



**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/001**

Agenda Item: 2

## **Draft Agenda**

Purpose: Consideration  
Submitted by: ACT Chair



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

**DRAFT AGENDA**

**19<sup>th</sup> ACTWG Meeting, Beijing-China.**

13th August 2014  
Venue: Beijing Hotel

**DAY 1: 13<sup>th</sup> August 2014**

**01 – Registration (8:30 - 9:00 am)**

**02 - Opening Remarks (09:00 - 09:30 am)**

- Welcome remarks by Mr. FU Kui, Vice Minister of National Bureau of Corruption Prevention of China (P.R. China)
- Introductions by ACT Delegations
- Administrative announcements for the meeting (**host representative**)
- Session chaired by New ACT Chair, Mr. CAI Wei, Deputy Director General of Department of International Cooperation of Ministry of Supervision (P.R. China)

**03 - Adoption of Agenda (09:30 - 09:40 am)**

- ACT delegates to adopt the agenda of the 19<sup>th</sup> ACT Meeting
- Endorsement of the 18<sup>th</sup> ACT Meeting Summary Record

**04 – APEC Secretariat Report (09:40 - 09:55 am)**

- Update on APEC Project Management and intersessional issues (APEC Secretariat)

**05 – Direction of ACT Work in 2014 (9:55 – 10:30 am)**

- ACT-NET 1st Meeting: List of Focal Points; endorsement of Terms of Reference/ Administrative Arrangements; (Discussion led by ACT Chair)
- The United States to present two drafts for members discussion and consideration:
  - ‘APEC Principles on the Prevention of Bribery and Enforcement of Anti-bribery Laws’;
  - ‘APEC General Elements of Effective Corporate Compliance Programs’.

**Coffee Break (10:30 - 10:45 am)**

**06 – Members’ opportunity to report on anti-corruption progress and development on implementing the UN Convention against Corruption (UNCAC) and other Initiatives related to Anti-corruption and Transparency since the 18<sup>th</sup> ACT Meeting(10:45 am - 12:15 pm)**

- (Economies to share their reports)

**07 – ACT Strategic Plan 2013-2017 (12:15 - 12:30 pm)**

- ACT Strategic Plan -Discussion Points- by ATAARI Consultant (Discussion led by **ACT Chair**)

**Lunch (12:30 – 14:30 pm)**

**08– Reports on Ongoing and Proposed Projects and ACT Initiatives and Related Synergies with Other Relevant International Fora (14:30 - 15:30 pm)**

- Outcomes of the ACT-StAR workshop on "International Recovery of the Proceeds of Corruption", held on 21st February 2014 in Ningbo, China (**P.R.China**)
- Update on the ACT-OECD Workshop on "Combating Business Bribery " to be held on 14<sup>th</sup> August 2014 in Beijing (**P.R. China**)
- Update on the second workshop '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', to be held on 22-24 September 2014 in Bangkok (**Thailand**).
- Update on the initiative "Capacity Building of Law Enforcement Agents for a more Efficient Fight Against Corruption and Money Laundering" (**Peru**) (TBC)
- Update on the project "APEC Guide to Mutual Legal Assistance" (**Australia**)

**09 – Report from International Organizations on their Anti-Corruption activities and Synchronizing with ACT (15:30 – 16:15 pm)**

- United Nations Development Programme (UNDP)
- United Nations Office on Drugs and Crime (UNODC)
- Organisation for Economic Co-operation and Development (OECD)
- The World Bank Group
- International Anti-Corruption Academy (IACA)
- Transparency International (China)
- Asian Development Bank/OECD Anti-Corruption Initiative for Asia and the Pacific (ADB-OECD)
- Invited Guest (American Bar Association)

**Coffee Break (16:15 - 16:30 pm)**

**10 – Deliverables (16:30 – 17:00 pm)**

- Draft ACT statement for the 2014 Leader's Declaration (Discussion/edition/endorsement led by **ACT Chair**)
- Other ACT deliverables during 2014

**11 – Implementation of APEC anti-corruption commitments (17:00 – 17:20 pm)**

- Interim Report II due 2014. (Economies to share their reports)

**12 – Other Issues (17:20 – 17:30 pm)**

- Meetings Documentation Classification (**APEC Secretariat**)
- ACT Chairmanship 2015 (**Philippines**)

**13 – End of Meeting (17:30 pm)**

- ACT Chair's final remarks

**DAY 2: 14th August 2014**

**High-Level APEC Anti-Corruption Workshop on Combating Business Bribery (9:00 – 17:00 pm)**  
**Welcome Dinner hosted by Minister of Supervision, China (18:00 – 19:30 pm)**  
**(See separated program)**

**DAY 3: 15th August 2014**

**1st ACT-NET meeting**  
**(9:00 – 17:15 pm)**  
**(See separated agenda)**



**Asia-Pacific  
Economic Cooperation**

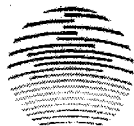
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**2014/SOM3/ACT/002**

Agenda Item: 2

**Summary Record – 18<sup>th</sup> Anti-Corruption and  
Transparency Experts' Working Group Meeting**

Purpose: Information  
Submitted by: ACT Chair



**APEC**  
CHINA 2014

**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

**Summary Record  
APEC Anti-Corruption and Transparency Expert's Working Group Meeting  
20th February, 2014. Ningbo, China (SOM 1)**

**Executive Summary**

The 18th meeting of the APEC Anti-Corruption and Transparency Experts' Working Group (ACT) was held in Ningbo, China, on 20th February, 2014, followed by the ACT-StAR 'Workshop on International Recovery of the Proceeds of Corruption' on 21<sup>st</sup> February.

The 18th ACT meeting was chaired by Kong Xian Ren (China), and it was attended by the 21 APEC member economies, as well as by representatives from International Anticorruption Academy (IACA), OECD, Transparency International (China), UNODC, World Bank, and American Bar Association (ABA).

**Key outcomes of the 18th ACT meeting include:**

1. Members adopted the agenda of the 18th ACT Meeting and endorsed the 17th ACT Summary Record submitted by the Secretariat. Members endorsed the ACT Work plan 2014-with the provision that they will need to polish a paragraph of the text.
2. Members welcomed the report presented by ACT Vice Chair (Indonesia) on the ACT achievements during 2013. Members also received a briefing on China priorities for 2014 and expected ACT deliverables during this year. Members were encouraged to send as soon as possible their Interim Report II: Implementation of APEC anti-corruption commitments, in order to submit them to high levels including APEC Leaders.
3. Members discussed the establishment of the ACT-NET and supported the initiative to hold the ACT-NET first meeting in the margins of SOM3. China proposed the constitution of a specific ACT-NET Secretariat, which would be run by expert members on voluntary basis. Members will further discuss on this issue and will send suggestions and feedback to develop an ACT-NET Work plan and the administrative arrangements proposed by China. Members agreed to send to the Secretariat their ACT-NET focal points by May 2014.
4. Members welcomed the Secretariat's report on ACT intersessional work which highlighted the development of the Remote Participation System for APEC meetings and the creation of a secure page under the APEC Collaboration System (ACS) to facilitate the future work of ACT-NET. Members also welcomed the update of the APEC Project Management Unit Leader on project's issues.
5. Members from Brunei Darussalam, Chile, China, Indonesia, the Philippines, New Zealand, Papua New Guinea, Chinese Taipei, Singapore, Thailand, the United States and Viet Nam, shared their reports on developments and progress on implementing the UN Convention against Corruption (UNCAC) and other domestic initiatives and legal advances related to anti-corruption and transparency.
6. Representatives from Transparency International (China), World Bank, UNODC, OECD and International Anti-Corruption Academy presented reports on recent activities related to transparency and anticorruption and on opportunities to collaborate with ACTWG.
7. Members received reports on ongoing and proposed projects for 2014 and related synergies with other relevant international fora.
8. Members endorsed the concept note (CN) presented by Peru 'Capacity Building of Law Enforcement Agents for a more Efficient Fight against Corruption and Money laundering' to be submitted to BMC session1. Chile and the Philippines stepped forward to be co-sponsoring economies of the CN.
9. Chile and Thailand presented the first part of the Handbook "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 second part will be developed by Thailand during 2014 under the multi-year project M SCE 01 12A.

*FINAL DRAFT*

10. Regarding the 2014 Leader's Declaration the ACT Chair will draft and send intersessionally a text for members review and feedback to adopt a clean version at the upcoming ACT meeting in SOM3. Members were encouraged to send suggestions for the 2014 Leader's Declaration.
  
11. The next ACT meeting as well as the first ACT-NET meeting will be held at SOM3 of 2014. Update: SOM3 meetings will hold in August in Beijing-China (TBA).

**The APEC ACT-StAR 'Workshop on International Recovery of the  
Proceeds of Corruption'  
Ningbo, China- 21st February 2014**

More than a hundred participants from the 21 APEC economies, local governmental officials, and representatives of IACA, OECD, World Bank, TI, and UNODC, attended the 'ACT-StAR Workshop on International Recovery of the Proceeds of Corruption' held in Ningbo on 21st February. The workshop was organised by the Ministry of Supervision of China and StAR (World Bank/UNODC). The workshop was inaugurated by the Minister of Supervision of China Mr. Huang Shuxian.

The workshop had five sessions:

Opening Session chaired by Mr. Cui Shaopeng, Secretary General of Ministry of Supervision, P.R. China;

Part I: International Standards on Asset Recovery (StAR), chaired by Mr. David Pimm, Senior Policy Research Analyst, International Crime and Terrorism Division (ICT), Foreign Affairs, Trade and Development Canada;

Part II: Barriers to Asset Recovery and Responses, also chaired by Mr. David Pimm;

Part III: Country experiences on Asset Recovery, chaired by Mr. Jean Pseme, Expert of World Bank, and

Part IV: Conclusions and Way forward, chaired by ACT Chair: Mr. Kong Kong Xian Ren, Director General, Department of Foreign Affairs, Ministry of Supervision, P.R. China.

A report on this workshop will be delivered by the organizers in the upcoming ACT meeting.



**Summary Record**  
**APEC Anti-Corruption and Transparency Expert's Working Group Meeting (ACT 18)**  
**20th February, 2014. Ningbo, China (SOM 1)**

The 18th meeting of the APEC Anti-Corruption and Transparency Experts' Working Group (ACT) was held in Shangri-La Hotel, Ningbo on 20th February, 2014, followed by the ACT-StAR 'Workshop on International Recovery of the Proceeds of Corruption' on 21<sup>st</sup> February.

The 18th ACT meeting was chaired by Mr Kong Xian Ren (Director General, Department of Foreign Affairs, Ministry of Supervision, P.R. China), and it was attended by the 21 APEC member economies. Following representatives from international organisations and invited guests also attended the meeting:

Mr Georg Grabenweger (IACA); Ms Nejlá Saula, and Mr Joydeep Sengupta (OECD); Mr Ren Jianming (Transparency International -China); Mr Vladimir Kozin (UNODC); Mr Bank Jean Pesme (World Bank -StAR); and Mr Peter Ritchie (American Bar Association [ABA]).

**Agenda Item 1- Opening Remarks**

The ACT Chair, Mr Kong Xian Ren welcomed all participants to the 18th ACT meeting in Ningbo, remarking that during this year there will be great opportunities at international level and within ACT for collaboration among member economies to eradicate corruption and to promote transparency. He expressed his confidence that ACT will have a successful and fruitful work during 2014 including important deliverables, projects and new initiatives that will be addressed during this meeting.

**Agenda Item 2- Adoption of the Agenda**

ACT members adopted the agenda of the 18th ACT Meeting (2014/SOM1/ACT/001), and endorsed the 17th ACT Meeting Summary Record (2014/SOM1/ACT/002).

**Agenda Item 3- Direction of ACT Work during 2014**

**A. China Priorities for 2014**

A representative of the SOM I Chair's office from **P.R. China** briefed on APEC 2014 Priorities.

China proposed to conduct the APEC work during 2014 under the theme "*Shaping the Future through Asia Pacific Partnership*" to allow member economies to join efforts in fostering a forward looking Asia-Pacific partnership that would continue to empower APEC to lead and coordinate global economic recovery. In order to support such efforts, China has identified three priority areas:

1. Advancing Regional Economic Integration; with the view that APEC members work to embark on the Free Trade Area in Asia Pacific (FTAAP) process, promote investment cooperation, and enhance information sharing through Free Trade Agreements (FTAs).
2. Promoting Innovative Development, Economic Reform and Growth. The purpose of practical cooperation under this priority area is to explore new areas of growth through innovation and reform that foster an open economy. Practical areas of cooperation are: economic structural reform, financing, taxation, green economy, innovative growth, sustainable energy and resources, blue economy, internet economy, urbanization, cross-border e-commerce, food security, mining, and forestry.
3. Strengthening Comprehensive Connectivity and Infrastructure Development. Cooperation efforts will focus on promoting hardware, software, and people to people connectivity. Plans include among others, the development of a Asia-Pacific Connectivity Blueprint; exploring the expansion of financing channels for infrastructure development; strengthening regional fiscal and financial cooperation, facilitating cross-border education; and establishing all-directional, multi-tiered and comprehensive connectivity structure across Asia Pacific.

**B. ACT Work Plan 2014**

China presented the draft of the ACT Work plan 2014 for members' consideration which was adopted after discussion and revision. (2014/SOM1/ACT/003rev1).

**Expected outcomes/deliverables from the ACT Work Plan for 2014:**

**1. Meetings and Workshops**

- APEC Round Table Discussion on Anti-Corruption and Public Sector Governance, held on 13 January in Chinese Taipei.
- Workshop on "International Recovery of the Corruption Proceeds" (Ningbo, China – SOM1)
- 1<sup>st</sup> ACT-NET meeting (China – SOM3)
- Workshop on "Combating Business Bribery" (China – SOM3)
- Workshop on "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" to be held in Thailand in September 2014.

**2. Constitution of the ACT-NET**

China briefed on the process of establishment of the APEC Network of Anti-Corruption Authorities and Law Enforcement Agencies (ACT-NET) in 2014 operating under the auspices of the ACT. The network will facilitate anticorruption cooperation on case investigation and prosecution, expertise and experiences discussion and sharing, etc.

China expressed interest in using technical support from the Secretariat to help the network future work. The U.S. remarked that as agreed previously by ACT this should be kept as an informal process at this point, and that the group should try not to duplicate focal points from ACT. Members agreed to send to the Secretariat focal points for the ACT-NET by May 2014.

The U.S. and Canada welcomed the solid work plan, although expressed some concern particularly on a paragraph of section '1. Advancing pragmatic cooperation among member economies', which proposes the establishment of a cross-border mechanism that empowers information exchange concerning visa applications to stop fleeing perpetrators, which US would adopt in brackets in order to provide some language to the text.

Chile, Indonesia, Russia and Canada expressed support of the work plan and remarked on the need to clarify some practical aspects of the ACT-NET structure, particularly the AC-NET Secretariat and governance guidelines. China offered some clarification on this point highlighting the need to build a separate Secretariat for AC-NET to be conducted by an expert of the group on voluntary basis.

**3. Practical Tools**

APEC economies are encouraged to use existing mechanisms, such as the Global Focal Point (GFP) Network for Asset Recovery, and develop new tools to expedite regional collaborations against international corruption.

- Compilation of MLA Guide - to conduct mutual legal assistance (MLA) programs among APEC economies (Australia)
- Compilation of APEC Asset Recovery Guide Books - to provide information on each economy's asset recovery tools, authorities, and procedures (member economies)

**4. Beijing Declaration**

This declaration by APEC Leaders' would enumerate a high-level commitment to principles and actions mainly regarding graft fugitive repatriation and denial of safe havens, international asset

recovery, and domestic and foreign bribery. Potentially, it will also include initiatives related to transparency, beneficial ownership, and whistleblower protection.

### **C. ACT Strategic Plan**

Members were encouraged to discuss and propose suggestions to update the ACT Strategic plan (2014/SOM1/ACT/016), which is considered a living document. The Strategic Plan includes other important deliverables for 2014, namely the **Interim Report II: Implementation of APEC anti-corruption commitments**. Members were encouraged to send to the Secretariat their Interim Reports as soon as possible in order to submit them to high levels including APEC Leaders.

#### **Agenda Item 4 – Reports on 2013 ACT achievements during Indonesia year.**

Members welcomed the report presented by ACT vice Chair from Indonesia on the ACT achievements during 2013, which included:

##### **1. Meetings**

- The ACT 16<sup>th</sup> Meeting and the 17<sup>th</sup> Meeting held in Jakarta SOM1 and in Medan (SOM3), Indonesia.
- The Joint Meeting of the Anti-Corruption and Transparency Experts' Working Group (ACT) and the Experts Group on Illegal Logging and Associated Trade (EGILAT), held in Medan, Indonesia, 26 June 2013.
- The ACT-NET Pre-meeting in Bali, 18-19 September 2013.

##### **2. APEC-funded and self-funded workshops and seminars**

- APEC Pathfinder on Combating Corruption and Illicit Trade, held in September 23-25, 2013, in Bangkok, Thailand.
- ACT Workshop "Challenge and Strategy of Strengthening Anti-Corruption Authorities in Combating Corruption in a Modern World", held in SOM1 in Jakarta.
- Workshop "Strengthening Integrity through Public-Private Partnership: Preventing Facilitation Payment and Managing Gratuities", held on 24 June at SOM3 in Medan.
- APEC-ASEAN Pathfinder Project on Combating Corruption and Illicit Trade, held in June 2013 (Siem Reap, Cambodia).
- "Capacity-Building Workshop 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 Growth". First workshop held in June 11-13, 2013 in Santiago of Chile.

##### **3. Other Initiatives**

- Advance on the constitution of Law Enforcement Authority Network (ACT-NET) under the ACTWG.
- Collective efforts in the fight against corruption with other international organizations including the OECD, UNODC, Transparency International, the World Bank and International Anti-Corruption Academy (IACA).

##### **4. Other Deliverables**

- The ACT Workplan 2013
- Contributions to the 2013 Ministers and Leaders' declarations.
- The ACT Strategic Plan 2013-2017, endorsed by ACT and submitted to SCE for consideration.

#### **Agenda Item 5 – APEC Secretariat Report**

The Secretariat shared a report on ACT intersessional work and Secretariat's issues highlighting the develop of the Remote Participation System for APEC meetings and the creation of a secure page within the APEC Collaboration System (ACS) to facilitate the future work of ACT-NET.

China expressed high interest in using Secretariat's Remote Participation System to facilitate ACT-NET's future work, as suggested by the Secretariat.

In its report the Secretariat also referred to meeting documents submitted for members information such as: 'APEC Secretariat Report on Key Developments - February 2014'; the Summary Report of the Joint Meeting of ACT and the Experts Group on Illegal Logging and Associated Trade (EGILAT), and the 'APEC 2013 Tasking Statement' (for 2014) endorsed intersessionally by SOM on 24 January, which provides guidance for 2014 for the work of all sub fora including ACT.

Members also welcomed the update of the APEC Project Management Unit Leader Ms Nadira Maillewa on project's issues.

**Agenda Item 6 – Members' opportunity to report on development on implementing the UN Convention against Corruption (UNCAC) and other Initiatives related to Anti-corruption and Transparency**

Members from Brunei Darussalam, Chile, China, Indonesia, the Philippines, New Zealand, Papua New Guinea, Chinese Taipei, Singapore, Thailand, the United States and Viet Nam shared their reports on developments and progress on implementing the UN Convention against Corruption (UNCAC) and other domestic initiatives and legal advances related to anti-corruption and transparency.

For reference reports can be found in following meeting documents:

- 2014/SOM1/ACT/005 (Singapore)
- 2014/SOM1/ACT/013 (Chinese Taipei)
- 2014/SOM1/ACT/018 (Thailand)
- 2014/SOM1/ACT/020 (Papua New Guinea)
- 2014/SOM1/ACT/022 (China)
- 2014/SOM1/ACT/023 (Chile)

**Agenda Item 7 – Reports on Ongoing and Proposed Projects and ACT Initiatives and Related Synergies with Other Relevant International Fora**

Members received reports on ongoing and proposed projects and related synergies with other relevant international fora.

- **Australia** shared a report of the APEC-funded project 'APEC Guide to Mutual Legal Assistance'. The guide as reported is to be completed by June 2014.
- **The United States** updated on the self-funded APEC Pathfinder Project on Combating Corruption and Illicit Trade, September 23-25, 2013, Bangkok, Thailand, and presented the 'Chair's Summary of APEC Pathfinder Dialogue with ASEAN and Pacific Islands Forum (PIF) Partners: Combating Corruption and Illicit Trade across the Asia-Pacific Region' (2014/SOM1/ACT/006).
- **Chile and Thailand** updated on the multi-year project "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 Growth" (2014/SOM1/ACT/019). The first workshop was held in June 11-13, 2013 in Santiago of Chile and a presentation of the first part of the handbook is given in detail under agenda item 10. The 2nd workshop of this project is to be held in September 2014 in Thailand (TBA).
- **Chinese Taipei** presented a report on the APEC Round Table Discussion on Anti-Corruption and Public Sector Governance, held on January 13th, 2014 in Chinese Taipei. (2014/SOM1/ACT/014)

- **The United States** reported on the 4<sup>th</sup> Global Focal Point Conference on Asset Recovery, held on July 3-5, 2013 in Bangkok, Thailand.
- **Peru** submitted for members' consideration the Concept Note "Capacity Building of Law Enforcement Agents for a more Efficient Fight against Corruption and Money Laundering" (2014/SOM1/ACT/008). Members endorsed this concept note which will be submitted to BMC session1. Chile and the Philippines stepped forward as to be co-sponsoring economies of the CN.
- **The Secretariat** submitted for members information the Summary Report - Joint Meeting of the Anti-Corruption and Transparency Experts' Working Group (ACT) and the Experts Group on Illegal Logging and Associated Trade (EGILAT) (2014/SOM1/ACT/007)
- **The ACT Chair** updated members on the preparations of the ACT Network First Meeting to be held in the margins of SOM 3 meeting, in August 2014 (Beijing) (TBC). He also presented for members' consideration the Work Plan of the ACT-NET (2014/SOM1/ACT/009).

#### **Agenda Item 8 – Report from International Organizations on their Anti-Corruption activities and Synchronizing with ACT**

Members welcomed the participation of Mr Georg Grabenweger (IACA); Ms Nejla Saula, and Mr Joydeep Sengupta (OECD); Mr Ren Jianming (Transparency International -China); Mr Vladimir Kozin (UNODC); Mr Bank Jean Pesme (World Bank –StAR), and Mr Peter Ritchie (American Bar Association [ABA]) who shared their reports on recent activities related to transparency and anticorruption and opportunities to collaborate with ACTWG.

Meeting documents: 2014/SOM1/ACT/024 (IACA); 2014/SOM1/ACT/025 (Transparency International - China).

#### **Agenda Item 9 – Expected Outcomes and Deliverables for ACT in 2014 and Beyond**

**ACT Chair** recapped on the expected outcomes and deliverables for 2014 as proposed in the ACT Work Plan adopted by the group which includes series of meetings and workshops to be held in 2014. He remarked the need of enhance collaboration and active participation among APEC member economies, stressing that the ACT 2014 deliverables have a wide scope of topics related to fighting corruption and ensuring transparency; the Constitution of the ACT-NET; a couple of Practical Tools, and the Beijing Declaration on anticorruption. (For more details see ACT Work plan 2014 document).

Regarding the 2014 Leader's Declaration the ACT Chair will draft and send intersessionally a text for members review and feedback to adopt a clean version at the upcoming ACT meeting in SOM3. Members were encouraged to send suggestions for the 2014 Leader's Declaration.

Members were also encouraged to send intersessionally suggestions and inputs to other expected deliverables and to submit their Interim Report II to the Secretariat. Members agreed to send to the Secretariat ACT-NET focal points by May 2014.

#### **Agenda Item 10 – Presentation of Best Practices**

**China and the United States** shared the Report on the work of China-US Joint Liaison Group's Anti-Corruption Working Group (JLG ACWG) (2014/SOM1/ACT/017).

**Chile and Thailand** presented the first part of the handbook under the project "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". **Thailand's** briefing: 2014/SOM1/ACT/021. **Chile** presented the Handbook (First Part) "Best Practices in Investigating and Prosecuting Corruption Using Financial Flow Tracking Techniques and Financial Intelligence": (2014/SOM1/ACT/012). **Chile** shared a briefing on the first workshop outcomes remarking that the handbook has exceeded its original expectations, since it is not just a summary of the workshop, but an intellectual creation that will be very useful for practitioners.

The handbook identifies the best tools to deal with the investigation and prosecution of complex criminal cases of corruption and money laundering.

Members including co-sponsored economies (the U.S. and Australia) expressed their high appreciation for this important ACT deliverable.

The second part of the handbook will be developed by Thailand after the second workshop during 2014 in the frame of the multi-year project M SCE 01 12A.

**Other Issues, Next Meeting and final remarks**

ACT Chair announced the upcoming ACT events at SOM3. The next ACT meeting as well as the first ACT-NET meeting will be held at SOM3 of 2014. Update: SOM3 meetings will hold in August 13-15 in Beijing-China (TBC).

In his final remarks ACT Chair thanked all members and invited guests for their active participation and contribution to the meeting as well as the Secretariat for its support. He highlighted the threats of corruption and illegal activities to economies and the need to develop stronger international synergies and efforts in finding better ways for fighting those threats. He stressed China's commitment in combating corruption and promoting transparency which will be reflected on the Beijing Declaration as contribution for the 2014 Leader's Declaration.

Members were invited to a Reception Dinner in Shangri-La Hotel, Ningbo, hosted by the Minister of Supervision Mr. Huang Shuxian.



**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/003**

Agenda Item: 3

## **Project Management Update**

Purpose: Information  
Submitted by: APEC Secretariat



**APEC**  
CHINA 2014

**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**



Asia-Pacific  
Economic Cooperation

Advancing  
Free Trade for Asia-Pacific  
Prosperity

# Project Management Update


## SOM3 & Related Meetings, August 2014



Prepared by  
APEC Project Management Unit

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**PROJECTS OVERVIEW:**  
**2014, Session 1: Concept Notes Approved**



Asia-Pacific  
Economic Cooperation

Number of Projects Requesting Funding	125
Value of Projects Requesting Funding	\$13,918,209
Number of Projects Approved	27
Value of Projects Approved	\$2,996,780
% of Concept Notes Approved	22%
Average Project Cost	\$110,992

*\* All figures are USD*



## PROJECTS OVERVIEW: Session 2, 2014: Funds Available Estimates



Operational Account (OA)	\$1,132,810
Trade & Investment Liberalisation and Facilitation Account (TILF)	\$423,341
APEC Support Fund (ASF) General Fund	\$1,046,689
<b>ASF Sub-funds</b>	
(i) Human Security	\$351,919
(ii) Health & Emerg Preparedness	\$352,115
(iii) TFAPII	\$143,712
(iv) Technology	\$377,089
(v) Energy Efficiency	\$1,334,275
(vi) ANSSR	\$1,748,506
(vii) Supply Chain Connectivity	\$1,615,615
<b>Total OA+TILF+ASF</b>	<b>\$8,526,071</b>

Note:

•Figures fluctuate based on contributions received, funds dispersed and monies returned;

•Figures are estimates as of 30 June 2014

•All Figures in USD.

## APPROVAL PROCESS: 2014 – Dates and Deadlines



**Session 1:** Concluded in July

**Session 2:** Mid-process, CN submission closed.


Proposals due –

- October 8 for October 27 approval; or
- October 29 for November 18 approval; or
- November 10 for December 5 approval

**2015 Sessions:** Dates to be announced by end 2014

## PROJECT RESOURCES

### Forms & resources on website



Asia-Pacific  
Economic Cooperation

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**Project Guidebook**

- Guidebook on SPEC Projects (EB Edition)

**Forms for Applicants**

- Competition Template (approved, BMC2 2012)
- Project Proposal Template (approved, BMC2 2012)
- SPC Self-Financing Project Proposal Cover Sheet (approved, BMC2 2012)
- QAF - Quality Assessment Form (approved, BMC2 2012)

**Resources for Applicants**

- Project Quality Training Materials - Presentation resources (example 2013)
- Developing APEC Concept Notes
- Proposal Development Material: Designing SPC Projects
- Funding Criteria for all APEC Funded Projects in 2014
- Quality Criteria for Assessing SPC Projects
- Guidelines for Applicants
- Applying for APEC Funds Overview

**Forms and Resources for Projects in Implementation**

- Identifying RFPs Template (approved, BMC2 2012)
- Multi-Year Project Request/Working Report Template
- Competition Request Template (approved, BMC2 2012)
- Sample Participant Evaluation Form
- Sample Local Evaluation Form
- Pay Claim and Maintenance Certification (Good Practice)
- Pay Claim and Maintenance Certification (Good Practice)

**Contracting Forms & Resources**

- APEC Contracting Forms & Resources List

**Projects**


- Overview
- Applying for Funds
- Implementing Projects
- Funding Sources
- Forms and Resources
- Projects Database
- Contracting Tenders and RFPs

**Find Out More**

- Requests for Proposals/Tenders
- Budget and Management Committee
- APEC Projects Database

## PROJECT RESOURCES

### Further assistance



Asia-Pacific  
Economic Cooperation

Further assistance on projects can be found:

- Through the APEC Secretariat: your Program Director or the PMU: <http://www.apec.org/ContactUs.aspx?t=Secretariat>  
PMU Program Director, Andrew R Lloyd: [arl14@apec.org](mailto:arl14@apec.org)
- In the *Guidebook on APEC Projects and Proposal Development Materials*:  
<http://www.apec.org/Projects/Forms-and-Resources.aspx>
- On the *AIMP Project Database* site:  
[http://member.aimp.apec.org/pdb\\_sites/default.aspx](http://member.aimp.apec.org/pdb_sites/default.aspx)
- Through your BMC or fora delegate



**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/005**

Agenda Item: 4

## **Introduction to ACT-NET Terms of Reference**

Purpose: Consideration  
Submitted by: ACT Chair



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

## Introduction to *ACT-NET Terms of Reference*

### 1. Drafting Background

At the 17<sup>th</sup> APEC Anti-Corruption and Transparency Working Group (ACTWG) Meeting in Indonesia, member economies agreed to establish a network of Anti-Corruption Authorities & Law Enforcement Agencies (ACT-NET), which the *2013 APEC Economic Leaders' Declaration* highlighted as a major step to “strengthen informal and formal regional and cross-border cooperation”. Based on our discussion, Indonesia as the 2013 ACTWG Chair presented the *Administrative Arrangements of the ACT Network* as the preparation document for the ACT-NET.

With the approval of all member economies, the 1<sup>st</sup> ACT-NET meeting is scheduled to be held in China on August 15<sup>th</sup> 2014. As the 2014 ACTWG Chair, China further developed ideas in the *Administrative Arrangements* and drafted an *ACT-NET Work Plan*, which was discussed at the 18<sup>th</sup> ACTWG Meeting in Ningbo, China. During the preparation of the supporting documentation for the 1<sup>st</sup> ACT-NET meeting, it is found more appropriate to incorporate the previous *Administrative Arrangements* and *ACT-NET Work Plan* into one consolidated document. In accordance with the international conventions of establishing such kind of anticorruption networks and mechanisms, the document is thus called the *ACT-NET Terms of Reference*.

### 2. Contents of the ACT-NET TOR

The *ACT-NET Terms of Reference*, divided into four parts, is intended to specify the network's purpose, structure and administrative arrangements:

*Part I Introduction*, which gives a brief account of the background of establishing the ACT-NET.

*Part II Purpose*, which elaborates on the vision of establishing the ACT-NET and the

functions it is expected to play within the ACTWG framework.

*Part III Structure*, which lays down the basic composition of the ACT-NET: 1) ACT-NET Chair; 2) ACT-NET focal points; 3) an ACT-NET Office responsible for its daily operation. It shall be noted here that due to the professional background of the ACT-NET, the ACT-NET Office is set up to help maintain smooth communication and exchanges for ACT-NET focal points under the guidance of ACTWG Chair (also the ACT-NET Chair). The Office is co-hosted by China and US, as China, being the 2014 ACTWG Chair, is willing to offer fund and human resources for the Office while US would like to provide technical and intellectual support. The China Academy of Discipline Inspection and Supervision (CADIS) will shoulder the responsibilities of maintaining the daily operation of the Office.

*Part IV Administration*, which briefs on the future work plan of the ACT-NET.

### **3. Purpose of drafting the ACT-NET TOR**

The current *ACT-NET Terms of Reference* is drafted and distributed to encourage APEC member economies' discussion concerning the basic arrangements for the network. After reviewing feedbacks and revising the draft accordingly, China will submit the final version at the 19<sup>th</sup> ACTWG meeting for official endorsement by member economies as a constitutional document of the network.





**Asia-Pacific  
Economic Cooperation**

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2014/SOM3/ACT/006rev1

Agenda Item: 4

**APEC Network of Anti-Corruption Authorities and  
Law Enforcement Agencies (ACT-NET) - Terms of  
Reference**

Purpose: Consideration  
Submitted by: ACT Chair



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

# **APEC Network of Anti-Corruption Authorities and Law Enforcement Agencies (ACT-NET)**

## **Terms of Reference**

(Draft)

### **1. Introduction**

Corruption erodes social integrity and fairness, undermines government accountability and public trust, and impedes healthy economic growth. Observing the urgent demand for enhancing joint effort against transnational corruption, we APEC economies are strongly obliged to advance greater collaboration among anti-corruption authorities and law enforcement agencies in the Asia-Pacific region. Building upon previous anti-corruption commitments, we agreed to establish a network of Anti-Corruption Authorities & Law Enforcement Agencies (ACT-NET) at the 17<sup>th</sup> APEC Anti-Corruption and Transparency Working Group (ACTWG) Meeting in Indonesia, 2013.

As a mechanism under the auspices of the ACTWG, the ACT-NET will follow directions given by the ACT Chair. The ACT-NET will supplement existing cooperation programs and assist in the implementation of ACTWG's decisions and of other international initiatives against corruption. 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.

### **2. Purpose**

To this end, the ACT-NET defines its functions as follows:



- To establish and develop an inter-economy network connecting anti-corruption and law enforcement officers to enhance informal cross-border cooperation between agencies responsible for investigations and prosecutions of corruption, bribery, money laundering, and illicit trade and the identification and return of the proceeds of those crimes. The ACT-NET will function as an informal platform for regional anti-corruption investigators and prosecutors to more easily consult, coordinate, and share effective practices with their counterparts from other economies in order to more efficiently and effectively carry out these activities.
- To share experiences, case studies, investigative techniques, investigative tools, knowledge products, and effective practices in order to help build more efficient cross-border anti-corruption cooperation and enhance the capacity of member economies in fighting against corruption, bribery, money laundering, and illicit trade and the identification and return of the proceeds of those crimes. Such activities would include supporting, with the ACTWG, workshops and seminars to be held throughout the APEC region.
- To provide an informal platform for bilateral or multilateral cooperation where appropriate, subject to domestic laws and policies, in the areas of corruption, bribery, money laundering, and illicit trade as well as in the identification and return of the proceeds of those crimes. Through this informal platform, the ACT-NET will advance pragmatic anti-corruption cooperation activities in support of economies' commitments to the provisions of the United Nations Convention against Corruption (UNCAC) where appropriate. On the basis of its routine relationship-fostering efforts, the ACT-NET shall complement international efforts against corruption and bribery.

### **3. Structure**

Under the direction of the ACTWG, the ACT-NET will be composed of anti-corruption authorities and law enforcement agencies from APEC member economies. All economies identify specific focal points for ACT-NET-related

cooperation activities. With the concurrence of the ACTWG, the ACT-NET will also coordinate capacity building programs with relevant international organizations, institutions, associations and projects whose knowledge, experience and products can substantially contribute to the capacity building purpose of the ACT-NET.

The ACT-NET Chair shall be assumed on a rotation basis by the hosting economy of ACTWG each year. An ACT-NET Office will be established at the working level to handle the network's daily administrative tasks, including maintaining a list of focal points and providing assistance in conducting/coordinating capacity building programs. In close consultation with the ACT Chair, and the Friends of the ACT-NET, China will serve as the initial host of the Office in 2014-2015. ACT members will review the future hosting of the Office at the next ACT meetings in 2015.

#### **4. Administration**

The ACT-NET will meet annually prior to one of the ACTWG Meetings each APEC year. Celebrating its official establishment, the first meeting of the network is scheduled on August 15<sup>th</sup> 2014 in Beijing, China. The ACT-NET will report on its activities to ACTWG each year.

# **APEC Network of Anti-Corruption Authorities and Law Enforcement Agencies (ACT-NET)**

## **Terms of Reference**

### **1. Introduction**

Corruption erodes social integrity and fairness, undermines government accountability and public trust, and impedes healthy economic growth. Observing the urgent demand for enhancing joint effort against transnational corruption, we APEC economies are strongly obliged to advance greater collaboration among anti-corruption authorities and law enforcement agencies in the Asia-Pacific region. Building upon previous anti-corruption commitments, we agreed to establish a network of Anti-Corruption Authorities & Law Enforcement Agencies (ACT-NET) at the 17<sup>th</sup> APEC Anti-Corruption and Transparency Working Group (ACTWG) Meeting in Indonesia, 2013.

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organizations, institutions, associations and projects whose knowledge, experience and products can substantially contribute to the capacity building purpose of the ACT-NET.

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## **Beijing Declaration on Fighting Corruption**

*APEC ACT's proposal for endorsement by APEC Senior Officials, Ministers and Leaders*

We APEC member economies recognize that corruption impedes economic sustainability and development, threatens social security and fairness, undermines the rule of law, and erodes government accountability, as well as public trust. We reaffirm the *Santiago Commitment to Fight Corruption and Ensure Transparency*, the *APEC Course of Action on Fighting Corruption and Ensuring Transparency*, as well as the *Vladivostok Declaration on Fighting Corruption and Ensuring Transparency*, which reflect our continued commitments to combat corruption across all sectors, including public sector and private sector, in the Asia Pacific region. We commend the Anti-Corruption and Transparency (ACT) Working Group for guiding us in strengthening our resolve to effectively fight corruption across borders, and for its commitment over the years to working across APEC subfora, with the APEC Business Advisory Council (ABAC), and with key regional and international partners.

We highly applaud the continued contributions of all APEC member economies to protect integrity and promote transparency and participation of society in the Asia-Pacific region. Acknowledging that increased global connectivity demands vigorous international cooperation to successfully combat corruption, we urge member economies to further intensify our collective efforts in the fight against corruption by strengthening existing cooperation and developing new areas of international collaboration within the APEC ACT framework.

With this vision in mind, we hereby call for more concerted efforts for international cooperation in the Asia-Pacific region, subject to domestic laws and policies, through the following actions:

-- Reaffirming our 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 Organisation 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.

-- Collectively pursuing efforts to nurture fair and open markets, and encouraging member economies to initiate, enact, implement, and continually perfect, where appropriate, legislation prohibiting bribery; recognizing the importance of intensifying cross-border cooperation to prevent, investigate and prosecute bribery; encouraging member economies to broaden and strengthen dialogues between governments and business communities in the fight against bribery; and welcoming tools and guidelines developed by member economies in this regard<sup>1</sup>.

-- Cooperating on anti-corruption cases through all feasible measures within the bounds of each economy's laws and regulations, and facilitating administrative arrangements for officials cooperating with each other in APEC member economies.

-- Taking all necessary measures in accordance with fundamental legal principles of each economy to implement and promote transparency, including strengthening corruption prevention bodies and anti-corruption policies, as well as welcoming the participation of society; establishing measures and systems to protect whistleblowers; attaching great importance to capacity building of anti-corruption and law enforcement authorities; and advancing exchanges, personnel training and technical assistance for member economies.

Building upon our past commitments to fight corruption and ensure transparency, we shall lead by example to continue our fight against corruption in the Asia-Pacific

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<sup>1</sup> Including the *APEC Principles on the Prevention of Bribery and Enforcement of Anti-bribery Laws* and the *APEC General Elements of Effective Corporate Compliance Programs*.

region. With fresh vigor and renewed momentum, we will take concrete actions and pursue additional effective measures as necessary to safeguard our common interests in social security, market integrity, the rule of law, and sustainable growth.



**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/007**

Agenda Item: 4

## **SCE Chair's Letter on Cross Fora Collaboration**

Purpose: Information  
Submitted by: ACT Chair



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**



SOM Steering  
Committee on ECOTECH

July 2014

Dear Mr Kong Xiangren,  
Chair, Anti-Corruption and Transparency Experts Working Group

The SOM Steering Committee on ECOTECH (SCE) has reviewed the 2014 annual workplans of the sixteen fora that we work with and identified areas where greater cross fora collaboration may be desirable. The attached table summarises the findings of the review and proposes some recommendations for consideration by fora.

We have undertaken this review as result of the findings of the survey of SCE fora undertaken last year which indicated that SCE should use its position of overview to identify gaps or overlaps in fora work. At the same time, in order to decrease the administrative burden on fora, we have ceased asking fora to provide an update to the SCE2 meeting on the progress of implementing their annual workplans.

I would be grateful if you could make the attached table available to your forum members and consider implementing the recommended action contained in the table as you progress your forum's work through the rest of this year and into 2015. There is an impressive amount of cross-fora cooperation taking place and we hope that providing these recommendations may lead to even greater levels of collaboration in future. A similar review of workplans will now take place annually, around the middle of the year.

For ACTWG, SCE is suggesting that you consider collaborating with the Experts Group on Illegal Logging and Associated Trade and the Small and Medium Enterprises Working Group both of which expressed an intention in their annual work plans to collaborate with ACTWG. Your Program Director at the APEC Secretariat will be able to assist you to contact these groups and obtain copies of their annual workplans.

Best regards,

Ms Laura Quiambao-Del Rosario  
2014 SCE Chair

Cc: SCE members

Fora	Proposed recommendations on planned collaboration set out in annual workplans
ACTWG	<p>SCE notes that the ACTWG workplan does not identify any collaboration with other fora.</p> <p>SCE recommends that the ACTWG make contact with the EGILAT and SMEWG regarding:</p> <ul style="list-style-type: none"> <li>• The EGILAT workplan notes an intention to seek a joint meeting with ACTWG to explore areas of joint interest in combatting trade associated with illegal logging.</li> <li>• The SMEWG workplan notes an intention to collaborate with ACTWG on business ethics.</li> </ul>
ATCWG	<p>SCE commends the ATCWG on the good specific identification of cross-cutting work with the HLPDAB, PPFS and ABAC in their workplan.</p> <p>SCE notes that section 3D of the ATCWG workplan mentions that HWG, OFWG, EPWG, EWG, CTI and PPWE cover topics that touch on agriculture but contains no details about planned collaboration. The workplans of those fora do not appear to include specific plans for collaboration with ATCWG.</p>
CTWG	<p>SCE commends the CTWG for the good specific identification of cross-cutting collaboration plans, although identification of specific fora for collaboration on secure finance and secure infrastructure could be improved.</p>
EGILAT	<p>SCE notes the EGILAT's plans for collaboration and recommends that contact be made with ACTWG and SCCP regarding:</p> <ul style="list-style-type: none"> <li>• Their intention to hold a joint meeting with ACTWG to strengthen law enforcement, build capacity and information sharing related to combatting illegal logging trade, as this activity is not mentioned in the ACTWG workplan.</li> <li>• Exploring with SCCP whether there is useful scope to discuss customs procedures and border control relating to forest products.</li> </ul>
EPWG	<p>SCE notes the many cross-fora areas of work identified in the workplan and suggests that EPWG provides a little more detail on each area of planned work in future plans.</p> <p>SCE supports the specific pieces of collaborative work set out in the workplan:</p> <ul style="list-style-type: none"> <li>• Work with SMEWG on business continuity planning</li> <li>• Continuing cooperation with TPTWG on global supply chain resilience</li> <li>• A policy dialogue on Emergency Response Travel Facilitation with BMG and SCCP.</li> </ul>
EWG	<p>SCE recommends that:</p> <ul style="list-style-type: none"> <li>• The EWG should consider reaching out to the MTF on plans for work to increase</li> </ul>

Fora	Proposed recommendations on planned collaboration set out in annual workplans
	<p>the share of natural gas in the energy mix and production, trade potential and environmental impacts of shale gas.</p> <ul style="list-style-type: none"> <li>• Make contact with the TPTWG whose workplan mentions follow up work from the 2011 APEC Transportation and Energy Ministers Conference that is not mentioned in the EWG workplan.</li> </ul>
HRDWG	<p>SCE recommends that:</p> <ul style="list-style-type: none"> <li>• The HRDWG contact the SMEWG whose workplan mentions collaboration on integrating SMEs into global supply chains that is not mentioned in the HRDWG workplan.</li> <li>• The HRDWG work on cross-border education may require contact with GOS.</li> <li>• The HRDWG's planned work on financial education and literacy should take account of work on that topic undertaken in the FMP.</li> <li>• HRDWG's should consider approaching BMG to collaborate on planned work towards an academic mobility card.</li> </ul>
HWG	<p>SCE recommends that:</p> <ul style="list-style-type: none"> <li>• The HWG continues close coordination with the LSIF, including considering the need for another joint HWG/LSIF High-Level Meeting</li> <li>• The HWG provides more specific details of planned collaboration in future workplans, the 2014 work plan emphasises cross fora coordination with LSIF, ATCWG, SCSC, EPWG, TELWG, ECSG and ABAC in section 3 but only provides specific details regarding the LSIF. Expected outcomes and deliverables do not indicate which, if any, fora will be collaborating on the work.</li> <li>• The HWG makes contact with the TPTWG whose workplan mentions collaboration with HWG on safety measures for motorcycle and scooter users, which is not mentioned in the HWG workplan.</li> <li>• The HWG makes contact with the SMEWG whose workplan mentions collaboration with HWG on business ethics in medical devices, construction and bio-pharmaceutical sectors, which is not mentioned in the HWG workplan.</li> </ul>
MTF	<p>SCE notes that the MTF provided its annual workplan late, around the time this report was prepared.</p> <p>SCE recommends that:</p> <ul style="list-style-type: none"> <li>• The MTF develop specific plans for collaboration with other fora rather than general identification of possible collaboration partners</li> <li>• The MTF consider collaborating with the EWG on work regarding greater use of natural gas as an energy source.</li> </ul>
OFWG	<p>SCE notes that</p> <ul style="list-style-type: none"> <li>• The OFWG is actively working to prepare an annual workplan for 2014 but has not been able to reach consensus yet.</li> <li>• No other forum mentioned any planned collaboration with OFWG.</li> </ul>

Fora	Proposed recommendations on planned collaboration set out in annual workplans
PPSTI	SCE notes the PPSTI's intention in their workplan to consider expanding coordination to EWG, HRDWG and ATCWG and encourages the development of specific proposals.
PPWE	<p>SCE notes that the PPWE provided its annual workplan late, around the time this report was prepared.</p> <p>SCE notes the general intention stated in the PPWE workplan to consult and cooperate with other fora to improve focus on gender perspectives in APEC work but recommends that in future workplans the PPWE identifies at least a few specific areas of collaboration with other fora.</p> <p>SCE recommends that the PPWE take note of work planned by other fora that references the PPWE and collaborates as appropriate:</p> <ul style="list-style-type: none"> <li>• SMEWG – integrating SME into global supply chain</li> <li>• EPWG – women in times of disaster</li> </ul>
SMEWG	<p>SCE commends the SMEWG workplan for containing a good level of detail on planned collaborative activities.</p> <p>SCE recommends that:</p> <ul style="list-style-type: none"> <li>• The SMEWG's work to improve SME access to finance should take into account the FMP's work in that area.</li> <li>• The SMEWG make contact with the EPWG whose workplan mentions collaboration on promoting SME business continuity planning, which is not mentioned in the SMEWG workplan.</li> </ul>
TELWG	<p>SCE notes that the TELWG provided its annual workplan late, around the time this report was prepared.</p> <p>SCE notes that the TELWG workplan does not detail any planned collaboration with other fora.</p> <p>SCE recommends that the TELWG make contact with the CTWG whose workplan mentioned collaborating with TELWG on cyber security.</p>
TPTWG	<p>SCE commends the TPTWG for preparing a workplan containing detailed and specific plans for collaboration, including all activities other fora identified for collaborative work with TPTWG.</p> <p>SCE suggests that the collaboration section of the TPTWG workplan could serve as a model for other fora both for the clear way it is set out and the comprehensive coverage.</p>

Fora	Proposed recommendations on planned collaboration set out in annual workplans
TWG	<p data-bbox="352 387 608 416">SCE recommends that:</p> <ul data-bbox="400 450 1321 618" style="list-style-type: none"><li data-bbox="400 450 1321 517">• The TWG should consider sharing the results of their planned work on taxation impacts on tourism competitiveness with the FMP</li><li data-bbox="400 517 1321 618">• While the cross-cutting section of the workplan was good it could be improved with more specific details on planned activities under the TFI, including specifically identifying fora to cooperate with.</li></ul>





**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/009**

Agenda Item: 6

## **SCE Chair's Letter on Strategic Planning**

Purpose: Consideration  
Submitted by: ACT Chair



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**



SOM Steering  
Committee on ECOTECH

20 March 2014

Dear Chairs and Lead Shepherds,

Almost two years ago the SCE began a process involving SCE fora changing their medium-term plans to strategic plans in order to better focus the goals of each forum and support the effective allocation of APEC resources. We envisaged that all fora would have strategic plans in place by the SCE-COW meeting in 2014.

At the recent SCE-COW meeting, on 25 February, we noted that thirteen fora had completed, or substantially completed, strategic plans and a further two fora were actively working to finalise a plan. Only one forum had made no progress. I want to thank fora members and the chairs and lead shepherds in particular for the obvious effort and good will that has been exhibited in getting to this point.

Having reviewed the strategic plans SCE has noted that not all the plans have met the standards hoped for and there remains room for improvement. In particular, many plans are not sufficiently focused on outcomes; many do not include key performance indicators or other such measurable deliverables; and some do not follow the template provided.

While acknowledging the great effort involved in getting to the current point, SCE is seeking further cooperation from fora to fine tune their strategic plans. SCE has asked the Secretariat to follow up with each forum to identify the specific areas that need attention. For this task the Secretariat will be assisted by a consultant provided by the US-ATAARI (US-APEC Technical Assistance to Advance Regional Integration) team. The Secretariat Program Director who works with each forum will be in contact with chairs and lead shepherds in the near future to discuss what is required.

Given that so much work on developing strategic plans has already been done I hope that the fine tuning can be completed relatively quickly. SCE will review progress at the SCE2 meeting in mid-May with a view to having all fine tuning completed by the time of SCE3 in August.

Best regards,

A handwritten signature in black ink, appearing to read "Laura Quiambao-Del Rosario". The signature is fluid and cursive, with the first name "Laura" being the most prominent.

Ms Laura Quiambao-Del Rosario  
2014 SCE Chair

To: Chairs/Lead Shepherds of: ACTWG; ATCWG;  
CTWG; EGILAT; EPWG; EWG; HWG; HRDWG; MTF;  
OFWG; PPSTI; PPWE; SMEWG; TELWG; TPTWG; TWG

Cc: SCE members





**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/010**

Agenda Item: 6

## **ACT Multi Year Strategic Planning 2013-2017**

Purpose: Information

Submitted by: APEC Secretariat

Forum Doc No. 2014/SOM1/ACT/016



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

# Anti-Corruption and Transparency

## Working Group (ACT)

### Multi Year Strategic Planning 2013-2017

#### 1. Introduction

The harm caused by corruption is far reaching and deeply damaging. Corruption is a major obstacle to social and economic development. It increases the cost of doing business and inhibits legitimate trade, investment, and enterprise. Corruption and bribery facilitate and provide an enabling environment for moving and exchanging drugs, arms, people, and stolen or pirated goods, as well as for funding criminal and extremist activities. Corruption also diverts precious resources away from the fight against hunger, disease and poverty; contributes to environmental destruction; and undermines public trust in government.

APEC Leaders acknowledge the serious threats posed by corruption to the Asia-Pacific community and have agreed that APEC economies should nurture and sustain good governance, economic development, and prosperity by working together to prevent and fight corruption and ensure transparency. The ACT Task Force was established in 2005 following Leaders' endorsement of the Santiago Commitment to Fight Corruption and Ensure Transparency and the APEC Course of Action on Fighting Corruption and Ensuring Transparency. In recognition of the need for ongoing action to combat corruption and promote transparency, as well as the ACT's good work, the ACT was upgraded in status to a working group in March 2011. The ACT is open to anti-corruption experts and law enforcement officials from all interested APEC member economies, APEC Observers (namely ASEAN, the Pacific Islands Forum, and the Pacific Economic Cooperation Council), and representatives from the APEC Secretariat and the APEC Business Advisory Council (ABAC).

#### Strategic Direction

The most recent statement of the APEC ACT's strategic direction and priorities was made in Vladivostok in 2012. Seven key themes from the Vladivostok Declaration are to cooperate within APEC to:

- Implement APEC anti-corruption commitments, including the UN Convention against Corruption
- Strengthen anti-corruption bodies and promote regional cooperation
- Build public-private partnerships, and empower communities to prevent and fight corruption
- Increase public sector transparency, integrity and good governance
- Enforce rigorously anti-bribery laws
- Vigorously fight corruption related to money laundering
- Strip criminal entrepreneurs, illicit transnational syndicates, and corrupt officials of their illicit wealth and promote effective return of recovered assets.

#### **APEC's vision:**

*"APEC is the premier Asia-Pacific economic forum. Our primary goal is to support sustainable economic growth and prosperity in the Asia-Pacific region. We are united in our drive to build a dynamic and harmonious Asia-Pacific community by championing free and open trade and investment, promoting and accelerating regional economic integration, encouraging economic and technical cooperation, enhancing human security, and facilitating a favorable and sustainable business environment. Our initiatives turn policy goals into concrete results and agreements into tangible benefits."*

## **2. Vision Statement**

The ACT will support the realization of the collective vision of an economically integrated, robust and secure APEC community in the 21st century and to ensure the implementation of the Santiago Commitment, the APEC Course of Action, and the APEC Transparency Standards within APEC fora.

In practice, APEC ACT members envisage an APEC community where:

- (i) All economies cooperate to develop robust anti-corruption laws and systems
- (ii) Anti-corruption bodies are strong and independent
- (iii) Public sectors are governed with integrity and transparency
- (iv) Communities and businesses demand high ethical standards, and are empowered to prevent and fight corruption and bribery
- (v) Corruption's detrimental impact on poverty, disease and environmental destruction is minimized, and
- (vi) Profit from corruption and associated transnational crime is minimized and proceeds of corruption are recovered.

## **3. Mission Statement**

The ACT shall support the establishment of legal, enforcement, and regulatory frameworks to prevent and combat corruption; cultivate a culture of open governance, transparency, and anti-corruption across all sectors; implement measures, processes, and standards that promote transparency and accountability; safeguard the environment from harm by corruption; enhance public-private sector cooperation and dialogue; and leverage collective action to combat illicit trade and dismantle transnational illicit networks across the Asia-Pacific region. (Summarized from the APEC website)

## **4. Critical Success Factors**

Elements vital for the strategy to be successful include:

- APEC members implement Leaders' commitments to fight corruption and promote transparency;
- APEC members ratify and implement key international frameworks, particularly the United Convention against Corruption (UNCAC);
- APEC ACT members take ownership and cooperate well with one another, as well as with other APEC sub-fora;
- APEC members and civil society organizations partner together effectively to advance and implement APEC commitments to combat corruption and promote transparency; APEC members share an understanding of how corruption facilitates and enables transnational crime, and cooperate to detect and disrupt criminal networks;
- APEC members cooperate to remove the profit from corruption and associated transnational crime, denying safe haven to corrupt officials and freezing, seizing, and recovering the proceeds of corruption.

## 5. Objectives 2013-2017

OBJECTIVES	KPI
<p>1. <i>Promote the effective implementation of existing APEC commitments</i></p>	<p>The ACT will promote implementation and keep economies accountable by requiring reporting on progress in implementation of previous APEC commitments &amp; key international standards.</p> <p><b>Specific processes and activities:</b></p> <ol style="list-style-type: none"> <li>Using a simple reporting template (that was agreed upon in 2011, member economies will report on progress towards meeting the key elements of Leaders' anti-corruption commitments, based on the: <ul style="list-style-type: none"> <li>Santiago Commitment to Fight Corruption and Ensure Transparency, 2004</li> <li>APEC Course of Action on Fighting Corruption and Ensuring Transparency, 2004</li> <li>APEC Anti-corruption Code of Conduct for Business, September 2007</li> <li>Conduct Principles for Public Officials, 2007</li> <li>Complementary Anti-Corruption Principles for the Public and Private Sectors, 2007</li> <li>Fighting Corruption through Improved International Legal Cooperation, 2007</li> <li>Singapore Declaration on Combating Corruption, Strengthening Governance and Enhancing institutional Integrity, 2009</li> <li>APEC Guidelines on Enhancing Governance and Anti-Corruption, 2009</li> <li>Vladivostok Declaration, 2012</li> </ul> </li> <li>Based on the concise template for interim reports, a full report will be provided to APEC Leaders in 2015.</li> <li>Member economies should submit the agreed-upon reports in a timely fashion.</li> </ol>
<p>2. <i>Support the APEC growth strategy:</i></p> <ul style="list-style-type: none"> <li><i>Combat corruption related to money laundering, illicit trade, and dismantle illicit networks.</i></li> <li><i>Promote sustainable growth &amp; enhance human security.</i></li> </ul>	<p>The ACT will:</p> <ul style="list-style-type: none"> <li>Promote the effective implementation of FATF anti-money laundering &amp; UNCAC anti-corruption standards;</li> <li>Promote capacity-building and cooperation to combat illicit trade and dismantle illicit networks;</li> <li>Promote ACT Guidelines on Financial Disclosures and Conflicts of Interest;</li> <li>Promote sustainable and inclusive green growth by tackling corruption-driven loss of biodiversity;</li> <li>Enhance human security by fighting crimes enabled by corruption, such as human (people) smuggling and trafficking in persons;</li> <li>Arrange events and workshops to identify and better understand challenges and establish cooperative mechanisms to tackle these challenges;</li> <li>Expand cooperation with all relevant APEC fora, related international organizations, civil society and the private sector.</li> <li>Develop/promote a code of conduct to address corruption and labor recruitment</li> </ul>



<b>OBJECTIVES</b>	<b>KPI</b>
	practices that contribute to trafficking in persons.
<p><b>3. Enhance public private partnerships and encourage civil society engagement</b></p>	<p>Equip member economies with information to develop and enhance public private partnership; as well as to encourage civil society engagement in efforts to prevent and combat corruption and enhance:</p> <ul style="list-style-type: none"> <li>• Organize workshop/seminars to provide platforms for experts, including representatives from the private sector and civil society organizations, to share their expertise and explore opportunities for partnership and collaboration;</li> <li>• Encourage reporting by member economies on outreach to and partnerships and collaboration with the private sector and/or civil society;</li> <li>• Encourage engagement with civil society and private sector which are complementary to the efforts of the APEC ACT;</li> <li>• Encourage international organisations to contribute to APEC ACT meetings.</li> <li>• Organize workshop/seminars to provide platforms for experts, including representatives from the private sector and civil society organizations, to share their expertise and explore opportunities for partnership and collaboration;</li> <li>• Encourage reporting by member economies on outreach to and partnerships and collaboration with the private sector and/or civil society.</li> <li>• Encourage civil society and private sector participation in APEC ACT meetings.</li> <li>• Encourage international organisations participation in APEC ACT meetings.</li> </ul>
<p><b>4. Formulate a public outreach strategy to gain the support of relevant stakeholders</b></p>	<ul style="list-style-type: none"> <li>• Improve awareness of and support for anti-corruption and transparency efforts across the APEC region.</li> <li>• Enhance effective use of modern digital and social media to prevent and combat corruption in APEC ACT members</li> </ul>

## 6. Implementation Schedule

KPI	Activities/Actions	Timeframe	Lead(s)
<p>Making reports on implementation status by each economy of the previous APEC commitments &amp; other international standards</p> <p><b>Specific processes and activities:</b></p> <ol style="list-style-type: none"> <li>1. Member economies will report on progress towards meeting Leaders' anti-corruption commitments</li> <li>2. Submit a full report to APEC Leaders in 2015, based on template agreed upon in 2011.</li> <li>3. Member economies should submit the agreed-upon annual reports in a timely fashion.</li> </ol>	<ul style="list-style-type: none"> <li>• Interim Report: implementation of APEC anti-corruption commitments</li> <li>• Interim Report II: Implementation of APEC anti-corruption commitments</li> <li>• Full Report to APEC Leaders: Implementation of APEC anti-corruption commitments by individual ACT members (Phase IV)</li> </ul>	<p>ACT 2 - 2013</p> <p>ACT 2 - 2014</p> <p>ACT 2 - 2015</p>	
<p>ACT will:</p> <ul style="list-style-type: none"> <li>• Promote the effective implementation of anti-money laundering &amp; anti-corruption standards</li> <li>• Arrange additional events and workshops to identify and better understand challenges and establish cooperative mechanisms to tackle these challenges</li> <li>• Promote capacity building and cooperation to combat illicit trade and dismantle illicit networks</li> <li>• Expand cooperation with all relevant APEC fora, related international organizations, and the private sector.</li> </ul>	<ul style="list-style-type: none"> <li>• Promote ACT Guidelines on Financial Disclosures and Conflicts of Interest</li> <li>• Develop ACT Corruption-Money Laundering Initiative</li> <li>• Sponsor ACT Workshops on preventing, investigating, and prosecuting corruption and money laundering</li> <li>• Establish a regional network of anti-corruption authorities</li> <li>• Sponsor ACT Roundtable on Corruption and Illicit Trade (Illegal Logging)</li> <li>• Partner with ASEAN and other relevant fora to host APEC-ASEAN Corruption and Illicit Trade Workshop</li> <li>• Sponsor ACT Roundtable on Corruption and Illicit Trade (Illegal Fishing)</li> <li>• Follow-up on APEC-ASEAN Corruption and Illicit Trade Workshop</li> <li>• Promulgate rules to deny entry and save haven, when appropriate, to officials and individuals guilty of public corruption</li> </ul>	<p>2013-2014</p> <p>2013-2014</p> <p>2013</p> <p>2013</p> <p>2013</p> <p>2013-20..</p> <p>2015</p> <p>2013-20..</p> <p>2014</p>	

KPI	Activities/Actions	Timeframe	Lead(s)
	<ul style="list-style-type: none"> <li>• Develop actions to fight all forms of bribery and enhance enforcement of anti-bribery laws, taking into account OECD Convention on Combating Bribery of Foreign Public Officials in International Business and the United Nations Convention against Corruption</li> <li>• Ensure that all APEC ACT members have ratified and taken steps to implement UNCAC to the extent possible</li> <li>• Invite the UNODC to brief ACT on the UNCAC Peer Review Process; support the UNCAC review process and continued implementation of UNCAC</li> <li>• Develop an action plan on ways to implement specific recommendations of the Singapore Declaration on Strengthening Governance, Enhancing Institutional Integrity and Combating Corruption</li> <li>• Develop/promote a code of conduct to address corruption in labor recruitment practices that contribute to trafficking in persons.</li> </ul>	<p>20?</p> <p>2015</p> <p>2013</p> <p>20..-20..</p> <p>2013-2014</p>	
<p>Equip member economies with the information to develop and enhance public private partnerships as well as to encourage civil society engagement in efforts to prevent and combat corruption and enhance transparency:</p> <ul style="list-style-type: none"> <li>• Organize workshop/seminars to provide platforms for experts, including representatives from the private sector and civil society organizations, to share their expertise and explore opportunities for partnership and collaboration;</li> <li>• Encourage reporting by member economies on</li> </ul>	<ul style="list-style-type: none"> <li>• Partner with ABAC to develop APEC illicit trade principles and new public-private partnership projects, including a Corruption and Illicit Trade Code (ACIT Code)</li> <li>• Partner with the OECD to develop principles to prevent and combat TIP-related corruption (that is, links between corruption and trafficking-in-persons).</li> </ul>	2014-2015	

KPI	Activities/Actions	Timeframe	Lead(s)
<p>outreach to and partnerships and collaboration with the private sector and/or civil society.</p> <ul style="list-style-type: none"> <li>• Encourage civil society and private sector participation in APEC ACT meetings;</li> <li>• Encourage international organisations participation in APEC ACT meetings.</li> </ul>			
<p>Improve awareness of and support for anti-corruption and transparency efforts across the APEC region.</p>	<ul style="list-style-type: none"> <li>• Utilize funded campaigns incorporating joint projects with civil society groups and interested parties in disseminating anti-corruption messages</li> </ul>	<p>2015-2016</p>	



**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/011**

Agenda Item: 6

**ACT Strategic Plan 2013-2017  
Discussion Points**

Purpose: Information  
Submitted by: APEC Secretariat



**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

# APEC Anticorruption and Transparency Working Group

## Strategic Plan 2013-2017

### Discussion Points

#### 1. Vision Statement

**What would you like the world to look like in your realm of responsibility? #**

##### Discussion Point

(1) A Vision Statement should be concise, clearly conveying the aspirations of ACT. The current draft vision has many parts. What is the basic vision? The vision could be aspirational but still realistic. For example:

*An economically integrated, robust and secure APEC community in which public sectors are governed with integrity and transparency and corruption is vigorously fought and minimized.*

#### 2. Mission Statement

**Who are you? Who do you work with? What are your aims? How do you expect to achieve them?**

##### Discussion Points

(1) The Mission Statement should convey how the ACT goes about fulfilling its work and be grounded in the reality of who participates in the ACT, its areas of jurisdiction, and the resources it has available in APEC, both financial and human resources. A solid Mission Statement will help shape the Objectives and how the Objectives are to be achieved.

(2) The current Vision Statement provides many elements. For example ACT can support frameworks and cultivate open governance. But can ACT implement measures to promote transparency? Or is that for Member Economies to do? How can ACT safeguard the environment from harm by corruption?

(3) A slightly modified suggested Mission Statement follows. However, this might be modified after further reflection of ACT's "Objectives" (see below):

*The ACT is composed of anti-corruption experts and law enforcement officials from Member Economies who work with the private sector, observers, and international organizations to support the establishment of legal, enforcement, and regulatory frameworks to prevent and combat corruption; cultivate a culture of open governance, transparency, and anti-corruption across all sectors; draw up measures, processes, and standards that promote transparency and accountability; recommend measures to safeguard the environment from harm by corruption; enhance public-private sector cooperation and dialogue; and leverage collective action to*

*combat illicit trade and dismantle transnational illicit networks through workshops, exchange of information, reports and analysis, collaborative arrangements and outreach programs.*

### **3. Critical Success Factors**

**What assumptions do you make for your activities to move you toward your objectives?**

**What do you have to give special attention to deliver high performance?**

#### Discussion Point

(1) The draft has a very good list of important assumptions for the strategic plan to be successful. A statement on how the ATCWG might mitigate the risks if these assumptions do not hold up would make the strategic plan more complete.

### **4. Objectives and Key Performance Indicators**

**a. Objectives are what you need to accomplish or make measurable progress to achieve in order to address critical problems that impede the group from realizing its vision. Identify problems, and then formulate objectives by describing the condition when the problem is solved.**

**b. How do you know that you have achieved your objective? Or are making progress to achieve the objective? Key performance indicators (KPIs) can be: (1) *Results oriented* that show measurable progress toward achieving the goal; or (2) *Process oriented* that show activities designed to generate outputs to lead to achieving the goal. KPIs should be SMART: Specific, Measurable, Agreed, Realistic and Timely.**

#### Discussion Points

(1) The "Objectives" are concise and cover four areas. These should broadly correspond to the areas covered in the "Mission Statement."

(2) The KPIs are all process oriented, have no quantitative benchmarks, and are mainly activities – promote, arrange, organize, encourage. These should be moved to the Prioritized Implementation Schedule section.

(3) SMART KPIs would give the plan more weight and ACT more credibility when it reports results to Leaders. Some suggestions follow.

**Objective 1:** Effective implementation of existing APEC commitments. (Note: "Promote" is not a very precise or action-oriented term for an objective).

#### **KPIs**

(i) 100% of Member Economies submit initial reports on meeting key elements of Leader's anti-corruption commitments by end 2014; full report to APEC Leaders by 2015 with recommendations for follow up action.

- (ii) By 2017 APEC average governance and transparency scores, as measured by the Worldwide Governance Indicators and Transparency International, increase by 20%.

**Objective 2:** Support APEC growth strategy by combating corruption, promoting sustainable growth and strengthening human security.

**KPIs**

- (i) By 2017 conduct 8 workshops to build capacity and cooperation on illicit trade that attract 400 expert participants, with 90% of the participants reporting that they have used knowledge learned in the workshops in their jobs to combat corruption.
- (ii) Conduct 4 workshops with 100 participants on illegal tracking of endangered species/illegal logging/illegal fishing that result in recommendations for action by Member Economies
- (iii) By 2017 develop a code of conduct to address corruption and labor recruitment practices that contribute to trafficking in persons that is endorsed by Leaders with an action plan for implementation by Member Economies.

**Objective 3:** Strengthen public private partnerships and encourage civil society engagement to combat corruption and encourage good governance. (Note: "Enhance" is difficult to measure.)

**KPIs**

- (i) By 2017 organize 6 workshops with 300 representatives of civil society and private sector with each workshop producing a call to action that is disseminated throughout APEC.
- (ii) Member Economies report at least 2 new partnership programs each to prevent corruption and strengthen good governance by 2017

**Objective 4:** Implement a public outreach strategy to gain the support of relevant stake holders.

**KPIs**

- (i) Public outreach strategy agreed by end 2015.
- (ii) As a result of implementation of the strategy, public awareness of the importance of good governance and combating corruption for overall economic growth and well-being and measures that can be taken by businesses, civil society organizations increases 100% by 2017 as compared to a baseline survey in 2015.

## **5. Prioritized Implementation Schedule**

Document a schedule, including start dates, milestone dates, and anticipated completion dates for each action needed. Need to indicate the lead economy or fora and other fora that should be involved in "cross-cutting" activities. Annual work plans should be more detailed showing how project inputs, activities, outputs and outcomes will help generate meaningful impacts that achieve the group's objectives and APEC's overall goals.



Discussion Points

- (1) The Prioritized Implementation Schedule is confusing. KPIs appear to be activities and are duplicated in the "Activities/Actions" column.
- (2) The "Objectives" should be included in the schedule to show how the activities help drive ACT toward achieving or making progress toward achieving them.
- (3) It would be useful to review the "Results Chain" (reproduced below, a tool used in the preparation of APEC proposals) to ensure use of the appropriate terminology and to organize activities so they generate outputs and outcomes that make an impact to drive the group toward its objectives and APEC toward its goals. The detail in the illustration below need not be incorporated into the Prioritized Implementation Schedule but may be useful for ACT to organize its planning.



**Results Chain**

Organize workshops for the private sector and civil society to share expertise and develop partnerships and collaboration to combat corruption and strengthen good governance	300 people attend workshops; workshop produces recommendations and outlines for local partnership programs	21 Member Economies develop and adopt at least 2 partnership programs and agree to action plans	Implementation of action plans changes attitude toward acceptability of corruption and the value put on good governance; corruption drops and good governance rises as measured by WGI project	Sustainable, secure, more robust economic growth
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(4) The Prioritized Implementation Schedule should include the "Objectives," "Activities" and KPIs/Outputs. An illustration follows:

Objectives/Activities	Start	Completion	Lead Economy/Fora	KPIs/Outputs
Objective 1: Effective implementation of existing APEC commitments				100% of Member Economies submit initial reports on meeting key elements of Leader's anti-corruption

				commitments by end 2014; full report to APEC Leaders by 2015 with recommendations for follow up action.
1. Interim reports due	2013	ACT-2 2014	?	All Member economies submit reports
2. Full report to APEC Leaders	2014	ACT 2-2015	?	Report to include recommendations for follow up actions
Objective 2: Support APEC growth strategy by combating corruption, promoting sustainable growth and strengthening human security.				<p>i. By 2017 conduct 8 workshops to build capacity and cooperation on illicit trade that attract 400 expert participants, with 90% of the participants reporting that they have used knowledge learned in the workshops in their jobs to combat corruption.</p> <p>ii. Conduct 4 workshops with 100 participants on illegal trafficking of endangered species/illegal logging/illegal fishing that result in recommendations for action by Member Economies</p> <p>iii. By 2017 develop a code of conduct to address corruption and labor recruitment practices that contribute to trafficking in persons that is endorsed by Leaders with an action plan for</p>

				implementation by Member Economies
1. Workshops on capacity building to combat illicit trade	2013	2017	?	400 participants
2. Surveys to follow up training in workshops	2014	2017	?	Measure whether and how participants are using skills learned in workshops
3. Workshop on a code of conduct on corruption in labor recruitment practices	2014	2015	?	60 participants; draft outline of a code of conduct
4. Conference to finalize and socialize code of conduct	2015	2016	?	60 senior enforcement and policy officials attend; agreed code of conduct
5. Submission of code of conduct with action plan for implementation to Leaders for endorsement	2016	2017	?	Leader's Declaration with timeline for implementing action plan



# APEC Strategic Planning Checklist

## 1. Vision Statement

**What would you like the world to look like in your realm of responsibility?**

- ✓ *A vision should be sufficiently lofty to inspire!*

## 2. Mission Statement

**Who are you? Who do you work with? What are your aims? How do you expect to achieve them?**

- ✓ *The Mission Statement identifies the group and how it goes about its work.*
- ✓ *The Mission Statement sets the framework for the Objectives and Activities to achieve those Objectives.*
- ✓ *The Mission Statement is also influenced by the Objectives so cannot be finalized until the Objectives have been agreed.*
- ✓ *Planning parameters— competency, resources, stakeholders, advantages or weaknesses, assumptions link the group to reality.*
- ✓ *What advantages does APEC bring to bear?*

## 3. Critical Success Factors

**What assumptions do you make for your activities to move you toward your objectives? What do you have to give special attention to deliver high performance?**

- ✓ *What special efforts do the fora need to make to be successful?*
- ✓ *What are your assumptions about activities important to the fora's success but over which it has no control?*
- ✓ *What can be done to mitigate against these assumptions not being valid?*

## 4. Objectives

**Objectives are what you need to accomplish or make measurable progress to achieve in order to address critical problems that impede the group from realizing its vision.**

- ✓ *Formulate the objective by identifying a significant problem then describing the condition when the problem is solved.*

- Problem: Trade is impeded by tariffs and non-tariff measures
  - Objective: Trade that is free from impediments from tariffs and non-tariff measures
- ✓ *Prioritize objectives using 5 criteria: (1) Addresses a core problem; (2) Makes a major impact; (3) Removes a bottleneck to progress; (4) Draws on APEC's strengths; (5) Is a focus of the group.*
- ✓ *Objectives meeting 3 or more of these criterion are likely to have high priority.*

## 5. Key Performance Indicators

How do you know that you have achieved your objective? Or are making progress to achieve the objective?

- ✓ *Results Oriented: Reduce the number of procedures, time, and cost of securing construction licenses by 25% in three years.*
- ✓ *Process Oriented: By 2013 hold workshops for 100 officials responsible for issuing construction licenses on the benefits of faster, less expensive, and streamlined procedures for issuing construction licenses; 80% of the participants report adoption of action plans to implement within one year of the workshop.*

Key performance indicators (KPIs) should be:

1. Results oriented that show measurable progress toward achieving the goal; or
2. Process oriented that show activities designed to generate outputs to lead to achieving the goal; and
3. SMART: Specific, Measurable (quantitative), Agreed, Realistic and Timely.

## 6. Prioritized Implementation Schedule

Document a schedule, including start dates, milestone dates, and anticipated completion dates for activities in general terms.

- ✓ *Aligning Objectives with KPIs and Outputs in the schedule helps to consider whether the activity will drive the group toward its objective*
- ✓ *Indicating the lead economy or fora is important to have a "champion" to drive the process.*
- ✓ *Listing other fora that involved in "cross-cutting" activities shows collaboration and leveraging resources.*
- ✓ *Annual work plans should be more detailed showing how project inputs, activities, outputs and outcomes will help generate meaningful impacts that achieve the group's objectives and APEC's overall goals.*

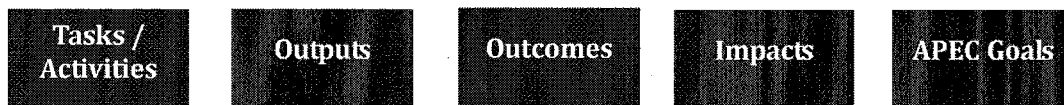
Objectives/Activities	Start	Completion	Lead Economy/Fora	Key Performance Indicators/Outputs

## 7. APEC Projects

Well-designed APEC projects implement strategic plans to advance APEC toward its objectives to realize its vision. Many activities are likely to be necessary to achieve any objective.

✓ The "Results Chain" is the link between:

1. Activities: Things that are done (e.g. organize a workshop, conduct research) that produce=>
2. Outputs: Things that can be measured (e.g. workshop attended by 50 participants; research that identified capacity building needs) that generate=>
3. Outcomes: Changes in behavior or systems (e.g. 25 workshop participants implemented new procedures; capacity needs filled and workers fully trained and employed) that lead to=>
4. Objectives/Impacts: That are measurable changes (new procedures increased office efficiency by 20%; more productive workforce generated higher output and real incomes) that advance APEC toward its=>
5. Goal of strong, sustainable, inclusive, and balanced economic growth in the APEC region.



**Results Chain**

Organize workshops	300 people attend workshops; workshop produces recommendations	21 Member Economies endorse and implement recommendations in action plans	Implementation of action plans makes measureable changes in practices and performance	Achieve APEC goals
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**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/012**

Agenda Item: 5

## **Anti-Corruption Initiatives in Malaysia**

Purpose: Information  
Submitted by: Malaysia



**APEC**  
CHINA 2014

**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**

**ANTI-CORRUPTION PROGRESS AND DEVELOPMENT ON IMPLEMENTING THE UN  
CONVENTION AGAINST CORRUPTION (UNCAC) IN MALAYSIA SINCE 18<sup>TH</sup> ACT MEETING**

**1.0 IMPLEMENTATION OF ARTICLE 48 – LAW ENFORCEMENT COOPERATION**

**1.1 Memoranda of Understanding**

In implementing the provisions of the said article, the MACC has newly initiated signing of MOUs with following anti-corruption agencies of states parties:

- MoU with Corruption Eradication Commission (KPK) Indonesia on 30 October 2013.
- MoU with Federal Bureau of Anti-Corruption Austria (BAK) on 23 May 2014.

In addition to the above, the MACC is also in the midst of signing MoU with Anti-Corruption Agency's of Kyrgyzstan, Bangladesh and Republic of Yemen .

**1.2 Working Group Meetings**

In efforts to promote further cooperation with anti-corruption agencies of neighbouring states, the MACC has participated in the following of Working Group Meetings:

- MACC/ACA Brunei 10<sup>th</sup> Working Group Meeting on June 2014
- MACC/CPIB Singapore Working Group Meeting on February 2014 and MACC/CPIB Annual Games on June 2014.

**1.3 The 10<sup>th</sup> South East Asia Parties against Corruption (SEA-PAC) Meeting**

MACC will be hosting the 10<sup>th</sup> South East Asia Parties against Corruption (SEA-PAC) Meeting in Kuala Lumpur in November 2014. The participants for the meeting are the Anti-Corruption Enforcement Agency in South East Asia.

**2.0 IMPLEMENTATION OF ARTICLE 5 & 7 (PREVENTIVE MEASURES)**

**2.1 Establishment of Integrity Units**

In efforts to prevent corruption in the public sector, the Government of Malaysia under its NKRA Against Corruption initiatives has embarked on establishing Integrity Units in Ministries, Departments and Agencies as well as Government-Linked Companies. This initiative has been translated and put



into practice vide Service Circular NO.6/2013 entitled "Establishment of Integrity Unit in all public agencies".

The Integrity Unit, which is to be headed by a Certified Integrity Officer, will serve as the focal point for the management of integrity issues within the public agencies under the supervision of the newly established (in 2013) Public Agency Integrity Management Division (PAIMD) of the MACC

Table 1 below shows the Ministries and Government Departments where MACC CeIOs have been deployed and Table 2 below show the GLCs which have established Integrity Units.

**Table 1- ATTACHMENT OF MACC OFFICERS IN INTEGRITY UNIT IN OTHER MINISTRY OR AGENCIES**

**Integrity Units of Public Agencies**

<b>ITEM</b>	<b>AGENCY</b>
1	Ministry of Education Malaysia
2	Ministry of Home Affairs
3	Ministry of Health Malaysia
4	Ministry of Natural Resources and Environment
5	Ministry of Agriculture and Agro-based Industry
6	Ministry of Domestic Trade, Cooperatives and Consumerism
7	Ministry of Plantation, Industries and Commodities
8	Ministry of Urban Wellbeing, Housing and Local Government
9	Ministry of Women, Family and Community Development
10	Ministry of Youth and Sports
11	Ministry of Transport
12	Ministry of Tourism and Culture
13	Ministry of Defence

14	Ministry of Works
15	Ministry of Finance
16	Ministry of International Trade and Industry
17	Ministry of Science Technology and Innovation
18	Royal Customs Malaysia
19	Immigration Department Malaysia
20	Road Transport Department
21	National Registration Department
22	Agriculture Department Malaysia
23	Forestry Department Peninsular Malaysia
24	National Anti-Drug Agency
25	Majlis Amanah Rakyat (MARA)
26	Public Private Partnership Unit (UKAS), Prime Minister's Department
27	Melaka State Secretary Office

**Table 2- Integrity Unit in Government Linked-Companies**

<b>ITEM</b>	<b>AGENCY</b>
1	Petroleum Nasional Berhad (PETRONAS)
2	Felda Global Ventures Berhad (FGVH)
3	Lembaga Tabung Haji (TH)
4	Special Affairs Unit, Telekom Malaysia Berhad
5	Johor Corporation (Jcorp)
6	Syarikat Prasarana Negara Berhad (SPNB)

**2.2 MACC Corruption Prevention Secretariat in Institutes of Higher Learning and Teacher's Education**

The MACC's Community Education Division in carrying out its function to enlist support of the public to combat corruption has played in a significant role as secretariat to corruption prevention committees established in institutes (both public and private) of higher learning as well as institutes of Teachers Education. A total of 20 Institutes of Higher Learning (IHLs) and 27 Institutes of Teacher Education (IPGs) nationwide as establish, including drafting a proposal to the Education Ministry to incorporate elements of integrity and corruption prevention in religious, civic and moral education subjects.

### **3.0 IMPLEMENTATION OF ARTICLE 60 - TRAINING AND TECHNICAL ASSISTANCES**

The MACC has carried out the following activities in the spirit of Article 60 UNCAC:-

#### **3.1 International Anti - Corruption Academy Course (IACA)**

The Malaysian Anti-Corruption Commission (MACC) in partnership with IACA conducted the Master in Anti - Corruption Studies (Module VI) course in Malaysia Anti - Corruption Academy (MACA) in May 2014. The participants for this Master Programme included an official from Malaysia. While the lectures are from Australia, Singapore, Hong Kong, Brunei and Malaysia.

#### **3.2. Certified Integrity Officer [CeIO] Programme for International Participants**

Malaysian Anti-Corruption Academy (MACA) has conducted the Certified Integrity Officer [CeIO] Programme for international participants in 21 October - 01 November 2013. This programme attracted 9 participants from 6 countries namely Fiji, South Sudan, Tunisia, Brunei, Papua New Guinea and Bhutan and 7 MACC officers who attached at the different agencies in Malaysia. The objectives of this programme are to plan effectively and make accurate decision on any questions or concern regarding integrity, to apply the integrity concepts, directly and effectively for organizational daily operations and to analyse methodologies towards identifying, understanding, handling and respond action.

**Malaysian Anti-Corruption Commission  
Malaysia  
14 July 2014**





**Asia-Pacific  
Economic Cooperation**

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**2014/SOM3/ACT/013**

Agenda Item: 3

## **Remote Participation in APEC Meetings**


Purpose: Information

Submitted by: APEC Secretariat



**APEC**  
CHINA 2014


**19<sup>th</sup> Anti-Corruption and Transparency  
Experts' Working Group Meeting  
Beijing, China  
13 August 2014**



APEC  
Asia-Pacific  
Economic Cooperation

Advancing  
Free Trade for Asia-Pacific  
Prosperity


# Remote Participation in APEC Meetings



Presented by  
APEC Information & Technology Unit

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## Pilot Testing Schedule



APEC  
Asia-Pacific  
Economic Cooperation


- CTWG and OFWG meeting in SOM2
  - IT Director from Singapore made remote presentation on Remote Participation, and then had Q&A session at the CTWG (Counter Terrorism Working Group) and OFWG (Oceans & Fisheries WG) in Qingdao in China.
- BMC2 meeting
  - IT Director in his room makes remote presentation on Remote Participation, and then have Q&A session at the conference room.
- CTWG, BMG, DPS/ECSG meeting
  - DPS (Data Privacy Subgroup) /ECSG (Electronic Commerce Sub Group) open its meeting to public through the Remote Participation in SOM3 or later.
  - BMG (Business Mobility Group) meeting in SOM3 arranges “Participating in a real meeting” with combination of face-to-face and Remote Participation.
  - ACT meeting and ACT-NET meeting (13 - 15 August) is considering to have pilot testing to explain the members on the Remote Participation.

## Expected Benefits



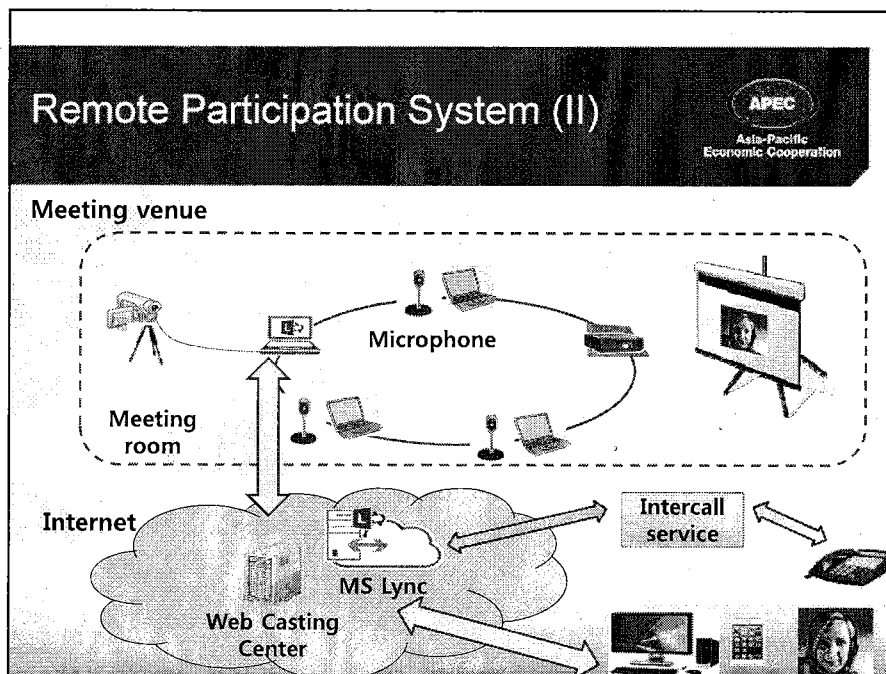
- Reduction of Travel Cost
- Contribution to less fossil-fuel Consumption
- Minimization of travel-related downtime
- Scale-up of expertise via online group meeting

## Types of Remote Participation



Type	Description
<b>Observing a real meeting (Remote Listening)</b>	<ul style="list-style-type: none"> <li>• Participants listen to or watch the meeting remotely via Web-conferencing solution (MS Lync) or Webcasting center.</li> </ul>
<b>Participating in a real meeting</b>	<ul style="list-style-type: none"> <li>• Used for mixed meetings including both face-to-face and remote participation.</li> <li>• Remote Participants make some comments or conduct remote presentation during the meeting.</li> </ul>
<b>Participating in a virtual meeting</b>	<ul style="list-style-type: none"> <li>• Primarily used for informal small or medium group meetings such as Study Groups.</li> <li>• Allows online Seminars to be shared with remote locations.</li> </ul>

Remote Participation System (I)	
Main Part	Description
Interactive Web Conferencing Solution (MS Lync)	<ul style="list-style-type: none"> <li>Meeting organizer opens a virtual meeting room with this solution. Stakeholders can access the solution via the Internet or PSTN (Public Switched Telephone Network).</li> <li>The platform is MS Lync, and MS Lync provides video meeting (allows 250 bilateral, 1,000 unilateral participants), voice call, IM and remote presentation .</li> </ul>
Webcasting Centre	<ul style="list-style-type: none"> <li>Provide related stakeholders with a live or on demand webcasting of the APEC meeting in the form of video or audio.</li> </ul>
Intercall application	<ul style="list-style-type: none"> <li>Required to integrate PSTN to MS Lync to provide teleconference feature via telephone service with local charge.</li> </ul>





## Difference Between MS Lync and Skype



	MS Lync	Skype
Target	designed for Enterprise	designed for Customer
Capacity of Participants	allows 250 interactive, and 1,000 passive participants	allows up to 10 people
screen sharing Capability	up to 250 people at a time	limited to a single party at a time
Whiteboard Capability	provided	Not provided
PSTN Connectivity	Powerful connection	Very limited connection

## Main Actors' Role



- Meeting Organizer
  - Conducts point of contact for all actors, and organize the meeting schedule with remote participants.
  - Check required equipment, and Enforce the protocol of the participation during a conference.
- Meeting Host
  - Provides sufficient supporting staff (IT Specialist and meeting assistant) for the remote participation.
  - Provides required facilities for remote participation including sufficient internet band width.
- Remote Participants
  - Conduct rehearsals with Meeting Organizer and Participate to the meeting remotely.

## Procedure of Remote Participation



- Before the Meeting
  - Meeting Organizer checks the Remote Participation with the meeting members, and sends invitation email to all the applicants.
  - Meeting Organizer checks with meeting host on the availability of supporting staff and the setting of equipment at venue.
  - Meeting Organizer conducts one or two rehearsals with Remote Participant at scheduled time.
- During the Meeting
  - Supporting staff conducts the Remote Participation aligned with Meeting Organizer's direction.

## Thank You



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