



Note: The World Bank Group (“WBG”) consists of the International Bank for Reconstruction and Development (“IBRD”), the International Development Association (“IDA”), the International Finance Corporation (“IFC”), the International Centre for Settlement of Investment Disputes (“ICSID”), and

Decision-

Commencement of Proceedings: Referral Required.

- Neither the SDO nor the EOs can initiate an exclusion proceeding without a prior referral from the WBG's Integrity Vice Presidency ("INT"), which investigates allegations that a firm or individual engaged in a sanctionable practice.
- Parties that are not subject to the sanctions proceedings cannot submit complaints and/or evidence to the decision-maker. Third parties can, however, submit [online](#) complaints to INT.

Notice Requirements & Opportunity to be Heard: Yes & Yes.

Notice of Proceedings:

- Suppliers receive a Notice of Sanctions Proceedings when the first-tier decision-maker determines that grounds for sanction exist. In practice, INT will generally send a Show Cause Letter to the alleged respondent before submitting the case to the first-tier decision-maker.
- Notice of Sanctions Proceedings must contain the grounds for exclusion and supporting evidence.
- The decision-makers must make their reasoning available to the supplier and the public. The first-tier decision-makers publish [notices](#) for all cases not appealed to the Sanctions Board. The Sanctions Board publishes its [decisions](#).

Opportunity to be Heard:

- Suppliers are entitled to present a defense to the decision-maker and may:
 - Obtain the evidentiary record.
 - Make a written submission to the decision-makers.
 - Request an in-person hearing (before the WBG Sanctions Board only).

Effect on Excluded Individuals:

- Excluded individuals **may** be employed by a corporate supplier as long as the individual does not directly or indirectly control the corporate entity.
- Exclusion **must** extend to companies controlled by the excluded individual.

Tailoring Exclusion:

- Yes. Exclusion **may** be limited to certain divisions, operating units, or business lines within the company, if the decision-maker so decides.

Effect on Affiliates:

Corporate Affiliates:

- Exclusion **may** apply to affiliates of the supplier (controlling, controlled, under common control). Exclusions are presumed to extend to all controlled affiliates and may extend to controlling affiliates and affiliates under common control if the decision-maker finds the affiliate culpable or responsible for the misconduct.

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