

THEMATIC PROGRAMME

ACTION AGAINST TRANSNATIONAL ORGANIZED CRIME AND ILLICIT TRAFFICKING, INCLUDING DRUG TRAFFICKING

(2011 – 2013)



April 2011

Acronyms and Abbreviations

AML	Anti-Money Laundering
ARINSA	Asset Recovery Inter-Agency Network in Southern Africa
CARICC	Central Asian Regional Information and Coordination Centre
CBT	Computer-Based Training
CCPCJ	Commission on Crime Prevention and Criminal Justice
CND	Commission on Narcotic Drugs
COP	Conference of the Parties of UNTOC
CPS	Co-Financing and Partnerships Section (DPA/UNODC)
CSO	Civil Society Organization
CSS	Conference Support Section (OCB/UNODC)
CTED	Counter-Terrorism Committee Executive Directorate
CTF	Counter-Terrorism Financing
DO	Division for Operations (UNODC)
DPA	Department for Political Affairs (UN Secretariat)
DPA	Division for Policy Analysis (UNODC)
DPKO	Department for Peace Keeping Operations
DTA	Division for Treaty Affairs (UNODC)
ECOSOC	Economic and Social Council
EU	European Union
Eurojust	European Union Judicial Cooperation Unit
EUROPOL	European Police Office
FIU	Financial Intelligence Unit
FRONTEX	European Border Security
GCIC	Gulf Council Intelligence Centre
GMG	Global Migration Group
GoCASE	Computer-Based Case Management Tool
GoAML	Computer-Based Anti-Money Laundering Tool
GPML	Global Programme Against Money Laundering
ICAT	Inter-Agency Cooperation Group Against Trafficking in Persons
IEU	Independent Evaluation Unit (UNODC)
ILO	International Labour Organization
INTERPOL	International Criminal Police Organization
IMO	International Maritime Organization
ISACS	International Standards on Small Arms Control
ISS	Implementation Support Section
ITI	International Tracing Instrument
NGO	Non-Governmental Organization
OAS	Organization of American States
OCB	Organized Crime and Trafficking Branch (UNODC)
OCN	Anti-Organized Crime and Narcotic Prosecutors for Central America
OECD	Organization for Economic Cooperation and Development
OHCHR	Office of the High Commissioner for Human Rights
OSCE	Organization for Security and Cooperation in Europe
PNI	Criminal Justice Programme Network of Institutes

PoA	Programme of Action
PRC	Programme Review Committee
SOM	Smuggling of Migrants
StAR	Stolen Asset Recovery Initiative
STAS	Studies and Threat Analysis Section
TIP	Trafficking in Persons
TOC	Transnational Organized Crime
UN	United Nations
UN-CASA	United Nations Coordinating Action on Small Arms
UN.GIFT	United Nations Global Initiative to Fight Trafficking
UNCAC	United Nations Convention Against Corruption
UNCTAD	United Nations Conference on Trade and Development
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNESCO	United Nations Education, Scientific and Cultural Organization
UNGASS	United Nations General Assembly Special Session on HIV/AIDS
UNICEF	United Nations Children's Fund
UNODA	United Nations Office for Disarmament Affairs
UNODC	United Nations Office on Drugs and Crime
UNTOC	United Nations Convention Against Transnational Organized Crime
WACI	West Africa Coast Initiative
WCO	World Customs Organization
WHO	World Health Organization

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I. EXECUTIVE SUMMARY

This Thematic Programme on *Action Against Transnational Organized Crime* provides the framework for the United Nations Office on Drugs and Crime (UNODC) work against organized crime for the period 2011-2013. It outlines the context, the problems addressed and the challenges faced in preventing and combating organized crime in a globalized world. It describes the work of UNODC to assist countries in developing strategies, policies, action plans, programmes and projects in relation to all aspects of the United Nations Convention Against Transnational Organized Crime (UNTOC) and its three Protocols, as well as the three Universal Drug Conventions.

Global criminal activities are transforming the international system, changing the rules, creating new players and reconfiguring power in international politics and economics. States and international organizations have largely failed to anticipate the evolution of transnational organized crime into a strategic threat to governments, civil societies and economies.¹ The 2010 UNODC report on *The Globalization of Crime: A Transnational Organized Crime Threat Assessment*, the most comprehensive threat assessment undertaken to date, concludes that while the focus has been on combating organized criminal groups through investigation, arrest and detention, these efforts have done little to reduce the threats and minimize the impact of organized crime.

In the past ten years, the United Nations Office on Drugs and Crime (UNODC) has made considerable progress in understanding the dynamic nature of transnational organized crime, and its inherent linkages and interdependence to other aspects of UNODC's mandate: corruption, criminal justice reform, social development and health, and preventing terrorism and its financing. There is now a far better understanding of how easily illicit networks can "permeate" government agencies and institutions – be it customs, courts, police, banks, social service institutions or parliamentarians – and the influence that illicit networks can have in the private commercial sector, insidiously using bribery and corruption to undermine legitimate trade and undermine entrepreneurship and investment. This demonstrates the fundamental spoiler that transnational organized crime can present to democracy, governance, the rule of law and economic and social development.

As the guardian of UNTOC and its Protocols, UNODC has supported Member States in ratifying these instruments and to take the steps to give them effective implementation, through the drafting of better legislation that provides a holistic framework against organized criminal activities, and has provided intensive capacity building efforts, mainly in the area of law enforcement, trafficking in persons and smuggling of migrants. UNODC has tested innovative approaches to address the pervasive effects of transnational organized crime, and urgently prioritising the promotion of international cooperation in criminal matters, as an urgent priority.

One objective of this Thematic Programme is to review and revitalize the UNODC approach to transnational organized crime to place less emphasis on servicing multilateral processes, and to ensure that UNODC can deliver cutting edge upstream technical assistance. We aim to develop innovative responses to existing and emerging challenges, provide real and tangible services to Member States, to shape the nature of international policy making in a proactive manner, and to impact the lives of individuals, enhancing their security, productivity and quality of life.

¹ International Peace Institute Blue Papers, *Transnational Organized Crime*, p. 4, (2009).

This Thematic Programme develops responses to the six primary threats that have been identified. This response builds upon the Office's core comparative advantages and expertise as a criminal justice sector provider, to close the loop on organized crime, challenging its perpetrators, disrupting its flows and its proceeds, whilst simultaneously building a culture of prevention and zero tolerance for crime and corruption, both nationally, regionally and internationally. The proposed programme strikes a balance between supporting long-term institutional capacity development objectives (for example, through building legislative and regulatory frameworks in line with international conventions, standards and norms) and working in partnership with the Governments of Member States to implement their policy priorities and strategies in a tangible and impact-orientated way. The programme presented here has three sub-programmes:

- **Sub-Programme 1: International Policy, Knowledge and Trends** deals with UNODC's normative role in support of the Conference of the Parties (COP) of UNTOC and the International Drug Conventions. This sub-programme drives forward critical international planning and policy making towards the framework of a coordinated and comprehensive international response. In addition, given the dynamic, opportunistic nature of organized crime, UNODC will utilize its expertise and experience to develop an evidence-based understanding of organized crime, monitor new and emerging forms of organized crime and the challenges that they present.
- **Sub-Programme 2: Regional and National Capacity Building and Technical Assistance** guides the work of UNODC in ensuring the effective implementation of UNTOC and its Protocols through the provision of expert technical assistance, the creation of global tools (such as model laws, guides) and standardize proven approaches (through handbooks, case studies and international standards) which can serve as a platform for the customization of technical assistance and programme development via the **Regional or Country Programmes** which UNODC has already launched. These Programmes serve as an effective vehicle for Member States to promote international cooperation mechanisms, and build regional capacity in priority areas.
- **Sub-Programme 3: Human Trafficking and Migrant Smuggling** describes the UNODC response to two heinous forms of organized crime most frequently characterized by human rights violations. As both phenomena are complex, so too are the approaches required in response. In responding to the mandate offered to UNODC through the UNTOC Protocols against Trafficking in Persons and with clear political momentum provided by the Global Plan of Action, UNODC seeks to position itself as a policy lead and central hub for the international anti-human trafficking community, and to build capacity for coordinated action around the four pillars of both the Protocol and the Global Plan of Action: prevention, protection, prosecution and partnership.

The implementation of the Thematic Programme on Organized Crime and Illicit Trafficking, including Drug Trafficking, is a holistic exercise for all of UNODC, given the close inter-linkages and interdependencies of its mandates. However, the strategic leadership and accountability for delivery against this Thematic Programme is vested within the Division for Treaty Affairs, specifically the Organized Crime and Trafficking Branch (OCB) within UNODC, in close partnership and cooperation with the other substantive and geographical divisions of the Office.

To fully implement the current programme of work (which also covers research and advocacy activities undertaken by the Division for Policy Analysis and Public Affairs), the Organized Crime and Trafficking Branch currently has programme requirements of \$88 million for the duration of the programme (2011-13), with a shortfall at the time of writing of just under \$32 million.

II. INTRODUCTION

This Thematic Programme on *Action Against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking* provides the framework for the United Nations Office on Drugs and Crime (UNODC) work against organized crime for the period 2011-2013. It outlines the context, the problems addressed and the challenges faced in preventing and combating organized crime in a globalized world. It describes the work of UNODC to assist countries in developing strategies, policies, action plans, programmes and projects in relation to all aspects of the United Nations Convention Against Transnational Organized Crime (UNTOC), its three Protocols, and the three universal drugs conventions.

An important goal of this Thematic Programme is to review and revitalise UNODC's approach to transnational organized crime: to ensure that UNODC is well placed to develop innovative responses to emerging challenges, provide real and tangible services to Member States, to shape the nature of international policy making in a proactive manner, and to have impact on the lives of individuals: enhancing their security, productivity and quality of life.

In seeking to achieve this goal, a number of guiding principles were developed that draw from ten years of lessons learned and experience as the guardian of UNTOC; these principles lead to a stronger understanding of the interdependencies of UNODC's various mandates and the key value-added that UNODC brings to the international community; which in turn lead to the development of a programmatic response and a set of key service lines. It also outlines UNODC mandates, services, strategic objectives, implementation strategy, partnerships and funding needed in order to achieve the proposed objectives.

This Thematic Programme is based on the relevant elements of the *Strategy for the period 2008-2011 for the United Nations Office on Drugs and Crime*² (hereinafter UNODC Medium-Term Strategy), the *Strategic Framework for the Period 2010-2011*³ and the Strategic Framework for the Period 2012-2013⁴. While this Thematic Programme should provide an overview of all of UNODC's work in transnational organized crime and illicit trafficking, activities pursued under this Thematic Programme are complemented and supported by UNODC activities under other relevant thematic, regional and country programmes as well as relevant elements of UNODC programme of work under the regular-budget and extra-budgetary contributions of the United Nations. This Thematic Programme, therefore, must be read in conjunction with these documents.

As the guardian of UNTOC and its Protocols, UNODC has supported Member States in ratifying these instruments and to take the steps to give them effective implementation, through the drafting of better legislation that provides a holistic framework against organized criminal activities, and has provided intensive capacity building efforts, mainly in the area of law enforcement, trafficking in persons and smuggling of migrants, testing innovative approaches to address the pervasive effects of transnational organized crime, and finally through the promotion of international cooperation in criminal matters, as an urgent priority.

In the past ten years, UNODC has made considerable progress in understanding the dynamic nature of transnational organized crime, and its inherent linkages and interdependence to other aspects of

² UNODC Strategy 2008-2011, *Towards Security and Justice for all: Making the World Safer from Crime, Drugs and Terrorism*, E/CN.7/2007/14–E/CN.15/2007/5.

³ UN Document A/63/6 (Prog. 13), 3 March 2008.

⁴ UN Document A/65/6 Prog. 13

UNODC's mandate: corruption, criminal justice reform, social development and health, and preventing terrorism and its financing. There is now a far better understanding of how easily illicit networks can "permeate" government agencies and institutions – be it customs, courts, police, banks, social service institutions or parliamentarians – and the influence that illicit networks can have in the private commercial sector, insidiously using bribery and corruption to undermine legitimate trade and undermine entrepreneurship and investment, showing the fundamental spoiler that transnational organized crime can present to democracy, governance, the rule of law and economic and social development.

The Thematic Programme laid out here is the product of a critical and reflective exercise, which has comprehensively examined the efficacy of UNTOC and its Protocols, and the impediments that have prevented them from constituting a vibrant response to a volatile threat. It proposes a comprehensive analytical, policy and programmatic response that draws on the entire spectrum of UNODC's expertise, comparative advantage and experience.

A key overall objective of this Thematic Programme is to define the framework by which the Office will play a more active policy/advocacy role at the global level, with a view of "influencing" the policies of Member States towards a more balanced agenda for development, peace, justice and security. Activities that States fail to regulate tend to fall under the control of socially excluded communities who respond to their lack of opportunity by creating their own sources of credit, job access and security, thereby making communities complicit in the criminal activities as their primary livelihood opportunity.⁵

It is clear from the latest literature in the development sphere, that one of the shortcomings of the Millennium Development Goals were the lack of concrete measures on equality and social justice, and the causal link to the rule of law. High levels of inequality within a society are associated with higher levels of crime, violence, mental illness, and prison populations. UNODC's approach to transnational organized crime and illicit trafficking, including drug trafficking is through a criminal justice response, intended to promote the rule of law, social justice and reduce inequality, thereby addressing the root of the problem, whilst at the same time mitigating its symptoms.

Since March 2011, UNODC has been appointed by the Secretary-General to co-chair a system-wide taskforce to address the challenges presented by transnational organised crime and drug trafficking in a comprehensive and holistic way. The decision by the Secretary-General was based upon the clear realisation that the United Nations Convention on Transnational Organised Crime (UNTOC) can only hope to have a true impact if UNDOC, as guardian of the Convention, can project its mandate beyond the criminal justice and security mandates of UNODC and mainstream it into the UN System at large. This Task Force is intended to be the means by which the United Nations will organise itself to better respond to the inter-twined security threats which are occurring in our fluid, fast-globalizing world.

⁵ The Globalization of Crime: A Transnational Organized Crime Threat Assessment, p. 27

III. NATURE OF THE CHALLENGE

In the past decade, there has been significant growth in the illicit trafficking of drugs, people, firearms and ammunition, and natural resources. Trafficking in these and other commodities is generally characterized by high levels of organization and the presence of strong criminal groups and networks. While such activities existed in the past, both the scale and the geographic scope of the current challenge are unprecedented. According to one recent estimate, 7 to 10% of global economic output is attributable to illicit trade. In 2009, the value of illicit trade around the globe was estimated at US\$ 1.3 trillion and increasing.

Transnational organized crime is of growing concern, and particularly illicit trade's broad impact on peace, security, development, governance, the rule of law, public health and human rights. Global criminal activities are transforming the international system, changing the rules, creating new players and reconfiguring power in international politics and economics. States and international organizations have largely failed to anticipate the evolution of transnational organized crime into a strategic threat to governments, civil societies and economies.⁶ Few, if any, countries are exempt.

In a number of drug producing countries, drug trafficking fuels brutal and long standing insurgencies. In several transit regions, criminal groups spread violence, fear and insecurity. These groups undermine already weak state authority and the rule of law by spreading corruption, compromising elections, and hurting the legitimate economy. In some regions, there is increasing convergence between organized crime and terrorist groups. In others, national counter-narcotic efforts have resulted in serious human rights violations. In most transit regions, the drug trade is causing significant increases in drug use, making it a prominent contributor to the spread of HIV/AIDS. Most visibly, the problem of piracy off the coast of Somalia is perpetuating the lack of security, economic opportunity and rule of law that caused its development and now poses a serious threat to Somalia, the region and globally.

Counter-narcotics efforts have long been dogged by the displacement effect – successes in suppressing production and trafficking in one country or region lead to the problem emerging elsewhere. When drug trafficking finds new routes, other forms of organized crime tend to follow. Drug trafficking groups are diversifying into other criminal businesses, such as trafficking in other illicit products, extortion, kidnapping, protection rackets, gambling, prostitution, and extortion. In all cases, criminal influence and money are having a significant impact on the livelihoods and quality of life of citizens, most particularly the poor, women and children.

Against this background, UN Member States and regional organizations are increasingly turning to the UN to support them in their struggles against these challenges. The 2005 World Summit Outcome Document expressed Member States' "grave concern at the negative effects on development, peace and security and human rights posed by transnational crime", highlighting the UN's role in addressing the threat. In December 2009 and February 2010, the UN Security Council adopted two Presidential Statements on the issue requesting the Secretary-General to "provide information on drug trafficking and related issues where it risks threatening or exacerbating an existing threat to international peace and security"⁷ and inviting him to "consider these threats as a

⁶ International Peace Institute Blue Papers, Transnational Organized Crime, p. 4, (2009)

⁷ (S/PRST/2009/32)

factor in conflict prevention strategies, conflict analysis, integrated missions' assessment and planning and to consider including in his reports, as appropriate, analysis on the role played by these threats in situations on its agenda"⁸. Meanwhile, in numerous regions of the world, Member States are increasingly seeking the support of UNODC (sometimes in cooperation with other UN entities) to help them foster regional counter-narcotics cooperation.

The three Universal Drug Conventions against drug control, and more recently the United Nations Convention against Transnational Organized Crime (UNTOC) and its Protocols on Human Trafficking, Migrant Smuggling and Trafficking of Firearms, constitute the key framework for a strategic response. Yet, the 2010 UNODC report on *The Globalization of Crime: A Transnational Organized Crime Threat Assessment*, the most comprehensive threat assessment undertaken to date, concludes that while the focus has been on combating organized criminal groups through investigation, arrest and detention, these efforts have done little to reduce the threats and minimize the impact of organized crime. On its own, eliminating the groups and networks involved in illicit trafficking is not enough. As long as there is demand for illicit goods and services, the lucrative rewards involved will continue to serve as strong motivating factors and law enforcement initiatives will have only limited impact. Rather, global strategies, involving a wide range of both public and private actors, are required to address global trafficking. As the 2010 report makes clear, this may mean regulating selected international commercial flows which now have strong connections to illicit markets that have grown faster than our collective ability to manage them.⁹

To overcome the challenges of organized crime will require a very effective, coordinated and multilateral response across a range of sectors to put the puzzle pieces together to tackle organized crime in all its forms. UNODC has identified six key challenges to a multilateral response to transnational organized crime, which this Thematic Programme is intended to address:



(i) Lack of evidence base and understanding of the nature of the challenge;

The changing nature and continuous adaptability of transnational organized crime means that efforts to quantify the extent of the problem are frustrated. Figures and statistics are even more difficult to

⁸ (S/PRST/2010/4)

⁹ *The Globalization of Crime: A Transnational Organized Crime Threat Assessment*, Key Findings, vi.

tally where there is an absence of international information sharing mechanisms. The 2010 UNODC threat assessment report *The Globalization of Crime: A Transnational Organized Crime Threat Assessment*, which is the first attempt at identifying, tracking and understanding the flows of criminal activity, posited that there are at least two competing definitions of organized crime: the first focuses on particular groups of people, while the second focuses on particular types of crime.¹⁰ However, little further is known about either, given the naturally covert nature of the problem and the lack of coordination of international actors. Further research, data collection and analysis are imperative to developing an effective national and multilateral response.

(ii) Inadequate progress on the implementation of the international legal framework and multilateral instruments against transnational organized crime;

UNTOC was opened for signature in December 2000. It marked a major breakthrough in the global fight against international criminal activity, reflecting the shared view of the international community that the United Nations has a fundamental role to play in helping States to prevent and combat this global challenge. UNTOC sets forth minimum legal and regulatory tools that countries should have in order to combat all forms of transnational organized crime. It provides a mechanism to enhance international judicial cooperation between countries to work together to fight transnational organized crime. Most States have ratified UNTOC and many are taking steps to give it effective implementation. But to date, there is still much work to be done for many States in using the most basic and useful tools effectively. The understanding of and challenges posed by transnational organized crime have changed, and it needs to be evaluated how to ensure that UNTOC is best positioned to respond to that threat. Methodological work to define how organized crime can be measured at national and international level is also needed in order to have better tools to monitor trends overtime.

(iii) Insufficient capacity and coordination between law enforcement institutions at the national level to investigate transnational organized crime.

Traditional responses to combating crime rely on national law enforcement capabilities and criminal justice institutions, and are focused predominantly on the impacts of crime only as these were perceived domestically. In other words, origin, transit and destination countries have attempted to tackle transnational organized criminal activity in a piecemeal fashion by focusing on the groups and individual perpetrators at work within their borders. As transnational organized crime continues to expand and flourish it is evident that this approach is ineffective. The perception today is that traditional organized criminal structures have reacted and adapted to the national law enforcement mechanisms commonly used to combat them. In fact, there is a growing consensus that criminal organizations have become more versatile, nimble and flexible, rendering them far better able to adapt to the changing needs of the criminal marketplace than the national institutions designed to stop them.

States must continue to strengthen their own capacity but, given the global nature of the threat, national efforts must form part of a coordinated multilateral response. In this regard, intelligence sharing and targeted law enforcement cooperation between Member States as well as judicial cooperation for mutual legal assistance and extradition, must be accepted as a way of strengthening national sovereignty, not of surrendering it.¹¹ Transnational criminal networks are well organized. It is therefore critical that the approaches of national, regional and international bodies be more

¹⁰ *The Globalization of Crime, The Threat of Transnational Organized Crime*, p.19

¹¹ IPI Blue Paper, p. 8.

coordinated and comprehensive; attention needs to be directed toward establishing mutually cooperative systems to monitor illicit flows, share intelligence and carry out joint operations.¹²

(iv) Weaknesses in criminal justice institutions and legal frameworks for international cooperation to effectively prosecute organized crimes

In seeking to address transnational organized crime, the linkages between international justice and domestic justice must be more clearly recognized. There must be an alignment of initiatives at the international level with overall efforts to strengthen rule of law assistance to Member States. In our experience, without an understanding of fundamental principles of the rule of law and capacity of legislators and policy makers to uphold it through an effective national legal framework, there can be no effective response to criminal activities. Throughout the wide range of UNODC mandates -- terrorism prevention, corruption or organized crime and trafficking – it is essential to build and support the culture of lawfulness, faith in the criminal justice system and a strong stance against impunity for criminal activities. Thus, the capacity and will to carry out effective prosecutions and trials of organized crimes require as a foundation, independent judges, a professional prosecutorial and defence bar, and functioning judicial infrastructure and honest and capable law enforcement agencies. And yet, the implementation of UNTOC and the three Universal Drugs Conventions requires more specific skills and tools as well. This reflects the reality that trying a complex organized crime case, or one involving trafficking in persons or piracy, will often be far more challenging – technically, logistically, and in other ways – and require more developed skills, knowledge and capacity - than trying a regular criminal case.

(v) Lack of information sharing and international cooperation to track and prevent the financial flows of proceeds of organized crimes.

The Report of the High-Level Panel on Threats, Challenges and Change noted that criminal groups involved in drug trafficking have major security implications. It has been estimated that criminal organizations gain \$300 to \$500 billion annually from narcotics trafficking alone, which in some regions can rival national GDP. Other types of organized criminal activities likewise generate huge (though difficult to quantify) profits. In addition to the personal and societal consequences of organized crime, the enormous purchasing power that comes from the financial proceeds of organized crime poses a threat to society, and thus to international peace and security.

(vi) Lack of attention and awareness to the potential victims of transnational organized crime and building better understanding of the threats of transnational organized crime to society at large.

Importantly, *The Globalization of Crime, The Threat of Transnational Organized Crime* explains that while many forms of organized crime involve violence or carry personal consequences, the threats must also be measured in terms of both direct and indirect impacts to society. For example, in destination countries, the impacts of drug trafficking may be realized in the numbers of individuals addicted to illegal drugs. For the users, the impacts may carry serious physical and mental health consequences. This, in turn, affects families, communities and society through the costs of drug-related accidents, lost productivity, child neglect, abuse and psychological damage. However, it must also be noted that while the individual human costs may be more obvious in one region, countries rarely appreciate the spill-over effects in others, whether an origin, transit or destination country. As

¹² Antonio Maria Costa, Address to the Security Council, 6277th Meeting, 24 February 2010. S/PV.6277, p.4

the report highlights, “only when viewed globally are the net costs of trafficking apparent, and only national governments, not their organized crime substitutes, have any incentive to look globally.”¹³

Transnational organized crime cannot be combated solely through repressive and reactive measures, but requires also the use of effective preventive measures and strategies to protect its citizens and public institutions, as well as legitimate business from being infiltrated and controlled by organized criminal groups. UNODC is emphasising such a preventative approach, as well as seeking to secure the human rights of the victims in all contexts. In particular it has focused on increasing understanding and awareness of the threats of organized crime, trafficking and smuggling at the community level.

¹³ The Globalization of Crime, The Threat of Transnational Organized Crime, p. 35

IV. UNODC MANDATES

(A) International Legal Framework and Mandates

The United Nations Convention Against Transnational Organized Crime and its Protocols

Preventing and combating transnational organized crime requires a comprehensive and multidisciplinary approach. In recognition of this fact, Member States negotiated the United Nations Convention Against Transnational Organized Crime (UNTOC), the only global international convention relating to organized crime. It was opened for signature in December 2000 and currently has 159 States Parties. It marked a major breakthrough reflecting the shared view of the international community that the UN has a fundamental role to play in helping States to prevent and combat this global challenge.

UNTOC seeks to address transnational organized crime in all its aspects, and constitutes an effective tool providing the necessary legal framework to combat and prevent transnational organized crime through international cooperation. The Convention did not define the multifaceted and sometimes rather complex phenomenon of organized crime itself, but did define an ‘organized criminal group’ as a “structured group of three or more persons, existing for a period of time and acting in concert with the aim of committing one or more serious crimes or offences... in order to obtain, directly or indirectly, a financial or other material benefit.”¹⁴ This broad definition has allowed considerable scope for considering the role of organized crime in an array of offences and/or criminal activities. UNTOC remains relevant due largely to its expansion of the concept of criminal activity beyond individual criminal activities and actors, to focus on organized criminal groups, and to broaden the definition to a more flexible understanding of “serious crimes” as opposed to specific activities, noting the highly adaptable and nimble nature of transnational organized criminal groups. Also, for the first time, UNTOC identified as a crime the participation in an organized criminal group, as well as corruption, money laundering and the obstruction of justice. The activities covered by these offences are vital to the success of sophisticated criminal operations and to the ability of offenders to operate efficiently, generate substantial profits and to protect themselves as well as their illicit gains from law enforcement authorities. They constitute, therefore, the cornerstone of a global and coordinated effort to counter serious and well-organized criminal markets, enterprises and activities.¹⁵ UNTOC also offered more aggressive counter measures: the confiscation of the proceeds of organized crime and other property; mutual legal assistance and extradition; assistance to and protection of victims and witnesses; special investigative techniques; expansion and enhancement of the role of law enforcement cooperation and training; technical assistance; prevention; and information sharing.

UNTOC also has three supplementary Protocols that address particular types of organized criminal activity that require specialized provisions: the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (Trafficking in Persons Protocol);¹⁶ the Protocol against the Smuggling of Migrants by Land, Sea and Air (Smuggling of Migrants Protocol);¹⁷ and the Protocol

¹⁴ UNTOC, Article 2(a).

¹⁵ *Legislative Guides for the Implementation of the United Nations against Transnational Organized Crime and the Protocols Thereto*, para 39, p. 17.

¹⁶ General Assembly resolution 55/25, annex II.

¹⁷ General Assembly resolution 55/25 of 15 November 2000.

against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition (Firearms Protocol).¹⁸ These Protocols are legally binding and complementary to the Transnational Organized Crime Convention for those States that have ratified them.¹⁹

Trafficking in Persons

The legal and conceptual framework for the anti-trafficking in persons work of UNODC is the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children²⁰ (Trafficking in Persons Protocol), supplementing UNTOC.

The Trafficking in Persons Protocol is the first universal instrument to define and to attempt to address trafficking in persons in a comprehensive manner: its objectives are the prevention of trafficking, the prosecution of traffickers and the protection of victims of trafficking in persons, as well as the promotion of international cooperation to this end. The thematic programme also corresponds to the United Nations General Assembly Resolutions 61/180 and 63/194 on improving the coordination of efforts against trafficking in persons and Resolution 64/293 on the United Nations Global Plan of Action to Combat Trafficking in Persons adopted on 30 July 2010.

The primary role of UNODC in respect to the Protocol is to assist Member States fully implement the Trafficking in Persons Protocol, UNODC's technical assistance programme is, in turn, defined by the instrument and focuses on legislative assistance, strategic planning and policy development, data collection and research, criminal justice system responses, victim protection and support, international cooperation and prevention and awareness raising.

UNODC also leads or coordinates a number of initiatives that stem from its status as the guardian of this Protocol: its coordinating role within the Inter-Agency Coordination Group against Trafficking in Persons (ICAT); its role as financial administrator, host and Steering Committee member of the United Nations Global Initiative to Fight Human Trafficking (UN.GIFT); and as fund manager of the United Nations Voluntary Trust Fund for Victims of Trafficking in Persons, Especially Women and Children. These roles and responsibilities within the UN System and the broader international community are described in greater length in Section VIII, relating to Sub-Programme 3 of this Thematic Programme.

Smuggling of Migrants

The work of UNODC in countering migrant smuggling is guided by the Protocol against the Smuggling of Migrants by Land, Sea and Air²¹ (the Smuggling of Migrants Protocol), supplementing UNTOC. The purpose of the Smuggling of Migrants Protocol is to prevent and combat migrant smuggling, protect the rights of smuggled migrants, and promote international cooperation to those ends. Therefore, the Smuggling of Migrants Protocol requires the criminalization of *"...the procurement, in order to obtain, directly or indirectly, a financial or other material benefit, of the illegal entry of a person into a state party of which the person is not a national"*,²² and also requires states to criminalize producing, procuring, providing or possessing fraudulent travel or identity documents when done for the purpose of enabling smuggling of migrants. Moreover, through its studies and data collection activities, UNODC aims to enhance the general knowledge on this phenomenon.

¹⁸ General Assembly resolution 55/25 of 31 May 2001.

¹⁹ UNTOC, Article 37.

²⁰ As of October 2010 the Trafficking Protocol has 141 State parties.

²¹ As of December 2010, the Smuggling of Migrants Protocol has 126 State Parties.

²² Article 3 of the Smuggling of Migrants Protocol

When adopting the Smuggling of Migrants Protocol, Member States expressed deep concern about the negative economic and social implications related to organized criminal activities. The Smuggling of Migrants Protocol is the primary source of States' responsibilities to prevent, suppress and punish migrant smuggling. The Smuggling of Migrants Protocol offers the legal and conceptual framework for a global criminal justice response to migrant smuggling, containing provisions on the definition and criminalization of migrant smuggling and criminal conduct. The Smuggling of Migrants Protocol addresses all forms of migrant smuggling, and provides comprehensive provisions regarding the very particular challenges involved in combating smuggling of migrants by sea. The Smuggling of Migrants Protocol also calls for the protection and assistance of smuggled migrants who have certain inalienable rights arising from international law.²³ Where criminal justice responses to migrant smuggling focus only on the migrants, the criminal groups who are smuggling them can continue their crimes unchallenged. UNODC's response to smuggling of migrants is to promote global adherence to the Smuggling of Migrants Protocol and assist governments in their efforts to effectively implement it, thereby dismantling the criminal groups involved in the crime.

Trafficking in Firearms

Firearms misuse and illicit trafficking is a complex and multifaceted problem that touches on several aspects of UNODC's mandate. Firearms are associated with armed conflicts and with high crime and violence rates in many regions of the world (in particular urban and gang criminality, domestic violence and violence against women and youth). However, it is also important to acknowledge the growing link between firearms and other forms of organized crime, including *inter alia*, drugs and other forms of illicit trafficking, terrorism and terrorist financing. Firearms are high profit commodities frequently trafficked and exchanged illegally, and are often the major means through which illegal armed groups and criminal organizations perpetrate and strengthen their power.

The Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition²⁴ (the Firearms Protocol) entered into force on 3 July 2005 and currently has 83 States Parties. The Firearms Protocol seeks to promote, facilitate and strengthen the capacities of States to effectively regulate firearms and ammunition, control their transfers, prevent and combat their diversion into the illegal circuit, and enhance cooperation among States Parties to this end. By addressing the legal and illegal aspects of the firearms problem, the Firearms Protocol sets the stage for States to adopt a comprehensive legal regime to regulate the licit flow of arms without hampering legitimate movements, while preventing and combating its illegal manifestations. The Firearms Protocol includes a series of crime-control measures aimed at facilitating the investigation and prosecution of firearms specific offences.

The Firearms Protocol is the only global, legally binding instrument on firearms control. It is The Firearms Protocol is the only global, legally binding instrument on firearms control. It's ratification and full implementation is therefore of pivotal importance to prevent and combat the illicit trafficking in firearms and ammunition. The Protocol is complemented by other global, politically binding, instruments such as the UN Programme of Action (PoA), also adopted in 2001, and the

²³ E.g. The 1951 Convention relating to the Status of Refugees, and the 1990 International Convention on the Protection of the Rights of all Migrant Workers and Members of their Families – The International Framework for Action to Implement the Smuggling of Migrants Protocol provides further details on international law applying to smuggled migrants

²⁴ As of November 2010, the Firearms Protocol has 83 State Parties

International Tracing Instrument (ITI)²⁵ of 2005, both negotiated and developed with the aim to address, from a disarmament perspective, the problem of firearms proliferation and misuse of, and the illicit trade in small arms and light weapons, establishing a comprehensive control regime. These three instruments complement each other and form the 'global building blocks' for international small arms control. Several regional legal and political instruments, adopted from 1997 onwards in different regions in the world, complement this normative framework.

UNODC assists Member States in the implementation of the Firearms Protocol in an integrated and coherent manner, in line and in conjunction with its parent Convention, through preventive and control measures, evidence based research, the development of legal and technical tools, legislative assistance, capacity building and international law enforcement and judicial cooperation for enhanced investigation and prosecution of these and related forms of crime.

As an active member of the United Nations Coordinating Action on Small Arms (UN-CASA), an inter-agency mechanism composed of 19 United Nations Agencies and Programmes working in the field of arms and armed violence, UNODC is also contributing to the development of International Standards on Small Arms Control (ISACS).

Drug Conventions and Protocols

Drug trafficking is linked to all other forms of transnational organized crime and illicit trafficking. The primary tools available to the international community and multilateral systems to respond to this pervasive and destructive threat are the three Universal UN Drug Conventions: the Single Convention on Narcotic Drugs of 1961 and its 1972 Protocol; the Convention on Psychotropic Substances of 1971; and the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988.

Aware of the complexity of the challenge presented by the global drug trade, in 1998 the UN General Assembly Special Session (UNGASS) adopted a Political Declaration and Action Plan based on the fundamental principle of shared responsibility, and the need to take a balanced and integrated approach to cope with both the demand and supply of drugs and precursors, through comprehensive and sustainable alternatives to both production and consumption, and through extensive international and law enforcement cooperation. The Commission on Narcotic Drugs (CND) held a high-level segment in 2008 to follow-up on progress achieved by Governments in meeting the goals and targets for the year 2008 set out in the UNGASS Political Declaration and Action Plan, which reaffirmed the fundamental principles, but provided a revised and updated approach. The 2009 CND devoted itself to countering the world drug problem together; to identify future priorities and areas requiring further action and goals and targets to be established for drug control beyond 2009; and to adopt a political declaration and other measures to enhance international cooperation.

²⁵ United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (PoA), adopted in 2001, and the International Instrument to Enable States to Identify and Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (ITI) of 2005.

Money-Laundering

UNTOC gives legal force to a number of matters addressed in the 1998 Political Declaration and Action Plan against Money-Laundering²⁶ and provides sets of preventive and criminal measures to establish a legal and regulatory regime for any entity vulnerable to money-laundering.

The 1988 Drugs Convention was the first instrument to provide a legal definition of money-laundering. It also included inter alia provisions for confiscation of proceeds of crime. Both the Transnational Organized Crime Convention and the UN Convention Against Corruption (UNCAC) have forcefully highlighted the crucial importance of action against money-laundering. UNTOC requires the criminalization of money laundering and the establishment of a domestic regulatory and supervisory regime for banks and other financial institutions to combat money laundering and recommend the setting up of financial intelligence units. UNCAC is the latest and most innovative instrument of international criminal law, and includes state-of-the-art measures against money-laundering for any money remitters providing formal or informal services. UNCAC also includes one chapter on asset recovery that contains detailed anti-money laundering prevention provisions. The 1999 International Convention for the Suppression of the Financing of Terrorism²⁷ requires Member States to criminalize the financing of terrorism and to take measures to protect their financial systems from being abused by persons planning or engaged in terrorist activities,²⁸ and Security Council Resolution 1373, which was adopted just days after the September 11 terrorist attacks on the United States, makes provision to restrict the movement, organisation and fund-raising activities of terrorist groups, and encouraged member states to share intelligence to fight international terrorism.

New, Emerging and Re-emerging Crimes

In striving to achieve more vigorous and universal implementation of UNTOC, its Protocols, and the three Universal Drugs Conventions, the adaptive and market-driven approach of organized crime is a constant challenge. As previously noted, organized crime adroitly exploits open borders and communications, they can adapt to cater to the demands of the day and engaged into lucrative businesses- endangered species, human organs, cultural property, timber, fraudulent medicines, blood diamonds, child pornography or cheap labour. As goods, services and people migrate, criminal justice systems and law enforcement methods are often no match for powerful criminal networks. Following are examples of new and emerging crimes on society:

- i. Trafficking in natural resources: timber from South East Asia to the European Union and Asia accounts for criminal revenues of \$3.5 billion annually-and contributes to deforestation, loss of habitat and loss of species, climate change and increased rural poverty.
- ii. Fraudulent medicines from Asia valued at \$1.6 billion end up in South-East Asia and Africa, where instead of curing people, they kill them. Fraudulent medicines can also foster drug-resistance among deadly infectious diseases like malaria and tuberculosis.
- iii. Cybercrime and identity theft produces \$1 billion for criminals each year, with a far-reaching impact on the economy and online commerce. Information and communication technologies

²⁶ Adopted at the Twentieth Special Session of the United Nations General Assembly devoted to "countering the world drug problem together", New York, 10 June 1998

²⁷ Adopted by the General Assembly of the United Nations in resolution 54/109 of 9 December 1999

²⁸ In addition to the UN Conventions, UN Security Council Resolutions 1267(1999), 1373 (2001), 1540 (2004), 1566 (2004), and 1624 (2005) call on Member States to combat terrorism, including the financing of terrorism.

also feed the market for child pornography, with profits of \$250 million annually-and untold costs in terms of the victimization of children.

- iv. Organ trafficking and trafficking in persons for organ removal constitute an increasing crime problem on an international level. The World Health Organization (WHO) estimated that organ trafficking accounts for 5-10% of the kidney transplants performed annually throughout the world (WHO 2007).
- v. Trafficking in cultural property is increasingly linked to organized crime and is also becoming an important source for laundering of proceeds of crime. There is an urgent need for robust global, inter-regional and regional responses to stem illicit activity, and a comprehensive, system-wide response that strengthens resistance to organized crime at its points of origin, along trafficking routes, and at the final destinations for its illicit goods. Legal gaps need also to be taken dully into account, where existing, in order to address these emerging forms of crime in an effective manner.

It is clear from recent COP and meetings of the UNODC governing bodies that priorities over this Thematic Programme Period under emerging and re-emerging crimes will include: cybercrime, piracy, fraudulent medicine and organ trafficking, and trafficking in cultural property.

V. UNODC STRATEGIC RESPONSES

One objective of this Thematic Programme is to review and revitalize UNODC's approach to transnational organized crime and trafficking, including drug trafficking – to focus not only on servicing multilateral processes, but to ensure that UNODC can deliver cutting edge upstream technical assistance. We aim to develop innovative responses to existing and emerging challenges, provide real and tangible services to Member States, to shape the nature of international policy making in a proactive manner, and to have impact in the lives of individuals, enhancing their security, productivity and quality of life.

(A) UNODC Comparative Advantage

The Office has four strong comparative advantages that shape the overall framework adopted to respond to the issue of transnational organized crime and illicit trafficking:

1. **UNODC is responsible for both normative and programmatic work:** UNODC is the guardian of the Organized Crime Convention and its Protocols, as well as the three universal drugs control conventions and has the knowledge and the expertise to provide assistance within the framework of these seven instruments. There must be a closer link between the normative work of UNODC in the area of transnational organized crime/illicit trafficking and programmatic responses being developed and implemented in the field and at HQ.
2. **UNODC has expertise in the analysis of criminal activities, illicit trafficking and transnational organized crime:** Both normative and programmatic responses to transnational organized crime must rely on UNODC's own growing analytical work in the area of criminal activities and illicit trafficking, both globally, but also more importantly in the context of technical assistance at the regional and national level. International experience is increasingly showing that the response to transnational organized crime requires a high level of coordination within and between Governments and the bringing together of different expertise. The same should apply to technical assistance work in the area: UNODC will promote a tailored 'package' of responses rather than a range of separate and disconnected interventions. That 'package' could be brought to bear also in cases of emerging crimes, including for example the involvement of transnational organized criminal groups in cybercrime, the illicit trafficking of flora and fauna and trafficking in cultural property, fraudulent medicines and organs. UNODC has also been mandated by Member States to collect data on different forms of crime and it is therefore the unique hub for the collection, processing and analysis of data on the crimes which have a transnational nature.
3. **The UNODC response is couched within the framework of criminal justice, rule of law and respect for human rights:** UNODC is the guardian of the UN Standards and Norms on Crime Prevention and Criminal Justice which shape the overall programmatic response of the Office. Several recent and major programmes, most notably that in West Africa and the work on piracy, have sought to ensure that the response to illicit activities is through the strengthening the overall criminal justice response (prevention, border control, investigations, prosecutions, the judiciary and prisons) within the framework of the rule of law and in full respect for international standards of human rights.
4. **UNODC as a multilateral agency is well placed to conduct cross-border/regional work:** A key comparative advantage for UNODC in the area of technical assistance in the area of organized

crime related to cross-border responses. Several major and emerging programmes on transnational organized crime/illicit trafficking (West Africa, Afghanistan and surrounding countries, and piracy off the coast of Somalia) have strong regional components where UNODC is seen as a leader. In particular, regional responses to illicit trafficking that affects weak, fragile and post-conflict states is of particular importance to isolate the spread of the phenomenon.

What are the implications of these comparative advantages for structuring a response from UNODC?

- A closer integration between various specialist areas within the Office working on transnational organized crime and illicit trafficking;
- Building stronger links between the normative and political processes of the Transnational Organized Crime Convention and UNODC's programmatic work in the field in a more systematic way;
- Linking the growing research output of the office in the area of transnational organized crime/illicit trafficking with its normative and programmatic response, most particularly through the completion of several regional studies on transnational organized crime/illicit trafficking and a global one on illegal financial flows in the coming months.
- A focus on expanding programming in the field which presents a 'package' of coordinated responses to Member States within a criminal justice and rule of law framework;
- Placing a strategic focus on cross-border and regional responses to transnational organized crime/illicit trafficking, particularly in respect of isolating the spread of the phenomenon from post-conflict or fragile states;
- Placing a focus on providing UNODC's expertise – that is, specialist expertise on any criminal market within the framework of a criminal justice response – to assist in countering new and emerging crimes; and,
- Engaging in an active process of lesson learning from those initiatives where UNODC is exploiting its comparative advantages (most notably piracy, the response to illicit trafficking in West Africa and the emerging regional programme on Afghanistan and neighbouring countries).

(B) Guiding Principles

In seeking to achieve this goal, a number of guiding principles were developed, which drew on ten years of lessons learned and experience as the guardian of TOC; these principles lead to a stronger understanding of the interdependencies of UNODC's various mandates and the key value-added that UNODC brings to the international community; which in turn lead to the development a programmatic response and a set of key service lines. These are each in turn outlined below:



1. UNDERSTANDING

- Ensuring evidence-based understanding underpins international policy making;
- Maintaining a constant culture of rigorous monitoring and analysis of trends and criminal innovations;
- Identifying, and learning lessons, building networks and sharing best practices;;
- Promoting a culture of innovation and customised response.

2. IMPACT

- Placing focus on universal adherence and effective implementation of the Organized Crime Convention as a way to ensure full compliance;
- Recognising the need for integrated approaches that will address each link in an organized crime enterprise chain;
- Coaching responses and building capacity to enable a broader developmental, rule of law, and criminal justice and socio-economic framework;
- Developing a global approach and balanced response to supply and demand of illicit goods;
- Focusing on understanding root causes and developing preventive measures;

3. ENGAGEMENT

- Coordinating with UN System and other multilateral partners to ensure the mainstreaming of an organized crime response into the wider security, governance and development approaches;
- Engaging and addressing the needs of a broader range of actors, including civil society and the private sector;
- Raising awareness, and building a global culture of prevention and zero-tolerance for organized crime;
- Emphasising cross-border, regional and transnational dimensions of organized crime to build networks and foster cooperative relationships.

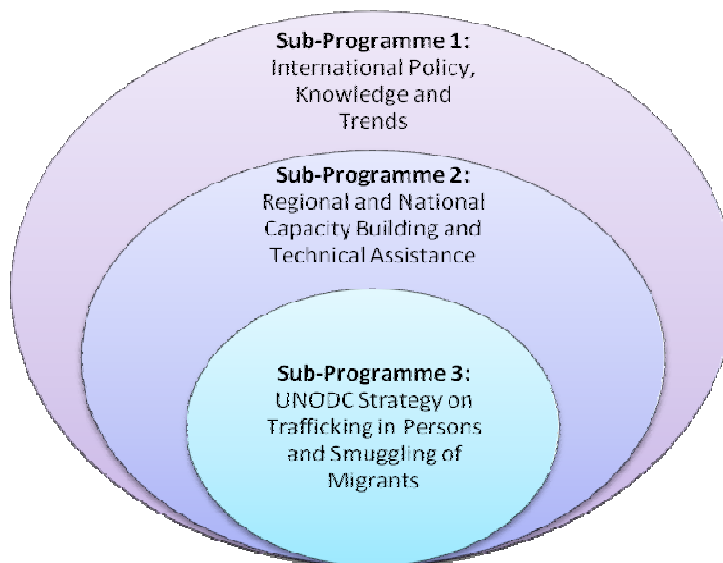
(C) Programme Framework

This Thematic Programme develops responses to the six primary threats that were identified as the major challenges presented by organized crime and illicit trafficking. The Thematic Programme presents a response that builds upon the Office's core comparative advantages and expertise as a criminal justice sector provider, to close the loop on organized crime, challenging its perpetrators, its flows and its proceeds, whilst at the same time building up a culture of prevention and zero tolerance for crime and corruption, nationally, regionally and internationally. The proposed programme strikes a balance between supporting long-term institutional capacity development objectives (for example, through building legislative and regulatory frameworks in line with international conventions, standards and norms) and working in partnership with the Governments of Member States to implement their policy priorities and strategies in a tangible and impact-orientated way.

The overall objective of the UNODC Thematic Programme on Transnational Organized Crime is to promote effective responses to transnational organized crime by supporting Member States in the ratification and full implementation of the United Nations Convention Against Transnational Organized Crime (UNTOC). This will be achieved through the implementation of 3 Sub-Programmes, whose primary outcomes and resource requirements are listed in the sections that follow. The full list of outcomes, outputs and indicative activities that comprise each sub-programme can be found in the Results Matrix in Annex A.

The programme presented here has three sub-programmes, as also shown diagrammatically above:

- (i) **Sub-Programme 1:** Supporting international policy development, global knowledge, understanding and framework of response.
- (ii) **Sub-Programme 2:** Strengthening national, sub-regional and regional capacity building, cooperative networks and responses.
- (iii) **Sub-Programme 3:** Supporting Member States to combat trafficking in persons and smuggling of migrants.



Structure of the Thematic Programme on Organized Crime

The Programme described is designed to be **integrated and coordinated** in such a way that it draws upon the inter-dependencies and mutually reinforcing nature of UNODC mandates, and targets assistance in a phased and coordinated way to a series of carefully identified institutions so as to maximize impact and provide a comprehensive platform of knowledge and capacity for the national authorities. UNODC believes in multi-disciplinary capacity building, bringing together representatives from different Government authorities, so as to enhance inter-departmental collaboration and foster the development of informal networks and professional partnerships. As such, it should be emphasized that the **Sub-Programmes are strongly linked and mutually inter-dependent**.

This strategic approach is guided by the five core principles of **the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action**, namely: (i) Ownership by national governments of their development policies and strategies; (ii) Alignment of external support with the systems and procedures of national institutions; (iii) Harmonization and better coordination of donor support; (iv) Managing for development results; and (v) Mutual accountability for development results.

In order to increase the ability of UNODC and of national counterparts to measure the impact of the different programme components, baseline and follow up assessments are conducted at the beginning and at the end of the implementation phase. This allows the establishment of concrete and measurable baselines against which progress can be registered during the period under consideration.

The full results matrix, including outcomes, outputs, targets, indicators and means of verification is provided in Annex A: Thematic Programme Results Matrix.

(D) Partnerships

In the implementation of this Thematic Programme, UNODC will continue to sustain and strengthen its partnerships with the Bretton Woods institutions and OECD, as well as with other UN System entities such as DPKO, UNODA, CTED, UNESCO, OHCHR, UNDP, DPA and ILO, IMO and Eurojust

through the UN Development Group (UNDG) mechanism, active participation in UN Country Teams, and as a strong advocate for UN Reform.

In addition, the thematic programme creates a framework in which partnerships can be enhanced with other regional and international organizations, such as INTERPOL, WCO, WHO, OSCE, SEESAC, EUROPOL, FRONTEX, OAS, SICA, MERCOSUR, UNASUR, AU, ECOWAS, etc. In the research field, UNODC will reinforce its strong partnership with the UN Criminal Justice Programme Network of Institutes (PNI) to strengthen our knowledge based approach and with other recognized research institutes.

Civil society organizations (CSO) including NGO have been instrumental in promoting UNTOC and its three Protocols. The engagement and partnership with civil society at grassroots, local, national, regional and international level is essential for an effective implementation of this Thematic Programme. UNODC will continue to facilitate the policy dialogue between NGOs and Member States, and ensure complementarity in the implementation of this thematic programme.

UNODC is developing partnerships with the private sector to achieve a comprehensive response to the challenges of organized crime. UNODC has developed best practice responses to engaging the private sector in prevention activities, particularly for trafficking in persons, as well as early warning for law enforcement to recognize organized crime. The private sector is also increasingly becoming a funding partner for UNODC activities, as the economic impact of organized crime, both on established industry and entrepreneurship can be very significant.

Under its work in the Sub-Programme 3 on trafficking in persons and smuggling of migrants, UNODC provides coordination support and leadership to ICAT and management of the UN Voluntary Trust Fund to Support Victims of Human Trafficking, especially Women and Children. In its new phase (2011-2015), UN.GIFT will continue to be hosted by UNODC and UNODC will, as the principal recipient of UN.GIFT funds, remain accountable for meeting fiduciary and administrative responsibilities for UN.GIFT. UNODC will serve as an equal partner of the inter-agency Steering Committee of UN.GIFT, also comprising ILO, IOM, OHCHR, OSCE and UNICEF, which will direct, manage and implement UN.GIFT activities through the secretariat and through their respective member organizations.

VI. SUB-PROGRAMME 1: INTERNATIONAL POLICY, KNOWLEDGE AND TRENDS

(A) Introduction

Sub-Programme 1: International Policy, Knowledge and Trends deals with UNODC's normative role in support of the Conference of the Parties (COP) of the United Nations Convention Against Transnational Organized Crime (UNTOC) and the three Universal Drug Conventions, to drive forward critical international debates, planning and policy making towards the framework of a coordinated and comprehensive international response. In addition, given the dynamic, opportunistic nature of organized crime, UNODC will utilize its expertise and experience to develop evidence-based understanding of organized crime, monitor new and emerging forms of organized crime and the challenges that they present.

The tenth anniversary of UNTOC served as an excellent opportunity to rejuvenate the commitment of Member States and to take stock of progress made on and outstanding impediments to an effective international response to transnational organized crime threats. The COP of UNTOC set a new agenda for UNODC including, most significantly, facilitating the development of a possible review mechanism for implementation of UNTOC and its Protocols. A key step towards this in the short term will be the continuation of the development and roll-out of the comprehensive, software based self-assessment "Omnibus" checklist.

The COP called upon UNODC to develop, in connection with the implementation of the Convention, a strategy directed at strengthening and promoting technical assistance initiatives. The Conference requested UNODC to continue developing technical assistance tools with a high degree of added value, such as handbooks, digests of relevant case law and legal commentaries, with regard to the instruments as a whole and to particular issues identified by the Conference or its working groups such as mutual legal assistance and confiscation in order improve the capacity of States to implement and utilize UNTOC and its Protocols and to increase the effectiveness of the Office's technical assistance activities to combat transnational organized crime. The COP also called upon UNODC to step up its evidence-based technical assistance, particularly in the areas of emerging crimes. **It is clear that priorities over this Thematic Programme period under emerging and re-emerging crimes will include: cybercrime, piracy, fraudulent medicine and organ trafficking, and trafficking in cultural property.**

Recent examples include:

- The Globalization of Crime: A Transnational Organized Crime Threat Assessment 2010
- Transnational Trafficking and the Rule of Law in West Africa 2010 (Regional Threat Assessment)
- Combating Trafficking in Persons: A Handbook for Parliamentarians, 2009;
- Guidance Note for UNODC Field Offices: Building capacity to combat cybercrime, 2010;
- International Framework for Action to Implement the Migrant Smuggling Protocol, 2011; and
- Transnational Organized Crime Convention Review Mechanism: Pilot Programme, 2010

(B) Sub-Programme Overview

Outcome	Indicative Budget
1.1 Promoting evidence based planning and policy development through independent data collection, threat assessments, research and global trends analysis on transnational organized crime flows.	\$100,000 ²⁹
1.2 Supporting and advising the Conference of the Parties to Transnational Organized Crime Convention and its Working Groups and undertaking mandated activities to ensure the development of a comprehensive legal regime against transnational organized crime.	\$8,700,000
1.3 Provide expertise and substantive leadership and secretariat support to the Conference of the Parties of Transnational Organized Crime Convention and to its subsidiary working groups and the other meetings mandated by the Conference.	\$4,500,000
1.4 Strengthen national and international awareness, and capacity for prevention of all types of transnational organized crime, targeting particularly those vulnerable to become victims of transnational organized crime and illicit trafficking.	\$400,000
1.5 Build international understanding, awareness and capacity to address new and emerging forms of crime.	\$8,600,000
Total Requirements to achieve Sub-Programme 1 targets	\$22,300,000

(C) Planned Programme Outcomes

The overall objective for Sub-Programme 1 is **to ensure international policy development and normative action, based upon accurate evidence basis and understanding of current trends.**

Sub-Programme 1 has five outcomes, which together describe all of UNODC's normative work in the area of countering organized crime and illicit trafficking, including drug trafficking. Some of the activities listed herewith are also addressed in Thematic Programmes for other programme areas. To avoid double counting, those duplications are expressly noted.

There are several outputs are considered fundamental to the achievement of the outcomes and the overall success of the Sub-Programme in reaching its objective, but at the time of writing are insufficiently resourced. As the failure to complete these activities would be detrimental to the overall success of UNODC's work in the area of organized crime and illicit trafficking, including drug trafficking, they are highlighted herewith, including the current funding shortfall.

²⁹ This Outcome includes components also reflected in the Thematic Programme on Research and Trends Analysis. To avoid double counting, that figure is not included.

Outcome 1.1:	Promoting evidence based planning and policy development through independent data collection, threat assessments, research and global trends analysis on transnational organized crime flows.³⁰
<i>Outcome Indicators 1.1:</i>	<p><i>Number of national and regional transnational organized crime threat assessments undertaken on the basis of relevant methodologies developed by UNODC. Number of new data series available at national and international level related to organized crime.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>1 global transnational organized crime threat assessments undertaken by UNODC</i> • <i>8 Regional Transnational Organized Crime Threat Assessments³¹</i> • <i>Dissemination of yearly series of data on drug trafficking, homicides (by type) and other relevant crime data</i> • <i>Two Global Homicides Reports with a chapter on trends on homicides and organized crime</i>

Effective policy making must be based upon accurate information, reliable evidence and sound expert analysis. UNODC is responsible for enhancing Member States and international community knowledge of drugs and crime trends, including new patterns and transnational flows and emerging criminal phenomena.

To keep abreast of transnational organized crime and illicit trafficking trends, patterns and flows and to help formulate strategic global responses, UNODC will support the improvement of the quality and availability of underlining data and undertake global transnational organized crime threat assessments drawing on national and regional analytical material from across the world. UNODC will also assist States in collecting, tracing and analyzing seized firearms and ammunition and identify possible trends and patterns in the illicit trafficking scheme.

Ongoing information is collected regarding national efforts of strategies, legislation and structures in place across the globe to counter organized crime. Detailed assessments of 20 countries have been critical in shaping training and other assistance material. Such assessments will be complemented by information gathered through the reporting mechanism established by the Conference of the State Parties (Omnibus self-assessment software). This will assist in directing resources to key problem areas at the earliest possible moment, responding in a timely way to emerging threats and contributing to the development of preventive strategies.

Priority Activities

Organized crime can be an important component of the total volume of crime affecting countries and it needs to be reflected in on-going systems for collecting, disseminating and analyzing crime and criminal justice trends. This can provide the underlining data needed to analyze trends and levels. As

³⁰ This Outcome is also reflected in the Thematic Programme on Research and Trends Analysis, and while it is an integral component of the TOC Thematic Programme, to avoid double-counting, the financial requirements and results are monitored and reported elsewhere.

³¹ These assessments are led by the UNODC Regional Offices

UNODC is mandated to routinely collect crime and criminal justice statistics from Member States³², it needs to complement the existing data collection tools and to specifically address organized crime into statistical reports such as the Global Homicide Report. **Shortfall: \$100,000**

Total Priority Funding Shortfall for Outcome 1.1: \$100,000

Outcome 1.2:	<i>Supporting and advising the Conference of the Parties to Transnational Organized Crime Convention and its Working Groups and undertaking mandated activities to ensure the development of a comprehensive legal regime against transnational organized crime.</i>
Outcome Indicators 1.2:	<p><i>Number of prospective Member States which UNODC advised about ratifying/acceding to Transnational Organized Crime Convention and/or its Protocols and the international drug control conventions.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>Increased number of ratifications by States of Transnational Organized Crime Convention and/or its Protocols and the international drug conventions.</i> • <i>To successfully complete and roll-out the Omnibus self-assessment checklist</i> • <i>20 countries assisted by UNODC to draft/revise legislation in order to fully and effectively implement Transnational Organized Crime Convention and its Protocols and the international drug conventions (3-5 per year for Transnational Organized Crime Convention and protocols; 3-5 per year for the drug conventions)</i>

In order for Member States to take full advantage of the tools offered by UNTOC and its Protocols and the Universal Drugs Conventions, these instruments need to be fully and effectively implemented through States' national legal frameworks. The Conventions and Protocols create obligations that may require legislative enactments in relation to a broad number of matters, *inter alia*, criminalization, jurisdiction, confiscation, international cooperation, joint investigations, special investigative techniques and the protection of witnesses and victims. In general, these issues may be addressed in domestic laws relating to criminal offences, criminal procedure and rules of evidence. The development of a comprehensive legal framework is a necessary first step in ensuring that States are able to effectively combat transnational organized crime and illicit trafficking.

As the specific manifestations of transnational organized crime continue to change, States may also need to enact additional legislation and enabling regulations. UNODC can provide legislative and other forms of technical assistance to Member States to assess and develop adequate legislation and procedures to meet the challenges posed by emerging or re-emerging forms of transnational organized crime.

³² Through the Crime Trend Survey (CTS). See also the Thematic Programme on Research and Trends Analysis (Sub-programme on Statistics).

Priority Activities

- As mandated by COP5 in its decision 5/6, a priority activity will be to develop tools contributing to the implementation of the provisions on technical assistance of UNTOC such as legislative guide and model provisions on new forms and dimensions of transnational organized crime that fall under the scope of UNTOC as well as the development of commentary/model provisions on UNTOC. **Shortfall: \$755,800**
- With regards to the implementation of the provisions on International Cooperation of UNTOC, priority activities mandated by COP5, in its decision 5/8, Priority activities will be to facilitate the development of regional networks and further explore global networks to strengthen international cooperation and facilitate knowledge sharing. **Shortfall: \$230,700**
- With regards to the implementation of the provisions on International Cooperation of UNTOC, priority activities mandated by COP5, in its decision 5/8, will be: to analyze and use examples provided by Member States on the use of UNTOC as well as the catalogue of cases of extradition, Mutual Legal Assistance and other forms of cooperation in order to present a digest and other tools on best practice. **Shortfall: \$414,100**
- According to COP5 decision 5/8, implementation of the provisions on international cooperation will require to develop tools such as a practical guide on confiscation and a Matrix on Extradition and Mutual Legal Assistance. **Shortfall: \$92,600**
- Assistance on ratification and implementation of UNTOC includes supporting Member States in the drafting of relevant national laws to facilitate the implementation of the provisions of the UNTOC as well as to provide technical support and policy advice to criminal justice institutions, relevant trainings and sub-regional workshops. This assistance also includes to provide specialized legal advice and technical assistance to Member States and to develop legal and training tools on emerging crimes such as cybercrime, trafficking in cultural property, and piracy. **Shortfall: \$67,200**
- With regards to Illicit Manufacturing of and Trafficking in Firearms, their parts and components and ammunition , COP5 decision L.3/Rev.2, set as priorities to finalize the model law on Firearms and disseminate it in six official languages (Shortfall \$223,700), to establish a Working Group on firearms as part of the COP to hold at least one inter-sessional meeting and at COP6 (Shortfall \$263,700), and to develop a study on nature and routes of firearms trafficking based on information provided by states on confiscated weapons and ammunition. **Shortfall: 487,400**
- As mandated by COP5, in its decision 5/5, a priority activity will be to establish a working group to explore options and prepare terms of reference for the review mechanism of the implementation of UNTOC that will meet at least twice before COP6. COP5 mandate on that activity also includes the translation of the Omnibus self-assessment software which will serve as a basis for the review mechanism. The Omnibus self-assessment software will be translated in 6 official languages and presented to the working group for its approval. **Shortfall: \$2,178,340** (including the translation of the self-assessment checklist, estimated at \$1.2mill)

Total Priority Funding Shortfall for Outcome 1.2: \$ 4,226,140

Outcome 1.3:	<i>Provide expertise and substantive leadership and secretariat support to the COP of UNTOC and to its subsidiary working groups and the other meetings mandated by the COP.</i>
<i>Outcome Indicators 1.3:</i>	<p><i>Support provided by UNODC to the Conference, established Working Groups and Meetings of the Experts.</i></p> <p><u><i>Target 2011-2013:</i></u></p> <ul style="list-style-type: none"> • <i>Successful organisation of the sessions of the Conference of the Parties and other mandated meetings.</i> • <i>Support provided to the establishment of a standing review mechanism for Transnational Organized Crime Convention and its Protocols.</i>

UNODC provides sustained support to UNTOC and the COP and its established Working Groups and related Meetings of Experts. The support provided by UNODC allows the COP and its mandated bodies to carry out their functions and fulfil their mandates in an effective manner. The most recent, fifth session of the COP has requested UNODC to continue to facilitate efforts towards the possible establishment of a standing review mechanism for the implementation of UNTOC, including through the Omnibus self-assessment software, that will help both to better identify implementation gaps and technical assistance needs. It will lead to a constructive exchange of expertise and good practices, that will, in turn provide an improved framework for the delivery of technical expertise to achieve full and effective implementation of UNTOC and its Protocols.

Outcome 1.4:	<i>Strengthen national and international awareness, and capacity for prevention of all types of transnational organized crime, targeting particularly those vulnerable to become victims of transnational organized crime and illicit trafficking.</i>
<i>Outcome Indicators 1.4:</i>	<p><i>Number of activities/initiatives UNODC conducted to increase awareness and knowledge of transnational organized crime and illicit trafficking amongst those who can act to prevent and combat it.</i></p> <p><u><i>Target 2011-2013:</i></u></p> <ul style="list-style-type: none"> • <i>12 activities/initiatives UNODC conducted to increase awareness amongst general public, media, opinion-formers and decision makers, civil society and direct victims of transnational organized crime and illicit trafficking in each region (2 activities/initiatives in 2 regions per year)</i> • <i>20 information products created to support awareness and dissemination efforts, e.g. info packages, video materials, website features (2 products per priority region per year)</i>

Section III of the UNODC Medium Term Strategy 2008-11 identifies “raising the public profile of UNODC activities” as an important issue and, in particular, making the achievements of UNODC more visible to both the general public and to the specialised audiences of policymakers, practitioners and analysts/researchers. In order to maximise the impact of UNODC’s activities, the results of its work must be successfully communicated to the outside world, both to the general public and to key target audiences such as the general public, including vulnerable groups, civil society, media, policy and decisions makers, donors, academia and practitioners.

In this regard, the OCB will proactively seize and create opportunities to publicize best practices and lessons learned, so as to increase global awareness and knowledge of transnational organized crime and illicit trafficking amongst those who can act to prevent and combat it. To this end, UNODC will

continue to raise awareness among policy makers, politicians and law enforcement authorities of the importance of particular issues and emerging crimes and crime trends. However, this area of response calls for a wide range of actors to cooperate in designing and implementing such initiatives and UNODC aims to engage them at both headquarters and field level. To this end, UNODC will work in close cooperation with civil society actors and NGOs, including through initiatives under UN.GIFT. UNODC will support States and other stakeholders in their prevention efforts and in developing national, regional and global awareness raising initiatives targeted at different audiences, including opinion-formers and policy-makers, the media, general public and specific vulnerable and victim groups.

Priority Activities

- Support to initiatives to raise awareness of TOC and creation of information products to support awareness raising efforts. **Shortfall: \$200,000**

Total Priority Funding Shortfall for Outcome 1.4: \$200,000

Outcome 1.5:	<i>Build international understanding, awareness and capacity to address new and emerging forms of crime.</i>
<i>Outcome Indicators 1.5:</i>	<p><i>Number of new tools on emerging or re-emerging forms of transnational organized crime disseminated.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>12 international meetings/debates coordinated and/or supported by UNODC at the regional or international level (1-2 per biennium for each priority issue)</i> • <i>12 new technical assistance tools developed and disseminated by OCB to combat new, emerging and re-emerging forms of crime (3-5 per year)</i> • <i>45 missions undertaken by OCB staff for the participation in conferences, expert groups or international policy-making fora (5 per priority issue per year)</i> • <i>20 information products created to support awareness and dissemination efforts, e.g. (info packages, video materials, website features, etc (2 products per theme per year)</i>

An important dimension of UNODC’s work as guardian of UNTOC is to ensure that this international instrument is robust enough to respond to the challenges of new and emerging forms of crime. As noted, organized crime is, by its very nature, creative and adaptive to new opportunities, and as such, there is a constant need to monitor trends, increase understanding and pilot responses to new forms of crime. UNODC has a leadership role to play in convening the international community and supporting international debate on response to emerging crimes, including *inter alia*: cybercrime and identity related crimes, environmental crime, crimes against cultural heritage, fraudulent medicines and trafficking in organs, as well as maritime piracy.

Priority Activities

- With regard to cybercrime, one of the priorities mandated by the Crime Congress held in April 2010 in Salvador was to establish an open-ended intergovernmental expert group to conduct a comprehensive study of the problem of cybercrime. This was subsequently endorsed by the General Assembly in resolution 65/230. The working group met for the first time on 17-21

January 2011 in Vienna. A collection of topics for the study, together with a methodology and a timeline, was agreed upon at the meeting. **Shortfall: \$1,378,600**

- The Salvador Declaration also provided UNODC with a mandate to play a leading role in capacity-building against cybercrime, by cooperating with relevant organizations and other partners to provide technical assistance to States, and developing an action plan for capacity-building at the international level. The thematic program is therefore foreseen to provide technical assistance and training to States in order to strengthen the capacity of national authorities to deal with cybercrime. The program will focus on long-term sustainability and will include the prevention, detection, investigation and prosecution of such crime in all its forms. **Shortfall: \$1,500,000**
- As mandated by the ECOSCO in resolution 2010/19, one priority will be to develop a specific guidelines for crime prevention with respect to Trafficking in Cultural Property, including the criterion of due diligence when acquiring a cultural object. A priority will also be to prepare an analytical report for the working groups on technical assistance and international cooperation on the application of the Convention by States to offences against cultural property as mandated by COP5 in its decision 5/7. **Shortfall: \$259,500**
- In addition, UNODC will provide the requested operational support to Member States in the development of effective responses to the emerging crimes of organ trafficking and fraudulent medicines. **Shortfall: \$2,000,000**

Total Priority Funding Shortfall for Outcome 1.4: \$5,138,100

VII. SUB-PROGRAMME 2: REGIONAL AND NATIONAL CAPACITY BUILDING AND TECHNICAL ASSISTANCE

(A) Introduction

Sub-Programme 2: Regional and National Capacity Building and Technical Assistance is necessary, because while the Conventions may provide a global framework for formal international cooperation between States, it is only in the development of longstanding partnerships, based upon mutual trust, respect and equal political imperative, which these Conventions will truly function as intended. UNODC stands well placed to broker, facilitate and foster the development of such relations, both through its good offices as a United Nations entity, its privileged role as a national partner in capacity building and technical assistance, and in its international capacity as guardian of the conventions and Secretary to the United Nations Convention Against Transnational Organized Crime (UNTOC) and COP, as well as international standard-setter and substantive expert in the field. To this end, UNODC is consistently developing and refining practical tools that will service and support international cooperation at the global level. UNODC can also serve as a link between existing regional groups, to create an inter-regional cooperative framework.

Under the auspices of the Thematic Programme on Organized Crime, UNODC will continue to create and refine global tools (such as model laws, guides) and standardize proven approaches (through handbooks, case studies and international standards) which can serve as a platform for the customization of technical assistance and programme development via the **Regional Programmes** which UNODC has already launched. These Programmes serve as an effective vehicle for Member States to promote international cooperation mechanisms, and build sub-regional and regional capacity in priority areas. The organized crime and illicit trafficking component of any regional and national programme of UNODC, if properly funded, will enable the placement of a pool of experts in different dimensions of transnational organized crime who can continue, under the guidance of substantive teams in HQ, to provide advisory services and technical assistance to the Member States in that region on a continuous and consistent basis.

Current examples include:

- Model Legislation on Extradition, Foreign Evidence Taking, Mutual Legal Assistance in Criminal Matters, Money Laundering and Proceeds of Crime and Financing of Terrorism, and Witness Protection;
- Computer-based legal tools, e.g. the Mutual Legal Assistance Request Writer Tool and the On-line Directory of Competent National Authorities;
- Regional and sub-regional practitioners networks, e.g. Network of Anti-organized crime and narcotic prosecutors for Central America (OCN), Central Asian regional Information and Coordination Centre (CARICC), the Joint Planning Cell, the Gulf Council Intelligence Centre (GCIC), Asset Recovery Inter-Agency Network in Southern Africa (ARINSA) etc.

National institutions also need to cultivate both the specialized expertise and be capable of holistically addressing the phenomena of transnational organized crime from all angles, and in all of its forms. UNODC will provide both upstream technical assistance, and the customized programme development which will systematically reinforce all relevant institutions of states, under the umbrella of a comprehensive legal framework. This customized programme approach will also combine a criminal justice response, including its law enforcement component, with interventions to increase the stability of society to counter transnational organized crime, through prevention, repression and

awareness-raising activities, as well as by providing alternative livelihood and social safety net opportunities.

Current examples include:

- Model laws, and legal tools developed for implementation of UNTOC and Protocols, as well as the three Universal Drugs Conventions, for countries with civil law, common law or Islamic law legal traditions;
- Global programmes to enhance national capacity and international cooperation, including, *inter alia* UNODC-WCO Global Container (Maritime Security) Programme; Global Programme on Money Laundering; Global Programme Against Trafficking in Persons; Global Programme Against the Smuggling of Migrants; Global Programme for Strengthening the Capacity of Member States to Prevent and Combat Organized and Serious Crimes ; Global Programme on Firearms [...];
- UNODC Global e-learning Programme – computer-based tools and training on, *inter alia*, case management (GoCASE) and anti-money laundering (GoAML);
- Legal and technical tools and guidelines to implement the Firearms Protocol, such as a model law (2011), Technical Guidelines for Implementation (2011), and in future also automated software applications, registries and databases for the keeping and storing of records on firearms and ammunition;
- A study on nature and routes of firearms trafficking based on information provided by states on confiscated weapons and ammunition.
- Substantive engagement and customized programme development for the Regional Programmes for South Eastern Europe, Eastern Africa, West Africa, Arab States and East Asia and the Pacific;
- Tailored approaches to programme development for fragile states and post-conflict countries, including *inter alia* Country Programmes for Pakistan, Yemen and Palestine; and
- Active cooperation with UN system and other multilateral actors to design joint programmes and collaborative initiatives, e.g. WACI initiative in West Africa with DPKO and Interpol, Joint Programme of UNODC, IOM and UNHCR under UN.GIFT to Combat Human Trafficking in Serbia.

(B) Sub-Programme Overview

Outcome	Indicative Budget
2.1 Improved Member States' capacity to sustainably collect, store, analyse and report data on organized crime and illicit trafficking, and criminal justice data.	\$3,070,000
2.2 Strengthening national and regional capacity and international cooperation for law enforcement, criminal intelligence, border control and criminal investigation in order to more effectively assess, identify, collect evidence and ultimately control criminal activity the flows of illicit goods and services	\$15,200,000
2.3 Strengthening national capacity and international cooperation for the prosecution, adjudication, and all other aspects of the criminal justice process in regards to transnational organized crime and illicit trafficking	\$7,450,000
2.4 Strengthen national capacity and international cooperation in tracking the proceeds of transnational organized criminal activity both within and beyond national borders, with full use of technological advances.	\$15,300,000
2.5 Countering transnational illicit arms trafficking through the implementation	\$ 5,927,000

of the Firearms Protocol	
Total Requirements to achieve Sub-Programme 2 targets	\$46,974,000

(C) Planned Programme Outcomes

The overall objective for Sub-Programme 2 is **to strengthen national, regional and sub-regional capacity to respond effectively to the threats posed by organized crime and illicit trafficking, including trafficking in drugs.**

Sub-Programme 2 has four outcomes, which together describe UNODC's technical assistance to Member States, sub-regional and regional bodies to support their efforts to counter organized crime and illicit trafficking, including drug trafficking. Some of the activities listed herewith are also addressed in the UNODC Integrated Regional and Country Programmes, a comprehensive overview of which is provided in Section IX: Analysis of Transnational Organized Crime in the Field.

As with the previous Sub-Programme, there are several outputs are considered fundamental to the achievement of the outcomes and the overall success of the Sub-Programme in reaching its objective, but at the time of writing are insufficiently resourced. As the failure to complete these activities would be detrimental to the overall success of UNODC's work in the area of Organized Crime and Illicit Trafficking, including Drug Trafficking, they are highlighted herewith, including the current funding shortfall.

Outcome 2.1:	<i>Improved Member States' capacity to sustainably collect, store, analyse and report data on organized crime and illicit trafficking, and criminal justice data.</i>³³
<i>Outcome Indicators 2.1:</i>	<p><i>Number of Member States documenting and sharing information on organized crime trends.</i></p> <p><u><i>Target 2011-2013:</i></u></p> <ul style="list-style-type: none"> • <i>12 technical assistance missions carried out by UNODC staff to support data collection and analysis (2-3 per year)</i> • <i>8 regional data collection and trend analysis staff posted in UNODC regional offices (1 per region)</i> • <i>10 countries assisted to improve the recording and measurement of criminal activities related to organized crime and other forms of related crimes</i>

UNODC provides technical assistance to national governments and national institutions to build their capacity for accurate and strategic data collection, as well as support to understand and interpret that data to best promote effective national policy-making.

Effective policy must be based on accurate information. UNODC is responsible for enhancing Member States' knowledge of drugs and crime trends, including emerging trends. UNODC is also responsible for the collection of crime-related data from Member States and it is mandated to assist them to improve their capacity to collect and disseminate data on crime and criminal justice. Data

³³ This Outcome includes components also reflected in the Thematic Programme on Research and Trends Analysis. To avoid double counting, that figure is not included.

collected by Member States are processed, reviewed for quality and disseminated through web-site and specific reports. Regional crime assessments are prepared by the Branch and presented on UNODC's website. Collection and analysis on all forms of illicit trafficking will help Member States provide more solid evidence based information on actual trafficking routes, trends and modalities of trafficking.

Priority Activities

The improvement of the availability and quality of accurate data on crime and criminal justice which can measure the different components of organized crime is the first step to enhance the knowledge on organized crime at national, regional and global level. In order to assist Member States to generate new and improved statistics, there is the need to develop best practices and guidelines on how countries can adapt regular data collection systems on crime and criminal justice to better record crimes related to organized crime. Countries also need assistance in implementing new and improved data collection systems to better reflect organized crime in routine data collections. Shortfall: 2 ml.

Total Priority Funding Shortfall for Outcome 2.1: \$2,000,000

Outcome 2.2:	<i>Strengthening national and regional capacity and international cooperation for law enforcement, criminal intelligence, border control and criminal investigation in order to more effectively assess, identify, collect evidence and ultimately control criminal activity the flows of illicit goods and services.</i>
Outcome Indicators 2.2:	<p><i>Number of UNODC assisted countries who are developing/developed national strategies and action plans to combat transnational organized crime and illicit trafficking.</i></p> <p><u>Target 2011—2013:</u></p> <ul style="list-style-type: none"> • <i>15 training courses conducted, based on UNODC models and best practices, aimed at improving the knowledge of the special police, border security, the coastguard, forensic personnel and other relevant domestic actors (5 per year)</i> • <i>8 regional structures/initiatives/organizations developed to increase cross-border cooperation on issues such as intelligence gathering, joint training operations, witness protection and other relevant aspects necessary to combat organized crime and illicit trafficking (1 per region)</i>

Having laws to prohibit drug production, illicit trafficking and abuse, and in addition provide stern penalties to offenders are not enough alone to respond to the challenges of organized crime. The ability to prosecute transnational organized crime cases often hinges on the ability of law enforcement and criminal intelligence personnel to collect and analyze and share information that can be used as evidence to make the case. Dealing with financial, forensic or other evidence for serious crimes of this nature require specialized expertise and outstanding cooperation between different departments, provinces and countries.

Due to the transient and fragile nature of physical evidence at the crime scene, its reliability and the preservation of its integrity depends to a very large extent on the initial actions at the scene of the incident. Acting with care and professionalism throughout the crime scene investigation process is critical for the admissibility of evidence for forensic analysis and court purposes. Crime scene

investigation training and the establishment of basic forensic capacity is essential in building the national infrastructure for sustainable quality forensic services in the country.

UNODC will assist in developing basic crime scene management capacity. The strengthening of laboratory capacity is also envisaged with the aim of ensuring sustainability of forensic services and availability of quality forensic data from the *crime scene to the courtroom*. In addition, capacity building on forensic document examination will be considered in connection to border control and security initiatives

At the forefront of drug or trafficking control, there must also be effective national, regional and international law enforcement cooperation. Good opportunities exist at borders for positive action to repress illicit drug trafficking, but significant achievements are seriously hampered by lack of means, and limited coordination and cooperation. The Branch has developed various project initiatives aimed at training law enforcement personnel, including investigators, criminal and financial intelligence analysts, border and customs officials. In line with the provisions of the Convention, these projects support good practices to counter transnational organized crime by strengthening existing or new laws, addressing intelligence led and proactive investigations, development of financial intelligence, international cooperation, and protection of witnesses. This Outcome component specifically addresses law enforcement cross border cooperation. The objective is to create a climate conducive to cross-border cooperation.

The following factors present good reasons for law enforcement agencies to pay special attention to border areas and to deploy capable, well-trained officers at border posts: (i) frontiers between countries often extend through unpopulated, rugged, rural terrain that is difficult to monitor and conducive to lawlessness; (ii) there is often a flourishing commercial enterprise in smuggling across borders engaged by those who live in the communities, villages and towns adjacent to the borders, and who share cross-border kinships; (iii) traffickers do not regard international borders as limitations to their activities and rather see them as business opportunities, and (iv) the profits from illicit trafficking, money, goods, and negotiable commodities are frequently moved between countries. UNODC supports the establishment, capacity building and management of Border Liaison Offices, coastguard and border control divisions and facilitates international cooperation to promote effective border controls.

Priority Activities

- The UNODC Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Serious and (Transnational) Organized Crime will be supporting the establishment and implementation of regional networks of law enforcement officials, prosecutors as well as central authorities to enhance skills and international cooperation. Based upon Member States demand, the Central America and West Africa regional have been highlighted as urgent priorities to provide UNODC support strengthening capabilities in international cooperation in criminal matters. In particular, the Central American Network of Anti-Drug and Organized Crime Prosecutors which is successfully underway would be expanded to include law enforcement professionals. **Shortfall: \$1, 600,000**
- Another priority is the further development of criminal intelligence gathering and analysis, information sharing and investigation skills (SITS), in particular through the vehicles of the Transnational Organized Crime Units in West and East Africa, and in support of the Regional Programmes for Afghanistan, Pakistan and neighboring countries. UNODC seeks to embed a full-time expert licensed to provide a range of criminal intelligence training, to support the design,

delivery and monitoring of training and the development of tools. **Shortfall: \$650,000**

- UNODC Computer Based Training (CBT) programme plans to update its global training system and expand its training syllabus, mainly in South-East Asia. The scale of this expansion will include activities and work for at least 10 countries, dealing with multiple languages. The new CBT developments will play a key role in building the capacity of law enforcement officers, specialist personnel and other concerned groups and individuals involved in the fight against drugs and crime. The syllabus costs for each new training course developed is based on per hour of training developed. Most of the courses to be developed during 2011-2013 will be in the vicinity of 3 hours of training per course. **Shortfall: \$660,000**
- The UNODC-WCO Container Control Programme has prioritized the expansion to countries in Asia (3 countries), West-Africa (3 countries) and Central Asia (2 countries) and Caucasus (2 countries) over the duration of this Thematic Programme. The Container Control Programme focus on carrying out technical needs assessments in selected ports; provide training and technical equipment, including IT software to the container profiling units. **Shortfall: 4,500,000.**

Total Priority Funding Shortfall for Outcome 2.2: \$7,410,000

Outcome 2.3:	<i>Strengthening national capacity and international cooperation for the prosecution, adjudication, and all other aspects of the criminal justice process in regards to transnational organized crime and illicit trafficking.</i>
<i>Outcome Indicators 2.3:</i>	<p><i>Number of UNODC assisted countries who are in the process of establishing/have established/strengthened special prosecution and judicial structures to fight serious organized crime and illicit trafficking.</i></p> <p><u><i>Target 2011-2013:</i></u></p> <ul style="list-style-type: none"> • <i>30 regional and inter-regional trainings, workshops conducted per year to build national capacity to strengthen criminal justice and law enforcement for serious organized crimes (1-2 per region, per year)</i> • <i>Member States are regularly using mutual legal assistance in cases of transnational organized crime and illicit trafficking based on UNODC assistance.</i>

UNODC provides technical assistance to support the effective implementation of UNTOC and its Protocols, with key outputs to facilitate the assessment and revision of national legislation to ensure compliance with the Convention and its Protocols; strengthen the institutional and operational capacity of law enforcement and judicial bodies to investigate, prosecute and adjudicate serious crimes, including transnational organized crime and its various forms of illicit trafficking; enhance international cooperation between criminal justice practitioners; and collect, assess and disseminate best practices in combating transnational organized crime.

The Organized Crime and Illicit Trafficking Branch (OCB) has developed various project initiatives aimed at capacity building for law enforcement personnel, prosecutors and judges. In line with the provisions of the Convention, these projects support good practices to counter transnational organized crime by strengthening existing or new laws, through training and sharing of good practices, and prevention of transnational organized crime. UNODC is also the focal point for data being gathered on transnational organized crime, and for the promotion of information sharing amongst criminal justice practitioners. The Conference of the Parties in 2010 highlighted the

importance and benefits of regional cooperation, and urged UNODC to continue to provide platforms through which to facilitate member states coordination, information sharing and joint action.

As organized crime becomes increasingly transnational and flexible, States often struggle to keep up. The UN High-Level Panel on Threats, Challenges and Change observed that the agility of modern criminal networks “stands in marked contrast to the cumbersome sharing of information and weak cooperation in criminal investigations and prosecutions on the part of States.”³⁴ It is imperative, therefore, that States increase their capacity to work together to combat transnational organized crime. UNTOC and the three Universal Drugs Conventions provide a global framework for formal international cooperation between States that is essential in ensuring successful investigations and prosecutions, including through extradition, mutual legal assistance, international cooperation for the purpose of confiscation and the transfer of sentenced persons. UNODC provides technical assistance to strengthen the capacity of States to investigate and prosecute transnational organized crimes and is supporting States by establishing specialized networks (such as the Central American Network of Anti-Organized Crime and Narcotic Prosecutors (and Investigators) as mechanisms for the exchange of knowledge and good practices and to help identify and address technical assistance needs. UNODC also provides support to States in the use international judicial cooperation and has developed a number of extremely useful tools to this end. UNODC is also working with regional judicial cooperation networks to strengthen international cooperation at the global level.

Given that one of the key features of transnational organized crime is its ability to transcend national borders and jurisdictions, a particularly critical feature of any criminal justice response must be the ability to develop and foster cooperative networks between countries for mutual legal assistance, extradition, information sharing and other cooperative legal practices. UNODC, therefore, takes the development of conditions to foster cooperation as one of the key principles and underpinning tenets of its approach to technical assistance in this area. Effective international cooperation in tracing, identifying, seizing and confiscating proceeds of crime is an absolutely critical component, if not the cornerstone to the response to organized crime, illicit trafficking and terrorism.

In recent years, the UN has been called upon to create, establish and implement a number of ad-hoc commissions looking at a range of issues (Commission against Impunity in Guatemala, the Rafik Hariri Investigative Commission, the UN commission of Inquiry into the Death of Benazir Bhutto and the UN Inquiry into possible War Crimes in Gaza). The model for the Commission against Impunity in Guatemala, which is focused on organized crime, is one that UNODC helped to create. With respect to the International Court and Tribunals, as the issue of complementarity becomes more important, UNODC can have a role in providing expertise to support criminal justice systems to deal with complex and organized crimes and to share and disseminate good practices from other countries and regions.

Priority Activities

- Ongoing priorities in the area of enhanced criminal justice capacity will be technical assessments, legislative evaluations, training, support to mandated bodies and to development and implementation of regional programmes and design and implementation of new initiatives, such as looking at public private partnerships against organized crime and the Northern Triangle of Central America initiative. **Shortfall: \$500,000**
- Due to the increasing number of requests for support, an ongoing priority will be awareness-

³⁴ Report of the High-Level Panel on Threats, Challenges and Change, *A more secure world: our shared responsibility*, Attached to Note by the Secretary-General, A/59/565, 2 December 2004, para. 170.

raising, legislative assistance and capacity building in the area of victim and witness protection.
Shortfall: \$225,000

Total Priority Funding Shortfall for Outcome 2.3: \$775,000

Outcome 2.4:	<i>Strengthen national capacity and international cooperation in tracking the proceeds of transnational organized criminal activity both within and beyond national borders, with full use of technological advances.</i>
Outcome Indicators 2.4:	<p><i>Number of UNODC Assisted Member States who sought to develop/developed AML/CTF legislation compliant with international standards considered by legislative bodies</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>24 countries request and receive technical assistance on legislative development, establishing FIUs, conducting financial investigations and prosecuting AML/CTF cases under legislation compliant with international standards (1 per region per year)</i> • <i>24 countries are assisted by UNODC to cooperate in exchanging information, sharing common databases and/or conducting joint enquiries and investigations amongst their respective financial intelligence units and other government authorities (1 per region per year)</i>

With few exceptions, criminals are motivated by one thing: profit. Greed drives the criminal, and the end result is that illegally-gained money must be introduced into a nation's legitimate financial systems. Money laundering involves disguising financial assets so they can be used without detection of the illegal activity that produced them. Through money laundering, the criminal transforms the monetary proceeds derived from criminal activity into funds with an apparently legal source. This process has devastating social consequences. For one thing, money laundering provides the fuel for drug dealers, terrorists, arms dealers, and other criminals including corrupt officials to operate and expand their criminal enterprises and to widen their economic, social and economic influences. Further, criminals misuse financial systems and potentially any entity providing any financial services to further a wide range of illicit activities. Left unchecked, money laundering can erode the integrity of all financial, economic and administrative institutions, and undermine confidence of the public in their judicial systems.

In-depth financial investigations are essential if we are to hurt criminals at their weakest point: depriving them from the profits of their crime – whether it's narcotics trafficking, transnational organized crime, human trafficking or corruption. Following the money leads to the top of the criminal organization. But financial investigations are extremely complex and often difficult to conduct. First, it takes many years of working in the financial industry to understand all its intricacies. Second, no single agency possesses a sufficiently broad or cross-jurisdictional focus and information base to track financial movements; in particular proceeds of crime may not enter the formal financial service and be intermingled with other trade commodities or be moved across borders. Finally, the sheer size, variety, and pace of change of the financial sector make financial investigations even more difficult. The tools of the money launderer range from complex financial transactions, carried out through webs of wire transfers and networks of shell companies, to old-fashioned, if increasingly inventive, currency smuggling. As soon as law enforcement learns the intricacies of a new laundering technique and takes action to disrupt the activity, the launderers replace the scheme with yet another, often even more sophisticated method.

Priority Activities

- The Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism (GPML) aims to focus on enhancing the understanding of the mechanisms of illicit financial flows linked to drug cultivation and trafficking, to provide customized response to Member States. Priority activities identified in the duration of this Thematic Programme will include developing a programme to address the illicit flows of ransom money off the coast of Somalia and a capacity-building programme on cash-couriers for law enforcement and customs officers. In addition, a number of priority countries from the Sahel Band, North Africa and South Asia have been identified for mentoring assistance in addition to the existing GPML mentors.
Shortfall: USD 1,350,000

Total Priority Funding Shortfall for Outcome 2.4: \$1,350,000

Outcome 2.5:	Countering transnational illicit arms trafficking through the implementation of the Firearms Protocol.
Outcome Indicators 2.5:	<p><i>Increased number of States have adhered to the Firearms Protocol and / or amended or adopted adequate legal frameworks to combat trafficking in firearms, pursuant to domestic needs and international standards.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>At least 2 States have initiated or completed accession to the Firearms Protocol;</i> • <i>15 countries have assessed and reviewed their domestic legislation and institutional framework on firearms control and taken steps to strengthen their regulatory and normative framework in line with the international firearms control standards framework.</i>

Effective controls over firearms and its flow is an essential precondition to prevent, investigate and prosecute illicit trafficking and other related criminal manifestations. It requires States to implement a comprehensive preventive and control regime over firearms and ammunition. This regime must cover firearms from the time of manufacturing, through transfers, and until final disposal, in order to prevent and combat their diversion into the illicit circuit.

Through these activities, UNODC will address challenges associated with firearms in an integrated manner, by promoting full adherence and implementation of the international legal regime on firearms, and by strengthening the capacities of countries and sub-regions to implement a comprehensive regime to control licit firearms and ammunition, to prevent illicit manufacturing and trafficking, and to investigate and prosecute criminal organizations and networks engaged in this form of transnational organized crime.

Priority Activities

- Dissemination of a technical guide and a model law on firearms, and the development of a comprehensive training curriculum and related materials and tools. **Shortfall: USD 500,000**
- UNODC will also seek to secure funds for the development and dissemination of additional technical assistance tools, such as the translation of the model law on firearms into all UN official languages, the development of automated software applications, training tools and materials,

record keeping systems and automated standardized applications for issuing end user certificates, for transfer authorizations, tracing requests etc.). A comprehensive training curriculum will be developed and – subject to additional resources – some modules may be developed into CBT programmes modules. **Shortfall: USD 700,000**

Total Priority Funding Shortfall for Outcome 2.5: \$1,200,000

VIII. SUB-PROGRAMME 3: HUMAN TRAFFICKING AND MIGRANT SMUGGLING

(A) Introduction

UNODC's aim is to promote and deliver a comprehensive, integrated and coherent response to the many challenges posed by human trafficking and smuggling of migrants. The overall mandate on trafficking in persons and smuggling of migrants is given to UNODC through the Protocol to Prevent, Suppress and Punish Trafficking in Persons (TIP), especially Women and Children and the Protocol against the Smuggling of Migrants by Land, Sea and Air (SOM) both supplementing the United Nations Convention Against Transnational Organized Crime (UNTOC). Additional specific mandates are given by decision and resolutions of several governing bodies such as the ECOSOC, the General Assembly, the Commission on Crime Prevention and Criminal Justice (CCPCJ), the COP to UNTOC.

UNTOC and its supplementing Protocols on TIP and SOM mandate UNODC to support Member States in preventing, suppressing and punishing these crimes. The challenge for Governments and the international community in this regard, is to ensure each issue is clearly understood, distinguished and fully and appropriately addressed. For each issue, in turn, this requires a balanced approach where all the various aspects of the relevant phenomenon are taken into account within a comprehensive legal and policy framework, bringing all relevant actors towards a cohesive and effective response.

UNODC provides effective support to Member States in the implementation of the Trafficking in Persons and Smuggling of Migrants Protocols, delivering high-quality assistance through a number of complementary mechanisms. This thematic issue was singled out as a priority for UNODC in part because it constitutes a large and multi-dimensional body of work for UNODC, but also because responding effectively to TIP and SOM Protocols of UNTOC requires a very different range of responses to the other organized crime and trafficking challenges: both TIP and SOM are forms of organized crime, but they both centre on human beings who are rendered vulnerable. They are issues of human rights, public order and irregular migration.

As both TIP and SOM are complex phenomena, so too are the approaches required in response. The approach of UNODC to trafficking in persons and smuggling of migrants is the criminal justice response to these crimes, which includes the protection of and assistance to victims and the upholding of the rights of migrants. The TIP and SOM Protocols identify three channels of response that are required: prevention, protection and prosecution, commonly referred to as "the three Ps". This balanced approach requires multi-disciplinary and multi-stakeholder cooperation at all levels: at the international, regional, national and even at the agency level, and thus a fourth P, "Partnership" is often added to this list of necessary conditions. As demonstrated in the diagram below, UNODC's strategic response stems directly from its role as guardian of the TIP and SOM protocols, and is structured in response to the 4 P's described there.

UNODC's normative and technical assistance activities in the area of TIP and SOM are provided by one specialised unit (for further details, see Section X: Management Arrangements). The service lines provided in both the cases of TIP and SOM are similar, though, while some Member States may benefit from technical assistance in both areas in conjunction, in most cases activities undertaken are distinct and assisted states will receive a customised technical assistance package that responds to their needs and priorities.

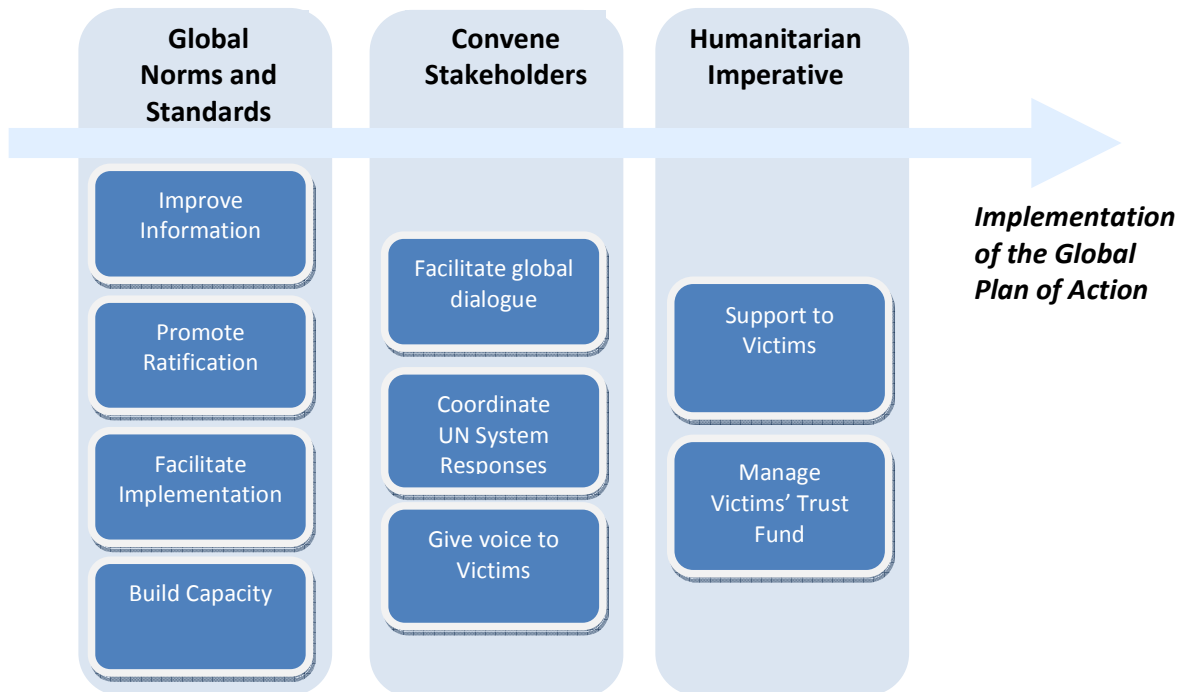
(B) UNODC's Strategic Response to Trafficking in Persons

In responding to the mandate offered to UNODC through the UNTOC Protocols against Trafficking in Persons and with clear political momentum provided by the Global Plan of Action, UNODC seeks to position itself as a **policy lead and central hub** for the international anti-human trafficking community, and to build capacity for coordinated action around the four pillars of both the Protocol and the Global Plan of Action. These are:

1. To **prevent** and combat trafficking in persons, in particular women and children;
2. To **protect** and assist the victims of such trafficking, with full respect for their human rights;
3. To **prosecute** trafficking of persons cases and uphold justice for its victims;
4. To **promote** cooperation among States Parties and other stakeholders.

The Global Plan of Action, endorsed by the General Assembly in 2010, reiterates the importance of the Protocol as a universal instrument, and emphasizes the need to partner for coordinated action, and to ensure multi-stakeholder engagement, as essential to achieving the purposes of the Protocol. It strongly urges all responsible UN entities to coordinate their efforts to fight trafficking effectively and to protect the human rights of its victims, through *inter alia* UN.GIFT and ICAT. The Global Plan of Action also establishes the United Nations Voluntary Trust Fund on Victims of Human Trafficking and demands that the Secretary-General report via the CCPCJ on progress on the Global Plan of Action. In bearing the responsibility of Lead Agency, UNODC must channel the three critical comparative advantages of the UN System within the international community to achieve the Global Plan of Action. These are:

- i. The responsibility to develop and uphold global standards and norms
- ii. The power to convene a broad range of global stakeholders
- iii. The obligation to champion human rights and humanitarian action



UNODC's Strategic Response to the Challenges of TIP and SOM

These three priority pillars channel the comparative advantages of the UN System to drive UNODC's strategy in ensuring that effectively addressing trafficking in persons remains at the forefront of the international agenda, and to make both the Protocol and the Global Plan of Action an operational and effective realities. These are explained in greater depth below.

Uphold global norms and standards

Improve Baseline Information and Monitoring Trends: Both the Global Plan of Action and the Protocols emphasize the need to collect and share information on patterns and flows of trafficking in persons at the national, regional and international levels, and to share best practices and lessons learned from various initiatives and mechanisms.

Having in place an accurate baseline of information is critical to ensuring that the development of global policy and coordinated action are predicated upon sound understanding and analysis. In combating trafficking in persons, active information sharing about specific cases of trafficking in persons and the identification of victims to prevent re-trafficking are crucial to combating the crime. Finally identifying, documenting and disseminating best practices and lessons learnt will enhance and increase the efficacy of responses by all stakeholders.

Promote Ratification: UNTOC and its Protocol on Trafficking in Persons mandate UNODC to support Member States in preventing, suppressing and punishing these crimes. The challenge for Governments and the international community in this regard, is to ensure each issue is clearly understood, distinguished and fully and appropriately addressed. For each issue, in turn, this requires a balanced approach where all the various aspects of the relevant phenomena are taken into account within a comprehensive legal and policy framework, bringing all relevant actors towards a cohesive and effective response. Currently 143 out of 192 United Nations Member States are State parties to the Trafficking in Persons Protocol.³⁵

Facilitate Implementation: The recent decision by the Conference of the Parties of UNTOC to beginning considering possible modalities for reviewing implementation of the UNTOC implementation may offer a critical vehicle for advancing the policy agenda. The review mechanism would allow for better understanding of the needs of Member States, highlighting strengths and identifying weaknesses which will in turn guide priorities for policy development, and help make possible effective reporting on progress in the implementation of the Global Plan of Action.

Build Capacity: UNODC's comparative advantage is its expertise in building capacity with criminal justice actors and institutions. In this regard, it is a long-standing and trusted partner of Member States, with proven experience in bringing national legal frameworks in line with the Protocols, and in providing integrated capacity building and training to various justice sector and law enforcement institutions.

UNODC is also able to build the capacity of other stakeholders in the anti-human trafficking arena, which helps ensure that those other actors can play a more active and effective role in responding to this global challenge. For example, UN.GIFT facilitated forums which have raised awareness and built capacity in the private sector to understand the issue and corporate responsibilities to combat trafficking. UNODC has supported activities which develop the ability of civil society organizations (CSO) to develop and manage high quality projects and programmes.

³⁵ As of 22 March 2011

Some of the tools for building capacity include training workshops for relevant stakeholders on national, regional, and international basis, facilitation of exchanges, study tours and promotion of south-south and triangular cooperation. Generic tools have also been developed and are available for use by partners, including computer-based training modules, comprehensive checklists and toolkits.

Convene Stakeholders

The nature of the challenge of trafficking in persons requires all stakeholders to contribute in full to its resolution. UNODC's response fully recognizes the multi-faceted nature of the problem and the thousands of stakeholders in the anti-trafficking community, ranging from grass roots to international level, including Governments, CSOs, NGOs, the private sector and the general public, and all of these actors require sensitization, access to information, capacity building and opportunities to deliver. Without the engagement of all actors, the phenomena will continue to thrive. Therefore it is critically important to strengthen every link in the chain and ensure that they work together in order to show real impact.

Facilitate Global Dialogue: The negotiations of the Protocols and their subsequent adoption were the first step towards achieving a universal platform upon which to advance the trafficking in persons' agenda. The Global Plan of Action, which reinforced this position, directly tasks UNODC to maintain the global dialogue on Trafficking in Persons (as a threat to human rights) as an active debate, and keeping it as a priority on the political agenda in the leading global policy forums.

Coordinate UN System Responses: In 2010, the United Nations Global Plan of Action to Combat Trafficking in Persons strongly urged all responsible United Nations entities to coordinate their efforts to fight trafficking in persons effectively and to protect the human rights of its victims, including by means of the Inter-Agency Coordination Group against Trafficking in Persons (ICAT) and the United Nations Global Initiative to Fight Human Trafficking (UN.GIFT).

The UN System reform process has placed emphasis on the ability of the UN Agencies, Funds and Programmes to work together to design interventions that leverage the expertise of the different partners into effective operational joint programmes in the field. UNODC will use the existing coordination mechanisms to develop, coordinate and mainstream a victim-centered approach.

Giving a voice to victims: UNODC recognizes survivors of trafficking as experts in the field, and thus supports their engagement in the global dialogue, which can be achieved through engagement with NGOs and other elements of civil society.

Champion the humanitarian imperative

Building capacity for the protection and support of victims: The UN System upholds the principle of the "humanitarian" imperative, which means that every effort should be made to identify, rescue and rehabilitate victims of trafficking in persons. UNODC will support Member States to ensure that their domestic legal or administrative systems contains measures that help identify victims of trafficking and provide them with access to adequate remedies including protection, assistance and compensation. Measures to avoid double victimization in investigations and criminal proceedings are equally important. UNODC will support Member States to develop or build upon the necessary support structures in order to increase victim identification, protection, assistance and compensation.

The UN Trust Fund for Victims of Trafficking in Persons: To ensure that there is a global mechanism that will provide relief and tangible support wherever needed, the Global Plan of Action entrusted UNODC with the management of the United Nations Voluntary Trust Fund for Victims of Trafficking, Especially Women and Children to provide humanitarian, legal and financial aid to victims of trafficking in persons through established channels of assistance, such as governmental, intergovernmental and non-governmental organizations.

(C) UNODC's Strategic Response to Smuggling of Migrants

UNODC's normative work and technical assistance is geared towards building Member States capacity to implement the Smuggling of Migrants Protocol, which has two key objectives:

- (i) To prevent and combat the smuggling of migrants

While UNODC's work in the implementation of the Protocol builds capacity of Member States for prevention of SOM, UNODC's approach to prevention is predicated on the belief that awareness-raising and advocacy about the threat of SOM is a fundamental basis to prevention. UNODC demonstrates its expertise in advancing global, regional and national prevention efforts through the development of public awareness campaigns, public service announcements (e.g. to advertise national and NGO hotlines) and training films on SOM.

The approach of UNODC to smuggling of migrants is the criminal justice response to these crimes, which includes the protection of and assistance to victims and the upholding of the rights of migrants. The **UNODC Global Programme against the Smuggling of Migrants** provides Member States with technical assistance to support their implementation of the Protocols. This is done through seven complementary and mutually reinforcing areas of intervention which enable to cover all aspects of the Protocol: Legislative Assistance; Strategic Planning and Development; Data Collection and Research; Criminal Justice System Responses; Victim Protection and Support; Prevention and Awareness-raising; International Cooperation. UNODC also supports the Governing and Treaty-based Bodies,

UNODC works in an integrated way drawing on all of its areas of expertise to highlight the pernicious nature of both TIP and SOM, and has facilitated multi-dimensional capacity building initiatives, for example a joint training for the Financial Intelligence Unit in Yemen, which highlighted the connections between illicit financial flows and trafficking in persons and smuggling of migrants, and help build national capacity to respond effectively.

- (ii) To promote cooperation among States Parties to that end, while protecting the rights of smuggled migrants

Protection of the rights of smuggled migrants is a key concerns addressed in the SOM protocol. In line with the Protocols and other relevant international instruments and standards, UNODC promotes a victim-centered, rights based approach in all of its technical assistance and normative work against SOM. To this end UNODC, among other things, seeks to advance the capacity of Member States to adequately address protection and assistance efforts.

The **Global Migration Group** was established by the United Nations Secretary-General in 2006 in response to a recommendation of the 2005 Global Commission on International Migration for the establishment of a high-level group of agencies involved in migration-related activities. It grew out of an existing inter-agency group, the "Geneva Migration Group", which was established in April 2003 by the heads of ILO, IOM, OHCHR, UNCTAD, UNHCR and UNODC. Through participation in the GMG,

UNODC places trafficking in persons and smuggling of migrants in the wider context of migration, and again emphasises the importance of partnership and coordinated action.

Moreover, with regards to partnerships, UNODC works closely not only with inter-governmental and regional organisations and bodies, but also with non-governmental and civil-society organisations, recognising that responding to SOM require multi-disciplinary and comprehensive efforts. In this regard, UNODC promotes mutually beneficial cooperation between state and non-state actors, as well as international cooperation among States. Cooperation at the a regional, trans-regional and international level and the sharing of sharing information between all stakeholders to prevent and combat SOM is one of the primary purposes of the Protocols and an important element to the effective response to these crimes.

(D) Programme Overview

Outcome	Indicative Budget
<i>3.1 Comprehensive strategies, policies and institutional frameworks to prevent and combat trafficked persons and migrant smuggling established by Member States</i>	\$2,300,000
<i>3.2 Member States have comprehensive national legal frameworks to combat trafficking in persons and migrant smuggling.</i>	\$2,760,000
<i>3.3 Improved Member States ability to sustainably collect, store, analyse and report data on trafficking in persons and migrant smuggling.</i>	\$3,200,000
<i>3.4 Increased awareness of relevant forms of trafficking in persons and smuggling of migrants among relevant national and regional authorities, the general public and groups vulnerable to trafficking or smuggling.</i>	\$1,550,000
<i>3.5 Member States' legal and administrative systems established to support and protect victims, providing for the physical, psychological and social recovery of victims of trafficking in persons. Relevant actors in selected countries provided with support to protect and assist smuggled migrants.</i>	\$4,200,000
<i>3.6 Improved criminal justice system response of Member States in combating trafficking in persons and migrant smuggling</i>	\$4,320,000
<i>3.7 Greater UN system-wide coordination, coherence and multi-stakeholder cooperation in policy recommendations and capacity development programmes implemented by international organizations.</i>	\$8,400,000
Total Requirements to achieve Sub-Programme 3 targets	26,730,000

(E) Planned Programme Outcomes

The overall objective of Sub-Programme 3: Human Trafficking and Migrant Smuggling is to support Member States to implement the Trafficking in Persons Protocol and the Smuggling of Migrants Protocol by increasing their capacity to combat trafficking in persons and migrant smuggling, particularly by strengthening criminal justice responses.

The thematic programme provides the context for UNODC to plan and deliver, in an effectively coordinated manner, integrated services in responding to trafficking in persons and smuggling of migrants that incorporate the closely linked and cross-cutting aspects of crime prevention, criminal justice, and international cooperation, falling under the mandates of UNODC. It also provides the framework for the coordination of UNODC's work with that of the broader anti-trafficking sector, including through multi-agency initiatives such as UN.GIFT, strategic policy coordination bodies such as ICAT, and other UN initiatives such as the Global Plan of Action and the United Nations Voluntary Trust Fund for Victims of Trafficking, Especially Women and Children, and inter-agency groups such as the Global Migration Group.

As with the previous two Sub-Programmes, there are several outputs are considered fundamental to the achievement of the outcomes and the overall success of the Sub-Programme in reaching its objective, that are, at the time of writing, insufficiently resourced. As the failure to complete these activities would be detrimental to the overall success of UNODC's work in the area of Organized Crime and Illicit Trafficking, including Drug Trafficking, they are highlighted herewith, including the current funding shortfall.

Outcome 3.1:	<i>Comprehensive strategies, policies and institutional frameworks to prevent and combat trafficked persons and migrant smuggling established by Member States</i>
Outcome Indicator 3.1:	<p><i>Evidence of assessment of anti-trafficking and anti-smuggling policies and strategies relating to (i) criminal justice system responses; (ii) victim-protection and support responses, and (iii) Prevention/awareness efforts. Evidence that Member States' anti-trafficking policies and anti-smuggling strategies have been periodically assessed and amended in light of evidence about their impact.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>4 situation analyses produced, with recommendations for action provided to four countries on the development of strategies, polices and action plans on TIP and/or SOM.</i> • <i>4 assisted Member States/regions will have developed and reviewed action plans and policies and comprehensive strategies that are operationalised on TIP and/or SOM.</i>

Effective responses to trafficking in persons and migrant smuggling call for collaborative, multi-agency, long-term, coordinated strategies and well-planned interventions. Comprehensive strategies need to be tailored to existing capacities and needs, which can only be assessed via data collection efforts. Planning for action must be based on a sound assessment of both the problem and existing capacities to respond to it, and must be supported by willingness on the part of the various groups and agencies involved to cooperate with one another at the national level and with others at the regional and international levels. UNODC will support Member States to carry out assessments of the trafficking and smuggling situation, including state capacities to respond to these crimes, and develop and implement customized national and regional strategies and action plans to prevent and combat trafficking in persons and migrant smuggling. On TIP, where appropriate, and with the aim of ensuring a truly comprehensive response, this work will be carried out under the framework of UN.GIFT with the engagement of its partner agencies.

Priority Activities

- Raising funds for the Global Programmes on Trafficking in Persons and Smuggling of Migrants, particularly targeted at activities related to: specialized training (and train-the-trainers) for

criminal justice practitioners and relevant actors (estimated activity cost per delivery, \$60,000); in response to continual positive feedback and increased requests, conducting additional interregional workshops for international cooperation in trafficking in persons and smuggling of migrants cases (est. \$70,000 per delivery); as well as producing practitioner-based issues papers (est., \$30,000 per delivery). Key activities also include the adaptation and dissemination of practical tools to combat trafficking in persons and smuggling of migrants (est. \$80,000 per delivery), and the carrying out of regional legislative assessments and subsequent drafting workshops (est. \$100,000 per delivery). **Shortfall: USD 900,000.**

Total Priority Funding Shortfall for Outcome 3.2: \$900,000

Outcome 3.2:	Member States have comprehensive national legal frameworks to combat trafficking in persons and migrant smuggling.
Outcome Indicator 3.2:	<p><i>Increased number of States have amended or adopted adequate legal frameworks to combat trafficking in persons and smuggling of migrants, pursuant to domestic needs and international standards.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>Number of ratifications/accession instruments deposited with the Secretary-General will have increased from 143 to 150 for the TIP Protocol.</i> • <i>At least 3 assisted Member States will have introduced draft domestic legislation in line with provisions of the TIP Protocol, with technical assistance provided by UNODC.</i> • <i>Number of ratifications/accession instruments deposited with the Secretary-General will have increased from 127 to 140 for the SOM Protocol.</i> • <i>At least 2 assisted Member States have introduced draft domestic legislation in line with provisions of the SOM Protocol.</i>

In order to effectively address trafficking in persons and migrant smuggling, Member States' legal frameworks must be harmonized to ensure that their own domestic trafficking and smuggling challenges and national priorities are in line with their international legal obligations. UNODC will support States to draft or amend existing legislation in order to meet the requirements of the two Protocols, including preventing trafficking and smuggling crimes from occurring, investigate and punish them once they have occurred and protect victims and the rights of smuggled migrants.

Currently 143 out of 192 United Nations Member States are State parties to the TIP Protocol and 127 to the SOM Protocol³⁶. Thus, both treaties have since their entry into force in Dec 2003 and Jan 2004 respectively become fairly universal instruments. UNODC's flagship Global Report on Trafficking in Persons (2009) funded by UN.GIFT informed that the number of countries having anti-trafficking legislation more than doubled between 2003 and 2008 in response to the passage of the Trafficking in Persons Protocol. Anti-smuggling of migrants efforts may not be that advanced yet, but also here legislative efforts are underway. Even some countries that are not yet State party to the treaties have already made efforts to bring their legislation in line with the requirements of the Protocols. What is very often lacking, however, is the implementation of the treaties beyond mere legislative efforts and the actual enforcement of legislation passed. Therefore more attention needs to be given to implementation and enforcement efforts, in order to address and fill the gaps.

³⁶ As of 22 March 2011

Outcome 3.3:	Prevention: Improved Member States ability to sustainably collect, store, analyse and report data on trafficking in persons and migrant smuggling.
<i>Outcome Indicator 3.3:</i>	<p><i>Increased number of States that have an accurate, reliable and common system for collecting and recording data on TIP and SOM is in place and used by all relevant government institutions. Increased number of baseline studies completed and published.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>Global report on TIP, as mandated by the Global Plan of Action, is completed during the duration of the Programme.³⁷</i> • <i>Global report on SOM published in the duration of the Programme.</i> • <i>At least 2 Member States are assisted to promulgate strategies or actions plans incorporating a data collection component.</i>

Crime and criminal justice statistics, especially data on recorded crime, arrests, prosecutions and convicted offenders, are fundamental in understanding the nature of organized crime and informing evidence-based policies to prevent and combat trafficking in persons and migrant smuggling. UNODC will support States in building the capacity of law enforcement, judicial and other relevant authorities to collect and analyze data on trafficking in persons and to manage knowledge on trafficking crime trends and threat assessments, bridging gaps in the coverage of existing data collection and analysis systems.

Outcome 3.4:	Prevention: Increased awareness of relevant forms of trafficking in persons and smuggling of migrants among relevant national and regional authorities, the general public and groups vulnerable to trafficking or smuggling.
<i>Outcome Indicator 3.4:</i>	<p><i>Increased number of awareness raising and information campaigns carried out by Member States and other actors. Increased number of media outlets communicating information on TIP and SOM. Evidence that underlying and root causes of trafficking and smuggling are considered when prevention initiatives are planned.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>8 Member States are supported to incorporate prevention and awareness-raising measured into the formulation of national programmes and strategies to combat TIP and/or SOM (1 per region).</i> • <i>9 UNODC activities/initiatives conducted to increase awareness amongst general public, media, opinion-formers and decision makers, civil society and direct victims of transnational organized crime and illicit trafficking in each region (2 national Blue Heart Campaign launches per year, 1 UN.GIFT awareness raising activity)</i> • <i>12 information products created to support awareness and dissemination efforts, e.g. (info packages, video and radio materials, website features, etc.</i>

To prevent trafficking in persons and migrants smuggling effectively, the Trafficking in Persons Protocol and the Smuggling of Migrants Protocol require Member States to undertake measures such as social and economic initiatives, research and awareness-raising campaigns targeting potential

³⁷ Noting that this outcome will be delivered and reported against as part of the Thematic Programme on Research and Trends Analysis

victims, would-be smuggled migrants, vulnerable persons and potential consumers of services provided by trafficked victims. This area of anti-trafficking and smuggling responses calls for a wide range of actors to cooperate in designing and implementing such initiatives. UNODC will support States and other stakeholders in prevention efforts and in developing national, regional and global awareness raising campaigns targeted at different groups.

Priority Activities

- The programme of work intended to raise awareness of vulnerable groups on the dangers of trafficking and smuggling, and to advocate with national governments to develop appropriate measures prevention and protection captures a broad spectrum of activities. Identified as priorities which will have maximum impact are the facilitation by UNODC of 1-2 national Blue Heart campaigns per year and the journalists manual on SOM with media training. **Shortfall: \$900,000**

Total Priority Funding Shortfall for Outcome 3.4: \$900,000

Outcome 3.5:	<i>Protection: Member States’ legal and administrative systems established to support and protect victims, providing for the physical, psychological and social recovery of victims of trafficking in persons. Relevant actors in selected countries provided with support to protect and assist smuggled migrants.</i>
<i>Outcome Indicator 3.5:</i>	<p><i>Increased number of victims assisted and protected in accordance with international standards and good practices. Number of NGOs and CSOs supported by the Trust Fund for Victims to provide direct care and support to victims of trafficking in persons. Increased number of relevant actors informed of their responsibility to protect and assist trafficked persons and smuggled migrants and to refer them to the appropriate authorities when necessary.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>Member States are supported to ensure comprehensive laws and procedures relating to victim protection and assistance.</i> • <i>In at least 2 assisted Member States, assistance and protection is anchored in legal provisions, strategies or action plans.</i> • <i>A minimum of \$500,000 per year is disbursed through the UN Voluntary Trust Fund for the Victims of Trafficking in Persons.</i>

In order to effectively address trafficking in persons and prevent re-trafficking, Member States should ensure that their domestic legal or administrative systems contains measures that help identify victims of trafficking and provide them with access to adequate remedies including protection, assistance and compensation. Measures to avoid double victimization in investigations and criminal proceedings are equally important. UNODC will support Member States to develop or build upon the necessary support structures in order to increase victim identification, protection, assistance and compensation.

UNODC will also manage the United Nations Voluntary Trust Fund for Victims of Trafficking, Especially Women and Children to provide humanitarian, legal and financial aid to victims of trafficking in persons through established channels of assistance, such as governmental, intergovernmental and non-governmental organizations.

In order to effectively combat migrant smuggling, Member States should ensure that their domestic legal or administrative systems contain measures that respect the rights of smuggled migrants, and ensure that migrants who have become victims of crime are treated as such. UNODC will support Member States develop or build upon the necessary support structures in order to increase identification of crime victims and potential human trafficking among smuggled migrants and offer appropriate protection and assistance to smuggled migrants generally. UNODC will support Member States to cooperate in appropriately returning and accepting smuggled migrants into their country of nationality or permanent residence, while also upholding the principle of non-refoulement. UNODC will support Member States in developing and implementing effective witness protection mechanisms so as to ensure that the rights of Smuggled Migrants are protected, while increasing the rate of successful prosecution of migrant smugglers.

In order to effectively address smuggling of migrants and provide effective and appropriate protection to smuggled migrants who are asylum seekers, refugees or victims of crime, Member States should ensure that their domestic legal or administrative systems contain measures that help accurately identify them and assist them according to their specific needs. Such identification requires that necessary legislative measures be adopted or amended, that identification processes be strengthened, that legislation be implemented and enforced and that referral systems and other necessary mechanisms be put in place to ensure that persons identified as needing special protection and assistance can receive it. UNODC will support Member States in providing effective protection and establishing assistance mechanisms for intercepted smuggled migrants.

Priority Activities

- The United Nations Voluntary Trust Fund for Victims of Human Trafficking, especially Women and Children, the management of which was entrusted to UNODC as part of the Global Plan of Action against Human Trafficking, is a direct channel for providing tangible and urgent human, financial and legal support to victims of trafficking in persons. UNODC, under the guidance of the Board of Trustees of the Fund, has set an annual target to disburse a minimum of \$500,000. **Shortfall: \$3,000,000**

Total Priority Funding Shortfall for Outcome 3.5: \$3,000,000

Outcome 3.6:	<i>Prosecution: Improved criminal justice system response of Member States in combating trafficking in persons and migrant smuggling</i>
<i>Outcome Indicator 3.6:</i>	<i>Evidence of specialized institutional frameworks to combat trafficking in persons. Increased number of cases of trafficking in persons, migrant smuggling and related conduct investigated, prosecuted and adjudicated in accordance with international standards and good practices. Increase in the use of international cooperation mechanisms being used for cases related to trafficking in persons and smuggling of migrants.</i>
	<u>Target:</u> <ul style="list-style-type: none"> • <i>Criminal justice actors and military and peacekeeping actors in at least 10 selected countries develop an effective response to TIP.</i> • <i>Increase in the number of TIP and/or SOM cases investigated, prosecuted and adjudicated in accordance with international law.</i>

The criminal justice response is one of the major elements needed to address the crimes of trafficking in persons and migrant smuggling. In order for it to be effective, it must be holistic, taking

into consideration a range of issues from the identification, protection, support and access to justice of victims of trafficking, assistance to smuggled migrants and the protection of witnesses to the prosecution of traffickers and smugglers. UNODC will support Member States to increase their ability to prosecute traffickers and smugglers and protect and support victims and witnesses, balancing the need to secure rule of law and the certainty of convictions, with acknowledgement and recognition of human rights.

The fight against criminal organizations involved in trafficking in persons and migrant smuggling calls for broad, multi-agency, flexible and cooperative approaches, both nationally and internationally. Some of the best results in the prosecution of trafficking in persons and smuggling of migrants have been obtained when the law enforcement and prosecution agencies have been able to work together effectively, both locally and across borders. UNODC will promote cooperation among officials of different States in carrying out investigation and prosecution by facilitating effective information exchange and joint action. It will also enhance cooperation among state and non-state actors such as law enforcement, judiciary and victim service providers in countries of origin, transit and destination with the aim to improve trans-national referrals and victim support. UNODC will also support the establishment or strengthening of central authorities for mutual legal assistance.

Outcome 3.7:	<i>Partnership: Greater UN system-wide coordination, coherence and multi-stakeholder cooperation in policy recommendations and capacity development programmes implemented by international organizations.</i>
<i>Outcome Indicator 3.7:</i>	<p><i>Positive evaluation of inter-agency coordination and cooperation mechanisms that are lead by or benefit from the contribution of UNODC.</i></p> <p><u><i>Target:</i></u></p> <ul style="list-style-type: none"> • <i>8 joint programmes and multi-stakeholder initiatives in place (1 per region).</i> • <i>Multi-stakeholder knowledge platform established to share, document and disseminate knowledge on TIP and/or SOM.</i> • <i>5 periodical international/regional cooperation meetings held issues (1-2 per year).</i>

As multidisciplinary topics, trafficking in persons and migrant smuggling require that policies and programmes on a variety of issues are coordinated and consistent with the objective of preventing and combating trafficking in persons and the smuggling of migrants. Therefore, international coordination and cooperation on anti-human trafficking and anti-migrant smuggling, within and outside the UN system at both global and local levels is an important and persisting need. UNODC will support Member States by promoting at the international, regional and local levels inter-agency and multi-stakeholder mechanisms for coordination and technical cooperation on trafficking in persons, such as UN.GIFT and ICAT and on both TIP and SOM, such as the GMG, as well as by ensuring the appropriate linkages to the related and inter-dependent areas of UNODC's mandate.

Priority Activities

- The multi-agency initiative UN.GIFT will focus on three components in the work of its next phase (2011-2015): knowledge management, strategic support and interventions and global dialogue. Details can be found in the UN.GIFT Strategic Plan. The cost of key activities for the period 2011-2013 is estimated at: **USD 5,500,000**

Total Priority Funding Shortfall for Outcome 3.7: \$5,500,000

IX. AN ANALYSIS OF TRANSNATIONAL ORGANIZED CRIME IN THE FIELD

Thematic programmes are developed at UNODC Headquarters to provide an overview of the mandate and strategy of a particular UN thematic area. **Regional and Country Programmes**, however, adopt a “bottom-up” strategy. At the field level, UNODC consults with Member States about their needs and priorities, and sets forth clear objectives for providing technical assistance and partnership-building with UNODC. Generally, regional programmes seek to promote partner country ownership, be aligned with national policies and priorities, be responsive to needs, be results focused, promote capacity building and regional cooperation and partnership arrangements with clear mutual responsibility and accountability

The Regional Programmes are designed to focus on key priority areas addressing the main challenges of the concerned countries, which are established through an extensive consultative process, in which regional and national ownership is maximized. In the Regional Programmes already underway, the Organized Crime component has typically been the largest, representing between one third and half the total programme value.

Regional Programme	Programme Duration
Regional Programme for South Eastern Europe	2009-2011
Regional Programme for Eastern Africa	2009-2012
Regional Programme for Central America	2009-2012
Regional Programme for East Asia and the Pacific	2009-2014
Regional Programme for West Africa	2010-2014
Regional Programme for the Arab States	2011-2015
Regional Programme for Afghanistan and Neighbouring Countries	2011-2014
Regional Programme for Southern Africa	2011-2015

UNODC’s **Field Office Network** (including regional offices, regional centres, country offices, sub-regional project offices, project offices and liaison offices) plays a major role in planning, delivering and coordinating anti-organized crime and illicit trafficking programmes, projects and activities at the national, sub-regional and regional levels. Organized crime and trafficking interventions typically make up the largest component of the Regional and Country programmes. Highlights of these are provided in Annex 1.

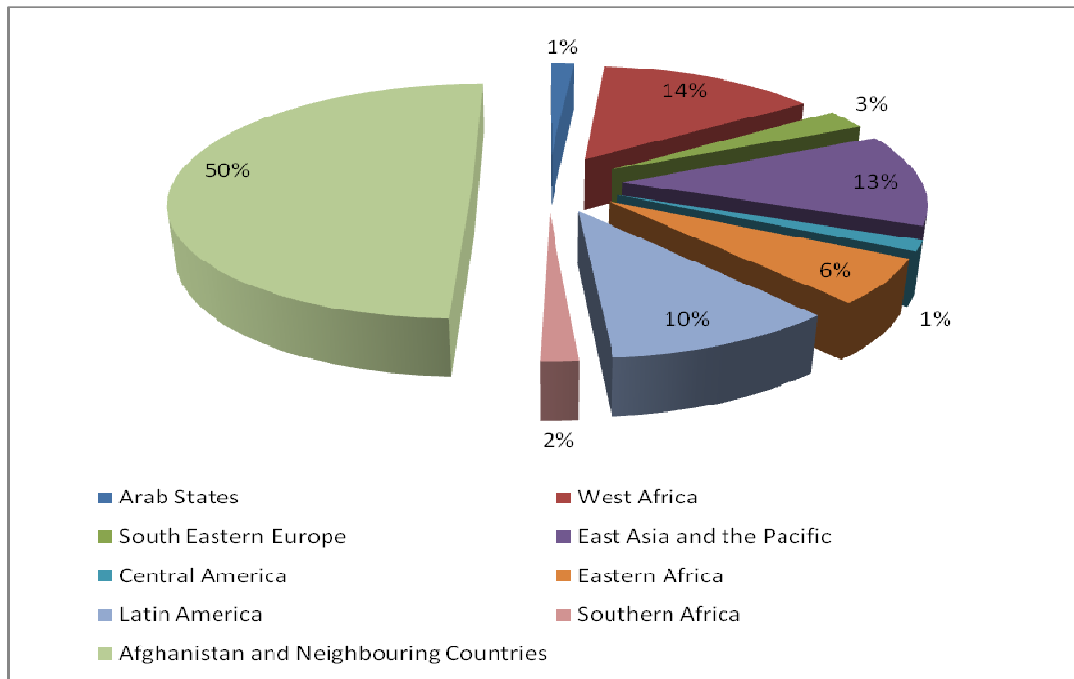
The long-term goal is to achieve a judicious mix of:

- core capacity at headquarters in terms of specialized expertise and support functions for the COP to the United Nations Convention Against Transnational Organized Crime (UNTOC) and any subsidiary bodies, ensuring effective policy and programme coordination, strategic interventions, advocacy, partnerships at the global level, consistency in approaches worldwide and translation of lessons learnt into best practices;
- substantive expertise and operational capacity in the relevant UNODC field offices to initiate, coordinate and implement activities at the regional and country level, including through transfer of skills from UNODC headquarters;

- global programmes to address global problems and/or tackle emerging crimes and test innovative techniques and tools to be implemented in the field.

(A) A Global Perspective

The UNODC Field Office Network allows UNODC to have a global presence throughout the world. The overall approved budget expenditure of UNODC work on transnational organized crime amounts to US \$254,901,105.

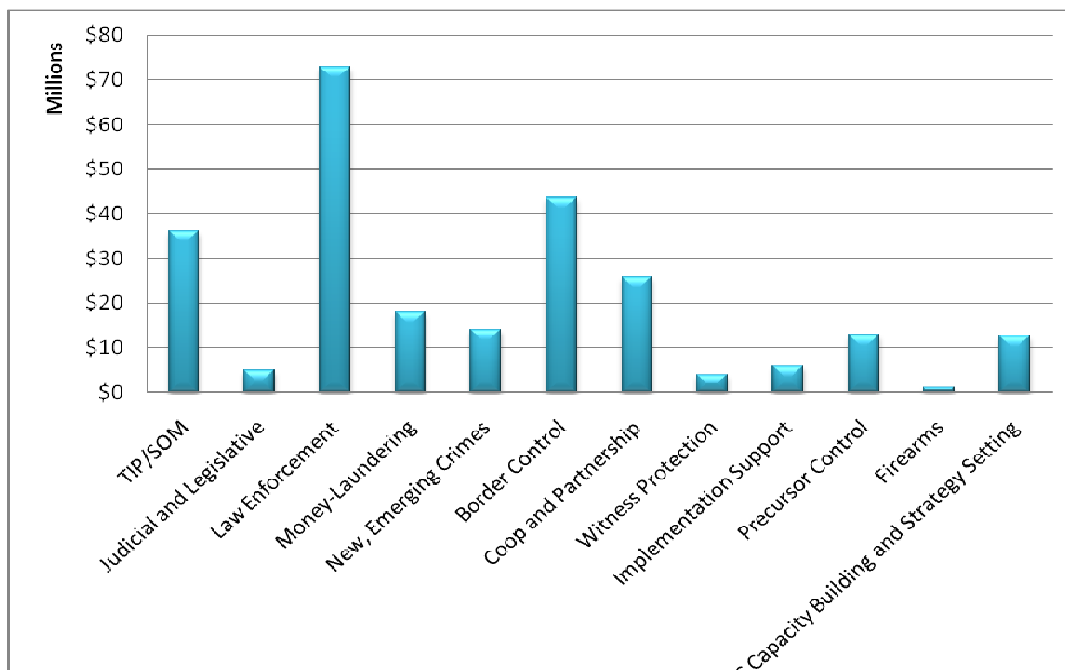


Breakdown of UNODC Technical Assistance in TOC by Region

As demonstrated in the graph above, once the overwhelming dominance of the Afghanistan Region, whose portfolio comprises largely of drug trafficking responses, is accounted for, the rest of UNODC’s TOC portfolio is distributed fairly evenly throughout the world. In addition to the some \$180 million worth of activities graphed above, 31% (approximately \$75million) of the approved budget is earmarked for multi-regional or global programmes.

(B) Thematic Breakdown of TOC Technical Assistance

An analysis of the breakdown of UNODC’s technical assistance by thematic service lines shows clearly that the organisation is very much defined by the two pillars of “drugs and thugs”, and that Member States perception of UNODC’s value-added is in law enforcement capacity building. However, on a closer analysis which takes into account the ongoing project durations (see Annex 3: List of TOC Programme Components by Region), a distinct growth can be perceived in new areas of UNODC work, particularly in TIP and SOM, as well as new and emerging crimes, and by the end of this programme, there will be a clearer balance in all of UNODC’s service lines.



Overview of TOC Technical Assistance in the Field by Thematic Area

(C) TOC by Region

Regional Programme for the Arab States

The Regional Programme in the Arab States covers initiatives for the 18 States in the region from 2011-2015. The Programme is broken down into three sub-programme, with sub-programme 1 focusing on illicit trafficking, organized crime and terrorism. One of the primary needs of this region is increasing cooperation and communication throughout the Arab States on issues of transnational organized crime and illicit trade, as well as increasing the capacity of law enforcement institutions in combating these threats.

In light of this need, an ongoing UNODC project has helped establish the Gulf Centre for Criminal Intelligence, based in Qatar. This Centre will serve as a hub for law enforcement agents, representing various countries in the region, to coordinate and share information and analysis in real-time. By increasing partnerships and communication throughout the region, this will make the countries individually, and the region as a whole, more adept at combating transnational crime, including drug trafficking.

Regional Programme for West Africa

The Regional Programme for West Africa covers interventions in the region in 15 States from 2010-2014. West Africa has become an increasing important transit point in the flow of illicit drugs into Europe. Due to this, sub-programme 1 focuses on combating organized crime, illicit trafficking and terrorism. In particular, law enforcement capacity building, regional cooperation and information-sharing as well as interdiction efforts are critical to the success of sub-programme 1. The following are two examples of major West African initiatives.

The project “*Establishment of Real-Time Operational Communication Between International Airports in Africa, Latin America and the Caribbean*” is a major program aimed to halting the flow of drugs

through West Africa. The project will establish a Joint Airport Interdiction Task Force which will be connected, in real time, to international law enforcement databases. This will enable the Task Force to more proactively intercept illicit shipments and promote intelligence and information sharing amongst regional actors.

In Cape Verde, *“Anti-Organized Crime and Counter Narcotics Enforcement”* is part of a wider West Africa Regional Programme by UNODC to provide technical support, including support in finance and research. UNODC efforts also include training and capacity building for the Judicial Police, the Attorney General’s Office and the Financial Information Unit.

The project on *“Enhancement of Forensic Science Services in West Africa”* aims at supporting the establishment of a sustainable and integrated West African infrastructure for the delivery of basic forensic services to support the fight against drug trafficking and organized crime. The project provides in-depth forensic infrastructure assessments, regional and national training workshops to enhance drug law-enforcement interdiction capacities.

Regional Programme for South Eastern Europe

The Regional Programme for South Eastern Europe is the guideline for initiatives between 2009-2011 and covers 6 countries (including Kosovo). Sub-programme 1 relates to organized crime and terrorism. Specifically, the problem areas which this sub-programme focuses on legislative assistance and capacity building, border control, specialized investigative techniques and witness and victim protection, among others. The following are two major projects operating under this Regional Programme.

“Strengthening Border Control Capacities in Albania” is an ongoing project providing strategic guidance to the government of Albania to counter illicit trafficking and disrupt groups and networks of organized crime, by both land and sea. UNODC guidance has facilitated cooperation between the police and customs via negotiations to revive a Memorandum of Understanding. UNODC assistance has also worked to promote cooperation between the police and the Serious Crime Prosecution Office. Moreover, the project has sought to modernize the Albanian police force, as well as promote regional cooperation and information sharing among Police and Customs enforcement.

“Development of Monitoring Instruments for Judicial and Law Enforcement Institutions in the Western Balkans” is an ongoing project, seeking to strengthen the response to crime and corruption by aligning national statistics mechanisms with relevant EU and international best practices. One of the primary statistical categories this project is addressing are organized crimes, particularly trafficking of persons, money-laundering and smuggling of migrants.

Regional Programme for East Asia and the Pacific

The Regional Programme for East Asia and the Pacific covers UNODC work in the region in the 34 countries and territories across East Asia from 2009-2014. The Regional Programme supports two broad thematic areas – rule of law and health and development. In relation to transnational organized crime, this thematic area focuses on illicit trafficking and criminal justice. Because the region is known as a global source and transit destination for human trafficking and illicit trade, one of the primary tools has been institutional capacity building and reform.

In Indonesia, an ongoing major project, *“Support to Improved Security by Provision of Capacity Building to the Jakarta Centre for Law Enforcement Cooperation”* has been strengthening the investigative and management capacities of the Indonesian National Police, as well as other law enforcement agencies. The purpose is to improve police ability to prevent and investigate instances

of transnational crime. The project creates sustainability because it trains officers in the requisite skills necessary to combat transnational crime and permanently establishing a capable network of police officials with comprehensive training.

A regional, ongoing project, *“Partnership Against Transnational Crime Through Regional Organized Law Enforcement”* has been working toward expanding cross-border cooperation in combating transnational organized crime. Specifically, this project focuses on the thematic area of smuggling of migrants.

Regional Programme for Central America

The Regional Programme for Central America covers projects and UNODC regional priorities in 8 States from 2009-2012. The relevant sub-programme focuses on organized crime, illicit trafficking and terrorism. The activities under this sub-programme primarily relate to obtaining region-wide ratification of UNTOC, but also capacity-strengthening as well as a specific focus on money laundering.

A major UNODC project, *“The Santo Domingo Pact – Managua Mechanism”* is an inter-regional technical assistance programme. The purpose of this project is to facilitate period expert consultations on illicit trafficking and transnational organized crime which affect the region. These strategic partnerships at the expert and policy levels will allow for a more coordinated and coherent regional response to these threats. In addition, the Pact itself operates as a tool which helps foster an environment of cooperation and mutual respect and reinforces these regional partnerships. Finally, the technical assistance also aims to assist countries in ratifying and implementing the relevant portions of international agreements which are related to transnational organized crime.

Regional Programme for Eastern Africa

The Regional Programme for Eastern Africa covers projects from 2009-2012 in 13 countries. Sub-programme 1 concerns illicit trafficking, organized crime and terrorism. Priority outcomes include region-wide ratification of UNTOC and its Protocols, as well as improving border control systems and capacity building. The following are three examples of major projects undertaken in the region relating to transnational organized crime.

Under the ongoing project *“Strengthening the criminal justice response to human trafficking in Burundi”* which commenced in 2009, UNODC held a legislative drafting workshop which was attended by the agencies involved in the legislative adoption process. The training was carried out by an official from the Belgian Ministry of Justice who drew upon lessons learnt during the drafting of the anti-TIP legislation in Belgium. UNODC has also recruited a consultant to draft a training manual for law enforcement officers and carry out a two-week training of trainers in the country. The manual will draw on existing UNODC materials such as the Anti-Human Trafficking Manual for Criminal Justice Practitioners.

UNODC has an on-going law enforcement project in Ethiopia with an immediate objective to strengthen the country’s capacity to tackle illicit drug trafficking particularly through Bole International Airport in Addis Ababa. However, the project is also expected to result in the strengthening of Ethiopia’s capacity to combat other transnational organized crime making use of the airport. The main elements of the project strategy include: (i) strengthening the collaboration between key government entities at the airport, i.e. the Federal Police, the Ethiopian Customs Service and the Immigration authorities; and (ii) upgrading the specialized skills of front line staff of the concerned entities.

UNODC has provided an expert to support the establishment of the Witness Protection Agency in Kenya and undertake assessments in other Eastern African countries. While the assessment in Tanzania has been concluded, Rwanda is awaiting concrete feedback from its Government. UNODC has partnered with the Institute for Security Services (ISS), the Kenyan Section of the International Commission on Jurists (ICJ-K) and the Eastern African Judges and Magistrates Association (EAJMA), to provide training in witness/victim protection in Tanzania and Uganda. In Uganda, UNODC partnered with the UN OHCHR and the Uganda Law Reform Commission to hold a two-day seminar on witness/victim protection.

Regional Programme for Latin America and the Southern Cone

The Regional Programme for Latin America and the Southern Cone, though not completed yet, has major projects already under implementation in the region. In particular, *“Strengthening the Capacity of the Brazilian Federal Police to Combat Drug Trafficking and Other Organized Crimes”* is an ongoing project which will contribute to Police ability to combat organized crime. One of the primary goals of the project has been to improve Police understanding of the structure of organized crime, how these groups and networks link with legitimate economic activity as well as their regional connections. The project has sought to assist in the institutional strengthening of the Office Against Organized Crime, in order to create a sustainable ability of the Brazilian Police to fight organized crime.

Regional Programme for Southern Africa

Though yet to be completed, the regional programme covers 11 countries. There are presently a few major projects currently underway. In particular, the ongoing *“Strengthening Law Enforcement Capacity (Border Control Operations) and Criminal Justice Response to Smuggling of Migrants and Trafficking in Persons”* is part of the implementation of the National Integrated Border Management Strategy. This strategy is primarily a response to combat trafficking in persons and smuggling of migrants across borders in Southern Africa. The project has also been providing technical assistance in order to promote an integrated border management, as well as promoting facilitation and cooperation regionally.

Regional Programme in Afghanistan and Neighbouring Countries

The Regional Programme in Afghanistan and Neighbouring Countries covers UNODC interventions in 8 States and is set to be completed later in 2011. Major projects in the region are, however, presently underway under the auspices of various country programmes, as well as independent, UNODC-run projects. The following are examples of some of the major projects in the region UNODC is presently operating.

The ongoing *“Drug Control Agency in Kyrgyz Republic”* project was designed to establish a drug control agency in the Kyrgyz Republic and provide the resources and training necessary to make the agency sustainable. UNODC will continue to provide assistance to the Agency, including guidance on training and retaining vital staff and providing technical assistance for intelligence-led policing.

The *“Integrated Border Control in the Islamic Republic of Iran – Phase 1”* project aims at strengthening the border interdiction capacities of Iran by increasing the capabilities of the Iranian Anti-Narcotics Police, Border Control and Customs to interdict illicit drugs. The focus of the project is on eastern border points and primary trafficking routes. In addition, the project will establish information sharing mechanisms in order to improve communication between Iran and its neighbours.

“Sub-Programme 1 of the Pakistan Country Programme – Illicit Trafficking and Border Management” is part of a larger project under the Pakistan country program. The goal of this project is to increase the core capabilities of Pakistani law enforcement, in particular focusing on limiting illicit trafficking and managing and securing borders. One of the core aspects of this program is information collection and analysis. Namely, working with key governmental actors to improve collection and storage of data, as well as analyzing the data.

X. UNODC ORGANIZATIONAL CONTEXT

(A) Policy Context

The goals and areas of work of UNODC are defined in **the *Medium-Term Strategy for the period 2008-2011 for UNODC***, which provides an overarching results-based framework for its programmatic activities. This Strategy establishes the objectives and results that UNODC seeks to achieve pursuant to its mandates, organized under three themes: 1) rule of law; 2) policy and trend analysis; and 3) prevention, treatment, reintegration and alternative development.

The Thematic Programme on Transnational Organized Crime corresponds to all three aspects of the UNODC Medium-Term Strategy in equal parts as it seeks to develop a holistic means to combat the pervasive threats from organized criminal and illicit trafficking activities, which can undermine a society and hamper development at all levels.

Within Theme 1, the Programme operationalizes Result Area 1.1 (Ratification and implementation of conventions and protocols), 1.2 (International cooperation), which includes enhanced capacity for law enforcement and special investigative techniques, and 1.3 (Accessible and effective criminal justice systems). The ratification of the United Nations Convention Against Transnational Organized Crime (UNTOC) and the implementation of its provisions will enable States parties to strengthen their capacities to prevent and combat transnational organized crime. Although 158 countries are parties to UNTOC, there is still considerable advocacy to be done before universal ratification is achieved and we have a comprehensive and effective global legal framework. Given the increasingly globalized nature of organized crime, as long as there remains a haven, criminals will take advantage of it. It will also enhance international cooperation, and in particular the return of confiscated proceeds of crime to the country of origin.

Within Theme 2, the Programme operationalizes Result Area 2.1 (Threat and risk analysis). The production of data and analyses will enable better knowledge of organized crime flows, patterns and typologies, as well as analysis and tracing of seized arms and analysis of patterns and modus operandi of transnational firearms trafficking. The support to countries to produce national threat assessments and victim surveys will translate into better capacity to formulate adequate policies to counter organized crime.

Within Theme 3, the Programme operationalizes Result Area 3.1 (Community Centred Prevention) which targets the vulnerable groups of society with awareness and prevention campaigns to enhance understanding and use of international standards and norms for crime prevention, and to create a culture of zero tolerance for organized crime. The implementation of the comprehensive firearms control regime aims also at reducing the impact of armed violence and increasing the crime prevention element of public policies. In coordination with the Health and Sustainable Livelihoods Branch, the Programme also supports Result Area 3.4, supporting and raising awareness of, and mainstreaming, the issue of alternative development. This includes, where appropriate, preventive alternative development programmes. Finally, the Programme supports Result Area 3.8, which develops the capacity of Member States and other actors to implement victim assistance programmes for the most vulnerable segments of society, including women and children.

The Thematic Programme has also taken full cognizance of the **Strategic Framework 2012-13**³⁸ that has already been approved and thus has linked the expected accomplishments therein to the results framework. In particular, this Thematic Programme responds to the priorities laid out in *Sub-Programme 1: Counter Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking*. Accordingly, this Thematic Programme operationalised the multi-pronged strategy for an effective international regime against organized crime and trafficking described in the Sub-Programme: (a) Promoting the ratification and implementation of the international instruments on drugs, organized crime and the protocols against trafficking in persons, smuggling of migrants and firearms, especially by providing policy advice at the global, regional and national levels, legal advisory and legislative support services , capacity building on strengthening the criminal justice systems, protection of rights of victims and witnesses of crime and smuggled migrants, prevention as well as international cooperation; (b) coordinating and monitoring the follow-up of the mandates contained in the relevant resolutions and decisions by the treaty-based organs and governing bodies; (c) performing the secretariat functions for the Conference of the States Parties to the Convention against Transnational Organized Crime and the Protocols thereto as well as the established working groups to the Conference of the States Parties; (d) Coordinating and collaborating with other relevant actors and partners, especially intergovernmental, regional and non-governmental organisations at international, regional and sub-regional levels; (e) providing technical assistance including training to Member States, upon request, to enhance national justice systems through various forms of technical cooperation to combat organized crime and illicit trafficking, including trafficking in persons, smuggling of migrants and firearms; and (f) developing and disseminating manuals, toolkits, reports and issue papers to combat organized crime and illicit trafficking, including trafficking in persons, smuggling of migrants and firearms.

(B) Organizational Context

UNODC recently engaged in a process of internal realignment of the Division for Operations and the Division for Treaty Affairs. Furthermore, the Office has streamlined its strategic planning and implementation tools to ensure maximum consistency in its objectives, policy approaches and management arrangements, both at HQ and in the field. The **Thematic Programmes**, the **Regional Programmes** and the five new thematically based **Branches/Sections** (i.e. Organized Crime, Corruption, Justice, Health and Terrorism Prevention) constitute the key interrelated pillars of this new strategic approach. The implementation of Thematic and Regional Programmes are underpinned and reinforced by a number cross-cutting corporate services which ensure that the Office works coherently and strategically as a whole.

Within UNODC, the overall responsibility and functions relating to the fight against organized crime and the ratification and implementation of UNTOC and its Protocols lies with the OCB, which was formed on 1 April 2010, as the result of this reconfiguration of functions that previously were divided between the Division of Operations (DO) and the Division of Treaty Affairs (DTA). The OCB amalgamates the various units and staff from the two Divisions whose normative and operational work supports the effective implementation of UNTOC and its Protocols. In the realignment, the components retain their areas of responsibility, with the Branch as a whole reporting to DTA.

³⁸ A/65/5 Prog. 13

The present document combines the normative and operational expertise of UNODC on organized crime in all its components and manifestations by means of an integrated approach, offering the benefits of the Office's many areas of expertise as a complete package (covering the entire spectrum from intelligence to prison, legal and technical assistance to recovering assets), while leaving room for any new priorities which may emerge in the future as new challenges presented by organized crime that merit UNODC's attention.

Integrated Programme Approach

The Medium-Term Strategy for 2008-11 marked a distinct shift in UNODC's approach. Recognizing the importance of the UNODC's various mandates at the nexus between justice, health and development, UNODC launched a major exercise to streamline its strategic planning and implementation tools, moving away from a fragmented project-based approach to a truly integrated "**Integrated Programme Approach**". Two key instruments have been developed – Thematic Programmes and Regional Programmes – which cover the entire range of the UNODC mandates and activity areas both substantively and geographically.

Thematic Programmes, developed at HQ by the Thematic Branches, provide policy guidance for a global operational framework as well as tools for use in delivery of technical assistance in their respective sectors, integrating the various components of UNODC's expertise in the areas of advocacy, trends and threat analysis, legislative and legal support, norm setting and technical assistance. They respond to UNODC's mandates and take a global perspective on thematic issues – building the UNODC pool of thematic expertise in our key service lines, developing and disseminating core tools, ensuring consistency of UNODC's approach and messages, undertaking global advocacy, supporting programme development in the field, identifying and sharing lessons learned from different regions, and promoting south-south cooperation. The Global Programmes (e.g. Global Programme on Money Laundering; Global Programme on Maritime Security; Global Programme against Trafficking in Persons; Global Programme against the Smuggling of Migrants; [...] Prevent and Combat Serious and Transnational Organized Crime) give practical application to the Thematic Programmes, developing global solutions to critical drugs and crime challenges and both supporting and delivering direct technical assistance, in close consultation and coordination with the Regional Offices.

Regional Programmes capture the diversity and inter-connected nature of UNODC's work at the field level, and maximize the value-added contribution of UNODC to addressing cross-border challenges. They address the priority needs of the Member States of each region in a strategic and integrated manner, focusing on development results and achieving visible impact. Regional Programmes are multi-year strategies, which take a results-based management approach to show how activities at the country level work together to achieve a development outcome for the region.

Through the Integrated Programme Approach, UNODC has gathered together the full weight of its mandate and resources to tackle this problem holistically, in an integrated and coordinated manner, in order to build national and international capacity along every aspect of the impact chain. In keeping with UNODC's technical expertise, this is predominantly a criminal justice response, but from a deeper understanding and more synergistic approach to the challenges have come innovation, flexibility and responsiveness. Close working relations with other UNODC Sections/Units and the operational support of UNODC's field offices are critical for providing

expertise and experience, and making an extended network of contacts available to Member States. Leadership and coordination of the Integrated Programme Approach is vested within the **Integrated Programming and Oversight Branch (IPB)** which ensures the effective integration of Regional, Country and Thematic Programmes.

Organizational Linkages

Specifically, expertise will be drawn from within UNODC Headquarters and specific attention will be paid to ensure that activities related to transnational organized crime are undertaken in full cooperation and synergy with the other thematic Branches/Sections, namely the **Corruption and Economic Crime** Branch; the **Terrorism Prevention** Branch; the **Justice** Section; the **Health & Livelihoods** Branch and the **Research and Trend Analysis Branch**

The work of the Thematic Branches is underpinned and reinforced by a number cross-cutting services which together ensure that the Office works coherently and strategically as a whole.

The **Division of Policy and Analysis (DPA)** is the entity within the Office in charge of monitoring and analyzing global crime and drug trends and related issues and serving as a repository of analytical and scientific expertise in drug control and crime prevention.

The OCB will coordinate and work with the **Laboratory and Scientific Section (LSS)**, which operationalizes the Office's Thematic Programme on Scientific and Forensic Services. The programme outlines the substantive strategy to ensure that Member States and the international community have access to quality forensic science services and data in support of their efforts to counter drugs and crime. Specifically, the OCB will work with LSS in developing capacity in Member states with respect to physical evidence and crime scene awareness and in forensic examination of forged travel and security documents. The programme's development of standardized guidelines and training materials for developing capacity in Physical Evidence and Crime Scene Awareness, Forensic Document Examination and Use of forensics in combating ID-Related Crime: and delivery of training as part of national and regional programmes exemplifies this collaboration

Further, the OCB will coordinate and work with the **Studies and Threat Analysis Section (STAS)**, which is responsible for: (i) analyzing the evolution of transnational drugs and crime issues; and (ii) performing transnational drugs and crime threat assessments to help the international community to identify threats, emerging issues and priorities and toward the end of enhancing the global strategic response. The recently published reports on "*The Globalisation of Crime: A Transnational Organized Crime Threat Assessment*"; "Transnational trafficking and the rule of law in West Africa", "Addiction, Crime and Insurgency – The transnational threat of Afghan Opium" are examples of how the work of STAS feeds into the TOC thematic programme, as well as regional programmes, and helps to set priorities and develop strategic responses to existing and emerging forms of transnational organized crime.

The **Statistics and Surveys Section (SASS)** has primary responsibility for the implementation of the statistical programme which relates to UNODC Results area 2.1.1: *Enhanced knowledge of trends including emerging trends in drug and specific crime issues available to Member States and the international community*. SASS responsibilities include operational and normative work, which together provide the baseline of information upon which policy and programming work is

based. It undertakes data collection, performs statistical analysis and provides technical support with the aim of strengthening the capacity of Member States to generate statistical data. SASS normative work relates to the development of standards and guidelines for statistical methodology in the area of drugs and crime, including the development of indicators, and guidelines on the implementation of surveys and the development of administrative data systems. SASS has the expertise to assist Member States in employing appropriate methodologies and instruments for the implementation of data-collection strategies capable of leading to the compilation of reliable, relevant, comparable and usable data on drugs and crime.

Cooperation and coordination will also be ensured with the **Advocacy Section** of DPA, which: promotes and enhances efforts to reduce drug abuse and crime worldwide; communicates the mission and objectives of UNODC among decision and opinion makers; actively commemorates International Days through targeted campaigns; supports awareness raising and preventive activities and mobilizes support and builds partnerships with external groups through a comprehensive effort that includes a strong and consistent message; informative and well written public information materials; effective outreach to NGOs and civil society; a regularly updated and user-friendly web site; and thematic multimedia campaigns that targets the media, key constituencies and the public at large.

The Organized Crime and Illicit Trafficking Branch (OCB) partners with the **Co-Financing and Partnerships Section (CPS)** of DPA, to develop an effective fundraising and outreach strategy that ensures an integrated approach with the other thematic and geographic priorities of UNODC. This includes in the campaigning for funds for activities that UNODC manages on behalf of the UN System, including, for example, the Trust Funds for Victims of Human Trafficking and the Counter-Piracy Trust Fund, as well as UN.GIFT.

Finally, there is already in place a strong partnership with the **Independent Evaluation Unit (IEU)** to ensure that the impact of this Thematic Programme is measurable and demonstrable. The Independent Evaluation Unit will support OCB in the development of an evaluation plan, which will allow the measurement of impact and results, both of the Thematic Programme as a whole, but also of the core components within it, such as the Global Programmes, or the work of the policy making bodies along various thematic priorities.

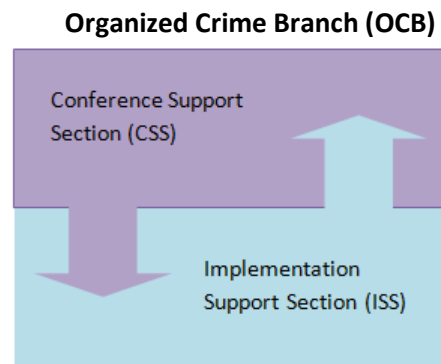
XI. MANAGEMENT ARRANGEMENTS

(A) UNODC Organizational Response

Given that organized crime and illicit trafficking, especially in drugs, cuts across the core business and mandate of UNODC, the implementation of the Thematic Programme is executed in part by all branches and divisions of UNODC. However, the strategic leadership and accountability for delivery against the Strategic Framework and to Member States with UNODC rests with the OCB.

In coordination with OCB, teams provide services on data collection, trends analysis and knowledge management, based upon the specialized expertise and cutting edge knowledge that is cultivated within the Organized Crime and Trafficking Global Programmes, and ensures that this is fed into the international policy debates. The Branch works in close partnership and cooperation with the other substantive and geographical divisions of the Office.

The OCB is structured with two mutually reinforcing sections, the Conference Support Section (CSS) and the Implementation Support Section (ISS), whose synergies are brought together by the Branch Chief. The CSS takes primary responsibility for the Branch's normative work, serving as the Secretariat to the COP of the United Nations Convention Against Transnational Organized Crime (UNTOC), supporting international policy dialogue, assisting States to translate the provisions of UNTOC and the Protocols thereto into national legislation and transposing the specific thematic expertise, knowledge and best practices of the specialized units of the ISS into the global policy development and legal frameworks. The ISS is comprised of Units with focused expertise in three areas: Organized Crime and Law Enforcement; Firearms; Money Laundering and Human Trafficking and Smuggling, and these oversee the global technical assistance activities of UNODC Programme Offices, manage global programmes in support of the implementation of UNTOC and its protocols, and provide expertise to the international policy dialogue in close coordination with CSS.



The mutually reinforcing structure of Organized Crime Branch

The implementation of the Thematic Programme on Organized Crime and Illicit Trafficking is executed via the OCB within UNODC, in close partnership and cooperation with the other substantive and geographical divisions of the Office. Teams provide services on data collection, trends analysis and knowledge management, based upon the specialized expertise and cutting edge knowledge that is cultivated within the Organized Crime and Trafficking Global Programmes, and ensures that this is fed into the international policy debates.

Through the **Global Programmes** the teams will address the three Sub-Programme areas within their specific areas of thematic expertise, and support the development of knowledge and best practices, develop relevant tools, oversee programme development in the Regional and Country Programmes of UNODC, and administer activities best suited to global implementation – for example, the UNODC-WCO Global Container Control Programme, Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism (GPML). In addition, the Global Programmes are responsible for developing close linkages and joint initiatives both internally and with other thematic units within UNODC, as appropriate. Integration is also facilitated through the UNODC inter-departmental task forces that are established for each geographic region. Examples of existing integrated initiatives are as follows:

- Global Programme on Money Laundering has developed a joint guidance and training on Terrorist Financing related issues (freezing of terrorist assets and cash-couriers)with Terrorism Prevention Branch;
- Global Programme on Counter-Piracy has ongoing Joint initiatives on prison reform and capacity building of the criminal justice system in Kenya and Seychelles with the Justice Section;
- The Global Programme Against Trafficking in Persons recently undertook a joint training with GPML for the Yemeni Financial Intelligence Unit on TIP/SOM and tracking of proceeds.
- The Global Container Control Programme directs its capacity building assistance to better border management, more effective controls, better information gathering and analysis leading to improved national security
- The Global Programme on Scientific and Forensic Services focuses on developing and making available best practices and relevant tools in support of quality forensic services from the crime scene to the court room. It has worked with the OCB in developing guidance on investigation of crime scenes and forensic document examination.

While the **Thematic** and **Global Programmes** are being developed by UNODC Headquarters to provide an overview of the mandate and strategy of UNODC, to produce the technical assistance tools and expertise needed and provide technical assistance itself in a particular thematic area, the **Regional Programmes**, on the other hand, adopt a “bottom up” approach ensuring a full consultation with Member States at the field level as to their priorities and, by so doing, set out clear objectives for the provision of technical assistance and partnership-building by UNODC. The two fully complementary and mutually reinforcing instruments operationalize the same objectives of the UNODC Strategy and should therefore be conceived as part of a broader endeavour to ensure consistency and coherence in the programmatic approach of UNODC.

Through its Field Office Network and the implementation of **Regional Programmes (RP) and Country Programmes**, UNODC assists developing countries, countries emerging from conflict

and countries with economies in transition in fighting transnational organized crime and trafficking.

(B) Overview of Human Resources (2011-13)

Staffing and operational expenses for the headquarters-based part of the Thematic Programme on Organized Crime and Illicit Trafficking are covered by a combination of regular budget of the United Nations and extra-budgetary resources (voluntary contributions of donor countries) through different projects and programmes. Additional funds will be solicited to expand the programme in a modular/incremental manner for tailored and/or time-bound activities within the overall framework outlined in this thematic programme.

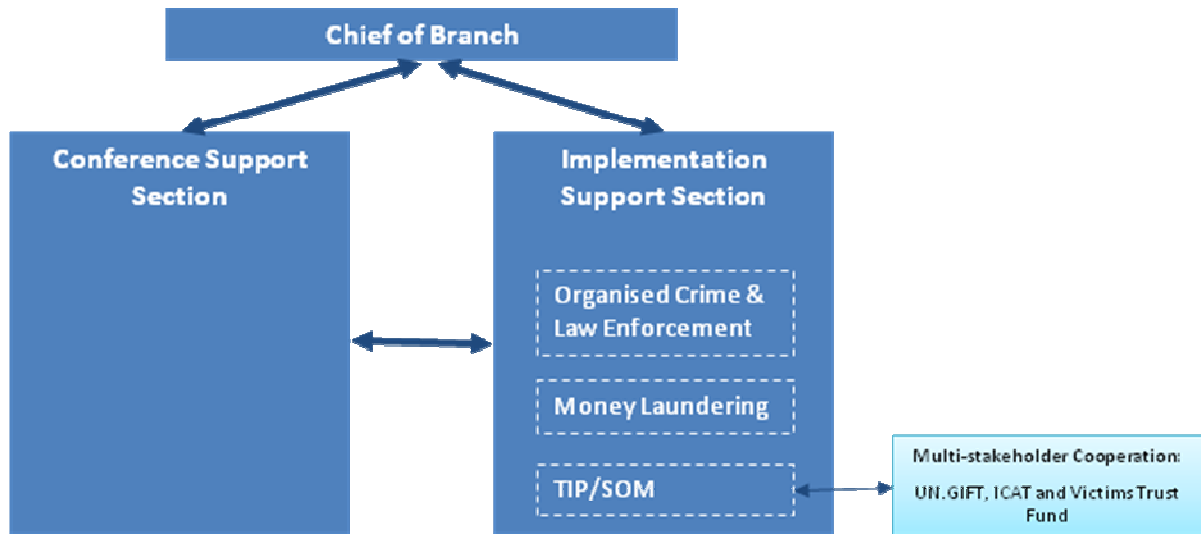
Through its Field Office Network and the implementation of Regional Programmes and Country Programmes, UNODC provides technical assistance to Member States including also developing countries, countries emerging from conflict and countries with economies in transition in countering organized crime and illicit trafficking. Please note however that allocations and requirements for activities delivered by field offices, in particular within the framework of regional programmes, are NOT included in the overall funding requirement for this thematic programme, but can be found in the relevant regional or country programme.

For all activities, field orientation and field/regional level implementation are also sought by securing specific local resources (such as expertise and training facilities), from national institutions and self-financing or cost-sharing of the proposed national activities by the respective Member State Governments where possible.

The Thematic Programme is designed and implemented according to the overall mandates and guidance provided by the relevant intergovernmental policy making bodies, namely the CND, the CCPCJ, the Economic and Social Council (ECOSOC) and the General Assembly. Consequently, this is a living document, and as such, conceptual re-evaluation and amendments to its objectives are likely to be necessary. The programme and its project components have accordingly been developed with sufficient flexibility to take new or expanded mandates for UNODC into account. Additional positions and activities may be added and needed as relevant, in particular in the context of the development of the possible review mechanism, and in our new and emerging issues, such as cybercrime, environmental crime and piracy.

Organized Crime and Illicit Trafficking Branch (OCB)

The Organized Crime and Illicit Trafficking Branch (OCB) is structured with two mutually reinforcing sections, the Conference Support Section and the Implementation Support Section, whose synergies are brought together by the Branch Chief. As shown in the diagram below, the Implementation Support Section comprises Units with focused expertise in three areas: Organized Crime and Law Enforcement; Money Laundering and Human Trafficking and Migrant Smuggling. These teams will work in close collaboration with each other, as well as with the Conference Support Section, to ensure the regular exchange of expertise and inter-dependencies of mandate.



Organigramme of UNODC's Organized Crime and Illicit Trafficking Branch

Voluntary contributions support different projects and Global Programmes within the Organized Crime and Illicit Trafficking agenda, and are the primary vehicle through which UNODC provides its legal services and technical assistance to Member States. [A full list of the OCB Global Programmes and their current funding status is included in Annex 2.](#)

In the future, when possible and relevant, and when funding is available, the different regional programmes may also be supported through relevant staff posted in each region, as is currently the case with Eastern Africa, Middle East and North Africa and East Asia and the Pacific.

Management of UNODC Trafficking in Persons Initiatives

This Thematic Programme offers the rubric for bringing together the previously somewhat fragmented UNODC approach to human trafficking. The mutually reinforcing nature of the work that UNODC does on human trafficking, via the Anti-Human Trafficking Unit (AHTMSU), the independent UN.GIFT secretariat and the Voluntary Trust Fund to support Victims of Trafficking in Persons, will clearly benefit from co-location, and thus the decision has been taken to merge all of these activities into one unit, with one management and reporting line. A transitional arrangement has been put into place for the duration of this programme, after which time the consolidated Trafficking in Persons team will be brought fully under the Division for Treaty Affairs. This will promote the opportunities for synergies between the programme and enhance UNODC's ability to deliver cutting-edge technical assistance and continue to play a leadership role on all human trafficking initiatives across the UN System.

(C) Overview of Financial Resources (2011-13)

To fully implement the current programme of work (which also covers research and advocacy activities undertaken by the Division for Policy Analysis and Public Affairs), the Organized Crime and Trafficking Branch has **resource requirements of \$88,030,000** for the duration of the programme (2011-13).

Outcome	Indicative Budget
Sub-Programme 1	\$22,650,000
Sub-Programme 2	\$38,570,000
Sub-Programme 3	\$26,730,000
In-depth Independent Evaluation	\$80,000
TOTAL	\$88,030,000

As noted in the earlier Sub-Programme sections, a number of priority activities have been identified as critical steps to achieving the intended outcome of the Sub-Programme, and some of those activities currently have a funding shortfall. While the total requirements to achieve the Sub-Programme in full, UNODC would place priority on funding the activities highlighted. The shortfall for priority activities per sub-programme is as follows:

Outcome	Shortfall
Sub-Programme 1	\$9,564,240
Sub-Programme 2	\$11,975,000
Sub-Programme 3	\$10,300,000
In-depth Independent Evaluation	\$80,000
TOTAL	\$31,919,240

(D) Monitoring and Reporting

Inbuilt into the Integrated Programme Approach are a series of monitoring milestones which are used to ensure that the implementation of the Thematic Programme is on track, and to allow any urgent issues which might jeopardise the success of the programme to be addressed. The debate in PRC also allows any linkages to other Thematic Programmes, e.g. Corruption, or Research and Trends Analysis to be clearly drawn.

Annual reviews of the Thematic Programme will be conducted through PRC, which highlights both policy and substantive achievements and threats, as well as reviewing operational issues such as implementation rate, changing environment and the funding situation.

Monitoring is also undertaken via the annual workplans that are done by all teams within UNODC. This self assessment exercise will also feed into the evaluation of the Thematic Programme. On the more operational aspects of the Programme, monitoring and reporting is undertaken as part of the annual project cycle. All data from the sub-components of the Thematic Programme will be pulled together to allow holistic analysis.

The monitoring of the execution of the Thematic Programme will be the responsibility of UNODC. The Governments benefiting from UNODC Technical Assistance through such projects will be requested to facilitate any review missions by UNODC. The project components of the Thematic Programme are also subject to examination by both the United Nations Office for Internal Oversight (OIOS) and the United Nations Board of External Auditors. Upon their request, the auditors' access to project documentation and correspondence, accounts, expenditure and inventory records will be facilitated.

(E) Evaluation

The evaluation of the current Thematic Programme will be carried out in accordance with the evaluation policy and guidelines of UNODC and in line with the norms and standards of the UN Evaluation Group (UNEG). Accordingly, the Independent Evaluation Unit will be engaged when evaluating this Thematic Programme.

As the nature of the challenge is so broad and far-reaching, and requires an extensive range of partnerships and management of interdependencies in order to be successful, the challenge to evaluate its impact is considerable. Furthermore, as is often the case with UNODC mandate areas, the work of UNODC in the area of organized crime and illicit trafficking will be deemed successful when an event has *not* taken place, rather than when some identifiable marker has occurred. Thus, success is measured by declining trends, stability and absence from the emergence of new forms of crime, for example. But noting, however, that the role UNODC has to play in achieving that trend over time is only, and can only be expected to be, one small part of a holistic effort that must be made by a range of actors, including Member States, regional and inter-regional bodies and civil society.

OCB, in consultation with relevant units, will operationalise the logical framework and monitoring system in order to track change throughout the implementation of the programme and to facilitate a thematic programme evaluation. An in-depth evaluation of the Thematic Programme is planned and budgeted for, to be undertaken one year before the completion of this programme. This thematic programme evaluation will use the evaluation findings undertaken on various components of the Thematic Programme, for example, the Global Programmes and assess the achievement of the overall objective of this thematic programme. It should also be noted that a budget for evaluation has been built into each of the Global Programmes, and sufficient funding will also be built into the programme in order to allow for an in-depth Thematic Programme evaluation.

Annex 1: Results Matrix

The overall objective of the UNODC Thematic Programme on Transnational Organized Crime is to promote effective responses to transnational organized crime by supporting Member States in the ratification and full implementation of the United Nations Convention Against Transnational Organized Crime

Sub-programme 1: International Policy, Knowledge and Trends

Outcome 1.1	<i>Promoting evidence based planning and policy development through independent data collection, threat assessments, research and global trends analysis on transnational organized crime flows</i>			Budget
Indicators	<p><i>Number of national and regional transnational organized crime threat assessments undertaken on the basis of relevant methodologies developed by UNODC. Number of new data series available at national and international level related to organized crime.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • <i>1 global transnational organized crime threat assessments undertaken by UNODC (1 per biennium)</i> • <i>8 Regional Transnational Organized Crime Threat Assessments</i> • <i>Dissemination of yearly series of data on drug trafficking, homicides (by type) and other relevant crime data</i> • <i>Two Global Homicides Reports with a chapter on trends on homicides and organized crime</i> 			\$100,000
	Outputs	Indicators	Means of Verification	
Output 1.1.1	Official statistics collected at regional and global level concerning organized crime and illicit trafficking, including trends and profiles of the offenders, smuggled migrants and trafficking victims, as well as forms of exploitation.	<ul style="list-style-type: none"> • Number of surveys given by UNODC in order to collect relevant statistics on organized crime and illicit trafficking • Experts/staff utilized to analyze the statistics collected and conduct trend analyses 	<ul style="list-style-type: none"> • Survey documents and results of the surveys • Number of experts/staff that analyzed statistics and conducted trend analyses 	
Output 1.1.2	Publication of key finding into analytical	<ul style="list-style-type: none"> • UNODC publishes key findings 	<ul style="list-style-type: none"> • Periodical data by UNODC 	

	reports highlighting trends, emerging crimes, effective and innovative approaches.		
Outcome 1.2	<i>Supporting and advising the COP to UNTOC and its Working Groups and undertaking mandated activities to ensure the development of a comprehensive legal regime against transnational organized crime</i>		Budget
Indicators	<p><i>Number of prospective Member States which UNODC advised about ratifying/acceding to UNTOC and/or its Protocols and the International Drug Conventions.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> <i>Increased number of ratifications by States of UNTOC and/or its Protocols and the international drug conventions.</i> <i>To successfully complete and roll-out the Omnibus self-assessment checklist</i> <i>20 countries assisted by UNODC to draft/revise legislation in order to fully and effectively implement UNTOC and its Protocols and the International Drug Conventions (3-5 per year for UNTOC and its and Protocols; 3-5 per year for the International Drug Conventions)</i> 		\$8,700,000
	Outputs	Indicators	Means of Verification
Output 1.2.1	Member States receive timely and effective assistance in reviewing and revising legislation, based upon analysis and recommendations on how to address legislative gaps.	<ul style="list-style-type: none"> Number of requesting Member States to which UNODC provided analysis and recommendations on addressing legislative gaps Number of Member States satisfied with assistance UNODC provided 	<ul style="list-style-type: none"> Formal requests from Member States Number of countries that have signed or ratified/acceded to UNTOC and/or Protocols and the International Drug Conventions Periodic surveys on quality/effectiveness of UNODC assistance
Output 1.2.2	Increased capacity of competent authorities to review, revise and adopt legislation according to international standards.	<ul style="list-style-type: none"> Number of requesting Member States UNODC assisted in increasing the capacity of individuals in reviewing, revising and adopting legislation which conforms with international standards Improved competency of Member State authorities in reviewing, revising and adopting legislation which conforms with international standards 	<ul style="list-style-type: none"> Periodic survey to Member States who requested assistance on quality/effectiveness of UNODC assistance Periodic survey to Member States on value of technical training received by UNODC and whether the training increased capacity of the competent authorities
Output 1.2.3	Model laws and other tools are developed to support the implementation of effective	<ul style="list-style-type: none"> Number of requesting Member States assisted by UNODC that have had laws 	<ul style="list-style-type: none"> Tools and other assistance provided to requesting Member States

	and comprehensive national legislation.	developed/drafted or to which UNODC provided advisory services on drafting or implementing laws	<ul style="list-style-type: none"> Model laws or other tools provided to Member States that drafted legislation
Output 1.2.4	Facilitate the finalization and translation of the omnibus survey software.	<ul style="list-style-type: none"> Omnibus survey software is complete and active States utilized the software 	<ul style="list-style-type: none"> Omnibus survey software is complete and active Number of States which use the software
Output 1.2.5	UNODC facilitates regional and sub-regional exchanges and policy dialogues in order to promote the development of an international legal framework and support to existing Conventions and Protocols.	<ul style="list-style-type: none"> Number of regional and sub-regional exchanges between requesting Member States UNODC facilitated Number of policy dialogues by requesting Member States UNODC facilitated 	<ul style="list-style-type: none"> Formal requests from Member States and the feedback from Member States Formal requests from Member States for policy dialogues and the feedback from the participants.
Outcome 1.3	<i>Provide expertise and substantive leadership and secretariat support to the COP of UNTOC and to its subsidiary working groups and the other meetings mandated by the Conference.</i>		Budget
Indicators	<i>Support provided by UNODC to the Conference, established Working Groups and Meetings of the Experts.</i> <u>Target 2011-2013:</u> <ul style="list-style-type: none"> Successful organisation of the sessions of the COP and other mandated meetings. Support provided to the establishment of a standing review mechanism for UNTOC and its Protocols. 		\$4,500,000
	Outputs	Indicators	Means of Verification
Output 1.3.1	UNODC expertise is provided in the servicing of the Conference of the Parties and its working groups to enhance the dialogue on transnational organized crime and related issues.	<ul style="list-style-type: none"> Feedback from Member States on the quality of services provided by the Secretariat Number of plenary meetings of the Conference, and of working group meetings, as well as parliamentary documentation produced for such meetings Number of mandated activities given to UNODC 	<ul style="list-style-type: none"> Survey of members of the extended bureau on the quality of services provided by the Secretariat Number of working group meetings and parliamentary documentation Report on mandated activities
Output 1.3.2	UNODC supports the practical exchange of lessons learned and experience relating to the implementation of UNTOC, its Protocols	<ul style="list-style-type: none"> Number of training courses, workshops and documents/reports UNODC produced on lessons learned from implementation of 	<ul style="list-style-type: none"> Documents/reports produced by UNODC on training courses and workshops, as well as lessons learned

	and the International Drug Conventions through support to apprenticeships, study tours and other knowledge management and capacity building activities.	Convention and Protocols	
Outcome 1.4	<i>Strengthen national and international awareness, and capacity for prevention of all types of transnational organized crime, targeting particularly those vulnerable to become victims of transnational organized crime and illicit trafficking.</i>		Budget
Indicators	<i>Number of activities/initiatives UNODC conducted to increase awareness and knowledge of transnational organized crime and illicit trafficking amongst those who can act to prevent and combat it.</i>		\$400,000
	<p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • 12 activities/initiatives UNODC conducted to increase awareness amongst general public, media, opinion-formers and decision makers, civil society and direct victims of transnational organized crime and illicit trafficking in each region (2 activities/initiatives in 2 regions per year) • 20 information products created to support awareness and dissemination efforts, e.g. info packages, video materials, website features (2 products per priority region per year) 		
	Outputs	Indicators	Means of Verification
Output 1.4.1	UNODC develops international campaigns against specific forms of organized crime, to increase awareness and reduce the potential for victimization, both amongst the public and relevant authorities.	<ul style="list-style-type: none"> • Number of campaigns UNODC developed to promote awareness and reduce potential victimization • Increased awareness of the relevant authorities, the general public and vulnerable groups 	<ul style="list-style-type: none"> • Results of survey(s) to targeted groups before and after campaign to measure increased awareness
Output 1.4.2	UNODC supports global policy dialogues and the development of international policy to enhance the rights of victims of organized crime.	<ul style="list-style-type: none"> • Number of policy dialogues by requesting Member States supported by UNODC to enhance the rights of victims of organized crime 	<ul style="list-style-type: none"> • Documentation of policy dialogues between requesting Member States supported by UNODC
Output 1.4.3	Member States incorporate prevention and awareness raising measures in the formulation of national plans and programmes	<ul style="list-style-type: none"> • Number of preventative measures Member States have incorporated into national plans and programmes • Number of awareness raising measures Member States have incorporated into national plans and programmes 	<ul style="list-style-type: none"> • Survey of preventative measures incorporated into national programmes and plans • Survey of awareness raising measures incorporated into national programmes and plans

Outcome 1.5	<i>Build international understanding, awareness and capacity to address new and emerging forms of crime.</i>		Budget
Indicators	<p><i>Number of new tools on emerging or re-emerging forms of transnational organized crime disseminated.</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • 12 international meetings/debates coordinated and/or supported by UNODC at the regional or international level (1-2 per biennium for each priority issue) • 12 new technical assistance tools developed and disseminated by OCB to combat new, emerging and re-emerging forms of transnational organized crime (3-5 per year) • 45 missions undertaken by OCB staff for the participation in conferences, expert groups or international policy-making fora (5 per priority issue per year) • 20 information products created to support awareness and dissemination efforts, e.g. (info packages, video materials, website features, etc (2 products per theme per year) 		\$8,600,000
	Outputs	Indicators	Means of Verification
Output 1.5.1	UNODC monitors and develops evidence based data and analyses trends in emerging forms of crime.	<ul style="list-style-type: none"> • Number of UNODC reports begun/conducted on evidence based data and trend analysis in emerging forms of crime 	<ul style="list-style-type: none"> • Documentation of UNODC reports begun/conducted
Output 1.5.2	UNODC convenes and provides expert contributions to international policy debates and promotes a coordinated response to new and emerging forms of crime.	<ul style="list-style-type: none"> • Number of international debates UNODC convened to promote coordinated response to new and emerging forms of crime • Number of UNODC expert contributions to international debates on new and emerging forms of crime 	<ul style="list-style-type: none"> • Documentation of debates UNODC organized • Record UNODC expert contributions in international debates
Output 1.5.3	UNODC develops tools, handbooks and updates relevant conventions and national legislation to respond to and criminalize new and emerging forms of crime.	<ul style="list-style-type: none"> • Number of tools, handbooks and updates to relevant conventions and national legislation UNODC developed, designed or produced 	<ul style="list-style-type: none"> • Tools, handbooks and updates UNODC developed, designed or produced
Output 1.5.4	UNODC develops expertise in capacity and technical assistance for new and emerging forms of crime.	<ul style="list-style-type: none"> • Increased number of UNODC staff with expertise in capacity and technical assistance for new and emerging forms of crime 	<ul style="list-style-type: none"> • Report on number of staff hired who are experts in capacity and technical assistance for new and emerging forms of crime
Output 1.5.5	Member States capacity is enhanced to	<ul style="list-style-type: none"> • Member States requesting UNODC 	<ul style="list-style-type: none"> • Report on number of Member States

	address new and emerging forms of crime.	provided capacity and technical training in order to improve ability to address new and emerging forms of crime	who requested UNODC assistance and received it <ul style="list-style-type: none"> • Periodic surveys to requesting Member States on quality/effectiveness of UNODC assistance and results achieved
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Sub-programme 2: Regional and National Capacity Building and Technical Assistance

Outcome 2.1	<i>Improved Member States' capacity to sustainably collect, store, analyse and report data on organized crime and illicit trafficking, and criminal justice data.</i>		Budget
Indicators	<i>Number of Member States documenting and sharing information on organized crime trends.</i> <u>Target 2011-2013:</u> <ul style="list-style-type: none"> • 12 technical assistance missions carried out by UNODC staff to support data collection and analysis (2-3 per year) • 8 regional data collection and trend analysis staff posted in UNODC regional offices (1 per region) • 10 countries assisted to improve the recording and measurement of criminal activities related to organized crime and other forms of related crimes 		\$3,070,000
	Outputs	Indicators	Means of Verification
Output 2.1.1	Member States capacity enhanced through the placement of experts and mentors into critical divisions.	<ul style="list-style-type: none"> • Number of requesting Member States who received technical training with experts and mentors 	<ul style="list-style-type: none"> • Periodic surveys requesting Member States to rate quality/effectiveness of UNODC capacity enhancing efforts
Output 2.1.2	Member States receive UNODC tools, including best practice case studies.	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC tools 	<ul style="list-style-type: none"> • Documentation on number of requesting Member States who received tools and best practice case studies • Periodic surveys requesting Member States to rate usefulness/effectiveness of UNODC tools
Output 2.1.3	UNODC hosts subject-specific working	<ul style="list-style-type: none"> • Number of subject-specific working 	<ul style="list-style-type: none"> • Report on number of specific working

	groups and ongoing knowledge management dialogues, with accompanying knowledge networks.	groups UNODC hosted • Number of UNODC-hosted ongoing knowledge management dialogues, with accompanying knowledge networks	groups UNODC hosted • Report on number of knowledge management dialogues UNODC hosted
Output 2.1.4	Member States participate in sub-regional and regional networks, trainings and workshops, thereby building a greater degree of trust and strong working relationships.	• Number of sub-regional and regional networks, trainings and workshops • Increase of trust amongst Member States and improved working relationships	• Report of sub-regional and regional networks, trainings and workshops • Periodic surveys to Member States on whether workshops, et al. have increased trust and improved working relationships
Outcome 2.2	<i>Strengthening national and regional capacity and international cooperation for law enforcement, criminal intelligence, border control and criminal investigation in order to more effectively assess, identify, collect evidence and ultimately control criminal activity the flows of illicit goods and services.</i>		Budget
Indicators	<p><i>Number of UNODC assisted countries who are developing/developed national strategies and action plans to combat transnational organized crime and illicit trafficking.</i></p> <p><u>Target 2011—2013:</u></p> <ul style="list-style-type: none"> • 15 training courses conducted, based on UNODC models and best practices, aimed at improving the knowledge of the special police, border security, the coastguard, forensic personnel and other relevant domestic actors (5 per year) • 8 regional structures/initiatives/organizations developed to increase cross-border cooperation on issues such as intelligence gathering, joint training operations, witness protection and other relevant aspects necessary to combat organized crime and illicit trafficking (1 per region) 		\$15,200,000
	Outputs	Indicators	Means of Verification
Output 2.2.1	National strategies and action plans developed to combat transnational organized crime and illicit trafficking.	• Number of strategies and action plans UNODC developed	• Number of strategies and action plans UNODC developed
Output 2.2.2	Special police, border security, coastguard and other law enforcement agents, including forensic personnel, are established or strengthened to	• Law enforcement agents/agencies and Border Liaison Offices established in order to investigate organized crime and illicit trafficking	• Number of law enforcement agencies which requested UNODC training on establishing or improving their ability to investigate organized crime and illicit

	investigate organized crime and illicit trafficking cases.	<ul style="list-style-type: none"> • Law enforcement agents/agencies are strengthened, through training, to investigate organized crime and illicit trafficking 	trafficking cases and received that assistance <ul style="list-style-type: none"> • Survey among requesting Member States about quality and effectiveness of UNODC training
Output 2.2.3	National coordination structures established to support the development, coordination, monitoring and regular evaluation of action plans and policies related to transnational organized crime and trafficking.	<ul style="list-style-type: none"> • Number of national coordination structures established 	<ul style="list-style-type: none"> • Documentation on the number of national coordination structures established
Output 2.2.4	Increased international and cross-border cooperation between law enforcement authorities, including exchanging information, sharing common databases, conducting joint inquiries, investigations and training opportunities, and south-south exchanges.	<ul style="list-style-type: none"> • Agencies/authorities who have exchanged/shared information supported through UNODC assistance • Agencies/authorities who have conducted joint inquiries, investigations and training opportunities, and south-south exchanges based on UNODC assistance 	<ul style="list-style-type: none"> • Documentation on the number of agencies/authorities who have exchanged or shared information • Documentation on the number of agencies/authorities who have conducted joint inquiries, investigations, trainings or south-south exchanges
Output 2.2.5	UNODC promotes coordinated international action through regular engagement with international law enforcement partners, including <i>inter alia</i> INTERPOL, IMO, OECD, OSCE, EUROPOL, WCO and NATO.	<ul style="list-style-type: none"> • UNODC-led campaigns to promote coordinated international action with law enforcement partners 	<ul style="list-style-type: none"> • Documentation on the number of campaigns UNODC led
Outcome 2.3	<i>Strengthening national capacity and international cooperation for the prosecution, adjudication, and all other aspects of the criminal justice process in regards to transnational organized crime and illicit trafficking.</i>		Budget
Indicators	<i>Number of UNODC assisted countries who are in the process of establishing/have established/strengthened special prosecution and judicial structures to fight serious organized crime and illicit trafficking.</i> <i>Target 2011-2013:</i>		\$7,450,000

	<ul style="list-style-type: none"> • 30 regional and inter-regional trainings, workshops conducted per year to build national capacity to strengthen criminal justice and law enforcement for serious organized crimes (1-2 per region, per year) • Member States are regularly using mutual legal assistance in cases of transnational organized crime and illicit trafficking based on UNODC tools or assistance. 		
	Outputs	Indicators	Means of Verification
Output 2.3.1	National legislation reinforced to ensure a comprehensive legal framework against organized crime and illicit trafficking.	<ul style="list-style-type: none"> • Number of Member States who reinforced national legislation to ensure a comprehensive framework with UNODC assistance 	<ul style="list-style-type: none"> • Documentation on the number of national legislatures who reinforced their legal framework with UNODC assistance • Survey results of requesting Member States on quality/effectiveness of UNODC assistance
Output 2.3.2	Special prosecution and judicial structures established or strengthened to fight serious crimes.	<ul style="list-style-type: none"> • Number of special prosecution and judicial structures established or strengthened with UNODC assistance 	<ul style="list-style-type: none"> • Number of special prosecution or judicial structures established or strengthened with UNODC assistance • Distribute survey to requesting Member States on quality/effectiveness of UNODC assistance
Output 2.3.3	Enhanced international cooperation in investigation and prosecution of organized crime and illicit trafficking cases.	<ul style="list-style-type: none"> • UNODC-led regional and international working groups on increasing cooperation in investigation and prosecution of organized crime and illicit trafficking cases • Increased use of joint operations/information sharing among Member States 	<ul style="list-style-type: none"> • Documentation on the number of Member States who have increased cooperation in investigation and prosecution based on UNODC assistance • Survey results of participating Member States/agencies asking whether UNODC efforts increased cooperation
Output 2.3.4	Increased use by Member States of mutual legal assistance (including confiscation of assets, transfer of criminal proceedings or sentenced persons and extradition) in cases of transnational organized crime and illicit trafficking.	<ul style="list-style-type: none"> • Number of Member States who began using mutual legal assistance 	<ul style="list-style-type: none"> • Documentation on the number of Member States where use of mutual legal assistance was possible and pursued

Output 2.3.5	International cooperation for the criminal justice sector maximized by the provision of joint training opportunities, workshops and south-south exchanges.	<ul style="list-style-type: none"> • Number of international joint training opportunities, workshops and south-south exchanges based on UNODC assistance • Evidence of an increasing number of states using mutual legal assistance. 	<ul style="list-style-type: none"> • Reports and feedback from the trainings, workshops and exchanges
Outcome 2.4	<i>Strengthen national capacity and international cooperation in tracking the proceeds of transnational organized criminal activity both within and beyond national borders, with full use of technological advances.</i>		Budget
Indicators	<p><i>Number of UNODC Assisted Member States who sought to develop/developed AML/CTF legislation compliant with international standards considered by legislative bodies</i></p> <p><u>Target 2011-2013:</u></p> <ul style="list-style-type: none"> • 24 countries request and receive technical assistance on legislative development, establishing FIUs, conducting financial investigations and prosecuting AML/CTF cases under legislation compliant with international standards (1 per region per year) • 24 countries are assisted by UNODC to cooperate in exchanging information, sharing common databases and/or conducting joint enquiries and investigations amongst their respective financial intelligence units and other government authorities (1 per region per year) 		\$15,300,000
	Outputs	Indicators	Means of Verification
Output 2.4.1	Increased awareness of money laundering and terrorist financing among relevant authorities, the general public and reporting entities.	<ul style="list-style-type: none"> • Number of UNODC-led activities to increase awareness among the authorities, the general public and reporting entities. 	<ul style="list-style-type: none"> • Documentation on the number of UNODC-led activities to increase awareness
Output 2.4.2	Member States are supported to develop AML/CTF legislation compliant with international standards considered by legislative bodies.	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC assistance on developing AML/CTF legislation compliant with international standards 	<ul style="list-style-type: none"> • UNODC reports on technical assistance delivered to Member States • Survey of beneficiary Member States on quality/effectiveness of UNODC assistance
Output 2.4.3	Expert support and capacity building provided to legislative bodies, criminal justice officials (financial intelligence	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC assistance in the form of expert support and 	<ul style="list-style-type: none"> • Survey of member States on results achieved through preventative measures, identification, investigation

	units (FIU) personnel, law enforcement agencies delaying with financial investigations and their personnel), officials of anti-corruption entities, supervisory and regulatory authorities and the private sector.	capacity building <ul style="list-style-type: none"> • Number of experts sent by UNODC to requesting States • Improved capacity and quality of requesting Member States institutions and actors 	and prosecution of money laundering and financing of terrorism cases <ul style="list-style-type: none"> • Reports from international organizations and embassies on effectiveness of AML/CFT systems of target countries
Output 2.4.4	Technical assistance provided to Member States to establish FIUs, conduct financial investigations and prosecute AML/CTF cases under legislation compliant with international standards	<ul style="list-style-type: none"> • Number of requesting Member States who received technical assistance • Number of AML/CFT financial investigations conducted and prosecutions initiated 	<ul style="list-style-type: none"> • UNODC reports on technical assistance delivered to Member States • Survey of beneficiary Member States on quality/effectiveness of UNODC assistance
Output 2.4.5	Increased international cooperation between financial intelligence units and other government authorities, including exchanging information, sharing common databases, conducting joint inquiries and investigations.	<ul style="list-style-type: none"> • UNODC provided assistance for establishing working groups on increasing cooperation, in particular, information sharing and common databases • Number of Member States/agencies who exchange information at domestic and international levels 	<ul style="list-style-type: none"> • Documentation on the number of working groups, information sharing/common databases • Documentation on the number of Member States who exchange information
Output 2.4.6	UNODC continues to guide and support the development of AML and asset seizure legislation, including in the revision of UNTOC and UNCAC.	<ul style="list-style-type: none"> • UNODC takes leadership role in guiding and supporting the development of AML and asset seizure legislation • Number and amount of proceeds of crime seizures • UNODC assists in revision of UNTOC and UNCAC 	<ul style="list-style-type: none"> • Survey to participating Member States about whether UNODC has taken a leadership role in guiding and supporting AML and asset seizure legislation • Reports from UNODC technical assistance providers

Outcome 2.5	Countering transnational illicit arms trafficking through the implementation of the Firearms Protocol .		Budget
Indicators	<p>Enhanced regulatory framework for marking, record keeping, tracing and transfers of firearms in place; Increased numbers of seizures and confiscation of illicit firearms and ammunition; Increased instances of cooperation between firearms, law enforcement and criminal justice authorities for the purpose of tracing firearms and ammunition and for the investigating and prosecutions of firearms related offences. Information and intelligence exchange through existing sub-regional or cross-regional coordination platforms enhanced</p> <p>Target 2011-2013:</p> <ul style="list-style-type: none"> • At least 6 States have initiated or completed accession to the Firearms Protocol; • 15 countries have assessed and reviewed their domestic legislation and institutional framework on firearms control and taken steps to strengthen their regulatory and normative framework in line with the international firearms control standards framework; 		\$5,927,000
	Outputs	Indicators	Means of Verification
Output 2.5.1	Increased number of States have adhered to the Firearms Protocol and / or amended or adopted adequate legal frameworks to combat trafficking in firearms, pursuant to domestic needs and international standards.	<ul style="list-style-type: none"> • At least 6 States have initiated or completed accession to the Firearms Protocol; • 15 countries have assessed and reviewed their domestic legislation and institutional framework on firearms control and taken steps to strengthen their regulatory and normative framework in line with the international firearms control standards framework; • Enhanced regulatory framework for marking, record keeping, tracing and transfers of firearms; 	<ul style="list-style-type: none"> • UNODC project progress reports; legislative assistance and gap analysis; national/regional cross analysis; legal drafting workshop and legal drafting support

Output 2.5.2	Technical and legislative assistance tools and automated software applications developed to facilitate implementation of the Protocol regime .	<ul style="list-style-type: none"> • Model law and technical guides published and disseminated • Training curriculum and capacity building tools developed and disseminated; • International Standards in Small Arms Control (ISACS) finalized and disseminated • Standardized automated tools developed; 	<ul style="list-style-type: none"> • Surveys and feedback on the Training and technical assistance tools developed;
Output 2.5.3	Firearms control authorities, LE agencies and judicial officers from MS cooperate effectively to prevent, investigate and prosecute firearms related offences	<ul style="list-style-type: none"> • Increased cooperation among firearms authorities, law enforcement and criminal justice officials on prevention and combat of firearms trafficking and increased number of tracing requests for illicit firearms, using UNTOC and the Protocol as legal basis; • At least 12 countries received training on firearms control issues, investigation and prosecution, • 3 regional workshops on international cooperation in criminal matters • Existing sub-regional or cross-regional coordination platforms (one in Africa one in South America) will meet at least once a year to address firearms control issues, facilitated by UNODC 	<ul style="list-style-type: none"> • Empiric data, reports from concerned countries, national authorities; Capacity building activities; expert advice and technical assistance to strengthen recording, confiscation and destruction and marking methods; Countries and national authorities reports, Feedback from participants; project progress reports;

		<ul style="list-style-type: none"> • Expert advice provided to at least 4 States to strengthen recording, marking, confiscation and destruction of firearms 	
Output 2.5.4	Increased evidence-based knowledge on firearms trafficking and related issues for informed decision making and increased civil society participation. In one pilot country.	<ul style="list-style-type: none"> • Increased participation of civil society and parliamentarians in National Commission and in development of national action plans and legislation on firearms control. • NGOs from 15 countries trained on civil society participation and oversight in firearms control; • Participating countries collect, research and analyze causes for crime and armed violence; increased knowledge on facilitates informed decision-making; • At least 6 countries assisted in collection and disposal / destruction of firearms • Study on confiscated firearms and ammunition from at least 6 voluntary countries published and disseminated 	<ul style="list-style-type: none"> • Results of study on seized firearms developed and disseminated; countries and national authorities reports to UNODC; • CSO capacity building activities to promote greater involved in legislative review process;
Output 2.5.5	In one-two pilot countries, urban gang violence and its links to organized crime assessed and effective crime prevention strategies devised.	<ul style="list-style-type: none"> • Community-based focus group studies carried out; findings evaluated and discussed with stakeholders; proposed strategy; • Possible expansion of the pilot to a second country 	<ul style="list-style-type: none"> • Results and reports of the focus groups

Sub-programme 3: Human Trafficking and Migrant Smuggling

Outcome 3.1	<i>Comprehensive strategies, policies and institutional frameworks to prevent and combat trafficking in persons and migrant smuggling established by Member States.</i>		Budget
Indicators	<p><i>Evidence of assessment of anti-trafficking and smuggling policies and strategies relating to (i) criminal justice system responses; (ii) victim-protection and support responses, and (iii) prevention/awareness efforts. Evidence that Member States' anti-trafficking and smuggling policies and strategies have been periodically assessed and amended in light of evidence about their impact.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>4 situation analyses produced, with recommendations for action provided to four countries on the development of strategies, polices and action plan on TIP and/or SOM.</i> • <i>4 assisted Member States/regions will have developed and reviewed action plans and policies and comprehensive strategies that are operationalised on TIP and/or SOM.</i> 		\$2,300,000
	Outputs	Indicators	Means of Verification
Output 3.1.1	National coordination structures established to support the development, coordination, monitoring and regular evaluation of action plans and policies related to trafficking in persons and migrant smuggling.	<ul style="list-style-type: none"> • Number of national coordination structures developed/established by Member States with UNODC assistance (in coordination with UN.GIFT member organizations where appropriate) • Number of Member States whose action plans and policies were monitored and regularly evaluated by UNODC 	<ul style="list-style-type: none"> • Survey results of requesting Member States on quality/effectiveness of UNODC services
Output 3.1.2	National strategies and action plans developed to combat trafficking in persons and to combat migrant smuggling.	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC assistance in developing strategies and action plans to combat trafficking in persons and migrant smuggling, (including in coordination with UN.GIFT member organizations where appropriate) 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received UNODC assistance in developing strategies and action plans and their feedback on quality of UNODC services

Output 3.1.3	Policy frameworks are analyzed and required steps are identified to bring policies and strategies in line with international good practice on trafficking in persons and smuggling of migrants.	<ul style="list-style-type: none"> • UNODC produced situation analyses • UNODC produced Recommendations provided to four countries on development of strategies and policies, including action plans 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records
Outcome 3.2	<i>Member States have comprehensive national legal frameworks to combat trafficking in persons and migrant smuggling.</i>		Budget
Indicators	<p><i>Increased number of States have amended or adopted adequate legal frameworks to combat trafficking in persons and smuggling of migrants, pursuant to domestic needs and international standards.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • <i>Number of ratifications/accession instruments deposited with the Secretary-General will have increased from 143 to 150 for the TIP Protocol.</i> • <i>At least 3 assisted Member States will have introduced draft domestic legislation in line with provisions of the TIP Protocol, with technical assistance provided by UNODC.</i> • <i>Number of ratifications/accession instruments deposited with the Secretary-General will have increased from 127 to 140 for the SOM Protocol.</i> • <i>At least 2 assisted Member States have introduced draft domestic legislation in line with provisions of the SOM Protocol.</i> 		\$2,760,000
	Outputs	Indicators	Means of Verification
Output 3.2.1	Member States have ratified or acceded to the Trafficking in Persons Protocol and the Smuggling of Migrants Protocol	<ul style="list-style-type: none"> • Number of Member States who received UNODC assistance to ratify or accede to the TIP and SOM Protocols • Number of Member States who have ratified or acceded to the TIP and SOM Protocols with UNODC assistance 	<ul style="list-style-type: none"> • Evidence of ratification/accession • UNODC website
Output 3.2.2	Member States' anti-trafficking and anti-smuggling legislations have been analyzed and recommendations on how to address legislative gaps have been issued.	<ul style="list-style-type: none"> • Number of requesting Member States that have had UNODC analyze and/or provide recommendations on eliminating gaps in their anti-trafficking/smuggling legislation 	<ul style="list-style-type: none"> • Published or non-published recommendations on eliminating gaps in MS' anti-trafficking/smuggling legislation • Surveys of participating Member States about quality/effectiveness of

		<ul style="list-style-type: none"> UNODC made available legislative guidance tools, such as Model Laws against TIP and against SOM and legislative checklists 	UNODC assistance
Output 3.2.3	Increased capacity of competent authorities to review, revise and adopt anti-trafficking and anti-smuggling legislation according to international standards.	<ul style="list-style-type: none"> Number of requesting Member States who have had UNODC legislative capacity building training 	<ul style="list-style-type: none"> Surveys results of participating Member States about quality and effectiveness of UNODC assistance and on whether capacity has been increased among competent authorities Annual Project Progress Reports / Project Records
Outcome 3.3	<i>Improved Member States ability to sustainably collect, store, analyse and report data on trafficking in persons and migrant smuggling.</i>		Budget
Indicators	<p><i>Increased number of States that have an accurate, reliable and common system for collecting and recording data on TIP and SOM is in place and used by all relevant government institutions. Increased number of baseline studies completed and published.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> <i>Global Report on TIP, as mandated by the Global Plan of Action, is completed during the duration of the Programme.</i> <i>Global Report on Smuggling of Migrants is produced in the duration of the Programme.</i> <i>At least 2 Member States are assisted to promulgate strategies or actions plans incorporating a data collection component.</i> 		\$3,200,000
	Outputs	Indicators	Means of Verification
Output 3.3.1	Increased Member State capacity to collect and utilize information concerning criminal proceedings relating to TIP and SOM and related forms of crime, securing the right to privacy of the victims, of the witnesses and of the offenders.	<ul style="list-style-type: none"> Number of requesting Member States UNODC provided capacity building and technical assistance to 	<ul style="list-style-type: none"> Existence of common data collection and recording systems for criminal justice related TIP and SOM statistics Existence of criminal justice related data Existence of useful intelligence
Output 3.3.2	Increased Member States' capacity to collect and store information concerning the victims of trafficking and migrant	<ul style="list-style-type: none"> Number of requesting Member States UNODC provided capacity building and technical assistance to 	<ul style="list-style-type: none"> Existence of common data collection and recording systems on victims assisted by state and non-state institutions

	smuggling assisted by governmental and other institutions, securing the right to privacy of the victims, of the migrants and of the suspects/offenders.		<ul style="list-style-type: none"> • Existence of data relating to victims assisted that respects data protection and related rights • Existence of useful intelligence
Output 3.3.3	Increased Member States' capacity in analyzing and interpreting information collected, in order to identify trends, patterns and flows of trafficking in persons and migrant smuggling, and to understand the methods being used to counterfeit or forge official documents.	<ul style="list-style-type: none"> • Number of requesting Member States UNODC provided capacity building in analyzing information 	<ul style="list-style-type: none"> • Reports (national/regional) on trends and flows of TIP and SOM or other forms of evidence of data analysis • Intelligence on TIP and SOM • Global Report on TIP • Global Report on SOM
Output 3.3.3	Improved access for Member States and other stakeholders to use cumulative knowledge of experiences and information in anti-trafficking and anti-smuggling efforts such as best practices and lessons learned.	<ul style="list-style-type: none"> • Number of UNODC-led efforts to improve access and knowledge-sharing among Member States 	<ul style="list-style-type: none"> • Tools etc. UNODC designed, developed or produced in order to improve access and knowledge-sharing
Output 3.3.4	Official statistics collected at regional and global level concerning trafficking in persons and migrant smuggling, including trends and profiles of the offenders, victims, and smuggled migrants as well as forms of exploitation and other crimes and any links between migrant smuggling and human trafficking.	<ul style="list-style-type: none"> • Number of reports/trends analyses collected and/or published at regional and global level collected and links addressed 	<ul style="list-style-type: none"> • Reports/trends analyses collected and/or published at the regional and global level • Global Report on TIP • Global Report on SOM
Output 3.3.5	Quantitative and qualitative information collected concerning populations at risk of trafficking, the demand for trafficking in persons and smuggled migrants, as well as profiling the offenders and the victims, by applying social science research methods and methodologies.	<ul style="list-style-type: none"> • Number of reports/trends analyses collected and/or published 	<ul style="list-style-type: none"> • Reports published or other evidence of trends analysis
Output 3.3.6	Evidence-based decision-making facilitated through increased availability of reliable and accurate data on migrant	<ul style="list-style-type: none"> • Global Smuggling of Migrants Report available and published 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records

	smuggling		
Output 3.3.7	Evidence-based decision-making facilitated through increased availability of substantive analysis and research	<ul style="list-style-type: none"> • 3 Issue papers on various issues relating to the TIP Protocol published • 5 Issue papers on various issues relating to the SOM Protocol published 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records • UNODC website
Output 3.3.8	Evidence-based decision-making facilitated through availability of cross-cutting analysis of the linkage of human trafficking and migrant smuggling to other forms of crime	<ul style="list-style-type: none"> • Discussion events and material based on cross-cutting analysis made available by the end of the programme 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records
Outcome 3.4	<i>Increased awareness of relevant forms of trafficking in persons and smuggling of migrants among relevant national and regional authorities, the general public and groups vulnerable to trafficking or smuggling.</i>		Budget
Indicators	<p><i>Increased number of awareness raising and information campaigns carried out by Member States and other actors. Increased number of media outlets communicating information on TIP and SOM. Evidence that underlying and root causes of trafficking and smuggling are considered when prevention initiatives are planned.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> • 8 Member States are supported to incorporate prevention and awareness raising measured into the formulation of national programmes and strategies to combat TIP and/or SOM (1 per region). • 9 UNODC activities/initiatives conducted to increase awareness amongst general public, media, opinion-formers and decision makers, civil society and direct victims of transnational organized crime and illicit trafficking in each region (2 national Blue Heart Campaign launches per year, 1 UN.GIFT awareness raising activity) • 12 information products created to support awareness and dissemination efforts, e.g. (info packages, video and radio materials, website features, etc 		\$1,550,000
	Outputs	Indicators	Means of Verification
Output 3.4.1	Increased awareness of relevant forms of trafficking in persons and migrant smuggling among relevant authorities, the general public and vulnerable groups.	<ul style="list-style-type: none"> • Number of UNODC-led campaigns to increase awareness among the general public and vulnerable groups 	<ul style="list-style-type: none"> • Documentation on the number of campaigns to increase awareness • Existence of awareness raising tools • Annual Project Progress Reports /

			Project Records • UNODC website
Output 3.4.2	Prevention campaigns carried out, addressing both the demand and the supply of trafficking in persons and the demand of smuggling of migrants.	<ul style="list-style-type: none"> • Number of UNODC-led prevention campaigns to increase awareness about how to prevent trafficking in persons and smuggling of migrants 	<ul style="list-style-type: none"> • Documentation on the number of prevention campaigns • Existence of prevention tools and materials
Output 3.4.3	UNODC training film for criminal justice practitioners to raise their awareness and video spot on the risks of SOM for general public and for vulnerable groups identified in beneficiary countries to become less prone to victimization as a result of SOM and/or TIP	<ul style="list-style-type: none"> • Sensitization of justice practitioners and among the general public that human trafficking and migrant smuggling are criminal activities that pose serious risks to individuals and the societies concerned • Number of TV channels disseminating the video spot on smuggling of migrants • Number of copies of the training film on smuggling of migrants disseminated • Number of requests by Member States and number of time the film was used in UNODC training sessions 	<ul style="list-style-type: none"> • Survey conducted among a stratified sample of households in each beneficiary country before and after the awareness raising campaign • Availability of training and awareness film on the risks of SOM • Report on cooperation with TV stations
Output 3.4.4	Increased rapid response capacity of States and non-governmental organizations during emergency situations.	<ul style="list-style-type: none"> • Number of States and NGOs who requested and received rapid response capacity training for emergency situations 	<ul style="list-style-type: none"> • Documentation on the number of States and NGOs who requested and received rapid response capacity training for emergency situations • Survey results from States on quality/effectiveness of UNODC training
Outcome 3.5	<i>Member States' legal and administrative systems established to support and protect victims, providing for the physical, psychological and social recovery of victims of trafficking in persons. Relevant actors in selected countries provided with support to protect and assist smuggled migrants.</i>		Budget
Indicators	<i>Increased number of victims assisted and protected in accordance with international standards and good practices. Number of NGOs and CSOs supported by the Trust Fund for Victims to provide direct care and support to victims of trafficking in persons.</i> <u>Target:</u>		\$4,200,000

	<ul style="list-style-type: none"> • 5 Member States are supported to ensure comprehensive laws and procedures relating to victim protection and assistance, and protection of the rights of migrants. • In at least 2 assisted Member States, assistance and protection is anchored in legal provisions, strategies or action plans. • A minimum of \$500,000 per year is disbursed through the UN Voluntary Trust Fund for the Victims of Trafficking in Persons. 		
	Outputs	Indicators	Means of Verification
Output 3.5.1	Strengthened capacity of national authorities, including police, justice officials and staff of health and social services to identify victims of trafficking in persons and migrant smuggling and be sensitive to their needs.	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC assistance in strengthening the capacity of national authorities to identify victims and be sensitive to their needs 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received UNODC capacity training for national authorities • Survey on the effectiveness of UNODC assistance in strengthening capacity of national authorities
Output 3.5.2	Members States have referral systems and practices established, including mechanisms for law enforcement and NGO cooperation.	<ul style="list-style-type: none"> • Number of requesting Member States who instituted referral systems and established good practices based on UNODC assistance • Number of victims of trafficking and smuggled migrants identified and benefiting from assistance and protection in at least two of the beneficiary countries where the assessments are carried out • Formalized cooperation agreement between civil society and criminal justice actors on protection and assistance services for victims and or witnesses in cases related to trafficking in persons and or smuggling of migrants in place in the beneficiary country 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received UNODC assistance • Assessment and workshop reports • Existence of cooperation agreements, including MoUs • Text of the cooperation agreements
Output 3.5.3	Member States have established and developed effective remedies for support	<ul style="list-style-type: none"> • Number of Member States who have sought UNODC assistance in establishing 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received

	to victims of trafficking in persons including compensation to victims, non-criminalization of victims and humanitarian, legal and financial aid to victims.	<p>measures to provide access to compensation for victims</p> <ul style="list-style-type: none"> • Number of Member States providing access to adequate remedies for victims (physical, psychological, social, employment and educational assistance) • Number of Member States who have begun to cease criminalizing trafficking victims based on UNODC guidance/assistance/technical assistance tools • Dollar amount of funds distributed through the Trust Fund and given directly to victims via established channels 	<p>UNODC assistance on these various victim support programmes</p> <ul style="list-style-type: none"> • Survey results and feedback from Member States on effectiveness of UNODC assistance to victims • Total contributions to the Trust Fund, and total number of grants disbursed from the Trust Fund. • Quality of project evaluations from the Trust Fund • Independent evaluation of the Trust Fund (2013)
Output 3.5.4	Well-coordinated service facilities for victims established or developed by Member States.	<ul style="list-style-type: none"> • Number of requesting Member States who established or developed well-coordinated service facilities with UNODC assistance 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received UNODC assistance • Survey results on effectiveness of UNODC assistance to determine whether Member State facilities are “well-coordinated”
Output 3.5.5	Appropriate measures established by Member States to provide access to compensation for victims.	<ul style="list-style-type: none"> • Number of Member States who have sought UNODC assistance in establishing measures to provide access to compensation for victims • Number of Member States providing access to adequate remedies for victims (physical, psychological, social, employment and educational assistance) 	<ul style="list-style-type: none"> • Documentation on the number of Member States who have established measures to provide access to compensation for victims above the baseline
Output 3.5.6.	Increased application by Member States of the principle of non-criminalization of trafficking victims.	<ul style="list-style-type: none"> • Number of Member States who have begun to cease criminalizing trafficking victims based on UNODC guidance/assistance/technical assistance tools 	<ul style="list-style-type: none"> • Documentation on the number of Member States who have begun ceasing criminalization of trafficking victims based on UNODC guidance/assistance

Output 3.5.7	Humanitarian, legal and financial aid to victims of trafficking in persons provided through established channels of assistance via the UN Voluntary Trust Fund for Victims of Trafficking.	<ul style="list-style-type: none"> Dollar amount of funds distributed through the Trust Fund and given directly to victims via established channels 	<ul style="list-style-type: none"> Calculate total amount of money given via the Trust Fund
Output 3.5.8	Selected Member States provided with information and trained on protection and assistance of smuggled migrants.	<ul style="list-style-type: none"> Criminal justice actors in 2 countries have <i>guidelines on smuggled migrants' rights and return in place</i> 	<ul style="list-style-type: none"> Annual and semi-annual Project/Progress reports
Outcome 3.6	<i>Improved criminal justice system response of Member States in combating trafficking in persons and migrant smuggling</i>		Budget
Indicators	<p><i>Evidence of specialized institutional frameworks to combat trafficking in persons. Increased number of cases of trafficking in persons, migrant smuggling and related conduct investigated, prosecuted and adjudicated in accordance with international standards and good practices. Increase in the use of international cooperation mechanisms being used for cases related to trafficking in persons and smuggling of migrants. Increased number of cases of trafficking in persons prosecuted in accordance with international standards and good practices.</i></p> <p><u>Target:</u></p> <ul style="list-style-type: none"> <i>Criminal justice actors in at least 10 selected countries develop an effective response to TIP and SOM.</i> <i>Increase in the number of TIP and/or SOM cases investigated, prosecuted and adjudicated in accordance with international law.</i> 		\$4,320,000
	Outputs	Indicators	Means of Verification
Output 3.6.1	Strengthened capacity of relevant criminal justice practitioners, including forensic personnel, to investigate, prosecute and adjudicate trafficking in persons cases and migrant smuggling cases.	<ul style="list-style-type: none"> Number of requesting Member States who received UNODC capacity training for criminal justice practitioners Criminal justice practitioners and other relevant stakeholders have been trained and have improved their capacity to effectively respond to TIP and SOM Increase number of investigations of trafficking in persons cases and smuggling of migrants cases 	<ul style="list-style-type: none"> Documentation on the number of requesting Member States who received capacity training for criminal justice practitioners Survey results on effectiveness of UNODC assistance in strengthening capacity of criminal justice practitioners Post training evaluation Evidence of utilization of best practice procedures in investigations of crime

		<ul style="list-style-type: none"> • Increased number of penalties imposed on offenders in trafficking in persons cases and in smuggling of migrants cases that are dissuasive and proportional • Increased number of intelligence-led (as opposed to reactive) trafficking in persons investigations launched • Increased amount of intelligence shared between countries • Increased use of effective witness protection methods put in place throughout the criminal justice process. 	<p>scenes in trafficking in persons cases and in smuggling of migrants cases</p> <ul style="list-style-type: none"> • Evidence of utilization of best practice procedures in evidence recollection • Evidence of utilization of forensic examinations and analyses in a laboratory • Evidence of utilization of physical evidence in trafficking in persons-related court proceedings rather than only testimony
Output 3.6.2	Strengthened capacity of law enforcement agencies, including specialized units, to conduct financial investigations both during the pre- and post-arrest investigative phases.	<ul style="list-style-type: none"> • Number of requesting Member States who received UNODC capacity training for law enforcement agencies to conduct financial investigations 	<ul style="list-style-type: none"> • Documentation on the number of requesting Member States who received UNODC capacity training for law enforcement agencies • Evidence of utilization of intelligence, specialist investigative techniques and financial investigations • Amount of confiscated funds
Output 3.6.3	Military and Peace-keeping forces have increased knowledge of human trafficking issues as they relate to criminal justice.	<ul style="list-style-type: none"> • 5 training courses for military and peace keeping forces conducted on anti-human trafficking response 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records
Output 3.6.4	Increased international cooperation between law enforcement authorities, including exchanging information, sharing common databases, conducting joint inquiries and joint investigations.	<ul style="list-style-type: none"> • Number of agencies/authorities who have exchanged/shared information based on UNODC assistance • Number of agencies/authorities who have conducted joint inquiries or investigations based on UNODC assistance • Number of network meetings of police, prosecutorial and judicial 	<ul style="list-style-type: none"> • Documentation on the number of agencies/authorities who have exchanged or shared information • Documentation on the number of agencies/authorities who have conducted joint inquiries or investigations

		authorities for exchange of experiences on successful prosecution of TIP and SOM cases	
Output 3.6.5:	Special police units, prosecutorial and judicial structures established or strengthened	<ul style="list-style-type: none"> • Increased number of law enforcement units specialized in investigating TIP and SOM • Increased number of specialized prosecutors involved in TIP and SOM cases • Evidence of the use of case management systems • Evidence of witness protection measures in place 	<ul style="list-style-type: none"> • Existence increased number of specialized units • Staffing tables of specialised units with a proven increase in numbers of staff • Increase in the Percentage of relevant national budget allocated
Output 3.6.6	Knowledge-base on specific issues related to investigating/prosecuting/adjudicating TIP and SOM and related challenges to the criminal justice sector enhanced and made available to Member States	<ul style="list-style-type: none"> • Specific capacity-building tools targeted at criminal justice responders are developed, translated and promoted 	<ul style="list-style-type: none"> • Annual Project Progress Reports / Project Records
Outcome 3.7	<i>Greater UN system-wide coordination, coherence and multi-stakeholder cooperation in policy recommendations and capacity development programmes implemented by international organizations.</i>		Budget
Indicators	<i>Positive evaluation of inter-agency coordination and cooperation mechanisms that are lead by or benefit from the contribution of UNODC.</i> <u>Target:</u> <ul style="list-style-type: none"> • 8 joint programmes and multi-stakeholder initiatives in place (1 per region). • Multi-stakeholder knowledge platform established to share, document and disseminate knowledge on TIP and/or SOM. • 5 periodical international/regional cooperation meetings held on TIP or SOM issues (1-2 per year). 		\$8,400,000
	Outputs	Indicators	Means of Verification
Output 3.7.1	Increased multi-stakeholder knowledge management on trafficking in persons.	<ul style="list-style-type: none"> • Knowledge platform established • Knowledge products created and/or improved and disseminated 	<ul style="list-style-type: none"> • UN.GIFT Hub statistics • Track production, dissemination and use of knowledge products (e.g. through surveys)

Output 3.7.2	Multi-stakeholder joint capacity development programmes developed and implemented at the regional and national level.	<ul style="list-style-type: none"> • Number of joint programmes with UNODC involvement 	<ul style="list-style-type: none"> • Documentation on the number of joint programmes with UNODC involvement above the baseline
Output 3.7.3	Multi-stakeholder thematic and sector-specific programmes developed and implemented.	<ul style="list-style-type: none"> • Number of thematic/sector-specific programmes with UNODC involvement 	<ul style="list-style-type: none"> • Documentation on the number of thematic/sector-specific programmes with UNODC involvement above the baseline
Output 3.7.4	Placing trafficking in persons and smuggling of migrants in the wider context of migration at the international level.	<ul style="list-style-type: none"> • Number of Working Level Meetings of the Global Migration Group Attended • Number of Meetings of the Heads of Agencies attended • Chair of the GMG held in 2012/2013 	<ul style="list-style-type: none"> • Reports of Working Level Meetings • Reports of Principals Meetings • Workplan as Chair of the GMG
Output 3.7.5	Discussion of comprehensive and integrated response to trafficking in persons at the international level.	<ul style="list-style-type: none"> • Number of ICAT meetings organized or participated in 	<ul style="list-style-type: none"> • ICAT Reports

Annex 2: TOC Global Programmes

(i) Thematic Sub-programme Transnational Organized Crime

*The UNODC Global Container Control Programme*³⁹ was endorsed in 2004 and has since been revised many times to include new countries and regions. The Container Control Programme (CCP) has been developed jointly by UNODC and the World Customs Organization for the purpose of assisting Governments to create sustainable enforcement structures in selected sea ports in order to minimize the risk of shipping containers being exploited for illicit drug trafficking, transnational organized crime and other forms of black market activity. At the heart of this innovative approach is the creation of inter-agency port control units (PCUs) comprising analysts and search teams from different law enforcement agencies (e.g. Customs, Police) who are trained and equipped to work together to systematically target high risk containers for professional law enforcement scrutiny using risk analysis and other proactive techniques with minimum disruption to the free flow of legitimate trade.

Project Number	Overall Budget USD	Shortfall USD
GLOG80 (ProFi Figs. to June 2013)	17,123,746	5,386,682

*The UNODC Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Serious and (Transnational) Organized Crime*⁴⁰ was endorsed by the PPC in September 2008 following in the path of a previous project that had been in place since 2003. The overall objectives are carried out through: 1) development of tools, training materials and good practices on specific components of the Convention and Protocols; 2) provision of advice, technical assistance and mentoring to strengthen institutions, and enhance knowledge and expertise of criminal justice officials (law enforcement officials, prosecuting and judicial authorities) and civil society; and 3) strengthening cooperation and coordination among Member States, including with regional and international organizations.

Project Number	Overall Budget USD	Shortfall USD
GLOT32	4,512,980	1,483,700

³⁹ Project numbers for all Global and other Programmes quoted herein

⁴⁰ GLOT32, which is the successor to Project GLOR22 "Assistance to the Signatories of the UN Convention against Transnational Organized Crime"

Support to the Conference of the Parties to the United Nations Convention against Transnational Organized Crime⁴¹ (UNTOC) provides sustained support to the work of Conference of the Parties to UNTOC and its established Working Groups and related Meetings of Experts. It will allow the COP and its mandated bodies to carry out their functions and fulfil their mandates in an effective manner. This project will support States parties efforts to establish a mechanism to review implementation of the Convention and its Protocols. This process was initiated in 2010 with the Pilot Review Programme and the COP5-mandated Working Group on Review of the Implementation of UNTOC and its Protocols will continue this work. Such in-depth review will help better identify implementation gaps and technical assistance needs. It will lead to a constructive exchange of expertise and good practices. In this respect, the project will also provide a framework for the delivery of technical expertise to achieve full and effective implementation of UNTOC and its Protocols.

Project Number	Overall Budget USD	Shortfall USD
GLOT60	8,700,000	5,580,000

A key component of the international response to the increasing piracy attacks off the coast of Somalia is ensuring that suspected pirates captured by foreign navies on the high seas are prosecuted. Through its project **Combating maritime piracy in the Horn of Africa and the Indian Ocean; Increasing regional capacities to deter, detain and prosecute pirates⁴²**, UNODC is delivering substantial support to regional countries in their efforts to bring suspected pirates to justice. Measures to this end include: review of legislation in regional states with agreement to amend legislation where necessary; support prosecutors through training and logistical improvements; developed court facilities; arrange the appearance of foreign witnesses at trial; ensure that the trials are fair, efficient and occur within the framework of the rule of law; substantially improved prison conditions and reduced overcrowding; and improve police practices and evidence handling.

UNODC will also provide technical support to Somalia itself: firstly through the improvement of prison conditions in Puntland and Somaliland to allow for the transfer of convicted pirates back to Somalia and, in the longer term, to increase the capacity of Somalia's basic legal and institutional structures to investigate, prosecute and detain suspected pirates in line with international standards.

Project Number	Overall Budget USD	Shortfall USD
XAMT72	25,426,689	10,250,963

On 28 January 2010, the Contact Group on Piracy off the Coast of Somalia decided that UNODC will administer a multipurpose **Trust Fund to Support Initiatives of States Countering Piracy off the Coast of Somalia**. The main purpose of this initiative is to help countries in the region fight

⁴¹ GLOT60

⁴² XAMT72

piracy, including by capacity-building in their criminal-justice systems. Initiatives financed by the Fund shall not interfere with nor replace, but rather complement, other efforts by States or international organizations, including the various United Nations organizations, to effectively combat piracy off the coast of Somalia.

(ii) **Thematic Sub-programme Human Trafficking and Migrant Smuggling**

(a) **Global Programmes against Trafficking in Persons & the Smuggling of Migrants**

First initiated in 1999, the current UNODC **Global Programme against Trafficking in Persons**⁴³ was internally approved in October 2009, while the UNODC **Global Programme against the Smuggling of Migrants**⁴⁴ was approved in December 2009. The aim of the Programmes is to assist States in implementing the Trafficking in Persons Protocol and the Smuggling of Migrants Protocol respectively, by, for example, focusing on the development of good practice materials and training programmes that are then put to use in technical assistance programmes. A core function is the development of practical tools for criminal justice actors, including law enforcement, assistance providers, prosecutors, judges, policy makers and administrators. While these tools are first developed for global use, they are then adapted and tailored to local needs of governments, practitioners and service providers in relevant regional and country contexts.

Supporting the two Global Programmes, UNODC also manages a 3 year global project – the result of a **direct agreement** between the European Union and UNODC – aiming to support the implementation of the Trafficking in Persons Protocol and the Smuggling of Migrants Protocol⁴⁵, funded at 90.23% by the European Union. This project reflects the increased cooperation between UNODC and the EU in combating trafficking in persons and smuggling of migrants. The global project complements the two global programmes and supports Member States in implementing the two Protocols through further developing and disseminating existing material to customize them to the specific needs of selected beneficiary countries. The Project also supports the development of tools for specific countries on the basis of their identified needs.

Project Number	Overall Budget USD	Shortfall USD
GLOT59 (proj. to end 2011)	6,576,097	3,029,448
GLOT92 (proj. to end 2012)	3,010,320	2,499,919
GLOT55 (proj. to end 2012)	4,179,123	143,628
TOTALS:	13,765,540	5,672,995

⁴³ GLOT 59

⁴⁴ GLOT 92

⁴⁵ GLOT 55

(a) United Nations Global Initiative to Fight Human Trafficking

UNODC is the seat of, and has administrative and fiduciary responsibility for, the **United Nations Global Initiative to Fight Human Trafficking (UN.GIFT)**⁴⁶. UN.GIFT is managed in cooperation with the other international and regional organizations that make up its Steering Committee: the International Labour Organization (ILO), the International Organization for Migration (IOM), the UN Children's Fund (UNICEF), the Office of the High Commissioner for Human Rights (OHCHR) and the Organization for Security and Co-operation in Europe (OSCE).

The first phase of UN.GIFT was launched in 2007 with the aim to mobilize state and non-state actors to eradicate human trafficking by reducing vulnerability of potential victims and demand for exploitation in all its forms, ensuring adequate protection and support to those who do fall victim to it, and supporting the efficient prosecution of the criminals involved, while respecting the fundamental human rights of all persons. In carrying out its mission UN.GIFT increases knowledge and awareness on human trafficking, promotes effective rights-based responses, builds and develops capacity of state and non-state actors and fosters partnerships for joint action against human trafficking.

UN.GIFT will transition to a new phase (2011-2015) in 2011, and the Strategic Plan for this phase is being finalised.

Project Number	Overall Budget USD	Shortfall USD
GLOS83 (ProFi figs. To March 2012)	15,783,475	292,024
Project number TBD (2011-2015)	13.500,000	13.500,000

(a) United Nations Voluntary Trust Fund for Victims of Trafficking in Persons

UNODC is the designated Fund Manager for the **United Nations Voluntary Trust Fund for Victims of Trafficking in Persons** (Trust Fund), established by the General Assembly in resolution 64/293, concerning the United Nations Global Plan of Action to Combat Trafficking in Persons. The overall aim of the Trust Fund is to provide humanitarian, legal and financial aid to victims of trafficking in persons, through established channels of assistance such as governmental, intergovernmental and non-governmental organizations.

The primary channel for disbursing funds from the Trust Fund is through the Small Grants Facility. The Board decided that the Fund will have no specific geographic priorities. Thematic priorities will be identified for each annual call for proposals, which will promote the victim-centred approach which makes this Fund unique. The thematic priorities may also take into account the funding priorities of key donors. The Fund will choose to give fair and equitable consideration to all high quality proposals that demonstrate sustainability of initiative and replication of good practices.

⁴⁶ GLOS83

As of April 2011, the Fund had received funding pledges amounting to approx. USD 850,000, and has established a goal of disbursing at least \$500,000 per year in grants.

(iii) Thematic Sub-programme Money-Laundering

In March 2008 the *Global Programme against Money-Laundering, Proceeds of Crime and the Financing of Terrorism*⁴⁷ was established as the Thematic Sub-Programme on Anti-Money-Laundering to support UNODC’s AML/CFT strategy and is the successor to the Global Programme against Money-Laundering (GPML) which was established in 1997. The Programme encourages policy development in the areas of anti-money-laundering and countering the financing of terrorism, raises public awareness about the cross-cutting aspects of money-laundering and the financing of terrorism, contributes to the strengthening of governance measures and anti-corruption policies, and acts as a centre of expertise of anti-money-laundering and, jointly with the UNODC Terrorism Prevention Branch, countering the financing of terrorism related matters. The Programme is pivotal to UNODC’s mandate to prevent drug offences and other crimes in that it offers specialized services and tools to help Governments deal with an important component of action against crime with a view to removing the profits of such crime and providing a disincentive for committing them.

Project Number	Overall Budget USD	Shortfall USD
GLOU40 (2011-15)	27,493,286	15,316,517

In September 2007, the World Bank and UNODC launched *the Stolen Asset Recovery Initiative* (StAR)⁴⁸. Under this initiative, both organizations are collaborating to assist developing countries in enhancing the capacity required to successfully recover stolen assets that have been sent abroad by corrupt leaders. Effective and sustainable anti-money laundering systems contribute to the development of good governance policy and forms an important part of asset recovery efforts. The StAR initiative focuses on three core components: lowering the barriers to asset recovery, building national capacity for asset recovery; and providing preparatory assistance in the recovery of assets.

Project Number	Overall Budget USD	Shortfall USD
GLOT08	2,553,831	72,840

(iv) Global Programme on Firearms

Activities under this programme are already partially developed under the broader project *Support to the Conference of the Parties to the United Nations Convention against Transnational Organized Crime*⁴⁹. The primary objective of the Programme is to **promote the ratification and implementation of the Firearms Protocol**, and to ensure that comprehensive and cohesive

⁴⁷ GLOU40

⁴⁸ GLOT08

⁴⁹ GLOT60, see above footnote 32

firearms control regimes are created, and effective international cooperation mechanisms in place to prevent and combat illicit firearms trafficking and manufacturing facilitated. Such broad and integrated perspective encompasses both control and regulatory measures required for States to control licit firearms and prevent their diversion into the black market, and the action necessary to enable effective investigation and prosecution of such cases, including through effective international cooperation and tracing of firearms and ammunition, and to address also existing links to other forms of transnational organized crime.

The sub-programme will include activities such as:

- knowledge and awareness raising about firearms and international responses;
- Legislative assistance to strengthen firearms legislation and regulations in line with internationally agreed standards and global / regional treaties.
- strengthening the institutional regime on firearms, including in the areas of marking, record-keeping, security and preventive measures and international transfer control measures;
- support Member States in the seizure and confiscation of firearms and ammunition, its identification and tracing;
- accompanying study on transnational trafficking patterns, routes and modus operandi;
- in selected countries, surveys and focus group research on causes for gun violence and links to other related forms of organized crime, and devise of effective crime prevention strategies;
- enhancing criminal justice responses to develop specialized skills in investigation, risk assessments and profiling techniques;
- border control measures, in particular at points of exports, transfer and import;
- promoting and enhancing international cooperation in criminal matters and for the purpose of tracing.

At present, the initial geographical focus of the sub-programme, which would reinforce the above described activities, will be on West Africa, South America and the Caribbean (In West Africa: Benin, Burkina Faso, Gambia, Ghana, Mali, Mauritania, Senegal, Togo. In South America: Argentina, Bolivia, Brazil, Chile, Paraguay, Uruguay. In the Caribbean: Jamaica). Further expansion to other countries and regions will be subject to the mobilization of additional resources.

Project Number	Overall Budget USD	Shortfall USD
GLOX34	USD 5,927,000	3,250,000

(v) Global Scientific and Forensic Services Project

This programme operationalizes the UNODC Thematic Programme on Scientific and Forensic Services in a modular manner. It builds upon past and current UNODC activities in the scientific and laboratory sector with a focus on sustainable, integrated forensic science services in support of drug control and crime prevention. The project’s objective is to ensure that Member States have access to, and use of, quality forensic science services in support of their efforts to counter drugs, crime and terrorism. In addition to technical cooperation and research activities,

normative aspects such as the development and dissemination of standards and forensic best practices play a central role in the implementation of this project

Project Number	Overall Budget USD	Shortfall USD
GLOU54	USD 2,000,000	-

▪ **Combating Cybercrime**

The future UNODC cybercrime project aims to assist developing countries to combat this emerging form of transnational organized crime⁵⁰. There will be no attempt to duplicate or re-invent what is already available or in place. UNODC will look to use/build on/adapt what currently exists, and involve experts and institutions which have already developed and delivered tools and/or training to combat cybercrime instead. UNODC will also seek to ensure and build strong partnerships with other stakeholders such as Interpol, ITU, EC, CoE, Europol, UN Member States, and members of the private sector such as software companies, and service providers.

To ensure sustainable and long-term capacity building in developing countries, the proposed framework includes:

- Undertaking thorough needs analysis within country/region and identifying key priorities for action;
- Assisting Member States in legislative drafting and adoption of adequate legislation based on country-specific demands and applicable instruments;
- Building operational and institutional capacity of law enforcement and judicial bodies in relation to investigation, prosecution, and adjudication of serious crimes,
- Providing training, and improving international cooperation and exchange between law enforcement authorities, including mutual legal assistance;
- Providing broad-based policy and strategy development; and
- Mobilizing and raising awareness of civil society.

Further the proposed programme will also develop activities on specific issues related to the criminal use of information and communication technologies, such as the misuse of ICTs for child sexual abuse and exploitation, as appropriate and requested by Member States.

▪ **Research and Trend Analysis**

Under the Thematic Programme on Research and Trend Analysis, specific activities are undertaken to directly underpin and support the Office’s work on transnational organized crime and trafficking. These activities provide a strong evidence base for the development of policy, international dialogue and technical assistance. .

Project Number	Overall Budget USD	Shortfall USD
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⁵⁰ Following the endorsement by Ex-Com of the Guidance Notes for Field Offices on cybercrime (January 2010)

Research on the Afghan Opiate Trade Research on the Cocaine Trade Global Report on TIP Global TOCTA Regional TOCTAs⁵¹	9.9 million	3.9 million
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- ***Advocacy and Communications***

A key overall objective of this Thematic Programme is to define the framework by which the Office will play a more active policy/advocacy role at the global level, with a view of "influencing" the policies of MS towards a more balanced agenda for development, peace, justice and security. Activities that States fail to regulate tend to fall under the control of socially excluded communities who respond to their lack of opportunity by creating their own sources of credit, job access and security, thereby making communities complicit in the criminal activities as their primary livelihood opportunity.⁵²

The resource requirements per thematic area are included within those Global Programmes, however, there remain some core and interdisciplinary advocacy and communications activities that require funding in order to achieve the full scope of the programme envisaged.

Project Number	Overall Budget USD	Shortfall USD
GLOU42	USD 4,573,464	TOTAL SHORTFALL ON TOC ACTIVITIES: USD 1, 500,000 (\$500,000 per year)

⁵¹ Budgeted under the Regional Programmes

⁵² The Globalization of Crime: A Transnational Organized Crime Threat Assessment, p. 27

Annex 3: TOC Technical Assistance Programmes in the Field

I. Global and Multi-Regional Projects

Project Title	Country	Duration	Project #	Approved Budget US\$
UNODC Support to the African Union Commission and the Regional Economic Communities for the Implementation of the African Union Plan of Action on Drug Control and Crime Prevention	Africa	28 Jan 2003 – 31 Dec 2012	RAFG39	1,211,972
Support to the implementation of the AU Plan of Action on Drug Control and Crime Prevention (2007-2012), Phase I	Africa	1 Apr 2009 – 30 Apr 2011	XAFS40	412,300
Establishment of Real-Time Operational Communication Between International Airports in Africa, Latin America and the Caribbean	Africa, LAC	30 Mar 2010 – 31 Dec 2013	XAWU72	7,082,670
TOTAL				8,706,942

II. Regional Programme for the Arab States

Project Title	Country/ Region	Duration	Project #	Approved Budget US\$
Strengthening the Capacity of the Lebanese Government to Combat Trafficking in Human Beings – Phase 2	Lebanon	15 Dec 2009 – 31 Dec 2011	LBNT39	472,400
Strengthening the Criminal Justice System Response to Smuggling of Migrants in North Africa	North Africa	30 Nov 2007 – 30 Nov 2011	XAMT14	2,277,186
TOTAL				2,749,586

III. Regional Programme for West Africa

Project Title	Country/ Region	Duration	Project #	Approved Budget US\$
Strengthening the Criminal Justice Response to Human Trafficking in Burundi	Burundi	19 Oct 2009 – 31 Oct 2011	BDIT42	250,000
Anti-organized Crime and Counter Narcotics Enforcement	Cape Verde	9 Feb 2006 – 31 Dec 2011	CPVS28	6,986,088

Assistance for the Implementation of the National Integrated Programme to Fight Transnational Organized Crime and to Strengthen the Criminal Justice System in Ghana	Ghana	11 Mar 2011 – 11 Sep 2011	GHAU80	150,883
Guinea-Bissau Anti-Trafficking (GIB AT) - Establishment of a Specialised Unit within the Judicial Police to Investigate and Combat Drug Trafficking and Organized Crime	Guinea-Bissau	1 Apr 2008 – 31 Dec 2011	GNBU44	4,368,035
Training Centre for the Security Forces of Guinea Bissau - Partnership UNODC-Brazil for the Promotion of South-South Cooperation	Guinea-Bissau	1 Apr 2010 – 31 Mar 2013	GNBU70	3,042,208
Assistance for the Implementation of the West Africa Coast Initiative in Liberia-Phase 1	Liberia	1 Jan 2011 – 30 June 2014	LBRU97	553,422
Assistance for the Implementation of the Integrated National Programme for the Control of Illicit Trafficking and Crime in Mali (phase 1)	Mali	29 Dec 2009 – 30 Nov 2012	MLIU58	3,475,033
Capacity Building for NAPTIP's Implementation of the Action Plan against Human Trafficking	Nigeria	17 Apr 2009 – 31 Jul 2012	NGAS84	1,511,894
Building Institutional Capacity to Respond to the Threat Posed by Illicit Drug Trafficking and Organized Crime in Sierra Leone	Sierra Leone	5 May 2010 – 30 Apr 2013	SLEU74	1,318,961
Law Enforcement Advisory Services and Capacity-Building in Africa	West Africa	1 Jan 1998 – 31 Dec 2011	RAFD21	2,425,532
Law Enforcement Capacity-building in the Fight Against Illicit Drug Trafficking in Selected Countries in West Africa	West Africa	12 June 2009 – 30 June 2011	XAWU53	1,288,878
TOTAL				21,895,901

IV. Regional Programme for South Eastern Europe

Project Title	Country/Region	Duration	Project #	Approved Budget US\$
Strengthening Border Control Capacities in Albania	Albania	24 Feb 2005 – 30 Sep 2011	ALBG70	2,189,668
Strengthening Witness Protection	Moldova and Ukraine	1 Dec 2009 – 30 Nov 2011	XEET46	150,000

Joint Programme of IOM, UNHCR and UNODC under UN.GIFT to Combat Human Trafficking in Serbia	Serbia	27 Aug 2010 – 26 Aug 2012	SRBX15	361,100
Strengthening of the Turkish International Academy against Drugs and Organized Crime	Turkey	1 Jan 2002 – 31 Mar 2011	TURG36	2,155,835
TOTAL				4,856,603

V. Regional Programme for East Asia and the Pacific

Project Title	Country/Region	Duration	Project #	Approved Budget US\$
Support to Improved Security by Provision of Capacity Building to the Jakarta Centre for Law Enforcement Cooperation	Indonesia	7 Dec 2009 – 31 Dec 2012	IDNT80	6,764,892
Countering Illegal Logging and the Linkage between Forest Crime and Corruption in Indonesia	Indonesia	3 Sep 2010 – 2 Sep 2013	IDNX14	2,260,211
Development of the Drug Law Enforcement Strategy	Lao PDR	21 Jan 2008 – 31 Dec 2011	LAOI95	829,335
Building the Capacity and Expanding Anti-trafficking Networks for Improved Support to Victims of Trafficking	South Asia	29 Aug 2007 – 31 Jan 2011	XSAS78	814,280
Strengthening Drug Law Enforcement Capacities in South Asia	South Asia	24 July 2008 – 31 Dec 2011	XSAJ81	699,920
Partnership Against Transnational-crime through Regional Organized Law-enforcement	South East Asia	1 Jan 2010 – 31 Dec 2013	XAPU59	2,317,700
Smuggling of Migrants: Establishment of a Coordination and Analysis Unit (CAU) for East Asia and the Pacific	South East Asia	1 Jan 2010 – 31 Dec 2013	XSPT78	3,616,800
PROJECT CHILDHOOD: Protection Pillar: Enhancing Law Enforcement Capacity for National and Transnational Action to Identify and Effectively Act upon Travelling Child-sex Offenders in the Mekong	South East Asia	25 Aug 2010 – 24 Aug 2014	XSPT33	3,392,679
Strengthening of the Legal and Law Enforcement Institutions in Preventing and Combating Money Laundering in Viet Nam	Viet Nam	5 Jul 2007 – 31 Dec 2011	VNMS65	1,249,539
Strengthening Viet Nam's Criminal Justice Responses to Human Trafficking	Viet Nam	12 Feb 2010 –	VNMS79	864,500

and Migrant Smuggling Through Enhanced Border Control Capacities and International Cooperation		28 Feb 2013		
TOTAL				22,809,856

VI. Regional Programme for Central America

Project Title	Country/Region	Duration	Project #	Approved Budget US\$
Santo Domingo Pact - SICA/UNODC Mechanism	Central America	1 June 2010 – 31 Dec 2013	XCAU81	925,223
Regional Project Against Trafficking in Persons and Smuggling of Migrants	Mexico	31 Jul 2007 – 31 Dec 2012	XCAS26	1,726,481
TOTAL				2,651,704

VII. Regional Programme for Eastern Africa

Project Title	Country/Region	Duration	Project #	Approved Budget US\$
Combating Maritime Piracy in the Horn of Africa, Programme under Trust Fund to Support Initiatives of States Countering Piracy off the Coast of Somalia	East Africa	7 Sep 2010 – 31 Dec 2011	XEAX20	1,929,082
Organized Crime and Illicit Trafficking - Regional Programme for Eastern Africa	East Africa	1 Apr 2010 – 30 Sept 2011	XEAU75	1,498,100
Counter Piracy Trust Fund Expedited Facility	East Africa	9 Nov 2010 – 31 Oct 2011	XSSX11	400,000
Strengthening the Interdiction and Investigation Techniques of the Ethiopian Law Enforcement	Ethiopia	30 Jan 2007 – 31 Mar 2011	ETHI07	690,000
Combating Maritime Piracy in the Horn of Africa and the Indian Ocean. Increasing Regional Capacities to Deter, Detain and Prosecute Pirates	Kenya	2 Apr 2009 – 31 Ma 2012	XAMT72	6,490,700
TOTAL				11,007,882

VIII. Regional Programme for Latin America and the Southern Cone

Project Title	Country/ Region	Duration	Project #	Approved Budget US\$
Counteracting Trafficking in Persons in Brazil	Brazil	18 Jan 2007 – 30 Sep 2011	BRAS25	1,210,000
Strengthening the Capacity of the Brazilian Federal Police to Combat Drug Trafficking and Other Organized Crimes	Brazil	10 Oct 2007 – 31 Oct 2011	BRAI90	10,000,000
Special Investigation Techniques Training in the Fight against Organized Crime, especially Drug Trafficking and Money Laundering in Bolivia	Bolivia	6 Oct 2008 – 30 Apr 2011	BOLU43	50,000
Combating Trafficking in Human Beings in Colombia	Columbia	1 Jan 2003 – 31 Dec 2011	COLR52	1,668,865
Strengthening Public Security Policies in Columbia	Columbia	10 Feb 2011 – 30 June 2013	COLU99	300,000
Prevention of the diversion of drugs precursors in the Latin American and Caribbean Region	Latin America and the Caribbean	27 Feb 2009 – 29 Feb 2012	XLAK04	2,882,029
Strengthening Capacities to Identify, Seize and Recover Illicit Assets	Peru	6 Feb 2007 – 31 Dec 2012	PERU08	2,129,827
Strengthening Capacity to Combat Crime, particularly Human Trafficking, in Peru and Ecuador	Peru and Ecuador	14 May 2010 – 31 Jul 2011	RLAX07	456,771
TOTAL				18,697,492

IX. Regional Programme for Southern Africa

Project Title	Country/ Region	Duration	Project #	Approved Budget US\$
Strengthening Law Enforcement Capacity (Border Control Operations) and Criminal Justice Response to Smuggling of Migrants and Trafficking in Persons	South Africa	1 Mar 2009 – 29 Feb 2012	ZAFT54	2,624,632
Capacity Building for Member States of the Southern African Development Community (SADC) in the Ratification and the Implementation of the United Nations Convention Against	Southern Africa	1 May 2008 – 31 Aug 2011	XASS69	432,764

Transnational Organized Crime and its two First Additional Protocols				
TOTAL				3,057,396

X. Regional Programme for Afghanistan and Neighbouring Countries

Project Title	Country/ Region	Duration	Project #	Approved Budget US\$
Support for a Counter Narcotics Training Unit within the Afghan Police Academy	Afghanistan	30 Jan 2007 – 31 Dec 2011	AFGI77	5,009,845
Regional cooperation in Precursor Control between Afghanistan and Neighbouring Countries	Afghanistan	24 May 2007 – 31 Dec 2011	AFGI85	3,898,751
Strengthening the Operational Capability of Counter Narcotics Police of Afghanistan	Afghanistan	20 July 2007 – 31 Dec 2011	AFGJ43	5,296,035
Integrated Border Control Project in Western/South-western Afghanistan	Afghanistan	8 Aug 2007 – 31 Dec 2011	AFGJ55	7,240,403
Strengthening UNODC operational capacity to support the Government of Afghanistan in tackling drugs and crime	Afghanistan	25 Sep 2009 – 31 Dec 2011	AFGK12	2,733,538
Precursors control in Central Asia	Central Asia	18 May 2000 – 31 Dec 2011	RERE29	5,999,400
Establishment of a Central Asian Regional Information and Coordination Centre	Central Asia	29 Oct 2004 – 31 Dec 2011	RERH22	9,108,828
Computer-based Training in Central Asia	Central Asia	20 July 2005 – 31 Dec 2012	RERF60	1,776,846
Project on Counter-Narcotics Training of Afghan, Central Asian and Pakistani Law Enforcement Personnel	Central Asia	22 Aug 2006 – 31 Dec 2011	XACI97	2,608,814
Countering the Trafficking of Afghan Opiates via the Northern Route by Enhancing the Capacity of Key Border Crossings Points and Through the Establishment of Border Liaison Offices	Central Asia	16 Oct 2009 – 31 Dec 2011	XACK22	1,300,000
Integrated Border Control in the Islamic Republic of Iran - Phase I	Islamic Republic of Iran	1 Jan 2007 – 30 June 2011	IRNI50	3,386,390

Improvement of Iranian Legislative and Judicial Capacity to Tackle Organized Crime and Money Laundering and Promotion of Mutual Legal Assistance	Islamic Republic of Iran	1 Jan 2007 – 31 Jan 2012	IRNS12	2,885,000
Promotion and Strengthening of Intelligence-led Investigations Capacities	Islamic Republic of Iran	4 Aug 2010 – 31 Jul 2012	IRNI52	729,333
Strengthening Drug and Related Crime Control Measures in Selected Checkpoints in Kazakhstan	Kazakhstan	17 Jan 2007 – 31 Dec 2011	KAZI76	1,124,000
Support to Prison Reform in the Kyrgyz Republic	Kyrgyzstan	1 Jan 2009 – 31 Dec 2012	KGZT90	3,765,060
Pakistan Border Management	Pakistan	28 Nov 2007 – 30 Nov 2011	PAKJ61	3,275,995
Sub-Programme 1 of the Pakistan Country Programme: Illicit Trafficking and Border Management	Pakistan	28 Oct 2010 – 31 Dec 2014	PAKU83	3,021,272
Recovery of Frontline Law Enforcement in Flood-Affected Areas	Pakistan	1 Feb 2011 – 31 Dec 2011	PAKU86	434,083
Strengthening Control Along the Tajik/Afghan Border	Tajikistan	27 Sep 1999 – 30 June 2012	TAJE24	9,656,593
Strengthening Drug Law Enforcement Systems for Criminal Intelligence Collection, Analysis and Exchange	Tajikistan	6 Nov 2001 – 30 June 2012	RERF23	4,277.843
Tajikistan Drug Control Agency – Phase II	Tajikistan	17 Jul 2003 – 31 Dec 2013	TAJH03	11,371,947
Strengthening Border Control along the Turkmen-Uzbek Border, in Particular at Farap Checkpoint	Turkmenistan	29 Mar 2009 – 31 Dec 2011	TKMJ92	730,256
TOTAL				85,356,667

Annex 4: List of existing tools and products

1. Transnational Organized Crime

- UNODC Current practices in electronic surveillance in the investigation of serious and organized crime (English)
- UNODC Good practices for the protection of witnesses in criminal proceedings involving organized crime (English, French, Arabic, Spanish)
- UNODC Counter-kidnapping manual (available in all six UN languages)
- UNODC Training Handbook for Container Control UNODC-WCO Container Control Programme (English and Spanish)
- CSM The Container Security Management Framework Guidelines (English and Spanish)

2. Trafficking in Persons

- Toolkit to Combat Trafficking in Persons (2nd Edition) (available in all six UN languages) (2008)
- An Introduction to Human Trafficking: Vulnerability, Impact and Action. Background Paper (UNODC/UN.GIFT) (English) (2008)
- The UN.GIFT Vienna Forum Report: A Way Forward to Combat Trafficking (English) (2008)
- Human Trafficking: An Overview (English) (2008)
- Multi-Agency Synopsis of Mandates and Research Activities Related to Combating Human Trafficking (UNODC/UN.GIFT) (2008)
- Combating Trafficking in Persons: A Handbook for Parliamentarians (Arabic, English, French, Russian, Spanish) (UN.GIFT/UNODC/Inter-Parliamentary Union) (2009)
- Global Report on Trafficking in Persons (Executive Summary: available in all six UN languages), produced by STAS under UN.GIFT (2009)
- International Framework for Action to Implement the Trafficking in Persons Protocol (Chinese, English, French, Russian, Spanish) (2009)
- Trafficking in Persons; Analysis on Europe , produced by STAS (2009)
- UN.GIFT Brochure (2010)
- Combating Trafficking in Persons in Accordance with the Principles of Islamic Law (Arabic, English) (2009)
- Anti-Human Trafficking Manual for Criminal Justice Practitioners (Arabic, Chinese, English, Russian, Spanish) (UN.GIFT/UNODC) (2009)
- First Aid Kit for Use by Law Enforcement Responders in addressing Human Trafficking (Arabic, Chinese, English, French, Russian, Spanish) (UN.GIFT/UNODC) (2009)
- Human Trafficking in the Baltic Sea Region: State and Civil Society Cooperation on Victims Assistance and Protection (English) (2010)
- Needs Assessment Toolkit on the Criminal Justice Response to Human Trafficking (Chinese, English, Russian) (UN.GIFT/UNODC) (2010)
- Trafficking in Persons and Smuggling of Migrants - Regional Guidelines on International Cooperation (English, Albanian, Bosnian, Croatian, Montenegrin, Macedonian and Serbian) (2010)

- Blue Heart Campaign against Human Trafficking as a tool for national implementation of awareness raising and preventive measures contained in the Protocol.
- Computer-based Training on Trafficking in Persons

Technical Papers

- Criminal Justice Responses to Human Trafficking (English)
- From Protection to Prosecution – a strategic approach (English)
- Supply management, Eliminating the Risks of Forced Labour and Trafficking (English)
- Human Trafficking for the Removal of Organs and Body Parts (English)
- The Role of the Media in Building Images (English)
- Profiling the Traffickers (English)
- Technology and Human Trafficking (English)
- The Role of Employers’ Organizations, Businesses and Trade Unions in Combating Trafficking for Labour Exploitation (English)
- Corruption and Human Trafficking: The Grease that Facilitates the Crime (English)
- The Effectiveness of Legal Frameworks and Anti-Trafficking Legislation (English)
- Quantifying Human Trafficking: Its Impact and the Responses to it (English)
- Transnational Organized Crime – Impact from Source to Destination (English)
- Impact of the economic crisis on trafficking in persons and migrant smuggling (English)
- Organized Crime Involvement in Trafficking in Persons and Smuggling of Migrants (English)

Multimedia

- 2 UN.GIFT Public Service Announcements (2008)
- UN.GIFT CNN Vignettes on human trafficking and business (2009)
- UN.GIFT/UNODC VITA (Victim Translation Assistance) Audio tool with key encounter messages addressing victims of trafficking (2010)
- UN.GIFT Start Freedom Educational Material for Youth (2010)
- UN.GIFT Catalogue (A CD ROM and online resource that compiles all publications, initiatives and materials developed under UN.GIFT) (2010)
- Launch of the UN.GIFT.HUB, a virtual knowledge Hub that gathers available knowledge on human trafficking and allows user interaction through several online features (2010)
- Human Trafficking and Business: An eLearning Course (2010)
- UN.GIFT BBC Working Lives Series (2010)
- Affected for Life: a training and awareness raising film (2009)
- UNODC’s Public Service Announcements against human trafficking (videos ‘Work Abroad’, ‘Better Future’, ‘Telephone’ and ‘Cleaning Lady’)

3. Smuggling of Migrants

- Smuggling of Migrants from India to Europe and in particular to UK: A study on Tamil Nadu (English) (2009)
- Smuggling of Migrants from India to Europe and in particular to UK: A study on Punjab & Haryana (English) (2009)
- International Framework for Action to Implement the Migrant Smuggling Protocol (2011)
- Toolkit to Combat Migrant Smuggling (English) (2010)
- Basic Training Manual on Investigating and Prosecuting the Smuggling of Migrants (Arabic, English, French, Russian and Spanish) (2010)

- Smuggling of Migrants, a Global Review and Annotated Bibliography of Recent Publications on Smuggling of Migrants (English) (2010)
- Issue Paper: Migrant Smuggling by Air (English) (2010)
- Issue Paper: An Introduction to Migrant Smuggling (2010)
- Practical Guide for Law Enforcers and Prosecutors on Migrant Smuggling (West and Central Regional Office Senegal) (2010)
- Migrant Smuggling into, through and from North Africa. A thematic review and annotated bibliography of recent publications (English) (2010)
- In-Depth Training Manual to Investigate and Prosecute the Smuggling of Migrants (forthcoming 2011)
- Trafficking in Persons and Smuggling of Migrants - Regional Guidelines on International Cooperation (English, Albanian, Bosnian, Croatian, Montenegrin, Macedonian and Serbian) (2010)
- Organized Crime Involvement in Trafficking in Persons and Smuggling of Migrants (English)
- Smuggling of Migrants by Land, Air and Sea in Pakistan – A Review of National Laws and Treaty Compliance (2010)

4. Firearms

- Technical guide for the implementation of the Firearms Protocol (2010)
- Model Law on Firearms (2010/11)
- International Standards on Small Arms Control (joint CASA Initiative, to be finalized in 2011-2011).
- Firearms registry and technical manual (2011)
- Operational guideline for seizure, collection, deactivation and disposal of firearms and ammunition (2011)

Legal Tools

5. Model Laws and Model Agreements

a. UNTOC Protocols

- Model Law against Trafficking in Human Beings (Arabic, English, French, Russian and Spanish)
- Model Law against Smuggling of Migrants (Arabic, English, Russian)
- Model Law on Trafficking in Firearms (English, finalized in early 2011)

b. Drug Conventions

(i) Civil Law Models

- Model Law on the Classification of Narcotic Drugs, Psychotropic Substances and Precursors and on the Regulation of the Licit Trade of Drugs ([French](#))
- Model Law on Drug Trafficking and Related Offences ([French](#))
- Model Law on the Abuse of Narcotic Drugs and Psychotropic Substances ([French](#))
- Model Law on International Cooperation (Extradition and Mutual Legal Assistance) with regard to Illicit Traffic in Narcotic Drugs, Psychotropic Substances and Precursors ([French](#))

(ii) Common Law Models

- Model Drug Abuse Bill 2000 & Commentary
- Model Drug Court (Treatment and Rehabilitation of Offenders) Bill 2000 & Commentary
- Model Extradition (Amendment) Bill 2000 & Commentary
- Model Foreign Evidence Bill 2000 & Commentary
- Model Mutual Assistance in Criminal Matters Bill 2000 & Commentary
- Model Money Laundering and Proceeds of Crime Bill 2000 Commentary
- Model Money Laundering, Proceeds of Crime and Financing of Terrorism Bill, 2004
- Model Witness Protection Bill 2000 & Commentary
- Model Law on Extradition (2004)

(iii) Islamic Law Models

- Model Law on the Classification of Narcotic Drugs, Psychotropic Substances and Precursors and on the Regulation of the Licit Trade of Drugs ([French](#))
- Model Law on Drug Trafficking and Related Offences ([French](#))
- Model Law on the Abuse of Narcotic Drugs and Psychotropic Substances ([French](#))
- Model Law on International Cooperation (Extradition and Mutual Legal Assistance) with regard to Illicit Traffic in Narcotic Drugs, Psychotropic Substances and Precursors ([French](#))

c. International Cooperation

- Model Treaty on Extradition (General Assembly resolution 45/116, as amended by General Assembly resolution 52/88) ([English](#))
- Model Treaty on Mutual Assistance in Criminal Matters (General Assembly resolution 45/117, as amended by General Assembly resolution 53/112) ([English](#))
- Revised Manuals on the Model Treaties on Extradition and Mutual Assistance in Criminal Matters ([English](#))
- Model Law on Extradition (2004)
- Model Law on Mutual Assistance in Criminal Matters (2007)
- Handbook on the International Transfer of Sentenced Persons (currently being finalized)

d. Computer-based Legal Tools

- Mutual Legal Assistance Request Writer Tool (Arabic, Bosnian, Croatian, English, French, Montenegrin, Portuguese, Russian, Serbian and Spanish.)
- On-line Directory of Competent National Authorities
- Legal Library (UNTOC and Drug Conventions implementing legislation from 190 countries)
- Omnibus survey software (currently being finalized, to replace UNTOC assessment checklist and questionnaires)

6. Other implementation tools

- Commentary of Drug Conventions
- ARTIP Handbook (Asia Regional Trafficking in Persons Project) on international cooperation in trafficking in persons cases
- Model Regulation for Civil Law Countries on establishing an Inter-ministerial Commission for the Coordination of Drug Control ([English](#), [French](#), [Spanish](#))

- UNODC Legal Assistance Needs Questionnaire ([English](#))
- UNODC Checklist - Justice System Processing of Drug-Related Casework ([English](#))
- UN Drug Control Conventions Checklist - Main Mandatory Requirements on State Parties (Chinese, [English](#), French, Russian, [Spanish](#))
- Compendium of international, regional and bilateral agreements on international cooperation in criminal matters (Comoros, French Reunion, Madagascar, Mauritius, Seychelles).

7. Other Reports (non-exhaustive list)

- Conclusions and Recommendations of the Informal Expert Working Group On Joint Investigations
- Catalogue of examples of cases of extradition, mutual legal assistance and other forms of international legal cooperation on the basis of the United Nations Convention against Transnational Organized Crime
- Analytical reports on the implementation of UNTOC Convention and the Protocols thereto and charts summarizing information submitted by States through the assessment checklist/questionnaires
- Note on the marking of firearms, the keeping of records on firearms, trafficking in firearms, their parts and components and ammunition and the identification of competent authorities
- Note on travel and identity documents
- Note on the protection of victims and witnesses
- Note on money-laundering within the scope of the United Nations Convention against Transnational Organized Crime
- Report of the Expert Working Group on Mutual Legal Assistance and Related International Confiscation, Vienna, 15-19 February 1993.
- Report of the Expert Working Group on Improving Inter-Sectorial Impact in Drug Abuse Offender Casework, Vienna, 6-10 December 1999.
- Report of the UNODC Expert Working Group on Best Practice in Asset Restraint and Forfeiture Casework, Vienna, 3-7 September 2001.
- Report of the Informal Expert Working Group on Mutual Legal Assistance Casework Best Practice, Vienna, 3-7 December 2001.
- Report of the Informal Working Group on Effective Extradition Casework Practice, Vienna, 2004