

Open GOVERNMENT



Metric

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Executive summary

In only a few years, Mexico has created a set of norms, institutions and mechanisms that have transformed the ways in which citizens may gain access to information generated and guarded by their governments. Since 2007, several studies—including three editions of *Métrica de la Transparencia* (2007, 2010, 2014)—have underscored these changes, documenting both the strengths and weaknesses of the nation’s transparency system. Open government is a novel concept that was recently incorporated into the agenda, which has led transparency to be coupled with improvements in citizen participation (from consultations to co-creation mechanisms).

The Open Government Metric (henceforth, the Metric) considers these changes to assess how much information citizens can access on what their governments are doing, and evaluate the extent to which they may influence public decision-making. This Metric is better understood as a baseline that outlines the current status of the National Transparency, Access to Information, and Personal Data Protection System (SNT) and of its underlying open government and proactive transparency policies. It does not measure progress in terms of legislative updates. It does not focus entirely on the mere existence of procedures or on the fulfillment of legal obligations. It is not an assessment of the General Act on Transparency and Access to Public Information (LGTAIP) or the performance of institutions tasked with guaranteeing transparency -guarantor agencies. It is rather a comprehensive picture of the baseline for Mexico’s open government policy.

This measurement is based on an operationalizable (i.e. observable, measurable) definition of open government, which considers open governments to require public information to be useful for citizens, and participation mechanisms to actually allow citizens to get involved in their governments’ decision-making procedures. Our measurement tool considers two dimensions (See Figure 1)—transparency and citizen participation—as well as two perspectives—the government’s and the citizen’s.

Figure 1. Measuring open government: dimensions and perspectives.

	Transparency	Citizen participation
Government's perspective	<i>Does the government make information about its actions and decisions public? To what extent? What quality is it?</i>	<i>What are the ways in which citizens may have an influence on public decision-making?</i>
Citizen's perspective	<i>How feasible is it for citizens to obtain timely, relevant information to make decisions?</i>	<i>How easy is it for citizens to activate any mechanisms that would provide them with influence over decision-making?</i>

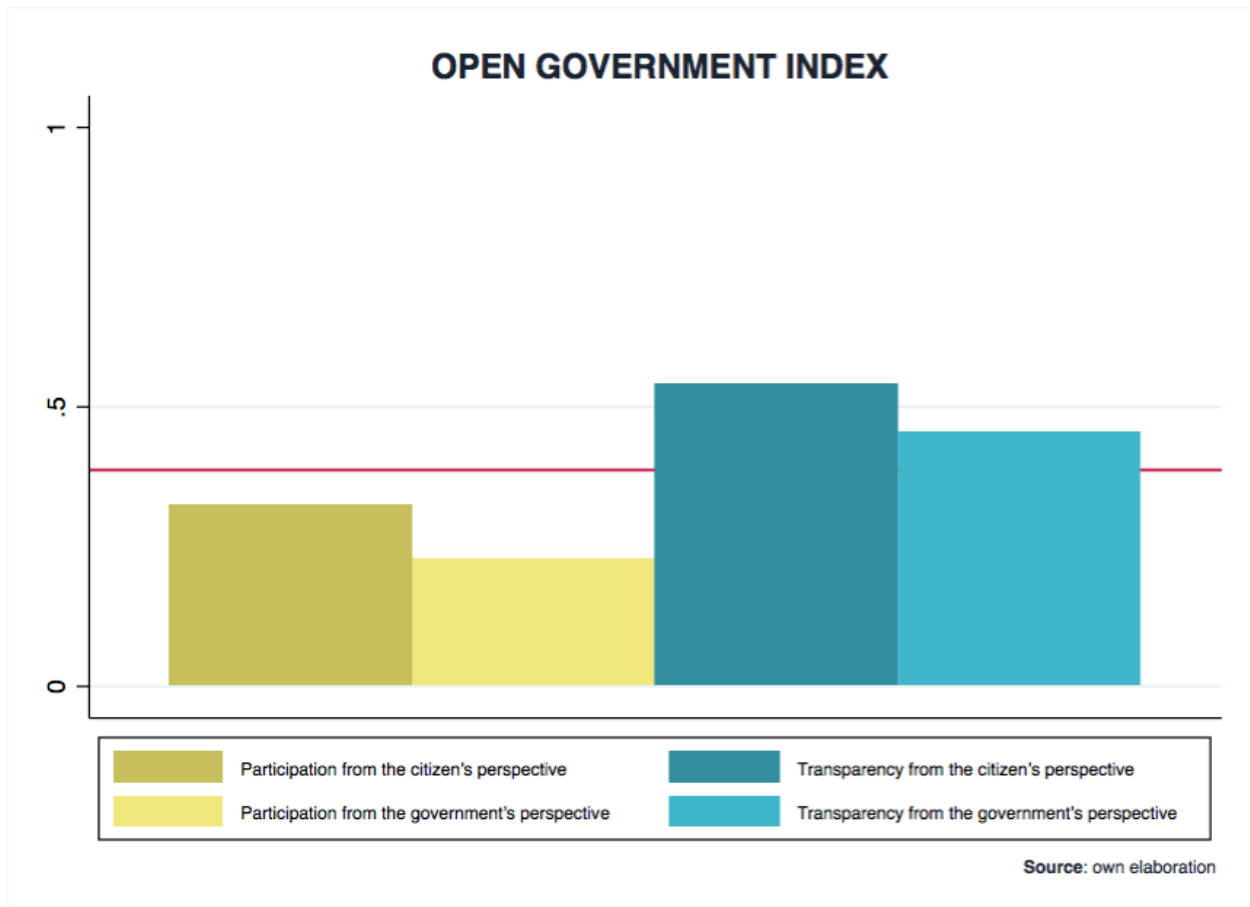
Source: own elaboration.

Combining these perspectives and dimensions results in our open government measurement tool, which considers a total of nine indexes. The general index is the *Open Government Index (OG)*, which results from the average of the Open Government from the government's perspective and the Open Government from the citizen's perspective Subindexes. Each of these subindexes equals the average of the transparency and citizen participation subindexes that correspond with each perspective.

Measuring each of these indexes and subindexes required an analysis of the relevant legal framework, a revision of every regulated entity's website, and a considerable number of simulations. Following a pilot test, we began collecting data for the Metric considering a sample of 908 regulated entities, which led us to review 754 websites and submit 3,635 information requests.

As a product of our Metric, we calculated the Open Government Index, for which the national score equals 0.39 (on a scale from 0 to 1). As noted above, the Index considers two dimensions—transparency and participation—seen from both the government's and the citizen's perspective (See Graph 1). The score for transparency (0.5) is considerably greater than the score for participation (0.28). This may be due to the considerable progress Mexico has shown in the creation of transparency regulations, institutions, and procedures over the last few years, which contrasts with the fact that there is no comparable legal or institutional framework for participation.

Graph 1



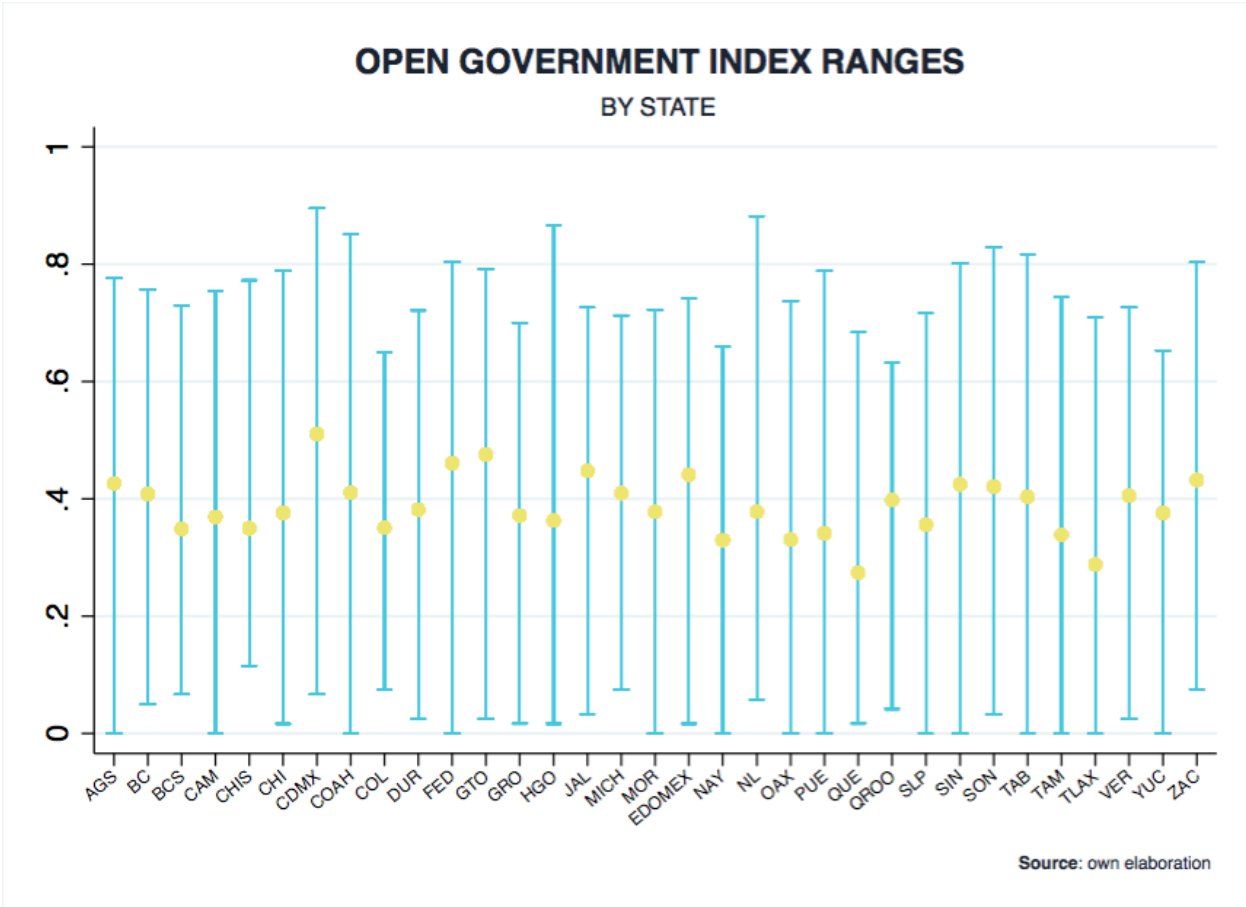
Overall, scores tend to be low, which shows the long way ahead (especially in the participation dimension) for Mexican governments to truly allow citizens to gain knowledge about and have influence over their governments. Our measurement sets a higher standard for transparency than CIDE's *Métrica de la Transparencia*: aside from adding participation as a whole new dimension of open government, we have also considered certain new elements (e.g. open data) and included new regulated entities (which are in the process of developing access to information procedures) in our measurement.

In terms of transparency, performance levels from the citizen's perspective (0.54) are better than from the government's perspective (0.46). This means that when citizens pose questions about any given government activity, they are more likely to receive complete answers in adequate formats than when they pose questions that center on administrative issues. This pattern repeats itself across states, types of regulated entities, and areas of government.

The Metric also shows that governments do not usually have formal participation mechanisms, and citizens rarely manage to activate mechanisms to influence decision-making. In fact, only 16% of the regulated entities we contacted with a policy proposal activated a mechanism that would have allowed a citizen to formally discuss their ideas. On average, the scores are higher from the citizen’s perspective (0.33) than from the government’s perspective (0.23).

In the case of the Mexican states, the average performance levels are poor (See Appendix 5). Our most relevant finding is that variation across institutions within each state is three times as large as the average differences between states. Graph 2 shows that the average difference between the best and the worst performing regulated entities in each state is 0.89, while overall Open Government Index scores for the 32 states range from 0.27 to 0.51.

Graph 2



This all means that, regardless of the state, citizens must in general go through a series of steps before they can get their hands on some useful information from their government or initiate

a participation process. Indeed, although some states' average performance merits high scores, regulated entities within them show considerable variation.

Graph 2 is evidence of this. In every state, there are regulated entities with performance levels that merit scores considerably close to zero. However, also in every state, there are regulated entities that got a 'passing' or even satisfactory score, i.e. higher than 0.8. The fact that some states scored high on the Open Government Index does not mean that every time their citizens approach government institutions their right to access to information will be fully guaranteed, or that their chances of participating in a decision-making process will always be the same for every institution. This will all depend on the particular institution they approach. This is why our study only makes sense when regulated entities are our unit of analysis (as opposed to states)—it allows not only for comparisons across regulated entities with a similar set of attributions, but also for a more detailed understanding of the specific challenges each state faces in their road to an open government.

Our results suggest eight main findings:

1. Governments have internalized and institutionalized transparency, but not citizen participation.

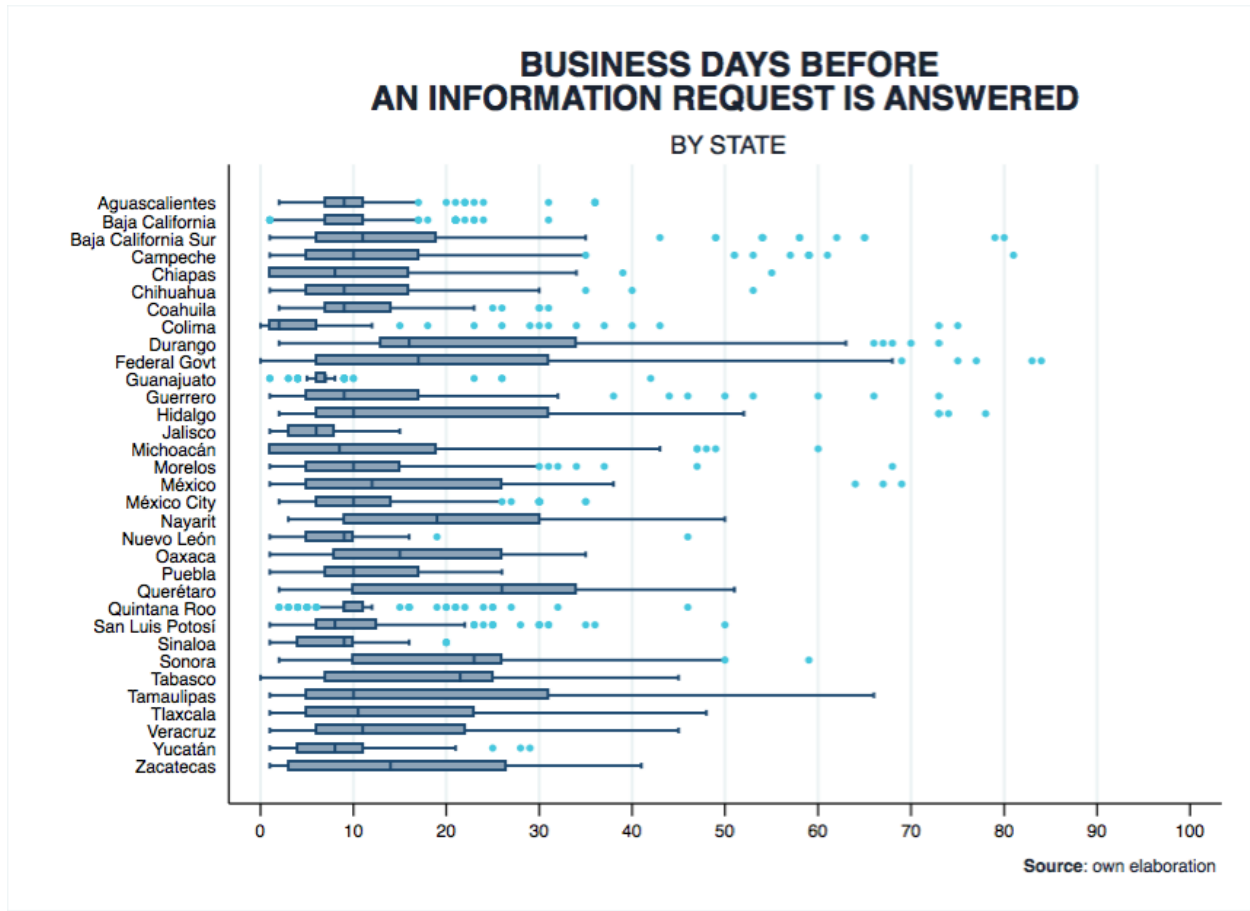
In the case of almost every regulated entity, it is possible for citizens to find a way of placing a request, which will then be processed by someone who will be familiar with the process and timeframe they are expected to adhere to. We can also say that, by the end of the process, citizens will receive full information. Access to information is the main strength of the national transparency system and also the most reliable component of open government in Mexico.

Participation, in contrast, is not institutionalized and its mechanisms have not been fully formalized. In many cases, the relevant regulations tend to focus on direct democracy mechanisms, which do not really allow for citizens to continuously influence government actions. Where we sought to present regulated entities with policy proposals related to substantive policy areas, the process was considerably complicated, mainly because contact mechanisms tend to be unclear and ineffective; and once someone contacts regulated entities, rarely are they able to detonate any mechanism that will have an influence over government decision-making.

2. Opaque practices that hinder access to information still remain.

Out of the total amount of information requests we were able to place, 83.24% received a response. This demonstrates access to information request procedures are considerably solid. Despite the favorable results, we were still able to detect certain practices that favor opacity despite legal reforms and of the consolidation of information request response mechanisms. Requests for clarifications and extensions on the part of regulated entities make it possible for them to legally push their deadlines way beyond the ideal timeframe. This is a very common scenario: as shown by Graph 3, the average number of business days regulated entities took to respond information requests was lower than 10 in only 43% of the Mexican states (we only count requests that actually received a response). The average was greater than 20 business days for three states. The federal government took more than 30 business days to respond 1 in every 4 requests.

Graph 3



Note: The average number of days each state took to respond is indicated by the line inside each box. The limits of the boxes represent the 25th and 75th percentiles. The whiskers are two standard deviations long on each side of the boxes. The rest of the dots represent extreme values (those that are farther than two standard deviations from the average value).

3. The mechanisms through which the government allows citizens to become involved in decision-making are still minimal, dispersed and inefficacious.

When government institutions are asked about citizen participation, even though some of them are able to identify regulations on the matter and can point towards some formal or informal mechanisms, there is very little evidence that these are actually being monitored, especially regarding their influence on government decisions.

During our fieldwork, we found that regulated entities from the three levels of government have adopted various different mechanisms of participation, which are generally disconnected from any substantive discussions and whose procedures are confusing both for prospective participants and public officials. Many of the most effective practices are not institutionalized. For example, some monitoring structures lack any mechanisms to actually look into irregularities reported by the citizens, and therefore reports do not lead to anything unless public officials have the will to take action.

4. Open government policy already has strong foundations: citizens are able to obtain basic information that is then the basis of decisions that affect their daily lives.

Our Metric also included a review of the way in which regulated entities respond to simple questions related to their corresponding policy areas, to gauge whether citizens are able to access timely information to make common decisions. Performance levels in this area were greater than the overall Open Government Index score; on average, regulated entities scored a 0.63. This means that when citizens seek access to information, most of the times they get clear and complete answers within a more or less reasonable period of time.

This is a positive finding: access to information is an effective mechanism for citizens to obtain information that will aid them in decisions that only benefit them. Despite the window of opportunity (e.g. information could be delivered to citizens more quickly), this is the foundation for transparency and for any open government policy. Without this foundation—which allows citizens

to access basic information that will aid them in everyday decisions—any other element (from open data to sophisticated strategies for co-creation) would be rendered useless.

5. New regulated entities have a long way to go to shorten the distance that separates them from the rest.

Our results show that institutions for which transparency is a new obligation—except political parties, to a certain extent—consistently rank at the bottom in any of the Metric’s dimensions or perspectives. Only 58.92% of them have devised electronic mechanisms for access to information; only half of them (51.03%) have a website, and none provide open data.

This is partly a result of the fact that they only acquired transparency obligations fairly recently, which means they are still generating the tools they need to fulfill them. However, there is an additional reason which is not exclusive to these regulated entities: the tension between the Act’s (LGTAIP) and the National Transparency System’s homogenizing logic on one hand, and the particular nature of the tasks each of these institutions perform on the other. Trust funds, political parties, and unions are starkly different from mayorships or ministries in terms of the tasks they each perform, their overall structure, and the nature of information they generate and therefore must make public.

6. Municipalities are less opaque than state governments, and also have better participation mechanisms.

Mayorships, which in Mexico are usually thought of as the less developed regulated entities, have managed to create transparency and participation systems, which work just as well or even better than those of other levels of government. This does not imply that their level of performance is ideal. Their Open Government Index score equals 0.41, while states and the federation respectively scored an average of 0.38 and 0.46 (See Graph 14). These calculations are based on a total of 155 municipalities from all 31 states, plus five territorial demarcations from Mexico City.¹

¹ We considered, for every state, the municipality for the capital city and an additional four municipalities, which were selected on the basis of two criteria: population (two with more than 70,000 inhabitants and two with less than 70,000 inhabitants), and party (each of them under the rule of a different party). For Mexico City, we selected five territorial demarcations favoring diversity in terms of the party in power as much as possible.

In terms of transparency, municipalities present an average score that is low, but still greater than the score for states: the former got a 0.52, while the latter got a 0.49. In terms of participation, while municipalities scored better than states (0.30 versus 0.27) and roughly the same as the federal government (0.31), their level of performance remains low, especially considering that this level of government is the closest to the citizens. We cannot say that municipalities have fully institutionalized citizen participation. What we can say is that their level of performance is better than that of many other regulated entities with much more resources and institutional capacity.

7. Most regulated entities have websites, but these tend not to have useful information.

Although 94% of the regulated entities have their own websites, most of these do not have all the required information.² Institutions from the federal government scored an average of 0.31 in the subindex that measures the extent to which the information that should be available in every institution's website is complete. For state and municipal regulated entities, the average scores were 0.30 and 0.38. This suggests that there is still a long way to go for institutions to actually fulfill their LGTAIP obligations.

Moreover, institutional websites tend to lack information that would be useful for citizens' everyday lives. The proactive transparency subindex, which measures the extent to which regulated entities disclose any information that is not required by law as well as whether it is aimed at any particular audience, equals 0.15. This means that, for the most part, regulated entities do not publish any information besides what the LGTAIP requires (or at least they do not label it under proactive transparency) (0.22) and that, when they do, the information is not focalized (0.08), which means it is not organized in any way that may suggest a particular use for any particular population. Most of the progress associated with proactive transparency comes from federal institutions, which scored a 0.35—particularly the Executive, which got the highest score (0.88).

8. The National System of Transparency, Access to Information and Protection of Personal Data (SNT) has a complex, varied agenda filled with dilemmas ahead.

² While the initial deadline for institutions to fulfill these transparency obligations was postponed (from November 5, 2016 to May 4, 2017), we seek here to define a baseline against which any progress may be compared in future years.

In the coming years, the SNT will face the challenge of implementing an ambitious agenda set by the LGTAIP in a considerably heterogenous context (with regulated entities that have a long time working on their transparency obligations and others that were just recently incorporated into this regime, all with very different levels of institutional capacity), in which there are examples of higher and lower levels of performance across the federal government and every state. No level of government can consider their basic challenges overcome.

Our Metric shows that, looking ahead, the SNT has to deal with both very sophisticated, advanced issues and the building of basic transparency infrastructure and capacities. This includes the great challenges facing those regulated entities that just became part of the transparency regime, who still need to develop procedures, create websites, and begin to participate on existing processes and mechanisms. All regulated entities, both old and new to this system, also face the challenge of combatting opaque practices that leave citizens with no clear, complete answers to their questions. There is also a fundamental task regarding the preservation and management of archives, which are essential for information to be available for citizens. These challenges, that might be considered ‘first generation’, still remain for basically every institution.

* * *

The baseline outlined by this Metric, which identifies clear progress but also some great challenges for the Mexican State, measures precisely those attributes of open government that are expected to improve with the implementation of the SNT. Beyond any changes to laws and procedures, updates to websites, complex computer systems or formal participation mechanisms, we must not lose sight of the citizen’s perspective, which must guide all of our efforts. The Mexican government will not be open until, by the end of the road, citizens are able to effectively access public information and have an influence on government decision-making.

Introduction

In only a few years, Mexico has created a set of norms, institutions and mechanisms that have transformed the ways in which citizens may access information generated and guarded by their governments. Since 2007, several studies—including three editions of *Métrica de la Transparencia* (2007, 2010, 2014)—³ have underscored these changes, noting the progress in the right to information, the updates in transparency regulations, the adjustments in transparency websites, the strength of guarantor agencies, as well as the improvements in user experience. They have also documented the remaining challenges and setbacks, and pointed towards the clear disparity between states, institutions, and policy areas.

After a rapid process of legal reforms, institutional adjustments and organizational changes, today Mexico has a Constitution that guarantees the right to information; a National System of Transparency, Access to Information and Protection of Personal Data (henceforth SNT); a General Act of Transparency and Access to Public Information (henceforth LGTAIP); an autonomous national body—the National Institute of Transparency, Access to Information and Data Protection (or INAI)—, and 32 state guarantor agencies. There are new sets of regulations on both access to information procedures and the type of information institutions must make public; a new National Transparency Platform (PNT) has been launched and INAI has worked on guidelines, formats and training to secure compliance with said regulations. There are also renewed technical expectations (e.g. open data) and a new agenda towards proactive transparency.

At the same time, a newer concept has emerged in the transparency agenda: open government. Mexico's involvement in the Open Government Partnership, the creation of an Open Government Technical Secretariat, the development of action plans, Mexico City's hosting of the Open Government Global Summit in 2015, the upsurge in open government initiatives in local spaces, as well as the inclusion of open government as one of the principles, policies and mechanisms in the LGTAIP⁴ show the increasing relevance of this concept in the policy agenda, which has led

³ See <http://www.metricadetransparencia.cide.edu>

⁴ The LGTAIP already establishes open government obligations:

Article 42. Fraction XX. Guarantor Agencies, in the exercise of their powers and for the fulfillment of the objectives of this Act, shall promote the principles of open government, transparency, accountability, citizen participation, accessibility and technological innovation

Chapter III. On Open Government. Article 59. Guarantor Agencies, within the areas of their powers will contribute, with the regulated entities and representatives of civil society in the implementation of mechanisms of collaboration for the promotion and implementation of policies and mechanisms for open government

transparency to be coupled with improvements in citizen participation (from consultations to co-creation exercises).

The Open Government Metric (henceforth, the Metric) considers these changes and proposes an innovative methodology which, unlike other measurements, focuses not so much on legislative reforms or on the fulfillment of legal criteria, but rather adopts the wider notion of open government and considers the citizen's point of view. The Metric thus seeks to assess how much information citizens can get on what their governments are doing, and also evaluate the extent to which they may influence public decision-making. Before going into the results of our measurement, we present our concept of open government, which is based on a comprehensive literature review, an analysis of different existing measurements of this concept, as well as an expert survey, and also manages to identify an observable, common practice that can be compared through time for every government institution. Our calculations for the Open Government Index (and its indicators) are based on this concept.

We considered 908 regulated entities with transparency obligations. Our assessments were based on 3,635 information requests, a revision of all their websites, an analysis of the applicable legal framework, a series of internet searches, and a vast amount of user simulations. After a pilot test at the beginning of 2016, we compiled data on transparency and citizen participation across the country from May to October of the same year. The third section of this report presents an aggregated version of the results, with graphs and figures that illustrate our main findings, as well as index and component scores. In general, scores tend to be low, which shows the long way ahead (especially in the participation dimension) for Mexican governments to truly allow citizens to gain knowledge about and have influence over their governments. Our measurement sets a higher standard for transparency than CIDE's *Métrica de la Transparencia*: aside from adding participation as a whole new dimension of open government, we have also considered certain new elements (e.g. open data) and included new regulated entities (which are in the process of developing access to information procedures) into our measurement.⁵ Based on our results, as well as on information gathered as a part of our fieldwork in four Mexican states (Morelos, Sonora, Jalisco, and Oaxaca), we outline some main findings about the status of open government in Mexico. We also include a

⁵ These new regulated entities are: trust funds, political parties, and unions. Since there are no clear criteria to identify those physical and moral persons that, according to the law, have transparency obligations, we did not include them here.

series of state profiles so as to provide some detail on the status of open government at the subnational level.

This Metric is better understood as a snapshot that outlines the current status of the SNT and of its underlying open government and proactive transparency policies. It does not measure progress in terms of legislative reform. It does not focus entirely on the mere existence of procedures or the fulfillment of legal obligations. It is not an assessment of the LGTAIP or the performance of guarantor agencies. It is rather a comprehensive picture of the baseline for Mexico's open government policy.

The Open Government Metric

In the last years, two main research agendas on open government have evolved simultaneously. On one hand, multiple efforts have been devoted to define and characterize open government. On the other hand, there have been various attempts at measuring said concept. These agendas have not been necessarily complementary, although it is clear that any measurement of open government carries an implicit definition.

We undertook three distinctive efforts to generate an operationalizable (i.e. observable, measurable) definition of open government. First, we reviewed the relevant literature in order to locate the most frequently referred concepts in definitions for open government. Second, we reviewed the main indexes and measurements for open government (and some other related concepts, such as transparency and open data) to examine the way others have attempted to observe any developments. Third, we developed an expert survey in order to gauge experts’ ideas about the ideal features of open governments.

On that basis, we concluded that an open government requires information on its actions to be transparent and useful for citizens, and also government-created participation mechanisms that seek to incorporate citizens’ views into policymaking. We therefore decided our measurement for open government would consider two dimensions—transparency and citizen participation—as well as two perspectives—the government’s and the citizen’s—(see Figure 1; see Appendix 1 for further details on this conceptualization).

Figure 1. Measuring open government: dimensions and perspectives.

	Transparency	Citizen participation
Government’s perspective	<i>Does the government make information about its actions and decisions public? To what extent? What quality is it?</i>	<i>What are the ways in which citizens may have an influence on public decision-making?</i>
Citizen’s perspective	<i>How feasible is it for citizens to obtain timely, relevant information to make decisions?</i>	<i>How easy is it for citizens to activate any mechanisms that would provide them with influence over decision-making?</i>

Source: own elaboration.

Our measurement tool combines these dimensions and perspectives, allowing for the calculation of a total of nine indexes that provide a full picture of the status of open government in Mexico (See Table 1).

Table 1. Open Government Metric: indexes and subindexes.

Index	Calculation method	Variables
Open Government Index	$OG = \frac{OGg + OGc}{2}$	OGg = Open Government from the government's perspective Subindex OGc = Open Government from the citizen's perspective Subindex
Open Government from the government's perspective Subindex	$OGg = \frac{TG + PG}{2}$	TG = Transparency from the government's perspective Subindex PG = Participation from the citizen's perspective Subindex
Open Government from the citizen's perspective Subindex	$OGc = \frac{TC + PC}{2}$	TC = Transparency from the citizen's perspective Subindex PC = Participation from the citizen's perspective Subindex
Transparency Subindex	$T = \frac{TG + TC}{2}$	TG = Transparency from the government's perspective Subindex TC = Transparency from the citizen's perspective Subindex
Transparency from the government's perspective Subindex	$TG = AI (.5) + RT (.2) + PT (.2) + OD (.1)$	AI = Access to information RT = Reactive transparency PT = Proactive transparency OD = Open data
Transparency from the citizen's perspective Subindex	$TC = \frac{Avail + Clear + Comp + Speed}{4}$	Avail = Available information Clear = Clear information Comp = Complete information Speed = Speed of responses to information requests
Participation Subindex	$P = \frac{PG + PC}{2}$	PG = Participation from the government's perspective Subindex PC = Participation from the citizen's perspective Subindex

Index	Calculation method	Variables
Participation from the government's perspective Subindex	$PG = Mech (.2) + Act (.1) + Fun (.3) + Form (.1) Foll (.3)$	<p>Mech = Existence of participation mechanisms</p> <p>Act = Type of actors involved in the mechanism</p> <p>Fun = Evidence that at least one of the mechanisms operates</p> <p>Form = Format of participation</p> <p>Foll = Follow-up for agreements, opinions or decisions</p>
Participation from the citizen's perspective Subindex	$PC = Mech (.2) + Recep (.3) + Act (.3) + Speed (.2)$	<p>Mech = The existence of any mechanism through which to contact the institution and send a policy proposal</p> <p>Recep = Telephonic or electronic communication to confirm reception of the proposal.</p> <p>Act = Activation of any mechanism, via telephone or e-mail</p> <p>Speed = Speed with which the institution provides a response to the citizen's proposal</p>

Source: own elaboration.

The Open Government Index (OG) is our general index, which results from averaging the Open Government from the government's perspective Subindex (OGg) and the Open Government from the citizen's perspective Subindex (OGc). Each of these subindexes results from averaging the corresponding transparency and participation subindexes. Our OGg subindex incorporates our measurements for transparency and participation from the government's perspective (TG and PG, respectively), while our OGc subindex does the equivalent from the citizen's perspective (TC and PC, respectively). This is expressed by the following formulae:

$$OG = \frac{OGg + OGc}{2}$$

where

$$OGg = \frac{TG+PG}{2} \quad y \quad OGc = \frac{TC+PC}{2}$$

Our Transparency from the government’s perspective Subindex (TG) assesses the extent to which each institution provides citizens with the information they have under their control by looking at four variables: Access to information, Reactive transparency, Proactive transparency, and Open data. Our Transparency from the citizen’s perspective Subindex (TC) in turn evaluates how difficult it is for citizens to obtain information they need for common decisions, and it is comprised by the following variables: Available information, Clear information, Complete information, and Speed.

On a similar vein, our Participation from the government’s perspective Subindex (PG) looks at whether formal or informal participation mechanisms exist for each institution—and in case they do, it also evaluates the way they work. This Subindex is measured by the following variables: Participation mechanisms, Actors involved, Mechanism operations, Format, and Follow-up. Our Participation from the citizen’s perspective Subindex (PC) gauges any opportunities citizens have to activate a participation mechanism by looking at four variables: Contact mechanisms, Reception, Activation, and Speed. (See Appendix 2)

The following table shows how all our Subindexes are calculated.

Table 2. Open Government subindexes: calculation methods.

Component	Transparency from the government’s perspective
Variables	<i>TG- AI (.5) + RT (.2) + PT (.2) + OD (.1)</i>

	<p style="text-align: center;">AI = (Regulations + Mechanism + Speed + Deadline + Completeness) / 5</p> <p>Regulations = <i>Does the law establish any mechanisms through which citizens may submit information requests?</i> 1: The law establishes a mechanism through which citizens may submit information requests. 0: The law does not.</p> <p>Mechanism = <i>Is there an electronic mechanism through which citizens may submit information requests?</i> 1: There is an electronic mechanism through which citizens may submit information requests. 0: There is not.</p> <p>Deadline = <i>Was the information provided within 30 business days?</i> 1: The information was provided within the legal deadline of 30 business days. 0: The information was not provided within the legal deadline of 30 business days.</p> <p>Speed = <i>speed with which the institution responded to the information request</i> 1 - (number of business days /30)</p> <p>Completeness = <i>The information provided by the institution was complete.</i> 1: The response is complete. 0,5: The response is partially complete. 0: The response does not provide relevant information.</p>
<p>Calculation methods</p>	<p style="text-align: center;">RT = (Fractions + Accessibility + Navigation Route + Legibility + Engine + Plug-ins) / 6</p> <p>Fractions = <i>Is all the information required by article 70, fractions II, XI, XIII, XVI, XXI, XXIII, XXIV, XXXII, XXXIV, XXXVII, XXXIX, XLII available on the website?</i> 1: The information is complete. 0,5: The information is partially complete. 0: None of the information is available Fractions equals the simple average of every sub-variable.</p> <p>Accessibility = <i>Can the site be accessed through at least two browsers?</i> If the website can be accessed through at least two of our selected browsers (Google Chrome, Internet Explorer y Firefox), award 1 point; zero otherwise.</p> <p>Navigation Route = <i>Is there a navigation route for every section of the website?</i> 1: There is a navigation route. 0: There is no navigation route.</p> <p>Readability = <i>Is there a tool to modify font size in every section of the website?</i> 1: There is a tool to modify font size. 0: There is no tool to modify font size.</p> <p>Engine = <i>Is there a search engine in the website?</i> 1: There is a search engine in the website. 0: There is no search engine in the website.</p> <p>Plug-ins = <i>Does the website require users to install plug-ins?</i> 1: The website does not require users to install plug-ins 0: The website requires users to install plug-ins</p>

	<p style="text-align: center;">PT = (Availability + Focalization) / 2</p> <p>Availability – <i>Is there any additional information on a separate section under the name “proactive transparency”?</i></p> <p>1: Additional information (i.e. not required by law) can be found on a separate section of the website under the name “proactive/focalized transparency” 0: No information that is not required by law can be found on the website.</p> <p>Focalization – <i>Is the additional information targeted towards a certain audience, congruent with the website’s audience?</i></p> <p>1: Any additional information is grouped or presented in a way that suggests it is meant to be used for a particular purpose. 0: The additional information is not grouped or presented in any way that may suggest it is meant to be used for a particular purpose. If Availability = 0, assign 0.</p>
	<p style="text-align: center;">OD = (Existence + Digital + Machine + Cost-free + License + Updated + URL + Find) / 7</p> <p>Existence = <i>Open data from this institution exist.</i></p> <p>1: Open data from the institution may be found on datos.gob.mx, on the institution’s website or on the first page of a Google search. 0: No open data could be located</p> <p>Digital = <i>The data were generated in software for tables or databases.</i></p> <p>1: The dataset was generated as a digital file 0: The dataset was not generated as a digital file</p> <p>Machine = <i>The data can be read and edited by a machine.</i></p> <p>1: The dataset can be read by a word processor, spreadsheet or statistical program. 0: The dataset cannot be read by a word processor, spreadsheet or statistical program.</p> <p>Cost-free = <i>Data can be accessed free of cost.</i></p> <p>1: The database is free. 0: The database is not free.</p> <p>License = <i>The data are openly licensed</i></p> <p>1: The database is openly licensed 0: The database is not openly licensed</p> <p>Updated = <i>The data are at least from 2015</i></p> <p>1: The data were last updated on January 2015 or later 0: The data were not updated on January 2015 or later</p> <p>URL = <i>The data can be accessed through a clear URL</i></p> <p>1: The URL is clear 0: The URL is not clear</p> <p>Find = <i>The data can be found through a Bing search.</i></p> <p>1: The data appear on the first page of results after a Bing search 0: The data do not appear on the first page of results after a Bing search.</p>
Component	Transparency from the citizen’s perspective
Variables	$TC = \frac{Avail + Clear + Comp + Speed}{4}$

<p>Calculation methods</p>	<p style="text-align: center;">Avail – The information is available</p> <p>1: The institution declares the request does not fall into its sphere of competence, but points the citizen in the right direction.</p> <p>1: The institution provides the citizen with the corresponding information within the legal timeframe</p> <p>0: Otherwise.</p> <p style="text-align: center;">Clear – The information is clear</p> <p>1: The information is well organized and presented in plain language</p> <p>0,5: The organization is confusing, but the information is presented in plain language.</p> <p>0,5: The information is well organized but not presented in plain language</p> <p>0: The organization is confusing and the information is not presented in plain language</p> <p style="text-align: center;">Comp – The information is complete</p> <p>1: The institution provides all the relevant information</p> <p>0,5: The institution provides only part of the relevant information</p> <p>0: The institution does not provide relevant information.</p> <p style="text-align: center;">Speed – speed with which the institution responded to the information request</p> <p>1 – (number of business days /30)</p>
<p>Component</p>	<p style="text-align: center;">Participation from the government’s perspective</p>
<p>Variables</p>	<p style="text-align: center;">$PG= Mech (.2) + Act (.1) + Fun (.3) + Form (.1) Foll (.3)$</p>
<p>Calculation methods</p>	<p style="text-align: center;">Mech – Existence of participation mechanisms</p> <p>1: Regulations establish at least one participation mechanism</p> <p>0: Regulations do not establish any participation mechanisms</p> <p>0: The institution did not disclose its regulations</p> <p style="text-align: center;">Act – Type of actors involved in the participation mechanism</p> <p>1: There is at least one mechanism with an open call (in accordance with regulations)</p> <p>0: There are no mechanisms with an open call</p> <p>0: The institution did not disclose its regulations</p> <p>0: Regulations do not establish any participation mechanisms</p> <p style="text-align: center;">Fun = Evidence that at least one of the mechanisms operates</p> <p>1: Records or evidence indicate at least one of the mechanisms operates</p> <p>0: No mechanism operates</p> <p>0: The institution did not provide any evidence for its participation mechanisms</p> <p>0: Regulations do not establish any participation mechanisms</p> <p style="text-align: center;">Form – Format of participation</p> <p>0.33: if citizens are to be informed</p> <p>0.66: if citizens are to be consulted</p> <p>1: if citizens are to engage in discussions</p> <p>0: The institution did not provide any evidence for its participation mechanisms</p> <p>0: Regulations do not establish any participation mechanisms</p> <p style="text-align: center;">Foll – Follow-up for agreements, opinions or decisions</p> <p>1: There is evidence that at least one of the opinions/proposals/decisions/observations vested into the mechanism were considered in the decision-making process or motivated an action on the part of the institution</p>
<p>Component</p>	<p style="text-align: center;">Participation from the citizen’s perspective</p>

Variables	$PC = Mech (.2) + Recep (.3) + Act (.3) + Speed (.2)$
Calculation methods	<p>Mech – <i>The existence of any mechanism through which to contact the institution and send a policy proposal</i> Add 0.33 for every contact mechanism that exists: 1) telephone; 2) postal mail; 3) electronic inbox or e-mail</p> <p>Recep – <i>Telephonic or electronic communication to confirm reception of the proposal</i> 1: the e-mail merits a response before a call is placed, and within the first week after being sent 1: the e-mail merits a response once a call is placed, and within the first week after being sent 1: the e-mail merits a response two weeks after being sent 0: the e-mail did not merit a (timely) response 0: the institution could not be contacted</p> <p>Act – <i>Activation of any mechanism, via telephone or e-mail</i> 1: the institution says no, providing reasons 1: the institution gives the citizen an appointment 1: the institution asks for a more concrete proposal 0: the citizen is redirected towards a different mechanism 0: the institution did not reply</p> <p>Speed – <i>speed with which the institution responded to the citizen’s proposal</i> 1 – (number of business days /30)</p>

Source: own elaboration.

Each one of these indexes was measured through one of the following three methods (see Appendix 3):

1. **Legal framework analysis:** a review of the applicable regulations to determine the existence of mechanisms through which citizens may request information.
2. **Simulations:** this was the most frequent method; it required the creation of a fictional character that would place information requests, send e-mails and contact regulated entities over the telephone. Our aim was to determine how citizens are actually treated by institutions, in terms of transparency and citizen participation.
3. **Website analysis:** a revision of each institution’s website. We also performed searches on open data repositories and general Internet searches (on Bing).

To validate our measurement tool, we did a pilot test between March and June 2016 (See Appendix 4), which required us to: send information requests, review official websites, send policy proposals and interview federal, state, and municipal authorities, as well as civil society members.

The pilot test shed light on some necessary improvements, particularly regarding our sampling methods, our criteria for the design of questions or proposals, our specifications regarding the variables, and our schedule for the formal research process (see Appendix 4).

Data collection⁶

Measuring the Open Government Metric required two different sampling processes. For our analysis of the government’s perspective (for both the transparency and participation dimensions), our units of analysis were all regulated entities. However, for our analysis of the citizen’s perspective, our units of analysis were a series of policy areas. Our sample considered regulated entities from every level and branch of government, including every state⁷ and five municipalities from each one of them.⁸ In the end, our total sample for the government’s perspective had 908 regulated entities.

To measure open government from the government’s perspective, we considered nine types of regulated entities from the federal and state governments, plus five municipalities from every state (including Mexico City’s territorial demarcations). (See Table 3)

Table 3. Regulated entities considered by the Open Government Metric.

Level of government	Type of regulated entity	Institution	Number of institutions
Federal	Federal Executive	The President’s Office	1
		Secretariats	7
		General Attorney’s Office	1
		Decentralized organs	5
	Autonomous	Constitutional Autonomous Organs	5
	Trust funds	Federal trust funds	3
	Judiciary	Judiciary Council	1
		Supreme Court of Justice	1
		Federal tribunals	2

⁶ See Appendix 3 for more detail.

⁷ We use the term “state” to refer to the 31 Mexican states plus Mexico City.

⁸ We considered, for every state, the municipality for the capital city and an additional four municipalities, which were selected on the basis of two criteria: population (two with more than 70,000 inhabitants and two with less than 70,000 inhabitants), and party (each of them under the rule of a different party). For Mexico City, we selected five territorial demarcations favoring diversity in terms of the party in power as much as possible.

	Legislative	Chamber of Deputies	1
		Chamber of Senators	1
		Federal Supreme Audit	1
	Political parties	Political parties	11
	Unions	Federal unions	3
	Universities	Federal universities	3
State	State Executive	Governor's Office	32
		State Integral Family Development Office	32
		Secretariats	224
	Autonomous	State Electoral Institute	32
	Trust funds	State trust funds	64
	Judiciary	State Superior Tribunal of Justice	32
	Legislative	State Audit	31
		State Congress	32
	Political parties	Political parties	96
	Unions	State unions	64
Universities	State universities	63	
Municipal	Mayorship	Mayorship	160

Source: own elaboration

However, we were not able to submit information requests to every regulated entity, since for many of them we could not locate any specific electronic mechanisms (official website, transparency website, e-mail address). We were able to reach a total of 805 regulated entities for information requests. Most of the institutions we could not get in touch with were unions, political parties, and trust funds—that is, those which were assigned transparency obligations just recently. We reviewed only 754 websites, since we could not locate one for the remaining 154 regulated entities.

Measuring open government from the citizen's perspective required, for our transparency dimension, the formulation of a general question for all regulated entities related to a common policy area. In addition, we submitted information requests with a more specific question to every institution. This question was more directly linked with their legal attributions. For our participation dimension, we selected a policy area and attempted to present a policy proposal to each institution.

The process of data collection began by mid-May 2016. Originally, we had planned to spend 30 days submitting information requests, and then switch to our website review while regulated entities responded. However, our strategy had to be modified after the various existing systems for access to information (Infomex for every state and institution, internal systems in each Congress and university, etc) began to transition towards the new National Transparency Platform. All the technical issues associated with these changes affected our access to every institution's system, as well as our ability to send information requests, respond to regulated entities' requests for clarifications, or download any documentation or response. This in turn led to changes in our schedule: although the first information requests were sent by mid-May, there was a period during which we paused the process and shifted towards our review of regulated entities' websites. When we were able to resume our work regarding the information requests, we did so while simultaneously working on the websites. In the end, we sent a total of 3,635 information requests.

Towards the end of the previous stages of the process, in August and September, we began performing simulations to gauge citizens' possibilities of activating any participation mechanisms by e-mailing every regulated entity that provided an address. When they did not provide one, as well as in the cases where the address did not work or the institutions did not reply, we attempted to reach them via telephone. The whole process was completed on October 30, 2016.

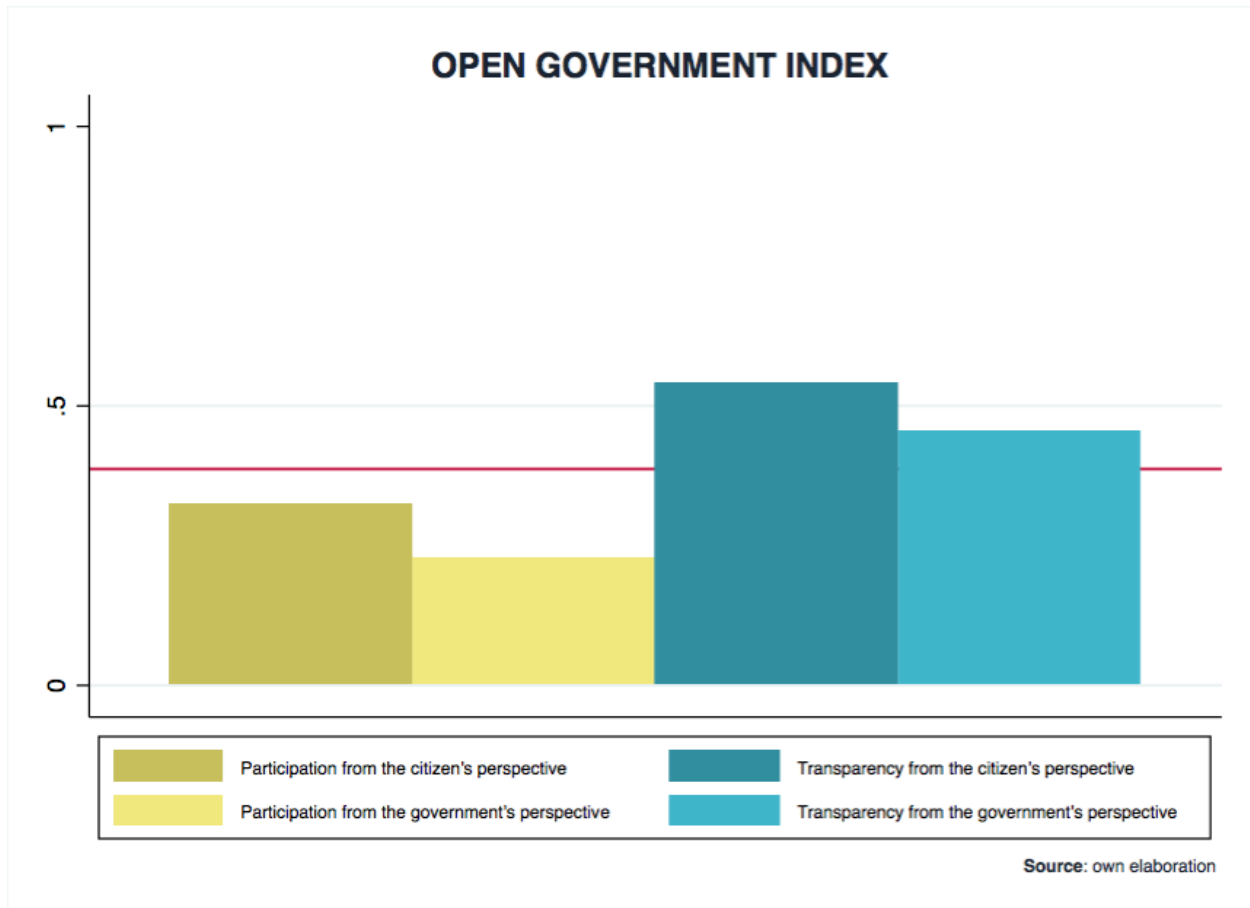
Results

The Open Government Index for Mexico is 0.39 (on a scale from 0 to 1). As noted above, the Index considers both the score for transparency (which equals 0.5) and the one for participation (0.28), which incorporate the government's and the citizen's perspectives. The final value of the Index results from calculating the average value of each of these four Subindexes: Transparency from the government's perspective (0.46), Transparency from the citizen's perspective (0.54), Participation from the government's perspective (0.23), and Participation from the citizen's perspective (0.33). There are clear variations among the Mexican states.

Overall, Mexican institutions scored low, which suggests they have a long road ahead. However, as Graph 1 shows, the scores for the Transparency dimensions are clearly higher than those for the Participation dimensions. This may owe to the considerable progress Mexico has shown in the creation of transparency regulations, institutions, and procedures over the last years—there is now relevant legislation on transparency and access to information which sets minimum standards, a common language for transparency across the broad range of institutions in the country, as well as a bureaucratic structure within every institution that is in charge of making sure the law is followed. There is no comparable legal or institutional framework for participation.

The highest score out of these four subindexes corresponds to Transparency from the citizen's perspective. This can be explained by the fact that this Subindex reflects the efficacy of access to information mechanisms, which are the most solid component of Mexico's transparency infrastructure. This finding was supported by a parallel exercise in which a smaller sample of regulated entities were asked—via information requests—some basic questions about a few policy areas (See Appendix 3). Requests were meant to prompt access to some useful information that would aid in some common decision-making choices (regarding, for example, hospitals, schools or garbage collection). Our results point towards the same direction (See findings section for more details).

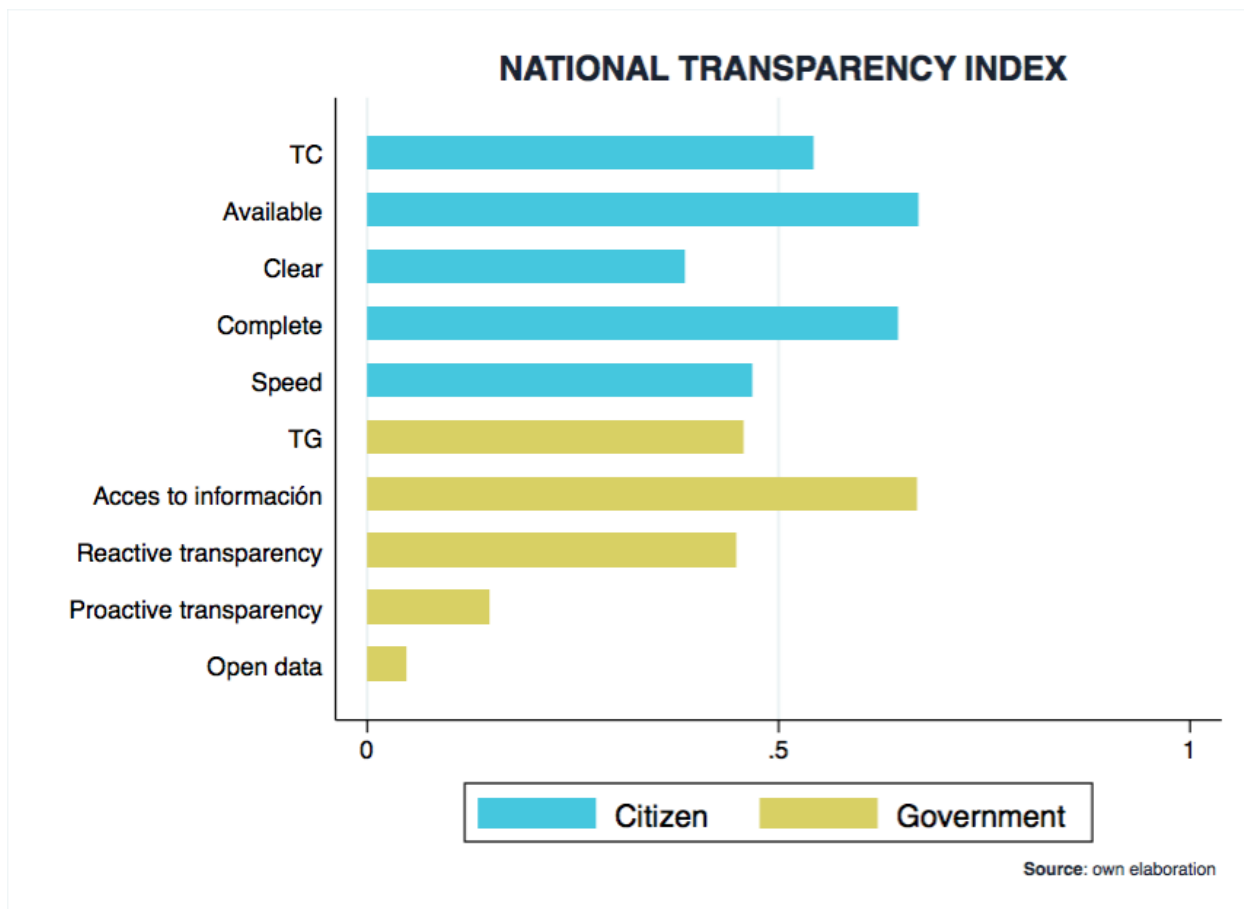
Graph 1



Transparency dimension

To provide a better picture of our results for the Transparency dimension, we show in Graph 2 the scores for each of its components. In terms of transparency from the citizen’s perspective—which got the highest score—we can say that, in general, when citizens ask questions about substantive activities, they will receive complete, clear answers two of every three times. Clarity is the attribute with the lowest score.

Graph 2



In contrast, components under transparency from the government’s perspective vary greatly in terms of performance. Access to information is the highest scoring component, which suggests that, overall, requests were processed in accordance with the law, through electronic mechanisms, and resulted in complete, timely information. However, transparency websites are still very far from the legal standards set in the General Law⁹ (both in terms of content and format). Very few of them offer anything related to proactive transparency—only 21.5% exceed the formal legal requirements and provide useful information. It is especially alarming that only 5% of all Mexican institutions with transparency obligations provide citizens with open data.

⁹ The “Acuerdo del Consejo Nacional del Sistema Nacional de Transparencia, Acceso a la Información Pública y Protección de Datos Personales, por el que se aprueban los Lineamientos técnicos generales para la publicación, homologación y estandarización de la información de las obligaciones establecidas en el título quinto y en la fracción IV del artículo 31 de la Ley General de Transparencia y Acceso a la Información Pública, que deben de difundir los sujetos obligados en los portales de Internet y en la Plataforma Nacional de Transparencia” (by which the government established the technical guidelines for information disclosure), which was published on the Official Gazette of the Federal Government on May 4, 2016, sets a specified time limit for regulated entities to publish any information required by law. When we collected our data, the time limit had not been reached.

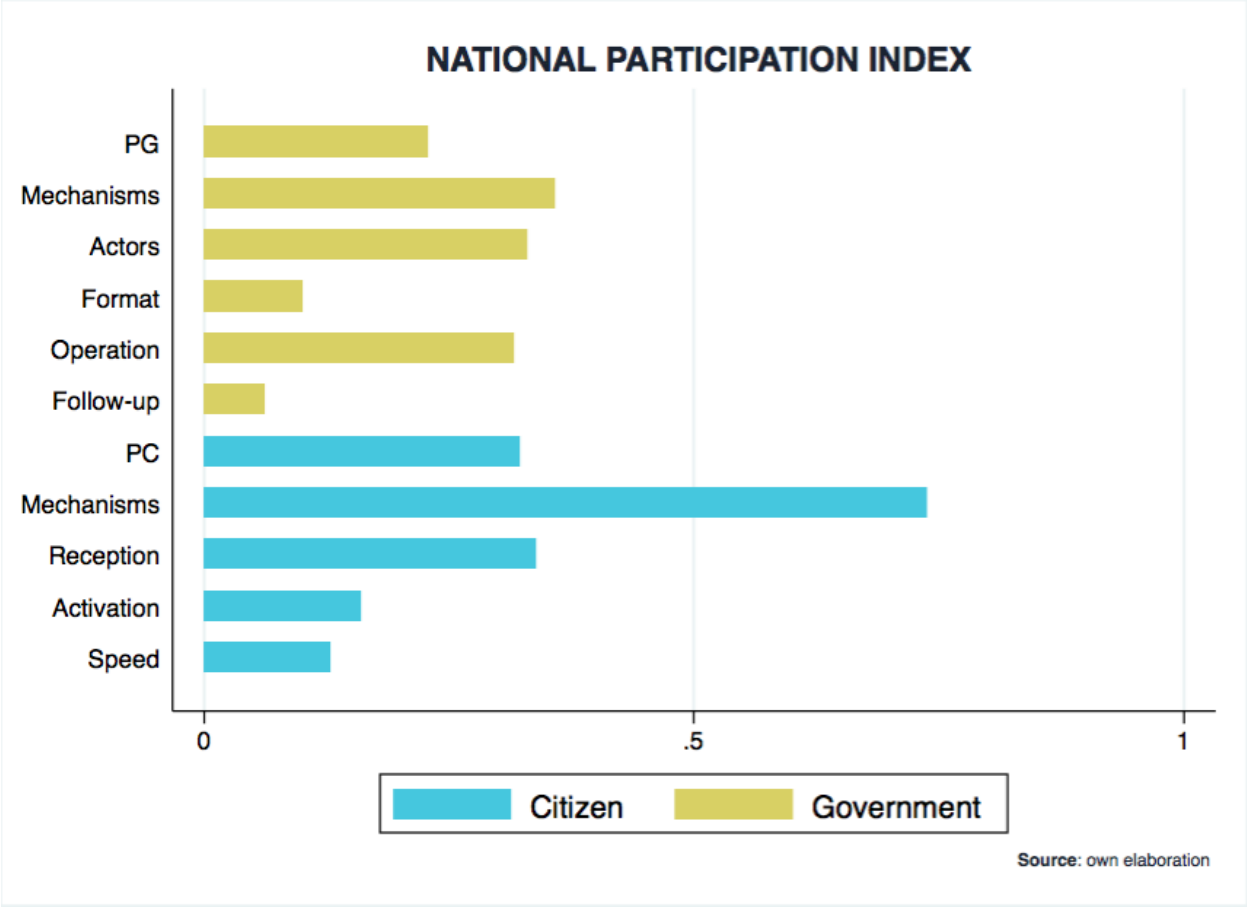
As mentioned above, access to information via requests is clearly the area in which Mexico has made the most progress. Out of a total of 3,635 information requests, 83.24% merited a response. This trend is true even for the lower levels of government: 83.67% of the municipalities with a population of over 70,000 people and 54.64% of those with a population of under 70,000 people provided complete information in response to at least one of the requests they received. Two factors had negative effects over this dimension: first, the technical difficulties associated with the National Transparency Platform; second, the presence of regulated entities that not so long ago had no transparency obligations, which in many cases had not been incorporated into the PNT.¹⁰ On various occasions, technical issues rendered it impossible to submit information requests to the Platform, some of which we were able to send by alternative means (including e-mail and local transparency systems). We were unable to track the status on several requests and, in some cases, regulated entities did not even receive them. Occasionally, the Platform did not allow institutions to reply or failed to deliver their responses. On several occasions, our team was unable to download or even visualize the data attached to regulated entities' responses.

Participation dimension

A quick glance at the results in this dimension shows the clear lack of progress (See Graph 3). Only a handful of regulated entities have formal mechanisms meant to allow for citizen participation in decision-making. It must be noted, however, that despite the fact that only 35.90% of the regulated entities have *formal* mechanisms for participation, many of them have developed *informal* procedures. Still, whatever decisions come out of them are not taken into account 95% of the time.

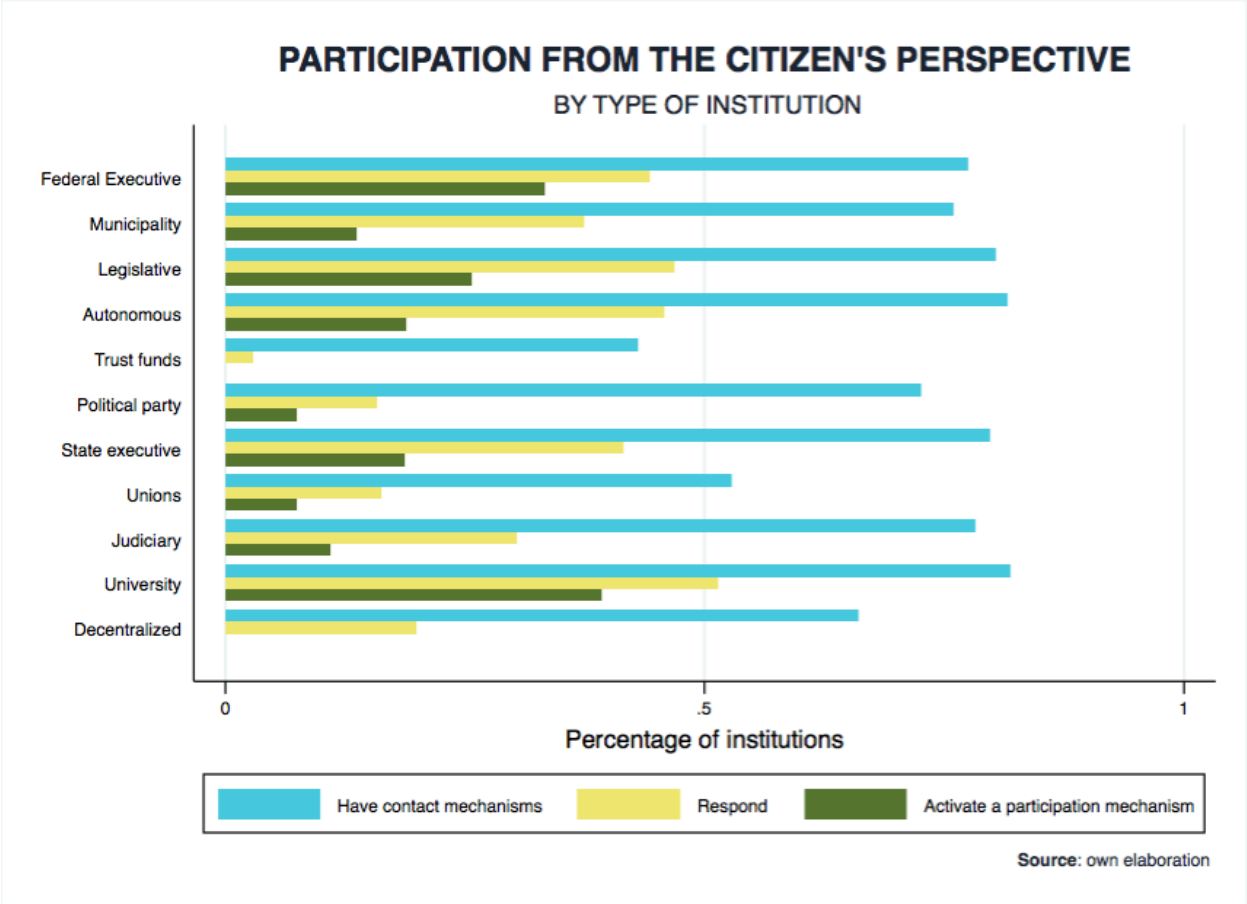
Graph 3

¹⁰ By the time we began to submit information requests on May 16, 2016, the National Transparency Platform had already been launched.



From the citizen’s perspective, results are very similar: despite the fact that a considerable amount of regulated entities open the door for citizens to contact them (via e-mail, inbox or telephone), when citizens knock, only 16% are able to come inside and formally discuss an idea (See Graphs 3 and 4). On average, the scores are higher from the citizen’s perspective (0.33) than from the government’s perspective (0.23).

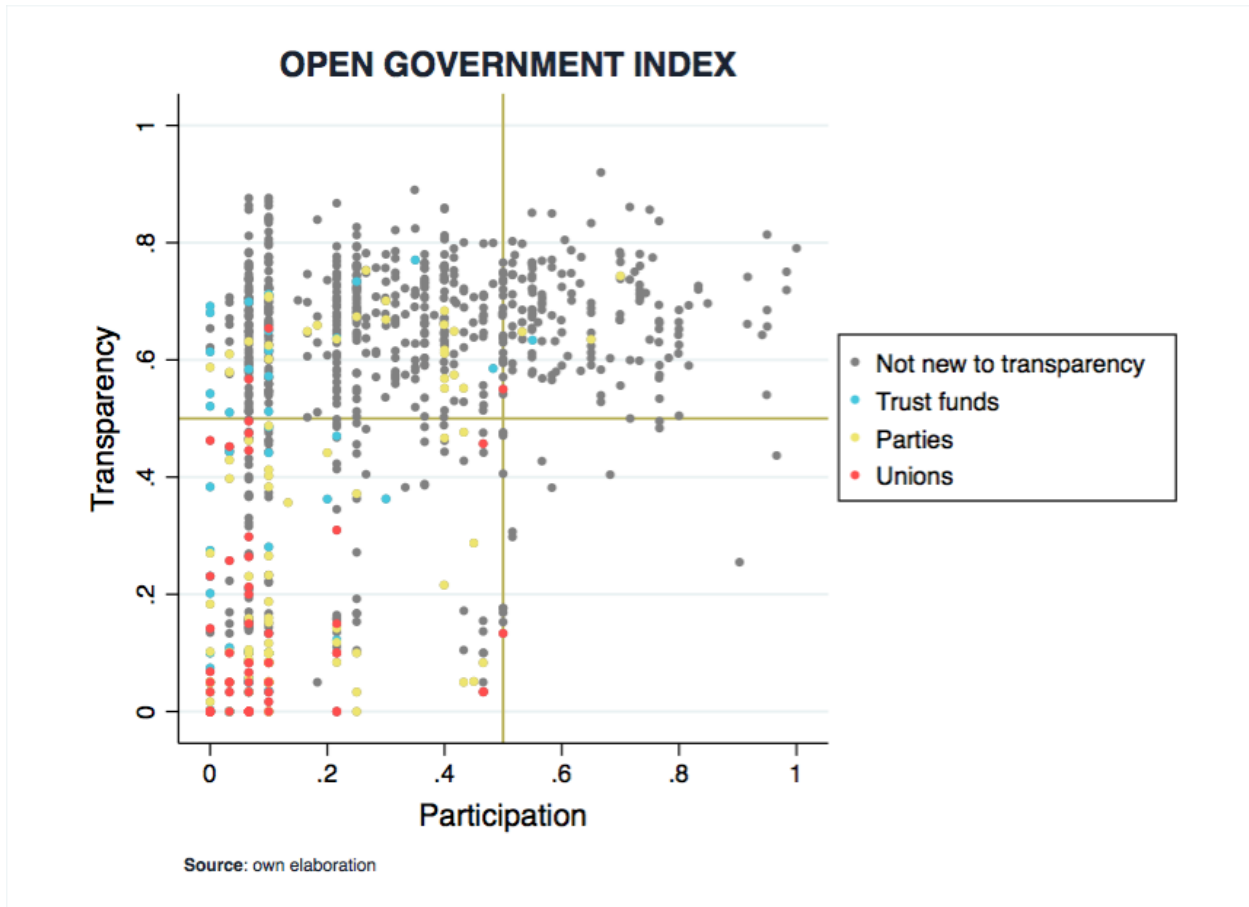
Graph 4



Variations per type of regulated entity

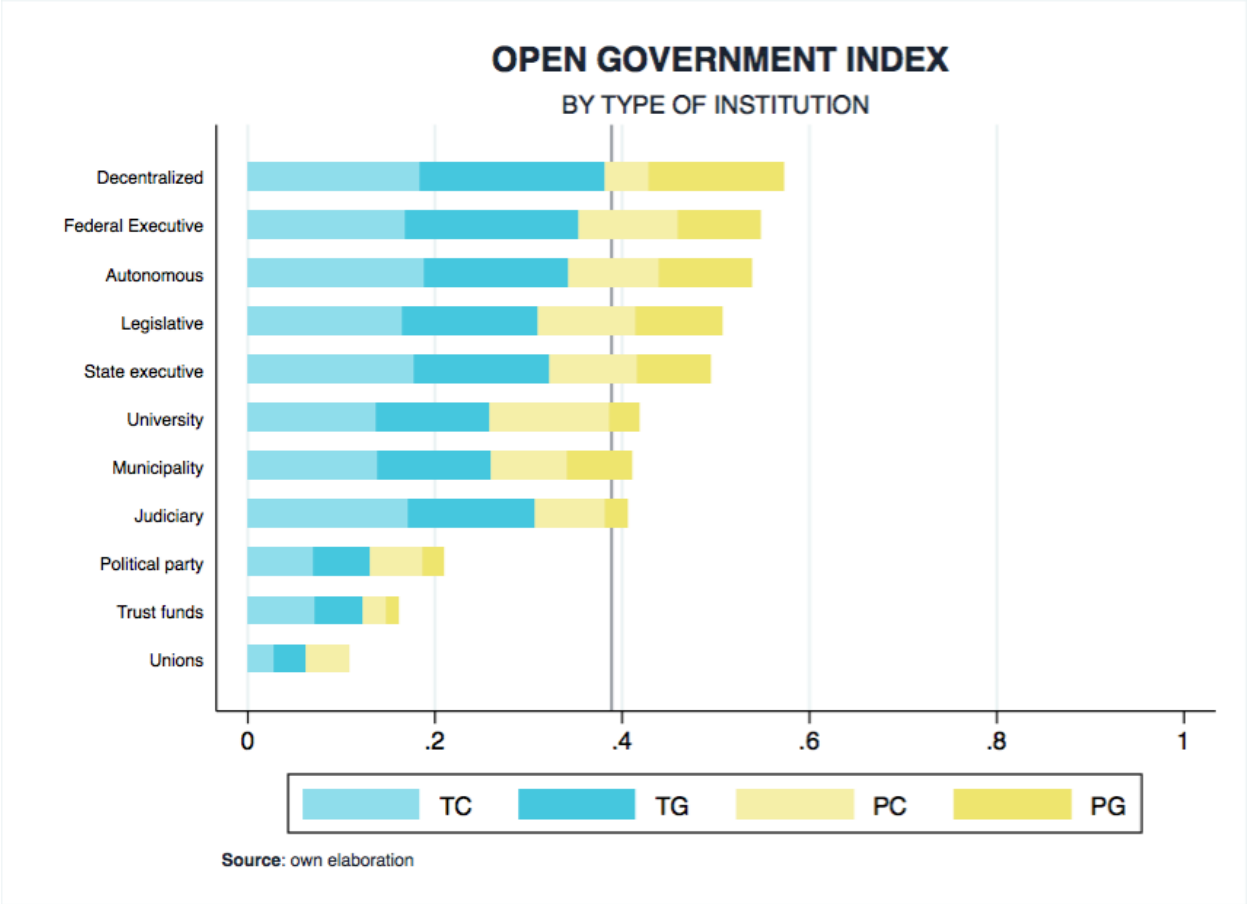
As shown in Graph 5, regulated entities to which transparency obligations were recently assigned tend to perform worse than the rest. Amongst those new regulated entities, political parties tend to show a greater degree of variation; on average, the lowest scores belonged to the unions (see Graphs 5 and 6). If we took these institutions out of the equation, the final Open Government Index score would see a 20% increase (from 0.39 to 0.46); both Transparency Subindexes (from the government’s perspective and from the citizen’s perspective) would also see an increase (17%). Lastly, our Participation from the government’s perspective Subindex would see an increase of 28%, and the Participation from the citizen’s perspective Subindex would see an increase of 17%.

Graph 5



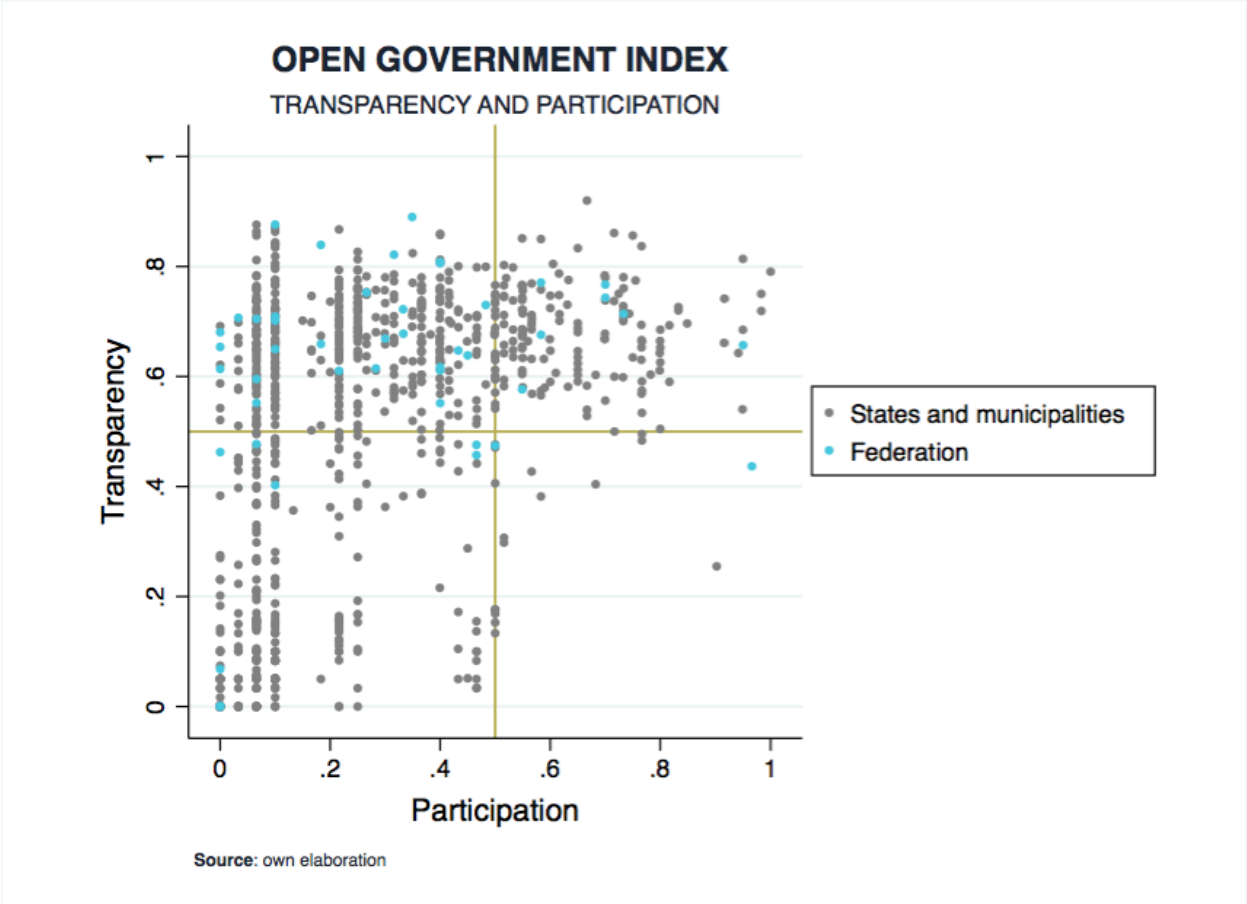
Looking at Open Government Index scores by type of institution (see Graph 6) further proves that new regulated entities are way behind the rest. Only 58.92% of these have an electronic access to information mechanism, and only 51% have a website.

Graph 6



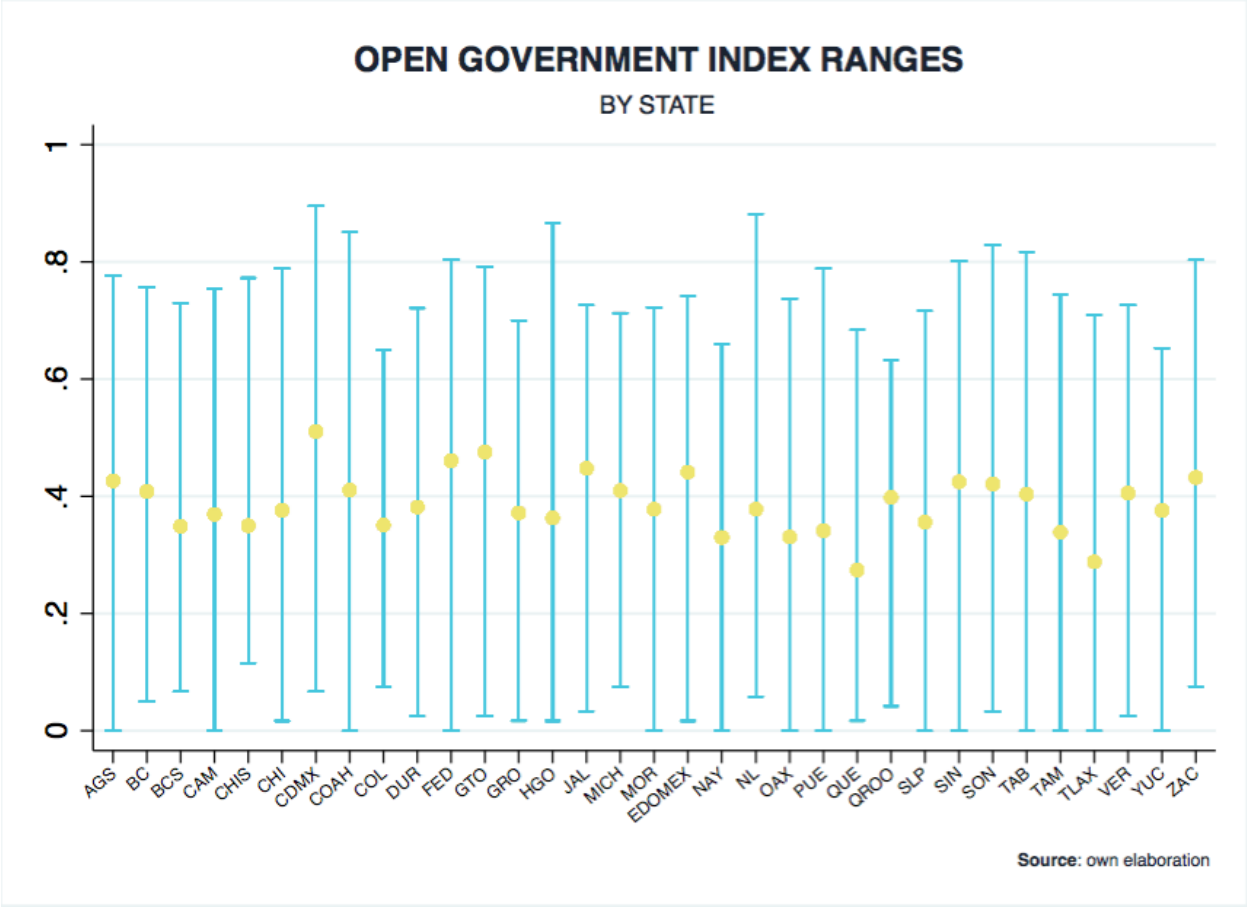
If we classify regulated entities depending on the level of government they belong to, it is clear that federal institutions display superior levels of performance, especially in terms of transparency (See Graph 7).

Graph 7



In the case of the Mexican states, the average performance levels are poor (See Appendix 5). Our most relevant finding is that variation across regulated entities within each state is three times as large as the average differences between states. Graph 8 shows that the average difference between the best and the worst performing regulated entities in each state is 0.89, while overall Open Government Index scores for the 32 states range from 0.27 to 0.51.

Graph 8



In terms of Transparency from the government’s perspective, the differences between the state with the highest score and the one with the lowest score are astounding; for example, regulated entities in the former responded information requests in an average of 4.23 days, while those in the latter responded in an average of 18.97 days. On this same dimension, the regulated entity with the highest score scored a 0.91, while the one with the lowest scored a 0.

From the citizen’s perspective, the differences between the best and the worst state are also illustrative. Regulated entities in the former provided clear responses for 64% of the requests they received; those in the latter did so in only 24% of the cases. The difference between the institution with the highest score and the one with the lowest score was 1, meaning that they scored 1 and 0 respectively.

As to Participation from the government’s perspective, the differences between the best and the worst state mean that 69.23% of the regulated entities in the former operate at least one participation mechanism, while the proportion falls to 14.81% in the latter. The institution with the highest score got a 1, while the one with the lowest scored a 0.

From the citizen's perspective, in 37.03% of the institutions in the highest scoring state it was possible to activate a participation mechanism to influence decision-making. The percentage falls to 3.7% in the lowest scoring state. As in the previous two cases, the institution with the highest score scored a 1, while the one with the lowest scored a 0.

This all means that, regardless of the state, citizens must in general go through a series of steps before they can get their hands on some useful information from their government or initiate a participation process. Higher average state scores do not mean that access to information is easier in every institution. The same goes for participation: citizens' possibilities of having an influence on government decisions is far from guaranteed.

Indeed, although some states average performance merits high scores, regulated entities within them show a lot of variation. Graph 8 is evidence of this trend. In every state there are institutions whose level of performance is such that their scores were close (or equal) to zero, while there are also regulated entities whose performance merited at least a "passing grade".

Mexico City, for example, displays an average Open Government Index score (0.51) which places it above the rest of the Mexican states. Still, three of the local regulated entities show scores that equal less than 0.2; one of them scored less than 0.1. The highest scoring institution in Mexico City scored a 0.71 in TG, 0.86 in TC, and 1 in both PG and PC, while the lowest scoring institution scored 0.06, 0, 0, and 0.2 (respectively). The same happens in the opposite scenario: in Chiapas, which scored relatively low on the Open Government Index (0.34), four regulated entities got average scores that are greater than 0.5; one of them neared 0.8. This last institution scored a 0.61 in TG, 0.77 in TC, 0.69 in PG, and 1 in PC; the lowest scoring institution got 0.2, 0.25, 0, and 0 (respectively). Lastly, the regulated entities in Chihuahua show the widest range of variation: the highest scoring institution in the Open Government Index got a 0.56 in TG, 0.75 in TC, 0.9 in PG, and 0.93 in PC, while the lowest scoring institution got a 0.6 in PC and a 0 for the rest of the Subindexes.

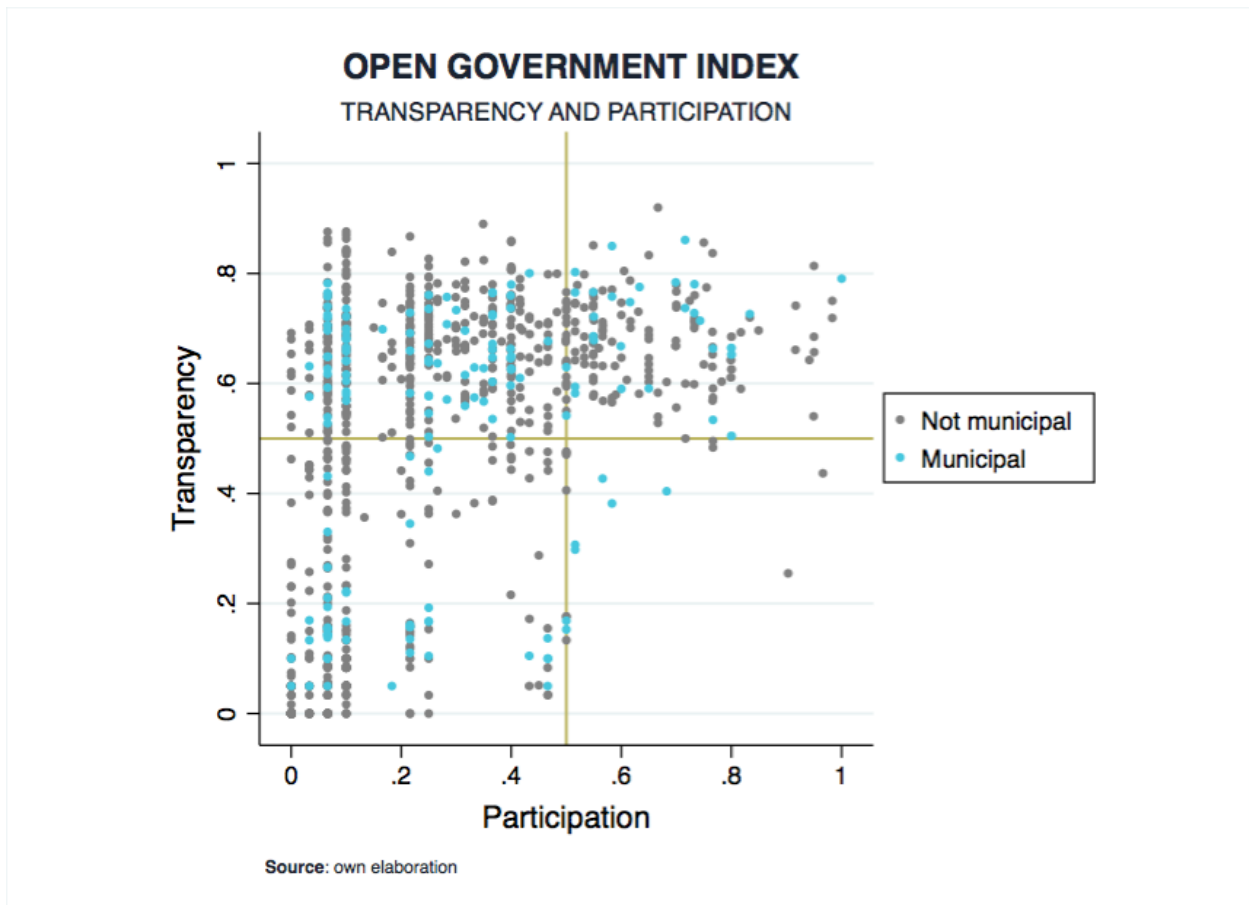
Briefly put, the fact that some states scored high on the Open Government Index does not mean that every time their citizens approach government institutions their right to access to information will be fully guaranteed, or that their chances of participating in a decision-making process will always be the same for every institution. This will all depend on the particular institution they approach. This is why our study only makes sense when regulated entities are our unit of analysis (as opposed to states)—it allows not only for comparisons across regulated entities with a similar set

of attributions, but also for a more detailed understanding of the specific challenges each state faces in their road to an open government.

States now face two main challenges: on one hand, they must improve their average Open Government Index scores; on the other hand, they must reduce the amount of institutions whose scores near (or equal) zero, which would reduce the level of variation within their territories. Progress will require national and state bodies in charge of transparency, as well as regulated entities from the three levels of government, to devise clear, specific agendas to address any disparities.

No particular pattern emerges from an analysis of municipal institutions—when compared to federal and state institutions, their performance in the Open Government Index does not seem to point towards any specific trends (See Graph 9).

Graph 9



As shown in Graph 10, however, municipalities with a population greater than 70,000 perform better than those with less than 70,000 inhabitants.¹¹ In some cases, performance levels are greater for participation than for transparency, which suggests a different pattern than the one observed at a national level. In fact, 59.18% of the municipalities with less than 80,000 inhabitants have a working participation mechanism, while this is only observed across 37.5% of federal and state institutions.

Still, whenever citizens try to influence the decision-making process of their municipal governments, they only succeed 15.3% of the time in those with more than 70,000 inhabitants, and 11.29% of the time in the rest.¹² The national average is 16.57%. This suggests that although municipalities tend to have mechanisms meant to get citizens involved in government decisions, their ability to process participation is lower than that of regulated entities in other levels of government.¹³

Graph 10

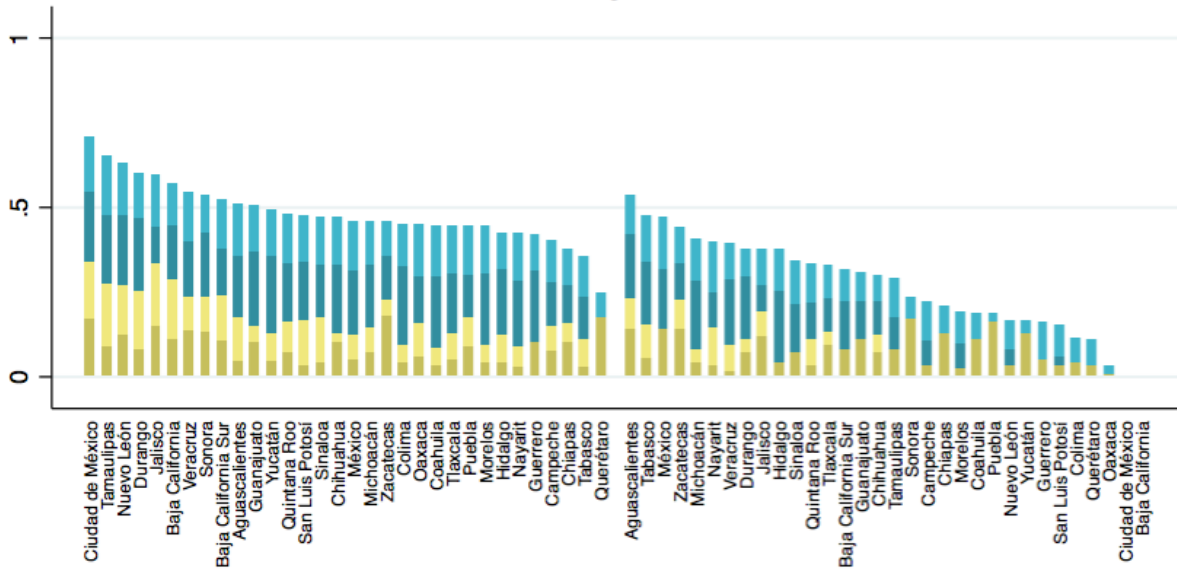
¹¹ We draw this distinction based on the tenth transitory article in the LGTAIP.

¹² These numbers are not statistically significant.

¹³ It is important to remember that these numbers do not capture any participation that might take place by physically showing up at government institutions; as we specify above, our measurements of participation from the citizen's perspective were based on contacting regulated entities via phone-call, e-mail, or inbox.

OPEN GOVERNMENT INDEX IN MUNICIPALITIES

BY ESTATE



Pop: More than 70,000

Pop: 70,000 or less



Source: own elaboration

General findings

Based on our results, we now detail a set of eight general findings.

1. Governments have internalized and institutionalized transparency, but not citizen participation.

It was easy to find a way to send information requests to most of the regulated entities considered for the Metric. In general, the procedures and timeframes specified by law were observed. Out of the more than three thousand requests we sent, 83.24% merited an answer; answers were complete in 70.64% of the cases. We can say that, in the case of almost every institution with transparency obligations, it is possible for citizens to find a way of placing a request, which will then be processed by someone who will be familiar with the process and timeframe they are obliged to adhere to. We can also say that, by the end of the process, citizens will receive full information.

These findings are confirmed by our results in a different exercise—which was not included as part of the index—, in which users approach institutions with basic questions on certain policy areas, which respond to concrete, immediate personal concerns. These questions were meant to assess whether common citizens were able to access useful, relevant information for day-to-day decisions, beyond anything related to government structure or administration. Our findings were encouraging: regulated entities respond questions that are useful for citizens with efficacy. Some challenges (addressed below) remain, but most evidence signals that access to information is the main strength of the national transparency system and also the most reliable component of open government in Mexico.

Participation, in contrast, is not institutionalized and its mechanisms have not been fully formalized. Mexico still even lacks a common language on the matter: when we sent information requests to inquire about participation mechanisms, some regulated entities asked for further clarification on what we meant by “citizen participation”. From the government’s perspective, for which our questions centered on participation mechanisms (the applicable legal framework, details about the process, evidence of any operations), only 35.9% of the regulated entities were able to identify any applicable regulations for participation. In many cases, said regulations tend to focus on direct democracy mechanisms, which do not really allow for citizens to continuously influence government actions. 31.71% of the regulated entities declared operating a citizen participation

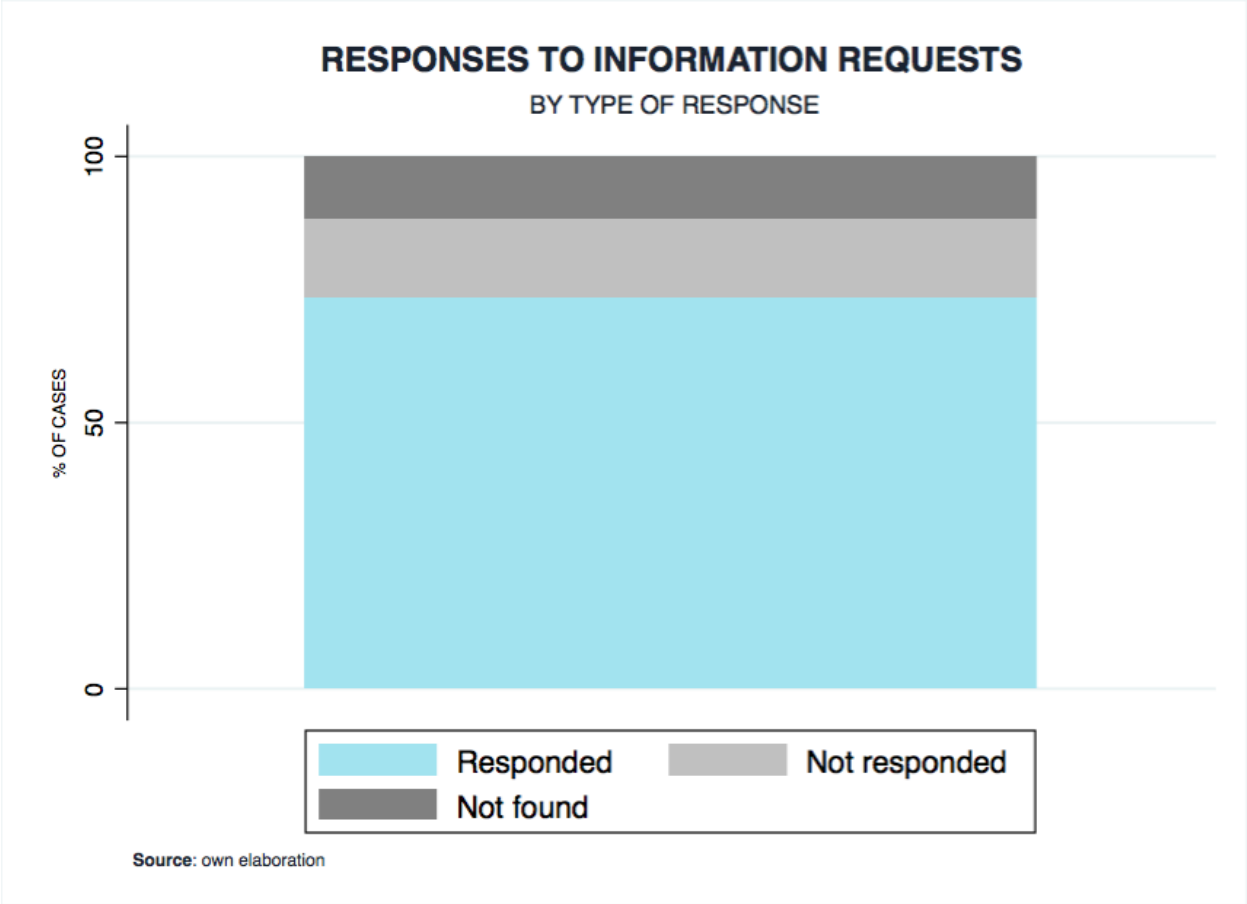
mechanism (e.g. councils, committees, neighbor associations, citizen initiatives, among others). Only 6.2% could provide evidence that they follow up on agreements made under participation mechanisms. This means that participation mechanisms exist in the law, but any operations then to go unreported (if they happen at all).

From the citizen's perspective, where we sought to present regulated entities with policy proposals related to substantive policy areas, the process was more complicated. As detailed further below, contact mechanisms tend to be unclear and ineffective; and once someone contacts institutions, rarely are they able to detonate any mechanism that will have an influence over government decision-making.

2. Opaque practices that hinder access to information still remain.

As we mentioned above, out of the total amount of information requests we were able to place (for some regulated entities, especially the ones whose transparency obligations had been recently established, were impossible to reach), 83.24% merited a response (See Graph 11). This demonstrates access to information request mechanisms are considerably strong.

Graph 11



Despite the favorable results in access to information, we were still able to detect certain practices that favor opacity despite law modifications and the consolidation of information request response mechanisms. Mainly two stand out: the nonexistence of certain information, and the format in which information is being delivered.

Regarding the nonexistence of certain information, in many cases we were unable to access information not because of any resistance on the part of the institutions, but because archives are poorly managed and therefore there was no information available. Archives should serve as an institutional record, especially given the high levels of rotation associated with the end of most terms in Mexico. Still, regardless of normative achievements, archives are still perceived as the property of public servants, and are thus not handled with the appropriate level of care. As we collected our data, a number of regulated entities reported their inability to provide information and notified that it was (sometimes partially) nonexistent, mainly because the information had been generated by a previous administration, or sometimes because it had been lost as the institution changed buildings

(one of these cases belonged not to a small municipality with less than 70,000 inhabitants, but rather to a ministry in a state government).

In terms of format, at times the way information is presented also hinders access to information. Regulated entities sometimes provided the adequate information, yet were responding to another information request by a different person; sometimes they sent responses meant for a different question; sometimes they merged the information for two different requests (by different citizens); sometimes they addressed their responses to someone other than the citizen that placed the request. Some responses failed to protect personal data, while some others included illegible text or images.

There are also some opaque practices that do not necessarily fall outside the law; on the contrary, sometimes regulations are used as an argument not to be transparent. The following four are the most frequently used.

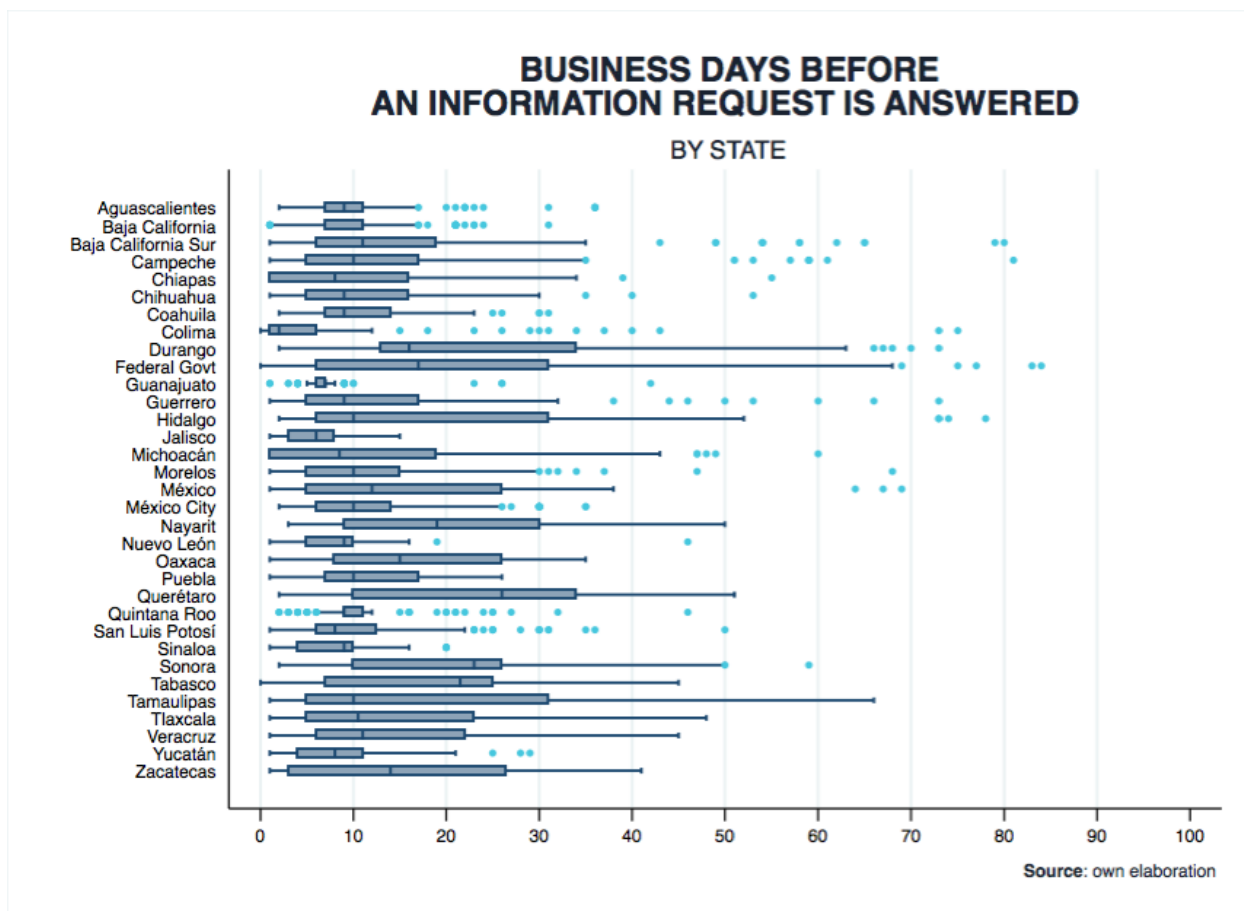
Sometimes clarification requests by regulated entities lead to information requests by citizens to be declared inadmissible. While measuring the Metric, we frequently received requests from regulated entities asking for clarifications on our information requests (in Mexico, these are called “prevenciones”) without them specifying which parts of the information requests were unclear or required further explanation. Therefore, it was difficult to clarify whatever was necessary, which sometimes led to our information requests being declared inadmissible.

Other times, regulated entities ask for numerous extensions and therefore respond way after the legal time limit. While this does not prevent information from being disclosed, it is a systematic practice on the part of some institutions, mainly from the federal government. This makes the de facto timeframe much longer than the one established by the law, and also increases the probability that the information will cease to be timely and therefore useful for citizens. It may also lead to citizens becoming uninterested in following up on their own requests, and also unwilling to further pursue access to information. Citizens are expected to continuously check on the progress of their requests in case regulated entities seek further clarification, since they only have a certain amount of time to respond. Once citizens have succeeded in clarifying their requests, institutions might still notify an extension, which would make the process even longer.

This is a very common scenario: as shown by Graph 12, the average number of business days regulated entities took to respond information requests was lower than 10 in only 43% of the Mexican states (we only count requests that were actually responded). The average was greater than

20 days for three states. The federal government took more than 30 business days to respond 1 in every 4 requests.

Graph 12



Note: The average number of days each state took to respond is indicated by the line inside each box. The limits of the boxes represent the 25th and 75th percentiles. The whiskers are two standard deviations long on each side of the boxes. The rest of the dots represent extreme values (those that are farther than two standard deviations from the average value).

A third practice is the inadequate protection of personal data. Some information requests were denied under the argument that the information contained personal data, when personal information could have easily been omitted or erased from public versions of the response without compromising the quality of the content.

Lastly, another recurring practice is the argument that, since attachments are too big, the only ways citizens may access the information they requested are paying for hardcopies (photocopies or compact discs) or going directly to the institution's buildings to review it. This sets clear limits for

transparency, not only by attaching monetary costs to information but also by placing geographical barriers. There was a case, for example, in which—50 days after placing our request—we were notified that part of the information we had asked for was confidential. We were still not provided with the rest of the information, as we were encouraged to review it directly at the institution’s buildings.

We also detected some good practices. We sometimes received responses in which the information was made available via Dropbox or Google Drive (since the files were too big and institutions were thus not able to attach them), or via links to the institution’s own server. Some regulated entities that had not been incorporated into the National Transparency Platform, lacked any sophisticated platforms of their own, or were only reachable via e-mail, still managed to provide the relevant information on a reasonable amount of time.

3. The mechanisms through which the government allows citizens to become involved in decision-making are still minimal, dispersed and inefficacious.

When government institutions are asked about citizen participation, even though some of them are able to identify regulations on the matter or have even formally installed certain mechanisms, there is very little evidence that these actually operate and that any decisions, opinions, or agreements that have come as a result are being monitored. Regulated entities seek to focus on formalities—i. e. fulfilling their obligation to install some participation mechanism (a council, an office)—, and so most evidence takes the form of attendance lists, photographs, or meeting reports that do not necessarily reflect the substance of the meetings. There also seems to be a generalized perception that citizen participation is limited to certain topics, usually related to elections or the new National Anticorruption System.

During our fieldwork, we found that regulated entities from the three levels of government have adopted various different mechanisms of participation, which are generally disconnected from any substantive discussions and whose procedures are confusing both for prospective participants and public officials. These mechanisms also create sharply different expectations for citizens and officials, and timeframes and procedures do not really allow for citizens to influence decision-making or for officials to process the outcomes. Most successful stories of citizen participation include both the will of public officials to accept, process, and include any input from citizens in decision-making, and the leadership from certain citizens that push participation initiatives, which makes them

somewhat unstable. Many regulated entities recognize the existence of regulations regarding participation, but still declare that they themselves are not obliged to follow them (even when, in the same state, similar institutions do acknowledge their obligations and report existing participation mechanisms).

Our fieldwork included an analysis of different formal participation schemes, which revealed that the results for most of them fall short of expectations. For example, some monitoring structures lack any mechanisms to actually look into those irregularities reported by the citizens, and therefore reports do not lead to anything unless public officials decide to take action. Some municipal councils are structured according to the corresponding regulations, but are still unable to perform their duties because they lack any clear procedures. Some citizen surveillance committees create strategies to evaluate the status of security, but their successful implementation depends on said committees' relations with the authorities. Lastly, some mechanisms have operated for a sustained amount of time, but their influence is limited by the government to only certain areas.

As we did with transparency, our study of participation from the citizen's perspective required for simulations in which we attempted to detonate mechanisms that would lead to an influence on decision-making. While in access to information we saw most of our requests merit a response, our attempts to activate participation mechanisms faced serious obstacles: there were no mechanisms to contact 7.4% of the regulated entities; for 71%, these mechanisms existed but did not work (they were inboxes that lead to no public official, saturated e-mail accounts that no one checked, or telephone lines that no one answered). Still, whenever we were able to overcome these obstacles (i. e. when someone responded to our initial contact), most of the times it only took one attempt to activate a participation mechanism.

4. Open government policy can be built upon a solid ground: citizens are able to obtain basic information that is then the basis of decisions that affect their daily lives.

Our Metric also included a review of the way in which regulated entities respond simple questions related to their corresponding policy areas, to gauge whether citizens are able to access timely information to make decisions (these results are not included in the Index). For the federal and state governments, we looked into the following policy areas: education, social development, security, legislative process, and health. We sent the same amount of requests to each of the relevant regulated

entities. For the municipalities, we looked into two policy areas: urban development and public services, asking each government one question related to each topic. Our phrasing of the questions followed a simple logic: they had to be related to day-to-day decisions, their phrasing had to be simple, and they had to be laid out in plain language. We asked for information that would be potentially useful for citizens to make choices related to medical attention, educational opportunities, social programs, public services, and other areas. Table 4 details the questions we asked for each policy area.

Table 4. Questions from a citizen’s perspective, by policy area.

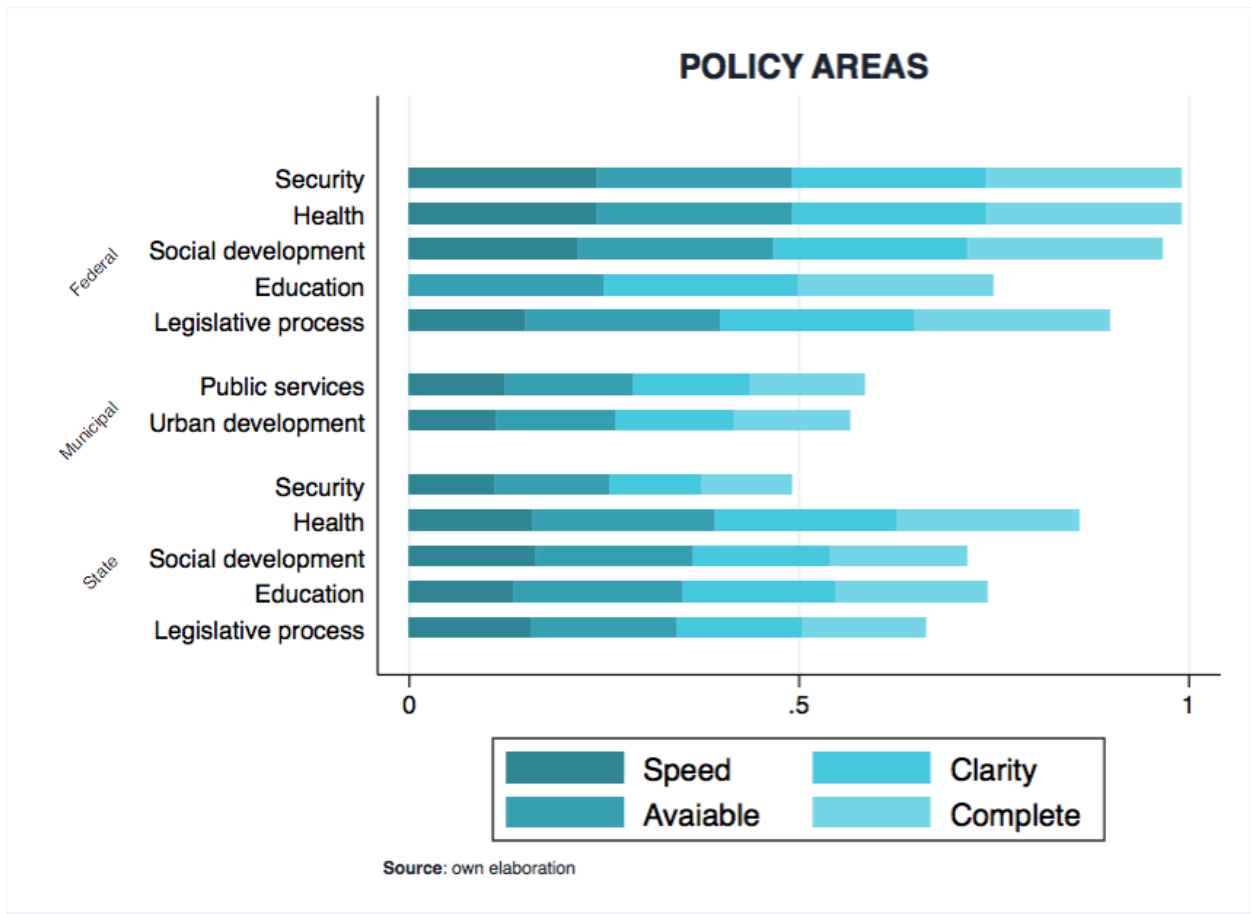
Policy area	Level of government	Question
Urban development	Municipal	Who has been awarded the last ten construction licenses, and for what purpose?
Public services	Municipal	What are the schedules and routes for the garbage collection services in the municipality?
Security	State	Which neighborhood registered the lowest number of robberies in 2015?
	Federal	What was the brand (e.g. Volkswagen), line (e.g. Jetta) and model (e.g. 2013) of the most-stolen car in 2015?
Health	State	Which hospital registers the lowest rate of births by c-section in the state?
	Federal	What day is the waiting time for a medical consultation at the IMSS UMF 2 in Mexico City the shortest?
	Federal	Who received benefits from the "Atención a la salud pública" program in Querétaro in 2015?
Education	State	Which elementary schools have the best-performing teachers in the state’s capital?
	Federal	What scholarships are available to study a technical high school diploma in the state of Veracruz?
Social development	State	My neighbor receives double benefits from a local social program; where can I report her?
	Federal	Who received benefits from programs for the elderly and FONART [the National Fund for the Arts] in Ahumada, Chihuahua in 2015?

	Federal	I am about to turn 65. What should I do to receive benefits from the “65 y más” program? Who should I contact (name and telephone number) in Atil, Sonora?
Legislative process	State	I request the attendance and voting records for the deputy that represents the second district for all initiatives discussed throughout the second session period in 2015.
	Federal	I request the attendance and voting records of my deputy (Name) for all initiatives discussed throughout the second session period in 2015.

Source: own elaboration.

As we can see in Graph 13, performance levels in this area were greater than the overall Open Government Index score; on average, regulated entities scored a 0.63—an average of the following variables: speed, availability, clarity, completeness.

Graph 13



These results are consistent with what we could observe regarding transparency from the citizen's perspective, which was also evaluated through a couple information requests on topics of interest for citizens, and for which the general score was 0.53. This suggests that, when citizens require useful information for their day-to-day decisions, most of the times they will receive clear, complete answers within a reasonable amount of time.

Overall, this is a positive finding: access to information is an effective mechanism for citizens to obtain information that will aid them in decisions that only benefit them. Despite the room for improvement (e.g. information could be delivered to citizens more quickly), this is the basis of transparency and of any open government policy. Without this basis—which allows citizens to access basic information that will aid them in everyday decisions—any other element (from open data to sophisticated strategies for co-creation) would be rendered useless.

5. New regulated entities have a long way to go to shorten the distance that separates them from the rest.

Our results show that institutions for which transparency is a new obligation—except political parties, to a certain extent—consistently rank at the bottom in any of the Metric's dimensions or perspectives. Only 58.92% of them have devised electronic mechanisms for access to information; only half of them (51.03%) have a website, and none provide open data.

This is partly a result of the fact that they only acquired transparency obligations fairly recently, which means they are still generating the tools they need to fulfill them. However, there is an additional reason which is not exclusive to these regulated entities: the tension between the Law's (LGTAIP) and the National System of Transparency's homogenizing logic and the specific characteristics of each organization, as well as the particular nature of the tasks they perform. Trust funds, political parties, and unions are starkly different from mayorships or ministries in terms of the tasks they each perform, their overall structure, and the nature of information they generate and can therefore be requested.

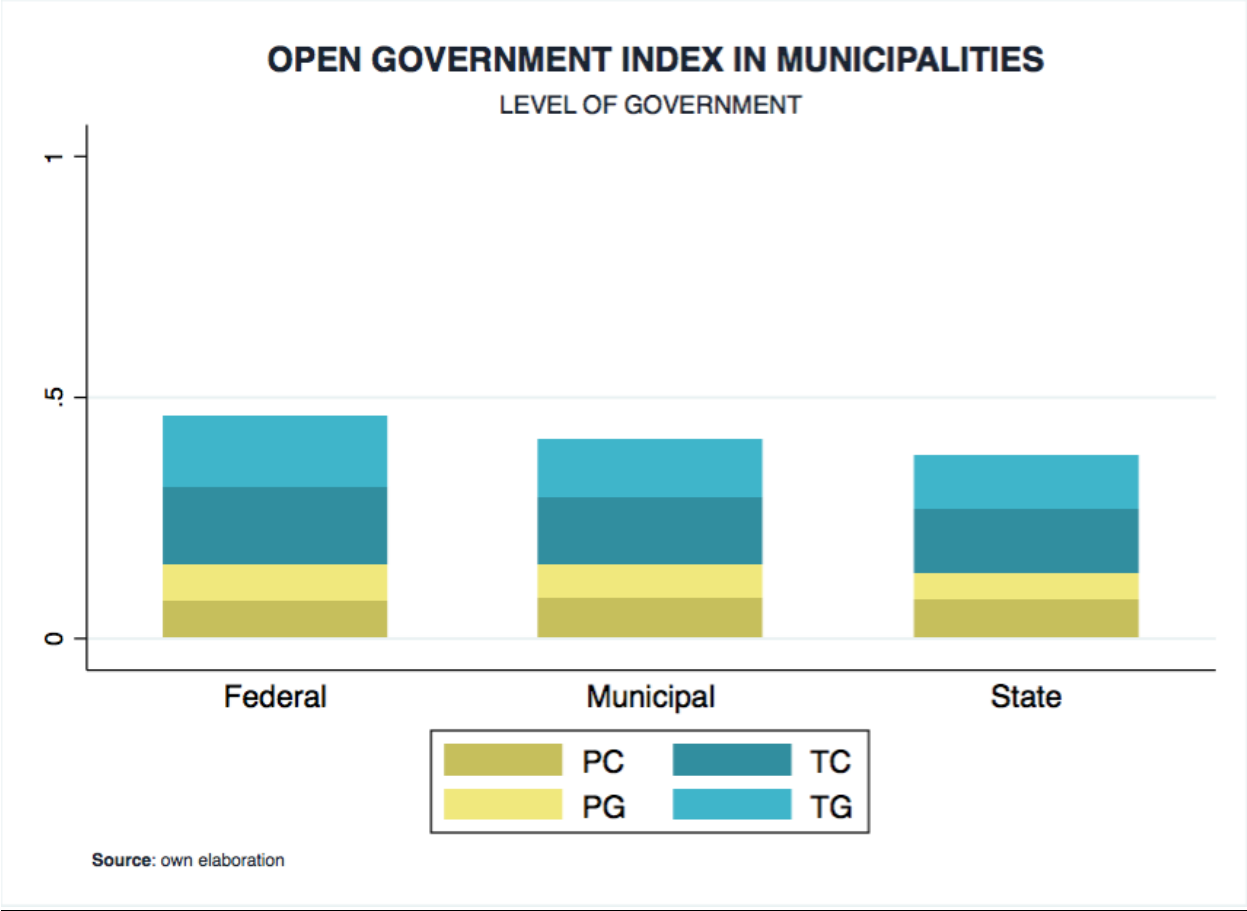
The Act is clear: unions, parties, and trust funds are all publicly funded and therefore must oblige with the right to information. Evidently, however, their structure, their response capabilities and the types of information they generate greatly differ from those of other, more traditional

regulated entities. There is also variation within each type of institution regarding size and capacity: some trust funds receive huge budgets, while others get a more modest amount; some unions have millions of members, while some others barely have a few hundred. In sum, new regulated entities have added considerable diversity and heterogeneity to the already complex universe of public organizations, as well as to the set of tasks and mechanisms that the National Transparency System is based upon.

6. Municipalities are less opaque than state governments, and also have better participation mechanisms.

Mayorships, which are usually thought of as the less developed institutions, have managed to create transparency and participation systems, which work just as well or better than those of other levels of government. This does not imply that their level of performance is ideal. Their Open Government Index score equals 0.41, while states and the federation respectively scored an average of 0.38 and 0.46 (See Graph 14). These calculations are based on a total of 155 municipalities in the 31 states, plus five territorial demarcations in Mexico City.

Graph 14



In terms of transparency, municipalities present an average score that is low, but still greater than the score for states: the first got a 0.52, while the second got a 0.49. Some municipalities perform even better than some federal institutions. San Francisco de los Romo and El Llano, in Aguascalientes, as well as Tenosique and Teapa, in Tabasco, are notorious for their high levels of performance. The first two are outstanding in processing information requests from a citizen's perspective. They both responded information requests expediently, providing clear and full information in an average of 11 business days. Tenosique and Teapa did not only respond these requests adequately; they also did it in an average of 13.5 business days. When the requested information was related to administrative duties and characteristics, San Francisco de los Romo and El Llano also responded every request, although only half of them were complete. Still, they took an average of only 11 business days to reply.

It should also be noted that most municipalities have their own websites, through which they may make information available to citizens. 77.4% of those with less than 70,000 inhabitants and

95% of the rest had their own websites. San Francisco de los Romo and El Llano also stand out because we were able to locate around 50% of the information mandated by law on their website, which is above the national average.

In terms of participation, while municipalities scored better than states (0.30 versus 0.27) and roughly the same as the federal government (0.31), their level of performance remains low, especially considering that this level of government is the closest to the citizens. We cannot say that municipalities have fully institutionalized citizen participation, but we can say that their level of performance is better than that of other regulated entities with much more resources and institutional capacity.

7. Most regulated entities have websites, but these tend not to have useful information.

Websites are one of the main resources citizens resort to in order to find information about their governments. According to the National Survey on Access to Information and Personal Data Protection 2016 (ENAIID), 44% of the citizens in urban areas look for government information on the corresponding institution's website, while 15.9% resort to transparency sites.

Our Metric analyzes the information that is available at transparency or institutional websites for regulated entities that have transparency obligations (we consider both the information required by law¹⁴ and any additional, focalized information). We also look at the format of the information

¹⁴ The Metric considers the following fractions of art. 70 of the Act

II. Its complete organizational structure, in a format that allows linking each part of the structure, powers and responsibilities that correspond to each Public Servant, provider of professional services or a member of the regulated entities, in accordance with the applicable provisions,

XI. Contracts for professional services on fees, stating the names of the service providers, contracted services, the amount of fees and the contract term,

XIII. The address of the Transparency Unit, in addition to the email address where requests for information can be received,

XVI. The general conditions of work, contracts or agreements governing labor relations of the staff or full-time personnel, as well as public financial resources, in kind or donations, that are delivered to the unions and are exercised as public resources,

XXI. The financial information about the allocated budget, as well as the quarterly reports of the spending, in terms of the General Law of Government Accounting and other applicable regulations,

XXIII. The amounts earmarked for expenditure on social communication and government advertising, broken down by type of media, suppliers, contract number and concept or campaign,

XXIV. The audit reports of the audits for the budget year of each regulated entity carried out and, where appropriate, the corresponding clarifications,

XXXII. Chart of suppliers and contractors,

XXXIV. The inventory of movable and immovable property in possession and ownership,

(whether it is accessible, whether there is a navigation route, whether the information is legible, whether there is a search engine, whether websites can be operated without the need for additional plug-ins, and whether the information is in an open format).

Although 94% of the regulated entities have their own websites, most of these do not have all the required information (See Graph 15).¹⁵ Institutions from the federal government scored an average of 0.31 in the subindex that measures the extent to which the information that should be available in every institution's website is complete. For state and municipal institutions, the average scores were 0.30 and 0.38. This suggests that there is still a long way to go for regulated entities to actually fulfill their LGTAIP obligations.

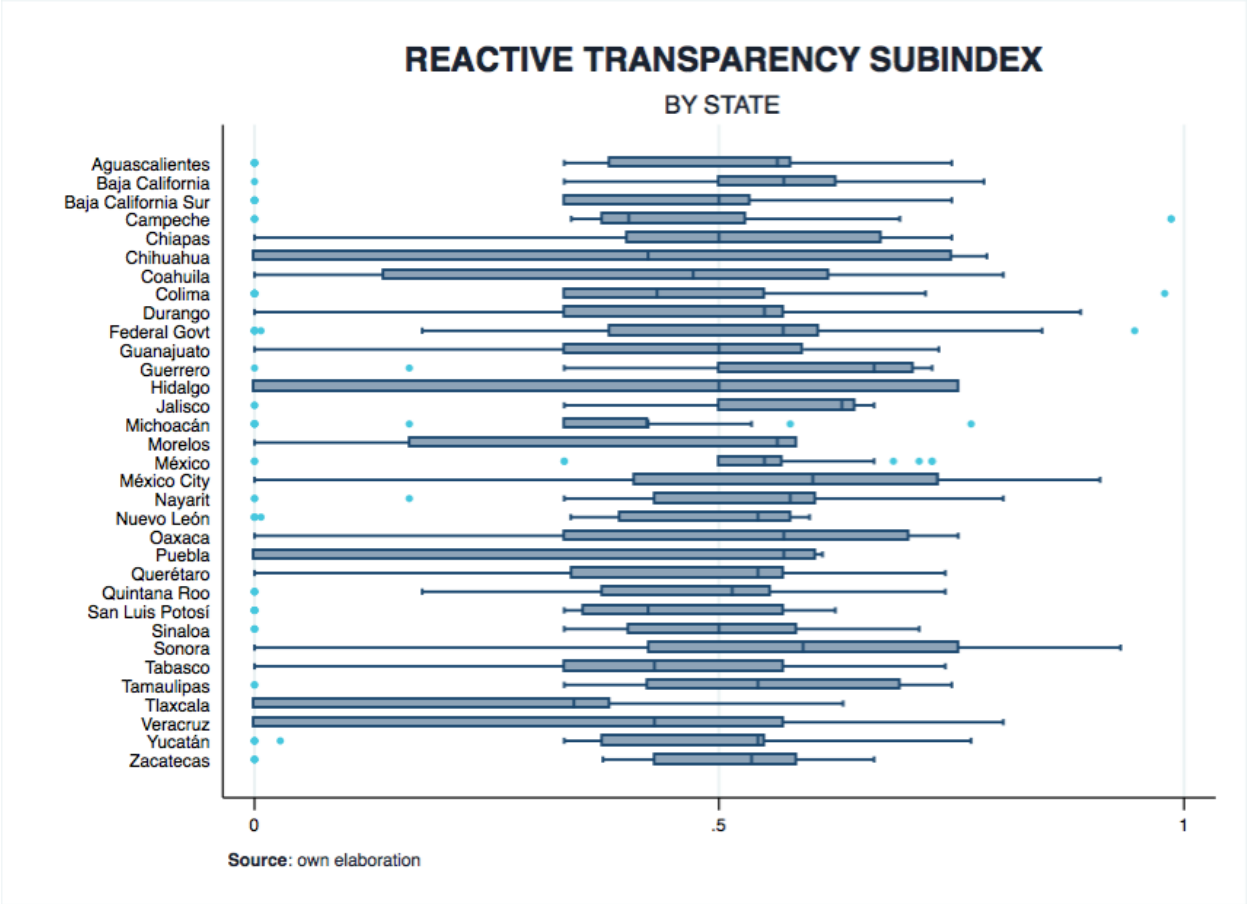
Graph 15

XXXVII. Citizen participation mechanisms,

XXXIX. The minutes and resolutions of the Transparency Committee of the regulated entities,

XLII. The list of pensioners and retired persons and the amount they receive,

¹⁵ While the initial deadline for regulated entities to fulfill these transparency obligations was postponed (from November 5, 2016 to May 4, 2017), we seek here to define a baseline against which any progress may be compared in future years.

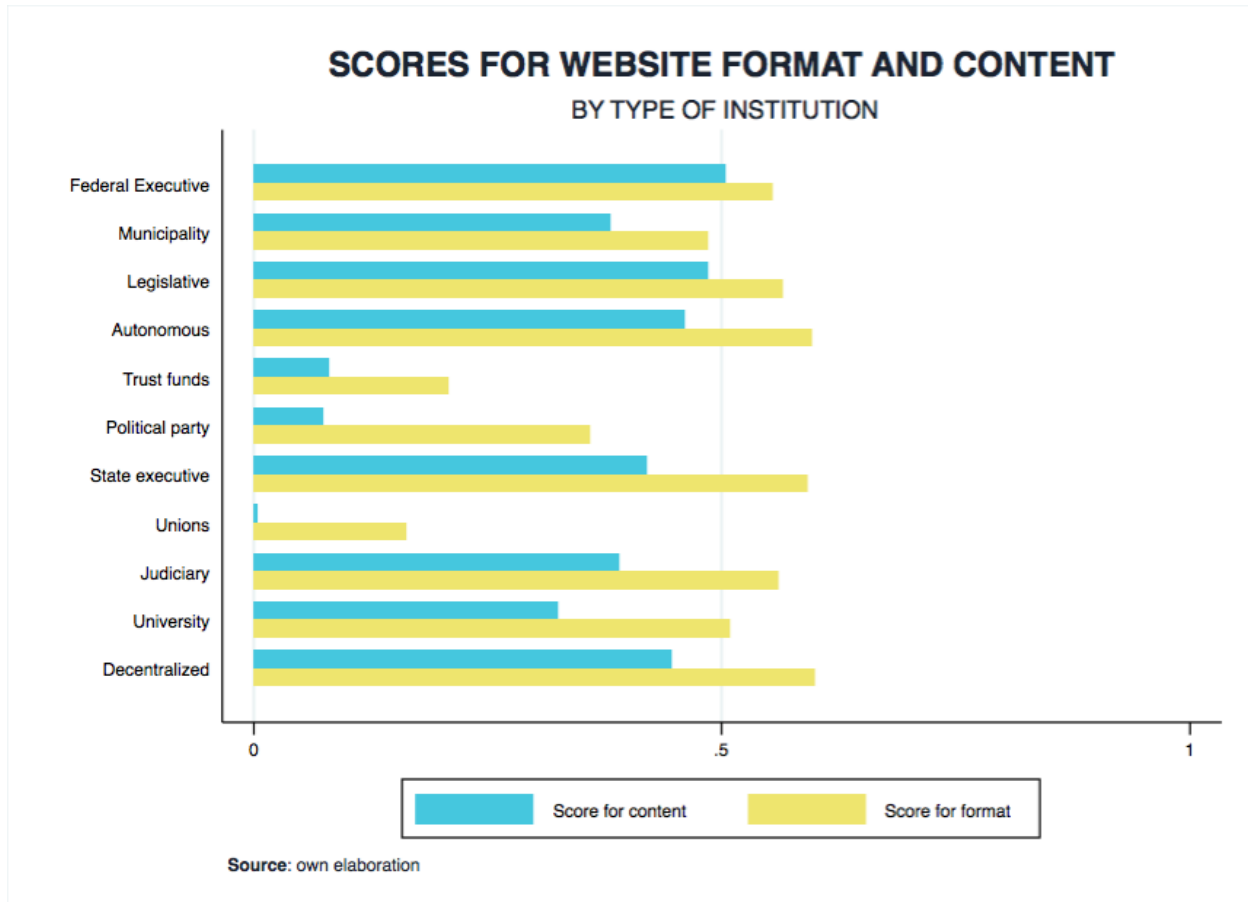


Moreover, institutional websites tend to lack information that would be useful for citizens’ everyday lives. The proactive transparency subindex, which measures the extent to which regulated entities disclose any information that is not required by law as well as whether it is aimed at any particular audience, equals 0.15. This means that, for the most part, regulated entities do not publish any information besides what the LGTAIP requires (or at least label it under proactive transparency) (0.22) and that, when they do, it is not focalized (0.08), which means it is not organized in any way that may suggest a particular use for any particular population. Most of the progress associated with proactive transparency comes from federal institutions, which scored a 0.35—particularly the Executive’s institutions, which got the highest scores (0.88).

As shown in Graph 16, new regulated entities are the ones with the least progress. Only 51% of them have their own websites, and they only scored a 0.22 in the reactive transparency subindex, while the rest of the regulated entities scored a 0.52. As to proactive transparency, performance levels

for these institutions (as well as universities) are also low. Trust funds scored a 0.08 in the corresponding subindex, while unions and political parties scored a zero. Universities scored a 0.09.

Graph 16



In terms of open data, the average performance level across the country is still very limited (0.05). Federal institutions are the ones that have shown the greatest progress in publishing information under the label of ‘open data’ (0.33)—in particular, those regulated entities under the Executive branch (0.81). Regulated entities in the states and municipalities basically do not publish label their data as open data (0.02 and 0.05, respectively).

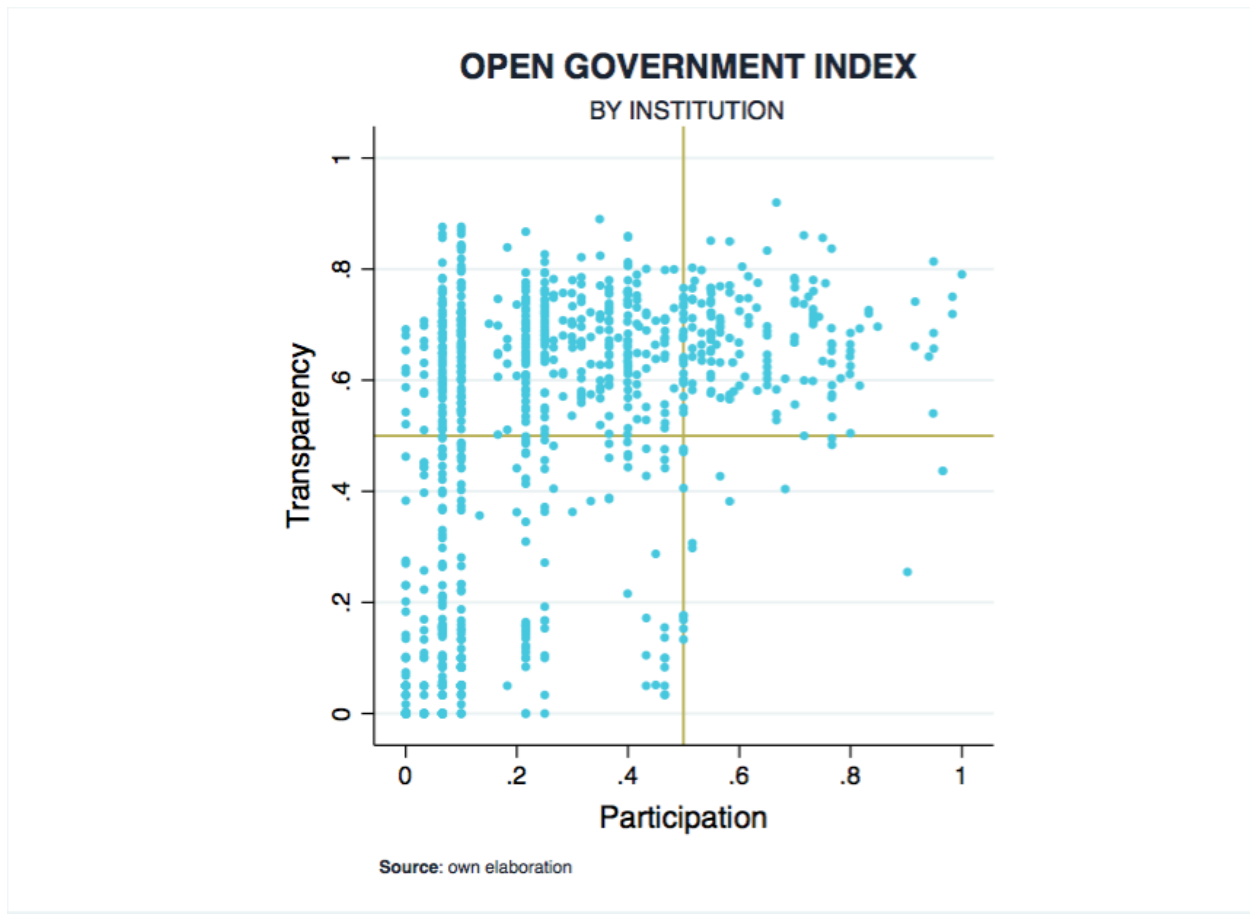
8. The National System of Transparency has a complex, varied agenda filled with dilemmas ahead.

In the coming years, the SNT will face the challenge of implementing an ambitious agenda set by the LGTAIP in a considerably heterogenous context (with regulated entities that have a long time working on their transparency obligations and others that just recently were incorporated into this regime, all with very different institutional capacity), in which there are examples of higher and lower levels of performance across the federal government and every state. No level of government can consider their basic challenges overcome.

Our Metric shows that, looking ahead, the SNT has to deal with both very sophisticated, advanced issues and the building of basic transparency infrastructure and capacities. On one hand, a very complex agenda lies ahead of all regulated entities and guarantor agencies, in matters such as open data, electronic platforms for access to information, website accessibility, co-creation mechanisms, open parliament initiatives, and technological innovation. Each of these tasks requires new capacities, technical abilities, standards, and personnel.

On the other hand, there is a basic agenda for regulated entities that just became part of the transparency regime, who should develop their procedures, create their first websites, and begin to participate on existing processes and mechanisms. All regulated entities also face the challenge of combatting opaque practices under which, using legal regulations, governments are still allowed to delay their responses or not respond at all; and also, those tactics that some regulated entities have developed to simulate they fulfill their obligations in a timely manner while still leaving citizens with no clear, complete answers to their requests. There is also a fundamental task regarding the preservation and management of archives, which are essential for information to be available for citizens. These challenges, that might be considered ‘first generation’, still remain for basically every institution. As seen in Graph 17, most of them are still very far from open government standards, which require citizens to be able to know what their governments are doing and influence their decisions.

Graph 17



This double agenda creates a dilemma for the SNT, which stems from the different positions on how to create a transparency system that will guarantee the right to access to information and follow the principle of maximum publicity. The tension revolves, on one hand, around a homogenizing tendency, which was a response to the diversity of capacities across regulated entities, the heterogeneity of processes, and the differences in the efficacy of local systems (and is reflected on the constitutional reform, the long list of obligations included in the LGTAIP, and a sizable proportion of the underlying logic of the SNT), and on the other hand, on an alternative position that values and encourages creative solutions, which are inherently diverse and adapt differently to the wide variety of policy areas, institutions, levels of government, and user characteristics.

As our Metric shows, there are already developed capacities to respond specific questions on the substantive activities of government institutions. However, it is also clear that efforts to build homogenous websites that fulfill every obligation set by law as well as open data and proactivity standards still have a long, complex way to go. The central decision is: which agenda should be

prioritized in the face of scarce resources and a limited amount of time? In other words, Mexico must decide whether it will give priority to the basic agenda or the sophisticated agenda; if the SNT will be focused on making sure legal provisions are met or on guaranteeing citizens will be able to access substantive information that not necessarily has to adopt complex technical specifications or standardized formats.

Conclusions

The results in this report provide, on one hand, various examples of important progress in terms of transparency and access to information, which are a necessary basis for the SNT to consolidate appropriately. On the other hand, they also show there is still an enormous gap between citizens' ability to gain knowledge on government actions via access to information mechanisms and their actual chances of activating mechanisms that will allow them to influence decision-making. Beyond any specificities and any interpretations suggested by our wide array of subindexes and variables, and regardless of the considerable variation across regulated entities, this gap alone illustrates the great challenge facing Mexico in terms of open government.

Any definition of open government considers two dimensions: transparency and participation. That makes sense: in democracies, citizens are expected to know what public officials are doing and to influence their actions. Indeed, most of the expectations generated by solid transparency policies trace back to the idea that, the more access citizens have to public information, the more elements they will be able to use in order to participate in public decision-making.

In the past fifteen years, Mexico has built a complex web of regulations and institutions to guarantee that citizens will be able to access public information. This Metric proves that there is a similar challenge ahead to make institutionalized participation mechanisms available. Only then will we be able to see Mexico become a truly open government.

Aside from the important challenge of bridging the gap between transparency and participation, the Metric also shows there is still considerable room for improvement in transparency and access to information. The SNT has a very heterogenous starting point. The legal basis to reduce gaps between states, policy areas, and institutions already exist. This agenda is way more complex than updating regulations: it also requires perfecting those mechanisms that are already there. The National Transparency Platform must reach its potential and eradicate performance deficits, which have been there from the beginning. Transparency websites must combine two objectives: on one hand, they must abide by the legal requirements set forth in the LGTAIP, including provisions regarding open data, and on the other hand, they must provide useful information for citizens to know what their governments are doing. These two objectives complement each other, but they are not necessarily equally easy to fulfill or equally useful for citizens.

Open government initiatives promoted by INAI across the Mexican states are an additional tool in a broad repertoire. These may by themselves detonate new transparency and participation initiatives based on any acquired commitments, but a true transformation will only occur as long as their effects permeate to the most basic, day-to-day activities of every institution. This should be reflected on both of our dimensions (transparency and participation).

The baseline we have presented here—which shows considerable improvements but also great challenges—precisely measures the attributes that the SNT is expected to impact. Beyond any legal reforms, website modifications, complex technological systems, and formal participation mechanisms, we must not lose sight of the citizen’s perspective that should guide our efforts. Only when citizens are able to effectively access public information and influence their governments’ decision-making will we be able to assert that our efforts have been successful. Monitoring, measurements and evaluations will be fundamental to detect any progress in that direction. Said progress will provide the notion of open government with content, and will also allow citizens to understand why this is an important agenda (beyond any labels or narratives) and thus become actively involved in democratic government.

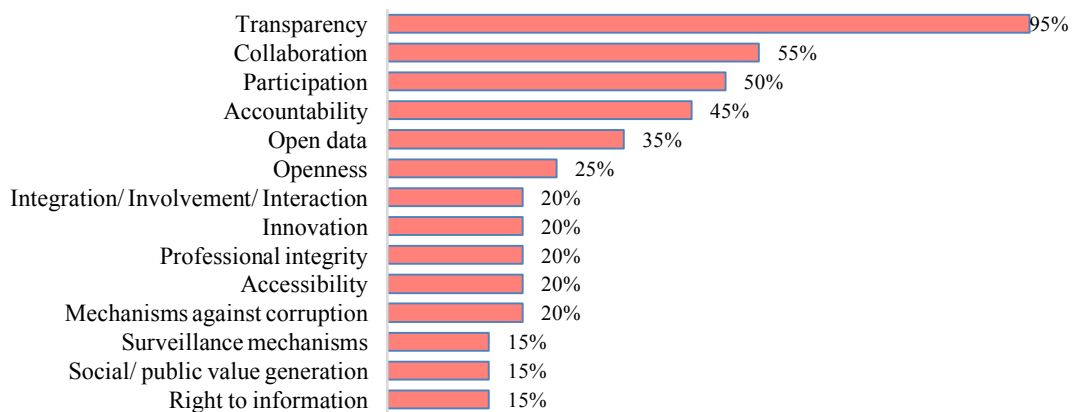
Appendix 1. Operationalizing Open Government

Designing the Metric required both a literature review and an analysis of the main instruments meant to measure open government and other related concepts (transparency, open data, participation, co-creation, etc). We also performed an expert survey to incorporate their ideas about the attributes and dimensions that this sort of measurements should consider. We summarize the main findings from each of these stages below.

Literature review

To avoid selection bias, we considered the first ten definitions that came out of searching the words “open government” and “open government definition” on *Google*. We also searched the same words on *Google Scholar* to include academic perspectives on the subject. We then listed the 33 different concepts we found in the definitions for open government, and analyzed how often they appeared. Figure 1 shows the most frequently referred concepts in open government definitions. We only show attributes that were mentioned in at least three different definitions.

Figure 1. Most important concepts identified in open government definitions (frequency)



Source: Own elaboration.

As the figure makes clear, transparency, collaboration, and participation were the most frequently identified concepts. Other concepts such as the right to information, the generation of social or public value and public surveillance mechanisms were also mentioned, but much less frequently. Based on this conceptual analysis, we first concluded open governments were characterized by transparency participation, collaboration, accountability, and access to information.

Analysis of existing measurements

In addition to the conceptual analysis derived from our literature review, we also studied the main indexes and metrics that have been developed around the world to measure transparency and open government. The purpose of this exercise was to look into different strategies that have been followed to operationalize open government, as well as extend our search for its related components. Open government and transparency indexes and measurements were selected on the basis of three criteria: a) they had to explicitly measure open government or transparency, or one of their components (e.g. open data or budget transparency); b) their methodology had to be laid out explicitly enough so that the usefulness of any dimensions, components, and weights can be analyzed; c) their unit of analysis had to be related to the purposes of our research, i.e. transparency and/or open government were measured on an international (including Mexico), national, regional or local level.

Table 1. Concepts measured by index.

Index	Concept					
	Transparency	Collaboration	Participation	Accountability	Open data	Right to information
Global Open Data Index					✓	
Open Data Barometer				✓	✓	
Open Government Index			✓			✓
Open Budget Index	✓		✓			✓
Municipal Transparency Index	✓					
Online Transparency Index	✓				✓	✓
Índice de Transparencia de los Ayuntamientos	✓					
Global Right to Information Rating						✓

Índice del Derecho de Acceso a la Información en México (IDAIM)	✓			✓
Índice Latinoamericano de Transparencia Presupuestaria	✓			
CIMTRA-Municipal	✓		✓	
CIMTRA-Legislativo	✓		✓	
CIMTRA-Delegacional	✓			
Índice de Información Presupuestal Estatal	✓			
Índice de Información Presupuestal Municipal	✓			
Métrica de la Transparencia	✓			✓
Metric for Releasing Open Data (MELODA)				✓
Medición de la Transparencia en Línea	✓		✓	
Indicadores de iniciativas de datos abiertos en América Latina				✓

Source: own elaboration.

The table shows that the concept these measurements incorporate the most into their methodology is transparency (measured in one way or another by 13 out of the 22 indexes), followed by open data comes second (measured in five out of the 22 measurements) and participation (considered by four out of the 22 measurements). It is important to note that, even though collaboration is frequently mentioned in open government definitions (see Figure 1), none of the indexes we analyzed explicitly sought to measure it. This suggests that even if concepts such as participation, collaboration, involvement (or even other possible concepts like co-creation) could be desirable when establishing the duties and characteristics of open governments, they might all be reduced to one single overarching concept: participation.

Expert survey

Lastly, we complemented our literature review and index analysis with a survey in which we asked experts to We resorted to an online survey in which we asked transparency and accountability experts to (a) assign scores to all of the 34 concepts associated with open government we found in the two previous stages, (b) group them into three dimensions, each one representing a component, and (c) provide their own (operationalizable) definition for open government.

Table 2 shows each attribute according to the average importance our respondents assigned to them.

Table 2. Average importance assigned to concepts

Ranking	Concept	Average importance	Standard deviation ±
1	Participation	9.17	1.90
2	Open data	8.80	1.56
3	Transparency	8.60	2.55
4	Accountability	8.31	2.41
5	Accessible information	8.02	2.85
6	Proactive transparency	7.97	3.08
7	Clear information	7.82	2.97
8	Access to information	7.62	2.87
9	Timely information	7.57	2.74
10	ITC	7.14	2.97
11	Collaboration	7.05	3.24
12	Joint decision-making	6.82	3.33
13	Shared responsibility	6.57	3.73
14	Citizen control	6.57	3.43
15	Surveillance	6.28	3.45
16	Innovation	6.17	3.32
17	Data reuse	6.17	3.66

18	Connectivity*	6.00	3.32
19	Co-creation	6.00	3.55
20	The public demands accountability	5.88	3.47
21	Consultations	5.80	3.46
22	Focalized transparency	5.68	3.68
23	Responsiveness*	5.68	3.76
24	Oversight	5.68	3.23
25	E-government	5.62	3.54
26	Archives	5.51	3.62
27	Metadata	5.40	3.80
28	Co-production	5.17	3.52
29	Freedom of expression*	5.08	3.74
30	Protections to denouncers	4.91	3.76
31	Accounting	4.77	3.13
32	Personal data protection*	4.60	3.52
33	Efficiency*	4.37	3.82
34	Reactive transparency	4.14	3.44

Source: own elaboration.

*Control.

Note: the maximum score was 10; the minimum score was zero.

Table 2 ranks the concepts according to the average relevance assigned to each of them by participants. As our results show, participation was the most relevant concept, followed by open data and transparency.

Table 3. Dimensions by percentage of mentions.

Dimension	Percentage of mentions	Ranking
Access/Transparency	100%	1
Participation	76%	3
Means/Ends	39%	6

E-government/Innovation	30%	5
Others	24%	8
Accountability	12%	2
Control	9%	4
Data protection	6%	7

Source: own elaboration.

In addition, Table 3 shows the general (conflated) dimensions respondents mentioned in part two of the survey. We see that every participant (without exception) considered transparency to be one of the dimensions under which concepts related to open government had to be grouped in order for the definition for open government to be measurable. The second most frequently mentioned dimension was participation, with a 76%. Although participants referred to six additional categories, there seemed to be a lack of consensus given that all of them merited considerably less than 50% of the mentions. It is interesting to note, for example, that even though accountability was the fourth most important concept for experts, only 12% saw it as a potential dimension of an operationalizable definition of open government. This may suggest, of example, that instead of being one of the dimensions of open government, accountability is better seen as a transversal process which results from the coordinated actions of various mechanisms for oversight.

Working definition for open government

Based on the previous stages, we decided our measurement for open government in Mexico would consider two dimensions—transparency and citizen participation—since they are both essential for governments and citizens to interact and achieve, each from a different position, more efficacious public policies. However, for governments to be open, they must provide information that is actually useful for citizens, as well as work on participation mechanisms that truly allow them to get involved in decision-making. Therefore, we decided the Metric would consider two different perspectives—the government’s and the citizen’s—, each of them associated with different components.

From the government’s perspective, we considered four components for transparency (access to information, reactive transparency, proactive transparency, open data) and one for participation (participation mechanisms). The idea is to assess whether the government, in this case

represented by every institution with transparency obligations, makes information about its decisions available, the extent to which they do so, and the quality of information they provide; the other intention is to explore the institutional channels the government has developed to learn and incorporate their citizens' opinions in decision-making processes.

From the citizen's perspective, the transparency dimension assesses whether common citizens are able to access useful information that is relevant for their everyday decisions, regardless of their level of knowledge about the government's structure or management. The participation dimension seeks to measure whether citizens are able to submit proposals and, ideally, have an influence over government decisions.

Appendix 2. Calculating the Open Government Index

Our analysis of previous open government measurements, as well as our literature review and our expert survey, revealed that a working definition for open government should count for two dimensions: transparency and participation. Based on this analysis, these dimensions may in turn be assessed from two different perspectives: one centered on the government, and the other on the citizen. Our Metric is designed after the combination of these two perspectives and dimensions, and includes nine subindexes that allow for an overview of a full picture on the level of openness.

The Open Government Index (OG) measures the degree to which each particular institution is open. It is calculated according to the following formula

$$OG = \frac{OGg + OGc}{2}$$

where OGg is reflects openness from the government's perspective and OGc reflects it from the citizen's perspective. OGg is calculated based on the following formula:

$$OGg = \frac{TG + PG}{2}$$

TG is the degree of every institution's transparency from the government's perspective, while PG stands for the degree of participation from the government's perspective. TG is the weighted average of a total of four components:

$$TG = AI (.5) + RT (.2) + PT (.2) + OD (.1)$$

where

- a) *AI = Access to information, which is assessed via a simulation in which a user submits information requests and the evaluation is based on whether responses are delivered on time.*
- b) *RT = Reactive transparency, which is assessed via an analysis of transparency or institutional websites, which is meant to indicate whether certain attributes (established by the General Transparency Law) are present in the information provided or not (e.g. specific information must be publicly available, in plain language, etc.)*

- c) *PT = Proactive transparency, also assessed via an analysis of transparency or institutional websites, with an interest in determining whether regulated entities publish any information that is not required by law and (if they do) whether it is focalized and meant to benefit a certain population group.*
- d) *OD = Open data, also assessed via an analysis of transparency or institutional websites, which seeks to determine whether information provided by the government actually fulfills the characteristics set by the General Law for open data.*

Our weights emphasize the importance of mechanisms through which citizens may submit information requests, and to a lesser extent the relevance of having regulated entities publish information on their websites. Open data is the one component with the lowest relative weight; although open formats are certainly desirable, they are still a work in progress for Mexico and their impact on users is relatively reduced.

In addition, our PG subindex is also a weighted average of five indicators:

$$PG = \text{Mechanisms } (.2) + \text{Actors } (.1) + \text{Operations } (.3) + \text{Format } (.1) + \text{Follow-up } (.3)$$

where

- a) *Mechanism = Existence of participation mechanisms, which is measured via a review of the relevant legal provisions the institution itself (by responding to an information request) argues to be guided by.*
- b) *Actors = The type of actors involved in the participation mechanisms, where we try to determine whether participation can only come after an explicit invitation from the government or can be actually triggered by citizens.*
- c) *Operations = Evidence that at least one of the mechanisms operates, which is determined by a review of the reports or attendance lists facilitated by the institution (as a response to an information request).*
- d) *Format = Format of participation, for which a review of the reports provided by the institution (as a response to an information request) leads to determine whether the existing mechanisms focus on information, consultations, or deliberations.*

- e) Follow-up = *Whether regulated entities follow up on any agreements derived from the participation mechanisms they operate, which is determined by a review of any documents provided by the regulated entities (as a response to an information request) with evidence on the matter.*

Our weights in this case emphasize the importance of having participation mechanisms but also, more importantly, that these actually operate and allow for citizen opinion to influence decision-making. The type of actors involved and the format are considered here as important, yet not determinant, characteristics of participation; therefore, these variables are assigned the lower weights for index calculations.

Similar to OGg, OGc measures the level of openness, but this time from a citizen's perspective. In the formula, TC stands for Transparency from the citizen's perspective. This subindex is calculated as the average of four indicators, as shown below:

$$TC = \frac{\textit{Availability} + \textit{Clarity} + \textit{Completeness} + \textit{Speed}}{4}$$

where,

- a) *Availability = Available information, which is explored via a simulation and evaluates whether regulated entities respond to information requests with the corresponding information.*
- b) *Clarity = Clear information, which is explored via a simulation and evaluates whether the information received by citizens is presented in plain language.*
- c) *Completeness = Complete information, which is explored via a simulation and evaluates whether regulated entities provide citizens with all the relevant information.*
- d) *Speed = Speed with which regulated entities respond to information requests, which is explored via a simulation.*

PC, in turn, assesses participation from a citizen's perspective; in other words, it gauges the probability that citizens will have direct influence over decision-making.. This subindex is calculated per the following formula:

$$PC = \textit{Mechanism} (0.2) + \textit{Reception} (0.3) + \textit{Activation} (0.3) + \textit{Speed} (0.2)$$

where

- a) Mechanism = *There is at least one mechanism through which to contact regulated entities to share policy proposals, which is evaluated through an analysis of each institution's website and an Internet search (on Bing) for contact information.*
- b) Reception = *Regulated entities notify citizens that they have received their proposals, either by telephone or e-mail.*
- c) Activation = *At least one mechanism is activated, via telephone or e-mail. Mechanisms are considered activated once regulated entities contact citizens to set a date to discuss their proposal.*
- d) Speed = *Speed with which regulated entities respond to citizen proposals, either via e-mail or telephone.*

While the weights for this subindex consider the importance of regulated entities having mechanisms through which citizens can contact them and present their policy ideas, they place a greater emphasis on citizens being able to actually enter into discussions with the authorities and, eventually, concreting their chances to influence the policy making process. Although speed is in this case desirable, it is not determinant for citizens to be able to influence decision-making; therefore, speed was awarded less weight than the rest of the components in this subindex.

Appendix 3. Data collection strategy

This section details the criteria we followed to collect the data for our Open Government Metric, as well as our measurement tools.

Sample selection

We engaged in two distinct sample selection processes: one for analyzing the government’s perspective and one for analyzing the citizen’s perspective. For the former, our unit of analysis was each individual institution; for the latter, we focused on policy areas, which were assessed via questions and proposals submitted to each institution in the first sample (which included institutions from the federal, state, and local levels of government).

Transparency and participation from the government’s perspective

Our evaluation of both dimensions from the government’s perspective was based on a sample of the wide array of regulated entities with transparency obligations in every level of government. In the case of the federal government and the states, we chose nine types of regulated entities: the Executive, the Legislative, the Judiciary, autonomous organs, decentralized organs (which includes, for the federal government, state-owned companies), universities, political parties, unions, and trust funds. We also selected five municipalities per state: the capital, two random municipalities with a population lower than 70,000 (if possible, ruled by different parties), and two random municipalities with a population greater than 70,000¹⁶ (if possible, ruled by different parties).

The total sample included a total of 908 regulated entities, which are displayed on Table 1 below.

Table 1. Regulated entities considered by the Open Government Metric.

Level of government	Type of regulated entity	Institution	Number of institutions
Federal	Federal Executive	The President’s Office	1

¹⁶ For the cases of Baja California and Baja California Sur, which have a total of five municipalities, we included them all. For the case of Mexico City, we chose five territorial demarcations, favoring diversity in terms of their ruling parties.

		Secretariats	7
		General Attorney's Office	1
		Decentralized organs	5
	Autonomous	Constitutional Autonomous Organs	5
	Trust funds	Federal trust funds	3
	Judiciary	Judiciary Council	1
		Supreme Court of Justice	1
		Federal tribunals	2
	Legislative	Chamber of Deputies	1
		Chamber of Senators	1
		Federal Supreme Audit	1
	Political parties	Political parties	11
	Unions	Federal unions	3
Universities	Federal universities	3	
State	State Executive	Governor's Office	32
		State Integral Family Development Office	32
		Secretariats	224
	Autonomous	State Electoral Institute	32
	Trust funds	State trust funds	64
	Judiciary	State Superior Tribunal of Justice	32
	Legislative	State Audit	31
		State Congress	32
	Political parties	Political parties	96
	Unions	State unions	64
	Universities	State universities	63
Municipal	Mayorship	Mayorship	160

Source: own elaboration

However, it was not possible to submit information requests for every institution, since for many of them we were not able to find a specific electronic mechanism (official website, transparency website, e-mail address)¹⁷. We were unable to reach a total of 103 regulated entities, most of which were unions, political parties, and trust funds—that is, those regulated entities which were assigned

¹⁷ Either an information request system or an e-mail.

transparency obligations just recently. We reviewed only 754 websites, since we were not able to locate one for the remaining 154 regulated entities.

Transparency and participation from the citizen's perspective

As mentioned above, our unit of analysis in these two cases are policy areas, not institutions (as opposed to the government's perspective), yet the mechanism we used to evaluate those areas was the submission of information requests. In the case of transparency, we sent every institution from every level of government a general question for one policy area (health) through a total 805 information requests. Additionally, each institution got an issue-specific information request, which was linked to one of their areas of expertise.

As to participation, we selected one single policy area (equality) to present a proposal to all 908 regulated entities considered by the Metric. In this case, only 71% of the regulated entities presented citizens with a contact mechanism (e-mail address, postal address, telephone number).¹⁸

Policy areas

The Metric also assessed whether it was possible for citizens to get answers to information requests centered on other policy areas based on each institution's attributions and responsibilities, although we must emphasize the results from these exercise are not included as part of the Index.

We considered five policy areas for both the federal and state governments—education, health, social development, security, and legislative process—, and therefore targeted five regulated entities from the federal government and from each of the states. For the municipal level, we evaluated only two areas: urban development, and public services. We considered each of the municipalities in our sample.

Sources

Our measurements were thus based on information from the following sources:

¹⁸ Due to some technical considerations, we limited ourselves to contact via e-mail and/or telephone.

1. Legal analysis: review and analysis of the relevant regulations to determine whether there are procedures for citizens to request public information and mechanisms for them to participate.
2. Information requests: this was our most important source of information. We engaged in simulations which required the generation of a fictitious character that would submit information requests. Our purpose was to analyze how regulated entities respond to citizens who are trying to access government information while avoiding any bias derived from the institutions' knowledge that they were being evaluated.
3. Websites: review of the information on each institution's website, as well as information available through internet (Bing) searches and transparency/open data websites. This was our source of information for our evaluation of reactive and proactive transparency, as well as open data.
4. E-mail, inboxes, and telephone calls: to analyze participation from the citizen's perspective, we sent e-mails or messages to contact inboxes available on each institution's website; alternatively, we sought out contact via telephone. For these procedures, we also resorted to a simulation.¹⁹

Criteria to define information requests and policy proposals

To assess transparency from the government's perspective, we sent the same question to every institution from every level of government so as to make comparisons across regulated entities and levels of government possible. Therefore, we tailored the question to be related to administrative (as opposed to substantive) tasks, so as to make it relevant for every institution.

To assess how open institutions are towards citizen participation, we also sent one identical question to every institution from every level of government. Replies were expected to provide knowledge on the legislation institutions think applies to them, as well as the formal or informal participation mechanisms they operate and whether they follow up on any agreements that derive from said mechanisms.

To assess transparency and participation from the citizen's perspective, we contacted each institution with a double purpose: to pose two questions via information requests, and to present a policy proposal. In the case of transparency, we sent regulated entities a generic question that was unrelated with their substantive tasks but still relevant for citizens, plus a second question that was specific to each institution's main policy area. These two requests were meant to illustrate the process

¹⁹ For practical reasons, we group these sources of information as legal analysis, simulations, and website review in our final report.

through which citizens have to navigate in order to access public information that might facilitate some everyday decisions.

In the case of participation, we delivered a policy proposal to each institution—via e-mail, inbox or telephone call—in which we put forward the idea for a public activity, so as to assess the degree to which citizens are able to have an influence on public decision-making.

Measurement tools

Table 2 shows the measurement tools we used for the Metric.

Table 2. Measurement tools for the Open Government Metric

Component	Attribute	Attribute description	Source of information	Type of variable	Frequency
Transparency from the government's perspective (Access to information)	Regulations	Does the law establish any mechanisms through which citizens may submit information requests?	Regulations	Dichotomous	Unique
	Completeness	Was the information provided by the institution complete?	Simulation	(0,0.5,1)	Unique
	Deadline	Was the information provided within the legal, 30 business day limit?	Simulation	Dichotomous	Unique
	Speed	Number of days between the moment the request was sent and the moment a response was received.	Simulation	Continuous (normalized, from 0 to 1)	Unique
	Response mechanism	Is there an electronic mechanism through which citizens may submit information requests?	Simulation	Dichotomous	Unique
Transparency from the government's perspective (Reactive transparency)	Completeness	Is all the information required by the law on the website?	Simulation	Average	Unique
	Accessibility	Can the site be accessed through at least two browsers?	Websites	Dichotomous	Unique
	Navigation route	Is it possible to determine the exact location for the information?	Websites	Dichotomous	Unique
	Readability	Is there a tool to modify font size in every section of the website?	Websites	Dichotomous	Unique
	Plug-ins	Is it possible to navigate the website without installing any extra plug-ins?	Websites	Dichotomous	Unique

Component	Attribute	Attribute description	Source of information	Type of variable	Frequency
	Search engine	Is there a search engine in the website?	Websites	Dichotomous	Unique
Transparency from the government's perspective (Proactive transparency)	Available	Is there any proactive information?	Websites	Dichotomous	Unique
	Focalized	Is the additional information targeted towards a certain audience, congruent with the website's audience?	Websites	Dichotomous	Unique
Transparency from the government's perspective (Open data)	Existence	Are there open data available at the institution's website?	Websites	Dichotomous	Unique
	Digital	Can the data be opened and edited using a word processor, spreadsheet or statistical program?	Websites	Dichotomous	Unique
	Machine	Were the data produced on electronic software?	Websites	Dichotomous	Unique
	Cost-free	Can the data be accessed free of cost?	Websites	Dichotomous	Unique
	License	Are the data openly licensed?	Websites	Dichotomous	Unique
	Updated	Are the data from at least 2015?	Websites	Dichotomous	Unique
	Find	Can the data be found through an Internet search?	Websites	Dichotomous	Unique
Transparency from the citizen's perspective	Speed	Number of days between the moment the request was sent and the moment a response was received.	Simulation	Continuous (normalized, from 0 to 1)	Unique
	Available	Does the requested information exist?	Simulation	Dichotomous	Unique
	Clear	Is the response presented in plain language?	Simulation	(0,0.5,1)	Unique
	Complete	Does the response answer every part of the request?	Simulation	(0,0.5,1)	Unique
Participation from the government's perspective	Mechanism	Do regulations establish at least one participation mechanism?	Simulation	Dichotomous	Unique
	Actors	Is there at least one mechanism that allows for non-induced participation?	Simulation	Dichotomous	Unique
	Operation	Is there any evidence that at least one formal or informal participation mechanism is operating?	Simulation	Dichotomous	Unique

Component	Attribute	Attribute description	Source of information	Type of variable	Frequency
	Format	Are citizens supposed to be informed, consulted, or engaged in discussion?	Simulation	(0, 0.33, 0.66, 1)	Unique
	Follow-up	Is there any evidence that at least one of the participation mechanisms has an influence over the institution's actions?	Simulation	Dichotomous	Unique
Participation from the citizen's perspective	Mechanisms	How many mechanisms are there for submitting proposals to the institution?	Websites	0, 0.33, 0.66, 1	Unique
	Reception	Is there any evidence that the proposal was received?	Simulation	Dichotomous	Unique
	Activation	Is there any evidence that the proposal has activated any follow-up mechanism?	Simulation	Dichotomous	Unique
	Speed	Number of days between the moment the proposal was sent and the moment a response was received.	Simulation	Continuous (normalized, from 0 to 1)	Unique

Source: Own elaboration.

Cronogram

The different activities related with the development of the Open Government Metric followed the schedule detailed below.

Activity	Apr-16	May-16	Jun-16	Jul-16	Aug-16	Sep-16	Oct-16	Nov-16
Creation of the team in charge of data collection	█	█						
Training for the team		█						
Information request submissions		█	█	█	█	█		
Website revision		█	█	█	█	█	█	
Follow-up on information requests		█	█	█	█	█	█	
Submission of proposals meant to activate participation mechanisms					█	█	█	

Follow-up on proposals meant to activate participation mechanisms																																											
Clean-up of the database, and elaboration of a manual on how to use and analyze the data for Metric calculations																																											
Analysis of the relevant statistical results for Metric calculations																																											

Source: own elaboration.

Our data collection process began in May 2016, with two training courses for the team that would be in charge of data collection: one on how to send and follow up on information requests, and another one on how to review websites to evaluate reactive and proactive transparency, as well as open data.

Originally, we had planned to spend 30 days in total submitting information requests starting on May 16th, later switching to our websites review while regulated entities responded. However, our strategy had to be modified after the various existing systems for access to information (Infomex for every state and institution, internal systems in each Congress and university, etc) began to transition towards the new National Transparency Platform. All the technical issues associated with these changes affected our access to each institution’s system, as well as our ability to send information requests, respond to regulated entities’ requests for clarifications, or download any documentation or response. This in turn led to changes in our schedule: although the first information requests were sent by mid-May, there was a period during which we paused the process and shifted towards our review of regulated entities’ websites in order to assess reactive and proactive transparency, as well as open data. When we were able to resume our work regarding the information requests, we did so while simultaneously working on the websites. In the end, we sent a total of 3,635 information requests, out of which 83.24% were responded

Towards the end of these stages of the process, in August and September, we began performing simulations to gauge citizens’ possibilities of activating any participation mechanisms by e-mailing every institution that provided an address. When they did not provide one, or in the cases where the address did not work or the regulated entities did not reply, we attempted to reach them via telephone. The whole process was completed on October 30, 2016.

Appendix 4. Methodology for the pilot test

To test the validity of our measurement tools for the Open Government Metric, we performed a pilot test from March to June 2016. We briefly describe the test and its results in the paragraphs below. The pilot test was meant to serve two purposes. First, it was intended to test our measurement tools for both dimensions (transparency and participation) on a sample of regulated entities, so as to identify any room for improvements. Second, it was also intended to produce information to inform the content of the training sessions for the team and define the profile of those who would be scouted. The pilot test lasted from March 17 to June 27, 2016. It required us to select a sample of regulated entities, establish criteria to define which information requests would be submitted, and decide the sequence of the data collection process. We explain each stage of this process below.

Sample selection

We engaged in two distinct sample selection processes: one for analyzing the government's perspective and one for analyzing the citizen's perspective. For the former, our units of analysis were individual institutions; for the latter, we focused on policy areas.

The government's perspective

Transparency

Our measurement of transparency from the government's perspective considers four indicators: access to information, reactive transparency, proactive transparency, and open data. We selected a sample from the wide array of institutions with transparency obligations in every level of government. In the case of the federal government, we chose 15 regulated entities from the Executive, the Legislative, the Judiciary, universities, political parties, unions, and entities. For the state level, we picked two states and, in each of them, we selected seven types of regulated entities (autonomous organs, trust funds, political parties, the Executive, the Legislative, the Judiciary, unions, and universities), which led to a total of 50 observations. Lastly, we selected five municipalities within each of these two states. We sought to include the capital, as well as at least two random municipalities with a population lower than 70,000.

Participation

Our measurement of participation from the government's perspective considers the following indicators: consultations, involvement, and collaboration, as different methods for citizen participation. The pilot test covered a sample of regulated entities from all three levels of government. For the federal level, we selected eight types of regulated entities (entities, trust funds, political parties, the Executive, the Legislative, the Judiciary, unions, and universities), which gave a total of 13 observations. For the state level, we selected eight types of regulated entities (trust funds, autonomous organs, political parties, the Executive, the Legislative, the Judiciary, unions, and universities), which led to a total of 51 observations. Lastly, we also considered a total of 10 municipalities, five from each of the two states included in the pilot test.

The citizen's perspective

Transparency

Our measurements for transparency from the citizen's perspective considered only one indicator: *knowledge* (of the information that citizens require). In this case, it was policy areas and not institutions that counted as our units of analysis (as opposed to the government's perspective). However, an analysis of each policy area in this dimension required an information request to be submitted to a particular institution.

For the federal level of government, we focused on a sample of six policy areas: economic development, social development, education, health, and security, which were analyzed through seven regulated entities. For the state level, we chose five institutions in each selected state, each one linked to a different policy area: representation, social development, education, health services, and health). For the municipal level, we sent three information requests in each one of the ten selected municipalities, all related to the same policy area (public services).

Participation

Our measurements for participation from the citizen's perspective also considered only one indicator: *influence* (over public decision-making). We also selected our sample based on policy areas and not on regulated entities. For the federal government, we considered three policy areas (education, health, equity), which are assessed via four regulated entities. For the state level, for each state in our sample, we considered only two policy areas (health and equity), each one related to one institution. Lastly, for the municipal level, we selected only one policy area (equity), and based our analysis on five different regulated entities.

Criteria for the definition of questions and proposals

To assess transparency and participation from the government's perspective, a number of information requests were sent to our sample of regulated entities. These requests posited two types of questions: one general, and one specific.

The general question was meant to facilitate comparisons in terms of transparency across institutions and types of regulated entities. Therefore, the general question was tailored around an administrative (as opposed to substantive) matter, so as to make it relevant for every type of institution. In addition, 11 out of the 15 federal institutions considered for the pilot test—all of them related to one of the seven types of regulated entities we selected for this level of government—received an information request with a specific question; that is, a question that revolved around their substantive tasks. The same happened with institutions at the state level—specific questions were sent to nine regulated entities in the two states selected.

To assess how open institutions were to the idea of participation, from the government's perspective, one identical information request was sent to each of the regulated entities from all levels of government. Responses were expected to provide information about the formal participation mechanisms each institution has, as well as whether they are currently in operation.

In addition, to evaluate transparency and participation from a citizen's perspective, we contacted all selected regulated entities with a double purpose: on one hand, to ask a question via an information request; on the other, to submit a policy proposal. For our transparency dimension, we sent every institution an information request with one specific question related to their substantive

activities. These requests were meant to illustrate the process each citizen must go through to gain access to information that is relevant for their everyday decisions.

For our participation dimension, we submitted a policy proposal to each institution—via a contact inbox, an e-mail, or personally—in which we argued for a specific activity related to their attributions to observe the degree to which a citizen (either individually or collectively) may influence government decisions.

Decisions related to the sequence of data collection

The pilot test required four different activities: the submission of information requests, the review of institutional websites, the submission of policy proposals, and a number of exploratory interviews with federal, state, and local authorities, as well as with representatives from civil society organizations.

The information requests meant to assess transparency (from both perspectives) as well as participation from the government’s perspective were all submitted between March 17 and April 27, 2016. This was the first stage of the pilot due to the fact that the measurement tools for these parts of the Index had been already clearly defined, and there were no expectations that any of them would require modifications for internal validity. In addition, we meant to leave as much room as possible for information requests to be responded by the regulated entities and for us to review the corresponding websites, even in the face of potential setbacks.

After submitting all the information requests, we submitted our policy proposals meant to influence decision-making between April and May of the same year. Later, during May, we interviewed a series of relevant government actors to gain a better understanding on the ways participation mechanisms are actually implemented in different areas of government. The idea was to determine whether the process through which we had decided to submit our proposals coincided with the ways citizens actually try to influence public decision-making.

Lastly, we reviewed each institution’s website during May and June.

Improvements derived from the pilot test

One of the main purposes of performing a pilot test was to identify areas for improvement in our measurement tools. From the actual pilot test, we obtained valuable information to adjust some aspects: our sampling method, our criteria for the (re)definition of questions and proposals, our

definitions for some variables, and some decisions regarding the timing and the sequence for our data collection process. All of these decisions were based on the two perspectives on which the Metric itself rests (both the government's and the citizen's).

As to sampling, we decided to keep the regulated entities we had initially selected to measure transparency and participation from the government's perspective, except for physical and moral personae. These regulated entities were eliminated because of a lack of criteria that would lead to properly identify them to begin with.

We also decided to keep the policy areas that we had planned to base participation from the citizen's perspective on. Lastly, in terms of timing and sequence, we made three important decisions. First, the data collection process would begin with information requests, since we noticed the deadlines regulated entities faced to respond kept being pushed back (mainly because they requested clarifications or time extensions). Second, we would review websites after submitting all the requests. Third, that our submission of proposals to gauge participation from the citizen's perspective would come last, since this component had been the one to require the most adjustments.

Appendix 5. Open Government Index, by state

The value of the Open Government Index equals the average value of four subindexes: transparency from the government’s perspective, transparency from the citizen’s perspective, participation from the government’s perspective, and participation from the citizen’s perspective. The following table shows the scores for each state, for each index.

State	Open Government Index	Participation from the government’s perspective Subindex	Participation from the citizen’s perspective Subindex	Transparency from the government’s perspective Subindex	Transparency from the citizen’s perspective Subindex
Aguascalientes	0.43	0.21	0.48	0.48	0.54
Baja California	0.41	0.29	0.32	0.50	0.53
Baja California Sur	0.35	0.21	0.30	0.42	0.47
Campeche	0.37	0.14	0.29	0.49	0.55
Chiapas	0.35	0.12	0.33	0.45	0.49
Chihuahua	0.38	0.22	0.29	0.43	0.57
Mexico City	0.51	0.47	0.34	0.56	0.68
Coahuila	0.41	0.33	0.38	0.43	0.50
Colima	0.35	0.14	0.29	0.43	0.55
Durango	0.38	0.23	0.34	0.41	0.54
Federal government	0.46	0.31	0.30	0.59	0.64
Guanajuato	0.48	0.37	0.37	0.47	0.70
Guerrero	0.37	0.10	0.33	0.50	0.56
Hidalgo	0.36	0.29	0.25	0.35	0.56
Jalisco	0.45	0.29	0.47	0.52	0.51
México	0.44	0.22	0.38	0.51	0.66
Michoacán	0.41	0.20	0.38	0.44	0.62
Morelos	0.38	0.20	0.21	0.46	0.64
Nayarit	0.33	0.16	0.22	0.44	0.49
Nuevo León	0.38	0.22	0.31	0.48	0.49

State	Open Government Index	Participation from the government's perspective Subindex	Participation from the citizen's perspective Subindex	Transparency from the government's perspective Subindex	Transparency from the citizen's perspective Subindex
Oaxaca	0.33	0.18	0.30	0.44	0.41
Puebla	0.34	0.27	0.28	0.35	0.47
Querétaro	0.27	0.09	0.37	0.32	0.32
Quintana Roo	0.40	0.14	0.38	0.51	0.56
San Luis Potosí	0.36	0.23	0.26	0.44	0.50
Sinaloa	0.42	0.31	0.26	0.52	0.61
Sonora	0.42	0.20	0.47	0.43	0.57
Tabasco	0.40	0.37	0.24	0.46	0.54
Tamaulipas	0.34	0.23	0.22	0.48	0.43
Tlaxcala	0.29	0.11	0.27	0.36	0.41
Veracruz	0.41	0.33	0.34	0.46	0.50
Yucatán	0.38	0.15	0.28	0.44	0.63
Zacatecas	0.43	0.18	0.43	0.49	0.63

Source: own elaboration.