

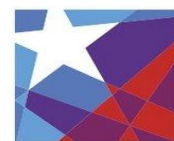
APEC ANTICORRUPTION AND TRANSPARENCY WORKING GROUP

# 15 YEARS COMPILATION

## APEC ACTWG



**Asia-Pacific  
Economic Cooperation**



**APEC**  
CHILE 2019

2004 - 2019

## TABLE OF CONTENTS

### COMPILATION OF ACHIEVEMENTS ACTWG

<b>I.Introduction .....</b>	<b>5</b>
<b>II.Terms of Reference ACTWG .....</b>	<b>7</b>
<b>III.ACT-Net .....</b>	<b>7</b>
<b>IV.ACTWG Strategic Plan .....</b>	<b>7</b>
<b>V.Statements and declarations.....</b>	<b>8</b>
2004 Santiago Commitment to Fight Corruption and Ensure Transparency .....	8
2007 Statement on Actions for Fighting Corruption through Improved International Legal Cooperation.....	9
2009 Singapore Declaration on Strengthening Governance, Enhancing Institutional Integrity and Combating Corruption.....	10
2012 Vladivostok Declaration to Fighting Corruption and Ensuring Transparency .....	11
2014 Beijing Declaration on Fighting Corruption.....	12
2015 Cebu Manifesto for the Protection of Anti-Corruption Officials.....	14
2016 Lima Statement. Addressing the Converging Threats of Corruption And Illicit Trade: Multiplier of Governance Dividends Across Economies and Markets .....	15
<b>VI.Key Deliverables .....</b>	<b>17</b>
APEC Anti-Corruption Code of Conduct for Business.....	17
Conduct Principles for Public Officials.....	18
Complementary Anti-Corruption Principles for the Public and Private Sectors .....	19
APEC Guidelines on Enhancing Governance and Anti-Corruption.....	20
APEC Principles on the Prevention of Bribery and Enforcement of Anti-Bribery Laws .....	21
APEC Principles for Financial/Asset Disclosure by Public Officials.....	22

APEC General Elements of Effective Voluntary Corporate Compliance Programs .....	23
Best Practices in Investigating and Prosecuting Corruption, Using Financial Flow Tracking Techniques and Financial Intelligence. A Handbook.....	24
Requesting Mutual Legal Assistance in criminal matters from APEC Economies: a Step-by-Step Guide. ....	25
<b>Documents .....</b>	<b>26</b>
<b>2006</b>	<b>26</b>
Capacity Building for Developing Economies on Combating Corporate Corruption and Promoting Governance .....	26
Public-Private Dialogue on Anti-Corruption and Ensuring Transparency in Business Transactions .....	26
<b>2007</b>	<b>28</b>
Anti-Corruption Cooperation in APEC: Stocktaking of bilateral and regional arrangements on Anti-Corruption matters between/among APEC member economies .....	28
The Fight against Corruption is a common international responsibility: Strengthening the Cooperation Mechanisms in the Asia Pacific Region .....	29
<b>2008</b>	<b>30</b>
Comparative Study of Anti-Corruption Measures and Procedures in APEC .....	30
Symposium on Anti-Corruption and Administrative Reform .....	31
Workshop on Special International Cooperation to Facilitate Asset Recovery within the Scope of the Fight against Anti-Corruption .....	32
<b>2009</b>	<b>33</b>
Implementation of the APEC Code of Conduct for Business - Pathfinder Project .....	33
Capacity building workshop on effectively addressing corruption in the developing economies	34
Capacity Building Workshop on Formulating Strategies for Strengthening Inter-Agency Mechanisms on Combating Corruption Related to Money Laundering .....	34
Governance in Public and Private Sector & Impact on Anti-Corruption .....	35

<b>2012</b>	<b>37</b>
Capacity Building Workshop on Effectively Combating Corruption and Illicit Trade through Tracking Cross – Border Financial Flows, International Asset Recovery and Anti-Money laundering Efforts; its impact on poverty reduction and economic growth.....	37
Integrity and Transparency Principles of the Private Sector. Pathfinder Project implementation of the APEC Code of Conduct for Business.....	37
Interim reports on implementation of APEC Anti-Corruption commitments.....	38
<b>2013</b>	<b>39</b>
Capacity Building Workshops on Designing Best Models on Prosecuting Corruption and Money Laundering Cases Using Financial Flow Tracking Techniques and Investigative Intelligence for Effective Conviction and Asset Recovery .....	39
APEC Guide to Mutual Legal Assistance.....	40
APEC Pathfinder Dialogue with ASEAN & PIF Partners Combating Corruption and Illicit Trade across the Asia-Pacific Region .....	40
APEC Pathfinder Dialogue II .....	41
<b>2016</b>	<b>43</b>
APEC Workshop on Enhancing Whistleblower Protection in Corruption Cases .....	43
Facing Foreign Bribery: APEC Anti-Corruption Workshop .....	44
APEC ACTWG Workshop on Anti-Bribery Compliance Programs and Incentives .....	45
APEC Pathfinder Dialogue III .....	46
Independent Assessment Report of the Anti-Corruption and Transparency Experts' Working Group.....	47
<b>2017</b>	<b>49</b>
Training Workshop on Asset Recovery .....	49
APEC Pathfinder Dialogue IV .....	50
Compilation of APEC member economies' good practices in promoting social engagement in Anti-Corruption .....	51

<b>2018</b>	<b>52</b>
APEC Best Fit Practices and Experience Sharing Workshop on Corruption Prevention Mechanisms in APEC Economies.....	52
<b>2019</b> .....	<b>53</b>
Workshop on Digital Government, Integrity Policies and Corruption Prevention Mechanisms in APEC Economies .....	53
Capacity Building Workshop for Law Enforcement Agents to Investigate Individual and Corporate Liability in Domestic and Foreign Bribery .....	53

# COMPILATION OF ACHIEVEMENTS ACTWG

## *I. Introduction*

In Los Cabos in 2002 and in Bangkok in 2003, APEC Economic Leaders committed to implementing general and area-specific APEC Transparency Standards. In November 2004 in Chile, APEC Leaders acknowledged that corruption is a serious threat to APEC Agenda and priorities to sustainable economic growth, good governance, market integrity and enhanced trade and investment in the Pacific Region. They agreed that APEC could make a difference by working together to fight corruption and promote transparency in the Asia Pacific region.

In this regard, and given the crosscutting nature of activities related to combating corruption and ensuring transparency, there was a need for a body to promote and coordinate this effort within APEC framework. In 2005, APEC Senior Officials established the Anti-Corruption Experts' Task Force, which was upgraded to a Working Group in March 2011, following a 2010 recommendation from its members to institutionalize its work. The last update of the Terms of Reference of the Group was made in February 2018

The Anti-Corruption and Transparency Working Group (ACTWG) is tasked to coordinate the implementation of the Santiago Commitment to Fight Corruption and Ensure Transparency (2004), the APEC Course of Action on Fighting Corruption (2004) and the APEC Transparency Standards. It also has the purpose to facilitate the implementation of the United Nations Convention Against Corruption (UNCAC). In 2014, the Working Group adopted the Beijing Declaration on Fighting Corruption.

Since its creation, the APEC Anticorruption and Transparency Working Group has sponsored various projects that have developed workshops, studies, reports, compilations, publications, etc., together with other

significant activities that are worth compiling in a single document, in order to be able to access them all at once.

The key deliverables of the group together with its Terms of Reference and Strategic Plan have also been reflected in this compilation.

Therefore, this document compiles all the group's work through its 15 years of existence and aims to share all the important work that has been done with other fora and make it available in a simple format for the general public.

For an easy access, a hyper link has been included in the document title, together with a brief summary of each item in order to be able to have a quick glance at the description of a particular project, workshop, compilation, publication, report, etc.

This compilation should be permanently updated, in order to be able to access information about the APEC ACTWG and its associated activities. It has been divided by years, to be able to make a quick search if necessary.

Relevant statements and other key deliverables have been also included also in the APEC ACTWG Statement, commemorating 15 years of the group.

## ***II. Terms of Reference ACTWG***

The last update of the [Terms of Reference](#) of the Group was made in February 2018, in PNG.

## ***III. ACT-Net***

Observing the urgent demand for enhancing joint efforts against transnational corruption and considering the necessity to advance greater collaboration and cross-border coordination between APEC economies in the region, the ACTWG established a Network of Anti-Corruption Authorities and Law Enforcements Agencies (ACT-NET) during its 17th Meeting in Indonesia, 2013. As a subsidiary body, ACT-NET reports annually to the ACT Chair and ACTWG on its activities.

The ACT-NET aims to supplement existing cooperation programs and assist in the implementation of ACTWG's decisions and other international initiatives against corruption. Consistent with each economy's legal system, it provides an informal platform for bilateral—or multilateral if appropriate—case cooperation in the areas of corruption, bribery, money laundering, and illicit trade. In conjunction with the ACTWG, it will coordinate with other Anti-Corruption organizations and activities to facilitate contact, communication, and capacity building among regional Anti-Corruption partners, and advance pragmatic cooperation in fighting corruption, bribery, money laundering, and illicit trade.

The Terms of Reference of the Network can be accessed [here](#).

## ***IV. ACTWG Strategic Plan***

The [Strategic Plan 2019 – 2022](#) was endorsed by the Group in May 2019, Chile.



## V. *Statements and declarations*

<b>2004 Santiago Commitment to Fight Corruption and Ensure Transparency</b>	
<b>Category:</b>	<b>Date:</b>
Leader's Declaration	21 November 2004
<b>APEC Hosting Economy:</b>	
Chile	
<b>Description:</b>	
<p>The APEC Leaders commit to fight corruption and promote transparency and agreed to:</p> <ul style="list-style-type: none"><li>• Encourage each other to deny safe haven to officials and individuals guilty of public corruption, those who corrupt them, and their assets;</li><li>• Promote regional cooperation on extradition, mutual legal assistance and the recovery and return of proceeds of corruption;</li><li>• Work towards implementation of punitive and preventive anticorruption policies and practices consistent with the UN Convention Against Corruption, including those policies and practices necessary for the proper and effective management of public affairs and public property;</li><li>• Intensify their individual and joint actions to fight corruption and ensure transparency, including cooperation with other multilateral and regional intergovernmental institutions and exchange of information on implementation of domestic Anti-Corruption commitments;</li><li>• Develop innovative training, targeted- capacity building and results oriented technical assistance to fight corruption and ensure transparency; and</li><li>• Implement the APEC Transparency Standards, a key to both the fight against corruption and progress on the WTO Doha Development Agenda.</li></ul>	

## 2007 Statement on Actions for Fighting Corruption through Improved International Legal Cooperation

**Category:**

Ministerial Declaration

**Date:**

5-6 September 2007

**APEC Hosting Economy:**

Australia

**Description:**

The APEC Ministers declare the following:

- They refer to the endorsement of a model Code of Conduct for Business, a model Code of Conduct Principles for Public Officials and complementary Anti-Corruption Principles for the Private and Public Sectors.
- They encourage all economies to implement these codes and welcomed agreement by Australia, Chile and Viet Nam to pilot the Code of Conduct for Business in their small and medium enterprise (SME) sectors.
- They also urge those member economies yet to ratify the United Nations Convention against Corruption to quickly do so, where appropriate.
- They endorse the actions for Fighting Corruption through Improved International Legal Cooperation, which reaffirms their strong commitment to prosecute acts of corruption and to strengthening cooperation on extradition, mutual legal assistance and the recovery and return of proceeds of corruption.

## 2009 Singapore Declaration on Strengthening Governance, Enhancing Institutional Integrity and Combating Corruption

**Category:**

Ministerial Declaration

**Date:**

11-12 November 2009

**APEC Hosting Economy:**

Singapore

**Description:**

The APEC Ministers declare the following:

- They recognize that corruption is a complex economic, political and social challenge that threatens democracy, sustainable development, the rule of law, the welfare and health of citizens, environment, and global security across economies.
- They welcome the Anti-Corruption and Transparency Experts' Task Force's Singapore Declaration on Combating Corruption, Strengthening Governance and Enhancing Institutional Integrity, as well as the APEC Guidelines on Enhancing Governance and Anti-Corruption .
- They encourage economies to implement measures to give practical effect to the Declaration and Guidelines.
- They also welcome the outcomes of the *Workshop on Applying APEC Anti-Corruption Principles, Preventing Conflicts of Interest*, co-hosted by China and the United States in October 2009 in Beijing.
- They commend the comprehensive capacity building efforts with regard to enforcement of laws and regulations, setting of strategies, systems of compliance and promoting standards of governance and ethical behavior. In view of the threat of cross-border illicit criminal networks and its linkages with corruption nodes, they encourage member economies, where applicable, to ratify the UN Conventions against Corruption and Transnational Organized Crime, and take measures to implement their provisions, in accordance with economies' legal frameworks.

## 2012 Vladivostok Declaration to Fighting Corruption and Ensuring Transparency

**Category:**

Leader's Declaration

**Date:**

8 September 2012

**APEC Hosting Economy:**

Russia

**Description:**

The APEC Leaders renew their commitment to fight corruption and to enhance transparency and accountability in their economies, and agreed *inter alia* to:

- Recognize the direct link between vigorously fighting corruption and achieving progress in economic and social development.
- Re-affirm the Santiago Commitment to Fight Corruption and Ensure Transparency and the APEC Course of Action on Fighting Corruption and Ensuring Transparency, which guide the APEC's work in this important area.
- Underscore their commitment to investigate and prosecute corruption offences in accordance with domestic law and to prevent corrupt holders of public office from accessing the proceeds of their criminal activities in the economies' financial systems.
- Remain committed to the goals of the APEC High Level Policy Dialogue on Open Governance and Economic Growth as well as to increasing public sector transparency and integrity in the economies, reducing administrative burdens where appropriate and in accordance with domestic legal systems.
- Continue to work with all stakeholders on international and domestic financial markets to deny safe haven to assets illicitly acquired by individuals engaged in corruption and prevent corrupt officials and those who corrupt them from being able to travel abroad with impunity by denying entry and safe haven in APEC economies jurisdictions.

- Recognize the unparalleled value of the UNCAC as a universal mechanism against corruption and call upon the economies that have not yet ratified the UNCAC to do so at the earliest date possible.
- Commit to strengthening Anti-Corruption and/or other law enforcement agencies and enforcement efforts, as well as to expediting economy-to-economy cooperation in order to respond to emerging challenges.
- Welcome the recent contributions of the APEC Business Advisory Council (ABAC) and the ACT in these important areas and in fighting corruption and illicit trade.
- Recognize the important role of business and public-private partnerships in promoting the elaboration of codes of conduct in the private sector and measures to fight corruption, especially measures that support the promotion of ethical business practices in interactions between government, business and other stakeholders.
- Welcome efforts by SME Ministers, industries and academics to promote voluntary, industry-specific APEC principles that aid in this effort.

## 2014 Beijing Declaration on Fighting Corruption

### Category:

Ministerial Declaration

### Date:

8 November 2014

### APEC Hosting Economy:

People's Republic of China

### Description:

APEC member economies call for more concerted efforts for international cooperation in the Asia-Pacific region, subject to domestic laws and policies, through the following actions:

- Reaffirming commitment to denying safe haven to those engaged in corruption, including through extradition, mutual legal assistance, and the recovery and return of proceeds of corruption; considering

the adoption of more flexible approaches enabled by domestic legislation for recovery of proceeds of corruption; and striving to expedite international cooperation in the prevention, investigation, prosecution, and punishment of corruption offenses.

- Strengthening information sharing among APEC economies, according to domestic laws, concerning cross-border movements of public officials involved in corruption criminal investigations and their illicitly acquired assets, as an effort to help combat corruption, bribery and illicit financial flows to the utmost extent; and calling for transparency of beneficial ownership of legal persons and legal arrangements as consistent with the Financial Action Task Force (FATF) definition, aimed at more effective prevention and detection of corruption.
- Looking anew at the potential of enhancing bilateral cooperation to fight corruption through the use of existing international legal instruments such as the *United Nations Convention Against Corruption* (UNCAC) and the *United Nations Convention on Transnational Organized Crime* (UNTOC), and relevant initiatives like the *APEC Course of Action on Fighting Corruption and Ensuring Transparency*; encouraging member economies, where appropriate, to sign and conclude bilateral extradition treaties and mutual legal assistance agreements; and welcoming Anti-Corruption programs that follow successful models.
- Establishing the APEC Network of Anti-Corruption Authorities and Law Enforcement Agencies (ACT-NET) with an Office responsible for daily administrative tasks, and looking forward to the development of the ACT-NET as an informal network for sharing information and exchanging best practices and techniques among Anti-Corruption and law enforcement authorities in the Asia-Pacific region, to assist in detecting, investigating and prosecuting corruption, bribery, money laundering, and illicit trade.
- Strengthening international cooperation efforts through the support of and participation in ACT-NET and other multilateral networks;

exploring the potential of other existing mechanisms, where appropriate, such as UNCAC, UNTOC, the Organization for Economic Co-operation and Development (OECD), FATF, and the Asia Pacific Group on Money Laundering (APG), to promote effective international, regional and bilateral cooperation between and among law enforcement, prosecutorial, regulatory and financial intelligence entities; and supporting the development and introduction of new Anti-Corruption tools and initiatives, such as jurisdiction-specific guidebooks, to provide technical assistance to Anti-Corruption and law enforcement authorities in member economies.

## 2015 Cebu Manifesto for the Protection of Anti-Corruption Officials

### Category:

Declarations and Statements

### Date:

18-19 November 2015

### APEC Hosting Economy:

Philippines

### Description:

The Anti-Corruption and Transparency Working Group (ACTWG):

- Recognizes the important role of Anti-Corruption officials in the detection, investigation, prosecution and prevention of corrupt activities.
- Issues a collective call to APEC Member-Economies to take all measures necessary to protect Anti-Corruption officials at the domestic and international fronts. Looking back at past and recent events, ACTWG reflects on the delicate and dangerous situations that those actively involved in the fight against corruption are faced with especially in the Asia Pacific region.
- Calls on Member-Economies to offer adequate protection to Anti-Corruption officials and ensure that thorough investigations are undertaken in acts of violence against them and that the full force of

the law is implemented on perpetrators. Member-Economies must fulfill the duty incumbent upon them to prevent crimes and unlawful harassment against these Anti-Corruption officials and see to it that they are able to operate in a secure and independent environment that respect the rule of law.

- Expresses its solidarity with Anti-Corruption officials who have demonstrated admirable courage and unwavering determination by taking action against corrupt practices. It urges APEC leaders to exert more pressure on their respective governments to support their work in the fight against corruption.

### 2016 Lima Statement. Addressing the Converging Threats of Corruption And Illicit Trade: Multiplier of Governance Dividends Across Economies and Markets

**Category:**

Declarations and Statements

**Date:**

20 November 2016

**APEC Hosting Economy:**

Peru

**Description:**

The Anti-Corruption and Transparency Working Group (ACTWG) states the following:

- It commits to enhance its efforts to fight corruption and bribery of domestic and foreign public officials; to promote the implementation of effective voluntary corporate compliance programs, and to strengthen public-private partnerships across sectors and economies with a view to preventing and minimizing all forms of corruption and bribery. It will continue to implement the actions outlined in the *APEC Course of Action on Fighting Corruption and Ensuring Transparency, Code of Conduct for Business, and Principles on the Prevention of Bribery and Enforcement of Anti-bribery Laws*.
- It also reiterates its commitment to implement the *Beijing Declaration*



*on Fighting Corruption.* In line with each economy's laws and policies, it commits to deny safe havens to those engaged in corruption and their stolen assets, and to continue international cooperation on the extradition or repatriation of corruption suspects and asset recovery.

- It further commits to highlighting the importance of best practices shared on the implementation of Anti-Corruption and anti-bribery compliance programs designed to prevent and detect bribery. It will promote the *APEC General Elements of Effective Voluntary Corporate Compliance Programs* within its economies and throughout the region.
- It calls the Anti-Corruption and Transparency Experts' Working Group to identify and promote best practices in Anti-Corruption compliance; considering incentives by member economies to encourage businesses to establish effective voluntary Anti-Corruption programs. It expresses its continued commitment to uphold its international obligations and, where its economies have not already done so, to establish the liability of legal persons for corruption and bribery offences.
- It commits to further strengthening the ACT-NET, which offers an extraordinary platform to enhance joint efforts against transnational corruption and bribery, as well as to reinforce the identification and recovery of stolen assets, and drawing on the experience of law enforcement by sharing best practices, and where applicable and in line with each economy's laws and policies, to promote pragmatic international cooperation in investigating and prosecuting corruption and bribery cases.
- It recognizes that corruption and illicit trade, in addition to its immediate impacts on economic, social and security consequences, critically undermine the sustainable future of all of its economies, environment, and human capital.

## VI. Key Deliverables

APEC Anti-Corruption Code of Conduct for Business	
<b>Category:</b>	<b>Date:</b>
Declarations and Statements	September 2007
<b>APEC Hosting Economy:</b>	
Australia	
<b>Description:</b>	
<p>The <i>Code of Conduct for Business</i> provides practical guidance for private sector bodies to combat corruption focused on the prohibition of bribery. This was prepared in close consultation with the APEC Business Advisory Group and stress.</p> <p>The present brochure highlights four key business integrity and transparency principles for the private sector:</p> <ol style="list-style-type: none"><li>1. Prohibition of Bribery;</li><li>2. Program to Counter Bribery: Enterprises, in consultation with employees, should develop a program, reflecting its size, business sector, potential risks and locations of operation, that clearly and in reasonable detail articulates values, policies and procedures to be used to prevent bribery from occurring in all activities under its effective control;</li><li>3. Scope and Guidelines: Guidelines refer to charitable contributions; gifts, hospitality and expenses; facilitation payments and political contributions;</li><li>4. Program Implementation Requirements: Requirements allude to business relationships; communication; leadership; financial recording and auditing and human resources.</li></ol>	

## Conduct Principles for Public Officials

**Category:**

Declarations and Statements

**Date:**

3 July 2007

**APEC Hosting Economy:**

Australia

**Description:**

The *Conduct Principles for Public Officials* provides practical guidance for public sector bodies and officials on combating corruption, proscribing bribery, abuse of position and similar corrupt practices, and promotes integrity and transparency in the discharge of official duties. The APEC Anti-Corruption Task Force recommends member economies establish, enhance or review to ensure that their legislative and/or administrative codes or standards of conduct for all public officials, as defined by domestic and international law, are based upon a series of principles, establishing that a public official shall:

- Respect and adhere to the Constitution or basic law and the laws and legal norms of his or her economy including applicable codes of conduct;
- Use his or her public position only in furtherance of the public interest and not for purposes of gaining an unwarranted advantage for him- or herself or for others;
- Not solicit or receive, directly or indirectly, any gift, favor or benefit in exchange for official action or inaction, or that may influence or appear to influence the exercise of his or her functions, duties or judgment;
- Protect and conserve public monies, property and services and shall use these public resources for only authorized purposes; among other principles.

## Complementary Anti-Corruption Principles for the Public and Private Sectors

**Category:**

**Date:**

Declarations and Statements

3 July 2007

**APEC Hosting Economy:**

Australia

**Description:**

The *Complementary Anti-Corruption Principles for the Public and Private Sectors* is a higher-level document designed to highlight the complementarity between the Code of Conduct for Business and the Conduct Principles for Public Officials. The Leaders of APEC Economies, together with the Leaders of the APEC Business Community/APEC Business Advisory Council (ABAC):

- *Undertake* to establish a culture of integrity in the Asia Pacific region and hold themselves to the highest levels of ethical behavior;
- *Encourage* the implementation of measures giving practical effect to the APEC Conduct Principles for Public Officials and the APEC Code of Conduct for Business;
- *Recognize* that practical implementation by both the public and private sectors requires systematic, continual and transparent efforts to develop and maintain programs designed to promote a culture of integrity, honesty and responsibility and provide for appropriate consequences for those who violate these Principles or the Code, and
- *Agree* to promote and adhere to complementary principles reflecting the joint responsibilities of the public and private sectors.

## APEC Guidelines on Enhancing Governance and Anti-Corruption

**Category:**

Research and Documents

**Date:**

9 November 2009

**APEC Hosting Economy:**

Singapore

**Description:**

APEC'S Anti-Corruption and Transparency Working Group recommends member economies implement measures to enhance governance and Anti-Corruption, bearing in mind a series of guidelines, including, among others:

- Rigorous application of the rule of law as well as legal and democratic safeguards in accordance with each economy's domestic law and policies, to provide a strong legal framework to support governance and Anti-Corruption measures and ensure effective enforcement of Anti-Corruption legislation.
- Promote measures to cultivate a culture of good governance, Anti-Corruption and ethical behavior within public and private sectors, including implementation of strategies and programmes to encourage the setting of tone on integrity and ethical behavior at the leadership level.
- Encourage the establishment of regulatory frameworks to promote transparency and accountability; an effective self-regulation of industries and professions incorporating control mechanisms on governance, transparency and accountability; and the implementation of Code of Governance of Code of Conduct in respect of charities, non-profit organizations, public officials and industry professionals, setting out compliance standards, auditing procedures and oversight mechanisms.
- Develop strong institutions and transparent processes for management of public procurement and public finances. Consider establishing an auditing or inspectorate system to improve transparency and accountability on spending of public funds.

## APEC Principles on the Prevention of Bribery and Enforcement of Anti-Bribery Laws

**Category:**

Declarations and statements

**Date:**

5-6 November 2014

**APEC Hosting Economy:**

People's Republic of China

**Description:**

In order to prevent bribery and enhance the enforcement of laws addressing domestic and foreign bribery in compliance with the respective international commitments, APEC Member Economies further commit to the following, in accordance with the fundamental principles of each economy's legal system:

i. A robust legislative framework that includes: clear and explicit criminal offenses on domestic and foreign bribery of public officials that cover key elements of such offenses; statutes of limitations and sufficient time for investigation and prosecution of such offenses; broad jurisdiction over such offenses; effective, proportionate, and dissuasive criminal and other sanctions for natural and legal persons; among other measures.

ii. Effective prevention, detection and domestic coordination: Authorities of APEC Member Economies should be proactive in preventing and detecting domestic and foreign bribery offenses.

iii. Effective investigation and prosecution: Law enforcement authorities of APEC Member Economies should be proactive in effectively investigating and prosecuting credible allegations of bribery of domestic and foreign public officials.

iv. Effective asset recovery and international cooperation: APEC Member Economies should develop and institute robust systems to recover the proceeds of corruption offenses, including domestic and foreign bribery offenses. In addition to this, they should promote

international cooperation in this area by including a series of measures in their legislative frameworks, in conformity with a Member Economy's legal system.

APEC Member Economies should also take measures to encourage and facilitate exchange of information among competent authorities of Member Economies and authorities of other countries responsible for investigating and prosecuting domestic and foreign bribery offenses and related economic and financial crimes.

### **APEC Principles for Financial/Asset Disclosure by Public Officials**

<b>Category:</b>	<b>Date:</b>
Research and Documents	2-3 February 2012
<b>APEC Hosting Economy:</b>	
The Russian Federation	
<b>Description:</b>	
APEC Anti-Corruption Working Group recommends that member Economies establish, enhance, or review their legislative and/or administrative standards of financial/asset disclosure for all public officials, as defined by domestic and international law, to ensure that the requirements and the oversight systems are: <ul style="list-style-type: none"><li>• Fair;</li><li>• Transparent;</li><li>• Targeted at senior leaders and those in at-risk positions;</li><li>• Supported with adequate resources;</li><li>• Useful; and</li><li>• Enforceable.</li></ul>	

## APEC General Elements of Effective Voluntary Corporate Compliance Programs

**Category:**

Research and Documents

**Date:**

5-6 November 2014

**APEC Hosting Economy:**

People's Republic of China

**Description:**

The present document contains a series of measures that suggest general elements for developing or enhancing an effective compliance program. Emphasis on specific elements will vary from one enterprise to another, depending on the particular risks engendered by the enterprise's business.

The following elements reflect the APEC *Anti-Corruption Code of Conduct for Business, Business Integrity and Transparency Principles for the Private Sector*, and expand upon them with a practical discussion of elements of a compliance program that supports those principles:

- Conduct a risk assessment;
- Full support and participation of management;
- Establish and adhere to a written corporate code of conduct;
- Establish an organizational compliance structure;
- Provide anticorruption training, education seminars, and continued guidance;
- Undertake documented, risk-based, due diligence;
- Auditing and internal accounting controls;
- Compliance mechanisms and Reporting;
- Incentives;
- Discipline;
- Periodic Review and Testing.



## Best Practices in Investigating and Prosecuting Corruption, Using Financial Flow Tracking Techniques and Financial Intelligence. A Handbook

**Category:**

Research and Documents

**Date:**

September 2015

**APEC Hosting Economy**

The Philippines

**Responsible Economies:**

Chile - Thailand

**Description:**

The present handbook was elaborated under the scope of APEC project M SCE 01 12A-1: “Capacity Building Workshops on Designing Best Models on Prosecuting Corruption and Money Laundering Cases Using Financial Flow Tracking Techniques and Investigative Intelligence for Effective Conviction and Asset Recovery to Promote Regional Economic Integration”. The project was born within the APEC Anticorruption and Transparency Working Group (ACTWG), from joined efforts made by Chile and Thailand to improve the investigation and prosecution of corruption and money laundering. Both economies, members of the APEC ACTWG, led the project under the Multi Year Project APEC Guidelines, between 2013 and 2015.

Chapter I introduces the basics of any investigation: how to develop a plan, how to organize the resources, identify potential targets, define the scope of the investigation and select the techniques that will be used to potentially prove the allegations.

Chapter II focuses on issues of coordination, both domestic and international, and on the related aspect of building cooperative networks.

While Chapter III focuses on the gathering of peripheral evidence, through open sources techniques, database searches, and digital forensics tools, Chapter IV explains the gathering of private sources of evidence, including the use of digital forensic tools. Chapter V provides a practical approach on how to perform human intelligence, specifically

the technique of profiling suspects.

Chapters VI to X, on the one hand, complete the evidence gathering chapters, mainly by focusing on the gathering of financial evidence (Chapter VI). On the other hand, they develop the asset recovery process in four chapters. Chapter VII focuses on restraining measures encompassing the provisional freezing and seizure of assets, on the different types of restraining orders (person or asset directed), and on obtaining freezing orders from another economy and enforcing foreign restraining orders. Chapter VIII explains how the assets are managed after seizure according to the type of asset, the powers and duties of the asset manager and best practices for handling practical issues, such as expenses or use of restrained assets. Chapter IX focuses on the methods of confiscation, the different confiscation proceedings, the disposal of confiscated assets, and it also addresses potential substitutes for confiscation, such as fines and disgorgement of profits. Chapter X closes this handbook with a general explanation of the best practices related to the repatriation of the confiscated assets to the member economy of origin.

### Requesting Mutual Legal Assistance in criminal matters from APEC Economies: a Step-by-Step Guide.

**Category:**

Research and Documents

**Date:**

November 2014

**APEC Hosting Economy:**

People's Republic of China

**Responsible Economy:**

Australia

**Description:**

This guide provides concise, step-by-step instructions on how to initiate and successfully conduct requests for mutual legal assistance made within the APEC region (Part 1). The guide also contains a mutual legal assistance request sample (Part 2).

## Documents

2006

<b>Capacity Building for Developing Economies on Combating Corporate Corruption and Promoting Governance</b>	
<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 01 2006	2006
<b>Proposing Economy:</b>	<b>Hosting economy:</b>
Hong Kong China	Hong Kong China
<b>Description:</b>	
<p>Hong Kong's Independent Commission Against Corruption (ICAC) hosted an international symposium on the theme of "Corporate Corruption, Integrity and Governance" on 9-11 May 2006 in Hong Kong. Participants had the opportunity to learn about the investigation and prosecution of those involved in some of the massive corporate frauds that have attracted international attention, and to explore measures to promote corporate integrity and good governance. Speakers will include representatives from Anti-Corruption and law enforcement agencies, regulatory bodies, justice departments, international organizations, accounting and legal professions and multi-national corporations. The Symposium provided an excellent forum for discussion and experience sharing.</p>	

<b>Public-Private Dialogue on Anti-Corruption and Ensuring Transparency in Business Transactions</b>	
<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 01 2006T	2006
<b>Proposing Economy:</b>	<b>Hosting economy:</b>
Viet Nam	Viet Nam
<b>Description:</b>	
<p>A two-day seminar was held in Hanoi, Viet Nam in September 2006. The</p>	

principal purposes of the seminar were (1) to exchange views and ideas of experts from APEC members on the best practices in promoting public-private partnership to reduce business transactions costs by fighting against corruption; (2) to assist APEC developing economies in consolidating concrete measures to enhance comprehensive public-private partnership in the fight against corruption; (3) to call for inputs from private sector to help define next steps to diminish corruption and ensure transparency in business transactions.

2007

**Anti-Corruption Cooperation in APEC: Stocktaking of bilateral and regional arrangements on Anti-Corruption matters between/among APEC member economies**

<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 01 2007T	2007
<b>Proposing Economy:</b>	<b>Hosting economy:</b>
Peru	Peru
<b>Description:</b>	
<p>The purpose of this project was to build on the ADB/OECD stocktaking activity to give a complete and comprehensive picture of mutual legal assistance, extradition and asset recovery arrangements across all APEC economies.</p> <p>The objectives of the proposed study were to:</p> <ul style="list-style-type: none"><li>• Assist APEC member economies to identify good practices and gaps in the implementation of the COA and The Santiago Commitment</li><li>• Assist APEC member economies in identifying more targeted capacity building needs on promoting transparency and concrete efforts on combating corruption</li><li>• Assisting APEC member economies in developing a high quality mutual legal assistance and extradition agreements.</li></ul>	

## The Fight against Corruption is a common international responsibility: Strengthening the Cooperation Mechanisms in the Asia Pacific Region

<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 02 2007A	2007
<b>Proposing Economy:</b>	<b>Hosting economy:</b>
Peru	Peru

### **Description:**

A 2-day Workshop was held in Lima in October 2007, “The Fight against Corruption is a Common International Responsibility: Strengthening the Cooperation Mechanisms in the Asia Pacific Region”, as a follow up to the Shanghai Workshop of April 2006.

The event made a diagnosis of the scope of this problem in the region and the adequacy of the measures taken, from a wider audience that includes government officials, members of international financial institutions and other multilateral organizations, international police and regulatory bodies, as well as representatives of business sectors, professional bar associations and the civil society in general.

The evaluation of the existent cooperative mechanisms focused on:

1. The events and impediments that occurred in the day to day implementation of these mechanisms in order to find the concrete solutions to problems or to identify other forms of cooperation that could be adapted to the particular conditions of the region, in accordance with the Leaders’ mandates.
2. The identification of domestic and international good practices by its effectiveness to fight against corruption, particularly at the prevention and the legal repression areas, including the contribution of technical cooperation or human and institutional capacity building in favor of the less developed economies.

2008

<b>Comparative Study of Anti-Corruption Measures and Procedures in APEC</b>	
<b>Category:</b>	<b>Implementing year:</b>
Study/Research Project N° ACT 01 2008	2008
<b>Proposing Economy:</b>	<b>Selected implementing economies:</b>
Thailand	Hong Kong, Republic of Korea, Singapore, Indonesia, and Thailand
<b>Description:</b>	
<p>The purpose of the research project was to study the Anti-Corruption measures and procedures as well as the institutional framework for handling corruption in selected APEC member economies. The aim of the comparative study was to learn from the experience of different APEC economies, to compare the effectiveness of various Anti-Corruption measures and procedures and to glean best practices, from the diverse experiences and institutional settings, in order to produce tangible options for institutional and policy reform that focuses on prevention and deterrence. With prior approval from the economies studied, the results would be disseminated to relevant government authorities and other scholars to possibly augment the on-going efforts of member economies in their Anti-Corruption campaigns.</p> <p>In-depth workshops and interviews were held in five economies: Hong Kong, Republic of Korea, Singapore, Indonesia, and Thailand. In all, more than fifty Anti-Corruption personnel attended these workshops and later received copies of the report.</p>	

<b>Symposium on Anti-Corruption and Administrative Reform</b>	
<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 02 2008A	2008
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Viet Nam	Viet Nam
<b>Description:</b>	
<p>Under the main theme of Anti-Corruption and Administrative Reform, an International Symposium was held in Viet Nam, with discussion sessions focused on 5 sub-topics: (1) Administrative reform for effective Anti-Corruption ; (2) Role of inspection/Anti-Corruption agencies in boosting up administrative reform; (3) Administrative procedure reform for effective prevention of corruption; (4) Public finance reform for effective Anti-Corruption ; and (5) Private sector with administrative reform for the purpose of Anti-Corruption.</p> <p>100 participants from member economies and 8 international organizations attended the Symposium. 21 presentations from 21 speakers attracted the thorough discussions and among the important findings were: (1) Public administration reform and Anti-Corruption had an interactive linkage: good public administration reform shall be an effective solution to prevent and combat corruption and vice-versa, good Anti-Corruption work would promote the results of public administration reform. Anti-Corruption bodies, therefore, played an important role in promoting public administration reform; (2) It was necessary to have a standard index toolkit to evaluate the management of public finance; and (3) As regards to the crime of bribery, both the two sides: demanding (state officials) and supplying (private enterprises) shall have to bear the responsibility. In the public sector, it was necessary to reduce discretionary decisions and increase transparency and accountability; and in the private sector, it was necessary to mobilize collective efforts to create an equal playing field, enhance a non-bribery culture through the building, disseminating and applying the code of conduct for business.</p>	



## Workshop on Special International Cooperation to Facilitate Asset Recovery within the Scope of the Fight against Anti-Corruption

<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 03 2008A	2008
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Peru	Peru

### Description:

The project intended to obtain information and technical inputs from experts on asset recovery and the adequacy of the measures to be taken in the fight corruption from a wider audience: government officials, members of international institutions and other multilateral organizations, as well as the civil society.

A workshop was held in Lima, in October 2008, and the most important findings were:

- The importance of providing tools and building capacities of issues related to procedures used by APEC economies to recover assets resulting of corruption. The workshop included the provision of important tools referred to topics and issues involving sharing recovered assets with an assisting economy; criminal versus civil forfeiture; informal methods of communication between economies in identifying and recovery of assets; coordination between financial intelligence units, the extent of permissible, informal communications; the actual implementation of articles 31, 54 and 55 of the United Nations Convention Against Corruption (UNCAC), advances and setbacks in enabling legislation of economies; as well as other relevant issues of importance concerning the recovery of assets, which affects developing economies.

The importance of mutual legal assistance in the asset recovery process as the final element in the investigation and prosecution in corruption cases. Also, in the identification of stolen assets and also mutual legal assistance in situations where assets are located in a foreign jurisdiction from which a victim country seeks their return.

2009

<b>Implementation of the APEC Code of Conduct for Business - Pathfinder Project</b>	
<b>Category:</b>	<b>Implementing year:</b>
Workshop/ Study Project N° ACT 01 2009	2009
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Australia	Chile / Thailand / Viet Nam
<b>Description:</b>	
<p>The APEC Code of Conduct for Business was launched in Sydney in September 2007, and was a key deliverable of the Anti-Corruption and Transparency Experts Taskforce. Regarding corruption involving the private sector, APEC Leaders have</p> <p>The Code of Conduct for Business was endorsed by APEC economies, and Leaders welcomed agreement by Chile, Thailand and Viet Nam to pilot the implementation of the APEC Code of Conduct for Business in their private sectors, particularly within their SMEs.</p> <p>Therefore this project's objectives were:</p> <p>Raise awareness that corruption is an unacceptable practice according to law and strengthen civil society within the private sectors of both developed and developing nations Provide education to a targeted group of SMEs on corruption, through seminars based on the APEC Code of Conduct for Business, and</p> <p>Improve the ability of economies, partner organizations, law enforcement bodies, and industry representatives to implement Anti-Corruption laws and standards.</p> <p>This project was a 'pathfinder' project, meaning that the intent was to implement the APEC Code of Conduct for Business (the Code) in a small number of APEC economies to assess the value of implementing the Code within other APEC economies. Australia would like to express its</p>	

appreciation to Chile, Thailand and Vietnam for participating in this project, and to all APEC economies who are now building on this work to develop clean markets for the benefit of all APEC members.

### Capacity building workshop on effectively addressing corruption in the developing economies

<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 02 2009A	2009
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Korea	Korea

**Description:**

An Anti-Corruption Symposium was held in Seoul, attended by over 280 delegates and experts from APEC members, related international organizations, and representatives of academia and civil organizations. In the Symposium, under the main theme of “systematic approach to Anti-Corruption capacity building, the delegations discussed the role of Anti-Corruption agencies for Anti-Corruption capacity building and highlighted the importance of increasing reliability and validity of the corruption measuring indices. Concerns were expressed about the methodological biases of the existing corruption indices. Participants also agreed that policy makers need to recognize the shortcomings of existing corruption indexes when they utilize the results of these indexes.

### Capacity Building Workshop on Formulating Strategies for Strengthening Inter-Agency Mechanisms on Combating Corruption Related to Money Laundering

<b>Category:</b>	<b>Implementing year:</b>
Workshop Project N° ACT 03 2009A	2009
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Thailand	Thailand

**Description:**

A 2 ½ day workshop was held in Bangkok and co-organized by the National Anti-Corruption Commission of Thailand and co-sponsored by Australia and the USA. The workshop build upon the foundations laid in the Capacity-Building Workshop on Combating Corruption Related to Money Laundering, held with APEC funding in Bangkok in August 2007. The workshop was largely interactive, with opening and closing plenary sessions framing a range of workshops and small-group mentored sessions based on the “learning by doing” approach.

The importance of capacity-building of agencies and personnel in successfully combating corruption was highlighted.

This workshop was an opportunity to benefit from the experience and expertise of speakers, especially for travel eligible economies and the provision of opportunities for networking both during and after the workshop.

<b>Governance in Public and Private Sector &amp; Impact on Anti-Corruption</b>	
<b>Category:</b>	<b>Implementing year:</b>
Workshop/ Publication N° ACT 04 2009A	2009
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Singapore	Singapore
<b>Description:</b>	
<p>A workshop was held in Singapore with the following findings reached by participants:</p> <ul style="list-style-type: none"> <li>• High ethical standards and culture especially the ‘Tone from the Top’ is necessary for governance to take root. Leadership is key in both public and private sectors so that enforcement and compliance with laws and standards can follow.</li> <li>• The role of government to promote and implement corporate governance is paramount since it has the laws and tools to do the job. Structures and guidelines alone will not do. The government must take</li> </ul>	

an active lead in enforcement against the set standards. Government's role is complemented by public – private partnership, which can yield results for governance and Anti-Corruption.

- Bribery in business comes at great economic costs to businesses and to the economy at large. Companies recognize the important need for a comprehensive Anti-Corruption program as part of their overall corporate governance. In multinationals, elements of the program can be similar across countries. Large companies can set the model for small and medium enterprises to follow.
- Governance is crucial for Anti-Corruption. Good governance in public and private sectors in member economies can provide conditions conducive for domestic Anti-Corruption efforts as it makes corruption a low gain high risk activity. It also provides a good foundation for international co-operation based on sound institutions and transparent processes.

The findings of the workshop were condensed into the [APEC Guidelines on Enhancing Governance and Anti-Corruption](#). The Guidelines was endorsed by ACT member economies at the 9<sup>th</sup> ACT plenary meeting in Singapore on 4<sup>th</sup> to 5<sup>th</sup> August 2009 and subsequently promulgated via the APEC website. The Guidelines was also endorsed and welcomed by the 2009 APEC Ministerial Meeting. In pursuant to the findings of the workshop, ACT member economies also reaffirmed its commitment to good governance and effective Anti-Corruption efforts and issued the ACT Declaration on “Combating Corruption, Strengthening Governance and Enhancing Institutional Integrity”.

2012

**Capacity Building Workshop on Effectively Combating Corruption and Illicit Trade through Tracking Cross – Border Financial Flows, International Asset Recovery and Anti-Money laundering Efforts; its impact on poverty reduction and economic growth.**

<b>Category:</b>	<b>Implementing year:</b>
Workshop N° ACT 01 2011A	2012
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Thailand	Thailand
<b>Description:</b>	
A 2-day capacity building workshop was held in Phuket, featuring plenary sessions, sub-theme workshops, and small-group mentoring sessions based on the ‘learning-by-doing’ approach. The workshop focused on the process of recovering stolen assets in the forms of proceeds of corruption/money laundering/illicit trade so that they can be used for development and poverty reduction purposes. The goal of the workshop was to enhance the ability of law enforcers, especially those in developing economies, to detect, deter and recover proceeds of corruption and illicit trade using financial investigation/international asset recovery, tracking cross-border financial flows techniques and anti-money laundering mechanisms.	

**Integrity and Transparency Principles of the Private Sector. Pathfinder Project implementation of the APEC Code of Conduct for Business**

<b>Category:</b>	<b>Implementing year:</b>
Workshop/Publication N° ACT 02 2011A	2012
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
The Philippines	The Philippines
<b>Description:</b>	
The Office of the Ombudsman (OMB) commissioned a baseline study to determine the extent by which the APEC Anti-Corruption Code of Conduct	

for Business has been adopted by member economies. The results of the study were presented in the forum/seminar-workshop held in September 20-21, 2012. The overall objective of the project was to cultivate a culture of transparency, accountability, institutional integrity, and good governance among SMEs, industry group and regulatory bodies of APEC member economies. It specifically aimed to:

- To determine the extent that the government, business association and private enterprises of member economies have put in place policies, programs and practices aligned with the provision of APEC Code;
- To facilitate the sharing of knowledge, prospects and experience of APEC economies in implementing the policies, programs and strategies that are compliant with the APEC Code; and
- To assist in the formulation of an operational program for the expanded implementation of the APEC Code at the domestic, business association and enterprises level.

At the end of the project, a final report was made with the results of the findings: [Implementing the Asia-Pacific Economic Cooperation Anti-Corruption Code of Conduct for Business: Final Project Report](#)

The report documents the processes, results, lessons, and recommendations that emerged from the ACT 02 2011A project's two main components: Baseline Study and the Forum on the Implementation of the APEC Anti-Corruption Code of Conduct for Business.

<b>Interim reports on implementation of APEC Anti-Corruption commitments</b>	
<b>Category:</b>	<b>Implementing year:</b>
Compilation	2012
<b>Proposing Economy:</b>	
The Russian Federation	
<b>Description:</b>	
Compilation of interim reports on implementation of APEC Anti-Corruption commitments developed by the APEC 2012 hosting economy.	

2013

**Capacity Building Workshops on Designing Best Models on Prosecuting Corruption and Money Laundering Cases Using Financial Flow Tracking Techniques and Investigative Intelligence for Effective Conviction and Asset Recovery**

<b>Category</b>	<b>Implementing year</b>
Workshop/ Publication Project N° M SCE 01 2012	2012 -2015
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
Chile / Thailand	Chile/ Thailand/ The Philippines
<b>Description:</b>	
<p>The project proposed holding 2 workshops (one in Chile and one in Thailand), where APEC economies were invited to share their respective experiences in investigating and prosecuting corruption and money laundering, identifying best practices and common challenges in investigation and prosecution of corruption and money laundering offences, through the effective use of financial flow tracking techniques and investigative intelligence. After the workshops, best practices in investigating and prosecuting corruption and money laundering were captured in the form of a <a href="#">handbook</a> that was published and distributed amongst the APEC economies. A third workshop was organized as a test-trial of the handbook, and was held in Cebu, Philippines.</p> <p>Non APEC stakeholders, such as the World Bank and The Basel Institute on Governance participated providing expert speakers in the workshop.</p> <p>There were also experts from the UK and Argentina that were directly involved in the Chilean Workshop, as speakers and consultant.</p> <p>APEC economies were involved participating in the workshops and providing feedback on the <a href="#">handbook</a>.</p>	



A consultant was hired to organize the workshops and was responsible for drafting the final [handbook](#).

APEC Guide to Mutual Legal Assistance	
Category	Implementing year
Workshop/ Publication Project N° ACT 01 2013A	2013
Proposing Economy:	Hosting Economy
Australia	-
Description:	
<p>The project published a user-friendly APEC Guide to Mutual Legal Assistance. The Guide provides concise, step-by-step instructions on how to initiate requests for mutual legal assistance from APEC member economies. The Guide has been professionally published and will be available on the APEC website. Countries are encouraged to refer to the Guide when seeking mutual legal assistance from the APEC region.</p>	

APEC Pathfinder Dialogue with ASEAN & PIF Partners Combating Corruption and Illicit Trade across the Asia-Pacific Region	
Category	Implementing year
Workshop	2013
Proposing Economy:	Hosting Economy
Thailand	Thailand
Description:	
<p>This APEC Pathfinder Dialogue brought together more than 180 Anti-Corruption investigators, law enforcement officials, and policymakers from over 20 APEC (Asia Pacific Economic Cooperation) economies, ASEAN (Association of Southeast Asian Nations), the Pacific Islands Forum (PIF), as well as representatives from civil society organizations</p>	

(CSOs), international organizations, and the private sector, to attend a three-day workshop held under the auspices of the APEC Anti-Corruption and Transparency Working Group (ACT) in Bangkok, Thailand from 23-25 September 2013. The Pathfinder Dialogue was co-hosted by the governments of Thailand and the United States, in partnership with the United Nations Office on Drugs and Crime (UNODC), the Organization for Economic Co-operation and Development (OECD), and the American Bar Association. The Pathfinder Dialogue focused on the need to combat the corruption that facilitates and enables illicit trade networks engaged in trafficking in persons, wildlife trafficking/environmental crime, and money laundering, and emphasized the importance of interregional partnerships that, inter alia, share information and best practices to address trans-regional challenges. The Dialogue also highlighted the importance of developing and strengthening holistic approaches that address linkages between corruption and illicit trade, including, for example, channels and mechanisms that promote cooperation between anticorruption authorities and law enforcement authorities.

<b>APEC Pathfinder Dialogue II</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 03 2016S	2015
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
USA	USA / The Philippines
<b>Description:</b>	
<p>In Cebu City during APEC SOM III in 2015, the Philippines and U.S. Governments co-hosted the Pathfinder Dialogue II on Combating Corruption and Illicit Trade across the Asia-Pacific Region. Over 120 delegates from APEC, ASEAN, and the Pacific Islands Forum (PIF) shared proven methods to combat the harmful role of corruption in human trafficking, illegal logging, wildlife trafficking, and illicit fisheries.</p> <p>The APEC Pathfinder Dialogue II included break-out sessions focused on</p>	

the links between corruption and environmental crime and human trafficking and slavery:

- Environmental Crime: Workshop segments focused on best practices, strategies, and responses to corruption and environmental crime, including related to wildlife trafficking and illegal logging and fishing. Participants explored proven strategies, such as financial investigation, multiagency cooperation, multilateral coordination, and joint government-NGO efforts.
- Human Trafficking and Slavery: Workshop segments explored best practices for combatting corruption in human trafficking and reviewed existing knowledge and available resources on the topic. The workshop also focused on successful multilateral engagement between governments and intergovernmental organizations using Anti-Corruption strategies to investigate, prosecute, and prevent human trafficking, safeguard our children and human capital, and promote the empowerment of women across Asia-Pacific economies.
- The Pathfinder Dialogue produced a clear set of strategies to combat illicit trafficking and trade, particularly (i) the need for a multi-agency, multi-disciplinary domestic teams, including public-private partnership efforts; (ii) corruption risk assessment and intelligence sharing; (iii) effective use of systems to detect money laundering and asset forfeiture and seizure; (iv) analysis of technology, including social media and other communication networks to identify the true extent of criminal organizations; (v) strong international cooperation, including intelligence sharing, with coordinated support for investigations and prosecutions; and (vi) effective care and protection for victims, witnesses, and whistleblowers.

2016

<b>APEC Workshop on Enhancing Whistleblower Protection in Corruption Cases</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 01 2016	2016
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
Chinese Taipei	
<b>Description:</b>	
<p>The project aimed to enhance corruption investigation and prosecution to promote stronger whistleblower protection mechanisms and develop recommendations for advancing APEC’s work in protecting whistleblowers.</p> <p>The main objectives of the project were:</p> <ul style="list-style-type: none"><li>• An APEC Workshop that brings together law enforcement officers and policymakers to share experiences and best practices on whistleblower protection.</li><li>• A report of the best practices on the development and enforcement of whistleblower protection that can be shared among APEC member economies.</li><li>• Develop recommendations for advancing APEC’s work in protecting whistleblowers</li></ul> <p>The “APEC Workshop on Enhancing Whistleblower Protection in Corruption Cases” was held on July 19-20, 2017. Around 100 people participated in the workshop.</p> <p>In addition to Chinese Taipei professionals from multinational companies, financial institutions, risk auditing companies, and judicial departments, 36 APEC delegates from 12 economies (Chile, Indonesia, Japan, Korea, Malaysia, New Zealand, the Philippines, Papua New Guinea, Singapore,</p>	

Thailand, the United States, and Viet Nam) joined this workshop.

In the Workshop, all the 13 participating economies made their individual economy reports to introduce:

- Cases of whistleblower protection in the public and/or private sectors: causes and results.
- The influence from the aforementioned cases on the current whistleblower protection mechanism.
- Future objectives and directions in the development of whistleblower protection.
- Suggestions or expectations of whistleblower protection cooperation among APEC members.

Also, at the end of the Workshop APEC delegates and international experts drafted and discussed a set of principles to conclude the recommendations made in the Workshop thereby identifying some of the key elements that should be considered and contained when developing or enhancing whistleblower protection regimes. This was included in the [final report](#).

<b>Facing Foreign Bribery: APEC Anti-Corruption Workshop</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 01 2016S	2016
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
Peru	Peru
<b>Description:</b>	
Accordingly, the ACTWG with the technical advice of the OECD organized a workshop in Lima in February 2016 to address this theme. This included sharing successful experiences and identifying the obstacles that have been overcome on the criminalization of foreign bribery and successful prosecution of this criminal offence by APEC members. 97 participants from 15 member economies and 5 representatives from	

international organizations attended this Workshop.

## APEC ACTWG Workshop on Anti-Bribery Compliance Programs and Incentives

<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 02 2016S	2016
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
Peru	Peru

### **Description:**

Corrupt practices such as international and domestic business bribery involve supply and demand side, active and passive actors. In that sense, it is crucial to foster more transparency and integrity in the business sector by promoting the implementation of Effective Voluntary Corporate Compliance Programs among the Asia-Pacific region. Thus, the ACTWG organized a Workshop on this theme.

Over 100 participants attended the Workshop, including ACTWG and other APEC representatives, prosecutors, judges and compliance experts, ABAC members and other representatives from international organizations and the business community. Expert speakers on compliance programs from Singapore; Colombia; Peru; Chile; and the United States, representing multinational businesses, law firms, law enforcement and trade agencies, gave detailed presentations during two panels in the morning session on the elements of effective corporate compliance programs and Member economy incentives for such programs. The afternoon program included an interactive breakout session of roundtables comprising of the experts and participants to share best practices and experience with such programs and incentives and to discuss conclusions and next steps for work in this area.

After the workshop a [Report on Summary and Conclusions APEC ACTWG Workshop on Ant bribery Compliance Programs and Incentives](#) was made.

## APEC Pathfinder Dialogue III

<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 04 2016S	2016
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
United States	Peru
<b>Description:</b>	
<p>In Lima Peru during the APEC SOM III in 2016, the Governments of Peru and the United States co-hosted the APEC Pathfinder Dialogue III on Strengthening the Fight against Illicit Trade and Corruption throughout the Asia-Pacific Region. Over 120 delegates from APEC, the Association of Southeast Asian Nations (ASEAN), international organizations, the private sector, and civil society shared best practices, lessons learned, and proven methods to combat the devastating role of corruption in wildlife trafficking, environmental crimes, illegal mining and logging, illicit fisheries, and trafficking in persons.</p> <p>The Pathfinder Dialogue included break-out sessions to identify strategies to prevent a range of crimes, including trafficking in persons, forests and wildlife, and other natural resource extraction industries.</p> <ul style="list-style-type: none"><li>• <b>Wildlife, Environmental and Natural Resource Crimes:</b> Workshop segments focused on best practices, strategies, and responses to corruption and environmental crime, including wildlife trafficking and illegal logging, mining, and fishing—including Latin American examples and lessons. Representatives of ASEAN Wildlife Enforcement Network, Central America Wildlife Enforcement Network, and other participants explored financial investigation, multiagency cooperation, multilateral coordination, and joint government and non-governmental organization efforts.</li><li>• <b>Human Trafficking and Slavery:</b> Workshop segments explored best practices for combatting corruption in human trafficking, guided by the OECD Principles for Combating Corruption Related to Trafficking in Persons, which were released at Pathfinder II in 2015. Sessions also</li></ul>	

focused on successful multilateral engagement between economies and intergovernmental organizations using Anti-Corruption strategies to investigate, prosecute, and prevent human trafficking, safeguard our children and human capital, and promote the empowerment of women across Asia Pacific economies.

Cross-cutting Anti-Corruption strategies identified for continued Pathfinder action in 2017-2018 included (i) sharing information across agencies and disciplines, both domestically and internationally—including APEC partnerships for sustainable security with ASEAN and Pacific Islands Forum economies; (ii) increasing research, analysis, and data to understand illicit industries and their economic impact; (iii) targeting implementation of the UN Convention against Corruption; (iv) using systems to detect money laundering and to confiscate proceeds of crime more frequently; (v) providing capacity-building on environmental crime and illicit trafficking; (vi) developing principles on fighting corruption related to environmental crime, and an APEC Code Against Illicit Trade (action within the ACT five-year strategic plan); and (vii) strengthening public awareness campaigns around the indicators of illicit industries, especially human trafficking, so that citizens can be empowered to report crimes.

<b>Independent Assessment Report of the Anti-Corruption and Transparency Experts' Working Group</b>	
<b>Category</b>	<b>Implementing year</b>
Report	2016
<b>Proposed by</b>	<b>Hosting Economy</b>
Economic Committee (EC), SOM Steering Committee on Economic and Technical Cooperation (SCE)	Peru
<b>Description:</b>	



This is a report of the independent assessment of the efficiency and effectiveness of APEC's Anti-Corruption and Transparency Experts Working Group (ACTWG). The Terms of Reference for the assessment were to:

- Assess the outcomes and how ACTWG supports the main objectives/goals of APEC and their impacts in APEC member economies
- Evaluate whether ACTWG is operating effectively and efficiently
- Evaluate whether the group's Terms of Reference, strategic plan or operations could be modified to better respond to APEC ECOTECH priorities and contribute to the achievement of APEC goals
- Identify ways to strengthen ACTWG's strategic priorities and direction for future work • recommend how ACTWG can better focus and more efficiently and effectively manage its tasks and assure that its capacity building activities are providing benefits according to Leaders' and Ministers' priorities, and
- Identify ways to develop synergies among the work of the forum and other relevant APEC groups.

This review was the third in a series of independent assessments, with the first completed in January 2009, and the second being completed in August 2012.

2017

<b>Training Workshop on Asset Recovery</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 01 2017	2017-2018
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
People's Republic of China	Thailand
<b>Description:</b>	
<p>The Central Commission for Discipline Inspection/the Ministry of Supervision of China, the National Anti-Corruption Commission of Thailand, and the Regional Office for Southeast Asia and the Pacific of the United Nations Office on Drugs and Crime co-hosted the APEC Network of Anti-Corruption Authorities and Law Enforcement Agencies (ACT-NET) Training Workshop on Asset Recovery on 20-22 March, 2018 in Bangkok of Thailand. 30 experts lectured at the workshop while over 100 participants representing 21 APEC economies, Switzerland, 7 international organizations, legal professionals, and relevant academia participated. The workshop inspired discussion in its 5 sessions, namely, "Basic principles and International Framework in Asset Recovery", "Tracing Assets and Anti-Money Laundering", "Freezing and Confiscating Assets", "Repatriation of Proceeds of Corruption" and "Interactive session on Guidelines for Asset Recovery". The participants found the workshop useful to their practical work and appreciated that the co-hosts offered them a platform for learning good practices and make acquaintance of the fellow law practitioners of other economies.</p> <p>As a result of the workshop, participants developed the document "<a href="#">No Safe Haven to Stolen Assets -Ten Recommendations on Asset Recovery</a>", is made aimed at enhancing asset recovery cooperation among APEC economies and based on the principles of "zero-tolerance in attitude to corruption, zero loopholes in mechanism for asset recovery and zero obstacles to cooperation.</p>	

## APEC Pathfinder Dialogue IV

<b>Category</b>	<b>Implementing year</b>
Workshop Project N° ACT 01 2017S	2017
<b>Proposing Economy:</b>	<b>Hosting Economy</b>
USA	Viet Nam

### **Description:**

In Viet Nam at SOM III, the United States and Vietnamese Governments co-hosted the APEC Pathfinder Dialogue IV on Fighting Corruption and Illicit Trade across the Asia-Pacific Region. APEC member economies, including representatives of the Anti-Corruption and Transparency Experts Working Group (ACT), the Experts Group on Illegal Logging and Trade (EGILAT), and other relevant and interested APEC sub-fora attending SOM III, were invited to participate in the 1.5 day event. The Dialogue also engaged with Anti-Corruption authorities from non-member economies, law and justice officials, and civil society representatives in order to build consensus and partnerships, so different sectors can work together to fight transnational crime, assist legitimate trade, and enhance economic growth.

The APEC Pathfinder Dialogue IV was held alongside the ACT meetings at SOM III. This workshop was designed to identify specific measures APEC economies could implement in order to combat corruption in the following forms of illicit trade:

- **Illegal Logging and Associated Wildlife Habitat Destruction (August 19):** Sessions on the first day will explore the regional nature of illegal logging and the destructive toll it can have on wildlife habitat.
- **Wildlife Trafficking (August 20):** Sessions on the second day will focus on best practices, proven Anti-Corruption strategies, and Anti-Corruption responses used to combat wildlife trafficking. Participants will also learn about new and innovative research conducted in this area.

## Compilation of APEC member economies' good practices in promoting social engagement in Anti-Corruption

<b>Category</b>	<b>Implementing year</b>
Compilation	2017 - 2019

### **Proposing Economy:**

Viet Nam

### **Description:**

In 2017, as the host economy of APEC, at the 24th ACTWG Meeting in the margins of SOM 1, Viet Nam proposed a systematic compilation of good practices of member economies in promoting the role of the society in Anti-Corruption, which was agreed upon by the economies.

Before compiling, Viet Nam conducted a survey among member economies for better understanding of their needs for providing and sharing such information as well as the availability of such information. Based on economies' responses to the survey, Viet Nam developed a Template for APEC Economies' Sharing of Good Practices in Promoting Social Engagement in Anti-Corruption and a List of Topics which are either of high interest or high availability of information for sharing.

This document is compiled from the responses of member economies to the Template developed by Viet Nam, and is open for updating. With a view to developing a useful source of information on measures taken by the APEC to promote the people's participation in the fight against corruption, member economies are invited to update the Compilation with more good practices year by year. After three years since the adoption of the compilation activity, by August 2019, numerous good practices were shared by 16 member economies. The compilation document, which was about 240 pages long, was widely circulated among member economies, as a digital publication.

**2018**

<b>APEC Best Fit Practices and Experience Sharing Workshop on Corruption Prevention Mechanisms in APEC Economies</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N°ACT 02 2017A	2018
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Papua New Guinea	Papua New Guinea
<b>Description:</b>	
<p>A workshop was be held on the margins of SOM1 in 2018 in Papua New Guinea to generate discussions and recommendations regarding ideal effective transparent corruption prevention measures, practices and mechanisms through the sharing of best fit practices and experiences from experts and member economies.</p> <p>The workshop also promoted private sector collaboration by inviting speakers and participants from government, business and academia.</p>	

2019

<b>Workshop on Digital Government, Integrity Policies and Corruption Prevention Mechanisms in APEC Economies</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N°ACT 01 2019S	2019
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Chile	Chile
<b>Description:</b>	
<p>A Workshop was held in the Margins of SOM I 2019, in Santiago, where economies shared experiences in how the modernization and use of digital technologies within the public sector, together with the integrity culture, can help in reducing corruption and promoting transparency.</p> <p>International organizations participated presenting their points of view from their own perspective.</p>	

<b>Capacity Building Workshop for Law Enforcement Agents to Investigate Individual and Corporate Liability in Domestic and Foreign Bribery</b>	
<b>Category</b>	<b>Implementing year</b>
Workshop Project N°ACT 01 2018A	2019
<b>Proposing Economy:</b>	<b>Hosting Economy:</b>
Chile	Chile
<b>Description:</b>	
<p>Supporting APEC Anti-Corruption authorities and Law Enforcement Agencies Network (ACT-NET) activities, this project intends to provide capacity building to APEC economies' enforcement agents through a workshop to be held as a side event at SOM III 2019, in Chile. It should address effective tools to be able to investigate and prosecute individuals</p>	

and corporations for their liability in domestic and foreign bribery, identifying an effective compliance program as a critical component of a company's internal control and as an essential tool to detect domestic and foreign bribery.

The Workshop also aims to have law enforcement officials exchange information about their systems to evaluate and supervise compliance programs' effectiveness.

APEC economies will be invited to share their experiences and private sector compliance experts and international organizations will be invited to provide effective tools addressing these topics. International cooperation will also be addressed.

A Guidebook with Best Practices will be developed after the Workshop, by a consultant hired for that purpose, and then distributed as a digital APEC publication.