



BRAZIL

Audit of information technology in the Siape consignment module

Tribunal de Contas da União (SAI Brazil)
Information Technology Audit Secretariat

What is the Siape consignment module?

The Integrated System of Human Resources Management (Siape) is a human resources system that processes and controls a payroll in the order of R\$ 52 billion a year, covering about 1,300,000 civil servants, retirees and pension holders of the Executive Branch. Siape's consignment module consists of a set of computer-based transactions that support systematic payroll consignment procedures. These systematic procedures consist of the provision of services to civil servants, retirees and pension holders of the Executive Branch, who are referred to as consignees, by entities duly registered and authorised to make deductions from the payroll, which are referred to as consigners. Payroll consignment procedures are applied to approximately 1,300 consignees, for whom transactions amounting to over R\$ 300 million a month are carried out.

Why did TCU carry out this audit?

Because of problems related to deductions in the payroll of civil servants, retirees and pension holders at amounts exceeding the legal limits and of other irregularities which led the National Treasury General Attorney's Office in the State of Amapá and the Federal Attorney's Office in the State of Amapá to file a representation, the Court carried out this audit for the purpose of investigating controls and procedures related to the consignment of amounts in the payroll.

Main TCU findings

TCU detected various shortcomings directly related to the systematic consignment procedures, among which the following stand out:

- inclusion of consignments without authorisation from the consignee;
- undue re-inclusion of already excluded or finalised consignments;
- undue exclusion of consignments; changes in the amounts to be transferred to consignees;
- non-charging of a fee for using the system for the optional consignment rubric;
- inclusion of optional consignments under compulsory consignment rubrics and of expenses not legally provided for in monthly payment rubrics;
- existence of a consignment rubric not provided for in the law;
- lack of controls in the beginning of the consignment flow;
- absence of criteria to punish a consignee who acts in an irregular or illegal way; and
- absence of contractual tools between the consignees and the Central Agency of the Civil Staff System of the Federal Administration – Sipec.



Other shortcomings which were detected in the Siape system. Access control and the environment where it is executed jeopardise the correct operation of the consignment module. Among them, special mention should be made of the following:

- the staff in charge of managing the system are dissatisfied with the workload involved;
- lack of controls over those in charge of registering individuals in the Siape system and operating it;
- existence of general staff in charge of registering individuals in the system who do not belong to the regular staff of the managing unit;
- members of the Siape system development and maintenance team with non-controlled access to the production environment; and
- lack of a unified channel to process complaints.

TCU determinations and recommendations

The main conclusion of this audit is that there are no controls allowing for one to tell for sure that the Sole Paragraph of Article 45 of Law 8,112/90 is being complied with, i.e., that deductions from the payroll are being made upon authorisation from the civil servants involved. Therefore, for the purpose of adjusting the systematic consignment procedures to the provisions of

the normative guidelines that regulate the matter, determinations were proposed to the Human Resources Secretariat of the Ministry of Planning, Budget and Management – SRH/MP, among which the following stand out:

- immediate suspension of optional consignments if there are any doubts as to whether or not they were authorised by the consignee, preventing their re-inclusion until it is actually confirmed that the consignee authorised the consignment;
- the authorisation of the consignee should be registered in the Siape system before the consignment is actually made;
- applicable internal administrative measures should be taken to recover damages to the public treasury as a result of the non-collection of fees for covering the costs for processing data related to optional consignments;
- prior formalisation of a contract or agreement between consignees and the Central Agency of the Sipec system to operate in the Siape and Siapenet systems;
- associations and clubs which operate in the Siape system should be exclusively made up of federal civil servants;
- minimum documentation for each consignee should be required and maintained.

Determinations were also proposed for the purpose of improving the control and transparency of the systematic procedures applied to Siape consignments, as well as recommendations to improve them, with the aim of improving procedures and internal controls.

TCU DELIBERATION

Sentence n. 1,505/2007 TCU-Plenary
Rapporteur: Justice Valmir Campelo



Audit of information technology in the justice and public safety information integration system – Infoseg

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What is the INFOSEG system?

The National Public Safety and Justice Information Integration System (Infoseg) was set up to integrate and provide information from public safety, justice and inspection agencies of the Federal Government, the States and the Federal District. Public agents registered in the system can access information on the web on investigations, proceedings, arrest warrants, firearms, vehicles and drivers organised in four browsing modules.

The Individuals Module is the main and most complex Infoseg module and its database, called National Index (IN), is the responsibility of the National Public Safety Secretariat of the Ministry of Justice (Senasp/MJ). The National Index is an index of basic information on individuals from all over the country, such as the existence of an arrest warrant, an investigation and a judicial proceeding related to them. After an initial search of the IN, detailed information can be obtained through a link to the originating State databases.

Why did TCU carry out this audit?

Considering that the public safety topic is present on the agenda of the Brazilian society and that a previous TCU audit had detected difficulties for implementing such an important system, the Court carried out this audit for the purpose of evaluating safety-related aspects and the consistency of the information managed by the Infoseg system.

Main TCU findings

TCU detected serious improprieties in the system, particularly with regards to its management:

- insufficient regulation;
- inconsistencies between the criminal databases in the units of the Federation and the IN;
- lack of a clear definition of the meaning of the information making up the IN;
- lack of a formally defined information safety policy;
- inadequate human resources framework and system usability;
- lack of a definition of the owners of certain assets;
- non-existence of a business continuity plan;
- poor management of back-up copies;
- inappropriate procedure for controlling changes in the system;
- shortcomings in the safety of the physical facilities;
- inappropriate operation of the user assistance service; and
- insufficient audit trails and shortcomings in labour contracts.

Among the problems which were detected, special mention should be made of inconsistencies between the data contained in the National Index and those contained in the databases of the agencies that feed the system. Considering that Brazil's public safety agents use the information available in this system to make decisions such as arresting an individual or not, the inconsistencies that were detected are extremely serious and

urgent measures should be taken to correct them by the agency in charge. Apart from jeopardising the reliability of the system, these inconsistencies can have serious consequences, such as the unwarranted arrest of an innocent citizen or the non-arrest of a criminal.

TCU Determinations and recommendations

With the aim of improving the Infoseg system, which is a powerful tool that can contribute to ensuring the timeliness, efficiency and efficacy of inspection, public safety and justice actions, TCU recommended that the system should be institutionalised through a federal law. The Court determined that Senasp should, among others measures, correct the errors that generate inconsistencies between the criminal databases in the units of the Federation and the IN, define the meaning of the information making up the IN, and draw up information safety and access control policies and a business continuity plan. It also determined that the secretariat should evaluate the outsourcing of staff in the Infoseg managing unit, so that its management is taken care of by sufficient permanent civil servants appropriately trained to perform strategic and sensitive activities.

TCU DELIBERATION

Sentence n. 71/2007 TCU-Plenary
 Rapporteur: Deputy Justice
 Augusto Sherman Cavalcanti