



Office of Anticorruption and Integrity

The Integrity Learning Series

Indonesia: Anticorruption and Integrity Training

Jonathan Helliwell
Senior Integrity Specialist

Elsa Ronterre
Integrity Specialist

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Jakarta, Indonesia

Reminders



Safe and confidential environment for learning and sharing.



No penalties for asking questions or for incorrect answers.



Interact – the more you put in, the more you take away.



For Mentimeter, scan the QR Code or type menti.com.

Case Study 1:

You find a wallet on the street. It has the owner's ID and \$1,000. What would you do?

Would you:

1. Keep the money: “Finders keepers!”
2. Turn in the wallet intact to the Lost and Found counter.
3. Contact the owner using the ID to return the wallet.



Scan the QR Code or go to menti.com
and enter code **3914 1440**

What to expect

- I. ADB's Anticorruption and Integrity Framework
- II. Integrity Violations
- III. Enforcement Actions and Impact
- IV. Recognizing and Reducing Risks

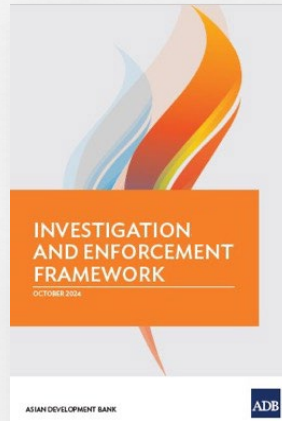
I. ADB's Anticorruption and Integrity Framework

ADB's Anticorruption and Integrity Framework

Policies and procedures apply to **executing and implementing agencies, contractors, consultants, suppliers, ADB staff, and anyone connected to an ADB-financed, -administered, or -supported activity.**



<https://www.adb.org/documents/anticorruption-policy>



<https://www.adb.org/documents/investigation-enforcement-framework>



II. Integrity Violations

Quiz



Scan to participate

Or go to **menti.com**
and enter code
3914 1440



Rural Roads Rehabilitation Project

Project Director



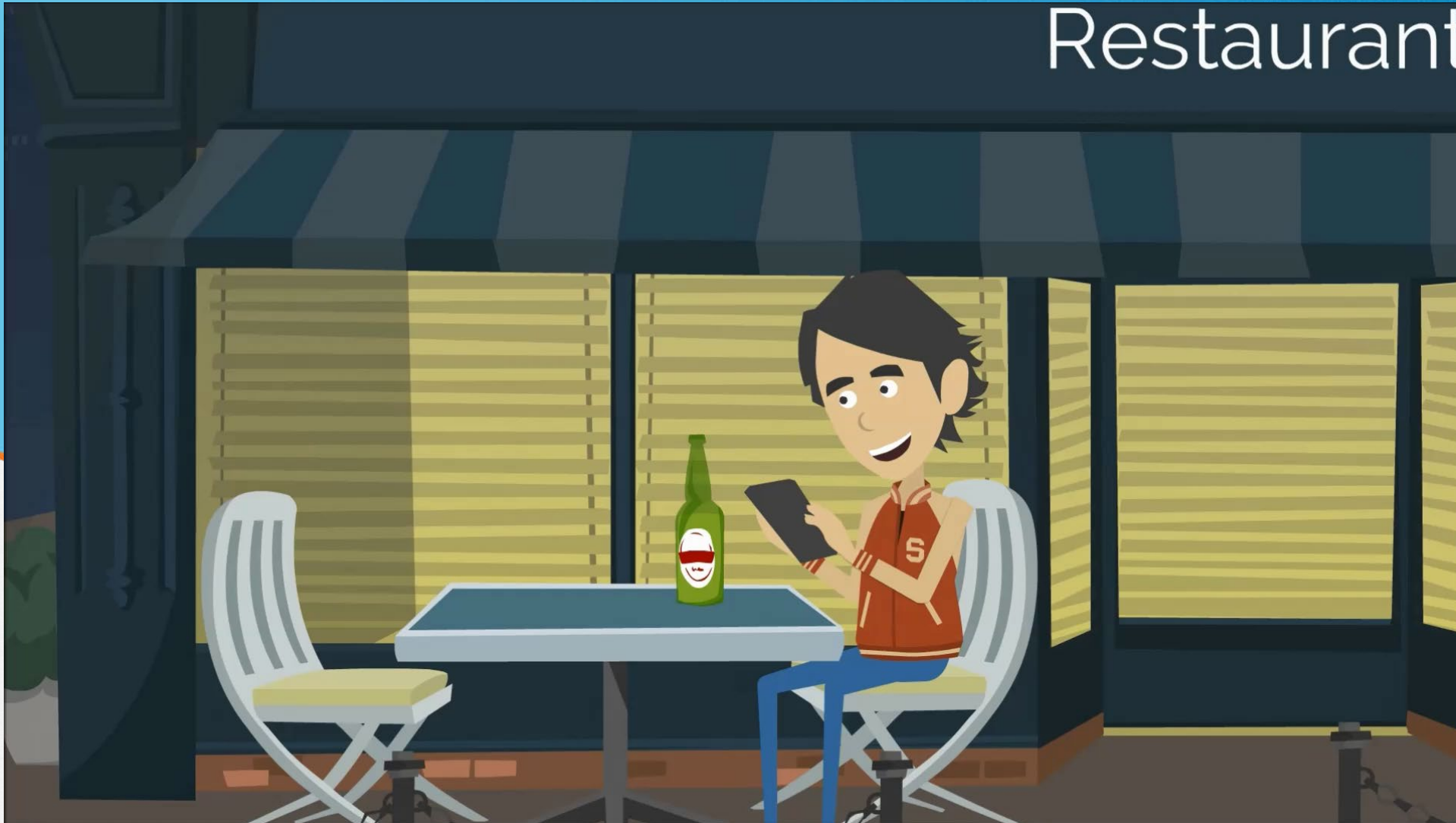
ADB Irrigation and Water Project **BIDDING IS NOW OPEN**



Failure to disclose
and manage a
conflict of interest



Restaurant



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 flight staff. However, we are not a company for making it such a wonderful success and a lot of this is for a part of the all the staff. They need the great work chance to win big with some exciting opportunities.

New Download Feature We have some exciting updates that we wanted to update that you guys know about. The first one I will go over is the new and highly anticipated download feature. You can now download your own stuff and upload them to your site. It's very

and interesting. We have some exciting updates that we wanted to update that you guys know about. The first one I will go over is the new and highly anticipated download feature. You can now download your own stuff and upload them to your site. It's very

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of course you have selected the video you would like to download. Underneath it, you will see a large orange button that says "Download this video". This is the button you will want to click. There is a box for the video and it shows the video. However, the first download is automatically 10% off. In subsequent downloads, we are currently 10% off the normal price. Let us know first to tell you that the quality is CRUISELAND. The video is stored in 1080p, 1080x720, 60fps, 20 frames/s with AAC the audio. It's very





Integrity Violations

MDB-Harmonized Definitions



Fraud



Corruption



Collusion



Coercion



Failure to disclose
and manage a
conflict of interest



Abuse



Obstruction



Retaliation Against
Whistleblowers
or Witnesses



**Violation of
Debarment**



Failure to Adhere to
the Highest Ethical
Standards

III. Enforcement Actions and Impact

- Consequences of Integrity Violations in ADB-supported Projects
- Enforcement and Disclosure Actions
- Impact While Under Debarment

Consequences of Integrity Violations in ADB-financed Projects



Debarment of firms and individuals



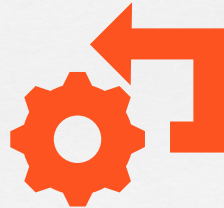
Suspension of the loan or grant allocations



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



Enforcement and Disclosure Actions



Debarment



Debarment
with conditional reinstatement



Conditional Non-
Debarment



Reprimand



Restitution and / other
financial remedies

Impact While Under Debarment

Current
contacts



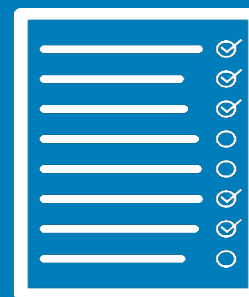
**MAY
CONTINUE**

Contract
variations



**OAI
ENDORSEMENT**

Future tenders



NOT PERMITTED

Reinstatement



NOT AUTOMATIC

IV. Recognizing and Reducing Integrity Risk

- **Red Flags**
- Due Diligence

What is Integrity Risk?

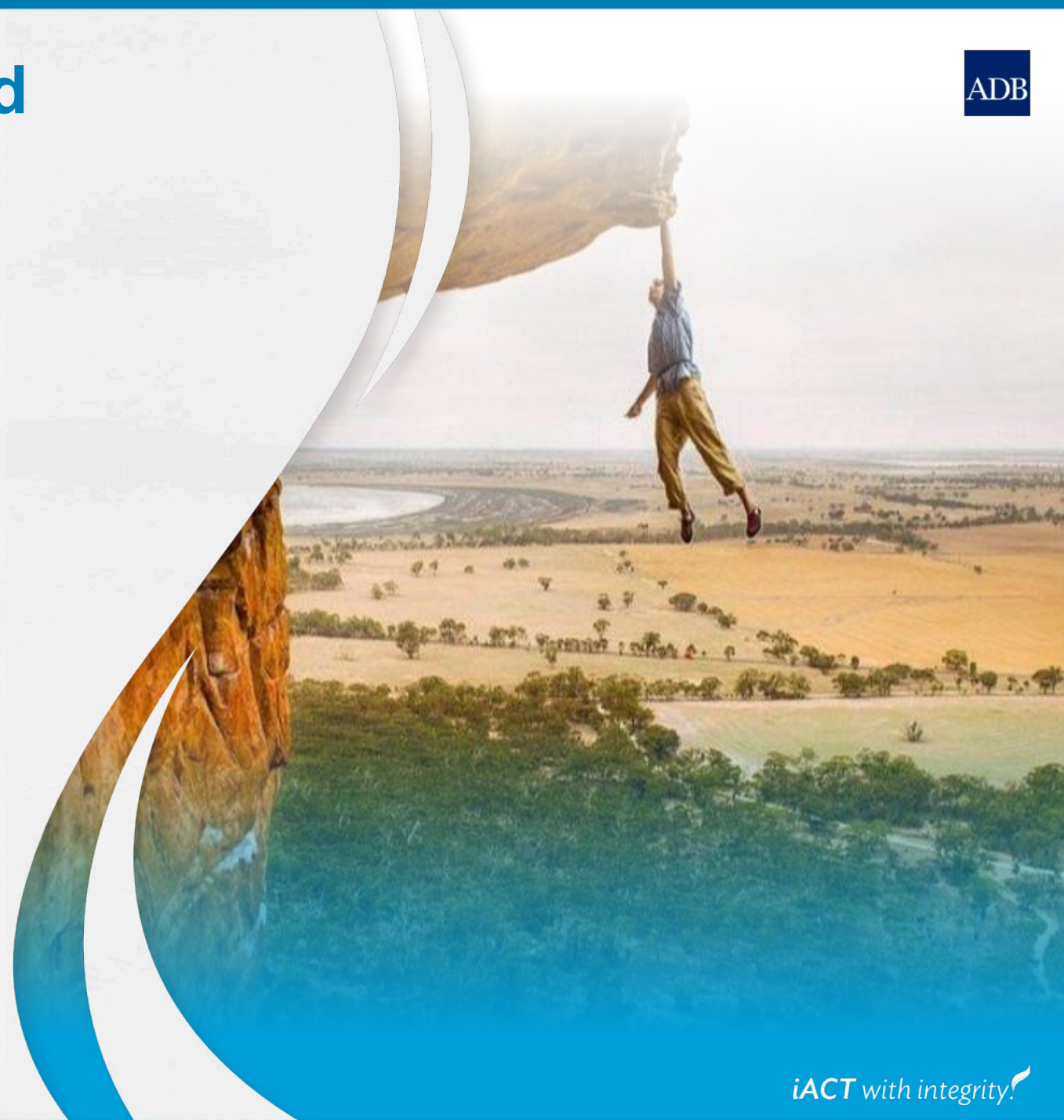
Integrity Risk

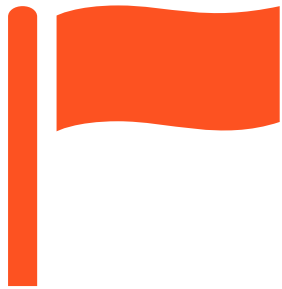
is the risk that a person or entity involved in ADB activities is implicated in financial or other ethical misconduct, resulting in potential adverse impacts on ADB.



How is Integrity Risk related to Reputational Risk?

- ADB and its partners rely on a strong reputation to fulfill their development mandate
- Reputational risk arises when stakeholders or communities lose confidence in ADB's integrity and effectiveness
- Association with individuals involved in financial or ethical misconduct—even outside ADB activities—can harm our reputation











Be alert to the
red flags of
integrity risks.

Project Implementation Processes



Procurement

-  **Bidding**
Prequalification; bidding documents preparation; and bid advertisement, submission, and opening
-  **Bid evaluation**
Assessment of bidders' compliance with bidding requirements, and preparation and approval of evaluation report
-  **Contract award**
Post-bid evaluation activities until contract is awarded and signed

Contract & Asset Management

-  **Contract administration**
The management of the day-to-day practicalities and administrative requirements under the contract
-  **Output monitoring**
Engagement with/supervision of contractors, consultants, and suppliers in relation to project outputs
-  **Asset control**
Safeguarding and maintenance of project assets including asset inventory

Financial Management

-  **Expenditure management**
Approval and processing of payments for project expenditures
-  **Financial 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.

Red Flags in Bidding

🚩 Ineligible bidders

In a rebidding, the bid evaluation committee decided that three suppliers were substantially responsive to the bidding requirements. ⚠️

However, ADB had **debarred** two of these suppliers. ⚠️

The remaining supplier (i) appeared to be **related** to the two debarred suppliers, (ii) purchased bidding documents on the day of the bid submission deadline, and (iii) submitted a bid to create an illusion of competition. ⚠️

🚩 Leakage of Confidential Information

Negotiations between the project management unit and the supplier were initiated 2 months before quotations from other suppliers were sought. ⚠️

Red Flags in Bid Evaluation

Financial Capacity



Outdated financial statements were submitted to support bidder's financial capacity.

Financial statements from different years have identical data.




Value of a bidder's cash and cash equivalents declared in the bidding form was higher than the value in the submitted audited financial statements.



Unaudited financial statements were accepted without first confirming whether the laws in the bidders' countries or jurisdictions required audited statements.



Unsupported credit lines.
Different bidders having identical credit lines. 

Red Flags in Bid Evaluation

Pending Litigation



Bidder did not disclose its pending litigation as indicated in the notes to the financial statements. ⚠

Personnel



Using personnel from debarred entities.
More on the next slide... ⚠

Fake CVs or credentials



Case Study 2

- A government agency recently advertised an invitation to bid for an ADB-financed construction of a hydroelectric dam.
- The head of the bid evaluation committee accompanied one of the potential bidders to visit the site where the dam will be constructed.
- This site visit was not announced beforehand. In addition, the site visit and the discussions were not recorded, nor were they shared with other potential bidders.



Case Study 2 (Continuation)

Which of these are red flags of Collusive Practice?
Select the best answer.

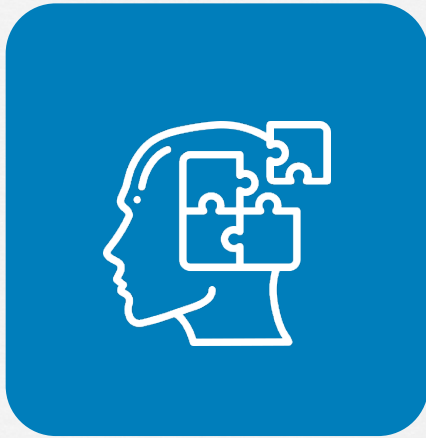
1. A site visit was conducted without prior announcement by the bid evaluation committee.
2. The site visit and discussions made during the site visit were not recorded.
3. The site visit and discussions made during the site visit were not shared with other potential bidders.
4. All of the above.
5. None of the above.



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menti.com and enter code **3914 1440**

IV. Recognizing and Reducing Risk

- Red Flags
- **Due Diligence**



WHY?



WHO?



WHEN?



WHAT?

Factors in Conducting Due Diligence



Beneficial ownership



Financial background
and payment of contract



Competency of third party



Public records resources:
History of corruption
and adverse news

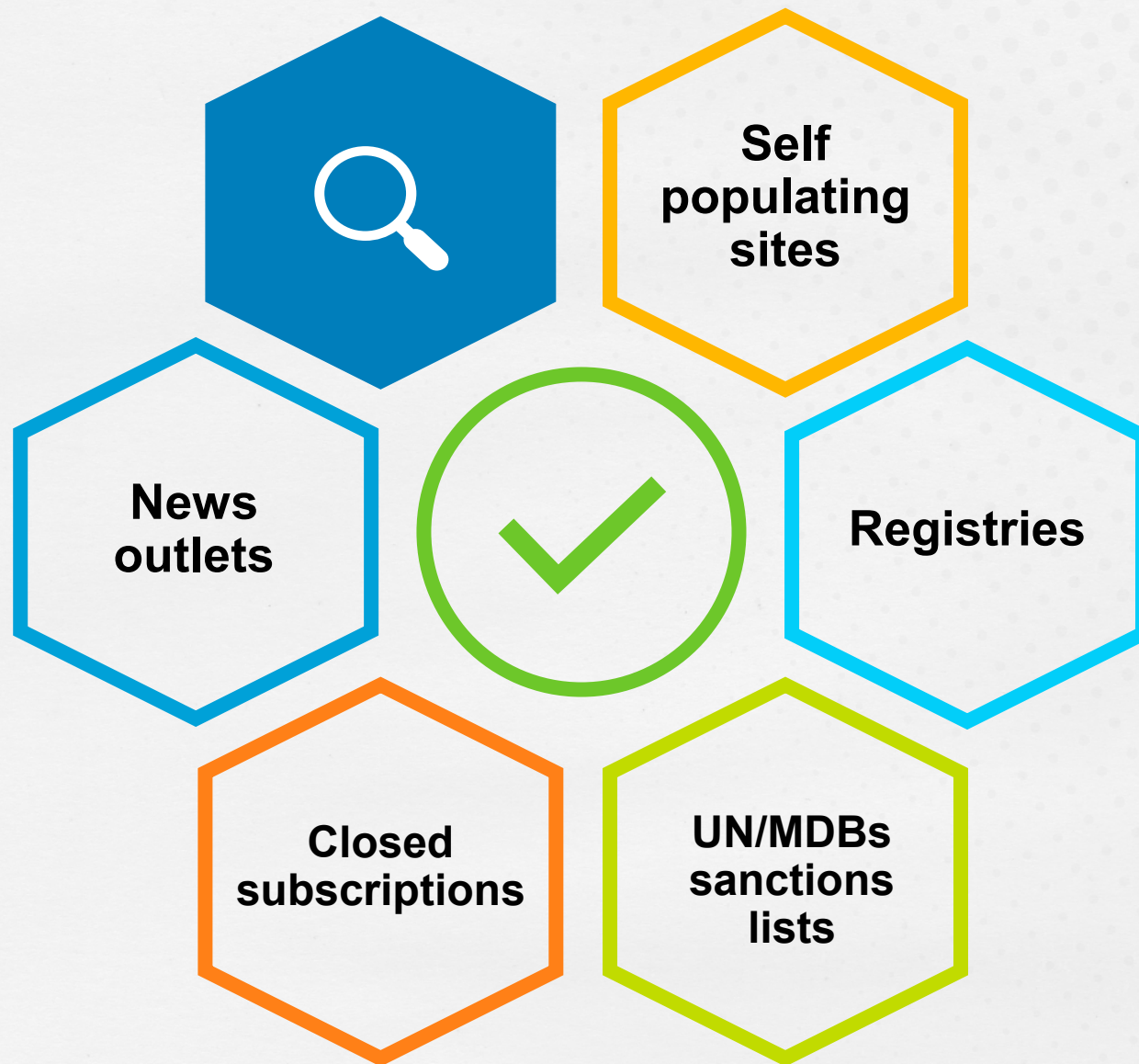


Reputation:
Commercial references



Approach to ethics
and compliance

Due Diligence: Sources



Conduct Due Diligence



Potential Risk Flags



Bribery, corruption



Fraud, embezzlement



Money laundering, terrorist financing



Criminal convictions



Illegal or disreputable activities



Use:

Specific Keywords

Jonathan vs Jonathan **Indonesia engineer**

And

“road construction” **AND** “environmental impact”

Quotation Marks

“Indonesia water project”

Or

education **OR** training

Minus Operator (-)

“bridge construction projects” **-** “toll bridges”

More Search Techniques



Asterisk (*)
as a wildcard



Site-specific
searches



Advanced
search options



Related
searches



Time filters



Google Scholar



Reverse image
search

Debarment and Suspension Checks

 <http://sanctions.adb.org>

ADB Debarment and Suspension Register

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 LIST

Accessible to the public

NO LOGIN REQUIRED

Publicly Disclosed Debarment or Suspension

[View Publicly Disclosed Debarment or Suspension](#)

What you will see in this subregister:

- Debarments that have institutional considerations
- Debarments associated with the violation of a previous debarment
- Second and subsequent debarments
- Debarred entities (firms and individuals) who are uncontactable
- Cross debarred entities
- Subset of the ADB Debarment and Suspension register

AUTHORIZED USERS ONLY

Complete ADB Debarment and Suspension Register

[View Non-Publicly Disclosed Debarment](#)

What you will see in the register:

- Published Debarments
- Non-published Debarments
- Temporary suspension

How do I get access to this list?

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

1. For registered users, please proceed by [Login](#).
2. If you're a [qualified user](#) requiring access to the complete sanctions list, please [Sign Up](#).
3. If you have problems submitting the online application, please download the [Application Form](#), complete it and email to integrity@adb.org.

Other Information

Application ▾

Temporary Suspension ▾

Debarment

Contract

COMPLETE LIST


Password-protected, accessible to:

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

Remind your EAs/IAs to sign-up!

Sign up by visiting the site or scanning the QR code.



 <https://sanctions.adb.org/>

ADB Debarment and Suspension Register

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-related activities. ADB-related activity means an activity that ADB is, or is considering, directly or indirectly, financing, administering, or supporting.

NO LOGIN REQUIRED

Publicly Disclosed Debarment or Suspension

[View Publicly Disclosed Debarment or Suspension](#)

What you will see in this subregister:

- Debarments that have institutional considerations
- Debarments associated with the violation of a previous debarment
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3. If you have problems submitting the online application, please download the **Application Form**, complete it and email to integrity@adb.org.

Other Information

Application	▼
Temporary Suspension	▼
Debarment Period	▼
Contract Variations	▼

Sign-up here

Manual form available

Sign up: ADB Debarment and Suspension Register



ADB

ASIAN DEVELOPMENT BANK

Home

ADB Debarment and Suspension Register

Resources

Other Sanctions Lists

Contact Us

Login

Sign Up

Application Form

Apply for access to Asian Development Bank full sanctions list:

Your Name*

First name

Middle name

Last name

Email Address*

Designation*

Organization / Agency*

I.e. Deputy Secretary / Proj Officer

I.e. Organization, Ministry, Employer, etc

Address*

Country

Select a country

Telephone Number*

In connection with this application, I confirm that: I am involved in an ADB-financed, administered or supported activity in my capacity as:

Designation for this project*

I.e. Project Director etc

Project(s)*

ADB Loan number(s)*

Project is being executed/implemented by:

Organization / Agency*

ADB Project Officer's contact information:

Project Officer*

Project Officer's ADB Email*

Information on why access is required

If granted access, I shall use the information in ADB Debarment and Suspension Register 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 employees by the Agreement Establishing the Asian Development Bank and other applicable sources of law. ADB reserves the right to invoke its privileges and immunities at any time with respect to the information provided and in any administrative or other proceedings.

☐ Accept Term

Make sure you fill in the name and email address of an ADB project officer who can verify your involvement in the project

Indonesia: Anticorruption and Integrity Training

INTERNAL. This information is accessible to ADB Management and Staff. It may be shared outside ADB with appropriate permission.


iACT with integrity!

42

United Nations Security Council Sanctions: Obligations



United Nations Security Council Sanctions

 **United Nations**

Security Council

EN X SEARCH

Search

FORCES DEMOCRATIQUES DE LIBERATION DU RWANDA

United Nations Security Council Consolidated List

- 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

List in alphabetical order

PDF

Xml

Html

List by Permanent Reference Number

Pdf

Xml

Html


The Consolidated List includes all individuals and entities subject to measures imposed by the Security Council. The inclusion of all names on one Consolidated List is to facilitate the implementation of the measures, and neither implies that all names are listed under one regime, nor that the criteria for listing specific names are the same. For each instance where the Security Council has decided to impose measures in response to a threat, a Security Council Committee manages the sanctions regime. Each sanctions committee established by the United Nations Security Council therefore publishes the names of individuals and entities listed in relation to that committee as well as information concerning the specific measures that apply to each listed name.

The current version of the Consolidated List is provided in .xml, .html and .pdf formats. Member States are obliged to implement the measures specific to each listed name as specified on the websites of the related sanctions committee.

For all comments and questions concerning all sanctions lists, including the United Nations Consolidated List, kindly contact the Secretariat via the email address: sc-sanctionslists@un.org.

To save this page as a PDF document 1) click the 'Print to PDF' button 2) Select desired printer Save to PDF or the option that your system provides 3) click the print button 4) Select the destination in your machine to save the pdf document

Print to PDF

 United Nations Security Council Consolidated List

Generated on: 31 July 2024

Generated on refers to the date on which the user accessed the list and not the last date of substantive update to the list. Information on the substantive list updates are provided on the Council / Committee's website.

Composition of the List

The list consists of the two sections specified below:

Individuals

Entities and other groups

Information about de-listing may be found at:
<https://www.un.org/securitycouncil/ombudsperson/for res. 1267>
<https://www.un.org/securitycouncil/sanctions/deleting/for other Committees>
<https://www.un.org/securitycouncil/content/2231.list/for res. 2231>

Individuals

Di.001 Name: 1. ERIC 2. BADEGE 3. na 4. na
Title: na **Designation:** na **DOB:** 1971 **POB:** Good quality a.k.a.: na **Low quality a.k.a.:** na **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** Rwanda as of early 2016 **Listed on:** 31 Dec. 2012 (amended on 13 Oct. 2016) **Other information:** He fled to Rwanda in March 2013 and is still living there as of early 2016. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals> [click here](#)

Di.002 Name: 1. FRANK KAKOLELE 2. BWAMBALE 3. na 4. na
Title: na **Designation:** FARDC General **DOB:** na **POB:** Good quality a.k.a.: a) FRANK KAKORERE b) FRANK KAKORERE BWAMBALE c) AIGLE BLANC **Low quality a.k.a.:** na **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** Kinshasa, Democratic Republic of the Congo (as of June 2016) **Listed on:** 1 Nov. 2005 (amended on 13 Oct. 2016) **Other information:** Left the CNDP in January 2008. As of June 2011, resides in Kinshasa. Since 2010, Kakolele has been involved in activities apparently on behalf of the DRC government's Programme de stabilisation et Reconstruction des Zones Sortant des Conflits Armés (STAREC), including participation in a STAREC mission to Goma and Beni in March 2011. DRC authorities arrested him in December 2013 in Beni, North Kivu Province, for allegedly blocking the DDR process. He left the DRC and lived in Kenya for some time, before being called back by the DRC Government to assist them with the situation in the territory of Beni. He was arrested in October 2015 in the area of Mambasa for allegedly supporting a Mai Mai group, but no charges were brought and as of June 2016, he lived in Kinshasa. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals> [click here](#)

Di.003 Name: 1. GASTON 2. IVAMUREMYE 3. na 4. na
Title: na **Designation:** a) FDLR Interim President b) FDLR-FOCA 1st Vice-President c) FDLR-FOCA Major General **DOB:** 1948 **POB:** Musanze District, Northern Province, Rwanda **Good quality a.k.a.:** 1) Byiringiro Victor Rumuli b) Victor Rumuli c) Michel Byiringiro **Low quality a.k.a.:** Rumuli **Nationality:** Rwanda **Passport no:** na **National identification no:** na **Address:** North Kivu Province, Democratic Republic of the Congo (as of June 2016) **Listed on:** 1 Dec. 2010 (amended on 13 Oct. 2016) **Other information:** INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals> [click here](#)

Di.004 Name: 1. INNOCENT 2. KAINA 3. na 4. na
Title: na **Designation:** Former M23 Deputy Commander **DOB:** (Nov. 1973) **POB:** Bunagana, Rutshuru territory, Democratic Republic of the Congo **Good quality a.k.a.:** Colonel Innocent KAINA **Low quality a.k.a.:** India Queen **Nationality:** na **Passport no:** na **National identification no:** na **Address:** Uganda (as of early 2016) **Listed on:** 30 Nov. 2012 (amended on 13 Oct. 2016) **Other information:** Became M23 deputy commander after the flight of Bosco Taganda's faction to Rwanda in March 2013. Fled to Uganda in November 2013. In Uganda as of early 2016. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals> [click here](#)

Di.005 Name: 1. JÉRÔME 2. KAKWAVU BUKANDE 3. na 4. na
Title: na **Designation:** na **DOB:** na **POB:** Goma, Democratic Republic of the Congo **Good quality a.k.a.:** Jérôme Kakwavu **Low quality a.k.a.:** Commandant Jérôme **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** na **Listed on:** 1 Nov. 2005 **Other information:** Given the rank of General in the FARDC in December 2004. As of June 2011, detained in Makala prison in Kinshasa. As of 25 March 2011, the High Military Court in Kinshasa opened a trial against Kakwavu for war crimes. In November 2014, convicted by a DRC military court to ten years in prison for rape, murder, and torture. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals> [click here](#)

Di.006 Name: 1. GERMAIN 2. KATANGA 3. na 4. na
Title: na **Designation:** na **DOB:** 28 Apr. 1978 **POB:** Mambasa, Ituri Province, Democratic Republic of the Congo **Good quality a.k.a.:** na **Low quality a.k.a.:** na **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** Democratic Republic of the Congo (in prison) **Listed on:** 1 Nov. 2005 (amended on 13 Oct. 2016) **Other information:** Appointed General in the FARDC in December 2004. Handed over by the Government of the DRC to the International Criminal Court on 18 October 2007. Initially convicted on 23 May 2014 by the ICC to 12 years in prison for war crimes and crimes against humanity, the ICC Appeals Chamber reduced his sentence and determined that Katanga's sentence should be completed on 23 January 2016. Although he was detained in the Netherlands for the duration of this trial, Katanga was transferred to a DRC prison in December 2015 and charged for other crimes previously committed in Ituri. [click here](#)

Search options

[Link to United Nations Security Council List](https://www.un.org/securitycouncil/content/un-sc-consolidated-list)

<https://www.un.org/securitycouncil/content/un-sc-consolidated-list>

Case Study 3

- Doubting the authenticity of the work experience certificate that a bidder submitted, the bid evaluation committee obtained confirmation from the previous employer who issued the work certificate.
- The previous employer confirmed that it did not issue the work experience certificate. The work experience certificate from the bidder is a fake document.



Case Study 3 (Continuation)

Which integrity violation did your due diligence help identify?

1. Fraudulent Practice
2. Conflict of Interest
3. Abuse
4. No, the bidder did not commit an integrity violation in this case.



Scan the QR Code or go to
menti.com and enter code **3914 1440**

Other Resources



Remember



Know the integrity violations.



Sign up to access the Complete List.



Identify and manage integrity risks.



Report suspected integrity violations to OAI.

Your feedback would help the Office of Anticorruption and Integrity in providing knowledge products and services relevant to you.

Answers will be kept confidential and data will only be assessed in the aggregate.



Scan

Thank you!



www.adb.org/integrity



@adb_oai



integrity@adb.org



ADB Anticorruption and Integrity



+63-2-8632 5004



Report integrity violations :

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



If you registered your email address, you will receive a copy of this presentation and related resources from OAI.