

## 2018 OECD PBO Network Survey on Parliamentary Budgeting Practices

### SURVEY BACKGROUND AND OBJECTIVES

The results of this survey will contribute to the ongoing work of the OECD PBO Network on *Best Practices for Parliamentary Budgeting* and to the June 2018 *OECD Budgetary Outlook*, a new OECD flagship publication.

This survey builds on the larger *OECD Budget Practices and Procedures Survey* which is sent to OECD member governments every 4-5 years. The latest version was sent at the end of 2017. For your background, a copy has been sent to you with information related to the legislature highlighted in yellow.

### INSTRUCTIONS

You will be asked to answer around 20 questions (with several additional questions if your parliament is bicameral). Almost all of the questions are multiple choice. We estimate that it will take around 20-30 minutes to complete. You will receive a link to the survey, as well as a username and password to access it. The survey tool allows you to start and stop the questionnaire at your convenience (simply save your answers) and to share with colleagues so that you can work on one survey response jointly. Responses must be submitted via the online questionnaire using the link provided.

### DEADLINE

Please return the completed survey by **Friday, 6 April**.

Should you have any questions, please do not hesitate to contact Lisa von Trapp: [Lisa.vontrapp@oecd.org](mailto:Lisa.vontrapp@oecd.org).

**We thank you for helping to enrich the knowledge of how legislatures across the OECD carry out their budgetary role!**

### CONTACT INFORMATION

\*Last name:

\*First name:

\*Title:

\*Organisation:

\*Email address:

\*Telephone:

Twitter handle (optional):

Comments (please use this space to list contact information for additional respondents if applicable):

## SECTION 1: FISCAL RESPONSIBILITY AND SUSTAINABILITY

**\*1. Does the legislature hold a pre-budget debate on budgetary priorities and trade-offs that allows for views from the legislature to inform the preparation of the executive's budget proposal?**

- Yes, the legislature holds a pre-budget debate and the results of this debate are sent as a report to government.
- Yes, the legislature holds a pre-budget debate but does not produce a report.
- No, the legislature does not hold a pre-budget debate.
- Other (please describe):

**\*2. During the budget approval process, does the legislature vote first on the budget's totals (aggregate and specific ceilings for expenditure areas) before debating allocative choices and potential amendments?**

- No
- Yes
- Other (please describe):

**\*3. Does the legislature approve the medium-term budgetary framework (MTBF)?**

- Yes, the legislature debates and approves the Government's proposed MTBF.
- No, the legislature debates the Government's proposed MTBF but does not formally approve it.
- No, the legislature does not debate or approve the Government's proposed MTBF.
- Other (please describe):

**\*4. Does the legislature receive and scrutinise long-term sustainability analysis (typically 10-50 years)?**

- Yes, the legislature receives and debates long-term sustainability analysis from both Government and an independent fiscal institution (independent parliamentary budget office or fiscal council).
- Yes, the legislature receives and debates long-term sustainability analysis from Government only.
- Yes, the legislature receives and debates long-term sustainability analysis from an independent fiscal institution only.
- No, the legislature does not currently receive long-term sustainability analysis.
- Other (please describe):

## SECTION 2: BICAMERALISM AND THE ROLE OF THE UPPER HOUSE

*(Please note if you respond that your parliament is not bicameral you will be directed to the next section.)*

**\*5. Is your parliament bicameral?**

- Yes
- No

**\*5A. Which best describes the role of each chamber in the budget process:**

- The upper and lower chambers have co-equal budgetary powers*
- Both chambers play a role in the budget process but the lower house has prerogative over the upper house*
- Only the lower chamber plays a role in the budget process*
- Other (please describe or use to add comment):*

**\*5B. Which process best describes committees' role in the budget approval process in the upper chamber?**

- A single Budget/Finance Committee coordinates a process in which sectoral committees make recommendations to the Budget Committee. The Budget Committee then reviews and accepts or rejects these recommendations and formally considers all budget-related matters.*
- A single Budget/Finance Committee formally considers the budget, but members of sectoral committees attend meetings of the Budget Committee to provide their view when expenditures in their specific areas are discussed.*
- A single Budget/Finance Committee formally considers budget aggregates (total level of revenue and spending and their allocation to each sector) and sectoral committees formally consider spending for sector specific appropriations.*
- There is no Budget/Finance Committee. Sectoral committees formally consider appropriations for each respective sector.*
- No formal committee involvement, but committees may choose to consider aspects of the budget.*
- Other (please describe or use to add comments):*

**\*5C. The Budget/Finance Committee in the upper house is typically chaired by:**

- A member of the governing party or coalition*
- A member of the opposition - this is enshrined in law or the parliamentary rules*
- A member of the opposition - this is by convention*
- Other (please describe or use for comments):*

**5D. How many committee staff (full time equivalent) serve the Budget/Finance Committee in the upper house in undertaking specialized analysis of budgetary matters?**

**5E. Who has the main responsibility for reviewing performance information attached to the budget in the upper house?**

- The Budget/Finance Committee*
- A subcommittee of the Budget/Finance Committee*
- Sectoral committees*
- Other (please describe or use for comments):*

### SECTION 3. COMMITTEE WORK AND POWERS

**\*6. Which process best describes committees' role in the budget approval process in the unicameral or lower chamber?**

- A single Budget/Finance Committee coordinates a process in which sectoral committees make recommendations to the Budget Committee. The Budget Committee then reviews and accepts or rejects these recommendations and formally considers all budget-related matters.
- A single Budget/Finance Committee formally considers the budget, but members of sectoral committees attend meetings of the Budget Committee to provide their view when expenditures in their specific areas are discussed.
- A single Budget/Finance Committee formally considers budget aggregates (total level of revenue and spending and their allocation to each sector) and sectoral committees formally consider spending for sector specific appropriations.
- There is no Budget/Finance Committee. Sectoral committees formally consider appropriations for each respective sector.
- No formal committee involvement, but committees may choose to consider aspects of the budget.
- Other (please describe or use to add comments):

**\*7. The Budget/Finance Committee of the lower house or single chamber is typically chaired by:**

- A member of the governing party or coalition
- A member of the opposition - this is enshrined in law or the parliamentary rules
- A member of the opposition - this is by convention
- Other (please describe or use for comments):

**\*8. Who has the main responsibility for reviewing performance information attached to the budget in the unicameral/lower house?**

- The Budget/Finance Committee
- A subcommittee of the Budget/Finance Committee
- Sectoral committees
- Other (please describe or use for comments):

**\*9. Are committee meetings generally open to the public?**

- Yes legislative committee meetings are always open to the public
- Yes, legislative committee meetings are sometimes open to the public
- No, legislative committee meetings are never open to the public
- Other (please describe or use for comments):

**\*10. Do committees have the power to summon:**

*Please select all that apply.*

- Papers and records from the executive branch
- Ministers/political appointees
- Other officials from the executive branch

- Persons not employed by government
- Not applicable, do not have power to summon
- Other (please describe):

**\*11. Who responds on behalf of the executive branch at committee meetings?**

- Only a Minister or other political appointee may respond
- Officials respond on behalf of the Executive
- A Minister or other political appointee will generally make an initial response, with officials answering remaining questions at future meetings
- Other (please describe or use for comments):

**\*12. Are committee reports published?**

- Yes, always
- Yes, sometimes
- No
- Other (please describe):

**\*13. Can opposition members attach a minority or dissenting report to a committee report?**

- Yes
- No
- Other (please describe):

#### SECTION 4: ANALYTICAL SUPPORT

**\*14. What types of support are available to parliament/parliamentarians for specialised information/advice on the budgetary issues (please check all that apply):**

- Independent Parliamentary Budget Office (e.g. US Congressional Budget Office, Korea National Assembly Budget Office)
- In-house specialised research unit (for example, UK Parliament Scrutiny Unit, Polish Parliament's Department of Social and Economic Research)
- No in-house specialised research unit but specialised staff on budget issues are part of the larger research services
- Specialised staff of Budget/Finance Committee
- Specialised staff in political party secretariats
- Individual member's staff
- Other (please describe):

**\*14A. You have indicated that your parliament has an in-house specialized research unit. Please indicate how many staff (full time equivalent) are in that unit:**

**\*14B. You have indicated that there is no in-house specialised research unit but specialised staff on budget issues are part of the larger research services. Please indicate how many staff are specialized on budget issues (full time equivalent):**

**\*15. How many committee staff (full time equivalent) serve the Budget/Finance Committee in the unicameral or lower chamber in undertaking specialized analysis of budgetary matters?**

**\*16. Does the Budget/Finance Committee have the right to:**

	Yes	No	None of the above
Consult outside experts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employ outside experts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 5: AUDIT**

**\*17. Does your parliament have an Audit or Public Accounts Committee that examines the reports produced by the Supreme Audit Institution?**

*(Please check any that apply.)*

- Yes, an audit committee or public accounts committee in both the upper and lower chambers
- Yes, a joint audit or public accounts committee with members of both the upper and lower chambers
- Yes, an audit committee or public accounts committee in the lower chamber only
- Yes, a subcommittee of the Budget/Finance Committee in the upper chamber
- Yes, a subcommittee of the Budget/Finance Committee in the lower chamber
- This audit scrutiny function is carried out by the Budget/Finance Committee in the upper chamber
- This audit scrutiny function is carried out by the Budget/Finance Committee in the lower chamber
- No specific committee but sectoral committees in the upper chamber examine the reports produced by the Supreme Audit Institution for the areas in their portfolios
- No specific committee but sectoral committees in the lower chamber examine the reports produced by the Supreme Audit Institution for the areas in their portfolios
- Other (please describe or use for comment):

**\*18. Do the reports of the Supreme Audit Institution sent to the legislature contain audits of performance information in addition to financial information?**

- Yes, always
- Yes, sometimes
- No
- Other:

**\*19. Is there a formal process for integrating the recommendations of the committee responsible for reviewing the year-end audited report into the upcoming budget approval process? If yes, please describe below:**

## SECTION 6. PUBLIC PARTICIPATION AND OTHER

**\*20. Please indicate which of the following tools used by the legislature to encourage public participation in the parliamentary budget process?**

- Hearings of permanent committees
- Hearings of select committees or committees of inquiry
- Outreach through committee visits/ "town hall" style events
- Digital debates on social media platforms
- E-petitions
- Crowdsourcing of ideas for scrutiny
- Other (please describe or use for comment):

**Please use this final box to indicate/describe whether there are any:**

1. Unusual or innovative practices that you would like to highlight (e.g. German Bundestag ability to put a qualified freeze on expenditure)
2. Recent reforms or reform processes under discussion in relation to the legislature's budgetary role
3. Additional comments you would like to make.

Where possible we would appreciate any links to further information online.

**Thank you for taking the survey.**