**APPENDIX G**

**Chart 9. Revised Maturity Model for Evaluating Integrity Management in Public Procurement**

|  |  |  |  |
| --- | --- | --- | --- |
| # | STAGE\* | EVALUATION QUESTION | MATURITY LEVEL\*\* |
| 1 | P / T / M | Does the organization have an internal audit that operates within the procurement process? (3rd line of defence) | 1 - It does not have a government internal audit unit;  2 - It has a government internal audit unit, but there is no evidence that it has been actively involved in the procurement flow in the last 2 years;  3 - It has a government internal audit unit that actively participates in the procurement flow, but there is no evidence that actions are planned based on integrity risk management;  4 - It has a government internal audit with systematic involvement in the procurement flow, with action planning based on risks, considering integrity risks. |
| 2 | P / T / M | Does the organization have an integrity management unit that coordinates and supervises integrity actions? (2nd line of defence) | 1 - The organization has not formally assigned Integrity Management Coordination to a specific unit;  2 - The organization has formally assigned Integrity Management Coordination to a specific unit, but there is no evidence of actions related to the procurement process being undertaken;  3 - The organization has formally assigned integrity management coordination to a specific unit, there is evidence of this unit's involvement in the procurement process, but there is no creation of reports or other documents characterizing the monitoring, evaluation, and reporting to top management;  4 - The organization has formally assigned integrity management coordination to a specific unit, actively involved in the procurement process, and with the creation of reports or other documents characterizing the monitoring, evaluation, and reporting to top management. |
| 3 | P / T / M | Does the organization have an integrity plan with actions that impact the procurement process? | 1 - There is no evidence of a formal integrity plan;  2 - The organization has an integrity plan but does not specify actions impacting the procurement process;  3 - The organization has an integrity plan with actions impacting the procurement flow, but there is no evidence that the plan was built based on risk management;  4 - The organization has an integrity plan with actions impacting the procurement process, based on risk management. |
| 4 | P / T / M | Does the organization conduct integrity-focused risk management within the public procurement process? | 1 - There is no evidence of risk management that impacts the contracts entered into;  2 - The existence of a risk management map in various contracts is evidenced, but without the identification of risks to integrity;  3 - The existence of a risk management map is evidenced, with the identification and risk treatment measures for the integrity of contracts, but they are not published in active transparency;  4 - The existence of a risk management map is evidenced, with the identification and risk treatment measures for the integrity of contracts, which are published in active transparency. |
| 5 | M | Does the organization have a pre-qualification procedure that considers integrity risks? | 1 - There is no evidence of the use of the pre-qualification procedure;  2 - Uses the pre-qualification procedure but there is no evidence of verifying integrity items in the procedure;  3 - Uses the pre-qualification procedure, checks information about the integrity of the supplier, but there is no possibility of exclusion based on integrity risk criteria;  4 - Uses the pre-qualification procedure, collects information about the integrity of the supplier, and specifies the possibility of excluding the supplier based on integrity risk criteria. |
| 6 | M | Does the organization collect information and classify its suppliers based on integrity risk levels? | 1 - Does not classify suppliers according to the degree of integrity risk, nor collects information about integrity;  2 - Requires suppliers to fill out questionnaires with integrity-related questions but does not conduct due diligence;  3 - Has due diligence procedures to collect information about suppliers, including integrity-related information;  4 - Classifies its suppliers according to integrity risk levels, allowing differentiated actions by the contract manager. |
| 7 | M | Does the organization require Integrity Programs from suppliers? | 1 - Does not require Integrity Programs from contractors;  2 - Requires a contractual commitment (clauses) that contractors implement Integrity Programs but does not have a procedure to verify this implementation;  3 - Requires the implementation of Integrity Programs and verifies it in large contracts;  4 - Requires the implementation of Integrity Programs and verifies it, even in not large sum contracts. |
| 8 | M | Does the organization have regulations regarding the selection and appointment of contract managers and oversight personnel? | 1 - There is no identification of regulation for the policy of appointing and selecting public agents who work in contract management, nor is there evidence that technical criteria are used for this appointment;  2 - There is no identification of regulation for the policy of appointing and selecting public agents who work in contract management and supervision, but there is a formal use of technical or integrity criteria for this appointment;  3 - There is regulation for the policy of appointing and selecting public agents who work in contract management and supervision, but there is only the use of technical criteria for this appointment;  4 - There is regulation for the policy of appointing and selecting public agents who work in contract management and supervision, with the use of both technical and integrity criteria for this appointment. |
| 9 | T / M | Does the organization have a regulated complaint-handling process? | 1 - There is no reporting channel, or if there is, the existence of a formal process for handling reports is not evident.  2 - There is a reporting channel, and the existence of a regulated flow for handling reports is evident, but the treatment for reports involving contracts is not explicitly outlined in the regulations.  3 - There is a reporting channel, and the existence of a formal process for handling reports is evident, with the treatment for reports involving contracts explicitly stated in the norms.  4 - There is a reporting channel, and the existence of a regulated process for handling reports is evident, including for reports involving procurement, and there is evidence that the process is effectively implemented. |
| 10 | T / M | Does the organization have an adequate structure for holding public officials accountable within the procurement process? | 1 - There is evidence of the initiation of disciplinary administrative processes, but in a sporadic and internally unregulated manner.  2 - There is internal regulation outlining the process for forming a commission to initiate disciplinary administrative proceedings, but without assigning supervision to a specific unit.  3 - There is a General Inspectorate or another unit tasked with supervising/coordinating disciplinary administrative processes, but there is no specific involvement with public procurement agents evident.  4 - There is a General Inspectorate or another unit tasked with supervising/coordinating disciplinary administrative processes, and there is specific involvement with public procurement agents evident. |
| 11 | T / M | Does the organization have mechanisms for holding suppliers (legal entities) accountable? | 1 - There is no evidence of a structured mechanism for holding suppliers (legal entities) accountable;  2 - There is evidence of a preliminary accountability mechanism (administrative sanctioning procedure), but in a sporadic and internally unregulated manner;  3 - There is regulated process for the formation of a committee to initiate administrative sanctioning procedures;  4 - It has norms for a permanent committee or Ombudsman with the competence to initiate administrative sanctioning procedures. |
| 12 | T / M | Does the organization have its own code of conduct defining conduct standards within the procurement process, applicable to suppliers as well? | 1 - It does not have its own code of conduct;  2 - It has its own code of conduct, but there is no specification of specific conduct related to the contracting process;  3 - It has its own code of conduct, with specification of specific conduct related to the contracting process, but it is not extended to the personnel of the contracted parties;  4 - It has its own code of conduct, with specification of specific conduct related to the contracting process, and extended to the personnel of the contracted parties. |
| 13 | P / T / M | Does the organization provide easily accessible channels for public officials to seek guidance on and inquire about standards of ethical behavior? | 1 - There is no evidence of the existence of a channel for public agents to inquire and receive guidance on standards of ethical behavior;  2 - There is evidence of the availability of a channel for inquiring about ethical behavior, but not of its effective operation;  3 - There is evidence of the availability and operation of a channel for inquiring about ethical behavior, but without specific actions for agents involved in the procurement process;  4 - There is evidence about existence, availability, and operation of a channel for ethical behavior inquiries, with specific actions for agents involved in the procurement process. |
| 14 | T / M | Has the organization conducted integrity-related training and education actions for public officials involved in procurement processes in the last 2 years? | 1 - There is no evidence of training actions for public agents on public integrity;  2 - Some public agents involved in the tendering or contractual management have received training on public integrity;  3 - A significant number of public agents involved in the tendering and contractual management have received training on public integrity;  4 - In addition to public agents, representatives and collaborators of the contractors who interact with the public entity have received training on public integrity. |
| 15 | T / M | Does the organization have key indicators for monitoring the integrity of procurement processes? | 1 - There is no evidence that there are key indicators for monitoring the procurement process;  2 - There are key indicators for monitoring the procurement process, but they are not characterized as integrity indicators;  3 - There are indicators of the procurement process, characterized as integrity indicators, but there is no evidence that they support effective responses to procurement process;  4 - There are key indicators for monitoring integrity, and there is evidence that they support actions for improving the procurement process. |
| 16 | P | Does the organization use a digital tool for automated treatment of market-researched reference prices? | 1 - There is no evidence of the existence of an automated digital tool for gathering and analyzing reference prices;  2 - There is a digital tool to facilitate price gathering, but there is no evidence of automated analysis of the collected prices;  3 - There is a digital tool to assist price gathering with automated price analysis, but it is used only by operational units in the 1st line of control;  4 - There is a digital tool to assist price gathering with automated price analysis, producing indicators monitored by the 2nd or 3rd lines of control. |
| 17 | M | Does the organization deploy a digital system to issue alerts regarding ongoing procurement processes related to integrity risks? | 1 - There is no indication that a digital tool was utilized to issue alerts regarding risks during the bidding stage.  2 - While there is evidence suggesting the use of a digital tool to issue alerts concerning risks during the bidding stage, it fails to encompass risks to integrity.  3 - Evidence supports the utilization of a digital tool to issue alerts concerning risks during the bidding stage, encompassing risks to integrity, albeit through the intervention of an external organization.  4 - Evidence indicates the use of a digital tool to issue alerts regarding risks during the bidding stage, effectively addressing risks to integrity as part of the organization's systematic internal control. |
| 18 | M | Does the organization utilize a digital system for issuing alerts related to contract management, regarding integrity risks? | 1 - There is no evidence of the utilization of a digital tool for issuing risk alerts during the contract management stage;  2 - While evidence exists of a digital tool being employed to issue risk alerts during the contract management stage, it fails to encompass risks to integrity;  3 - Evidence suggests the utilization of a digital tool for issuing risk alerts during the contract management stage, addressing risks to integrity, albeit as an action taken by an external organization;  4 - Evidence indicates the utilization of a digital tool for issuing risk alerts during the contract management stage, effectively addressing risks to integrity as part of the organization's internal controls. |
| 19 | M | Does the organization have regulations regarding contract management and oversight? | 1 - There is no evidence of norms and procedures regarding the management and supervision of contracts that specify the responsibilities of the agents;  2 - There are norms and procedures regarding the management and supervision of contracts that specify the responsibilities of the agents, but without emphasis on integrity risk events;  3 - There are norms and procedures regarding the management and supervision of contracts that specify the responsibilities of the agents, with an emphasis on integrity risk events but without the provision for evaluating the agents' performance at the end of the contract;  4 - There are norms and procedures regarding the management and supervision of contracts that specify the responsibilities of the agents, with an emphasis on integrity risks and with the provision for evaluating the agents' performance at the end of the contract. |
| 20 | M | Are procurement occurrences duly recorded in a specific register with transparent proactive disclosure? | 1 - There is no evidence of recording occurrences in contracts;  2 - There are formal records of occurrences in contract management, but sporadically, without evidence that they are systematic;  3 - There are formal records of occurrences in contract execution, in a regulated and systematic manner, but without disclosure in active transparency;  4 - There are formal records of occurrences in contract execution, in a regulated and systematic manner, which are disclosed in active transparency. |
| 21 | M | Does the organization prepare a final evaluation report for procurement processes? | 1 - It does not have the procedure for the final evaluation of the contract;  2 - It has a procedure for filling out a questionnaire, form, or other instrument for evaluation, but it does not have the characteristics of a final contract evaluation report.  3 - It has the procedure for the preparation of the final contract evaluation report, but there is no indication that there must necessarily be information about the integrity of the contract, or there is no publication of this report in active transparency;  4 - It has established procedures for preparing and publishing the final contract evaluation report, explicitly stating that it includes recommendations regarding the contract's integrity. |
| 22 | P / T | Does the organization conduct public hearings providing information on planned procurements? | 1 - Does not disclose contracting information such as preliminary technical studies in the planning phase or before the bidding notice is released;  2 - Discloses preliminary technical studies and other contracting documents it intends to carry out but does not allow interested parties to provide suggestions;  3 - Discloses preliminary technical studies and other contracting documents it intends to carry out, providing channels to receive suggestions and other expressions of interest;  4 - Conducts public hearings in the planning phase or immediately before bidding, allowing interested parties to interact with the administration, contributing to defining the characteristics of the contract. |
| 23 | M | Does the organization have tools and procedures that enable effective public participation in contract monitoring? | 1 - There are no tools enabling public participation in monitoring contract management;  2 - There is a tool for receiving complaints and suggestions regarding contract management;  3 - There is a committee, council, hearings, meetings, or similar facilitating moments where contract managers interact with stakeholders during contract management;  4 - There is a shared management tool allowing timely communication between citizens, managers, and client representatives during contract management. |
| 24 | P / S / M | Is the organization actively engaged in communication and education initiatives with stakeholders for more effective participation in its public procurement processes? | 1 - There is no evidence that the organization promotes communication and training for stakeholders participation;  2 - The organization promotes communication actions encouraging stakeholders participation, but without emphasis on participation in the procurement process;  3 - The organization promotes communication efforts encouraging stakeholders participation, with emphasis on participation in the procurement process;  4 - In the last 2 years, the organization has conducted training actions for stakeholders (training, workshops, lectures), focusing on the procurement process. |
| 25 | P | Does the organization promote active transparency, in an open format, of information during the planning phase of procurement process? | 1 - There is no evidence of information disclosure;  2 - There is sporadic and unsystematic disclosure of information;  3 - There is regulated and systematic publication of information contained in the preliminary technical study, but not in an open format;  4 - There is regulated and systematic publication of information contained in the preliminary technical study in an open format. |
| 26 | T | Does the organization promote active transparency, in an open format, of information during tendering phase of procurement process? | 1 - There is no evidence of information disclosure;  2 - There is publication of information, but only the minimum required for the bidding process;  3 - There is publication of information, beyond the minimum required for the bidding process, but not in an open format;  4 - There is publication of information, beyond the minimum required for the bidding process, and in an open format. |
| 27 | M | Does the organization promote active transparency, in an open format, during the contract management phase? | 1 - There is no evidence of information disclosure;  2 - There is publication of information, but only the minimum required by law;  3 - There is publication of information, beyond the minimum required by law, but not in an open format;  4 - There is publication of information beyond the minimum required by law, and in an open format. |
| \* P – Planning; T – Tendering; M – Management  \*\* 1-Basic; 2-Limited; 3-Sustained; 4-Optimized | | | |

Source: Authors