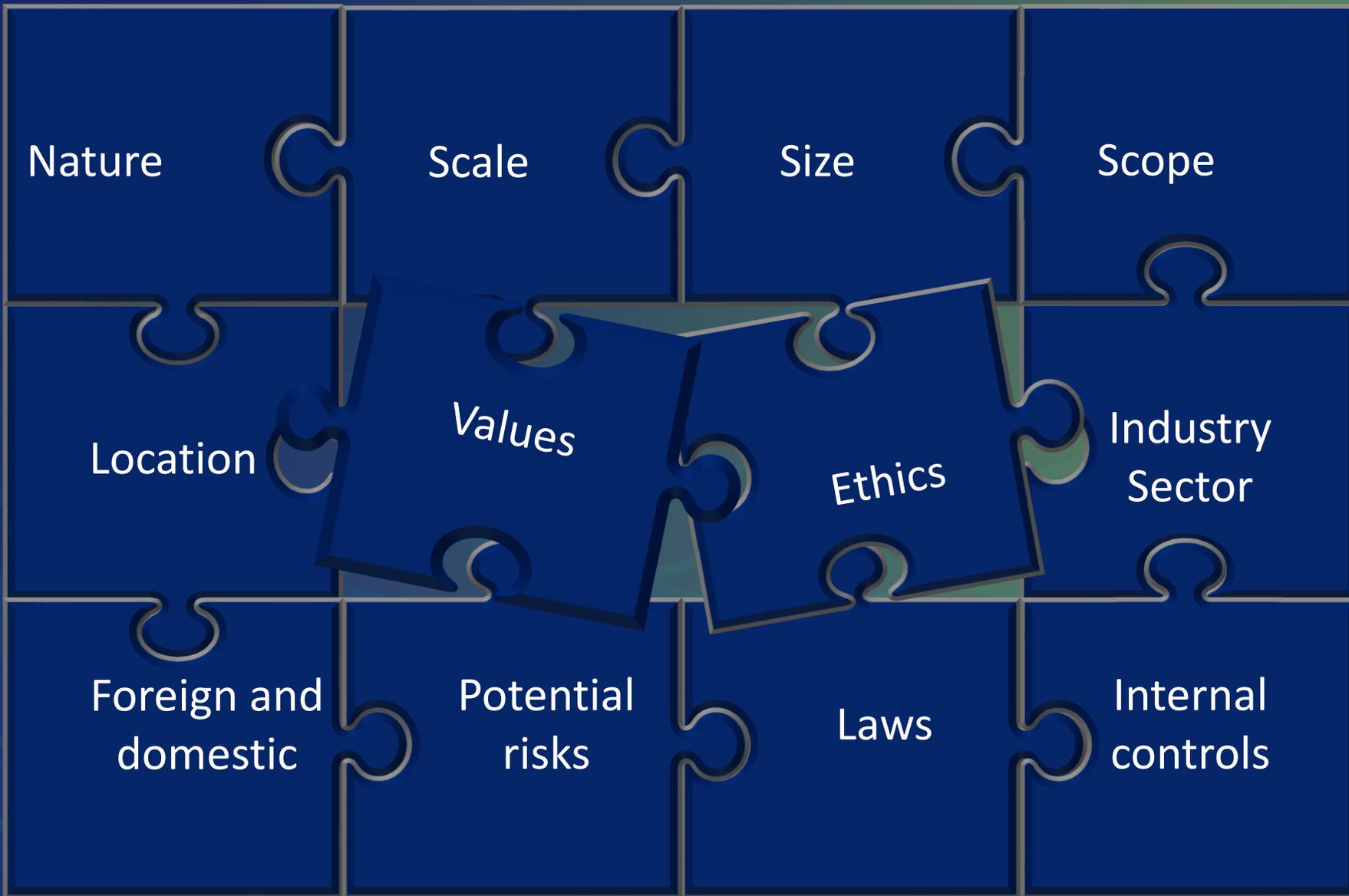


Assessing Integrity Risks: public sector organisations

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Control Environment



Culture



Policies and procedures



Designated compliance function
and oversight



Effective training, education,
communication



Internal monitoring and testing



Reporting and investigating



Enforcement and discipline



Response and prevention

The Program

Risk assessment

- Well designed program/program elements
- Risk management process
- Risk tailored resource allocation
- Updates and revisions
- Lessons learned

The Program

Policies and Procedures

- Design
- Comprehensiveness
- Accessibility
- Responsibility for operational integration
- Gatekeepers

The Program

Training and communication

- Risk based training
- Form, content, effectiveness of training
- Communications about conduct
- Availability of guidance

The Program

Confidential reporting and investigations

- Effectiveness of reporting mechanisms
- Properly scoped investigations – qualified personnel
- Response
- Resources and tracking of results

The Program

Third party management

- Risk based and integrated process
- Appropriate controls
- Management of relationships
- Real actions and consequences

The Program

Governance

- Conduct at the top
- Shared commitment
- Oversight
- Autonomy and resources
- Structure
- Seniority and stature
- Experience and qualifications
- Funding and resources
- Data resources and access
- Autonomy
- Outsourcing

The Program

Continuous improvement,
periodic testing and reviews

- Control testing
- Internal audit
- Evolving updates
- Culture of compliance
- Root cause analysis
- Prior weaknesses
- Prior indicators
- Remediation
- Accountability

Detection, prevention, remediation



From Pandemic to Recovery:
**Building Resilient Economies through
Transparency, Integrity, and Trust**

Thank you!

