Institutionalisation, Quality & Use of Policy Evaluation

OECD Survey Questionnaire
Structure of the Survey

The evidence collection is based on two Surveys:

Survey 1 - Policy evaluation across government

A. Institutionalisation of Policy Evaluation
   1.1. Definition
   1.2. Legal and policy framework
   1.3. Main actors and their institutional anchorage, mandate, resources and capacities
   1.4. Guidelines
   1.5. Objectives and challenges
   1.6. Quality of evaluations
   1.7. Use of evaluations

B. Evaluation of government-wide policy priorities
   1.8. Key features
   1.9. Stakeholder engagement
   1.10. Reporting

Survey 2 – Policy evaluation at sector/thematic level

Background information on respondent (Survey 1¹)

Country:
Institution:
Name:
Position:
Email address:
Telephone number:
Contact details of additional respondents:

¹ 3 (+1 optional) Respondents in total: 1 respondent for Survey 1; 2 (+1 optional) respondents for Survey 2, each representing a specific thematic area.
SURVEY 1, PART 1 – INSTITUTIONALISATION OF POLICY EVALUATION ACROSS GOVERNMENT

This section focuses on the legal and policy framework for evaluation, as well as on guidelines supporting the evaluation process. In addition, this section will also collect data on the main actors in charge of policy evaluation, the assurance of its quality and the use of evaluations. Unless otherwise stated, the questions apply to policy evaluation carried out by the executive branch (further referred to as the “government”). This section of the survey does not focus on specific arrangements or practices at the level of individual government institutions (line ministries, agencies).

1. Definition

1.1. Definition

1. Does your government have a formal definition of policy evaluation?
   a) Yes, one definition applicable across government
   b) Yes, but several definitions exist
   c) No
   d) Don’t know

1b. If a or b to Q1, please provide the definition/s and the reference to the relevant document/s:

1.2. Legal and policy framework

2. Is there a legal framework guiding policy evaluation across government?
   □ Yes
   □ No

3. If yes to Q2, at what level is policy evaluation across government legally embedded? (Check all that apply):
   □ Constitution. Please provide the number of the article/s ___________
   □ Primary legislation (law/s or equivalent)². Please provide the references to the legislation:
     __________________
   □ Secondary/subordinate legislation³. Please provide the references to the legislation:
     __________________
   □ Other. Please specify: __________________

4. Apart from/under the umbrella of a legal framework, has your government developed a policy framework for organising policy evaluation across government?
   □ Yes

² Primary legislation: The definition of primary legislation varies across different legal systems in OECD countries. Generally, primary legislation refers to statutes or acts passed by a parliament (legislature) which describe broad principles. In many cases, primary legislation delegates responsibility to other parts of the executive branch, which shall define more specific laws under the aegis of the principle statute.

³ Secondary legislation: Subordinate regulations are regulations that can be approved by the head of government, by an individual Minister or by the Cabinet - that is, by an authority other than the parliament/congress. Note that many subordinate regulations are susceptible to disallowance by the parliament/congress. Subordinate regulations are also referred to as “secondary legislation” or “subordinate legislation”. Examples include Regulations, Rules, Orders, Decrees or Ministerial Directives.
5. **If yes to Q4**, Please provide the following information on the relevant policy document(s):

<table>
<thead>
<tr>
<th>Title</th>
<th>Date of release (+ last update)</th>
<th>Name of the institution that issued the policy</th>
<th>Web-link (if not available please send the full document to <a href="mailto:SurveyPolicyEvaluationGRP@oecd.org">SurveyPolicyEvaluationGRP@oecd.org</a>)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy document, a</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policy document, b</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policy document, c</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>…</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6. Which elements do(es) the document/s referred to under Q3 and Q4 cover concerning policy evaluation across government? (Check all that apply)

- □ Objectives or expected results of the evaluation policy
- □ Policy areas (thematic) or programmes covered by the evaluation policy
- □ Responsibilities of government institutions concerning policy evaluation
- □ Requirement for government institutions to undertake regular evaluation of their policies
- □ Standards for ethical conduct
- □ Requirements related to the quality standards of evaluations
- □ Requirements related to stakeholder engagement
- □ Requirements related to evaluation reporting
- □ Requirements related to the use of evaluation findings into policy making
- □ Other elements, please specify: __________
- □ None of the above

7. Which policies are evaluated?

- □ All policies are evaluated
- □ Policies defined as priorities in the government programme
- □ Policies defined as government’s priorities in a national (development) plan or equivalent
- □ Policies resulting from an international commitment
- □ Policies that exceed a pre-defined budgetary threshold
- □ Policies that exceed a pre-defined threshold regarding regulatory costs
- □ Policies that have formal requirements to be evaluated (i.e. introduction of evaluation clauses into laws etc.)
- □ Policies defined by a central unit that oversees evaluations across government.
- □ Policies as identified by government institutions to be evaluated
- □ Other. Please specify: __________
- □ There is no selection criteria for determining which policies ought to be evaluated.
1.3 Main actors and their institutional anchorage, mandate, resources and capacities

8. Which of the following institutions within the executive have competences related to policy evaluation across government? (Check all that apply)
   i) Centre of Government / Presidency / Prime Minister’s Office / Cabinet Office or equivalent
   ii) Ministry of Finance / Ministry of Economy / Ministry of Treasure or equivalent
   iii) Ministry of Planning, Development, or equivalent
   iv) Ministry of Public Sector Reform / Modernisation / Public Function or equivalent
   v) Autonomous Agency
   vi) Other, please elaborate:______
   vii) Competences for policy evaluation are not explicitly allocated to specific institutions

8b. Please provide the name/s of the specific unit/s within the institution/s with a mandate related to policy evaluation across government (example. Direction of Policy Evaluation, etc.)

8c. Institution i-vi) Please list the duties and responsibilities of this/these institution(s) related to policy evaluation across government:
   - [ ] Defining and updating the evaluation policy
   - [ ] Developing guideline(s) for policy evaluation
   - [ ] Providing incentives for carrying out policy evaluations
   - [ ] Undertaking policy evaluations
   - [ ] Requiring government institutions to undertake specific policy evaluations
   - [ ] Defining course of action for commissioning evaluations
   - [ ] Developing skills, competences and/or qualifications of evaluators
   - [ ] Developing standards for ethical conduct
   - [ ] Ensuring quality standards of evaluations
   - [ ] Promoting stakeholder engagement in evaluations
   - [ ] Overseeing the evaluation calendar and reporting
   - [ ] Promoting the use of evaluation findings into policy making
   - [ ] Serving as a knowledge centre and providing a platform for exchange
   - [ ] Following up on evaluation reports
   - [ ] Other elements, please specify:______

8d. Is the head of the unit responsible for policy evaluation within the institution a civil servant or political appointee?
   - [ ] Political appointee usually replaced when the government changes
   - [ ] Political appointee usually not replaced when the government changes
   - [ ] Civil servant usually replaced when the government changes
   - [ ] Civil servant usually not replaced when the government changes

8e. How is the unit responsible for policy evaluation within the institution financed? (Please check all that apply)
   - [ ] Through the budget allocation of the hosting institution
   - [ ] Direct and independent budget allocation in the national budget
   - [ ] Other, please specify:______

---

4 This question is illustrated in a grid format in Checkbox
5 Q8d and Q8e will be asked for each institution identified in Q8.
9. Does your government have policy evaluation units in line ministries?
   - ☐ Yes, in all ministries
   - ☐ Yes, but only in some ministries
   - ☐ No

10. Which of the following institutions **beyond the executive** have competences on policy evaluation at central/federal level (Check all that apply)?
    - ☐ Supreme Audit Institutions or similar
    - ☐ Congress/Parliamentary Budget Offices
    - ☐ None
    - ☐ Other/s. Please specify.

10b. Please provide the name of the specific institution(s) outside the executive with competences on policy evaluation at central/federal level:

11. How does the government (executive) coordinate policy evaluation with the Supreme Audit Institution? (Check all that apply)
    - ☐ There is a formal co-ordination mechanism for regular consultation to receive contributions while conducting evaluations
    - ☐ There is a formal co-ordination mechanism to avoid overlaps on planned or on-going evaluations
    - ☐ There are no mechanisms but there is regular ad hoc consultation
    - ☐ Other, please specify__________
    - ☐ There is no regular consultation on policy evaluation issues

12. Are there guidelines available to support the implementation of policy evaluation across government?
    - ☐ Yes
    - ☐ No

13. **If yes to Q12**, please provide the following information on the relevant document(s):

<table>
<thead>
<tr>
<th>Title</th>
<th>Date of release (+ last update)</th>
<th>Name of the institution that issued the document</th>
<th>Web-link (if not available please send the full document to <a href="mailto:SurveyPolicyEvaluationGRP@oecd.org">SurveyPolicyEvaluationGRP@oecd.org</a>)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guideline policy evaluation, a</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guideline policy evaluation, b</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guideline policy evaluation, c</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

6 Guidelines: Guidelines support governments among others in the design and implementation of a policy and/or practice. Examples for this include for instance White-books or similar documents.
14. **If yes to Q12**, do the guidelines contain specific guidance related to the: (Check all that apply)

- Identification and design of evaluation approaches
- Course of action for commissioning evaluations
- Establishment of a calendar for policy evaluation
- Identification of human and financial resources
- Design of data collection methods
- Quality standards of evaluations
- Independence of the evaluations
- Ethical conduct of evaluations
- Stakeholder engagement in the evaluation process
- Report of evaluation results
- Use of evidence collected by policy evaluation
- Other____________
- None of the above

1.5 Objectives and challenges

15. What are the government’s main objectives for conducting evaluations?

<table>
<thead>
<tr>
<th>Objective</th>
<th>least important objective</th>
<th>Neutral</th>
<th>principal objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measure government's results and resources required to achieve them</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Promote evidence-informed policy making</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Support sound budgetary governance</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Improve policies’ value for money</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Become a more responsive, performance oriented government</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Improve the quality of public services</td>
<td>9</td>
<td></td>
<td>1</td>
</tr>
</tbody>
</table>
16. What are the government’s current challenges for promoting policy evaluations?

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Rare Challenge</th>
<th>Neutral</th>
<th>Principal Challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adequate legal framework for policy evaluation</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Strong mandate of the main institution responsible for policy evaluation</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Financial resources of the main institution responsible for policy evaluation</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Financial resources for carrying out specific policy evaluations</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Human resources (capacities and capabilities) for policy evaluation</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Strategy for policy evaluation promoting a whole of government approach</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Use of evaluation results on policy making</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Quality of evidence</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
</tbody>
</table>
1.6 Quality of evaluations

17. How does your government ensure the quality of evaluations across government? (Check all that apply)

- Provisions expressed in a policy / legal framework
- Competence requirements for evaluators
- Peer review (internal/external) of evaluations
- Systematic and meta-evaluations\(^7\)
- Other, please specify ________
- There are no mechanisms to ensure the quality of evaluations across government

17b. Please provide reference/s to additional information:

18. How does your government support the competence development of evaluators? (Check all that apply)

- Certification system for evaluators
- Training for internal or external evaluators
- Establishment and/or support of a network of evaluators
- A specific job category for evaluators in the government with clear qualification and skills requirements and/or career path
- Peer review (internal/external) of evaluation plans/designs
- Advisory panel(s)/Steering committee(s) for evaluations
- Other, please specify ________
- There is no specific support available

19. Has your Supreme Audit Institution audited the executive’s policy evaluation system in the past ten years?

- Yes, please provide link to the evaluation report(s)________ (if a web link is not available please send it/them to SurveyPolicyEvaluationGRP@oecd.org)
- No

1.7 Use of evaluations

20. How does your government promote the use of the findings of policy evaluations? (Check all that apply)

a) A management response mechanism at the level of specific institutions is in place.

\(^7\) The term meta-evaluation is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators.
b) Through the incorporation of policy evaluation findings into the budget cycle (i.e. budget formulation).

c) A rating / grading system which classifies the robustness of evidence provided and recommendations derived from the policy evaluations exists.

d) Through a coordination platform across government to promote the use of evidence (produced by policy evaluations) in policy making.

e) Through discussion of evaluation findings at the Council of Ministers (or equivalent).

f) Other. Please specify:______

g) There are no specific initiatives in place to promote the use of policy evaluation findings

20b. Please provide below more details regarding your answers in Q20 (e.g. concrete examples) and kindly provide a reference to additional information

21. If d to Q20, what functions are being carried out by this coordination platform? (Check all that apply)

☐ Mapping the evidence brokerage function across government as a way to foster systematic use of evidence

☐ Ensure that policy evaluation and resources for evidence use are directed to inform policy design for government priorities

☐ Ensure that the production of evidence matches the demand of policy makers in terms of timing and format

☐ Enable the sharing of policy evaluations and of evidence results to practitioners and local governments to improve service delivery

☐ Facilitate international cooperation in evidence production and use to enable efficiency gains

☐ Other, please specify______

22. The results of evaluations are….

☐ publicly available upon request

☐ publicly available by default

☐ made publicly available on an *ad hoc* basis for each evaluation

☐ available across government

☐ available only for selected officials

☐ Other. Please specify_______
SURVEY ON POLICY EVALUATION © OECD 2019

SURVEY 1, PART 2 – EVALUATION OF GOVERNMENT-WIDE POLICY PRIORITIES

Having focused on the institutionalisation of policy evaluation across government, this section focuses on the systematic evaluation of government-wide policy priorities. Policy priorities are understood as a limited number of long-term or middle-term (and usually cross-sector) policies goals that are recognised across government as of greatest importance. While answering the questionnaire, please bear in mind the difference between monitoring and evaluation as explained in the glossary.

2.1. Key features

23. Does your government have government-wide policy priorities? (Check all that apply)
   □ Yes,
   □ They are defined in a government programme
   □ They are defined in a national (development) plan/strategy
   □ They are defined by sector ministries
   □ They are defined in relation to supranational commitments (SDGs, EU, etc.)
   □ They are defined in relation to its potential response to crises or risks
   □ Other/s. Please specify and provide references if applicable.
   □ Yes, though they are not reflected in any particular document
   □ No (end of part 2 of the Survey 1).

24. Does your government evaluate these government-wide policy priorities?
   □ Yes and there is a specific process established for evaluating these policy priorities.
   □ Yes, but there is no specific process established for evaluating these policy priorities.
   □ No. (end of part 2 of the Survey 1).

25. Evaluations of government-wide policy priorities are… (Check all that apply)
   □ Carried out by the government
   □ Carried out by the private sector
   □ Carried out by Civil Society Organisations (CSO) and/or Universities
   □ Other, please specify

   25b. In case that the information is available, please add the respective proportion (e.g. the evaluation of government-wide policy priorities is carried out by the private sector in more than 50% of evaluations): ________

26. Please indicate whether the evaluation of government-wide policy priorities (Check all that apply)
   □ Is coordinated by a central unit that oversees evaluations across government.
   □ Is guided by rules applicable across government.
   □ Is the responsibility of individual government institutions
   □ Other, please specify

27. How are the evaluations of government-wide policy priorities financed? (Check all that apply)
   □ Budget from a central unit that oversees evaluations across government.
   □ Regular budget from the government institution responsible for the policy.
   □ Funds from outside the national budget (e.g. from international donors, EU)
   □ Other
28. Which elements are evaluated concerning government-wide policy priorities? (Check all that apply)
   - Inputs: Evaluation of resources invested such as staff, money, time, equipment, etc.
   - Process: Evaluation of how a policy was implemented describing the actual processes employed, often with assessments of the effectiveness from individuals involved or affected by the policy implementation.
   - Outputs: Evaluation of products delivered by the policy implemented.
   - Outcomes: Evaluation of immediate change produced by the policy implemented.
   - Impact: Evaluation of long-term changes produced by the policy implemented.

Q28b. Please provide below an example for one of the options chosen:

[Blank space for example]

29. Which quantitative or qualitative methods of impact evaluation have been used over the past three years for the evaluation of government-wide policy priorities? (Check all that apply)
   - Regression/econometrics/structural equation modelling
   - Randomised controlled trials
   - Qualitative Comparative Analysis
   - Contribution analysis
   - (Comparative) case studies
   - Process tracing
   - Theory-based evaluation
   - Other, please specify_______

2.2. Stakeholder engagement

30. Are stakeholders engaged in the evaluation of government-wide policy priorities?
   - Yes
   - No

31. If yes to Q30, which stakeholders are engaged in the evaluation of government-wide policy priorities? (Check all that apply)

<table>
<thead>
<tr>
<th></th>
<th>Citizens</th>
<th>CSOs / NGOs</th>
<th>Representative s of academia</th>
<th>Private companies/ businesses</th>
<th>International organisations</th>
<th>Other, please specify</th>
</tr>
</thead>
<tbody>
<tr>
<td>Choosing evaluation topics</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Designing evaluations</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Carrying out the evaluation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Providing data relevant to the evaluation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Discussing the results of the evaluation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Communicating the results of the evaluation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
31b. In case you have a good practice of stakeholder engagement, please provide a brief summary of the approach and/or weblink to the relevant evaluation report

Ex: public meetings, individual consultation, online consultations, focus groups, social media channels, etc.

2.3. Reporting

32. The results of the evaluation of government-wide policy priorities are….

- [ ] publicly available upon request
- [ ] publicly available by default
- [ ] made publicly available on an ad hoc basis for each evaluation
- [ ] available across government
- [ ] available only for selected officials
- [ ] Other. Please specify______

33. Please provide three examples of evaluation reports of government-wide policy priorities that took place over the past five years.

<table>
<thead>
<tr>
<th>Example, a</th>
<th>Title of the evaluation</th>
<th>Web-link (if not available please send the full document to <a href="mailto:SurveyPolicyEvaluationGRP@oecd.org">SurveyPolicyEvaluationGRP@oecd.org</a>)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example, b</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example, c</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

34. How does your government promote the use of the findings of policy evaluations? (Check all that apply)

- [ ] a) A management response mechanism at the level of specific institutions is in place.
- [ ] b) Through the incorporation of policy evaluation findings into the budget cycle (i.e. budget formulation).
- [ ] c) A rating / grading system which classifies the robustness of evidence provided and recommendations derived from the policy evaluations exists.
- [ ] d) Through a coordination platform across government to promote the use of evidence (produced by policy evaluations) in policy making.
- [ ] e) Through discussion of evaluation findings at the Council of Ministers (or equivalent).
- [ ] f) Through discussion of evaluation findings in Parliament (or equivalent).
- [ ] g) Other. Please specify:______
- [ ] h) There are no specific initiatives in place to promote the use of policy evaluation findings
34b. Please provide below more details regarding your answers in Q34 (e.g. concrete examples) and kindly provide reference/s to additional information


35. Do you want to provide any further comments regarding the survey as a whole?


SURVEY 2: POLICY EVALUATION AT SECTOR/THEMATIC LEVEL

The present survey aims to collect data to develop a comprehensive understanding of the degree of institutionalisation and use of policy evaluation as an important enabler of evidence-informed policy making and sound public governance at central/federal level across OECD and close partner countries.

**Policy evaluation** is understood as the structured and objective assessment of an ongoing or completed policy or reform initiative, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability, etc. Evaluation also refers to the process of determining the worth or significance of a policy.8

It differs from policy monitoring, understood as a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing policy or reform initiative with indications of the extent of progress and achievement of objectives and/or progress in the use of allocated funds.9

The results of this survey, including relevant examples of country’s practices, will be highlighted in the upcoming OECD Policy Framework on Sound Public Governance and will constitute the basis of an OECD Report on Policy Evaluation, both to be published under the PWB 2019-20. The Report will identify trends, opportunities and challenges in the institutionalisation and use of policy evaluation. In addition, the data is envisioned to be presented in the 2019 edition of OECD’s Public Governance flagship publication Government at a Glance. On the basis of the evidence collected, the OECD will also stand ready to engage with interested countries in further country-specific work.

The data will be collected through two surveys:

Survey 1: Policy evaluation across government;9
Survey 2: Policy evaluation at sector/thematic level.

Survey 1 (which will be filled out by a different respondent) should be answered by a senior civil servant responsible for the promotion, coordination and practice of evaluation across government. In countries where such centralised institution does not exist, it should be filled out by a civil servant from the Prime Minister/ President’s office/ Chancellery or Minister of Finance, responsible for - and/or knowledge of - cross-cutting policy evaluation initiatives in their respective government.

Survey 2 (which you are kindly asked to fill out) should be answered by two different institutions: a) Ministry of Health b) Ministry or entity in charge of Public Sector Reform. In addition, there is the possibility to submit responses from an additional ministry of choice, in order to allow countries to

---

9 Idem.
10 For the purpose of this survey, “across government” refers to institutions and administrative units from the executive branch (further referred to as the "government") at central/federal level, excluding the subnational level.
showcase good practices that exist at sector level, yet go beyond the Ministry of Health and the Ministry/entity in charge of public sector reform.

During the data cleaning process, the OECD will contact the person that has been indicated as the respondent in the first section of the Survey.

Please note that once the survey has been submitted, answers are considered final (while further validated through the subsequent data cleaning process). The Survey however allows saving answers to questions exit and resume with the remaining questions at a later stage. Throughout the Survey, we will be asking for relevant supporting key policy documents and guidelines related to policy evaluation, which will help to better understand your country context. In addition, there is a possibility to add examples of good practices for a number of questions, which might feature in the final Report so that other countries could learn from them.

When filling in the survey, please refer to the glossary of key terms and do not hesitate contacting us at SurveyPolicyEvaluationGRP@oecd.org in case you encounter any difficulties, have any doubts, or need clarification.

Background information on respondent (Survey 211)

Country:
Institution:
Name:
Position:
Email address:
Telephone number:
Contact details of additional respondents:

---

11 3 (+1 optional) Respondents in total: 1 respondent for Survey 1; 2 (+1 optional) respondents for Survey 2, each representing a specific thematic area.
1. Are policies that fall under your institution's responsibility evaluated?
   - Yes, all
   - Yes, some
   - No, none (end of survey)

2. Which policies are evaluated?
   - All policies are to be evaluated
   - Policies defined as priorities in the government programme
   - Policies defined as government’s priorities in a national (development) plan or equivalent
   - Policies resulting from an international commitment
   - Policies that exceed a pre-defined budgetary threshold
   - Policies that exceed a pre-defined threshold regarding regulatory costs
   - Policies that have formal requirements to be evaluated (i.e. introduction of evaluation clauses into laws etc.)
   - Policies defined by a central unit that oversees evaluations across government
   - Policies as identified by your institution
   - Other. Please specify: ___________
   - There is no selection criteria for determining which policies are to be evaluated

3. Evaluation of policies that fall under your institution’s responsibility is… (Please check all that apply)
   - Carried out by my institution or one of its subsidiary bodies
   - Carried out by a central unit responsible for policy evaluation across government
   - Carried out by the private sector
   - Carried out by Civil Society Organisations (CSO) and/or Universities
   - Other, please specify: ___________

3b. In case that the information is available, please add the respective proportion (e.g. the evaluation of government-wide policy priorities is carried out by the private sector in more than 50% of evaluations): __________

4. How are policy evaluations financed at your institution? (Check all that apply)
   - Budget from a central unit that oversees evaluations across government
   - Regular budget from the government institution responsible for the policy
   - Funds from outside the national budget (e.g. from international donors, EU)
   - Other. Please specify: ___________

5. Does your institution have an evaluation unit or dedicated position responsible for policy evaluation?
   a) Yes, an evaluation unit
   b) Yes, a dedicated position
   c) Yes, an evaluation unit or agency operating at arms’ length
   d) Yes, a dedicated position operating at arm’s length
   e) No

6. If a to d for Q5, please provide the following information:
What is the unit called? To whom does the unit/individual report to? Is the mandate of the unit/position established in a legally binding document, such as a law, statute or executive order? Please indicate how many full time equivalent staff at the institution are working on policy evaluation

Please specify the name______ Please specify to whom______ □ Yes □ No Please indicate here______

7. If a to d for Q5, what are the key functions of this evaluation unit or position? (Check all that apply)
   □ Collect primary evidence and statistical information to inform policy evaluation
   □ Conduct policy evaluations
   □ Commission policy evaluations
   □ Facilitate the use of systematic reviews, stocktaking and meta-analysis for evaluation purposes
   □ Facilitate evidence brokerage in the policy area, bringing the evidence results to the attention of policy makers and practitioners
   □ Engage in international cooperation to facilitate cross national sharing of the results
   □ Other, please elaborate______

8. When your institution carries out evaluations, does it follow… (Check all that apply)
   a) Rules/Guidelines on policy evaluation set for the entire government
   b) Rules/Guidelines specific for the institution/sector
   c) Supranational guidelines
   d) Other. Please specify: ________
   e) There are no specific rules/guidelines to be followed

9. If a to d for Q8, please provide the following information for the existing rules or guidelines related to policy evaluation at your institution:

<table>
<thead>
<tr>
<th>Title</th>
<th>Type</th>
<th>Date of release (last update)</th>
<th>Institution that issued the document</th>
<th>Web-link (if not available please send the full document to <a href="mailto:SurveyPolicyEvaluationGRP@oecd.org">SurveyPolicyEvaluationGRP@oecd.org</a>)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guideline/rule policy evaluation, a</td>
<td>□ Rule □ Guideline</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guideline/rule policy evaluation, b</td>
<td>□ Rule □ Guideline</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
10. What are current challenges for promoting policy evaluations in your institution?

<table>
<thead>
<tr>
<th>Guideline/rule policy evaluation, c</th>
<th>Rule</th>
<th>Guideline</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Adequate legal framework for policy evaluation</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Strong mandate of the main institution responsible for policy evaluation</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial resources of the main institution responsible for policy evaluation</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial resources for carrying out specific policy evaluations</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Human resources (capacities and capabilities) for policy evaluation</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Strategy for policy evaluation promoting a whole of government approach</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Use of evaluation results on policy making</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Quality of evidence</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Political interest in, and demand for, policy evaluation</th>
<th>rare challenge</th>
<th>⇧ Neutral</th>
<th>⇧</th>
<th>principal challenge</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 1 2 3 4 5 6 7 8 9 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Other, please specify below | rare challenge | ⇧ Neutral | ⇧ | principal challenge |
|                            | 0 1 2 3 4 5 6 7 8 9 10 |
11. How does your institution ensure the quality of evaluations? (Check all that apply)

☐ Competence requirements for evaluators
☐ Peer review (internal/external) of evaluation
☐ Systematic and meta-evaluations
☐ Other, please specify_________
☐ There are no mechanisms to ensure the quality of evaluations across government

11b. Please give a concrete example / information for one of the options chosen and kindly provide a reference to additional information:

12. How does your institution support the competence development of evaluators? (Check all that apply)

☐ Certification system for evaluators
☐ Training for internal or external evaluators
☐ Establishment and/or support of a network of evaluators
☐ A specific job category for evaluators in the government with clear qualification and skills requirements and/or career path
☐ Peer review (internal/external) of evaluation plans/designs
☐ Advisory panel(s)/Steering committee(s) for evaluations
☐ Other, please specify_________
☐ There is no specific support available

12b. Please give a concrete example for one of the options chosen and kindly provide a reference to additional information:

13. Which elements are evaluated by your institution? (Check all that apply)

☐ Inputs: Evaluation of resources invested such as staff, money, time, equipment, etc.
☐ Process: Evaluation of how a policy was implemented, describing the actual processes employed, often with assessments of the effectiveness from individuals involved or affected by the policy implementation.
☐ Outputs: Evaluation of products delivered by the policy implemented.
☐ Outcomes: Evaluation of immediate change produced by the policy implemented.
☐ Impact: Evaluation of long-term changes produced by the policy implemented.

13b. Please provide examples for one of the options chosen and kindly provide a reference to additional information:

14. Which quantitative or qualitative methods of impact evaluation has your institution used over the past three years? (Check all that apply)

☐ Regression/econometrics/structural equation modelling
☐ Randomised controlled trials
☐ Qualitative Comparative Analysis

---

12 The term meta-evaluation is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators.
14b. Please provide examples for one of the options chosen and kindly provide a reference to additional information:

15. Do you involve stakeholders in policy evaluation?
   - Yes
   - No

16. If yes to Q15, which stakeholders are involved in policy evaluation? (Check all that apply)

<table>
<thead>
<tr>
<th>Activity</th>
<th>Citizens</th>
<th>CSOs / NGOs</th>
<th>Representative s of academia</th>
<th>Private companies/ businesses</th>
<th>International organisations</th>
<th>Other, please specify...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Choosing evaluation topics</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Designing evaluations</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Carrying out the evaluation</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Providing data relevant to the evaluation</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Discussing the results of the evaluation</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Communicating the results of the evaluation</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Ensuring the use of the results for future policies</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Other, please specify</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>

16b. In case you have a good practice of stakeholder engagement, please provide a brief summary of the approach and/or weblink to the relevant evaluation report

Ex: public meetings, individual consultation, online consultations, focus groups, social media channels, etc.

17. How does your institution promote the use of the findings of policy evaluations? (Check all that apply)
   - a) A management response mechanism at the level of specific institutions is in place.
b) Through the incorporation of policy evaluation findings into the budget cycle (i.e. budget formulation).

c) A rating / grading system which classifies the robustness of evidence provided and recommendations derived from the policy evaluations exists.

d) Through a coordination platform across government to promote the use of evidence (produced by policy evaluations) in policy making.

e) Through discussion of evaluation findings at the Council of Ministers (or equivalent).

f) Through discussion of evaluation findings in Parliament (or equivalent).

g) Other. Please specify:_____

h) There are no specific initiatives in place to promote the use of policy evaluation findings

17b. Please provide below more details regarding your answers in Q17 (e.g. concrete examples) and kindly provide a reference to additional information

18. Do you want to provide any further comments regarding the survey as a whole?