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## FINAL EVALUATION REPORT ON THE INSTITUTIONAL INTEGRITY MODEL IMPLEMENTED IN THE PUBLIC MINISTRY

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## INTRODUCTION

USAID Pro-Integridad Project (Project) implemented by Tetra Tech ARD, aims mainly to support the Government of Peru in reducing corruption levels and strengthening the rule of law through activities closely in line with local initiatives of justice reform and in coordination with other international cooperation agencies.

Within its Objective 2, the Project provided technical assistance to the Public Ministry (PM) to adopt and implement the Institutional Integrity Model – IIM<sup>1</sup>. This Model refers to implanting an organizational culture based in the ethical behavior of the workers and the institutional procedures designed to reduce corruption risks and functional lack of efficiency.

On February 2014 the Project presented the PM with the results of an assessment on the level of development of the IIM indicators inside the institution which showed the ones already developed and the ones pending. This report highlights concrete areas to be strengthened in order to implement the IIM and thus strengthen the institutional integrity. At that point the PM did not continue with the IIM implementation.

This situation changed with the appointment of Dr. Pablo Sanchez as Prosecutor General. In a meeting held on March 17, 2015, he expressed his interest in promoting integrity in the PM and develop the IIM. After that meeting, Jose Luis Echevarria, General Manager, ordered the update of the IIM assessment to start implementing it in the PM.

This present document presents the results of the assessment's update on the PM, finished in November 2015, compared to the assessment finished in February 2014. As the document points out, in both instances the PM has reached a score of 27 registration units fulfilled of a total 57 possible, which places the institution at the “at risk situation” but next to get to the “on the path to integrity”<sup>2</sup> portion.

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<sup>1</sup> Tetra Tech DPK™ 2012

<sup>2</sup> The progression scale designed for the implementation of the IIM in the Public Ministry considers 6 aspects and 39 registration units on a discrete scale with the following sections:

- From 0 to 20 units fulfilled: In at risk situation.
- From 21 to 34 units fulfilled: On the path to integrity.
- From 35 to 39 units fulfilled: Integrity.

## 1. ON THE CONCEPT OF INSTITUTIONAL INTEGRITY

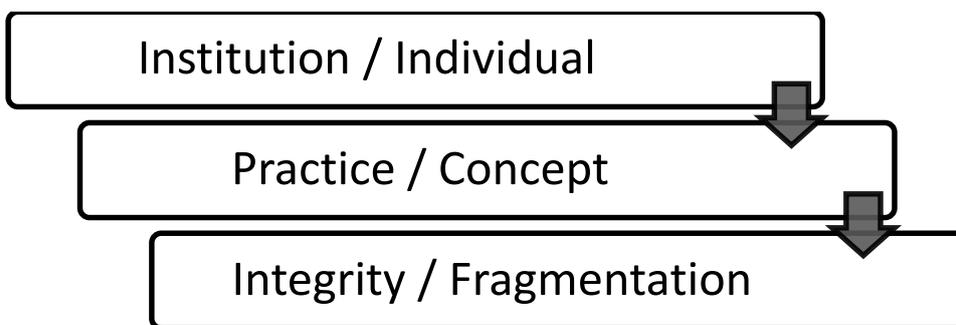
An Institutional Integrity Model (IIM) refers to implanting an organizational culture based on the ethical behavior of the workers and the institutional procedures designed to reduce corruption risks and functional lack of efficiency. "The IIM development seeks reliability, which involves developing a climate of trust both internally and externally, that guarantees the concrete fulfillment of the institutional mission, its strengthening, renovation and effectiveness, and seeks to guide all the Institution's human capital through the way of transparency and functional and institutional conscience" (Tetra Tech DPK, 2012).

This approach considers two important twists, that the idea of "institutional integrity" entails respect to approaches such as "personal values" or "ethics". This leads to consider not only the individual who acts, but the institution, which implies thinking about the behavior of the institution rather than the individual's. It is clear that the first idea involves the second and for proper conduct of the institution it is necessary to construct clear and organized spaces for the correct behavior and action of individuals.

On the other hand, it is important to consider a practical twist in the "integrity" focus because it needs to be understood the structure of an institution not only as an abstract concept but as a set of practices that defines that value. Within this approach it is practice that allows to account for values (and not necessarily the individual abstract values which appear as the center of the actions). Even if both aspects seem connected to the daily life, the focus is concentrated in a control of practices and actions, procedures and mechanisms of institutional functioning.

**Graph 1**

### **Tensions in the operative concept of integrity**



Own Production

The core idea in the approach is to avoid fragmentation of the elements of the organizational and institutional structure. Thus, the "institutional integrity" requires thinking in the institution as a set of integrated elements and running in the same direction (and not as a set of fragmented individuals), and requires that this integration is manifested in the effective, specific and recordable institutional practice (and not only in speeches and abstract values).

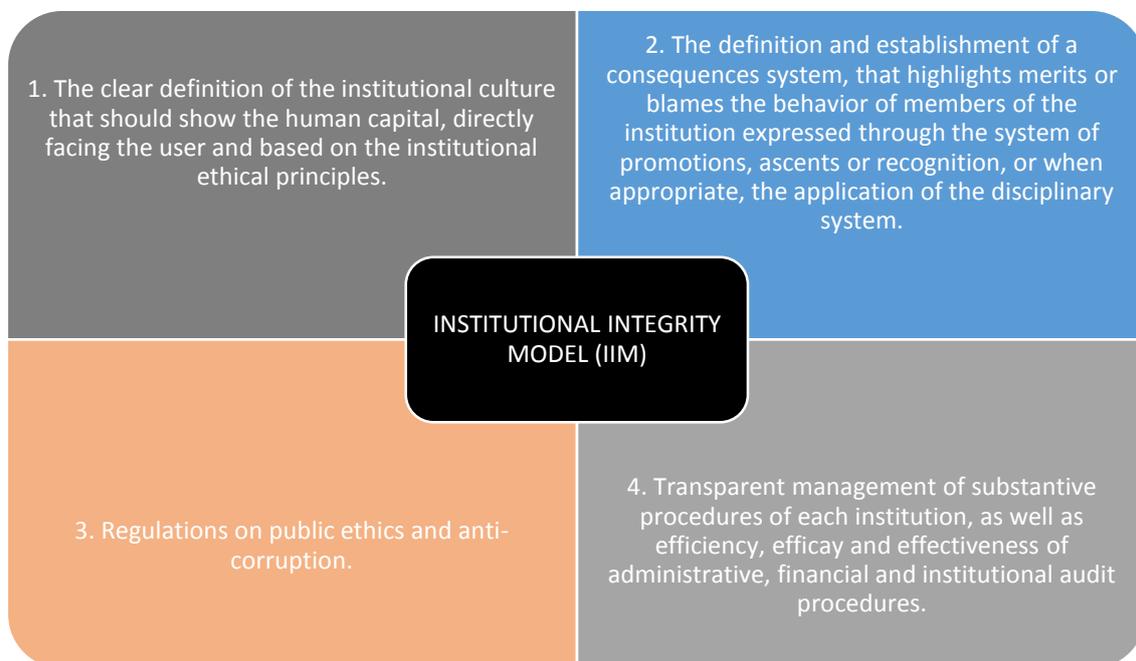
It is important to understand that these elements work as a whole and not as juxtaposed operations in the organizational structure so that integrity cannot be established if the "system" is not fully drawn. It is evident that the integrity concept

means the “whole of something” and the “participation of all the parts of something”. So one cannot be “halfway honest” or “honest in half”.

In order to achieve an integral institutional structure it is necessary to build an Institutional Integrity Model – IIM – which pretends to redefine the *institutional practices* based on the redefinition of the *concrete practices* of the individuals and their functions, individuals that form the institutions and whose performance (their capacity to act as people free to assume responsibilities for their acts) is carried out observing legal principles of ethics based in the public service. Thus, the implementation of an IIM involves contemplating and applying at least the following operative elements:

### Graph 2

#### General components of the Institutional Integrity Model



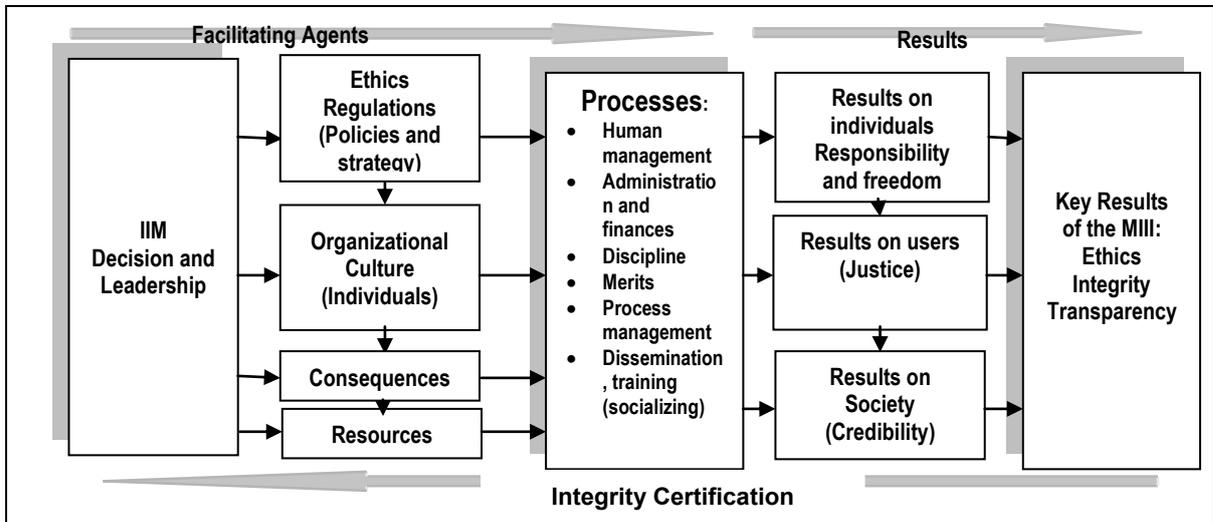
Source: Tetra Tech DPK, 2012

Own production

These elements appear in a process line marked by the “decision and leadership” of the institution’s authorities who promote mechanisms of “human management, administration, discipline, merits, dissemination, education, etc.”, looking for concrete results that lead to the “certification of integrity”.

**Graph 3**

**Flow of the institutional integrity certification process**



Source: Tetra Tech DPK, 2012.

The components of the Model design appear in the flow of certification process and are reinforced in that way (see the elements that must be strengthened by the “Decision and Leadership” and the “Processes” that need to be built or enhanced related to the “Results” in Graph 3). In order to determine which are the aspects to be strengthened and built regarding the components and the certification flow it is necessary to determine the diagnostic situations in the institutions.

## **2. COMPONENTS AND REGISTRATION ASPECTS TO AN ASSESSMENT AND EVALUATION OF THE INSTITUTIONAL INTEGRITY IN THE PUBLIC MINISTRY**

How to assess the institutional integrity situation and based on it conduct an evaluation on its advance? It involves generating areas to be recorded that truly represent the components of the Model identifying the aspects of the situation records. These aspects are related to objective and measurable elements (through quantitative or qualitative tools) that represent the fields covered by the Model. In the PM Tetra Tech DPK has identified nine relevant registration aspects and of monitoring, associated to the Institutional Integrity Model (and associated to article 11 of the United Nations Convention against Corruption).

**Table 1**  
**Model Components and Aspects to Record**

<b>Components of the Model</b>	<b>Aspects to Record</b>	<b>Regulation</b>
1. The clear definition of institutional culture	1. Studies on culture/organizational environment	Inter-American Convention (Art. III-5) United Nations Convention (Art 9).
	2. Public perception regarding the Public Ministry	Inter-American Convention (Art. III-11) United Nations Convention (Art 13).
2. The definition and establishment of a consequences system and a promotion system.	3. Productivity statistics	Inter-American Convention (Art. III-5)
	4. Studies on culture/organizational environment	Inter-American Convention (Art. III-5) United Nations Convention (Art 9).
3. Regulations regarding public ethics and fight against corruption.	5. Regulations related to public ethics inside the institution	United Nations Convention (Preamble, art. 1, 2, 8). Inter-American Convention (art III-1,2,3).
	6. Public policies and prevention of corruption practices	Inter-American Convention (Art. III-9).
	7. Internal measures to prevent corruption regarding accounting and auditing regulations	United Nations Convention (Art 9 y 12) Inter-American Convention (Art. III-10)
4. Transparent management of substantive procedures in each institution as well as efficiency, efficacy and effectiveness of administrative, financial and institutional auditing procedures	8 Management of public information and transparency	United Nations Convention (Art. 10).
	9. Participation of society in monitoring the institution	Inter-American Convention (Art. III-11) United Nations Convention (Art. 13).

Source: Tetra Tech DKP  
Own Production

These “aspects” may be divided in two relevant blocks. The first (aspects 1, 2 and 3, 4, 5) respond to fundamental elements of the institutional integrity model. The second (aspects 6, 7, 8 and 9) are fundamental registration aspects due to the characteristics of the Public Ministry and to the Open Government indicators

**Registration Aspect 1: Studies of the institutional culture.** The IIM entails a deep institutional change in order to ensure that the institutional principles and values are assimilated by all the institution’s members. The Culture change is a complex process and requires prolonged periods that can be shortened from the commitment, decision and participation of senior officials. Therefore a key to promote culture change must start by knowing the "inner voice" of the institution,

considering the following criteria: interpersonal relationships (degree to which employees help each other and their relations are respectful and considerate); management style (degree to which the chiefs support, encourage and give their employees participation); sense of belonging (satisfaction derived from their bond to the institution, sense of commitment and responsibility in relation to its objectives and programs); remuneration (degree of equity in pay and benefits from work); availability of resources (extent to which employees have the information, equipment and required input from other people and agencies to carry out their jobs); stability (degree to which employees see clear possibilities of belonging to the institution and feel that people are caring or dismissed with just criteria); clarity and consistency in direction (degree of clarity of senior management on the future of the institution; extent to which the areas' goals and programs are consistent with the criteria and policies of senior direction or management); collective values (degree to which institutional values and principles are internally perceived) (Tetra Tech DPK, 2012).

The following assessment registration units have been selected for this aspect: Declaration and definition of the values, principles, language and symbols of the institution; development of ethical compliance monitoring mechanisms of the functions related to the definition of values; development of periodic reflection spaces and activities on the value of integrity and ethics in the institution; recognition system to actions in line with the meritorious management indicators assessment; periodic surveys of identification of disrupting elements in the development of institutional values; tools designed, implemented and institutional values and satisfaction assimilation and compliance measurement results monitored; publication and dissemination of studies on organizational climate based on the definition of integrity (structure, functions, perceptions).

**Registration Aspect 2: Study of external perception.** Know specifically the perception of the users of the services offered by the PM, in order to measure the level of acceptance and impact it provides to the public, is a key factor of the IIM diagnosis and implementation. The study of perception, according to DPK, must include at least the following registration areas: *impact of service; opinion of leaders and/or specific groups; image of the institutions; effectiveness of the service received; waiting time; main aspects perceived as of higher interest for direct users; trust or mistrust in the service.* On the other hand, it is important to incorporate studies of insight, that is, how officials of the PM itself see the entity, as inside it there are also dynamics of users and providers of services between the different offices, directions and areas. Thus, it is necessary to take into account the following criteria: design, development, implementation and regular monitoring of qualitative tools (interviews) to measure perceptions of officials; develop guidelines on the image, speech on integrity in the PM, and a media strategy; Public Ministry's communication team trained to monitor instruments and local and media dissemination of the PM and its integrity approach.

**Registration Aspect 3: Study performance evaluation (productivity and effectiveness).** The performance study must be focused on learning about the competencies of the public servants considering institutional pre-established indicators. The criteria proposed by Tt DPK to conduct such study must be

based on indicators such as: pre-established competencies for each position; evaluation indicators; evaluation strategies and instruments; quantitative and qualitative measurement reports; efficiency, effectiveness, honesty and quality of service indicators; identification of the performance cases not satisfactory and/or removal from office. At the same time, it is necessary to consider the importance of evaluating the following matters: institutional size measurement (conditions, circumstances, complexity, time and workload referred to attention and services); measuring production indicators associated to the institutional size, suitable tools and work instruments (productivity and output gap); determining institutional quality standards; periodic productivity studies published after an external evaluation; study of gaps between the size, the production indicator and the quality standards expected.

***Registration Aspect 4: Human capital management systems (convening, selection, training, performance evaluation).*** IIM is based on the commitment of the officers and servants at the entities where it is implemented. In order to achieve this, the PM needs to develop a holistic human capital management policy that considers the following criteria: explicit personnel convening mechanisms, published, and arranged through office interpenetration control mechanisms; study pre-established competencies for each position with evaluation instruments (open eligibility criteria); develop an institutional performance evaluation system (ethics, dedication, respect, etc.) and of personnel individual production that allows to identify, catalogue and appraise merits, efficiency, efficacy and productivity; develop a professional improvement system related to production requirements; build a training program on basic concepts of ethics and integrity; develop impact indicators on professional training regarding staff performance and production; quantitative and qualitative measurement reports on efficiency, effectiveness, honesty and quality of service that include the identification of non-satisfactory performance cases.

***Registration Aspect 5: Regulation related to ethics and/or anti-corruption.*** A relevant aspect is the set of rules to promote ethics and address corruption acts within the entities. That means that the following criteria are needed to obtain information regarding the existence and applicability of regulations inside the Public Ministry: implementation of a leading team in charge of the ethics code and its follow-up; development of the code of ethical behavior; definition of forbidden conducts related to international and national laws and regulations; development of a consequences system to i) define sanctions, and ii) monitor the sanction to any conduct against the law and regulation of the institution's ethical behavior; develop and sign engagement of the institution's members; monitoring and reports of production and quality of performance of the Processes Commission with sanction indicators; mechanisms of internal control implemented and functioning.

***Registration Aspect 6: Public policies and practices to prevent corruption.*** The control of corruption is a fundamental issue in developing an Institutional Integrity Model and though the development of ethical frameworks within the institution is a matter of high importance, this not necessarily works without developing concrete elements to prevent corruption translated into public policies and practical mechanisms. This aspect records the basic component, the public

policy and its concrete practice as the base elements of the institution: installation of a specialized unit or equipment to combat internal corruption; institutional criteria developed or anti-corruption plan; development and implementation of strategies or practical initiatives for the control and prevention of corruption according to typologies (small or large corruption); construct mechanisms to follow up on impact measurement of anti-corruption initiatives.

**Registration Aspect 7: Internal measurements to prevent corruption related to improved accounting and audit regulations.** Corruption involves a serious risk to the administration, largely in the field of financial and accounting matters. So one of the important aspects of registration is directly related to the strengthening of measures to prevent corruption in terms of development of accounting and auditing standards: adapting legislation to the standards required by the State of Peru for accounting and administration; presence of an independent Office of Internal Control; regular audits on the accounting situation of the institution; training and induction to the responsible administrative and accounting personnel and civil service affairs of the institution; established regulations regarding the use of financial and material resources of the institution; dissemination of the criteria for the use of financial and material resources of the institution; periodic evaluation of effectiveness of regulation, control and audit measures to prevent accounting fraud and corruption.

**Registration Aspect 8: Management of public information and transparency.** One of the most relevant aspects that has direct relationship between the State and citizenship is that referred to Access to public information and institutional transparency. We hereby present the criteria that need to be considered in the assessment and evaluation: adequacy of the criteria of transparency and access to public information according to law through an application manual; setting up an office in charge of attention to requests for public information and institutional transparency; periodic and updated publication of the public information of the PM in its web site; affidavit of incomes, assets and revenue disseminated through the web; development of a measurement of indicators on replies to request for public information and transparency; development of a hard and virtual archiving system that is amicable and secure for the information provided by the PM; report of the Public Ministry on transparency and access to the information with quantified data and the efficacy and quality of the replies; and building open and transparent mechanisms for involving civil society in the process of construction of public policies in the PM..

**Registration Aspect 9: Participation of society in monitoring the institution.** It means considering that the institution exists because of citizens, to care about their claims, but also as guarantee of rights. This aspect registers the opening and establishment of institutionalized elements for civil society participation in monitoring the institution: citizen observatories as instituted mechanisms; space for training and disseminating the institution's work with the citizenship; and mechanisms of attention to claims and complaints of citizens.

### **3. COLLECTING INFORMATION, COMPONENTS AND REGISTRATIOIN ASPECTS**

### 3.1. Collecting information

How to apply the instrument? Using two complementary tools: (i) A documentary data sheet to determine the status of the institution's archive information and the objects that result are proof of satisfactory fulfillment of a registration unit, and (ii) "Exit interviews" (between 5 and 20 questions) that work as contrast and complement of the archive search regarding the registration aspects.

**Table 2**  
**Complementary tools to fill out the Registration Matrix**

Complementary tools	Record card file	Exit interviews
Data source	Institutional document archive	Institutional officers
Instrument	Check list derived from the registration matrix	Open questionnaire derived from the registration matrix
Quantity	1 application to the current universe	8-20 applications until saturation

Own production

### 3.2. Registration components and aspects

The components are recorded through the aspects, and the aspects are split into registration units, referred to concrete actions and objective elements developed and recordable in the field data collection. This logical sequence has resulted in a basic instrument to establish a diagnosis of the situation of the Public Ministry and monitor compliance of activities and indicators regarding elements laid out and the ability to evaluate them. To that end, a matrix for simple register on a double entry table that includes the registration elements and units (indicators) for each aspect of the Model has been developed

Thus, the instrument includes i) a column of aspects raised from the Model's components, ii) nine rows with each of the aspects subdivided into registration units (indicators of compliance with the integrity standard). Each aspect is divided among five and eight registration units whose valuation sets compliance (1) or non-compliance (0) of the standard.

What are the criteria for selection of indicators (record units) and their type of numerical weighting?

*The registration units are derived from the aspects, and aspects from the components.* Thus, registration units are those that, in progressive order, can meet the aspects considered in the model.

*The aspects of institutional integrity must be met progressively.* Thus, the order of the location of the record units involved are met from left to right. While there may be registration units from the right end satisfied (with rating 1), it may

happen that no units have a history log. That shows that there may exist a product but not necessarily will be supported in the institutional integrity model.

*Integrity cannot imply a partial fulfillment.* A binary criterion (0-1) is chosen to determine compliance with the registration units and no intermediate stops. This is because aspects and registration units should be met with the standard of integrity (there can't be "medium integrity"; that is contradictory to the concept).

How to read the results of the application of information gathering tools and the instrument to measure assessment? To do this, one must consider at least three relevant issues.

The first one has to do with the total number obtained from adding registration units considered as fulfilled. That amount can be arranged on a pre-built scale and indicates a general assessment situation of the institutional status. The second relevant issue refers to the progression of the actions and indicators regarding satisfactory fulfillment of each aspect, so it is necessary to know if the progressive indicators are met progressively of certain stages are skipped. The third topic refers to the quantity in registration units that even though have not achieved a satisfactory number, are in process to implementation. In this case there are three colors used: green (registration unit fully implemented = 1), yellow (registration unit in process to implementation = 1), red (registration unit with implementation process not started = 0).

*Weighting in the scale.* The instrument should be applied through the complementary tools and must fill in the columns indicating 0 or 1. The total sum for each row and the total sum of all rows determine the final number within a qualitative situation scale. On this scale less than 50% compliance of the possible numbers obtained (you can get maximum 57 points) indicates a risk regarding the integrity model (less than 28 points). The following quartile (between 28 and 45 points) shows a not at risk situation, on the way to integrity. Between 45 and 56 points places the institution at an integrity situation, while total fulfillment of indicators equal to 57 values the institution as with integrity 100.

*Progression of registration units.* To monitor the progressive compliance of the registration units it must be determined what, in a horizontal line from left to right (arrow), the criterion of progression from A to H in the columns of registration units is. A complete arrow shows complete fulfillment; and incomplete arrow but with units counted as satisfactorily from left to right, even if they do not have satisfactory registration units, means progressive and stable compliance; an arrow with holes between the registration units shows no progression so the units are achieved without generating integrity

**Table 3**  
**Matrix of registration aspects and units of the Institutional Integrity Model**

Aspect	Registration Units	A		B		C		D		E		F		G		H		Σ					
		0	1	0	1	0	1	0	1	0	1	0	1	0	1	0	1						
1. Studies of organizational culture/climate	1.A. Declaration and definition of the values, principles, language and symbols of the institution	0	1	1. B. Development of ethical compliance monitoring mechanisms of the functions related to the definition of values	0	1	1.C. Development of periodic reflection spaces and activities on the value of integrity and ethics in the institution	0	1	1.D. Recognition system to actions in line with the meritorious management indicators assessment	0	1	1.E. Periodic surveys of identification of disrupting elements in the development of institutional values	0	1	1.F. Tools designed, implemented and institutional values and satisfaction assimilation and compliance measurement results monitored	0	1	1.G. Publication and dissemination of studies on organizational climate based on the definition of integrity (structure, functions, perceptions)	0	1	Σ ≤ 7	
2. Study of external perception on the Public Ministry	2.A. Design a tool to integrate the instruments to measure perceptions on the Public Ministry	0	1	2.B. Design, development, application and monitoring of periodic surveys to users and citizens on i) effectiveness of the service, ii) impact, iii) timing, iv) the aspects of higher interest for direct users, v) trust in the service, vi) warmth of the attention	0	1	2.C. Design, development, application and periodic monitoring of qualitative instruments (interviews) to measure perceptions of officers	0	1	2.D. Design, development application and periodic monitoring of qualitative instruments (focus groups) to study perceptions in experts, specific groups, and media	0	1	2.E. Construction of guidelines on the image and speech on integrity in the Public Ministry and development of a media strategy	0	1	2.F. Public Ministry's communication team trained to monitor instruments and the local and media dissemination of the PM and its integrity approach	0	1					Σ ≤ 6

Aspect Registration units	A		B		C		D		E		F		G		H		Σ					
<b>3. Productivity statistics</b>	3. A. Measurement of the institutional size (conditions, circumstances, complexity, time and workload regarding the services and attention)	0	1	3.B. Measurement of production indicators associated to institutional size, tools and adequate work instruments (productivity and performance gap)	0	1	3.C. Determination of institutional quality standards	0	1	3.D. Periodic productivity studies published based on external evaluation	0	1	3.E. Study on gaps between the size, the production indicators and the quality standards expected	0	1			Σ ≤ 5				
<b>4. Human capital management systems (convening, selection, training, performance evaluation)</b>	4.A. Explicit, published personnel convening mechanisms and arranged through office interpenetration control mechanisms	0	1	4.B. Study pre-established competencies for each position with evaluation instruments (open eligibility criteria)	0	1	4.C. Development of an institutional performance evaluation system (ethics, dedication, respect, etc.) and of personnel individual production that allows to identify, catalogue and appraise merits, efficiency, efficacy and productivity	0	1	4.D. Development of a system of professional improvement referred to production requirements	0	1	4.E. Construction of a training program on basic concepts of ethics and integrity	0	1	4.F. Construction of impact indicators of professionals training related to personnel performance and production	0	1	4.G. Quantitative and qualitative measurement reports on efficiency, effectiveness, honesty and quality of service that include the identification of non-satisfactory performance cases	0	1	Σ ≤ 7



Aspects	Registration units	A	B	C	D	E	F	G	H	Σ							
<b>7. Internal measures to prevent corruption related to improved accounting and auditing standards</b>	7.A. Adaptation of institutional regulations to the Governmental accounting and administration standards	0 1	7.B. Office of Institutional Control in place	0 1	7.C. Regular audits on the accounting situation of the institution	0 1	7.D. Regulation on the use of institutional financial and material resources institution developed and disseminated	0 1	7.E. Training and induction in administrative and financial issues provided to personnel and officials of the institution	0 1	7.F. Dissemination of the criteria for the use of financial and material resources of the institution	0 1	7. G Quarterly assessment on effectiveness of regulation, control and audit measures to prevent accounting fraud and corruption	0 1	Σ ≤ 7		
<b>8. Management of public information and transparency</b>	8.A. Adequacy of the criteria of transparency and access to public information according to law through an application manual	0 1	8.B. Setting up an office in charge of attention to requests for public information and institutional transparency	0 1	8.E. Periodic and updated publication of Public Ministry's public information on the institutional website	0 1	8.D. Affidavit of assets and revenue disseminated through the website	0 1	8.E. Development of a measurement of satisfaction indicators on replies to request for public information and transparency	0 1	8.F. Development of a hard and virtual archiving system that is amicable and secure for the information provided by the Public Ministry	0 1	8.G. Report of the Public Ministry on transparency and access to the information with quantified data and the efficacy and quality of the replies and classification of transparent information	0 1	8.H. Build open and transparent mechanisms of civil society participation in the process of construction of public policies in the Public Ministry	0 1	Σ ≤ 8
<b>9. Society participation in the surveillance of the institution</b>	9.A. Corporate strategy regarding civil society	0 1	9.B. Citizen oversight committees created to prevent corruption	0 1	9.C. Periodic spaces to train and disseminate the job done by the institution with citizens	0 1	9.D. Mechanisms of attention to claims and complaints of citizens	0 1								Σ ≤ 4	
										<b>Integrity 100</b>	<b>Σ X = 57</b>						
										<b>Integrity 45 - 56</b>							
										<b>On the path to integrity</b>	<b>28 -45</b>						
										<b>At risk situation</b>	<b>X ≤ 27</b>						

#### **4. COMPARATIVE RESULTS OF THE FEBRUARY 2014 ASSESSMENT AND ITS UPDATE IN OCTOBER 2015 2015**

##### **4.1 Assessment results (February 2014)**

In February 2014 a situation assessment of the IIM was submitted to the Public Ministry. The Model for this institution consists of nine registration aspects and 57 registration units of progression indicators.

The results of the assessment showed that the Public Ministry had developed 27 registration units or progression indicators out of 57. The aspects with greater advance at the Public Ministry in this evaluation were three:

- *Aspect 1:* Studies of organizational culture/climate.
- *Aspect 7:* Internal measures to prevent corruption related to improved accounting and auditing regulations.
- *Aspect 8:* Management of public information and transparency.

For these three aspects the progression indicators were fully achieved.

On the other hand, the assessment revealed that there were two critical aspects (with no progression indicator developed):

- *Aspect 3:* Productivity statistics.
- *Aspect 9:* Participation of society monitoring the institution.

All other aspects showed partial fulfillment of indicators with low progression and sustainability.

The following table shows the scores obtained by the Public Ministry in the assessment of February 2014:

Table 4  
Sum of indicators (Assessment of February 2014)

Registration Unit Aspects	A	B	C	D	E	F	G	H	Σ
1. Studies of organizational culture/climate	1	1	1	1	1	1	1	1	Σ = 7
2. Public perception regarding the Public Ministry	1	1	0	0	0	1	1	1	Σ = 3
3. Productivity statistics	0	0	0	0	0	1	1	1	Σ = 0
4. Human capital management systems (convening, selection, training, performance evaluation)	1	0	0	0	0	0	0	1	Σ = 1
5. Regulation related to public ethics in the institution	0	1	0	0	0	1	0	1	Σ = 2
6. Public policies and practices to prevent corruption	0	0	0	0	0	0	1	1	Σ = 0
7. Internal measures to prevent corruption related to the improvement of accounting and auditing regulations	1	1	1	1	1	1	1	1	Σ = 7
8. Management of public information and transparency	1	1	1	1	1	1	0	1	Σ = 7
9. Participation of society monitoring the institution	0	0	0	0	1	1	1	1	Σ = 0
<b>Sum of registration units in the institution X</b>									<b>Σ = 27</b>
Integrity 100									ΣX = 57
Integrity									45 ≤ 29
On the path to integrity									28 ≤ X ≤ 44
At risk situation									<b>X ≤ 27</b>

Own production

## **4.2 Results of the updated assessment (November 2015)**

As noted above, after the February 2014 assessment, the Public Ministry did not continue implementing the IIM. Dr. Pablo Sanchez, after taking office, resumed the interest in the Model and charged Mr. Jose Luis Echevarria, General Manager, to lead the institutional effort.

Since the initial assessment several changes took place in the PM, including the end of tenure of the former Prosecutor General and the removal from their positions of a significant number of managers and directors. For that reason, Mr. Echevarria ordered an update of the IIM assessment to start implementation on a real basis.

The conclusions of the updated assessment report were:

### **a) *On the institutional climate to develop the Institutional Integrity Model***

The first positive finding after conducting interviews is that there are good conditions to start implementing the IIM in the PM. All the officers interviewed express as an important strength the leadership of Dr. Pablo Sanchez and his team to promote this kind of policy within the institution.

### **b) *On the Public Ministry situation***

The result of the update report of November 2015 shows the same total result as that of the initial assessment of February 2014 (27 registration units achieved out of 57 possible). According to the evaluation chart designed for the PM, the institution is still at the level of “*at risk situation*”, though only two units moved the “*on the path to integrity*”. But within each aspect evaluated there exist differences between the results of both reports.

The finding shows a landscape view of the institutional integrity in the Public Ministry, after checking the three management areas of the institution: administrative management, fiscal system, and Forensic Institute. Our opinion is that it would be wise to further the collected information in each area from the specific processes in order to have a perspective of coordination between them. This is most important to go over what some interviewees stated as “isles” in the Public Ministry and represent too an obstacle to strengthen the institutional integrity.

### **c) *On the critical aspects***

There are three aspects that will need greater attention to implement the model as they are at a null or under development of their indicators: Aspect 4 and Aspect 6 have just one indicator fulfilled, and Aspect 9 has zero indicators developed. Aspect 4 is important as it refers to human capital management which, in any institution, even more if it is integrity wise, results key to reach efficiency. Aspect 6 is vital within this context because it refers to policies and practices against corruption. It is important to note that the only register fulfilled in this aspect is that related to the participation in inter-institutional coordination instances to combat corruption. The Prosecutor General presides the High Level Anti-Corruption Commission – CAN, so this indicator is met due to the active participation of the PM in this space. Also, Aspect 9 related to citizen participation shows zero indicators fulfilled, which is important to consider from the institutional integrity perspective as it allows to bring the institution to the citizenship.

### **d) *On developed aspects***

Both Aspect 7 and Aspect 8 show optimal development levels. Aspect 7 referred to internal measures to prevent corruption regarding improvement of accounting and auditing rules. The PM has seven indicators achieved of seven proposed. As for Aspect 8, referred to management of public information and transparency, a level of seven out of eight indicators proposed have been met. It is important to note that both aspects are part of a broader policy of prevention of corruption, but do not overrun Aspect 6 that requests reporting on specific regulations and policies of combat and prevention of corruption. The importance of this is that is a part of the path to implementation of the Model in the Public Ministry.

Table 5

Sum of indicators (Assessment update as of November 2015)

Registration Unit Aspects	A	B	C	D	E	F	G	H	$\Sigma$
1. Studies of organizational culture/climate	1	1	0	0	1	1	0		$\Sigma = 4$
2. Public perception regarding the Public Ministry	1	1	0	0	0	1			$\Sigma = 3$
3. Productivity statistics	1	0	1	0	0				$\Sigma = 2$
4. Human capital management systems (convening, selection, training, performance evaluation)	1	0	0	0	0	0	0		$\Sigma = 1$
5. Regulation related to public ethics in the institution	0	1	0	0	0	1	0		$\Sigma = 2$
6. Public policies and practices to prevent corruption	0	0	0	0	1	0			$\Sigma = 1$
7. Internal measures to prevent corruption related to the improvement of accounting and auditing regulations	1	1	1	1	1	1	1		$\Sigma = 7$
8. Management of public information and transparency	1	1	1	1	1	1	0	1	$\Sigma = 7$
9. Participation of society monitoring the institution	0	0	0	0					$\Sigma = 0$
<b>Sum of registration units in the institution X</b>									<b><math>\Sigma = 27</math></b>
Integrity 100									$\Sigma X = 57$
Integrity									$45 \leq X$
On the path to integrity									$28 \leq X \leq 44$
At risk situation									<b><math>X \leq 27</math></b>

Own production

## 5. CONCLUSIONS

**First conclusion.** It is stated that a critical factor in the implementation of the Institutional Integrity Model is the decision of senior management. In the case of the PM, when the assessment results were presented in 2014, there was no political will to implement it. It was only after the appointment of Dr. Sanchez that the work started again. The first step has been taken with the update of the assessment. Pro-Integridad will accompany the Public Ministry to develop a roadmap for its implementation and a first dissemination event with directors who will then form a leading team.

**Second conclusion.** The political will and institutional leadership is now upon Mr. Jose Luis Echevarria, PM General Manager, who is leading the Model and is committed to issue a resolution for its adoption to ensure sustainability in the Public Ministry.

**Third conclusion.** Regarding the results of the updated assessment, though there is no significant quantitative variance regarding the 2014 assessment – both show 27 progression indicators met out of a total of 57 possible – there has been a qualitative variance at the interior of each evaluated aspect. In the first assessment Aspect 1: organizational culture and climate had met all its indicators. On the other hand, Aspect 3: productivity statistics, had no indicator fulfilled. This reveals that the strategic sphere of the Public Ministry's management has increased productivity but some elements of organizational climate have weakened, as for example the spaces for reflection on ethical practices in performing the work.

Table 6:

Comparison assessment of 2014 and update of 2015

Aspects	February 2014	November 2015	Maximum possible
1. Studies of organizational culture/climate	7	4	7
2. Public perception regarding the Public Ministry	3	3	6
3. Productivity statistics	0	2	5
4. Human capital management systems (convening, selection, training, performance evaluation)	1	1	7
5. Regulation related to public ethics in the institution	2	2	7
6. Public policies and practices to prevent corruption	0	1	6
7. Internal measures to prevent corruption related to the improvement of accounting and auditing regulations	7	7	7
8. Management of public information and transparency	7	7	8
9. Participation of society monitoring the institution	0	0	4
Sum of registration units fulfilled	27	27	57
Integrity 100%	$\Sigma X = 57$		
Integrity	$45 \leq X$		
On the path to integrity	$28 \leq X \leq 44$		
At risk situation	$X \leq 27$		

***Fourth conclusion.*** We finally consider that currently there is a good institutional context to implement the Institutional Integrity Model in the Public Ministry.