



INSTITUTIONAL ETHICS MATURITY MODEL

INSTRUCTIONS: According to the knowledge obtained in the development of the ethics audit (indicate name of the study), carried out by the internal audit, place an X between the brackets of the bottom cell corresponding to the stage of maturity that it is estimated that is each of the components of institutional ethics.

Component \ Stage	Incipient ()	Novice ()	Competent ()	Skilled ()	Expert ()
Ethics Program	In the field of ethics it is hardly recognized the importance but no actions, have been defined, even to meet the obligations under the legal and technical system.	Some isolated actions have been defined to meet obligations that establish the legal and technical regulations in ethical matters.	There is an ethics program formally established, which contains the following: statement of values, vision and mission, code of ethics, indicators of ethical management and deployment strategy developed by, among others, commitments, policies and regular programs to update and renew the commitment of the organization's ethical culture. The program has been duly communicated to all members of the organization who have a clear commitment and take responsibility properly.	The ethics program has fully internalized the institutional action, both operationally and strategically.	There is a comprehensive ethics program, the observance of which is provided in a transparent manner and as part of the daily work, and which is subject to an ongoing process of maintenance, evaluation, feedback and development, under the leadership of the corporate chief and other higher authorities.
Component \ Stage	Incipient ()	Novice ()	Competent ()	Skilled ()	Expert ()
Ethics environment	It is known the existence of some values, principles, beliefs and behaviors needed in ethical matters, but there is no formal definition about it.	The importance of ethics is recognized as a factor to be considered in decision making and in the management so that those involved in these processes show interest in the subject.	The issue of ethics is considered a responsibility of all members of the organization who know the impact of their decisions and the unacceptable behavior from an ethical point of view, as well as the mechanisms for managing conflicts of interest and the report of complaint alleged unethical behavior. All this is shown in the daily actions and so it is perceived, also the conflicts of interest and alleged unethical conduct are handled appropriately.	The ethical commitment has been fully internalized in the institutional action, both at the operational level as at the strategic level is managed properly, and the behavior of all members of the organization meets this commitment due to a conviction that it is the right thing, rather than fear of sanctions.	The ethical environment encourages proper behavior in all members of the Organization and interested subjects, and is recognized as a fundamental element in achieving the targets with outstanding levels of effectiveness and optimizing the use of the resources obtained, with strict adherence the legal framework and full awareness of the ethical responsibilities incumbent upon the institution in all its fields of action.

Component \ Stage	Incipient	Novice	Competent	Skilled	Expert
	()	()	()	()	()
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	()	()	()	()	()
Integrating ethics in institutional management systems	The need for ethics is recognized as an element to be considered in the activities of the human resources unit.	Ethical factors have been integrated in isolation matter from some operations only to meet the legal regulations and the technical arrangement on the subject.	Processes and institutional management systems with increased risk and vulnerability have integrated in their design and operation relevant factors and controls on ethics matters, which are applied correctly and consistently.	The values and ethics principles have become indispensable components for the operation of institutional management systems, and are decisive factors in achieving the objectives.	In all management systems of the institution, ethics acts as a motivator of due behavior, so that in the achievement of the objectives, outstanding levels of effectiveness and optimizing the use of resources are obtained, with strict adherence to the legal framework and full awareness of the ethical responsibilities incumbent upon the institution in all its areas of action.

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INSTRUCTIONS: Consider the results of your assessment of the maturity of the components defined with respect to the institutional ethics. Then, place an X between the brackets of the bottom cell corresponding to the maturity stage in which that Audit considers that the institutional ethics is.

Component	Incipient	Novice	Competent	Skilled	Expert
	()	()	()	()	()
Institutional framework on ethical matters	On ethical matters, very few possible actions are shown to meet the obligations under the legal and technical system, but they have not been formalized in the institution.	There is an institutional framework in ethical matters that operates solely to meet legal and technical arrangements on the subject, based on which are integrated in isolation controls to some management systems, since it began to be considered the need to consider ethics in institutional decision-making.	It has been established an institutional framework on ethical matters which includes an ethical program formally established and published, as well as the integration of values and principles to the institutional processes of greatest vulnerability and risk, and awareness among all stakeholders of the institution regarding liability the maintenance of institutional ethics is perceived.	The institutional framework in ethical matters is fully internalized in the institutional action, both operationally and strategically. To this aim, an ethical program have contributed that serves as a constant guide for decision-making, there is a widespread commitment to ethics, and the integration of ethical principles and values in most of corporate management systems is a reality.	Ethics is an emblematic consideration in the institution that guides management in all fields under the leadership of the head and other senior officials. Indeed. Indeed, the institutional framework in the ethical field has become a fundamental element to guide the proper behavior of all members of the organization, and for the operation of all management systems with strict adherence to the legal framework and fully aware of the ethical responsibilities incumbent upon the institution in all its areas of action.