

An abstract graphic on the left side of the slide showing two hands, one blue and one orange, intertwined and reaching upwards. The hands are rendered with a wavy, ethereal texture.

The Integrity Learning Series

The Integrity Learning Series: 3rd Integrated Capacity Development Training

Gerry Bautista
Senior Investigation Officer

20 November 2023

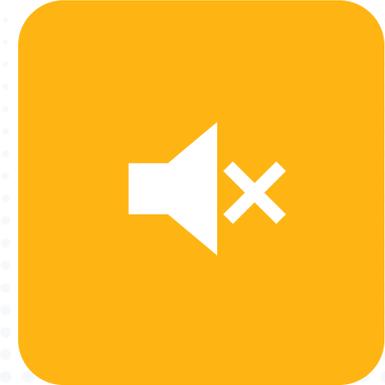
Reminders



Recording



Q&A



Mute PC when
not speaking

Objectives



Increase awareness of integrity risks and remedial actions



Refresh your knowledge of ADB's Integrity framework



Understand your role in the fight against corruption



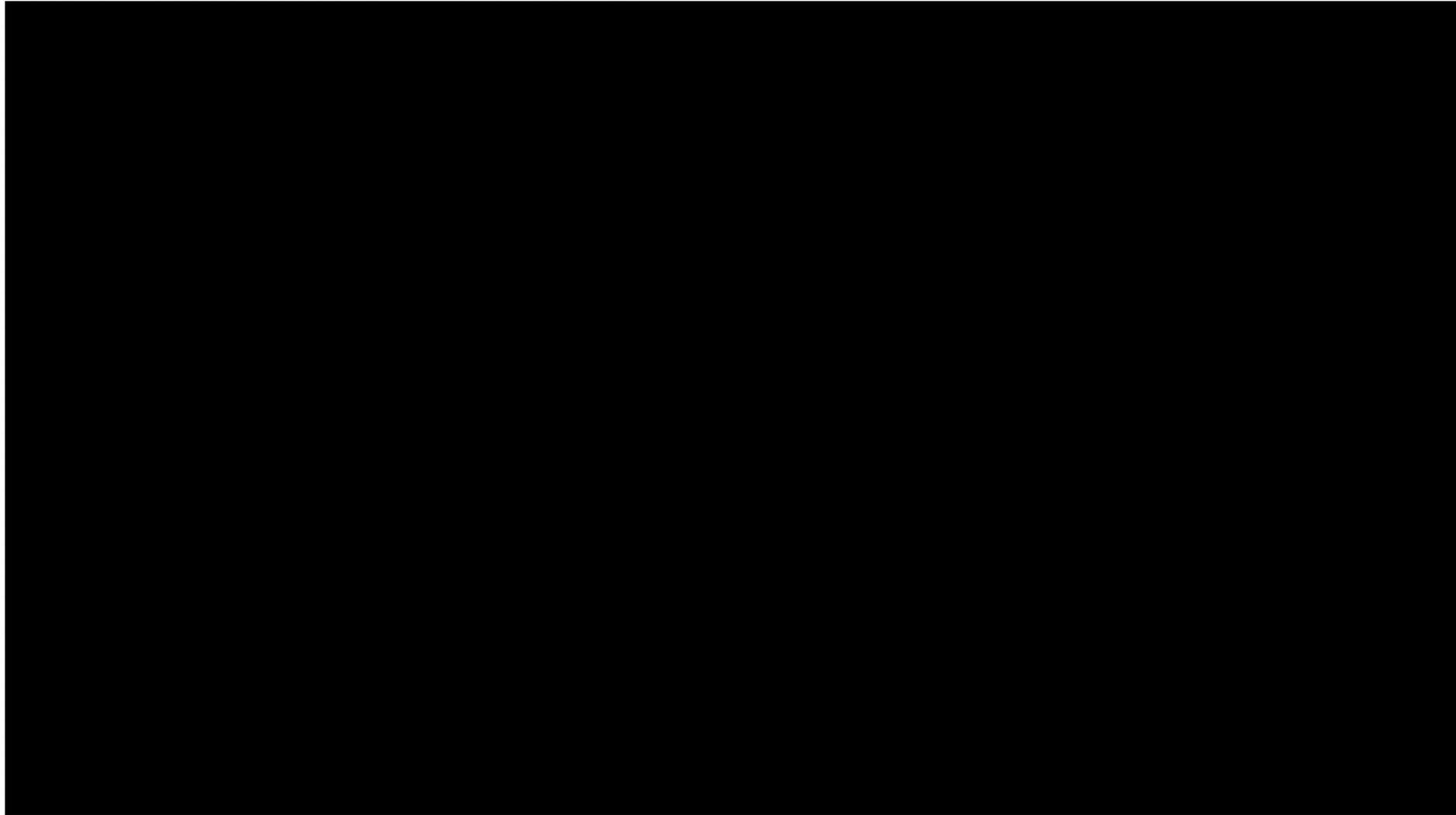
Corruption is the **single greatest obstacle** to economic and social development around the world.

Every year, **\$1 trillion** is paid in bribes, while an estimated **\$2.6 trillion** are stolen annually through corruption.

A sum equivalent to more than **5%** of the global GDP.

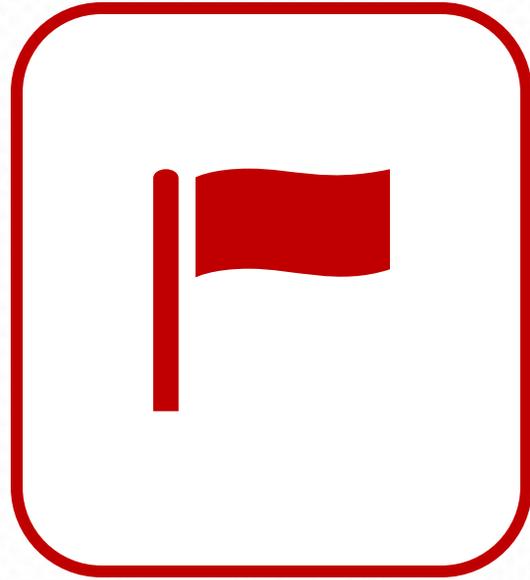
United Nations Security Council 10 September 2018

Integrity is everybody's business

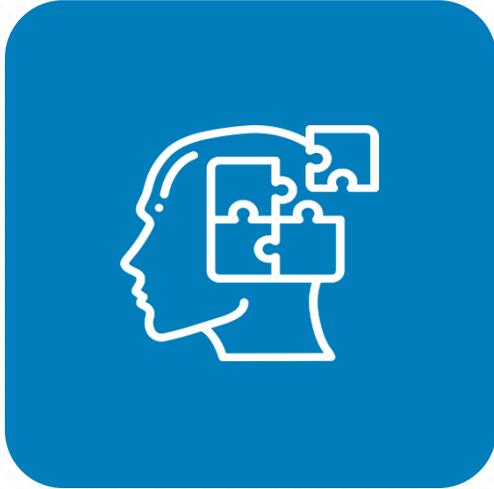


ADB's Anticorruption Framework





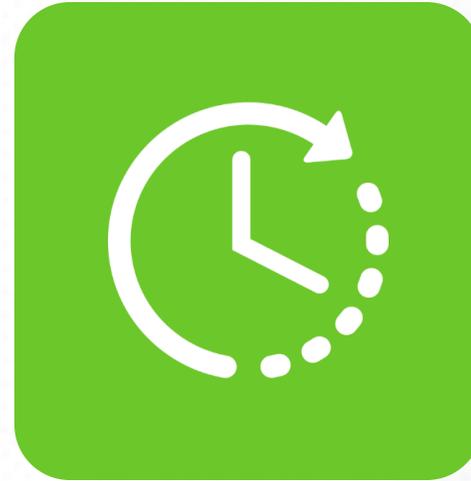
Be alert to the
red flags of
integrity risks.



WHY?



WHO?



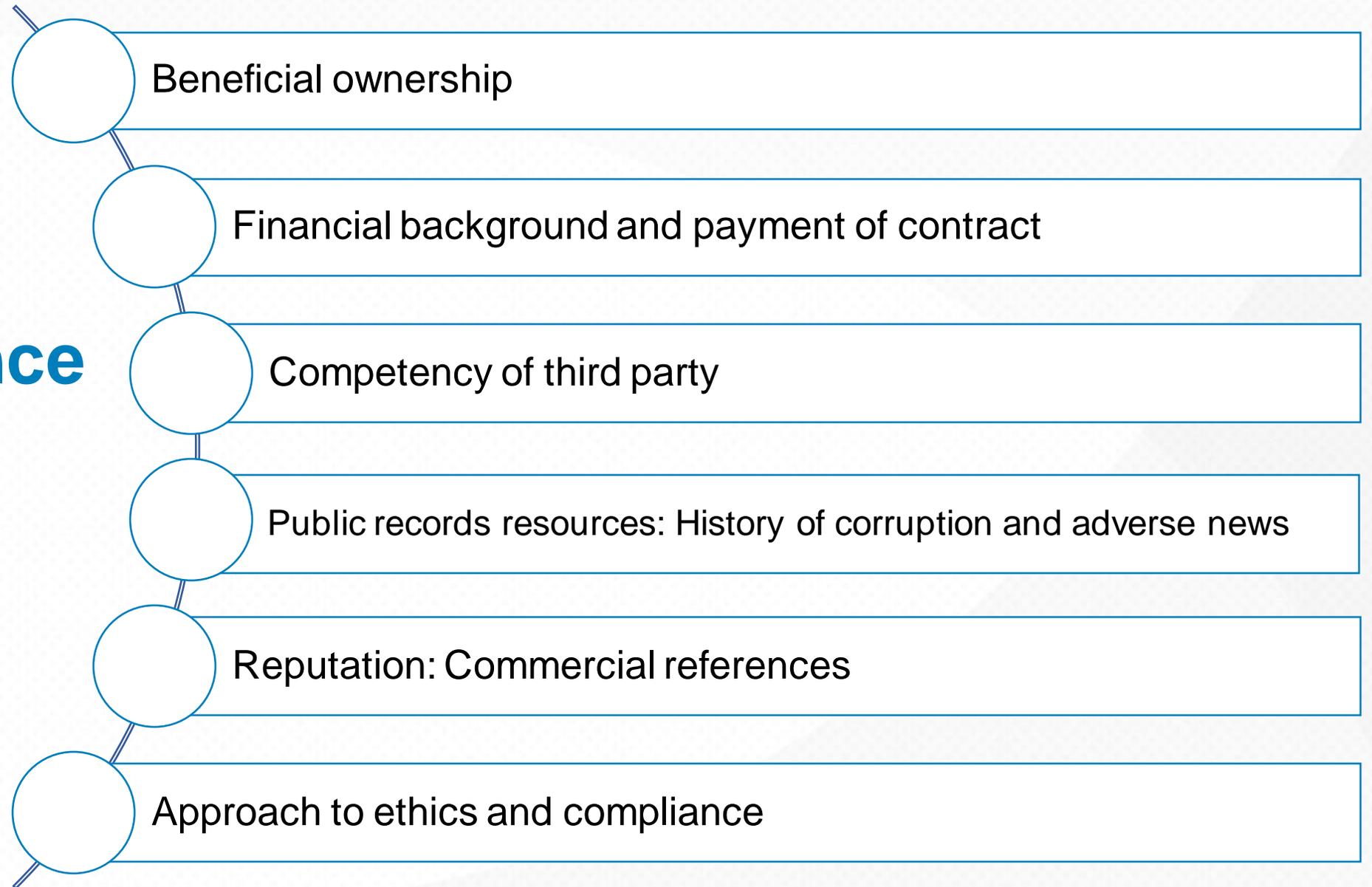
WHEN?

Project Implementation Processes

Procurement	Contract & Asset Management	Financial Management
<ul style="list-style-type: none">Bidding Prequalification; bidding documents preparation; and bid advertisement, submission, and openingBid evaluation Assessment of bidders' compliance with bidding requirements, and preparation and approval of evaluation reportContract award Post-bid evaluation activities until contract is awarded and signed	<ul style="list-style-type: none">Contract administration The management of the day-to-day practicalities and administrative requirements under the contractOutput monitoring Engagement with/supervision of contractors, consultants, and suppliers in relation to project outputsAsset control Safeguarding and maintenance of project assets including asset inventory	<ul style="list-style-type: none">Expenditure management Approval and processing of payments for project expendituresFinancial reporting Project accounting and auditing

These sub-processes reflect those assessed by OAI and do not necessarily reflect all sub-processes that exist within each process.

Due Diligence



Conducting Due Diligence: Sanctions Checks



Help your EA/IA understand their obligations

Sanctions List

The following page lists the entities sanctioned by the Asian Development Bank (ADB) and also those cross-debarred by ADB from other Multilateral Development Banks (MDBs). These entities are not eligible to participate in ADB-financed, -administered, or -supported activities for violating the specified Anticorruption Policy.

PUBLISHED LIST

Accessible to the public

Published List *(No Login Required)*

What you will see in the list:

- Sanctions violation while ineligible
- Second and subsequent violations
- Debarred entities who are uncontactable
- Cross debarred entities
- Subset of the complete list

[VIEW PUBLISHED LIST](#)

Complete List *(For authorized users only*)*

What you will see in the list:

- Published List
- First violations

This is a secure application operated by ADB for its official business. Only those given access to the application can access the list.

[VIEW COMPLETE LIST](#)

COMPLETE LIST

Password-protected, accessible to:

- ADB Staff
- BoD
- Parties with a “need to know”: international organizations, bilateral and government partners
- EAs and IAs

Requesting Access

Sanctions List

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This is a secure application operated by ADB for its official business. Only those given access to the application can access the list.

Are you a registered user?

[LOGIN](#)

Are you a qualified (non-ADB staff) user who needs access to the complete sanctions list?

[SIGN-UP](#)

Qualified users:

- Officially involved in an ADB-financed, -administered or -supported activity (e.g. Project Director, Deputy Project Director)
- Favorably endorsed by ADB Project Officer

If you have problems submitting the online application, please download the [Application Form](#), complete it and email to integrity@adb.org

[Sign up here](#)

[Manual form available](#)

<http://sanctions.adb.org>

Requesting Access

Apply for access to Asian Development Bank full sanctions list:

* - required fields

Your Name *	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
User Name / Password *	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<i>User Name</i>	<i>Password</i>	<i>Confirm Password</i>
Designation * <i>(i.e. Deputy Secretary / Proj Officer)</i>	<input type="text"/>		
Organization / Agency * <i>(i.e. name of Organization, Ministry, Employer, etc)</i>	<input type="text"/>		
Address *	<input type="text"/>		
Country *	<input type="text"/>		
Telephone Number *	<input type="text"/>		
Fax Number	<input type="text"/>		
Email Address *	<input type="text"/>		

In connection with this application, I confirm that:

I am involved in an ADB-financed, administered or supported activity in my capacity as:

Designation * <i>(i.e. Project Director etc)</i>	<input type="text"/>
Project(s) *	<input type="text"/>
ADB Loan number(s) *	<input type="text"/>

Project is being executed/implemented by:

Organization / Agency *	<input type="text"/>
-------------------------	----------------------

ADB Project Officer's contact information:

Project Officer *	<input type="text"/>
Officer's ADB Email *	<input type="text" value="@adb.org"/>
Information on why access is required	<input type="text"/>

Make sure to provide the name of an ADB project officer (and their email address) who can verify your involvement in the project

If granted access, I shall use the information in ADB Sanctions List exclusively in connection with the project identified above. I shall protect the confidentiality of the information and use it only for the purpose for which the access has been granted.

The information will be granted without prejudice to the privileges and immunities conferred on ADB and its officers and

Searches

Sanctions List

The following page lists the entities temporarily suspended and debarred by the Asian Development Bank (ADB), and those cross debarred by ADB in accordance with the Agreement for Mutual Enforcement of Debarment Decisions with other Multilateral Development Banks (MDBs). These entities are not eligible to participate in ADB-financed, -administered, or -supported activities.

Published Sanctions List

(No Login Required)

What you will see in the list:

- Sanctions violation while ineligible
- Second and subsequent violations
- Debarred entities (firms and individuals) who are uncontactable
- Cross debarred entities
- Subset of the complete list

[VIEW PUBLISHED SANCTIONS LIST](#)

Complete Sanctions List

(For authorized users only)*

What you will see in the list:

- Published Sanctions List
- First violations
- Temporary suspension

This is a secure application operated by ADB for its official business. Only those given access to the application can access the list.

[VIEW COMPLETE SANCTIONS LIST](#)

United Nations Security Council Sanctions



United Nations Security Council Sanctions

🏠 Welcome to the United Nations

عربي 中文 **English** Français Русский Español

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Sanctions

Members

Meetings

Documents

News

Home » About the Council » United Nations Security Council Consolidated List

United Nations Security Council Consolidated List

- [Technical actions](#)
- [Composition of the List](#)
- [Identifiers and acronyms in the List](#)
- [Individuals](#)
- [Entities](#)
- Mailing list Subscription

• [Search UN Security Council Consolidated Lists](#)

United Nations Security Council Consolidated List



Search function

Sanction Screening?

Procurement of Goods and Works - Stages



Procurement of Consulting Services



Mitigating Measures: Vulnerabilities in Bid Evaluation

Pre-bid meetings

Hands-on training

Accuracy and completeness of information in BERs/Submissions

Conflict of Interest

Letter of Bid

NOTE
The bidder must

Bid Submission Sheet

NOTES

1. The bidder must accomplish the Bid Submission Sheet and address.
2. To be used for Single-Stage

To: [insert complete name and address of bidder's complete name]

Date:

International Competitive Bidding (ICB) No.:

Invitation for Bid (IFB) No.:

Alternative No.:

[Insert identification no. if this is an alternative bid; if alternative bid is not permitted, delete this field]

Review bid/proposals to identify COI. BEC/CSC members should also ensure that they have no conflict with participating firms.

Red Flags



Mr. A, an expert with working relationship with the EA assisted in the RFP for a consultant selection.

Mr. A was one of the nominated experts of the winning consulting.



Mr. X, a director of a consulting firm hired to assist in the bidding activities was a key staff member of the winning firm.



ADB Irrigation and
Water Project

**BIDDING IS
NOW OPEN**

Bidder's Qualification

Form ELI – 1: Bidder's Information Sheet

Bidder's Information	
Bidder's legal name	
In case of a Joint Venture, legal name of each partner	
Bidder's legal address	
Bidder's constitution	

Information on incorporation documents, shareholders, owners and managers, authorized representative, JV partners, legal address, and country of constitution should be in order

Evaluation and Qualification Criteria

Form LIT – 1: Pending Litigation and Arbitration
Each Bidder must fill out this form if so required under Criterion 2.1.2 of Section 3 (Evaluation and Qualification Criteria) to describe any pending litigation or arbitration formally commenced against it.

In case of a Joint Venture:
Partner's name:
Joint Venture:
Form FIN – 2: Size of Operation (Average Annual Turnover)
Each Bidder must fill out this form.

The information supplied should be the Annual Turnover of the Bidder or each member of the amounts billed to the client and the amount received from the client at the end of exchange at the end of the year.
Form FIN – 1: Historical Financial Performance
Each Bidder must fill out this form.
In case of a Joint Venture:
Partner's name below:
Joint Venture:
In case of a Joint Venture:
Partner's name below:
Joint Venture:
This form should be filled out separately and provide the Joint Venture

Form EXP – 1: Contractual Experience
Fill out one (1) form per contract.

Contractual Experience	
------------------------	--

Form EXP – 2: Technical Experience
Fill out one (1) form per contract.

Technical Experience	
Name of Product:	

Should meet the bid qualification requirements

Red Flags



Bidder's experience



Photocopied bidder's invoices. No official receipt, etc.

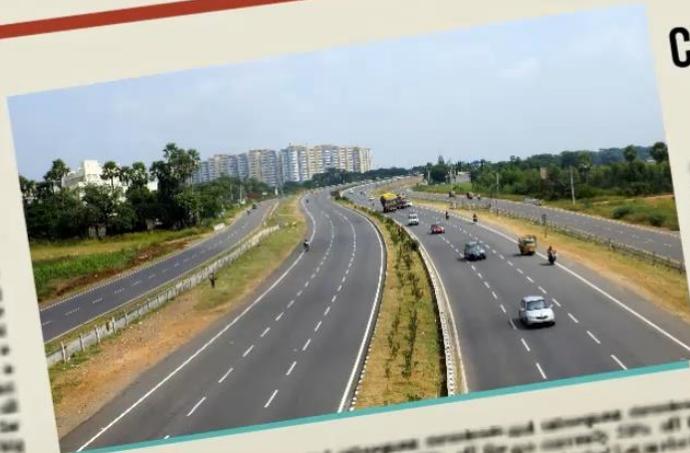


Translation of supporting documents.

Invitation For Bids

Contract No. and Title:
ICB No-XA/EA/1A/C2

Bidding Announcement



We hope you all had a nice holiday season and a big congrats to all of our people that returned to work. Thank you all for your support. We are excited to have you all back and a lot of fun to be a part of the all the staff. We are excited for your next chance to bid big with some exciting great projects.

New Download Feature
We have some exciting updates that we wanted to let you know about. The first one will go over to the new and highly anticipated download feature. Now you can easily download your documents and upload them

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We have some exciting updates that we wanted to let you know about. The first one will go over to the new and highly anticipated download feature. Now you can easily download your documents and upload them to your files. We are excited to see how you use this new feature. It is a great way to keep your files organized and easy to find. We are excited to see how you use this new feature. It is a great way to keep your files organized and easy to find.

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Bill of Quantities/List of Goods and Related Services

1. List of Goods and Related Services

The purpose of the List of Goods and Related Services (LGRS) is to briefly describe the quantity of each of the Goods and Related Services that the Purchaser requires the Bidder to supply. As a part of the Schedule of Supply, the LGRS constitutes a Contract document and is a part of the Contract. The Purchaser must prepare the LGRS and include it as a part of the Schedule of Supply.

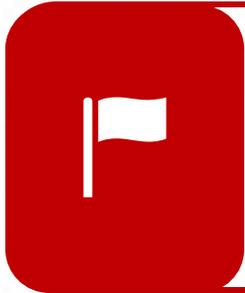
If the Goods and Related Services are grouped in lots, the Purchaser must state whether Bidders are permitted to submit Bids for individual lots or not.

[Alternative 1. Insert: "The Goods and Related Services are grouped in lots. Bids on individual lots are not permitted. Only Bids for the lots will be accepted."]

[Alternative 2. Insert: "The Goods and Related Services are grouped in lots. Bidders shall have the option of submitting bids for one, any combination, or all of the lots. Lots shall not be further subdivided for the purpose of bidding."]

BOQ/LGRS and bidding documents should be authentic

Red Flag



Errors. Spelling mistakes.

Forged or false information.

Proposed Personnel/Experts

FORM TECH-6B

[Note to Consultant: Each Curriculum Vitae (CV) should have a maximum of five pages]

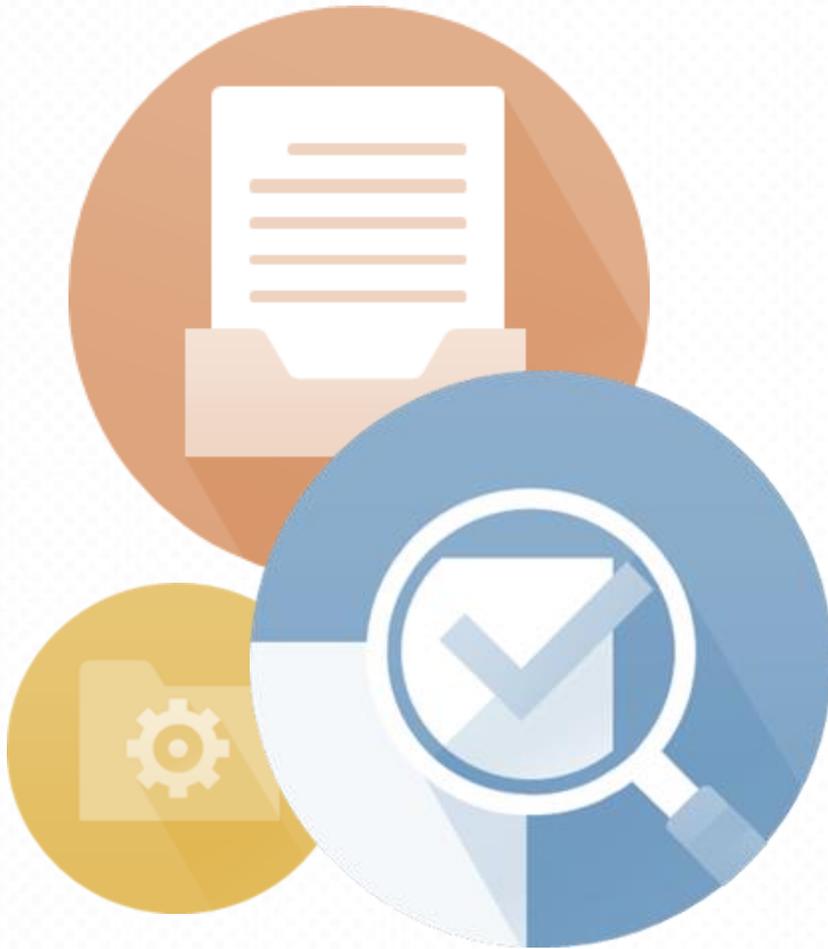
CURRICULUM VITAE (CV) FOR INTERNATIONAL OR NATIONAL EXPERTS

1. I understand that any willful misstatements made herein may lead to my disqualification or dismissal, if engaged.

2. _____ Date: _____
Expert or authorized representative of the firm]⁹ Day/Month/Year

Full name of authorized representative

Proposed personnel/experts should be aware and available



Integrity Violations

Assess and Investigate

Remedial Actions

Cross Debarment

Appeal Process

Invitation For Bids

Contract No. and Title:
ICB No-XA/EA/1A/C2

Bidding Announcement



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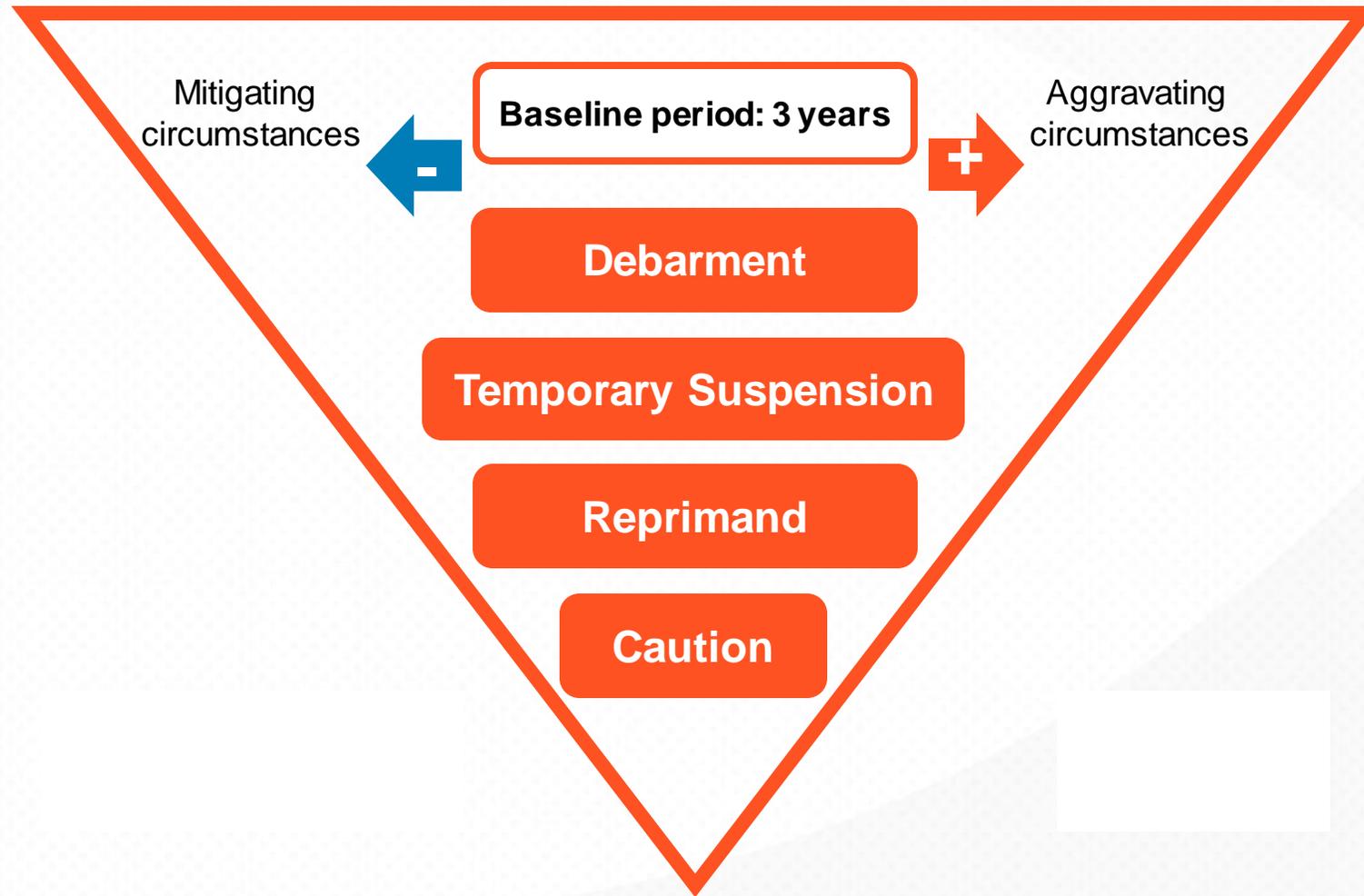
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Remedial Actions



Additional Consequences of Integrity Violations in ADB-financed Projects



Suspension of the loan or grant allocations

Termination of loan or grant allocations

Return of misused loan or grant resources back to ADB

Changes of administrative arrangements

Request to investigate or change government staff

Cross debarment



Impact While Under Sanction

Current contacts



**MAY
CONTINUE**

Contract variations



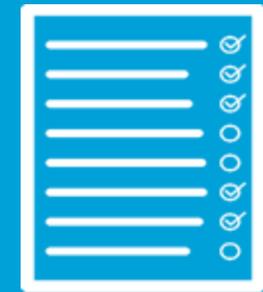
**OAI
APPROVAL**

Reinstatement



NOT AUTOMATIC

Future tenders



NOT PERMITTED

Recap



Takeaways



Integrity violations



Sanctions Lists



Due diligence

Resources

Frequently Asked Questions on ADB Sanctions

ADB

Integrity Risks and Red Flags Series
For ADB project teams and executing and implementing agencies

Scan the QR code or visit bit.ly/ADBintegritylessons

ADB eLEARN

Detecting and Preventing Integrity Violations in ADB Projects

Take the course now!

Visit bit.ly/ADB-DPIV

Questions?

Evaluation



Scan

Office of Anticorruption and Integrity



www.adb.org/integrity



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@adb_oai



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ADB Anticorruption and Integrity



Report integrity violations :

<https://www.adb.org/integrity/report-violations>

