



**Asia-Pacific  
Economic Cooperation**

---

**2011/SOM3/ECSG/DPS/010**

Agenda Item: 3c

## **APEC Cross-Border Privacy Enforcement Arrangement**

Purpose: Consideration

Submitted by: DPS Chair

Forum Doc. No.: 2010/SOM1/ECSG/DPS/013



**Data Privacy Sub-Group Meeting  
San Francisco, United States  
18 September 2011**

# APEC COOPERATION ARRANGEMENT FOR CROSS-BORDER PRIVACY ENFORCEMENT

## 1 OBJECTIVES OF THIS FRAMEWORK

In endorsing the APEC Privacy Framework in 2004, APEC leaders recognised the importance of developing effective privacy protections that avoid barriers to information flows and ensure continued trade and economic growth in the APEC region.<sup>1</sup> This cross-border cooperation arrangement is a key step in achieving that goal.

The APEC Privacy Framework, Part IVB, calls on member economies to consider developing cooperative arrangements and procedures to facilitate cross-border cooperation in the enforcement of privacy laws. The APEC Privacy Framework contemplated bilateral or multilateral arrangements that include the following:

- mechanisms for promptly, systematically and efficiently notifying designated public authorities in other member economies of investigations or privacy enforcement cases that target unlawful conduct or the resulting harm to individuals in those economies;
- mechanisms for effectively sharing information necessary for successful cooperation in cross-border privacy investigation and enforcement cases;
- mechanisms for investigative assistance in privacy enforcement cases;
- mechanisms to prioritize cases for cooperation with public authorities in other economies based on the severity of the unlawful infringements of personal information privacy, the actual or potential harm involved, as well as other relevant considerations; and
- steps to maintain the appropriate level of confidentiality in respect of information exchanged under the cooperative arrangements.<sup>2</sup>

In addition, in 2007, APEC economies endorsed a 'pathfinder' for international implementation of the APEC Privacy Framework. The Cooperation Arrangement for Cross-border Privacy Enforcement is one outcome of the Pathfinder. The Pathfinder also seeks to facilitate development of a framework for accountable flows of personal information across borders, focussing on the use of Cross-Border Privacy Rules by

---

<sup>1</sup> APEC Privacy Framework, available at [http://www.apec.org/apec\\_groups/committee\\_on\\_trade/electronic\\_commerce/MedialibDownload.v1.html?url=/etc/medialib/apec\\_media\\_library/downloads/taskforce/ecsg/pubs/2005.Par.0001.File.v1.1](http://www.apec.org/apec_groups/committee_on_trade/electronic_commerce/MedialibDownload.v1.html?url=/etc/medialib/apec_media_library/downloads/taskforce/ecsg/pubs/2005.Par.0001.File.v1.1)

<sup>2</sup> Part IV, APEC Privacy Framework, available at [http://www.apec.org/apec\\_groups/committee\\_on\\_trade/electronic\\_commerce/MedialibDownload.v1.html?url=/etc/medialib/apec\\_media\\_library/downloads/taskforce/ecsg/pubs/2005.Par.0001.File.v1.1](http://www.apec.org/apec_groups/committee_on_trade/electronic_commerce/MedialibDownload.v1.html?url=/etc/medialib/apec_media_library/downloads/taskforce/ecsg/pubs/2005.Par.0001.File.v1.1)

business. The Pathfinder aims to support this cross-border privacy rules system with a framework for cross-border cooperation in the enforcement of information privacy.<sup>3</sup>

In 2007, the Organization for Economic Cooperation and Development (OECD) adopted a recommendation to promote cooperation between Member countries on the enforcement of laws protecting privacy.<sup>4</sup>

In light of this background, the goals of this Cooperation Arrangement are to:

- facilitate information sharing among Privacy Enforcement Authorities in APEC economies;
- establish mechanisms to promote effective cross-border cooperation between Privacy Enforcement Authorities on the enforcement of Privacy Law, including through referrals of matters and through parallel or joint investigations or enforcement actions;
- facilitate Privacy Enforcement Authority cooperation in enforcing Cross-Border Privacy Rules; and
- encourage information sharing and cooperation on privacy investigation and enforcement with privacy enforcement authorities outside APEC, including by ensuring this Cooperation Arrangement can work seamlessly with similar arrangements such as those developed under the OECD Recommendation.

## **2 OUTLINE OF THIS COOPERATION ARRANGEMENT**

- 2.1 This Cooperation Arrangement creates a practical multilateral mechanism for Privacy Enforcement Authorities to cooperate in cross-border privacy enforcement. It does this by creating a framework under which Privacy Enforcement Authorities may, on a voluntary basis, share information and request and render assistance in certain ways.
- 2.2 Any Privacy Enforcement Authority in an APEC economy may participate in this Cooperation Arrangement.
- 2.3 An Economy can have more than one participating Privacy Enforcement Authority provided each public body meets the criteria established in the definition of Privacy Enforcement Authority as contained in paragraph 4.1.

---

<sup>3</sup> APEC Data Privacy Pathfinder (2007) available at [http://aimp.apec.org/Documents/2007/SOM/CSOM/07\\_csom\\_019.doc](http://aimp.apec.org/Documents/2007/SOM/CSOM/07_csom_019.doc).

<sup>4</sup> Organisation for Economic Cooperation and Development, (2007) *Recommendation on Cross-Border Co-operation in the Enforcement of Laws Protecting Privacy*, available at: [www.oecd.org/dataoecd/43/28/38770483.pdf](http://www.oecd.org/dataoecd/43/28/38770483.pdf).

- 2.4 This Cooperation Arrangement is set out as follows:
- commencement of this Cooperation Arrangement (paragraph 3);
  - definitions and legal limitations (paragraphs 4, 6 and 7);
  - the role of the Administrator (paragraph 5);
  - how to participate, or cease to participate, in the Cooperation Arrangement (paragraph 8);
  - cross-border cooperation (paragraph 9);
  - confidentiality (paragraph 10);
  - information sharing (paragraph 11); and
  - miscellaneous matters (staff exchanges, disputes, review) (paragraphs 12 to 15).
- 2.5 Annexed to the Cooperation Arrangement are:
- Request for Assistance form (Annex A).
  - Contact Point Designation form (Annex B).
  - A template for summary statement of Participant's practices, policies and activities (Annex C).

### **3 COMMENCEMENT**

- 3.1 This Cooperation Arrangement commences one month after the Administrator is designated under paragraph 5 or such later date specified by the ECSG.
- 3.2 From the date of commencement any Privacy Enforcement Authority may participate in the Cooperation Arrangement as provided for in paragraph 8.

### **4 DEFINITIONS**

- 4.1 In this Cooperation Arrangement:

**'Administrator'** means the body or bodies designated under paragraph 5.1.

**'Cooperation Arrangement'** means APEC Cooperation Arrangement for Cross-border Privacy Enforcement.

**'Cross-Border Privacy Rules'** has the same meaning as in paragraphs 46 to 48 of the APEC Privacy Framework.

**'ECSG'** means the Electronic Commerce Steering Group or the APEC committee having responsibility for the APEC Privacy Framework.

**'Participant'** means a Privacy Enforcement Authority from an APEC member economy that participates in this Cooperation Arrangement.

**'Privacy Enforcement Authority'** means any public body that is responsible for enforcing Privacy Law, and that has powers to conduct investigations or pursue enforcement proceedings.

**'Privacy Law'** means laws and regulations of an APEC economy, the enforcement of which have the effect of protecting personal information consistent with the APEC Privacy Framework.

**'Receiving Authority'** means a Participant that has received a "Request for Assistance" from another Participant.

**'Request for Assistance'** includes, but is not limited to:

- (i) a referral of a matter related to the enforcement of a Privacy Law;
- (ii) a request for cooperation on the enforcement of a Privacy Law;
- (iii) a request for cooperation on the investigation of an alleged breach of a Privacy Law; and
- (iv) a transfer of a privacy complaint.

**'Requesting Authority'** means a Participant that has made a Request for Assistance of another Participant.

## **5 ROLE OF THE COOPERATION FRAMEWORK ADMINISTRATOR**

5.1 The ECSG will designate:

- (i) the APEC Secretariat; or
- (ii) a Privacy Enforcement Authority (with its consent); or
- (iii) the APEC Secretariat and a Privacy Enforcement Authority (with its consent) jointly

to perform the functions of the Administrator.

5.2 The designation under paragraph 5.1 may be for a limited duration and may be revoked or altered by the ECSG at any time. In the event that a Privacy Enforcement Authority designated as the Administrator ceases to be so designated (through expiry, revocation, resignation or through ceasing to be a Privacy Enforcement Authority) the APEC Secretariat will perform the core functions of the Administrator pending any new designation (and may perform any of the additional functions).

5.3 The Administrator will perform the following core functions:

- (i) receive:

- (a) notices of intent to participate in or cease to participate in the Cooperation Arrangement under paragraphs 8.1 and 8.2;
- (b) letters of confirmation under paragraph 8.1;
- (c) economy contact point forms, under paragraph 11.1;
- (ii) receive such documents in paragraph 5.3(i) and verify that the participating authority is a Privacy Enforcement Authority as defined in this Cooperation Arrangement;
- (iii) subject to the outcome of paragraph 5.3(ii), arrange for documents received under paragraph 5.3(i)(a) and (c) to be made available through the APEC website or other appropriate accessible means;
- (iv) maintain and make available:
  - (a) an up-to-date list of current subscribers;
  - (b) a compilation of economy contact points;
- (v) review the operation of the Cooperation Arrangement three years after its commencement as set out in paragraph 15;

5.4 The Administrator may also perform the following additional functions:

- (i) publicise the Cooperation Arrangement in conjunction with APEC, member economies and stakeholders;
- (ii) publish a directory of any bodies, whether or not Privacy Enforcement Authorities or participants, having a role to play in the protection of privacy;
- (iii) promote initiatives to support cooperation amongst Participants through, for instance, teleconferences, seminars, staff exchanges, and cooperation with other enforcement networks;
- (iv) facilitate exploring, recording and reviewing common enforcement priorities.

## **6 CHARACTER OF THIS DOCUMENT**

6.1 This arrangement is to be read consistently with the APEC Privacy Framework.

6.2 Nothing in this Cooperation Arrangement is intended to:

- (i) Create binding obligations, or affect existing obligations under international or domestic law, or create obligations under the laws of the Participants' economies.
- (ii) Prevent a Participant from seeking assistance from or providing assistance to another Participant or another non-participating enforcement authority of an APEC member economy, pursuant to other agreements, treaties, arrangements, or practices.

- (iii) Affect any authority or right of a Privacy Enforcement Authority or non-participating authority to seek information on a lawful basis, including in law enforcement matters, from a person located in the territory of another Participant's economy, nor is it intended to preclude any such person from voluntarily providing information to a Privacy Enforcement Authority or non-participating authority.
- (iv) Impede governmental activities authorized by law when taken to protect security, public safety, sovereignty or other public policy of an APEC member economy.
- (v) Create obligations or expectations of cooperation that would exceed a Participant's scope of authority and jurisdiction.
- (vi) Create obligations or expectations for other, non-participating government agencies.
- (vii) affect any authority or right to use information pursuant to a mutual legal assistance treaty (MLAT) or other applicable international agreements between the Requesting and Receiving Authorities' governments.

## **7 LIMITATIONS ON ASSISTANCE**

7.1 At its sole discretion, a Participant may at any time decline to accept or proceed with a Request for Assistance, or limit its cooperation including, but not limited, under the following circumstances:

- (i) The matter is inconsistent with domestic law or policy.
- (ii) The matter is not within the Participant's scope of authority or jurisdiction.
- (iii) The matter is not an act or practice of a kind that both the Requesting Authority and Receiving Authority are authorized to investigate or enforce against under their Privacy Laws.
- (iv) There are resource constraints.
- (v) The matter is inconsistent with other priorities.
- (vi) There is an absence of mutual interest in the matter in question.
- (vii) The matter is outside the scope of this Cooperation Arrangement.
- (viii) Another body (including a private sector body, consistent with paragraph 9.4) is a more appropriate body to handle the matter.
- (ix) Any other circumstances that renders a Participant unable to cooperate. The Participant may notify the basis of these circumstances in writing.

## **8 PARTICIPATING IN THE COOPERATION ARRANGEMENT**

- 8.1 A Privacy Enforcement Authority may participate in this Cooperation Arrangement by giving written notice to the Administrator. The participation should be supported by a written letter of confirmation from the economy's ECSG delegation, or other appropriate governmental representative, that the applicant is a Privacy Enforcement Authority within the meaning of the definition in paragraph 4.1. The participation will take effect after the Administrator has formally accepted the Participant's written notice, subject to the outcomes of paragraph 5.3(ii).
- 8.2 A Participant may cease participation in this Cooperation Arrangement by giving one month's written notice to the Administrator.
- 8.3 A Privacy Enforcement Authority should, as soon as reasonably practicable after notifying the Administrator under paragraphs 8.1 or 8.2, take reasonable steps to make the participation or cessation of participation known to other Participants. This should include posting information on the Authority's website during the period it has participated in the Cooperation Arrangement and for a reasonable period after ceasing to participate.
- 8.4 A Privacy Enforcement Authority planning to cease participation in the Cooperation Arrangement that has received, or is currently acting upon, a Request for Assistance should consider whether it will be able to fulfil what is expected of it under this Cooperation Arrangement in relation to the request after it has ceased participation. If the request will be affected, the Authority should exercise its best endeavour to protect the interests of the Requesting Authority and the individuals concerned and ensure that they are advised of, or consulted upon, any actions to be taken.

## **9 CROSS-BORDER COOPERATION**

### **Cross-border cooperation on enforcement of Privacy Law**

- 9.1 Subject to paragraphs 6 and 7, Participants should assist one another by considering other Participants' Requests for Assistance and referrals for investigation or enforcement, and share information and cooperate on the investigation or enforcement of Privacy Laws.

### **Prioritisation of matters for cross-border cooperation**

- 9.2 Given that cross-border cooperation can be complex and resource-intensive, Participants may individually or collectively prioritize those matters that are most serious in nature based upon the severity of the unlawful infringements of personal information privacy, the actual or potential harm involved, as well as other relevant considerations. Participants requesting prioritisation of a particular Request for Assistance should specify the reasons in the Request for Assistance form.



- 9.3 Subject to paragraphs 7.1 and 9.2, Participants recognize the enforcement of APEC Cross-Border Privacy Rules as a priority for cooperation under this Arrangement.

#### **Cooperation with non-participating agencies and organisations**

- 9.4 Participants intend to use best efforts within the limits of their respective authority to cooperate with private sector organizations, self-regulatory bodies and non-participating Privacy Enforcement Authorities, whose responsibilities include the resolution of individuals' privacy complaints. Privacy Enforcement Authorities are in particular encouraged to cooperate with Accountability Agents involved in the enforcement of APEC Cross-Border Privacy Rules.
- 9.5 Participants intend to use best efforts within the limits of their respective authority to cooperate with other public sector bodies including law enforcement bodies, subject to paragraph 10.

#### **Steps prior to requesting assistance**

- 9.6 Before a Participant makes a Request for Assistance to another Participant, that Participant should:
- (i) ascertain that the request would be consistent with this Cooperation Arrangement and the goals of the APEC Privacy Framework;
  - (ii) seek consent, where appropriate and subject to any other requirements, policies or practices applicable to the Privacy Enforcement Authority in question, of individual complainants to provide information about their complaint to another Participant;
  - (iii) check the accessible information on the other Participant's practices, policies and activities (see paragraphs 11.2 and 11.3);
  - (iv) perform a preliminary enquiry, where appropriate and practicable, to identify which entity in the other member economy has front-line responsibility with respect to the contemplated Request for Assistance consistent with paragraphs 9.4 and 9.5; and
  - (v) perform a preliminary enquiry, where appropriate, with the contact point (designated under paragraph 11.1) of the other Participant or other appropriate entity in the other member economy and provide information as necessary, to identify if the other Participant will have and accept jurisdiction over the contemplated Request for Assistance.

#### **Requesting assistance**

- 9.7 A Participant making a Request for Assistance to another Participant should:
- (i) use the APEC 'Request for Assistance' form (attached at Annex A) to communicate key information about the matter in question;

- (ii) provide sufficient additional information (if any) for the Receiving Authority to take action, such as identifying any special precautions that should be taken in the course of fulfilling the request;
- (iii) specify the purpose for which any information requested from the Receiving Authority will be used and the persons to whom the information may be transferred; and
- (iv) provide information, or other assistance, requested by the Receiving Authority to assist with the handling of the referred matter.

9.8 A Participant whose assistance is requested should:

- (i) acknowledge the Request for Assistance as soon as reasonably practicable after receiving it;
- (ii) at the time of acknowledgement, or as soon as reasonably practicable thereafter, indicate whether it accepts or declines the request in whole or in part;
- (iii) if more information is needed from the Requesting Authority to enable a decision to be made on accepting or declining the request, promptly identify that further information is required and to clearly advise the Requesting Authority of this;
- (iv) if declining the Request for Assistance, provide the reason(s) for such a decision and refer the Requesting Authority, where feasible and appropriate, to a body which may be able to handle the request (consistent with paragraphs 9.4 and 9.5);
- (v) if limiting the extent of cooperation, provide the reason(s) for such decision and advise any condition(s) to be imposed for rendering assistance; and
- (vi) if accepting the Request for Assistance:
  - (a) process that request according to its usual policy and practice;
  - (b) where feasible and appropriate, communicate with the Requesting Authority about matters that may assist with the processing of the matter in question; and
  - (c) where feasible and appropriate, keep the Requesting Authority informed of the progress and outcome of the referred matter.

### **Communication to assist ongoing investigations**

9.9 Participants should communicate with each other, as appropriate, about matters that may assist ongoing investigations.

### **Use of information obtained during cross-border cooperation**

- 9.10 The Requesting Authority and the Receiving Authority will, on a bilateral basis, determine permissible uses of shared information consistent with applicable law and policy.

### **Notice of possible breaches in another Participant's jurisdiction**

- 9.11 A Participant may, if it considers appropriate, provide another Participant with notice of a possible breach of the privacy laws of that other Participant's economy.
- 9.12 Where appropriate and feasible, Participants should coordinate their investigations and enforcement activity with that of other Participants to promote more effective enforcement and avoid interference with ongoing investigations.

## **10 CONFIDENTIALITY**

- 10.1 Subject to paragraphs 9.10 and 10.3, and in accordance with any laws applicable to the Requesting and Receiving Authority, consultations, other communications or information shared between Participants pursuant to this Cooperation Arrangement, are confidential and will not be disclosed.
- 10.2 Each Participant should, to the fullest extent possible and consistent with its economy's laws, use best efforts to maintain the confidentiality of any information communicated to it in confidence by another Participant and respect any safeguards sought by the other Participant.
- 10.3 Nothing in this Cooperation Arrangement prevents disclosure of confidential information to third parties, such as other law enforcement agencies, if such disclosure is required by the law of the Requesting Authority's economy. Participants should state clearly all likely requirements for disclosure in their statements of practices, policies and activities (see paragraphs 11.2 and 11.3) and an updated statement of practices, policies and activities should accompany a Request for Assistance when seeking confidential information from another Participant. Where a Requesting Authority is subject to a legal requirement to disclose, it should use best efforts to notify the Receiving Authority at least ten days in advance of any such proposed disclosure or, if such notice cannot be given, then as promptly as possible.
- 10.4 Confidential information disclosed under paragraphs 10.3 and 9.10 should be subject to appropriate confidentiality assurances.
- 10.5 Upon ceasing participation in this Cooperation Arrangement, a Privacy Enforcement Authority should maintain the confidentiality of any information provided to it in confidence by another Participant. Any information provided under the Cooperation Arrangement should be held securely and confidentially, returned

or otherwise handled in accordance with the consent of the Participant that provided it.

- 10.6 Subject to paragraphs 9.10 and 10.3, Participants intend to oppose, to the fullest extent possible consistent with their economies' laws, any application by a third party for disclosure of confidential information or materials received from other Participants, subject to consultation with the Participants that provided the information.
- 10.7 Each Participant should endeavour to safeguard the security of any information received under this Cooperation Arrangement. To this effect, a Participant should have in place appropriate measures to prevent loss, unauthorized or accidental access, processing, use or disclosure of any information received under this Cooperation Arrangement. Any information received under this Cooperation Arrangement should not be retained for longer than required by domestic law or than is necessary for the fulfillment of the purpose for which the information is to be used.

## **11 INFORMATION SHARING**

### **Contact point designation**

- 11.1 Each Participant should designate a contact for the purposes addressed in this Cooperation Arrangement and as the main, but not exclusive, point of contact for other Privacy Enforcement Authorities. The Contact Point Designation form (or an updated version provided for this purpose by the Administrator) annexed to this Cooperation Arrangement may be used.

### **Participants' statement of practices, policies and activities**

- 11.2 Participants should prepare a statement of information related to their enforcement practices and policies and other relevant activities. Participants should take steps to make this statement accessible to other Participants, for example, by posting it on their website. Availability of these statements will improve Participants' collective understanding of how enforcement is conducted within respective economies as well as assisting in the facilitation of particular Requests for Assistance.
- 11.3 The Administrator may request Participants to file summary statements of enforcement practices to be available to Participants in a central repository. If doing so, the Administrator will use the template annexed to this Cooperation Arrangement or an updated version of that template. Participants should provide the Administrator with an updated summary within a reasonable time frame if their policies or practices change.

## **Sharing of experiences**

- 11.4 Each Participant is encouraged, where feasible and appropriate, to provide information in their possession to other Participants respecting important developments in relation to matters within the scope of this Cooperation Arrangement, including:
- (i) surveys of public attitudes bearing upon enforcement matters;
  - (ii) details of research projects having an enforcement or cross-border cooperation dimension;
  - (iii) enforcement training programmes;
  - (iv) changes in relevant legislation;
  - (v) experiences with various techniques in investigating privacy violations and with regulatory strategies, including self-regulatory strategies, involving such violations;
  - (vi) information about trends and developments in the types and numbers of complaints and disputes they handle; and
  - (vii) opportunities for privacy enforcement staff training and employment.

## **12 STAFF EXCHANGES**

- 12.1 Participants may explore bilateral opportunities to arrange secondments of staff or staff exchanges or enable specialist staff to assist other Participants in particular matters.
- 12.2 Participants may also, where appropriate, consider the feasibility of:
- (i) enabling staff to participate in training programmes that another Participant is conducting;
  - (ii) developing joint training programmes;
  - (iii) sharing specialist training resources.

## **13 COSTS**

- 13.1 Each Participant bears their own costs of providing information or assistance in accordance with this Cooperation Arrangement and in otherwise cooperating as contemplated by this Cooperation Arrangement.
- 13.2 Participants may negotiate to share or transfer costs of responding to a specific Request for Assistance, offer of training, or other cooperation.

## **14 DISPUTES**

- 14.1 Any dispute between Participants in relation to this Cooperation Arrangement is to be resolved by discussions between them through their designated contacts and, failing resolution in a reasonably timely manner, by discussion between the heads of the Participants.

## **15 REVIEW AND UPDATE OF THIS DOCUMENT**

- 15.1 Through a consultative process, Participants must review this Cooperation Arrangement and its operation three years after its commencement.
- 15.2 Having completed the review, the Administrator will submit a report to the ECSG giving an account of the review and offering recommendations of any necessary or desirable changes.
- 15.3 The Administrator will manage a process for soliciting and receiving acceptances from Participants of the changes approved by the ECSG and will appropriately update the list of current Participants and make the revised Cooperation Arrangement available.

# Request for Assistance Form

Please see the instructions below

Date of the request:

## 1. Case name

## 2. Authority contact details

**From:**

Requesting Authority, Economy	
Contact Person, Title	
Telephone	
Email Address	
Postal address	

**To:**

Receiving Authority, Economy	
Contact Person, Title	
Telephone	
Email Address	
Postal address	

**3. Confidentiality requirements**

**4. Assistance requested**

**5. Time and manner of response**

**6. Organization(s) involved**

Name	
Address/URL	
Contact Person, Title	
Telephone/ Email Address	
Principal Activities	
Any additional background information:	



**7. Individual(s) involved**

Name	
Address	
Telephone/ Email Address	
Any additional background information:	

**8. Background and status of the investigation**

**9. Type of Privacy Principles at Issue**

You may add explanation under each principle if necessary.

	Yes	No
<p><b>Preventing harm</b> (<i>APEC Privacy Principle 1</i>)</p> <p>[e.g. risk of harm that may result from the misuse of personal information]</p>		
<p><b>Notice</b> (<i>APEC Privacy Principle 2</i>)</p> <p>[e.g. notification of, and information on, the existence of data processing]</p>		
<p><b>Collection Limitation</b> (<i>APEC Privacy Principle 3</i>)</p> <p>[e.g. personal information collected is limited to information that is relevant to the stated purposes of collection; has been obtained by lawful and fair means; and, where appropriate, with notice to, or consent of, the individual concerned]</p>		
<p><b>Uses of Personal Information</b> (<i>APEC Privacy Principle 4</i>)</p> <p>[e.g. personal information only used only to fulfill the purposes of collection and/or related purposes except: with the consent of the individual whose personal information is collected; when necessary to provide a service/product requested by the individual; or, by the authority of law and other legal instruments, proclamations and pronouncements of legal effect.]</p>		

Annex A

<p><b>Choice</b> (<i>APEC Privacy Principle 5</i>)</p> <p>[e.g. the provision of clear, accessible and affordable mechanisms to exercise choice in relation to the collection, use and disclosure of a individual's personal information, where appropriate].</p>		
<p><b>Integrity of Personal Information</b> (<i>APEC Privacy Principle 6</i>)</p> <p>[e.g. personal information is accurate, complete and kept up-to-date to the extent necessary for the purposes of use.]</p>		
<p><b>Security Safeguards</b> (<i>APEC Privacy Principle 7</i>)</p> <p>[e.g. personal information controllers have used the appropriate administrative, technical or procedural mechanisms for insuring the confidentiality, integrity, and protection of data.]</p>		
<p><b>Access and Correction</b> (<i>APEC Privacy Principle 8</i>)</p> <p>[e.g. individuals are able to: obtain confirmation of whether or not the personal information controller holds personal information about them; challenge the accuracy and, if possible have the information rectified, completed, amended or deleted, where possible.]</p>		
<p><b>Accountability</b> (<i>APEC Privacy Principle 9</i>)</p> <p>[e.g. personal information controller is accountable for complying with measures that give effect to the APEC Privacy Principles, including</p>		

Annex A

when transferring personal information domestically or internationally.]		

**10. Possible law violations, potential sanctions, on-going proceedings and contemplated proceedings**

**11. Other Relevant Information**

## Instructions

### 1. Case name

Provide a name, number or other indication that can be used to refer to the request.

### 2. Authority contact details

Provide the contact details specified in the form for the Requesting Authority and the Receiving Authority. Where appropriate, provide contact information for any other Authorities (domestic or foreign) that have been involved in the investigation or whose assistance has been requested, to help ensure effective co-ordination.

APEC maintains a directory of Privacy Enforcement Authorities. The directory may assist in the identification of Privacy Enforcement Authorities in another economy. To access this directory conditions apply. Please contact **(insert instructions based on outcome of project 5)**.

### 3. Confidentiality requirements

Indicate what confidentiality requirements are requested of the Receiving Authority. For some requests, assurances regarding confidentiality may be needed prior to transmitting this Request for Assistance (which will likely contain the information for which confidential treatment is required). Requesting Authorities can contact the Receiving Authority in advance to specify and obtain agreement on the confidentiality requirements. In addition, indicate any special instructions as to how the information provided should be handled (e.g. whether the individuals or organizations concerned can be contacted).

### 4. Assistance requested

Describe the type of information needed or other type of assistance sought and indicate why the information will be of assistance.

### 5. Time and manner of response

Indicate the preferred manner in which the response/information is to be transmitted (e.g. telephone, email, courier, computer disk) as well as any deadlines by which the information is needed. If there are any special evidentiary or procedural requirements that should be observed by the Receiving Authority these could be noted as well. Describe reasons for why the Request for Assistance should be given priority.

### 6. Organization(s) involved

Identify the organization involved in the request, including its contact details and information about its principal activities. As needed, copy and complete the table for other organizations or agents involved.

### 7. Individual(s) involved

Identify or describe the individual(s) whose personal information is at issue. As needed, copy and complete the table for other individuals whose personal data is at issue.

### 8. Background/Status

Provide a short summary of the background and current status of the investigation. This summary should include relevant background facts underlying the investigation. Possible issues to mention could include, e.g., the date and description of key activities, investigative avenues already pursued, whether there has been any attempt by the individual to seek redress from the organisation or an accountability agent and key facts that give rise to the cross-border dimension.

### 9. Type of privacy principles at issue

## Annex A

Indicate whether the subject matter of the Request relates to any of the privacy principles described in the table. You may add an explanation under each principle if necessary.

### **10. Possible law violations, potential sanctions, on-going proceedings and contemplated proceedings**

Where appropriate, indicate the possible laws or regulations that may have been violated, the possible sanctions that could be applied, as well as information on any on-going and contemplated proceedings. Note that links to the full texts of national laws should be available elsewhere, but that some description or citation to the relevant provisions may be useful to the Receiving Authority in determining how to respond to the Request.

### **11. Other relevant information**

Provide any additional information that may be helpful in responding the Request.

# Contact Point Designation Form

Economy Name: \_\_\_\_\_ Date: \_\_\_\_\_

## Contact Point

Please provide information for each category. This information will be maintained in a non-public list.

<b>Privacy Enforcement Authority</b>	
<b>Name</b>	
<b>Title/Position</b>	
<b>Address</b>	
<b>Telephone</b>	
<b>Fax</b>	
<b>E-mail</b>	
<b>Website address</b>	

<b>(Optional) Other Privacy Enforcement Authorities in your economy and their website addresses</b>	
---	--

## **Summary statement of Privacy Enforcement Authority enforcement practices, policies and activities**

*This form seeks to capture in summary form the enforcement jurisdiction and policies of each Participant in the APEC Cooperation Arrangement for Cross-Border Privacy Enforcement. The information will usually be posted on the relevant Participant's website and, when available, at a central reference point maintained by the Administrator.*

**Privacy Enforcement Authority name:**

**Economy:**

**Website address:**

**Key law(s) enforced by your authority:**

*(Consider including a link to the relevant legislation)*

**General sectors/jurisdictions regulated by your authority:**

*(Public sector, private sector, a particular industry sector? Do you operate in a particular geographical jurisdiction such as a state or province?)*

**Approach to investigation / resolution of enforcement matters:**

*(What are your key enforcement activities or roles? For example, do you receive complaints, grant approvals, investigate, mediate or make determinations on matters? Broadly speaking, what are your investigation processes? What are your enforcement powers?)*

**Prioritization policies:**

*(Does your authority have a policy on the prioritization of enforcement matters it is willing to handle? If so, please provide a link to your current policy)*



**Other relevant information:**

*(Are there any restrictions on how your agency can cooperate on enforcement? Are there any circumstances in which your agency may be required by law to provide information obtained under the Cooperation Arrangement to a third party?)*