



**Asia-Pacific  
Economic Cooperation**

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**2019/SOM1/ACT/WKSP/010**

**Best Practices in Controlling and/or Supervising  
Corruption Acts Through Transparency Systems to  
Promote Social Accountability**

Submitted by: Peru



**Workshop on Digital Government, Integrity  
Policies and Corruption Prevention Mechanisms in  
APEC Economies  
Santiago, Chile  
27 February 2019**

**WORKSHOP:**  
**Digital Government, Integrity Policies and Corruption  
Prevention Mechanisms in APEC Economies**

*“Best practices in controlling and/or supervising corruption acts through  
transparency systems to promote social accountability”*

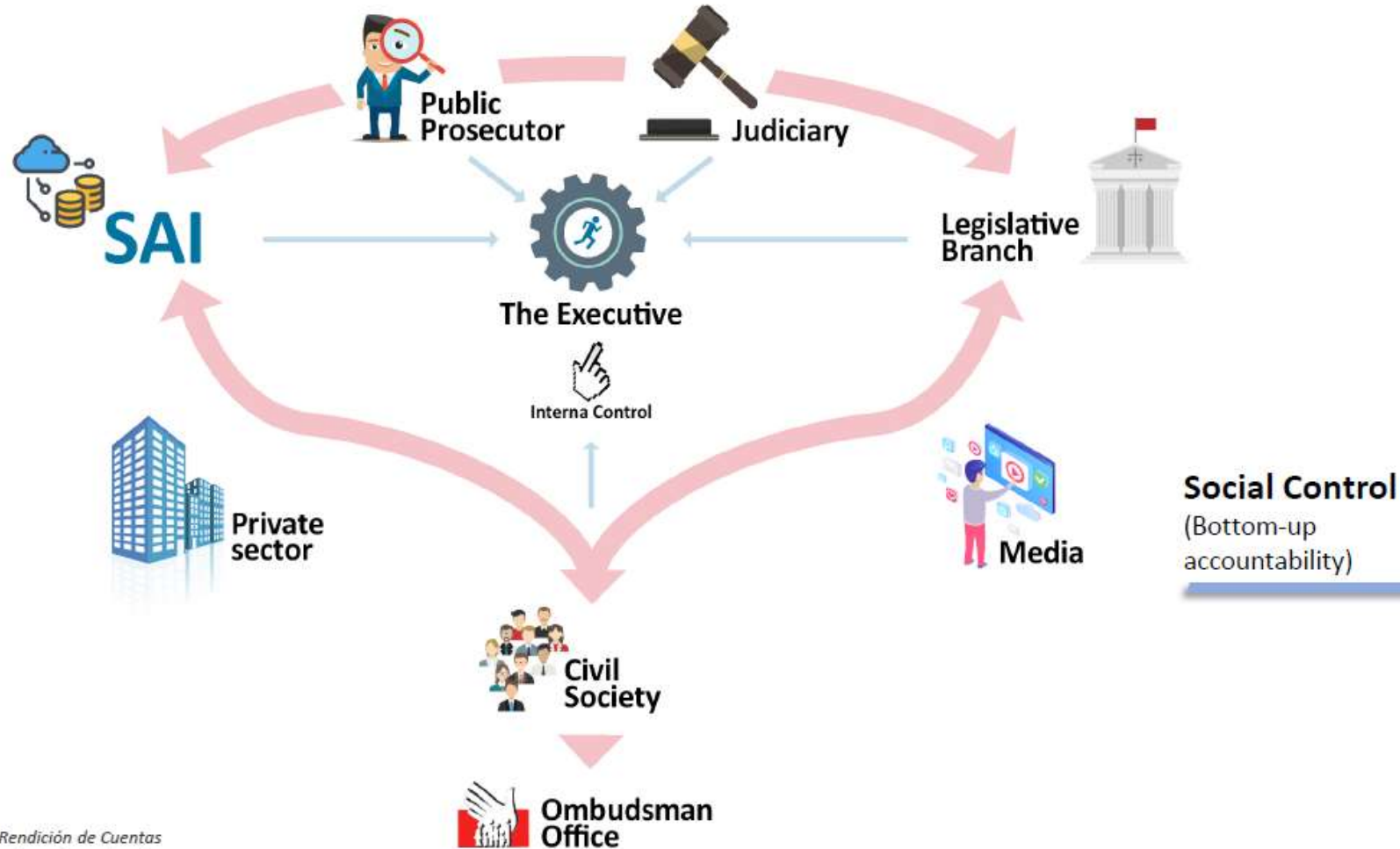
**Nelson Shack Yalta**  
Comptroller General of Peru

**February 27th 2019, Santiago, Chile**

# ECOSYSTEM OF CONTROL

## External Control (Horizontal)

- Ex-ante
- Ex-dure
- Ex-post



Source: Adapted from GIZ (2016) – *Rendición de Cuentas Presupuestaria y Buena Gobernanza Financiera a través de una Estrategia de Ecosistema.*

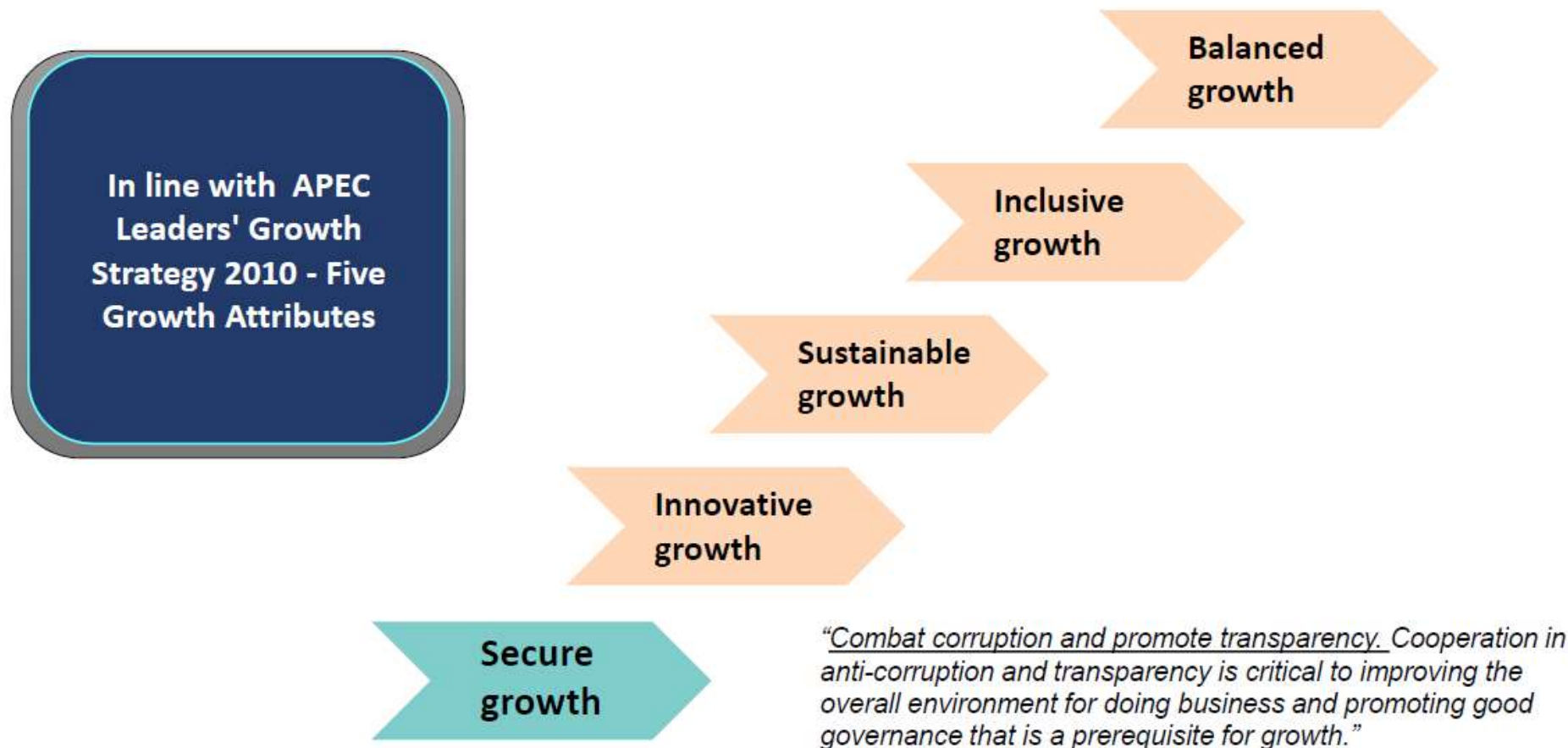
## THE ROLE OF SAI PERU



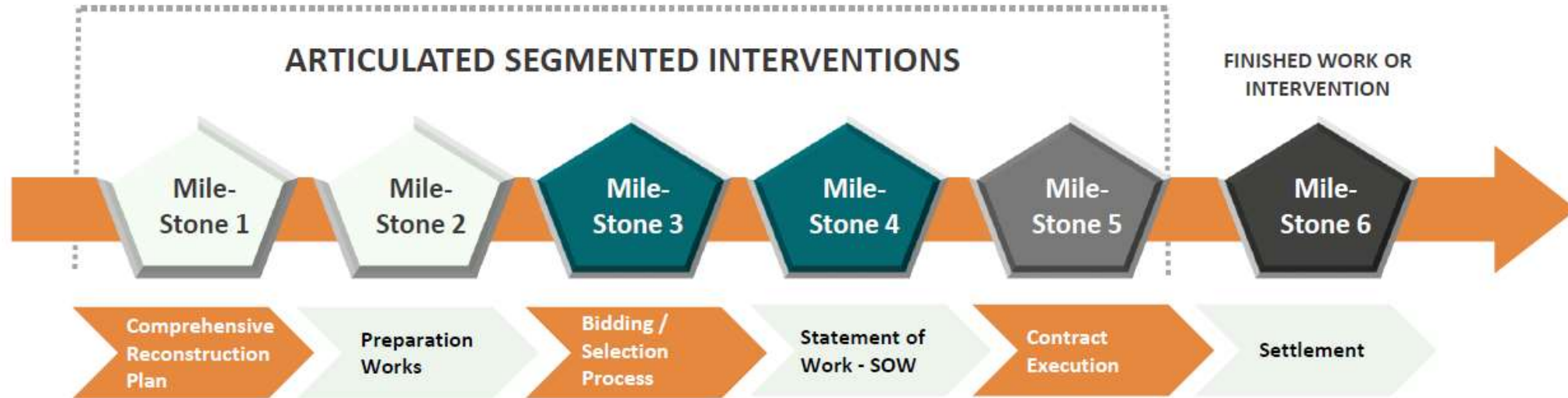
# **1 NEW APPROACH TO GOVERNMENT CONTROL**



## NEW CONTROL MODEL “REAL-TIME” AUDITS (*Concurrent*)



## NEW CONTROL MODEL “REAL-TIME” AUDITS (*Concurrent*)



### Tools:

- Risk analysis
- Articulation with PMO and Project supervisor
- INFObras – app.
- Randomized quality control of pre-investment
- Building capacities in auditors and managers
- Management Control (Internal Control)
- Organized society (Social Control)
- Whistleblowing system
- Mobile labs

### Advantages:

- It anticipates to the act of corruption or misuse of resources.
- Employs multidisciplinary team – Perception of detection increases.
- Expands generation of public value

# NEW CONTROL MODEL

## “REAL-TIME” AUDITS (*Concurrent*)

### APPLICATION TO COMPREHENSIVE REBUILDING PLAN IN PERU (PIRCC, in Spanish)



#### TOTAL INVESTMENT OF PIRCC

**S/. 25,655 (\$ 7,774) MILLIONS**  
(2017-2020)

#### RECONSTRUCTION

**S/. 18,645 (\$ 5,650) MILLIONS**

#### CONSTRUCTION

**S/. 5,446 (\$ 1,650) MILLIONS**

#### HOUSING SOLUTIONS

**S/. 1,113 (\$ 337) MILLIONS**

#### STRENGTHENING

**S/. 450 (\$ 136) MILLIONS**



#### PIRCC INVESTMENT FOR RECONSTRUCTION AND HOUSING SOLUTIONS

**S/. 19,759 (\$ 5,988) MILLIONS**  
(2017-2020)

**FOR 12,409 INTERVENTIONS**  
(CONSTRUCTION WORKS / SERVICES)



#### PIRCC INVESTMENT FOR CONSTRUCTION AND RECONSTRUCTION

**S/. 24,091 (\$ 7,300) MILLIONS**  
(2017-2020)

#### CONSTRUCTION

**S/. 5,446 (\$ 1,650) MILLIONS**

#### RECONSTRUCTION

**S/. 18,645 (\$ 5,650) MILLIONS**



2017-2019

SAI PERU HAS  
IDENTIFIED 1,077  
FACTS THAT PUT IN  
RISK SERVICES AND  
PREVENTION &  
RECONSTRUCTION  
WORKS IN AFFECTED  
AREAS BY "EL NIÑO  
COSTERO"

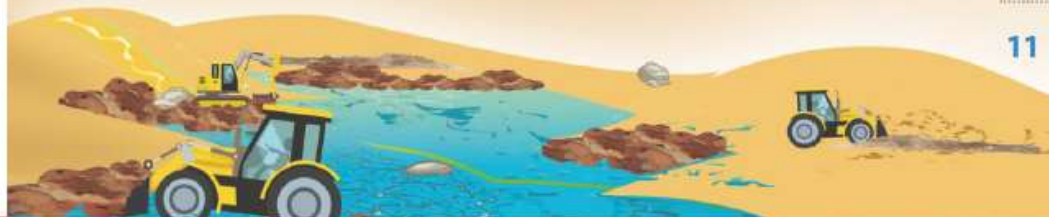
516 risks in the bidding process

559 risks in the contract performance

Fact:

- Number of published audits: 440  
Previously informed to project implementers.

Source: SAI Peru website, February 21, 2019



# PROMOTING TRANSPARENCY IN AUDITING: PUBLICATION OF AUDIT RESULTS



BUSCADOR DE INFORMES  
DE SERVICIOS DE CONTROL

BÚSQUEDA AVANZADA

Filtros Aplicados

Limpiar todo

Personas con Presunta Responsabilidad

DNI / Nombre del Funcionario

ADMINISTRATIVO 2913

PENAL 1408

CIVIL 694

Región

LIMA 1099

AREQUIPA 448

PIURA 209

VER MÁS

Servicio de Control

SERVICIO CONTROL SIMULTANEO 4159

SERVICIO CONTROL POSTERIOR 442

SERVICIO CONTROL PREVIO 85

Reconstrucción con Cambios

LIMA 127

PIURA

CONOCE LOS RESULTADOS DE LAS ACCIONES DE CONTROL

Buscar...

Ingrese las palabras a buscar:  
(Mínimo 3 caracteres)

Ayuda

Aviso Legal

BÚSQUEDA POR ENTIDADES

BÚSQUEDA POR REGIONES

BÚSQUEDA POR PERSONAS CON PRESUNTA RESPONSABILIDAD

ANTERIOR BUSCADOR DE INFORMES  
(antes del 28 de marzo de 2018)

INFORMES DE RECONSTRUCCIÓN  
(antes del 28 de marzo de 2018)

ORIENTACIONES DE OFICIO

DATOS ESTADÍSTICOS



# PROMOTING TRANSPARENCY IN DETECTING CORRUPTION:

## Audit of Officials Affidavits of Assets and Income



**Ingreso al Sistema**

Bienvenidos al Sistema de Registro de Declaraciones Juradas en línea.  
Ingrese usuario y contraseña para acceder al sistema.

Escriba el texto mostrado en imagen

**TOTAL**  
(January 2018 – January 2019)

**64,981 Affidavits  
received by SAI Peru  
involving 49,468 public  
officials**

Presentation of affidavits is mandatory. Obligations are established at:

- Constitution of Peru; articles 40 & 41.
- Supreme Decrees N° 003-2002-PCM & N° 047-2004-PCM.
- SAI Peru Resolutions N° 174-2002-CG, N° 082-2008-CG, N° 316-2008-CG, and
- Legal Process N° 02-2002-CG/AC, N° 004-2008-CG/FIS and N° 08-2008-CG/FIS.

# PROMOTING TRANSPARENCY IN DETECTING CORRUPTION:

## Audit of Officials Affidavits of Conflict of Interests



Bill      Project      N°  
1297/2016-CR

Proposes to regulate Affidavits of Conflict of Interests of public officials and civil servants.

It expands the scope of Law N° 30161 that regulates Affidavits of Income and Assets.

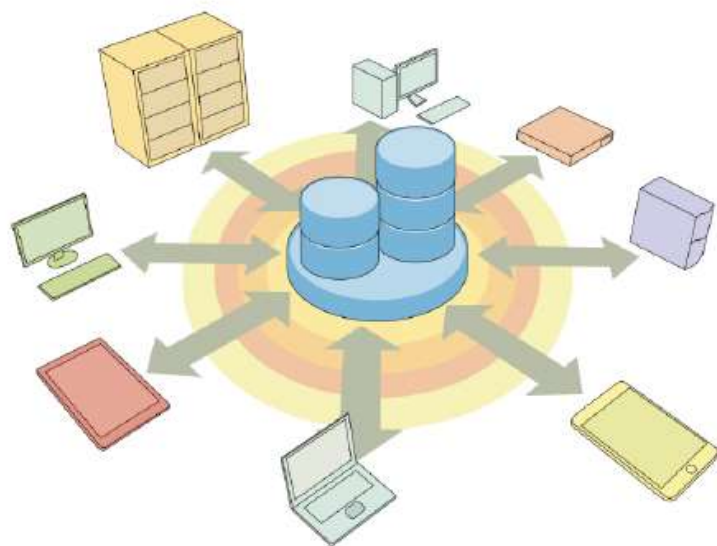
Presentation of affidavits is not yet mandatory.

- Resolution of SAI Peru N° 480-2018-CG (September 28, 2018), approves legal process N° 010-2018-CG/GDET “Affidavits to Manage Conflicts of Interest” for auditors and officials of SAI Peru.



# PROMOTING TRANSPARENCY IN DETECTING CORRUPTION:

## Interoperability and Artificial Intelligence



**GOAL:**  
“HAVING DIRECT,  
MASSIVE, PERMANENT,  
UNRESTRICTIVE, ONLINE  
AND FREE ACCESS TO  
DATABASES OF PUBLIC  
OFFICES, IN ORDER TO  
DEVELOP REMOTE  
AUDITS”

**Legal Framework**  
(Access to databases)

**Non-invasive Electronic  
Methods**

**Resources**  
(Human resources, software,  
hardware, connectivity)

**Coordination with sources of  
information**



Reform Law N° 30742,  
March 28, 2018.

The background is a solid red color with a subtle, overlapping pattern of hexagons in various shades of red, creating a geometric texture.

# **2** **TRANSPARENCY AND ACCOUNTABILITY**

# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: FRIENDLY ACCESS TO INFORMATION OF CONSTRUCTION WORKS



- Information on **72,526** construction works reported by officials.
- Articulates databases and provides data on different aspects of works (physical progress, implementation mechanism, amount, name of construction supervisor, etc.).



Works not yet initiated: 14%  
(10,154)



Works in progress: 24%  
(17,464)



Finished: 60%  
(43,179)



Brought to Standstill: 2%  
(1,729)

- Can be used by public officials for monitoring; auditors for external control and citizens and media for social control.

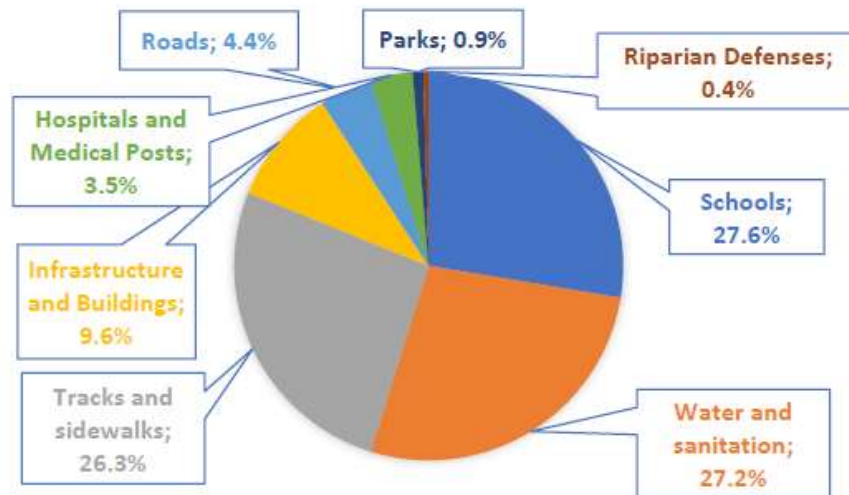


# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: CITIZEN CONTROL MONITORS

- Citizen Monitors are volunteers recognized by SAI Peru who exercise social control (social audits) over the implementation of PUBLIC CONSTRUCTION WORKS of amount less than 10 million soles (3.03 million dollars).
- The participation of citizen monitors must be voluntary, altruistic, *ad honorem*, timely and responsible.



TYPOLOGY OF PUBLIC WORKS VISITED



- ✓ 280 VISITS EN 228 CONSTRUCTION WORKS
- ✓ 140 CITIZEN ALERTS REPORTED BY MONITORS.
- ✓ 140 CITIZEN ALERTS REPORTED TO PUBLIC OFFICES.
- ✓ 55 ALERTS CORRECTED.



# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: SCHOOL AUDITORS



**2010**

Signing of agreement between SAI Peru and Ministry of Education – Birth of the Program



**2011-2016**

Development of training program and school audits



**2018**

Renewed agreements between MINEDU and SAI towards 2021



**2019-2021**

Establishing interinstitutional team

## SCHOOL AUDITORS PROGRAM



- Pedagogical Materials approved by MINEDU.
- 3,123 teachers trained.
- 5,696 school audits/oversight
- 327,000 school auditors
- 1,249 schools
- 60% of recommendations were implemented.
- New Pedagogical Materials were elaborated.
- 220-hours Classroom Training Program was designed for teachers in Lima and Callao.
- Online Training Program for teachers outside Lima.
- Started development of computer application for school audits.
- Expansion of the sensibilization component of the Program to primary schools.
- Technical assistance for teachers.
- Goal: School audits Program reaches 2 million students in Peru by 2021.

# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: PUBLIC HEARINGS

During 2018, there were public hearings in 6 of 24 regions/states, and in 57 of 196 provinces in Peru.

## REGIONS



## PROVINCES



# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: WHISTLEBLOWING SYSTEM

## Whistleblower:

- Citizen
- Congressmen
- Public official
- Company (Private sector)
- Civil society org.
- Citizen Monitors



Face-to-face



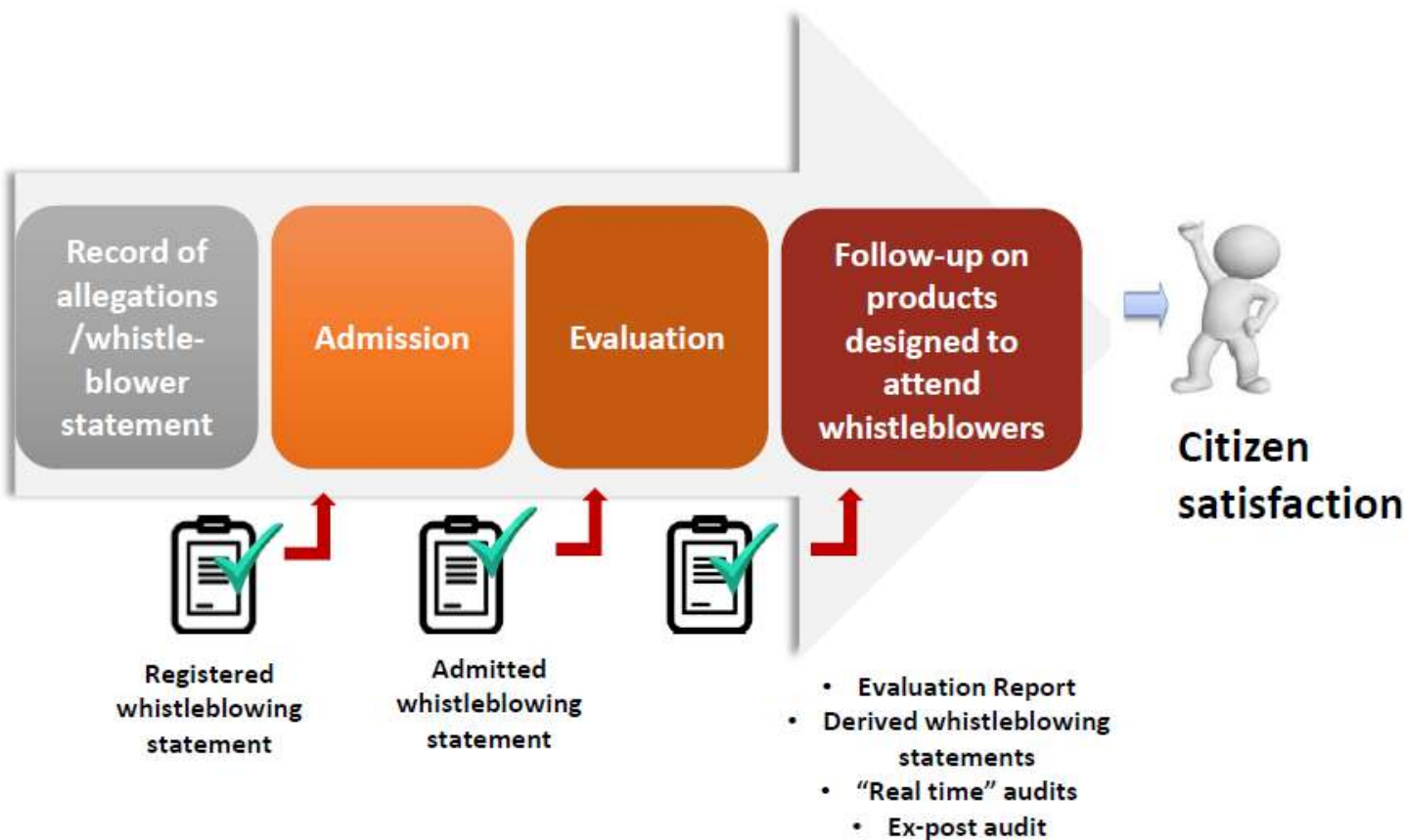
Web



Documentary  
Procedure



Telephone





# PROMOTING TRANSPARENCY AND ACCOUNTABILITY: WHISTLEBLOWING SYSTEM DURING ELECTIONS



Oriented to **promote and channel citizen participation in an effective way**, through the presentation of **citizen electoral alerts** on the use of public assets and resources for political campaigning or electoral propaganda.





**Thank you.**

