



ICN Work Products Catalogue

September 2019

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Introduction

Since the establishment of the International Competition Network (ICN) in 2001, the ICN has grown significantly from 16 competition agencies to more than 140 competition agencies. It has produced a tremendous body of work including recommended practices, manuals, reports and templates in addition to events like teleseminars, webinars, workshops, and annual conferences.

However, producing work products is not the goal in itself, but a step toward achieving the goal of improving and advocating for sound competition policy and its enforcement across the world. The value of its work products will further be enhanced through their use by member and non-member agencies. Creating a virtuous cycle of creation, implementation and evaluation of the ICN work products will be crucial for the continuous development and improvement of the ICN.

In September 2011, to promote and advocate the use of ICN work products by competition authorities throughout the world, the Advocacy and Implementation Network (AIN) created the ICN Work Products Catalogue. In order to increase accessibility of the ICN products, the catalogue includes the list of work products by all Working Groups and by past projects with brief introductions as well as the website links in an easy to view format.

We hope that the agencies take full advantage of ICN work products, which will lead to further convergence.

Best regards,

Kazuyuki Sugimoto
Chairman of the Japan Fair Trade Commission

What is the ICN?

➤ **Statement**

- **[Chair's Vision Statement \(2013\)](#)**

This document describes the topics that Mr. Andreas Mundt, Chair of the ICN, will concentrate on during his tenure. While ensuring continuity with the projects of the former Chair, Mr. Eduardo Pérez-Motta, the Chair now plans to give attention to the three areas of focus, inclusiveness and implementation.

- **[The future of the ICN in its second decade \(2016\)](#)**

In May 2011, the ICN presented its Vision for its Second Decade, addressing both what the ICN does (high level goals and future work) and how it does it (participation, working procedures, and governance). In 2015, ICN Chair Andreas Mundt introduced an initiative to renew the network's Second Decade goals, track progress, and offer suggestions for further improvements to ICN's work and operations in line with the Second Decade recommendations. The purpose of this document is to report the results of the survey including the consultations with ICN members and NGAs and inform subsequent network discussions and decisions on achieving the ICN's Second Decade agenda over the next five years.

- **[The ICN's Vision for its Second Decade \(2011\)](#)**

The purpose of this document is to build on the results of the consultation, as well as subsequent discussion and debates within the ICN, by setting out an overarching vision for the ICN to guide its work over the next ten years.

➤ **Annual Activity Report**

- **[Summary of ICN Work Product 2018-2019 \(2019\)](#)**

This document provides an outline of the ICN's work achieved by the relevant working groups and project groups during 2018-2019 ICN year.

➤ **Tool kit**

- **[NGA Toolkit \(2011\) currently unavailable pending an update](#)**

The purpose of the NGA Toolkit is to provide guidance to both NGAs and member agencies with a view to enhance NGA engagement in the ICN. The toolkit covers 4 main issues: (1) the role of an NGA; (2) the benefits of NGAs; (3) how to become an NGA; (4) how to engage as NGAs.

- **[Outreach Toolkit \(2010\) currently unavailable pending an update](#)**

This material provides an introduction to the ICN and presents a general overview of the ICN and its Working groups.

Current Working Group

I. Advocacy Working Group

Competition Assessment Project

Framework of Competition Assessment Regimes (2015)

The Framework of Competition Assessment Regimes is a complement to the 2014 ICN Recommended Practices on Competition Assessment. The purpose of this Framework is to provide a broad overview of the range of competition assessment regimes and processes that exist, in order to: a) share and disseminate alternative illustrations of competition regimes across jurisdictions and b) provide a useful guide of how competition assessment is operationalised and the role of competition agencies in the process. The Framework consists of tables setting out general features of competition assessment regimes, which ICN member agencies have completed in line with practices in their respective jurisdictions, and more detailed illustrations of competition assessment regimes provided by ICN members.

Recommended Practices on Competition Assessment (2014)

Competition assessment is a key tool in promoting a competition-friendly legal environment and a decisive factor in building a strong competition culture. The Recommended Practices are intended to provide guidance to competition agencies on the competition assessment process. The Practices address: (1) General Framework for Competition Assessment; (2) Creating an Enabling Environment for Competition Assessment; (3) Selecting Policies for Competition Assessment; (4) Conducting a Competition Assessment; (5) Evaluating the Likely Impact on Competition; (6) Delivering the Assessment. This document is also available [in French](#), [in Spanish](#) and [in Arabic](#).

*Note: The Advocacy Working Group's original mandate was to undertake projects with a view to recommending best practices and to provide information to members in support of their advocacy functions. This work took place from 2001 through 2003. For additional advocacy-related projects during 2004-2008, see the work products list of the Competition Policy Implementation Working Group (P.37 -). In 2008, the Advocacy Working Group was reconvened and a revised work plan reflecting developments in the field was approved by the Steering Group.

I. Advocacy Working Group

Explaining the Benefits of Competition Project

Work products of the Benefits Project

The Benefits Project seeks to provide ICN members with knowledge, strategies and arguments for explaining the benefits of competition to support their competition advocacy efforts with government and non-government stakeholders, as well as in the evaluation of competition interventions.

- **[Explaining the Benefits of Competition to the General Public through the Media and Academia \(2017\)](#)**

This document contains tips for effective communication with the general public, key messages and a selection of various case studies.

- **[Explaining the Benefits of Competition to Businesses \(2017\)](#)**

This document contains tips for effective communication with businesses, key messages to business and a selection of 12 case studies from Japan, Brazil, United States of America, Singapore, Portugal, Sweden, among other countries.

- **[Explaining the benefits of competition to Government and Legislators \(2017\)](#)**

This document provides users with examples of messages and arguments, documents and case studies regarding the benefits of competition to assist them in their advocacy effort to government and legislators.

[Interim Report on the Explaining the Benefits of Competition Project Advocacy \(2012\)](#)

The AWG project on Raising Awareness of the Benefits of Competition seeks to provide ICN members with knowledge, strategies and arguments for explaining the benefits of competition to support their competition advocacy efforts with governmental and non-governmental stakeholders. This project includes an experience sharing teleseminars and a survey that sought to take stock of how agencies explain the benefits of competition as well as evaluate their competition interventions. The result of these activities are collated in this report which aims to present the results of the Benefits Project for the 2011-2012 ICN year, and propose recommendations for AWG work in the 2012-2013 ICN year.

I. Advocacy Working Group

Market Studies Project

[Market Studies Guiding Principles Booklet \(2017\)](#)

The Advocacy Working Group produced a booklet with high-level guiding principles in selecting and conducting market studies, based on the 2016 revised Market Studies Good Practice handbook. The booklet aims to offer both case officers and staff responsible for strategic planning and conducting of market studies an understanding of the overarching issues to consider when undertaking market studies.

[Market Studies Information Store \(2018\) \(continued operation\)](#)

During 2017-2018 the AWG has updated the Market Studies Information Store. The Information Store is a catalogue of market studies carried out by member agencies, the aim of which is to help in identifying ICN members' market studies experience in particular sectors. In this year's update alone there have been over 100 new market studies added to the Information Store. In total, the Market Studies Information Store contains details of over 700 market studies from 45 jurisdictions.

[Market Studies Good Practice Handbook \(2016\)](#)

The Advocacy Working Group updates the Market Studies Good Practice Handbook which was developed in 2012 with the objective of enriching the accumulated experience and learning on the practice of market studies gathered in the 2012 Handbook to account for the experiences of new competition authorities; and to improve the format by making it more user-friendly. The Handbook suggests a number of good practices in considering market studies including selecting, planning, launching, carrying out and evaluating market studies.

[Market Studies Project Report \(2009\)](#)

This report analyzes 37 ICN members' market studies experience and practices relating to the definition and purpose, powers to conduct studies, their selection, processes, and outcomes, and measurement of the studies' impact.

Competition Culture Project

[Competition Culture Project Report \(2015\)](#)

This report based on a survey of 49 ICN members sets out a definition of competition culture and presents the competition culture survey results around seven key constituencies: 1) The Government; 2) The Judiciary; 3) The Legal Community; 4) The Business Community; 5) Members of the Public; 6) The Media; 7) Academia.

I. Advocacy Working Group

Advocacy Strategy Project

Part 1 - Planning Advocacy Initiatives (2017)

The Advocacy Working Group gathered information from its members about the stages that precede and follow the advocacy actions, i.e. the elaboration of the advocacy strategy (analysis of the environment, priority setting, definition of the advocacy objectives, feasibility study) and this effort was strengthened with a Teleseminar entitled "Planning an effective advocacy strategy" in November 2016. Following the teleseminar, a short set of questions was sent in order to collect agencies' and NGAs' views and experiences on the internal process followed by competition agencies. These experiences have been summarised in a short report which will be the basis for further work with a view to identifying guiding principles for competition agencies.

Part 2 - Monitoring and Assessing the Results of Advocacy Efforts (2018)

In 2017, the Advocacy Working Group members participated in a second teleseminar, titled "Monitoring and assessing the results of advocacy efforts". Following that teleseminar, a short survey was sent to collect agencies' and NGAs' views and experiences on the evaluation process used by competition agencies to monitor, assess, and evaluate their advocacy initiatives, including the possible role of NGAs and other stakeholders. This Report summarizes the results and lessons learned from said survey.

I. Advocacy Working Group

Other work products

[Experiences in Conducting Competition Advocacy in Digital Markets \(2015-18\)](#)

This report gathers information on competition authorities' advocacy efforts in digital markets, and to identify any changes to the advocacy efforts made by competition authorities to address the digital markets, as compared to their advocacy efforts in non-digital markets. The aim of this project is to encourage experience sharing and discussion among ICN Members on their experiences in conducting competition advocacy in digital markets.

[Competition Advocacy Toolkit Part II \(2012\)](#)

The Second Part of the Competition Advocacy Toolkit is intended to follow up its first Part by focusing mainly on promotion mechanisms of competition advocacy messages, including such means as media relations and competition agency web-site. It has the same structure and mode of presentation as Part 1 and the numbering of Components of Part 2 continues from Part 1. Part 2 includes four chapters dedicated respectively to: 1) Promotion Mechanisms/Types of Competition Advocacy Messages; 2) Media Relations; 3) Extending the Reach of Competition Advocacy Web-Site; and 4) Research and Consultation.

[Competition Advocacy Toolkit Part I \(2011\)](#)

The Advocacy Working Group restores and updates Competition Advocacy Toolkit which was developed in 2003, in order to facilitate the use of it. The AWG prepared a new part 1 focusing on the advocacy process and tools during 2010-2011. Part 1 is organized into 4 components: (1) identification of relevant competition advocacy issues; (2) engagement of key stakeholders; (3) implementation and monitoring of advocacy activity; (4) evaluating effectiveness of advocacy interventions.

[Report on Assessment of ICN Members' Requirements and Recommendations on Further ICN Work on Competition Advocacy \(2009\)](#)

The Advocacy Working Group's Review & Update Project, based on a survey of 32 ICN members, prepared a report to: (1) identify ICN members' experiences with competition advocacy; (2) assess the extent to which existing ICN advocacy work product is used by members; and (3) make recommendations for additional work in the area.

[Report on Advocacy Case Studies: Telecommunications, Energy, Airlines, and the Legal Profession \(2003\)](#)

This report includes submissions from 11 members describing advocacy efforts in four regulated sectors. Each chapter has an introductory section with an overview of the results of the country contributions and indicating the main sector-specific problems related with competition advocacy. After the introductory sections the full texts of the country contributions are included.

[Report on Advocacy Provisions \(2003\)](#)

This report contains a collection of sample advocacy provisions from the laws and policies of 30 member jurisdictions.

Advocacy and Competition Policy (2002)

The report presents a summary of the answers to the questionnaire among ICN members about their advocacy activities. It comprises four sections: 1) an introduction; 2) section setting out a conceptual framework for competition advocacy; 3) section presenting the results of the questionnaire and 4) conclusions.

II. Agency Effectiveness Working Group Competition Agency Practice Manual

Chapter 1: Strategic Planning and Prioritisation (2010)

The chapter addresses, inter alia, the objectives of strategic plans, the prerequisites of and constraints related to effective strategic planning, internal processes and external consultations, communication on strategic planning, and the use of prioritization criteria and the process of prioritization.

Chapter 2: Effective Project Delivery (2012)

The EPD chapter examines tools and techniques for optimal case management, and contains good practices on internal quality control mechanisms and on institutional and organizational solutions to ensure compliance with agency decisions.

Chapter 3: Effective Knowledge Management (2014)

This chapter serves as a guide to a variety of activities, processes, and technologies necessary to support an EKM system that will assist different competition agencies, according to their needs and resources. The chapter will help agencies manage their knowledge assets in order to improve performance.

Chapter 4: Human Resources Management (2014)

This chapter focuses on an area of paramount importance to the success of any competition agency: the quality and effectiveness of its people. This chapter was informed by member survey and reflects illustrative practices from many jurisdictions.

Chapter 5: Competition Agency Evaluation (2016)

The evaluation project explored common formats and expression for the results of agency evaluation; the quantification of performance, including leading workload and efficiency metrics; qualitative evaluation of performance; and how the results of evaluation are put to use by agencies. This chapter presents common approaches and perspectives aimed at provided ideas for agencies looking to improve their evaluation practices, including an executive summary of common themes of evaluation.

Chapter 6: Ethics Rules in Competition Agencies (2016)

The ethics project explored agency efforts to ensure integrity in their investigative process and decision-making and prevent non-compliance with ethics rules. This chapter identifies basic principles and common approaches in order to provide insights on competition agency ethics rules. It includes a list of ethics program considerations for agencies.

* Note: The mission of the Agency Effectiveness Working Group is to identify key elements of a well-functioning competition agency and develop best practices for agency strategy, planning, implementation, operations, and investigative tools and procedures.

II. Agency Effectiveness Working Group Competition Agency Practice Manual

Chapter 7: Competition Agency Staff Training Programmes (2017)

The Staff Training Project explored the range of training tools and exercises that agencies use to train their staff. The output is a report which covers the following areas: (i) identification of approaches adopted for providing staff training, (ii) challenges faced in providing staff training, (iii) best practices or solutions identified by agencies and (iv) provide list of actionable steps that can be taken by an agency to improve the training process. The report can be utilized by agencies to learn about practices prevalent in other agencies, and to identify and implement useful practices.

Chapter 8: Competition Agencies Use of Social Media (2017)

The Social Media Project examined how competition agencies communicate externally via social media, in relation to their websites. The aim of the project has been a comparative overview addressing questions such as what types of social media are used, how are they used, and what value do the agencies get from their use. This project included an agency practices survey and also a non-governmental survey.

II. Agency Effectiveness Working Group Investigative Process

ICN Recommended Practices for Investigative Process (2019)

These RPs promote fair and informed enforcement across all enforcement areas and enforcement systems. The RPs cover enforcement tools, agency transparency, agency-party engagement, internal agency safeguards, and the protection of confidential information.

ICN Guiding Principles for Procedural Fairness in Competition Agency Enforcement (2018)

The 2018 ICN Guiding Principles on Procedural Fairness articulate a common framework of high-level procedural fairness ideals that ICN members have agreed should inform and guide enforcement process. They serve as a universal frame of reference for appropriate enforcement process.

Annotated ICN Guidance on Investigative Process (2018)

This annotated version of the [ICN Guidance on Investigative Process](#) (replaced by the RPs for Investigative Process) identifies ‘good practice’ examples for agencies on how they might implement in practice certain aspects of the principles and practices presented. The purpose of this annotated version is to provide inspiration for competition agencies that choose to evaluate their investigative and decision-making practices, with examples of practices that some agencies have used to support fair and informed enforcement.

Competition Agency Confidentiality Practices Report (2014)

The report based on a survey of 38 ICN members aims to give a representative overview of the most common confidentiality practices and provide insight into how different jurisdictions have developed their practices to contribute to effective and efficient investigations.

Investigative Process Roundtable Report (2014)

This report on the March 2014 Roundtable on Competition Agencies’ Investigative Process covers investigative tools, transparency, engagement, and confidentiality during investigations.

Investigative Tools Report (2013)

The report identifies the powers and tools that competition agencies need to conduct effective and efficient investigations by stocktaking ICN members’ experience and information on enforcement tools.

Competition Agency Transparency Practices Report (2013)

This report identifies common ways competition agencies are transparent about their work, both generally and within the context of specific investigations.

II. Agency Effectiveness Working Group

Other Work Products

Report on Agency Effectiveness through Organizational Design (2019)

The aim of this report is to share experience among competition agencies in order to improve agency effectiveness. The report explores the correlation between competition agencies organisational design options and agency effectiveness. In this context, the term organisational design refers to the structure and functioning of the organisation. There are links between the organisational structure, the functioning of the organisation and agency effectiveness.

2016 Report on ICN Chief/Senior Economists Workshop (2017)

This report is intended to serve as a record of 2016 ICN Chief/Senior Economists Workshop by: (i) reviewing its design and organization; (ii) summarizing the presentations and discussions; (iii) providing results of a participants' survey; and (iv) proposing next steps toward the possible regularization of similar meetings.

Report on the Agency Effectiveness Project, Second Phase: Effectiveness of Decisions (2009)

The report examines authorities' institutional powers to obtain compliance with decisions imposing remedies and sanctions as well as long term effects of compliance. In addition, the report addresses ways agencies engage in self-assessment to review the effectiveness of their decisions.

Report on the 2009 Seminar on Competition Agency Effectiveness (2009)

This report introduces the discussions that took place in the January 2009 seminar in Brussels devoted to competition agency effectiveness, highlighting the main points that were made and raising ideas for future ICN work in this area. The report is structured along the four main themes discussed during the workshop: (1) strategic planning and prioritization, (2) project delivery, (3) evaluation and accountability, and (4) communication.

Report on Agency Effectiveness (2008)

This report is based on a survey examining operational and organizational characteristics of competition agencies that may be important for a successful competition policy implementation. The Report addresses defining objectives and priorities, agency resource allocation and decisions' effectiveness.

III. Cartel Working Group

Anti-Cartel Enforcement Manual

Chapter 1: Searches, Raids and Inspections (2009)

This chapter provides an overview of the search and seizure procedures of various ICN member agencies, and identifies some of the key practices that are common among competition agencies around the world. The chapter is divided into five parts: (1) Pre-search intelligence and preparation; (2) Search teams; (3) Entry; (4) Search in progress and (5) Post search.

Chapter 2: Drafting and Implementing an Effective Leniency Program (2014)

The purpose of this document is to draw together key practices concerning the drafting and implementation of an effective leniency policy.

Chapter 3: Digital Evidence Gathering (2014)

The aim of the chapter is to better understand the range of ICN member approaches to digital evidence gathering and to identify good practices and procedures for the use of digital evidence in the context of the investigation and adjudication or prosecution of cartels. The chapter is divided into three sections: (1) Resources for digital evidence gathering; (2) Elements of digital evidence gathering and (3) Legal issues concerning digital evidence gathering.

Chapter 4: Cartel Case Initiation (2010)

This chapter draws together selected key practices used in the initiation of a cartel investigation, and identifies some strategies that may be applied in the detection stage and throughout the early development of a case. It will also highlight some of the more established practices useful to cartel case initiation. The chapter is divided into three parts: (1) Methods of detecting cartels; (2) Pre-investigatory phase of cartel allegations and (3) Decision to initiate a full scale investigation.

Chapter 5: Investigative Strategy (2008)

This chapter is intended to be a reference tool for agencies that enables them to evaluate their own approaches and benchmark their experiences against those of their counterparts around the world. The chapter is divided into two parts: (1) Establishing the investigation strategy and (2) Evaluation of the investigation strategy.

* Note: The mandate of the Cartel Working Group is to address the challenges of anti-cartel enforcement, both domestically and internationally, across the entire range of ICN members and amongst agencies with differing levels of experience. At the heart of antitrust enforcement is the battle against hardcore cartels directed at price fixing, bid rigging, market sharing and market allocations.

III. Cartel Working Group

Anti-Cartel Enforcement Manual

Chapter 6: Interviewing Techniques (2008)

The aim of the chapter is to be as inclusive as possible and provide information to ICN members for their own consideration and assessment in light of the legal principles that apply to them. The chapter is divided into three parts: (1) Pre-interview preparation; (2) Conducting the interview and (3) Post-interview evaluation and follow-up.

Chapter 7: Case Resolution (2011)

This chapter is intended to give an overview of possible case resolution methods, ideas for new cases resolution methods, and some factors that agencies might consider when deciding how to resolve a specific cases.

Chapter 8: Cartel Awareness, Outreach and Compliance (2012)

This chapter is intended to be a reference for competition agencies that are seeking new methods of cartel awareness, outreach and compliance, and is not intended to be a comprehensive guide. Therefore, the sections on Cartel Awareness, Outreach and Compliance can be read independently and do not necessarily build on each other.

Chapter 9: International Cooperation and Information Sharing (2013)

This chapter is intended to be a reference for competition agencies that are undertaking international cooperation or information sharing in the course of anti-cartel investigations, and is not intended to be a comprehensive guide.

Chapter 10: Relationship between Competition Agencies and Public Procurement Bodies (2015)

The aim of this chapter is to provide the competition authorities with practical tools for building constructive relationships with public procurement bodies in order to ensure free and fair competition in public bidding procedures.

Chapter 11: Development of Private Enforcement of Competition Law (2019)

This Anti-Cartel Enforcement Manual chapter is an overview of the different models of private enforcement allows jurisdictions that may decide to adopt private enforcement mechanisms to draw upon previous experiences and existing principles that can fit in administrative, civil and criminal anti-cartel enforcement regimes. Based on national specificities the diverse ICN members should be able to further develop their applicable rules, where necessary, on issues such as the interplay between private and public enforcement, including limits to disclosure as well as liability of the leniency recipient, collective redress and the quantification of harm.

Compilation of Good Practices from the Anti-Cartel Enforcement Manual (2017)

The Cartel Working Group updated the Compilation of Good Practices (2011), which summarizes the "good practices" identified in the Anti-Cartel Enforcement Manual. The Compilation now includes practices which have been identified, revised or reworded since 2011.

III. Cartel Working Group

Substantive Reports and other work products

Good Practices for Incentivizing Leniency (2019)

This paper reflects ways to overcome potential leniency challenges stemming from private enforcement, individual sanctions and regulatory interventions and indicates good practices for incentivising leniency applications. It includes interaction between leniency and private enforcement; leniency and individual sanctions; and competition enforcement and other regulatory intervention.

List of Cartel Working Group webinars (2013 - 2019) (continued operation)

Currently unavailable pending website transition

According to its annual work plan, the Cartel Working Group organises webinars on topical issues of cartel enforcement and policy in order to facilitate the exchange of experiences and views among member agencies and NGAs. Webinar materials can be found [here](#).

Checklist for efficient and effective leniency programmes (2017)

The Cartel Working Group has produced a concise document which lists the legal and enforcement prerequisites to an effective and efficient leniency programme, such as the setting of thresholds to obtain leniency, the criteria for significant added value (SAV), rewards for leniency cooperation, leniency programmes under administrative and criminal procedure. The checklist is particularly useful for young competition authorities which plan to elaborate their leniency regimes.

Setting of Fines for Cartels in ICN Jurisdictions (2017)

In the light of the development of fining policies of the ICN member institutions, the Cartel Working Group has revised the 2008 report on “Setting of Fines for Cartels in ICN Jurisdictions”. Since then more jurisdictions have participated in the project. In addition to updating the information of the previous report, now the revised report is being developed to focus more on fining policies.

Framework for the promotion of the sharing of non-confidential information (continued operation)

The Cartel Working Group established the framework in 2016 for improving cooperation between member agencies. This framework is intended to assist competition agencies in knowing how to and whom to contact when seeking non-confidential information to foreign counterpart agencies. For more detailed information of the Framework, please contact to the co-chairs (contact point for registration: icn-list-maintenance@jftc.go.jp).

Catalogue of Investigative Powers for Cartel Investigations (2016)

This catalogue provides a list of investigative powers for effective and efficient anti-cartel enforcement. This list collects various investigative powers that can be included in the legislative framework of competition agencies and applies in administrative, civil and criminal anti-cartel enforcement systems.

III. Cartel Working Group

Substantive Reports and other work products

Anti-Cartel Enforcement Templates (revised as needed)

These templates provide public access to information about ICN members' anti-cartel enforcement regimes. The Template also canvases a range of topics, including the process for filing a complaint, decision-making, sanctioning cartel conduct, investigative tools, leniency, rights of defendants and confidentiality.

Leniency waiver templates and explanatory note (2014)

The Leniency waiver templates are expected to be of great use for both competition agencies and leniency applicants in international cartel investigations. They aim to enable more effective cooperation from both the competition agencies' and leniency applicants' perspective, leading to better coordination of investigatory measures and potentially expediting the review and decision making process.

- **Procedural waiver of confidentiality in cartel investigations**
Procedural waivers allow competition agencies to coordinate on the procedural aspects of a cartel investigation.
- **Full waiver of confidentiality in cartel investigations**
Full waivers allow competition agencies, in addition, to exchange substantive information on the submissions made by a leniency applicant.
- **Waivers of Confidentiality in Cartel Investigations - Explanatory Note**
The explanatory note complements the respective Waiver Templates. This explanatory note provides certain guidance as to the use and usefulness of the waivers.

Charts Summarizing Information Sharing Mechanisms (2012)

This chart summarizes the mechanisms to share information obtained in relation to, and during, cartel investigations with other agencies. This would cover mechanisms including informal cooperation, cooperation agreements, and provisions of national legislation and confidentiality waivers, amongst others.

Online Compilation of Cartel Awareness and Outreach Materials (2014)

The Cartel Working Group has collected examples of public messages and materials used by competition agencies in their own cartel-related outreach efforts in order to promote cartel awareness. The purpose of this collection is to share member experiences and ideas in raising awareness of the prevention, reporting and prosecution of anti-cartel conduct. The compilation is the world's largest collection of cartel awareness and outreach materials. The compilation contains materials from 65 jurisdictions in over 20 languages. The participation from 65 jurisdictions makes this the most widely representative working group project in the ICN's history.

III. Cartel Working Group

Substantive Reports and other work products

Trends and Developments in Cartel Enforcement (2010)

This presentation includes the results of a 2009-2010 survey of Cartel Working Group members on the trends and developments in cartel enforcement over the previous decade. Responses are received from members in 46 Jurisdictions. It identifies changes in competition laws; creation of new investigative powers; institutional changes in anti-cartel enforcement; perceived importance of cartel enforcement; and use of Anti-Cartel Enforcement Manual.

Cartel Settlements (2008)

This report covers the key principles and practical benefits of cartel settlements, with an overview of practices in various member jurisdictions. It provides valuable insights into the types of cartel settlement systems currently in place and the issues faced by anti-cartel enforcers in designing and implementing cartel settlement systems.

Cooperation Between Competition Agencies in Cartel Investigations (2007)

The report on cooperation in cartel investigations identifies the types of cooperation possible in such investigations, based upon the results of a questionnaire sent to ICN members. The report also identifies possible ways to improve cooperation.

Interaction of Public and Private Enforcement in Cartel Cases (2007)

The report gives an overview of the existing legal systems that provide for the private enforcement of competition rules and the basic role of private enforcement in such jurisdictions, and explores the interaction between public and private enforcement in cartel cases in more detail.

Report on Obstruction of Justice in Cartel Investigations (2006)

This report presents an overview of the practice of prosecuting obstruction in anti-cartel investigations. It makes the case for the importance of prosecuting obstruction and presents practical ideas for members to prevent obstruction.

Report on Building Blocks for Effective Anti-Cartel Regimes (2005)

The report draws upon experience from member jurisdictions on three topics: 1) defining hard core cartel conduct, 2) the organizational arrangements that agencies can make to be well set up to prosecute cartels, and 3) effective penalties applied to cartel conduct.

IV. Merger Working Group Recommended Practices

Recommended Practices for Merger Analysis (2002-2017)

The Merger Working Group has developed recommended practices for merger analysis which were adopted by the ICN at its annual conferences. The Practices address: (1) the Legal Framework for Competition Merger Analysis; (2) Market Definition; (3) the Use of Market Shares: Thresholds & Presumptions; (4) Competitive Effects Analysis in Horizontal Merger Review: Overview; (5) Unilateral Effects; (6) Coordinated Effects; (7) Entry and Expansion; and (8) Failing Firm/Exiting Assets. Some parts of them have been revised.

Recommended Practices for Merger Notification & Review Procedures (2002-2017)

The Practices address: (1) nexus between the merger's effects and the reviewing jurisdiction; (2) clear and objective notification thresholds; (3) timing of merger notification; (4) merger review periods; (5) requirements for initial notification; (6) conduct of merger investigations; (7) procedural fairness; (8) transparency; (9) confidentiality; (10) interagency coordination; (11) remedies; (12) competition agency powers; and (13) review of merger control provisions. Some sections have been amended.

* Note: The mission of the Merger Working Group is to promote the adoption of best practices in the design and operation of merger review regimes in order to: (i) enhance the effectiveness of each jurisdiction's merger review mechanisms; (ii) facilitate procedural and substantive convergence; and (iii) reduce the public and private time and cost of multijurisdictional merger reviews.

IV. Merger Working Group

Practical Guide and Tools

Merger Cooperation and Information Exchange Types of Information (2019)

This practical guidance document explores the types of information involved in cooperation and information exchange during merger investigation.

Merger Remedies Guide (2016)

The Merger Remedies Guide sets out a detailed framework for considering key aspects of structural and non-structural remedies, relevant provisions to include in a remedy order, how to ensure the effective implementation of those provisions, as well as procedural considerations regarding timing. It provides conceptual and practical guidance for agencies and merging parties seeking to address competition issues raised by domestic and multijurisdictional mergers.

Practical Guide to International Enforcement Cooperation in Mergers (2015)

This Practical Guide elaborates on recommended practices and principles of merger review cooperation contained in ICN work products, particularly the Merger Notification and Review Procedures Recommended Practice on Interagency Coordination. The Guide is intended to serve as: (i) a voluntary and flexible framework for interagency cooperation in merger investigations; (ii) practical guidance for agencies seeking to engage in such cooperation; and (iii) practical guidance for merging parties and third parties seeking to facilitate cooperation.

Merger Analysis Self-Assessment Tool (2019)

The objectives of the tool is for ICN members to use to analyse their merger analysis practices, based on the Recommended Practices for Merger Analysis and Merger Guidelines Workbook.

Merger Notification and Procedures Self-Assessment Tool (2011)

Currently unavailable, pending an update

The objectives of the tool is for ICN members to use to analyse their merger notification and procedure practices, based on the Recommended Practices for Merger Notification and Review Procedures and other work products.

Waivers of Confidentiality in Merger Investigations (2005)

The N&P subgroup developed a model form that merging parties and competition agencies can use to facilitate waivers of confidentiality protection for information that parties submit in the merger review process. The subgroup prepared an accompanying paper discussing the rationale for, content of, and use of waivers, along with illustrative agency waiver forms.

Guiding Principles for Merger Notification & Review Procedure (2002)

The Notification & Procedures (N&P) subgroup developed eight Guiding Principles and thirteen Recommended Practices for merger notification and review procedures, which the ICN adopted at its annual conferences. The Guiding Principles address: (1) Sovereignty; (2) Transparency; (3) Non-discrimination on the basis of nationality; (4) Procedural fairness; (5) Efficient, timely, and effective review; (6) Coordination; (7) Convergence and (8) Protection of confidential information.

IV. Merger Working Group

Resources for General Merger Issues

ICN's Framework for Merger Review Cooperation (continued operation)

The non-binding framework, which was established in 2012, is intended to facilitate effective and efficient cooperation between and among ICN member agencies by identifying each agency's liaison officers and possible ways to exchange information. The framework includes (i) creating the contact list of liaison officers who are in charge of the contact person in the participating agencies, and (ii) the ways to contact and exchange information with other relevant agencies. For more detailed information of the Framework, please contact to the co-chairs (contact point for registration: icn@jftc.go.jp).

Report on Conclusions Resulting from 2010-11 Merger Working Group Comprehensive Assessment (2011)

The comprehensive assessment includes, among other things, an examination of the use and impact of existing MWG work product and other activities. It also includes potential barriers to the use and implementation of MWG work product and ways in which MWG participation and performance might be improved. In addition, an important aspect of the assessment has involved obtaining input on future areas of work that may assist members in making the merger review process more effective.

IV. Merger Working Group

Resources for Substantive Merger Issues

Vertical Mergers Comparison Study (2019)

This paper presents three merger case studies where vertical concerns were looked at by multiple authorities. This paper considers in detail the similarities and differences in the assessment of the following mergers: Broadcom/Brocade, Essilor/Luxottica and Ticketmaster/Live Nation. This paper finds that: from published decisions it is not always clear how closely authorities follow the ability, incentive and effect framework; information sharing was a common source of concern; and behavioural remedies were attractive to some agencies to attempt to resolve vertical concerns.

Vertical Mergers Survey Report (2018)

This report was drafted as a part of multi-year new project on vertical mergers initiated in 2017 and submitted for discussion at the 2018 annual conference. The report analyses results from a comprehensive member survey on vertical merger statistics, theories, practices, and case studies. It also includes a short 'think piece' setting out the economics of vertical merger assessment to help frame the survey results and ongoing project. The report will inform new written work product on vertical mergers in 2018-19.

Merger Guidelines Workbook (2006)

The Workbook includes a checklist of topics that the authors of new or revised merger guidelines may wish to cover, with an explanation as to why those topics have value in merger assessment and suggestions as to how those topics might be assessed in practice.

Merger Guidelines Report (2004)

Report from the ICN merger working group on a project examining members' merger guidelines. Includes: market definition, horizontal unilateral effects, coordinated effects, barriers to entry and expansion, and merger efficiencies.

IV. Merger Working Group

Resources for Substantive Merger Issues

[Investigative Techniques Handbook for Merger Review \(2005\)](#)

The Handbook is designed to inform ICN members of the various tools and techniques used in merger review, to help members organize and use their tools more efficiently, and to provide for an effective process for the evaluation of evidence. The first chapter summarizes the findings of a survey of ICN members carried out in 2003, and reflects agency practice. The remaining chapters discuss topics such as how to plan a merger investigation, developing reliable evidence in merger cases, economic and econometric analyses, and the benefits of including economists in merger review, and a private sector perspective on merger review.

- [Chapter 4 - Role of Economics and Economic Evidence in Merger Analysis \(2013\)](#)
The MWG revised Chapter 4 of the ICN Investigative Techniques Handbook for Merger Review on “The Role of Economics and Economic Evidence in Merger Analysis”, with the aim of (i) strengthening the Chapter 4 by providing more concrete guidance on the practical use of quantitative techniques in the investigation; and (ii) updating and broadening the scope of the Chapter 4. The new Chapter 4 reviews the specific economic tools typically used for assessments of horizontal mergers, also by means of illustrated by actual case studies.

[Merger Remedies Review Report \(2005\)](#)

The Report provides practical guidance and outlines key principles and the range of tools in the use of merger remedies. The report is based on and illustrated by remedy practices in a variety of jurisdictions.

IV. Merger Working Group

Resources for Notification & Procedures (N&P)

[Merger Notification and Procedures Template \(revised as needed\)](#)

To assist the Working Group in its efforts and to promote access to information on ICN members' merger review systems, the Merger Working Group has established links to merger-related materials on ICN members' websites. On these linked pages, members have posted materials that may include their current merger legislation, implementing rules and regulations, guidelines, and related materials. Members have also posted responses to a set of questions addressed to all member agencies (the "template") designed to highlight important features of their merger review systems, such as notification thresholds and review periods.

[Information Requirements for Merger Notifications \(2009\)](#)

This paper aims to assist agencies in comparing the approaches to pre-merger notification among some ICN members, and to help agencies planning to introduce or revise their notification forms or requirements in conformity with the ICN N&P Recommended Practice on Initial Information Requirements.

[Setting Notification Thresholds for Merger Review \(2008\)](#)

Building on the Recommended Practice on Notification Thresholds, this paper explores the various approaches used to set notification thresholds and members' recent experience with threshold revisions. The objective of the project is to provide guidance to agencies that plan to adopt or revise thresholds, in order to promote thresholds that are clear, understandable and easily administrable.

[Defining Merger Transactions for Purpose of Merger Review \(2007\)](#)

Building on the Transparency Recommended Practice, this paper explores the various approaches jurisdictions have adopted to define the types of transactions that are potentially subject to notification and/or review.

[Merger Notification Implementation Handbook \(2006\)](#)

To facilitate further implementation of the Guiding Principles and Recommended Practices, the N&P subgroup created a handbook containing examples of legislative provisions, guides, statements and notices, and press releases that conform to selected Principles and Practices.

[Merger Notification Filing Fees \(2005\)](#)

This Report provides a comprehensive description of different types of filing fee systems and their rationales and also discusses issues for jurisdictions to consider in connection with the introduction and/or review of a filing fee system. It is intended to be of particular benefit to jurisdictions considering changes to their merger filing fee system or that may consider such changes in the future.

IV. Merger Working Group

Resources for Notification & Procedures (N&P)

Report on Implementation of the Recommended Practices for Merger Notification and Review Procedures (2005)

To facilitate implementation of the Guiding Principles and Recommended Practices, the N&P subgroup gathered data on members' experiences with implementation and prepared a report identifying challenges agencies face in implementing the Practices and how they addressed these challenges.

Report on the Costs and Burdens of Multijurisdictional Merger Review (2004)

The N&P subgroup issued a report on the costs and burdens of multijurisdictional merger review based on available studies and anecdotal information. The Report discusses the general costs and burdens of multijurisdictional merger review; reviews unnecessary costs; and describes the subgroup's initiatives aimed at reducing or eliminating these costs.

Analytical Framework for Merger Control (2002)

This discussion paper explores the framework within which mergers are assessed, including four exemplar papers from members.

V. Unilateral Conduct Working Group

Recommended Practices

Recommended Practices on Predatory Pricing Analysis Pursuant to Unilateral Conduct Laws (2014)

Based on the Working Group's prior work and member experience, the Working Group has developed recommended practices for the assessment of predatory pricing in the context of unilateral conduct laws. The Practices address: (1) general framework; (2) price-cost tests; (3) assessment of harm to competition; (4) justifications and defenses; and (5) agency policies and guidance.

Recommended Practices for Dominance/Substantial Market Power Analysis (2008)

Based on the Assessment of Dominance/Substantial Market Power Report, the Working Group developed recommended practices to assist agencies with the assessment of dominance/substantial market power. The Practices address: (1) general framework; (2) assessment criteria (market shares, market share safe harbors/indicators, entry analysis, further criteria); (3) dominance/substantial market power assessment in small and/or isolated economies; and (4) transparency. This document is also available [in French](#) and [in Spanish](#).

Recommended Practices on State Created Monopolies (2008)

Based on the Assessment of Dominance/Substantial Market Power Report, the Working Group developed recommended practices to assist agencies with the application of unilateral conduct rules to state-created monopolies. The Practices address: (1) enforcement role of competition authority; (2) advocacy role of competition authorities during the liberalization and privatization process; and (3) effective competition advocacy instruments. This document is also available [in French](#) and [in Spanish](#).

* Note: The Unilateral Conduct Working Group's primary objectives are to examine the challenges involved in analyzing unilateral conduct of dominant firms and firms with substantial market power, facilitate greater understanding of the issues involved in analyzing unilateral conduct, and to promote greater convergence and sound enforcement of laws governing unilateral conduct.

V. Unilateral Conduct Working Group

Unilateral Conduct Workbook

Chapter 1: The Objectives and Principles of Unilateral Conduct Laws (2012)

This chapter provides a foundation to the following chapters that deal with specific types of unilateral conduct. By describing the objectives and principles underlying unilateral conduct laws, this chapter attempts to increase awareness and understanding among competition law enforcers of the rationale for their intervention.

Chapter 2: Analytical Framework For Evaluating Unilateral Exclusionary Conduct (2017)

This chapter poses and explores basic questions an agency must address in formulating its enforcement policies, focusing on two key questions in unilateral conduct enforcement: ‘what is dominance?’ and ‘what makes conduct exclusionary?’

Chapter 3: Assessment of Dominance (2011)

This chapter seeks to complement the two existing ICN work products on dominance by discussing how to apply the concept of “dominance” in practice, and particularly, how to use various types of evidence to determine whether a firm is “dominant” or not.

Chapter 4: Predatory Pricing Analysis (2012)

This chapter provides specific guidance on the topic of predatory pricing. It reports the responses of 24 ICN Members and 6 non-governmental advisors to a UCWG questionnaire and takes into account the approaches of competition agencies from around the world. This chapter complements that report by providing practical guidance on conducting a predatory pricing investigation.

Chapter 5: Exclusive Dealing (2013)

This chapter complements the ICN report on Single Branding/Exclusive Dealing in 2008 by providing guidance on conducting an exclusive dealing investigation, including the nature of exclusive dealing arrangements, assessment of anti-competitive effects of the arrangements, and possible justifications and defenses that could be put forward by the parties.

Chapter 6: Tying and Bundling (2015)

This chapter concerns the use of tying and bundling as a potentially exclusionary practice subject to competition laws prohibiting abuse of dominance or monopolization. The chapter provides guidance on conducting a tying and bundling investigation, including the nature of tying arrangements, assessment of anti-competitive effects of the arrangements, and possible justifications and defenses that could be put forward by the parties.

V. Unilateral Conduct Working Group

Substantive Reports

Vertical Restraints Report (2019)

The Vertical Restraints Project was a multiyear project (2016-19) to examine the effects of various types of vertical restraints and their implications for competition in relevant markets. The Project's scoping work identified an interest in focussing on vertical restraints in the online context, and the development of case studies providing theoretical analysis of issues arising with vertical restraints, including theories of harm, market failures, and efficiencies. In 2018-19, the UCWG developed two hypothetical scenarios. The first was an online parity requirement between accommodation providers and online travel agents. The second involved online sales restrictions imposed on retailers suppliers of infant strollers. A project group then assessed the scenarios and expressed views on the competition concerns associated with the various types of vertical restraints within. Reviewing the responses of the project group revealed diverging views across jurisdictions of the anti and pro-competitive effects of vertical restraints. This report summarises the responses from the project group and highlights the differing views of the restraint imposed by firms in the hypothetical scenarios.

Report on Vertical Restraints Project Consultations (2017)

The UCWG developed this report which provided a basis for consultation with UCWG members and non-governmental advisers on options and priorities for future work by the UCWG in the area of vertical restraints. A report providing a summary of submissions and setting out the issues identified as being of greatest interest/priority for further work by the UCWG was presented and discussed with UCWG during an interactive webinar.

Report on the Analysis of Refusal to Deal with a Rival (2010)

This paper is based on the responses of agencies and NGAs from 43 jurisdictions to a UCWG questionnaire. The report broadly addresses the analysis of actual and constructive refusals to deal; evaluating essential facilities; refusal to deal involving intellectual property, regulated industries, and state-created monopolies; margin squeeze; justifications and defenses; and remedies.

Report on Tying and Bundled Discounting (2009)

This paper is based on the responses of agencies and NGAs covering 35 jurisdictions to a UCWG questionnaire. The responses broadly identify the following elements used in the assessment of tying and bundled discounting under unilateral conduct rules: definition of tying and bundled discounting; anti-competitive effects; intent; and justifications and defenses.

Report on the Analysis of Loyalty Discounts and Rebates (2009)

This paper is based on the responses of agencies and NGAs covering 34 jurisdictions to a UCWG questionnaire. The responses broadly identify the following elements used in the assessment of loyalty discounts and rebates under unilateral conduct rules: the role of price-cost tests; the role of foreclosure analysis; presumptions and safe harbors; intent; and justifications and defenses.

V. Unilateral Conduct Working Group

Substantive Reports

[Report on Single Branding/Exclusive Dealing \(2008\)](#)

This paper is based on the responses of agencies and NGAs covering 33 jurisdictions to a UCWG questionnaire. The responses broadly identify the following elements used in the assessment of exclusive dealing under unilateral conduct rules: the existence of a dominant position or substantial market power; existence of an exclusive dealing arrangement according to the statutory provisions or case law; anti-competitive effects; and justifications and defenses.

[Report on Predatory Pricing \(2008\)](#)

This paper is based on the responses of agencies and NGAs covering 35 jurisdictions to a UCWG questionnaire. The responses broadly identify the following elements used in the assessment of predatory pricing under unilateral conduct rules: below-cost pricing, recoupment of losses; competitive effects; predatory intent; and justifications and defenses.

[Report on the Objectives of Unilateral Conduct Laws, Assessment of Dominance/Substantial Market Power, and State-Created Monopolies \(2007\)](#)

This paper is based on the responses of agencies and non-governmental advisors (NGAs) covering 35 jurisdictions to a UCWG questionnaire. The report consists of three chapters, which address: 1) the Objectives of Unilateral Conduct Laws; 2) the Assessment of Dominance/Substantial Market Power; and 3) State-Created Monopolies.

VI. ICN Training on Demand

The mission of the ICN Training on Demand is to create a comprehensive curriculum of training materials to serve as a virtual university on competition law and practice for competition agency officials. Training modules, consisting of video lectures and accompanying materials, will provide an on-line interactive educational center for competition authorities from around the world.

Written transcripts are available on each module page.

~ Modules ~

Introductory Module

[Introduction to ICN Training on Demand](#)

Series I (Competition Policy Fundamentals);

Module I-1: The [Origins and Aims of Competition Policy](#)

This module explores the development and content of competition policy systems. The presentation provides an overview of the history of competition law and describes the purposes, goals, and key elements of competition laws.

Module I-2: [Major Characteristics of Competition Policy](#)

This module covers the basic characteristics of competition policy systems, including the institutional features and choices that affect the enforcement of competition law. Presentations by agency experts highlight both the diversity and unifying elements of competition law systems around the world.

Module I-3: [Market Definition](#)

This module explores the role and importance of market definition in competition law investigations, including key elements such as the SSNIP analysis and the information that agencies evaluate to determine antitrust markets.

Module I-4: [Market Power](#)

This module addresses the concept of market power, central to the analysis of competition law investigations in unilateral conduct and mergers. The video includes an overview of practical techniques and the analytical tools that agencies use to determine if a firm has market power.

Module I-5: [Competitive Effects](#)

This module covers the law and economics of competitive effects and presents the elements of an effects-based approach to competition law enforcement. The video includes a hypothetical study of a loyalty rebates scenario to illustrate the principles of an effects-based approach.

VI. ICN Training on Demand

~ Modules ~

Series I (Competition Policy Fundamentals);

Module I-6: [Developing Countries and Competition](#)

This module addresses problems specific to competition agencies in developing countries, such as lack of resources and inadequate support for competition policy elsewhere in government or in civil society. It features two scenarios illustrating common problems and comments from past and present agency heads.

Module I-7: [Economic Analysis for Newer Agencies](#)

This module presents an introduction to using quantitative economic analysis in competition cases. Presented in two parts, the module describes basic concepts in competition economics such as market definition, unilateral and co-ordinated effects of mergers with a particular focus on how newer competition agencies can conduct effective economic analysis in the absence of the sophisticated tools and data often available in developed jurisdictions.

VI. ICN Training on Demand

~ Modules ~

Series II (Horizontal Restraints);

Module II-1: [Introduction to Cartels](#)

This module includes the definition of a cartel, essential attributes of an effective anti-cartel program, deterrent sanctions, detection, leniency, investigational techniques, transparency, and awareness and outreach.

Module II-2: [Leniency](#)

This module introduces the concept of leniency programs for anti-cartel enforcement. The module presents the cornerstones and benefits of an effective leniency program, the procedural aspects of a leniency program, and how leniency interacts with sanctions in a cartel enforcement action.

Module II-3: [Proving Agreement or Concerted Practice with Indirect Evidence](#)

This module introduces concepts and techniques for establishing the existence of horizontal conduct in the absence of direct evidence.

Series III (Dominant Firm Conduct);

Module III-2: [Predatory Pricing](#)

This module presents predatory pricing by a dominant firm. Experts discuss the basic elements and economics of a predatory pricing theory and discuss a hypothetical case.

Module III-3: [Exclusive Dealing](#)

This module presents the competition enforcement topic of exclusive dealing by a dominant firm. Experts discuss the basic elements and economics of exclusive dealing.

Series IV (Mergers);

Module IV-1: [Handling Merger Investigations](#)

This module addresses competition agency merger investigation, drawing upon concepts from the modules on market definition and market power in the merger context. The video uses a hypothetical merger to demonstrate the practical techniques agencies use to investigate a merger, including how to plan a merger investigation and how to obtain and evaluate relevant evidence.

VI. ICN Training on Demand

~ Modules ~

Series V (State Impediments to Competition);

Module V-1: [Competition Advocacy](#)

This module discusses the importance of competition advocacy as a tool for addressing anticompetitive regulations and policies proposed by other governmental actors. It includes a hypothetical case study, together with suggestions for the design of an effective advocacy program by current and former enforcement officials.

Module V-2: [State Restraints on Competition](#)

This module discusses the importance of competition advocacy as a tool for addressing anticompetitive regulations and policies proposed by other governmental actors. It includes a hypothetical case study, together with suggestions for the design of an effective advocacy program by current and former enforcement officials.

Module V-3: [Competition Assessment](#)

A co-production of the AGCM and COFECE, this mini-series of short modules introduces the concept of competition assessment, describes existing recommended practices, and describes the practical application of competition assessments.

VI. ICN Training on Demand

~ Modules ~

Series VI (Investigational Techniques);

Module VI -1: [Planning and Conducting Investigations](#)

This module presents the fundamental steps of conducting an investigation of potential competition law violations. The steps discussed include developing a theory of the case, identifying sources of information, interviewing witnesses, requesting documents and data, organizing and assessing evidence, and determining whether there is a violation.

Module VI -2: [Interviewing Witnesses: Who, What, Where, When, Why & How](#)

This module shares techniques for the effective interviewing of witnesses and parties in the course of a competition investigation.

Module VI -3: [Practicalities in Planning a Dawn Raid](#)

This module is designed for the education of case officers and their supervisors in competition authorities with little practical experience planning and conducting dawn raids such as those with new or previously unexercised dawn raid authority. It uses short lectures, discussions and dramatized vignettes to convey content.

Series VII (Agency Effectiveness);

Module VII-1: [Project Selection](#)

This module describes a process that an agency can use to choose projects that advance the agency's priorities and maximizes the agency's prospects for success.

Module VII-2: [Advice for New and Young Competition Agencies](#)

This presentation focuses on bolstering the capacity of new and young competition agencies, including the conduct of advocacy, staff training, and the use of guidelines.

Module VII-3: [Introduction to International Organizations](#)

This module gives a broad perspective on what international organizations such as the ICN, OECD, UNCTAD, World Bank, and others produce and how their products can be useful to a competition agency.

Other Projects

I. International Cooperation (ICN/OECD Joint Project)

ICN Report on OECD/ICN Questionnaire on International Enforcement Cooperation (2013)

This ICN report complements a report prepared by the OECD Secretariat. The OECD report discusses Questionnaire results on a broad range of topics, examining the experiences and limitations of competition agencies with international cooperation in case-related activities, as well as several OECD-specific questions. This ICN report focuses specifically on the ICN portion of the Questionnaire. The goal of the ICN-specific questions was to ascertain ICN members' views on the usefulness of existing ICN cooperation-related work, and on ICN members' needs and priorities for future ICN cooperation-related work. 57 competition agencies of ICN members has responded to the Questionnaire.

* Note: In April 2012, the ICN approved a Steering Group project on international enforcement cooperation. At roughly the same time, the Competition Committee of the Organization for Economic Cooperation and Development (OECD) agreed to begin its own study on cooperation. The ICN and the OECD conducted a joint survey to gauge the successes and weaknesses of current cooperation frameworks, and to seek members' view on possible future work.

(Other work products related to International Cooperation)

<Cartel Working Group>

- [Framework for the promotion of the sharing of non-confidential information \(continued operation\)](#)
- [Anti-Cartel Enforcement Manual Chapter 9: International Cooperation and Information Sharing \(2013\)](#)
- [Leniency waiver templates and explanatory note \(2014\)](#)
- [Charts Summarizing Information Sharing Mechanisms \(2012\)](#)
- [Cooperation Between Competition Agencies in Cartel Investigations \(2007\)](#)

<Merger Working Group>

- [Practical Guide to International Enforcement Cooperation in Mergers \(2015\)](#)
- [ICN's Framework for Merger Review Cooperation \(continued operation\)](#)
- [Waivers of Confidentiality in Merger Investigations \(2005\)](#)
- [Recommended Practices for Merger Notification & Review Procedures \(2002-2005\), \(10\) Interagency Enforcement Coordination \(2018\)](#)

II. Annual Conference Special Project

[Cartel Enforcement and Competition \(2018\)](#)

The project discusses the issues that India has faced in cartel enforcement, identifying the common underlying cartel-facilitating elements across sectors and to gauge the extent of stakeholder awareness and their perspectives on impact of the CCI decisions and policy/regulatory controls over markets. The project also aims at providing a brief factual matrix of various key aspects of cartel enforcement in ICN member jurisdictions.

[Government Advocacy and Disruptive Innovations \(2016\)](#)

For the 2016 Annual Conference, the Competition Commission of Singapore, with the assistance of the ICN Advocacy Working Group and other ICN member volunteers examined the Government Advocacy and Disruptive Innovations, focusing on (1) how ICN members have successfully advocated competition considerations to governmental and legislative entities , (2) the similarities and differences in the approaches taken by ICN members when advocating competition considerations to governmental and legislative entities , and (3) recommendations for advocating competition considerations to governmental and legislative entities with regard to disruptive innovations.

[Online Vertical Restraints \(2015\)](#)

For the 2015 Annual Conference, the Australian Competition and Consumer Commission examined the online vertical restraints, focusing on (1) resale price maintenance (RPM), (2) RPM facilitating conduct, (3) across platform parity agreements, (4) online sales bans or limitations, (5) geographic price discrimination. This report is based on the responses to a questionnaire submitted by competition authorities from 47 jurisdictions.

[State-Owned Enterprises and Competition \(2014\)](#)

currently unavailable pending website transition

For the 2014 Annual Conference, the Moroccan Competition Council examined the interaction between state-owned enterprises (SOEs) and competition law. This background report is based on the responses to a questionnaire submitted by competition authorities from 34 jurisdictions.

[Working with Courts and Judges \(2013\)](#)

For the 2013 Annual Conference, the Polish Office of Competition and Consumer Protection examined the relationship between national competition agencies and judiciary in order to find the most realistic ways in which the cooperation can be improved. Based on responses to the extensive questionnaire submitted by 45 ICN members two documents were prepared: collective information and executive summary.

[Report on Competition Enforcement and Consumer Welfare \(2011\)](#)

For the 2011 Annual Conference, the Netherlands Competition Authority examined the role of consumer welfare in competition enforcement across the global competition community and drafted a report based on the responses to a questionnaire completed by 57 competition authorities and 19 non-governmental advisors to competition authorities.

II. Annual Conference Special Project

Interface between Competition Policy and other Public Policies (2010)

currently unavailable pending website transition

For the 2010 Annual Conference, the Turkish Competition Authority examined the interface between competition policy and other public policies and prepared a summary report based on the responses to a questionnaire completed by competition authorities from 33 jurisdictions.

Competition Law in Small Economies (2009)

For the 2009 Annual Conference, the Swiss Competition Commission joined by the Israeli Antitrust Authority, examined competition law in small economies and drafted a report that describes responses to a questionnaire on the ways in which the size of an economy may affect the crafting, implementation or interpretation of competition law.

Abuse of a Superior Bargaining Position (2008)

For the 2008 Annual Conference, the Japan Fair Trade Commission led a 15 member task force to examine the treatment of an abuse of a superior bargaining position and prepared a summary report comparing legal frameworks and enforcement activities of such regulations in the jurisdictions that employ them.

Other Working Groups

I. Capacity Building / Competition Policy Implementation Working Group (2003-2007)

Competition and the Judiciary 2nd Phase Report - Case Studies (2007)

This paper analyzes the role of the judiciary and its interaction with competition authorities in the implementation of competition policy. Seven jurisdictions provided case studies for the report.

Findings Related to Technical Assistance for Newer Competition Agencies (2007)

This document summarizes the findings of the working group's study of what constitutes effective technical assistance. The findings include lessons learned about the design of a technical assistance program, the mix of activities employed, the absorptive capacity of the agency, and the types of advisors used.

An Assessment of Institutional Machinery: Methods Used in Competition (2007)

This paper examines experience with the design of the institutional machinery of competition policy to derive insights about techniques for implementation.

Lessons Learned from the Experience of Young Competition Agencies (2006)

This paper identifies the type of challenges young agencies experience and the measures young agencies have applied to address the challenges.

- **Lessons Learned from the Experience of Young Competition Agencies (2019)** Updated report, using the framework of the 2006 report, based on member agency survey.

Business Outreach by ICN members: Challenges and Case Studies (2006)

This report presents a range of activities undertaken by ICN member agencies to reach out to and engage businesses and business representative organizations and explore some of the challenges they faced in delivering these activities.

Report on Competition and the Judiciary (2006)

Competition goals, instruments and benefits are not always understood by society. To address the challenges faced by courts and competition agencies alike, the WG undertook a study on the relationship between competition agencies and the judiciary.

* Note: The Capacity Building / Competition Policy Implementation's work identified key elements that contribute to successful capacity building and competition policy implementation in developing transition economies.

I. Capacity Building / Competition Policy Implementation Working Group (2003-2007)

Competition Advocacy in Regulated Sectors: Competition Advocacy Review – Case Studies on Regulated Sectors (2005)

This report helps identify the different ways that competition agencies interact with regulators and how they go about their competition advocacy work using specific case studies.

Consumer Outreach and Effect of Institutional Structure (2005)

This report presents case studies of successful and unsuccessful consumer outreach and provides a brief discussion of the advantages and disadvantages of linking competition and consumer protection enforcement functions in a single agency.

Assessing Technical Assistance: Examining the Foundations of Successful Assistance (2005)

This paper seeks to answer three questions: 1) how the technical assistance needs of a developing or transition country competition agency can best be assessed; 2) which models of technical assistance work best at the various stages of an agency's development; and 3) if the impact of technical assistance can be measured, and if so, how it should be done.

Competition Advocacy in Regulated Sectors: Examples of Success (2004)

This report examines competition advocacy efforts in regulated sectors in member jurisdictions (with an emphasis on developing and transition economies) and provides several case studies and accompanying analyses, highlighting successful experiences and strategies.

Capacity Building and Technical Assistance: Building Credible Competition Authorities in Developing and Transition Economies (2003)

The report sets out examples of successful technical assistance and examines the circumstances in which different types of assistance are appropriate. It addresses how to build a case for competition law and policy in developing and transition economies; how to tackle the challenges that agencies in these countries have to confront; and how to enhance the effectiveness of technical assistance for capacity building.

II. Antitrust Enforcement in Regulated Sectors Working Group (2004-2005)

[An Increasing Role for Competition in the Regulation of Banks \(2005\)](#)

This paper reviews the recent history of banking regulation. It discusses the market failures banking is exposed to, their macroeconomic consequences, and common regulatory instruments introduced to address them. The report also examines the impact of recent liberalizations on market power in banking and competition issues.

[Best Practices: An Increasing Role for Competition in the Regulation of Banks \(2005\)](#)

These best practices are aimed at achieving a more competitive and more efficient banking industry through more extensive liberalization, appropriately designed regulatory institutions, a rigorous application of antitrust rules and competition advocacy.

[Interrelations Between Antitrust and Regulatory Authorities \(2005\)](#)

This report discusses the interrelation between antitrust and regulatory authorities, based on information supplied by a number of ICN member jurisdictions.

[Limits and Constraints Facing Antitrust Authorities Intervening in Regulated Sectors \(2004\)](#)

This report investigates the legal instruments developed by the different systems to ensure the prevalence of antitrust laws when in conflict with regulatory measures; and discusses when antitrust laws should prevail over conflicting norms.

[Enforcement Experience in Regulated Sectors \(2004\)](#)

The report analysed the influence of sector specific regulations on the enforcement activity of competition authorities and examined different categories of relationships between competition law enforcement and sectoral regulations and to illustrate the specificities of competition law enforcement in each category by looking at specific cases.

[Interrelations Between Antitrust and Regulatory Authorities \(2004\)](#)

The subgroup undertook studies about the division of labour between regulators and antitrust authorities with a focus on their degree of cooperation. The purpose of this interim report is to present the results of the subgroup's work.

* Note: The Antitrust Enforcement in Regulated Sectors WG described the limits and constraints facing antitrust authorities intervening in regulated sectors as well as the enforcement experience in regulated sectors, and examined the relations between antitrust authorities and sector regulators.

III. Telecommunications Services Working Group (2005-2006)

[Report on Telecommunication Services \(2006\)](#)

This report surveys competition policy in the telecommunications sector. Main areas of focus include technological advances, impediments to competition, and the interface between the competition authority and the sector-specific regulator. The report also contains examples of jurisprudence concerning anticompetitive activities in the telecommunications sector, as well as a selection of developing country case studies.

[The Role for Competition in the Telecommunications Services Sector: Suggested Best Practices \(2006\)](#)

The suggested best practices are a set of valuable lessons learned with respect to promoting and maintaining competition in the telecommunications sector.

Index of useful ICN Work Products

(1) Recommended Practices

Recommended Practices are the highest profile work of the ICN and non-binding aspirational statements that reflect international consensus. They represent sound analytical and procedural approaches and provide detailed commentary to assist members in reducing the recommendations to practice.

Advocacy Working Group

- Recommended Practices on Competition Assessment (2014)

Merger Working Group

- Recommended Practices For Merger Analysis (2008-2010)
- Recommended Practices on Efficiencies (2017)
- Recommended Practices for Merger Notification & Review Procedures (2002-2005)

Unilateral Conduct Working Group

- Recommended Practices on Predatory Pricing Analysis Pursuant to Unilateral Conduct Laws (2014)
- Recommended Practices for Dominance/Substantial Market Power Analysis (2008)
- Recommended Practices on State Created Monopolies (2008)

(2) Practical Tools

Practical Tools reflect different approaches used by ICN members. They are generally considered to be practices that work well in the jurisdictions where they are applied. They reflect good practice, and cannot necessarily be recommended for adoption by other ICN members.

Advocacy Working Group

- Framework of Competition Assessment Regimes (2015)
- Market Studies Guiding Principles Booklet (2017)
- Competition Advocacy Toolkit Part II (2012)
- Competition Advocacy Toolkit Part I (2011)

Agency Effectiveness Working Group

- Guidance on Investigative Process (2018)
- Annotated ICN Guidance on Investigative Process (2018)
- Guiding Principles for Procedural Fairness in Competition Agency Enforcement (2018)
- Competition Agency Practice Manual (updated in 2017)
 - Chapter 1: Strategic Planning and Prioritisation (2010)
 - Chapter 2: Effective Project Delivery (2012)
 - Chapter 3: Effective Knowledge Management (2014)
 - Chapter 4: Human Resources Management (2014)
 - Chapter 5: Competition Agency Evaluation (2016)
 - Chapter 6: Ethics Rules in Competition Agencies (2016)
- Competition Agencies Use of Social Media (2017)
- Competition Agency Staff Training Programmes (2017)

Cartel Working Group

- Anti-Cartel Enforcement Manual (updated in 2017)
 - Chapter 1: Searches, Raids and Inspections (2009)
 - Chapter 2: Drafting and Implementing an Effective Leniency Program (2014)
 - Chapter 3: Digital Evidence Gathering (2014)

- Chapter 4: Cartel Case Initiation (2010)
- Chapter 5: Investigative Strategy (2008)
- Chapter 6: Interviewing Techniques (2008)
- Chapter 7: Case Resolution (2011)
- Chapter 8: Cartel Awareness, Outreach and Compliance (2012)
- Chapter 9: International Cooperation and Information Sharing (2013)
- Chapter 10: Relationship between Competition Agencies and Public Procurement Bodies (2015)
- Compilation of Good Practices from the Anti-Cartel Enforcement Manual (2017)
- Checklist for efficient and effective leniency programmes (2017)
- Leniency waiver templates and explanatory note (2014)

Merger Working Group

- Merger Remedies Guide (2016)
- Practical Guide to International Enforcement Cooperation in Mergers (2015)
- Waivers of Confidentiality in Merger Investigations (2005)
- Guiding Principles for Merger Notification & Review Procedure (2002)
- Merger Guidelines Workbook (2006)
- Information Requirements for Merger Notifications (2009)
- Setting Notification Thresholds for Merger Review (2008)
- Defining Merger Transactions for Purposes of Merger Review (2007)

Unilateral Conduct Working Group

- Unilateral Conduct Workbook
 - Chapter 1: The Objectives and Principles of Unilateral Conduct Laws (2012)
 - Chapter 2: Analytical Framework For Evaluating Unilateral Exclusionary Conduct (2017)
 - Chapter 3: Assessment of Dominance (2011)
 - Chapter 4: Predatory Pricing Analysis (2012)
 - Chapter 5: Exclusive Dealing (2013)
 - Chapter 6: Tying and Bundling (2015)