**The state of implementation of measures to eliminate (minimize) corruption risks**

**in the activities of the Economic Security Bureau of Ukraine in 2022**

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| **Corruption risk** | **Measures to eliminate corruption risk** | **Execution status** |
| **1** | **2** | **3** |
| 1. **Organizational activity, management of a state body** | | |
| 1.The possibility of undue influence of third parties on the activities of the ESBU employees in connection with the exercise of their official powers. | 1) Creation, construction and implementation of an internal control system that ensures:  - identification of risks that hinder the qualitative performance by structural units of functions and tasks defined by regulatory and legal acts;  - control of the implementation of plans, tasks and functions defined by legislation and approved internal documents. | **Constantly performed.**  The ESBU order No. 120 dated 29.12.2021 "On the approval of the Instructions on the organization of internal control at the Economic Security Bureau of Ukraine" established uniform general requirements for the construction of the system (identified participants of the system Department of communication , the list and format of internal annual documents, deadlines for implementing measures to implement its provisions, definition and assessment of risks, deadlines for submission of the ESBU report and TD of the ESBU, etc.).  Internal administrative documents have been used to allocate powers and responsibilities between officials, units, divisions and employees of the ESBU.  A Description of the internal environment of the ESBU was developed, which includes a list of tasks and functions assigned to the ESBU, a list of legal acts that determine the procedure for performing certain functions, the distribution of functions and processes between structural units, and employees of the ESBU .  The description of processes is carried out by areas of activity and functions in text form, which ensures the completeness and clarity of the display of the activities of structural units and employees of the ESBU.  Identification of risks was carried out for all areas of the ESBU activity in each structural unit, risks were assessed by categories and types. The process of identifying risks is carried out by employees of all structural subdivisions of the ESBU with a sufficient level of competence in the relevant field of activity, who are able to identify risks, assess the probability of their occurrence and impact on the achievement of specified goals and by a working group, the personnel of which was approved by the order of the ESBU dated 08.25.2022 No. 200 " About making changes to the composition of the working group for the identification of risks and the assessment of the probability of their occurrence, the impact on the achievement of the specified ESBU". Annual internal documents have been developed: the ESBU risk register for 2022, the ESBU risk management plan for 2022, the ESBU monitoring plan for the current year.Communication is carried out both from the ESBU management to employees and vice versa, as well as between all structural units, the ESBU officials and external stakeholders in the course of tasks, functions and processes. Information and communication exchange ensures that managers at all levels have the information necessary to make decisions on the performance of tasks and functions assigned to them. (the system of information and communication exchange is formed by the Instruction on the Organization of Office Management, approved by the Order of the Economic Security Bureau of Ukraine dated February 4, 2022 No. 31, which contains procedures, forms, volumes, terms, a list of providers and recipients of information, etc.)  The ESBU ensures the timely provision of the Report on the state of functioning of the internal control system (annually). |
| 2) Approval of the Rules of professional ethics of the ESBU employees. | **Done.**  Rules of professional ethics of employees of the Economic Security Bureauof Ukraine, approved by the ESBU Order dated 30.06.2022 No. 129, registered in the Ministry of Justice of Ukraine on 19.08.2022 under  No. 943/38279. |
| 3)Analysis of the information specified in the submitted integrity questionnaires of the ESBU employees. | **Constantly performed.**  Questionnaires submitted by employees are included in the Register of Employee Integrity Questionnaires. The information specified in the questionnaires was analyzed for compliance by the ESBU employees with the provisions and requirements of the laws of Ukraine "On Prevention of Corruption", "On the Economic Security Bureau of Ukraine", "On Civil Service" and legislation on ethical behavior. In the reporting period, there were no risks of unscrupulous behavior of employees, which could negatively affect the reputation of the employee and the authority of the ESBU . |
| **2.Information management** | | |
| 1.It is possible to disclose or use in a different way the information obtained by the ESBU employees during the performance of official duties. | 1) Introduction of an electronic document management system, which involves monitoring the actions of the ESBU employees in the creation and use of information. | **Done.**  The "Megapolis.DocNet" electronic document management system has been implemented in the central office of the ESBU, which provides for the monitoring of the actions of the ESBU employees in the creation and use of information. |
| 2)Implementation of the information security management system. Implementation of complex information protection systems for IT systems and obtaining certificates of compliance for them. | **Constantly performed.**  In order to ensure compliance with the regime of secrecy during the performance of tasks and functions of the ESBU, as well as to create the appropriate conditions necessary for carrying out activities related to state secrets, a regime-secret body was created in the ESBU and received a special permit #SSPL1-2022-22 dated 02.02 .2022 for conducting activities related to state secrets, issued by the Security Service of Ukraine.  In the reporting period, a number of measures were taken to prevent unauthorized disclosure (leaks) of restricted information:  - the implementation of a pilot project regarding a software solution to prevent the leakage of confidential information GTB DLP SUITE is being implemented;  - specialized CheckPoint network traffic protection and cyber threat prevention devices are installed;  - ESET PROTECT Complete endpoint cyber threat detection and antivirus software is installed and CrowdStrike Falcon NGAV+EDR endpoint protection software is being configured and tested for its further implementation.  In addition, the Response Plan for cyber incidents and cyber attacks was developed, which was approved by Order No. 182 dated 08/12/2022.  The ESBU Order dated February 1, 2022 No. 27 approved the list of information that constitutes official information in the ESBU and approved the order "On measures to prevent unauthorized use and disclosure of information from automated information systems."  The ESBU Order dated 07.12.2022 No. 364 approved the procedure for remote access to the ESBU information resources. |
| **3. Управління персоналом**  **Personnel Management** | | |
| 1. The possibility of undue influence of the members of the ESBU competition commissions on the results of the competition, the granting of illegal advantages to individual candidates for positions in the ESBU. | Software:  - video recording of the meetings of the competition commission, in particular during the interviews (by decision of the commission);  - participation of observers from the Representation of the European Union in Ukraine (in case of receiving their offer to participate in the meeting of the tender committee);  - a written warning to the members of the competition commission about personal (disciplinary) responsibility for disclosing information that became known to them during the competition and the obligation to notify the manager in case of attempts of illegal influence by third parties. | **Constantly performed.**  Clause 3 of Chapter VII of the Rules of Procedure of the Competition Commissions for Conducting a Competition for Vacant Positions of Official and Non-Official Full-time Employees with Special Titles in the Economic Security Bureau of Ukraine, as amended by the ESBU Order dated August 15, 2022 No. 183, stipulates that, according to the decision of the competition commission, the conduct of an interview it can be fixed using video and/or audio technical means, which the candidate must be informed about before the start of the test.  Representatives of the Consultative Mission of the European Union in Ukraine were involved in the work of the ESBU Competition Commission regarding holding competitions to fill vacant positions of full-time employees who have special titles in the central apparatus and territorial offices of the ESBU. |
| 2. The possibility of undue influence of the members of the disciplinary commission of the ESBU on the results of the disciplinary proceedings. | 1)Implementation of a mechanism for timely informing the members of the disciplinary commission regarding the organization of the work of the disciplinary commission, recording the actions of the members of the disciplinary commission. | **Done.**  The Regulation on the Disciplinary Commission of the Economic Security Bureau of Ukraine was approved (order of the ESBU dated 24.01.2022 No. 15, registered in the Ministry of Justice of Ukraine on 29.03.2022 under No. 359/37695). |
| 2)Inclusion of representatives of the Council of Public Control under the ESBU in the disciplinary commission of the ESBU. | **In the process.**  The personal composition of the ESBU disciplinary commission has not been approved, organizational measures are being taken to form the personal composition of the ESBU disciplinary commission. |
| **4. Organization of work on prevention and detection of corruption, internal security system** | | |
| 1.Probability of violation of the rights of whistleblowers to report through internal channels about corruption and corruption-related offenses, other violations of the requirements of the Law of Ukraine "On Prevention of Corruption" by the ESBU employees. | 1)Implementation of mechanisms for encouraging and forming a culture of reporting corruption. | **Done.**  Provisions regarding the implementation of mechanisms to encourage whistleblowers and the formation of a culture of reporting on possible facts of corruption or corruption-related offenses, other violations of the Law of Ukraine "On Prevention of Corruption" in the Economic Security Bureau of Ukraine approved by the order of the Security Service of Ukraine dated 07.05.2022 No. 134, registered in the Ministry of Justice of Ukraine dated August 11, 2022 No. 911/38247. |
| 2) Determination of the procedure for consideration of reports on possible facts of corruption or corruption-related offenses, other violations of the Law of Ukraine "On Prevention of Corruption", received through internal channels. | **Done.**  The procedure for organizing work with reports on possible facts of corruption or corruption-related offenses, other violations of the Law of Ukraine "On the Prevention of Corruption" in the Economic Security Bureau of Ukraine was approved by the Order of the ESBU dated 07/05/2022 No. 134, registered in the Ministry of Justice of Ukraine dated 08/11/2022 No. 911/38247. |
| 2. The probability of abuse of official position by the ESBU officials and officials authorized to carry out integrity checks and monitoring of the way of life of the ESBU employees. | Development of a draft of the Law of Ukraine "On Amendments to the Law of Ukraine "On the Economic Security Bureau of Ukraine regarding the implementation of integrity checks and monitoring of the lifestyle of employees", which defines:  - the procedure for carrying out integrity checks and monitoring the lifestyle of the ESBU employees;  - the unit authorized to carry out such inspections, its status, subordination and operating procedures;  - mechanisms of social control based on the results of integrity checks and monitoring of the lifestyle of the ESBU employees. | **In the process.**  According to the ESBU Order No. 369 dated 13.12.2022, it was included in the plan of standard-setting work, and a working group was formed to develop amendments to the Law of Ukraine "On the Economic Security Bureau of Ukraine". |
| **5. Public procurement** | | |
| 1. The probability of establishing an unreasonable (overestimated) expected value and price of the contract, artificial overestimation of procurement volumes. | Conducting price monitoring when determining the expected price the cost of procurement, goods, works and services during procurement. | **Constantly performed.**  When planning purchases an analysis of information on the assortment of goods, works and services, which is contained in open sources (including on the websites of manufacturers and/or suppliers of relevant products, specialized trading platforms, in electronic catalogs, advertising, price lists, in the electronic system procurement "Prozorro" and on similar trading electronic platforms), as well as an exemplary method of determining the expected value of the subject of procurement is used.  In the reporting period, when planning purchases and (or) preparing a draft contract, the expected value based on monitoring results corresponded to average market prices. |
| 2.The probability of dividing one subject for concluding a direct contract or applying simplified procurement. | Conducting an analysis of the availability and grounds for dividing purchases of goods (services) of one type into several separate procedures. | **Constantly performed.**  In the reporting period, the procurement subject was determined according to the fourth sign of the DK 021:2015 classifier, indicating the specific name of the procurement subject in accordance with the procurement plan. |
| 3.The probability of intentional and groundless use of negotiation procedures. | Conducting an analysis of the presence or absence of a sufficient number of participants to ensure competition. | **Constantly performed.**  In the reporting period, when deciding on the issue of procurement through the application of the negotiation procedure, a check was carried out regarding the existence of grounds for such a decision in accordance with Article 40 of the Law of Ukraine dated 12.25.2015  No. 922-VIII "On public procurement" and supplier market analysis. |
| 4. The possibility of establishing discriminatory terms of the tender documentation and restriction of competition. | Conducting a market analysis and studying the extent to which the characteristics of the product, work or service declared by the customer in the tender documentation are specific or special, compared to other purchases of this customer, and in the absence of such - to other tenders in the industry. | **Constantly performed.**  In the reporting period, during the preparation of the tender documentation, in order to prevent discrimination of procurement participants, an analysis of the characteristics of the goods, works or services planned to be procured was carried out:  - BI Prozorro analytical modules and the Youcontrol system are used at the stage of tender documentation preparation.  - a market analysis is conducted and a study of the extent to which the characteristics of the product, work or service declared by the customer in the tender documentation are specific or special in comparison with others. |
| **6.Implementation of investigative activities and pre-trial investigation** | | |
| 1. The probability of abuse of official position by a detective during the recording of investigative actions. | Equipment of separate special offices equipped with technical devices for recording interrogations and other investigative actions. | **In the process.**  The event has been postponed until next year. |
| 2.The probability of disclosure of pre-trial investigation information. | Approval of the Instructions on the organization of accounting and the movement of criminal proceedings in the units of detectives of the ESBU. | **In the process.**  According to the ESBU Order dated 13.12.2022 No. 369, it is included in the plan of standard-setting work. |
| 3.The possibility of abuse of official position by a detective during the transfer of material evidence for safekeeping. | 1) Determination of persons responsible for the storage of physical evidence. | **Done.**  According to the ESBU Order dated August 9, 2022 No. 180, the persons responsible for the storage of material evidence have been determined. |
| 2) Determination of the procedure for checking the condition and storage conditions of material evidence, the correctness of document management regarding their acceptance and accounting. | **In the process.**  According to the ESBU Order dated 13.12.2022 No. 369, it is included in the plan of standard-setting work. |
| **7. Carrying out information-research and analytical-information work, identification of risk zones and risk assessment in the field of economy** | | |
| 1. The possibility of abuse of official position by an analyst during the creation of an analytical product and/or an information document. | 1) Approval of the Instructions for the preparation of analytical products and information documents. | **In the process.**  According to the ESBU Order dated 13.12.2022 No. 369, it is included in the plan of standard-setting work. |
| 1. Approval of the Procedure for applying a risk-oriented approach. | **In the process.**  According to the ESBU Order dated 13.12.2022 No. 369, it is included in the plan of standard-setting work. |
| 2. The probability of abuse of official position by the analyst during the assessment of risks and threats to the economic security of the state, working out ways to minimize and eliminate them. | Development of the Procedure for carrying out a set of activities on risk assessment in the field of economy. | **In the process.**  According to the ESBU Order No. 369 dated 13.12.2022, the draft resolution of the Cabinet of Ministers of Ukraine "On approval of the Procedure for carrying out a set of measures for assessing risks in the sphere of economy" was included in the plan of standard-setting work and the development of the project began. Activities are carried out with the participation of the State Institution " State Organization V. Mamutov Institute of Economic and Legal Research of the National Academy of Sciences of Ukraine” regarding the integration of scientific achievements and results of professional research in the field of economics into practical activities and regulatory documents. |