

An abstract graphic on the left side of the slide. It features a blue hand at the bottom, from which a thick, multi-colored stream of lines (in shades of blue, yellow, orange, and red) flows upwards and then curves to the right, resembling a fountain or a stream of data. The lines are semi-transparent and overlap each other.

The Integrity Learning Series

Pakistan: Sindh Emergency Housing Reconstruction Project (SEHRP)

**Executing/Implementing Agencies
and Implementing Partners**

Noel B. Anderson
Integrity Specialist

24 September 2024

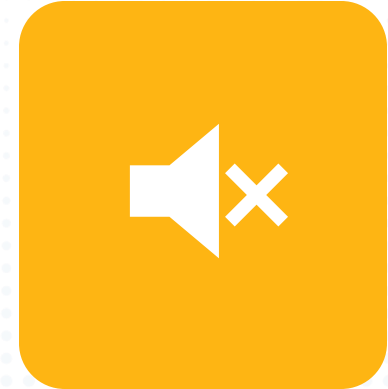
Reminders



The session is
being recorded



Jot down any questions
and reserve for the end of
the session



Please remain on
mute if not speaking

“

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

ADB's Anticorruption Framework



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

What To Expect

I. Recognizing and Reducing Risk (Due diligence)

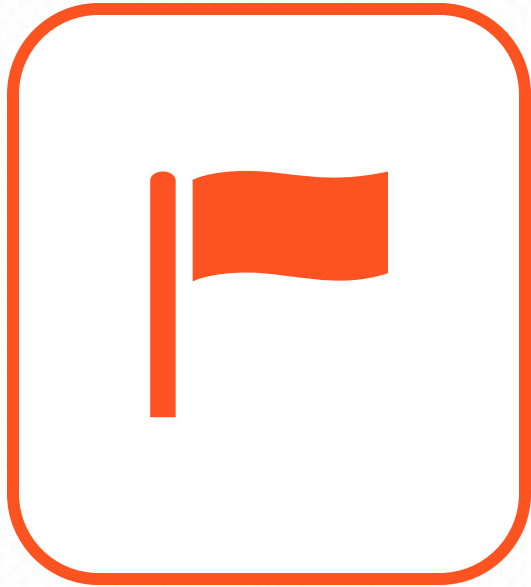
- Red flags
- Sanctions screening

II. ADB Debarments and Temporary Suspensions

I. Recognizing and Reducing Risk

▶ Red flags

▶ Sanctions Screening



Be alert to the
red flags of
integrity risks.



WHY?



WHO?



WHEN?



Factors in Conducting Due Diligence



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.

ADB Irrigation and
Water Project

**BIDDING IS
NOW OPEN**

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 International Competitive Bidding (ICB) No.: Bidder's complete name

To: [insert details]
Date:

We, the undersigned, hereby certify that we are not a member of the Bidder's complete name
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.

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 and country of 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 or the amount of the Bidder's net sales 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

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

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 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

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 hard work and a lot of fun to be a part of the staff. We need your best chance to bid with some exciting great price!

New Detailed 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 details. You can only download your own copy and upload them to your system. It's very

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I. Recognizing and Reducing Risk

▶ Red flags

▶ Sanctions Screening

Executing agencies (EAs) are responsible for Sanctions Screening

Goods and Works

Prequalification

Technical
BER

Financial
BER

Contract
Award

Withdrawal
Applications

Contract Variations/
Modifications

Consulting Services

Shortlisting

Technical
Proposals

Financial
Proposals

Contract
Award

Withdrawal
Applications

Contract Variations/
Modifications

Conducting Due Diligence: Sanctions Checks

<http://sanctions.adb.org>

Sanctions List

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

COMPLETE LIST

Password-protected, accessible to:

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

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 office. given access to the application can access the list.

[VIEW COMPLETE LIST](#)

Requesting Access

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 *(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.

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

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

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 on 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/committees/person/> (for res. 1267)
<https://www.un.org/securitycouncil/sanctions/delisting/> (for other Committees)
<https://www.un.org/securitycouncil/content/2231.html> (for res. 2231)

A. Individuals

DI.001 Name: 1. ERIC 2. BADEGE 3. na 4. na
file: 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
file: 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. IYAMUREMYE 3. na 4. na
file: 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.:** a) 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
file: na **Designation:** Former M23 Deputy Commander **DOB:** (Nov. 1973) **POB:** Busagana, 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
file: 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. 2003 **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
file: 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. 2003 (amended on 13 Oct. 2016) **Other information:** Appointed General in the ARDC 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 18 January 2016. Although he was detained in the Netherlands for the duration of his 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>

ADB Debarments and Temporary Suspensions

Integrity Violations





Integrity Violations

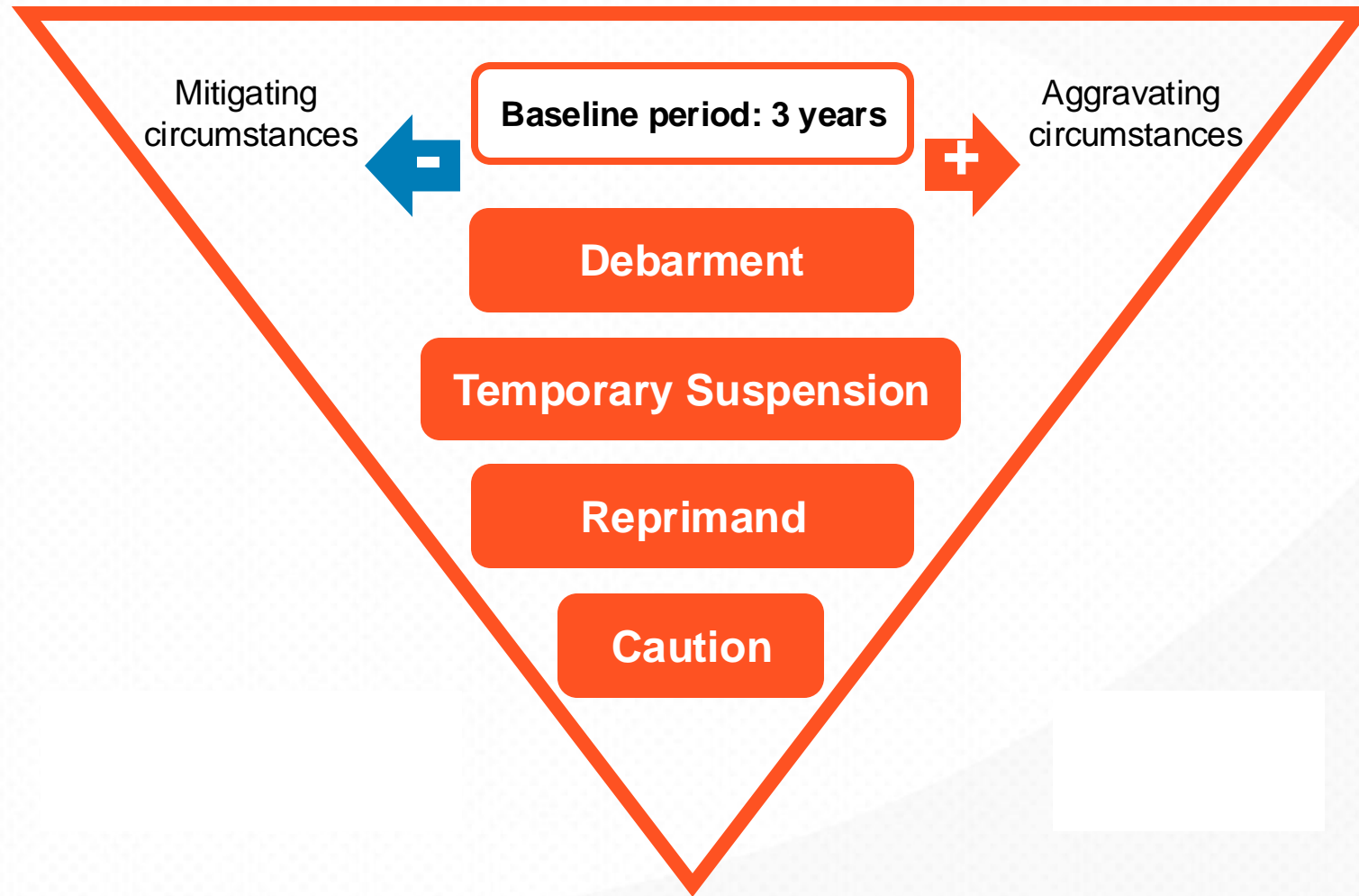
Assess and Investigate

Remedial Actions

Appeal Process

Cross Debarment

Remedial Actions



Consequences of Integrity Violations in ADB-financed Projects



Sanctions of firms or 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



Impact While Under Sanction

Current contacts



**MAY
CONTINUE**

Contract variations



**OAI
ENDORSEMENT**

Future tenders



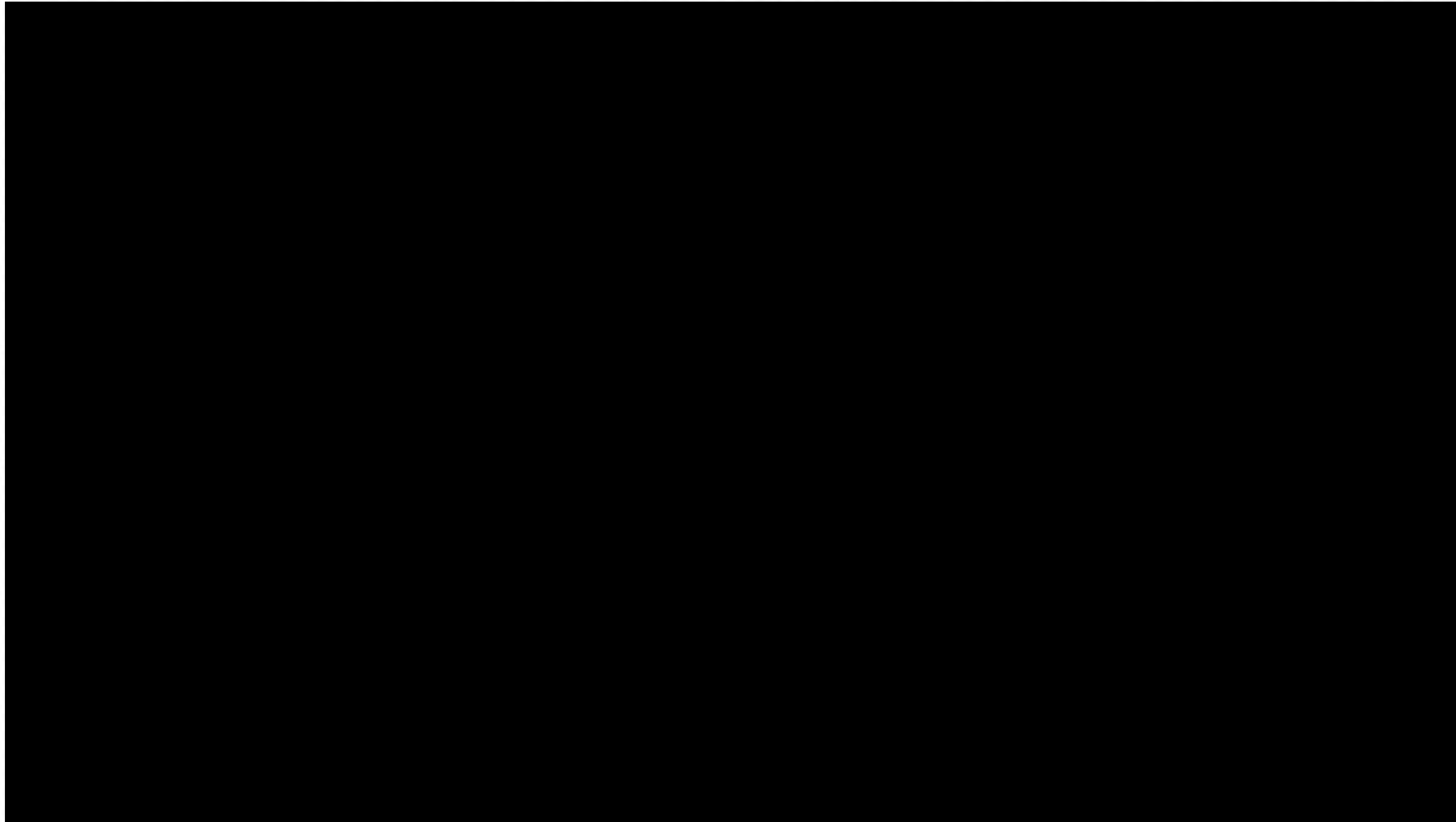
NOT PERMITTED

Reinstatement



NOT AUTOMATIC

Integrity is Everybody's Business



Integrity Risk Management is everyone's responsibility.



Do not assume that someone else is doing it.

Recap



Know your partner



Leverage technology for due diligence



Identify and mitigate risks, support your partner in mitigating risks



EAs/IAs to:

- i. Sign up for access to ADB's complete Sanctions List and
- ii. Do the sanctions checks



Report integrity violations to OAI

Other Resources



Frequently Asked Questions on ADB Sanctions

Frequently Asked Questions on ADB Sanctions

Scan the QR code to read

Office of Anti-Corruption and Integrity
 1501 Market Street, Suite 1500, Philadelphia, PA 19102
 Tel: +1 215 597 1300 | Fax: +1 215 597 1301
 Email: adbi@adb.org | Website: www.adbi.org



Integrity Risks and Red Flags Series

Scan the QR code or visit bit.ly/ADBintegritylessons



ADB eLEARN

Detecting and Preventing Integrity Violations in ADB Projects

Take the course now!

Scan the QR code or visit: bit.ly/ADB-DPIV

Evaluation



Scan

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.

Office of Anticorruption and Integrity



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ADB Anticorruption and Integrity



Report integrity violations :

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



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