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Convention against Corruption**

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**Review of implementation of the United Nations
Convention against Corruption**

**Implementation of chapter III (Criminalization and law
enforcement) of the United Nations Convention against
Corruption**

Thematic report prepared by the Secretariat

Addendum

Summary

The present thematic report contains information on the implementation of chapter III (Criminalization and law enforcement) of the United Nations Convention against Corruption and technical assistance needs of States parties under review in the first and second years of the first cycle of the Mechanism for the Review of Implementation of the Convention, established by the Conference of the States Parties to the Convention in its resolution 3/1.



III. Implementation of the criminalization provisions of chapter III

G. Measures to enhance criminal justice

1. Prosecution, adjudication and sanctions

27. Common challenges with regard to the implementation of the provisions on prosecution, adjudication and sanctions related to specificities in national legal systems and limited capacity. For example, in several cases recommendations were issued concerning the proportionality or dissuasiveness of the sanctions. There were also issues concerning paragraph 2 of article 30 on immunities and privileges in several States parties. In one case, immunities were accorded to certain categories of public officials, including commissioners of government agencies, in the respective constituting laws of the agencies. A suspension of immunities by Parliament was needed to investigate these officials, though there was no legal procedure to resolve cases where requests to suspend immunities remained unanswered. Investigations of members of Parliament had been suspended previously due to the laws on immunity, and recommendations were issued accordingly. In a few cases, immunities were granted at the Constitutional level to several categories of officials, including members of Parliament, the Government and the judiciary. In one case, parliamentarians were granted functional immunity, which could be lifted if there was “concrete and sufficient” evidence of corruption-related offences. In several States public officials did not enjoy immunities or jurisdictional privileges, though in two of these cases members of Parliament were accorded some forms of immunity (or parliamentary privilege) for opinions expressed in Parliament or owing to conduct in the consideration of a parliamentary matter. In another case, Ministers were granted jurisdictional privilege and were tried in special courts for offences committed in the course of their tenure. Likewise members of Government, for acts performed in the holding of their office, must be tried by a special court, though they did not enjoy immunity or jurisdictional privileges for acts performed outside the exercise of their office. Further, while members of Parliament did not enjoy immunity, their arrest or other deprivation of liberty in a criminal or disciplinary matter (with the exception of felonies or cases in flagrante delicto and when a conviction had become final) required the authorization of the relevant Bureau of the House; additionally, authorization by the President of the National Assembly was required for any investigation of a parliamentarian. In another State party the law conveyed immunities to a number of high-ranking officials, but the anti-corruption authority, unlike other law enforcement agencies, was not required to seek permission to investigate certain categories of officials. The absence of immunities or jurisdictional privileges was established at the Constitutional level in one case, while in another case the Constitution provided immunity only to the President of the State. In one jurisdiction, the supervising court could take a decision on the lifting of immunity at the end of the investigative stage, and a recommendation was issued that decisions on the lifting of immunities should not prevent subsequent investigations once the officials in question were no longer in service. In another State party, procedures for the lifting of immunity from prosecution of the President, parliamentarians, judges and the public defender were in place, and immunity from investigation was not established. Concern was raised in one case at a broad Constitutional provision which covered any person acting on behalf or under authority of the Head of State and in another at pending legislative

amendments that could undermine existing provisions on corruption-related offences and the independence of the anti-corruption body.

28. Common issues were also encountered with regard to paragraph 3 of article 30 on discretionary legal powers relating to the prosecution of persons for offences under the Convention. In this regard, several States followed a discretionary prosecutorial model. In one case, corruption investigations and access to bank records required the prior authorization of the prosecutor's office, and a delegation of even partial powers by the Prosecutor-General to the anti-corruption commission was prohibited by law. In another State with discretionary prosecution, when the identity and domicile of the perpetrator were known and there was no legal obstacle to commencing a public prosecution, the prosecutor could only decline the case when "the particular circumstances linked to the commission of the offence" justified this. Moreover, the criminal procedure code granted a person who had denounced facts to the district prosecutor the right to appeal to the Prosecutor General against a decision not to prosecute. In one case prosecutorial discretion was exercised in order to encourage cooperating defendants to provide relevant information by dismissing or reducing charges or making recommendations to the judge or magistrate concerning sentencing. Among the States that did not apply discretionary prosecution, one State party's criminal justice system was based on the principle of mandatory prosecution, whereby the prosecutor could waive prosecution only in cases of petty criminality or if it would be "unreasonable" to charge the offender, and applicable guidelines for prosecutors were in place. In another State, the prosecution was governed by the principle of legality and no discretionary legal powers were foreseen. Under the Constitution, the legislature was required to authorize the criminal charge and proceedings of its members, deputies and senators, and cases showed that the parliamentary practice of granting such authorization had been established as a rule. In one case, concern was raised at the manner in which the Attorney-General exercised discretion to discontinue cases for the protection of the public interest, which, although rarely applied, was considered to present the potential for abuse, and observations were also made as to the discretionary forms of sentencing available outside of judicial oversight. Recommendations were issued in several cases.

29. Several States parties had taken measures to implement paragraph 6 of article 30 on the suspension, removal from office or reassignment of public officials accused of corruption offences. Suspension of public officials was possible in several jurisdictions, including in one case by regulations allowing temporary suspension pending trial and in another case at the discretion of Parliament, and was mandatory for criminal matters in other States. In one case, the removal of accused officials was governed by public service standing orders and applicable regulations that permitted the conditional removal of public officials on half pay pending judicial procedures, with a prohibition on their working or leaving the State. In two cases, the legislation provided for the suspension of accused public officials, but was silent on removal or reassignment. In a third case, there was no legal provision that would permit the removal or resignation of an official whose guilt had not been established in a court, and investigative bodies could only request the suspension of officials who could interfere with an investigation. It was considered essential, in order to protect victims and witnesses and to ensure the smooth functioning of investigations, to have rules of procedure in place that would allow for suspending the official authority of suspects, including high ranking officials, pending a court decision and their removal from office if guilt was established. Similar restrictions

existed in other States where a suspension from office was only possible after a conviction.

30. While disqualification from holding public office was possible in several States parties, in one case the disqualification period was relatively short and such disqualification was neither permanent nor prohibited a subsequent transfer to another public office. In several cases, disqualification was not mandatory but available as an additional penalty for criminal offences, and in one case would only prohibit future election to the Parliament or Cabinet. In another case, general provisions in the criminal code required the dismissal of a public official for any imprisonment in excess of two years, unless the court deemed that the person was not unsuited to attend to a public function. For periods of imprisonment of less than two years, dismissal was discretionary if the court believed that the person was unsuitable to attend to a public function. Members of Parliament or elected officials could not by law be dismissed pursuant to a court decision, though the Constitution provided for the dismissal of parliamentarians who had been sentenced to imprisonment for deliberate crimes. Additionally, persons holding office in enterprises owned in part or in whole by the state could not be dismissed on the basis of a conviction. Any suspension or dismissal was recorded in the personnel file of a public official and known to authorities considering recruitment in the future. In one jurisdiction, the concept of a publicly-owned enterprise was not defined in the legislation and, in another case, no procedures had been established for the disqualification of convicted persons from holding public office.

Box 12

Example of the implementation of article 30

In one State party, the rules and practice of the Public Service Commission of recording disciplinary and ethics proceedings and timely producing transcripts were observed to promote transparency, accountability and consistency, and to significantly enhance public confidence in decision-making processes of the body. The period in which disciplinary and ethics cases were disposed of by the relevant tribunal had been reduced in recent years from an average time of several years to an average period of three to six months. Moreover, training of civil servants on matters related to ethics, discipline and good governance, among others, drew upon the participation of a wide range of government ministries, departments and agencies, including the anti-corruption agency, the police and prosecutor's office, the office of the Auditor General and the Ministry of Finance; the Commission conducted regular surveys and studies to assess the impact of its trainings.

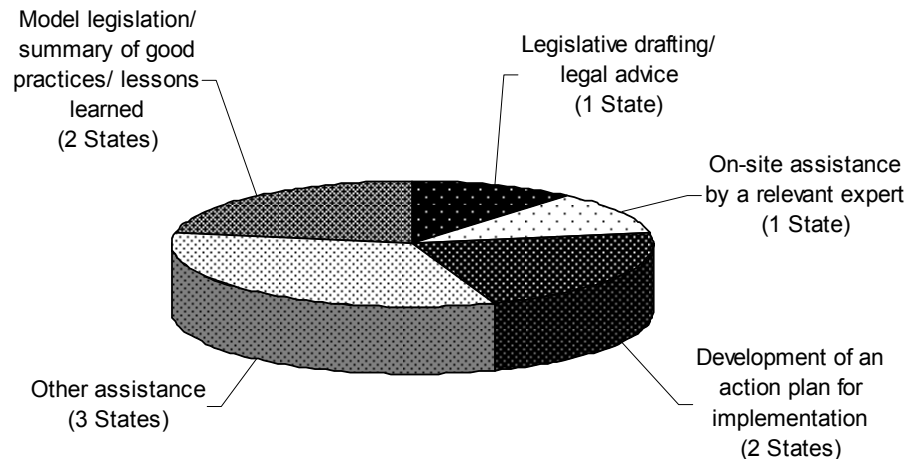
In another State, specific standards and guidelines governing prosecution initiative were in place, and the Chief Prosecutor and Ministry of Justice were responsible for monitoring their application. The monitoring of prosecutions was facilitated by an electronic document management system and oversight by the Inspector General's office in the Ministry of Justice. Failure to follow these guidelines could be grounds for a breach of the professional code of conduct or even for the crime of abuse of power.

Technical assistance needs related to article 30

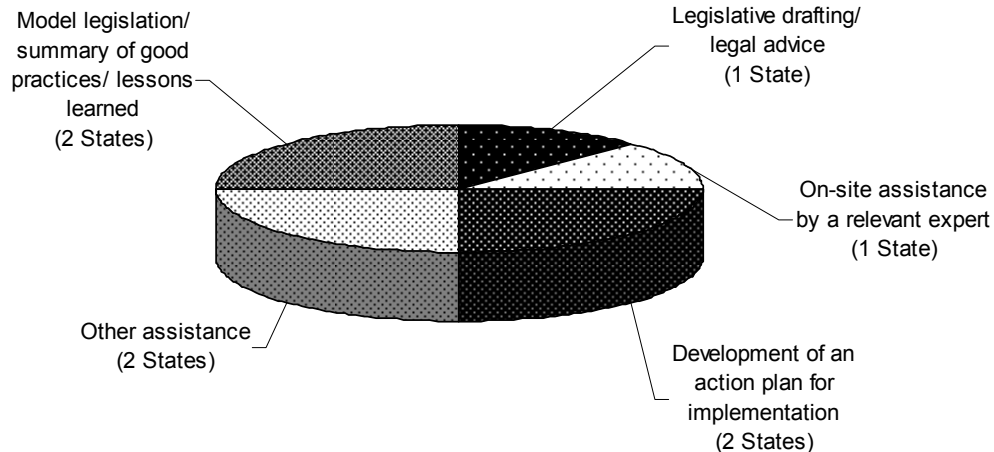
31. Of the eight States parties requesting technical assistance to support the implementation of article 30 of the Convention, the types of assistance requested

were: other assistance (five States); model legislation, a summary of good practices and lessons learned (four States); the development of an implementation action plan (four States); legislative drafting and legal advice (two States); and on-site assistance by an anti-corruption expert (two States). Other assistance included capacity-building (i.e. training) and resources for law enforcement authorities on how to investigate and prosecute corruption-related offences, technical and financial resources to conduct effective assessments on the reintegration into society of convicted persons, and the sharing of experiences in how to address immunities.

Group of Asian and Pacific States



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2. Freezing, seizure and confiscation

32. A number of common issues were observed regarding the implementation of article 31. In several cases, measures to enable the confiscation of instrumentalities, as opposed to proceeds, of crime (and also property “destined for use” in corruption offences) were not provided for, while in one jurisdiction only instrumentalities were covered in cases other than money-laundering. In two of these cases, measures

to enable the tracing, freezing or seizure of proceeds or instrumentalities of crime for purposes of eventual confiscation (paragraph 2 of article 31) were also lacking. Additionally, in the third case, there were no detailed rules on confiscation and identification of proceeds or instrumentalities of crime. In this jurisdiction the seizure of goods other than bank accounts further presented difficulties in practice due to the high standard of proof required, which resembled a prima facie case. In a fourth case, the reviewers expressed reservations that the regulation of seizures and freezing of property could be done by reference to the civil procedure code and recommended to consider addressing this matter in a uniform manner to avoid its fragmentation in different legislative pillars and to limit possible questions of interpretation. Similarly, in another case concern was raised as to the permissive wording of the law, which appeared to give courts discretion of whether property could be confiscated, and a need to apply confiscation measures more consistently in criminal cases was observed. Conversely, in another State the additional penalty of confiscation was incurred in the cases provided by law or regulation, and also automatically for felonies and misdemeanours punishable by a prison term of more than one year, excluding press offences. In one case it was noted that most of the offences under the Convention fell within the scope of the law on forfeiture of proceeds of crime, with the exception of bribery in the private sector, and legislation was being prepared to more fully implement the article. In several cases, administrative freezing of assets for up to 30 days was possible by the financial intelligence unit. One State party encouraged the usage of special investigative techniques in the identification and tracing of property suspected of being proceeds of crime.

33. In several jurisdictions, confiscation extended also to proceeds of crime that had been transformed or converted (paragraph 4) or intermingled with property from legitimate sources (paragraph 5), as well as income or other benefits derived therefrom (paragraph 6). In two cases, the seizure and confiscation of transformed, converted and intermingled property was partly possible, and a recommendation was issued to establish a solid legal basis for such measures by amending the law accordingly. In four cases the confiscation of property corresponding to the value of proceeds of crime was not covered, as the law was based on the principle of object confiscation and not value confiscation, even where the anti-corruption law provided for the confiscation of proceeds of crime that had been derived from corruption. Additionally in one of these cases a draft anti-money-laundering law would have provided for the option of freezing, seizure and confiscation of property of an equivalent value. In one State party income derived from direct or indirect criminal proceeds was subject to confiscation only in proportion to the value of the proceeds of crime in comparison to the funds of legal origin. In two cases there was some ambiguity as regards the coverage of cases of intermingled property, with no provision to permit bank interest and income from illegal assets to be confiscated in one jurisdiction. In another case, recommendations were issued that intermingled property be liable to confiscation up to the assessed value of the intermingled proceeds, and income or other benefits derived from such proceeds be liable to the measures referred to in article 31. One State party did not have any specific provisions regulating the confiscation up to the assessed value of intermingled proceeds (paragraph 5), nor the confiscation of income or other benefits derived from proceeds of crime that had been transformed or converted or intermingled with lawful property (paragraph 6), although value-based confiscation of proceeds of crime and intermingled property was possible. In this jurisdiction, the confiscation

of property obtained by criminal means and transferred to third parties was also not provided for.

34. Several States parties faced issues with regard to the administration of frozen, seized and confiscated property. For example, in one case, a recommendation was issued to consider strengthening measures for the management of frozen, seized and confiscated property in order to regulate the process more methodically and not limit it to cases where the property was perishable. The reviewing experts reiterated the importance of having in place appropriate mechanisms to regulate the administration of such property. In one case where local authorities managed seized and confiscated assets, the establishment of a central agency to administer such assets was under consideration.

35. A reversal of the burden of proof for demonstrating the lawful origin of alleged proceeds of crime or other property (as the relevant provision of the Convention was interpreted by several States parties) had not been introduced in most jurisdictions. This was either considered a violation of the principle of the presumption of innocence or inconsistent with the restrictive view taken by the criminal justice system towards any reversal of the burden of proof in criminal cases. Common challenges related to limited capacity, the inadequacy of existing normative measures and specificities in national legal systems. In one case where the law provided for a reversal of the burden of proof, the accused had to make a declaration in writing in order to prove the legal nature of the property and, if he/she did not make such declaration or the declaration was incomplete, the property was presumed to have been derived from criminal activity. In one case where the burden of proof was reversed there was doubt as to whether the provisions could be used in respect of assets that had been dissipated, sold or transferred. In another case, the provision covered only assets belonging to a person involved with or having supported a criminal organization. In one State the provision was permissive. Legislation on unexplained wealth was pending in one jurisdiction.

Box 13

Examples of the implementation of article 31

Conviction

In one State party, any criminal offence allowed for a decision of confiscation of proceeds of crime, even in cases when the offender was not convicted or was exempt from criminal liability. The possibility also applied to legal persons, even if an individual perpetrator could not be identified or convicted. Confiscation of proceeds was also possible against persons on whose behalf or advantage the offence was committed and further was mandatory for instrumentalities of crime.

In another State party, a variety of measures for restraining and confiscating proceeds and instruments of crime was noted, including: a non-conviction based procedure under which confiscation could be taken independently of prosecution; pecuniary penalty orders, which required a person to pay an amount equal to the profits derived from crime; and unexplained wealth orders, which required a person to pay a proportion of their wealth, where they could not satisfy a court that that wealth had been legitimately acquired. Non-conviction-based in rem forfeiture was also possible in another jurisdiction.

In one State party, confiscation was conviction-based and considered as an accessory sanction to the crime; however, if no sanction could be imposed, the confiscation could be upheld in the absence of a criminal conviction.

One State party had adopted a law on the return of assets of illicit origin of politically exposed persons, which allowed the confiscation under certain conditions and without a criminal conviction of assets presumed to be of illicit origin and non-conviction based confiscation was possible under certain conditions. Further, financial institutions detecting a suspicious transaction and reporting it to the financial intelligence unit were required to freeze the funds involved on their own initiative for up to five days, subject to extension by a decision of the criminal justice authorities.

Protective measures prior to judicial proceedings

In one State party, the criminal procedure law allowed for freezing, seizure and confiscation prior to the filing of judicial proceedings where such action was based on an investigation or prosecution.

Similarly in another State party, an investigator could freeze assets for up to seven days and was then required to request a court order, which could be granted for up to four months and was renewable for the same period.

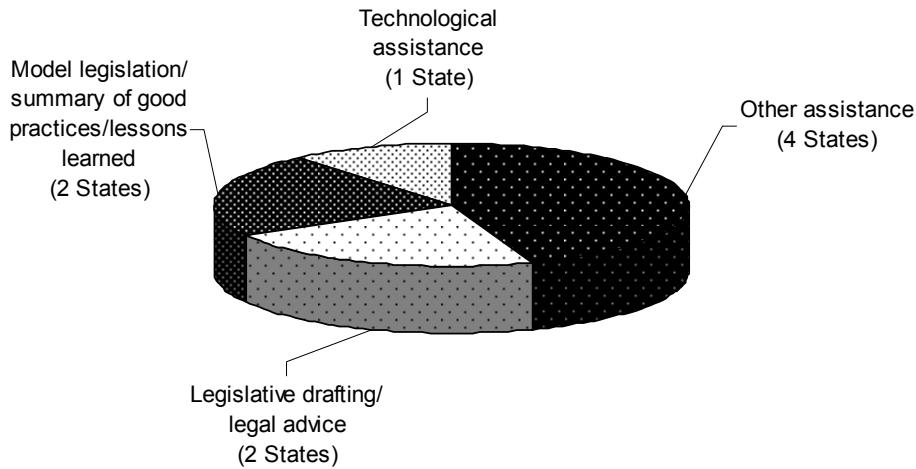
Management of assets

In one State party, a separate institution dedicated to the management of seized and confiscated assets, especially “complex” assets requiring effective management, had been established and its operations were self-financed from the sale of confiscated property.

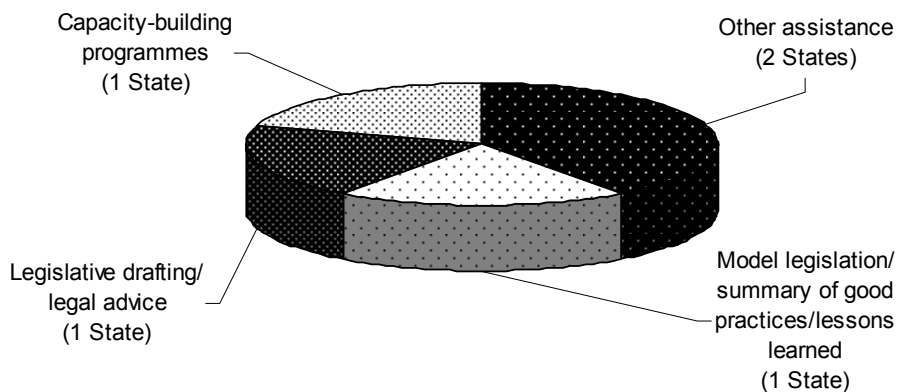
Technical assistance needs related to article 31

36. Of the eight States parties requesting technical assistance to support the implementation of article 31 of the Convention, the main types of assistance requested were: other assistance (six States); model legislation, a summary of good practices and lessons learned (three States); and legislative drafting and legal advice (three States). Individual requests were received for: capacity-building programmes; and technological assistance. Other assistance included the establishment of appropriate facilities and training that cover financial investigations, specifically on the tracing, seizing and confiscation of assets and on the management of seized assets, as well as conducting surveys and developing thematic reports on the issue.

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3. Protection of witnesses, experts and victims

37. There was wide variation among the States parties with regard to the protection of witnesses, experts and victims. In particular, in one State, the right of victims and witnesses to receive adequate protection in the course of criminal proceedings was recognized and broad protections were afforded at the Constitutional level. Some States had enacted legislation or other practical measures to afford the minimal protection of non-disclosure of the identity or whereabouts of witnesses and other persons being heard during pretrial investigations or in court. In several cases the protections went further to also include physical protection measures. On the other hand, in several cases no measures had been taken for the effective protection of witnesses and experts. The authorities in several jurisdictions repeatedly noted the absence of witness protection systems as a major weakness in the fight against corruption, noting the significant costs of such systems, the inadequacy of existing normative measures, specificities in the legal system and limited capacity as concrete challenges. Some States parties also pointed to the

existence of pending legislation. Several recommendations were issued, including to enact comprehensive legislation and systems for the protection of experts, witnesses and victims where these were absent, to give adequate attention to such measures on the ground, for example through sensitizing the police and other law enforcement agencies, and to strengthen measures to protect the identity of informants in order to alleviate concerns that the names of witnesses could be traced. In a number of States parties, no comprehensive witness protection or relocation programmes were in place, but practical measures such as separate court rooms were taken on a case-by-case basis for special categories of persons. In one case, the inclusion of corruption offences in the witness protection system was not automatic and a recommendation was issued to extend such protections in a direct and explicit fashion to witnesses and victims of corruption offences.

38. Regarding the victims of corruption, in two cases the protection of victims and the provision of funding regarding their protection were not regulated by law, while in others victims of offences took fully part in the proceeding where their identity was known. Specifically, in one of these cases, the Constitution and criminal procedure code provided for the views of victims to be heard at any stage of the proceedings. In one case only the participation of victims who were witnesses was addressed in the legislation and in another, a recommendation was issued that the role of victims in a trial as regards their position as complainants, victims or witnesses should be clarified. In one State party, a recent amendment to the criminal procedure code had instituted a special judge delegated for victims of crime, who could intervene only at the request of victims to ensure consideration of victims' rights in the implementation and enforcement phases of a case. Victim impact statements were admissible as evidence in several States parties to provide details to the court of the harm suffered by victims.

Box 14

Examples of the implementation of article 32

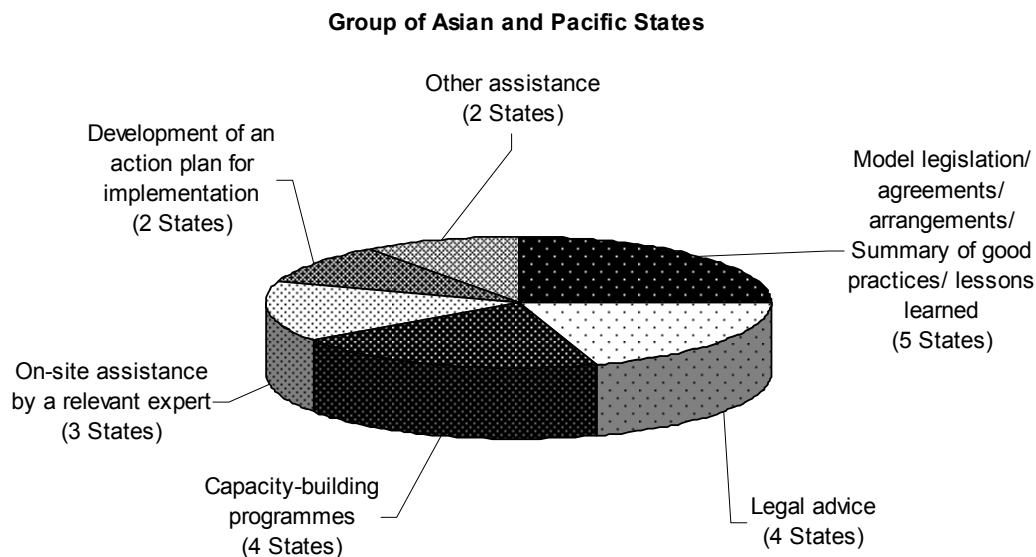
In one State party, the right of victims and witnesses to receive adequate protection in the course of criminal proceedings was recognized at the Constitutional level and regulated in different normative sources. Additionally, a law on witness protection existed, though this had only been applied in exceptional cases. Protections and support measures also covered family members, and legislation was pending to extend the protections to cases posing significant protection risk.

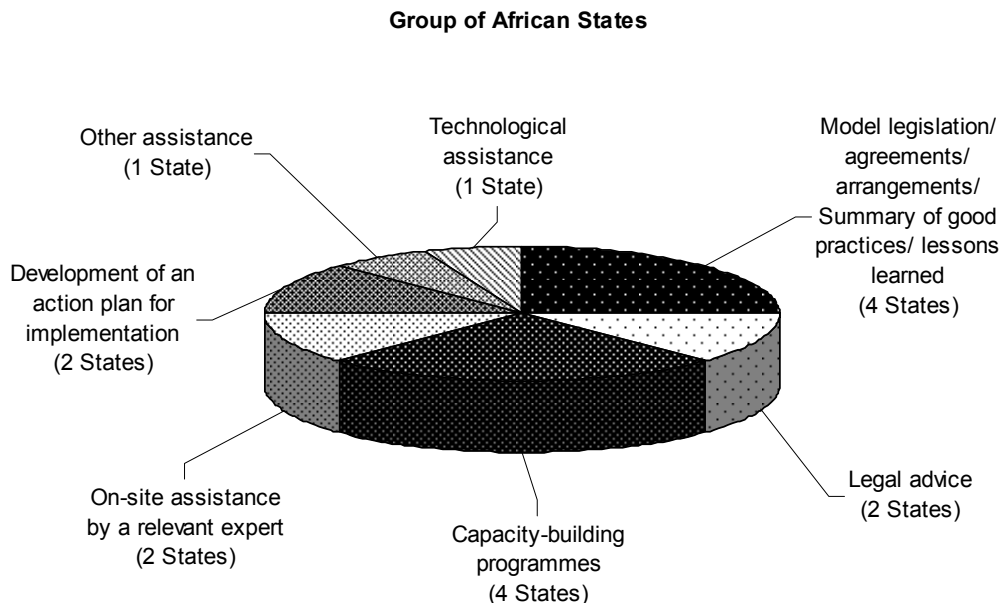
In another State party, measures to protect witnesses were taken by the prosecutor, judge or court when there were reasons to presume a real danger to the life, health or property of witnesses, relatives or closely related persons. Measures included personal physical guarding by government bodies and non-disclosure of identity. A programme on the protection of threatened persons was also available, which encompassed personal physical security, guarding of property, temporary safe accommodation, change of residence, work place or education and identity change. A specific procedure was established to allow for the interrogation of witnesses by pretrial authorities and courts in secrecy. A defendant could also put questions to the witness in writing, which would be answered by video conference and altering the voice and image of the witness, with verification by a judge.

In one State Party, protections could be extended to family members of victims, witnesses and experts under the witness protection law. Remote hearings were possible to protect witnesses and victims, or anyone under protection who has been declared 'anonymous' by the prosecutor. Several agreements on the relocation of witnesses with neighbouring countries were in place.

Technical assistance needs related to article 32

39. Of the ten States parties requesting technical assistance to support the implementation of article 32 of the Convention, the types of assistance requested were: model legislation, agreements or arrangements, a summary of good practices and lessons learned (nine States); capacity-building programmes (eight States); legal advice (six States); on-site assistance by a relevant expert (five States); the development of an implementation action plan (four States); other assistance (three States); and technological assistance (one State). Other assistance included information technology training, facilities to provide for consultative services, the sharing of experiences, and financial support to implement a pilot programme on protecting witnesses, experts and victims.





4. Protection of reporting persons

40. As with the protection of witnesses, experts and victims, there was considerable variation among the States parties with regard to the implementation of article 33. Several States parties had not established comprehensive measures to implement the article, though legislation was pending in some cases. Common challenges related to specificities in national legal systems, limited capacity and the absence of specific regulations or systems for the protection of whistleblowers, which were noted as a concern in several cases. In some cases related measures were found in the labour or civil service codes. In one case, the matter was partly regulated by the anti-corruption law and draft legislation had been introduced; however, there was no comprehensive legislation on “whistleblower” protection and victim and witness protections were not provided to informants, despite an obligation for civil servants to report cases of corruption. Recommendations were issued to enact appropriate legislation in a number of cases, including to explore the possibility of allowing all citizens to report suspicions of corruption anonymously. In one case where no specific whistleblower protection system existed, the provisions on witness protection were applicable. In this case a recommendation was issued to explore the possibility of establishing a comprehensive system for the protection of whistleblowers, which was under consideration by the national authorities. In another case, despite a duty of all citizens to report crimes to the competent authorities, which was encouraged by the establishment of hotlines, the person reporting criminal conduct had to confirm the report formally afterwards. A recommendation was issued to ensure that specific rules for the protection of whistleblowers in labour and administrative laws were enacted. A similar confirmation requirement was also observed in another jurisdiction. In one case where comprehensive whistleblower legislation had recently been enacted, the law applied to all persons who disclosed information and had already yielded “useful” information, including through anonymous reports that had resulted in several pending cases. However, the possibly insufficient incentives for whistleblowers were noted and several recommendations were issued to enact regulations relating

to back pay and other action to eliminate the effects of victimization, and to raise awareness by employers and among the public. In several cases, only public officials who reported and not private persons were afforded protections and recommendations were issued to consider extending the protections to encourage persons other than public officials to report offences under the Convention. In one jurisdiction where only basic measures protecting the identity of informants and allowing anonymous reporting were in place, the possible consequences of reporting misconduct were noted as a serious concern and a recommendation to consider instituting appropriate measures was issued. In another case, the inclusion of corruption offences in the whistleblower system was not automatic and a recommendation was issued accordingly. Legislation for the establishment of comprehensive whistleblower protection was under review in several States.

Box 15

Examples of the implementation of article 33

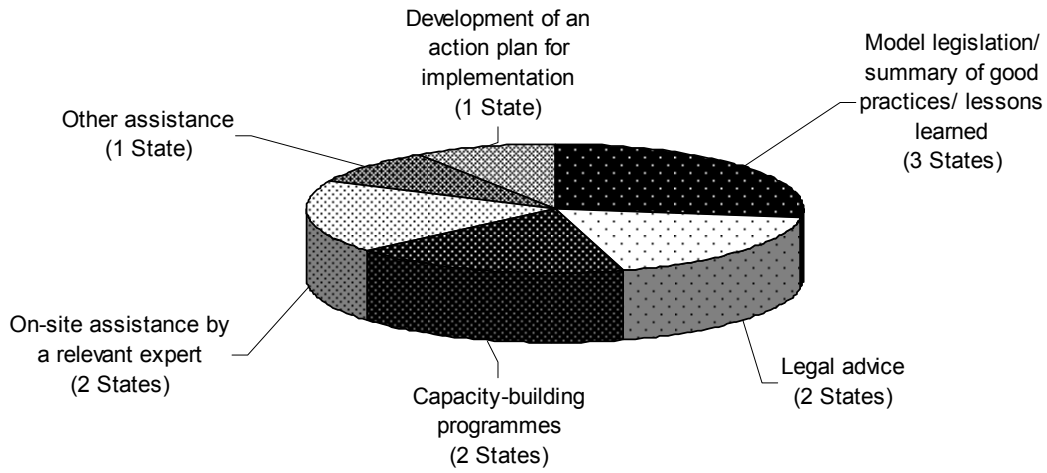
Some States parties had enacted measures protecting both public and private sector whistleblowers and made details of reports publicly available.

In one case, a draft anti-corruption law that had been adopted at the conclusion of the review provided for a reversal of the burden of proof to protect victims of retaliation measures.

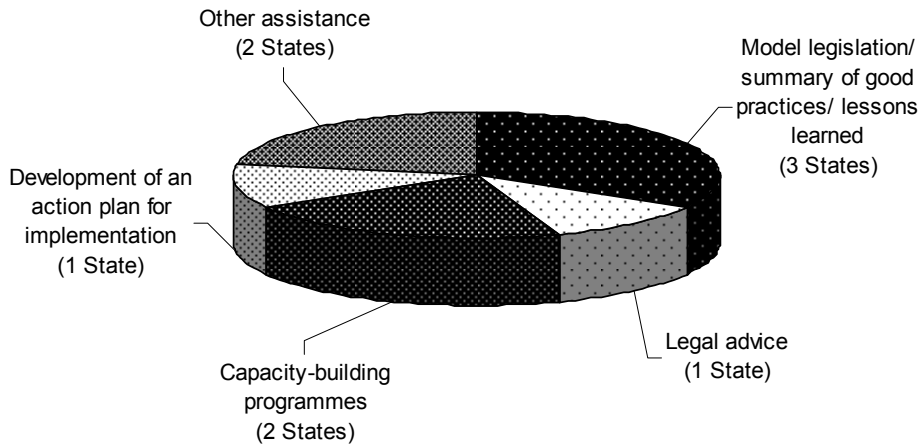
Technical assistance needs related to article 33

41. Of the eight States parties requesting technical assistance to support the implementation of article 33 of the Convention, the types of assistance requested were: model legislation, a summary of good practices and lessons learned (seven States); capacity-building programmes (four States); legal advice (four States); other assistance (three States); on-site assistance by a relevant expert (two States); and the development of an implementation action plan (two States). Other assistance included awareness-raising to support the enforcement of anti-corruption legislation and the reporting of corruption-related incidents, and to inform the public on what protection is available under existing whistleblower laws, as well as financial assistance to implement a pilot programme on protecting whistleblowers.

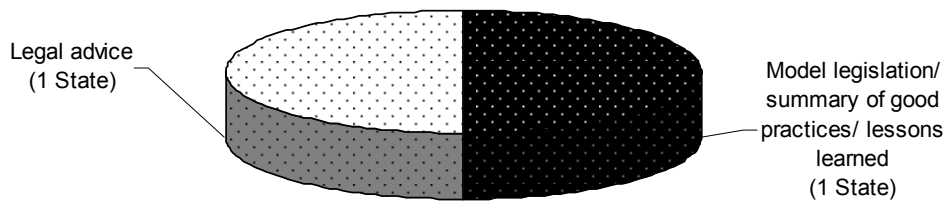
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Group of Eastern European States



5. Consequences of acts of corruption

42. There was considerable variation among the States parties regarding the implementation of article 34. In one case, no specific provisions to regulate the matter existed, though general principles of contractual law applied that permitted annulment of a contract on the basis of the lack of good faith by at least one of the parties, if the contract was the result of corruption. Similarly in another jurisdiction, general principles of contractual law applied to void contracts that contradicted or circumvented law or good morals and in specific circumstances listed in the legislation. Here also the law stipulated the exclusion of candidates who had been convicted of bribery from participation in public procurement. Similar restrictions existed with respect to the participation of legal persons in concessions in that and other States. On the other hand, in one jurisdiction, while the civil law contained comprehensive regulations on voiding transactions, the notion of contract rescission as a result of corrupt acts had not been reflected in national law. In another case, the matter was heard by a court of auditors, which had no administrative capacity to intervene in a given case, but a mandate to review or consider corruption and other matters brought to its attention, and could issue disciplinary, financial, and criminal penalties. A recommendation was issued that investigations and prosecutions should follow such proceedings. In a number of States parties, the matter was regulated by contract, administrative or public procurement laws, though in one case their application was unclear. While contracts could be rescinded under the procurement law, it was observed that a regulation on concessions was missing. In another case, the criminal code established various interdictions on the activity of legal persons and the exclusion from public tenders permanently or for a period of up to five years, with related additional penalties for persons convicted of specified corruption offences. The authority to withdraw corporate licenses and blacklist companies was not always recognized, but considered to be a useful measure.

Box 16

Examples of the implementation of article 34

In one State party, a forfeiture of the public sector contribution to a convicted official's pension fund was noted as a possible consequence for public officials who engaged in corruption.

In another State party, a public institution affected by a corruption offence was obliged to participate in the penal procedure as complainant to defend the best interests of the institution.

The greater use of standard terms in procurement contracts designed to allow the government to rescind contracts, withdraw licenses and take other similar remedies where corruption or criminal conduct had occurred was noted as a good practice in one jurisdiction.

In another State party, the penal code established an obligation to "repair" the civil consequences and damages of corruption once there had been a criminal conviction, and an annulment of the contract, concession or other legal instruments was considered part of such reparation of damages.

6. Compensation for damage

43. All of the countries had adopted measures to fully or partly implement the article, though in several cases there was no established procedure or practice for bringing such cases. The implementing legislation was either civil, criminal or procedural, and in one case the matter was addressed in the anti-corruption law, which covered only part of the cases foreseen in article 35. In one case, there appeared to be no specific provisions that guaranteed eligible persons the right to initiate legal proceedings in the absence of a prior criminal case and a recommendation was issued accordingly.

Box 17

Examples of the implementation of article 35

In one State party, a court decision had authorized a non-governmental organization active in the area of corruption prevention to bring a civil action in criminal proceedings regarding corruption offences.

IV. Implementation of the law enforcement provisions of chapter III

A. Institutional provisions

1. Specialized authorities

44. While all but one of the States parties had established one or more bodies or specialized departments to combat corruption through law enforcement, often these were newly created and faced common challenges related to limited capacity and resources for implementation as well as competing priorities. In one State party that had not established a specialized agency, anti-corruption policy was coordinated by the Ministry of Justice and relevant measures were enforced by the Public Prosecutor's Office. Recommendations were issued in a number of cases to increase manpower and resources for training and capacity-building of the agencies, to strengthen the presence in the regions and provinces, to increase political support and to continue efforts to combat corruption through independent law enforcement bodies focusing, in particular, on addressing implementation challenges in this field. In one case, a recommendation was issued to consider focusing the responsibilities of the various law enforcement authorities, their staffing and training due to overlapping functions. A need for effective inter-agency coordination was also noted in several other jurisdictions. In several cases observations were made regarding the independence of these bodies. For example in two cases, corruption investigations or related actions against public officials required the prior authorization of the government or prosecutor's office. In one of these cases, additional concerns were raised because a high ranking official of the agency had been appointed by the government. In the same case, doubts were raised as to the independence of contractors and staff members of the agency who could hold office outside the agency and were not subject to any conflict of interest law. In the second case, while it was noted that the anti-corruption law prohibited influencing or interfering in the operation of the agency, a recommendation was issued to also consider establishing related criminal sanctions and to increase the mandate of the agency to investigate all offences under the Convention. In one case, concerns were raised as to the

selectiveness of the body in deciding which cases to pursue, and in another as to the low number of corruption cases instituted relative to the number of allegations. A need to develop statistical indicators to establish benchmarks, develop strategies and measure progress of the body was also noted. In another case, a recommendation was issued to strengthen the accountability of the judiciary through a consistent and strict application of all legal and disciplinary means to sanction corruption. In some cases, legislation had been introduced or prepared that would strengthen or re-organize the functions and authorities of the law enforcement body, with steps underway in one case to secure a Constitutional anchor for the agency.

Box 18

Examples of the implementation of article 36

In one State party, the anti-corruption law contained a unique provision that prohibited a decrease in the anti-corruption agency's budget from the previous year and further required the agency's corruption-related recommendations to public sector institutions to be implemented. A three-sided agreement among the agency, government and civil society was in place for collaborative efforts against corruption, and civil society also held a seat on the advisory council of the agency.

In one case, the establishment and operation of a dedicated agency was specifically noted as the primary reason for success in addressing corruption in the country. The agency had brought cases against former Ministers, members of Parliament, senior officials, mayors, company directors, and one of its own staff. The creation of a separate anti-corruption court, in addition to specialized judges in the Supreme Court, was noted as a positive measure, with plans for additional courts underway.

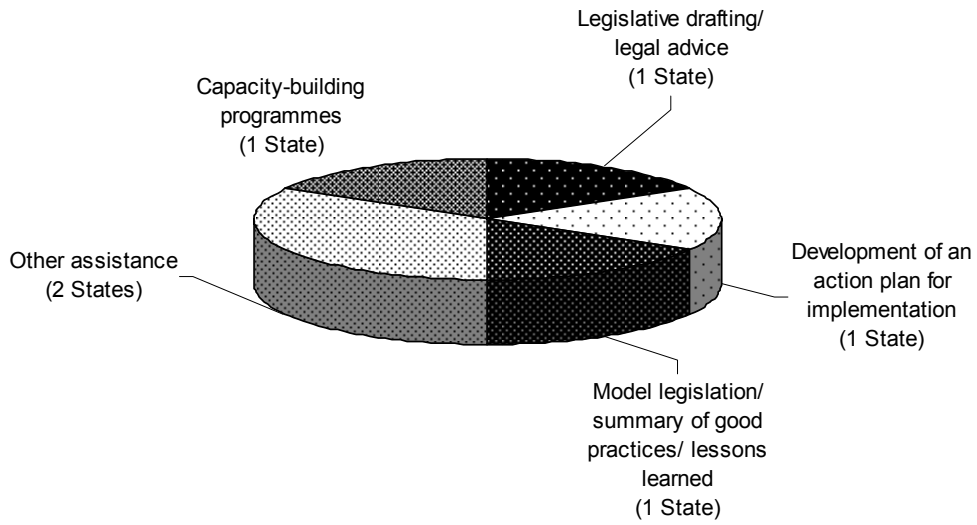
In one State party, the police force had incorporated extensive statistical reporting into their daily operations through a series of key performance indicators, including some related to targeted reductions in the number of disciplinary cases in the police force. The police tracked significant activities in a number of areas on a quarterly and annual basis and reported these to the Ministry of Defense quarterly, in addition to annual reporting to the public.

The anti-corruption body in one State party had recognized particular problems of corruption in traffic enforcement and upon analysis determined that reducing fines for traffic violations would adequately deter traffic violations while also reducing the incentive and opportunities for corruption. This was found to be the case, notably because members of the public were less inclined to engage in corruption with traffic enforcers when the amounts at risk were minimal.

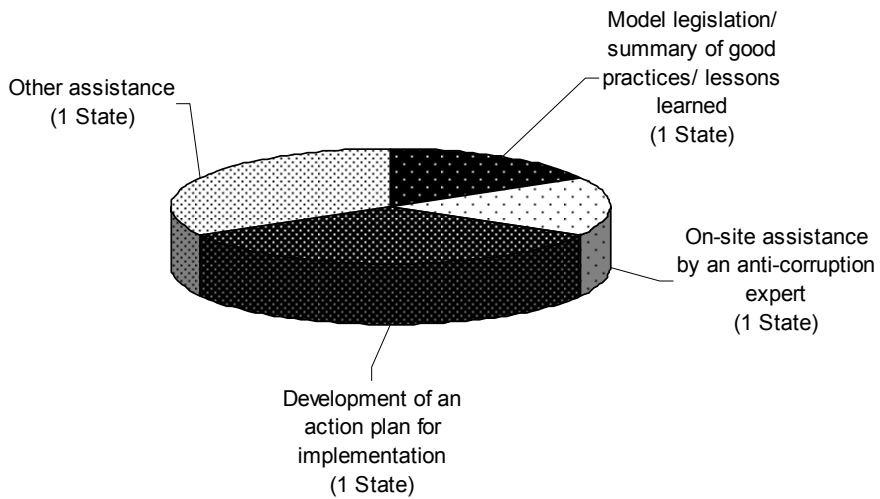
Technical assistance needs related to article 36

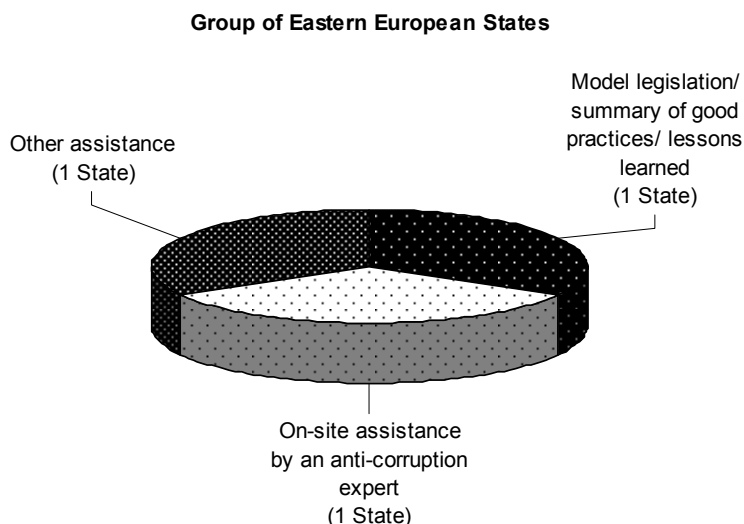
45. Of the seven States parties requesting technical assistance to support the implementation of article 36 of the Convention, the main types of assistance requested were: other assistance (five States); model legislation, a summary of good practices and lessons learned (three States); the development of an implementation action plan (two States); and on-site assistance by a relevant expert (two States). Individual requests were received for: capacity-building programmes; and legislative drafting/legal advice. One State from the Group of Latin American and Caribbean States requested other assistance. Other assistance included training (also on the use of existing facilities and investigative techniques), resources, and knowledge sharing between specialized authorities.

Group of Asian and Pacific States



Group of African States





2. Cooperation with law enforcement authorities

46. A number of States parties had taken measures to encourage the cooperation in investigations with law enforcement authorities of persons who have participated in the commission of corruption offences. Although whistleblower protections did not always apply to cooperating perpetrators, measures had been frequently implemented to permit collaboration to be considered as a circumstance mitigating criminal liability and taken into account in sentencing or as grounds for decreasing punishment where perpetrators had attempted to prevent or remove the effects of an offence. In the latter case, recommendations were issued to consider providing for the possibility of non-punishment of perpetrators of corruption offences who spontaneously and actively cooperated with law enforcement authorities and also to consider expanding the scope of the domestic legislation on the mitigation of punishment of such perpetrators who assisted law enforcement authorities in investigating offences committed by other persons involved in the same case. In several cases, no explicit policies or legal provisions were in place to either protect or encourage the cooperation of persons who participated in the commission of corruption offences or provide for the mitigation of their punishment, although in some cases legislation on the mitigation or release from punishment of accused cooperators was pending. Recommendations were issued in several cases to include the physical protection of collaborators of justice in future legislation and to provide for the mitigation of punishment or other measures to encourage cooperation with law enforcement authorities. A related issue concerns the concept of “spontaneous confessions”, which had been established in several jurisdictions as circumstances warranting mitigation or release from punishment or immunity from prosecution, most commonly for the offences of bribery and trading in influence, but were not always considered by the reviewing States parties as fully implementing the requirements of the Convention.

47. With regard to the possibility of granting immunity from prosecution to accused cooperators, a number of States parties had not established the respective measures, although in one case partial immunity could be granted in bribery cases and in some cases immunity could be granted on a discretionary basis by prosecutors or courts. In one State party where immunity from prosecution was not

established, cooperating offenders fell under the definition of witnesses and could be subject to the witness protection measures guaranteeing immunity from prosecution to informants. In another case, the law allowed for immunity to attempted perpetrators who cooperated effectively with the competent authorities, while cooperating offenders who completed the crime were only entitled to a reduction of their custodial sentence and not an exemption from prosecution. A draft law on plea bargaining was additionally being developed in one case.

Box 19

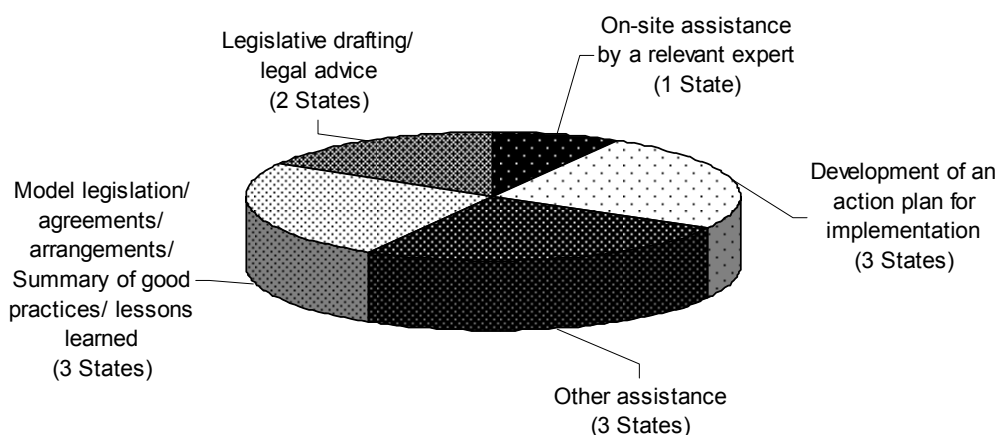
Examples of the implementation of article 37

In one case, the procedure permitting the discharge of a defendant from liability or punishment and the review of punishment of an imprisoned convict due to cooperation with investigative agencies provided that the offender could not be released from liability simply for reporting. The allegations had to be investigated and corroborated and the person had to testify in court before being released from liability. A discharge from liability or punishment and a review of punishment was possible upon issuance of a court order.

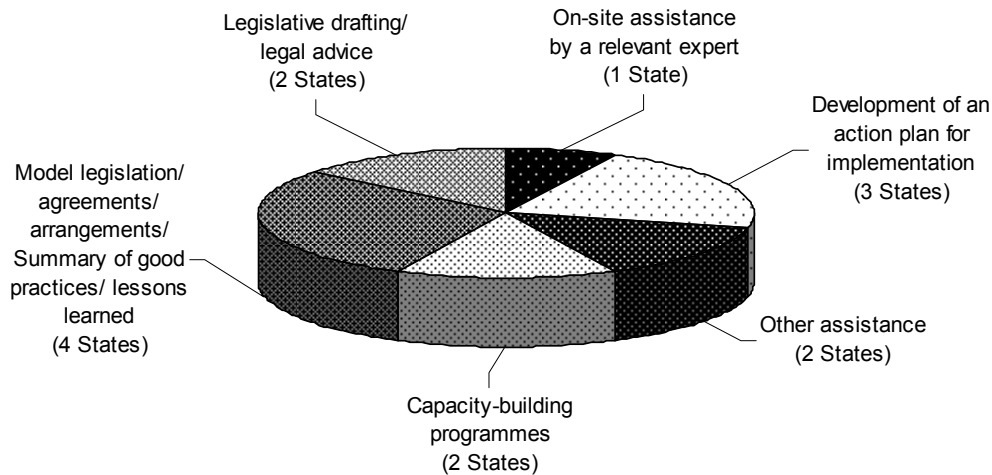
Technical assistance needs related to article 37

48. Of the ten States parties requesting technical assistance to support the implementation of article 37 of the Convention, the types of assistance requested were: model legislation, agreements or arrangements, a summary of good practices and lessons learned (eight States); the development of an implementation action plan (six States); legislative drafting/legal advice (five States); other assistance (five States); capacity-building programmes (two States); and on-site assistance by a relevant expert (two States). Other assistance included: law enforcement cooperation to raise awareness of anti-corruption legislation and the reporting of corruption-related incidents, and to inform the public on what protection is available under existing whistleblower laws; and the development of thematic reports on the issue.

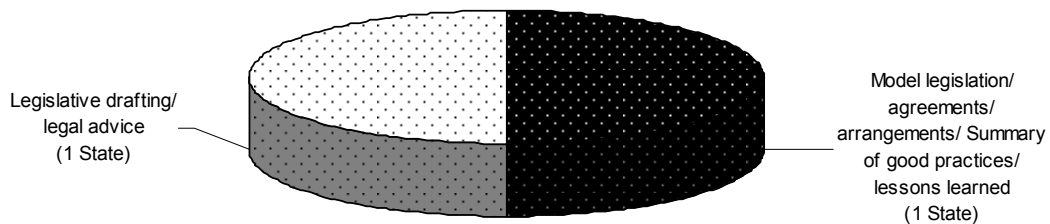
Group of Asian and Pacific States



Group of African States



Group of Eastern European States



3. Cooperation between national authorities and the private sector

49. Several States parties had established obligations to report corruption incidents on the part of public officials and, in some cases, by citizens or specific categories of legal persons in the private sector, though anonymous reporting was not always possible. In one case, non-disclosure of suspicions of crimes of the first degree was punishable by up to 5 years' imprisonment. There were exceptions, where no such duty existed for either citizens and/or public officials, and appropriate recommendations were issued to adopt measures to encourage such persons to report offences under the Convention. In addition to reporting requirements, various measures had been established by States parties to encourage cooperation between national authorities and with the private sector, including, in several cases, a duty to cooperate anchored in law or the operation of specialized administrative bodies (inspectors) in every central public body to collect signs of corruption and inform prosecuting authorities of evidence concerning criminal activities. The measures most often related to financial institutions and, in one case, a recommendation was issued to explore the usefulness of broadening the scope of cooperation between national law enforcement authorities and private sector entities that were not financial institutions. In two cases, an obligation by the financial intelligence or audit units to report suspicious transactions involving corruption to the anti-

corruption authority was absent, and in one of these cases a duty by banks and tax authorities to spontaneously transmit information on suspected corruption was also absent, although prosecutors were entitled to request assistance from banks and financial institutions. Similarly, in another case the limited powers of the financial intelligence unit to obtain information and records from public and private sector institutions due to bank secrecy and confidentiality restrictions absent a court authorization in relevant cases were noted as a concern. Frequently, inter-agency memoranda of understanding or other networks of cooperation had been established. Initiatives to promote awareness of corruption in the private sector had also been taken in a number of States parties. The most common challenges in this area related to inter-agency coordination and limited capacity for implementation. A reluctance to report on the part of public officials, especially where anonymous reporting was not provided for, and fear of retaliation were observed in some cases. Recommendations were also issued to more fully implement the article.

Box 20

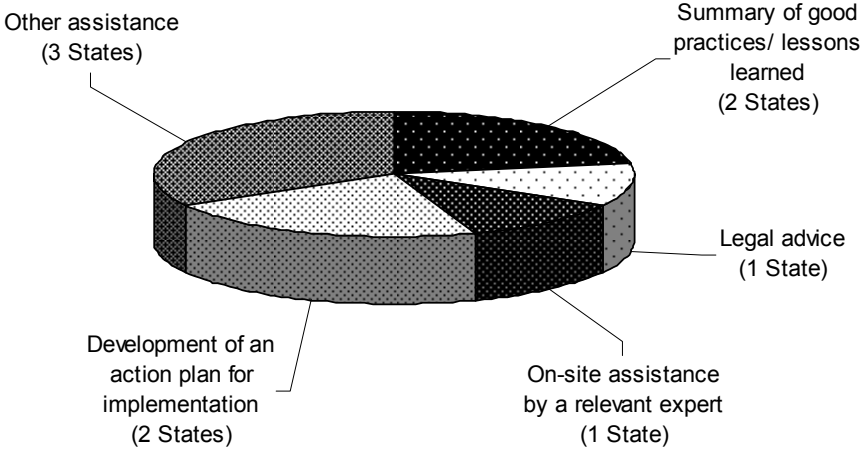
Examples of the implementation of article 39

In one jurisdiction, the reviewing States parties acknowledged the outreach by the anti-corruption commission to civil servants and the private sector as well as oversight of the legal profession. Lectures to the private sector comprised nearly half of the total workshops held and were also conducted together with civil society. Officials reported that the workshops served as an important safeguard and fostered corruption reporting.

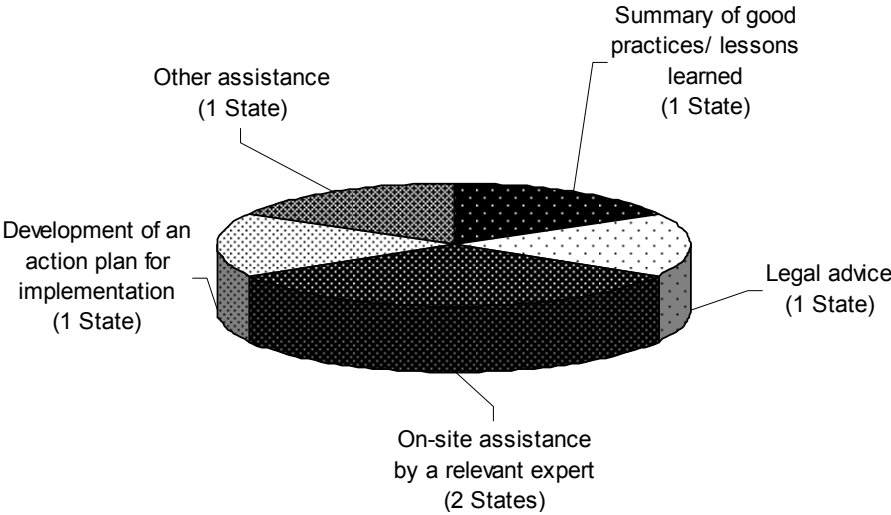
Technical assistance needs related to article 38

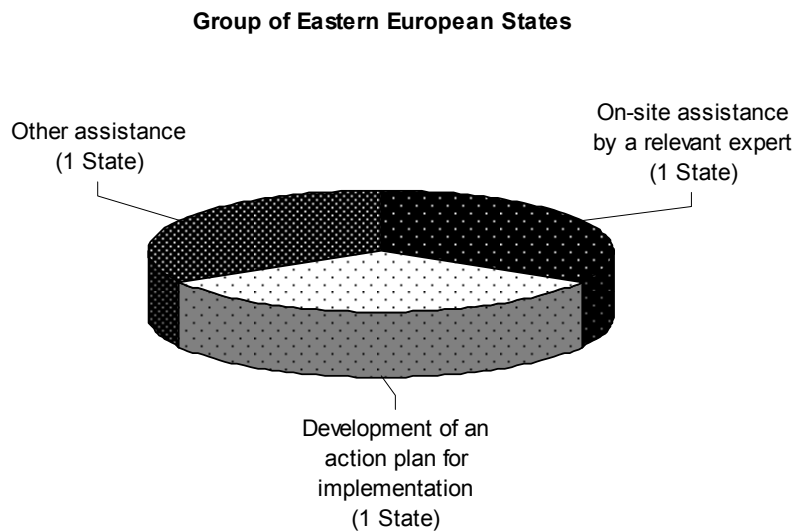
50. Of the seven States parties requesting technical assistance to support the implementation of article 38 of the Convention, the types of assistance requested were: other assistance (five States); on-site assistance by a relevant expert (four States); the development of an implementation action plan (four States); a summary of good practices and lessons learned (three States); and legal advice (two States). Other assistance included: measures to harmonize information, such as a case management system; financial and technical cooperation; and conducting surveys and developing thematic reports on the issue.

Group of Asian and Pacific States



Group of African States





B. Other provisions

Bank secrecy, criminal record and jurisdiction

51. In most jurisdictions, bank secrecy did not present significant issues, even in cases where bank secrecy rules were in place, although issues with regard to the lifting of bank secrecy were noted in a few jurisdictions. Most notably, in one case, difficulties for investigators to obtain the lifting of bank secrecy existed due to the particularly high standards of proof required by the supervising judge. In addition, concerns were noted about the lengthy treatment of requests for the lifting of bank secrecy by judges and the subsequent provision of information by concerned banks. A recommendation was issued to adopt suitable measures to facilitate the practical implementation of the standards on the lifting of bank secrecy. Delays in the lifting of bank secrecy were also observed in another case, as the procedure was regulated by court authorization upon request of the prosecutor. Such delays were not noted in one jurisdiction where judicial permission was not required, and additionally the law established an obligation of credit institutions to provide information as required. In another jurisdiction with bank secrecy rules in place, in practice these rules did not pose major difficulties and were limited by the duty to collaborate in accordance with the requirements of the public interest. In practice, this meant that banks and other financial institutions should facilitate access to data and precedents as required. In one case where bank secrecy rules were in place, the prosecutor's office had the authority, in investigations against civil servants for offences committed in the exercise of their functions, to order the disclosure of the suspect's current accounts and balances as a whole, and not only of specific transactions related to the issue under investigation. In one jurisdiction a recommendation was issued to address the requirement that permission of the Chairman of the Central Bank was needed for law enforcement agencies and judges, in practice, to obtain or seize bank, commercial or financial records from banks and other financial institutions.

52. In several jurisdictions previous convictions in another State could not be taken into account with regard to corruption offences, whereas provisions existed in

relation to other offences such as money-laundering, in one case, and the offences of human trafficking, drug trafficking, and acts of terrorism, in another. In a few cases the article had been implemented by reference to other international legal instruments, such as the European Convention on the International Validity of Criminal Judgments and the Convention on Mutual Assistance in Criminal Matters between the Community of Portuguese Speaking Countries. Additionally, in one case, the criminal law contained a rule stipulating that courts take into account verdicts of foreign courts in regard of alleged offenders in the cases established by international agreement. In some cases, the article had not been implemented or there were no laws or practice on criminal record.

53. Issues with regard to jurisdiction were noted in a few States parties that did not provide for extra-territorial jurisdiction in corruption matters. In one case, the requirement of double criminality was applied to offences committed abroad by or against a national, but this general principle was not applicable in respect of active and passive bribery of national and foreign public officials and members of Parliament and, additionally, the passive personality principle was limited by the requirement that the acts committed abroad be punishable by imprisonment of more than six months. In two cases, the passive personality principle had not been established, while in three other cases, both the active and passive personality principles were limited or had not been established. In three cases, additionally, the state protection principle was limited or had not been established, and a recommendation was issued accordingly. Nationals could only be prosecuted for offences committed abroad as permitted by existing treaties, in one case, and in another case on the basis of either a complaint by the victim or its legal successors or official denunciation by the authority of the country where the offence was committed. Several States parties had established measures that prohibit the extradition of nationals or allow such extradition only when applying international treaties and according to the principle of reciprocity, as discussed further in the thematic report on the implementation of chapter IV of the Convention (International cooperation) (CAC/COSP/IRG/2012/8).