This document was created in response to a Freedom of Information request made to CSIRO.

FOI Number: FOI2017/42

Date: 14 December 2017

Request: Information about where CSIRO executives and staff have been the beneficiaries of gifts, sponsorship or hospitality given to them by other parties over the past five years which might be recorded as a declarable gift or otherwise.

Document(s): 1-38

For more information, please refer to CSIRO’s FOI disclosure log at www.csiro.au/FOILog
From: Cook, Angie (HR, Campbell)
Sent: Wednesday, 14 March 2012 8:13 AM
To: Heldt, Trevor (HR, Campbell)
Subject: RE: Requesting Permission

Hi Trevor

Please see below:

The seats would be approx $45
The meal is 2 course so approx $50
Lets call it $100 a head

Regards
Dean

Sent from my iPhone

Kind Regards
Angie Cook
Executive Pay Manager | HR Service Centre
CSIRO Human Resources
Phone: | Fax 02 6276 6707 | www.csiro.au
PO Box 225, Dickson ACT 2602

From: Heldt, Trevor (HR, Campbell)
Sent: Tuesday, 13 March 2012 5:36 PM
To: Cook, Angie (HR, Campbell)
Cc: Preuss, John (HR, Campbell)
Subject: RE: Requesting Permission

Thanks Angie – please provide information on whether this is an invitation in your private capacity and the approximate value of the gift.

From: Cook, Angie (HR, Campbell)
Sent: Tuesday, 13 March 2012 1:10 PM
To: Heldt, Trevor (HR, Campbell)
Cc: Preuss, John (HR, Campbell)
Subject: Requesting Permission

Dear Trevor

I have had a meeting with the new ACT State manager from SG Fleet last week and he has offered me Directors Dinner Tickets to the Brumbies in a couple of weeks. John is aware of this and I have double checked the Policy on Accepting Hospitality, hence this email requesting permission to attend.
I am fully aware of the rules regarding influencing of Agencies towards recommending one vendor over another. If approved this event will not have any bearing on my professional actions within CSIRO.

Kind Regards

Angie Cook
Executive Pay Manager | HR Service Centre
CSIRO Human Resources
Phone 02 6276 6707 Fax 02 6276 6707
www.csiro.au
PO Box 225, Dickson ACT 2602
From: Heldt, Trevor (HR, Campbell)
Sent: Thursday, 20 December 2012 2:38 PM
To: Pena, Ricky (HR, Kensington)
Subject: RE: Acceptance of Gifts

Thanks Ricky for disclosing this offer. Given the nature of the current arrangement and the modest value of the offered gift I am comfortable with you accepting these general audience tickets.

Regards

Trevor Heldt
General Manager
Human Resource Business Services
CSIRO
E s47F
Limestone Avenue, Campbell, Canberra ACT 2602
www.csiro.au

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From: Pena, Ricky (HR, Kensington)
Sent: Wednesday, 19 December 2012 1:09 PM
To: Heldt, Trevor (HR, Campbell)
Subject: Acceptance of Gifts

Hi Trevor
As discussed Mark Jeffery who is an existing provider for us in terms of an executive coach has recently (13 December) offered tickets to a basketball game. He has coached one of the Energy Group Directors (Edson Nakagawa) who is no longer with us. He was selected earlier this year after receiving a number of quotes from other providers (early May 2012)

The exact value of the tickets is unknown but range from $40.00-$150.00.

Can you please advise on whether it is okay to accept the gift from Mark Jeffery from ODG Solutions.

Regards
Ricky
Megan is going to accept this invitation and has asked if you could please add to the register for declarations.

From: Lonergan, Annemaree (OCE, Campbell)
Sent: Tuesday, 5 February 2013 2:52 PM
To: Clark, Megan (OCE, Campbell)
Subject: FW: An Invitation from Virgin Australia

Megan is this something you and Trent would be interested in. It is Virgin's equivalent to Chairman's Lounge.

From: The Club Executive Services
Sent: Tuesday, 5 February 2013 2:31 PM
To: Lonergan, Annemaree (OCE, Campbell)
Subject: An Invitation from Virgin Australia

Good morning Annemaree,

Thank you for taking the time to speak with me today.

As discussed, Virgin Australia's CEO Mr John Borghetti would like to extend an invitation to Dr Megan Clark and her spouse (or partner), to take advantage of the exclusive products and services on offer as a member of The Club. Membership to The Club is for a select group of Virgin Australia guests and members will be entitled to an exclusive range of products and services including their own private lounge facilities in key ports and access to a dedicated 24/7 call centre team.

In addition to this we would also like to offer you as her executive assistant a Platinum Velocity membership. For additional information on the benefits of a Platinum membership, please click the link.


file:///C:/Users/rob65d/AppData/Local/Microsoft/Windows/Temporary%20Internet%20Files/Content.Word/11/01/2018
For Dr Clark, her spouse (or partner) and yourself to become Velocity members (if not already), please click on the link below. Upon completing the registration, an automated welcome email will be generated. In order for me to elevate the membership to the appropriate status, please email me the Velocity numbers at your earliest convenience. If you would like to enter the words &S‘L’ATOS HATCH under the Promo code field, this will ensure the introductory welcome pack which is the standard entry level status is not issued.


I have attached a Third Party Access form which gives Dr Clark the opportunity to nominate a third party representative (such as yourself), to have full access to the membership to be able to make bookings and discuss the membership details in full. If Dr Clark would like to complete this, you can email all documentation to the below email address for processing. If you could please ensure the third party access form is sent from the email address which matches Dr Clark's Membership.

Please do not hesitate to contact me if you require any assistance.

We look forward to receiving your response in order to initiate Dr Clark's formal invitation.

Kind regards,

Cane

Description: Description:
http://www.virginaustralia.com/cs/groups/internetaaset/@wc/documents/webaset/-edisp/img_footer_logo.gif

Cane | Premium Guest Services
PO Box 1034 Spring Hill QLD Australia 4004

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Hello David,
We are pleased you and Jeannie are able to attend our ACO Dinner being held 16th August 2013.

I have noted Jeannie’s vegetarian dietary requirement and will forward onto the chef.

As part of IBM’s reporting policies, could you please review the attached acceptance letter and return the signed copy to me by either fax or scan and email.

We look forward to seeing you both on the night.

Many thanks.

(See attached file: Confirmation Letter - David Williams.1.doc)

Regards
Rosie Iannelli
Events Co-ordinator, Corporate Affairs
IBM Australia Limited
ph: (612) 9354-9117
fax: (612) 9354-9117
Mobile:

Glenn

Jeannie and I will be pleased to accept

Dave Williams

Sent from my iPad

On 17/07/2013, at 9:28, “Glenn Wightwick” wrote:

> 
> > Dear Dave
> > > I hope you are very well. On behalf of Andrew Stevens, I would like
> > > to invite you to an IBM and Australia Chamber Orchestra event on
> > > Friday, August 16th. I’ve attached the invitation below.
> (See attached file: 2013 ACO Dinner Invitation David Williams.pdf)
> Regards
> Glenn
>
> Glenn Wightwick
> IBM Distinguished Engineer
> Chief Technologist, IBM Australia
> Director, IBM Research - Australia
>
> <2013 ACO Dinner Invitation David Williams.pdf>
Dave

If it is an event where others are paying, with your ticket(s) being a gift of free attendance by IBM, then that is one situation;

If it is an event where no one is paying and it is simply part of an IBM event then I think it needs to be logged according to the gift procedures.

Cheers
Jack

----Original Message----
From: Lonergan, Annemaree (OCE, Campbell)
Sent: Tuesday, 30 July 2013 10:09 AM
To: Williams, Dave (Group Exec, North Ryde)
Cc: Steele, Jack (Science Excellence, North Ryde); McIntosh, Chris (OCE, Campbell)
Subject: RE: Invitation to IBM/ACO Event

Hi Dave - subject to Jack's advice, Craig says this is okay.

Thanks
AM

Annemaree Lonergan
EA to Dr Megan Clark
Chief Executive
CSIRO
PO Box 225
DICKSON ACT 2602

Phone: s47F
Fax: +61 (2) 6226 6628
Mobile: s47F

----Original Message----
From: Williams, Dave (Group Exec, North Ryde)
Sent: Tuesday, 30 July 2013 9:55 AM
To: Clark, Megan (OCE, Campbell)
Subject: FW: Invitation to IBM/ACO Event

Megan

IBM have invited myself and Jeannie to this evening. I have checked and there are no conflicts of interest with IBM nor open tender negotiations. Andrew Stevens is the Chairman of the Services Leaders group of the department, and this will be a good opportunity to talk informally.

I propose to accept. Is this OK with you.
Dave

Dr. David Williams
Group Executive, CSIRO Information Sciences
Phone: [redacted] Fax: +61 2 9490 5629 [redacted]
Address: PO Box 52, North Ryde NSW 1670

---Original Message---
From: Glenn Wightwick
Sent: Wednesday, 17 July 2013 5:28 PM
To: Williams, Dave (Group Exec, North Ryde)
Cc: Rosie Iannelli
Subject: Invitation to IBM/ACO Event

Dear Dave,

I hope you are very well. On behalf of Andrew Stevens, I would like to invite you to an IBM and Australia Chamber Orchestra event on Friday, August 16th. I've attached the invitation below.
(See attached file: 2013 ACO Dinner Invitation David Williams.pdf)

Regards,
Glenn

Glenn Wightwick
IBM Distinguished Engineer
Chief Technologist, IBM Australia
Director, IBM Research - Australia
Thanks for advice I think it would be appropriate to keep the gift and will make a note of it in the gift register.

Megan

Sent from my iPhone

On 29/09/2013, at 1:37 PM, "Moate, Toni (CMAR, Hobart)" wrote:

Dear Megan

At the Naming Ceremony for RV Investigator on 5 September 2013 I was presented with a gift as Lady Sponsor. It was a painting of Singapore with a plaque "Presented to Toni Moate – Lady Sponsor ...". CSIRO was also presented with a second painting as a gift from Sembawang for the vessel itself.

I am writing to seek your permission to personally retain the gift – which is allowable under CSIRO policy if approved by a Senior Manager.

Participation in the FRV Project has been an incredible experience, and I will always be grateful to CSIRO (through you, Mike, Andrew and Bruce) that I had this opportunity.

My participation has, however, also required significant support and understanding from my family:

I feel the painting would be recognition for my whole family of our collective achievement in enabling me to take on the Executive Director role and, wherever I am in the future, a wonderful reminder of this once in a lifetime experience.

I can promise you that I completely understand the intent of the CSIRO Code of Conduct and Gifts Policy:
To promote integrity and honest behaviour by CSIRO staff at work and to avoid conflicts of interests by strictly limiting the circumstances in which staff may accept gifts, hospitality and externally sponsored travel, and use frequent flyer points accrued on duty.

I in no way feel compromised by the gift, and can assure you that I will remain vigilant in representing CSIRO’s interests in the contract to build the vessel, while at all times respecting the position of our industry partners. I am very committed to concluding this component of the Project with strong relationships intact, even though robust discussions are often required.

I hope that circumstances might allow my acceptance of the gift, but will understand if after consideration you don’t believe this is appropriate. I would not want to compromise the integrity of the FRV Project that we have worked so hard to uphold.

Regards, Toni

Toni Moate CPA GAICD
Deputy CHief, Science Operations
Executive Director, Future Research Vessel Project

Marine and Atmospheric Research
CSIRO
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Please consider the environment before printing this email.
Message: FW: Request for Approval - Acceptance of Gift

From: Lonergan, Annamaree (OCE, Campbell)
To: McIntosh, Chris (OCE, Campbell)
Cc:
Sent: 1/10/2013 at 8:31 AM
Received: 1/10/2013 at 8:31 AM
Subject: FW: Request for Approval - Acceptance of Gift

For gift register please.

A

A

Annamaree Lonergan
EA to Dr Megan Clark
Chief Executive
CSIRO
PO Box 225
DICKSON ACT 2602
A
Phone: +61 (2) 6276 6528
Fax: +61 (2) 6276 6528
Mobile: +61 (2) 6276 6528
A

Sent from my iPhone

Thanks for advice I think it would be appropriate to keep the gift and will make a note of it in the gift register. Megan

Sent from my iPhone
SO PROUD OF YOUR SUCCESS!

Dr Megan Clark

A donation has been made on your behalf to support gender equality in Asia and the Pacific. Rural women in Timor-Leste face gender inequalities in income, education and employment opportunities. This gift represents the cost for a woman facilitator from Covalima Community Centre to work with women in a rural community to build their micro-businesses. These projects provide women with opportunities to take on leadership roles, often for the first time.

Your gift empowers women to build opportunities for themselves.

IWDA

When women benefit, the whole community benefits.

IWDA. ABN 19 242 955 685. Photo credit: Georgia Ride.
Hi Naomi,

Sorry I didn't get back earlier. I believe the gift related to the effective communications and assistance you provided both CSIRO and the contractor in sorting out the adjustments to the contract and in review at North Ryde. This has no impact on the contract for now or the future as you are not involved in contract assessment so feel free to accept the gift on this occasion. It might be a concern if it was a regular event or you were involved in contractor selection.

Regards,

Rudy

---

From: Dittmar, Naomi (Property, North Ryde)
Sent: Monday, 17 February 2014 12:18 PM
To: Van Kerckhof, Rudy (Property, St. Lucia)
Subject: gift - ethics

Hi Rudy

Have looked into the policy.

"The CSIRO Code of Conduct states that staff members "are not permitted to accept gifts or benefits of any significant value" without the approval of their Senior Manager. Such precluded gifts include offers of equity (for example shares, share options or derivatives) from companies. However the acceptance of a gift can be permissible in some circumstances - for example:

* a gift of a nominal value (e.g. an inexpensive pen at Christmas) may be accepted in a situation where gifts such as this are being generally distributed;
* a gift may be accepted where the giver is from a different cultural background and refusal may cause offence. See Actions Required <http://my.csiro.au/Business-Units/Science-Strategy-and-People/Human-Resources-2/Procedures-and-Guidelines/Procedures/Conduct-and-Ethics/Acceptance-of-gifts-travel-and-hospitality.aspx#Procedures> for the course to be followed in these circumstances."

The voucher is to Billy Kwong Chinese Eating House at Surry Hills for the value of $150.00 from SKG Management.
Please advise if this is OK to accept.

Regards

Naomi

Naomi Dittmar
Administrator
Business & Infrastructure Services
CSIRO

11 Julius Avenue North Ryde NSW 2113
www.csiro.au <http://www.csiro.au>

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Please consider the environment before printing this email.
-----Original Message-----
From: Fulton, Gail (IP & Licensing, North Ryde)
Sent: Friday, 2 May 2014 4:27 PM
To: CSIRO Legal
Lawyers-DG
Falkenberg, Tristy (Business Services, Clayton)
Subject: Do I have an ethical dilemma? Bribery and Corruption

A friend has co-written the Australian Chapter of the 2014 Getting the Deal Through - Anti-Corruption Regulation book. The book has chapters covering in basic details relevant provisions and approaches in 44 jurisdictions.

She has sent me a complimentary copy of the book - I am almost sure that a gift of a book about avoiding bribery and corruption could not possibly be construed as bribery or corruption.

In any event, I have copied the list of countries which are covered and the overview chapter happy to provide more information to anyone if this is of use.

Gail Fulton
Commercial Director, Energy
Commercial
CSIRO

Phone: Mob. | www.csiro.au
Address: Riverside Corporate Park, 14 Julius Avenue, North Ryde, NSW 2113

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Anti-Corruption Regulation 2014

Contributing editor: Homer E Moyer Jr
Miller & Chevalier Chartered

Getting the Deal Through is delighted to publish the eighth edition of Anti-Corruption Regulation, a volume in our series of annual reports that provide international analysis in key areas of law and policy for corporate counsel, cross-border legal practitioners and business people.

Following the format adopted throughout the series, the same key questions are answered by leading practitioners in each of the 44 jurisdictions featured. New jurisdictions this year include Algeria, Bermuda, Cameroon, Denmark, Ecuador, Malaysia, Peru and Portugal. There is also a new chapter on asset recovery, in addition to a global overview and the perspectives of Transparency International and the OECD.

Every effort has been made to ensure that matters of concern to readers are covered. However, specific legal advice should always be sought from experienced local advisers. Getting the Deal Through publications are updated annually in print. Please ensure you are referring to the latest print edition or to the online version at www.GettingTheDealThrough.com.

Getting the Deal Through gratefully acknowledges the efforts of all the contributors to this volume, who were chosen for their recognised expertise. We would also like to extend special thanks to contributing editor Homer E Moyer Jr of Miller & Chevalier Chartered for his continued assistance with this volume.

Getting the Deal Through
London
February 2014
<table>
<thead>
<tr>
<th>Country</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ireland</td>
<td>110</td>
</tr>
<tr>
<td>Conlan Lawler and Brid McMahon</td>
<td></td>
</tr>
<tr>
<td>Norway</td>
<td>172</td>
</tr>
<tr>
<td>Erling Grimsæth</td>
<td></td>
</tr>
<tr>
<td>BDO AS</td>
<td></td>
</tr>
<tr>
<td>Peru</td>
<td>177</td>
</tr>
<tr>
<td>Sandra Ortuño</td>
<td></td>
</tr>
<tr>
<td>Ortuño Abogados (Attorneys at Law)</td>
<td></td>
</tr>
<tr>
<td>Philippines</td>
<td>182</td>
</tr>
<tr>
<td>Francisco Del Lim and</td>
<td></td>
</tr>
<tr>
<td>Chrysaol Castillo P. Bautista</td>
<td></td>
</tr>
<tr>
<td>Argentina Abogados Regla &amp; Cruz</td>
<td></td>
</tr>
<tr>
<td>Law Offices (ACORLAW)</td>
<td></td>
</tr>
<tr>
<td>Poland</td>
<td>186</td>
</tr>
<tr>
<td>Jaroslav Knuk and</td>
<td></td>
</tr>
<tr>
<td>Aleksandra Muryleiko-Demuslak</td>
<td></td>
</tr>
<tr>
<td>Knuk and Partners Law Firm</td>
<td></td>
</tr>
<tr>
<td>Portugal</td>
<td>194</td>
</tr>
<tr>
<td>Alexandra Moia Borges and Dírez Renter</td>
<td></td>
</tr>
<tr>
<td>PLM – Sociedade de Advogados, RL</td>
<td></td>
</tr>
<tr>
<td>Russia</td>
<td>202</td>
</tr>
<tr>
<td>Vasily Tortkornoy</td>
<td></td>
</tr>
<tr>
<td>Jernegan &amp; Partners</td>
<td></td>
</tr>
<tr>
<td>Saudi Arabia</td>
<td>209</td>
</tr>
<tr>
<td>Robert Thomé and Sultan Al-Hejailan</td>
<td></td>
</tr>
<tr>
<td>The Law Firm of Sultan Al-Hejailan</td>
<td></td>
</tr>
<tr>
<td>Singapore</td>
<td>212</td>
</tr>
<tr>
<td>William Ang</td>
<td></td>
</tr>
<tr>
<td>Norton Rose Fulbright (Asia) LLP</td>
<td></td>
</tr>
<tr>
<td>Spain</td>
<td>220</td>
</tr>
<tr>
<td>Laura Martinez-Sanz and</td>
<td></td>
</tr>
<tr>
<td>Jaime González-Guigal</td>
<td></td>
</tr>
<tr>
<td>Oliva-Ayala Abogados</td>
<td></td>
</tr>
<tr>
<td>Sweden</td>
<td>224</td>
</tr>
<tr>
<td>Olaf Rønmark and Sofia Karlsson</td>
<td></td>
</tr>
<tr>
<td>Advokatfirman Delphi</td>
<td></td>
</tr>
<tr>
<td>Switzerland</td>
<td>231</td>
</tr>
<tr>
<td>Peter Eberhardt, Paul Gunt-Hart and</td>
<td></td>
</tr>
<tr>
<td>Roland Rysar</td>
<td></td>
</tr>
<tr>
<td>Schellenberg Wittmer Ltd</td>
<td></td>
</tr>
<tr>
<td>Turkey</td>
<td>238</td>
</tr>
<tr>
<td>Gomong Gobayn and Olu Kuma</td>
<td></td>
</tr>
<tr>
<td>ELIG Attorneys-at-Law</td>
<td></td>
</tr>
<tr>
<td>Ukraine</td>
<td>245</td>
</tr>
<tr>
<td>Yaroslav Toljantsev, Viktoriy Fiscov and</td>
<td></td>
</tr>
<tr>
<td>Valentina Tryfonova</td>
<td></td>
</tr>
<tr>
<td>Vakil, Kaf &amp; Partners</td>
<td></td>
</tr>
<tr>
<td>United Arab Emirates</td>
<td>252</td>
</tr>
<tr>
<td>Charles Laubach</td>
<td></td>
</tr>
<tr>
<td>AHK &amp; Angell</td>
<td></td>
</tr>
<tr>
<td>United Kingdom</td>
<td>259</td>
</tr>
<tr>
<td>Marty Replanc QC</td>
<td></td>
</tr>
<tr>
<td>Peters &amp; Peters</td>
<td></td>
</tr>
<tr>
<td>United States</td>
<td>274</td>
</tr>
<tr>
<td>Homer E. Moyer Jr, James C. Tilson, Marc Alain Bala and Amanda Hakstian-Parker</td>
<td></td>
</tr>
<tr>
<td>Miller &amp; Chevalier Chartered</td>
<td></td>
</tr>
<tr>
<td>Venezuela</td>
<td>282</td>
</tr>
<tr>
<td>Fernando Pelaez-Pier and Gerardo Ericcio</td>
<td></td>
</tr>
<tr>
<td>Haas Pelaez Castillo &amp; Duche</td>
<td></td>
</tr>
<tr>
<td>Appendix: Corrupt Receptions Index</td>
<td>287</td>
</tr>
<tr>
<td>Transparency International</td>
<td></td>
</tr>
</tbody>
</table>
Global Overview

Homer E Moyer JR
Miller & Chevalier Chartered

Corruption, including corruption of public officials, dates from early in human history and countries have long had laws to punish their own corrupt officials and those who pay them bribes. But national laws prohibiting a country's own citizens and corporations from bribing public officials of other nations are a new phenomenon, less than a generation old. Over the course of perhaps the past 15 years, anti-corruption law has established itself as an important, transnational legal specialty, one that has produced multiple international conventions and scores of national laws, as well as an emerging jurisprudence that has become a prominent reality in international business and a well-publicised theme in the media.

This volume undertakes to capture the growing anti-corruption jurisprudence that is developing around the globe. It does so first by summarising national anti-corruption laws that have implemented and expanded the treaty obligations that more than 150 countries have now assumed. These conventions obligate their signatories to enact laws that prohibit paying bribes to foreign officials. Dozens of countries have already done so, as this volume confirms. These laws address both the paying and receiving of illicit payments – the supply and the demand sides of the official corruption equation – as well as mechanisms of international cooperation that have never before existed.

Second, this volume addresses national financial record-keeping requirements that are increasingly an aspect of foreign bribery laws because of their inclusion in anti-corruption conventions and treaties. These requirements are intended to prevent the use of accounting practices to generate funds for bribery or to disguise bribery on a company's books and records. Violations of record-keeping requirements can provide a separate basis of liability for companies involved in foreign as well as domestic bribery.

Finally, because the bribery of a foreign government official also implicates the domestic laws of the country of the corrupt official, this volume summarises the better-established national laws that prohibit domestic bribery of public officials. Generally not a creation of international obligations, these are the laws that apply to the demand side of the equation and may also be brought to bear on payers of bribes who, although foreign nationals, may be subject to personal jurisdiction, apprehension and prosecution under domestic bribery statute.

The growth of anti-corruption law can be traced through a number of milestone events that have led to the current state of the law, which has most recently been expanded by the entry into force in December 2003 of the sweeping United Nations Convention Against Corruption. Spurred on by a growing number of high-profile enforcement actions, investigative reporting and broad media coverage, ongoing scrutiny by non-governmental organisations and the appearance of an expanding cottage industry of anti-corruption compliance programmes in multinationals, anti-corruption law and practice is rapidly coming of age.

The US 'questionable payments' disclosures and the FCPA

The scope of today's legal structure prohibiting bribery of foreign government officials can fairly be traced to the serendipitous discovery in the early 1970s of a widespread pattern of corrupt payments to foreign government officials by US companies. First dubbed merely 'questionable' payments by regulators and corporations alike, these practices came to light in the wake of revelations that a large number of major US corporations had used off-book accounts to make large payments to foreign officials to secure business. Investigating these disclosures, the US Securities and Exchange Commission (SEC) established a voluntary disclosure programme that allowed companies that admitted to having made illegal payments to escape prosecution on the condition that they implement compliance programmes to prevent the payment of future bribes. Ultimately, more than 400 companies, many among the largest in the United States, admitted to having made a total of more than US$300 million in illicit payments to foreign government officials and political parties. Citing the destabilising repercussions in foreign governments whose officials were implicated in bribery schemes – including Japan, Italy and the Netherlands – the US Congress, in 1977, enacted the Foreign Corrupt Practices Act (FCPA), which prohibited US companies and individuals from bribing non-US government officials to obtain or retain business and provided for both criminal and civil penalties.

In the first 15 years of the FCPA, during which the US law was unique in prohibiting bribery of foreign officials, enforcement was steady but modest, averaging one or two cases a year. Although there were recurring objections to the perceived impact that this unilateral law was having on the competitiveness of US companies, attempts to repeal or dilute the FCPA were unsuccessful. Therefore, beginning in the early to mid-1990s, enforcement of the FCPA sharply escalated, and, at the same time, a number of international and multinational developments focused greater public attention on the subject of official corruption and generated new and significant anti-corruption initiatives.

Transparency International

In hindsight, a different type of milestone occurred in Germany in 1993 with the founding of Transparency International, a non-governmental organisation created to combat global corruption. With national chapters and chapters-in-information in more than 90 countries, Transparency International promotes transparency in governmental activities and lobbies governments to enact anti-corruption reforms. Transparency International's annual Corruption Perceptions Index (CPI), which it began publishing in 1995, has been uniquely effective in publicising and heightening public awareness of those countries in which official corruption is perceived to be most rampant. Using assessment and opinion surveys, the CPI currently ranks 177 countries and territories by their perceived levels of corruption and published the results in 2013, Denmark and New Zealand, followed by Finland, topped the index as the countries seen to be the least corrupt in the world, while Afghanistan, North
Korea and Somalia, followed by Sudan, South Sudan and Libya, were those perceived to be the most corrupt.

Transparency International has also developed and published the Bribe Payment Index (BPI), a similar index designed to evaluate the supply side of corruption and rank the 28 leading exporting countries according to the propensity of their companies to bribe foreign officials. In the 2011 BPI, Dutch and Swiss firms were seen as the least likely to bribe, while Russian firms, followed closely by Chinese and Mexican firms, were seen as the worst offenders.

Through these and other initiatives, Transparency International has become recognized as a strong and effective voice dedicated solely to combating corruption worldwide.

The World Bank

Three years after the formation of Transparency International, the World Bank joined the battle to stem official corruption. In 1996, James D. Wolfensohn, then president of the World Bank, announced at the annual meetings of the World Bank and the International Monetary Fund that the international community had to deal with "the scourge of corruption." Since then, the World Bank has launched more than 650 programmes designed to curb corruption globally and within its own projects. These programmes, which have proved controversial and have encountered opposition from various World Bank member states, include debates on sanctions and targeted enforcement of public and private compliance mechanisms. They have resulted in dozens of cases of corruption.

In September 2013, the World Bank announced that during the 2013 fiscal year (ending 30 June 2013) it debarred 47 firms and individuals for wrongdoing, formally launched 295 additional cross-debarments under a 2010 multilateral agreement (see below), entered into several high-profile negotiated resolution agreements in which companies acknowledged misconduct related to a number of World Bank-funded projects, and cooperated with authorities from numerous countries to quickly address corruption identified during ongoing World Bank investigations. The World Bank maintains a listing of firms and individuals it has debarred for fraud and corruption on its website and, in an effort to increase the transparency and accountability of its sanctions process, the World Bank recently began publishing the full text of sanction decisions issued by its Sanctions Board.

In August 2006, the World Bank established a voluntary disclosure programme (VDP) which allows firms and individuals who have engaged in misconduct—such as fraud, corruption, collusion or coercion—to avoid public debarment by disclosing all prior misconduct, adopting a compliance programme, retaining a compliance monitor and ceasing all corrupt practices. The VDP, which was two years in development under a pilot programme, is administered by the World Bank's Department of Institutional Integrity.

In April 2010, the World Bank and four other multilateral development banks (MDBs) - the Asian Development Bank, the European Bank for Reconstruction and Development and the Inter-American Development Bank Group - each agreed to cross-debar any firm debarred by one of the other MDBs for engaging in corruption or fraud on an MDB-financed development project. Mutual enforcement is subject to several criteria, including that the initial debarment is made public and the debarment decision is made within 10 years of the misconduct. The agreement also provides for wider enforcement of cross-debarment procedures by inviting other international financial institutions to join the agreement after its entry into force.

In October 2010, the World Bank announced the creation of the International Corruption Initiative to connect anti-corruption authorities from different countries and to aid in the tracking and resolution of complex corruption and fraud investigations that are cross-border in nature. In June 2012, the World Bank convened its second large-scale gathering of the Alliance. According to the World Bank, the Alliance has succeeded in bringing together more than 280 senior enforcement and anti-corruption officials from 134 countries to date in an effort to inject momentum into global anti-corruption efforts.

Finally, the World Bank has significantly expanded its partnerships with national authorities and development organisations in recent years to increase its impact and influence of World Bank investigations and increase the capacity of countries throughout the world to combat corruption. For example, since 2010, the World Bank has entered into more than a dozen cooperation agreements with authorities such as the UK Serious Fraud Office (SFO), the European Anti-Fraud Office, the International Criminal Court, the United States Agency for International Development (USAID), the Australian Agency for International Development, the Nordic Development Fund, the Ministry of Security and Justice of the Netherlands, the Liberian Anti-Corruption Commission and the Omnibus Commission of the Philippines.

In the coming years, the World Bank's prestige and leverage promise to be significant forces in combating official corruption, although the World Bank continues to face resistance from countries in which corrupt practices are found to have occurred.

International anti-corruption conventions

Strengthened development in the creation of global anti-corruption law came with the adoption of a series of international anti-corruption conventions between 1996 and 2005. Although interest in the early 1990s focused on the Organisation for Economic Co-operation and Development (OECD), the Organisation of American States (OAS) was the first to reach agreement, followed by the OECD, the Council of Europe and the African Union. Most recent, and most ambitious, is the United Nations Convention against Corruption, adopted in 2003. The events unfolded as follows.

On 29 March 1996, OAS members initiated the Inter-American Convention against Corruption (IACAC) in Caracas. The IACAC entered into force on 8 March 1997. Thirty-three of the 34 signatories have now ratified the IACAC. The IACAC requires each signatory country to enact laws criminalizing the bribery of government officials. It also provides for extradition and asset seizure of offending parties. In addition to emphasizing heightened government ethics, improved financial disclosures and transparency, book-keeping, the IACAC facilitates international cooperation in evidence-gathering.

In 1997, 28 OECD member states and five non-member observer states signed the Convention on Combating Bribery of Foreign Officials in International Business Transactions (OECD Anti-Bribery Convention), which was subsequently ratified by the requisite number of parties and entered into force on 15 February 1999. Forty countries in all, including six countries not currently members of the OECD, have now signed and ratified the OECD Anti-Bribery Convention, most recently Colombia, which signed the country's accession to the convention on 20 November 2012.

States that are parties to the OECD Anti-Bribery Convention are bound to provide mutual legal assistance to one another in the investigation and prosecution of offences within the scope of the OECD Anti-Bribery Convention. Moreover, each party is made accountable. Penalties for transnational bribery are to be commensurate with those for domestic bribery, and in the case of states that do not recognize corporate criminal liability (eg, Japan), the OECD Anti-Bribery Convention requires such states to enact "proportionate and dissuasive non-criminal sanctions." 

In terms of monitoring implementation and enforcement, the OECD has set the pace. An OECD working group monitors states parties' enforcement efforts through a regular reporting and comment process. In phase I of the monitoring process, examiners assess whether a country's legislation adequately implements the OECD Anti-Bribery Convention. In phase II, examiners evaluate whether a country is enforcing and applying this legislation. After each phase, the examiners'
report and recommendations are forwarded to the government of each participating country and are posted on the OECD’s website.

On 29 November 2009, the OECD Council issued its final report on bribery since the adoption of the OECD Anti-Bribery Convention. Entitled the 'Recommendation of the Council for Further Combating Bribery of Foreign Public Officials in International Business Transactions', the resolution urges member countries to continue to take meaningful steps to detect, prevent and combat the bribery of foreign public officials, not only on a national level, but on a multilateral level, with rigorous and systemic follow-up. Among other things, the resolution recommends that member countries ‘encourage companies to prohibit or discourage the use of small facilitation payments’, and to always require accurate accounting of any such payments in the companies’ books and records. The resolution was supplemented by two annexes setting forth ‘Good Practice Guidelines’ for the member countries and one for companies.

On 4 November 1998, following a series of measures taken since 1996, the member states of the Council of Europe and seven observer states, including the United States, approved the text of a new multilateral convention – the Criminal Law Convention on Corruption. In 2001, the parties adopted the Civil Law Convention on Corruption. Forty-four countries have ratified the Criminal Convention, which entered into force on 1 July 2002, while 34 countries have ratified the Civil Convention, which entered into force on 1 November 2003.

The Criminal Convention covers a broad range of offences including domestic and foreign bribery, trading in influence, money laundering and accounting offences. Notably, the Criminal Convention also addresses private bribery. The Criminal Convention sets forth cooperation measures and provisions regarding the recovery of assets. Similar to the OECD Anti-Bribery Convention, the Criminal Convention establishes a monitoring mechanism, the Group of States against Corruption (GRECO), to conduct mutual evaluations.

The Civil Convention provides for compensation for damages that result from acts of public and private corruption. Other measures include civil law remedies for injured parties, invalidity of corrupt contracts and whistleblower protection. Compliance with the Civil Convention is also subject to peer review.

The African Union Convention on Preventing and Combating Corruption was adopted on 11 July 2003. To date, 34 of the 48 signatories have ratified the African Union Convention. The convention covers a wide range of offences including bribery (domestic and foreign), diversion of property by public officials, trading in influence, illicit enrichment, money laundering and concealment of property. The convention also guarantees access to information and the participation of civil society and the media in monitoring. Other articles seek to ban the use of funds acquired through illicit and corrupt practices to finance political parties and require state parties to adopt legislative measures to facilitate the repatriation of the proceeds of corruption.

Most aggressive, and potentially most important, of all of the international conventions is the United Nations Convention against Corruption. One hundred and forty countries have signed this convention, which was adopted by the United Nations General Assembly on 31 October 2003. The convention entered into force on 14 December 2005 and 169 countries are now party to it, though not all are signatories.

The United Nations Convention against Corruption addresses seven principal topics: mandatory and permissible preventive measures applicable to both the public and private sectors, including accounting standards for private companies; mandatory and permissible criminalisation obligations, including obligations with respect to public and private sector bribery, trading in influence and illicit enrichment; private rights of action for the victims of corrupt practices; anti-money laundering measures; cooperation in the investigation and prosecution of cases, including collection actions, through mutual legal assistance and extraditions and asset recovery.

**Global Overview**

Public dispositions of anti-corruption enforcement actions, media reports of official and internal investigations, disclosures in corporate filings with securities regulatory authorities and stock exchanges, private litigation between companies and former employees, monitoring reports by international organisations, voluntary corporate disclosures, occasional convictions or exposures of implicated individuals, public statements by enforcement officials, statistics compiled by NGOs and international organisations, findings of anti-corruption commissions, World Bank reports and academic studies all provide windows into the fast-changing landscape of enforcement of anti-corruption laws and conventions. Although public knowledge of official investigations and enforcement activity often lags behind, sometimes by years, the available indicators suggest ever-increasing enforcement activity. Without going beyond the public domain, a few recent examples indicate the breadth and diversity of anti-corruption enforcement, including international cooperation, extra-territorial and parallel enforcement, the use of liberalised bank secrecy laws and a growing array of penalties and sanctions.

**Greece**

In August 2013, a large German engineering firm agreed to pay the Greek Ministry of Finance €530 million to resolve longstanding bribery allegations involving the firm’s Greek subsidiary. According to Greek authorities, the subsidiary paid millions of euros in bribes from 1997 to 2002 to win contracts with Greece’s state-owned telecommunications company. Under the terms of the settlement, the engineering firm will reportedly satisfy its monetary penalty through a combination of writing off debt the firm is owed by the Greek government, investing in the local Greek economy and covering the Greek government’s legal costs. The Greek government will also reportedly appoint a committee to oversee the engineering firm’s compliance programme. Over the past few years, the engineering firm has settled related bribery charges with a number of other countries, including the United States and Germany.

In February 2013, Greek prosecutors announced criminal charges against five executives of the orthopedic medical device subsidiary (orthopaedic subsidiary) of a global US health-care company. The executives are accused of paying €16 million in bribes to doctors at government-owned hospitals in Greece. The alleged bribes were reportedly paid between 1998 and 2006 to secure the assistance of these doctors in promoting the company’s products. In addition to charging these executives, Greek prosecutors have also formally accused eight government-employed doctors — mostly orthopedic specialists — of taking bribes and money laundering in connection with the same allegations. The charges by Greek authorities come approximately two years after the orthopaedic subsidiary and its US parent resolved related charges in parallel actions brought by enforcement authorities in the UK and the US, respectively.

**Switzerland**

In November 2011, the Swiss Office of the Attorney General announced a summary of the evidence against Switzerland’s subsidiary of a multi-national, Paris-based power and engineering firm, accusing the company of paying a total penalty of $9.2 million to Swiss officials and shareholders of the company. The engineering firm, allegedly paid hundreds of millions of euros in bribes to public officials throughout the world to obtain civil-engineering contracts. The questionable payments were first discovered by an accounting firm during an audit of a small private Swiss bank. After a two-year investigation encompassing 15 countries, Swiss authorities charged the engineering firm with corporate negligence, stating that the company ‘did not take all necessary and reasonable organisational precautions to prevent bribery of foreign public officials in Latin America, Tunisia and Malaysia’. Consultants engaged by the company allegedly forwarded a significant portion of their success fees to foreign officials to influence the award of state contracts. In February 2012, the World Bank announced the three-year debarment of two
of the engineering firm’s subsidiaries for alleged bribery related to a Bank-financed hydropower project in Zambia. The subsidiaries also agreed to pay US$35.5 million in restitution pursuant to a negotiated resolution agreement with the Bank. Authorities in the United States, France, Brazil, and the United Kingdom are also reportedly investigating the engineering firm in connection with these and other bribery allegations against the company. In March 2010, the UK’s Serious Fraud Office arrested three of the company’s directors on an array of corruption-related charges. This prosecution is ongoing.

In November 2013, Swiss prosecutors entered into a settlement with a Germany-based global engineering and electronics firm after the company admitted that it failed to prevent a Swedish subsidiary from making illicit payments to senior executives of Russia’s state-owned gas company in exchange for contracts related to the construction of a large-scale gas pipeline. In pleading guilty to ‘organisational offences’, the engineering company agreed to make a US$136,000,000 donation to the Red Cross and dispose US$10.6 million in unlawful profits.

Canada
In recent years, the Canadian government has increased its efforts to investigate and prosecute violations of the country’s Corruption of Foreign Public Officials Act (CFPOA) and has enhanced and strengthened the act’s enforcement provisions.

In June 2011, Canadian authorities brought their first sizeable case under the CFPOA, a C$9.3 million anti-bribery enforcement action against a publicly held Canadian oil and gas exploration company. Canadian prosecutors followed up on this enforcement action in January 2013, when they secured a guilty plea from a privately held, Calgary-based oil and gas exploration company in connection with efforts to improperly secure exclusive contracts to explore and develop oil and gas reserves in southern Chad. Among other things, the Calgary company acknowledged providing direct and indirect benefits to the wife of the Canadian ambassador in an attempt to secure the ambassador’s positive influence on the award of these contracts. After initially contemplating an agreement with a contracting company owned by the Canadian ambassador, the Calgary company instead entered into a C$52 million agreement with a consulting company owned by the embassy’s wife. The Calgary company also allowed the ambassador’s wife and the wife of another diplomat to purchase ‘founder’s shares’ in the company. In mid-2011, during due diligence conducted in anticipation of a planned IPO, the Calgary company’s new management team uncovered the scheme, initiated an internal investigation, and made a voluntary disclosure to Canadian and US authorities. As part of its settlement with Canadian authorities, the Calgary company agreed to pay C$10.34 million in penalties. Canadian prosecutors are still trying to recoup the proceeds of the bribery scheme from the ambassador’s wife, whose shares in the Calgary company may end up worth over C$30 million.

In June 2013, Canada amended the CFPOA to include a new clause that records evidence, enhances the jurisdictional scope over and stiffens penalties for foreign bribery, eliminates the previous exception for facilitation payments and the words ‘for profit’ from the definition of bribe, and centralises the authority to investigate the corruption of Canadian and foreign officials with the Royal Canadian Mounted Police.

In August 2013, Canadian authorities convicted the first individual under the CFPOA for attempting to bribe officials associated with India’s state-owned airline, Air India, in an effort to secure a contract for an Ottawa-based technology company to provide facial recognition software and related security systems. The individual, an agent for the technology company, made arrangements to provide two followers from Air India officials including CA$40,000, both of which ultimately failed to secure the desired contract for the technology company. This conviction comes in the midst of the pending, ongoing prosecution of two executives from a Montreal-based engineering firm that is currently under investigation for allegedly bribing foreign officials in over 10 African and Asian countries in connection with large-scale international construction projects. Earlier in 2013 the World Bank debarred this engineering company and 100 of its affiliates from working on World Bank-funded projects for 10 years due to alleged misconduct in Bangladesh, Cambodia and elsewhere.

United Kingdom
On 1 July 2011, the UK Bribery Act 2010 (Bribery Act) entered into force after years of debate. The legislation banned both the payment and receipt of an ‘advantage’ provided to induce a person to improperly perform a function or activity or reward a person for such an improper performance, regardless of whether it is a public function or a private business activity.

In August 2013, the UK’s Serious Fraud Office (SFO) charged three British individuals with, among other things, ‘making and accepting a financial advantage’ in violation of the Bribery Act. While other UK agencies have previously brought cases under the Bribery Act, this represents the first formal criminal prosecution by the SFO, which is the UK enforcement body charged with investigating high-value and more complex cases of bribery and corruption.

In this matter, from an alleged £23 million fraud related to the sale of biofuel investment products to be grown on land purchased in Cambodia, the individuals involved are all connected to a UK biofuel investment company that has since been placed in administration (a procedure similar to bankruptcy); they include the company chairman, who was arrested in Cambodia earlier this year on charges of forgery related to the allegations. UK authorities are reportedly seeking his extradition.

Since the Bribery Act applies only to conduct occurring after its implementation, UK authorities have continued to prosecute foreign corruption that predates the act using a patchwork of civil and criminal law. As the UK has long had in place. For example, in July 2012, the SFO announced an enforcement action against a UK-based publisher for alleged unlawful payments made by its wholly owned Kenyan and Senegalese subsidiaries. From 2007 to 2010, the subsidiaries allegedly offered and made corrupt payments intended to secure recipients’ alleged commitment to publish confidential military information to foreign governments with textbooks. Upon learning of the potentially improper payments, the publishing company initiated an internal investigation and voluntarily reported the concerns to the SFO. As part of its settlement with the SFO, the publishing company agreed to pay £1.9 million in civil recovery and costs and will have a corporate monitor imposed. In a parallel proceeding, the UK’s Financial Conduct Authority also announced that it had fined the Kenyan subsidiary £250,000 in connection with the allegations. Following the SFO’s decision, the company took steps to remediate and change its controls, and published its findings in a report.

The SFO has also continued to press forward with the prosecution of individuals implicated in foreign bribery schemes that predate the Bribery Act. For example, in 2012, a former director and the former CEO of a UK-based chemical manufacturer pleaded guilty to allegations by the SFO that they conspired to bribe Indonesian and Iraqi government officials to induce the award of government contracts and ensure that government assets of a competitor’s product resulted in unfavourable ratings. The sentencing of both former executives has been adjourned. Two other former senior executives of the chemical manufacturer have also been charged by the SFO, both of whom are scheduled to go to trial in April 2013. US and UK enforcement officials resolved charges with the chemical manufacturer in connection with these allegations in March 2013.

In April 2013, the UK enacted the Civil and Criminal Cases Act 2013, which permits the SFO and the Crown Prosecution Service (CPS) to enter into deferred prosecution agreements (DPAs) with cooperating corporate defendants to settle prosecutions for fraud, bribery and
economic crises. While UK law already permitted DPA's in the prosecution of individuals, the adoption of corporate DPA's mirrors a common approach by the US government for prosecuting corporate misconduct in the anti-corruption area. According to a draft Deferred Prosecution Agreement Code of Practice issued by the SFO and CPS, these agencies intend to use DPA's as 'an alternative to prosecution' and see the agreements as 'a discretionary tool... to provide a way of responding to alleged criminal conduct'. DPA's will not be offered in every prosecution. Instead, the draft code of practice outlines when the SFO and CPS will offer to negotiate a DPA and how such negotiations will proceed.

United States

In 2013, the US Department of Justice (DoJ) and the SEC resolved 26 FCPA-related enforcement actions. These cases involved both US and non-US individuals and corporations and imposed a range of civil and criminal penalties, including fines from the hundreds of millions of dollars. Corporate defendants resolved these cases by entering into plea agreements or non-prosecution agreements and plea agreements. In some instances, a condition of settlement has been that the company retain and pay for an 'independent compliance monitor', who is given broad authority under these agreements. In other instances, the company has been required to 'self-report' at periodic intervals on the status of its remediation and compliance efforts. And, in a recent development, the US enforcement agencies on several occasions have imposed a hybrid of the two, requiring companies to retain and pay for an 'independent compliance monitor' during the first half of their probationary period and self-report at periodic intervals during the second half. As a recent FCPA conference, a high-ranking US enforcement official also revealed that more than 150 additional corporations and individuals are currently under active investigation.

While still high by historical standards, overall enforcement levels in the United States fell in 2013 for the third consecutive year after reaching record heights in 2010. Despite this downward trend, however, the level of enforcement activity against individuals (as opposed to corporations) has only dipped slightly over this period and actually saw an uptick in 2013, with the DoJ and SEC announcing FCPA-related charges against 13 individuals in 2013 compared with only five in 2012. This is indicative of the agencies' continued emphasis on the prosecution of individuals and may explain, in part, why overall enforcement has declined, since individuals are much more likely to demand trials that divert the agencies' limited resources.

A record four criminal trials involving 15 defendants charged with FCPA-related violations took place from 2011 to 2012, resulting in two convictions, two dismissals ( involving seven individual Defendants) and six acquittals. While the DoJ recently decided to abandon its ongoing prosecution of 16 individuals involved in a part of the high-profile 'kickback' operation, there are still over a dozen other individuals currently involved in the same stage of pretrial, trial or post-trial proceedings with the DoJ and SEC. Included among these hundreds of individual defendants is a large group of former executives and managers from a global, Germany-based engineering firm, two individuals who were charged by the DoJ and SEC in mid-December 2011, allegedly conspired with intermediaries to pay more than US$150 million in bribes to Argentine government officials, initially to secure an US$15 billion contract to replace Argentina's national identity cards, then to get the project restarted after it was terminated, and finally as part of an effort to recoup revenues that would have been due under the contract. The charges came three years after the engineering firm and several of its subsidiaries entered into historic settlements with the DoJ, SEC and General Prosecutor's Office in Muntich over related conduct and agreed to pay US$3.6 billion in combined penalties and disgorgement. The co-conspirators allegedly used a variety of mechanisms to generate funds and conceal payments, including offshore companies, sham invoices and contracts for services never performed, and offshore accounts. The defendants include, among others, a former member of the company's management board and the central executive committee, several senior executives from the company's Argentine subsidiary and two intermediaries. All of the defendants are non-US citizens, many of whom would require extradition to be criminally prosecuted, a fact which has complicated the DoJ's efforts and presented the court with jurisdictional questions about the extraterritorial reach of US law. In February 2013, the former CEO of the company's Argentine subsidiary actually succeeded in obtaining a dismissal of the civil charges against him on grounds that the alleged misconduct was 'too remote' from the resulting harm to satisfy the necessary jurisdictional requirements under US law. As of February 2014, the charges brought by the SEC against the seven individual defendants had all been resolved, either through settlement, default judgment or dismissal; by contrast, the DoJ had not resolved any of the parallel charges it brought against six of those defendants.

Also likely to be contributing to the drop in enforcement are the resources the DoJ and SEC diverted into the drafting of new written guidance designed to provide additional clarity on the FCPA's key elements and the agencies' enforcement priorities. Following a recommendation of the OECD that the United States consider issuing consolidated public guidance on the FCPA and calls from the US Chamber of Commerce and other stakeholder groups for statutory amendments to the Act, the enforcement agencies issued a 120-page 'Resource Guide on the US Foreign Corrupt Practices Act' (the Guide) in November 2012. The Guide addresses each element of the statute in detail and contains narrative discussions of key issues, hypotheticals, case summaries, 'unnamed' examples of declinations, examples of violations, enforcement principles, over 400 footnotes, and 'practical tips' for reducing risk or complying with the law. While the Guide makes no sharp departure from current practice, it does contain some previously unreported enforcement policies and practices, and explicitly clarifies the government's view of provisions that may appear ambiguous to companies new to the statute and counsel who do not regularly practice in the area.

This small sample of the diverse array of investigations and prosecutions under way or pending reflects a pronounced shift in anti-corruption law and a dramatic escalation of enforcement activity compared with only a decade ago.

As yet untested is the provision in article 35 of the United Nations Convention against Corruption, which creates a private right of action for entities or persons who have suffered damage as a result of bribery of public officials or other acts of corruption covered by the United Nations Convention against Corruption. The United States provides no private right of action consistent with article 35, as it maintained a reservation against this requirement when ratifying the UN Convention. However, a private right of action can be available within the United States through other means. For instance, US law allows those injured in certain circumstances to bring a cause of action and seek compensation under the Racketeer Influenced and Corrupt Organizations Act or as part of a civil securities with recent examples of such litigation include actions against Avon Products Inc, Fujitsu Network Inc, Net 1, UEP Technologies Inc and Archer Daniels Midland Co, all of which were filed in recent years, based in part on alleged FCPA violations.

**Anticorruption compliance programmes**

The rapid changes in legal structures and enforcement have, in turn, contributed to a new corporate phenomenon and legal discipline - the widespread institution of anti-corruption compliance programmes within multinational corporations. Programmes that would have been innovative and exceptional in the early 1990s are becoming de rigueur. 'Best practices' have become a standard by which many companies seek to measure their own efforts and that standard continues to rise. Supported by governance pronouncements, regulatory requirements, voluntary corporate codes and the advice of experts as to which mechanisms best achieve their intended purposes,
anti-corruption compliance programmes have become common, and often sophisticated, in companies doing business around the world. As a result, anti-corruption codes and guidelines, due diligence investigations of consultants and business partners or merger targets, contractual penalties, extensive training, internal investigations, compliance audits and discipline for transgressions have become familiar elements of corporate compliance programmes. The OECD's recent 'Good Practice Guidance on Internal Controls, Ethics and Compliance', issued on 18 February 2010, is directed squarely at companies, business organisations and professional associations, and identifies a number of recognised elements of effective compliance programmes:

- a strong commitment from senior management;
- a clearly articulated anti-bribery policy;
- accountability and oversight;
- specific measures applicable to subsidiaries that are directed at the areas of highest risk;
- internal controls;
- documented training;
- appropriate disciplinary procedures; and
- modes for providing guidance and reporting violations.

This guidance is noteworthy both because it is one of the first treaty-based articulations of effective anti-bribery compliance standards and because, on close reading, it emphasises some elements that have received less attention in traditional compliance programmes.

Against this backdrop, the expert summaries of countries' anti-corruption laws and enforcement policies that this volume comprises are becoming an essential resource. It is within this legal framework that the implementation of anti-corruption conventions and the investigations and enforcement actions against those suspected of violations will play out. Our thanks to those firms that have contributed to this volume for their timely summaries and for the valuable insights they provide.
Dear Dr Clark

On the occasion of pianist Marcela Fiorillo’s concert at the Embassy of Brazil on 14th of August, I have the honour to send you a gift comprised of a CD with Brazilian artists performing the music of Villa-Lobos, a DVD of the social project Camerata Vale Música, a biography and a copy of his original score for “Choro nº 5”.

Heitor Villa-Lobos is one of the most significant Brazilian classical composers to date, and has written numerous orchestral, chamber, instrumental and vocal works. His music was influenced by both Brazilian folk music and by stylistic elements from the European classical tradition.

I hope you enjoy it.

Yours sincerely,

Rubem Corrêa Barbosa
From: Street, Laurence (Governance, North Ryde)
Sent: Friday, 5 December 2014 9:56 AM
To: Cooper, Maria (B&I, North Ryde)

Subject: RE: I signed for your package from llNET which arrived at Reception this morning
Thanks, it must be Christmas! I think this is gift for a speech I gave....

From: Cooper, Maria (B&IS, North Ryde)
Sent: Friday, 5 December 2014 9:33 AM
To: Street, Laurence (Governance, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Laurence, another courier satchel arrived from the Govt Solicitor Office in Vic (description - chocolate tin). I've put that also in the large drawer of your desk.

From: Street, Laurence (Governance, North Ryde)
Sent: Thursday, 4 December 2014 11:54 AM
To: Cooper, Maria (B&IS, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

OK, thanks

From: Cooper, Maria (B&IS, North Ryde)
Sent: Thursday, 4 December 2014 11:45 AM
To: Street, Laurence (Governance, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Not yet, there's nothing else at Reception for you but I wasn't here yesterday so not sure if anything came for you yesterday.

From: Street, Laurence (Governance, North Ryde)
Sent: Thursday, 4 December 2014 11:35 AM
To: Cooper, Maria (B&IS, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Hi, was there a package also from star track or surf stitch? Sorry about all of this. L

From: Street, Laurence (Governance, North Ryde)
Sent: Thursday, 4 December 2014 11:32 AM
To: Cooper, Maria (B&IS, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Great, thanks

From: Cooper, Maria (B&IS, North Ryde)
Sent: Thursday, 4 December 2014 11:28 AM
To: Street, Laurence (Governance, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Yes, Laurence, I put it in the bottom large drawer of your desk.

From: Street, Laurence (Governance, North Ryde)
Sent: Thursday, 4 December 2014 11:19 AM
To: Cooper, Maria (B&IS, North Ryde)
Subject: RE: I signed for your package from IINET which arrived at Reception this morning

Thanks Maria, much appreciated. Are you able to put in one of my draws and I will collect on the weekend? I am in Canberra until Friday night.

Thanks
From: Cooper, Maria (B&IS, North Ryde)
Sent: Thursday, 4 December 2014 11:01 AM
To: Street, Laurence (Governance, North Ryde)
Subject: I signed for your package from IINET which arrived at Reception this morning

Maria Cooper
Reception, 8.30am - 1.30pm
CSIRO, Business Services
T: +61 2 9603 5471
F: +61 2 9603 3103
E: maria.cooper@csiro.au

Riverside Corporate Park
3 Julius Avenue
Thanks Andrew
Cheers
Marcus

Dr Marcus Zipper PhD MBA
Director
CSIRO Services
Private Bag 10, Clayton South 3169, Victoria
www.csiro.au | LinkedIn profile | Skype Name

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-----Original Message-----
From: Stammer, Andrew (CSIRO Services, Clayton Wgtn Rd)
Sent: Wednesday, 6 May 2015 8:24 PM
To: Zipper, Marcus (CSIRO Services, Clayton)
Subject: Declaration

Hi Marcus
In line with CSIRO policy I am letting you know that tonight I gave a lecture to the RMIT Grad Dip in Editing an Publishing class and was given a bottle of red wine and a book voucher - total value c$75.
Regards
Andrew

Sent from my iPad
Hi Keith,

Thanks for the email you sent to Anita, Anita discussed it with me; as the gift is of no substantial value she is happy for you to retain them.

Cheers,
Ben

---

Hi Anita

I received a pair of Steel Blue boots today as a ‘gift’ from Steel Blue. Mel Dell‘Olio is doing some innovation/moulding trials for them regarding the boots and they were very keen for me to have a pair which I received today via Russell Varley.

I need to advise you of this in accordance with the ‘Acceptance of Gifts’ policy. The value of the boots is $150.00 and if appropriate I intend to retain them for my own use.

Cheers,

Keith

---

Keith M. McLean
Director, Manufacturing Flagship
CSIRO

Bayview Avenue, Clayton, Victoria 3169 Australia
www.csiro.au

Professor (Adjunct), Australian Regenerative Medicine Institute, Science, Technology, Research and Innovation Precinct (STRIP)
Monash University, Clayton Campus,
Wellington Road,
Clayton, VIC, 3800
Australia
Hi Anita and Ben

While in China I was gifted a Chinese made tablet estimated value $100 or so. I intend to donate this to a local school or charity who can hopefully make use of it.

Cheers
Keith

Sent from my iPhone
Dear Anita

Your registration for acceptance is confirmed. Please save this email for future reference.

Event: 2016 Australian Open Tennis - President's Reserve
Attending: Anita Hill
Date and Time: Tuesday 19 January, Night Session, 5:15pm
Location: President's Reserve, Rod Laver Arena, Melbourne Park

Please Click here to modify your registration. You will be asked to enter the confirmation number XNNR2956MXL.

Your entry pass and information sheet will be sent to the postal address you provided. If you have any questions, contact the Events Team on the contact details below.

Sincerely,

Events Trade Victoria
Department of Economic Development, Jobs, Transport and Resources
Level 02, 121 Exhibition Street, Melbourne, Victoria 3000 Australia
T: [redacted] E: [redacted]

Having trouble with the link? Simply copy and paste the entire address listed below into your web browser:
http://masonite.trade.vic.gov.au/go-Ycn7GLke7T3FNM456lAwAdzlpP4Or?

If you no longer want to receive emails from State Government of Victoria please click the link below.
Unsubscribe

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From: Watson, Lynda (H&B, Parkville)
Sent: Monday, 15 August 2016 1:46 PM
To: Stojanovic, Erika (Future Industries, Clayton)
Subject: RE: INVITATION: AAMI VICTORIA DERBY DAY - SATURDAY 29 OCTOBER 2016

Definitely available and very happy to attend.

-L

From: Stojanovic, Erika (Future Industries, Clayton)
Sent: Friday, 12 August 2016 5:12 PM
To: Watson, Lynda (H&B, Parkville)
Subject: Re: INVITATION: AAMI VICTORIA DERBY DAY - SATURDAY 29 OCTOBER 2016

Lynda, they are happy to have rob and his wife attend, can you please let me know if they are available :) thanks

Sent from my iPhone
On 11 Aug 2016, at 12:34 PM, Watson, Lynda (H&B, Parkville) wrote:

Thanks Erika – so just to clarify – this is as a guest, so no cost. Thought I would better check in case.
Tell them he is super-duper and a very good alternate 😊
-L

From: Stojanovic, Erika (Future Industries, Clayton)
Sent: Thursday, 11 August 2016 11:51 AM
To: Watson, Lynda (H&B, Parkville)
Subject: RE: INVITATION: AAMI VICTORIA DERBY DAY - SATURDAY 29 OCTOBER 2016

Lynda – I am also just checking with the organisers if they will accept an alternate... 😊

Ms Erika Stojanovic
Executive Assistant to Dr Anita J Hill, Executive Director
CSIRO Future Industries

Phone: +61 3 9545 2059 | Fax: +61 3 9545 2059 | Mobile: +61 418 769 475 | www.csiro.au
Postal Address: Private Bag 10, Clayton South VIC 3169 | Street Address: Bayview Ave, Clayton VIC 3168 | Delivery Address: CSIRO Store, Gate 3 Normanby Road Clayton VIC 3168

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Please consider the environment before printing this email.
HI Erika 
Rob is very interested in this. He is just checking with his ‘other half’. 
-L 

From: Stojanovic, Erika (Future Industries, Clayton) 
Sent: Monday, 8 August 2016 2:55 PM 
To: Grenfell, Rob (H&B, Clayton) s47F
Cc: Watson, Lynda (H&B, Clayton) s47F
Subject: FW: INVITATION: AAMI VICTORIA DERBY DAY - SATURDAY 29 OCTOBER 2016 

Rob – are you interested and avail to attend this? Anita will be away this weekend....

Ms Erika Stojanovic 
Executive Assistant to Dr Anita J Hill, Executive Director 
CSIRO Future Industries 
Phone: Fax: +61 3 9545 2059 | Mobile: www.csiro.au
Postal Address: Private Bag 10, Clayton South VIC 3169 | Street Address: Bayview Ave, Clayton VIC 3168 | Delivery Address: CSIRO Store, Gate 3 Normanby Road Clayton VIC 3168

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Please consider the environment before printing this email.

From: Kaye Mercer
Sent: Friday, 5 August 2016 2:43 PM 
To: Hill, Anita (Future Industries, Clayton) s47F
Cc: Stojanovic, Erika (Future Industries, Clayton) s47F
Subject: FW: INVITATION: AAMI VICTORIA DERBY DAY - SATURDAY 29 OCTOBER 2016 

Dear Anita

Orica is pleased to be hosting a private marquee in the Winning Post Enclosure at the 2016 AAMI Victoria Derby Day.

We would like to extend a warm invitation to you and your partner for a day of racing at Flemington on Saturday 29th October, preceded by an exclusive dinner and ‘white glove experience’ at the State Library of Victoria on Friday 28th October.

I look forward to welcoming you to what promises to be an elegant evening of fine dining and an entertaining day of racing.

Kind regards

Alberto

Alberto Calderon | CEO 
Orica Limited | 1 Nicholson Street | East Melbourne | Victoria 3002 | Australia 
Tel: www.orica.com
From: Marshall, Larry (Executive, Black Mountain)  
Sent: Tuesday, 15 November 2016 2:04 PM  
To: Hill, Anita (Future Industries, Clayton)  
Cc: Manson, Claire (Comms, Clayton)  
Subject: FW: Please Accept an Invitation to Gift a Complimentary OSA Membership

Anita – can you follow up here and see what can be done. Let’s make the most of the opportunity.

Larry

---

From: Alan Willner  
Sent: Thursday, 10 November 2016 11:02 AM  
To: Marshall, Larry (Executive, Black Mountain)  
Cc: Rodriguez, Monique  
Subject: Re: Please Accept an Invitation to Gift a Complimentary OSA Membership

Dear Larry:

Great to hear from you!! Indeed, perhaps CSIRO and OSA can do something jointly - would be lots of fun. I am copying Monique Rodriguez who is the OSA staff person heading our centennial events.

Many thanks!! All the best, Alan

Alan,

I just noticed OSA is 100 this year, as is CSIRO – we should consider doing something – especially in light of the optics CSIRO built for LIGO to enable gravity wave discovery 😊

Dr Larry Marshall  
Chief Executive  
CSIRO  

E  

Canberra: Limestone Avenue, Campbell, ACT 2612 (all correspondence)  
Sydney: 5 Julius Avenue, North Ryde, NSW 2113  
www.csiro.au  

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From: Alan Willner, OSA President  
Sent: Saturday, 15 October 2016 3:00 AM  
To: Marshall, Larry (Executive, Black Mountain)  
Subject: Please Accept an Invitation to Gift a Complimentary OSA Membership

View Online
Dear Larry,

Thank you for your dedication and commitment to The Optical Society. As a Multi-year or Lifetime member, we want to recognize your valued commitment by giving you the opportunity to share OSA Membership with another professional in our field.

Please accept our offer to give a free one-year Individual Membership to a colleague of your choice.

How to Gift a Membership:

1. Think about who you know that would benefit most from being an OSA Member. (Students are not eligible to receive a gift membership.)
2. Submit the name and contact information for your colleague at osa.org/giftmembership or by sending an email to membershipteam@osa.org.
3. If you want to participate, but don’t have someone in mind, just let the Membership team know by email. They can find someone on your behalf.

I encourage you to take part in this effort. Think about the meaningful ways that OSA Membership has impacted your career, and consider how you can help someone else achieve their professional goals.

Please take a few moments of your day to participate.

Warm regards,

Alan Willner
OSA 2016 President

This message has been sent to alan.willner@usc.edu. If this message has been sent in error, or you would like to unsubscribe from all future OSA emails, please click on the following link: https://omessaging.vertexcommunication.com/p/oJ4uOkYNpDN

Alan Willner
Rm. EEB 538
Ming Hsieh Dept. of Electrical Engineering
Viterbi School of Engineering
From: Kay Hull
Sent: Tuesday, 13 December 2016 7:44 AM
To: Lander, Staci (HR, Black Mountain)
Subject: RE: Randstad signs an agreement to acquire Sageco - an unrivalled force in outplacement and career transition

Hi Stacy,
Thanks for your email – poor Trevor, it’s been a big year for CSIRO!
Are you in the office Thursday afternoon at 3pm? Could I meet you in the Discovery cafe? I have something to drop off.
I look forward to hearing from you.
Regards,
Kay
Kay Hull
Head of Practice & Quality, and
ACT Strategic Relationship Manager
direct: 
mobile:
Level 1, 18 National Circuit
Barton ACT 2600
cell: 
web: www.sageco.com.au
Sageco is a CPI firm.

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No problem at all. Thanks

Dr Marcus Zipper BSc BE PhD MBA
Director
CSIRO Services
CSIRO Education & Outreach, CSIRO Publishing, SME Connect, CSIRO Futures and Infrastructure Technologies
Private Bag 10, Clayton South 3169, Victoria
www.csiro.au | LinkedIn profile | Skype Name: marcuszipper

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From: Stammer, Andrew (Services, Clayton Wgtn Rd)
Sent: Thursday, 22 December 2016 8:48 AM
To: Zipper, Marcus (Services, Clayton Wgtn Rd)
Subject: Declaring a gift

Hi Marcus
This is to let you know that I have been given a bottle of wine by our printer, as a Christmas ‘thanks for putting your business with us’. Value ~$25.
Let me know if you have any concerns about this.
Thanks
Andrew
Hi Anita,

I am seeking your approval for me to travel to Dallas, TX, USA for the Boeing ‘Supplier of the Year’ event on 12 April 2017 and accept the gratuities offered by Boeing in respect of this event. Your approval is necessary due to CSIRO’s policy on accepting gifts.

Thank you in advance.

Regards

Tristy

Tristy Falkenberg
CSIRO Senior Technical Adviser to Boeing

The Boeing Company
Bldg 2-25 | 7755 E Marginal Way S
Seattle | Washington | 98108 USA

www.csiro.au

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Hi Gael,
I also approve Keith's acceptance of the gratuities offered by Boeing in respect of the event. Apparently my approval is necessary due to CSIRO's policy on accepting gifts.
Cheers,
Anita

Anita J. Hill  FTSE
Executive Director
Future Industries
CSIRO
Private Bag 10, South Clayton VIC 3169 AUSTRALIA
Ian Wark Laboratory, Bayview Avenue, Clayton VIC 3168 AUSTRALIA
Phone:  Fax: +61 3 9545 2059  Mobile:  www.csiro.au
No problem. Thanks.

Dr Marcus Zipper
Director
CSIRO Services
Phone: Fax: +61 3 9562 8919 | Mobile: 
Sent from my iPhone

On 22 Mar 2017, at 11:23 am, Stammer, Andrew (Services, Clayton Wgtn Rd) wrote:

Hi Marcus

A note to declare that one of our external typesetters has sent me a corporate gift comprising 2 personalised B5 sized diary/note books. Value estimated at ~$40.

Let me know if you have any concerns about this.

Regards
Andrew
Good morning, I am just following up on the invitation as below. Hoping to receive RSVP’s today to finalise numbers.

Please note you are welcome to bring a guest.

Have a great weekend.

Dear Kurt and guest,

The Cats are playing at home!
We would be delighted if you could join The Gordon at the most prestigious match day experience; the Presidents Club function, as a guest of Lisa Line, CEO.
This is the first game to be played at Simonds Stadium for the season and this is the first game day function to be held in the new Charles Brownlow Stand.

WHEN: Round 9 - Geelong Cats v Western Bulldogs, Friday 19 May
WHERE: Simonds Stadium, Charles Brownlow Stand, The President’s Room.
South Geelong, VIC 3220
TIME: Function commences 5.50pm, game commences 7.50pm.
DRESS: Jacket and tie. Ladies in business attire, no denim.
FUNCTION: This event features a guest speaker, includes dinner and drinks service and the opportunity to view the match from the Captains’ Stand.
PARKING: Parking is available off Kilgour Street at a cost of $10 per vehicle
DROP OFF: Request access to the Charles Brownlow Stand via the parking marshals from the Kilgour Street entrance.
RSVP: Friday 12 May 2017
Please indicate any dietary requirements.

Please note this invitation is not transferable.
Keelie Hamilton
Director Industry Engagement
The Gordon
Private Bag 1, Geelong Mail Centre, Victoria, 3221

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the gordon.edu.au

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Mark

Invitation as discussed for your approval please. I have also attached ... I will take leave to travel to Sydney so there will be no cost to CSIRO.

Thanks
Tracey

---

Hello Tracey

For some time now I’ve been wondering when I will get to meet you and my other NSW contacts in person. Fortunately, Cath is a marvel, and she has happily agreed to me coming up to Sydney to host an Executive Assistants’ dinner. As you may know, EnergyAustralia is a sustainability partner and energy provider to the Sydney Opera House, so where better to hold the dinner than at Bennelong Restaurant, Sydney Opera House’s fabulous fine dining restaurant.

Having ONLY a dinner seemed a little wasteful of such a beautiful and unique venue, so we will also take in a show, namely Scott Bradlee’s Postmodern Jukebox, which should be great fun – if you don’t know them, have a look on YouTube – such talented and quirky musicians!

https://www.youtube.com/watch?v=aLnZ1NQm2uk

There is another little surprise in store too, so I truly hope that you might be able to join me on Thursday 28 September, starting at 6pm, for what I think will be an absolutely lovely, memorable evening – and of course a fantastic networking opportunity too!

Do let me know as soon as possible whether you can join me.

With kind regards

Fiona Huane
Executive Assistant to Catherine Tanna, Managing Director

EnergyAustralia
Level 33, 385 Bourke Street, Melbourne, Victoria 3000
energyaustralia.com.au

f ❋ y in G+
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Fincher, Megan (Governance, Clayton)

Tuesday, 4 July 2017 1:08 PM

Cootes, Tracey (Executive, Black Mountain)

Johnstone, Fiona (Governance, Black Mountain)

Acceptance of hospitality
Tracey

I am comfortable with you attending and can't foresee an actual or perceived conflict of interest. This is a good opportunity for you to build relationships with a key partner and a broader network.

Mark
Hi Anita,

Thanks for the chat last night.

As discussed, Paul Pasquier plans to attend the opening of the CSIRO US Office next week and plans to gift the CSIRO US Office a model of a 777x for display (approx. value $300). As per CSIRO policy, I have informed you of the intended gift and you have confirmed that acceptance of the gift is appropriate.

This email is just for our records and also to alert Susan to the gift prior to the event next week.

Thanks

Tristy

Tristy Falkenberg
CSIRO Senior Technical Adviser to Boeing
Hi Joe,

Sorry for taking so long to get back to you.

I've sought advice from HR as the owners of the policy.

The Procedure and Code of Conduct provide that gifts of significant value must not be accepted. The acceptance of gifts procedure provides that the acceptance of a gift can be permissible in some circumstances - for example: a gift of a nominal value (e.g. an inexpensive pen at Christmas) may be accepted in a situation where gifts such as this are being generally distributed.

The procedure also provides a process where it is not possible to obtain permission beforehand and a gift of nominal value is received, to declare it and provide a process to allow the staff member to purchase the item or donate it to the social club. The procedure provides an example of nominal value in that context which is $100. Given both yours and Kristy’s estimates are less than $100, this is less than what the Procedure suggests is considered a ‘nominal value’.

The only other issue that also needs to be considered is the potential for conflicts of interest and equity amongst colleagues in similar roles. Receiving a gift from a supplier could create a perception of preferable consideration in future transactions with that supplier.

Under the Code of Conduct staff must ensure decisions are documented including any approval to accept a gift. Whatever decision is taken, it should be documented.

So, in terms of the considerations, I am comfortable to provide you with advice that the gift meets the nominal value criteria. That is, I am satisfied it is of a low value. Without knowing who Netpro is, their potential competitors, and how/when we engage with them, I am not sure I am able to provide you with advice on the second consideration around conflicts or equity amongst colleagues. I would suggest, that if there is any doubt around that criteria, a donation to the social club might be the most appropriate course of action.

I am happy to consider further advice on that consideration if you wish. Let me know if you have any questions.

Tom Munyard
Director of Finance / Chief Finance Officer
CSIRO
Hi Tom

Recently Kristy received a gift from a supplier in the form of two bottles of wine (independently valued at $20 and $25 each) and a branded cooler (estimated value $10). Kristy has consulted the relevant policy and written to me to declare the receipt.

Given current circumstances I am hesitant to provide approval without seeking an independent view.

Based on a total estimated value of approximately $55 are you:

a) Satisfied that the gift is of low value and a declaration is sufficient;
b) Of a view that it should be donated to the Social Club;
c) Of a view that the present should be returned to the supplier with a note thanking them for their gift but explaining that it is not in line with CSIRO practice to accept gifts from suppliers.

Regards

Joe

---

From: Colbert, Joe (B&IS, Black Mountain)
Sent: Wednesday, 13 September 2017 12:43 PM
To: Green, Kristy (B&IS, Black Mountain)
Subject: RE: Hospitality Declaration

Hi Kristy

Thank you and noted. Can you please check the relevant policy or procedure to ensure that we are clear on what needs to occur in respect to gifts and hospitality.

Thanks

Joe

---

From: Green, Kristy (B&IS, Black Mountain)
Sent: Tuesday, 12 September 2017 8:27 AM
To: Colbert, Joe (B&IS, Black Mountain)
Subject: Hospitality Declaration

Hi Joe
I would like to declare a gift I have received from a supplier (Netpro) amounting to approximately $70 for a branded cooler and two bottles of wine.

Many thanks
Kristy

Kristy Green
Project Officer
CSIRO Business & Infrastructure Services

CSIRO Discovery Centre, North Science Road, Acton ACT 2601
Postal address: GPO Box 1700, Canberra, ACT 2601

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Many thanks Tanya.
Really appreciate the feedback (and the bubbly gift).
Very happy to talk on Friday or next week.

Regards Trevor

On 25 Sep 2017, at 6:16 am, Tanya Hammond wrote:

Hi Trevor

I hope you are enjoying the Canberra long weekend?

Just wanted to drop you a line to say thank you once again for your terrific presentation at our Senior Leaders Forum. You shared such valuable insights which were sincerely appreciated by the attendees. Having spoke to a number of them post presentation - they each took a variety of learnings away to reflect on and apply.

We know that great effort would have gone into preparing and sharing your story. We appreciated it very much.

We are keen to further explore the sharing of your experience in relation to Certification. Would you have capacity for a telephone call over the next couple of weeks?

Warm regards

Tanya

Tanya Hammond
Director
Hi Chris,

As discussed this gift for Larry was received from Della Merrillees, Museum of Applied Arts & Sciences following the Robert Lightfoot meeting on Friday 29 September.
Gift includes 2 books -
- 2018 Australasian Sky Guide by Dr Nick Lomb, Sydney Observatory
- Becoming Martian by Josh Richards
And 1 pair of men's business socks with wording of Cassiopeia, Orion, Pegasus & Polaris.

Thanks
Jindra
Dear Larry,

With compliments and thanks.

Kind regards

Donna J.

Merribee
Confirmed with Nick he is attending Cup Day with Orica.

Cheers,
Claire

Claire Manson
Executive Officer
Future Industries and Chief Scientist
CSIRO

From: Stojanovic, Erika (Future Industries, Clayton)
Sent: Friday, 20 October 2017 12:19 PM
To: Manson, Claire (Future Industries, Clayton)
Subject: RE: Dow Melbourne Cup 2017: Reminder to please confirm your attendance today

Claire -- Bronwyn reminded me of something the other week when she advised Nick couldn't attend the Derby Day event - so you may want to clear it with Anita perhaps in writing if you haven't done so already ☺

It is fairly generous what they are offering so Claire would need to consider CSIRO's gift/entertainment policy, and get Anita's ok

Ms Erika Stojanovic
Executive Assistant to Dr Anita J Hill, Executive Director, CSIRO Future Industries & Chief Scientist, CSIRO

Please consider the environment before printing this email.

Oh really... mmm maybe I should go Cup Day too ☺
Cheers,
Claire

From: Stojanovic, Erika (Future Industries, Clayton)
Sent: Friday, 20 October 2017 11:33 AM
To: Manson, Claire (Future Industries, Clayton)
Subject: Re: Dow Melbourne Cup 2017: Reminder to please confirm your attendance today

Rob said he can’t go

Sent from my iPhone

On 20 Oct 2017, at 11:08 am, Manson, Claire (Future Industries, Clayton) wrote:

FYI — Nick is going to Orica Cup Day (I'm going to Derby Day). Rob will be attending Dow Cup Day it looks like.

Cheers,
Claire

From: Stojanovic, Erika (Future Industries, Clayton)
Sent: Friday, 13 October 2017 5:00 PM
To: Hill, Anita (Future Industries, Clayton)
Subject: RE: Dow Melbourne Cup 2017: Reminder to please confirm your attendance today

Anita — Nick was an apology for the Orica Derby Day event (not cup day) — Claire put her hand up to go.
Hi Lynda,

Rob mentioned that he and his wife wanted to go to the Cup (but I had already given the Orica invite to Nick and his wife). Please use this RSVP if that works for Rob.

Thanks,

Anita

Reminder to RSVP

We hope you can make it.

Please click below to confirm your attendance.

View this email in your browser

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Dow Melbourne Cup 2017
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Peanut Productions · Level 1, 382 Bourke Street · Surry Hills, New South Wales 2010 · Australia

<image011.jpg>

<image012.jpg>
From: Hill, Anita (Future Industries, Clayton)
Sent: Tuesday, 7 November 2017 7:35 PM
To: McLean, Keith (Manufacturing, Clayton)
Subject: Re: Gifts

That is fine Keith.

Sent from my iPhone

> On 6 Nov. 2017, at 6:47 pm, McLean, Keith (Manufacturing, Clayton) wrote:
> 
> Hi Anita 
> 
> I need your permission or otherwise to:
> 
> 1. Accept hospitality from Dow to attend Melbourne Cup
> 2. For being a panelist at Australia Pacific Regional Conference I was given a coin from Australian Mint. I have looked on-line and it is valued at $95.
> 
> Cheers
> Keith
> 
> Sent from my iPhone
Hi Mary

The musical runs for 2 hours and 35 minutes with a 20 minute interval. We anticipate that the show will end at approximately 6:00pm.

I will send through a confirmation email with all of the relevant details in the coming days.

Kind regards
Breanna

Breanna Rosman | Executive Assistant to Duncan Challen, Executive Director
Industry Development, Skills & Economic Development
NSW Department of Industry
Level 43 | 19 Martin Place | Sydney NSW 2000
T: 
E: 
W: www.industry.nsw.gov.au

On Wed, Nov 8, 2017 at 2:57 PM, <Mary.Goh@data61.csiro.au> wrote:

Hi Breanna,

I have just received confirmation from Adrian’s wife that they are able to attend the event on Sunday 26th November at 3pm. Do you know what time the show will finish?

Once again, please thank Duncan for the invite.

Kind regards,

Mary

From: Breanna Rosman
Sent: Monday, 6 November 2017 8:49 AM
To: Goh, Mary (Data61, Eveleigh ATP)
Subject: Re: Invitation - Beautiful: The Carol King Musical

Hi Mary

My apologies for the delay in responding to you. We have since received our revised ticket allocation, which is now for Sunday 26 November at 3:00pm.

Please let me know if Adrian and Alison are available on this date and I will confirm the tickets.
Hi Breanna,

Thank you for the lovely invitation to Adrian, he is delighted to accept and looking forward to seeing Duncan again.

The dates that would work for Adrian and Alison (his wife) are as follows:

Saturday 4th November at 8pm
Saturday 11th November at 2pm or 8pm

Kind regards

Mary Goh

Executive Assistant to Adrian Turner, CEO

DATA61 | CSIRO

Street Address: Australian Technology Park, Level 5, 13 Garden Street, Eveleigh NSW 2015
Postal Address: Locked Bag 9013, Alexandria NSW 1435

www.data61.csiro.au

CSIRO's Data61 – Creating our data-driven future
From: Breanna Rosman
Sent: Thursday, 19 October 2017 10:05 AM
To: Goh, Mary (Data61, Eveleigh ATP)
Subject: Invitation - Beautiful: The Carol King Musical

Hi Mary

Duncan Challen (Executive Director, Industry Development) has asked me to get in touch with you in regards to Adrian's availability for tickets for attendance at 'Beautiful: The Carol King Musical'. We have received tickets for distribution to key stakeholders for the musical and Duncan would like to invite Adrian and a guest to attend.

I am currently in the middle of lining up a few stakeholders for the same night. Would you be able to let me know Adrian's availability against the below dates:

The availability at this stage for the tickets is:

- Friday 3 November 8:00pm
- Saturday 4 November 2:00pm or 8:00pm
- Sunday 5 November 3:00pm
- Friday 10 November 8:00pm
- Saturday 11 November 2:00pm or 8:00pm
- Sunday 12 November 3:00pm

I look forward to hearing from you.

Kind regards

Breanna


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From: Marshall, Larry (Executive, Black Mountain)
Sent: Tuesday, 14 November 2017 7:03 AM
To: Eggerton, Philippa (Executive, Black Mountain)
Subject: Present
Dear All,

Duncan Challen and Julie lockyer look forward to seeing you on Sunday 26 November for Beautiful: The Carole King Musical.

Please see further details below:

**Performance time:** 3pm  
**Location:** Sydney Lyric Theatre, 55 Pirrama Rd, Pyrmont  
**Meeting place:** 2.15pm, Latitude Bar, Level 1, Casino, 80 Pyrmont Street, Pyrmont. Please see map attached. Refreshments will be available to purchase here before the musical.  
**Tickets:** Duncan and Julie will hand you your tickets on arrival.

Any problems on the day, please call Duncan on Mob: [s47F] or Julie on Mob: [s47F]

Any questions in the meantime, please let me know.

I hope you enjoy the show!

Lella

---

**Lella Gardner | Senior Project Officer**  
NSW Department of Industry | Industry Development  
Skills and Economic Development Division  
Level 43, MLC Building, 19 Martin Place |  
GPO Box 5477 | Sydney NSW 2001, Australia  
T: [s47F]  
Twitter: @BusinessNSW | Facebook: BusinessNSW


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Thanks Clint.
Agree with your last Para.

Hi Trevor

Matthew received a Christmas hamper from an Employment Services Provider (worth $30 approx.)

I have advised that approval for keeping gifts is with Rank 5, which in this case means yourself.

As you can see below, I have highlighted the reasons we do this and Matthew has also indicated he is happy to provide it to the social club if there are any concerns around conflicts.

We could recognise Matthew's work in other ways also in the event he donates this and I can discuss with Dymphna a non-cash reward perhaps instead?

Regards
Clint
I am happy for you to pass on my email to Trevor.

As MatchWorks do provide candidates for our traineeships, I was worried that it could appear as though I had offered favourable treatment to one of their candidates in the event that one is appointed to a future traineeship role. I believe that it is a gift due to the nature of our work with the services provider, and the box does have the business card of one of their consultants attached. So, I’m happy to donate it to the social club.

Kind regards,

Matt

Matthew Ford
Recruitment Consultant
Human Resources
CSIRO
PO Box 225, Canberra ACT 2602
www.csiro.au

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From: Smith, Clint (HR, Parkville)
Sent: Monday, 11 December 2017 12:57 PM
To: Ford, Matthew (HR, Black Mountain)
Subject: RE: Gift from Employment Services Provider

Hi Matthew

Thank you for checking in with me about this. This is something that Trevor would need to approve as the Delegations require a Rank 5 Delegate to approve it.

Would you be comfortable with me passing on your email to him?

The reason we have rules around this sort of thing and even when it’s a small amount of money, the issue that needs to be considered is the potential for conflicts of interest. Receiving a gift from a supplier could create a perception of preferable consideration in future transactions with that supplier. As a Commonwealth employer we are held to high standards as you know with respect to procurement and we are accountable in Senate Estimates and the media. Often it’s useful to consider, if this became public, what would the Canberra Times say about it / Senate Estimates? There is also the other issue of this gift being received by a particular person/position and equity amongst colleagues in similar roles.

I tend to be fairly conservative around this sort of thing but Trevor might be comfortable with it.

So, there are options and that includes having Trevor approve for you to keep it. I assume this was a gift due to the nature of our work with the services provider and it wasn’t one given to you personally?

Other options could be returning it or donating it to the social club so they can raffle it as part of the Christmas social party events?

I’m happy to check with Trevor on this for you if you would like to keep it.
Hi Clint,

I am writing regarding a gift I received earlier today from an employment services provider (MatchWorks/Employment Services Group). The gift is a Christmas hamper and contains sauces and jams, and I would estimate the value to be somewhere around $30. I was wondering what the process is in terms of declaring this and whether it has to be returned?

Hope you have a good weekend.

Kind regards,

Matt

Matthew Ford
Recruitment Consultant
Human Resources
CSIRO
PO Box 225, Canberra ACT 2602
www.csiro.au

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Please consider the environment before printing this email.
I'm very glad!

Hope you get some good use out of the books - perhaps in the new year we can come out and show you a demonstration of our HR Technology!

Hello Xavier, the books arrived today, many thanks for follow up for Trevor.

Kind Regards,
Hi Staci,

Apologies again for the delayed response, unfortunately I was still unwell yesterday as have only just returned to the office this morning.

I will follow that up for you today and give you a ring once I have an answer for you!

Kind regards,

---

**Xavier Duggan**  
Business Development

**Address**  
Level 10, 91 William Street  
Melbourne VIC 3000 Australia  
pageuppeople.com
On 1 December 2017 at 12:40, Staci Lander wrote:

Thanks so much Xavier, and I do hope you feel better soon.

Many Thanks,
Staci

Staci Lander
Executive Assistant to Trevor Heldt – Director of Human Resources

From: Xavier Duggan
Sent: Friday, 1 December 2017 11:38 AM
To: Lander, Staci (HR, Black Mountain)
Subject: Re: Cliffhanger Book

Hi Staci,

I will double check with you ASAP! I know our Sydney office was running low on books so the Melbourne office had to send some up. I am actually at home sick today so first thing Monday morning I will be able to figure that out for you and will give you a ring!

Hope you have a nice weekend!

Xavier Duggan
Business Development
On 1 December 2017 at 11:09, [s47F] wrote:

Hello Xavier,

We are still awaiting the hard copies of the Cliffhanger Books, do you happen to know the approximate eta? Our HR team require them for some professional development work that needs to be finalised by the end of this month.

Many Thanks,

Staci

Staci Lander

Executive Assistant to Trevor Heldt – Director of Human Resources

Hello Xavier, we haven’t received the hard copies of the Cliffhanger Books as yet, do you happen to know when they were sent to us?

Many Thanks,

Staci
Hi Staci,

Venkat has passed on your details to me. I just wanted to touch base with you to give you some information about how you can go about purchasing the cliffhanger book.

Below is a link to Amazon where you will be able to purchase both the Kindle and iBook version of the book:
https://www.amazon.com/dp/B06XR8RPDT/ref=sr_1_1?ie=UTF8&qid=1490042422&sr=8-1&keywords=cliffhanger-br

If you have any other questions please do not hesitate to call!

Hope you're having a nice day!

Xavier Duggan
Business Development
Phone
Mobile
Email
Address
Level 10, 91 William Street
Melbourne VIC 3000 Australia
Website
pageuppeople.com
Follow
Hi Peter and Jim,

Further to discussion with Jeff McCulloch (see attached), Cindy Digby and Yvette Rugala I seek your decision on a gift received in 2014.

I seek delegate approval for an iPad mobile device (approx. value $700) received as a gift to be redeployed to Greg Dowling (dow17g). I have spoken with Greg’s line manager, Yvette, who supports this approach as there is currently an open request to procure a similar device.

The gift was received from Laser and Science Technologies (Sydney) on behalf of Universal Laser Systems (USA) in mid-2014 following the capital equipment purchase of a laser machining system for our photovoltaics laboratory in December 2013. At the time the USA company, through its Australian retailer, was running a promotion offering the iPad as a bonus with the system. Although I declined the offer, the gift was received by personal courier from the Sydney-based firm addressed to me. I reported and recorded the gift with finance (Cindy Digby) immediately and the item has been in storage since.

There will be no cost for the item to be deployed to the staff member where essentially the item is already CSIRO property, received as part of equipment procurement.
IM&T have been contacted and have confirmed the item, with delegate approval, is then CSIRO property and can be provisioned accordingly.

I look forward to your reply.

Regards,

Greg

Dr Gregory J. Wilson  PhD  MRACI  CChem  
Research Team Leader | Solar Materials  
Senior Research Scientist | Next Generation Photovoltaics  
Energy Flagship  
CSIRO  

s47F