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The Integrity Learning Series

The Integrity Learning Series: Anticorruption and Integrity Training for Loan 4166 – Assam Skill University Project

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Integrity Officer

20 September 2022

Objectives



Increase awareness of potential integrity risks and remedial actions



Enhance your knowledge of ADB's integrity framework



Improve skills in corruption and integrity risk detection, risk assessment, and prevention

Outline

1 Integrity Risk Impact

2 Recognizing and Reducing Integrity Risks

\$1 trillion

\$2.6 trillion

5%

United Nations Security Council 10 September 2018

“

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

Probability and Likelihood



2,504 CASES

from



125 COUNTRIES

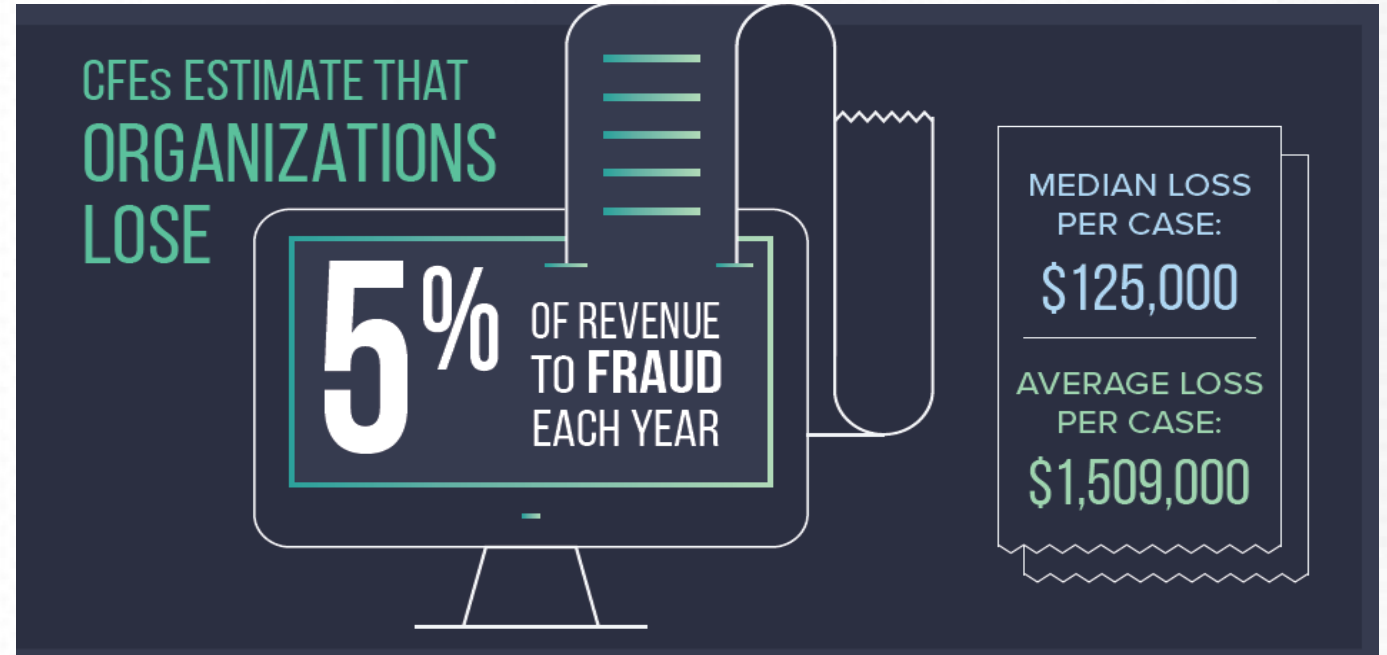
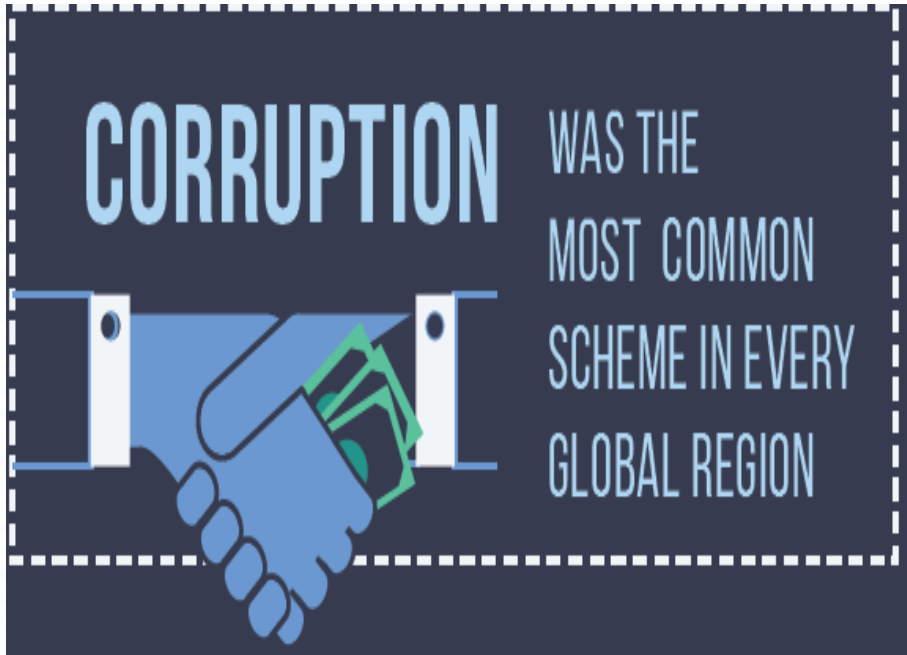


Causing total losses
of more than

\$3.6 BILLION



Probability and Likelihood



ADB's Anticorruption Policy



Promoting efficient, effective, accountable, and transparent public administration including good governance and capacity building



Supporting anticorruption efforts in the region through quality dialogue with the DMCs



Ensuring that ADB projects and staff adhere to the highest ethical standards



ADB defines **corruption** as the **abuse of public or private office for personal gain**

ADB's Anticorruption Policy



**Policy and
Guidelines**



**Operational
Instructions**



**Administrative
Orders**



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

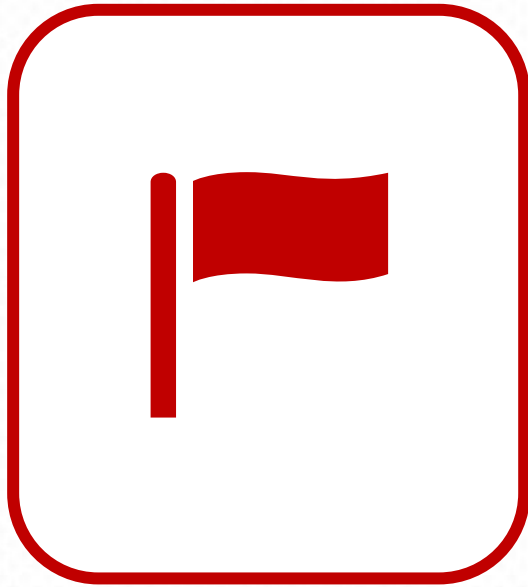
FINANCIAL CRISIS AT MAJOR CONTRACTOR: WHERE DID THE MONEY GO?

Inappropriate contract negotiations cause of project failure

School wall collapses: hospital emergency

Substandard materials and works: contractor 100% accountable

Shock resignations following litigation scandal never verified



Be alert to the
red flags of
integrity risks.

Perform **due diligence** procedures.



Process of checking the accuracy of information of a business or individual prior to, during, and after engaging in a contract.



WHY?



WHO?



WHEN?

Executing agencies (EA) / implementing agencies (IA) are responsible for sanction screening

Procurement of Goods and Works - Stages



Procurement of Consulting Services



EA and IA Access to ADB's Complete Sanctions List

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.

COMPLETE LIST

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](#)

Password-protected, accessible to:

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

PUBLISHED LIST
Accessible to the public

<https://www.adb.org/sites/default/files/related/79926/adb-sanctions-list-faq.pdf>

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 you fill in the name of an ADB project officer and 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

Managing the Access



EAs and IAs should...

- Designate the appropriate person(s) from the organization/agency requiring access on a 'need-to-know' basis
- Not share user accounts or passwords – each user must apply for a unique user ID.
- Submit accurate, detailed information that allows the user ID to be identifiable to a single user
- Inform ADB (integrity@adb.org) or ADB project officer if the user profile details have changed since the initial request or require deactivation (access no longer required or user no longer connected with the EA)

Searches

Complete Sanctions List

Search:

TIP: Use the * for better search results. Type *example* to list all entities containing the text 'example' anywhere in the line.

Category: **FIRMS** **INDIVIDUALS** **ALL ENTRIES**

View by: **Name** Latest Update Cross Debarment Effectivity Nationality Cross-debarred Entities Sanction Type

Filter by: **All** A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

105 documents for query "India"

Page: 1 | 2 | 3 | 4

Name	Address	Sanction Type	Other Name/Logo	Nationality	Effect Date Lapse Date	Grounds
LLOYD INFOTECH (INDIA) PRIVATE LIMITED	159, OKHLA INDUSTRIAL ESTATE, PHASE-III,, NEW DELHI -110020 India	Debarred		India	20/Apr/2020 No Date	Cross-Debarment: WB
BRC Constructions	B R C Constructions 107, Manikanth Complex Besides Swamy Talkies Sanathnagar, Hyderabad INDIA or Plot No. 268 Officer's Colony Malakpet, Hyderabad 036 INDIA (Undelivered)	Debarred		India	23/Jun/2004 No Date	Debarred, not contactable.

Search Functionality

Complete Sanctions List

Search:

TIP: Use the * for better search results. Type *example* to list all entities containing the text 'example' anywhere in the line.

Category:

View by:

Filter by:

 Search names using the search bar

 Avoid including common terms when searching

 Remove leading terms such as "M/S, or M/S." from company names

"Ltd", "Company", "LLC"
Example: Use "A2Z" when searching for A2Z Waste Management

Searches

Search:

GO

TIP: Use the * for better search results. Type *example* to list all entities containing the text 'example' anywhere in the line.

14 documents for query "A2Z"

Name	Address	Sanction Type	Other Name/Logo	Nationality	Effect Date Lapse Date	Grounds
A2Z WASTE MANAGEMENT (LUDHIANA) LTD.	PLOT NO. B. 38, INSTITUTIONAL AREA, SECTOR -32, GURUGRAM- 122001, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
A2Z WASTE MANAGEMENT (ALIGARH) LTD.	PLOT NO. B. 38, INSTITUTIONAL AREA, SECTOR -32, GURUGRAM- 122001, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
A2Z INFRA SERVICES LTD.	O-116, 1ST FLOOR, DLF SHOPPING MALL, ARJUN MARG, DLF PH-I GURUGRAM - 122002, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
A2Z POWERCOM LTD.	O-116, 1ST FLOOR, DLF SHOPPING MALL, ARJUN MARG, DLF PH-I GURUGRAM - 122002, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
RISHIKESH WASTE MANAGEMENT LTD. (FORMERLY KNOWN AS A2Z POWERTECH LTD.)	O-116, 1ST FLOOR, DLF SHOPPING MALL, ARJUN MARG, DLF PH-I GURUGRAM - 122002, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
A2Z INFRA SERVICES LANKA PVT. LTD.	BOC MERCHANT TOWER, LEVEL 8, NO: 28 ST. MICHAEL'S ROAD, COLOMBO 3, SRI LANKA	Debarred		Sri Lanka	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB
A2Z INFRA ENGINEERING LIMITED(Previously known as A2Z Maintenance & Engineering Services Limited)	PLOT NO. B-38, SECTOR 32, INSTITUTIONAL AREA, GURGAON - 122001, HARYANA INDIA	Debarred		India	8/Dec/2020 11/Nov/2024	Cross-Debarment: WB
A2Z WASTE MANAGEMENT (NAINITAL) PRIVATE LIMITED	PLOT NO. B-38 INSTITUTIONAL AREA, SECTOR 32, GURGAON, 122001, HARYANA, INDIA	Debarred		India	23/Jun/2021 11/Nov/2024	Cross-Debarment: WB

United Nations Security Council Sanctions



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United Nations Security Council Consolidated List

scsanctions.un.org

Search function



UNSC Sanctions: Search

United Nations Security Council Consolidated List Search

Language

العربية 中文 English Français Русский Español

Select the language of the report

FULL TEXT SEARCH

Enter keywords

A

You can enter more than one word to search separated by space.

For example:

*case 1: if you enter **John Doe** the results shown will consist of individuals or entities that contain the word "John" or "Doe". If you are searching for an exact phrase include it between quotes "your phrase here". **The field is not mandatory when Advanced search options are used.***

For best results search words entered must be at least 3 characters long.

Search

reset

For Advanced search options [click here](#)

Mitigating Measures: Vulnerabilities in Bid Evaluation

The executing/implementing agency should hold pre-bid meetings for high-value, high-risk, or complex procurement, where bidding requirements are carefully discussed with bidders. These requirements must be understood by the bidders and consistently applied by the BEC.

BEC/CSC members should undergo hands-on training on all aspects of bid evaluation, especially due diligence, before embarking on new bid evaluation assignments. Support from ADB regional departments, supervision consultants, and engaged procurement experts may be required.

The BEC/CSC should check accuracy and completeness of information in BERs/Submissions before submitting these for ADB's no-objection. For transparency, decisions made and justifications for deviations should be properly documented in the 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 Bidding (SSB) only. Bidder's complete name

To: [insert complete name of the client]

We, the undersigned, hereby certify that we have no conflict of interest with participating firms.

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 potential or actual COI. BEC/CSC members should also ensure that they have no conflict with participating firms.

Red Flags



An expert, who had a very long and productive working relationship with the executing agency (i.e., representing the executing agency in many situations, both on a retainer and volunteer basis), assisted in the request for proposal preparation for a consultant section. The expert was one of the nominated experts of the winning consulting firm in the selection.



A director of a consulting firm who was hired to assist in the bidding activities (including bidding documents preparation) was a key staff member of the winning firm in that bidding.

Case study: The firm that prepared the project is in a COI situation



- A firm would like to submit an EOI for an EA-administered consulting assignment for detailed engineering design and project readiness support consulting services.
- The firm was part of a JV that ADB previously hired under a TA to develop and prepare the proposed project. Services rendered included preparing a feasibility level design for each subproject, and to prepare the TOR for the design and implementation consultants for the ensuing project.
- The consultant's key deliverables for the (new) consulting assignment include, among others, a review of available studies and preparing a concept design that improves, upgrades, and fills gaps in the existing feasibility studies.

Case study: The firm that prepared the project is in a COI situation

Issue: Whether or not there is COI considering the firm's involvement in preparing the project



Finding: There is COI

- Consultant was tasked under the new contract's TOR to review, assess, and evaluate the feasibility study prepared under a related TA
- The firm (if hired) will verify, update, improve, upgrade, and fill the gap in its JV's work/output produced under the previous TA
- Firm is placed in a position where its interests could improperly influence its performance of its contractual obligations

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 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 below:
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 customers and received from customers less the amounts of exchange at the end of the year.

In case of a Joint Venture, Partner's name below:

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

Form EXP – 1: Contractual Experience

Fill out one (1) form per contract.

Contractual Experience

Contract

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



A bidding submission included bidder's experience which looks unreasonably large in comparison to the nature of works and contracted period. It appears that one digit was added to the contracted price in the supporting documents. Notes were attached in a local language. In the photocopy of the supporting document submitted as part of the bid, the numbering was not aligned in a straight line.



The submitted bid included a set of photocopied bidder's invoices as supporting their experience. No official receipt, certification of works completion, or other documents issued by the client were submitted.



Translation of certificates or supporting documents: bidding documents not clear from whom attestation should be obtained from.

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 and identify 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 entire lot can 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



In several bids over procurement of several packages, 70%-80% of unit price items in the bill of qualities were identical i.e., exactly the same unit price

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 misstatement or omission 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

Key Takeaways

1. EA/IA should observe the **highest ethical standards** following ADB's *anticorruption framework*
2. Mitigate integrity risks by performing and documenting **due diligence** continuously
3. Be aware of the **red flags** of integrity risk
4. Have the **appropriate controls** in place to prevent, detect, and deter integrity risks
5. **Report** integrity risks to OAI

Office of Anticorruption and Integrity



www.adb.org/integrity



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ADB Anticorruption and Integrity



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Report integrity violations :

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

