2018 OECD SURVEY OF CAPITAL BUDGETING AND INFRASTRUCTURE GOVERNANCE

Background
The OECD Secretariat periodically surveys members and partners on current practices and procedures of capital budgeting and infrastructure governance. The general objective of such surveys is to provide a publicly available data set on practices that will support international comparative analysis, benchmarking of best practices, and to monitor change over time.

More specifically, this survey will collect data on capital budgeting, PPPs, as well as on a set of governance dimensions, including strategic planning; sustainable infrastructure management; affordability and value for money. The survey forms part of a comprehensive set of surveys of budget practices, including the main Budget Practices Survey and additional surveys on performance budgeting, spending reviews, programme evaluation and parliamentary oversight. Together, these will provide the basis for preparing the 2018 Budget Outlook report.

This is the second round of data collection on capital budgeting and governance of infrastructure. The first survey on capital budgeting practices was conducted as part of the Capital Budgeting and Procurement Practices Survey in 2012. The first survey of the Governance of Infrastructure was issued in 2016. The results of the past surveys are contained in the respective Government at a Glance Database and corresponding publications (OECD, 2013; OECD, 2017).

Objectives
The 2018 Survey of Capital Budgeting and Infrastructure Governance aims to:

- Gather information with respect to how governments budget and account for capital investments, including infrastructure.
- Gather information on how countries have organised the governance of infrastructure, i.e. the institutional roles, procedures, assessment tools and related issues.
- Gather information on countries’ PPP procurement framework for Public Private Partnerships (PPPs) and their treatment in budgeting and accounting.

Deadline
Please answer the questionnaire by 8th April 2018
Structure of Questionnaire

Part I: General Framework
- Institutional Framework
- Capital Budgeting Framework

Part II. The Governance of Infrastructure
- Strategic Planning and Prioritisation
- Coordinate Infrastructure Policy Across Levels of Government
- Managing Threats to Integrity
- Ensuring Good Regulatory Design
- Resilient and Green Infrastructure
- Affordability and Value for Money
- The Choice of the Delivery Modality
- Performance throughout the Life-Cycle
- Consultation and Stakeholder Involvement
- Generation, Analysis And Disclosure of Data

Part III: Public governance of PPPs
- Public Governance of Public Private Partnerships.

Glossary
You can open the 2018 OECD Survey of Capital Budgeting and Infrastructure Glossary.pdf by right-clicking on it. The link to the Glossary will be available at the beginning of each section. Terminology included in the Glossary will be marked by an asterisk. It is possible that the terminology applied in this questionnaire may not exactly match- or may not be applicable- to the particular context in your country. In such cases, please use the comments section (or other space provided) to specify the terminology used in your country and clarify your choice of response. This additional clarification will enhance comparability and data quality.

How to complete
Countries are kindly asked to answer all three parts of the survey. If you do not have an immediate answer, i.e. cannot obtain the necessary information based on two phone calls, or if the question does not apply to your country, please indicate this and move to the next question.

In case you cannot complete the survey in one sitting or would like to share the responsibility of responding with other colleagues, please use the "Next" button at the bottom of each page which will automatically save your answers for the given page. You, or other officials, can then return to the partially completed survey at a later time before the deadline.

Once you have completed the survey, click on the "Finish" button which will save and submit your answers, together with an automatically generated email which summarises your responses.

Currently, the recommended browser for using Checkbox is Google Chrome. Using this browser to work on the survey minimises the risk of losing data or encountering technical difficulties.

OECD contacts
If you have any queries about the content of this questionnaire, please contact:

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Ana Maria Ruiz Rivadeneira, Budgeting and Public Expenditures, Public Governance and Territorial Development, Tel: +33 18 555 47 27, anamaria.ruiz@oecd.org.
Contact information

To be filled by the person responsible for the questionnaire:

*Country: 

*Name: 

*Institution: 

*Position: 

*E-mail: 

*Telephone: 
## Part I. General Framework

### INSTITUTIONAL FRAMEWORK

1. Please describe the institutional framework of infrastructure governance/public procurement system.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Primary institution responsible</th>
<th>If other, please specify</th>
<th>If shared, please provide name(s) of other institution(s) involved, including non-governmental regulators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation of infrastructure needs</td>
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<tr>
<td>Prioritisation of all infrastructure/capital projects</td>
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<tr>
<td>Stakeholder consultation about project outputs</td>
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<tr>
<td>Deciding whether PPPs or TIP* are more adequate</td>
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<tr>
<td>Feasibility and ex ante value for money analysis</td>
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<tr>
<td>Planning and budgeting proposal</td>
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<tr>
<td>Project approval</td>
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<tr>
<td>Inviting bids, overseeing bidding process</td>
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<tr>
<td>Designing contract with winning project bidder</td>
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<tr>
<td>Operation/delivery/maintenance</td>
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<tr>
<td>Monitoring project execution</td>
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<tr>
<td>Setting tariffs in the infrastructure/public service market</td>
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<tr>
<td>Reporting/ regulating performance of public &amp; private enterprises in market</td>
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<tr>
<td>Dispute resolution</td>
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<tr>
<td>Ex post evaluations</td>
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<tr>
<td>Contract expiry &amp; transfer</td>
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<tr>
<td>Other, please define</td>
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<td>Other, please define</td>
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<td>Other, please define</td>
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</tbody>
</table>

2. Please provide here any other comment regarding the overview and institutional framework.
3. Please describe how is capital expenditure* included in the public budget process?

4. Is capital expenditure shown separately in the core body of the public budget of the relevant (national, sub-national) government level for the following procurement types:

<table>
<thead>
<tr>
<th>Level of government</th>
<th>Yes</th>
<th>No</th>
<th>For certain elements</th>
<th>If certain elements, please specify</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOE</td>
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<tr>
<td>Traditional public works</td>
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<td>PPP / concession</td>
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<tr>
<td>Other: (please define)</td>
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</tbody>
</table>

5. How are capital expenditure* requests from line ministries separated from their current/operating expenditure* request?

- Capital and current expenditure are submitted and considered in an integrated way
- Capital and current expenditure requests are submitted together by line ministries, but the process for deciding upon capital and operating budget requests are distinct
- Capital and current expenditure requests are submitted separately by line ministries and the process for deciding upon capital and operating budget requests are distinct
- Other: (Please specify)

5.a. How are multi-year capital projects budgeted for?

- The budget requests funding for the entire cost of multi-year project up-front
- The budget requests funding incrementally each year until the project is completed
- Creation of a separate Medium-Term Capital Plan
- The budget establishes other funds outside of the budget
- There is no general rule, funding is determined on a case by case basis
- Other: (Please specify)

If there is no general rule (funding is determined on a case by case basis), please specify:

6. Is there a formal requirement to measure and report running costs and contingent liabilities* associated with an infrastructure project (in the budget documentation or other published material)? Check all that apply.

<table>
<thead>
<tr>
<th></th>
<th>Yes, but they are not listed</th>
<th>Yes, they are listed but not priced</th>
<th>Yes, they are listed and priced</th>
<th>No</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traditional public works</td>
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<td>PPP/concession</td>
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<tr>
<td>SOE Comments</td>
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</tbody>
</table>

7. Is the Central Budget Authority required to approve capital/infrastructure projects of line ministries (even when these projects fall within the existing approved budget envelope of the responsible line ministry/agency)?

<table>
<thead>
<tr>
<th></th>
<th>a. Yes for all projects</th>
<th>b. Yes for those projects above a certain threshold</th>
<th>c. Yes on an ad-hoc basis</th>
<th>d. Yes, other</th>
<th>e. No</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>PPPs</td>
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<tr>
<td>TIPs</td>
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</tbody>
</table>

7.a. What are the criteria used by the Central Budget Authority for the approval of infrastructure projects?

<table>
<thead>
<tr>
<th></th>
<th>For all projects</th>
<th>For projects above certain threshold</th>
<th>On ad-hoc basis</th>
<th>Not used</th>
<th>Please comment on what determines the use of the criterion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affordability</td>
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<tr>
<td>Value for money</td>
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<td>Mandated documentation</td>
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<td>including elements such as</td>
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<tr>
<td>environmental impact assessment,</td>
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<tr>
<td>cost-benefit analysis, write-up of</td>
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<tr>
<td>stakeholder consultation</td>
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<tr>
<td>Other: (Please specify)</td>
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</tbody>
</table>
Part II. The Governance of Infrastructure

STRATEGIC PLANNING AND PRIORITISATION

8. Does your country have an overall long term strategic infrastructure plan?
   - Yes
   - No
   - Other: (please specify)

8.a. Is there a dedicated unit or institution for generating, monitoring and adjusting the national infrastructure plan?
   - Yes, please specify
   - No

8.b. What are the key drivers of the current overall strategic infrastructure plan?
   - Demography
   - Adaptation to climate change
   - Social imbalances
   - Regional development imbalances
   - Provision of basic infrastructure
   - Fiscal pressures
   - Research and Development
   - Digital Economy
   - Depreciation of the country’s capital stock
   - Asset maintenance
   - Climate change mitigation (eg. transition to a low carbon energy system)
   - Transport bottlenecks
   - Other: (Please specify)

8.c. In general, how often is the overall strategic infrastructure plan updated?
   - After the change of government/ political administration
   - Ad hoc, according to political demand/economic need
   - On a regular basis (e.g. every 5 years)
   - Other: (please specify)

If on a regular basis (e.g. every 5 years), please specify

9. Does your country have long-term sectoral infrastructure plans (e.g. sector-specific plans that are separate from the national infrastructure plan)?
   - Yes
   - No
   - Other: (Please specify)

If yes, please specify sectors:

9.a. What levels of government are covered by the long term strategic plan/sectoral plan?

<table>
<thead>
<tr>
<th>Overall long term strategic plan</th>
<th>Sectoral plan</th>
<th>Comment (specify sector)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The plan refers only to the central government level</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>the plan integrates both central government and sub-national government</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Other: (Please specify)</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

9.b. Are the infrastructure strategic plans aligned with existing planning instruments?

<table>
<thead>
<tr>
<th>Overall long term strategic plan</th>
<th>Sectoral Plan</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spatial and land use plans</td>
<td>☐</td>
<td>☐</td>
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</tbody>
</table>
10. Please describe the institutional process used in your country to prioritise between different infrastructure projects:

11. Does your government have a process to short-list priority projects that are politically committed to make happen within the medium term?
   - Overall short list of priority projects
   - Multiple short lists on a sectoral base
   - None
   - Other: (Please specify)

11.a. How often is this "short list" updated? What is the time frame for the short-listed priority projects?

11.b. What levels of government does the short-list process refer to?
   - Central government level
   - Integrates both central government and sub-national government projects above a relevant size
   - Sub-national government level
   - Other: (Please specify)

12. What criteria determine whether a project is considered a priority project?
Please, in descending order of importance, drag the criteria to the right hand side, paying in particular attention to the ranking of the first five items.

- Strong political backing
- A strong cost/benefit analysis result - i.e. strong value for money*/socioeconomic benefit
- Functional fit with other infrastructure assets
- Part of the long term strategic plan
- Strong private sector interest
- Important for developing a particular sector
- Strong popular backing
- Strong market failures in the sector
- External funding from EU or other donors
- Other: (Please specify in comments below)

12.a. Within a short list of priority projects, what determines a project’s rank?
   - Cost-benefit analysis
   - Relative value for money*
   - Political interest/agenda
   - Other: (Please specify)

13. Is there a short list of priority projects for sectors?
   - No
   - Yes, please specify the sectors

14. Please provide here any other comments on planning and prioritisation.
15. Is there an intergovernmental coordination mechanism for infrastructure (such as a coordination committee) ensuring the quality of coordination across jurisdictional boundaries?

- Yes, horizontal coordination across sectors/ministries
- Yes, horizontal coordination across sub-national governments (e.g. across municipalities)
- Yes, across levels of governments (vertical coordination)
- Yes, on international level
- No

If yes, horizontal coordination across sectors/ministries, please specify:

If yes, horizontal coordination across sub-national governments (e.g. across municipalities), please specify:

If yes, across levels of governments (vertical coordination), please specify:

If yes, on international level, please specify:

16. Please define the coordination mechanisms:

- Co-financing arrangements/matching grants
- Contracts between levels of government
- Formal consultation processes or regular dialogues
- National agencies or representatives working with SNGs
- Other: (Please specify)

17. Please provide here any other comments on infrastructure policy across levels of government
18. Is there an explicit policy (additional to a generic anti-corruption law) or institution that seeks to minimize the risk of corruption in infrastructure governance?

- No
- Yes, (please specify the sectoral coverage)

19. In general, are there any measures or institutions in place in order to prevent corruption from happening in infrastructure governance? Check all that apply

<table>
<thead>
<tr>
<th>Type of infrastructure investment</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private contractors sign codes of conduct</td>
<td>☐</td>
</tr>
<tr>
<td>Staff members of private contractors sign integrity pacts</td>
<td>☐</td>
</tr>
<tr>
<td>Private contractors are subject to spot checks by government/outside auditors</td>
<td>☐</td>
</tr>
<tr>
<td>Staff members of private contractors are subject to spot checks by government/outside auditors</td>
<td>☐</td>
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<tr>
<td>There is an online warning system in place to share discovered corruption schemes and/or warning signs among relevant agencies on a real time basis</td>
<td>☐</td>
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<tr>
<td>An anti-corruption monitoring board is in place with independent expert representation to analyse transaction and/or improve procedures</td>
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<tr>
<td>Other: (Please specify)</td>
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</tbody>
</table>

20. Do you have an explicit policy or institutional framework in place regulating situations where there is conflict of interest in the tender panel?

- Yes, for public procurement in general
- Yes, for infrastructure projects
- No

21. Please, indicate whether the measures listed below are in place in your country to ensure integrity and fairness in tendering, Existence of Measure

<table>
<thead>
<tr>
<th>Appeal mechanisms*</th>
<th>Yes</th>
<th>No</th>
<th>WebLink</th>
</tr>
</thead>
<tbody>
<tr>
<td>Remedies system*</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>Other, (please specify)</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
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</tbody>
</table>

22. Please, provide here any other comments on integrity threats in infrastructure governance.
23. Is there a dedicated mechanism (dedicated body, one stop shop, electronic portal or other) aimed at facilitating the access to applicable regulations and reduce transaction costs such as administrative burdens of infrastructure projects?

- Yes
- No
- Other: (Please specify)

23.a If yes, can you please name the mechanism or institution and briefly describe its scope?

24. At domestic level, is there a formalised mechanism to coordinate between the different regulatory bodies in the approval process or in the regulation of the performance of services provided by the infrastructure?

<table>
<thead>
<tr>
<th></th>
<th>Yes, for all sectors</th>
<th>Yes, for certain sectors</th>
<th>No</th>
<th>Please provide additional information if necessary (eg, specify sectors)</th>
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<tbody>
<tr>
<td>PPPs</td>
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<td>Public Works</td>
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<tr>
<td>SOE's</td>
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<tr>
<td>Regulated assets</td>
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</table>

25. On international level, are there formalised mechanism to coordinate between regulatory bodies for trans-boundary issues? Please describe:

26. Please provide here any other comments on regulatory design:
RESILIENT AND GREEN INFRASTRUCTURE

27. Does your country include a green growth perspective within the long term planning process (overall, sectoral, or in general) for infrastructure investments? If so, what elements are taken into account?

- Intended Nationally Determined Contributions (NDCs) under the Paris Agreement on climate change
- United Nations Sustainable Development Goals
- Aichi Biodiversity Targets
- National Green Strategy/Plan
- None
- Other: (Please specify)

If you chose the United Nations Sustainable Development Goals, please indicate which ones if relevant:

If you chose the National Green Strategy/Plan, please specify:

28. How is information on environmental/ climate costs and benefits included in the capital budgeting process?

- Environmental/ climate costs and benefits are addressed in the longer-term fiscal planning document
- Environmental/ climate costs and benefits are included as background information in the budget document
- Environmental/ climate costs and benefits are measured and taken into account, along with other information, to determine resource allocation during the budgetary process
- Environmental/ climate costs and benefits are studied only at the project base level
- Environmental/ climate costs and benefits are not included in the capital budgeting process
- Other: (Please specify)

29. What steps are taken at the beginning of the project development to ensure that the design takes environment and climatic impact into account?

<table>
<thead>
<tr>
<th>Have you set up a monitoring, reporting and verification process (MRV) for the compliance with environmental and climate regulations and obligations resulting from this tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
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</tbody>
</table>

Environmental impact assessment

Climate impact assessment? GHG emissions model (baseline calculations) been created to estimate the project’s potential emissions

Actively targeting mitigation measures to climate change

Risk assessment how project could be jeopardized by climate change and natural hazard

Actively targeting adaptation measures to climate change

Others: (Please specify)

No

30. Are asset conditions monitored on a regular basis in order to assess the impacts of ageing infrastructure on service levels and maintenance needs?

- No
- Yes, (Please specify the responsible institution/agency)

30a. If yes, are there any good practices with respect to new technologies and big data that have been used to improve asset condition and monitoring in any specific sector?
31. Are there policies in place to ensure that key infrastructure assets are resilient if disasters hit?
- Yes
- No

31.a. If yes, please define the authority responsible for it:
- There is none
- Yes, please define the authority:

32. Please provide here any other comments on resilient and green infrastructure:
33. Is there a formal process/legal requirement for ensuring absolute value for money* from infrastructure projects?

<table>
<thead>
<tr>
<th>Tool</th>
<th>a. Yes for all projects</th>
<th>b. Yes for those projects above a certain threshold</th>
<th>c. Yes on an ad-hoc basis</th>
<th>d. Yes, other</th>
<th>e. No</th>
<th>f. Not applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>PPPs</td>
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<td>TIP</td>
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</table>

Please comment, where relevant

34. Is there a formal process/legal requirement for ensuring relative value for money* from infrastructure projects?

<table>
<thead>
<tr>
<th>Tool</th>
<th>a. Yes for all projects</th>
<th>b. Yes for those projects above a certain threshold</th>
<th>c. Yes on an ad-hoc basis</th>
<th>d. Yes, other</th>
<th>e. No</th>
<th>f. Not applicable</th>
</tr>
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<tbody>
<tr>
<td>PPPs</td>
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<td>TIP</td>
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</tbody>
</table>

Please comment, where relevant

35. Which of the following tools are used in value for money analysis?

- Cost-benefit analysis including Total Cost of Ownership* during the life-cycle
- Cash-flow estimates over the project cycle
- Business case methodology
- Internal rate of return
- Residual income
- Net present value
- Payback period
- Qualitative expert opinion
- Analysis of the capacity/ willingness of users to pay
- Other: (Please specify)

35a. To what extent are the results from the above tools routinely made publicly available?

- Not publicly available
- Partially (compatible with commercial sensitivity)
- Fully available (please provide web link)

If you chose "Partially (compatible with commercial sensitivity)" please specify:

35b. In the value for money test that your government uses, does it explicitly include an estimate for optimism bias*?

<table>
<thead>
<tr>
<th>Tool</th>
<th>a. Yes for all projects</th>
<th>b. Yes for those projects above a certain threshold</th>
<th>c. Yes on an ad-hoc basis</th>
<th>d. Yes, other</th>
<th>e. No</th>
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</tr>
</thead>
<tbody>
<tr>
<td>PPPs</td>
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<tr>
<td>TIP</td>
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</tr>
</tbody>
</table>

Comments:

36. Are projects subject to an assessment of their affordability for the public budget and/or users?

<table>
<thead>
<tr>
<th>Affordability</th>
<th>All projects</th>
<th>All projects above a threshold</th>
<th>Coverage</th>
<th>None</th>
<th>Not relevant</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>for the public budget</td>
<td></td>
<td></td>
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<tr>
<td>for the users</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

37. In general, is there a dedicated function/policy allocating sufficient resources and monitoring capacity ensuring value for money in contracting?

- Yes
- No
- Other: (Please specify)
38. Please, provide here any other comments on affordability and value for money.
39. Is the decision to invest in a new infrastructure asset made before the decision on how to procure and finance the project?

☐ Yes
☐ No
☐ Other: (Please specify)

40. Please indicate which criteria make the listed procurement methods more likely.
Check all that apply

<table>
<thead>
<tr>
<th>Criterion makes the below procurement method(s) more likely</th>
<th>Traditional public works</th>
<th>SOE PPP/concession</th>
<th>Regulated private assets</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>The wish to use private finance sources to augment the public budget</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Tradition in the sector for a certain budget delivery modality</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>The degree to which cost recovery is possible from users</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>The level of uncertainty related to future technological or societal conditions</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>The need for sharing risks with private actors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Political sensitivity to private sector participation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Is there private sector capacity of handling these kinds of projects</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Is there public sector capacity of handling these projects</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>The outcome of a quantitative comparison (relative value for money test) between traditional public works or other forms of private sector participation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Availability of public sector financial resources</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Degree of uncertainty on revenues/benefits</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Strength of business case</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
</tbody>
</table>

41. Is there a process to carry out a quantitative comparison (such as public sector comparators) between different delivery modes?

☐ Yes in all cases
☐ In all cases above a certain threshold
☐ On an ad hoc basis
☐ No
☐ Other: (Please specify)

41.a. Please describe the process:


42. Is there a dedicated procedure for identifying and allocating risks between public vs. private parties that take the cost of such allocation into account?

☐ Yes
☐ No
☐ Not relevant
☐ Other: (Please specify)

If yes, please specify:
43. Please provide here any other comments on the choice of the delivery modality
44. Is there a formal policy ensuring that the relevant line ministry or agency conducts performance assessment of each project?
- Yes, centrally mandated
- Yes, but it is the line department's responsibility to decide upon such policies
- No

45. What type of Audits does the Supreme Audit Institution perform regarding infrastructure assets?

<table>
<thead>
<tr>
<th>Type of Audit</th>
<th>Yes, systemically</th>
<th>On a case by case basis</th>
<th>No</th>
<th>Not relevant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial audit</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>With respect to value for money</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>With respect to performance</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Analysis of assets over the life-cycle</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Social and environmental impact</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Other, please specify:</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

If you have answered 'case by case', please explain what triggers the audit and place other comments here.

46. In case of having both private and public parties in the project, when do renegotiations usually occur?

Check all that apply
- ☐ If conditions change due to discretionary public policy actions
- ☐ In case of external shocks
- ☐ Not relevant
- ☐ Other: (Please specify)

47. Do contractual arrangements clearly specify the mechanisms and conditions for re-negotiations in long term investments with the aim to maintain value for money throughout renegotiations?
- ☐ Yes, in all cases
- ☐ Above a certain threshold
- ☐ On a ad hoc basis
- ☐ No

48. Please provide here any other comments on the performance throughout the life-cycle.
49. Are there mandatory consultation processes that frame the engagement with the public and other stakeholders during the development of a particular infrastructure project?
- Yes
- No

50. Please describe the consultation process(es).
Check all that apply.

<table>
<thead>
<tr>
<th>Evaluation of infrastructure gaps</th>
<th>At which stages of development do consultation processes take place?</th>
<th>Who is the responsible authority?</th>
<th>How is the feedback used?</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifying and incorporating user needs</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Public consultation process regarding the long-term strategic plan?</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Decision and prioritisation of infrastructure</td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>Infrastructure project preparation</td>
<td></td>
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<tr>
<td>Construction</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Other: (Please specify)</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

51. Is an organisation of users/consumers/industry representatives formally consulted every time investment decisions are made in a specific sector?
- No
- Yes, (Please specify)

52. Please, provide here any other comment on project development.
53. Is there a central, systematic and formal collection of relevant financial and non-financial data of infrastructure projects that makes it possible to compare various forms of infrastructure delivery models?

<table>
<thead>
<tr>
<th>Collection of Data</th>
<th>Performance data during implementation and operation phase</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

54. Who collects information on financial and non-financial performance of infrastructure?

Check all that apply
- ☐ Dedicated PPP Unit
- ☐ Central Infrastructure Unit
- ☐ Central Budget Authority
- ☐ Supreme Audit Institution
- ☐ Sector regulators
- ☐ National Public Procurement Agency
- ☐ Line Ministries
- ☐ Competition Authorities
- ☐ Other: (Please specify)

55. Does your country have the following information for infrastructure investment?

Check all that apply
- ☐ Complete infrastructure investment flow data
- ☐ Complete infrastructure investment stock data
- ☐ Partial infrastructure investment flow data
- ☐ Partial infrastructure investment stock data
- ☐ No data
- ☐ Other: (Please specify)

56. Please provide here any other comment related to infrastructure investment data.
57. What type of public sector infrastructure projects can be delivered by PPPs?

Check all that apply

- a. Roads
- b. Railways
- c. Ports
- d. Public housing
- e. Public buildings
- f. Environmental facilities
- g. All (no restrictions)
- Other: (Please specify)
- None Of The Above

58. What percentage of public sector infrastructure investment (value) takes place through PPPs in the recent 3 years?

- a. 0 %– 5%
- b. > 5% – 10%
- c. >10% - 15%
- d. >20%
- e. Other: (Please specify)

59. Does the Executive have a dedicated unit for public-private partnerships (PPP)?

Check all that apply

- a. No
- b. Yes, within the departmental structure of the Ministry of Finance
- c. Yes, as a separate agency answering to the Minister of Finance, please specify
- d. Yes, within the departmental structure of a line ministry, please specify
- e. Yes, as a separate agency answering to a line ministry, please specify
- f. Yes, other unit, (please specify)

59a. If several units exist please explain their respective roles:

- [ ]

60. What criteria are used to decide whether or not an asset involved in a private finance type/PPP project is included in the government accounts?

Check all that apply

- International accounting standards (IFRS or IPSAS)
- Assets appear on books of party who has control over asset
- Eurostat criteria
- Assets appear on the books of the party who carries the majority of risks
- None
- Other: (Please specify)

61. Are PPP units/Infrastructure Units at sub-national governments (municipalities, regions, states) allowed to design and run PPP or infrastructure projects in general?

- Yes
- They are, but don’t do so
62. Please provide here any other comment related to public governance of PPPs.
Thank you for taking the survey.