Independent Reporting Mechanism (IRM): Brazil End-of-Term Report 2016–2018

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Overview: Brazil

Independent Reporting Mechanism (IRM) End-of-Term Report 2016–2018

Two commitments in Brazil's 2016–2018 action plan resulted in outstanding changes in government practices. These led to a cultural shift in the openness of educational resources and data (Commitment 6) and significantly increased civic participation in budgetary planning (Commitment 14). Overall, the action plan is limited in ambition and in implementation. Moving forward, government agencies and civil society stakeholders should consider designing result-oriented commitments with measurable activities, for effective implementation.

The Open Government Partnership (OGP) is a voluntary international initiative that aims to secure commitments from governments to their citizenry to promote transparency, empower citizens, fight corruption, and harness new technologies to strengthen governance. The Independent Reporting Mechanism (IRM) carries out a review of the activities of each OGP-participating country. This report summarizes the results of the implementation of the plan, from December 2016 to June 2018, and includes some relevant developments up to August 2018.

The Open Government Interministerial Committee (CIGA) coordinates the OGP process in Brazil. The Ministry of Transparency, Oversight, and Comptroller-General leads CIGA. The CIGA executive body, known as CIGA Executive Group (GE-CIGA), comprises 18 ministries. The president of the republic's office leads this group. GE-CIGA also oversees implementation of the action plan.

Civil society organizations were involved during the action plan development as well as during the implementation period. A formal Civil Society Working Group (CS-WG) was established and consisted of seven organizations. Peers elected these organizations through a public call launched by the government. The CS-WG played a consultative role (acting under no binding decision-making procedures within the CIGA or in a broader sense). However, the parties reached an informally agreement with CIGA that they would collaborate on CIGA's decisions.

Table 1: At a Glance	Mid-term	End of term
Number of Commitments	16	
Level of Completion		
Completed	0	3
Substantial	3	7
Limited	13	6
Not Started	0	0
Number of Commitments with…		
Clear Relevance to OGP Values	16	16
Transformative Potential Impact	2	2
Substantial or Complete Implementation	3	10
All Three (⊙)	1	1
Did It Open government?		
Major		1
Outstanding		2
Moving Forward		
Number of Commitments Carried Over to Next Action Plan		0

The plan included 16 commitments. It covered areas already addressed by previous action plans (e.g., health data and social participation). It also involved new areas (e.g., penitentiary data, environmental data, and legislative and judiciary branches of government). The government published its final self-assessment report, dated September 2018, online.[1] The consultation process for the next action plan started in April 2018 and is still under development, following best practices learned from the current action plan. That process includes a co-creation phase of agenda setting (from April to May 2018) and co-creation writing workshops (from May to August 2018).

This report was prepared by Fabro Steibel, independent researcher

1 Brazilian Government, *Relatorio Final de Autoavaliacao: 3rd Plano de Acao Nacional,* September 2018, http://governoaberto.cgu.gov.br/noticias/2018/balanco-final-do-3o-pan-do-brasil-final.docx.

Consultation with Civil Society during Implementation

Countries participating in OGP follow a process for consultation during development and implementation of their action plan. The Open Government Interministerial Committee Executive Group (GE-CIGA) has promoted regular, public, and well-documented collaborative monitoring exercises throughout the implementation period. To do so, the GE-CIGA employed a detailed methodology, published online. This methodology includes a set of topics predefined by the government; a set of topics defined by civil society, using civic tools to moderate the debate; and others based on common themes. Onsite working groups discussed the topics. The government organized and sponsored such sessions, with a balanced number of participants from government and civil society. The working groups then decided on the final wording of the commitments, which were submitted to GE-CIGA and approved for inclusion in the action plan.

Follow-up meetings included both the GE-CIGA and the Civil Society Working Group (CS-WG). The government held seven meetings from April 2017 to July 2018. Thus, monitoring occurred during the entire implementation period. Meetings were livestreamed, and all those involved in the preparation of the action plan were invited in advance to participate in the calls. The government published the minutes of all meetings online.

Meetings were held in Brasilia. The IRM researcher attended five of these meetings and observed that they followed a predetermined agenda. At the meetings, civil society and government representatives discussed the implementation of commitments. There was an active debate among participants, with both government and civil society representatives pushing for positive results. In some cases, civil society organization representatives pushed government officials for more impactful efforts, as in the case of Commitment 1. In other cases, the opposite took place. For example, regarding Commitment 8, government representatives asked civil society to be more responsive to their agreed tasks.

Table 2: Consultation during Implementation

Regular Multi-stakeholder Forum	Midterm	End of Term
1. Did a forum exist?	Yes	Yes
2. Did it meet regularly?	Yes	Yes

Table 3: Level of Public Influence during Implementation

The IRM has adapted the International Association for Public Participation (IAP2) "Spectrum of Participation" to apply to OGP.[1] This spectrum shows the potential level of public influence on the contents of the action plan. In the spirit of OGP, most countries should aspire for "collaborative."

Level of Public Influence during Implementation of Action Plan		Midterm	End of Term
Empower	The government handed decision-making power to members of the public.		
Collaborate	There was iterative dialogue AND the public helped set the agenda.	✔	✔
Involve	The government gave feedback on how public inputs were considered.		
Consult	The public could give inputs.		

Inform	The government provided the public with information on the action plan.		
No Consultation	No consultation		

About the Assessment

The indicators and method used in the IRM research can be found in the IRM Procedures Manual.[2] One measure, the "starred commitment" (✪), deserves further explanation due to its particular interest to readers and usefulness for encouraging a race to the top among OGP-participating countries. Starred commitments are considered exemplary OGP commitments. To receive a star, a commitment must meet several criteria:

- Starred commitments will have "medium" or "high" specificity. A commitment must lay out clearly defined activities and steps to make a judgment about its potential impact.
- The commitment's language should make clear its relevance to opening government. Specifically, it must relate to at least one of the OGP values of Access to Information, Civic Participation, or Public Accountability.
- The commitment would have a "transformative" potential impact if completely implemented.[3]
- The government must make significant progress on this commitment during the action plan implementation period, receiving an assessment of "substantial" or "complete" implementation.

Starred commitments can lose their starred status if their completion falls short of substantial or full completion at the end of the action plan implementation period.

In the midterm report, Brazil's action plan contained 1 starred commitment. At the end of term, based on the changes in the level of completion, Brazil's action plan still contained 1 starred commitment.

Finally, the tables in this section present an excerpt of the wealth of data the IRM collects during its reporting process. For the full dataset for Brazil, see the OGP Explorer at www.opengovpartnership.org/explorer.

About "Did It Open Government?"

To capture changes in government practice the IRM introduced a new variable "Did It Open Government?" in end-of-term reports. This variable attempts to move beyond measuring outputs and deliverables to looking at how the government practice has changed as a result of the commitment's implementation.

As written, some OGP commitments are vague and/or not clearly relevant to OGP values but achieve significant policy reforms. In other cases, commitments as written appear relevant and ambitious, but fail to open government as implemented. The "Did It Open Government" variable attempts to capture these subtleties.

The "Did It Open Government?" variable assesses changes in government practice using the following spectrum:

- Worsened: Government openness worsens as a result of the commitment.
- Did not change: No changes in government practice.
- Marginal: Some change, but minor in terms of its effect on level of openness.
- Major: A step forward for government openness in the relevant policy area, but remains limited in scope or scale.
- Outstanding: A reform that has transformed "business as usual" in the relevant policy area by opening government.

To assess this variable, researchers establish the status quo at the outset of the action plan. They then assess outcomes *as implemented* for changes in government openness.

Readers should keep in mind limitations. IRM end-of-term reports are prepared only a few months after the implementation cycle is completed. The variable focuses on outcomes that can be observed in government openness practices at the end of the two-year implementation period. The report and the variable do not intend to assess impact because of the complex methodological implications and the time frame of the report.

1 "IAP2's Public Participation Spectrum," International Association for Public Participation,

http://c.ymcdn.com/sites/www.iap2.org/resource/resmgr/foundations_course/IAP2_P2_Spectrum_FINAL.pdf.

2 IRM Procedures Manual, http://www.opengovpartnership.org/about/about-irm. https://www.opengovpartnership.org/documents/irm-procedures-manual/

3 The International Experts Panel changed this criterion in 2015. For more information, visit https://www.opengovpartnership.org/wp-content/uploads/2017/05/IEP_Membership_2015_03_27_0.pdf]

Commitment Implementation

General Overview of Commitments

As part of OGP, countries are required to make commitments in a two-year action plan. The tables below summarize the completion level at the end of term and progress on the "Did It Open Government?" metric. For commitments that were complete at the midterm, the report will provide a summary of the progress report findings but focus on analysis of the "Did It Open Government?" variable. For further details on these commitments, please see the Brazil IRM progress report 2016–2018.

Table 4: Assessment of Progress by Commitment

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion (Midterm / End of Term)				Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency & Accountability	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
1. Open federal government data			✔		✔	✔		✔		✔				✔					✔		
															✔						
2. Public resource transparency			✔		✔	✔				✔				✔					✔		
														✔							
3. Effective access to information policy			✔		✔						✔			✔						✔	
															✔						
4. Neutral access to information policy			✔		✔						✔			✔					✔		
														✔							
5. Effective social participation mechanisms			✔			✔		✔		✔				✔					✔		
														✔							
6. Digital educational resources				✔	✔	✔		✔				✔		✔							✔
																✔					
7. Open data for health				✔	✔			✔			✔			✔					✔		
														✔							
8. Torture prevention in prison system				✔	✔	✔		✔				✔		✔					✔		
														✔							

Theme	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
9. Innovation spaces for public service management			✔			✔			✔					✔	✔				✔	
10. Evaluate and streamline public services			✔		✔	✔		✔	✔				✔	✔					✔	
11. Legislative transparency and open innovation			✔		✔			✔	✔				✔	✔				✔		
12. Open government in states and municipalities			✔		✔	✔		✔	✔				✔	✔					✔	
13. Transparency and innovation in the judiciary			✔		✔			✔	✔					✔					✔	
14. Participation in federal planning cycle				✔		✔		✔	✔				✔	✔						✔
15. Environmental transparency				✔	✔	✔		✔	✔				✔	✔					✔	
16. Participatory culture management				✔	✔	✔		✔		✔			✔						✔	

1. Open Data on the Federal Government

Commitment Text:

Identify and implement mechanism for recognizing solvable or mitigable problems, upon the data presented by the government, which meets expectations from requesters and providers.

To raise government and society participation in discussions, in order to assure a bonding between open data requested from citizens and what is offered by the State, taking into account not only data, but IT tools as well and suitable ways of making information available. In order to implement this initiative, the commitment envisages carrying out communication activities aimed at society mobilization and sensitization, and making use of institutional channels for personal and virtual discussions about the theme.

More specifically, the commitment was set out to achieve the following milestones:

1.1 – Identification, among the parties involved in each action, the supplier of relevant resources, for enabling foreseen benchmarks, defined during the planning phase
1.2 – Evaluation of open data social participation, via virtual channels throughout the process
1.3 – Integrated information actions for mobilization and sensitization/Taking advantage of institutional channels, personal and virtual, for discussions about provided and requested open data
1.4 – Training for recognizing solvable problems, in themes (design thinking) – Ministries of Health, Environment, Justice and Citizenship, Culture, Education/ Identify, with the help of governmental agencies, concrete situations, which can be tackled with open data
1.5 – Systematization of information and problems perceived during training
1.6 – Identification of prospective data for alleviating problematic situations, assured the consensus among all actors
1.7 – Establishing a collective action agenda among the actors, for open data use
1.8 – Prioritization of two identified problems
1.9 – Implementation of two pilot experiments, with open data use, and with assured association between provided and requested data
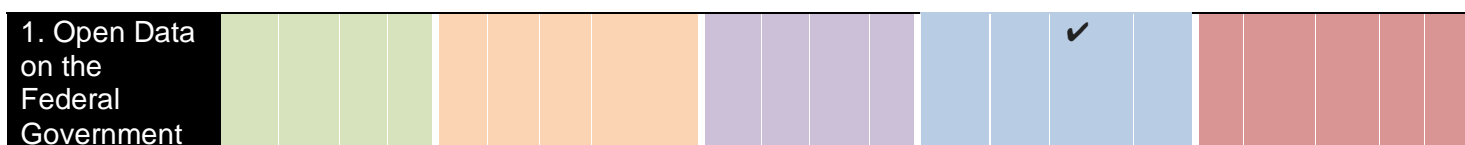
Responsible institution: Ministry of Planning, Development and Management

Supporting institutions: Chamber of Deputies, Ministry of Justice and Citizenship, Ministry of Development, Industry and Foreign Trade Government Secretariat, Group Public Policy Research on the access to information (GPOPAI-USP), Socioeconomic Studies Institute (INESC), Open Knowledge Brazil, Our Network São Paulo, W3C Brasil

Start Date: December 2016   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Midterm / End of Term	Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed		Worsened	Did Not Change	Marginal	Major	Outstanding
			✔		✔	✔		✔		✔				✔						✔		

1. Open Data on the Federal Government												✔						

Commitment Aim:

The commitment aimed to better align the government supply of open data with public demand. To do this, the commitment planned to generate new open data processes that identify both civil society needs and government capacity.

Status
Midterm: Limited

The level of completion at midterm was limited and behind schedule. The government had completed Milestones 1.1–1.5. Those milestones involve the identification of actors with resources to achieve the milestones, the evaluation of social participation in the field of open data, mobilization and awareness-raising activities, and the systematization of information. However, the government did not fulfill these milestones as they were originally intended. Milestones 1.6–1.9 were not started as of mid-2017.

End of term: Substantial

Milestones 1.1–1.8 were completed, and the remaining milestone, 1.9, is underway (pending implementation of one of the two pilots, as originally planned). Therefore, the level of implementation is substantial.

Milestone 1.6 was completed. It involved the identification of open data for action, and the government published a report of the process results online in wiki format.[1] The wiki received 593 contributions. It provides a detailed view of areas that should be prioritized, which agencies should be involved, and other elements involved in policy problem definition. Two areas for possible open data, identified during the online consultation, were used in the next milestones to develop the pilot projects.

Milestone 1.7 and 1.8 involved establishing a collective action agenda among the commitment participating actors and defining solutions to be implemented in the two areas identified in Milestone 1.6, health and education. The government published online evidence of the activities that were designed and co-created.[2] It based this record on a February 2018 meeting that included a small group of contributors from government and civil society.

Milestone 1.9 involved the implementation of two pilot projects. The first pilot, addressing health policy problems, was completed.[3] The first challenge on public health data was carried out in Brasilia in 2018. It attracted more than 500 participants, and the winning team promoted a data visualization of human papillomavirus vaccination coverage in Brazil.[4] The other pilot was planned in partnership with the civil society organization Transparência Brasil. It involved monitoring the construction of public nurseries and and the government gave a presentation on the pilot's status at the last Executive Committee Meeting of the National Infrastructure for Open Data in August 2018.[5]

Did It Open Government?

Access to Information: Marginal
Civic Participation: Marginal

The commitment aimed to better align the government supply of open data with public demand. The perceived status quo is that the use of open datasets was low. Such

perceptions are based on the workshop meetings during the design of the commitment. One reason for the low use is that the push to open datasets was not connected with proper identification of the data needed.

The commitment aimed to promote two pilot studies, based on co-creation activities with civil society. Two pilots were designed, but only one was implemented.

The commitment resulted in the increase of open datasets. There was a change in government practice through the inclusion of civil society organizations in the decision-making process. Thus, advances in open government have been observed.

Government and civil society, however, have different views on the overall contributions of the commitment. The IRM researcher's survey of commitment participants (see the Methodological Note section for details) showed that one government representative (Augusto Herrmann Batista, from the Ministry of Planning, Development, and Management) considered that the pilot undertaken in the health sector promoted new access to useful data. That representative considered the co-creation process with civil society a positive one. The civil society representative (Carmela Zigoni, from INESC), however, argued that neither this pilot nor the co-creation exercise changed the status quo. According to that representative's argument, if the objective of the commitment was to align government supply of open data to demand, the pilot design did not clearly address it.

Despite these different positions, both sides suggest that the contribution of the commitment to open government is positive, although marginal. The opening of the datasets is a positive step, as are the co-creation workshops, although other institutional mechanisms of government and civil society collaboration were already in place in the Ministry of Planning, Development, and Management, who leads the commitment.

Carried Forward?

Brazil's fourth national action plan did not carry over this commitment. However, the fourth plan includes a commitment promoting the use of open data across society and all levels of government.

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1 The Ministry of Planning, Development, and Management, *Relatório de Consolidação que Visa Identificar as Necessidades da Sociedade Civil Quanto à Disponibilização de Dados Abertos,* October 2017, https://bit.ly/2T1pWiY.

2 "Government Conducts Workshop with Representatives of Society to Better Understand the Need for Data Pointed in Research," Brazilian Portal of Open Data, 7 February 2018, http://dados.gov.br/noticia/governo-realiza-oficina-com-representantes-da-sociedade-para-conhecer-melhor-a-necessidade-de-dados-apontada-em-pesquisa.

3 "Public Health Data Challenge in Brazil," Brazilian Portal of Open Data, http://dados.gov.br/concurso/desafio-de-dados-da-saude-publica-no-brasil.

4 Fernando Caixeta, "Analysis of HPV Virus Becomes First Public Health Datathon," Metropoles, 23 August 2018, https://www.metropoles.com/distrito-federal/ciencia-e-tecnologia-df/analise-sobre-virus-hpv-vence-primeiro-datathon-de-saude-publica.

5 "INDA Steeering Committee," National Infrastructure for Open Data, 26 February 2019, http://wiki.dados.gov.br/Comite-Gestor-da-INDA.ashx#Atas_das_reuni%C3%B5es_3.

2. Transparency of Public Funds

Commitment Text:

Formulate a strategic matrix of transparency actions, with broad citizen participation, in order to promote better governance and to ensure access and effective use of data and public resource information.

The commitment aims to enhance active transparency mechanisms on federal public resources, that is, to improve actions related with information the State must disclose, without being demanded for. It establishes ways of assuring information will be appropriated and effectively used by society, which will allow greater understanding and will also broaden social participation, providing a more effective monitoring.

More specifically, the commitment was set out to achieve the following milestones:

2.1 – Development of a Plan of Mobilization and Disclosure, in order to enhance participation, assuring best practices dissemination, related to public resource information
2.2 – Transparency Council restructuring
2.3 – Survey of initiatives, rules, systems and data (public or not), related to transparency and federal public resources
2.4 – Formulation of a strategic matrix, related to transparency actions, with identification of those in charge and deadlines
2.5 – Plan approval and dissemination
2.6 – Final report launch

Responsible institution: Ministry of Transparency, Oversight and Comptroller General of Brazil

Supporting institutions: Ministry of Justice and Citizenship, Ministry of Planning, Development and Management, Ministry of Finance, Central Bank of Brazil, City Hall of São Paulo, Brazilian Institute of Tributary Planning, Institute for Socioeconomic Studies (Inesc), Social Observatory of Brazil, Open Knowledge Brazil, Transparência Brasil

Start Date: December 2016   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Midterm / End of Term	Did It Open Government?				
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2. Transparency of Public Funds			✔		✔	✔				✔				✔ / ✔						✔		

Commitment Aim:

The commitment addressed the need to improve active transparency mechanisms at the federal level. The government aimed to achieve this goal by improving disclosure of data with key initiatives, such as the Federal Transparency Portal.

Status

Midterm: Limited

The commitment saw limited completion, and the implementation was behind schedule. The government completed Milestones 2.1 and 2.2. They involved the development of a mobilization plan (2.1) and the restructuring of the existing Transparency Council (2.2). Milestones 2.3 and 2.4 were underway. These milestones involved the mapping of initiatives, norms, systems, and datasets related to federal resources (2.3) and a strategic matrix to promote transparency initiatives (2.4). The government completed Milestone 2.3, but survey details and updates are not made public yet. Milestone 2.4 was started but not completed. Milestones 2.5 and 2.6 had not started.

End of term: Limited

Milestones 2.1–2.3 were completed. Milestone 2.4 is underway, and Milestones 2.5–2.6 were not started. Thus, the level of completion is limited.

Milestone 2.3 involved mapping strategic information and processes related to the transparency of public resources. At the time of the midterm report, the open data portal Dados.gov.br[1] stored databases available for download. At that time, the Transparency Portal[2] also stored a set of norms and initiatives on federal transparency processes. The new transparency portal features a series of updates representing considerable advances in access to information compared to the previous version that dated from the 2000s. The creation of the portal also related to previous incomplete milestones from the first and second action plans. The implementation monitoring report[3] states that the material will be compiled and included in the fourth edition of the transparency ranking index developed by the Ministry of Transparency, Oversight, and Comptroller-General.[4] The About section of the new transparency portal provides details on the mapping and transparency of public funds processes.[5]

Milestone 2.4 is ongoing and involves the elaboration of a strategic matrix to promote transparency initiatives. As the implementation monitoring report by the Ministry of Transparency, Oversight, and Comptroller-General states,[6] the Transparency Council holds responsibility for completing it. The council stopped meeting in 2015,[7] but a new decree in August 2018 has reinstated and reinforced the council's role with new powers and competencies.[8]

Milestones 2.5 and 2.6 involve plan approval, dissemination of the Transparency Council and the commitment final report. The government did not complete these milestones.

Did It Open Government?

Access to Information: Marginal
Civic Participation: Marginal

The commitment improved transparency mechanisms at the federal level by improving governmental disclosure of data through the Federal Transparency Portal. The portal is accessed more than 20 million times every year (based on 2017 data). This frequency makes it the largest and most important of all Brazilian government portals. It is too soon to

know if the changes made due to this commitment helped increase the access number rates. Nevertheless, the information is more clearly displayed and more accessible. A government representative's survey response (Otavio Neves, from the Comptroller-General of Brazil) revealed key improvements: (a) There is a notification tool for citizens to receive information on their topics of interest.[9] (b) There now exist organizing links and information from state and municipal transparency and accountability services (i.e., Electronic System of Information Services to the Citizen portals).[10] (c) Finally, the portal features tailor-made infographics and provides mobile phone access.

In terms of civic participation, this representative argued that the status quo improved mainly due to two factors: (a) The government created a crowdsourcing tool for citizens to report inconsistency in data (this option is included as a specific task in the "contact" information to identify the responsible for the issue). (b) The government increased its sharing tools, using social media (e.g., Facebook and Twitter) and employing a QR code for a unique URL generation.

A major transformation would involve the reform of the Transparency Council, due to be composed by members from government and civil society. The council has a track record of collaboration that has led to advances in freedom of information, open data, and anti-corruption.[11] According to the government representative, a new council was due to be created in December 2018 (i.e. The decree to implement it was published in August, but the formation of the council was still pending by the time the end-of-term report was written). According to the CSO representative Paula Odo, CSO/REPTS[12], interviewed by the IRM researcher, the development of the Transparency Council during the implementation plan has mixed results. As Oda argues, at the begin of the commitment the Council was subordinated to the Presidency, what lead to a greater impact. During President Temer period however it was realocated to CGU, a Ministerial subordination, what lead to a period of lower activity impact, but at the end of the implementation period lead to an increase of Council's importance.

The government launched the portal at the end of the action plan and CSO representatives had limited time to evaluate the changes (despite the positive reception of the improvements done). Thus, the IRM researcher assesses that the implementation of the commitment led to a marginal change of status quo.

Carried Forward?

This commitment was not included in the fourth action plan. Considering that completion is limited, next steps for the commitment should focus on finishing the strategic matrix related to transparency actions. The matrix's completion could lead to a better system to monitor improvements on the transparency portal.

1 *Dados.gov.br platform, http://dados.gov.br/*

2 Transparency Portal, http://www.portaltransparencia.gov.br/.

3 Ministerio da Transparencia e Controladoria-Geral da Uniao, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/transparencia/reuniao_meio%20ambiente/2018-16-julho-rse_2.pdf.

4 "Brazil Transparent Scale—Passive Transparency," Ministry of Transparency, Oversight, and Comptroller-General, http://www.cgu.gov.br/assuntos/transparencia-publica/escala-brasil-transparente.

5 "Common Questions," Transparency Portal, http://www.portaltransparencia.gov.br/perguntas-frequentes/sobre-o-portal.

6 Ministerio da Transparencia e Controladoria-Geral da Uniao, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/transparencia/reuniao_meio%20ambiente/2018-16-julho-rse_2.pdf.

7 "Meeting Documents," Ministry of Transparency, Oversight, and Comptroller General, http://www.cgu.gov.br/assuntos/transparencia-publica/conselho-da-transparencia/documentos-de-reunioes.

8 "Decree Strengthens the Work of the Transparency and Anti-Corruption Council," Ministry of Transparency, Oversight, and Comptroller General, http://www.cgu.gov.br/noticias/2018/08/decreto-fortalece-atuacao-do-conselho-de-transparencia-e-combate-a-corrupcao.

9 "Notifications," Transparency Portal, http://www.portaltransparencia.gov.br/notificacoes.

10 "Social Control," Transparency Portal, http://www.portaltransparencia.gov.br/pagina-interna/603399-controle-social.

11 "Ethos Joins Public Transparency and Anti-Corruption Council," Ethos, 14 December 2018, https://www.ethos.org.br/cedoc/ethos-integra-conselho-de-transparencia-publica-e-combate-a-corrupcao/.

12 REPTS, Network for Transparency and Civic Participation, http://retps.org.br/

3. Access to Information Policy in the Federal Government—Promptness and Effectiveness to Information Requests

Commitment Text:

Enhance mechanisms in order to assure more promptness and answer effectiveness to information requests, and the proper disclosure of the classified document list.

The commitment intends to enhance the access to information aspects rendered by the federal governmental bodies, contributing therefore to the advancement of a culture of transparency in the civil service. The commitment aims to have the classified documents list, rated by the agencies, as transparent as possible, and also to provide methodological guidelines for qualitative evaluation of answers given by those bodies.

More specifically, the commitment was set out to achieve the following milestones:

3.1 – Recommendation of subject inclusion at the classified information list
3.2 – Establishment of a deadline rule for additional clarifications
3.3 – Establishment of an evaluation methodology, essentially considering: training, information list, subject, time, answer effectiveness
3.4 – Evaluation carrying out
3.5 – Publishing of evaluation results
3.6 – Recommendations to organizations, considering guidelines, in order that the Information Access Act understanding binds the civil servant functional life.
3.7 – Publishing of the agency answer
3.8 – Referral and results

Responsible institution: Ministry of Transparency, Oversight and Comptroller General of Brazil

Supporting institutions: Ministry of Planning, Development and Management, Joint Committee of Information Reassessment, Ministry of Justice and Citizenship, Chamber of Deputies, Article 19, Getúlio Vargas Foundation, Transparency International, Brazilian Association of Investigative Journalism, Mr. Francisco Leali

Start Date: December 2016 .   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Did It Open Government?				
														Midterm							
														End of Term							
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
3. Effective Access to Information Policy			✔		✔						✔			✔						✔	
															✔						

Commitment Aim:

The commitment addressed issues of unresponsiveness to information requests and the misuse of denials (e.g., use of the "classified information" argument). The commitment sought to improve the effectiveness of information requests at the federal level and ensure the proper use of exceptions. It also aimed to reform the rules used to justify safeguarding classified information.

Status

Midterm: Limited

The commitment's level of completion was limited, and it was behind schedule. The government completed Milestone 3.1 with the formation of a draft policy proposal on access-to-information requests. Milestones 3.2–3.4 were underway. The government had defined parameters for both, but it had not submitted those definitions to civil society for consultation, as originally planned. Milestone 3.4, an evaluation intended for capacity-building purposes, was planned, but its implementation was pending the approval of regulatory changes. Milestones 3.5–3.8 had not been initiated.

End of term: Substantial

Milestones 3.1–3.2 were completed, and Milestones 3.3–3.8 were substantially completed. Thus, the level of completion is substantial.

Milestone 3.2 involved simplifying the access to information policy framework. Based on contributions collected as part of Milestone 3.1, the Ministry of Transparency, Oversight, and Comptroller-General of Brazil (CGU) wrote a draft proposal to modify Presidential Decree 7.724/12. The ministry then submitted the proposal to the Ombudsperson-General of the Union (OGU) for clearance. Instead of approving it, the OGU made two key comments. First, it stated that the proposed CGU modification would require a legislative vote and, therefore, would require more than rewriting a presidential decree. Second, it noted that there were already two other presidential decrees (which would enter into force by mid-2018) that would solve the problem with a different solution. It also noted that new legislation (Law 13.460/2017, Public Service Users Code of Use) could be used to support the regulatory change needed. Therefore, in spite of the change of plans, the milestone can be considered achieved, albeit through a different path.

Milestones 3.3–3.8 were substantially completed. They involved making changes in 23 federal executive institutions. However, not all of these milestones were completed by the end of the implementation period.[1] Milestone 3.3 involved the development of an evaluation methodology, which the government published[2] and applied to 18 institutions (Milestone 3.4).[3] The evaluation provided by CGU about other institutions was then submitted for response (Milestone 3.5),[4] and a formal reply from the institutions was collected and published online (11 of the 18 involved institutions)[5] (Milestone 3.7). The government published on its website a list of all actions, compliance, and adjustments carried out at the end of the process (Milestone 3.8).[6]

Milestone 3.6 involved producing guidelines related to civil servant functional life and was not completed. It called for the development of recommendations on how civil servants of federal institutions should disclose personal and public information while in office, upon citizen requests. The monitoring report of the commitment considered the milestone as under development.[7]

Did It Open Government?

Access to Information: Major

The efforts made by government and civil society to monitor freedom of information requests in Brazil are positive. The Ministry of Transparency, Oversight, and Comptroller-General promoted the continuous improvement of this public service, and civil society organizations (CSOs), including those involved in the commitment, supported it. The commitment aimed to go further by co-creating ideas with civil society. Two key proposals were designed: One set a time limit for government agencies to reply to information requests and to appeals. Another established stricter rules for denying access to information based on the "use of classified information" exception clause. The government instituted a maximum deadline for answering requests and measured agencies' honoring of that deadline.

The commitment also led to formal replies from government agencies on the adoption of the new procedures related to process and deadline maximum periods. This feedback was perceived as a positive achievement by government and civil society representatives who participated in the IRM researcher survey. Indeed, Marcelo Vidal (from the Ministry of Planning, Development, and Management) remarked that the changes improved the status quo at critical moments through better monitoring when government institutions denied access to information. Joara Marchezini (from CSO Article 19) considered the advances major, although the desired change should have been, from her perspective, even deeper.

Carried Forward?

The government did not included this commitment in the fourth national action plan. The government stated that the remaining agencies that have not completed the reviewing process will complete it in the near future. It also stated that the missing milestone, on the disclosure of civil servants' personal information while in office, will be completed by the end of 2018. The government planned to publish the information on the Federal Transparency Portal.

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1 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Acesso-Informacao/Apresentacao/2018-22-jun-rse-3.pdf.

2 *Guia para Publicação do Rol de Informações Classificadas e Desclassificadas e de Relatórios Estatísticos sobre a Lei de Acesso à Informação*, 20 September 2017, http://www.acessoainformacao.gov.br/lai-para-sic/sic-apoio-orientacoes/guias-e-orientacoes/guia-informacoes-classificadas-versao-3.pdf.

3 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Acesso-Informacao/Apresentacao/2018-22-jun-rse-3.pdf.

4 Ministry of Transparency, Oversight, and Comptroller General, *Encaminha Ata de Reunião e Relatório de atendimento à Lei de Acesso à Informação,* 24 July 2018, http://www.acessoainformacao.gov.br/lai-para-sic/sic-apoio-orientacoes/politica-monitoramento/sei_cgu-0800650-oficio.pdf.

5 Ministry of Justice, *Relatório de Atendimento à Lei de Acesso à Informação*, 20 August 2018, http://www.acessoainformacao.gov.br/lai-para-sic/sic-apoio-orientacoes/politica-monitoramento/devolutiva-mj-publicacao.pdf.

6 "Stock Report—2018," Access to Information, Federal Government, http://www.acessoainformacao.gov.br/lai-para-sic/sic-apoio-orientacoes/politica-monitoramento/relatorio-parcial-de-acoes-2018.

7 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Acesso-Informacao/Apresentacao/2018-22-jun-rse-3.pdf.

4. Access to Information Policy in the Federal Government—Requesters' Personal Information Safeguard

Commitment Text:

Ensure requester's personal information safeguard, whenever necessary, by means of adjustments in procedures

The commitment seeks to contribute for the safeguard of the access to information requester´s personal data, whenever there is an identity disclosure, which may provoke a differentiated treatment. It also intends to carry out legal studies and international comparisons, so that it can open room for a public information requesting model which may be compatible with the current law and that may disclose only the least necessary information about requesters, with the intent of guaranteeing neutrality while disclosing information.

More specifically, the commitment was set out to achieve the following milestones:

4.1 – Legal Study (to guide the regulatory change)
4.2 – International comparative study on how the requester´s personal information safeguarding works, with its implications
4.3 – Rule(s) about requesters´ personal information processing
4.4 – Defensible situations establishment
4.5 – Proceeding review, whenever situations can happen anonymously, and access information system implementation
4.6 – Undersigning arrangement, in order to safeguard requesters´ personal information, taking into account the studies related to the subject
4.7 – Results evaluation

Responsible institution: Ministry of Transparency, Oversight and Comptroller General of Brazil

Supporting institutions: Ministry of Planning, Development and Management, Joint Committee of Information Reassessment, Ministry of Justice and Citizenship, Chamber of Deputies, Article 19, Getúlio Vargas Foundation, Transparency International, Brazilian Association of Investigative Journalism, Mr. Francisco Leali

Start Date: December 2016 ..   End Date: July 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Midterm / End of Term	Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed		Worsened	Did Not Change	Marginal	Major	Outstanding
4. Neutral Access to Information Policy			✔		✔						✔			✔ (Midterm) ✔ (End of Term)						✔		

Commitment Aim:

Commitment 4 addressed the need to protect the personal details of requesters of public information. Such personal data can be used by the government to deny answering an information request or for ulterior purposes. The commitment aimed to ensure that requesters' personal information is safeguarded whenever possible. This may prevent deferential treatment and ensure a neutral access-to-information policy.

Status

Midterm: Limited

The commitment saw a limited level of completion and was behind schedule. The government completed Milestones 4.1 and 4.2. Those milestones involved a legal study on how to adjust the government's policy to the commitment needs and a comparative study on safeguarding requesters' personal information. Milestone 4.4 was underway. It involved rules regarding requesters' information. The government had drafted these rules, but the process was paused by a legal consulting unit. The rules are under revision. The other milestones had not been started.

End of term: Limited

Milestones 4.1–4.4 were completed, while Milestones 4.5–4.6 are underway. Milestone 4.7 was not completed. Therefore, the level of completion is limited.

Milestones 4.3 and 4.4 involved a regulatory change to ensure the safeguarding of requesters' personal information. The regulatory change also would detail cases in which requesters' personal information could be kept by public authorities. The milestones were completed, but the government did so by using a different strategy. It originally planned to modify Presidential Decree D. 7.724/12, which, as explained in Commitment 3, was denied by the Ombudsperson-General of the Union (OGU). As is the case with Commitment 3, the OGU suggested that Law 13.460/2017—the Public Service Users Code of Use, approved by Congress in 2017—had provisions in its Article 10 that could be used in favor of the commitment. The article brought provisions that made safeguarding requesters' personal information possible.[1]

Milestones 4.5 and 4.7 involve the implementation phase, which includes updating the freedom of information process to protect requesters' personal information (4.5) and an evaluation of the process results (4.7). According to the government,[2] it initiated the task but did not implement it. Both milestones are therefore considered not achieved.

Milestone 4.6 involves a petition or study to support the regulatory change needed. Given that the commitment was achieved using an alternative plan, the government considered the milestone not necessary. Due to that, the IRM researcher considers the milestone null.

Did It Open Government?

Access to Information: Marginal

Before the commitment started, it was not possible to ensure requesters' personal information would be safeguarded. As part of the commitment, the legal framework to protect requesters' information changed, but the policy was not fully implemented. In spite of the limited completion, both government and civil society representatives (Marcelo Vidal and Joara Marchezini from the Ministry of Planning, Development and Management and from the organization Article 19, respectively) consider the contribution relevant to open government.

Carried Forward?

The commitment was not included in the fourth action plan. The government has stated that the implementation and evaluation of the procedures to implement the remaining milestones are ongoing.[3] Considering the limited completion of the commitment, it is critical that the government continue the policy implementation and proceed with the evaluation of its results.

1 Presidency of the Republic, http://www.planalto.gov.br/ccivil_03/_ato2015-2018/2017/Lei/L13460.htm.

2 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Acesso-Informacao/Apresentacao/2018-22-jun-rse-4.pdf.

3 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

5. Effectiveness of National Policy for Social Participation Mechanisms

Commitment Text:

Integrate online tools on a single platform, in order to consolidate/strengthen the Social Participation System (SPS).

The commitment essentially aims at defining ways of implementing initiatives, which are able of developing the current social participation paradigm. For that, it is necessary to foster free digital technology use and transparency tools, integrated to social participation mechanisms used in concrete government actions and focused on citizens' needs.

More specifically, the commitment was set out to achieve the following milestones:

5.1 – Workgroup formation, with civil society and government representatives
5.2 – Social Participation System online interaction tool and Best Practices inventory taking
5.3 – Hackathon, for creating citizen-driven interaction solutions in social participation platforms
5.4 – Monitoring and evaluation strategy development for social participation mechanisms, allowing data opening and interaction among actors
5.5 – Definition of a single platform structure, as well as the content of the available information
5.6 – Platform testing
5.7 – Platform strengthening
5.8 – Platform launch

Responsible institution: Government Secretariat

Supporting institutions: Ministry of Transparency, Oversight and Comptroller General of Brazil, Ministry of Planning, Development and Management, Democratic City, Institute Polis, University of Campinas, Health National Council

Start Date: December 2016 .   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion			Midterm End of Term	Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
5. Effective Mechanisms for Social Participation			✔			✔		✔		✔				✔				✔			
														✔							

Commitment Aim:

The federal government offers a variety of mechanisms for public participation, but their use by civil society is scarce. To address this issue, the government sought to integrate online

participation tools into a single platform that would strengthen the Social Participation System (a set of participatory mechanisms run by the Government Secretariat).

Status

Midterm: Limited

The commitment saw limited completion and was behind schedule. The government completed Milestone 5.1, involving the formation of a collaborative working group. Milestone 5.2 was underway. It involves an inventory of tools and best practices of social participation systems, which was pending publication. Milestones 5.3–5.8 had not been started.

End of term: Limited

The government completed Milestone 5.1; Milestone 5.2 is partially complete. Milestones 5.3–5.8 were not completed. Therefore, the level of completion is limited.

According to government responses to the IRM researcher survey, the list for Milestone 5.2 was based on an internal consultation with other government agencies. No public source was provided. The government reported in its self-assessment report that it completed the inventory list with the aid of another government agency (Secretary of Communications). It also noted that best practices were included in the new government digital communication standard identity, published in 2018.[1] The IRM researcher consulted the mentioned portal and found no evidence of best practices. The portal does not mention public participation, and no specific guidelines on these topics could be found. Therefore, the milestone is considered not achieved.

Milestone 5.3 calls for a hackathon to occur during implementation to co-create solutions on social participation. The government considered the activity not necessary, since the government directly defined the tools to be implemented on the online platform. Due to the change, which was not formally communicated as an update of the milestone content, the milestone is considered not started.

Milestones 5.4–5.8 involve the implementation of ways to integrate social participation mechanisms in government websites. The government mentioned that a pilot website was under construction, but at the end of the implementation period, no evidence of the website could be found. Therefore, these milestones were not achieved.

Did It Open Government?

Civic Participation: Did Not Change

The problem identified by the commitment involved the fragmentation of mechanisms of civic participation available for citizens to review government websites. The commitment sought to promote citizen-centered opportunities to strengthen the Social Participation System. Due to the limited completion of the commitment, no change in the status quo had taken place by the end of the implementation period.

Carried Forward?

This commitment did not carry over into the fourth national action plan. The government has stated that a pilot website is underway and that a working group with civil society will be created soon.

1 "Government Launches New Digital Communication Standard Identity," Federal Government, http://www.portalpadrao.gov.br/noticias/governo-lanca-a-nova-identidade-padrao-de-comunicacao-digital.

6. Digital Educational Resources

Commitment Text:

Establish a new model for assessing, purchasing, fostering and distributing Digital Educational Resources (RED), in the context of digital culture.

The commitment seeks to incorporate the potential of digital culture into the educational policy, in order to foster the use of digital educational resources. In this context, the commitment built aims to overcome difficulties related to the lack of infrastructure, teachers´ training, content making and digital resources, with the goal of having a new RED model for evaluation, acquisition, development and distribution.

More specifically, the commitment was set out to achieve the following milestones:

6.1 – National mobilization through regional meetings, for establishing a network with researchers, managers, teachers and entrepreneurs, in order to produce evaluation benchmarks and RED's decentralized curatorial process
6.2 – Network established
6.3 – Evaluation parameters and curatorship propositions are designed by the Network participants
6.4 – Evaluation platform and a set of plural and diverse digital educational resources release, prioritizing their continuous use and adaptation
6.5 – New acquisition model proposal submission for public consultation

Responsible institution: Ministry of Education

Supporting institutions: Coordination for the Improvement of Higher Education Personnel (CAPES), Educational Development National Fund (FNDE), Educational Research National Institute (INEP), Secretary of Education of the State of Ceará, Secretary of Education of the State of Acre, Educational Action, Innovation Center for Brazilian Education, EducaDigital, Veduca

Start Date: December 2016 ..   End Date: June 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm / End of Term		Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
6. Digital Educational Resources				✔	✔	✔		✔				✔			✔ (midterm)	✔ (end of term)					✔

Commitment Aim:

This commitment aimed to foster the use of digital educational resources. This would be achieved by establishing a new model for assessing, purchasing, promoting, and distributing open educational resources (OER). "OER" broadly refers to educational materials used for teaching, learning, and research in any medium—digital or otherwise. This new model could address the current lack of infrastructure, training, content production, and digital material related to OER. These materials reside in the public domain or have been released under an open license that permits free access, use, adaptation, and redistribution with limited or no restrictions.[1]

Status

Midterm: Substantial

The commitment saw substantial completion, and it was on schedule. The government completed Milestones 6.1–6.3. The government had engaged in national mobilization around the establishment of a participatory network. This network developed evaluation benchmarks and a decentralized selection process for producing, selecting, and evaluating digital educational resources (Milestones 6.1 and 6.2). The government also presented a draft version of the methodology to analyze and curate digital educational materials (Milestone 6.3). Milestone 6.4 was underway. The government had undertaken the creation of a platform with digital educational resources and was waiting to measure whether there was increased use . Milestone 6.5 had not been initiated.

End of term: Complete

The government completed all milestones by the end of the term.

Milestone 6.4 involves the delivery of an evaluation platform for open educational resources (OER) and the release of diverse digital educational resources. The digital platform[2] was started during the launch of a broad policy program to promote the use of connectivity and digital tools in schools (Presidential Decree 9.204/17).[3] The website allows users to search for OER materials, OER online courses, and collections created by government and/or citizens. There are 28,000 OER materials already on the platform.[4] Future plans include allowing users to upload their own OER materials and having their uploads curated by other educational experts.

Milestone 6.5 calls on the government to write a new acquisition model of OER materials and to submit this draft for public consultation. The material was created, and consultation took place in at least two public hearings.[5] Both hearings featured positive feedback from citizens.[6]

Did It Open Government?

Access to Information: Outstanding
Civic Participation: Major

The commitment aimed to transform the wide support for open educational resources (OER) into policy changes and to share OER materials. The OER community supported the project. This community includes not only government members, but also civil society groups that, since 2008, have hosted the REA.br network. The network represents one of the first initiatives in Brazil to foster open education and the use of open educational resources.[7]

The achievements of the commitment include not only a legal mandate that the government acquire OER materials in schools, but also evidence of the following key contributions to open government: (a) Government funds have been allocated to purchase OER. This purchase constitutes the largest purchase order for open educational resources in 2019. The

purchase directly benefits more than 100,000 schools and 29 million students.[8] (b) Government funds have been allocated to invest further in the OER platform. This investment includes 4 million reais (around $1 million US) to allow users to upload content and have their material evaluated by educators and other experts.[9] (c) Partnerships have been established with more than 15 portals from the private sector and civil society organizations (CSOs) to deliver OER materials to their own networks of educators and students.[10] (d) The government promoted co-creation of deliverables and opportunities with CSOs.[11] This effort included hosting an active working group that met regularly.[12] (e) The government also promoted the Brazilian experience abroad and collected OER best practices in international forums.[13]

There was other evidence of the commitment's results: The government drafted a policy provision to promote the use of creative common licenses in educational materials and research grants funded with public resources.[14] It created best practices and guidelines for educators and students to understand how to promote OER practices in their institutions.[15] The government also drafted a presidential decree that associates the use of OER with connectivity and internet use in schools.[16]

The progress on access to information can be coded as outstanding, considering that the advances in open data in the government involved a cultural change. That change included reducing the cost of making public service information available to citizens (e.g., educational materials are available online by default and can be reedited by educators as necessary). The change also involved making data in education open by default. The new status quo moves the transparency agenda one step further (e.g., open processes become the rule regarding how public service is delivered, rather than the exception). Evidence of the paradigm change includes the allocation of a budget to invest in OER rather than copyrighted (and not freely distributed online) materials. Evidence is also demonstrated by the use of civic mechanisms of participation and co-creation fora to promote the use of these resources.

Carried Forward?

This commitment did not carry over into the following action plan. The overall area of the commitment was not included as one of the top areas for consultation in the new action plan. This omission might indicate that the open government culture is well implemented in this case, as government and civil society actors have been working on OER since 2003.[17]

1 Center for Educational Research and Innovation, *Giving Knowledge for Free: The Emergence of Open Educational Resources,* 2007, https://www.oecd.org/edu/ceri/38654317.pdf.

2 Plataforma Mec, Digital Educational Resources, https://plataformaintegrada.mec.gov.br/home.

3 Presidency of the Republic, http://www.planalto.gov.br/ccivil_03/_ato2015-2018/2017/decreto/D9204.htm.

4 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report,* http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Recursos%20Educacionais%20Digitais/Pagina-Inicial/2018-20-jun-rse_6.pdf.

5 Audiencia Publica—PNLD 2019, 22 June 2017, https://www.youtube.com/watch?v=r-EYSTsDAgQ; and Camara dos Duptados, *51447 Reuniao de Comparecimento de Ministro,* 5 September 2018, http://www2.camara.leg.br/atividade-legislativa/comissoes/comissoes-permanentes/ce/documentos-1/notas-taquigraficas/09-05-18-comparecimento-de-ministro-ministro-da-educacao-rossieli-soares-da-silva/view.

6 PNLD 2019 com REA—Audiencia Publica, Google Froups, email exchange on their mailing list, June 2017, https://groups.google.com/forum/#!topic/rea-lista/eYkMgjK3ZEI.

7 Open Education Initiative, http://www.rea.net.br/site/historia/.

8 EducaDigital, http://www.educadigital.org.br/site/rea-avanca-em-acoes-no-mec/.

9 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report,* http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/Recursos%20Educacionais%20Digitais/Pagina-Inicial/2018-20-jun-rse_6.pdf.

10 Plataforma Mec, https://plataformaintegrada.mec.gov.br/sobre.

11 UNESCO Open Education Chair, "Here Come the Largest Open Education Action in Brazil," EducaDigital, 2 October 2016, http://www.educadigital.org.br/site/vem-ai-a-maior-acao-de-educacao-aberta-do-brasil/.

12 "MEC Holds First Meeting of OER WG," Open Education Initiative, http://aberta.org.br/mec-realiza-1a-reuniao-do-gt-de-rea/.

13 Marineli Joaquim Meier, Henrique Oliveira Silva, Aline Fornari, and Giseli Campos Gaioski Leal, "Recursos Educacionais Abertos: Revisao Integrativa do II Congresso Mundial de REA," *Inc.Soc., Brasilia, DF* 10, no. 1 (2016): 84–104, http://revista.ibict.br/inclusao/article/viewFile/4174/3645.

14 "MEC Publishes Ordinance on Open Educational Resources," Open Education Initiative, http://aberta.org.br/mec-publica-portaria-sobre-recursos-educacionais-abertos/.

15 "Como Implementar uma Politica de Educacao Aberta," Open Education Initiative, http://educadigital.org.br/guiaEA/.

16 "Brazilian Digital Strategy Highlights Open Educational Resources (OER)," Open Education Initiative, http://aberta.org.br/estrategia-digital-brasileira-destaca-recursos-educacionais-abertos-rea/.

17 "Definition of Themes—4th Action Plan," Transparency Portal, http://governoaberto.cgu.gov.br/no-brasil/planos-de-acao-1/copy_of_3o-plano-de-acao-brasileiro/definicao-dos-temas.

7. Open Data and Information Governance in Health

Commitment Text:

Make available answers to requests for access to information, registered over the last 4 years, on an active transparency platform and increase the number of indicators and data of the Strategic Management Support Room (SAGE), being under civil society oversight.

The commitment aims to continuously increase health open data availability for society, in order to fulfil open government directives and social requests, considering that it takes great effort for bettering data collection, validation and dissemination, besides the development of proper technologies. Not only will be increased the number of indicators and the pieces of information related with management and knowledge generation in the scope of the Strategic Management Support Room /SAGE/Ministry of Health, but also the answers to the requests for access to information from the last 4 years will be made available.

More specifically, the commitment was set out to achieve the following milestones:

7.1 – Answered Information Request gathering (from 2012 to 2015)
7.2 – Analysis and categorization of Information Requests (when structured – SAGE; when non-structured – FAQ)
7.3 – System analysis, in order to check platform hosting
7.4 – Setting of data feeding flow at the platform
7.5 – Platform feeding (and/or SAGE)
7.6 – Platform launch

Responsible institution: Ministry of Health

Supporting institutions: Federal Prosecution Service, Oswaldo Cruz Foundation, Planning Company of the Federal District, Secretary of Health of the Municipality of Manaus, Brazilian Association of Public Health (Abrasco), Federal University of Minas Gerais (UFMG), University of Brasília, Article 19, Brazilian Center for Studies on Health, Institute of Social Economic Studies (Inesc)

Start Date: December 2016 ..   End Date: October 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Did It Open Government?				
														Midterm							
														End of Term							
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
7. Open Data and Information Governance in Health			✔		✔			✔			✔			✔				✔			
														✔							

Commitment Aim:

The commitment aimed to expand the quantity of open data health records and to improve indicators for managing and planning health services. Specifically, the government planned to publish the responses to access-to-information requests over the past four years. This information would be published on a transparency platform. The government also planned to increase the number of indicators and the amount of data used for strategic decisions.

Status

Midterm: Limited

The commitment saw limited completion and was behind schedule. Milestones 7.1 and 7.3 were initiated. They involve data collected for analysis of information requests from 2012 to 2015 (7.1). Besides the collection of information, the government made no progress. The delay on these milestones also delayed the completion of the analysis and categorization of information requests (7.2). Thus, Milestone 7.2 also showed limited completion. The government did not start Milestones 7.4–7.6.

End of term: Limited

The government reported it has completed Milestones 7.1 and 7.2. However, limited public information exists to validate the milestones' completion. Milestones 7.3–7.5 are underway, with limited implementation. Milestone 7.6 was not completed. Therefore, the commitment has a limited completion status.

Milestone 7.1 involved the collection of responses to information requests from 2012 to 2015, and the government states it has completed the task. The database is not published, but there is evidence from implementation meetings that almost 200,000 information requests were included in the database.[1]

Milestone 7.2 involved the analysis and categorization of information requests. The government has argued that no methodology was available in-house to complete the task. It also stated that an agreement term was established with a public university (Federal University of Minas Gerais) to perform the task, which was carried out. The IRM researcher could not independently verify the term of agreement's content. However, the government mentions the activity in implementation monitoring meeting notes.[2]

Milestones 7.3 to 7.5 involved the upgrade of one major government health platform (digiSUS)[3] to replace the strategic and operational activities developed in another portal (Strategic Management Support Room, SAGE)[4]. The new digiSUS Gestor portal[5] was designed to make use of data to promote the planning, analysis, and monitoring of health system indicators. Milestone 7.3 involved a pre-analysis of requirements needed to launch the portal. The government states that this stage was completed,[6] but there is no public source to validate that completion. Milestones 7.4 and 7.5 involve a data feed to insert information in the platform, and the government said that those milestones are partially complete.[7] The IRM researcher accessed the portal. It has three main tasks: planning, analysis, and monitoring. The monitoring section is still inactive. The planning section has several indicators with outdated data (e.g., the last available information is from 2015). The analysis section has one thematic area (i.e., mortality). There is no method to download the data or analyze it. However, the platform provides graphics.

Milestone 7.6 involves the platform launch. There is evidence of the promotion of the new platform at a municipal public health conference[8] and at government meetings.[9] However, the IRM researcher found no evidence of a major platform launch.

In the mid-term report, the government mentioned it had updated the milestones of the commitment. Because the milestones were not submitted to OGP as updates, they are not being evaluated in this report. The milestones that were to be updated involved (a) provision to open datasets related to two vulnerable populations (Quilombolas and indigenous populations) and (b) the launch of a collaborative platform with the data. The last implementation monitoring report of the commitment also included a third goal: to associate these data with the United Nations Sustainable Development Goals.[10] The IRM researcher notes that some advances on the commitment was made. They were either included in the SAGE system or mentioned as government-led achievements that could not, independently, be verified.

Did It Open Government?

Access to Information: Did Not Change

The commitment aimed to expand the quantity of open data health records and to improve indicators for managing and planning health services. The milestones of the commitment related to planning could not be independently verified. The platform launched as part of the commitment has no updated data. Similar data was already included in the previous Strategic Management Support Room website. Thus, the commitment did not change government practices. Moreover, no contribution from civil society was received, or could be found, to evaluate the contributions of the commitment.

Carried Forward?

This commitment was not included in the fourth national action plan. The overall area of the commitment (i.e., health open data and transparency) was not included as one of the top areas for consultation in the next action plan.[11] Regarding the implementation of the incomplete milestones, the government has stated that the digiSUS Gestor portal will be completed. It also stated that the analysis of freedom of information requests will be completed in partnership with a public university.[12]

1 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/saude/saude/2018-21-junho-rse_7.pdf.

2 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

3 Ministry of Health, Brazilian Government Portal, http://portalms.saude.gov.br/busca?ordering=newest&limit=20&areas[0]=contenttags&searchword=DigiSUS.

4 SAGE, Ministry of Health, http://sage.saude.gov.br/.

5 DigiSUS Gestor, Health, http://digisus.saude.gov.br/gestor/#/.

6 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

7 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

8 "Programming," National Congress, https://www.conasems.org.br/congresso/programacao.php.

9 Ministry of Health, *3ª Reunião Ordinária da Comissão Intergestores Tripartite/2018,* 22 March 2018, https://goo.gl/FHHSSW.

10 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

11 "Definition of Themes—4th Action Plan," Transparency Portal, http://governoaberto.cgu.gov.br/no-brasil/planos-de-acao-1/copy_of_3o-plano-de-acao-brasileiro/definicao-dos-temas.

12 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

8. Prevention of Torture and Mean, Inhumane, or Humiliating Treatments in the Penitentiary System

Commitment Text:

Implement a unified and open format computerized prison inspection system, ensuring civil society participation in its development and management.

The commitment seeks to essentially provide an open format national data base that is generated from inspections carried out by several actors in the prison system, which promotes an improvement in the work of collecting, managing and organizing data and information on the national penitentiary system and that can be able to provide quality subsides for an effective social participation.

More specifically, the commitment was set out to achieve the following milestones:

8.1 – Key players mapping and workgroup stakeholders´ establishment
8.2 – Workgroup establishment, with the assignment of defining a standardized form and inspection report database, taking into account institutional particularities
8.3 – Public consultation promoting on the form fields
8.4 – Enhancement development and implementation
8.5 – Launch System
8.6 – Mobilization, and other organizations engagement, in order to integrate the system
8.7 – Training institution on inspections

Responsible institution: Ministry of Justice and Citizenship

Supporting institutions: National Justice Council, Ombudsman of Public Defender's Office of the State of São Paulo, Torture Prevention and Combat National Mechanism (MNPCT), University of Brasília, Correctional Pastoral, Association of Judges for Democracy (AJD), Association for the Prevention of Torture (APT)

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Did It Open Government?		
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal
8. Prevention of Torture and Cruel, Inhumane, or Degrading Treatments in the Penitentiary System				✔	✔	✔		✔				✔		✔				✔	
														✔					

Commitment Aim:

The penitentiary system in Brazil lacks a centralized, updated, and coherent data system. The commitment aimed to implement an integrated, open-format, computerized prison inspection system that the public can access. The commitment also called for civil society participation in the system's development and management.

Status

Midterm: Limited

The government made limited progress on this commitment, and it was behind schedule. Milestones 8.1–8.4 had begun at midterm, but with limited progress. The government mapped key players to form a working group (8.1), but it had not created the group (8.2). The government submitted a document with data collection filters for public consultation (8.3). However, the consultation process was limited and did not garner much feedback. As for the development and implementation of the system (8.4), the government published a call for proposals to select a civil society organization to help, but received no candidates to apply for it. The other milestones (8.5–8.7) were not started.

End of term: Limited

Milestones 8.1–8.2 and 8.6 are under development, with limited implementation. The remaining milestones (8.3–8.5 and 8.7) were not started. Therefore, the commitment achieved limited completion.

As stated by the government in the monitoring report, Milestones 8.3, 8.4, 8.5, and 8.7 were not started, and the IRM researcher could not find evidence of completion.

Milestones 8.1 and 8.2 involved mapping key players and establishing the working group. In the midterm report, the government reported this task as complete. However, civil society representatives defined the task as having limited completion. The government has not replied to the IRM research survey, and based on internet searches, no public record of the working group meetings could be found.

Milestone 8.6 involves engagement and mobilization activities to integrate the tasks. The government launched a call for proposals in September 2017[1] to select and coordinate with the civil society organization that would be devoted to this task. The proposal offered high compensation (600,000 reais), but after three attempts, no successful bidder was selected.[2]

Did It Open Government?

Access to Information: Did Not Change
Civic Participation: Did Not Change

Due to the limited deployment of the commitment, activities associated with the commitment could not be evaluated. Therefore, no change in the status quo can be attributed to the activities carried out during the implementation period.

Carried Forward?

The government did not carry forward this commitment into the new national action plan. No theme directly related to this commitment was included in the top areas open for consultation for the new plan. Considering that the completion of the commitment is limited, it is critical that the government move forward to launch and implement the integrated system. In

particular, this requires finding a new partner to deliver the standardized form and inspection report database.

1 "Depen Launches Public Call Notice for Innovation and Data Entry in Prison Inspections," Ministry of Justice, Brazil Federal Government, 22 October 2018, http://depen.gov.br/DEPEN/noticias-1/noticias/depen-lanca-edital-de-chamamento-publico-para-inovacao-e-abertura-de-dados-nas-inspecoes-prisionais-1.

2 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/tortura/Apresentacao/2018-16-julho-rse_8.pdf.

9. Innovation Spaces for Management in Public Services

Commitment Text:

Consolidate an Open Network at the civil service, under a collaborative and transparent way with society.

The commitment concerns the improvement of public management and public service delivery, in the context of the Federal Government, by means of collaboratively creating and promoting innovative tools and methods. Taking this perspective into account, it is aims at Strengthening of open innovation initiatives at the public sector through a network consolidation, which stimulates a cooperative and transparent action between government and society.

More specifically, the commitment was set out to achieve the following milestones:

9.1 – Innovation Network manifesto instituting, with the participation of society (workshops & online consultation)
9.2 – Training activities promotion and support (one per semester), experience exchange and best practice dissemination (4 activities)
9.3 – Innovation Network capillarisation (communication) - (activation, mobilization and engagement)
9.4 – Range society ways of interacting at innovation processes to the civil service
9.5 – I Innovation Network Meeting, with the civil society (manifesto, initiatives) - (regional simultaneous events)
9.6 – Platform consolidation, in order to: register existing innovative experiences make available tool repository, processes and easy access methodologies
*9.7 – II Innovation Network Meeting*

Responsible institution: Ministry of Planning, Development and Management

Supporting institutions: Ministry of Justice and Citizenship, National School of Public Administration (ENAP), Government Secretariat, Hacker Laboratory – Chamber of Deputies, Ministry of Health, National Sanitary Surveillance Agency (ANVISA), Department of Public Policy Analysis (FGV/DAPP), Ceweb.br, Public Agenda, Columbia Center (Rio), Wenovate – Open Innovation Center, Ms. Bruna Santos, University of São Paulo/Co-Laboratory of Development and Participation (COLAB)

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm / End of Term		Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
9. Spaces for Innovation in			✔			✔				✔					✔				✔		
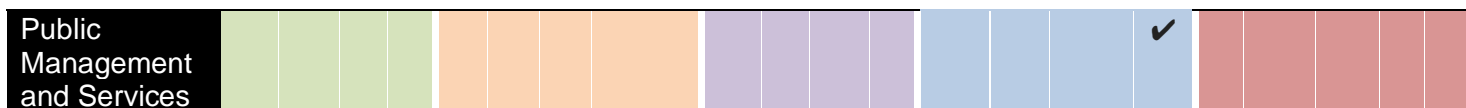
✔

Commitment Aim:

The commitment aimed to address the lack of coherent support for government innovation by expanding open innovation practices in the public sector, with multi-stakeholder engagement. The government sought to establish an open network within the civil service through collaboration with civil society. The government expected the network to create and promote innovative tools and methods for public management and the provision of public services at the federal level.

Status

Midterm: Substantial

The commitment showed substantial completion. Milestones 9.1–9.7 were underway. They included the publication of an innovation manifesto (9.1), which was under final consultation. These milestones also included four training activities (9.2) that were partially completed and awareness-raising activities in amongst their network peers (9.3). The awareness-raising activities were underway and scheduled to last until the end of the commitment. Milestones 9.4–9.6 were less specific, which made it difficult to assess them in detail. Milestone 9.4 involved the consolidation of a portal that documents existing innovative initiatives and tools. Milestone 9.5 concerned the organization of an in-site event, with representatives from different states and cities, and Milestone 9.6 concerned the publication of a library of documents. Most milestone activities extended along the timeline for the whole commitment. Milestone 9.7, involving the II Innovation Network meeting, was completed in November 2017, during the second year of implementation.

End of term: Complete

The government completed all milestones.

Milestone 9.1 involved the publication of an innovation manifesto, which was published in 2018 at their regular network event host every year.[1]

Milestone 9.2 involved the implementation of four training activities to exchange experiences and disseminate best practices.[2] The government completed three of these activities before the midterm report. The remaining training activities were completed as planned in 2018. At these activities, actors from different sectors received training on and shared experiences of working with innovation practices in the public sector.[3]

Milestone 9.3 involved regular communication activities on the project website. This task was completed. The blog, in particular, received regular contributions every month in 2018[4] from civil society and a wide range of government institutions.

Milestones 9.4 and 9.6 were less specific, which made it difficult to assess their completion status. Milestone 9.4 aimed to systematize public interaction with the civil service, while Milestone 9.6 involved the consolidation of a portal that documents existing innovative initiatives and tools. However, the IRM researcher found evidence of complete activities in both cases. The IRM researcher had access to the library of projects and ideas[5] and working group activities,[6] the Twitter account with 2,100 followers,[7] and a WhatsApp group with 200 users.

Milestone 9.5 involved the organization of the I Innovation Network Meeting, and Milestone 9.7 involved a second edition of the same event, which occurred in October 2017, as scheduled.[8]

Did It Open Government?

Civic Participation: Marginal

The commitment aimed to address the lack of coherent support for government innovation by expanding open innovation practices in the public sector with multi-stakeholder engagement. The government planned to establish an open network within the civil service through collaboration with civil society. By the end of the commitment's timeline, the updated network included 59 institutional members, 28 percent of which came from civil society. Public statements came from, for example, BrazilLab[9] and Brazilian Association of Lawtech and LegalTech.[10] Communication among members of the network is frequent and open. Such communication indicates that a contribution to civic participation in public innovation was achieved (considering the previous status quo, where no periodic and planned civic participation existed).

Carried Forward?

The government did not include this commitment in the fourth national action plan. The network, however, is still active. The 2018 yearly event took place in November 2018.[11]

1 Izabel Garcia, "On the Net Swing," InovaGov, 1 March 2018, http://inova.gov.br/no-balanco-da-rede-inside-story/.

2 "Projeto InovaGov—Colaboratorio (1st Econtro)," InovaGov Rede de Inovacao no Setor Publico, Youtube Channel, 22 March 2018, https://www.youtube.com/watch?v=pCIAJ5J1e8Y.

3 InovaGov, https://www.enap.gov.br/index.php/pt/noticias/inovagov-evento-bola-na-rede-debate-sobre-qualidade-do-servico-na-administracao-publica.

4 Talita Dantas, "Registration Open for Workshop Directors," InovaGov, 21 August 2018, http://inova.gov.br/abertas-as-inscricoes-para-realizadores-de-oficinas/.

5 Josivania Farias, "Young, Bold, Hard Working, Ambitious and Likes Encouragement: Her Name Is … 'Start Up,'" InovaGov, 22 June 2019, http://inova.gov.br/publicacoes/.

6 "Groups," InovaGov, http://inova.gov.br/grupos/.

7 InovaGov Twitter page, https://twitter.com/InovaGovBr.

8 "Weeks of Innovation," InovaGov, http://inova.gov.br/semanas-de-inovacao/.

9 "Why Brazil Needs Startups—and a digital government," BrazilLab, 26 October 2018, https://brazillab.org.br/noticias/por-que-o-brasil-precisa-das-startups-e-de-um-governo-digital.

10 "Innovation in Government: A Team Sport," AB2L, 7 September 2018, https://www.ab2l.org.br/inovacao-em-governo-um-esporte-coletivo/.

11 "Public Service for the Future," Government of Brazil, http://www.planejamento.gov.br/semana.

10. Assessment and Streamline of Public Services
Commitment Text:

Undertake inventory of Federal Executive Branch services and implement an assessment through mechanisms of satisfaction, prioritizing services.

The commitment aimed to Find ways of disseminating information about public policies and services, whilst developing and enhancing methods and evaluation tools, fostering a more effective social participation, with the intent of facing two big problems: i) disarticulation between government and civil society; ii) neediness of information by citizens.

More specifically, the commitment was set out to achieve the following milestones:

10.1 – Platform for inventory and methodology, with manual
10.2 – Content scope definition – arrange a meeting, in order to establish a research scope with the civil society about the evaluation content
10.3 – Conduct research and analysis functionality requirements for the implementation of evaluation mechanisms at the Service Portal
10.4 – Data inclusion by organizations at the Portal, in accordance with methodology/standards set
10.5 – Implementation – joint effort between the Ministry and the civil society, in order to develop Portal functionality and a library for open applications (this content needs to be discussed for the functionality)
10.6 – Diffusion - joint effort with the civil society for promoting diffusion actions
10.7 – Making user evaluation device and its outcomes available

Responsible institution: Ministry of Planning, Development, and Management

Supporting institutions: Ministry of Transparency, Oversight and Comptroller General of Brazil, Brazilian Telecommunications Agency (Anatel), Government Secretariat , Ministry of Justice and Citizenship, Brazilian Micro and Small Enterprises Support Service (SEBRAE), Brazilian Institute for Consumer Defense (Idec), MariaLab Hackerspace, Reclame Aqui, Proteste, Microsoft

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm		Did It Open Government?				
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	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
10. Evaluation and Simplification of Public Services			✔		✔	✔		✔		✔				✔					✔		
																✔					

Commitment Aim:

This commitment aimed to improve public service delivery by increasing accessibility to review public services online and increasing citizens' use of these tools. To achieve these goals, the government committed to develop an inventory of online services provided by the federal executive branch. In particular, the government would gather information on tools available for citizens to evaluate public service delivery. The government also committed to implementing changes to make it easier for citizens to provide feedback on the public service experience.

Status

Midterm: Limited

The commitment saw limited completion and was behind schedule. Milestones 10.1 and 10.2 were completed with the deployment of a platform for the inventory and methodologies involved in the commitment (10.1). The scope of the website content was also defined (10.2). Milestone 10.3 was underway; it involved research based on required functionalities for the platform. Milestones 10.4–10.7 had not been started.

End of term: Complete

All milestones have been completed.

Milestones 10.3–10.5 involved internal activities related to the release of the portal. The IRM researcher found no public evidence of delivery other than government officials' statements.[1] Milestone 10.3 involved the research and analysis necessary for portal implementation. Milestone 10.4 involved adding datasets of public services and their agencies in the portal, and Milestone 10.5 involved implementing the portal.

The IRM researcher could not verify completion information directly. However, it is possible to infer that the stages were executed to some extent. The portal indicators note that 1,751 services are included for citizens' access,[2] and the IRM researcher tested five of them. The information displayed is, as predicted, a summary of information related to each service, including estimated time of response and key contact entry points. There is also simplified access to report issues or requests related to each tool, a service provided by the executive branch ombudsperson system, e-OUV.

Milestone 10.6 involved the promotion of the platform among users. The IRM researcher found evidence of a communication campaign inside government news venues.[3] The government mentions in the monitoring report that a minor campaign has been promoted on social media. Considering that the milestone, as described, does not define the size or reach of the planned campaign, the milestone is considered complete.

Milestone 10.7 involves making public the evaluations from users and creating a dedicated web page in the portal to display indicators of such use.[4] In the portal it is also possible to rank institutions according to satisfaction index and other variables, including the number of feedbacks from users (864) and the average response time (currently 59 days).

Did It Open Government?

Access to Information: Marginal
Civic Participation: Marginal
Public accountability: Marginal

The commitment aimed to improve public service by making it easier for citizens to provide online feedback on public service delivery. To achieve this goal, the government undertook an inventory of federal executive branch online services and centralized the channels for citizens to rank and evaluate public service delivery.

Regarding advances in access to information, information portrayed in the portal is better organized and centralized, leading to a marginal improvement in transparency.

Regarding advances in civic participation, the improvement is marginal but present. According to Joelson Vellozo (from the Ministry of Planning, Development, and Management, which is the main body responsible for the milestones' completion), the ability of citizens to more easily evaluate government services and use better feedback services constitutes a major advance in public service delivery. However, the IRM researcher noted that only 864 user opinions had been received so far out of 1,751 services included in the portal. It was also noted that the feedback referred to only 24 percent of services analyzed. A more considerable impact, therefore, would require wider use of the civic participation tools available by citizens.

Carried Forward?

This commitment was not included in the fourth action plan. The main website associated with the commitment, servicos.gov.br, has nonetheless been constantly updated since its launch. Such updating indicates that the commitment might be carried on by the government without a direct link to the OGP agenda.

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1 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/avaliacao/reuniao_meio%20ambiente/2018-23-junrse-10.pdf.

2 "Federal Services Monitoring Dashboard," Governet of Brazil, https://www.servicos.gov.br/painel.

3 Marcelo Brandao, "Federal Government Launches New Digital Services Platform," Agencia Brasil, 23 May 2018, http://agenciabrasil.ebc.com.br/politica/noticia/2018-05/governo-federal-lanca-nova-plataforma-de-servicos-digitais.

4 "Federal Services Monitoring Dashboard," Governet of Brazil.

11. Open Innovation and Transparency in the Legislature
Commitment Text:

Create and publicize a repository for Open Parliament institutionalization, with rules, tools, training, guidelines and practices.

The commitment seeks to join forces of different actors (congressmen, civil servants and civil society) to foster open government actions in the parliament. Among the first initiatives are the mapping of tools, practices and norms that could compose an information repository, and the elaboration of a handbook on guidelines and competences.

More specifically, the commitment was set out to achieve the following milestones:

11.1 – Mapping eligible tools, practices and standards for the repository
11.2 – Guide preparation, which comprises concept, guidelines, processes, and skills governances
11.3 – Integration and dissemination of technologies and selected content to the repository to Interlegis and its products
11.4 – Promoting dissemination and training actions on specific repository products
11.5 – Creation and dissemination of measurement program and awards the performance of homes in the worship of Transparency and Participation practices
11.6 – Open Parliament Annual Conference undertaking and dissemination

Responsible institution: The House of Representatives

Supporting institutions: The Chamber of Deputies, Federal Senate, Interlegis Program, Municipal Chamber of São Paulo, Legislative Assembly of Minas Gerais, Transparency International, Labhacker - São Paulo, Control and Inspection Institute, Inter-Union Department of Statistics and Socioeconomic Studies (DIEESE), Parliamentary Advisory Intersyndical Department (DIAP)

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm / End of Term		Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
11. Open Innovation and Transparency in the Legislature			✔		✔		✔		✔					✔	✔			✔			

Commitment Aim:

This commitment aimed to improve the level of transparency in the legislative houses. Specifically, the commitment involved creating and publishing a repository for Open Parliament tools. This task would create a program that measures and awards transparency and participation practices in the legislature. The commitment also involved hosting an Open Parliament Annual Conference.

Status

Midterm: Limited

The commitment saw limited completion and was behind schedule. Milestones 11.1–11.3 were underway. The mapping of eligible materials for the repository (11.1), the preparation of guidelines (11.2), and the establishment of the repository (11.3) were started. However, these elements had not been made public. According to the government's self-assessment report, those elements were in the early stages. Milestones 11.4–11.6 were either planned but not started yet, or not planned.

End of term: Substantial

Milestones 11.1–11.4 have been completed. Milestones 11.5–11.6 are underway and have had substantial completion. Therefore, the commitment achieved substantial completion.

Milestones 11.1 and 11.2 involved the mapping of content for a repository of tools, practices, and standards (11.1) and the launch of the material (11.2). The government published the material,[1] which included examples of two legislative houses: the national Senate and the state legislative house of Minas Gerais. The milestones included guidelines, tools, and civic tech available to promote, for example, accountability activities, participatory exercises, and an ethical code of conduct. Milestone 11.3 involved dissemination of content developed as part of the previous milestones, as well as a government-run program on open government (i.e., Interlegis). The government launched a website,[2] and it contained user-friendly materials on Open Parliament. Milestone 11.4 involved dissemination activities, which were carried out mainly at events such as the government-led National Open Government Encounter (2017),[3] the State Legislative Houses Union Conference (2018),[4] and municipal legislative events.[5]

Milestones 11.5 and 11.6 are considered partly complete. The first involved a measurement program and awards related to Open Parliament standards. The government has reported that this program and the awards are part of the government-led program Interlegis,[6] which is not public and as such could not be validated by the IRM researcher directly. Milestone 11.6 involved hosting an Open Parliament Annual Conference. The government mentions in the monitoring report that it participated in two events, where it presented the commitment outputs. However, these presentations are different from the activity called for in the commitment: to host a conference specifically on Open Parliament.

Did It Open Government?

Access to Information: Did Not Change

The commitment aimed to improve the level of transparency in the legislative houses. Specifically, the commitment involved creating and publishing a repository for Open Parliament tools (which was completed) and creating a program that measures and awards transparency (not completed). It also called for hosting an Open Parliament Annual Conference (not completed). The IRM researcher found no clear evidence of civil society

participation in the commitment. This confirms comments from the government's implementation monitoring report that mostly government institutions were involved.

Considering that there is no evidence of other legislative houses adopting the best practices designed and promoted as part of the commitment, the impacts on open government are unclear, other than organizing important information related to legislative transparency. The coordinator of Commitment 14 (Rodrigo Correa Ramiro, from the Ministry of Planning, Development, and Management) stated that they accessed and started using the Wikilegis tool.[7] That coordinator's use serves as evidence of how other agencies were incentivized to advance an open government agenda.

Carried Forward?

The government did not carry this commitment forward into the new action plan. However, members of the legislature pushed to include a commitment that involves legislative transparency.

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1 "Open Parliament Guide," Open Parliament, https://www.parlamentoaberto.leg.br/biblioteca/Guia_Parlamento_aberto.pdf/view.

2 Open Parliament, https://www.parlamentoaberto.leg.br/.

3 "House Participates in the 2nd National Open Government Meeting," National Congress Chamber of Deputies, 27 November 2017, http://www2.camara.leg.br/comunicacao/assessoria-de-imprensa/releases/27-11-17-camara-participa-do-2o-encontro-nacional-de-governo-aberto.

4 Camila Ferreira, "UNALE in Action: Open Meeting on Public Governance in Parliaments," UNALE, State Legislative Houses Union Conference 2018, http://unale.org.br/novo/unale-em-acao-aberto-o-encontro-sobre-governanca-publica-nos-parlamentos/.

5 "Events," Sympla, https://www.sympla.com.br/10-engitec---parlamentos-do-futuro__368262.

6 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/parlamento/reuniao_meio%20ambiente/2018-22-jun-rse_11.pdf.

7 Ministry of Planning, Development, and Management, http://www.planejamento.gov.br/acesso-a-informacao/participacao-social/consulta-publica-pda

12. Fostering Open Government in States and Municipalities

Commitment Text:

Implement open government fostering actions, with the engagement of civil society, considering the ongoing experiences in states and municipalities.

The main objective of this commitment is to expand the knowledge of strategic actors from sub-national governmental bodies and civil society organizations on open government tools. Based on this perspective, the action set intends to disseminate good practices related to open government already implemented in states and municipalities, and stimulate a collaborative development of tools for strengthening social participation.

More specifically, the commitment was set out to achieve the following milestones:

12.1 – Open government policies and experiences inventory taking, governmental and non-governmental, with more participation from the civil society
12.2 – Establishment of a set of actions and tools, which contemplates every open government directive, with participation of the civil society
12.3 – Project experiment implementation with the participation of the civil society
12.4 – Formal adjustments of actions and tools, with civil society participation
12.5 – Event to be organized by the government and the civil society, for presenting best practices and tools to managers, and for complying actions, via commitment term
12.6 – Program implementation partial results
12.7 – Open government tools use analysis

Responsible institution: Ministry of Transparency, Oversight and Comptroller General of Brazil

Supporting institutions: Ministry of Planning, Development and Management, Ministry of Science, Technology, Innovation and Communication, Government Secretariat, Interlegis Program, Public Prosecutor's Office, State Government of Mato Grosso, Government of Federal District, City hall of São Paulo, Control and Inspection Institute, Social Observatory of Brasília, Transparency International, Network for Transparency and Social Participation, Brazilian Social Network for Fair and Sustainable Cities

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Midterm / End of Term	Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed		Worsened	Did Not Change	Marginal	Major	Outstanding
12. Fostering Open Government in States and Municipalities			✔		✔	✔		✔		✔				✔						✔		
															✔							

Commitment Aim:

Open government at the federal level has advanced independently from the state and municipal levels. Thus, this commitment aimed to share open government best practices from the federal government with state and local governments, as well as civil society organizations. To achieve that, a toolkit was to be developed and tested in a few subnational administrations. Once the toolkit was improved from previous experience, it would be promoted for broader adoption.

Status

Midterm: Limited

The commitment saw limited completion and was on schedule. Milestones 12.1 and 12.2 had been completed. They involved an inventory of open government policies (12.1) and the establishment of a set of actions and tools (12.2). The government initiated Milestone 12.3 (implementation of a pilot project) but did not implement it. Milestones 12.4–12.7 had not been initiated.

End of term: Substantial

Milestones 12.1–12.4 were completed, while the government considered Milestones 12.5–12.7 not necessary. Therefore, the commitment is considered to be substantially completed.

The implementation of a pilot project with the participation of civil society (Milestone 12.3) was completed. The chosen city was Afogados da Ingazeira (37,000 inhabitants), in the state of Pernambuco,[1] and the work started in November 2017. The program focused on a seminar and promotion of open government tools.

Milestone 12.4 has also been completed. It involved formal adjustments of actions and tools for legislative open government initiatives, with civil society participation. Based on the review of the pilot, the government created the program Pact for Transparency, Integrity, and Civic Participation. The effort includes a four-year program to review transparency tools (e.g., the city transparency portal) and establish corporate responsibility (e.g., increase of contract requirements to allocate public resources to private sector suppliers). To join, municipalities sign a term with the Ministry of Transparency, Oversight, and Comptroller-General. The IRM researcher found evidence that cities had started to do so in mid-2018.[2] As Larissa do Espírito Santo Andrade (from the Ministry of Transparency, Oversight, and Comptroller-General) commented, the government started to prepare the program in October 2017, before the start of the action plan. Santo noted that during implementation, the main improvement concerned learning how to overcome shortcomings related to this and other pilots previously implemented.

The government did not complete Milestones 12.5–12.7 and removed them from the action plan. However, considering that this update was not submitted to OGP, the IRM researcher had to evaluate them as part of the commitment. The government also decided to include the Pact program as part of the commitment. Considering that this change was also not submitted to OGP, the IRM researcher could not evaluate it. However, the IRM researcher did consider the Pact as evidence of the completion of Milestone 12.4.

Did It Open Government?

Access to Information: Did Not Change
Civic Participation: Marginal

The status quo previous to the commitment involved a lack of knowledge of open government tools among strategic actors from subnational governmental bodies and civil society organizations. The implementation of this commitment constitutes a first step, although limited, toward disseminating knowledge and good practices at a subnational level. The pilot results, for example, are limited—as stated by Larissa do Espírito Santo Andrade (from the Ministry of Transparency, Oversight, and Comptroller-General)—despite improvements in the policy service planning and delivery at the city level during the pilot.

The event in Afogados da Ingazeira led to positive results, including the creation of the Pact for Transparency, Integrity, and Civic Participation program. Local governments had started to sign the pact by mid-2018. However, the event was circumscribed to only one specific local government with a small population size and has yet to be widely carried out. It should be noted that the Pact program included civil society feedback for content development as part of Milestones 12.1 and 12.2, and learnings from Milestones 12.3 and 12.4. Given that the Pact improved access to information tools (i.e., the Electronic System of information Services to the Citizen) and civic participation guidelines, the commitment could eventually improve the open government culture.

Carried Forward?

The government did not include this commitment in the fourth national action plan. However, a commitment in the next action plan that seeks to strengthen access to information practices at the state and municipal levels is indirectly linked to the main theme of this commitment.

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1 Ministry of Transparency, Oversight, and Comptroller-General, *Governo Aberto com a Participacao da Sociedade*, 1 November 2017m http://www.governoaberto.cgu.gov.br/central-de-conteudo/documentos/afogados-de-ingazeira.pdf.

2 "Navegantes City Hall to Join CGU Integrity, Transparency, and Social Participation Pact," News, Prefeitura de Navegantes, 10 July 2018, http://www.navegantes.sc.gov.br/noticia/12083/prefeitura-de-navegantes-vai-aderir-ao-pacto-da-integridade-transparncia-e-participao-social-da-cgu.

13. Transparency and Innovation in the Judiciary
Commitment Text:

Deploy the Electronic Judicial Proceedings at the Electoral Court.

The commitment longs for improving the performance of the Superior Electoral Court, by means of implementing the Electronic Judicial Proceedings at Regional Electoral Courts until 2017. The commitment aims to assure promptness, transparency and security, throughout judicial and administrative proceedings, which also represents a relative tool for promoting transparency.

More specifically, the commitment was set out to achieve the following milestones:

13.1 – Articulate a way to enable milestones delivery, stipulated during planning
13.2 – Integrated communication actions for mobilizing and sensitizing internal and external users about the system
13.3 – Stakeholders' training
13.4 – Necessary infrastructure delivery for hosting the system
13.5 – Identify data with problem mitigation potential during deployment, in order to assure the well-functioning of future implementations

Responsible institution: Superior Electoral Court

Supporting institutions: Federal Attorney General's Office (AGU), Federal Public Defender's Office (DPU), Electoral Prosecutor General´s Office (PGE)

Start Date: October 2016 ......   End Date: December 2017

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm		Did It Open Government?				
															End of Term						
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
13. Transparency in Electoral Justice			✔		✔			✔		✔					✔				✔		
															✔						

Commitment Aim:

Brazil's regional electoral courts suffer from slow handling of cases, excessive red tape during proceedings, lack of timely access to case materials, and the potential for security issues. The commitment sought to increase electoral court efficiency by using electronic judicial proceedings at the state level.

Status

Midterm: Substantial

Most of the commitment milestones were substantially completed, but their completion was behind schedule. The government completed Milestones 13.1 and 13.2. These involved articulating a way to begin the commitment's implementation (13.1) and activities to mobilize and sensitize internal and external users (13.2). Milestones 13.3 and 13.4 involved conducting stakeholder trainings and delivering the necessary infrastructure, respectively, and were started but not completed. Milestone 13.5 was not started.

End of term: Substantial

The government completed Milestones 13.1–13.4. Milestone 13.5 was not completed. The commitment can be considered substantially completed.

Overall, the commitment aimed to implement electronic judicial proceedings in regional electoral courts. The last implementation monitoring report of the commitment stated that the activity was carried out in 22 states.[1] Thus, five states did not take part (Amazonas, Goiás, Paraíba, Rio Grande do Norte, and Tocantins).

The IRM researcher found evidence of stakeholder trainings (13.3)[2] and infrastructure completion for hosting the system (13.4).[3] There is no evidence of the completion of Milestone 13.5 (identify data with delivery problem). No representative from the government or civil society participated in the IRM researcher survey regarding this task. The information could not be found online, and the intermediary monitoring report mentions the task as completed but provides no details.[4]

Did It Open Government?

Access to Information: Marginal

The commitment aimed to increase electoral court efficiency by using electronic judicial proceedings at the state level. The midterm report noted that the overall use of the system was still low. This trend was sustained until the end of the implementation period. Espirito Santo state, for example, had not registered any process, while a higher number was found in Paraná, with 572 cases.[5]

The system has the potential to increase access to information if the judiciary process is digitalized and more searchable, shareable, and accessible, and if the information is not restricted only to those involved in the legal case. However, the aforementioned conditions are not the same as making information public by default. Or, as stated by the civil society organization Article 19 in the midterm report, it is unclear how the commitment directly improves the transparency of electoral justice.

Carried Forward?

This commitment is not included in the fourth national action plan. The plan does not include any commitments directly related to the judicial branch.

1 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/central-de-conteudo/documentos/2018-16-fev-rse_13.pdf.

2 "TSE Distance Education Portal," Superior Electoral Tribunal, https://educacao.tse.jus.br/course/index.php?categoryid=91.

3 "Electoral Inforamtion System (SIEL)," Regional Electoral Tribunal, http://www.tre-sp.jus.br/servicos-judiciais/informacoes-eleitorais-siel/sistema-de-informacoes-eleitorais-siel.

4 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report.*

5 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report.*

14. Social Participation in Federal Government's Planning Cycle
Commitment Text:

Maximize social participation on the Pluriannual Plan through the Intercouncil Forum

The commitment seeks alternatives to broaden social participation and to improve and consolidate methods of social participation for the PPA formulation and management phases, as it is considered the main tool of the Federal Government planning. Therefore, it is intended to make feasible the conduction of a PPA participatory monitoring, focusing on traversal agendas and on targets and Sustainable Development Goals (SDGs), using digital tools.

More specifically, the commitment was set out to achieve the following milestones:

14.1 – PPA participative monitoring methodology draft formulation, taking into account transversal agendas, and the sustainable development goals (ODS)
14.2 – Enhancement of digital tools for monitoring the implementation of PPA and ODS goals and objectives
14.3 – Establishing a communication strategy to expand the access/use of digital tools for PPA monitoring
14.4 – Presenting a PPA implementation accountability by means of Intercouncil Forum (1 per year)
14.5 – Presenting a PPA implementation accountability by means of digital thematic public audiences (2 per year)
14.6 – II Intercouncil Forum Meeting
14.7 – II Digital Public Audiences Round

Responsible institution: Ministry of Planning, Development and Management

Supporting institutions: Ministry of Education, Government Secretariat, Institute of Applied Economic Research (IPEA), Institute for Socioeconomic Studies (Inesc), Urban Network of Sociocultural Actions, Open Knowledge Brazil, Wheels of Peace

Start Date: December 2016 ..   End Date: June 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion				Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
14. Social Participation in the Budget Cycle of the Federal				✔		✔		✔		✔				✔ (midterm) / ✔ (End of Term, Substantial)							✔

Commitment Aim:

The Pluriannual Plan (PPA) is the main planning tool of the federal government. The process lasts four years long, and has specific deadlines and processes. Due to the complexity involved in that, the level of civic participation during the process is low. The commitment aimed to change that, by lowering the entry level for CSOs to enroll in the process, and to engage them in all stages of the PPA process. This is set to be done by improving and consolidating methods of social participation in the PPA.

As described in the IRM Progress Report 2016–2017, the government attempted to include civic participation in the PPA at the federal level in 2011. However, both the government and civil society felt the attempt achieved limited success. The government currently executes the 2016–2019 PPA, implemented during the action plan, amid an economic crisis and a reduction of expenses. Therefore, civil society participation in its implementation is perceived as critical. Therefore, the government aims to maximize social participation during the implementation and monitoring phases of the PPA. It expects such maximization, in turn, to increase civil society oversight in the PPA processes.

Status

Midterm: Limited

The commitment saw limited completion, and its completion was behind schedule. Milestone 14.1 was completed; it involved drafting a monitoring methodology. Milestones 14.2 and 14.3 were started and involved developing digital monitoring tools and establishing a communication strategy to expand access to these tools. The remaining milestones had not been initiated.

End of term: Substantial

Milestones 14.1–14.4 were completed, while Milestones 14.5 and 14.7 were partially completed. Milestone 14.6 was not completed. Therefore, the commitment was substantially completed.

Milestone 14.1 involved the development of a participatory methodology. The milestone, although already completed, was extended during the action plan period. The government included a detailed description of the process in the implementation monitoring report.[1] This served as a guideline to be used in the 2020–2023 Pluriannual Plan (PPA) period. It included a mapping of phases to engage civil society in the process and a strategy to invite civil society organizations (CSOs) to participate. It also included specific tasks to be performed by the government to promote civic engagement associated with key bureaucratic processes and the available opportunities for external contributions. As civil society representatives stated (Neidi Alves Dias de Sordi, Open Knowledge Brazil), a pilot of the methodology was used in the PPA 2016–2019 period as well, including 11 federal executive agencies.

Milestone 14.2 involved enhancing digital tools used for monitoring the PPA. This milestone was completed. The enhanced tools include "PPA Mais Brasil" (before known as "PPA Cidadão"),[2] which allows users to track programs and Sustainable Development Goals (SDGs) at the PPA. Open Knowledge Brazil reported the government updated "PPA Mais Brasil" and that "Meu PPA"[3] was relaunched. The tools include instructions on how to participate in the PPA monitoring process and how to monitor all activities. Citizens can

select programs, objectives, goals, and initiatives within all budgeting systems to track, link, and follow expenses. The system also allows users to submit comments related to the PPA.

Milestone 14.3 involves a communication strategy to increase the use of digital tools. The government engaged in promotion of the tools. However, this promotion was restricted to mobilized CSOs and government organizations. As Neidi De Sordi, pointed out, overall participation in the commitment was limited to specialized institutions from government and civil society. The implementation monitoring report mentions several government-led events where PPA tools were promoted from January 2018 onward.[4] These include presentations of the Integrated Planning and Budgeting System (SIOP in its Portuguese acronym)[5] and the Agenda 2030 portal.[6]

Milestone 14.4 involved presenting on implementation accountability at the Intercouncil Forum. The event took place in November 2017, with a particular focus on the role of civic participation in reporting back on the process[7] and including the participation of CSOs.

Milestones 14.5 and 14.7 involved continuing the engagement of digital thematic public audiences, with two per year. These milestones were removed during implementation monitoring meetings, with the approval of civil society. In their place, it was suggested to strengthen the feedback process of the developed methodology and strengthen the monitoring of the SDGs.

Milestone 14.6 was not completed. It involved continuing the Intercouncil Forum Meeting. Which had to be postponed to after the election period, due to Electoral Law, what left the deadline for its delivery outside the action as stated in the implementation monitoring report.[8]

Did It Open Government?

Civic Participation: Outstanding

The commitment aimed to increase civic participation in the development and implementation of the Pluriannual Plan (PPA, the main planning tool of the federal government). The commitment included the consolidation of methods of social participation in the PPA, including use of technology and digital tools. The commitment's implementation had positive feedback from both the government (Daniel Pitangueira de Avelino, from the Institute for Applied Economic Research; and Rodrigo Correa Ramiro, from the Ministry of Planning, Development, and Management) and a civil society representative (Neide Alves Dias De Sordi, from Open Knowledge).[9] Ramiro argued that the PPA and the monitoring system are key to advancing several Sustainable Development Goals, and he stated the importance of civic participation in the process.

Ramiro also noted that the introduction of a participative methodology, before starting to develop the budget planning documents, constitutes the main contribution of the commitment to civic participation. The "Meu PPA" tool, for example, allows users to define their own priorities and submit comments to policy makers. There is also an institutionalization of the results of the participation, linking the outputs of the mechanism of participation to the intercouncil (where civil society, government, and ministerial representatives participate). Neide Alves Dias De Sordi supported this, adding two more arguments: First, Sordi noted that participation of civil society in the process was structured, organized, and effective. Second, Sordi stated that participation of civil society was still restricted to a few specialized organizations.

Open Knowledge Brazil also published a piece on the outputs and review of the process.[10] The government argued that the methodology was being used in the planning of the next PPA (2020–2023). The next PPA is expected to be adopted by the next government and submitted to Congress for review by August 2019. The commitment resulted in outstanding changes in open government practices. There are verified cases of institutionalization of civic

participation methodologies and methods (that include the adoption of the expertise in other state-level administrations).[11] Also, under the previous status quo, there existed no clear mechanism of participation and there was ineffective engagement of civil society organizations in the PPA process.

Carried Forward?

This commitment did not carry over into the fourth action plan. The new plan does not include a theme directly related to the Pluriannual Plan process. Nonetheless, there is evidence that the monitoring process will continue to be implemented in the next PPA period, 2020–2023.[12] The monitoring report also mentions that the digital tools will be extended to other monitoring systems, such as the Integrated Planning and Budgeting System,[13] one of the main budget tools of the public administration.

1 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/copy_of_participacao/reuniao_meio%20ambiente/2018-22-junho-rse_14.pdf.

2 "PPA Cidadao," Government of Brazil, https://ppacidadao.planejamento.gov.br/sitioPPA/.

3 Neide De Sordi, "Commitment 14 of the 3rd Open Government Partnership Action Plan (OGP)," Open Knowledge Brazil, 2 March 2018, https://br.okfn.org/2018/03/02/o-compromisso-14-do-3o-plano-de-acao-da-parceria-para-o-governo-aberto-ogp/.

4 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Report*.

5 Ministry of Planning, Development, and Management portal, http://www.planejamento.gov.br/assuntos/planeja/plano-plurianual/cnods-lanca-plano-de-acao-2017-2019

6 Platform Agenda 2030, http://www.agenda2030.com.br/.

7 PPA 2016–2019, http://www.planejamento.gov.br/assuntos/planeja/plano-plurianual/monitoramento-participativo/revista-relatorio-forum-interconselhos-copia2-6.pdf.

8 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

9 The IRM researcher survey received one additional contribution from an anonymous source, a self-described government-based representative. The contribution was critical of the commitment. Because the source of information could not be verified, the facts presented were considered and checked by the IRM researcher, but opinions of the contribution (those facts that could not be validated independently) were disregarded.

10 Elza Maria Albuquerque, "Commitment 14 of the 3rd Open Government Partnership Action Plan (OGP)," Open Knowledge Brazil, 2 March 2018, https://br.okfn.org/2018/03/02/o-compromisso-14-do-3o-plano-de-acao-da-parceria-para-o-governo-aberto-ogp/.

11 *PPA Annex 2*, http://www.seplag.df.gov.br/wp-conteudo/uploads/2018/04/03.-ANEXO-II.pdf.

12 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*.

13 The monitoring system can be accessed via the following link. However, note that the site lacks an encryption key and is therefore found "unsafe" by most browsers: https://www.siop.planejamento.gov.br/siop/.

15. Open Data and Active Transparency in Environment Issues

Commitment Text:

Make room for dialogue between government and society, aiming at generating and implementing actions related to transparency in environment issues.

The commitment seeks to improve active transparency mechanisms for environment issues, as well as to advance in making room for a better interaction between governmental areas and civil society, with the intent of building more effective actions to disclose environmental information in better quality and greater number.

More specifically, the commitment was set out to achieve the following milestones:

15.1 – Input contribution by the society to the Open Data Plan
15.2 – The institutions shall present: a summary paper, which contains an overview of what was implemented about transparency, strategic plan commitments on transparency and the Open Data Plan status, too
15.3 – Civil society presents an expectation of data/format to be available (by survey)
15.4 – Make an event with the aim of consolidating information and building joint activities, as well as establishing a group for monitoring
15.5 – Engender a summary paper, with correspondent actions, people who are in charge, and deadlines (for next year)
15.6 – Execution of the established actions

Responsible institution: Ministry of Environment

Supporting institutions: Environment National Council (Conama), Brazilian Institute of Environment and Renewable Natural Resources (IBAMA), Brazilian Forest Service, National Institute for Colonization and Agrarian Reform (INCRA), National Institute for Space Research (INPE), World Wild Fund for Nature, Brazilian Coalition on Climate, Forests and Agriculture, Institute of Forest and Agricultural Management and Certification (Imaflora), InfoAmazonia, Institute for Man and the Environment of the Amazon Region (Imazon), Forest Code Observatory

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion		Midterm / End of Term		Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
15. Open Data and Active Transparency in Environmental Issues				✔	✔	✔	✔	✔		✔				✔ (Midterm) / ✔ Substantial (End of Term)					✔		

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Commitment Aim:

This commitment aimed to improve active transparency mechanisms for environmental issues—in particular environmental licenses, deforestation, and forest conservation. The commitment calls for the participation of civil society. The government expects to establish dialogue between governmental departments and civil society organizations. It would also identify challenges to, opportunities for, and demand for opening environmental datasets.

There is a growing need for open data regarding the environment in Brazil. For example, legislation created the open dataset of the Rural Environment Registration (CAR, Cadastro Ambiental Rural) in 2012. However, the government released the dataset in 2016.[1] CAR, an active transparency dataset, identifies all rural properties in Brazil and provides key information on their environmental impact. Civil society considers the dataset key to mapping deforestation and other phenomena.[2] Based on the CAR dataset, for example, a 2017 study showed that owners of rural properties had done little to reverse their social environmental impact in recent years.[3] Motivated by civil society demands, the commitment aimed to build on the publication of datasets such as the CAR.

Status

Midterm: Limited

The commitment saw limited completion and is behind schedule. The government completed Milestone 15.1. The commitment involved the government publishing civil society inputs to the Ministerial Open Data Plan. Milestone 15.2 was underway. It involved drafting a summary paper of current initiatives, strategic commitments, and the status of the open data plan. The rest of the milestones had not been started.

End of term: Substantial

Milestones 15.1–15.4 have been completed. Milestone 15.5 was not. Thus, the status of the commitment is substantially completed.

According to the implementation monitoring report, the government completed all milestones of the commitment.[4] The documents are not available online, but the IRM researcher interviewed a civil society representative who submitted the documents for verification (Renato Morgado, from the Institute of Forest and Agricultural Management and Certification). However, another civil society member states, "[T]he milestones were delivered, but they had low specificity" (Joara Marchezini, from Article 19).

Milestone 15.2 involved a summary paper with an overview of what was implemented and what was completed. No such document could be found online. However, the previously published open data plan[5] led to a list of demands and suggestions sent by civil society to government officials. This list was forwarded to the IRM researcher by a civil society member who participated in the process. The list included detailed tasks, as well as a detailed analysis of the information collected as part of Milestone 15.1.

Milestone 15.3 involved a survey presented by civil society on expectations of data and the format of data. This task was completed. No survey could be found online, but the civil society representative sent the document to the IRM researcher for verification. That document contains a detailed list of activities that civil society suggests should be implemented (with more than 20 suggested tasks, distributed along five areas of analysis).

Milestone 15.4 involved an event promoting the consolidated information and activities. An event on open data related to the commitment occurred in April 2018.[6] A civil society representative informed the IRM researcher that the event focused on discussing the content of Milestone 15.5.

Milestone 15.5 involved another summary paper. The IRM researcher was unable to find this paper online, but it was submitted for review by a civil society representative. The document is a follow-up of Milestone 15.3 and includes a proposed implementation timeline. It also includes an exchange of communication between government and civil society, and details on the implementation of open data requests on specific issues, from technical standards to dataset openness.

Did It Open Government?

Access to Information: Marginal
Civic Participation: Marginal

This commitment aimed to improve transparency mechanisms for environmental issues and promote open data opportunities based on the participation of civil society organizations. Civil society member Joara Marchezini, from Article 19, stated that the commitment advanced open government by promoting an interaction between government and civil society that did not exist before. The process led to new datasets being opened and to civic participation opportunities. Marchezini also argues that the commitment was delayed and promoted mostly small steps in transparency and participation.

Carried Forward?

The government did not include this commitment in the fourth national action plan. However, the action plan does include a commitment to increase transparency and civic engagement in the planning and implementation of climate change policies.

1 "Governo Divulga Dados do Cadastro de Imóveis Rurais," Portal Brasil, 29 November 2016, http://www.brasil.gov.br/meio-ambiente/2016/11/governo-divulga-dados-do-cadastro-de-imoveis-rurais.

2 Bruno Calixto, "Why Environmental Data Such as the Rural Environmental Registry Should Be Public," *EPOCA,* 1 January 2017, http://epoca.globo.com/ciencia-e-meio-ambiente/blog-do-planeta/noticia/2017/01/por-que-dados-ambientais-como-o-cadastro-ambiental-rural-devem-ser-publicos.html.

3 Phillippe Watanabe, "Rural Environmental Registry Does Not Prevent De-forestation or Encourage Restoration," *Folha de S.Paulo,* 3 July 2017, http://www1.folha.uol.com.br/ambiente/2017/07/1898079-cadastro-de-propriedade-rural-nao-impede-desmate-nem-incentiva-restauro.shtml.

4 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*, http://governoaberto.cgu.gov.br/central-de-conteudo/documentos/2018-11-abr-rse_15.pdf.

5 "Open Data Plan," Ministry of Economy, http://www.planejamento.gov.br/tema/governo-aberto/plano-de-dados-abertos-pda.

6 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report.*

16. Mapping and Participatory Management for Culture

Commitment Text:

Consolidate the National System of Information and Indicators on Culture (SNIIC), for data generation, diffusion and shared use, information and performance indicators for the co-management of culture.

The commitment intends to promote an advancement in shared and participatory management of the generation, diffusion and shared use of cultural data, information and performance indicators, improving the data organization related to the management of culture in the country, and ensure social participation at the decision-making mechanisms of the cultural public policies.

More specifically, the commitment was set out to achieve the following milestones:

16.1 – Criteria, standards and guidelines definitions, for promotion actions and, training on SNIIC platform for stakeholders
16.2 – Making of 200 actions, at least, for training stakeholders for data generation, diffusion and shared use, information and performance indicators, collaboratively
16.3 – SNIIC platform deployment on the different levels of government (60% in States and at least in 50 Brazilian municipalities)
16.4 – Thesaurus Building, in order to have standardized data
16.5 – SNIIC upgrading, customization and continuous development for data generation, diffusion and shared use, information and performance indicators, including budget

Responsible institution: Ministry of Culture

Supporting institutions: Brazilian Institute of Museums, Ministry of Tourism, City Hall of São Paulo, Culture Secretariat – Government of Federal District, House of Networking, NGO THYDÊWÁ - Potyra Te Tupinambá (Messages from Earth), Sectorial Collegiate of Music and Culture Thesaurus Workgroup

Start Date: December 2016 ..   End Date: November 2018

Commitment Overview	Specificity				OGP Value Relevance (as written)				Potential Impact				Completion / Midterm End of Term				Did It Open Government?				
	None	Low	Medium	High	Access to Information	Civic Participation	Public Accountability	Technology & Innovation for Transparency &	None	Minor	Moderate	Transformative	Not Started	Limited	Substantial	Completed	Worsened	Did Not Change	Marginal	Major	Outstanding
16. Mapping and Shared Management in Culture				✔	✔	✔		✔			✔			✔ / ✔					✔		

Commitment Aim:

There are few databases detailing the cultural activities of subnational administrations that are available online, updated, and geolocalized. To address this gap, the government has launched a portal that uses participatory mechanisms to collect and publish cultural events data from every city. The commitment aimed to enhance this portal, known as the System of Information and Indicators on Culture, by providing stakeholder training on how to use the portal.

Status

Midterm: Limited

The commitment saw limited completion and was behind schedule. The completion of Milestones 16.2, 16.3, and 16.5 was limited. These milestones involved training activities for data generation and usage (16.2), implementation of indicators on a digital platform (16.3), and the upgrading of the system for data generation, communication, and indicators (16.5). Milestones 16.1 and 16.4 were not completed.

End of term: Limited

Milestone 16.2 was completed. Milestones 16.3–16.5 were partially completed. Milestone 16.1 was not completed. Thus, the commitment has limited completion.

Milestone 16.2 involved at least 200 training opportunities for stakeholders. This training included capacity-building activities for 1,500 culture coordinators and municipal culture councils. It also involved SESC São Paulo (Serviço Social do Comércio)[1] capacity-building events including civil society members[2] and events at the Brazilian Museum Institute, in particular. The IRM researcher could not independently verify these events.

Milestone 16.3 resulted in the platform's implementation in at least 60 percent of states (n=16) and at least 50 Brazilian municipalities. The milestone is partially completed, as it has been implemented in 12 states, 37 cities, and five federal agencies.[3]

Milestone 16.4 involved the development of a glossary that addresses most common terms used in the platform, to increase coding consistency. The government stated that it published a "Glossary of Culture,"[4] which promotes system summaries of statistics and data in a standardized way.

Milestone 16.5 involved upgrading the System of Information and Indicators on Culture, including not only data generation, but also diffusion of use and budget allocation. The government mentioned that a ministerial decree was issued to promote such activity (Decree 27/2018). It also reported that the web portal was updated (with a release date scheduled for the post-electoral period, due to legislative restrictions). The content of the website dates from 2016, although fresh material was found on the website as well.[5]

Milestone 16.1 involved pre-deployment planning material. No public record exists for the IRM researcher to verify the milestone's completion. Government reports do not mention such material, and due to the limitations of verifying it, it is considered not completed.

Did It Open Government?

Access to Information: Marginal
Civic Participation: Marginal

The commitment aimed to use participatory mechanisms to promote the diffusion and shared use of cultural data, including the promotion and use of the System of Information and Indicators on Culture platform. Felipe de Souza Camargo, from the Ministry of Culture, stated that the platform promoted data transparency. This indicates progress to improve the status

quo. The government also highlighted that citizens can submit content to the portal, which creates an opportunity for civic participation and interaction with other citizens.

At the time of the writing of this report, the portal featured 55,000 contributors and 12,000 site events, and 16,000 projects were uploaded by users. The IRM researcher tested the platform, and at the national level, there were 116 activities open. The content displayed online, as well as the possibility for civil society to use the portal to submit their own information, constitutes an improvement in transparency and civic participation. Nonetheless, considering that the portal was in use before the start of the action plan, and that there is no evidence of improvement, the IRM researcher considers the advances in open government to be marginal.

Carried Forward?

This commitment is not included in the fourth action plan. Due to the limited the completion of the commitment, the government should continue the implementation of Milestone 16.3, to reach, at least, 60 percent of states and 50 Brazilian municipalities. Also, it is critical that the government include the other information planned for the platform, such as an allocated budget.

1 SESC, Business Social Services, (Serviço Social do Comércio)

2 SESC Sao Paulo, http://centrodepesquisaeformacao.sescsp.org.br/atividade/praticas-culturais-e-as-novas-tecnologias-desafios-para-producao-de-indicadores.

3 Ministério da Transparência e Controladoria-Geral da União, *The OGP Implementation Monitoring Report*,

http://governoaberto.cgu.gov.br/noticias/2017/monitoramento/3o-plano-de-acao-brasileiro/cultura/reuniao_meio%20ambiente/2018-22-junho-rse_16.pdf.

4 "Culture Glossary (ONTOLOGIES)," SIMCultura, http://sim.cultura.gov.br/vocabularios-da-cultura-ontologias/.

5 "First Results of the Culture Glossary WG," SNIIC, 30 March 2016, http://sniic.cultura.gov.br/2016/03/30/primeiros-resultados-do-gt-glossario-da-cultura/.

Methodological Note

The end-of-term report is based on desk research and interviews with governmental and nongovernmental stakeholders. The IRM report builds on the findings of the government's self-assessment report; other assessments of progress put out by civil society, the private sector, or international organizations; and the previous IRM progress report.

As part of the midterm report, the IRM researcher in Brazil participated in the kick-off meeting of the consultation phase. During this meeting, the IRM method was presented to the thematic working groups. The IRM researcher also participated in five commitment monitoring sessions (held online). The IRM researcher invited 193 participants (124 from government and 69 from civil society) from 111 institutions to participate in two data collection opportunities. These opportunities included an online survey (answered by 21 people) and in-depth online interviews (11 conducted).

As part of this final report, the IRM researcher launched an online survey to be completed by civil society and government participants, including the same group invited to participate in the midterm report (193 participants from 111 institutions). The researcher received 18 responses, including comments on 13 out of 16 commitments (with the exception of Commitments 8, 9, and 13). In cases in which there was no reply, a second attempt to request was sent.

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The Open Government Partnership (OGP) aims to secure concrete commitments from governments to promote transparency, to empower citizens, to fight corruption, and to harness new technologies to strengthen governance. OGP's Independent Reporting Mechanism assesses development and implementation of national action plans to foster dialogue among stakeholders and to improve

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