



Xiamen National Accounting Institute
厦门国家会计学院



Asian Development Bank
亚洲开发银行



Multilateral Cooperation Center for Development Finance
多边开发融资合作中心



China International Contractors Association
中国对外承包工程商会



Asian Infrastructure Investment Bank
亚洲基础设施投资银行

Workshop 2: Strengthening Integrity Risk Management: Making Internal Controls Work in Practice

培训会（二）：加强廉洁风险管理——让内控机制切实落地

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香港特别行政区廉政公署总防贪主任

Alex is a procurement officer in a construction company which participates in MDB-funded infrastructure projects. He is responsible for drafting tender documents including the specification of construction materials, inviting tenderers, receiving and opening tenders. A close friend of **Alex**, **Barry** owns three overseas construction materials suppliers, the exclusive distributor of certain specialised construction materials.

亚历克斯是一家参与多边开发银行（MDB）资助的基础设施项目的建筑公司的采购员。他负责起草招标文件，包括建筑材料规格说明、邀请投标人、接收和开标。**亚历克斯**的好友**巴里**有三家海外建筑材料供货商，是某些特殊建筑材料的独家经销商。

Alex uses performance criteria to specify construction materials in Contract A, which match the proprietary features of those sold by **Barry**'s companies. In another Contract B, while **Alex** conducted market sounding exercise for construction materials, only **Barry**'s companies responded with complete information while others provide piecemeal information. As such, **Alex** included most information provided by **Barry**'s companies in the specification.

在合同A中，**亚历克斯**使用性能标准来指定建筑材料，这些标准与**巴里**公司销售的材料的特性相符。在另一份合同B中，**亚历克斯**对建筑材料进行了市场调查，但只有**巴里**的公司提供了完整的信息，其他公司只提供了零散的信息。因此，**亚历克斯**将**巴里**公司提供的大部分信息都纳入了规格中。

Two bids are submitted by **Barry**'s companies under different country entities for Contract B, appearing unrelated. **Alex** notices similarities but assumes this is normal for multinational suppliers. During the evaluation of these tenders, **Alex** chaired the evaluation panel, with the remaining two members being his sub-ordinates. At the end, both Contracts A and B are awarded to **Barry**'s companies.

巴里的公司以不同国家的实体名义提交了两份看似无关的投标书。**亚历克斯**注意到其中的相似之处，但认为这对跨国供货商来说是正常的。在评估这些投标书的过程中，**亚历克斯**担任评估小组主席，其余两名成员是他的下属。最终，合同A和合同B都授予了巴里的公司。

- Can you identify the integrity risks and evaluate the effectiveness of the existing control measures in **Alex**'s company?
- 您能否识别**亚历克斯**公司的诚信风险并评估现有控制措施的有效性?
- Can you devise other mitigation/control measures?
- 您能否制定其他缓解/控制措施?



Extract of Guidelines on Tendering 招标指南摘录 Tendering Procedures 招标程序

The procuring entity is responsible for preparing the tender documents. Tender documents must clearly set out (i) the technical specifications and required performance standards; (ii) the evaluation and qualification criteria; and (iii) the submission deadline and instructions for tenderers.

采购方负责编制招标文件。招标文件必须清晰列明：(一) 技术规格及所需性能标准；(二) 评审及资格标准；及(三) 投标提交截止日期及投标人须遵循的指引。

For procurements above USD 1 million, competitive tendering is required through one of the following approaches:

对于金额超过100万美元的采购，必须采用竞争性招标方式：

- Open Tendering - A tender notice must be published on the organisation's website and in two widely circulated local newspapers.
- 公开招标 - 招标公告须在机构网站及两份广泛流通的当地报纸上发布。
- Selective Tendering - At least three qualified suppliers must be invited.
- 选择性招标 - 至少邀请三家合资格供应商投标。

The procuring entity must provide a written justification for adopting single tendering. Single tendering may be used only when competitive tendering is demonstrably ineffective, such as:

采购方必须就采用单一招标方式提供书面说明。只有在竞争性招标明显无法有效进行时，才可采用单一招标方式，例如：

- Extreme urgency caused by unforeseeable events, where delays from competitive tendering would harm the organisation's interests.
- 因不可预见事件导致情况紧急，竞争性招标造成的延误会损害机构利益。
- When the required goods/services can only be provided by one supplier for technical or proprietary reasons, and no alternatives exist in the market.
- 因技术或专有原因，货物/服务只能由特定供应商提供，且市场上无替代方案。
- When the goods/services must be compatible with existing systems or equipment.
- 拟采购的货物/服务必须与现有系统或设备兼容。

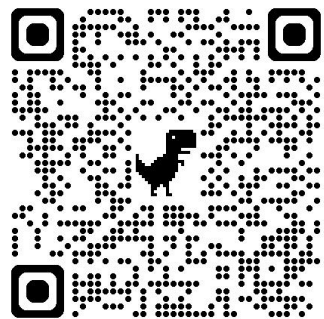
ICAC's Integrity Compliance Management System (ICMS)

(Under Development)

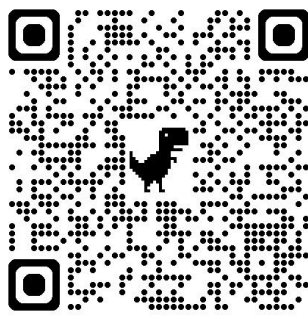
廉政公署「诚信合规管理体系」(草拟中)

The Hong Kong Exchanges and Clearing Limited encouraged listed companies to adopt the Integrity and Compliance Management System (ICMS) developed by the Independent Commission Against Corruption (ICAC) since May 2025.

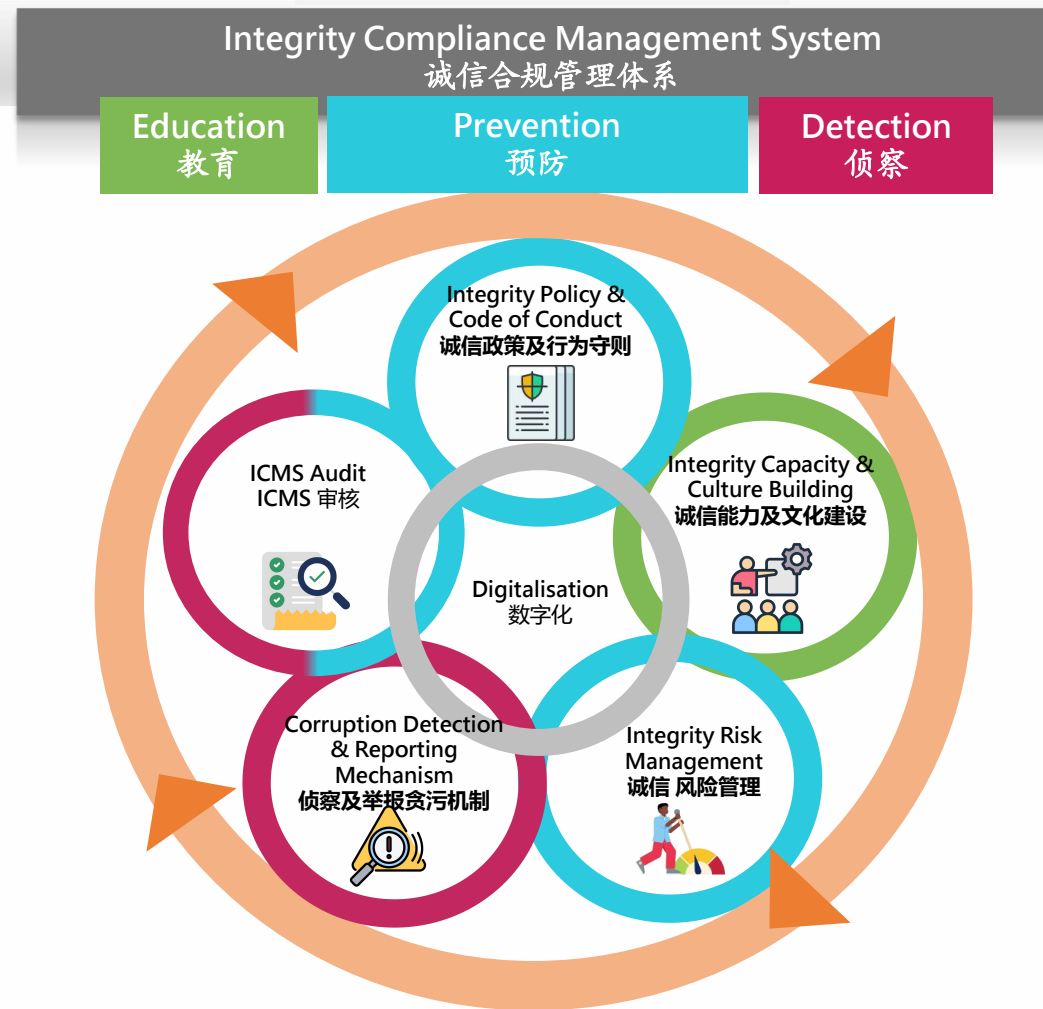
香港交易所自2025年5月起，鼓勵上市公司採用由廉署研發的「诚信合规管理体系」(ICMS)。



“ICMS at a glance”



一图看清「诚信合规管理体系」

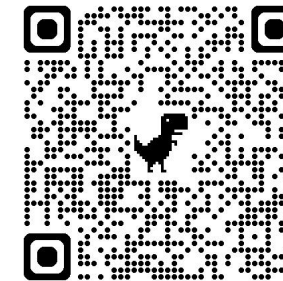


4th Asia-Pacific Integrity and Compliance Forum

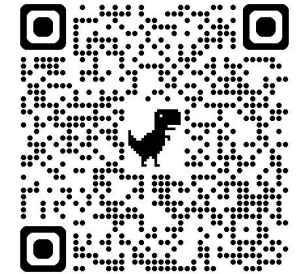
Case Study 3 – Loopholes and Integrity Risks

案例研究 3 - 漏洞与诚信风险

- Specification Manipulation
- 操纵规格
- Related Party Bidding
- 关联方竞标
- Dominance in Tender Evaluation Panel
- 评标小组的支配地位
- Absence of Conflict of Interest Disclosure Requirement
- 缺乏利益冲突披露要求



ICAC's Sample Integrity
Risk Management Plan on
Tendering (Eng)



廉政公署招标的诚信
风险管理计划书范本
(中文)