



4th Conference of the
Arab Anti-Corruption and Integrity Network - ACINET

The Brazilian Experience in Fighting Corruption

JORGE HAGE
Minister of State
Head of the Office of the Comptroller General of Brazil

Beirut, Lebanon, April 2013



Main Challenges in the Fight against Corruption

1. Lack of an **anticorruption tradition**
2. Almost **no relevant** initiative in terms of **transparency**
3. High **resistance to openness** in the Public Administration
4. Absence of a **specific agency** dedicated to anticorruption
5. **Continental dimensions** of the country
6. **Federative system** of government
7. Highly problematic **political system**



Main Challenges in the Fight against Corruption

8. Need to forge **political coalitions** to ensure governance
9. Burocratic and slow **judicial system**, resulting in a sense of **impunity**
10. **Isolationism** of domestic institutions
11. **Low degree of citizen participation** in monitoring public expenditure
12. Widespread idea in the **private sector** that fair play was a competitive disadvantage
13. **Private financing** of political parties and campaigns
14. Difficulty to reach **subnational governments**



The Office of the Comptroller General - CGU

- CGU established in 2003
- **Established and structured as an agency specifically tasked with preventing and fighting corruption – working in coordination with other partner institutions**



The Office of the Comptroller General

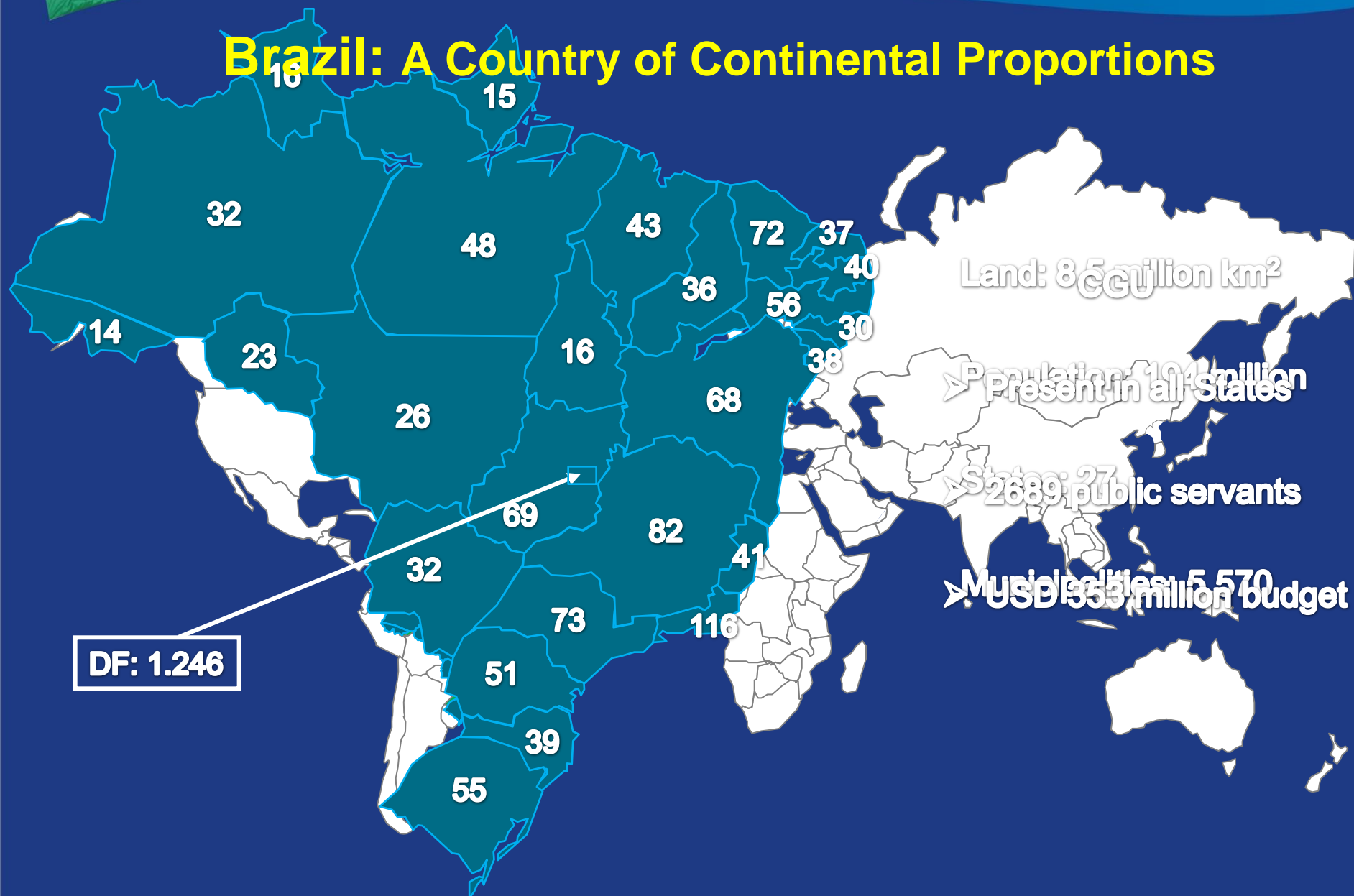
CGU:

Anti-Corruption
Agency of the
Brazilian Federal
Government
+
Internal Control Unit

- Internal Audit
- Disciplinary Actions
- Ombudsman
- Corruption Prevention



Brazil: A Country of Continental Proportions





Partnerships with other Institutions with Anticorruption Mandates

- 1. Federal Police**
- 2. Federal Public Prosecution**
- 3. Financial Activities Control Council (Financial Intelligence Unit)**
- 4. Office of the Attorney General**
- 5. Federal Court of Accounts**
- 6. Public Ethics Commission**
- 7. Internal Control Bodies of states**



Main audit actions (internal control)

- Control of the Federal Government's direct spending
- Control of Transfers to States and Municipalities
- Control of Transfers to Private Entities
- Guidance to public managers



Types of Audits Performed by CGU

- Ordinary Annual Audits
- Investigative and Special Audits
- Program Evaluation Audits:
 - By priorities
 - By drawing of lots
- Audits in Joint Operations with the Federal Police

Follow up of the results of the Audits

Control

CGU

Disciplinary Board

Agencies

Federal Police

**Ministries
Managers**

**Federal
Court of
Accounts**

**Senate
Chamber of Deputies**

**Office of the
Public Prosecutor**

**Office of the
Attorney
General**

Outcomes

**Managerial
Improvements**

**Political
Control**

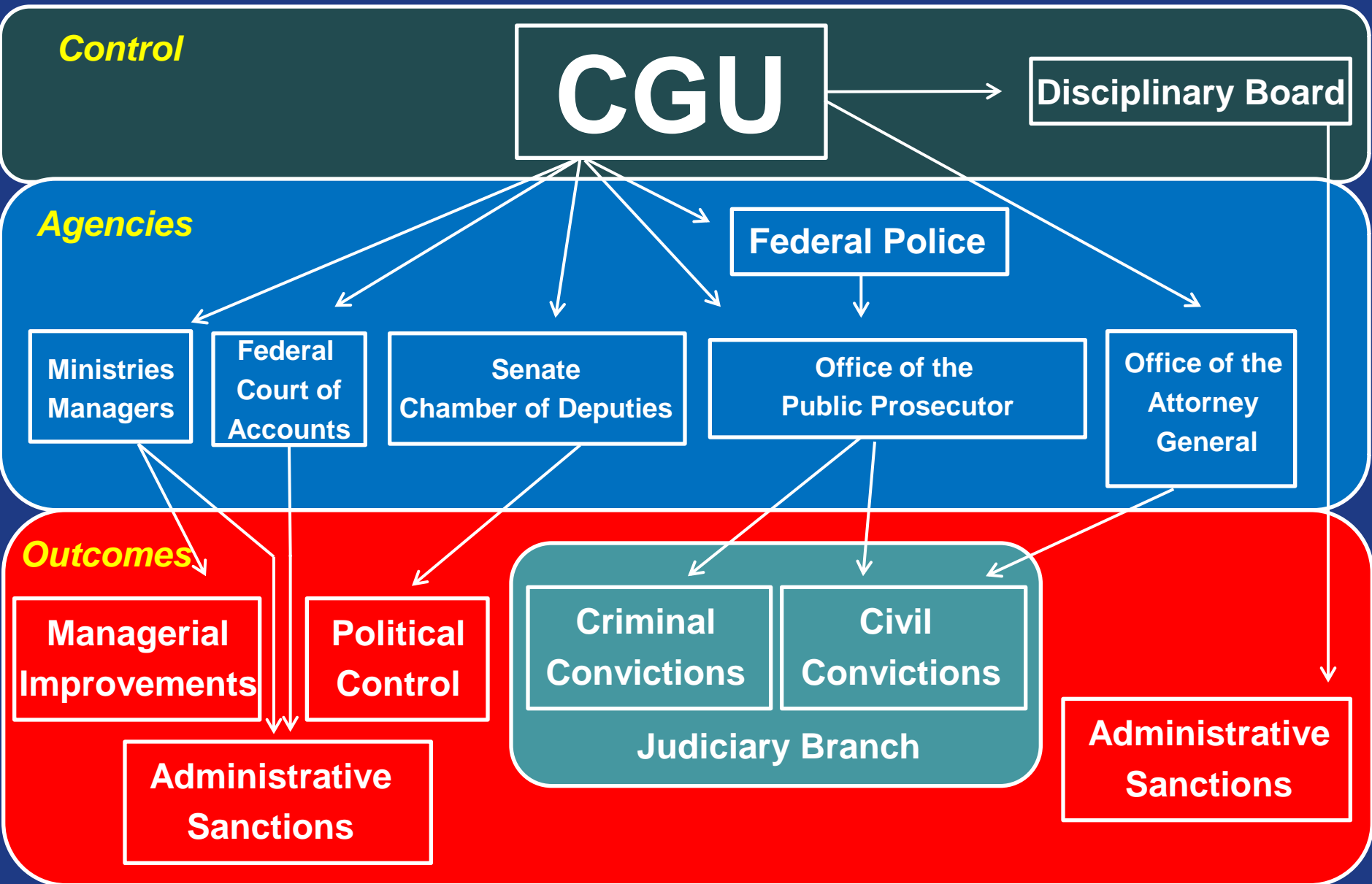
**Criminal
Convictions**

**Civil
Convictions**

Judiciary Branch

**Administrative
Sanctions**

**Administrative
Sanctions**





Disciplinary Actions

How CGU learns about Irregularities:

- **Control Actions (audits)**
- **COAF - Council for Financial Activities Control**
- **Press**
- **Representations**
 - ✓ **Federal Prosecutor Office**
 - ✓ **Executive Branch Authorities**
 - ✓ **Members of Parliament**
- **Citizen reports**



Registry of Expulsion Penalties



PORTAL DA TRANSPARÊNCIA
do Governo Federal

[Fale conosco](#) | [Glossário](#) | [Perguntas Frequentes](#) | [Links](#) | [Manual](#)

Acesso rápido

Você está em:

[Início](#) » [Servidores](#) » **Expulsões**

CADASTRO DE EXPULSÕES DA ADMINISTRAÇÃO FEDERAL

[baixar mais dados](#)

Selecione o(a) "Nome do servidor" para obter o detalhamento

Caso queira outra classificação, clique no título da coluna correspondente

CPF	Nome do Servidor	Órgão de Lotação	Punição Aplicada
***.384.374-**	JÚLIO CÉZAR COSTA DE MEDEIROS	MINISTÉRIO DA FAZENDA	DEMISSÃO
***.061.575-**	ANDERSON GUILHERME DE FREITAS	INSTITUTO FEDERAL DE EDUCAÇÃO, CIÊNCIA E TECNOLOGIA DE SERGIPE	DEMISSÃO
***.187.927-**	ANNA KARINA DE MATOS DESLANDES	MINISTÉRIO DA SAÚDE	DEMISSÃO
***.354.987-**	ANTONIO CARLOS DA ROCHA ALVES	MINISTÉRIO DA SAÚDE	DEMISSÃO
***.802.977-**	CARLOS ALFREDO DOS SANTOS RODRIGUES	MINISTÉRIO DA SAÚDE	DEMISSÃO
***.201.367-**	TELMA DIAS MENDES	MINISTÉRIO DA SAÚDE	DEMISSÃO
***.530.707-**	ALOÍSIO DE ALMEIDA FELICIO	INSTITUTO NACIONAL DE SEGURO SOCIAL	DEMISSÃO
***.769.066-**	DNILSON CARLOS DIAS	UNIVERSIDADE FEDERAL DE GOIÁS	DEMISSÃO
***.396.157-**	ELIOMAR PEREIRA DA SILVA	INSTITUTO NACIONAL DE SEGURO SOCIAL	DEMISSÃO

Pesquisar:

Saiba Mais

- [Mais informações](#)
- Entre em contato: [Corregedoria-Geral da União \(CRG\)](#)

From 2004 to September 2012
3.367 expulsion penalties were applied to
2.860 federal officials

National Debarment List - CEIS

PORTAL DA TRANSPARÊNCIA do Governo Federal

Acesso rápido Selezione... OK

Empresas

perguntas Frequentes | Links | Manual de Navegação

Company identification

Type and period of sanctions

Agency that applied the sanction

state

Source of information

Caso queira outra classificação, clique no título da coluna correspondente

Dados da empresa sancionada		Dados da sanção			Órgão sancionador		Origem da informação	
CNPJ/CPF	Nome/Razão Social/Nome Fantasia	Tipo	Data Inicial	Data Final	Nome do Órgão/Entidade	UF	Fonte	Data
11.118.497/0001-63	1001 Coisas Comércio De Variedades Ltda	Suspensa	02/06/11	01/12/11	Receita Federal do Brasil	SP	DOU Seção 1 pág 057	02/06/2011
08.604.359/0001-80	11 Anka Construções E Projetos Ltda	Suspensa	19/07/10	18/07/12	Instituto de Pesquisas Jardim Botânico do Rio de Janeiro	RJ	DOU Seção 3 pág 122	19/07/2010
05.961.339/0001-78	2 Irmãos Comércio E Representações Ltda	Suspensa	30/03/10	29/03/15	Embrapa	RO	DOU Seção 3 pág 006	31/03/2010
05.961.339/0001-78	2 Irmãos Comércio E Representações Ltda	Suspensa	13/06/11	12/06/13	Funasa	AC	DOU Seção 3 pág 091	13/06/2011
10.330.112/0001-64	2C Informática Ltda	Suspensa	15/06/10	14/06/12	Quinto Comando Aéreo Regional Nstituto Federal de Educação, Ciência E	**	DOU Seção 3 pág 021	01/07/2010

Companies: 4.770 sanctions applied to 3.395 empresas

Individuals: 3.647 sanctions applied to 2.864 people

07.797.339/0001-00	A & C Business Distribuidora E Comércio Ltda - Me	Suspensa	18/02/10	17/02/12	Justiça Federal	TO	DOU Seção 3 pág 106	19/02/2010
07.797.339/0001-00	A & C Business Distribuidora E Comércio Ltda - Me	Suspensa	14/10/09	13/10/11	Superior Tribunal Militar	**	DOU Seção 3 pág 164	14/10/2009

** Informação não disponível, favor verificar junto ao Órgão sancionador

Pesquisar: Entre com o texto

Through April 2013



Not-for-Profit Entities Debarment List



PORTAL DA TRANSPARÊNCIA
do Governo Federal

[Fale conosco](#) | [Glossário](#) | [Perguntas Frequentes](#) | [Links](#) | [Manual de Navegação](#)

Acesso rápido

Você está em:
Início » CEPIM » E

s Im

Imprimir

identification

Identification of the
Public Body responsible
for the sanction

Reason for the
sanction

ENTIDADES PRIVADAS SEM FINS LUCRATIVOS IMPEDIDAS

Caso queira outra classificação, clique no título da coluna correspondente

Dados da Entidade Privada sem Fins Lucrativos		Dados do convênio		Motivo
CNPJ	Nome/Razão Social/Nome Fantasia	Número	Órgão Concedente	
06.888.897/0001-18	INSTITUTO SORRINDO PARA A VIDA	702051	MINISTERIO DO TRABALHO E EMPREGO	SICONV (MOTIVO NÃO ESPECIFICADO)
05.432.867/0001-30	4 CANTOS DO MUNDO	562569	MINISTERIO DA EDUCACAO	IRREGULARIDADES NA PRESTAÇÃO DE CONTAS (ATRASSO, OMISSÃO OU IMPUGNAÇÃO)
06.248.185/0001-34	A CASA PRO CIDADANIA	522852	MINISTERIO DO TURISMO	IRREGULARIDADES NA PRESTAÇÃO DE CONTAS (ATRASSO, OMISSÃO OU IMPUGNAÇÃO)
04.377.324/0001-02	A CASA VERDE - CULTURA E MEIO AMBIENTE	702936	MINISTERIO DO DESENVOLVIMENTO AGRARIO	SICONV (MOTIVO NÃO ESPECIFICADO)
04.377.324/0001-02	A CASA VERDE - CULTURA E MEIO AMBIENTE	707323	MINISTERIO DA CULTURA	SICONV (MOTIVO NÃO ESPECIFICADO)
68.481.282/0001-20	A N I ASSOCIACAO NACIONAL DOS INVENTORES	339581	MINISTERIO DA CIENCIA, TECNOLOGIA E INOVACAO	MOTIVO NÃO ESPECIFICADO
07.138.118/0001-20	ABC ACADEMIA BRASILEIRA DE CORDEL	524515	MINISTERIO DA CULTURA	IRREGULARIDADES NA PRESTAÇÃO DE CONTAS (ATRASSO, OMISSÃO OU IMPUGNAÇÃO)
00.182.395/0001-90	ABC ASSOCIACAO BENEFICENTE CRISTA	435756	MINISTERIO DA SAUDE	IRREGULARIDADES NA PRESTAÇÃO DE CONTAS (ATRASSO, OMISSÃO OU IMPUGNAÇÃO)
00.182.395/0001-90	ABC ASSOCIACAO BENEFICENTE CRISTA	443070	MINISTERIO DA SAUDE	IRREGULARIDADES NA PRESTAÇÃO DE CONTAS (ATRASSO, OMISSÃO OU IMPUGNAÇÃO)
68.647.916/0001-71	ABEAMA ASSOCIACAO BRAS MEIO AMBIENTE		CIENCIA, INOVACAO	IRREGULARIDADES NA EXECUÇÃO

3.953 debarred entities

** Informação não disponível, favor verificar junto a

Pesquisar:



Main Preventive Actions

- 1. Increased Transparency**
- 2. Incentive to Social Participation**
- 3. Management Strengthening**
- 4. Education for Ethics and Citizenship**
- 5. Public Spending Observatory**
- 6. Public-private cooperation**
- 7. Verification of Political Appointees**
- 8. Improved Legal Framework**
- 9. Implementation of International Conventions**



Transparency in Brazil

1st Consocial

Not-for-Profit
Entities
Debarment List

Access to
Information Law

Disclosure of
Paychecks

Fiscal
Responsibility
Law

Eletronic
reverse
actions

Transparency
Portal

Transparency
Portals of
states and
cities

National
Debarment
List

World Cup
and Olympics
Transparency
Portals

2000

2004

2006

2008

2010

2012

2003

2005

2007

2009

2011

Establishment
of CGU

Transparency
Pages

Mandatory Use
of Federal
Payment Cards

Federal
Agreements
Portal -SICONV

Mandatory real
time
transparency
portals

Open
Government
Partnership – 1st
OGP Country
Action Plan

Transparency Portal

do Governo Federal

Punished companies

**Public Officials
Information**

**Expenditures and Revenues:
Daily updates**

**Transfers to other
entities**

**Expenditures on
Specific Programs**

**Download of
Consultations
and Charts**

**Federal Government
Direct Expenditures**

UMA NOVA CONSULTA
PARA VOCÊ

Imóveis
Funcionais

GRANDES EVENTOS

COPA 2014
Transparência em 1º lugar

Jogos RIO 2016

Transparência nos
Estados e Municípios

Valores dos recursos
federais repassados para
estados, municípios e DF





Transparency Portal in Numbers:

Amount displayed*

R\$ 10,978 trillion

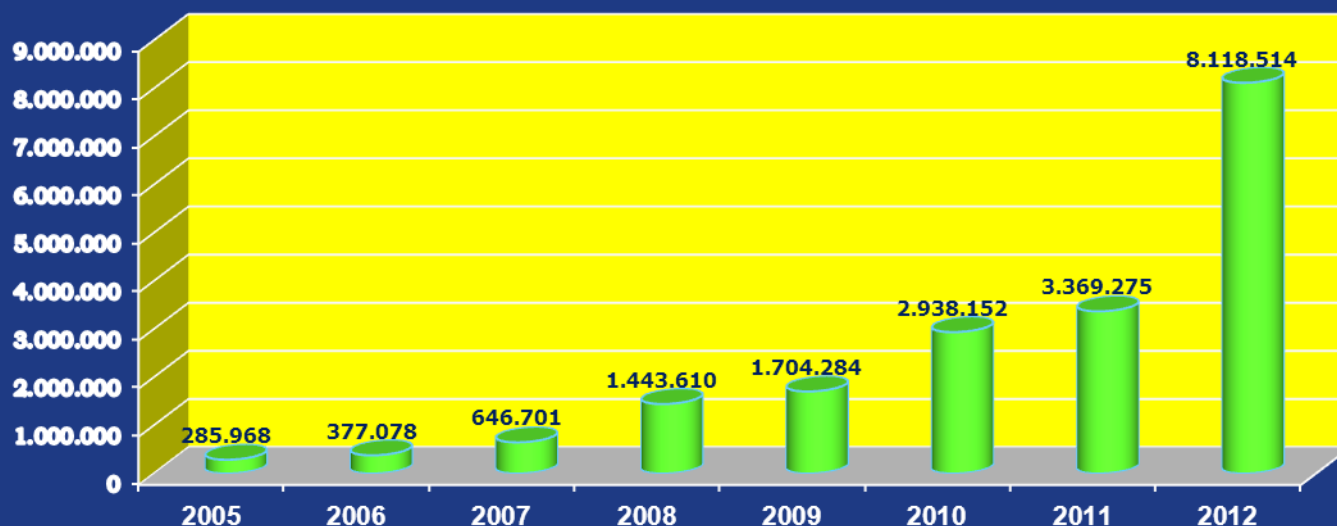
Information*

1,467 billion data

Average Monthly Visits

688.221

**Increase in
visits**



***Through March 2013**



Functions of the Portal

- Audit Tool
- Incentive to Social Control
- Citizen Empowerment Instrument
- Public Management Strengthening Tool
- Corruption Prevention and Fighting



Incentive to Social Participation

The Office of the Comptroller General (CGU) designed the program "*Olho Vivo no Dinheiro Público*" (**Keeping an Eye on Public Money**), aimed at involving society in a change through education, access to information, and social mobilization. The goal is to foster social participation and build capacity for improved management of public resources.





E-Course on Social Participation in Monitoring Public Expenditure

https://ead.serpro.gov.br - :: Estação E@D :: - Sala de Aula - Microsoft Internet Explorer

Selecione um Módulo ::

Módulo 1 - A Participação Popular do Estado Brasileiro

Olho Vivo
no dinheiro público

Cidadania e Controle Social

Menu Apresentação

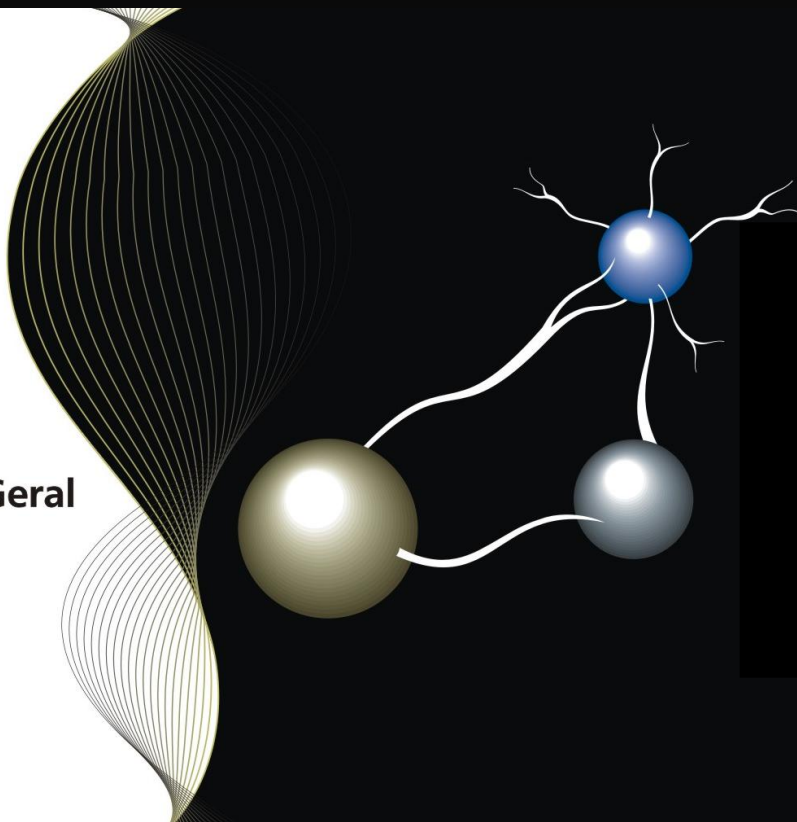
ESAF Controladoria-Geral da União BRASIL UM PAÍS DE TODOS GOVERNO FEDERAL

Este é um curso que trata de controle social, e apresenta exemplos vivos de cidadania participativa. O curso tem a ver com o melhor uso do dinheiro público. Do nosso dinheiro, pois somos o público.

Mapa Créditos < Tela 1/19 >



Controladoria-Geral
da União



Public Spending Observatory

Data-matching and
Tracking System

Audit Tracks and Working Themes

- ✓ Federal Government Corporate Card.
- ✓ Government Purchases.
- ✓ Per Diems and Travel Allowances.
- ✓ Outsourcing
- ✓ Family Stipend Program (Bolsa Família).



Pro-Ethics Company List

Objective: to give visibility to companies engaged in the establishment of a culture of ethics, integrity and confidence in business relations, including those involving the public sector.

Thematic Areas subject to assessment:

- Ethics and conduct measures
- Internal control
- Relationship with the public sector
- Capacity building and training
- Transparency
- Collective Actions

**Steering Committee of the Initiative –
comprised of federal bodies, civil society
and private sector entities**

Pro-Ethics Companies List

The image is a screenshot of the 'Empresa PRÓ-ÉTICA' website. At the top, there is a header with the logo 'Empresa PRÓ-ÉTICA' and a navigation bar. The logo features stylized buildings in black, grey, and green. The navigation bar includes links for 'Links to related initiatives' (pointing to 'Sites Relacionados' and 'Fale Conosco'), 'Integrity in the private sector' (pointing to 'Integridade no Setor Privado'), 'Documents and Publications' (pointing to 'Documentos e Publicações'), and 'International Conventions' (pointing to 'Convenções Internacionais'). Below the navigation bar, there is a section titled 'O Cadastro Empresa Pró-Ética' which describes the national register of companies committed to ethics and integrity. It mentions the partnership with CGU and Instituto Ethos. To the right of this section, there is a box titled 'COMO ADERIR AO CADASTRO EMPRESA PRÓ-ÉTICA' which outlines the four steps of the registration process: 1. Fill out the Adhesion Form and Answer the Evaluative Questionnaire; 2. Send the signed Adhesion Form and Evaluative Questionnaire by mail; 3. Wait for approval from the Management Committee; 4. Sign the Term of Commitment to Ethics and Integrity. The bottom of the page features a link 'Saiba mais' and a box titled 'Detalhes do Processo de Adesão' with an arrow pointing to the registration procedures.

Links to related initiatives

Integrity in the private sector

Documents and Publications

International Conventions

Pro-ethics List

Partnership with Ethos

Talk to Enterprises workshops

Registration procedures

Detalhes do Processo de Adesão

O Cadastro Empresa Pró-Ética

O Cadastro Nacional de Empresas Comprometidas com a Ética e a Integridade - Cadastro Empresa Pró-Ética, é uma iniciativa da Controladoria-Geral da União e do Instituto Ethos que avalia e divulga as empresas voluntariamente engajadas na construção de um ambiente de integridade e confiança nas relações comerciais, inclusive naquelas que envolvem o setor público.

O Cadastro Empresa Pró-Ética dará visibilidade às empresas que compartilham a idéia de que a corrupção é um problema que deve ser prevenido e combatido não só pelo governo, mas também pelo setor privado e pela sociedade. Ao aderir ao Cadastro Empresa Pró-Ética, a organização assume o compromisso público e voluntário, perante o governo e a sociedade, de que adota medidas para prevenir e combater a corrupção dentro de sua instituição, em favor da ética nos negócios.

[Saiba mais](#)

COMO ADERIR AO CADASTRO EMPRESA PRÓ-ÉTICA

- 1º** Preencha o Formulário de Adesão e responda o Questionário Avaliativo
- 2º** Envie, pelo correio, o Formulário de Adesão assinado, o Questionário Avaliativo e os documentos comprobatórios
- 3º** Aguarde aprovação do Comitê Gestor, de acordo com o Regulamento do Cadastro
- 4º** Assine o Termo de Compromisso com a Ética e a Integridade e passe a ser integrante do Cadastro



Verification of Political Appointees

Candidates for high-level positions are verified before being appointed to work in the Federal Executive branch

Verifications include:

- Audits reports
- Participation in companies (stakeholder/shareholder)
- Conflicts of interests situations
- Administrative disciplinary procedures
- Legal actions and law suits
- Reports from citizens or the media



Access to Information Law n.º 12.527/2011

It is an **obligation of the State** to guarantee the right of **access to information**

Publicity is the general rule and secrecy is the exception

Information shall be **franchised** in an **agile, transparent, clear and understandable** way.

Proactivity in providing information of public interest

The agency or public entity shall authorize or give **immediate access to information available**

Information management should be transparent and provide **broad access**



Implementation of the Access to Information Law Law n.º 12.527/2011

Active Transparency – proactive disclosure on the internet of:

- **Mandate**, functions and structure of each federal agency;
- **Salaries and paychecks** of all public officials;
- Data on **budget execution** and transfers of resources;
- Data on **procurement** procedures and **contracts**;
- General data enabling citizens to **monitor** agencies' **programs**, actions, projects and construction works;
- Responses to **frequent asked questions** in information requests;



Implementation of the Access to Information Law Law n.º 12.527/2011

Passive Transparency - responding to information requests:

- Online system to request information – monitored by CGU, free of charges.
- Up to 30 days to respond to a request
- Possibility of appeals in each agency and to CGU
- Joint Commission for Revaluation of Information
- Disciplinary sanctions to public officials if requests are not responded



Implementation of the Access to Information Law

Numbers through March 2013 - Federal Executive Branch

- Total of requests: **77,396**;
- Out of this total, **73,732 (95.27%)** have already received responses;
- **81.90%** of the responses were positive;
- Only **6,941 (9.41%)** requests were denied;
- The remaining **6,105 (8.28%)** did not get responses either because the request did not address matters of the requested agency's competence, or the information did not exist or the request was duplicated;
- Average response time: **11** days.



“Brasil Transparente” Project

To support states and municipalities implement the new Access to Information Law, increase public transparency and adopt open government initiatives

Package of activities include:

- Training of state and local public officials (incl. e-courses)
- Source code to implement the online system for information requests
- Assistance in implementing state and local transparency portals
- Guidance material on transparency and access to information





Main Ombudsman Activities

- 1. Guidance to citizens on access to public services, policies and rights**
2. Identification of problems and proposals to improve efficiency in the Public Administration.
3. Mediation of conflicts – individual or collectively
4. Promotion of civic participation and monitoring
5. Training of public managers
6. 3rd appeal body for the Access to Information Law (275 appeals received until 10/11/2012)



Implementation of International Conventions against Corruption

CGU distributed handbooks and folders aimed at disseminating the terms of the Conventions (UNCAC, OAS and OECD). In addition, it developed websites with information on the subject.





CONTROLADORIA-GERAL DA UNIÃO

SAS Quadra 1 Bloco A

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Visit the Transparency Portal:

www.portaldatransparencia.gov.br