

Annex I

Guidance Note for the provision of information by States parties for the sixteenth session of the Working Group on Prevention of Corruption from 17 to 20 June 2025

I. Judicial integrity and ethics, integrity of the criminal justice system

In relation to article 11 of the United Nations Convention against Corruption and measures to promote the independence, integrity and impartiality of members of the judiciary and prosecution services, States parties are invited to provide the secretariat with information on their good practices and challenges in that respect.

While States parties are invited to provide a broad range of good practices and challenges in the area of judicial and prosecutorial independence, in order to facilitate the submission of the information, States parties may wish to be guided by the following questions:

1. Are there codes or other rules of conduct, including mechanisms for their dissemination and application? If yes,
 - a. Are they based on existing international standards?
 - b. Do they cover areas such as social media use, interactions with media, or other areas you consider emerging?
2. Are there induction and ongoing training requirements and curricula on integrity and ethics?
3. What accountability mechanisms are in place? Please describe the role and structure of disciplinary bodies, procedures and sanctions, reporting channels, and their effectiveness in ensuring accountability and preventing corruption.
4. Are there systems in place to detect, prevent and manage conflicts of interest, including rules and procedures for determining and addressing conflicts of interest, requirements to disclose interests, assets, affiliations or other information, mechanisms to monitor and enforce these rules?
5. Are there systems and procedures in place for efficient, accountable and transparent case management and assignment?
6. Are there measures in place to ensure transparency and accountability in the selection, recruitment, performance management and removal of members of the judiciary and the prosecution service?
7. Can you describe whether and how your judicial or prosecutorial authorities utilize new technologies and artificial intelligence? Are there any guidelines or protocols to ensure their ethical use and ways to evaluate their impact on integrity, transparency and accountability of the criminal justice system?

8. Are there measures in place to ensure the well-being of members of the judiciary and prosecution services? Please describe any prevalent challenges and measures to support optimal well-being and stress management.
9. What measures exist to promote the full and equal participation of women at all levels of the criminal justice system?
10. Please provide information regarding other corruption risks and emerging challenges encountered in the implementation of article 11.

II. Best practices and challenges concerning international cooperation in addressing corruption involving organized criminal groups, including the transnational nature of those crimes

In its resolution 10/5, the Conference requested the Open-ended Intergovernmental Working Group on the Prevention of Corruption to hold a thematic discussion on the prevention of corruption involving organized criminal groups, including the transnational nature of those crimes. In addition, the Conference requested the open-ended intergovernmental expert meeting to enhance international cooperation to discuss best practices and challenges concerning international cooperation in addressing corruption involving organized criminal groups.

The Conference further requested the expert meeting on international cooperation to collect and analyze, with the support of the secretariat, information provided by States parties on a voluntary basis on best practices and challenges concerning international cooperation in addressing corruption involving organized criminal groups, including the transnational nature of those crimes, with a view to developing a collection of good practices and conclusions for strengthening international cooperation to effectively prevent, identify, investigate and prosecute these offences.

The secretariat has prepared this questionnaire to facilitate the submission of information by States parties. The questions are intended as guidance in case States wish to structure their response or share different sections with different authorities or agencies. States are invited to consult their submissions sent in response to note verbale **CU 2023/225/DTA/CEB/CSS**, which provided information on links between corruption and other forms of crime, in particular organized crime and economic crime, including money-laundering, including during times of emergencies and crisis response and recovery.¹

The responses to this questionnaire will feed into analytical documents for both the Working Group on Prevention and the expert meeting on international cooperation.

¹ Those submissions are available online at: <https://www.unodc.org/corruption/en/cosp/conference/session10-submissions.html#crime>. The corresponding analysis is available at: <https://www.unodc.org/documents/treaties/UNCAC/COSP/session10/CAC-COSP-2023-18/2319275E.pdf>.

Contact Information

Please provide contact details for potential follow-up questions. Contact details will be treated confidentially.

Country:

Government Agency:

Department:

Contact Name:

Position:

Phone Number:

Email:

Questionnaire

Corruption involving organized criminal groups refers to the use of corrupt practices by organized criminal groups to further their criminal activities and to avoid detection, prosecution or adjudication. Criminal groups often engage in bribery and other forms of corruption to influence public officials such as policy-makers, law enforcement or members of the judiciary. For example, organized criminal groups might bribe customs officials to smuggle illicit goods across borders or pay off police officers to avoid raids and arrests. By manipulating or infiltrating decision-making processes or even political systems, organized criminal groups create a network of corruption that conceals, facilitates and ensures impunity for their illegal activities, such as drug trafficking, human trafficking, or firearms smuggling. While corruption can act as an enabler of organized crime, in turn, increased levels of organized crime can facilitate corruption and the deterioration of governance structures and the rule of law.

Part A – Risk and prevalence of corruption involving organized criminal groups

The answers to part A will inform an analysis of global and regional vulnerabilities, risks and trends regarding corruption involving organized criminal groups.

I. Understanding and Managing Risks

1. Has your country undertaken any assessments or analyses of corruption involving organized criminal groups, or the linkages between corruption and organized crime? Or does your country keep any data/statistics on trends in this regard? Which methods are used to study, understand and track these risks?
2. Are any geographic areas, sectors/industries, actors and public authorities identified as most vulnerable to corruption involving organized criminal groups in your country? Which specific factors (such as policies, regulatory gaps, weak governance, limited transparency) or circumstances contribute to their susceptibility?
3. Are there measures to track those risks and adapt to new challenges or developments?

4. Which aspects of corruption involving organized criminal groups do you consider require further research, and what are the gaps in knowledge or understanding that, if addressed, could facilitate countering these crimes?
5. What are the main challenges in gaining an assessed picture of threat of corruption involving organized criminal groups (e.g. lack of data, low reporting/detection rates, resource constraints)?

II. Occurrence of corruption involving organized criminal groups

6. To what extent is corruption involving organized criminal groups prevalent in your country or jurisdiction?

1- Not prevalent at all: There is no evidence or known instances of corruption involving organized criminal groups in any sector or region.

2 - Slightly prevalent: There are occasional, isolated incidents of corruption involving organized criminal groups, but they are rare and affect only limited areas.

3 - Moderately prevalent: Corruption involving organized criminal groups is somewhat common, affecting specific sectors or regions.

4 - Very prevalent: Corruption involving organized criminal groups is frequently reported and affects multiple sectors or regions.

5 - Extremely prevalent: Corruption involving organized criminal groups is widespread and deeply ingrained across various sectors and regions.

7. In particular if moderately to extremely prevalent, are organized crime and corruption identified as national security priorities or priority topics in your country? If so, what intelligence or evidence base has informed the decision to do so (or not)?
8. Please list the main typologies of crimes that have interlinkages with corruption in your country. If possible, please rank them in the order of highest to lowest prevalence or impact, and explain how this ranking is made (operational decision, political decision etc).
 - a. Drug trafficking
 - b. Money-laundering
 - c. Human trafficking
 - d. Migrant smuggling
 - e. Firearms trafficking
 - f. Crimes that affect the environment
 - g. Trafficking in cultural property
 - h. Cybercrime
 - i. Other forms of organized crime with links to corruption (**please list**)

9. Has your country had any, and if possible can you describe, cases of:

- a) Corruption as an enabler of organized crime, e.g. the bribery of a public official to avoid detection, prosecution or adjudication of organized crime such as trafficking in persons or drug trafficking?
- b) Organized criminal groups using corruption to attempt to influence decision-making processes, gain political power or obtain high-level protection?
- c) Other forms of corruption involving organized criminal groups?

Part B – Prevention of corruption involving organized criminal groups

The answers to part B on preventive approaches will primarily feed into the analytical document to inform the discussions of the Working Group on Prevention.

I. Preventive measures

- 10. Is your country taking any steps to raise awareness among public authorities, relevant stakeholders and communities about the risks of corruption linked to organized crime?
- 11. Are any measures in place to safeguard public sector institutions from infiltration by organized criminal groups? For example, do your country's authorities use practices like "four eyes" (dual approval), staff rotation, regular security vetting, or limiting external contacts?
- 12. Are there corruption prevention measures in place in public authorities that might be affected by corruption involving organized criminal groups, such as consulates, labour inspectorates or victim services?
- 13. Are there measures in place to identify and prevent the infiltration of politics by organized crime (e.g. regulations on lobbying or political party financing)?
- 14. Does your country use technology-based tools to prevent corruption involving organized criminal groups?
- 15. Does your country have any other preventive measures in place against corruption involving organized criminal groups, such as dedicated strategies or institutional frameworks?
- 16. What are the main challenges faced in preventing corruption involving organized criminal groups?

II. Role of other stakeholders

- 17. Does your country engage with private sector entities such as transportation companies, logistics providers, or ports to address corruption involving organized criminal groups, e.g. through awareness-raising or public-private partnerships?
- 18. How does your country address the role of "gatekeepers" or professional enablers (e.g., lawyers, accountants, real estate agents) in enabling corruption tied to organized crime or laundering the proceeds of those crimes?
- 19. What role do banks and other financial institutions play in detecting and preventing corruption involving organized criminal groups or the laundering of proceeds of crime?

Are vulnerable financial sectors monitored and addressed? Are financial institutions incentivized or regulated to actively detect proceeds of corruption involving organized criminal groups?

20. Is civil society engaged in efforts to prevent corruption linked to organized crime?
21. Has your country relied on reports by media and journalists on corruption linked to organized crime? Do media and journalists face any barriers when reporting on corruption involving organized criminal groups?
22. Does corruption involving organized criminal groups impact vulnerable populations? Are any measures taken to protect vulnerable groups or communities (e.g. unemployed youth, migrant workers, port labourers) from corruption involving organized criminal groups?
23. What are the main challenges in engaging with other stakeholders in preventing and combating corruption involving organized criminal groups?

Part C – Combating corruption involving organized criminal groups

The answers to part C on enforcement and international cooperation will primarily feed into the analytical document to inform the discussions of the expert meeting on international cooperation and the collection of good practices and conclusions for strengthening international cooperation to effectively prevent, identify, investigate and prosecute corruption involving organized criminal groups.

III. Detection and law enforcement

24. Does your country offer incentives for reporting corruption linked to organized crime, e.g. amnesty or crown witness programs? Are reporting mechanisms in place that are sufficiently confidential and protected?
25. Are there measures in place to safeguard law enforcement and other relevant agencies from corruption or to avoid the corruption of law enforcement?
26. How is access to sensitive information restricted to avoid leaks during investigations?
27. How can your country ensure impartial investigations in cases of conflicts of interests or suspected corruption among law enforcement? For example, can you transfer jurisdiction to another authority?
28. Are there capacity-building initiatives for law enforcement agencies to be able to detect and investigate corruption involving organized criminal groups?
29. Does your country ensure that investigations into organized crime include a focus on potential underlying corruption?
30. Does your country rely on interagency cooperation and organizational arrangements to combat corruption involving organized criminal groups, e.g. dedicated taskforces or investigative teams?
31. Does your country use technologies (e.g. blockchain, data analytics or artificial intelligence) or other covert investigative measures, including undercover operations

and the use of informants, integrity testing or dedicated intelligence operations, to assess, analyse and counter corruption involving organized criminal groups?

32. Does your country rely on financial investigations and methods to follow the money to detect and investigate corruption linked to organized crime?
33. Can sanctions be aggravated for public officials engaging in corruption involving organized criminal groups? In turn, does your country ensure that victims of organized crime coerced to engage in illegal conduct are not punished?
34. Are mechanisms like extended confiscation, unexplained wealth orders or similar mechanisms available in cases of corruption involving organized criminal groups?
35. What are the main challenges faced in detecting, investigating and prosecuting corruption involving organized criminal groups (e.g. lack of human/financial/technological capacity, difficulty accessing financial data, insufficient regulations or guidance, lack of interagency cooperation, political interference in investigations?)

IV. International Cooperation

36. Has your country cooperated with another country in a case of corruption involving organized criminal groups, e.g. through a joint or parallel investigation, mutual legal assistance, extradition or cooperation for purposes of confiscation/asset recovery?
37. Does your country keep data or statistics on international cooperation related to corruption involving organized crime?
38. Can your country or authorities cooperate or exchange information (including through informal channels) with other countries for the purpose of preventing or combating corruption linked to organized crime?
39. Can your country or law enforcement authorities utilize regional or international networks for cooperation against organized crime-related corruption?
40. Has your country used information obtained through the decryption of crypto phone providers such as SkyECC, EncroChat or ANOM?
41. Has your country taken any measures to improve effectiveness or efficiency of international cooperation against corruption linked to organized crime?
- 42. What are the main challenges faced in cooperating with foreign counterparts in cases of corruption involving organized criminal groups?**
- 43. Can you share good practices your country has put in place or has experienced regarding international cooperation in cases of corruption involving organized criminal groups?**

V. Good practices

44. Are there any additional good practices or solutions your country has implemented to overcome any challenges in preventing or combating corruption involving organized criminal groups?