Decision No MB/2022/11

Of the Management Board

Of the European Union Agency for Cybersecurity (ENISA)

Amending the Decision No MB/2019/12

on the Internal Control Framework

for effective management applicable to the

European Union Agency for Cybersecurity

THE MANAGEMENT BOARD OF ENISA,

Having regard to:

- Regulation (EU, Euratom) 2019/881 of the European Parliament and of the Council of 17 April 2019 on ENISA (the European Union Agency for Cybersecurity) and repealing Regulation (EU) No 526/20131;
- Decision No MB/2019/12 of the Management Board of the European Union Agency for Cybersecurity on the Internal Control Framework for effective management applicable to the European Union Agency for Cybersecurity;
- Decision No MB/2019/8 of the Management Board of the European Union Agency for Cybersecurity on the Financial Rules applicable to ENISA in conformity with the Commission Delegated Regulation (EU) No 2019/715 of 18 December 2018, and in particular Article 30 (ENISA Financial Regulation);

Whereas:

- The Internal Control Framework is designed to provide reasonable assurance regarding the achievement of five objectives set in Article 30 of the ENISA Financial Regulation: (1) effectiveness, efficiency and economy of operations;(2) reliability of reporting; (3) safeguarding of assets and information;(4) prevention, detection, correction and follow-up of fraud and irregularities;(5) adequate management of the risks related to the legality and regularity of the underlying transactions, taking into account the multiannual character of the programmes as well as the nature of the payments concerned;
- Following the European Commission's relevant framework, the ENISA's Internal Control Framework consists of five (5) Internal Control Components and seventeen (17) Internal Control Principles; the framework is complemented by a list of fifty-seven (57) Internal Control Indicators that are used for the assessment of the Principles;
- Following the ENISA's Internal Control assessment for the year 2021, as well as guidance on Internal Controls obtained via the EU Agencies network, it has been deemed necessary to update the list of Internal Control Indicators of the framework with a view to address the Agency's organisational changes, increase effectiveness and ensure the proper implementation of the Internal Control Framework in the future;
- The Annex to the Decision No MB/2019/12 of the Management Board on the Internal Control Framework for effective management applicable to the European Union Agency for Cybersecurity needs to be modified to include the updated list of Internal Control Indicators. This update is only related to the indicators and aims to improve the

practical assessment of the Internal Controls within ENISA. The update does not affect the key Internal Control Components and Principles of the framework that remain the same.

HAS DECIDED TO ADOPT THE FOLLOWING DECISION:

Article 1

The Annex of the Decision No MB/2019/12 on the Internal Control Framework for effective management applicable to the European Union Agency for Cybersecurity is replaced as per the Annex of this Decision.

Article 2

This Decision shall enter into force on the date of its adoption.

Done at Athens on 16 November 2022.

On behalf of the Management Board

[signed]

Mr. Jean-Baptiste Demaison

Chair of the Management Board of ENISA

Annex 1: Indicators per components and principles

FIRST COMPONENT: Control Environment
Principle 1 Indicators

PRINCIPLE 1: ENISA demonstrate commitment to integrity and ethical values (Tone at the top - Standards of conduct - Alignment with standards)	
Indicator #	1
Indicator	Training/Workshop on ethics has been organized in the reporting year and addresses different needs/categories of staff (e.g. newcomers, managers, other staff)
Source of data[1]	ENISA intranet announcement and invitations sent to all staff
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 1: ENISA demonstrate commitment to integrity and ethical values (Tone at the top - Standards of conduct - Alignment with standards)	
Indicator #	2
Indicator	Percentage of staff members who followed the training/workshop on ethics in the last 2 years
Source of data	HR statistics (percentage of staff)
Value	xx%

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[1] The sources of data are indicative and not exhaustive. This is applicable to all indicators in the Annex.

PRINCIPLE 1: ENISA demonstrate commitment to integrity and ethical values (Tone at the top - Standards of conduct - Alignment with standards)

Indicator #	3
Indicator	Percentage of staff that believes that ENISA management decisions and actions are taken with respect to integrity and ethical values
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[1]
Target Value (after assessment)	70%

PRINCIPLE 1: ENISA demonstrate commitment to integrity and ethical values (Tone at the top - Standards of conduct - Alignment with standards)

Indicator #	4
Indicator	Percentage of staff being aware of ENISA's code of conduct and relevant internal policies (e.g. conflict of interest)
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[2]

PRINCIPLE 1: ENISA demonstrate commitment to integrity and ethical values (Tone at the top - Standards of conduct - Alignment with standards)

Indicator #	5
Indicator	Number of disciplinary cases and harassment cases at ENISA[3]

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.
[2] Idem.
[3] To be also associated with relevant questions in ENISA's staff survey, if any.

Source of data	HR anonymised information (including for informal harassment procedure)
Value	Number
Target Value (after assessment)	0

FIRST COMPONENT: Control Environment
Principle 2 Indicators

PRINCIPLE 2: ENISA Management exercises oversight responsibility of the development and performance of internal control	
Indicator #	6
Indicator	Regular reporting to the MB/EB on the management carried out by the ED (e.g. on audits, SPD and budget implementation, staff matters)
Source of data	MB/EB meetings/minutes
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 2: ENISA Management exercises oversight responsibility of the development and performance of internal control	
Indicator #	7
Indicator	ENISA follows up on relevant conclusions and deficiencies as concerns the results of the annual Internal Control (IC) assessment
Source of data	IC Assessment Report, MT minutes
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 2: ENISA Management exercises oversight responsibility of the development and performance of internal control	
Indicator #	8
Indicator	ENISA's Consolidated Annual Activity Report (CAAR) includes the Declaration of Assurance of the Executive Director as an Annex
Source of data	CAAR
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 2: ENISA Management exercises oversight responsibility of the development and performance of internal control	
Indicator #	9
Indicator	The delegated Authorising Officers sign a cascading declaration of assurance covering their areas
Source of data	Cascading declaration of assurance in which the Authorising Officer reports on the use of his/her respective budgetary powers and related use of resources
Value	Yes/No with justification
Target Value (after assessment)	Yes

FIRST COMPONENT: Control Environment
Principle 3 Indicators

PRINCIPLE 3: ENISA's Management establishes structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives	
Indicator #	10
Indicator	Organisational chart is adopted, updated and transparently communicated to all staff after every change
Source of data	ENISA intranet
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 3: ENISA's Management establishes structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives	
Indicator #	11
Indicator	Delegation of authority is documented respecting the segregation of duties
Source of data	ENISA intranet, HR data, Risk assessment (incl. sensitive functions)
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 3: ENISA's Management establishes structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives	
Indicator #	12
Indicator	Percentage of staff feeling that they have a clear idea of their job responsibilities and objectives
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[1]

PRINCIPLE 3: ENISA's Management establishes structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives	
Indicator #	13
Indicator	Percentage of staff feeling that they participate in the decisions that affect their daily work and tasks at ENISA
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[2]

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.
[2] Idem.

FIRST COMPONENT: Control Environment
Principle 4 Indicators

PRINCIPLE 4: ENISA demonstrates commitment to attracting, developing and retaining competent individuals in alignment with objectives	
Indicator #	14
Indicator	Percentage of staff turnover (leaving the Agency before completing half of their contract)
Source of data	HR statistics
Value	xx%
Target Value (after assessment)	<= 5 %

PRINCIPLE 4: ENISA demonstrates commitment to attracting, developing and retaining competent individuals in alignment with objectives	
Indicator #	15
Indicator	A comprehensive competence framework is in place and linked to staff appraisals
Source of data	Competence framework, Workforce planning, Staff appraisal framework, Learning and development scheme
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 4: ENISA demonstrates commitment to attracting, developing and retaining competent individuals in alignment with objectives	
Indicator #	16
Indicator	Career development opportunities are offered via different means (e.g. internal mobility, calls for expression of interest, etc.)
Source of data	ENISA intranet, internal vacancies, ENISA policies on internal mobility and workforce planning
Value	Yes/No with justification (opportunities offered within the year)
Target Value (after assessment)	Yes

PRINCIPLE 4: ENISA demonstrates commitment to attracting, developing and retaining competent individuals in alignment with objectives	
Indicator #	17
Indicator	Percentage of staff feeling that the Agency offers options for their career development
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	50%[1]

PRINCIPLE 4: ENISA demonstrates commitment to attracting, developing and retaining competent individuals in alignment with objectives	
Indicator #	18
Indicator	Percentage of staff feeling that the learning opportunities at ENISA help them maintain/develop their skills and competences
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[2]

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.
[2] Idem.

FIRST COMPONENT: Control Environment
Principle 5 Indicators

PRINCIPLE 5: ENISA holds accountable for their internal control responsibilities in the pursuit of objectives	
Indicator #	19
Indicator	Annual objectives are regularly reviewed in the course of the year as needed and related to ENISA's SPD
Source of data	MT minutes, project management tool
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 5: ENISA holds accountable for their internal control responsibilities in the pursuit of objectives	
Indicator #	20
Indicator	Staff appraisal and reclassification exercises are done within the time frame set by the Staff Regulations and linked to the ENISA's organisation and competence framework
Source of data	HR data, Competence framework, Appraisal and reclassification frameworks
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 5: ENISA holds accountable for their internal control responsibilities in the pursuit of objectives	
Indicator #	21
Indicator	Percentage appeals to the appraisals
Source of data	HR data – statistics
Value	xx%
Target Value (after assessment)	<= 5 %

PRINCIPLE 5: ENISA holds accountable for their internal control responsibilities in the pursuit of objectives	
Indicator #	22
Indicator	Percentage of staff feeling that their work is recognised appropriately when compared to others doing similar work in the Agency
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70 %[1]

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.

SECOND COMPONENT: Risk assessment
Principle 6 Indicators

PRINCIPLE 6: ENISA specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives	
Indicator #	23
Indicator	Mission statements have been reviewed at Agency (Unit /Team) level and endorsed by stakeholders
Source of data	ENISA internal structure and organisation (MB, ED Decisions)
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 6: ENISA specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives	
Indicator #	24
Indicator	Percentage of staff stating that they understand the Agency's objectives and how these are linked to their work
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70 %[1]

PRINCIPLE 6: ENISA specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives	
Indicator #	25
Indicator	Rate of budget implementation
Source of data	BMC reports
Value	xx%
Target Value (after assessment)	98 %

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.

PRINCIPLE 6: ENISA specifies objectives with sufficient clarity to enable the identification and assessment of risks relating to objectives	
Indicator #	26
Indicator	Achievement of pre-defined targets for objectives set in the SPD against pre-defined indicators
Source of data	ENISA's SPD KPIs
Value	xx%
Target Value (after assessment)	65% (linked to the SPD KPIs)

SECOND COMPONENT: Risk assessment
Principle 7 Indicators

PRINCIPLE 7: ENISA identify risks to the achievement of its objectives across the organisation and analyse risks as a basis for determining how the risks should be managed.	
Indicator #	27
Indicator	Risks have been identified and documented at unit/team level and at enterprise level
Source of data	Annual risk assessment exercise, Agencies cross-cutting risk-assessment, Risk identification per activity (MT inceptions/finalisations), audits, ex-post controls, register of exceptions
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 7: ENISA identify risks to the achievement of its objectives across the organisation and analyse risks as a basis for determining how the risks should be managed.	
Indicator #	28
Indicator	Risks have been assessed at unit/team level and at enterprise level
Source of data	Enterprise risk management policy and annual assessment, Reporting of high risks to MT/MB
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 7: ENISA identify risks to the achievement of its objectives across the organisation and analyse risks as a basis for determining how the risks should be managed.	
Indicator #	29
Indicator	Implementation within the target deadline of mitigating measures against high risks (as identified during risk assessment exercise)
Source of data	Risk treatment plans (defined under risk assessment exercise)
Value	xx%
Target Value (after assessment)	90 %

SECOND COMPONENT: Risk assessment
Principle 8 Indicators

PRINCIPLE 8: ENISA considers the potential for fraud in assessing risks to the achievement of objectives	
Indicator #	30
Indicator	ENISA adopts, updates and enforces its anti-fraud strategy
Source of data	ENISA intranet
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 8: ENISA considers the potential for fraud in assessing risks to the achievement of objectives	
Indicator #	31
Indicator	Percentage of staff aware of the anti-fraud strategy and how to report fraud
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70 %[1]

PRINCIPLE 8: ENISA considers the potential for fraud in assessing risks to the achievement of objectives	
Indicator #	32
Indicator	Percentage of staff members who followed the anti-fraud training in the last 2 years
Source of data	HR statistics (percentage of staff)
Value	xx%
Target Value (after assessment)	70%

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.

SECOND COMPONENT: Risk assessment
Principle 9 Indicators

PRINCIPLE 9: Identifies and analyses significant change	
Indicator #	33
Indicator	Organisational and regulatory change is captured and relevant risks are reflected in the risk register as appropriate
Source of data	MT minutes, risk assessment, risk register
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 9: Identifies and analyses significant change	
Indicator #	34
Indicator	Percentage of staff feeling that ENISA responds effectively to organisational or regulatory changes in their field of work
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70 %[1]

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.

THIRD COMPONENT: Control Activities
Principle 10 Indicators

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	35
Indicator	Results of control and performance indicators are regularly monitored as to ensure achievement of related objectives
Source of data	SPD KPIs, External validation, Internal Controls Assessment
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	36
Indicator	The assessment of the functioning of the internal control principles has been used as activity supervision tool
Source of data	Internal Control Framework, identified list of deficiencies and recommendations
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	37
Indicator	Percentage Ex Ante financial verification
Source of data	Ex ante verification policy, ABAC
Value	xx%
Target Value (after assessment)	100 %

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	38
Indicator	Percentage Ex Post Control Financial transactions
Source of data	Ex Post Control methodology and results
Value	% transactions in value and volume
Target Value (after assessment)	Minimum 5% for both in value and volume

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	39
Indicator	Percentage committed in total EU Budget (C1 funds)
Source of data	ABAC
Value	xx%
Target Value (after assessment)	98%

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	40
Indicator	Percentage of implementation of accepted IAS and ECA recommendations within the set timeline
Source of data	IAS/ECA reports
Value	xx %
Target Value (after assessment)	100%

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels

Indicator #	41
Indicator	ABAC access rights are reviewed once a year by a neutral verifier
Source of data	ABAC security report and ABAC neutral verification
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels

Indicator #	42
Indicator	Four eyes principle has been ensured in all financial and non-financial workflows (design of financial circuits and operational workflows)
Source of data	ABAC and Paperless application, specific assessments/audit reports
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels

Indicator #	43
Indicator	Business continuity strategy is defined and business continuity plans are active and tested regularly
Source of data	BCP strategy and plans
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 10: ENISA selects and develops control activities that contribute to the mitigation of risks to the achievement of objectives to acceptable levels	
Indicator #	44
Indicator	A policy for sensitive positions is in place and assessed on regular basis
Source of data/evidence	EDD on sensitive posts, sensitive posts assessment methodology, review of controls for sensitive posts
Value	Yes/No with justification
Target Value (after assessment)	Yes

THIRD COMPONENT: Control Activities
Principle 11 Indicators

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives	
Indicator #	45
Indicator	An IT strategy, covering all Agency's IT systems, is in place and up-to-date
Source of data	IT strategy, IT registry, ITMC minutes and recommendations, IT policies
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives	
Indicator #	46
Indicator	Performance of IT systems
Source of data	ITMC
Value	% ITMC indicators for IT systems performance
Target Value (after assessment)	Target value as per ITMC indicators[1]

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives	
Indicator #	47
Indicator	Percentage staff satisfaction with IT systems/services
Source of data	ENISA staff survey
Value	xx %
Target Value (after assessment)	70%[2]

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[1] As provided by ITMC and/or further revised.
[2] Indicative target value, to be validated in the context of ENISA's staff survey.

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives

Indicator #	48
Indicator	An IT security management framework is in place and up-to-date; IT security risks are identified and treated in a timely manner
Source of data	IT security risk management framework, annual risk assessment
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives

Indicator #	49
Indicator	Percentage of high IT security risks in previous reporting year addressed within set timelines
Source of data	Annual IT security risk assessments, results of other assessments (e.g. red teaming, specific task forces), ITMC recommendations
Value	xx%
Target Value (after assessment)	100%

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives

Indicator #	50
Indicator	Number of high-risk security incidents within the reporting year that were due to known security issues (e.g. security vulnerabilities known for more than 30 days, systems unpatched, exposed servers, etc.)
Source of data	Incident repository, security risk assessment
Value	Number
Target Value (after assessment)	0

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives

Indicator #	51
Indicator	Number of security incidents reported to EDPS/CERT-EU
Source of data	Incident repository
Value	Number
Target Value (after assessment)	<=5

PRINCIPLE 11: ENISA selects and develops general control over technology to support the achievement of objectives

Indicator #	52
Indicator	Percentage of total IT budget allocated to information security (percentage should be proportional to the level of risks in the different IT systems within the Agency)
Source of data	ITMC
Value	xx%
Target Value (after assessment)	10% (of total IT budget and proportional to the risks)

THIRD COMPONENT: Control Activities
Principle 12 Indicators

PRINCIPLE 12: ENISA deploys control activities through policies that establish what is expected and in procedures that put policies into action	
Indicator #	53
Indicator	Percentage of exceptions with high risk registered
Source of data	Register of exceptions and associated processes (paperless/ARES)
Value	Number
Target Value (after assessment)	0

PRINCIPLE 12: ENISA deploys control activities through policies that establish what is expected and in procedures that put policies into action	
Indicator #	54
Indicator	Number of recurrent exceptions in risk register over past 3 years
Source of data	Register of exceptions and associated processes (paperless/ARES)
Value	Number of identified exceptions
Target Value (after assessment)	0 high risk exception / 10 medium risk exceptions / 20 low risk exceptions

PRINCIPLE 12: ENISA deploys control activities through policies that establish what is expected and in procedures that put policies into action	
Indicator #	55
Indicator	ENISA's internal policies and procedures are clearly documented and communicated to staff
Source of data	ENISA intranet (updated policies published, information provided to staff)
Value	Yes/No with justification
Target Value (after assessment)	Yes

FOURTH COMPONENT: Information and Communication
Principle 13 Indicators

PRINCIPLE 13: ENISA obtains or generates and uses relevant quality information to support the functioning of internal control	
Indicator #	56
Indicator	ENISA applies an internal document management system that allows access to and retrieval of information, where needed (incl. official communication, internal policies/procedures, corporate documents)
Source of data	ENISA document management process/policies, ENISA central registry, ENISA intranet
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 13: ENISA obtains or generates and uses relevant quality information to support the functioning of internal control	
Indicator #	57
Indicator	Percentage of staff considering that the information they need to do their job is easily available/accessible within ENISA
Source of data	ENISA staff survey
Value	xx%
Target Value (after assessment)	70%[1]

PRINCIPLE 13: ENISA obtains or generates and uses relevant quality information to support the functioning of internal control	
Indicator #	58
Indicator	Access to information within ENISA's systems is based on the need-to know principle
Source of data	ENISA document management process/policies, ENISA intranet, IT security risk assessment
Value	Yes/No with justification
Target Value (after assessment)	Yes

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[1] Indicative target value, to be validated in the context of ENISA's staff survey.

FOURTH COMPONENT: Information and Communication
Principle 14 Indicators

PRINCIPLE 14: ENISA communicates information internally, including objectives and responsibilities for internal control, necessary to support the functioning of internal control	
Indicator #	59
Indicator	ENISA's management communicates internally about their objectives, challenges, actions taken and results achieved
Source of data	ENISA intranet, Q&A sessions, MT meeting minutes
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 14: ENISA communicates information internally, including objectives and responsibilities for internal control, necessary to support the functioning of internal control	
Indicator #	60
Indicator	Separate communication lines, such as whistleblowing arrangements, are in place at Agency level and communicated to staff, in order to ensure information flow when normal channels are ineffective
Source of data	Anti-Fraud strategy/Whistleblowing
Value	Yes/No with justification
Target Value (after assessment)	Yes

FOURTH COMPONENT: Information and Communication
Principle 15 Indicators

PRINCIPLE 15: ENISA communicates with external parties about matters affecting the functioning of internal control	
Indicator #	61
Indicator	ENISA communicates its activities in a transparent way and in line with internal control principles
Source of data	ENISA website and social media, Public Access to Documents policy, IPR policy, data protection registry
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 15: ENISA communicates with external parties about matters affecting the functioning of internal control	
Indicator #	62
Indicator	ENISA has an up-to-date Communication Strategy and Stakeholders Strategy in place
Source of data	ENISA communications strategy, stakeholder strategy
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 15: ENISA communicates with external parties about matters affecting the functioning of internal control	
Indicator #	63
Indicator	ENISA provides a detailed description of its internal control assessment in the CAAR
Source of data	Consolidated Annual Activity Report
Value	Yes/No with justification
Target Value (after assessment)	Yes

FIFHT COMPONENT: Monitoring Activities
Principle 16 Indicators

PRINCIPLE 16: ENISA selects, develops and conducts ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning	
Indicator #	64
Indicator	Timely follow up of recommendations and risks identified in ex-ante and ex-post controls and other financial evaluations
Source of data	Ex-ante & ex-post assessments
Value	Yes/No with justification
Target Value (after assessment)	Yes

PRINCIPLE 16: ENISA selects, develops and conducts ongoing and/or separate assessments to ascertain whether the components of internal control are present and functioning	
Indicator #	65
Indicator	Annual internal control assessment and risk assessment results are communicated to ENISA's management in a timely way, including proposed recommendations/risk treatment plans
Source of data	Internal Control assessment policy, annual risk assessment, Other specific assessments
Value	Yes/No with justification
Target Value (after assessment)	Yes

FIFHT COMPONENT: Monitoring Activities
Principle 17 Indicators

PRINCIPLE 17: ENISA assesses and communicates internal control deficiencies in a timely manner to those parties responsible for taking corrective action, including senior management as appropriate	
Indicator #	66
Indicator	Percentage of timely implementation of corrective actions to address internal control deficiencies (as identified during the internal control self-assessment exercise)
Source of data	Internal Control assessment, annual risk assessment Other specific assessments
Value	xx %
Target Value (after assessment)	100% for critical, 80% major, 60% moderate (recommendations of past year's IC)