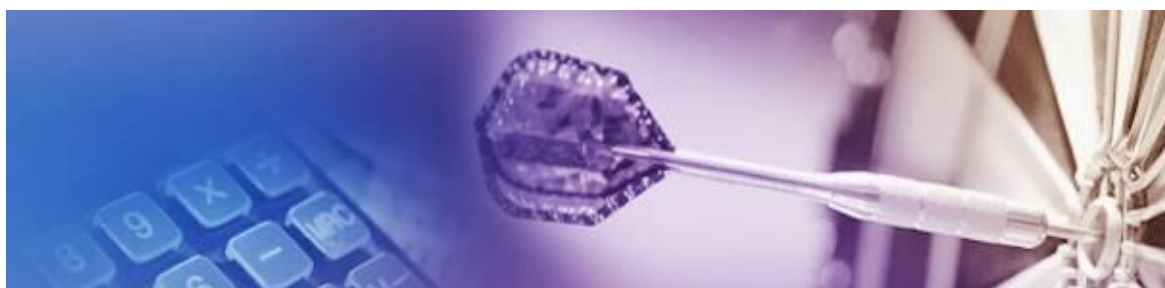


CARIBBEAN FINANCIAL ACTION  
TASK FORCE  
2011-2015  
STRATEGIC PLAN



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### **Introduction**

**The call for a 2011-2015 Strategic Plan grew from the membership's desire to be informed sufficiently in advance of the annual contribution for any given year so that national budgetary authorizations could be secured and arrangements made for timely payment of the relevant amounts to the Caribbean Financial Action Task Force (CFATF) Secretariat.**

- Recognizing that preparation of a Strategic Plan was important to the future of the organization since it afforded the opportunity to shape the Work Program for the next five years within the context of a strong, cohesive, proactive and responsive organization,**
- Drawing on the income and expenditure projections in the draft five year Administrative Plan prepared by the Secretariat and,**
- Considering the need for an Advisory Group to prepare a list of high principles to guide the creation of the Strategic Plan,**

**The November 2008 Ministerial Meeting, mandated the creation of the Strategic Plan Working Group.**

**The Working Group's membership consisted of Antigua and Barbuda, Aruba, Bermuda, Costa Rica Guatemala, Guyana, Netherlands Antilles, St. Kitts and Nevis, The Bahamas, as well as Mexico, Netherlands, Spain and the United States of America from the Group of Cooperating and Supporting Nation (COSUNs).**

**The core members of the Strategic Plan Working Group were;**

- **Aruba-Xiomara Ruiz- Maduro**
- **Bermuda- Cheryl Lister,**
- **Guatemala- Saulo de Leon, Susan Rojas, Ruth Molina and Erick Rolando Dardon Diaz, Ruth Molina, Vera Lucia Salazar and Milton Francisco Amado Reyes**
- **Guyana- Paul Geer**
- **Honduras- Armando Busmail,**
- **Netherlands Antilles Shamara Nicholson, Aimee Kleinmoedig, Solange López and Reina Antersijn-Lijfrock**
- **St. Kitts and Nevis- Patricia Reid-Waugh,**
- **United States-Emily Reinhart**
- **Secretariat- Executive Director Wilson**

**Immediately after the Ministerial Meeting and during December 2008 – February 2009, the Executive Director prepared the first and second drafts of the Strategic Plan in order to advance the work with assistance being provided by Cheryl Lister, Bermuda.**

## **Moving forward**

**The steps towards the creation of the Strategic Plan saw a mixture of traditional meeting settings and the use of twenty first century technology with the primary goal of significantly reducing the costs of the overall exercise.**

**Virtual meetings supported by a Webex tool introduced by Guatemala, were held during January 9, 12, 15, 22, 27 and 29 through February 17, 18 and 19 2009, simultaneously advancing the pace of the work and at the same time considerably reducing the attendant costs.**

**Participants were initiated in the mechanics of the Balanced Scorecard Methodology, which by consensus was adopted as the tool for preparation of the Strategic Plan and the Planning process.**

**Such was the impact that consideration is being given as to how the use of modern technology could be utilized in a similar fashion for other aspects of the organization's business.**

**Traditional Meetings were also utilized and these were held at the Financial Intelligence Unit in Aruba during February 16-18 2009 and at the Superintendence of Banks, Guatemala City, Guatemala during September 9-11 2009 and again during December 15-16 2009.**

**In Aruba representatives included Xiomara Ruiz-Maduro-Aruba, Cheryl Lister-Bermuda, Susan Rojas, Ruth Molina and Erick Dardon Diaz, Guatemala and Paul Geer, Guyana. The Executive Director did not attend.**

**Ms. Susan Rojas, Guatemala provided an Interim Status Report on the activities of the Strategic Plan Working Group to the May 2009 Port of Spain Plenary.**

**The September 2009 meeting in Guatemala was attended by Bermuda- Cheryl Lister, Honduras- Armando Busmail, Guatemala- Saulo de Leon, Susan Rojas, Ruth Molina and Erick Rolando Dardon Diaz, St. Kitts and Nevis- Patricia Reid-Waugh, Secretariat- Executive Director Wilson and United States-Emily Reinhart representing the Group of Cooperating and Supporting Nations.**

**The December 2009 meeting in Guatemala was attended by Cheryl Lister, Bermuda, Erick Dardon, Saulo de Leon and Susan Rojas, Guatemala, Shamara Nicholson-, Aimee Kleinmoedig, Solange López and Reina Antersijn-Lijfrock Netherlands Antilles and Executive Director Wilson. Administrative support was provided by Ruth Molina, Vera Lucia Salazar Martinez and Milton Francisco Amado Reyes.**

**During the period April – September 2009, as the exercise progressed, opportunity was afforded by email, telephone and web chats for observations on the draft Strategic Plan to be submitted by Members, COSUNs Observer Organizations as well as Members of the Strategic Plan Working Group and the Steering Group.**

**Strategic plan development**



## **Methodology**

### **The Balanced Scorecard Framework**

**The core members of the Strategic Plan Working Group came to the consensus that the Balanced Scorecard Framework should be utilized as the methodology for the creation of the CFATF Strategic Plan.**

**The Balanced Scorecard is a strategic planning and management system for establishing and communicating an organization's vision, mission and strategy to stakeholders and for aligning day to day work to the strategy.**

**It provides a disciplined framework for planning and measuring strategy, as viewed from different dimensions or perspectives of organizational performance.**

**It uses performance measures to monitor progress, provides guidance in budgeting and better inform strategic decision making.**

**The methodology uses specific terms, which are described below:**

**Mission: It is the most important and meaningful contribution to the society, based in the reason for which the organization was created.**

**Vision: Intended long-term future state of the organization.**

**Values: Group of principles, beliefs, and rules that set the organization's way of working. Together, they create the institutional philosophy and the cornerstones for our organizational behavior.**

**Strategic themes:** The highest level strategies and the highest priorities used as guides to reach our vision and to fulfill our mission.

**Perspectives:** Different point of view from where a matter can be analyzed. The factors that create value to an organization are usually grouped in four basic or generic perspectives:

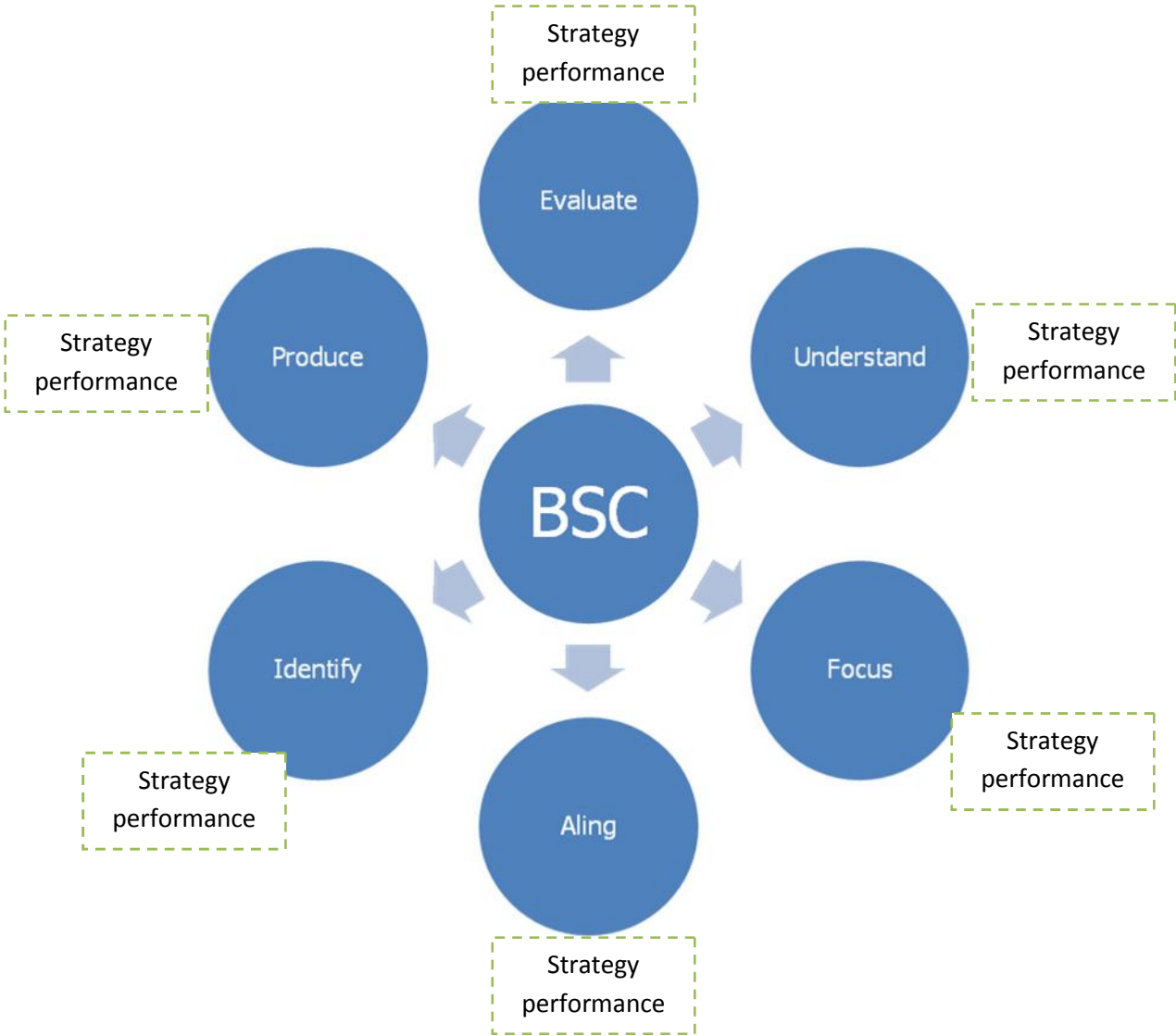
- **Customers/stakeholders**
- **Financial/stewardship**
- **Process**
- **Learning and growth**

**Strategic Map:** provides a detailed picture of the organizational objectives and the relationships between them.

**Objectives:** Are the building blocks of the strategy, together they make up the detailed game plans that describe what is to be done to accomplish the strategic results

**Initiatives:** Projects that help ensure strategy success.

**Balanced Scorecard (BSC) Benefits**



## **Guiding Principles**

**The guiding principles for the Strategic Plan were as follows;**

- **Strengthening overall political commitment**
- **Building on ongoing efforts to secure greater efficiency, transparency and accountability in all governance structures through the use of modern technology**
- **Documenting best practices and operational policies**
- **Enhancing technical capacity and the levels of compliance with the international standards to combat money laundering and the financing of terrorism**
- **Coordinating and delivering Technical Assistance and Training programs**
- **Contributing consistently and effectively to the global standard setting process as an FATF Associate Member**
- **Increasing the CFATF's regional and international profile**
- **Building a strong and effective organization in conjunction with the friendship and support its traditional partners**

**Further considerations, with significant implications for the level of resources that could be allocated for adequate monitoring of membership adherence to the FATF 40 and 9 Recommendations, as well as, representation and advocacy by the Members and the Secretariat, were also factored into the design of the Strategic Plan. These included;**

- **Outreach to a potential new Member;**
- **Preparations for the Fourth Round of Mutual Evaluations;**
- **The development by the IMF and the World Bank of a framework and methodology to assess the degree of AML/CFT risk faced at the national level and at the relevant sector levels;**

- **The global financial crisis which was foreseen as presenting challenges for many years to come with regard to the availability of financial resources due to the reduction of remittances from nationals abroad, the removal of preferential trading arrangements, the fall in tourism, the slowing in the pace of development projects, rising unemployment and the reduction of tax revenues;**
- **The tax haven initiatives emanating from the global economic and financial crisis which had the potential for some CFATF Members to be reviewed by the Organization for Economic Cooperation and Development and the Financial Stability Board;**

**The February and September 2009 meetings in Aruba and Guatemala respectively produced the:**

- **Mission and Vision**
- **Strategic Themes and the Strategic Map**
- **The Organizational Stakeholders**
- **The Organizational Values**
- **An Analysis of Internal and External Strengths, Weaknesses, Opportunities and Threats**
- **A List of Objectives**

## **Results**

### **Mission**

**To develop and implement effective anti-money laundering and counter-terrorist financing systems and to contribute to the setting of global standards.**

### **Vision**

**To be an efficient and responsive organization that plays a leading role, within the region and the global community, in the prevention and suppression of money laundering and terrorism financing through the effective implementation of the international standards.**

### **Values**

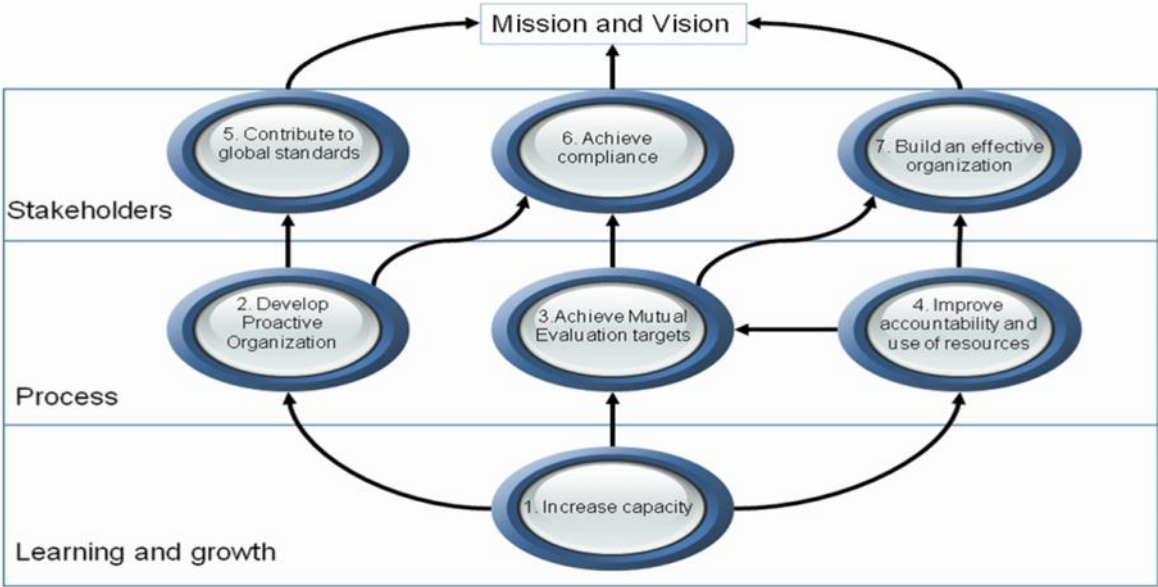
- **Leadership**
- **Effectiveness**
- **Integrity**
- **Cohesiveness**

### **Strategic Themes:**

- 1. Compliance: Effectively promote, monitor and enforce compliance with international standards.**
- 2. Capacity building: Provide technical assistance and training to members to assist in the development and implementation of an appropriate AML/CFT framework.**
- 3. Effective organization: Develop a strong cohesive membership body that is proactive, responsive, appropriately resourced and accountable.**
- 4. Productive and participatory FSRB: Ensure that, the CFATF appropriately contributes to the policies and programs of FATF.**

**5. Strong contributor to AML/CFT Global network :  
As a leading regional body, Work with relevant regional and international partners to improve the effectiveness of actions to combat money laundering and terrorist financing.**

**Strategic Map**



**Objectives and initiatives**

**The objectives and initiatives are described as follow:**

Objective	Short term initiatives	Medium and long term initiatives
1.-Increase capacity	Training and technical assistance program	Technological, human and informational resources (Website, equipment, tools, people)
		Information resources (Web site, resource center)
2.-Develop Proactive Organization	Advocacy and outreach	Electronic interactions (Update website, forums, blogs, etc.)
		CFATF Public relations campaign (To increase awareness of the public and private sector, on AML/CFT threats and issues.)
		Develop research papers on topics relevant to the region
	Evaluate options to increase resources including funding, technical assistance.	Establish active and focused Working Groups on topics relevant to the region
Enhancing our role as an effective FSRB.		
Engage highest level of government in issues relevant to CFATF		
3.-Achieve Mutual Evaluation targets	Develop tools to assist countries to prepare for MEV and follow up process	Formal Report to Ministers on MEV and follow up process
		Update MEV and follow-up process
4.-Improve accountability and use of resources	Implement sound and effective corporate governance policies and practices.	Benchmark best practices with relevant organizations
	Enhance member participation	Economic cost of the organization and alternatives
		Reengineering of the Plenaries

## 2011-2015 Strategic plan

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<b>Objective</b>	<b>Short term initiatives</b>	<b>Medium and long term initiatives</b>
<b>5.-Contribute to Global standards</b>	<b>This objective has no initiatives</b>	
<b>6.-Achieve compliance</b>	<b>Design methodology to measure compliance</b>	<b>This objective has no medium or long term initiatives</b>
<b>7.-Build an effective organization</b>	<b>Design organizational survey</b>	<b>This objective has no medium or long term initiatives</b>

**The principal task for the December 2009 in Guatemala was choosing and preparing some of the twenty one strategic initiatives or as described, those wide ranging organizational projects which are aligned to the Strategic Objectives and have the potential for significant organizational impact and benefit, in the Strategic Plan.**

**Objectives, indicators, goals and short term initiatives are developed in the following pages**

# 2011-2015 Strategic plan

<b>OBJECTIVE:</b> Increase capacity				<b>DESCRIPTION :</b> Provide focused training, technical assistance, and adequate resources for the members and the Secretariat				
<b>PERSPECTIVE:</b> Learning and Growth		<b>RESPONSIBLE:</b> Secretariat		<b>CODE: 1</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Gap reduction in needs	Satisfied needs/baseline needs	Annual	Not known	To confirm	60%	70%	75%	80%
Training of evaluators	Number of evaluators trained	Annual	214	274	334	394	454	514
Economic resources	Resources obtained/Resources needed per year	Annual	100%	90%	100%	100%	100%	100%
<b>PARTICIPANTS: Members/Secretariat/COSUNs/Observer Organizations</b>								

## Short term initiatives included in this objective:

- **Training and technical assistance program**

**Initiative: TRAINING AND TECHNICAL ASSISTANCE PROGRAM**

**ANTECEDENTS**

**One of the methods to increase capacity is through training and technical assistance, in order to secure a more effective way of combating of money laundering and terrorism financing.**

**Technical Assistance and Training programmes must be provided to member countries and Secretariat.**

**Provide technical assistance and training to members to assist in the development and implementation of an appropriate AML/CFT framework; so member countries will have more qualified persons.**

**LOCATION IN THE STRATEGIC PLAN**

**The need exists to provide technical assistance and training to members to assist in the development and implementation of an appropriate AML / CFT framework.**

**Stakeholders: Build and effective organization and achieve compliance.**

**Process: Achieve Mutual Evaluation targets.**

**Learning and growth: Increase capacity.**

**SCOPE**

- To have program which maps needs, demands and opportunities of training and technical assistance.**
- To develop a training program in accordance with the need, demands, opportunities of training and technical assistance that were identified.**

- **To observe graphically the development of the training and technical assistance of each member country.**
- **Identify new needs upon compliance of the matrix;**

### **WHO IS INVOLVED**

- **CFATF Secretariat will manage administrative issues**
- **Member countries**
- **COSUN**
- **Observer Organisations**

### **CLEARLY DEFINED DELIVERABLE**

**Action Items for members and Secretariat:**

- ✓ **Needs assessment, design program, get funding and implement**
- ✓ **Table available examiners detailing capacities.**
- ✓ **Develop skills bank and share experience/expertise.**

**Action Items for members:**

- ✓ **Website and resource center**

**Action items for the Secretariat:**

- ✓ **Website, equipment, tools, people.**

- ✓ **Needs assessment, design program, get funding and implement**
  - A. Detect needs, demands and opportunities in order to diagnose current status, using appropriate tools such as management information system, based on questionnaires and surveys. In November 2009 the Secretariat embarked on a survey to determine needs and availability of resources for training and technical assistance.**
  - B. Response Capacity Analysis should be done on how CFATF is able to cover member countries needs, and how much resources are needed from CFATF, member countries, and COSUN.**
  - C. Develop matrix to:**

- **assess training needs prioritization,**
  - **design a tailor made (ad hoc) program based on said diagnosis**
  - **determine resource ability to cover training needs**
  - **determine who will be able to cover resources and expertise.**
- 
- ✓ **Table available examiners detailing capacities.**
  - ✓ **Develop skills bank and share experience/expertise.**

**Secretariat should gather and keep update of this database to draw expertise and resources from member countries.**

- ✓ **Website and resource center**

**Members should benefit from website to download and upload publications, research results, trends and typologies, as well as current updated methodologies on combating money laundering and terrorism financing.**

- ✓ **Website, equipment, tools, people.**

**Secretariat should keep the official website with up-to-date, reliable information for member countries.**

**CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

<b>No.</b>	<b>Activity</b>	<b>Start Date</b>	<b>End Date</b>
<b>A.</b>	<b>Secretariat should:</b>		
<b>1.</b>	<b>Survey on training interests and needs of member countries<sup>1</sup>;</b>	<b>December 2010</b>	<b>Ongoing</b>
<b>2.</b>	<b>Prioritize based on training and technical assistance matrix;</b>	<b>Jan 2011</b>	<b>Ongoing</b>
<b>3.</b>	<b>Determine logistic and monetary resources</b>	<b>Jan 2011</b>	<b>Ongoing</b>
<b>4.</b>	<b>Schedule trainings and technical assistance;</b>	<b>Feb 2011</b>	<b>Ongoing</b>
<b>5.</b>	<b>Manage training experts and needs;</b>	<b>Feb 2011 and ongoing</b>	<b>Ongoing</b>
<b>B.</b>	<b>Member countries:</b>		
<b>1.</b>	<b>Answer questionnaire and needs survey and return it to Secretariat;</b>	<b>Dec 2010</b>	<b>Dec 2010</b>
<b>2.</b>	<b>Attend to trainings planned throughout the year;</b>	<b>Jan 2011</b>	<b>Ongoing</b>
<b>3.</b>	<b>Disseminate acquired knowledge;</b>	<b>Feb 2011</b>	<b>Ongoing</b>

## **IMPLEMENTATION ACCOUNTABILITY**

**CFATF Secretariat must manage and administer training and technical assistance.**

**Budgeting will be addressed in initiative 19. Evaluate options to increase resources including funding, technical assistance.**

## **FOLLOW UP ACCOUNTABILITY**

**Secretariat:**

<sup>1</sup> Matrix on MEV compliance will also aid to determine compliance, ergo training needs for the region as a whole.

- **Yearly assessment of results using the training and technical assistance matrix.**
- **Determine new topics.**
- **Update matrix, adding new topics.**
- **Prioritize training needs.**

**Member countries must disseminate acquired knowledge and submit a report on their findings.**

### **ESTIMATED COST**

**Developing survey: Should be developed by Secretariat, email and web page dissemination.**

**Gathering results of survey: \$**

**Venue: \$**

**Food: \$**

**Transportation: \$**

**Other: \$**

**Trainers fees: \$**

# 2011-2015 Strategic plan

<b>OBJECTIVE:</b> Develop a Proactive Organisation				<b>DESCRIPTION :</b> Play a leading role in the regional and global community				
<b>PERSPECTIVE:</b> Process		<b>RESPONSIBLE:</b> Members		<b>CODE: 2</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Representation and participation at external bodies	Meetings attended	Annual	3	6	5	5	5	5
Vacancies	Number of vacancies not filled at eligible events	Annual	11	11	9	6	3	0
Initiatives and interests	Number of initiatives presented	Annual	2	2	2	2	2	2
Promotion of the CFATF	Active participation by CFATF representative or CFATF sponsorship at relevant events	Annual	10	21	28	35	40	50
Member contribution	Number of Working Groups assignments completed	Annual	3	3	3	3	3	3

**PARTICIPANTS: Members**

**Short term initiatives included in this objective:**

- **Advocacy and outreach**
- **Evaluate options to increase resources including funding and technical assistance**

## **Initiative- ADVOCACY AND OUTREACH**

### **ANTECEDENTS**

**As part of the Chair's Work Programme 2009-2010 Ministers approved the need for giving the organization a higher profile regionally and internationally as a consequence of the revised FATF 40 and 9 Recommendations.**

**In this regard advocacy efforts to highlight the important work and accomplishments of the CFATF by the Chair, Deputy Chair and the Secretariat as well as the effective use of our website should become valuable and effective tools.**

### **LOCATION IN STRATEGIC PLAN (theme and objective)**

#### **THEME**

**Productive and participatory FSRB/Strong contributor to AML/CFT Global Network**

#### **OBJECTIVE**

**To develop a pro-active organization**

**Objectives of the initiative:**

#### **SCOPE**

**To develop and implement an effective pro-active advocacy and outreach plan which has the capacity to adjust to changing circumstances and/or organizational challenges by .**

- a. Sensitizing the international AML/CFT fraternity about the accomplishments and challenges of the Caribbean Basin Region.**

- b. Monitoring continuously through all CFATF organs, initiatives and developments that are unfolding internationally.**
- c. Alerting Member Countries as to possible implications to the region and recommending possible courses of action for consideration by Ministers.**
- d. Undertaking outreach to domestic interlocutors at the highest political levels to ensure the on-going national reform process is undertaken expeditiously.**
- e. Creating web-based systems which would allow countries to engage in the Organization's business on a technical level in a cost effective fashion.**
- f. Encouraging the highest levels of attendance at the Ministerial meetings in order to strengthen the decision-making process of the Organization.**

#### **WHO IS INVOLVED?**

**Member countries, the CFATF Secretariat, COSUNs, Observer Organizations and the global community.**

#### **CLEARLY DEFINED DELIVERABLES**

**Publication of the Chair's Work Programme, Mutual Evaluation, Follow Up and Annual Reports on the CFATF Website;**

**Diplomatic Missions by the Chair and the Secretariat to visit new administrations of Member countries where appropriate in order to advise on the work of the CFATF and the importance and implications of compliance the FATF 40 and 9 Recommendations;**

**Radio, television and print media events to articulate the accomplishments and challenges of the Organization;**

**Blogs on the CFATF website on topics of interest in the AML/CFT field;**

**Annual publication of the CFATF Typologies Report and factor into the on-going FATF work of discovering new methods and trends being used by organized crime and terrorism financiers globally;**

**Collation of regional experiences through CFATF Working Groups and factor same into the FATF Working Groups and Plenary Meetings on the 40 and 9 Recommendations and the Fourth Round of Assessments;**

**High levels of attendance and active participation of the Chair, Members and the Secretariat at FATF events in keeping with CFATF Associate membership status with the FATF;**

**Dedicated space on the website with relevant information on the state of compliance by Member Countries with the FATF 40 and 9 Recommendations, which will assist the private sector in placement of investments;**

**Conferences for the private sector with regard to their experiences in the implementation of the AML/CFT standards and devising recommendations for relevant amendments;**

**CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

**Publication on the CFATF Website**

- **Chair's Work Programme- November 30<sup>th</sup> annually**
- **Mutual Evaluation /Follow Up – June 30<sup>th</sup>/ November 30<sup>th</sup> annually**
- **Annual Reports-December 30<sup>th</sup> annually**

**Chair and the Secretariat to visit new administrations of Member countries- One per annum commencing December 30<sup>th</sup> annually where relevant;**

**Media events- January 2011 and quarterly thereafter;**

**Blogs on the CFATF website on AML/CFT topics – Immediately;**

**Publication of CFATF Typologies Report and input into to FATF work – Immediately and November 30<sup>th</sup> annually;**

**Collate regional experiences through CFATF Working Groups and input FATF processes- Immediately and at a minimum February, June and October annually;**

**Fully utilize FATF Associate Membership Status- Immediately and February, June and October annually;**

**Dedicated space on the CFATF website for private sector- June 30<sup>th</sup> 2011 and annually thereafter;**

**Forums/Conferences for the private sector January, February, July and December 2011 and annually thereafter;**

**IMPLEMENTATION ACCOUNTABILITY**

**The Chair, Members and Secretariat as appropriate**

**FOLLOW UP ACCOUNTABILITY**

**The Chair/Steering Group/Plenary and Ministerial Meetings/  
the Secretariat**

**ESTIMATED COSTS**

**Items 2, 6, and 7 above USD 50,000 as per Overseas Travel provision in annual budget and allocation of resources by Member holding the Chair.**

**Items 1, 3, 4, 5, and 8 can be absorbed in annual budget as appropriate.**

**Item 9 US\$40,000.00 per event met through registration fees.**

**Initiative: EVALUATE OPTIONS TO INCREASE RESOURCES INCLUDING FUNDING TECHNICAL ASSISTANCE.**

**ANTECEDENTS**

**Acknowledging that the resources of Members and the organization are limited and that the funding from the COSUNs and other international donor partners has been impacted by the global crisis.**

**Recognizing the necessity to explore alternative avenues to increase capacity, resources and funding.**

**Acknowledging the need to build a reserve fund so as to deploy technical assistance and undertake capital projects as needed.**

**Noting that improving levels of compliance by Members requires institutional capacity and expertise.**

**It is essential that the CFATF evaluates potential options for increased efficiency in the delivery of technical assistance and training services to Members and securing their full and active participation in the workings of the CFATF.**

**By doing so we would get the organization to play a more effective role in the global community.**

**LOCATION IN THE STRATEGIC PLAN (THEME AND OBJECTIVE)**

**THEME**

- **The strategic theme is an effective organization**

## **OBJECTIVE**

- **The strategic objective is to develop proactive organization.**

## **SCOPE (REACH)**

**To discuss sponsorship, advertising and product placement opportunities with private sector companies at fee paying CFATF events.**

**To effectively utilize the CFATF network for marketing training and other educational projects to regional public and private sector entities.**

**To utilize national expertise and capacity for the provision of intra regional and intra membership technical assistance and training programmes**

## **WHO IS INVOLVED?**

**The Chair, Members, COSUNs, Observer Organizations and the Secretariat.**

## **CLEARLY DEFINED DELIVERABLES**

- **Sector specific training modules for private and public sector stakeholders.**
- **Sponsorship/Advertising/Product Placement Packages**
- **Schedule of annual fee paying Conferences along with scale of fees.**
- **Sector specific AML/CFT Training Manuals, DVDs and Webcasts .**

- **Annual Matrix of Technical Assistance/Training Programmes available from Individual Members/COSUNs/Observer Organizations.**
- **Matrix of Special Contributions from Members in addition to annual contributions.**
- **Table of fines for late payment of Annual contributions.**
- **Matrix of Assistance with Mutual Evaluation Mission costs.**
- **Scale of fees for CFATF participation at AML/CFT events organized by Regional private sector institutions.**
- **\$100,000.00 in additional revenue.**

#### **CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

- **December 2010 Needs and Availability of Resources Matrix**
- **January 2011 Training schedule**
- **April 2011 new sources of funding**
- **June 2011 two training modules**

#### **IMPLEMENTATION ACCOUNTABILITY**

**The Secretariat**

#### **FOLLOW UP ACCOUNTABILITY**

**The Chair**

#### **ESTIMATED REVENUES**

**The goal should be to generate at least \$100,000.00.  
Two training modules-To be Determined.**

# 2011-2015 Strategic plan

<b>OBJECTIVE:</b> Achieve Mutual Evaluation Targets				<b>DESCRIPTION :</b> Successfully implement the CFATF Mutual Evaluation Program				
<b>PERSPECTIVE:</b> Process		<b>RESPONSIBLE:</b> Secretariat/Members/CF ATF-Working Group		<b>CODE: 3</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Assessment of the effectiveness of the Mutual Evaluation report	Timeliness indicator index. Effectiveness of the discussions process. Number of evaluations conducted and approved. Meeting deadlines. Quality control.	Annual	37%	37%	41%	47%	53%	60%
Evaluation effectiveness of the follow-up process	Evaluate to what extent and how quickly members address the recommendations of the report. (Timeliness Effectiveness index. Monitor deadlines compliance.)	Annual	37%	37%	41%	47%	53%	60%
The Secretariat proposes that a CFATF Working Group be formed to undertake this task								

**PARTICIPANTS: Members/CFATF Working Group**

**Short term initiatives included in this objective:**

- **Develop tools to assist countries to prepare for Mutual evaluations and follow up process.**

**Initiative- DEVELOP TOOLS TO ASSIST COUNTRIES TO PREPARE FOR MUTUAL EVALUATION**

**AND FOLLOW-UP PROCESS**

**ANTECEDENTS**

**The Mutual Evaluation Programme is a crucial aspect of the work of the CFATF as it is one of the mechanisms by which the organization ensures that each Member State fulfils its obligations regarding compliance with the international standards to combat money laundering and the financing of terrorism.**

**In keeping with the need for a close and more robust monitoring process, the CFATF has instituted a new Follow-Up Process which will apply where the Mutual Evaluation Report shows there are significant deficiencies in the country's AML/CFT system.**

**Experience across the global assessment community has shown that the intricacies of the various requirements of the AML/CFT Methodology and the matter of assigning ratings to the Recommendations are on-going challenges for Examiners and jurisdictions.**

**In order to further improve the overall Mutual Evaluation Process it is proposed to launch the organization into the modern digital age through the use of advanced technological web-based tools.**

#### **LOCATION IN STRATEGIC PLAN (theme and objective)**

##### **THEME**

**The theme of this initiative is to effectively promote, monitor and enforce compliance with international standards.**

##### **OBJECTIVE**

**To achieve Mutual Evaluation Targets.**

##### **SCOPE**

**To promote the strengthening of the Mutual Evaluation Programme, by developing a multi-user interactive web-based system that is effective, efficient and transparent.**

- g. With regard to effectiveness it is intended that the Mutual Evaluation Programme facilitates the expeditious compliance with the international AML/CFT standards, and is undertaken through a mechanism which is economic in both human and financial terms but which also contributes to enhancing the financial resources available to the organization beyond the membership and COSUN contributions.**

- h. With regard to efficiency it is intended that the timelines of the Mutual Evaluation Programmes are adhered to, with the advantage of countries being able to determine in real time their state of compliance and the availability of resources to assist with implementation.**
- i. With regard to transparency it is intended to develop a mechanism which is accessible to all stakeholders, be they Member countries, COSUNS or Observer Organizations. This will also contribute to CFATF being regarded as an effective FSRB contributing to the global standard setting process.**

#### **WHO IS INVOLVED?**

**Member countries, the CFATF Secretariat, COSUNs, Observer Organizations and the global community.**

#### **CLEARLY DEFINED DELIVERABLES**

**Arrange workshops on the FATF 40 and 9 Recommendations, the methodology and the Mutual Evaluation/Follow-up programme in order to and sensitize domestic stakeholders on the Mutual Evaluation process.**

**Conduct Train the trainer workshops for key AML/CFT stakeholders on the Mutual Evaluation Program prior to the Mutual Evaluation mission with a view to sustaining domestic capacity.**

**Conduct a survey on the potential parameters of the web-based Mutual Evaluation web-based system.**

**Conduct train the trainer seminars on prioritizing and sequencing implementation of recommendations in the Mutual Evaluation Report.**

**Design and implement a multi-user interactive web-based software programme, which will be accessible from the CFATF website to Member countries, COSUNs and Observer Organizations and which will:**

**Assist Members with preparations for Mutual Evaluation in terms of completing the Mutual Evaluation Questionnaire, undertaking Risk Based Reviews, Low Capacity Country and Cost Benefit Analyses, of the domestic AML/CFT infrastructure by:**

- **Charting the progress of all stakeholders with adherence to the Mutual Evaluation Procedures and overall compliance with the AML/CFT standards,**
- **Identifying existing gaps and action plans for rectifying deficiencies in the AML/CFT regime on a prioritized and sequenced basis;**
- **Enhancing adherence to the timelines of the Mutual Evaluation and Follow-up process;**
- **Improving the responsiveness of the Mutual Evaluation Teams in providing on-going and timely advice to Member Countries as they undertake corrective measures including the Strategic Implementation Framework;**
- **Enhancing the delivery of technical assistance and training as required;**

- **Focusing the preparations by the jurisdiction for the succeeding Mutual Evaluation assessment (Fourth Round);**
- **Reducing the time and costs of Mutual Evaluation missions.**

**Conduct Train the User programmes on the web-based system for key stakeholders in each Member jurisdiction.**

### **CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

**Given the multi-faceted character of software development in general, it is proposed that those aspects of the software which relate to Member Countries directly, will be developed more expeditiously as follows:**

**Jan 2011: establish the parameters and costs of the web-based software**

**April 2011: Secure funding**

**July 2011: Develop software**

**August-September 2011: Pilot with 2 or 3 Member Countries**

**May 2012: Roll-out to Plenary**

**May 2012: Implementation of full software, incl. COSUNs and observer organizations**

**May 2012: Implementation web tool for private sector and public education and awareness.**

### **IMPLEMENTATION ACCOUNTABILITY**

**The CFATF Secretariat along with interested Member Countries should oversee the development and implementation of the web-based system.**

## **FOLLOW UP RESPONSIBILITY**

**Once operational, the Secretariat should provide compliance reports automatically prepared by the web-based system for review by the Chair and Steering Group with appropriate recommendations for sanctions as outlined in the Memorandum of Understanding in the event of breaches.**

## **ESTIMATED COSTS**

**To Be Determined**

# 2011-2015 Strategic plan

<b>OBJECTIVE:</b> Improve Accountability and use of resources				<b>DESCRIPTION :</b> Implement sound corporate governance practices and cost effective use of resources				
<b>PERSPECTIVE:</b> Process		<b>RESPONSIBLE:</b> Members/Secretariat		<b>CODE: 4</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Documentation of Policies and Procedures	Number of policies and procedures documented/Number of policies and procedures needed	Annually	5	6	7			
Current Documents-Summary Records, Annual Reports, Headquarters Agreement, Memorandum of Understanding and the Mutual Evaluation Procedures New Documents- Best Practices and Operations Manual and the Strategic Plan								
<b>PARTICIPANTS:</b> Members/Secretariat/Cosuns								

## Short term initiatives included in this objective:

- Implement Sound and effective corporate governance policies and practices
- Enhance member participation

**Initiative- Implement Sound and effective corporate governance policies and practices**

**ANTECEDENTS**

**An effective system of combating money laundering and the prevention of terrorist financing requires an efficient, responsible organization that has a leading role in the region and the international community and which contributes to the development of global standards.**

**In this regard, the implementation of strong and effective corporate governance policies and practices is demonstrative of a CFATF membership which is engaged in the decision making process, which provide adequate representation and allows organisational duties and responsibilities to be carried out effectively, efficiently and in a fully accountable and transparent fashion.**

## **LOCATION IN THE STRATEGIC PLAN**

### **THEME**

**Effective Organization namely the development of a strong proactive, responsible and adequately equipped organization comprised of integrated members.**

### **OBJECTIVE**

**Build an effective organization through the establishment of policies and practices to allow corporate governance (Steering Group and Secretariat) to help strengthen the CFATF, through the effectiveness and efficiency in decision making, accountability and voice of the member countries.**

### **SCOPE**

**To promote the strengthening of the bodies that make up the Corporate Governance structure namely the Chair, Steering Group, Plenary, Council of Ministers and the Secretariat, which through the exercise of balanced judgment, act in the overall interests of the organisation and complement each other even when in conflict through effectiveness, efficiency, accountability and active participation in the decision making process.**

**To implement agreed objectives and strategies and to clearly define the responsibilities of all stakeholders so as to ensure that all organs of the CFATF act in concert, avoiding duplication of effort and waste of resources, and supported by relevant information, provided at appropriate and timely junctures, in an atmosphere that facilitates monitoring and evaluation mechanisms to detect problems and implement corrective processes.**

**To require CFATF stakeholders and decision makers to adhere to a set of standards and to provide for the evaluation of performance, through robust reporting and monitoring mechanisms and with clear lines of authority which allows for recognition and rewards where performance demands but also mandates the imposition of sanction for failure to comply with established rules and procedures.**

**To ensure that all CFATF Members have the opportunity to put forward and have their views and opinions in recognised in the decision making process through an organisational philosophy of openness and the protection of appropriate and adequate safeguards where controversial or unpopular opinions are expressed.**

#### **WHO IS INVOLVED?**

**The Chair, Steering Group, Plenary, Council of Ministers and the Secretariat**

#### **CLEARLY DEFINED DELIVERABLES**

**Revised Memorandum of Understanding**

**Best Practices and Operations Manual**

**Mutual Evaluation and Follow Up Procedures**

**Reports to Ministers of decisions taken at the Plenary**

**Summary Records of Plenary and Ministerial Meetings**

**Compliance Reports on all aspects of the organisation's business to Chair, Steering Group, Plenary/Ministerial Meetings so that Managerial and Membership performance could be evaluated.**

**Effective communication mechanism that allows Members to elucidate straightforward as well as controversial CFATF issues which are resolved expeditiously**

**CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

**July 2011 -Revised Memorandum of Understanding;**

**May and November annually - May 2010 and ongoing - Best Practices and Operations Manual;**

**May 2010- Revised Mutual Evaluation and Follow Up Procedures;**

**November 2010 and annually -Reports to Ministers of decisions taken at the Plenary;**

**Summary Records of Plenary and Ministerial Meetings;**

**May and November annually- Compliance Reports on all aspects of the organisation's business to Chair, Steering Group, Plenary/Ministerial Meetings so that Managerial and Membership performance could be evaluated;**

**November 2010- Effective communication mechanism that allows Members to elucidate straightforward as well as controversial CFATF issues which are resolved expeditiously;**

## **IMPLEMENTATION ACCOUNTABILITY**

**The Secretariat**

## **FOLLOW UP ACCOUNTABILITY**

**The Chair, Steering Group, Plenary and Council of Ministers.**

## **COSTS**

**To be absorbed within the existing budgetary provisions and by relevant Member countries who participate in the Working Groups if the deliverable could be undertaken by the Secretariat and the Membership.**

**Consulting Firm fees where necessary and approved by the Chair and Steering Group-To be determined.**

**Initiative: ENHANCE MEMBER PARTICIPATION**

**ANTECEDENTS**

**A strong, well respected and accountable CFATF requires a firm commitment by all members to full and active participation in all areas of the organization's affairs such as the Mutual Evaluation Programme and Follow Up process, Budget preparations and Working Group activities as well as attendance at FATF Working Group and Plenary Meetings. Higher levels of Member participation will;**

- Allow organizational responsibilities to be undertaken in a cost effective and efficient fashion;**
- Contribute to a robust and consistent Mutual Evaluation review process through a strong level of technical feedback and enhance the value of Mutual Evaluation Reports internationally;**
- Facilitate through shared ideas and expertise, improved communication and understanding of mutual challenges, and identification of solutions;**
- Ensure that the CFATF Members, through participation in FATF initiatives, will have an effective voice in the global standard setting process and a greater understanding of implementation of the 40 and 9 Recommendations with the potential of reducing associated costs;**

**LOCATION IN THE STRATEGIC PLAN (THEME AND OBJECTIVE)**

**This initiative addresses the strategic theme for the development of a strong, cohesive membership body that is proactive, responsive, appropriately resourced and accountable.**

**The strategic objective is to the improve accountability and use of resources.**

## **SCOPE**

**To expand participation in CFATF/FATF activities.**

**To strengthen and demonstrate strong political will and financial commitment to the ideals of the CFATF thorough increased attendance and involvement of substantive Ministers in the Ministerial Council meetings and enhanced awareness and understanding of the various AML/CFT developments and their implications.**

**To undertake and disseminate a cost benefit analysis to the organization on the benefits of participation and the costs (both economic and otherwise) to the organization and the individual Members that result from less than optimal levels of involvement.**

**To strongly advocate and reinforce the message that the CFATF is not the Secretariat but the sum total of all its Members, and that a successful well respected CFATF is inextricably linked to strong membership involvement.**

**To link the annual Chair's Work Programme to the implementation of the Strategic Plan so as to allow Members to be part of a progressive and continually growing organization**

**To review and update the Memorandum of Understanding to ensure that it appropriately reflects present day realities and addresses current issues.**

**To evaluate the structure and operation of the Steering Group as part of ensuring that Members are providing appropriate input into the ongoing governance of the organization.**

**The initiative will be addressed in the most cost effective way and therefore it is not expected that visits to all Member countries will be one of the action steps.**

#### **WHO IS INVOLVED?**

**The Chair, Immediate Past and Incoming Chairs, Ministerial Prime Contacts, Technical Representatives and the Secretariat.**

#### **CLEARLY DEFINED DELIVERABLES**

**Cost benefit analysis of Member participation/non participation;**

**Action Plan for enhanced proactive/interactive and effective participation of Technical Representatives Membership and feedback to national stakeholders so as to increase AML/CFT awareness and improve attendance and participation at Ministerial Council Meetings;**

**Semi annual Compliance Reports on attendance and participation by Members in Working Groups/Plenary/Ministerial Meetings;**

**Web based operational structure for Working Group Meetings;**

**List of all Working Groups and schedule of all Working Group Meetings;**

**Web based structure for disseminating CFATF Documents/Reports and other relevant information;**

**Proposal for restructuring of Ministerial meetings;**

**Amended Memorandum of Understanding re corporate governance, role and structure of the Steering Group for Ministerial approval;**

**Action Plan to encourage attendance and participation at FATF Plenary and Working Group Meetings;**

**CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

**November 30<sup>th</sup> 2010- Cost benefit analysis of Member participation/non participation highlighting the negative impact of failure to participate and circulate to Ministers by December 31<sup>st</sup> 2010;**

**November 30<sup>th</sup> 2010 Action Plan to develop a more effective Working Group structure to address organizational and internal matters and presentation/circulate to Plenary/Ministerial in November 2010/December 31<sup>st</sup> 2010;**

**May-November annually - Reports on attendance and participation in Working Groups/Plenary/Ministerial Meetings;**

**January 31<sup>st</sup> 2011 Amended Memorandum of Understanding to Steering Group/Plenary/Ministerial Meetings;**

**January 31<sup>st</sup> 2011 Action Plan to increase Ministerial awareness of AML/CFT matters and improve participation and attendance of Ministers at the Ministerial meetings;**

**May-November 2011 Action Plan and Implementation of Restructured Ministerial meetings;**

**IMPLEMENTATION ACCOUNTABILITY**

**The Chair and the Secretariat;**

**FOLLOW UP ACCOUNTABILITY**

**Reports by the Secretariat to the Chair, Steering Group, Plenary and Ministerial Meetings;**

**ESTIMATED COST**

**a) Maximum \$10,000.00 – primarily for Ministerial meeting.**

<b>OBJECTIVE:</b> Contribute to Global Standards				<b>DESCRIPTION :</b> Actively participate in and contribute to the global standard setting process				
<b>PERSPECTIVE:</b> Stakeholders		<b>RESPONSIBLE:</b> Members		<b>CODE: 5</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Initiatives	Number of Initiatives Accepted	Annual	2	2	2	2	2	22
Attendance	Report of attendance to Meetings	Annual	3	3	3	3	3	3
Papers Accepted	Number of positions accepted	Annual	2	2	2	2	2	2
<p><b>This will reflect CFATF Associate Membership status at the FATF</b></p>								
<b>PARTICIPANTS:</b> Members/Secretariat								

**This Objective has no short term initiatives**

<b>OBJECTIVE:</b> Achieve Compliance				<b>DESCRIPTION :</b> Achieve member compliance with AML/CFT international standards				
<b>PERSPECTIVE:</b> Stakeholders		<b>RESPONSIBLE:</b> Chair/Steering Group/Plenary-Ministerial Meetings		<b>CODE: 6</b>				
<b>INDICATORS</b>								
NAME	WAY TO MEASURE	FREQUENCY	INITIAL VALUE	GOALS				
				2010	2011	2012	2013	2014
Compliance with key and core recommendations	Index including all member countries and ratings	Annual	40%	40%	40%	55%	65%	75%
Compliance with other recommendations	Index including all member countries and ratings	Annual	40%	40%	40%	55%	65%	75%
Compliance with 40 + 9 recommendations	Index including all member countries and ratings	Annual	38%	38%	38%	55%	65%	75%
<b>PARTICIPANTS:</b> Members/Secretariat/COSUNs/Observer Organisations								

**Short term initiatives included in this objective:**

- **Design methodology to measure compliance**

**Initiative: DESIGN METHODOLOGY TO MEASURE COMPLIANCE**

**BACKGROUND**

**Evaluation standards are continuously being updated.**

**Third Round of Mutual Evaluation is using recently developed assessment methodology.**

**International Cooperation Review Group (ICRG) is promoting a higher level of compliance with international standards, which would change assessment of member countries ratings.**

**LOCATION IN THE STRATEGIC PLAN**

**The need to effectively promote, monitor and enforce compliance with international standards.**

**Stakeholders: Achieve compliance**

**Process: Achieve Mutual Evaluation targets.**

**Learning and growth: Increase capacity.**

**SCOPE**

- **To have a dynamic table and a graphic chart in which all information regarding the compliance with the 40 + 9 recommendation is consolidated for each member country.**
- **To observe graphically the development of the compliance of each member country through the information gathered from the follow up reports.**
- **To update the data periodically, at least biannually.**

**WHO IS INVOLVED**

- **CFATF Chair,**
- **Steering Group,**
- **CFATF Secretariat,**
- **Member countries**

### **CLEARLY DEFINED DELIVERABLES**

**A Management Information System (MIS) – An index including all member countries and ratings, adjustable for changes of the recommendations, which will measure compliance of CFATF members with key and core recommendations, with other recommendations, and with the 40 + 9 recommendations and will enable;**

- **The Chair/Steering Group/Secretariat to monitor the levels of compliance of all Member countries with the 40 + 9 recommendations and to undertake periodic comparative analysis;**
- **CFATF Member countries to undertake compliance self assessment with the 40 + 9 recommendations and compare with their peers;**
- **The effective use of duly processed data collected from all Member countries;**
- **The Steering Group to review the collected data and to prioritize objectives- Quick wins, main targets;**
- **The Secretariat: to filter quality data; and allocate funding for training and advocacy to support countries in reaching specific goals;**
- **Member countries to effectively use the data collected;**

**CLEARLY DEFINED START AND STOP DATES AND  
PROGRESS MILESTONES**

<b>No.</b>	<b>Activity</b>	<b>Start Date</b>	<b>End Date</b>
<b>1.</b>	<b>Chair/Steering Group will appoint Member country in charge of developing methodology and instruct it.</b>	<b>November 4<sup>th</sup> 2010</b>	<b>November 30<sup>th</sup> 2010</b>
<b>2.</b>	<b>Appointed Member country will assess budget and specific activities, such as questionnaire developing, approval of data gathered.</b>	<b>Jan1st 2011</b>	<b>Jan 31<sup>st</sup> 2011</b>
<b>3.</b>	<b>All member countries must fill out their own data</b>	<b>Jan 2011</b>	<b>Feb 2011</b>
<b>4.</b>	<b>Appointed Member country will report results to the Secretariat and Steering Group</b>	<b>April 30<sup>th</sup> 2011</b>	<b>April 30<sup>th</sup> 2011</b>

**IMPLEMENTATION ACCOUNTABILITY**

**A Member country which will be responsible for gathering and developing the management information system.**

**FOLLOW UP ACCOUNTABILITY**

**The Secretariat will be in charge of maintaining the MIS updated.**

**ESTIMATED COST**

**Technological support, such as hardware and software: \$**

**Developing questionnaire: \$**

**Gathering results of questionnaire: \$**

<b>OBJECTIVE:</b> <b>Build an Effective Organisation</b>				<b>DESCRIPTION :</b> <b>Establish a strong, cohesive, responsive, and result-oriented organization.</b>				
<b>PERSPECTIVE:</b> <b>Stakeholders</b>		<b>RESPONSIBLE:</b> <b>Members/Secretariat</b>		<b>CODE: 7</b>				
<b>INDICATORS</b>								
<b>NAME</b>	<b>WAY TO MEASURE</b>	<b>FREQUENCY</b>	<b>INITIAL VALUE</b>	<b>GOALS</b>				
				<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Organizational Performance</b>	<b>Organizational Survey</b>	<b>Annual</b>	<b>Not known</b>	<b>To be confirmed</b>	<b>20% over previous year</b>	<b>20% over previous year</b>	<b>20% over previous year</b>	<b>20% over previous year</b>
<b>PARTICIPANTS:</b> <b>Members/Secretariat/COSUNs/Observer Organisations</b>								

**Short term initiatives included in this objective:**

- **Design Organizational Survey**

**Initiative: DESIGN ORGANIZATIONAL SURVEY**

**ANTECEDENTS**

**Improving the compliance with the global Anti Money Laundering and Combating the Financing of Terrorism (AML/CFT) standards requires an ongoing and effective mechanism to identify the needs of each Member, provide appropriate services as required and to improve communication within the organization.**

**In order to evaluate over time the progress that has been made in becoming more effective, it is important to obtain baseline information on the status of the organization and the challenges that are been faced by Members.**

**An important facet of this goal is the need to ensure and enhance the ability of all CFATF stakeholders to provide feedback and suggestions utilizing all available channels of communication.**

**The survey will provide an opportunity for various constituents to give input which can assist the organization in progressing key initiatives.**

**This project will help the organization to be more accountable and effective.**

**LOCATION IN THE STRATEGIC PLAN (THEME AND OBJECTIVE)**

**One of the five strategic themes is develop a strong cohesive membership body that is proactive, responsive, appropriately resourced and accountable.**

**The objective in the Strategic Plan which this initiative addresses is building an effective organization.**

## **SCOPE**

**To identify the needs and challenges of Members in order to facilitate the delivery of appropriate assistance.**

**To enhance the ability of Members to communicate effectively.**

**To ensure the efficient delivery of relevant technical assistance and training services in order to increase productivity.**

## **WHO IS INVOLVED?**

**The Chair, Members, COSUNs, Observer Organizations and the Secretariat.**

## **CLEARLY DEFINED DELIVERABLES**

**Designing a questionnaire to ascertain:**

- The nature and extent of participation by Members at CFATF Meetings and in the work of the organization and how this could be strengthened;**
- The needs of Members and how they can be addressed**
- The expectations of Members on the functioning of the CFATF and all its organs;**
- The rationale for the levels of attendance at Ministerial Meetings and how this could be improved;**

- **The avenues through which funding levels could be increased;**
- **The ability of the Secretariat to undertake its responsibilities and the responsiveness and interaction from Members/COSUNs and Observer Organisations that is necessary;**

**Contract a Consultant to design the survey and evaluate the results.**

#### **CLEARLY DEFINED START AND STOP DATES AND PROGRESS MILESTONES**

- **Jan 31<sup>st</sup> 2011, the questionnaire designed, agreed and circulated to all stakeholders for comments by the Secretariat.**
- **February 28<sup>th</sup> 2011 deadline for responses.**
- **May 4<sup>th</sup> 2011 summary presentation with action points to be given to Plenary.**

#### **IMPLEMENTATION ACCOUNTABILITY**

**The Chair and the Secretariat.**

**This is in order to get and keep all the Members active and accountable.**

#### **FOLLOW UP ACCOUNTABILITY**

**Reports by the Chair and Secretariat to Plenary/Ministerial meetings.**

**ESTIMATED COST**

**Questionnaire design and evaluation of results - preliminary estimate is \$50,000.00. To reduce costs explore possibilities to draw upon available questionnaire or relevant public sector consultants from within the membership/COSUN/Observer Organization community or conduct the Survey through the website.**

**Responsibilities:**

**Objectives**

<b>No.</b>	<b>Objective :</b>	<b>Information responsibility:</b>
<b>1</b>	<b>Increase capacity</b>	
<b>2</b>	<b>Develop Proactive Organization</b>	
<b>3</b>	<b>Achieve Mutual Evaluation targets</b>	
<b>4</b>	<b>Improve accountability and use of resources</b>	
<b>5</b>	<b>Contribute to Global standards</b>	
<b>6</b>	<b>Achieve compliance</b>	
<b>7</b>	<b>Build an effective organization</b>	

**Short term Initiatives**

<b>No.</b>	<b>Initiatives :</b>	<b>Implementation responsibility:</b>
1	<b>Training and technical assistance program</b>	
2	<b>Advocacy and outreach</b>	
3	<b>Evaluate options to increase resources including funding, technical assistance.</b>	
4	<b>Develop tools to assist countries to prepare for MEV and follow up process</b>	
5	<b>Implement sound and effective corporate governance policies and practices.</b>	
6	<b>Enhance member participation</b>	
7	<b>Design methodology to measure compliance</b>	
8	<b>Design organizational survey</b>	

## **The Way ahead**

**Ministers recognize the importance of this Strategic Plan to a successful and sustainable future for the CFATF and endorse the position that this document should be considered as a blue print for an effective organization with which the international donor community could be approached to provide resources in a holistic fashion with an agreed set of programs for delivery annually during each of the next five years.**

**The friendship and support of the Group of Cooperating and Supporting Nations and our other longstanding regional and international partners which have been central to the ongoing accomplishments of the CFATF should be acknowledged and all efforts should be made to ensure that this solid partnership will continue to contribute in a significant fashion to the work of the CFATF over the next five years.**

**However, the preparation of this Strategic Plan is being undertaken within the context of a global financial crisis which has impacted in a significant fashion on the ability of Members to submit annual contributions by the agreed date as well as on the level and availability of both financial and human resources that could be made available from the international donor community.**

**Whilst some of the activities envisaged as part of the implementation of this Strategic Plan could be absorbed within the current budgetary provisions, there are some initiatives particularly those which entertain the use of new technologies and even additions to the existing staff complement which will require financial resources.**

**There have been calls for a review of the annual budgetary provisions in order to determine the true economic costs of the**

**organization and alternatives. Indeed this is listed as one of the Strategic Initiatives.**

**Given the call for action on this front by Ministers it appears logical that implementation of the various initiatives will have to be undertaken on a phased basis. However in order to accomplish this piecemeal approach, a first and major consideration for Members and COSUNs would be the need to ensure that the advent of arrears of annual contributions must be consigned to the past. It will be necessary that all annual contributions must be submitted to the Secretariat very early in each calendar year, perhaps by February 28th at the latest.**

**It will also require the harnessing of all relevant skills and expertise both within the Secretariat and the Membership for advocacy and outreach to existing and new donor partners and exploring all avenues for funding. One option could include Members offering to fund particular initiatives themselves where feasible.**

**Consideration should also be given to the secondment of public officers to the Secretariat which have been successfully utilized in the past in relation to the Deputy Executive Director and Law Enforcement Advisor positions. However where the nature of the task demands the secondment could also be on a short term basis.**

**The Strategic Plan Working Group and Members will have to determine which of the other fourteen Strategic Initiatives will be undertaken within the next five years. Once such decisions are taken and all the Strategic Initiatives properly budgeted, then the proposed Budget for each of the next five years could be tabulated.**