**Midterm**

**Self-Assessment**

**Report**

**Brazil’s 4th National Action Plan**

**Open Government Partnership – OGP**

**English Version**

**Brazil/2019**

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# I – Introduction

Brazil is implementing its 4th National Action Plan. It was drawn up based on the same perspective as the 3rd Plan, and following the same methodology, which has been internationally replicated and commended, it is expected to achieve even more significant results after the biennium of its validity.

It consists of 11 commitments, which were co-created with the involvement of 105 people, representatives of 88 institutions, 39 civil society organizations, 39 Federal Public Administration bodies and 10 States and Municipalities Public Administration bodies, always with the aim of constantly strengthening the principles that guide the actions of the Open Government Partnership (OGP), the 4th National Action Plan is the result of intense partnership between government and civil society and reflects efforts to consolidate transparency, citizen participation and accountablity.

This Self-Assessment Midterm Report brings information on the construction process of the 4th Brazilian Action Plan and the status of its commitments, considering the period from October 2018 to August 2019.

More information on the Brazilian Action Plans and other initiatives related to open government are available at: [www.governoaberto.cgu.gov.br](http://www.governoaberto.cgu.gov.br)

# II – The Fourth National Action Plan Construction Process

1. Methodology  
    The 4th National Action Plan was undertaken according to the same methodology used for the drafting of the 3rd NAP, since it successfully embodied a meaningful change in relation to previous plans and it also assured the enrichment of the collaboration between government and society, which resulted in the agreement of more dynamic and objective commitments.

The methodology, jointly built by the Executive Group of the Interministerial Open Government Committee – GE-CIGA and the Civil Society’s Working Group, envisaged three work phases, as follows: i) Phase for Setting Themes; ii) Phase for Co-creation; and iii) Phase for Approving of the Plan.

The chart below diagrammatically summarizes the three phases of the applied methodology:

**I . Setting Themes**

**I.I Structuring Themes**

**I.2 Themes pertaining to government’s priorities**

**I.3 Themes prioritized by civil society**

**1.3.1 Public consultation**

**1.3.2 Results compilation**

**1.3.3 Priorization of themes**

**2 . Co-creation Workshops**

**2.1 Indication of participants to attend the workshops**

**2.2 Challenge discussion**

**2.3 Definition of commitments**

**3 . Plan approval**

**3.2 National Action Plan**

**3.1 Final approval**

1. Definition of Themes

The phase for Setting Themes comprises the stage for selecting the key issues related to Open Government policies, which are divided in three categories: i) structuring, ii) government’s priorities, and iii) civil society’s priorities. As for them, the only methodological prerequisite was that all propositions should relate to the Open Government principles, as follows: citizen participation, transparency, accountability and innovation.

1. The structuring themes concern issues which, as for their nature, can maximize Open Government policies in Brazil. The three working areas to be part of this group are chosen by the GE-CIGA and Civil Society’s WG.
2. The themes pertaining to government’s priorities are found to be those of strategic importance for the Federal Government.
3. Finally, the themes prioritized by civil society are selected through public consultation. At first, the process opens room for the suggestion of any issue that society considers important to be dealt with by means of Open Government policies. After contributions have been gathered into a list, they are put through to the consideration of the Civil Society’s WG, which displays the themes for public consultation once more, at this time for polling.
4. Phase 1 – Public Consultation – Themes prioritized by Civil Society

The public consultation to select the themes from civil society for the drafting of Brazil’s 4th National Action Plan took place from April 04 to 22, 2018, through the website www.governoaberto.cgu.gov.br[[1]](#footnote-1).

The consultation aimed at identifying themes that society would like to have deepened and discussed during the co-creation workshops, with the intent of jointly building international commitments in the scope of OGP. Altogether, 92 contribution were received[[2]](#footnote-2).

1. Collation

After civil society’s contributions, there was the need to identify a grip of the proposals to open government aspects. After this classification exercise, a collation was carried out, so that proposals were put into great thematic groups. This subdivision work aimed at a better systematization of the process of theme proposals.

It is important to point out that, even in cases where proposals presented little or no connection with Open Government, citizens’ statements were considered, since they were included in those groups with related approaches. This way, 92 theme proposals brought by society were grouped in **29** specific thematic groups. This systematization was carried out the CGU in partnership with the Civil Society’s Advisory Working Group.

1. Phase 2 – Public Consultation for Theme Prioritization

The second phase of public consultation was held between April/27/2018 and May/06/2018, on the website [www.governoaberto.cgu.gov.br](http://www.governoaberto.cgu.gov.br).

According to the approved methodology, civil society would take part of the choice of 4 themes, which would be worked afterwards, on the co-creation workshops, which would result in commitments for the future Action Plan.

Phase 2 of public consultation aimed at defining, through open polling, the 4 them that would be prioritized by society, so that they could be included in the 4th Action Plan. Therefore, based on the collation of suggested themes in phase 1, polling was started and people could vote for, at last, 5 out of the 29 defined thematic groups. The system for counting of votes anticipated the exclusion of duplicated Individual Taxpayer’s Registration Number – CPF, which would confirm only the last record made by citizens.

On the whole, 2002 votes were registered, as presented on the table that follows:

|  |  |
| --- | --- |
| THEMATIC GROUP | **RECEIVED VOTES** |
| Land Transparency | 156 |
| Open Government and Climate | 136 |
| Open Government and Water Resources | 122 |
| Governmental Transparency | 116 |
| Civic Participation | 101 |
| Public Oversight on SDG 2030 Agenda | 97 |
| Open Data | 98 |
| Empowerment of State and Municipal Control Bodies | 96 |
| Open Government in States and Municipalities | 95 |
| Transparency in the Judiciary and Prosecution Service | 90 |
| Transparency in Public Works | 84 |
| Open Government, Indigenous Peoples and Traditional Communities | 80 |
| Transparency and Public Oversight in Education | 75 |
| Open Government and Health | 72 |
| Integrity on Public Management | 71 |
| Open Government and Gender | 66 |
| Public Oversight | 61 |
| Open Government and Energy | 54 |
| Privacy and Personal Data | 49 |
| Open Government in the Legislative | 47 |
| Opening of codes and algorithms of public systems | 40 |
| Technology and Educational Digital Resources | 36 |
| Open Government and the Racial Issue | 32 |
| Open Government and the Elderly | 31 |
| Innovation - Blockchain, QR-Code and Artificial Intelligence | 29 |
| Open Government and Historical Data | 22 |
| Open Government and Culture | 22 |
| Transparency in Fisheries Management | 13 |
| Transparency and Expansion of Services to Handicapped People | 11 |
| TOTAL | **2002** |

The 4 themes prioritized by civil Society and their descriptions are presented below:

|  |  |
| --- | --- |
| **Most voted themes** | **Description** |
| Land Transparency | Promote initiatives that enable unified registry, complete, updated and georeferenced from urban and rural land properties, in order to ensure transparency to land information. |
| Open Government and Climate | Promote the opening of environmental data and related to the environmental topic, aiming at broadening spaces for civic participation on the theme and assuring gripping with international commitments, such as the 2030 Agenda. |
| Open Government and Water Resources | Mapping and availability of public policies data that show repercussion or suffer impact from water resources management in order to enable more transparency towards the water situation in the country, as well as the challenges faced for the improvement of its availability in quality and quantity. |
| Governmental Transparency (Access to Information Act in States and Municipalities) | Increase the access to public information on state and municipalities levels |

For further information about voting results on the themes prioritized by Society, refer to: <http://www.governoaberto.cgu.gov.br/noticias/2018/confira-os-4-temas-priorizados-pela-sociedade-para-compor-o-4o-plano-de-acao-do-brasil-na-ogp>

1. Co-Creation Workshops

Co-Creation workshops are meetings that materialize the collaborative work between government and society and allow for a wide-ranging debate among experts at each of the prioritized themes.

The co-creation workshops are jointly led by the WG and the GE-CIGA, and each theme is developed in two different steps: the first one refers to the discussion on the challenges and the second for setting the commitments. Thus, at the end of the second step, each group has already set a national commitment on the theme, the lead organizations in charge of implementation and execution, as well as deadlines and milestones (actions) for the monitoring process.

It is worth mentioning that, differently from the 3rd NAP and aiming at allowing for a broader participation of society during the construction of the 4th Plan, public consultations were carried out between the first and second steps of the co-creation workshops, which were originally considered optional, for the prioritization of the challenges that guided the definition of the Plan’s commitments. Following this new design, in the end of the first step of co-creation workshops, participants listed 3 challenges that were deemed essential to advance the theme under consideration. They were scrutinized during 15 days, and after that, the challenge was chosen by society and it was then the basis for the actions to be taken for the definition of commitments.

Still, it is worth mentioning that the indication of participants to attend the workshops is made by consensus of the WG and the GE-CIGA. Each group is composed by an average of 5 representatives from the government and 5 from civil society.

Besides that, with the intent of guaranteeing maximum transparency and allowing for the follow-up of debates, the minutes of each workshop are made available to the public just hours after the meetings has been closed (in Portuguese on (<http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/oficinas-de-cocriacao-4-o-plano-de-acao>).

As focal points, it is worth highlighting the direct engagement of subnational entities in the discussions and drafting of commitments, since the previous plan and repeating in the 4th Action Plan; also, the participation of the Legislative in the process of drafting and implementation of the National Action Plan.

The expansion of those actors’ participation has been nationally and internationally encouraged, since it diversifies perspectives and deployment of commitments and brings better reach and legitimacy to the Plan.

1. Aproval of the Plan

In order to validate the workshops’ collaborative work, all the propositions of the secured commitments are submitted to the WG and the GE-CIGA. Besides that, the final version of the Action Plan is referred to all governmental bodies involved for cognizance and considerations.

The chart below presents the workshop themes and the commitments set in each of them:

|  |  |  |
| --- | --- | --- |
| **Theme** | **Category** | **Commitments** |
| Open Government on States and Municipalities | Structuring | Develop collaborative actions in order to disseminate knowledge and map good governmental practices to promote subnational involvement |
| Open Data Ecosystem | Structuring | Establish, in a collaborative way, a reference model for an Open Data Policy that fosters integration, training and awareness between society and the three government levels, starting from a mapping process of social demands |
| Innovation and Open Government in Science | Prioritized by Government | Establish scientific data governance mechanisms for the advance of open science in Brazil |
| Strengthening Social Control over the Food and Nutrition Security National Plan – PLANSAN | Prioritized by Government | Implement training actions for public officials and civil society, in order to increase the recognition of the Human Right to Adequate Food (DHAA) as well as to strengthen social control towards the Food and Nutrition Security Policy (SAN) |
| Analysis over the user’s satisfaction and ANTTs regulation social impact | Prioritized by Government | Define mechanisms for data collection in order to improve the National Terrestrial Transport Agency’s (ANTT) regulated services and encourage society participation on satisfaction surveys |
| Transparency and Public Oversight over Mariana´s Reparation Processes and other Municipalities in the Region | Prioritized by Government | Implement instruments and actions of transparency, access to information and the development of capacities to expand and qualify the participation and public oversight on the reparation processes |
| Transparency in the Legislative Process | Prioritized by Government | Increase participation of various social segments on the legislative process (law drafting) through integrated efforts to increase transparency, adjust language, communication and promote innovation |
| Land Transparency | Prioritized by Civil Society | Implement urban and rural base registries (National Rural Properties Cadaster – CNIR) on an integrated model, providing data to society, for the operationalization of the Territorial Information Managing National System (SINTER). |
| Open Government and Climate | Prioritized by Civil Society | Collaboratively develop a transparent mechanism for the evaluation of actions and policies related to climate changes |
| Open Government and Water Resources | Prioritized by Civil Society | Improve the Information and Water Resources National System (SNIRH) for the strengthening of Committees located at critic areas in order to promote an integrated management over Water Resources |
| Governmental Transparency – Access to Information Act in States and Municipalities | Prioritized by Civil Society | Develop a National Electronic System for Information Requests (National e-SIC) in order to implement the Access to Information Act (LAI) in states and municipalities |

Detailed information on each commitment, which includes the context description that led to its drafting, its milestones, deadlines and people in charge, are presented on: <http://www.governoaberto.cgu.gov.br/no-brasil/planos-de-acao-1/copy_of_3o-plano-de-acao-brasileiro/oficinas-de-cocriacao-4-o-plano-de-acao> and the charts on Annex I of this document.

Additionally, as in the 3rd National Action Plan, there was the action to ensure compliance with the Sustainable Development Goals (SDGs), set forth by United Nations’ new agenda on development, entitled 2030 Agenda, having significant parallels with the 17 goals and with its 169 targets.

# III. OVERVIEW OF COMMITMENTS

**Open Government on States and Municipalities**

***Commitment 1: Develop collaborative actions in order to disseminate knowledge and map good governmental practices to promote subnational involvement.***

*The commitment intends not only to disseminate the concept of Open Government at subnational levels, but also initiatives that stimulate new collaborative practices on public management in order to promote the implementation of open government actions in states and municipalities.*

***2030 Agenda Goals:*** *16.6 - Develop effective, accountable and transparent institutions at all levels; and 16.7 - Ensure responsive, inclusive, participatory and representative decision-making at all levels*

**Open Data Ecosystem**

***Commitment 2: Establish, in a collaborative way, a reference model for an Open Data Policy that fosters integration, training and awareness between society and the three government levels, starting from a mapping process of social demands.***

*The commitments main goal is to foster the creation of an ecosystem that stimulates the usage of open data and promotes the disclosure of federal, state and municipal governmental data, which is society’s interest.*

***2030 Agenda Goals:*** *16.6 - Develop effective, accountable and transparent institutions at all levels; and 16.7 - Ensure responsive, inclusive, participatory and representative decision-making at all levels*

**Innovation and Open Government in Science**

***Commitment 3: Establish scientific data governance mechanisms for the advance of open science in Brazil.***

*The commitment intends to advance on processes related to the disclosure of scientific research open data through the strengthening of governance instruments.*

***2030 Agenda Goal:*** 9.5 -Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, particularly at developing countries, including, by 2030, encouraging innovation and substantially increasing the number of research and development workers per 1 million people and public and private research and development expenditure.

**Strengthening Public oversight over the** **Food and Nutrition Security National Plan**

***Commitment 4: Implement training actions for public officials and civil society, in order to increase the recognition of the Human Right to Adequate Food as well as to strengthen public oversight towards the Food and Nutrition Security Policy.***

*This commitment intends to increase the participation and public oversight over the Nutrition Security Policy by supporting states (CAISANS and states CONSEAs) for the development and monitoring of the Food and Nutrition Plans at a local level.*

***2030 Agenda Goal:*** *2 -* End hunger, achieve food safety, nutrition improvement and promote sustainable agriculture.

**Analysis over the user’s satisfaction and ANTTs regulation social impact**

***Commitment 5: Define mechanisms for data collection in order to improve the National Terrestrial Transport Agency’s (ANTT) regulated services and encourage society participation on satisfaction surveys.***

*The commitment seeks, essentially, to promote regulation by incentives and better observation of problems on regulated markets through the optimization of the data capturing process related to user’s satisfaction over the effective improvement of these services.*

***2030 Agenda Goal:*** *11.2 - Provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and the elderly.*

**Transparency and Public Oversight over Mariana´s Reparation Processes and other Municipalities in the Region**

***Commitment 6: Implement instruments and actions of transparency, access to information and the development of capacities to expand and qualify the participation and public oversight on the reparation processes.***

*The commitment seeks to discover ways to promote transparency and public oversight actions over the reparation process of Mariana and other Municipalities in the Region, due to dam rupturing, prioritizing the work with the ones involved in the process.*

**2030 Agenda goal: 3.9 -** *By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination.*

**Transparency in the Legislative Process**

***Commitment 7: Increase participation of various social segments on the legislative process (law drafting) through integrated efforts to increase transparency, adjust language, communication and promote innovation.***

*The commitment intends to improve transparency over the legislative process through the improvement of information provision about proposition processes to enable a better follow up of the subjects and a greater participation from citizens and civil society entities.*

***2030 Agenda Goals:*** *16.6 - Develop effective, accountable and transparent institutions at all levels; and 16.7 - Ensure responsive, inclusive, participatory and representative decision-making at all levels*

**Land Transparency**

***Commitment 8: Implement urban and rural base registries (National Rural Properties Cadaster – CNIR) on an integrated model, providing data to society, for the operationalization of the Territorial Information Managing National System (SINTER).***

The commitment intends to promote initiatives that enable unified registry, complete, updated and georeferenced from urban and rural land properties, in order to ensure transparency to land information. This action shall be materialized by the integration of many databases from public administration bodies on a single, urban and rural registry, ensuring society the access to the data.

***2030 Agenda Goal:*** *16.10 - Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements*

**Open Government and Climate**

***Commitment 9: Develop, collaboratively, a transparent mechanism for the evaluation of actions and policies related to climate changes.***

*The commitment is devoted to the improvement of the Climate Policy’s management and planning by the evaluation of actions and policies, as well as to the expansion of civic participation.*

***2030 Agenda Goal:*** *13 - Take urgent measures to combat climate changes and its impacts; and 16.10 - Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements*

**Open Government and Water Resources**

***Commitment 10: Improve the Information and Water Resources National System (SNIRH) for the strengthening of Committees located at critic areas in order to promote an integrated management over Water Resources.***

*The commitment intends to integrate mechanisms to enable mapping and availability of public policies data that show repercussion or suffer impact from water resources management in order to enable more transparency towards the water situation in the country, as well as the challenges faced for the improvement of its availability in quality and quantity.*

***2030 Agenda Goal:*** *6.5 – Until 2030, Implement an integrated management of hydro resources at all levels, including cross-border cooperation means, as appropriate; and 16.7- Ensure responsive, inclusive, participatory and representative decision-making at all levels*

**Governmental Transparency – Access to Information Act in States and Municipalities**

***Commitment 11: Develop a National Electronic System for Information Requests (National e-SIC) in order to implement the Access to Information Act (LAI) in states and municipalities.***

*The commitment intents to increase the access to public information on state and municipalities levels, mainly by the development and implementation of a unified platform for access to information requests, considering crucial its availability with no costs for sub-national entities.*

***2030 Agenda Goal:*** *16.10* **-** *Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements.*

# IV. MONITORING

The monitoring process of the National Action Plans aims to subsidize the actors involved in the execution of the commitments by updated, simple and objective information in order that possible adjustments may be timely held.

The monitoring model that guided the drafting of the 4th National Action Plan established that the work of follow-up and assessment of the Brazilian commitments should be done jointly by the government, represented by the GE-CIGA, and by civil society, represented by the Civil Society Working Group.

Differently from the construction process and monitoring of the 3rd National Action Plan, when the same group of civil society entities assisted in the construction and monitoring of the Plan, in the 4th Action Plan, the group of members of the 1st Civil Society WG participated in the construction process, while new entities, selected to compose the 2nd WG of Civil Society, now participate in the monitoring process. Such change of procedure was a request of the representatives of the 1st Civil Society WG and it was accepted by GE-CIGA.

It is also worth mentioning that the monitoring process maintained the forecast of half-yearly meetings for information alignment, as well as the preparation of bimonthly Execution Status Reports (ESR).

The picture below shows the monitoring cycle that was developed to keep track of the implementation of the Fourth National Action Plan.

**4. Semi-annual Balance**

**2. Individualized Meeting for each Commitment**

**3. Monthly monitoring with Coordinators’ Report**

**1. General Meeting for Coordinators**

The 11 commitments have been divided into three groups. Each group has a representative of the Brazilian OGP/CGU Team and a representative of the Civil Society’s WG as monitors. The monitors’ function is to keep track of the progress of milestones, to assist the commitment coordinator, and to support the due implementation of the actions.

The picture below shows the attributions of each representative in the implementation process of the Fourth National Action Plan:

**Brazilian CGU/OGP Team**

**Commitments’ Coordinator**

**Civil Society´s**

**Working Group**

Keeps continuous track of the milestones execution

Promotes the interlocution with the responsible parties from the government and the civil society

Hosts regular monitoring meetings

Conducts the implementation process

Promotes the discussion with the bodies and entities of the civil society involved with the commitment

Provides regular data about the implementation

Keeps track of meetings and of the monitoring process phases

Accesses and analyses documents and reports

Takes part in quarterly meetings with the Brazilian CGU/OGP Team to evaluate the process

In spite of the fact that the commitments are grouped by responsible parties, they all remain independent and autonomous among themselves, with their due implementation and monitoring specifications. However, such condition does not inhibit the coordinators to partner up to promote the integration of existing converging actions in the scope of each commitment.

In relation to the execution meetings, one proposal is that their implementation should be under the responsibility of the Commitment Coordinators, each one being responsible to evaluate proper need and periodicity. The Brazilian open Government/CGU Team and the Civil Society WG are in charge of following up these meetings when requested or invited, which has already happened several occasions.

The CGU remains responsible for providing logistical support and ensuring that monitoring actions take place on time, keeping its assignment to maintain transparency of discussions and results regarding the implementation of commitments.

All information about the monitoring and execution of commitments can be followed on: <http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/4o-plano-de-acao-brasileiro-monitoramento-e-execucao>

# V – Consolidated Information on Commitments

General Performance of the Fourth National Action Plan

Based on the implementation reports presented by the commitment coordinators and in the implementation and monitoring meetings occurred at the end of 2018 and during the first half of 2019, consolidated data on the overall performance of the 4th National Action Plan are presented below with each of its commitments and respective milestones.

The values ​​represented on the charts below have been calculated with the implementation percentages of each milestone, which were indicated by the coordinators in the Execution Status Reports – ESRs, received in August 2019. It is important to highlight that there was no attribution of different weights to the initiatives, although possibly, one activity requires more work than other.

It should also be clarified that the initial stage of execution of some commitments does not mean that there are problems with the action, as the commitments have different deadlines for the execution of their milestones.

Regarding the overall performance of the Brazilian 4th National Action Plan, until August 2019, the percentage reached was 44.79%, which is within the implementation expectations of the Brazilian Open Government/CGU Team.

More information concerning the monitoring of the Fourth National Action Plan can be found on: <http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/4o-plano-de-acao-brasileiro-monitoramento-e-execucao>

[Commitment 1 – Open Government on States and Municipalities](http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/governo-aberto-em-estados-e-municipios-monitoramento-e-execucao)

Commitment 1 has been shaped with a good level of execution; the percentage reached was 61% in August 2019. Overall, milestones are on track, with only a few being delayed due to the need for external opportunities for financial or logistic support. As for these milestones, there will be a need for adjusting deadlines, and according to the group, it will not compromise the overall result of the commitment.

It is worth mentioning that, according to the CGU, the commitment coordinator, the organizations involved in the execution work have been interacting in a very synergistic and productive way for the development of planned activities.

[Commitment 2 – Open Data Ecosystem](http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/ecossistema-de-dados-abertos-monitoramento-e-execucao)

Although the lack of engagement of some actors and administrative changes within the Federal Government have led to delays and the need to redesign work, the Commitment 2 has performed better in recent months, with 3 of its 9 milestones fully implemented. According to the CGU, the commitment coordinator, the simultaneous execution of some milestones indicates that it will be possible to resume the deadlines originally set in early 2020.

[Commitment 3 – Innovation and Open Government in Science](http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/inovacao-e-governo-aberto-na-ciencia-monitoramento-e-execucao)

The implementation of commitment 3 should be highlighted and recognized, since it has been a great satisfaction to the CGU monitoring team. Among the differentials concerning the execution of the commitment, it should be mentioned that the *Empresa Brasileira de Pesquisa Agropecuária (EMBRAPA)*, as the coordinating institution, has not only held bimonthly execution meetings to closely follow the progress of the milestones, but it has also been able to include, among the implementing partners, other governmental and non-governmental bodies and entities, which are considered essential for the effectiveness of the work and for the increase of the results. Those initiatives have overcome the challenges encountered and they have guaranteed a commitment execution percentage of 55.62% in this first year of the 4th National Action Plan.

[Commitment 4 – Strengthening Public oversight over the Food and Nutrition Security National Plan](http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/fortalecimento-do-controle-social-do-plano-nacional-de-seguranca-alimentar-e-nutricional-plansan-monitoramento-e-execucao)

The Commitment 4 was covenanted during the enforcement period of Law N. 11,346 of September 15, 2006, the Organic Food and Nutrition Security Law (LOSAN), which created the National Food and Nutrition Security System (SISAN). It intends to implement training actions for public officials and civil society to increase the recognition of the Human Right to Adequate Food (DHAA) and to strengthen the social participation of the Food and Nutrition Security (SAN) policy.

However, the issuance of the Provisional Measure N° 870/2019, which established administrative reformulations in the Presidency of the Republic and the Ministries revoked item and articles of LOSAN, leading to the extinction of the National Council for Food and Nutrition Security (CONSEA) in the scope of the organizational structure of SISAN. It has impacted on the implementation of the commitment. As a result, the coordination, now under the responsibility of the Ministry of Citizenship, has to redefine civil society representations and to revise deadlines and responsibilities.

The National CONSEA has not been reactivated nor included in the administrative structure of the Federal Government; therefore, the commitment coordinator, despite the efforts, has faced difficulties to advance the actions, which justifies the low percentage of execution.

[Commitment 5 – Analysis over the user’s satisfaction and ANTTs regulation social impact](https://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-5-docs/analise-de-satisfacao-dos-usuarios-e-impacto-social-da-regulacao-da-antt-monitoramento-e-execucao)

Commitment 5 aims to develop technology and integrate data from online systems of users of highways, railways and interstate buses to engage citizens and create value for ANTT's regulatory activity, promoting regulation through incentives and better observation of regulated market problems. In addition, the commitment seeks to respond to the provisions of Law N. 13.460, of June 26, 2017, more specifically to what is established in § 1 of Article 23, which establishes that public bodies and entities should have the assessment of their services delivered by means of satisfaction surveys, conducted at least every year, or by any other means that ensures statistical significance to the results.

Despite the small number of government and civil society actors in the implementation group, which is likely to overburden the National Land Transport Agency (ANTT), the commitment coordinator, no problems in implementing the milestones have been reported.

As shown in the chart below, the commitment reached 41.67% in the first year of the 4th National Action Plan, which is within the expectations of the CGU monitoring group.

[Commitment 6 – Transparency and Public Oversight over Mariana´s Reparation Processes and other Municipalities in the Region](https://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-6-docs/transparencia-e-controle-social-no-processo-de-reparacao-de-mariana-e-de-outros-41-municipios-da-regiao-monitoramento-e-execucao)

Commitment 6 is being developed on schedule and partner organizations have been provided with sufficient information and acted satisfactorily to help achieve results.

In this first year of implementation, It should be highlighted the launch of the [Transparency Portal of Fundação Renova](https://transparencia.fundacaorenova.org/inicio), which took place at the end of July. The creation of this tool has assumed great centrality in the commitment and has been a prerequisite for advancing other milestones. It should be noted, however, that the information about the programs developed is not yet detailed in the Portal, considering that they require improvements related to the deliveries, progress and results of each one of them.

As for training processes, the *Fundação Renova* has reiterated its interest in collaborating with the logistics of the events. Accordingly, CGU will present an initial proposal to support the entity cost analysis.

The milestones are being implemented on time and the new representatives of public agencies have already learned of the actions and initiated institutional articulations to ensure their effective contribution to the work, including the participation of the Inter-Federative Committee (CIF). This Committee acts as an external and independent instance of the Fundação Renova. It is responsible for guiding, monitoring and supervising the execution of reparation measures, based on the permanent dialogue between the entities involved and the citizens affected.

[Commitment 7 – Transparency in the Legislative Process](http://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-7-docs/transparencia-do-processo-legislativo-monitoramento-e-execucao)

Commitment 7 intends to improve transparency over the legislative process through the enhancement of information provision about proposition processes to enable a better follow-up of the subjects and a greater participation from citizens and civil society entities in the legislative process.

Milestone execution is proceeding as planned and has been accomplished without the appearance of more complex problems. The products are jointly developed by the two Houses of Parliament and they have the sponsorship of their respective administrations.

Regarding the participation of civil society entities that are part of the group responsible for executing the commitment, the Brazilian Open Government/CGU Team has evaluated that there is low engagement, and it is necessary to better investigate the causes of such occurrence.

Commitment 7 has 42.14% of execution and the results are already well materialized in several actions.

[Commitment 8 – Land Transparency](http://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-8-docs/transparencia-fundiaria-monitoramento-e-execucao)

Commitment 8 aims to implement a single integrated urban and rural base registry, in order to make data available to society through the National Territorial Information Managing System - SINTER, thus ensuring greater transparency on the land matter.

Although with a good level of execution, reaching 48.89% in August 2019, some issues that have impact on the commitment should be highlighted: i) the changes made in the structure of the Federal Government with the issuance of the Provisional Measure n. 870/2019. This has established a new organization of the bodies of the Presidency of the Republic and the Ministries and it has extinguished administrative units, including the Special Secretariat for Family Farming and Agrarian Development (SEAD), which had undertaken various tasks in the scope of the commitment; and ii) the issuance of Decree n. 9.759 / 2019, which extinguished and established guidelines, rules and limitations for federal public administration collegiums, which makes the execution of milestone 5 difficult, providing for the creation of a civil society and government committee for the implementation and monitoring of the public interface of the National Rural Properties Registry (CNIR).

Finally, according to the Brazilian Open Government/CGU Team, the biggest deadlock observed is about the relationship between INCRA and the Internal Revenue Service of Brazil (RFB), as the two agencies are unable to reach a consensus about the place that the Land Management System (SIGEF) database should be. INCRA advocates maintenance at its Headquarters, RFB intends to take the databank to CNIR Unit.

In this scenario, reviewing deadlines and adjusting the commitment work plan are inevitable actions.

[Commitment 9 – Open Government and Climate](https://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-9-docs/governo-aberto-e-clima-monitoramento-e-execucao)

In January 2019, the Ministry of Environment (MMA), the commitment coordinator, had changes in its structure due to the Provisional Measure n. 870/2019. The uncertainty regarding the internal organization of the MMA, including the appointment of officers, has affected the effective start of the commitment implementation activities. After overcoming these first difficulties, actions taken by the bodies and entities responsible for implementing the commitment led to a good progress in the execution of the of some commitment milestones. As a result, the coordinator has evaluated that the initial delay will not affect the results and will not prevent the planned activities from being fully carried out within the established deadline.

Civil Society’s action in this commitment has been very effective. There is a constant presence at meetings, positive interventions and interest in participating more actively in the development of actions. In addition, representatives of the entities involved have sought to maintain continuous dialogue with government representatives and have expressed the wish that interactions among all be more frequent.

Although it has not fully implemented any milestone, commitment 9 has a good percentage of execution, having reached the mark of 41.25%, as shown in the chart below.

[Commitment 10 – Open Government and Water Resources](https://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/compromisso-10-docs/governo-aberto-e-recursos-hidricos-monitoramento-e-execucao)

Commitment 10 aims to strengthen mechanisms to enable mapping and the availability of data related to water resources management.

Coordinated by the National Water Agency (ANA), the commitment had a slight initial delay due to the restructuring caused by the issuance of the Provisional Measure n° 870/2019, which impacted the deadline for execution of milestone 1, but, after they could define the organizational issues, implementation has come to be on schedule.

In this sense, it should be clarified that the low execution percentage presented in the chart below, 19%, does not mean that the commitment is facing problems in its implementation process. In fact, implementation is consistent with the expected deadlines, but several milestones of the commitment (5 out of 8) are due by 2020, which explains the low value indicated.

[Commitment 11 – Access to Information Act in States and Municipalities](http://governoaberto.cgu.gov.br/no-brasil/copy_of_planos-de-acao/4o-plano-de-acao-brasileiro/lai-em-estados-e-municipios-monitoramento-e-execucao)

Commitment 11 seeks to increase access to public information on states and municipalities by the development and implementation of a unified platform for access to information requests, which would be available at no cost to states and municipalities. The agencies and entities involved in the implementation of the commitment agreed that the best alternative would be working with a model similar to the Electronic System of the Information Service to the Citizen (e-SIC). Having defined this action strategy, the CGU, the commitment coordinator, has articulated with its Information Technology (IT) area and has advanced in the design of the new system, which is now in the testing / approval phase for any adjustments required.

Commitment reached, in August 2019, the 70% status of execution.

# VI – Conclusions

Brazil's 4th National Action Plan consolidated the methodology adopted in the previous plan and improved collaboration between government and society. The positive results achieved in the 3rd Plan, with the necessary adjustments, justify the repetition of the construction, execution and monitoring processes.

The progress of the Plan, despite some obstacles observed in the execution of specific commitments, is within expectations. As observed, with a little less than one year in progress, the plan percentage of execution reached is around 44.79%.

The relationship of the Brazilian Open Government/CGU Team with the commitment coordinators and the other government representatives has been very productive and, in this sense, we thank everyone for their dedication and commitment in the execution of the actions.

In addition, it is also necessary to recognize the performance of civil society entities. In general, they have been active in carrying out the activities under their responsibility and in public oversight work regarding the progress of the Plan.

Finally, it is worth mentioning the performance of the representatives of the new Civil Society WG, who have been interested not only in following the commitments closely, collaborating with their advances, but also in deepening the theme to better contribute to the process.

It is expected that this Self-Assessment Midterm Report has been successful in presenting the preliminary results of the 4th National Action Plan initiatives and that they will gain perspective and outreach soon to materialize significant improvements for society.

# 

# VII – Attachment

**List of Commitment Coordinators (updated on Aug/26/2019)**

| ***Commitment 1: Develop collaborative actions in order to disseminate knowledge and map good governmental practices to promote subnational involvement.*** | |
| --- | --- |
| Lead government institution | Office of the Comptroller General of Brazil – CGU |
| Civil servant in charge for implementing at lead government institution | Adenísio Álvaro de Souza |
| Position - Department | Coordinator General / Coordination-General for Federative Cooperation and Public oversight |
| E-mail | adenisio.souza@cgu.gov.br |
| Telephone | (61) 2020-6516 |

| ***Commitment 2: Establish, in a collaborative way, a reference model for an Open Data Policy that foster integration, training and awareness between society and the three government levels, starting from a mapping process of social demands.*** | |
| --- | --- |
| Lead government institution | Office of the Comptroller General of Brazil – CGU |
| Civil servant in charge for implementing at lead government institution | Marcelo de Brito Vidal |
| Position - Department | Coordinator General / Coordination-General for Open Government and Transparency |
| E-mail | marcelo.vidal@cgu.gov.br |
| Telephone | (61) 2020-6538 |

| ***Commitment 3: Establish scientific data governance mechanisms for the advance of open science in Brazil.*** | |
| --- | --- |
| Lead government institution | Brazilian Agricultural Research Corporation - EMBRAPA |
| Civil servant in charge for implementing at lead government institution | Patrícia Rocha Bello Bertin  Juliana Meireles Fortaleza |
| Position - Department | Supervisor for Information Governance and Transparency Risks, Integrity and Transparency Administration |
| E-mail | patricia.bertin@embrapa.br  juliana.fortaleza@embrapa.br |
| Telephone | (61) 3448-1808/2407 |

| ***Commitment 4: Implement training actions for public officials and civil society, in order to increase the recognition of the Human Right to Adequate Food as well as to strengthen public oversight towards the Food and Nutrition Security Policy.*** | |
| --- | --- |
| Lead government institution | Ministry of Citizenship (incorporated MDS) |
| Civil servant in charge for implementing at lead government institution | Elcio de Souza Magalhães |
| Position - Department | Coordinator General for the Department of integration of Public Agri-food Systems - DEISP |
| E-mail | elcio.magalhaes@cidadania.gov.br |
| Telephone | (61) 2030-1161 |

| ***Commitment 5: Define mechanisms for data capturing in order to improve the National Terrestrial Transport Agency’s (ANTT) regulated services and encourage society participation on satisfaction surveys.*** | |
| --- | --- |
| Lead government institution | National Road Transport Agency - ANTT |
| Civil servant in charge for implementing at lead government institution | Paulo Henrique da Silva Costa |
| Position - Department | Administration Analyst/ Coordinator for Articulation  Executive Superintendence |
| E-mail | paulo.costa@antt.gov.br |
| Telephone | (61) 3410-1680 |

| ***Commitment 6: Implement instruments and transparency actions, access to information and the development of capacities to expand and qualify the participation and public oversight over the repair processes.*** | |
| --- | --- |
| Lead government institution | Office of the Comptroller General of Brazil – CGU |
| Civil servant in charge for implementing at lead government institution | Adenísio Álvaro de Souza |
| Position - Department | General Coordinator / Coordination-General for Federative Cooperation and Public oversight |
| E-mail | adenisio.souza@cgu.gov.br |
| Telephone | (61) 2020-6516 |

| ***Commitment 7: Increase participation of various social segments on the legislative process (law developing) through integrated efforts to increase transparency, adjust language, communication and promote innovation.*** | |
| --- | --- |
| Lead government institution | House of Representatives |
| Civil servant in charge for implementing at lead government institution | Antonio Carvalho e Silva Neto |
| Position - Department | Chief for Project and Management Council - APROGE |
| E-mail | antonio.silvaneto@camara.leg.br  cooperacao.dg@camara.leg.br |
| Telephone | (61) 3216-2010/2045 |

| ***Commitment 8: Implement urban and rural base registers (National Rural Properties Cadaster – CNIR) on an integrated model, providing data to society, for the operationalization of the Territorial Information Managing National System (SINTER).*** | |
| --- | --- |
| Lead government institution | National Institute of Colonization and Agrarian Reform - INCRA |
| Civil servant in charge for implementing at lead government institution | Celso Menezes de Souza |
| Position - Department | Coordinator-General for the Rural Registry |
| E-mail | celso.menezes@incra.gov.br |
| Telephone | (61) 3411-7378/7703 |

| ***Commitment 9: Develop, collaboratively, a transparent mechanism for the evaluation of actions and policies related to climate changes.*** | |
| --- | --- |
| Lead government institution | Ministry of Environment – MMA |
| Civil servant in charge for implementing at lead government institution | Adriano Santhiago de Oliveira |
| Position - Department | Director for Monitoring, Support and Promotion of Actions in Climate Change |
| E-mail | adriano.oliveira@mma.gov.br |
| Telephone | (61) 2028-2241/2170/2469 |

| ***Commitment 10: Improve the Information and Water Resources National System (SNIRH) for the strengthening of Comities located at critic areas in order to promote an integrated management over Water Resources.*** | |
| --- | --- |
| Lead government institution | National Water Agency - ANA |
| Civil servant in charge for implementing at lead government institution | Alexandre Lima |
| Position - Department | Coordinator for Conjuncture Report and Information Management |
| E-mail | alexlima@ana.gov.br |
| Telephone | (61) 2109-5365 |

| ***Commitment 11: Develop a National Electronic System for information requests (e-Sic) in order to implement the Access to Information Law (LAI) in states and municipalities.*** | |
| --- | --- |
| Lead government institution | Office of the Comptroller General of Brazil – CGU |
| Civil servant in charge for implementing at lead government institution | Adenísio Álvaro de Souza |
| Position - Department | Coordinator General / Coordination-General for Federative Cooperation and Public oversight |
| E-mail | adenisio.souza@cgu.gov.br |
| Telephone | (61) 2020-6516 |

**Composition of the New Civil Society WG**

|  |  |  |
| --- | --- | --- |
| **Categories** | **Entities** | **Representatives** |
| **Civil Society’s Entities:** | Observatório do Código Florestal | Ana Paula Valdiones (Standing) |
| Roberta Rubim del Giudice (Alternate) |
| Transparência Brasil | Manoel Galdino Pereira Neto (Standing) |
| Juliana Mari Sakai (Alternate) |
| Rede pela Transparência e Participação Social (RETPS) | Paula Oda (Standing) |
| Caroline Burle dos Santos Guimarães (Alternate) |
| Observatório Social do Brasil - Rio de Janeiro | Tatiana Quintela de Azeredo Bastos (Standing) |
| Daniele Chaves Teixeira (Alternate) |
| **Entity Representing Employer** | Confederação Nacional do Comércio de Bens, Serviços e Turismo (CNC) | Francisco Valdeci de Sousa Cavalcante (Standing) |
| Cristiane de Souza Soares (Alternate) |
| **Entity Representing Workers** | Associação Nacional dos Médicos Peritos da Previdência Social | Francisco Eduardo Cardoso Alves (Standing) |
| Luiz Carlos de Teive e Argolo (Alternate) |
| **Academia Entity** | Laboratório de Inovação em Políticas Públicas (LAB) | Rodrigo Tamussino Roll (Standing) |
| Fernanda Scovino Machado (Alternate) |

1. <https://governoaberto.cgu.gov.br/a-ogp/planos-de-acao/4o-plano-de-acao-brasileiro/definicao-dos-temas> [↑](#footnote-ref-1)
2. The complete list of proposals presented by Society can be accessed at: <http://www.governoaberto.cgu.gov.br/noticias/2018/aberta-fase-de-priorizacao-de-temas-para-o-4o-plano-de-acao/copia-de-planilha-temas-consulta-1o-etapa-versao-final.xlsx> [↑](#footnote-ref-2)