

	World Bank Department of Institutional Integrity (INT) Voluntary Disclosure Program (VDP)	
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VDP PROTOCOL 6

Internal Investigation and Report Performed by Participant

The World Bank provides parties participating in the VDP (participants) with (a) guidelines for retaining Internal Investigation-related documents; (b) a list of documents the participant will review as part of its Internal Investigation; (c) a list of the persons the participant will interview as part of its internal investigation, how the interviews must be conducted, and how Records of Interviews (RoIs) must be produced; and (d) the manner in which they should present documents and RoIs to the World Bank.

- A. Document Retention** - The participant maintains the original documents relevant to the Internal Investigation in an isolated, high-security location within the participant's offices and under the exclusive control of the participant's investigative team.
- B. Documents to Review and Produce** - Documents will be produced regarding each tainted contract. Participants must, therefore, review their documents with sufficient thoroughness such that their production includes the following:
 1. Any documents, records, and materials in the custody or control of the participant including documents, records, and materials obtained from its sub-contractors, joint venture partners, affiliated entities, consultants, agents, or banks memorializing or concerning:
 - a.) Anything of value – including payments, gifts, bribes, and kickbacks – given to any third party, including government or project officials or Bank staff;
 - b.) fraud;
 - c.) collusive behavior;
 - d.) coercive behavior; and/or
 - e.) any other behavior sanctionable by the World Bank.
 2. The results of any review conducted prior to entry into the VDP – such as inquiries by internal and external counsel and/or internal or external forensic auditor, accountants, or investigators into misconduct on World Bank contracts – including any reports, records of discussions with potential witnesses, or documents used in or generated by such a review;
 3. Correspondence, including letters, memos, e-mails, and notes, of meetings between the participant, its agents, partners, government officials, and any third parties relating to the solicitation/negotiation/payment of commissions or other similar payments;
 4. Correspondence, including letters, memos, e-mails, and notes, of meetings relating to formal or informal collusive agreements;

5. Fraudulent claims and documents, including receipts, tickets, invoices, worksheets, and accounting bills;
6. Relevant bid document(s);
7. Relevant contract(s), including those with any agents;
8. Agreements to hire an agent;
9. Commission agreements associated with the contract;
10. Joint venture agreements and relevant side or sub-contracts with local/international partners and consultants;
11. Invoices from agents for commission payments;
12. Records of payments to agents and/or other recipients, including wire transfers, checks/cheques, bank statements, and cash disbursement journals;
13. Accounting records with the corrupt payments highlighted;
14. Relevant bank statements;
15. Documents stating the Bank name, location, and account numbers to which money was transferred;
16. Copies of checks or, if unavailable, documents stating the check numbers, account numbers, who the check was made out to, and who signed the check;
17. Any documents (including receipts) recording payments by the participant, its agents, and/or its partners to any third party;
18. The participant's internal accounting records relating to payments to any third party, with the payments highlighted;
19. Copies of all site inspection reports (or equivalent documents);
20. Records of payment(s) received by the participant under the contract including wire transfers, checks, bank statements, and income journals / ledgers;
21. Work in progress records and other records which support the submission of invoices;
22. Corporate policies and procedures relating to the subject of the Internal Investigation; and
23. Any other document(s) relevant to the misconduct or requested by the World Bank.

C. Interviews - Participants interview anyone who may have general or direct knowledge of misconduct. Participants must take reasonable efforts to interview current and former officers, employees, representatives, agents and independent contractors. The interview is memorialized in a RoI. Participants should follow the following guidelines while conducting interviews:

1. Conduct all interviews in the presence of two witnesses;
2. Each time the interviewee introduces a new piece of information, ask the following questions:

- a.) On what basis do you know this?
 - b.) What was the exact date on which that happened? (If the interviewee does not know a specific date, get the closest approximation with which they are comfortable.)
 - c.) Where did it happen?
 - d.) Could you please spell that person's name? Is that the only spelling? What was her/his position? What is her/his position currently?
 - e.) Do you have any documentation to corroborate that? If so, where is it and how and when can we get it?
 - f.) Who else might be able to corroborate this information?
3. To the best of their ability, an interviewee should detail:
 - a.) Who authorized any corrupt transactions;
 - b.) How they were recorded in the firm's (or other) records;
 - c.) Who in the management chain was aware of them;
 - d.) Who was consulted on the matter;
 - e.) Whether the participant paid an unsolicited bribe, was approached formally for a bribe, or if volunteered one after receiving hints and inferences; and
 - f.) Whether the interviewee has direct or indirect knowledge and/or evidence of competitors/contractors engaging in corrupt payments or being asked for them.
 4. Before the end of your interview, ask the following questions:
 - a.) Do you wish to mention anything else or clarify anything?
 - b.) Do you have any questions for us?
 - c.) Do you have any comments about how this interview was conducted?
 5. Conclude your interview by stating that the matters discussed are confidential, and the interviewee should not discuss them, or their interview, with anyone.
 6. The participant must follow the following guidelines while preparing the RoI:
 - a.) Prepare the RoI within 3 days after the interview;
 - b.) Describe details in a chronological order; and
 - c.) Ensure that information from the interview corresponds to the Internal Investigation Report Template provided by the World Bank.

D. Internal Investigation Report Requirements

1. Hard copies of the pertinent documents are presented to the World Bank in two binders:
 - a.) The Contract Disclosure Binder (A sample Contract Disclosure Binder will be provided by the World Bank); and
 - b.) Accompanying Background Information Binders.
2. The Contract Disclosure Binder includes the following:
 - a.) The Contract Disclosure Summary;
 - b.) Disclosure Data Sheets;
 - c.) A log of all documents included in the accompanying Background Information Binders;

- d.) All relevant RoIs; and
 - e.) Exhibits, which will consist only of the specific pages of documents that support the disclosure.
3. The Background Information Binders include:
 - a.) A log of the documents in the binder with the documents divided by tabs; and
 - b.) Copies of relevant documents.
 4. Highlight the pertinent information on all hard copies of the documents. Electronic copies must be able to record the color of a highlighter. For example, accounting records will have relevant payments highlighted.
 5. All documents in the Background Information Binder must be Bates stamped in the upper right-hand corner of each page in the following manner: [INTIS Code] – Page Number. All pages must be cited by their Bates number.
 6. All documents are digitally scanned and OCR'd (Optical Character Reader). Provide the Contract Disclosure Summary in Word and PDF format, and provide the Disclosure Data Sheets in Excel format.
 7. All documentation must be sent to the World Bank in both hard copy and on a digital media. The World Bank may request additional documents that it considers relevant after review of this initial disclosure. If the Bank makes such a request, the VDP participant must produce the requested documents.
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