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附件一： 2014 EC1 會議議程 (文件編號：2014/SOM1/EC/001)



**Asia-Pacific
Economic Cooperation**

2014/SOM1/EC/001
Agenda Item: 3

Draft Agenda

Purpose: Consideration
Submitted by: Chair



First Economic Committee Meeting
Ningbo, China
23-24 February 2014

APEC Economic Committee First Plenary Meeting
Draft Agenda (as of 20 January 2014)
23-24 February 2014, Ningbo, China

Key Objectives of EC1 Plenary:

- Discuss and reach agreements on the EC's contributions to the APEC 2014 priorities
- Review progress in the FotC work plans and consider prospective activities
- Discuss ANSSR implementation
- Discuss progress on the APEC Economic Policy Report (AEPR)
- Discuss progress on Ease of Doing Business (EoDB)

Day 1: 23 February 2014 Start: 09:00

1. Friends of the Chair (FOTC) Group Meetings

FOTC coordinators are encouraged to schedule meetings for their groups during the morning to discuss work plans, ongoing projects, and exchange ideas for how the FOTC can take forward EC work. Chairs should confer on meeting times to avoid scheduling conflicts.

- 9:00–9:50 am: Ease of Doing Business (USA) and Corporate Law and Governance (VN)
- 9:50-10:40 am: Competition Policy (AUS), Regulatory Reform (JPN) and Public Sector Governance (CT)

Plenary Session Convenes 10:50

2. Chair's Welcome and Opening Remarks

- Introduction of the New Chair and Vice Chairs

3. Adoption of the EC1 Plenary Agenda

4. Overview of APEC 2014 Priorities (11:00-11:30)

China SOM Chair's Office

5. Overview of Activities across APEC Fora (11:30-12:30)

- APEC Business Advisory Council (ABAC)
- Senior Finance Officials Meeting (SFOM)
- Human Resources Development Working Group (HRDWG)
- Pacific Economic Cooperation Council (PECC)

Lunch (12:30-14:00)

6. Advancing EC Objectives: CPLG and FOTC Contributions (14:00-15:30)

The CPLG Convenor and FOTC Coordinators will provide readouts of recent discussions and work plans, focusing on how their groups can take forward work and capacity-building programs in their focus areas. Economies that have recently sponsored activities also are encouraged to provide a brief update on key outcomes and potential follow-on work.

- Competition Policy and Law Group (Chinese Taipei) - Mr Tzu-Shun Hu
- Competition Policy (Australia) – Mr Dong Zhang
- Corporate Law and Governance (Viet Nam) – Mr Nguyen Anh Duong
 - Final Report on Lessons Learned from the Financial Crisis for Corporate Governance and Law: Roles and Duties of the Enforcement Bodies on Corporate Governance Compliance (Chinese Taipei) – Ms Brenda Hu
- Ease of Doing Business (United States) – Mr. Alex Hunt
- Public Sector Governance (Chinese Taipei) – Director Tsai-tsu Su
 - Report on the outcome of the Roundtable on Anti-Corruption and Public Sector Governance – Director Tsai-tsu Su
- Regulatory Reform (Japan)

Coffee Break

6. Overview of APEC Activities: Committee on Trade and Investment, Mr. John Larkin (15:50-16:00)

7. APEC Economic Policy Report (AEPR) Planning Session (16:00-17:20)

- **AEPR 2014 on the Good Regulatory Practices**
 - Discussion on structure, process and timeline for compiling the report (Japan, China and the U.S.)
 - Report on the Status of the Project on GRP Web-Portal (Russia)
- **AEPR 2015**
 - Discussion on possible themes for next AEPR (EC Chair)

8. APEC Secretariat: Media Relations, Communications and Outreach (17:20-17:30)

Day 2: 24 February, 2013 Start: 09:00

9. APEC New Strategy for Structural Reform (ANSSR) (9:00-10:10)

- Mid-term Progress Report of Individual Economies' ANSSR Plan (Russia) (TBC)
- Report on Ongoing and Completed ANSSR Projects
 - Overview of ANSSR Projects and ANSSR Sub-Fund (APEC Secretariat)
 - Development and Implementation of Methodologies to Improve the Quality of Regulations and Regulatory Impact Assessments for Enhancing Market Openness, Ensure Transparency and Promote Economic Growth (Mexico)
 - Capacity Building Program to Improve Appraisal of Public Investment Projects in Viet Nam (Viet Nam)
 - Enhancing the Quality and Relevance of Technical and Vocational Education and Training (TVET) for Current and Future Industry Needs – Phase 1 (Malaysia)
 - Government-to-Citizens (G2C) Service Channels : Bringing the State Closer to the People in APEC Economies (Chile)
 - Implementing Viet Nam's ANSSR – APEC Seminar on Sharing Experiences in Developing and Implementing New Growth Paradigm (Viet Nam)
- Discussion on further capacity building activities and next steps
 - Proposal for self-funded ANSSR project development training workshop (Australia)

Coffee Break

10. Policy Discussion: Ease of Doing Business (10:30-12:30) (A detailed proposal was circulated on 16 January)

- Introduction by PSU and US-ATAARI
- Summary of current status of EODB progress
- Presentation on factors explaining lack of progress in trading across borders and economic costs of not reforming
- Two brief presentations/case studies of members successful implementation of reforms
- Presentation of areas where capacity building could be strengthened
- General discussion of members' views on next steps and post 2015
- Wrap up remarks

Lunch (12:30-14:00)

11. Policy Discussion: State of the Regional Economy and Its Policy Implications (14:00-15.30)

- Introduction (EC Chair)
- Presentation from the IMF on the state of the global economy (Mr Alfred Schipke, IMF)

- Presentation from the OECD on the economic outlook for the regional economy (Dr Kensuke Tanaka, OECD)
- Discussion from APEC PSU on emerging trends observed in the APEC region (Ms Quynh Le, PSU)
- Challenges for the future arising from the state of the regional economy (Dr Alan Bollard, Executive Director of APEC Secretariat)
- Questions and general discussion from EC members
- Wrap up remarks (EC Chair)

Coffee Break

12. New Proposals

- Presentation on any new proposals, including the Concept Notes to be submitted to Project Approval Session 1 2014

13. Updates from the APEC Secretariat (16:10-16:30)

- Followup from AEC Multi-Year Plan on Infrastructure Development and Investment (MYPIDI)
- 2014 Project Approval Process and Timeline (APEC Secretariat)
- Secretariat Report on Key Developments (APEC Secretariat)
- Policy Support Unit Work (Policy Support Unit)

15. Classification of Documents

17. Chair's Closing Remarks

**附件二：Self-Funding Project - Lessons from the Financial Crisis
for Corporate Governance and Law: Roles and Duties of
the Enforcement Bodies on Corporate Governance
Implementation (文件編號：2014/SOM1/EC/003)**



**Asia-Pacific
Economic Cooperation**

2014/SOM1/EC/003

Agenda Item: 1

**Self-Funding Project - Lessons from the Financial
Crisis for Corporate Governance and Law: Roles
and Duties of the Enforcement Bodies on Corporate
Governance Implementation**

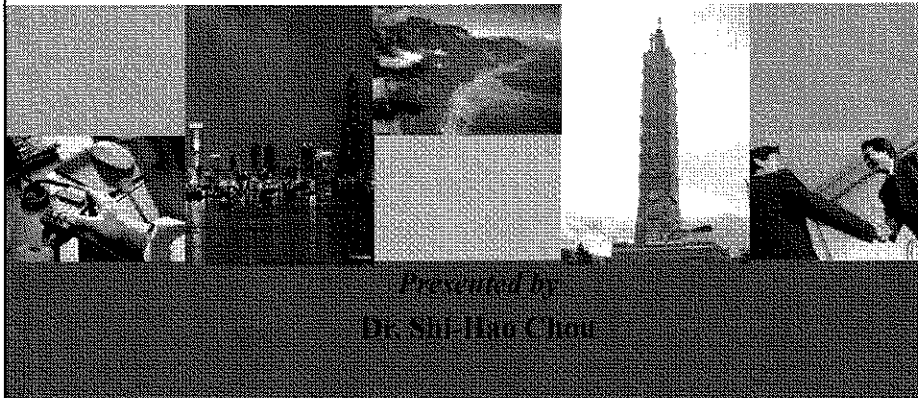
Purpose: Information
Submitted by: Chinese Taipei



**First Economic Committee Meeting
Ningbo, China
23-24 February 2014**

APEC Economic Committee Self-funding Project

*Lessons from the Financial Crisis for
Corporate Governance and Law:
Roles and Duties of the Enforcement Bodies
on Corporate Governance Implementation*




 *Purpose & Methodology*


◆ **Purposes**

- Explores the corporate governance (CG) reforms implemented by APEC members after the 2008 Financial Tsunami.
- Focus on Enforcement Bodies (EB) reforms, experiences and operational approaches.

◆ **Data and Methodology**

- Quantitative questionnaire analyses and qualitative in-depth interview
- Secondary data: OECD (2004), OECD (2007), and OECD (2011), The Authorities and Stock Exchanges Websites of APEC Members.
- The questionnaire containing 8 categories and 40 multiple-choice questions
- *Thanks to Australia; Brunei; Canada; Chile; Hong Kong, China; Indonesia; Japan; New Zealand; Peru; Chinese Taipei and Viet Nam and for thoroughly responding.*
- In-depth interviews with the authorities and self-regulating organizations/ institutions from *Australia, Korea, New Zealand, and Thailand.*


 *OECD Reform Priorities for Asia*




6 Reform Priorities for Asia

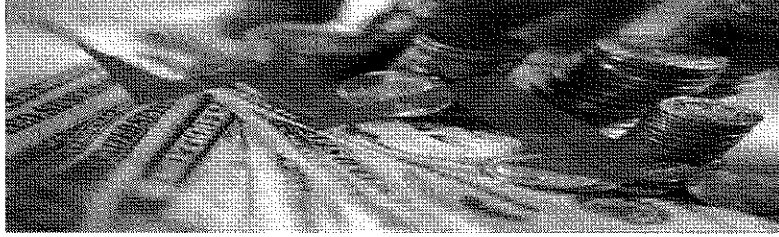
- Effective enforcement of corporate-governance laws and regulations
- Board performance needs to be improved by appropriate further training and evaluations
- Minority shareholders are adequately protected
- Facilitating and encouraging Shareholder engagement
- Full convergence with international standards and practices for accounting and audit
- Enhancing the effectiveness of corporate governance

3

 *Financial Crisis Influence*



❖ APEC economies were focused on enhancing CG policies before the financial crisis; its impact on these economies was minor, and the active promotion of CG reforms and growth remains a dedicated priority.



Key Issues

Internalization of CG Culture

Roles of Authorities and NGOs

CG Standard and Culture Difference

Rule or Principle based Enforcement

Roles of Authorities and NGOs

Authorities Empowerment - Reorganization

APEC economies had reorganized the resources from the authorities and NGOs by enhancing more enforcement power or granting more funding and human capitals.

Thailand National Corporate Governance Committee

New Zealand Financial Market Authority

Roles of Authorities and NGOs

Authorities Empowerment - Enforcement

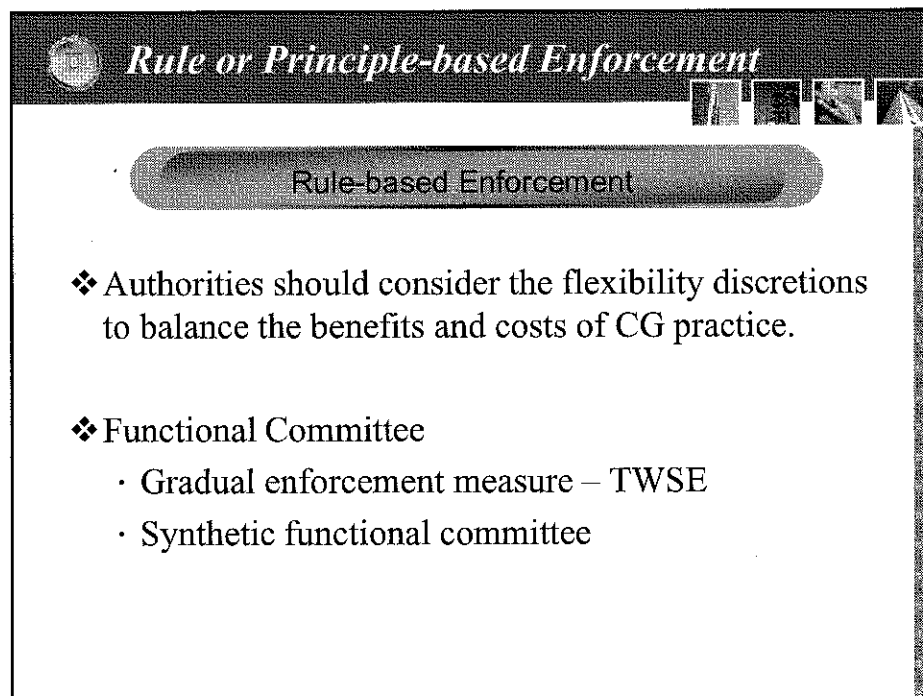
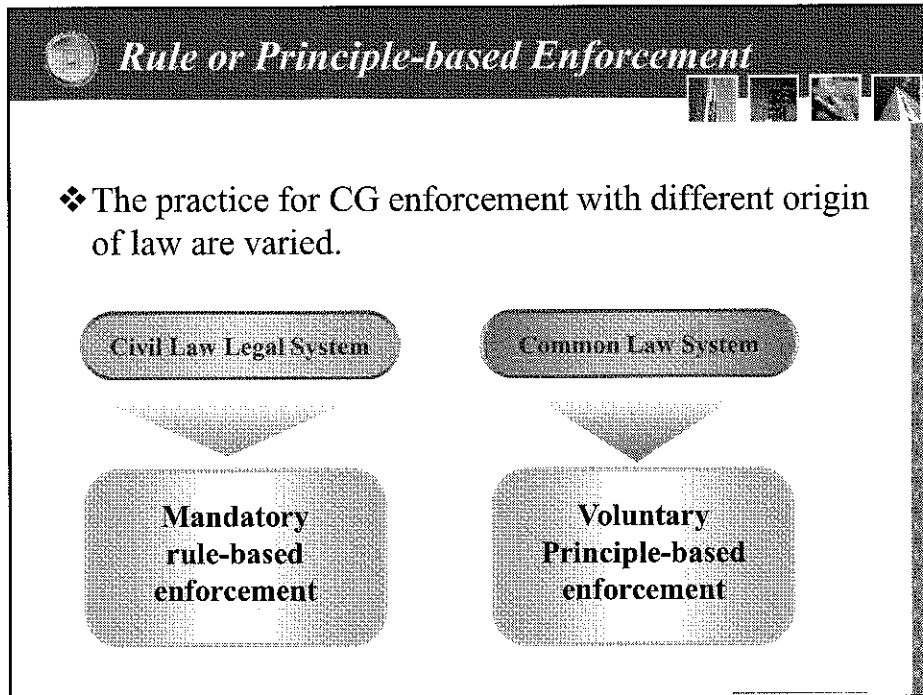
Appointing the Prime Minister or assigned Deputy Prime Minister as the Chairmen of the new established authorities -- NCGC

Appointing the independent committees with different areas of profession and enforcing the power to investigating misconduct -- FMA

Roles of Authorities and NGOs

NGOs' Role

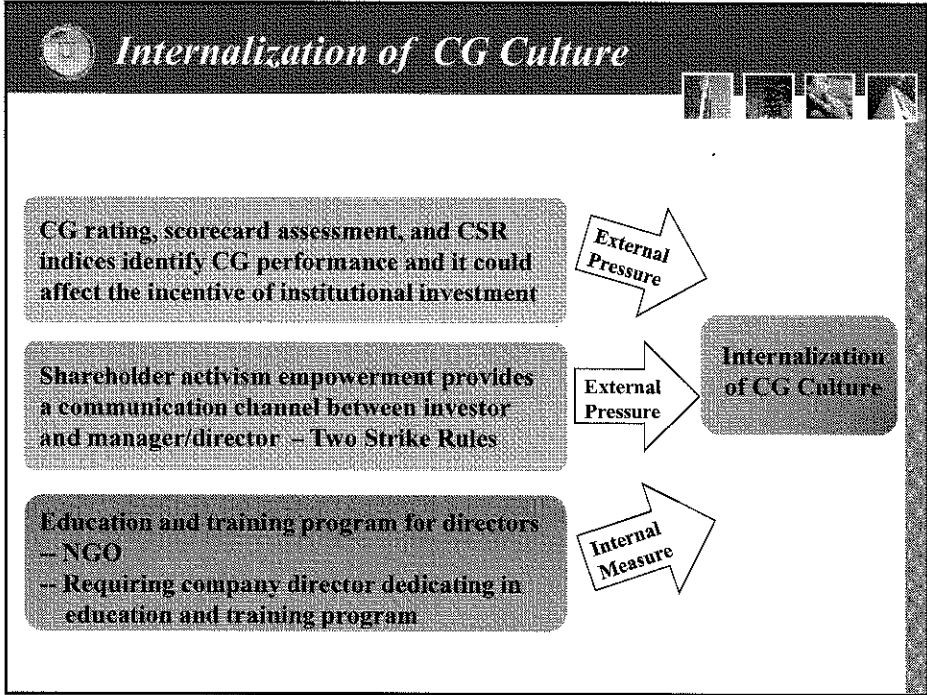
- Providing a bottom-up feedback mechanism to balance CG regulation and economy growth
 - Australian Institute of Company Director
 - The Institute of Directors in New Zealand
- Educating investors and further protecting and executing group lawsuits for investors against company
 - Securities and Futures Investors Protection Center (Chinese Taipei)
 - Financial Ombudsman Institution (Chinese Taipei)
- Acquiring the main income only from consultant fees for investor service to maintain independent
 - Center for Good Corporate Governance (Korea)




Rule or Principle-based Enforcement

Principle-based Enforcement

- ❖ The authorities should empower monitoring mechanisms and judicial efficiency.
- ❖ Misconduct Investigation
The authorities, stock exchange, and the courts should organize a cooperative and structured monitoring mechanism.




CG Standard and Culture Difference



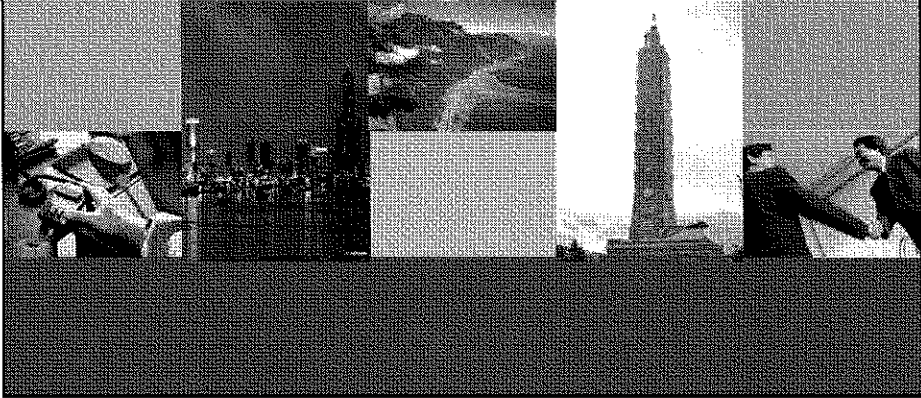
- **Does one size fit all ??**
 - The measures of CG performance assessment should be different and based on the level of capital market development
- **International CG Standard**
 - The authority should consider culture variation and capital market development
 - ◆ Board member diversification requirement

Conclusion



- ❖ APEC member should identify which CG reforms are more crucial at the present time and further empower the resources for authorities and NGO to internalize the CG culture.
- ❖ The economies are suggested to conduct varied CG practices to fit their own culture and capital market development.

Thank you for your Attention !



附件三：Summary Report on the APEC Roundtable Discussion on
Anti-Corruption and Public Sector Governance (文件編
號：2014/SOM1/EC/010)



**Asia-Pacific
Economic Cooperation**

2014/SOM1/EC/010

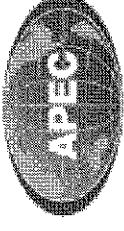
Agenda Item: 6

**Summary Report on the APEC Roundtable
Discussion on Anti-Corruption and Public Sector
Governance**

Purpose: Information
Submitted by: Chinese Taipei



**First Economic Committee Meeting
Ningbo, China
23-24 February 2014**



Economic Committee

*Summary Report on the APEC
Roundtable Discussion on
Anti-Corruption and Public Sector
Governance*

Chinese Taipei

2014/2/23

APEC

Roundtable Discussion on Anti-Corruption and Public Sector Governance

Chinese Taipei

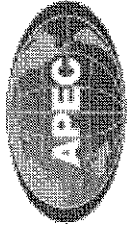
January 13, 2014



Economic Committee

**Host: Research, Development and Evaluation Commission,
Chinese Taipei.**

Sponsor: Civil Service Development Institute, Chinese Taipei.




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Outline

1. Goals and Background
2. Discussion Topics
3. Participation
4. Experience Sharing from Economies
5. Viewpoint from Invited Speakers
6. Conclusions and Results


1. Goals and Background

- Time and Venue:
13 Jan 2014, Taipei
- Invited the EC and ACTWG members to join discussion



 **APEC Roundtable Discussion on Anti-Corruption
and Public Sector Governance**

**Chinese Taipei
January 13, 2014**

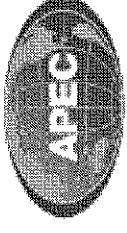
 **APEC
Economic Committee**

Host: Research, Development and Evaluation Commission,
Chinese Taipei.

Sponsor: Civil Service Development Institute, Chinese Taipei.

1. Goals and Background (cont.)

- Strengthen trust, integrity, and ethics in the public sector
- Improve the quality of public sector governance and enhance public accountability
- Provide a platform for APEC economies to share experience and insights on anti-corruption activities
- Identify the future challenges related to government integrity and learn how to solve them



2. Discussion Topics

- (1) Experiences to date on fighting corruption:
- Agencies or mechanisms responsible for monitoring and investigating fraud;
 - Anti-corruption priorities and the current status;
 - Examples related to anti-corruption activities for the public sectors

2. Discussion Topics (cont.)

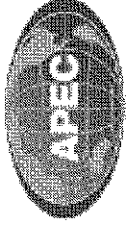
(2) Challenges / Lessons Learned:

- Challenges to anti-corruption activities;
- What have been learned so far?

2. Discussion Topics (cont.)

(3) Future Plans:

- Possible solutions to anti-corruption challenges;
- The future anti-corruption initiative programs

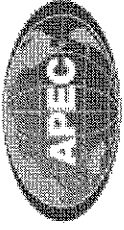
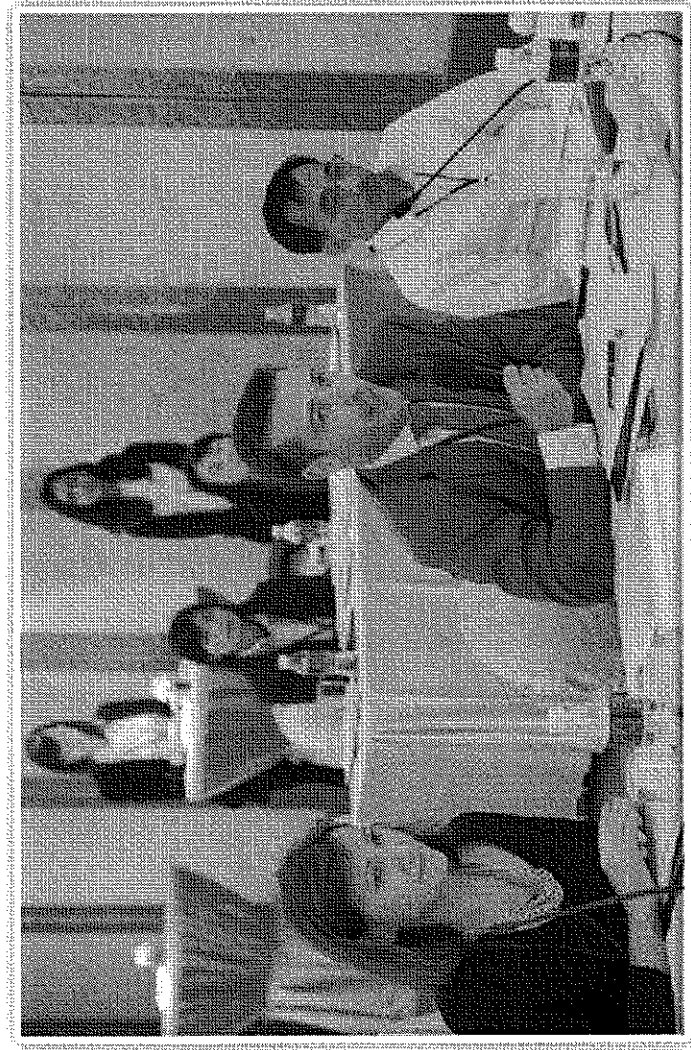


Economic Committee

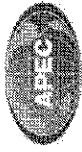
3. Participation

- China
- Indonesia
- Korea
- Malaysia
- New Zealand
- The Philippines
- Russia
- Chinese Taipei





Economic Committee



APEC
Roundtable Discussion
on Anti-Corruption and
Public Sector Governance
 Chinese Taipei
 January 13, 2014



Host: Research, Development and Evaluation Commission,
 Chinese Taipei.
 Sponsor: Civil Service Development Institute, Chinese Taipei.



Economic Committee

4. Experience Sharing

➤ Korea: Integrity Assessment Program (2002-2013)

Comprehensive integrity assessment model

Surveyed 653 organizations, 2,628 lines of work, about 240,000 people in 2013

Integrity levels have continued to improve

Wins 2012 UN Public Service Awards

4. Experience Sharing (cont.)

➤ Malaysia:

Committee on Integrity Governance

Corporate Integrity Pledge

Integrity Pact

Mega Project Monitoring

4. Experience Sharing (cont.)

➤ New Zealand:

Integrity + Performance = Confidence

Integrity system

The role of State Services Commissioner

Features that support integrity

Factors mitigating corruption

4. Experience Sharing (cont.)

➤ Russia:

Engaging Business Community into
Efforts on Prevention of Corruption

Anticorruption Charter of the Russian
Business Society in 2012

Regulation of lobbying activities

4. Experience Sharing (cont.)

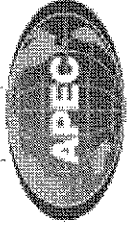
➤ Chinese Taipei:

New concept of integrity

Strategies and approaches of warning
and corruption prevention

Drafting Whistleblower Protection Act

Further-Preventing Corruption Mechanism



5. Invited Speakers

- Professor Ting GONG from City University of Hong Kong reviewed the recent practices of global anti-corruption enforcement, including preventing private to private corruption and Hong Kong's experience on controlling conflict of interests.
- Transparency International Chinese Taipei: Assistant Professor Ernie KO introduced the transnational advocacy & research capacity of anti-corruption while Assistant Professor Carol LIN analysed the achievement and challenges of prosecuting corruption and the white-collar criminals in Chinese Taipei.



6. Conclusions and Results

- Five common trends:
 - (1) Active anti-corruption agencies
 - (2) Rule-based integrity management and effective implementation of rules
 - (3) Promote value-based integrity management
 - (4) Importance of assessment, transparency and accountability
 - (5) Civil society participation



Economic Committee

Thanks for your attention.

Chinese Taipei

Integrity Assessment

Anti-Corruption & Civil Rights Commission
The Republic of Korea

Contents Integrity Assessment

- I** | Concept and Background
- II** | Objectives and Features
- III** | History of Development
- IV** | Operational System
- V** | Assessment Model Structure
- VI** | Effectiveness
- VII** | Achievements
- VIII** | International Recognition & Technical Assistance