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Assessing INTegrity
Workshop

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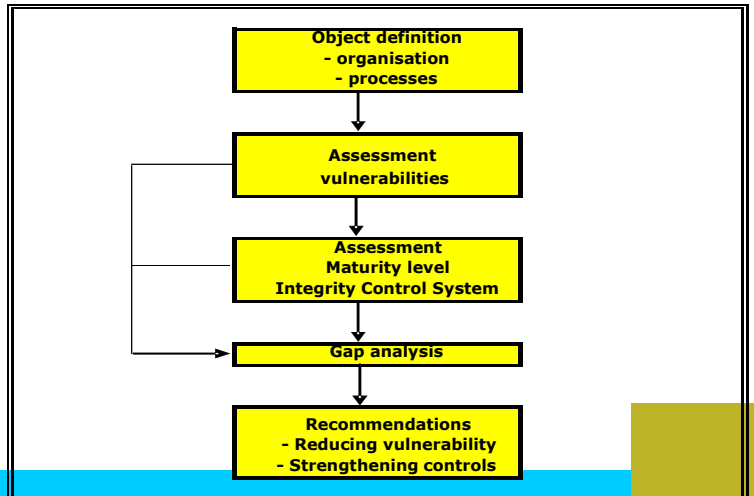
AINT methodology



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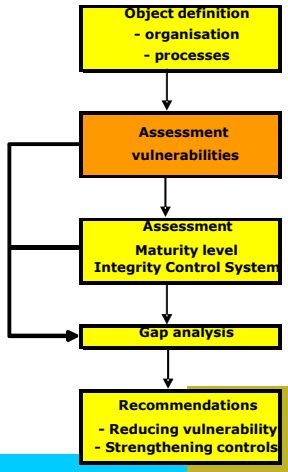
Assessment of vulnerabilities

- What are the inherent vulnerabilities?
- What are vulnerability enhancing factors?
- What is the vulnerability profile?



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Inherent vulnerabilities

Elements	Vulnerable areas /activities /actions	
Relationship of the entity with its environment	Contracting	procurement, tenders, orders, assignments, awards
	Payment	subsidies, benefits, allowances, grants, sponsoring
	Granting / Issuance	permits, licenses, identity cards, authorizations, certificates
	Regulating	conditions of permits, setting standards / criteria
	Inspection / audit	supervision, oversight, control, inspection, audit
	Enforcement	prosecution, justice, sanctioning, punishment
Managing public property	Information	national security, confidential information, documents, dossiers, copyright
	Money	treasury, financial instruments, portfolio management, cash/bank, premiums, expenses, bonuses, allowances, etc.
	Goods	purchasing / selling, management and consumption (stocks, computers)
	Real estate	buying / selling

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Vulnerability enhancing factors

Complexity

Change / dynamics

Management

Personnel

Problem history

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1. Complexity

Innovation / advanced computer systems
Complex legislation
Special constructions (legal / fiscal)
Bureaucracy
Lobbying
Networks of relations
Mix of public-private interests (commerce / competition)
Need for external expertise
Political influence/ intervention

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2. Change / dynamics

Young organisation
Frequently changing legislation
Strong growth or downsizing
Privatisation, management buy-out
Outsourcing
Crisis (reorganisation, threats with huge impact, survival of the organisation or job at stake)
External pressure (pressure on performance, expenditure, time, political pressure, shortages / scarce resources in comparison with duties)

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3. Management

Dominant
Manipulative
Formal / bureaucratic
Solistic operation
Remuneration strongly dependent on performance
Lack of accountability
Ignoring advice / signals
Defensive response to criticism or complaints

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4. Personnel

Work environment/ loyalty	Pressure on performance / income dependent on performance
	Low status / lack of esteem/ low rewards / low career prospects
	Poor working conditions/ high workload
	Group loyalty
	Power to obstruct
Individual	Having other interests (side jobs, etc.)
	Personal debts
	Lifestyle (overspending)
	Personal secrets (vulnerable for blackmail)
	Personal threats
	Addictions (alcohol, drugs)

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5. Problem history

Complaints
Gossip and rumors
Signals / whistle blowers
Earlier incidents (recidivism)
Administrative problems (backlogs, inconsistencies, extraordinary trends)

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Vulnerability profile

Vulnerability Enhancing factors / Inherent vulnerability	Low	Medium	High
Low	low	low	**Medium**
Medium	**Medium**	**Medium**	HIGH
High	HIGH	HIGH	HIGH

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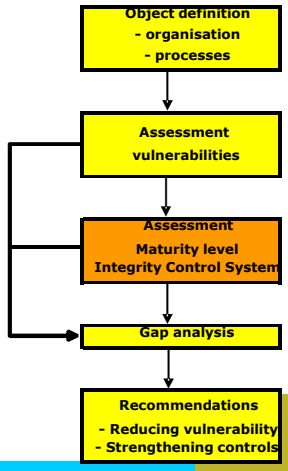
Assessment maturity level Integrity Control System

What is the maturity level of the integrity control system?

- Existence of controls
- Operation of controls
- Effectiveness of controls



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Preventive measures

- What could have been done to prevent this incident?
- What measures did the organisation take?
- What else could they do?
- What could others do?

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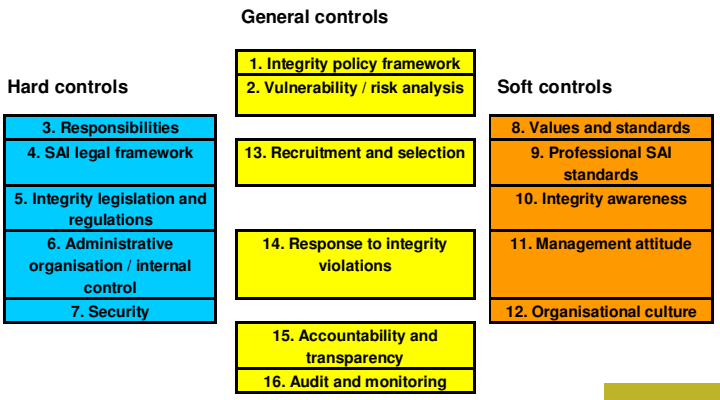
Integrity Control System



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Maturity levels

Level	Criteria
0	- The measure does not exist
1	- The measure exists - The measure is not implemented / observed
2	- The measure exists - The measure is implemented / observed - The measure is not effective
3	- The measure exists - The measure is implemented / observed - The measure is effective

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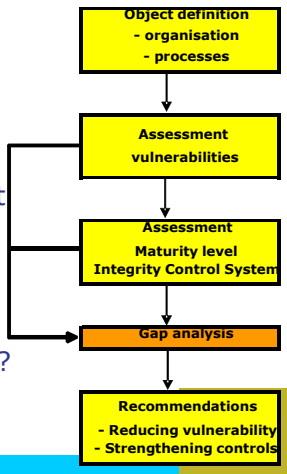
Gap analysis

Match integrity control system with established vulnerabilities

- What is the vulnerability profile?
- What are the most important vulnerable processes?
- Does the integrity control system protect the organisation against these integrity vulnerabilities/risks?
- What are the remaining vulnerabilities?



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Recommendations

Reducing vulnerability

1. …
2. …
3. …

Improving Integrity control system

1. …
2. …
3. …

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Group work

- Describe an example of a case where an organization was confronted with (an) integrity incident(s)
  - What organization?
  - What happened?
  - How was it discovered/disclosed?
  - Who were involved?
  - What impact did it have?
  - How did the responsible management react?
  - Was there any follow-up?

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What inherent vulnerabilities can you recognize in the case under discussion?

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What enhancing factors can you recognize in the case under discussion?

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What could have helped to prevent the incident or mitigate the impact in the case under discussion?

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Recommendations

Reducing vulnerability

1. …
2. …
3. …

Improving Integrity control system

1. …
2. …
3. …

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