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# ORGANISATIONAL RISK AND INTEGRITY ASSESSMENT (ORIA) INTEGRITY UPDATE FORM.

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## Introduction

The Organisational Risk and Integrity Assessment (ORIA) is an essential instrument when assessing the organisational capacity of an organisation. In principle, such an assessment is required for all new commitments of € 1.000.000 or more.

The ORIA consists of four parts:

- Part A: Organisational Information. This part contains relevant information related to the organisation. Besides the general information, this part of the ORIA describes the organisational motivation, capacity and environment.
- Part B: Appendices. Information which supports the description in Part A or can be helpful with the assessment in Part C can be attached. It can be useful to only list the appendices in part B with links or a separate (digital) location to the actual appendices.
- Part C: Assessment. This part reflects the actual assessment of the organisation. This will be done mainly on the information acquired in Part A & B.
- Part D: Signature. The assessment is formalized by the signatures of the assessor and approver.

**This document is focussed only on the parts which should be assessed in addition of the old COCA template.**

## Assessment executed by a third party

Budgetholders can opt to hire external expertise (such as an auditor or management consulting firm, etc.) to carry out the organisational capacity assessment. However, the ORIA should always be approved by an authorized representative of the Ministry's budgetholder.

## **Important**

If the organisation itself will be invited to fill in this form, only parts A and B can be provided.

If an external assessor will be hired, parts A, B and C can be provided.

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## PART A: ORGANISATIONAL INFORMATION

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### **Important**

Please note that for some questions included in part A you are obliged to provide documentation in part B of this document. A list with the required documents can be found in part B. Additional documentation in support of answers on other questions is optional, suggestions for supporting documents can also be found in part B.

#### 1.1.1 Integrity management

- Does the organisation have a code of conduct?
- Does the code of conduct define inappropriate behavior and set out what procedures are to be followed in the case of such behavior?
- Does the code of conduct clearly describe proportionate sanctions for inappropriate behavior?
- Which actions are taken by the organisation in case there is a report of inappropriate behavior.
- Does the organisation have one or more integrity advisers?
- Does the organisation have regulations protecting whistleblowers or another, comparable notification procedure?
- Does the organisation report on the way it deals with inappropriate behavior? (for instance, in its annual report or a separate social annual report)
- To what extent is the code of conduct integrated the organisation culture?
- Was the code of conduct breached in the last two years? In which ways and how did management respond?

## PART B: APPENDICES

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### **Important**

Please provide requested and additional documentation in support of the answers in part A. A link can suffice for this purpose. If the documents are not available online, the original documents must be appended.

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#### *1. OBLIGATORY ATTACHMENTS*

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Question 1.1.1: Code of Conduct

Question 1.1.1: Policy document regarding whistle blowers and integrity advisers

Question 1.1.1.: Report regarding social behaviour in the organisation like a social report.

Any other document which supports the answers of the integrity assessment.

## PART C: ASSESSMENT

### Important

Please limit your answers to factual observations and then give your overall assessment, noting any points you think need attention for effective risk management of the activity under normal circumstances.

You should also indicate if there are any aspects of this assessment that you are unable to perform properly on the basis of the information available in part A and B.

## 1. ORGANISATIONAL ENVIRONMENT

### 1.1 INTEGRITY PROCEDURES

Asses with the following six questions the organisations' policy on ethical standards and procedures for integrity:

1. Does the organisation have a code of conduct on integrity?
2. Does the code of conduct define inappropriate behavior and set out what procedures are to be followed in the case of such behavior?
  - a. It's vital that the organisation respond to all reports and notifications in accordance with the code of conduct (zero tolerance for inaction).
  - b. Does the code of conduct clearly describe proportionate sanctions for inappropriate behavior?
3. Does the organisation have one or more integrity advisers?
4. Does the organisation have regulations protecting whistleblowers or another, comparable notification procedure?
5. Does the organisation report on the way it deals with inappropriate behavior, for instance, in its annual report or a separate social annual report?

| <b>(Concluding) assessment and score with regard to Organisational Environment</b> |  |
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| <b>Assessment</b>  |  |

**In case the score is C or D is given, it is not acceptable to finance the organisation.**

## 2. SUMMARY OF ASSESSMENT SCORES AND FOLLOW UP

Please summarize the assessment scores in the table below

| <b>Criteria</b>             | <b>Score</b> |
|-----------------------------|--------------|
| <b>Integrity procedures</b> | A/B/C/D      |

### Follow up

If one of the above-mentioned scores is a C or a D the following is applicable:

1. Inform the organisation of the outcome, ask for their reaction and inquire if the organisation has any plans to alter their organisation. If so, ask for their plans and timeframe.
2. **In this assessment a score A or B is the minimum to get funding.**

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PART D: SIGNATURE

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DETAILS OF ASSESSMENT

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Date of assessment: [dd/mm/yyyy]

Assessment performed by:

Assessment approved by:

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