts towards early reporting on the implementation of chapter II of the Convention, using the self-assessment checklist, with emphasis on evaluation of the effectiveness of existing prevention measures, the compilation of good practices and the identification of technical assistance needs. The Group might wish to encourage States parties to continue to share new and updated information on good practices in the implementation of the policies, measures and practices related to chapter II of the Convention.

76. Specifically, the Working Group may wish to identify and discuss ways and means of further developing cumulative knowledge in the area of the prevention of corruption. In order to continue to build collaboration among States parties and with relevant international or regional organizations in developing preventive anti-corruption policies and practices and sharing good practices, the Working Group may wish to suggest ways of enhancing cooperation and information exchange between States and international organizations for the development of knowledge products and tools, and technical cooperation. In particular, the Working Group may wish to further encourage States parties to promote regional activities to prevent corruption, including regional workshops for the exchange of relevant experiences and good practices.

77. 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.

78. 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 this regard.

79.   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 dedicate enhanced attention to the strengthening of public-private partnerships.

80.   The Working Group may wish to reiterate the importance of training and education at all levels of the public and private sectors in the prevention of corruption and encourage States parties to make such training and education an integral part of national anti-corruption strategies and plans.

81.   The Working Group may wish to take note of the initiatives taken by the Secretariat to collaborate with international and regional organizations and to promote partnerships with the private sector, academia and the media. The Working Group may wish to provide further guidance to the Secretariat regarding the continuation of existing initiatives and the commencement of new ones.

82.   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. It may further wish to discuss ways of maximizing available resources for the provision of technical assistance and suggest means of collaboration with national and international partners in this regard.

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