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Japan Fair Trade Commission



Guide for the Design and Implementation of an Effective Antimonopoly Act Compliance Program: Focusing on Responses to Cartels and Bid-rigging (Overview)

December 21, 2023
Japan Fair Trade Commission

*This document is tentative translation.
Please refer to the original text written in Japanese for more details.



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Whole Overview of the Guide

Purpose and Characteristics of the Guide

Purpose

- In order to promote fair and free competition in Japan, it is necessary to achieve an environment where competitive business activities are conducted autonomously by promoting compliance related to the Antimonopoly Act (hereinafter referred to as “AMA”) in individual companies.
- The Japan Fair Trade Commission (hereinafter referred to as “JFTC”) has made and published **the guide that outlines best practices to help individual companies design and implement an effective AMA compliance programs* with cartel and bid-rigging in mind**.**

Characteristics

The guide comprehensively and systematically organizes the components of an effective AMA compliance program, its significance, its essence, and its points of attention, with reference to the results of the JFTC’s past fact-finding surveys and similar guides published by competition authorities in other jurisdictions, international organizations and an international network.

The guide introduces the “real opinions” of companies, etc. which are actively engaged in the AMA compliance, as seen in the questionnaires and interviews conducted in the JFTC’s past fact-finding surveys, as examples of good practices.

* Mechanisms and efforts to appropriately avoid and reduce the risk of the AMA violations and the losses incurred in case of the AMA violations.

** For example, with regard to joint efforts by enterprises, etc. to realize a green society, please refer to the “Guidelines Concerning the Activities of Enterprises, etc. Toward the Realization of a Green Society Under the Antimonopoly Act” (March 31, 2023) published by the JFTC.

Benefits of Designing and Implementing an Effective AMA Compliance Program

In addition to avoiding and reducing the risk of the AMA violations and the losses incurred in case of the AMA violations,

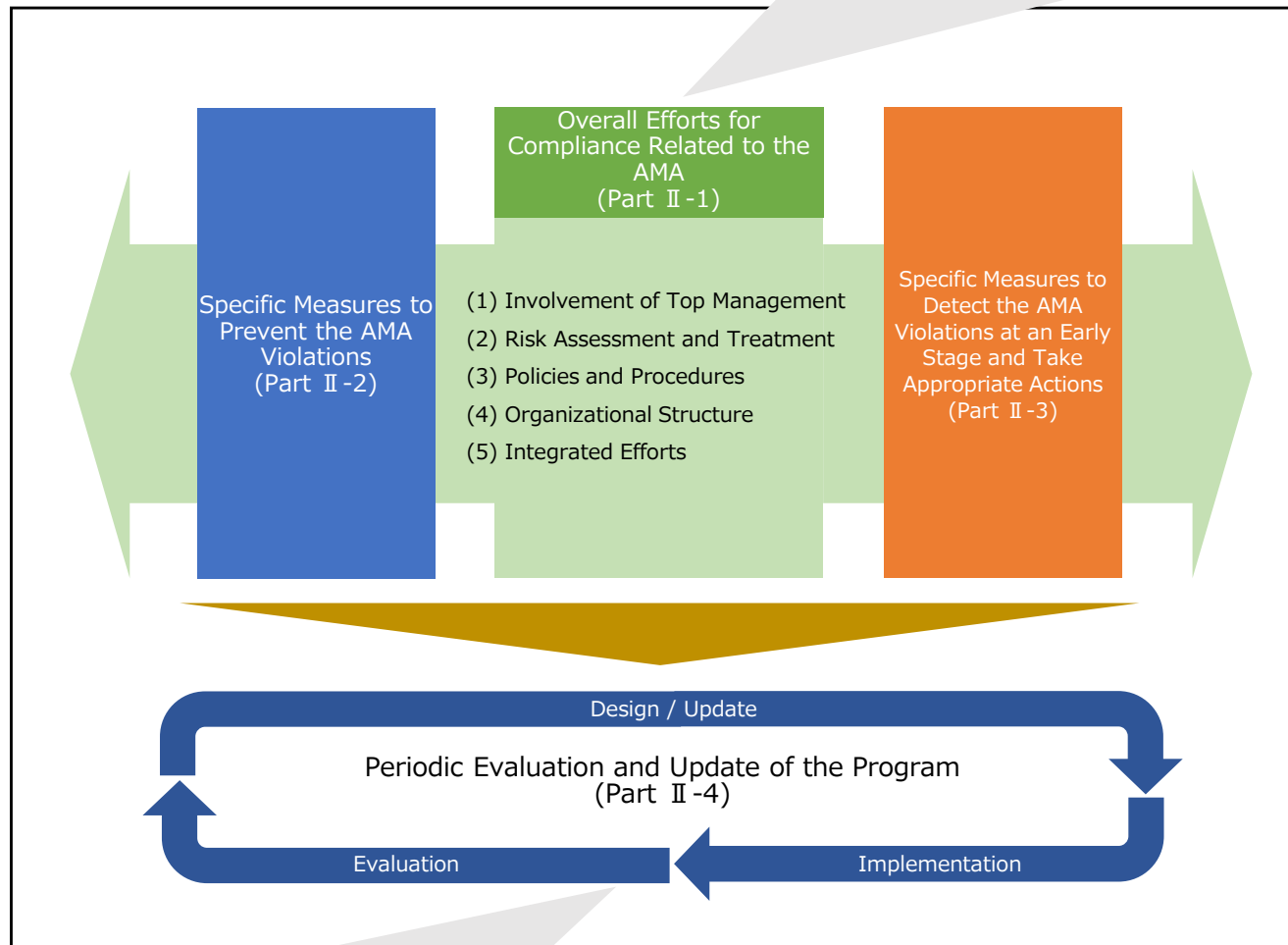
- fostering awareness and an organizational culture of the AMA compliance.
- fostering development and sales of good products through competition with other companies, and fostering growth and development of the company.
- enhancing the pride and confidence of officers and employees, the satisfaction of working, and the sense of belonging and willingness to contribute to the company.
- improving the reputation and brand image of the company and the trust of stakeholders, etc.

★ The AMA compliance program functions not only as a “compliance tool” and a “risk management tool,” but also as a “tool to maintain and improve corporate value.”



Overview of an Effective AMA Compliance Program

- ★ Points (1)
 - “Overall Efforts for Compliance Related to the AMA” (Part II -1) relates to “Specific Measures to Prevent the AMA Violations” (Part II -2) and “Specific Measures to Detect the AMA Violations at an Early Stage and Take Appropriate Actions” (Part II -3) .
 - It is important to consider each of the elements in Part II -1 when implementing the measures in Part II -2 and Part II -3.



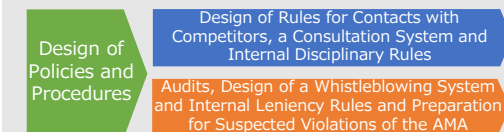
- ★ Points (2)
 - It is important for companies to prioritize efforts that are likely to be cost-effective and gradually expand the scope of their efforts depending on respective situations and risk-based approach.

<An Example of a Phased Approach by SMEs, etc. >

[Phase 1]



[Phase 2]



[Phase 3]



- ★ Points (3)
 - Because the risk of the AMA violations faced by individual companies has been changing always due to changes in the company’s businesses, industry practices, competitors, and the regulatory environment, it is important to periodically evaluate the effectiveness of the elements in Part II -1, Part II -2 and Part II -3 and update these elements.

Components of an Effective AMA Compliance Program

Items		Points
Overall Efforts for Compliance Related to the AMA (Part II-1)	(1) Commitment and Initiative of the Top Management	➤ Fostering an organizational culture of the AMA compliance by clearly showing genuine efforts by the top management both internally and externally.
	(2) Assessing the Risk of the AMA Violations in Accordance with Respective Situations of Companies and Responding to the Risk in Risk-Based Approach	➤ Promoting efforts efficiently by allocating resources to areas where the risk of the AMA violations is high.
	(3) Design and Implementation of Policies and Procedures for Promoting the AMA Compliance	➤ Clarifying the policies and procedures for the AMA compliance as internal rules and disseminate them to officers and employees.
	(4) Design of Organizational Structure and Adequate Allocation of Authority and Resources	➤ Promoting efforts effectively by designing organizational structure clearly and systematically and allocating authority and resources adequately.
	(5) Integrated Efforts by Corporate Group	➤ Promoting the AMA compliance integrally on a group-wide.
Specific Measures to Prevent the AMA Violations (Part II-2)	(1) Design and Implementation of Internal Rules for Contacts with Competitors	➤ Preventing involvement in the AMA violations by prohibiting contacts with competitors and applying, approving, and reporting on such contacts.
	(2) Providing In-House Trainings on the AMA	➤ Promoting understanding about the importance of the AMA compliance through effective in-house trainings for officers and employees.
	(3) Design and Operation of a Consultation System on the AMA	➤ Preventing involvement in the AMA violations by designing and operating a consultation system that allows officers and employees to consult when they are concerned whether their actions may constitute the AMA violations.
	(4) Design and Implementation of Internal Disciplinary Rules for the AMA Violations	➤ Preventing involvement in the AMA violations by clearly showing that involvement in the AMA violations is subject to disciplinary measures.
Specific Measures to Detect the AMA Violations at an Early Stage and Take Appropriate Actions (Part II-3)	(1) Conducting Audits on the AMA	➤ Promoting detection of the AMA violations by conducting audits on the AMA periodically.
	(2) Design and Operation of a Whistleblowing System	➤ Promoting reporting on the AMA violations by officers and employees by designing and operating a whistleblowing system actually useful for officers and employees.
	(3) Introduction of an Internal Leniency System about the AMA	➤ Promoting reporting on the AMA violations by allowing the reduction or exemption of disciplinary measures when officers and employees voluntarily reported the AMA violations.
	(4) Appropriate Response to Suspected Violations of the AMA	➤ Implementing appropriate response to suspected violations of the AMA promptly with considering the use of the leniency program that allows the reduction or exemption of surcharge payments when companies voluntarily reported the AMA violations to the JFTC and cooperate with the investigation conducted by the JFTC.
Periodic Evaluation and Update of the Program (Part II-4)		➤ Evaluating the effectiveness of the AMA compliance program and updating the program periodically.

⇒From the next page (P.5), each item is explained in detail.



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Details of Individual Components of an Effective AMA Compliance Program

(1) Commitment and Initiative of the Top Management

- It is important that the top management periodically and continuously disseminates and conveys clear messages that it will not tolerate any violation of the AMA both internally and externally and demonstrates in its own actions that the top management makes genuine efforts about design and implementation (For example, allocating the sufficient authority and resources (budget, personnel, equipment, etc.) to the department or person in charge of the efforts about the AMA compliance.) of the AMA compliance program.

[Examples of Good Practices]

- The awareness of the AMA compliance in our company was improved because the top management itself disseminated to all employees a message, “We don’t need any profit from non-compliance.”
- In some business departments, there was an awareness that bid-rigging was necessary, but this awareness was changed significantly because the top management itself disseminated a strong message to all employees, “If the project cannot be established without bid-rigging, it must be withdrawn.”
- Our company posts a strong message by the top management about the AMA compliance on the intranet 2~3 times a month.
- Our company disseminates video messages about compliance for competition law to employees worldwide in Japanese, English, Chinese and German. ,etc.



(2) Assessing the Risk of the AMA Violations in Accordance with Respective Situations of Companies and Responding to the Risk in Risk-Based Approach

- It is important to use a risk-based approach to allocate limited resources to areas with high risk of the AMA violations.



Risk Identification

- ✓ Considering specific scenarios in which the company may be involved in the AMA violations and identifying the risks that individual companies faces.

Risk Analysis and Assessment

- ✓ Analyzing and Assessing the seriousness of risks through considering the likelihood of risk of the AMA violations occurring and the possible impact of the AMA violations.

$$\text{The seriousness of the risk} = \text{The likelihood of occurrence} \times \text{The impact of the violations}$$

Risk Treatment

- ✓ Focusing on the serious risks (Risks that are likely to occur and have a large impact if they occur) .

[Examples of Good Practices]

- The top management decided to withdraw from the project that could not be established without cartels and bid-rigging because of market characteristics.
- As the industry is dominated by several companies worldwide, our company has designed a policy prohibiting contacts with competitors as a global rule. ,etc.

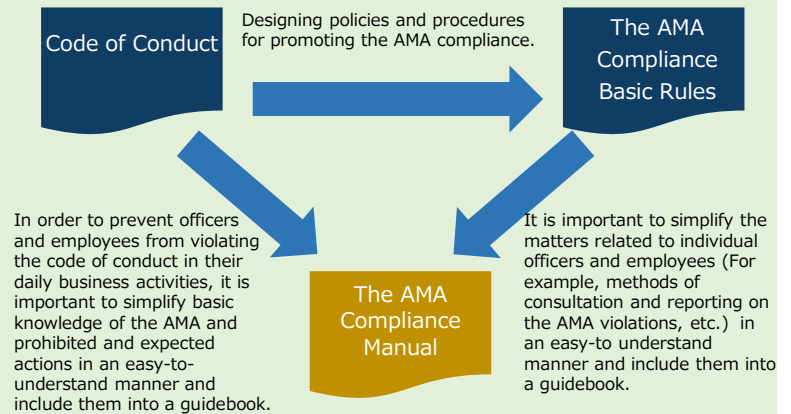


(3) Design and Implementation of Policies and Procedures for Promoting the AMA Compliance

- It is important to clarify the policies and procedures for the AMA compliance as the following internal rules and disseminate them to officers and employees:

< Examples of Internal Rules on the AMA Compliance >

Code of Conduct	<ul style="list-style-type: none"> ✓ All officers and employees must comply with a code of conduct in order for the company to conduct its business ethically and honestly. ✓ It is important to clearly state in a code of conduct that "We will not involve in cartels, bid-rigging, or other violations of the AMA."
The AMA Compliance Basic Rules	<ul style="list-style-type: none"> ✓ It is important to design internal rules that comprehensively define the policies and procedures related to the AMA compliance program. ✓ For example, the rules above may include the purpose and scope of the AMA compliance program and matters related to the design and implementation of the AMA compliance program.
The AMA Compliance Manual	<ul style="list-style-type: none"> ✓ It is important to create a guidebook that provides an easy-to-understand overview of the AMA compliance knowledge and considerations. ✓ The AMA compliance manual is a tool to disseminate the AMA compliance mainly to officers and employees who don't have high level expertise about the AMA compliance.



[Examples of Good Practices]



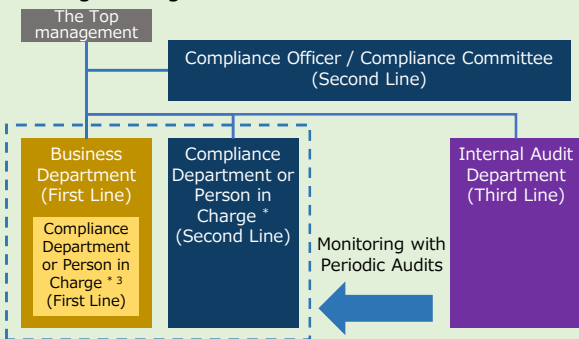
- In our company, officers and employees are asked to sign a declaration that they will comply with a code of conduct stating, "We will not engage in bid-rigging, We will not involve in bid-rigging."
- Our company provides in-house trainings and conducts audits based on the AMA compliance program specified in internal rules about the AMA compliance.
- Our company made the AMA compliance manual that summarizes points to be noted in practice in an easy-to-understand manner, and disseminated it to employees in a booklet, which increased their awareness and understanding. ,etc.

Components of an Effective AMA Compliance Program: Overall Efforts for Compliance Related to the AMA (Part II-1)

(4) Design of Organizational Structure and Adequate Allocation of Authority and Resources

➤ It is important to clarify responsibilities (segregation of duties) related to the AMA compliance program systematically in accordance with respective situations of companies and risk of the AMA violations and allocate sufficient authority and resources (budget, personnel, equipment, etc.) to the department or person in charge of the efforts about the AMA compliance.

< Image of Organizational Structure Based on the Three-Line Model >



- It is important to establish the following organizations based on the three-line model:
- ✓ Compliance officer or person in charge of promoting company-wide efforts (second line)
 - ✓ Compliance committee to report and deliberate on progress of efforts (second line)
 - ✓ Department or person in charge of compliance as a working department (first line and second line)
 - ✓ Full-time department or person in charge of the AMA compliance as a specialized department (first line and second line)
 - ✓ Internal audit department to monitor the efforts of first line and second line (third line)

*It is also important to establish a dedicated department or person in charge of the AMA compliance at companies with a particularly high risk of violating the AMA.

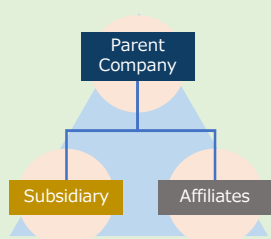
[Examples of Good Practices]



- The head of the legal and compliance department has been appointed to the compliance officer, since he or she has been able to report directly to the top management, thereby his or her influence within the company has been increased.
 - By establishing and holding the compliance committee chaired by the top management, the top management has been able to monitor the efforts about the AMA compliance with high consciousness constantly and understand the content of activities for the AMA compliance.
 - Our company has established a dedicated department and assigned full-time employees of the AMA compliance to collect the information about the AMA, provide consultation services, and check business activities.
 - Our company has assigned person in charge of compliance to each business department, enabling investigations on advance applications regarding contacts with competitors.
 - Our company has established compliance departments and internal audit departments separately from business departments, since the monitoring function has been improved.
- ,etc.

(5) Integrated Efforts by Corporate Group

➤ It is necessary to design and implement the AMA Compliance Program in an integrated manner on a corporate group, while also designing and implementing individual companies belonging to the corporate group in accordance with their respective circumstances.



[Examples of Good Practices]



- The Head Office designs the AMA compliance program for itself and disseminates it as "core policies" globally, so that foreign subsidiaries can customize it based on respective local circumstances.
- ,etc.

Components of an Effective AMA Compliance Program: Specific Measures to Prevent the AMA Violations (Part II-2)

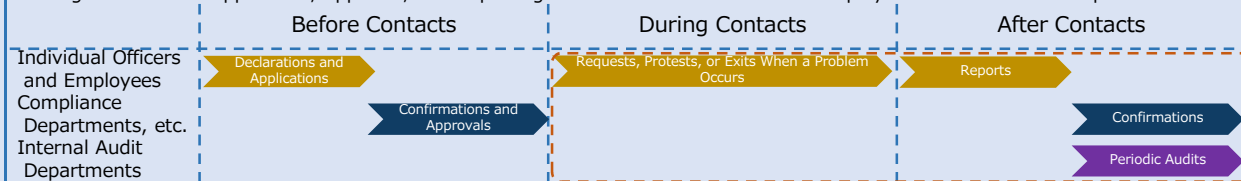
(1) Design and Implementation of Internal Rules for Contacts with Competitors

- In order to avoid and reduce the risk of the AMA violations, it is important to design and implement the following internal rules for contacts with competitors:

< Design of Rules Prohibiting Contacts with Competitors >



< Design of Rules for Application, Approval, and Reporting when Individual Officers and Employees Contacts with Competitors >



[Examples of Good Practices]



- Our company has prohibited contacts with competitors in principle and obliged officers and employees to seek prior approval from the compliance department if there are unavoidable business-related reasons for those contacts.
- Our company has designed the rule for contacts with competitors. According to this rule, when competitors bring up subjects which could occur problems with the AMA, it is required to request not to bring it up, and if the request is not accepted, it is required to protest and leave the meeting, etc.

(2) Providing In-House Trainings on the AMA

- It is important to provide trainings which arouse the interests of officers and employees effectively and remain in their minds of officers and employees.
- It is important that target of audiences, content and formats, and implementation methods, timing and frequency are appropriately customized based on the companys' circumstances and the risk of the AMA violations.
- It is important to make efforts to improve the understanding of officers and employees, such as selecting training instructors with relevant knowledge and experience in compliance with the AMA and conducting comprehension exams.

[Examples of Good Practices]



- Our company has created a live-action drama which illustrates successive events from the adjustment of orders of parties to the inspection and issuance of the cease and desist order from the JFTC. Our company has included inquiries asking "what would you do?" in the drama, thereby has made the content as one shaking participants' emotions.
- Our company has created problem based learning courses based on actual sales activities. Also, our company made the content as promoting discussions regarding the risk of the AMA violations and actions against it. Through these efforts, our company has made the training program which enable participants to think about the AMA through discussions.
- In providing in-house trainings, our company prioritises managers in sales departments who are at particularly high risk of the AMA violations.
- Our company makes efforts to provide practical in-house trainings on the onsite group trainings by focusing on target departments while our company uses e-Learning system to provide trainings about basic matters.
- At the end of the e-Learning, participants must take the exam to measure their understanding about the course and they must reach a certain score to complete the course. Also, their scores are recorded.
- Based on the latest legislative change and cases involving the AMA violations, Our company has updated content and materials of the training every year, in order to prevent participants from getting in a rut. As a result, employees' understanding of the AMA has been improved, etc.

Components of an Effective AMA Compliance Program: Specific Measures to Prevent the AMA Violations (Part II-2)

(3) Design and Operation of a Consultation System on the AMA

- It is important to design and operate a system that allows individual officers and employees who are concerned whether or not their actions may constitute the AMA violations to consult with the department or person in charge of compliance with the AMA at an appropriate time without hesitation.

< Examples of Efforts for the Design and Operation of a Consultation System >

Efforts to Foster an Organizational Culture which is Easy to Consult with Others	Efforts to Improve the Convenience of Consultation Desks	Efforts to Improve the Recognition of Consultation Desks	Efforts to Improve the Reliability of Consultation Desks	Efforts Related to Corporate Structure to Make Appropriate Decisions for Consultations
<ul style="list-style-type: none"> ✓ Encouraging to consult with others when officers and employees has any concerns about the AMA through messages from the top management and code of conduct. 	<ul style="list-style-type: none"> ✓ Expanding the consultation opportunities (telephone, fax, email, intranet consultation forms, face-to-face meetings, and web meeting systems, etc.). 	<ul style="list-style-type: none"> ✓ Disseminating the name of the department and the person in charge of the consultation desk, how to use the consultation desk, the response process after receiving the consultation, and the guidelines for the period required for responses to officers and employees. 	<ul style="list-style-type: none"> ✓ Ensuring confidentiality when necessary. ✓ Responding promptly and politely to consultations and establishing appropriate relationships of trust with front offices, etc. 	<ul style="list-style-type: none"> ✓ Handling consultations by the person who has independence from the consultant and expertise in the AMA. ✓ Listing experts such as lawyers for cases where expert judgements are needed.

[Examples of Good Practices]



- Our company has enhanced the legal & compliance department's capability to handle consultations about whether or not individual actions may constitute the AMA violations.
- The legal department is working to find solutions together as much as possible when the sales department comes to consult. If the legal department merely say "You cannot engage in this deal since it is risky.", it will not take much time but restrain the sales department from consulting in the future. Accordingly, the legal department tries to consider not only legal and illegal decisions but also measures to raise revenue together. ,etc.

(4) Design and Implementation of Internal Disciplinary Rules for the AMA Violation

- It is important to clarify and disseminate that involvement in the AMA violations and unreasonable failure of preventing and detecting the violations are subject to disciplinary measures, the person with disciplinary authority, procedures for disciplinary measures and criterias to determine what types of disciplinary measures as an internal disciplinary rule. Also, it is important to fairly apply the rule.
- It is worth to consider to introduce a system that gives interests to officers and employees who cooperate with efforts by the company which are aimed to prevent and detect the AMA violations.

[Examples of Good Practices]



- Our company has clarified that involvements, directions and oversights of the AMA violations are subject to disciplinary measures in the internal rule. As a result, supervisors closely communicate with subordinates to check whether or not there are the AMA violations. ,etc.

Components of an Effective AMA Compliance Program: Specific Measures to Detect the AMA Violations at an Early Stage and Take Appropriate Actions (Part II-3)

(1) Conducting Audits on the AMA

- In order to detect the AMA violations, it is important that the internal audit department, which has independence from business departments (first line) and the compliance department or person in charge (second line), conducts audits on the AMA periodically.

< Points of Audits >

Checking the Related Documents and Evidence



- ✓ Written agreements with competitors, etc.
- ✓ Minutes of meetings with competitors, etc.
- ✓ Applications, approvals, reports, etc. related to contacts with competitors, etc.
- ✓ Invoices, receipts, etc. related to travel and transportation expenses, entertainment expenses, etc.

Search for Keywords in Emails, etc.



PC



Smartphone

Questionnaires and Interviews

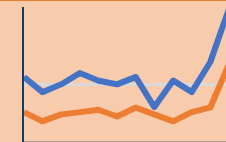


Questionnaires



Interviews

Data Analysis



Accounting data, the winning bid rate data, etc.

[Examples of Good Practices]



- Audits are conducted to check compliance with internal rules concerning the AMA, contacts with competitors, and usages of entertainment expenses.
- In addition to Interviews to audit targets, emails, travel expenses, and entertainment expenses are checked to confirm the situations where employees contact with competitors.
- Our company checks the winning bid rate of public works projects participating in the bidding process monthly, and if the winning bid rate is 90% or higher, our company investigates the processes to determine the bidding price, etc.

(2) Design and Implementation of a Whistleblowing System

- It is important to comply with the Whistleblower Protection Act (revised 2020), and that the whistleblowing system be recognized and actually used by officers and employees.

< Examples of Efforts Promoting the Use of Whistleblowing System >

Efforts to Foster an Organizational Culture that Make it Easy to Speak up

- ✓ Encouraging to speak up when officers and employees see and hear any violations of the AMA through messages from the top management and code of conduct.

Efforts to Improve the Convenience of the Whistleblowing System

- ✓ Establishing the reporting line to outside law firms, expanding the reporting measures (telephone, fax, email, intranet consultation forms, mails, etc.), and allowing the anonymous reportings.

Efforts to Improve the Recognition of the Whistleblowing System

- ✓ Disseminating the name of the department and the person in charge of the whistleblowing system, how to use the whistleblowing system, the response process after receiving the reporting to officers and employees.

Efforts to Improve the Reliability of the Whistleblowing System

- ✓ Keeping confidentiality regarding reporting strictly.
- ✓ Prohibiting any adverse treatment to officers and employees who reports the AMA violations.
- ✓ Handling all reports properly and giving officers and employees feedback.

[Examples of Good Practices]



- Our company has reviewed the whistleblowing system in accordance with changes in the law and social conditions including the revision of the Whistleblower Protection Law in 2020.
- CEO has conveyed continuously the importance of speaking up through the use of whistleblowing system. As a result the recognition of the whistleblowing system and the number of cases in which it is used have significantly improved.
- Since it was difficult to speak up through the company's own internal reporting line, our company established the external reporting line in lawyers' office. As a result, the number of reports has significantly increased.
- Through the AMA compliance manual, our company documents and disseminates that the AMA violations are subject to reporting, the department and the person in charge of the whistleblowing system and the process to report.
- Our company stipulates strict confidentiality of the whistleblower, and prohibition of searching reporters and any adverse treatment such as dismissal due to the whistleblowing in the internal rule. Also, our company provide remedies in case of violations of these provisions through the rule, etc.

(3) Introduction of an Internal Leniency System about the AMA

- It is desirable to introduce an internal leniency system which allows reduction or exemption of disciplinary measures for employees and officers who report an involvement of the AMA violations voluntarily and cooperate to an internal investigation.
- In the case of introducing an internal leniency system, it is desirable that the conditions and effects of reduction or exemption of disciplinary measures are clarified in internal rules, and to disseminate it to officers and employees properly.

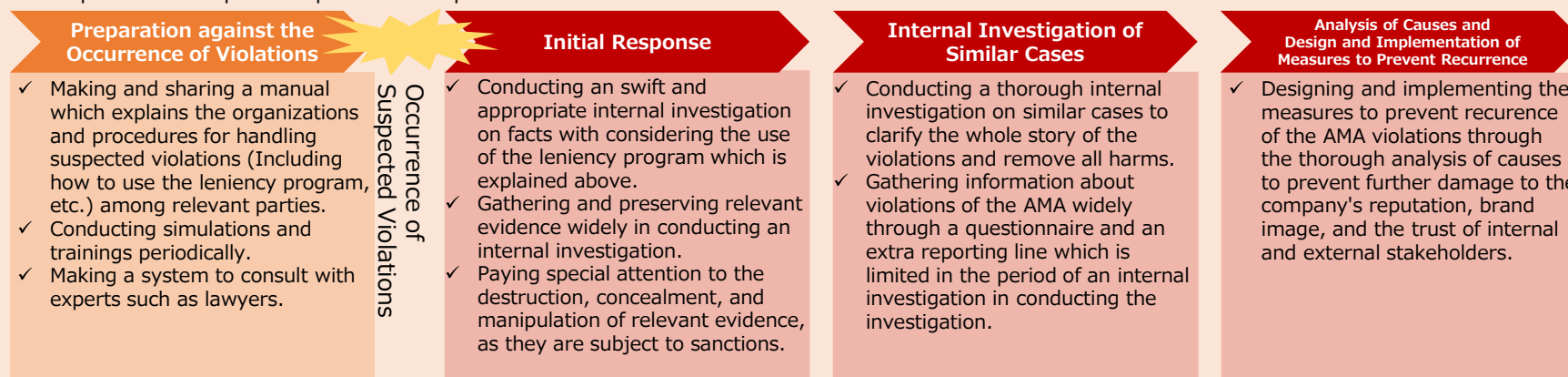
[Examples of Good Practices]



- Our company clarifies that disciplinary measures may be reduced according to the degree of contribution to the reduction of damages which is imposed to the company and timing and content of reports.
- Our company makes it possible that in the event of a report from a person involved in a violation, a disciplinary measure for the person who reports the violation at first may be exempted. ,etc

(4) Appropriate Response to Suspected Violations of the AMA

- It is important to implement appropriate responses to suspected violations of the AMA promptly with considering the use of the leniency program that allows the reduction or exemption of surcharge payments when companies that voluntarily reported the AMA violations to the JFTC and cooperate with the investigation conducted by the JFTC as following steps:
< Examples of the Steps of Responses to Suspected Violations >



[Examples of Good Practices]

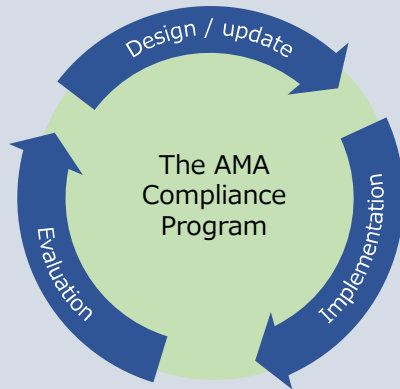


- Our company makes and disseminates a manual which is written in plain words to prevent the concealment of the relevant evidence by the employees in the internal investigation.
- When a violation is suspected, our company will gather relevant evidence promptly and cooperate with the investigation by the authorities.
- An on-site inspection conducted by the JFTC triggered the internal investigation about other products, and our company could detect the AMA violation of the other products and be successfully applied the reduction and exemption of the surcharge payment. ,etc

Components of an Effective AMA Compliance Program: Periodic Evaluation and Update of the Program (Part II-4)

Periodic Evaluation and Update of the Program (Part II-4)

- It is important to periodically evaluate the effectiveness of the AMA compliance program and update it for improvement.



[Examples of Good Practices]

- Our company conducts audits to confirm how effective the AMA compliance program is complied and implemented. If the audit department detects any deficiencies about complying with the program, the department which is indicated deficiencies from the audit department implements improvement measures and disseminates them to other departments horizontally. As a result, our company can continue the PDCA cycle for eliminating bid-rigging.
 - Our company conducts an anonymous survey to all employees every year as a compliance dissemination survey.
 - Our company monitors and makes aware of the AMA compliance through conducting the survey to officers and employees to measure the awareness of the AMA compliance.
- ,etc.



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Reference

Reference (1) The JFTC's Past Research Reports on the AMA Compliance



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Publication Periods	Title	Subject of Investigation
May 2006	Corporate Compliance System —The present status and issues of the corporate compliance mainly with the Antimonopoly Act—	Companies Listed on the First Section of the Tokyo Stock Exchange (1,696 Companies)
May 2007	Compliance Efforts in the Construction Industry —Focusing on the Antimonopoly Act—	Licensed by the Minister of Land, Infrastructure, Transport and Tourism (1,700 Companies)
May 2008	Compliance Efforts of Foreign-owned Companies and Survey on Corporate Compliance from the Lawyer's Point of View —Focusing on the Antimonopoly Act—	Foreign-owned Companies (1,466 Companies)
March 2009	Survey on the Status of Compliance System Development in Enterprises —Status Since the Enforcement of the Antimonopoly Act (Revised January 2006)—	Companies Listed on the First Section of the Tokyo Stock Exchange (1,738 Companies)
June 2010	Compliance Efforts of Individual Companies with the Antimonopoly Act —Measures to Enhance the Effectiveness of Compliance—	Companies Listed on the First Section of the Tokyo Stock Exchange (1,684 Companies)
November 2012	Survey on Corporate Compliance Efforts with the Antimonopoly Act	Companies Listed on the First Section of the Tokyo Stock Exchange (1,681 Companies)
March 2015	Compliance Efforts of Japanese Companies for Foreign Competition Laws —Aiming at Compliance Efforts as Global Rules	Companies Listed on the First Section of the Tokyo Stock Exchange (1,814 Companies)
December 2016	Compliance Efforts of Trade Associations for Achieve Antimonopoly Act	Trade Associations (1,041 Associations)
June 2020	Status of Measures Taken by Cooperatives, Etc. Regarding Compliance with the Antimonopoly Act	Cooperatives, Etc. (1,781 Cooperatives, Etc.)
June 2023	Report on the Effectiveness of Measures to Prevent Recurrence in Cease and Desist Orders	Enterprises which Have Received a Cease and Desist Order, etc. of the Unfair Trade Restrictions in the Past (719 Enterprises)

Reference (2) Guides of Competition Authorities in Other Jurisdictions, etc. Referred to in the Making of the Guide

[International Organizations, etc.]

Name of Organization, etc.	Issuer	Publication Periods *	Title
OECD	Organisation for Economic Co-operation and Development	2021	Competition Compliance Programmes
ICN	International Competition Network Advocacy Working Group	2021	Report on Competition Compliance
ASEAN	Association of Southeast Asian Nations Secretariat	2018	Competition Compliance Toolkit for Businesses in ASEAN
ICC	International Chamber of Commerce	2013	THE ICC ANTITRUST COMPLIANCE TOOLKIT

[Competition Authorities in Other Jurisdictions]

Country/Region Name	Issuer	Publication Periods *	Title
United States	U.S. Department of Justice Criminal Division	March 2023	Evaluation of Corporate Compliance Programs
	U.S. Department of Justice Antitrust Division	July 2019	Evaluation of Corporate Compliance Programs in Criminal Antitrust Investigations
France	Autorité de la concurrence	May 2022	Framework document of 23 May 2022 on competition compliance programmes
United Kingdom	Competition and Market Authority	September 2020	Competition law risk: a short guide
Spain	Comisión Nacional de los Mercados y la Competencia	June 2020	ANTITRUST COMPLIANCE PROGRAMMES GUIDELINES
Peru	Instituto Nacional de Defensa de la Competencia y de la Protección de la Propiedad Intelectual	March 2020	GUIDELINES ON COMPETITION COMPLIANCE PROGRAMS
Mexico	Mexican Federal Economic Competition Commission	August 2019	Recommendations for complying with the Federal Economic Competition Law
Italy	Autorità Garante della Concorrenza e del Mercato	September 2018	GUIDELINES ON ANTITRUST COMPLIANCE
India	COMPETITION COMMISSION OF INDIA	May 2017	COMPLIANCE MANUAL FOR ENTERPRISES
Korea	Korea Fair Trade Commission	May 2016	RULES ON OPERATION OF FAIR TRADE COMPLIANCE PROGRAMS, OFFERING OF INCENTIVES, ETC
Brazil	Administrative Council for Economic Defense	January 2016	GUIDELINES COMPETITION COMPLIANCE PROGRAMS
Canada	Competition Bureau	June 2015	Corporate Compliance Programs
Malaysia	Malaysia Competition Commission	September 2013	THE COMPETITION ACT 2010 COMPLIANCE GUIDELINES
Chile	National Economic Prosecutor's Office	June 2012	COMPETITION LAW COMPLIANCE PROGRAMS
European Union	European Commission	2012	Compliance matters

* Time of publication is the time of initial publication or last revision.