COMMITMENT CO-CREATIONHANDBOOK II:
A PLURALITY OF OPINIONS IN THE RESOLUTION OF PUBLIC PROBLEMS

DIRECTORY

FRANCISCO JAVIER ACUÑA LLAMAS
PRESIDENT COMMISSIONER

CARLOS ALBERTO BONNIN ERALES
COMMISSIONER

OSCAR MAURICIO GUERRA FORD
COMMISSIONER

BLANCA LILIA IBARRA CADENA
COMMISSIONER

MARÍA PATRICIA KURCZYN VILLALOBOS
COMMISSIONER

ROSENDOEVGUENI MONTERREY CHEPOV
COMMISSIONER

JOEL SALAS SUÁREZ
COMMISSIONER

CONTENT

GLOSSARY

Accountability. The control, monitoring and oversight activities and processes allowing citizens to monitor, assess and hold public authorities and officials accountable. Control and oversight by citizens over government may be exerted in three basic forms: through the vote (vertical accountability), by specific control and oversight entities having authority to conduct inquiries and level sanctions (horizontal accountability), and citizen direct engagement in administrative control activities (diagonal accountability).

Citizen engagement. The instruments, practices and, dynamics by which the demands and needs of citizens and social groups are incorporated into the design, decision-making, implementation and assessment processes of public policies. Citizen engagement is characterized by the creation of spaces for discussion —at different levels of specificity— which foster the participation of society in the adoption of collective decisions in democratic milieus.

Co-creation. The collaborative effort among the different levels of government, autonomous governmental agencies, civil society, private sector companies and the population who, in undertaking concrete actions based on transparency and participation, agree in conjunction on actions to transform their contexts and realities. Co-creation is based on the interaction and collaboration of the stakeholders in the resolution of public problems within a framework of respect, equality, and security.

Innovation. A management model designed to address and solve public problems by resorting to instruments, tools, and technologies that differ from those traditionally used. Creativity, ongoing management improvement, sustainability, and citizen participation, with diagonal accountability, are deemed to be basic elements of innovation.

Local action plan (LAP). The planning and projection of activities designed to govern the objectives to be attained by stakeholders in reaching the goals to resolve one or more public problems at the state level, containing concrete, relevant, potentially transformative

commitments which are nonetheless achievable within a given term and are aimed at strengthening institutional openness. An action plan must set out in detail the specific goals and activities to be reached and undertaken, time frames for compliance, indicators, means of verification and the specific parties responsible for compliance with each commitment.

Local Technical Secretariat (LTS). A standing forum for discussion and deliberation by the authorities, officials, and representatives from civil society on the design, implementation and monitoring of open government actions and commitments. The principal aim of an LTS is to set up and consolidate a plural, formal and permanent forum for citizens and government to come together to discuss and agree on actions aimed at fostering participation, transparency, accountability, and civic and technological innovation [1].

Open government commitment. The action, or set of actions, aimed at finding a solution to a public problem which has been identified through a co-creative process in which government and society participate, involving the principles and tools of institutional openness, namely transparency and citizen engagement, in an environment that promotes accountability and civic and technological innovation.

Open government. A scheme for the management and formulation of public policies to address and solve public problems in a collaborative manner by plural and collegiate action, the basic and converging principles of which are transparency and citizen engagement in an environment of accountability and social innovation.

Transparency: The governing instruments and management practices aimed at ensuring the openness of processes and the availability of information held by governmental bodies. Transparency is an essential component of open government since it contributes to the elimination of obstacles and the reduction of costs in allowing citizens access to public information and knowledge to enable them to exert an influence on governmental activities and decisions.

Work plans. Documents which set forth the roadmap for the actions required to comply with the commitments contained in the LAP, detailing therein the indicators, means of verification and the specific parties (institutions and individuals) responsible for compliance with each commitment. The information contained in work plans must be made public and should preferably be available online. Ideally, a timeline should be set to be updated upon completion of each action.

---

1 For more information see: Guía de STL. Available at:
http://inicio.inai.org.mx/SiteCollectionDocuments/Transparencia/Modelo%20de%20Gobierno%20Abierto/guiastl.pdf

INTRODUCTION

The results of the last electoral process in Mexico in July 2018, can be seen as a statement by the citizenship demanding change and betting for institutional reconfiguration, putting the openness of public institutions under the spotlight. This openness becomes then the means to face corruption, by establishing effective mechanisms that allow citizen participation, in order to build the bridges required for the transformation of public life in Mexico.

The National Institute for Transparency, Access to Information and Personal Data Protection (INAI) has placed its stakes on a new governance model as part of the agenda it has espoused in recent years. The notion of an open government as contemplated for the first time in a legal statute —the 2015 Law on Transparency, Access to Information and Personal Data Protection— and as proposed by the Open Government Partnership to which Mexico is a party since 2011, has laid down an alternative path in the manner in which governance is exercised and the way trust of citizens in the public sector is restored.

Putting the set of values demanded by an open government into practice requires guidance and orientation to attain satisfactory results. The efforts made in this direction since 2015 at the state level include local open government exercises conducted jointly by citizens and public servants.

Within the framework of the **"Open Government – locally driven co-creation"** initiative, horizontal decision-making instances have been created whose aim is that of undertaking joint commitments to solve local problems.

How should the specific actions required to solve the major problems that beset us be set down in a shared agenda? Acting on the mandate of the INAI, in its role as the agency responsible for upholding the right of access to public information and as an institution which has been present in this process at the local level, the Institute has published two supporting guideline handbooks: the *Guía de Secretariados Técnicos Locales* (INAI 2017) and the *Guía de Cocreación de Compromisos I: Ruta de participación* (INAI 2017), both aimed at guiding the efforts of the men and women who have the determination of transforming their environment through dialogue and collaboration with their governments, in order to establish measurable, useful and relevant commitments for their states.

To complete this set of tool kits and after having assessed the progress made by the initiative at the local level[2], this third handbook is now presented whose aim is twofold:

1. **To make the reader aware of the importance of creating spaces for discussion and collaboration with the government under certain conditions.**

2. **To offer methodological tools to be used in establishing open-government commitments.**

Therefore, this handbook consists of two main sections. The first one —***Arguments and favorable contexts for open government***— discusses at length a few aspects which need to be addressed in putting open government into practice, and leads one to understand that this new form of establishing a dialogue necessarily implies negotiation among people who speak different languages but share a common need. This first section seeks also to clarify certain notions on the meaning of open government and is intended furthermore to disseminate the open-government concept to audiences who are not yet familiar with the term.

The second section —***Recommendations for the establishment of open government commitments***— which is offered to those readers who have already reflected on these topics and are part of a community of practice or have been able to read the previously published guideline handbooks, contains suggestions for the design and formulation of the commitments to be included in action plans and the mechanisms required for monitoring and oversight purposes. This section also provides a few suggestions on the agendas which should be addressed given their relevance and included in local action plans.

It is worth mentioning that the main purpose of this document is to show the adequacy of an action plan that contains clear and systematic recommendations regarding the proper use of open-government co-creation spaces. However, as we have mentioned in our other documents, we recognize that there is no single blueprint or recipe to achieve a successful implementation that results in the resolution of public problems. Attaining the goals established in exercising open government and in the associated action plans is the main responsibility of the people from both civil society and public institutions who are in actual practice in charge of this task, and as such they have the final say on the matter. Finally, this handbook is not an academic text but rather a document intended to be used for public consultation.

---

2 In April 2017, the National Open Government Summit: locally induced co-creation was held with the purposes, among others, of reflecting, drawing a balance, and offering future perspectives (on the basis of previously obtained results) regarding the open government agenda that was being promoted at the state level by the INAI.

CHAPTER I.
ARGUMENTS AND FAVORABLE CONTEXTS FOR OPEN GOVERNMENT

When undertaking the commitment of establishing a dialogue between government and society, any attempt to do so must be based on the willingness to rely on co-creation to solve public problems. It is easy to perceive that it is futile to attack positions without first listening to any counterarguments which may or may not hamper a possible solution. Thus, in a collaborative sense; the expression of opposing opinions and the acceptance of different points of view contributes to understanding and enhances agreement on the tasks, facilitates the work of all those involved and furthers assertiveness among the parties.

Collective processes are weakened, torn apart or lead to sterile solutions if no clear consensus is reached on the problems, stages and actions required to solve the issues at hand. Therefore, in the face of these scenarios, models such as that of open government are the ones providing sound methods and tools to generate measurable, useful indicators and innovative public actions to prevent losing sight of the main goals. These tools will be addressed in detail in the second part of this handbook.

This section seeks to contribute the elements needed to avoid making assumptions which work against positive attitudes and the contexts in which co-creation exercises take place. It is a forward-looking proposal that provides the narrative elements which confirm that the creation of an open-government technical secretariat, a commitment or an action plan cannot rest on mistrust arising from sterile declarations. Open government is one of the most useful ways of participating in and designing public policies in an orderly and systematic manner. Accordingly, we will make specific reference to examples of such discourse and use them in order to contribute more elements to the debate inherent to the co-creation process.

1. ARGUMENTS IN FAVOR OF AN OPEN GOVERNMENT

1.1.   In an open government, stakeholders must be allowed to dissent

An open government draws its strength from differences, dissensions, individual dissenting votes and cultural gaps. It can even be said that the greater the distance between points of view the more rational elements will be required to build the conceptual and practical bridges that will contribute to key solutions.

Moreover, an open government —conceived as the linkage of basic elements, strategies, mechanisms and a long list of management schemes and policy design— can be compared to Lego building blocks. Although a co-creation process is firmly intended to foster dialogue between public institutions and society for the adoption of solutions to address public problems, no single or universal way to establish commitments or to design an action plan has been contemplated by the community of practice.

End-to-end dialogue and stakeholder engagement are crucial for open government. The expression of opposing stands is a process that contributes to the description of weaknesses and threats which may be addressed through the experience of the open government community. It therefore follows that even with the use of methodologies such as the logical framework approach or government planning, it is possible to set up spaces for negotiation and the ensuing consensus.

The possibility of dissent among opposing stakeholders or allies must be expressly and assertively stated. The idea that dissension precludes a common goal is a misconception, and is a restrictive notion, since opinions may have conceptual content, be drawn from experiences and aspirations that do not coincide but have nonetheless the same end; thus, co-creation is of preeminent importance. However, its exercise requires planning, responsible stakeholders, timeframes and other elements which must be contemplated in the action plan.

1.2.   All information is public, especially in an open government

It is not unusual to find that in the instances in which a dialogue has been established with the government, the reaction of public servants is that of assuming that civil society or the citizenry will make use of the information shared to oversee or persecute them; even going as far as presupposing that they will make use of the information until they find fault with their individual work and involve the public institution in a compromising situation. This arises from false premises based on the mistrust prevailing between public officials and civil society which stems from: **the lack of knowledge regarding the applicable legal framework and the absence of spaces for participation**. Hence, an open government becomes an option to collaborate in a concerted effort.

According to the principle of maximum publicity, all information is public except for reservations allowed by law. Generally speaking, the information to be provided by public servants at the beginning of the co-creation process is their name, position, institutions and the reason for their participation. In fact, the agenda from which commitments will stem will be the result of agreements to be reached after a considerable lapse of time has passed. This misunderstanding is based on the wrong impression that they will be subject to scrutiny by civil society although the methodology does not provide for such possibility. As mentioned, participation matters because rather than subjecting public service to scrutiny, it is actually valuable to:

1) Detect with greater precision needs that are not usually identified by traditional political and administrative channels.

2) Identify innovative solution alternatives that are initiated by the citizenry and civil society organizations for long-standing public problems.

3) Gradually foster new dynamics for dialogue, collaboration and the building of consensus among the authorities, government officials and citizens.

4) Strengthen accountability schemes that allow for the monitoring of public performance[3].

Another important aspect of the mistrust of public servants stems from the fact that public institutions fail to respond to the call due to fear or the lack of knowledge regarding the methodology. Given such misgivings, public problems will persist, and in striving to find a solution, requests for information will sooner or later be made, the media will be called, or measures will be sought as required to meet the citizens' needs. It obviously follows that citizens will exercise their right to protest, and in such scenario, the orderly and assertive dialogue that can only be offered by an open government will provide the elements needed to avoid tension-ridden situations and violent reactions.

1.3.   An open government contributes to the fight against corruption and to accountability

The discourse by which it is assumed that all public servants are corrupt is contrary to the spirit of an open government. This generalization is an obstacle in transforming realities and in closing the gap between the opinions of the parties, it is therefore important to limit such needless narrative.

In this regard, we should be reminded that the General Law on the National Anticorruption System (Ley General del Sistema Anticorrupción) and the General Law on Administrative

---

3 For more information on this subject, see annex 1 of this document and the Guía de cocreación de compromisos I, available at: http://inicio.inai.org.mx/SiteCollectionDocuments/Transparencia/Modelo%20de%20Gobierno%20Abierto/guiacocreaciondecompromisos.pdf

Responsibilities (Ley General de Responsabilidades Administrativas) both contain provisions dealing with timely oversight of public actions, which place a continuous administrative burden on those who have to submit and complete a great number of reports and control forms. Even though these mechanisms and controls have been designed to prevent and limit corruption at all public administration levels, it should be mentioned that these are included in public service general guidelines and apply to public servant designations, to the oversight of day-to-day activities, codes of ethics, to access to information, to conflict-of-interest, personal asset and tax disclosures, among others, and therefore it is difficult for public servants to keep abreast under public scrutiny while facing criticism which brands them as corrupt just because they are part of the public administration, and which even goes as far as unfairly linking them to corruption at the highest levels of government such as ministries or governorships.

On the other hand, participation is essential for state accountability to be feasible; thus, government must show full willingness to manage efficiently and ensure the transparency of its plans, programs, budgets, mechanisms and the like, for it to have the required inputs that will contribute to the solution of the public problems identified by citizens. However, as long as citizens continue to mistrust their counterparties in the open government process, it will be practically impossible to set up a technical secretariat, design an action plan or assume a relevant commitment.

As underscored by José Mejía Lira: "Citizens must be afforded the opportunity of participating in advisory, decision-making and assessment capacities and have available expedite and simple means to ensure such engagement. Insofar as citizens are able to clearly and openly judge public action, government will be legitimized, a contribution will be made to democracy and the fight against corruption will gain in viability..." and the author goes on to say: "It is precisely by calling on the participation and collaboration of society and by the disclosure of information to it that we will be able to talk about an open government. Ultimately, society and government will both be strengthened." (Mejía, 2016)

The resolution that gave rise to the open-government model of the Mexican national system for transparency, access to public information and personal data protection seeks to have government institutions build a wide-arching participatory structure made up of various instruments of participation with different scopes (consultation, involvement, collaboration and social oversight). This allows the different segments of the population on which the institution exerts its actions, such as beneficiary or user population and expert organizations and individuals, to engage at different stages in the formulation and implementation of public policies.

From the perspective of the INAI, citizen engagement is built on the basis of the instruments, practices and dynamics by which demands and needs of citizens and social groups may be incorporated into public-policy design, decision-making, implementation and assessment processes. Citizen engagement entails the construction of spaces for dialogue —at different levels of specificity— which can foster social involvement in the adoption of collective decisions in democratic environments.

OPEN INSTITUTIONS
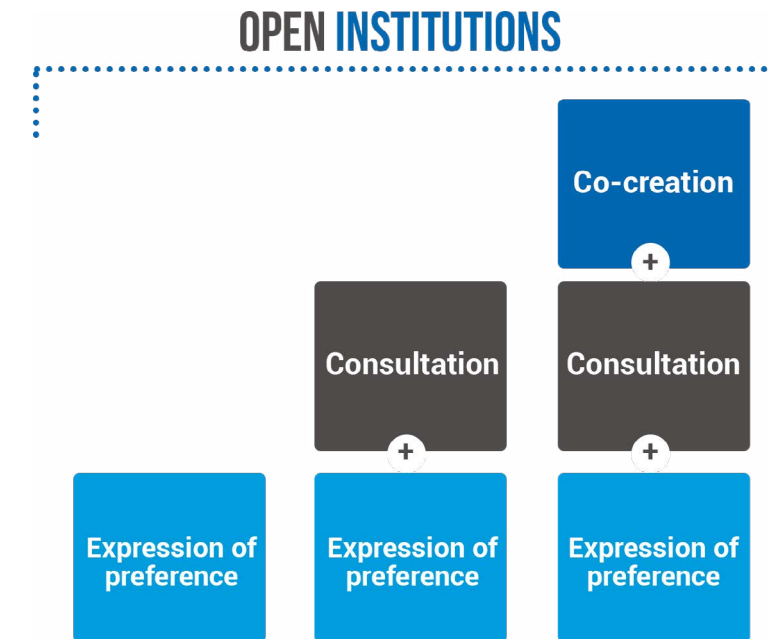
Mistrust hampers any relationship or agreement between stakeholders and impedes communication even before sitting at a negotiation table. Therefore, it is important to have in place effective mechanisms which, while adhering to the open-government methodology favor public scrutiny, foster widespread consultation and strengthen the view that the solution includes everyone; and which, while drawing government in by critical reasoning and by avoiding unnecessary value judgements, strengthen open-government practice by contributing to legitimation and creating the channels to facilitate the dialogue which will further various anticorruption mechanisms.

The experience gained as a result of the co-creation initiative has allowed for the establishment of commitments to address multiple policy agendas. From the seventy-one commitments, which had already been established by September 2018, those which seek to address corruption or foster accountability environments we highlight those, such as follow-the-money actions, in which the transparency factor is essential in allowing citizens to effectively exercise their right of access to public information[4].

1.4. An open government changes realities through social innovation

The principles and tools for institutional openness as well as transparency, citizen engagement, accountability and innovation are bringing about significant change in various regions in the country and abroad. Herein below we include a case in India, one of

---

4 For further information go to section: "5.2 Four suggestions for commitments to be included in Local Action Plans" of this handbook.

nationwide impact in Mexico and one at the state level in Durango, Mexico, which serve as examples of the changes in paradigm and in different realities in diverse contexts.

> In India, an exercise was conducted called *I Paid a Bribe*, involving the development by citizens of a technological application, where they can anonymously report instances in which a bribe had to be paid. The app in its turn reports the number, pattern, type, location and other data received through an interactive web portal, which gathers, processes and systematizes the information, and produces essential inputs required for criminal investigation, transferring the burden of proof from the citizen to the police.

> Within the context of serious human rights violations in Mexico, a commitment included in the second national action plan of the Open Government Partnership was put into practice. Civil society organizations contributed to the improvement of the National Registry of Missing and Disappeared Persons (Spanish acronym RENPED) in order to bring the phenomenon to the forefront with the maximum publicity under the law. At present, it is possible to find the total number of missing and disappeared persons by state, last name, age and authority which made the recording on the platform, which also includes easy-to-understand manuals for citizens.

> In the northern region of Mexico, in the State of Durango, a commitment was put into practice under the designation: The Environment and Public Services: Durango Brick Works, whereby the hand-made brickworks in the Los Jardines de Cancún section of the city, which was causing serious health problems and environmental pollution was relocated. This was achieved by the Local Technical Secretariat of the state with the joint participation of civil society organizations, the body in charge of ensuring transparency and municipal authorities.

Either through an application, a website, or through the implementation of collective actions, the commitments associated with the government's openness can solve public problems directly, through co-creation, with the support of citizens and through dialogue. As can be seen in the Indian instance, innovation came into play not only in the development of the app, but in the manner in which the burden of proof in the case of corruption, was shifted to the police for them to become accountable. This provides incentives for citizens to strive to modify the world around them through social innovation.

1.5. An open government reduces problem complexity and increases the likelihood of obtaining results

The complexity of the actions involved in meeting open-government commitments depends on the magnitude of the pubic problem and the innovative solutions agreed upon to solve it. It is evident that reforestation of open flatlands may entail a certain level of complexity in certain contexts; however, modifying public prosecutor accountability procedures or limiting fracking [5] will be, general speaking and in contrast, very difficult problems to solve. One of the strengths of open government is that its methodology endows it with sufficient legitimacy to call upon a wide range of very diverse stakeholders and agents of change which put forward innovative solutions, since one of the pillars on which it rests is social innovation.

Although public awareness and innovative capital are both essential before any task is undertaken, problem complexity should be seen as an area of opportunity since it calls for a large number of definitions which are brought forward in the course of discussions, studies and planning, and such problems are addressed during technical secretariat meetings, or when meetings are held from time to time with the community of practice. An open government provides innovative solutions inasmuch as stakeholders are able to learn directly when attempting to solve very complex public problems, given that the relationship between public officials and citizens allows for the building of bridges of mutual understanding.

1.6. Open government may be measured, assessed and monitored

An open government is not an ideal floating in vacuum which is hard to measure. Nowadays, open-government commitments and their results are measured around the world. In Mexico, the Independent Reporting Mechanism (IRM) conducts numerous civil society and citizen interviews to inquire into the development of action plans and co-creation mechanisms. This assessment is generally carried out by an independent advisory agent such as a university (Campos, 2017). To exemplify, at the federal level this evaluation was conducted for several years by the *Centro de Investigaciones y Estudios Superiores en Antropología Social*, (CIESAS) and in 2017, it was conducted by the research scholar Gabriela Campos. This procedure may be conducted by a public or private university which has the government and the public's trust.

Another way to measure commitment progress is by utilizing tools such as the "Control Panel" which is used to monitor action plan commitments, with very clear objectives and goals that reflect the progress made from time to time and which need to comply with the following requirements:

---

5 Fracking or hydraulic fracturing is an extraction method of shale gas. It is known, albeit not conclusively, that it may affect the environment and communities in the vicinity of the areas where the gas in being extracted.

- Show the degree of compliance with the specific activities contemplated in the commitments which are linked to biannual goals, by the use of indicators, checking mechanisms and the identification of parties responsible for each activity.

- Identify the activities which must be carried out by public officials separately from the monitoring activities to be carried out by civil society organizations.

- Record compliance or non-compliance with biannual goals and allow access to explanatory notes by which the persons responsible (officials or civil society stakeholders) justify the progress made (reasons for compliance, delay or non-compliance).

- Allow the persons responsible for the commitments to edit the set of specific activities required to comply with the commitment goals.

- Provide a forum for the reception of comments by the public at large where the responses of the persons responsible for the commitments are also posted.

It is very important to be creative when monitoring, measuring and assessing open-government commitment results. Upon completion, by using the instruments discussed here it will be possible to draw a spatial line showing the conditions prevailing before the commitment was established, how the commitment was created, the action plan design, the degrees of compliance, updating, performance assessments and results, and -why not? In the medium term, commitment impact.

1.7. An open government creates channels of communication among all branches of government and motivates public servants

Around the world and in Mexico a large number of open-government action plans have been put into practice as a result of the commitments assumed by the central or executive branches of government, although at present this new model of government has transcended to create an open state which contemplates working jointly with an open parliament and an open judiciary. In the case of Mexico, in the last few years the intention has been to create new laws and procedures geared towards achieving transversal openness among the three branches and at the three levels of government, and to do so the role of public servants is key in the implementation of citizen-driven actions.

In this regard, we realize that institutions and public servants cannot go beyond their legally mandated purview, albeit we are also aware that the co-creation process for the solution of public problems has not yet been sanctioned by any law; moreover, it is its successful practical implementation that has been recognized at both the national and international levels and these good practices should be emulated.

In fact, implementation of open-government practices and co-creation exercises can reduce administrative burdens considerably. Additional benefits may be reaped when an institution decides to set up open-government working forums to agree upon procedures and mechanisms to address public problems, innovate on public management processes or prevent information biases. If solutions to focalized public problems are found, beneficiaries will gain a better awareness on how government works and understand the actions undertaken in their favor. In addition, if the resolution of the problems is accompanied by proactive transparency mechanisms, not only will information asymmetries be reduced, and socially useful information be produced; but will result eventually in a decline in information queries and a reduction in the administrative burden, a win-win situation for both the public service and citizens.

The resolution of public problems is the core action of a large number of institutions. In the case of state and municipal governments it is a responsibility that is brought to the forefront insofar as problems remain unsolved and multiply, thus resulting in the accountability of public officials; it therefore becomes necessary to take advantage of the citizens' knowledge, potential and energy in solving them.

People can solve problems locally, in their communities and spaces, because they are experiencing the problems themselves and cannot always wait to receive the support of the government. Greater efficiency in institutional expenditures may be achieved by working jointly while creating a supporting framework which will legitimize governmental action adding value to public service. There is nothing more ethical than a public servant at the forefront of citizens who share the same vision and goals.

2. CONTEXTS WHICH FOSTER OPEN GOVERNMENT

There are certain contexts that contribute to the effective development of co-creation processes; since, as we shall see further on, should we wish to limit the threats which may prevent the attainment of our objective or goal, it is necessary to keep in mind external variables - this despite the fact that problem identification implies an interconnection of dialogue and cocreation schemes involving technical principles that ensure commitment feasibility and viability. In adverse settings, open government may impose restrictions which do not necessarily relate to the methodology presented in this handbook, we, therefore, feel the need to address available opportunities for advancement. It is useful to keep in mind that an open government works in all settings and that there is nothing that can limit the attainment of its goals, except for the absence of collaboration.

2.1.   A working open government

In any country where the rule of law prevails, the determination under the law of governmental roadmaps for action is a democratic requirement. Mexico has statutes that have become referents at the international level such as the General Law of Transparency and Access to Public Information, which provides citizens in the thirty-two federated states with certainty[6]. Governments which function in favorable settings ensure access to information by providing data on matters in the public interest. They also facilitate accountability, foster the respect for, and the participation and protection of civil society in order to agree upon relevant public problems, and finally generate, with the valuable contribution of citizens, governmental actions which in turn produce public value. In this regard and assuming that the law must be upheld, favorable settings and the political will to guarantee the application of an open-government structure will provide an organic environment for open government to thrive.

2.2.   A safe civic space should be made available

Open government strives to create a safe civic space which should be under the protection of the State, because in doing so it allows for citizen engagement, democracy, politics, dialogue and generally speaking, public life to happen. In the absence of a safe and open civic space, the government must strengthen safety measures to protect the people who participate in the co-creation of commitments or action plans. A safe and open civic space that is in place allows individuals and civil society to organize, participate and communicate without obstacles, and in doing so they are able to exert their influence on the political and social structures of which they are part (CIVICUS, 2016). It is necessary to be reminded that in the case of the states of Sinaloa, Chihuahua, Veracruz and several other states, valiant women and men face the problems associated with violence by using the channels offered by open government, and although it is important to acknowledge the worth of their contributions, any additional protection which may be provided by their governments should be welcome, since these are the people who are striving to participate in the solution of public problems and bring about change.

2.3.   Se configura un Secretariado Técnico activo

To a large degree, the challenges and obstacles faced by technical secretariats at the state-level relate to the specificity of public problems in regard to the particular vision and mission which each civil society organization considers to be its framework for action. In the case

---

6   Mexico is a federation made of thirty-two sovereign, autonomous federated entities, each governed by a Governor under the Constitution. Each state is divided into municipalities. Under this federal structure, each state has its own constitution, administers its own assets and has autonomy beyond the decisions adopted at the federal level. There are few matters which are reserved to be decided at the federal level, such as those dealing with national security, foreign affairs, and energy policy.

of the public administrative entities, we have general head offices, area departments and under-offices which address the challenges posed by an action plan; moreover, it is even possible to request the involvement of two or three ministries in order to comply with the plan. In contrast it is common, for example, to have a civil society organization that focuses on the management of natural resources to accept to participate in monitoring compliance with a commitment relating to the search for missing persons. Civil society faces challenges within the framework of the technical secretariat which become opportunities as it acquires experience in new fields. In a propitious environment, the people who become members of a secretariat will be prepared and trained to acquire new knowledge by attending, on INAI's advice and support, refresher courses usually offered by academic institutions, meetings of the community of practice such as the National Open Government Summit, or the OGP Global Summits, the Training Program for Local Open-Government and Sustainable Development Agents of Change[7], or the workshops offered by public institutions which deal with the protection of human rights. Even among public servants, the manner in which the resolution of a public problem is addressed usually differs, and it is at technical secretariat meetings that the visions of the various sectors can come together, turning them into active, dynamic spaces where learning takes place and public knowledge is produced.

2.4.   Participation rights are fostered

Governments must steer away from exercising a monopoly on the solution of public problems, given that society possesses collective knowledge which may be tapped to arrive at better alternatives or solutions. Accordingly, environments should be provided that foster free incorporation of citizens into these processes with the assurance that they will be afforded equal footing with public servants. The creation of such environments may be facilitated by a widespread invitation to participate in the processes, even taking into consideration travel requirements. Civil society must acquire an interest in the solution of public problems, otherwise, unilateral intervention by the government or a merely programmatic definition of public policies will hamper the design of true co-created strategies.

> " Civil society may be defined as that which is not the state: it would then encompass all non-state forms of collective interaction and hence could be understood as that set of areas of social life (markets, associations) that are not under direct control of the state. In broad terms, it includes NGOs, private volunteer organizations, popular movements, community organizations, unions, charitable entities, social and sports clubs, cooperatives, environmental groups, professional associations, consumer groups, religious organizations and non-profit communications media (Peña, 2010). "

---

7   For more information go to: http://apertus.org.mx

2.5. Respect for gender and sexual diversity

It is impossible to conceive an open government which does not include the different sexualities, the diverse sexes, or the particularities of the groups that make up social diversity, which have been historically discriminated against, as groups whose rights must be upheld. In designing an action plan and in the creation of commitments reflection must take into account diverse opinions and such action plans and commitments should be the result of a collective effort based on respect, sorority and rapprochement under the principles of equity and equality. It is useful to keep in mind that the solution of public problems cannot take place without this having an effect on people belonging to vulnerable groups. Respect and inclusion must prevail at the settings where possible solutions are to be discussed, providing thus a context that furthers open-government co-creation.

2.6. Adoption of the 2030 Global Goals for Sustainable Development

A favorable approach of international scope to the solution of public problems is the undertaking of governmental and citizen-driven actions geared towards the implementation of the 2030 Global Goals for Sustainable Development, which comprise 17 objectives, 169 goals and 230 indicators, as shown below. Open government provides a platform from which to go forward by targeting objectives that focus on governmental openness, since it has a symbiotic relationship with the 2030 agenda, given that both contribute to the solution of public problems and are linked by openness that allows the rendering of accounts, information transparency and active participation. Should any of the federated states wish to push the 2030 agenda forward at any level of government, the best way to do so is to further development and government through the means afforded by open government.

The 2030 Agenda for Sustainable Development as a framework for the identification of public problems

On September 25, 2015, the 193 States members of the United Nations adopted the 2030 Agenda for Sustainable Development. The agenda is structured thematically around five basic elements: the people (poverty, hunger, health, education, gender and water); prosperity (energy, growth, infrastructures, inequality), the planet (cities, consumption, climate change, oceans, the environment), peace and partnerships. The agenda encompasses the economic, social and environmental dimensions of development, embodied in the maxim: "leaving no one behind means that no one can be invisible" (Bárcena, 2016).

These five basic elements are divided thematically into 17 objectives, 169 goals and 230 global indicators to measure progress and compliance. In March 2016, the UN Statistical Commission found that a practical starting point would be 230 monitoring indicators for the 169 goals of the 17 objectives.

Keeping in mind the thematical axes of the 2030 Agenda will undoubtedly contribute a conceptual order in the search for solutions to public problems and be useful when determining which problems to solve and how to go about the task.

2.7. Spaces are made available and assistance is provided for persons in vulnerable situations

The empowerment of people from diverse communities which have been historically discriminated against from the legal, economic, cultural and political perspectives is an obligation of the State which needs to be protected. In this regard, the open-government community of practice has approached various groups in situations of vulnerability to focus on their problems, since they are frequently among those who are in greater need of benefiting from formulas stemming from co-creation. Favorable contexts which may be fostered by open-government practices to achieve this purpose can be attained by following two paths:

1) By the inclusion of people of diverse communities that have been subject to discrimination. To achieve this, local technical secretariat members or open-government participants may implement actions such as broadcasting in sign language, the provision of ramps and even the creation of electronic platforms to post the necessary information to solve public problems and create accessible sites for people who have visual, auditive, motor or other type of impairments. Moreover, the inclusion of indigenous and afro-descendant people, farm and day laborers needs to be fostered, while bearing in mind that some of them do not speak Spanish, and therefore on-site translation will be required, or the assistance be sought of a person or organization which may create a linguistic bridge that allows all participants to become aware of the situation of the group being represented.

2) By adopting open-government commitments focused on alleviating the situation of vulnerability or discrimination while striving in addition to include persons in these situations in the open-government process. In designing the content of local action plans, a window of opportunity opens to provide for commitments to improve the situation of such groups. An example follows:

> **Improving accessibility to public spaces for people with disabilities**
>
> The Local Technical Secretariat of Oaxaca, by acknowledging the need for inclusion of all groups of Oaxaca, created the commitment of addressing a specific problem: the lack of proper parking areas for persons with disabilities.
>
> However, going beyond the simple action of providing special parking for these groups, the importance was recognized of contributing to road safety culture in the Oaxaca de Juárez municipality. Accordingly, activities were then focused on a common objective: ***to georeference parking sites for persons with disabilities in the municipality.***
>
> This joint effort made the problem visible and allowed for the implementation of collaboration efforts involving multiple stakeholders such as: the Municipal Collaboration Council, the Road Safety Head Office and the Council for Persons with Disabilities.
>
> This Oaxaca Local Action Plan can be consulted at: *https://bit.ly/2OlBKaa*

2.8. The political will to act

A favorable context spurs concrete actions meant to enhance governmental openness and facilitates the reinstatement or conservation of the public trust. The commitments included in action plans give rise to reforms intended to solve public problems through the action and political will of the government. Therefore, such a context requires that co-creation and the practical application of open-government principles be effectively promoted by public institutions.

The relevancy of the foregoing is acknowledged by the fact that the General Law on Transparency, Access to Information and the Protection of Personal Data as well as the majority of state laws on this matter include open government as one of their guiding principles. Nevertheless, rather than adopting a coercive or punitive approach for the obligated party or public institution which fails to implement these practices, the INAI has sought, within the framework of the National Transparency System, to raise awareness among institutions and civil society organizations —as has been explained in this handbook— on the advantages and benefits of implementing open-government actions.

Consequently, it is pertinent to underscore that one of the factors which will contribute to success in developing institutional-openness schemes hinges on the will of the stakeholders involved. Thus, open government is not restricted solely to generating participation mechanisms, but also depends on the willingness of public servants to build bridges to communicate with citizens and on that of citizens to become involved, contribute, generate and participate in the co-creation of solution alternatives to specific public problems.

2.9. Resources are available

Open-government implementation necessarily involves making use of different resources, be they financial, intellectual, organizational or human. The creation of collaborative spaces, such as local technical secretariats, provides the conditions for all stakeholders and institutions involved in open-government practice to contribute —to the extent allowed by their willingness and capabilities— with assistance and different types of assets with which to implement proposed actions. Thus, while public institutions may provide for budgetary allocations earmarked for open-government programs and even designate specific public servants to carry out these tasks, educational institutions may contribute by offering infrastructure and logistics assistance and making university and research center auditoriums or classrooms available, in addition to sharing specialized knowledge. Civil society may on its part contribute not only its accumulated collective knowledge regarding certain public problems but also strive to obtain funding from domestic and international sources to be used in the implementation of an open-government action plan.

Briefly speaking, resource availability is not restricted to monetary matters. On the contrary, and in alluding to the matter addressed above, willingness is a catalyst in the generation of institutional openness schemes for co-creation. The formula then should be the following:

Multiple sectors + **Political will of stakeholders** + **Resource availability** = **Favorable spaces for the commitment co-creation process to take place**

2.10. The support of oversight bodies is assured

Oversight bodies, as key stakeholders, are identified in the "Open Government – locally-driven co-creation" initiative[8]. Since 2014, within the framework of the now defunct Mexican Commission for Access to Public Information, and more specifically in 2015 when local-government local practice started, these bodies have acted as allies in putting into practice open-government actions. Moreover, oversight bodies, as mandated by article 59 of the Mexican law on transparency and access to public information, must assist civil society representatives and public institutions in the implementation of mechanisms of collaboration to foster and implement open-government policies and procedures. To date and at the local level there are 26 oversight bodies which are giving an impulse to this agenda, and eighteen of these have set up local technical secretariats by working hand-in-hand with civil society organizations, who have been backed by their state public authorities.

Given this context, some of the duties of oversight bodies, in addition to that of actively participating in local technical secretariats, which may be relevant in putting open-government mechanisms into practice are listed below:

- **The establishment of proactive transparency policies.** As provided in article 56 of the law on transparency, oversight bodies must establish proactive transparency policies taking into account the general guidelines defined by the National Transparency System (NTS), which must be designed to foster obligated governmental institutions to publish information in addition to the minimum established by law. One of the aims of these policies, among others, is to foster ulterior use of the information produced by obligated entities by taking into consideration societal demands.

- **The establishment of open-government policies.** Policies on proactive government and transparency of nationwide application have been authorized by the authorities making up the NTS. Within this framework of reference, and by gaining a better understanding of the challenges faced by each state, it is indeed possible for guarantor entities to propose the guidelines required to implement open-government practices, aspire for the institutionalization of such practices and involve a growing number of public institutions in actions of this type.

- **The promotion of the widespread use of tools such as Open-government Metrics.** A few instruments have been designed and developed up to date which may aid in spreading open-government awareness in Mexico. A good example is the Open-Government Metrics, which measures citizen awareness on governmental actions and to what degree can citizens influence governmental decisions. Thus, on the basis of this x-ray regarding open government whose first measurements can serve as a baseline, oversight bodies may, each within the scope of its purview, design guidelines aimed at closing the existing gaps in transparency and participation among obligated governmental entities[9].

- **The adoption and/or promotion of tools developed by INAI, such as the Open Commissions, Open Procurement or the Transparency in Governmental Publicity portals.** These technological tools serve to make the information regarding working commissions, public servants, government acquisitions, leasings and services of public institutions, as well as the expenditures made in official publicity, transparent swiftly and easily. These tools may be implemented by any public institution free of charge by making use of INAI's technological infrastructure.

---

8 The Mexican law on transparency provides for the existence of bodies whose mandate is to guarantee access to public information and the protection of personal data. These entities are autonomous bodies under the constitution, and therefore, even though they are public governmental agencies, they are not accountable to either the federal or state heads of the executive branch of government, that is to say, to the president or state governors of the thirty-two federated entities.

---

9 For additional information go to: http://eventos.inai.org.mx/metricasga/

SUMMARY OF CHAPTER I

The following topics were addressed throughout this chapter:

What are some of the arguments in favor of open government?	Under which conditions and contexts can open government thrive?
• Stakeholder dissension is a must in open government	• When there is a will to implement openness
• Open government requires that all public information be available	• When safe public spaces are made available
• Open government contributes to the fight against corruption and accountability	• When active technical secretariats are set up
• Open government works to change realities by social innovation	• When free participation is fostered
• Open government aids in reducing the complexity of problems and increases the likelihood of achieving results	• When there is respect for gender and sexual diversity
• Open government can be measured, assessed and monitored	• When the 2030 Agenda for Sustainable Development is adopted
• Open government fosters communication with other branches of government and motivates public servants	• When spaces are provided to address the issues of vulnerable and discriminated groups
	• When a political will exists
	• When resources are made available When the support oversight bodies exist

Keeping these ideas in mind, the next chapter will provide a set of recommendations and useful tools in the adoption of open-government commitments, all intended to contribute to an enhancement in the quality of life of the population.

CHAPTER II.
RECOMMENDATIONS ON HOW TO ESTABLISH OPEN-GOVERNMENT COMMITMENTS

Once we have dealt with the conditions which need to be fostered or considered when first starting to implement an open government, this second section of our document is aimed at providing key advice and recommendations on the formulation of open-government commitments. As set forth in the introduction, this handbook does not seek to provide one single methodology but rather a set of elements which may be taken into consideration in the planning and design of Local Action Plans (LAPs).

As has been the case at the international level, where the countries who are members of the Open Government Partnership have done so by designing a roadmap setting forth specific commitments with the participation of the authorities and citizens, the "**Open Government – locally driven co-creation**" initiative of the National Institute for Transparency, Access to Information and Personal Data Protection, seeks to steer public problems through appropriate channels by the creation of commitments within the framework of local action plans. The advantage of setting forth and even signing open-government commitments in a document consist in having a supporting instrument which will serve not only as a reminder but also as a declaration of the willingness of the parties in the achievement of a common goal.

3. PROBLEM IDENTIFICATION

The starting point in the planning process is the identification of a priority public problem. A public problem is one that bears upon society as a whole or on a specific segment of the population which is to be addressed through an open-government approach preferably as a problem for which a solution has not been found through traditional institutional channels and has been identified as such as part of the commitments undertaken by the LTS.

The task of identifying a problem may be complex. Nevertheless, according to the literature that deals with the identification of public problems there is a logic to be followed in finding solutions of problems of this type, namely: the proper determination of the causes and effects from which they stem.

In its turn, finding the right solution is a difficult task, since there may be multiple solutions to the problem, a diversity of stakeholders and scenarios may be involved, and it may be hard to put scenarios and assumptions to the test before the action is actually undertaken. Therefore, when discussing public problems, consideration must be given to certain basic premises which may in practice allows us to move forward towards finding the solution:

1. The determination of the causes and factors that contribute to a public problem represents 50% of its solution, the other 50% will depend on co-creation and on the methodological bases of an open government.

2. A public problem rarely stems from a sole cause, it is generally interrelated to other very numerous problems.

3. Public problems must be approached from the point of view of the contexts in which they will be solved, and in the case of commitments, strategies should be updated. The commitment must remain unchanged, but the tactics to limit or act upon it must be consistent with its objective.

4. From the open-government perspective, public problems must be resolved by practices linked to transparency, participation, accountability, and innovation. It is of the utmost importance that the commitments and the action plan contemplate a solution and objectives anchored to these four pillars.

3.1. How to identify a problem?

The examination of the causes and effects of the problem is, as has been mentioned previously, key in finding alternative solutions. Since problems are inextricably linked to the people who experience them, it is of the utmost importance that their determination be done collaboratively and taking into account the views of those who are being affected by one, **striving to be as sensitive and comprehensive as possible**.

To conduct a thorough examination and accurate diagnosis, it is convenient to identify they key causes giving rise to it and the interrelationship among such causes. This will allow to

precisely identify elements such as where and how it occurs, its determinant factors and the effect the problem has on the population.

There are multiple ways to approach the examination of a social problem. However, the process always entails a description and assessment of the causes that give rise to it and the effects it has, and problem tree analysis is the most common tool used[10].

> " A "cause" is considered as the basis or origin of something but also as the motive or the reason to act; an "effect" is what follows by virtue of a cause. "

It is worth mentioning that one of the main challenges to overcome during the identification of public problems is **the lack of precision and specificity**, the descriptions made of them are regularly very general, abstract and ambiguous.

A set of recommendations is included below which will contribute to a more specific formulation of the social problems requiring a solution:

a) Formulating the problem as a negative situation which needs to be reversed should be avoided

b) Causes should be identified and stated in an orderly manner

c) Causes should be examined and classified as necessary and sufficient

d) Causes and effects should be examined from multiple points of view by the affected stakeholders

The publication of diagnostic exercises and information regarding how society perceives a public problem is becoming widespread, and such information can be found and is made available through various public sources, metrics, and surveys. Making use of this information is crucial in establishing preexisting baseline conditions.

In this regard, it is pertinent to keep in mind that the Open Government Metrics designed by the *Centro de Investigación y Docencia Económicas* and INAI has been assessing the performance of public institutions since 2017 and grades them according to two out of the three principles underlying open government and in doing so, it identifies the progress made and the challenges which may be faced in the construction of an informed and engaged society.

---

10 Problem tree analysis is a tool intended to show in an organized manner the causes that give rise to problems. The underlying logic is that every unwanted situation has an antecedent cause and it, in its turn, branches out to give rise to those that follow.

The Metrics grades are weighted on a scale of 0 to 1 for three elements: transparency, participation, and an overall open-government grade. On this scale, a government with an overall average of 1 is fully open and transparent: that is, the authorities provide clear and detailed information and citizens are able to participate in the public decision —making process easily and in an orderly fashion. A government graded 0 on the scale is totally opaque— it provides no information and does not allow citizen participation.

This tool contributes to the detection of existing institutional obstacles to openness that are usually hard to determine, and which have a direct impact on the social problems we are also trying to identify..

4. PROPOSING ALTERNATIVES

As mentioned in the preceding section, initial action involves the identification of a public problem by describing the causes and effects which have a bearing on the unfavorable conditions in which people find themselves. This action necessarily implies a process of analysis, whereby the capabilities of key stakeholders will be put to the test[11], since the determination must be reached by consensus. A classical way of initiating a participatory diagnosis exercise is by conducting a meeting where key stakeholders are physically present for a brainstorming session. The people and institutions represented contribute their ideas on the issue being dealt with by expressing them in short sentences. The next step is to put these into a general context to try to pinpoint causes and effects. Successful consensus building to address the problem will depend on the extent effective preconditions to foster a dialogue are created which will also allow the parties involved to function in an environment conducive to trust.

In the light of the logic for interaction among stakeholders described above, a few actions are listed below which may contribute to conduct diagnostic participation more effectively:

- Describing the public problem. Given that there will be different stakeholders participating in the process, the multiple approaches to it must be considered. The manner in which a public problem is perceived depends on how it is approached by different sectors, and this should be acknowledged.

- Considering how the problem manifests itself

- Considering the proximate causes of the problem

- Considering the factors contributing to the persistence of the problem

---

11 Key stakeholders are those people and institutions whose participation is essential in, and are under the obligation of, achieving the purpose, objectives and goals of the project being addressed. They have the authority, capabilities and means to decide and have an influence on crucial areas which may hamper or foster project development. In some instances, they may express having a direct, explicit and committed interest in the objectives and purposes of the project.

Process in building the Third Action Plan at the national level- Mexico

The process in the preparation of the Open Government Partnership third action plan at the national level in Mexico was divided into four main stages: 1) Public consultation; 2) Open sessions; 3) Working Groups, and 4) Feedback public consultation.

During the third stage, and once causes and effects were identified in the course of the open sessions, thematic panels were organized to agree on the commitments to be included in the action plan, establishing goals and objectives up to 2018.

Goals and objectives were established as described below:

1. Identification of actions (brainstorming) was conducted to allow each person in attendance to individually identify the actions required to address previously identified causes.

2. Identification of actions (brainstorming) by groups was then undertaken, where actions were examined jointly by working groups.

3. After group identification of the actions, these were screened to meet three essential requirements: that they relate directly with previously identified causes, that they contribute to the objectives of the 2030 Agenda and that they be clearly expressed and viable.

4. Once the actions were properly identified, the next task was to express them as goals, striving to respond to the following question: What is the expected effect of this action?

5. Actions were then ordered within a timeframe considering their interdependence and feasibility.

6. Goals were comparatively assessed to address bottlenecks generated during group discussions under two criteria: urgency and impact. The first of these, in the light of the need for change considering the prevailing situation; the second one to address potential transformation of the context.

7. Once a goal had been selected by direct count of results, discussion was opened to restate it in clear and understandable terms.

8. Once each working group had stated its final goals, the discussion was opened to share results with the remaining groups. Finally, votes were cast to decide on the most relevant goal.

Once this process had been completed for each of the thematic areas established for the Open Government Partnership Third National Plan for Mexico, a similar procedure was followed in the determination of the Lines of Action selected for each of the goals.

To see the Third Action Plan, go to: *http://gobabiertomx.org/wp-content/uploads/2016/09/Plan-de-Acción-2016-2018.pdf*

Opening plural spaces for dialogue poses a significant methodological challenge, since multidisciplinary work implies having to assume as one's own problems which can be examined from multiple angles. Accordingly, moving forward will be difficult in the absence of specific consent mechanisms and general agreement. In order to do so, a major piece of advice is to strive to build consensus, and arriving at a sufficiently robust diagnosis will require *asking for the reason* again and again. Once this is achieved, the next key question is: *Can we act on this issue?*

Having met the above minimum conditions, it will be worthwhile to begin to identify the key elements to be included in an action plan. To briefly summarize, the following are listed:

- Multidisciplinary groups

- Physical spaces for interaction

- Key stakeholders

- Minimum necessary conditions —legal, financial and human resources— to be met to address specific problems

Finally, we recommend not to lose sight during this stage of the need to create conditions which are conducive to respectful debate among key stakeholders, keeping in mind that:

• This process necessarily entails negotiation among the parties to arrive at a common objective; without negotiation, collaborative efforts are not possible.

• In a discussion, there is always a party that prevails and one who does not; however, it is important not to lose sight of the principles of open government, both throughout the process and in the attainment of the results pursued.

The Chatham House Rule [12]

The creation of a climate of trust in which, regardless of the place of origin or provenance of participants, constructive dialogue may be built, requires that conditions be provided to motivate those in attendance to freely express their points of view. The Chatham House Rule which states that: "When a meeting, or part thereof, is held under the **Chatham House Rule**, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed". By protecting anonymity, the discussion may flow even when addressing sensitive or difficult issues, even if not politically correct.

4.1. Solution alternatives

As progress is made in arriving at a sufficiently-robust diagnosis which sheds light on the problem, its causes and effects, it is time to start on the path to finding solution alternatives.

In the event the intervention is geared towards a comprehensive solution, it will be necessary to address the causes that are giving rise to the problem. If otherwise, and the multidisciplinary team seeks to address the symptoms of a problem, the scope of the intervention and the search for solutions will widen.

As a result, we can add one more key element to those listed in our summary above, which would be the **desired situation**. From this perspective, solution alternatives would be aimed precisely at designing strategies to modify a given situation in a manner that is acceptable and works to the benefit of those affected. Again, during this stage and as in the preceding one, dialogue and consensus must prevail by:

• Refraining from creating expectations regarding possible alternative solutions which may not be met by the implementing persons or entities.

• Refraining from hampering possible solution alternatives by the excessive technical knowledge of some of the stakeholders present (in particular public officials who call on the unrestricted need to act in strict adherence to the law).

The above scenarios may be avoided insofar as participative schemes involving multidisciplinary teams contribute important elements not contemplated by public administration traditional approaches (where the government addresses the problem and its solution by itself). The worth stemming from these plural spaces derives from the debate on specific problems to provide innovative solutions on the basis of the technical and administrative capabilities contributed by a multidisciplinary group.

---

[12] For more information go to: https://www.chathamhouse.org/chatham-house-rule/translations

Problem Tree Analysis

Problem tree analysis is a very useful planning tool allowing for the identification of causes and effects of a particular problem. Once a problem has been identified, it is possible to develop intervention projects to improve the quality of people's lives. It is important not to confuse the problem itself with the intervention project. Moreover, one should be aware that the implementation of an intervention project to address a problem may bring to light unforeseen elements which may alter the expected result. This can be avoided to the extent measures are taken to identify the factors which will contribute to a sound diagnosis.

Problem tree analysis serves to illustrate the causes and effects of a central problem in order to provide more elements when analyzing a given situation.
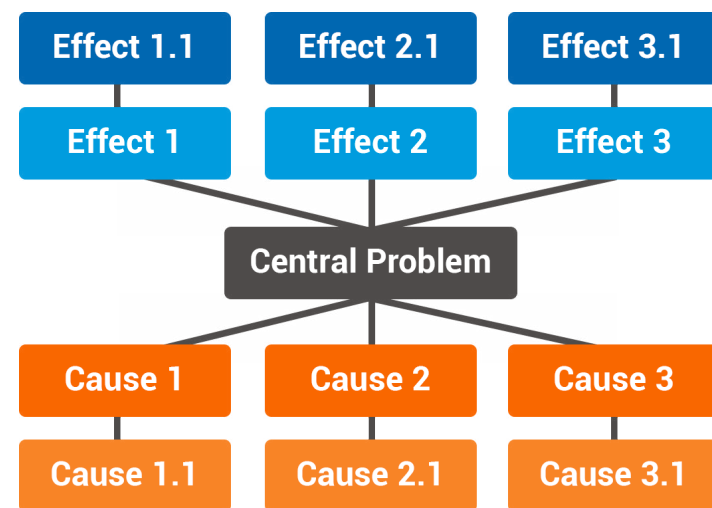
As can be seen in the diagram above, once the effects have been identified, they are placed at the top of the tree and the causes at the bottom. It is important to determine how each of these are logically connected.

Once the problem tree has been drawn, the tool is used in the determination of positive outcomes, or, in other words, in the task of transforming a problem into a solution. Under this perspective, the recommendations to be followed in the statement of minimum objectives require that these be:

- **Realistic.** Attainable in the short term, if possible.
- **Coherent.** They should be in alignment with general objectives and within the reach of existing capabilities
- **Quantifiable.** That is, they should be measurable through time.

Having drawn the tree of objectives, it will be necessary to examine the ends and means required to comply with a given timeline to achieve the desired situation and should there be any inconsistencies, the information gathered to draw the problem tree should be reexamined from the start.

In drawing the tree of objectives, it is important to keep in mind that negative effects must be transformed into the ends sought which will solve the identified problem. This method has the potential for identifying the causal logic between causes and effects, enriches argumentative rationale and discards non-feasible solution alternatives.
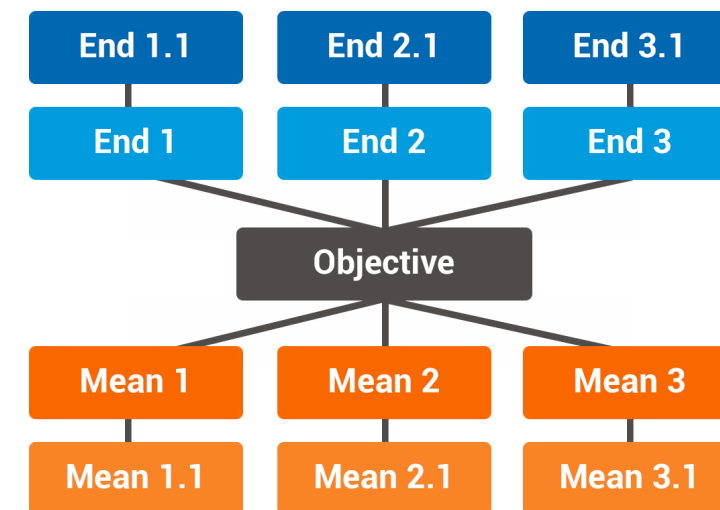
The analysis described above facilitates the design of possible intervention actions having a positive impact on the solution of the problem, because it responds to a causal logic which contemplates actions, alternatives and responsible parties.

Source: Elaboración propia con base en la Metodología general de identificación, preparación y evaluación de proyectos de inversión pública del Instituto Latinoamericano y del Caribe de Planificación Económica y Social - ILPES. Available at: https://bit.ly/2qKh1lW

5. UNDERTAKING COMMITMENTS

Up to this point and throughout the open-government planning process it is necessary to bear in mind that open government is based on participation and collaboration. Commitments must be developed by means of a multi-sectorial consultation process involving active participation of citizens and civil society in open coordination with government. (CEPAL, 2017). Reference cannot be made to open government principles without such participation[13].

---

[13] For information on the different participation processes which may be implemented, consult: "Guía de cocreación de compromisos I: Ruta de participación" (INAI, 2017), available at:
http://inicio.ifai.org.mx/SiteCollectionDocuments/Transparencia/Modelo%20de%20Gobierno%20Abierto/guiacocreaciondecompromisos.pdf

Every single open-government commitment (understood as a short/medium/long term concrete commitment) must comply with the following minimum quality criteria[14] and be:

- *Specific*
- *Measurable*
- *Achievable*
- *Relevant*
- *Time-bound*

COMMITMENT CRITERIA REQUIREMENTS

SPECIFIC   MEASURABLE   RELEVANT   HIGH POTENTIAL FOR TRANSFORMATION
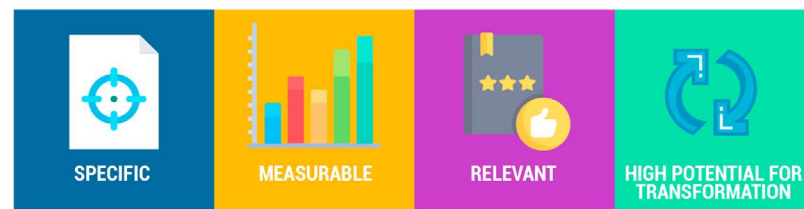
Recommendations:
Simple language
Result oriented
Concrete activities
Well-defined products
Clear identification of responsible parties

National and international practice shows that there is no standard methodology to build commitments which comply with all these criteria. The characteristics of the problem to be addressed or the product sought to determine the guidelines the process should follow; furthermore, in some cases, these criteria may clash. Ultimately, the will and commitment assumed by key stakeholders in generating and implementing open-government actions are vital in ensuring the success or preventing the failure of a strategy of this kind. Nevertheless, it is necessary to shed light on these matters in order to facilitate local learning to enable the gradual building of better open-government commitments which will —with the political support required— bring about relevant changes in the federated states. The technical requirements to be met in building commitments are the following:

1. The commitment should have a clearly identified objective, that is, a specific purpose or end to be achieved;

2. The commitment must be aimed at solving a concrete public problem which has been identified during the co-creation process and is linked to the stated objective;

---

14 As can be seen the initials of the five criteria make up the word SMART, a mnemonic device to remember them.

3. The commitment must specify a set of logically interconnected activities aimed at generating products which will contribute to the attainment of the objective and the resolution of the identified problem;

4. The commitment must contemplate the parties in charge of its implementation (from both the government and civil society), and precise and realistic timelines for execution must be set for each one of the activities;

5. Finally, management and effectiveness indicators should be in place to monitor compliance with the scheduled activities and the attainment of objectives.

Commitment: Responsible sexual activity and teen-pregnancy education

The "Open Government: Locally driven cocreation" initiative stems from a collaborative strategy aimed at the formulation of local action plans meant to have a positive impact on people's quality of life. The case of the state of Tlaxcala provides a striking example since the action plan was drawn by the municipalities, in contrast to those of the remaining states, the majority of which were designed at the state level.

This commitment was the result of a participative process which identified teen-pregnancy giving rise to school attrition as a specific problem. On the basis of a sufficiently robust diagnosis, 196 teen-pregnancy cases were detected representing close to 35% of the population of the San Francisco Tetlanohcan municipality.

The problem called for a commitment whose objective should be stated in terms of contemplating that teens, both girls and boys, be provided with the tools and information required to prevent pregnancy. In addition, and having acknowledged the problem in the community, the municipality sought to connect the pregnant teenagers to educational support programs to reduce the school attrition index. Acting on the "leave no one behind" principle, the discussion body acted on the basis of the recognition of five major challenges:

1. Providing support to vulnerable groups (pregnant teenagers or single mothers)

2. Contributing to the reduction in school attrition

3. Fostering a culture of responsible sexual education

4. Providing information on pregnancy prevention

5. Connecting teenagers (both girls and boys) with the authorities to provide them with timely guidance and information

We would like to underscore that even though it is true that the efforts by the local technical secretariat were aimed at programming well-defined activities meant to address this problem for a clearly identified target segment of the population, it is also the case that such activities were not included in a time-bound work plan stating the specific persons in charge of each of the actions and the designation of persons from civil society organizations having the required expertise on these specific matters who should be responsible for their monitoring.

> We can see from the above that the work of local technical secretariats is not restricted solely to the drafting of documents. They must strive to incorporate the basic elements of open-government on a permanent basis and to establish effective channels of communication with key stakeholders which have been identified during the process to find solution options.
>
> The *Plan de Acción de Tlaxcala is available at: https://bit.ly/2OgjsqH*

Under a results-oriented rationale, one should underscore that commitment-cocreation processes are not confined to a generic identification and selection of problems but must extend to encompass the ends (impacts and results) and means (inputs, processes and products) which help to state the commitment precisely for compliance purposes. Naturally, the identification of ends and means entails a linkage between dialogue and co-creation schemes, and reliance on technical principles which ensure the feasibility and viability of the commitments.

5.1.   How to state an open-government commitment?

Concerning the proper drafting of commitments, the recommendation is made of drafting a short statement for each that clearly states its meaning in practice (in clear and simple language), specifies the people from the government responsible for its execution and those from civil society responsible for accompanying and monitoring the process; the objective or purpose of its implementation and how will it contribute in building the pillars of open government.

We now list below a few questions which will facilitate the drafting of commitments:

1.   Which is the problem requiring a solution?

As formerly discussed, a precise statement of a problem necessarily entails a robust and plural diagnosis, includes the description of its main aspects, causes and effects and contemplates possible solutions.

2.   What is an objective?

An objective is the end of the activities designed to address a specific problem. It is expressed in a statement that includes a verb, a description of the expected result or precise solution of the identified problem, the target segment of the population and the goal to be achieved. As mentioned above, it will be defined on the basis of the problem for which a solution is sought and must serve as reference in the monitoring and assessment of each commitment.

3.   What is an activity?

It is the complete set of actions to be undertaken to attain the objective of each commitment. Activities entail the undertaking of certain tasks or processes entrusted to

a responsible party and embody a logical sequence of actions that links each one to the desired product.

4.   What is the role of responsible parties?

Responsible parties are those who are designated by the guarantor body, the authority or civil society organizations and are entrusted with the planning, implementation and overall monitoring of each open-government commitment, who must act on the basis of the activities programmed for its compliance.

In programming activities, consideration must be given to the determination of specific and reasonable timeframes as required to carry out the activities and comply with each commitment. One must keep in mind that activities must be programmed to follow a logical sequence to ensure their technical, operational and budgetary feasibility within the terms established, to avoid bottlenecks hampering full compliance with LAPs.

5.   How to ensure commitment compliance?

Monitoring of the commitments which will be included in a LAP will require that means be devised to oversee compliance with programmed activities, the latter to be assessed on the basis of a methodology developed and implemented by INAI to measure, inter alia, the advance made in, and compliance with the activities and commitments defined in LAPs as well as overall progress of the undertaking as a whole.

This handbook is an effort to put forward a series of suggested activities which may facilitate participatory processes to address public problems by establishing objectives that provide citizens with prompt and expedite solutions. The following template, used in the design of the goals and specific lines of action included in Mexico's Third OGP Action Plan, is offered here as an aid:

How to state commitments

Commitments:

Stakeholder	**undertakes**	(full infinitive)
desired result	**by**	(means)

Key Actions: What actions do you believe are key to the accomplishment of this commitment?

Challenges: Which challenges do you believe are to be faced to accomplish this commitment?

Suggestions: What are your suggestions to achieve this commitment in an effective way?

Before drafting any commitment, and in order to determine which tasks will be assigned to the public authorities involved, careful consideration must be given to limits regarding the scope of the purviews of the executive, legislative and judiciary branches of government. Once this is done, specific activities may be assigned for each of the responsible parties and be included in the commitment card. In drafting commitments, the recommendation is made of using the to-infinitive for verbs and stating activities in terms of the results to be obtained.

Work plan of the state of Jalisco LAP

In the case of the 2016-2018 Jalisco Action Plan, a joint effort was made to include in it not only the commitments drafted, but also a work-plan template. This action plan contemplates seven commitments regarding different policy areas which address issues such as: public insecurity, the reduction in the gender pay gap, job opportunities, education and the fight against corruption.

As mentioned, the action plan stands out because additional instruments were created to aid in the monitoring of the specific activities contemplated in each commitment. This in turn facilitated their scheduling and the identification of all parties responsible for each commitment. As commitments are scheduled, the specific deliverables should be stated, since this will contribute to successful attainment of their objectives.

Work Plan Format						
Subjet:	EMPLOYMENT					
Commitment:	Local Registry for Agricultural Workers					
Commitment's Schedule						
Activity /Task		Lenght (days)	Start Date	End Date	Outcomes Expected	Deliverables	Observations
Internal Fase	*Stage 1 - Offices Instalation*						
	Instalation of the first 65 municipal offices for registration (65/125).	59	January 1st. 2017	February 28th. 2017			
	Instalation of the pending municipal offices (60/125)	122	March 1st. 2017	June 30th. 2017			
	Stage 2 - Registration						
	Start of registration through the digital platform	302	February 1st. 2017	November 30th. 2017			
	Total lenght:	332 days					
External Fase	*Stage 3 - Work with productive sector*						
	Biusiness Registration	303	February 1st. 2017	November 31st. 2017	Publication of the Rules of Operation on the website		
	Total lenght:	303 days					

Assignation of specific activities allows the technical secretariat to foster plural participation and facilitates the identification of bottlenecks to prevent delays in the attainment of the objectives. Assessment and monitoring strategies accompanied by management and effectiveness indicators are additional, albeit also, key in the resolution of identified public problems.

Jalisco Local Action Plan, available at: https://bit.ly/2OgjsqH

5.2. Four suggestions regarding local action plan commitments

As a result of the experience gained by INAI in recent years while developing open-government exercises, in particular the eleven action plans which have been published and implemented up to date, it has been determined that LTSs should strive to address and implement the following issues in local action plans, given their relevance as matters of public interest:

Follow the money (FtM). This project arose as a result of the collaboration of civil society organizations such as the Instituto Mexicano para la Competividad (IMCO), Global Integrity and INAI, which aimed at supporting Mexico towards **open accountable governance**. At present, GESOC – Agencia para el Desarrollo has joined this initiative as a strategic partner in fulfilling this important agenda.

In other words, FtM seeks to foster and strengthen citizens' capabilities to monitor public funds at the local level, to move forward in attaining more inclusive fiscal governance.

In attaining this objective, FtM methodology rests on four basic pillars which are explained below:

a) Development of activities. This is the first step aimed at identifying local priorities and challenges to then call upon key stakeholders to undertake the challenges and generate solutions and commitments.

b) Products. The methodology is aimed at the co-creation of commitments and at facilitating and training personnel in the identification of local priorities and needs and in the development of a "toolbox" to be used in the implementation of public-fund monitoring commitments.

c) Results. Societies that are aware of the use given to public funds, better use of information to address local priorities, collaboration in finding solutions to common local problems and more open fiscal governance.

d) Impact. Better and effective use of public funds and the fostering of environments conducive to effective accountability.

"Follow the Money" Welfare program for gratuitous distribution of school uniforms and supplies"

In generating the 2016 Oaxaca Local Action Plan, and as a result of a collaborative effort which focused on the generation of mechanisms to monitor the progress of local welfare programs, in particular a program for gratuitous distribution of school uniforms and supplies, the LTS made the effort to bring together different local entities to achieve this objective.
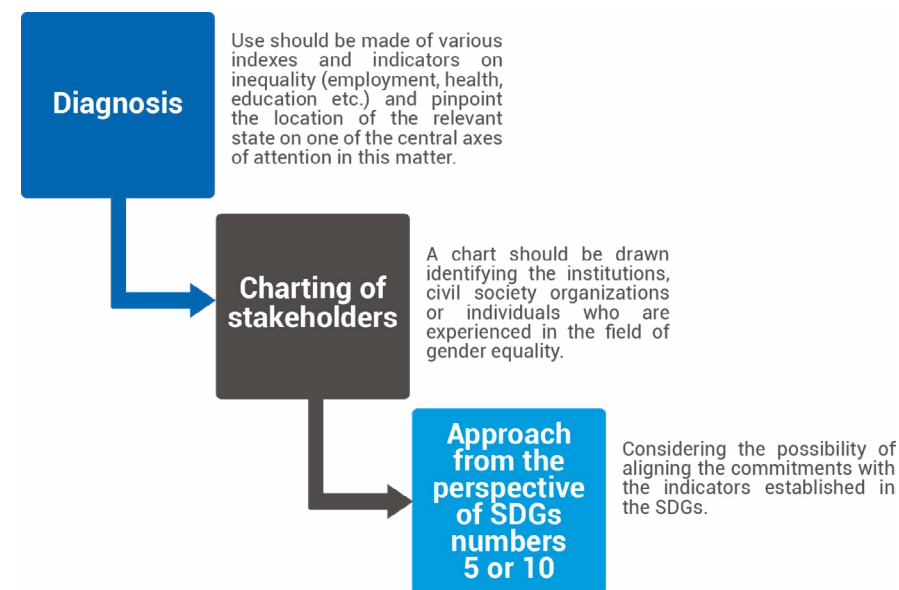
The local technical secretariat, acknowledging the transparency of the funds allocated to the program made the suggestion of making a greater effort in monitoring how the funds allocated to the beneficiaries had been raised, especially in the municipalities with high and very high marginalization levels and also to link this budgetary allocation to learning achievement indicators.

To achieve the objective stated in the commitment, an action plan was designed under the leadership of the LTS which took into account key activities such as:

- A compilation of the legal framework (operational rules)
- A review of the welfare program components
- A review of the methods used to publicize the welfare program
- The scheduling of a hackathon to design a software tool to reference schools and create a data base of beneficiaries to track in real time the amount and target beneficiaries of the disbursed budgetary allocation, and the progress made.

For more information on this commitment go to: http://stgao.org/plandeaccionlocal.php
For more information on Follow the Money go to: www.inai.org.mx

Gender perspective. Equality of women and men is an ineluctable human right and was therefore included in the UN 2030 Global Goals for Sustainable Development. In addressing this inequality gap in our country, advantage should be taken of existing spaces for dialogue —such as local technical secretariats— to develop specific commitments to reduce gender gaps. Accordingly, and to exemplify, below we describe a general process for the creation of commitments which take into account the gender perspective.

Diagnosis — Use should be made of various indexes and indicators on inequality (employment, health, education etc.) and pinpoint the location of the relevant state on one of the central axes of attention in this matter.

Charting of stakeholders — A chart should be drawn identifying the institutions, civil society organizations or individuals who are experienced in the field of gender equality.

Approach from the perspective of SDGs numbers 5 or 10 — Considering the possibility of aligning the commitments with the indicators established in the SDGs.

In this regard, we provide below and example showing in detail an objective, the goals and indicators to address gender equality.

> **Objective 5. Achieve gender equality and empower all women and girls**
>
> Goal 5.2 Eliminate all forms of violence against all women and girls in public and private spheres, including trafficking and sexual and other forms of exploitation.
>
> Indicator 5.2.1 Proportion of ever-partnered women and girls aged 15 years and older subjected to physical, sexual or psychological violence by a current or former intimate partner in the previous 12 months, by form of violence and by age.
>
> Indicator 5.2.2 Proportion of women and girls aged 15 years and older subjected to sexual violence by persons other than an intimate partner in the previous 12 months, by age and place of occurrence.
>
> Taken from the presentation: *"Taller: Construyendo compromisos de Gobierno Abierto con enfoque de desarrollo sostenible"*. Collaborative document prepared by INAI, PNUD, ProSociedad A.C. y Gesoc -Agencia para el Desarrollo. Based on: https://unstats.un.org/sdgs/indicators/database/

As set forth in the preceding paragraphs, progress in closing inequality gaps will be possible insofar as a robust diagnosis has been made which is accompanied by monitoring conducted by the key regional stakeholders who are sufficiently knowledgeable of specific topics and have the political will required; having in place a strategic plan for interventions which is reflected in specific roadmaps that contemplate clear activities and objectives.

> **Commitment of the "Closing the salary gap between men and women" kind**
>
> The Local Technical Secretariat of the state of Jalisco coordinated the efforts of various governmental and civil society entities to address a specific problem: Job discrimination and salary gap between men and women by assuming joint responsibility.
>
> After conducting an examination of state-generated documents, particularly the *Diagnóstico sobre la Brecha Salarial del Estado de Jalisco* (2016) by which it was determined that the salary gap between men and women was close to 20%, the LTS took the action to promote a specific commitment to be undertaken jointly with the business sector (twenty companies participated) to close the gap by adopting the recommendations proposed in such instrument.
>
> For more information on this commitment go to: https://bit.ly/2w4ySE4

Strengthening of local anti-corruption schemes. On May 27, 2015, the Mexican Constitution was amended to create the National Anti-corruption System and harmonize the 32 local systems in the federated states. We put forward the suggestion of accompanying the processes in the appointments to be made and in the implementation of the local systems who will be in charge of preventing, investigating and sanctioning acts of corruption. The

establishment of commitments in this area may serve in combining two important agendas: that for open government and that for anti-corruption policies.

Progress in the implementation of Local Anticorruption Systems

The Committee for Citizen Engagement of the National Anticorruption System informed that the status in the implementation was as follows:

1. The state lagging behind the most was the state of Tlaxcala, which had just completed the constitutional amendment and had not yet published the call to set up the selection committee, and therefore none of the organizational bodies had been created.

2. The states which had already set up the operational structure (without including the designation of the anticorruption prosecutor) were the states of Coahuila, Durango, Estado de México, Jalisco, Michoacán, Nayarit, Puebla, Querétaro, Sonora, Tabasco y Tamaulipas, representing more than a third of the states.

3. Only 20 states had set up the Committee for Citizen Engagement (CCE); that is, almost two thirds of the states.

4. On June 30, 2017, Querétaro was the first state to have fully established its anticorruption system.

Information available at: https://cpc.org.mx/2018/02/23/avances-sobre-sistemas-locales-anticorrupcion/

The 2030 Sustainable Development Agenda. One of the core objectives of local action plans may be to set local goals which will contribute to the attainment of the indicators, goals and objectives of the 2030 Sustainable Development Agenda. Our suggestion is not to align the open-government commitment with any specific sustainable development objective, but rather to advance in the compliance of such agenda by Mexico by means of the commitments established in the local action plan. Nevertheless, it is possible to draw open-government commitments closer to the indicators established for each of the goals. It is therefore worth the while to examine a few of the general principles of the 2030 Agenda:

- **Global in scope**: SDGs address the most pressing global challenges of our time

- **Leave no one behind**: The 2030 Agenda includes every single person

- **Experience-based**: The SDGs are based on the experience and lessons learned from the Millennium Development Goals

- **A multidimensional approach to sustainable development**: A set of inter-related paths.

- **Universal in nature**: Applicable to all countries

- **Comprehensive**: On dimensions which are interconnected at multiple levels including the regional level

- **Inclusive**. Universally applicable by means of collective efforts to all persons

- **Measurable**: By the design of indicators to assess performance and results

One of the conclusions reached at the World Summit of Local and Regional Leaders was that local and regional governments play a key role in including local interests into territorial development. They are an essential part of government and their mandate is based on democratic accountability at the local level and on their work which is carried out at the forefront, close to the citizens and communities. Therefore, they should not be deemed to be mere implementing agents of the Agenda. Local governments are the parties who are politically responsible, catalysts of change, and the government level that is best suited to bring together global objectives and local communities (UCLG, 2015)[15]". By using the SDGs to monitor and assess local action plans, the recognition at the national and international levels of local achievements is ensured and thus become part of the reports on the progress of the SDGs published at the global scale.

This will be possible if:

1. The participation of local and regional governments in monitoring at the national level is fostered.

2. Data are gathered, and progress is monitored at subnational levels.

3. National indicators are adapted to local contexts or else a set of focalized indicators is developed for each territory.

4. It is ensured that the information gathered by local governments will be used for monitoring and be included in the presentation of national reports.

5. The participation of local and regional governments and stakeholders in the review of national plans is made possible [16].

Sustainable Development Goals and Open-government Goals as Triggers for Change

According to the information contained in the OECD book entitled "Open Government: The global Context and the Way Forward" (OECD, 2016) 69% of the OECD member countries consider that successful implementation of open-government commitments contributes to the improvement in accountability of the public sector.

Transparency is a fundamental pillar for open government to act as a trigger in the development of and compliance with the objectives of the 2030 agenda. According to the survey mentioned above, nearly 90% of those surveyed stated that by ensuring transparency and the right of access to public information, the commitments created for action plans foster the attainment of Objective number 16: Peace, Justice and Sound Institutions

---

15 For more information regarding the global summits go to: https://www.uclg.org/es

16 Retrieved from the presentation: *"Taller: Construyendo compromisos de Gobierno Abierto con enfoque de desarrollo sostenible"*. A joint collaborative document prepared by the INAI, PNUD, ProSociedad A.C. and Gesoc -Agencia para el Desarrollo.

Moreover, engagement plays one of the most significant roles. Experience shows that greater participation contributes to better conditions and capacity building among public officials and citizens, opens up spaces for engagement and inclusion and collaborative efforts are consolidated which have, in principle, a marginal impact on the different indicators for each of the Sustainable Development Goals.

To see the information contained in "The Global Context and the way Forward" go to: https://bit.ly/2NMjjKw

5.3. Tracking and monitoring of open-government commitments

Based on the premise that "what is not measured cannot be improved" open-government commitments should be subject to tracking and monitoring, this to be achieved by the design of indicators. Indicator design must initially the satisfy minimum requirements for activity compliance and potentially verify results and impact.

According to the National Council for the Assessment of the Policy on Social Development, an indicator is defined as a *"quantitative or qualitative tool which provides indications or signs of a given situation, activity or result"* (CONEVAL, 2014).

On the basis of the acquired experience, a series of indicators were designed for action plans, in order to determine the progress made in the attainment of the activities contemplated for each of the commitments. Nevertheless, indicators must be drafted under parameters or standards that describe the action to be undertaken by the party responsible for the implementation of a program or project, or in our particular case, the commitments. This in order to be able to assess the contributions of the stakeholder to a value chain, which may be understood to be resources, number of activities, results, etc.

Indicators are useful to determine performance status under standard criteria. Indicator design considers four essential elements:

1. That which is to be measured (intervention variable to be measured)

2. The unit of measure (a quantifiable attribute)

3. The value of the benchmark (degree of compliance or expected level of performance)

4. Specific timeframe within which the change is to be measured

The specific aspects measured by an indicator may be classified as follows:

1. Management or process

•   Inputs: quantification of required resources (be they physical, human or financial)

•   Products: quantitative measurement of goods and services

•   Processes: measurement of performance in the production of goods and services. They are used when the measurement of products is difficult.

2. Effects:

•   Results or intermediate effects: changes once the goods or services have been received

•   Impact: results of expected ultimate goal

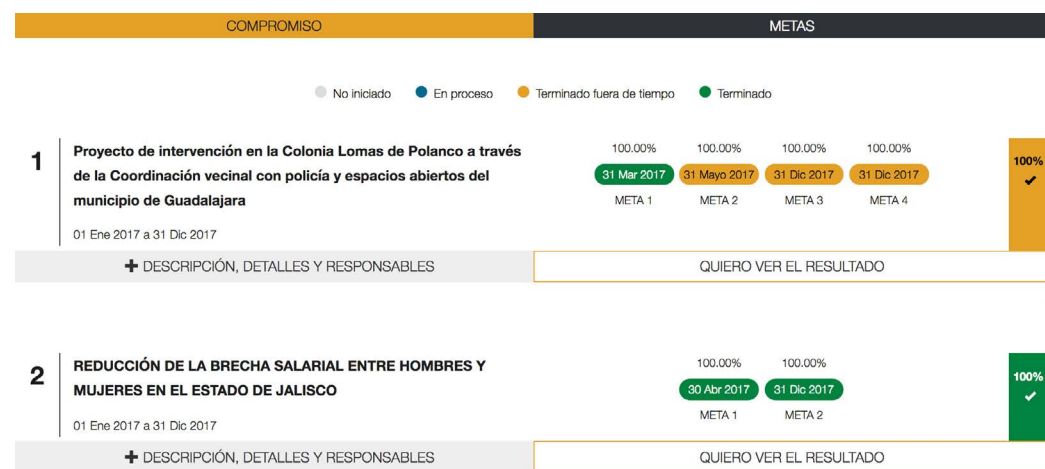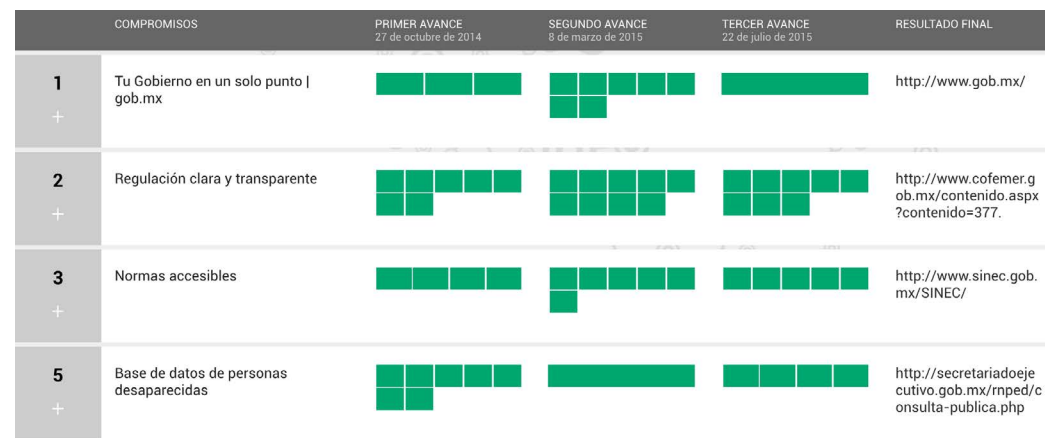**Procedures to be followed in designing indicators** (Aldunate & Córdoba, 2011)

The following steps should be followed in the design of reliable indicators:

-   First consider the objective the attainment of which is to be measured by the indicator

-   Then select the aspect in the attainment of the objective that is to be measured. It may relate to the efficacy or quality of the results, the compliance schedule, costs incurred or the efficiency in operational performance.

-   Decide on the frequency with which the indicator will be measured

-   Add the goals. Establishing goals for each indicator is advisable. To do so, an expected quantity, magnitude or variation to be achieved as a result of the intervention must be specified and also state the term to achieve the goal.

On the basis of the progress made in the determination of indicators, we have been able to detect a good practice in the implementation of the initiative, which consists in bringing to light the progress made in carrying out the activities contemplated in each one of the commitments. The use of visual tools, such as compliance traffic-light charts, may work to exert pressure in the event of non-compliance with specific actions, or else, to reward and move forward in the creation of common objectives for the resolution of public problems.

Among good practices detected, the mechanisms to check on compliance posted on web portals should be mentioned. The success of electronic control panels will depend on sustained oversight and exchange of information among those in charge of implementation and follow-up, in order to prevent negative effects such as simulation. It is important to remember that environments where trust prevails foster the creation of useful tools that provide certainty to all stakeholders who participate in the creation of open-government commitments.

Below are a few examples of images that were used to lend visibility to the monitoring of and compliance with commitments and activities:

	GOBIERNO ABIERTO CAMPECHE	Home	Secretariado Técnico Local ⌄	Plan de Acción ⌄	Tablero	Enlaces	Contenido ⌄	Contacto

	COMPROMISOS	AVANCE GENERAL	ACTIVIDADES
1 +	Seguimiento a la Obra Pública en el Estado de Campeche	100%	
2 +	Preinscripciones en línea	100%	
3 +	Calificaciones en Línea	100%	
4 +	Fortalecimiento de la Pesquería de Pulpo en el Estado de Campeche	84%	

	COMPROMISOS	PRIMER AVANCE 27 de octubre de 2014	SEGUNDO AVANCE 8 de marzo de 2015	TERCER AVANCE 22 de julio de 2015	RESULTADO FINAL
1 +	Tu Gobierno en un solo punto | gob.mx				http://www.gob.mx/
2 +	Regulación clara y transparente				http://www.cofemer.gob.mx/contenido.aspx?contenido=377.
3 +	Normas accesibles				http://www.sinec.gob.mx/SINEC/
5 +	Base de datos de personas desaparecidas				http://secretariadoejecutivo.gob.mx/rnped/consulta-publica.php

COMPROMISO	METAS

○ No iniciado   ● En proceso   ● Terminado fuera de tiempo   ● Terminado

1	Proyecto de intervención en la Colonia Lomas de Polanco a través de la Coordinación vecinal con policía y espacios abiertos del municipio de Guadalajara	100.00% 31 Mar 2017 META 1	100.00% 31 Mayo 2017 META 2	100.00% 31 Dic 2017 META 3	100.00% 31 Dic 2017 META 4	100% ✔
	01 Ene 2017 a 31 Dic 2017					
	＋ DESCRIPCIÓN, DETALLES Y RESPONSABLES	QUIERO VER EL RESULTADO				

2	REDUCCIÓN DE LA BRECHA SALARIAL ENTRE HOMBRES Y MUJERES EN EL ESTADO DE JALISCO	100.00% 30 Abr 2017 META 1	100.00% 31 Dic 2017 META 2	100% ✔
	01 Ene 2017 a 31 Dic 2017			
	＋ DESCRIPCIÓN, DETALLES Y RESPONSABLES	QUIERO VER EL RESULTADO		

CHAPTER II SUMMARY

After favorable contexts were created to foster the exercise of open-government as discussed in Chapter I, the second chapter in this handbook is aimed at providing specific recommendations on how to design and put open-government commitments into practice.

One of the main challenges identified in Chapter II is the one posed by drafting an accurate description of a problem. As discussed, a public problem is seldom the result of a single cause. Therefore, successful definition of a problem rests on the creation of plural groups which by their combined contributions, experience and knowledge are able to link causes and effects in an orderly sequence as illustrated by the tool known as "problem tree".

Insofar as public problems are described precisely and in detail and are also accompanied by robust diagnoses that contribute evidence to describe a problem situation, the process to offer solution alternatives will be much more successful.

In regard to the matter addressed above, it is important to mention that in designing solution alternatives, solutions of unlikely compliance should be avoided so as not to undermine the trust of the stakeholders involved.

An important feature of the process of finding solution alternatives is that it reveals the capabilities of those who are in charge of implementation (public officials) and of the persons or bodies responsible for overseeing the actions (civil society, academia, expert individuals and the community of practice) in key negotiation processes. It is important to keep in mind that those in charge of implementation cannot undertake actions that are beyond the scope

of their purview. Therefore, solution alternatives must be aimed at positively modifying a situation affecting a specific group, community or region.

Solution alternatives, in the specific case of this handbook, must be expressed in commitments, it being understood that such commitments must be created through multisectoral consultation processes between society and government.

Successful commitment design is closely related to their specificity, measurability, relevancy and transformational potential. Thus, commitments must be drafted to express clearly identified objectives, be aimed at addressing problems, and list a series of concatenated activities in which the parties responsible for the implementation of each one of the activities are clearly identified.

At the end of Chapter II, four topical suggestions are provided to be taken into account in drafting commitments, aimed at contributing to common cross-cutting agendas, such as:

a) Monitoring the application of public funds (Follow the Money)

b) Designing commitments from a gender perspective

c) Strengthening local anticorruption systems

d) Designing commitments in alignment with the 2030 Sustainable Development Agenda

Finally, Chapter II ends by addressing specific monitoring and follow-up activities. Indicators will serve as guidelines for those in charge of implementation and those responsible for follow-up to overcome unforeseen circumstances, bottlenecks or external factors which may delay the attainment of the objectives established for each commitment.

It is important not to lose sight when designing indicators, that these are of two types: those aimed at monitoring compliance with activities, known as "management indicators", and those aimed at measuring the impact of the actions undertaken, also known as "effectiveness indicators".

The following chart summarizes the content of this chapter:

Local Technical Secretariat	- Pluraility in the design of the space for dialog - Establishment of specific rules (Governance mechanism)
Local Action Plan	- Problem identification (causes and effects) - Plural design of solution alternatives
Commitment Creation	- Specific, measurable and results-oriented, with a high transformative potential. - Commitments: FtM, Gender perspective, 2030 Agenda, Anticorruption.
Indicator Design	- Determination of management indicators to identify progress in activity fulfillment. - Determination of effectiveness indicators to measure results and impact. - Design of control panels

FINAL RECOMMENDATIONS

Governments at the federal, state and municipal levels always claim that citizens have been taken into account in the resolution of diverse problems. In so doing, they open up discussion panels to be attended by civil society, surveys among citizens are conducted, observations in regard to laws are made by the different bars or attorneys' professional associations, opinions from research institutions are sought on the design of a given policy, and advisory committees are set up on a continuous basis in order to solve daily-life situations considered to be transcendental. After reviewing this handbook, it is obvious that open government contributes in narrowing down problem complexity and increases the possibility of obtaining results by addressing citizens' needs in an orderly, measurable, assessable and monitorable manner and does so by relying on the conviction and the will of the stakeholders. Open government must be understood by public servants and citizens as a democratic contract that provides for extremely clear commitments and goals which contribute innovative schemes for collaboration in the resolution of public problems.

As can be seen, this handbook represents an effort to document general and tested practices which serve to build effective communication bridges between governments and the citizenry in the search to find solution alternatives. Finding such alternatives necessarily entails not only counting with the political will of stakeholders (a required component to bring about change) but also methodological tools to:

a) Arrive at relevant diagnoses regarding large-scale public problems. Inasmuch as the multicausal features of the problem are determined in an orderly fashion and effects are identified in their interrelationships, alternative solutions will be more viable, suitable, effective and efficient.

b) Draft precise and specific assertive commitments which are expressed in a simple language having a high transformational potential, which will allow those in charge of their implementation or key stakeholders to define actions aimed at achieving general or specific objectives.

c) Design work plans on the basis or roadmaps which will allow for the identification of timeframes, deliverables and the assignation of precise responsible parties, to attain the objectives established to address specific public problems.

As can be seen, the process of making open government our own must be understood as entailing dissension to reach collaboration, with its contributions in the fight against corruption and its innovative manifestations which provide numerous inputs to change realities, and in doing so we must place special emphasis on how it will assist in complying with the 2030 Agenda in Mexico.

As regards the contexts that foster open government, we can say that open government should be implemented in environments where the rule of law prevails, where progress towards democracy is taking place and human rights are upheld. Nonetheless, one should be aware that it is precisely through the practice of open government that paths are opened for dialogue on matters such as security and justice and social inclusion of vulnerable or discriminated people, and as was illustrated by the various examples provided, open government fosters the identification of innovative areas of opportunity which can lead to a new governance scheme and governmental openness.

As formerly discussed, this handbook is intended as a contribution aimed at facilitating the construction of solution alternatives to public problems which have, by traditional public administration methods, come to bottlenecks. The acknowledgment of open government as a tool and of its alignment with other instruments for change, such as the United Nations Development Agenda, evidence the will of agents of change who seek to exert a positive impact on the quality of life of the population.

ANNEX I

Co-creation Commitments

Open government commitments undertaken by the federated states must be the result of a participatory process

Why does participation matter?

Participation allows:

1. The recognition of needs not identified by traditional channels
2. The identification of innovative solutions brought forward by civil society organizations
3. The establishment of dialog and collaboration between public officials and citizens
4. The strengthening of social accountability

And has the potential for:

1. Increasing trust between authorities and citizens
2. Sensitizing authorities in regard to social demands
3. Fostering social inclusion in public policy processes

How to participate?

There are many mechanisms and possibilities which allow citizens to:

INFORM   CONSULT   BECOME INVOLVED   COLLABORATE   BECOME EMPOWERED

The key is found in combining spaces having different scopes:

Expression + Consultation + Collaboration = Commitment co-creation

BIBLIOGRAPHY

Aldunate, E., & Córdoba, J. (April, 2011). Formulación de programas con la metodología de marco lógico. *Serie Manuales #68*. Retrieved from http://unpan1.un.org/intradoc/groups/public/documents/uneclac/unpan045744.pdf

Bárcena, A. (July 18th, 2016). Alicia Bárcena: No dejar a nadie atrás significa que nadie puede ser invisible. *CEPAL Comunicado*. Retrieved from https://www.cepal.org/es/comunicados/alicia-barcena-dejar-nadie-atras-significa-que-nadie-puede-ser-invisible

Campos, G. N. (2017). Mecanismo de Revisión Independiente (MRI): *Informe de Avances de México 2016-2018*. Retrieved from https://www.opengovpartnership.org/sites/default/files/Mexico_Mid-Term_Report_2016-2018_Comments-Received.pdf

CEPAL. (2017). *Serie Manuales #81* Plan de gobierno abierto: una hoja de ruta para los gobiernos de la región. Retrieved from https://repositorio.cepal.org/bitstream/handle/11362/36665/S1700687_es.pdf?sequence=4

CIVICUS. (2016). *Guía para informar sobre el espacio público*. Ginebra: Embajada de Suiza.

CONEVAL. (June, 2014). *Manual para el Diseño y la Construcción de indicadores. Instrumentos principales para el monitoreo de programas sociales en México*. Consejo Nacional de Evaluación de la Política de Desarrollo Social. Retrieved from https://www.coneval.org.mx/Informes/Coordinacion/Publicaciones%20oficiales/MANUAL_PARA_EL_DISENO_Y_CONTRUCCION_DE_INDICADORES.pdf

INAI. (May, 2017). *Guía de cocreación de compromisos I: Ruta de participación*. Retrieved from http://inicio.ifai.org.mx/SiteCollectionDocuments/Transparencia/Modelo%20de%20Gobierno%20Abierto/guiacocreaciondecompromisos.pdf

INAI. (April, 2017). *Guía de Secretariados Técnicos Locales*. Retrieved from http://inicio.inai.org.mx/SiteCollectionDocuments/Transparencia/Modelo%20de%20Gobierno%20Abierto/guiastl.pdf

Mejía, J. L. (2016). *Elementos y fundamentos para un Gobierno Abierto en Gobierno Abierto para la Consolidación democrática*. (R. P. Martínez, Ed.) México: Tirant Lo Blanch.

OCDE. (2016). *Open Government: The Global Context and the Way Forward*. Retrieved from https://doi.org/10.1787/9789264268104-en

Peña, J. (2010). *La Sociedad Civil.* España: Alianza.

"To receive updated information, please review the open government and transparency web page: http://micrositios.inai.org.mx/gobiernoabierto and subscribe to the *newsletter*".