Internship Program Enap/SPEA – Indiana University

The actions of the Ministry of Transparency and Comptroller General

June, 2017
Core Functions

The CGU is the Federal Governmental body whose functions comprise the:

✓ Internal Control
✓ Internal Affairs
✓ Coordination of the System of Ombudsmen’s Offices, and
✓ Prevention and Fight against Corruption
CGU’s scope of work

The CGU develops actions concerning:

1) Internal Control
   - Guidance / Capacity-building
   - Audit / Oversight
   - ...

2) Internal Affairs

3) Transparency and Prevention of Corruption

4) Ombudsman’s activities
Council for Public Transparency and Fight against Corruption - CTPCC

- Advisory body linked to the CGU

- Legal Basis: Law n. 10.683/2003 – Article 17, §1 and § 2, Decree n. 4923/2003

- Purpose: suggest and debate measures for perfecting methods and systems of control and enhancement of transparency on public administration management, as well as strategies for tackling corruption and impunity

- Constitution: Government, other public entities and sectors representing organized civil society
## Council for Public Transparency and Fight against Corruption - CTPCC

<table>
<thead>
<tr>
<th>COMPOSIÇÃO</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CGU</strong></td>
</tr>
<tr>
<td><strong>Ministry of Finance</strong></td>
</tr>
<tr>
<td><strong>Attorney General</strong></td>
</tr>
<tr>
<td><strong>Ministry of Foreign Affairs</strong></td>
</tr>
<tr>
<td><strong>Public Prosecution Service</strong></td>
</tr>
</tbody>
</table>
Inter Institutional Coordination

One of the CGU’s guiding policies, which was adopted in 2003, refers to favoring cooperation and partnership with governamental bodies in charge of State Defense and enhancement of public management, with full respect of each one’s duties.
## Main Partnerships

<table>
<thead>
<tr>
<th>Federal Prosecution Service</th>
<th>Federal Police</th>
</tr>
</thead>
<tbody>
<tr>
<td>Court of Accounts</td>
<td>Attorney General’s Office</td>
</tr>
<tr>
<td>Ministry of Planning,</td>
<td>Ministry of Justice and Public Security</td>
</tr>
<tr>
<td>Development and Management</td>
<td></td>
</tr>
<tr>
<td>Central Bank</td>
<td>Brazilian Federal Revenue</td>
</tr>
<tr>
<td>National Council of Justice</td>
<td>Public Ethics Commission</td>
</tr>
<tr>
<td>State Control Bodies</td>
<td>State Prosecution Services</td>
</tr>
<tr>
<td>Financial Activities Control Council – COAF</td>
<td></td>
</tr>
</tbody>
</table>
The Control set forth by the Federal Constitution

Accounting, financial, budget, operational and asset A fiscalização contábil, financeira, orçamentária, oversight:

- **Internal Control System** within each Power. The Legislative, Executive and Judiciary Branches shall keep an internal control system, in an integrated manner.

- **External Control** – Conducted by the National Congress with the assistance of the Court of Accounts.
Purposes of the Internal Control System
(by the Constitution)

✓ assess the achievement of goals established in the scope of the plurianual plan, the execution of government programs and the Union’s budgets;

✓ ascertain the legality of and assess the results of budget, financial and asset management in federal administration bodies and entities, as far as efficiency and efficacy are concerned, as well as the application of public resources by private law legal entities;

✓ exercise control over credit operations, endorsements and guarantees, as well as control over the Union’s rights and assets;

✓ support the external control in its institutional mission.
The actions carried out by the SFC can be categorized under three main axes of control: prevention, detection and correction.

In spite of being categorized under a specific axe, control actions can comprise activities that relate with the other axes.
Internal Control Actions
Audit/Oversight and Guidance/Capacity-building

✓ Assessment of the Execution of Government Programs (Detection)
✓ Oversight over Federative Entities (Detection)
✓ Assessment of Public Administrators’ Management (Detection)
✓ Investigative Audits (Detection)
✓ Special Rendering of Accounts (Correction)
✓ Audits on Integrity of State-owned companies (Prevention)
✓ Guidance / Capacity-building for Public Administrators (Prevention)
Assessment of the Execution of Government Programs

✓ Policy mapping, hierarchization and prioritization

Drawing up of strategies for monitoring

✓ 2012 to 2017 – Actions in several government programs have been assessed, resulting in 64 reports issued.
This initiative aims at curbing corruption of administrators of any sphere of public administration. Since 2003, 2,625 municipalities have been overseen.

Selection based on drawing of lots, census and matrix of vulnerability – defines areas to be overseen considering the use of federal public resources.

During oversights, citizens are heard, directly or by means of community councils. They are encouraged to participate of the control of resources arising from taxes paid.

Inspections of public works and services are carried out and public accounts and documents are scrutinized.
Assessment of Administrators’ Management

• ascertainment of the legality and the results of budget, financial and asset management

• In this block, are included: Annual audits of accounts, follow-up audits, staff audits, foreign resources audits, Fiscal Management Report and the President’s Rendering of Accounts.
Investigative Audits

✓ Special audits on federal bodies and entities where SFC identifies grave problems

✓ Oversights resulting from complaints filed by Prosecution Service, Federal Police, MPs and other authorities;

✓ Investigation of citizen complaints and Special Operations with the Federal Police.
External demands refer to Complaints submitted by the Judiciary Power, Prosecution Service, Court of Accounts, Federal Police, Attorney General, Ministries and other institutions, besides those coming from Citizens.

These demands consist of handling complaints, requests for actions of control and for information related with the use of federal public resources.

<table>
<thead>
<tr>
<th>Origem da Demanda</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demanda Externa - Cidadãos</td>
<td>603</td>
<td>446</td>
<td>305</td>
<td>94</td>
<td>169</td>
<td>1.617</td>
</tr>
<tr>
<td>Demanda Externa - Representação</td>
<td>2.966</td>
<td>2.468</td>
<td>1.803</td>
<td>1.302</td>
<td>2.677</td>
<td>11.216</td>
</tr>
</tbody>
</table>
Since 2003, 253 Special Operations have been carried out in cases where corruption acts have been detected.

In the period between 2010 and 2016, 46 special audits were carried out. Their results are disclosed on the CGU’s website, from which it is worth highlighting the ones concerning DNIT, VALEC, Federal Hospitals of Rio de Janeiro and the Ministry of Tourism – with great repercussion on the media.
Audits on Integrity of State-Owned Companies

✓ Aimed at identifying and assessing policies and mechanisms for preventing, detecting and remeding acts of corruption and fraude in federal state-owned companies.

✓ The company receives a study on its measures of integrity and a set of proposals of good practice and suggestions on improvements designed to meet its needs and specific reality.

✓ In 2016, the action started in 26 federal state-owned companies, which included companies from the electricity, supply, tecnology, finance sectors, among others.
Guidance and Capacity-building

- Strengthen preventive control, through trainings in the Audit and Oversight area
- Foster the improvement of public resources management through orientations published in manuals and booklets
Coordination with the Federal Prosecution Service

✓ Cooperation on Investigations

✓ Conduction of actions of control in response to requests

✓ Delivery of information in the form of Working Papers or Oversight and Audit Reports

✓ About 10 thousand Administrative Proceedings initiated by the Prosecution Service as a result of oversights led by the CGU
Coordination with the Attorney General’s Office

✓ Actions for Refunding the Treasury

✓ Civil Actions for Administrative Misconduct.

✓ Actions resulting from Draw-of-lots Oversights

✓ Provisional Remedies
Coordination with the Federal Police

✓ Strengthening of Federal Police’s actions
✓ Focus on combating corruption
✓ Reliability on SFC’s Reports on Actions of Control
✓ Actions in partnership on Special Operations
✓ Technical Collaboration on Inquiries and Investigations
✓ Sharing of information with the intent of having civil servants and companies hired by Public Power held accountable.
Support to the External Control (TCU)

✓ Subsidize Federal Public Management’s Accountability and Rendering of Accounts
✓ Focus on Management Assessment
✓ Reliability on Reports of Annual Audit of Accounts (AAC), leading to an Evolution of the Scope of Works

### QUANTIDADE DE AAC REALIZADAS POR ANO

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>TOTAL</td>
<td>1.228</td>
<td>1.232</td>
<td>1.316</td>
<td>1.322</td>
<td>1.180</td>
<td>519</td>
<td>518</td>
<td>642</td>
<td>573</td>
<td>532</td>
<td>432</td>
<td>345</td>
<td>289</td>
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</table>
Partnerships for Betterment

✓ Organization for Economic Co-operation and Development (OECD)
✓ National Council of Internal Control (CONACI)
✓ WORLD BANK
✓ INTER-AMERICAN DEVELOPMENT BANK (IDB)
✓ Specialized Meeting of Internal Control Government Organisms (REOGCI)
✓ International Anti-Corruption Academy (IACA)
✓ National Strategy Against Corruption and Money Laundering (ENCCLA)
Benefits coming from Actions of Internal Control

- Benefit is understood as a positive impact seen on public management, resulting from public administrators’ implementation of recommendations arising from internal control activities.
- Joint work of internal control and management.
- For accounting purposes, benefits are categorized as financial and non-financial.

<table>
<thead>
<tr>
<th>Classe do benefício financeiro</th>
<th>Valor (R$)</th>
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<tbody>
<tr>
<td>Recuperação do custo de operações de crédito subsidiado</td>
<td>1.640.000.000,00</td>
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<tr>
<td>Suspensão de pagamento continuado indevido</td>
<td>915.043.570,43</td>
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<tr>
<td>Recuperação de valores pagos indevidamente</td>
<td>204.609.474,07</td>
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<tr>
<td>Redução nos valores licitados/contratados</td>
<td>102.346.698,76</td>
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<td>Arrecadação de multa</td>
<td>1.515.882,04</td>
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<tr>
<td>Suspensão de pagamento não continuado indevido</td>
<td>6.788.944,20</td>
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<tr>
<td><strong>Total de benefícios financeiros</strong></td>
<td><strong>2.870.304.569,50</strong></td>
</tr>
</tbody>
</table>
Benefits coming from Actions of Internal Control

✓ Another way of observing the benefits coming from actions of internal control is through recommendations and its monitoring.

✓ Arising from audit and oversight procedures, recommendations consist of a request for measures to be taken by the manager to solve flaws which have been identified.

<table>
<thead>
<tr>
<th>Ano Emissão Recomendação</th>
<th>Recomendações Atendidas</th>
<th>Recomendações em acompanhamento</th>
<th>Total de Recomendações Emitidas (*)</th>
<th>ALERTAS</th>
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<tbody>
<tr>
<td>2011</td>
<td>9067</td>
<td>1958</td>
<td>11025</td>
<td>351</td>
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<tr>
<td>2012</td>
<td>6943</td>
<td>2839</td>
<td>9782</td>
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<tr>
<td>2013</td>
<td>7580</td>
<td>4470</td>
<td>12050</td>
<td>602</td>
</tr>
<tr>
<td>2014</td>
<td>4315</td>
<td>5509</td>
<td>9824</td>
<td>487</td>
</tr>
<tr>
<td>2015</td>
<td>2036</td>
<td>6519</td>
<td>8555</td>
<td>323</td>
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<tr>
<td>2016</td>
<td>499</td>
<td>7248</td>
<td>7747</td>
<td>51</td>
</tr>
<tr>
<td>Total</td>
<td>30440</td>
<td>28543</td>
<td>58983</td>
<td>2331</td>
</tr>
</tbody>
</table>
Internal Affairs Actions

• Management of the Federal Executive Branch’s Internal Affairs System
  • Normatization
  • Capacity-building
  • Coordination of investigations
  • Data integration

• Supervision over the Disciplinary Activity
  • Monitoring of the efficiency, efficacy and effectiveness of Internal Affairs actions (disciplinary and liability of private entities) within SISCOR
  • Analysis of the coverage, depth and regularity of investigations carried out in the scope of the Federal Executive Branch (FEB)

• Direct Investigation on Wrongdoings of Major Relevance within the FEB
  • Carrying out of Initial Investigations and Disciplinary Administrative Actions
  • Carrying out of Actions of Private Entities’ Administrative Liability (40 penalties concerning disreputability and suspension)
  • Monitoring of wealth evolution
Expelling Penalties Applied to Servants

<table>
<thead>
<tr>
<th>Penalties</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
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</thead>
<tbody>
<tr>
<td>DISMISSAL</td>
<td>241</td>
<td>276</td>
<td>254</td>
<td>310</td>
<td>387</td>
<td>307</td>
<td>366</td>
<td>426</td>
</tr>
<tr>
<td>CANCELLATION OF RETIREMENT</td>
<td>10</td>
<td>16</td>
<td>19</td>
<td>28</td>
<td>29</td>
<td>24</td>
<td>23</td>
<td>36</td>
</tr>
<tr>
<td>OUSTING</td>
<td>17</td>
<td>27</td>
<td>14</td>
<td>35</td>
<td>22</td>
<td>41</td>
<td>44</td>
<td>50</td>
</tr>
<tr>
<td>TOTAL</td>
<td>268</td>
<td>319</td>
<td>287</td>
<td>373</td>
<td>438</td>
<td>372</td>
<td>433</td>
<td>512</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Penalties</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>DISMISSAL</td>
<td>442</td>
<td>421</td>
<td>431</td>
<td>420</td>
<td>446</td>
<td>445</td>
<td>5172</td>
</tr>
<tr>
<td>CANCELLATION OF RETIREMENT</td>
<td>35</td>
<td>45</td>
<td>51</td>
<td>58</td>
<td>54</td>
<td>65</td>
<td>493</td>
</tr>
<tr>
<td>OUSTING</td>
<td>56</td>
<td>39</td>
<td>49</td>
<td>69</td>
<td>41</td>
<td>40</td>
<td>544</td>
</tr>
<tr>
<td>TOTAL</td>
<td>533</td>
<td>505</td>
<td>531</td>
<td>547</td>
<td>541</td>
<td>550</td>
<td>6209</td>
</tr>
</tbody>
</table>
Registries of Penalties

**CEIS** – gathers list of enterprises and natural people punished by the three powers in the three government spheres, which have restrictions to be hired or to enter a bidding process with Public Administration.

**CNEP** – gathers list of enterprises punished by the three powers in the three government spheres, based on Law n. 12.846/2013.

**CEAF** – gathers information on expelling penalties (since 2003) applied by the Federal Executive Branch and the House of Representatives, which still hold judicial effects.
## National Registry of Disreputable and Suspended Companies - CEIS

**Portal da Transparência do Governo Federal**

### EMPRESAS SANCIONADAS - TODAS

<table>
<thead>
<tr>
<th>CNPJ/CPF</th>
<th>Nome/Razão Social/Nome Fantasia</th>
<th>Tipo</th>
<th>Data Inicial</th>
<th>Data Final</th>
<th>Nome do Órgão/Entidade UP</th>
<th>Origem da Informação</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.118.497/0001-63</td>
<td>1001 Cola Comércio de Variedades Ltda</td>
<td>Suspensa</td>
<td>02/06/11</td>
<td>01/12/11</td>
<td>Receita Federal do Brasil</td>
<td>SP, DOU Seção 1 pág 357, 02/06/2011</td>
</tr>
<tr>
<td>08.604.355/0001-80</td>
<td>11 Anka Construções e Projetos Ltda</td>
<td>Suspensa</td>
<td>19/07/10</td>
<td>18/07/12</td>
<td>Instituto de Pesquisas Sardim Botânico do Rio de Janeiro</td>
<td>RJ, DOU Seção 3 pág 122, 19/07/2010</td>
</tr>
<tr>
<td>05.961.339/0001-78</td>
<td>2 Imóveis Comércio e Representações Ltda</td>
<td>Suspensa</td>
<td>30/03/10</td>
<td>29/03/15</td>
<td>Embrapa</td>
<td>RO, DOU Seção 3 pág 306, 31/03/2010</td>
</tr>
<tr>
<td>05.961.339/0001-78</td>
<td>2 Imóveis Comércio e Representações Ltda</td>
<td>Suspensa</td>
<td>13/06/11</td>
<td>12/06/13</td>
<td>Funasa</td>
<td>AC, DOU Seção 3 pág 091, 13/06/2011</td>
</tr>
<tr>
<td>10.330.112/0001-64</td>
<td>2C Informática Ltda</td>
<td>Suspensa</td>
<td>15/06/10</td>
<td>14/06/12</td>
<td>Quinto Comando Aéreo Regional</td>
<td>AC, DOU Seção 3 pág 021, 01/07/2010</td>
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<tr>
<td>10.330.112/0001-64</td>
<td>2C Informática Ltda</td>
<td>Suspensa</td>
<td>23/06/10</td>
<td>22/06/12</td>
<td>Instituto Federal de Educação, Ciência e Tecnologia de Minas Gerais - Campus Inconfidentes Universidade Federal de São Carlos</td>
<td>SP, DOU Seção 3 pág 062, 23/06/2010</td>
</tr>
<tr>
<td>08.052.436/0001-36</td>
<td>2Solutions Technology Ltda</td>
<td>Suspensa</td>
<td>01/10/09</td>
<td>30/09/11</td>
<td>Universidade Federal de São Carlos</td>
<td>SP, DOU Seção 3 pág 040, 01/10/2009</td>
</tr>
<tr>
<td>07.797.339/0001-00</td>
<td>A &amp; C Business Distribuidora e Comércio Ltda</td>
<td>Suspensa</td>
<td>18/03/10</td>
<td>17/03/12</td>
<td>Justiça Federal</td>
<td>CE, DOU Seção 3 pág 125, 18/03/2010</td>
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<td>07.797.339/0001-00</td>
<td>A &amp; C Business Distribuidora e Comércio Ltda - Me</td>
<td>Suspensa</td>
<td>18/02/10</td>
<td>17/02/12</td>
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<td>TO, DOU Seção 3 pág 164, 14/10/2009</td>
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<td>07.797.339/0001-00</td>
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<td>Suspensa</td>
<td>14/10/09</td>
<td>13/10/11</td>
<td>Superior Tribunal Militar</td>
<td>TO, DOU Seção 3 pág 164, 14/10/2009</td>
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</table>

**Nota:** Informação não disponível, favor verificar junto ao Órgão sancionador.

Pesquisar: Entre com o texto [OK]
**CEAF – Registry of Federal Government’s Dismissed Staff**

<table>
<thead>
<tr>
<th>CPF</th>
<th>Name</th>
<th>Orgão de Lotação</th>
<th>Punição Aplicada</th>
</tr>
</thead>
<tbody>
<tr>
<td>000.304.374-**</td>
<td>JULIO CÉZAR COSTA DE MEDEIROS</td>
<td>MINISTÉRIO DA FAZENDA</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.061.575-**</td>
<td>ANDERSON GUILHERME DE FREITAS</td>
<td>INSTITUTO FEDERAL DE EDUCAÇÃO, CIÊNCIA E TECNOLOGIA</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.187.927-**</td>
<td>ANNA KARINA DE MATOS DESLANDES</td>
<td>DE SERGIPE</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.354.987-**</td>
<td>ANTONIO CARLOS DA ROCHA ALVES</td>
<td>MINISTÉRIO DA SAÚDE</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.802.977-**</td>
<td>CARLOS ALFREDO DOS SANTOS RODRIGUES</td>
<td>MINISTÉRIO DA SAÚDE</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.201.357-**</td>
<td>TELMA DIAS MENDES</td>
<td>MINISTÉRIO DA SAÚDE</td>
<td>DEMISSÃO</td>
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<tr>
<td>000.530.707-**</td>
<td>ALOÍSIO DE ALMEIDA FELICIO</td>
<td>INSTITUTO NACIONAL DE SEGURO SOCIAL</td>
<td>DEMISSÃO</td>
</tr>
<tr>
<td>000.769.066-**</td>
<td>NILSON CARLOS DIAS</td>
<td>UNIVERSIDADE FEDERAL DE GOLIÁS</td>
<td>DEMISSÃO</td>
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<tr>
<td>000.396.157-**</td>
<td>ELICMAR PEREIRA DA SILVA</td>
<td>INSTITUTO NACIONAL DE SEGURO SOCIAL</td>
<td>DEMISSÃO</td>
</tr>
</tbody>
</table>
Actions of the Ombudsman General’s Office

1. Advice to citizens on the access to services, public policies and rights;

2. Support to subnational entities and other powers for the implementation of ombudsman’s units and standardization of service delivery;

3. Problems identification and proposal of improvements for Federal Public Administration’s effectiveness;

4. Individual and collective requests and conflict mediation;

5. Encouragement of participation and public oversight;

6. Public agents’ training and capacity-building;

7. This body secures passive transparency within the Federal Executive Branch.
The Ombudsman General’s Office main outcomes

- 312 federal ombudsmen’s offices in all federative states under the technical coordination of the OGU;
- 119 federal ombudsmen’s offices using the e-OUV system, developed and kept by the CGU;
- More than 80,000 requests received by the e-OUV system since 2015;
The Ombudsman General’s Office main outcomes

- Through the Program for Citizen Assessment of Public Services and Policies - PROCID, the OGU assessed, in 2016, 14 programs and 2 services.
The Ombudsman General’s Office main outcomes

- The OGU directly treated 14,331 requests in 2016, providing citizens with guidelines on how they can secure their rights before Public Administration, as well as handling complaints on public agents’ misconduct.
The Ombudsman General’s Office main outcomes

• 8,691 public agents trained between 2014 and 2016 through the Policy of Continuous Training on Ombudsman’s Actions - PROFOCO;
The Ombudsman General’s Office main outcomes

The Program for Strengthening Ombudsmen’s Offices – PROFORT, counts on 66 bodies in 24 Federative States, offering support capacity-building, guiding booklets and the source code of the e-OUV to subnational entities and the other powers.
The Ombudsman General’s Office main outcomes

- Easy-to-find Ombudsmen’s Offices: all offices at a single place: Portal Ouvidorias.gov.br
The Ombudsman General’s Office main outcomes

• Transparent Ombudsmen’s Offices: the Room for the Ombudsmen’s Offices
The Ombudsman General’s Office main outcomes

• 5,800 appeals on requests for access to information tried in 2016, with all decisions available for consultation on the Active Transparency section;

• Initiatives for mediation in matters of access to information ensure reverse of 60% of cases brought before the OGU
The CGU’s International Articulation - Main Projects

- Coordination of the CGU’s *international actions in international fora* for preventing and combating corruption
- Promotion of *international technical cooperation*
- Leading role in *international legal cooperation*
Coordination of international actions

- United Nations Convention Against Corruption (UNCAC)
- Inter-American Convention Against Corruption (OAS)
- OECD Convention on Combating Bribery of Foreign Public Official in International Business Transactions (OECD)
- G20’s Anti-Corruption Working Group
- Open Government Partnership (OGP)

Main Events in 2017:

- Meeting of G20’s Anti-Corruption Working Group to be held in Brasilia, with the co-presidency of Brazil and Germany (April, 2017)
- 7th Conference of State Parties to the UNCAC (November, 2017)
- On-site visit to Brazil (Fifth Round of Review - MESICIC/OAS)
Coordination of international actions

INTERNACIONAL Articulation (CGU’s areas of work)

• Insertion of themes of interest
• Conduction of projects
• Bilateral Agreements
• Mechanisms of Review
International Technical Cooperation

- Contribute for the improvement of standards in the fight against corruption at regional and global levels
- Place Brazil as a leading actor in the fight against corruption
- Internalize expertise
- Improve internal processes
International Legal Cooperation

• **Goal:** allow for liability actions when facts under investigation involve other jurisdictions (Anti-Corruption Law, Bidding Law, Law n. 8112/1990, etc.)

• The administrative proceedings are efficient tools of persuasion and punishment against corruption. They regularly need acts or evidence coming from the abroad.

• The channels for international legal cooperation, however, are still very narrow to criminal prosecution and investigation procedures.
Integrity – Main Actions and Projects

- Promotion of business integrity – Pró-Ética
- Promotion of integrity in micro and small enterprises – Clean Company Program (partnership CGU-SEBRAE)
- Assessment of integrity programs – Anti-Corruption Law
- Promotion of integrity in direct public administration – PROFIP
- Policy for the prevention of conflict of interest in Federal Executive Branch
Promotion of business integrity – Pró-Ética

Main goal:

Promote voluntary adoption of integrity measures by companies, through public acknowledgement on an online annual list of those companies committed with preventing and fighting corruption and other types of fraud.
Clean Company Program – Partnership with Sebrae

Main goal:

Raise awareness of micro and small enterprises on the importance and benefits of investing and adopting ethical business conduct, through the support for the adoption of integrity measures shaped for small businesses’ reality.
Portal: www.sebrae.com.br/empresasaintegra

- Supporting material for small businesses, using simple language adapted to the target public:

  Videos;
  Articles;
  Infographics;
  Guides and orientations.
Program for the Promotion of Public Integrity - PROFIP

Created by Ministerial Ordinance n. 784, of April 28, 2016, it is a CGU’s initiative to encourage and empower Federal Executive Branch’s bodies and entities to develop and implement integrity programs.
Policy for the prevention of conflict of interest in Federal Executive Branch

Main goal:

Implement Law n. 12.813/2013, Conflict of Interests Act, which sets forth cases that constitute this type of conflict while and after the holding of a position or employment in the Federal Executive Branch.
Em vigor desde 1º de julho de 2013, a Lei nº 12.813/2013 (Lei de Conflito de Interesses) criou mecanismos para que o servidor ou empregado público federal previna possíveis conflitos de interesses e resguarde informações privilegiadas.

Para agilizar a comunicação entre o agente público e o Governo Federal no âmbito da nova lei, o Ministério da Transparência, Fiscalização e Controle do Governo Federal (CGU) desenvolveu o SeCI - Sistema Eletrônico de Prevenção de Conflitos de Interesses.

O SeCI permite ao servidor ou empregado público federal fazer consultas e pedir autorização para exercer atividade privada, bem como acompanhar as solicitações em andamento e interpor recursos contra as decisões emitidas, tudo de forma simples e rápida.
Promotion of Transparency and Citizen Engagement

- Promotion of transparency in public administration
- Implementation and monitoring of the Acess to Information Act
- Citizen information System (e-SIC)
- Active transparency in Federal Government
- Support for transparency in states and municipalities
- Engagement of society and public oversight
Promotion of Transparency in public administration

**ACTIVE TRANSPARENCY**
*Government proactively discloses information to society*

**PASSIVE TRANSPARENCY**
*Government responds to requests for information from citizens, enterprises and organizations*
Implementation and monitoring of Access to Information Act

FOLLOW-UP OF CITIZEN INFORMATION SERVICE UNITS (SICs)

Monitoring procedures: omissions, qualitative assessment, data opening, active transparency, data protection

Support: + than 300 Federal Government bodies/entities/companies have a SIC unit

Public access to reports, requests and answers

Training: support, guides, booklets and in-person and online trainings to government bodies
Citizen Information System (e-SIC)

Straightforward request, answer within short time and online reports

Since 2012:

+ 500 thousand requests registered

99.7% already answered

Online reports on bodies performances

Straightforward appeals
Active Transparency in Federal Government

- **Portal of Transparency**
- **Pages of Transparency**
- **Mandatory information on bodies’s websites**
- **Data opening in open format**
Portal of Transparency

Daily release of relevant information on public resources

Revenues
Expenditures
Transfers and Agreements
Social programs
Government Credit Cards
Administrative Sanctions
Civil servants
Portal of Transparency

Figures of the Portal

21.6 million visits in 2016

Average of 949 thousand monthly visitors in 2016

230 million pages visited in 2016
Portal of Transparency

Impact of the Portal

Reduction of costs after repercussion of the Portal information on Federal Government Payment Cards

Spending on CPGF in 2007

R$ 76,254,492

Average Spending 2008-2015

R$ 62,645,305

Spending in 2016: 52,016,497.71
Pages of Transparency

*Individual pages of Federal Government bodies and entities*

**Monthly updating on:**

- Budget
- Bidding
- Contracts
- Trips
- Per diem
Mandatory Active Transparency

What has to be disclosed by each government organization

- Institutional Information
- Actions and Programs
- Audits
- Bidding and Contracts
- Expenditures and Revenues
- Servants and Outsourced Employees
- Institution and Authorities
- FAQ
Mandatory Active Transparency

Open Data

Brazilian law promotes data opening

Monitoring of Open Data Plan release

Follow-up of plan execution

Promotion of open data culture

Awareness-raising for the opening of specific relevant bases

Partnership with Ministry of Planning for training and promotion
Support for Transparency in States and Municipalities

- Transparent Brazil Program
- Brazil Transparency Range
Support for Transparency in States and Municipalities

**Transparent Brazil Program**

Program to support local governments to implement transparency measures

*Guides and booklets to support legislation and implementation of transparency norms*

*In-person and online trainings*

*Transfer of e-SIC system code*

*Data opening in open format*
Support for Transparency in States and Municipalities

Transparent Brazil Program

Impacts of the support to states and municipalities
Support for Transparency in States and Municipalities

Brazil Transparency Range

Sample assessment that indicates areas for improving passive transparency

- Rules of application
- Access channels
- Blockages, restrictions, rules for secrecy
- Processes, times, procedures
Engagement of Society and Public Oversight

- **Sharp Eye on Public Money** ("Olho Vivo no Dinheiro Público")
- **Citizen Education:** One for All and All for One ("Um por todos e Todos por Um")
- **Drawing and Composition contests**
- **Open Government**
Engagement of Society and Public Oversight

*Sharp Eye on Public Money*

*Training for citizens and organizations to oversee public resources*

- In-person and online training
- Seminars and workshops for sharing experience
- Support guides and booklets
- Presentation of audit reports
- Creation of control networks with civil society organizations and government bodies from different powers and levels
Engagement of Society and Public Oversight

*Sharp Eye on Public Money*

*More than 400 events held*

*2688 participating municipalities*

*More than 50 thousand participants in trainings*

*More than 150 thousand people participating in the Conference on Public Oversight*

*More than 18 Thousand counselors trained*
Engagement of Society and Public Oversight

Citizen Education: One for All and All for One

Monica’s Gang takes ethics and citizenship to basic education students

1 semester of activities related to citizenship and ethics

Each student receives a set composed by a book, comics, games and much much much

Teachers receive an orientation set and online courses
Engagement of Society and Public Oversight

*Citizen Education: One for All and All for One*

*Monica’s Gang takes ethics and citizenship to basic education students*

2009 to 2016

650 thousand students

24 thousand teachers

4100 schools
Engagement of Society and Public Oversight

Drawing and Composition Contest

Taking relevant issues to children and adolescents of all ages

The contest promotes school activities to awaken the interest on students in issues related to public oversight, ethics and citizenship, through analysis and discussion.
Engagement of Society and Public Oversight

*Drawing and Composition Contest*
*Taking relevant issues to children and adolescents of all ages*

**Participation: 2007 to 2016**

1,7 million students

60 thousand teachers

11 thousand schools

4,7 thousand municipalities
Engagement of Society and Public Oversight

Open Government
Improving government through dialogues with society

The Ministry of Transparency coordinates the Executive Group of the Open Government Interministerial Committee, which jointly with civil society develops action plans for the promotion of transparency, social participation, accountability, through new technologies and innovations.

Get to know everything on open government in Brazil at governoaberto.cgu.gov.br
Engagement of Society and Public Oversight

3rd National Action Plan on Open Government

Improving government through dialogues with society

16 commitments
14 themes
3 powers
+50 civil society organizations
THANK YOU!