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**  
  
*2016 Performance Budgeting Survey***

**Background**

The OECD Secretariat periodically surveys members and partners on budgeting practices and procedures. This is the second survey on the use of performance and results information in budgeting – the first was issued in 2011. The results of the past survey are contained in the OECD [International Database of Performance Budgeting](http://qdd.oecd.org/subject.aspx?Subject=593d28f2-6f88-4dd1-b59e-f997c3b34c6e).

**Survey Objectives**

To obtain from OECD member and partner countries updated data on:

* the types of performance information and instruments employed throughout the budgeting process
* how performance information is being used in budgetary decision-making
* roles and responsibilities of key stakeholders involved in generating and utilising performance information in budget negotiations
* the main benefits/challenges faced in using performance information in budgeting

**Action**

The online survey tool allows respondents to start and stop the questionnaire at their convenience (answers will be saved), and to share the responsibility of responding with other officials/experts. Network delegates are asked to kindly nominate a primary respondent. The primary respondent will coordinate with colleagues within and across organisations to finalise answers, and liaise between the OECD and country colleagues after final submission should any further clarification or verification be needed. Refer to the PEMPAL invitation letter for timeframes related to draft and final submission (first draft due end May).

**Contact**  
Trevor Shaw - Trevor.Shaw@oecd.org

**Survey outline**Section I - page 3 - Basic Information   
Section II - pages 4-21 - Performance Budgeting  
Section III -  pages 22-25 - Evaluation  
Section IV - pages 26-30 - Spending Review  
Section V - page 31 - Statistics on Performance Functions  
  
  
**Instructions**  
  
\* Please fill in all survey fields to the best of your ability.  
\* A glossary of terminology is linked at the bottom of each page. It is recommended to open the glossary for reference in a separate browser tab:   
[Glossary - 2016 OECD Performance Budgeting Survey.pdf](http://survey.oecd.org/ViewContent.aspx?contentID=2307)  
\* You may not be presented all survey questions. Some questions are conditional, based on responses to prior questions.  
\* You do not need to complete the survey out in order. Survey responses are saved in 'real time' and can be returned to and revised.   
\* The Google Chrome web browser is recommended for this survey application, though other browsers will also support the application.  
\* Upon completion, you will have a final opportunity to review your responses. After submitting your completed survey form, you will receive a completion email to the address you provide.  
\* If you have any questions or difficulty completing the survey, please contact Trevor Shaw (Trevor.Shaw@oecd.org).  
  
***Thank you for your cooperation!***

**Section I** *Basic Information*

**1.** \*Country



**2.** \*Name



**3.** \*Organisation name



**4.** \*Email



**5.** Telephone

*Include country code*



**6.** Is your country an EU member state?

|  |  |
| --- | --- |
|  | Yes |
|  | No |

**Section II** *Performance Budgeting*

**7.** Does your country have in place a standard performance budgeting framework which is applied uniformly across central government organisations?

|  |  |
| --- | --- |
|  | Yes, it is compulsory for line ministries and agencies |
|  | Yes, it is compulsory only for line ministries |
|  | Yes, but it is optional for both line ministries and agencies |
|  | No |

**8.** How is performance information communicated from Line Ministries/Agencies to the CBA, if at all?

*Check all that apply*

|  |  |
| --- | --- |
|  | End of year performance report |
|  | Ministry/agency annual report to parliament |
|  | Informal dialogue/procedures |
|  | Budget preparation process |
|  | Budget execution report |
|  | Other: |

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**9.** What are the key elements of the framework?

*Check all that apply*

|  |  |
| --- | --- |
|  | General guidelines and definitions |
|  | Standard templates for reporting performance information |
|  | Standard set of performance indicators and/or targets |
|  | Standard ICT tool for entering/reporting performance information |
|  | Other: |

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**10.** How is performance information structured, if not for a standard performance budgeting framework?

|  |  |
| --- | --- |
|  | No framework at CBA, but line ministries/agencies have developed their own performance budgeting frameworks |
|  | There is no framework in place at the CBA or in Line Ministries/Agencies |
|  | Other: |

**11.** General comments on how performance information is structured, if not for a standard performance budgeting framework.

*Provide comments and web links, as required*



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**12.** Does your country have in place a national performance framework which spans all central government operations?

*A national performance framework can be, but is not necessarily, linked to budget or budget categories (e.g. programmes)*

|  |  |
| --- | --- |
|  | Yes |
|  | No |

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**13.** What elements of the national performance framework are in place?

*Please select all that apply*

|  |  |
| --- | --- |
|  | A clear set of national outcome goals |
|  | A clear set of Key National Indicators |
|  | A clear set of statistical indicators on national performance |
|  | The use of international benchmarks to assess progress/performance |
|  | A centrally-determined framework for linking sectoral output/outcome objectives with national outcome goals |
|  | The CBA provides instructions on the selection and quality of output/outcome objectives |
|  | An entity other than the CBA provides instructions on the selection and quality of output/outcome objectives |
|  | An annual report on the achievement of national outcome goals |

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**14.** Is there a separate entity (e.g. a unit/division) specifically responsible for performance budgeting practices for the central level of government?

|  |  |
| --- | --- |
|  | Yes, there is a unit, which is responsible for developing and overseeing performance budgeting procedures (e.g. defining procedures, developing guides, providing training, providing support), and compiling submissions from Line Ministries and Agencies. |
|  | Yes, there is a unit, which is responsible for analysing performance information received from central government and/or providing countervailing information to that which is provided by Line Ministries and Agencies. |
|  | Yes, a unit exists which performs the functions described in both a and b above. |
|  | No single unit exists. |
|  | Other: |

**15.** What role does the Supreme Audit Institution play in the system of performance information and budgeting?

*Check all that apply*

|  |  |
| --- | --- |
|  | Assessment of the structure and soundness of the overall performance framework |
|  | Assessment of the quality of targets/indicators |
|  | Assessment of whether targets were achieved |
|  | Assessment of whether the government's performance information is fair/accurate |
|  | Assessment of budget openness and transparency |
|  | Legal compliance |
|  | Other: |

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**16.** Does your country use Key National Indicators (KNI)?

|  |  |
| --- | --- |
|  | Yes |
|  | No |

**17.** If your country uses KNIs, what percentage:

|  |  |
| --- | --- |
|  | **Percentage of KNIs** |
| Have been a KNI for 2 years or more |  |
| Have been a KNI for 5 years or more |  |
| Are internationally comparable |  |
| Are aligned with the Sustainable Development Goals |  |
| Are aligned with the Europe 2020 objectives |  |
| Are aligned with another international framework |  |

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**18.** What percentage of the total performance information provided by Line Ministries/Agencies to the CBA as part of budget submissions falls into the following categories:

*These totals do not necessarily sum to '100'*

|  |  |  |
| --- | --- | --- |
|  | ***Percentage of total*** |  |
| |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 0 | 10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90100 | | Unsure |
| Output measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Outcome measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Efficiency measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |

**19.** What percentage of total performance information provided by Line Ministries/Agencies to the CBA as part of budget submissions falls into the following thematic categories:

*These totals do not necessarily sum to '100'*

|  |  |  |
| --- | --- | --- |
|  | ***Percentage of total*** |  |
| |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | 0 | 10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90100 | | Unsure |
| Gender-sensitive measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Environmental sustainability measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Innovation measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Satisfaction/trust measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |
| Inequality/inequity measures | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |  |

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**20.** Which institutions play important roles in generating and using performance information in each aspect of the budgeting process?

*Select all that apply*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Organisations** | | | | | | | |
| President/Prime Minister's Office | CBA | Line Ministries | Agencies | Legislature | Supreme Audit | Internal Audit | Other |
| Setting performance targets |  |  |  |  |  |  |  |  |
| Establishing a standard performance budgeting framework or drafting guidelines |  |  |  |  |  |  |  |  |
| Generating performance information |  |  |  |  |  |  |  |  |
| Conducting evaluations |  |  |  |  |  |  |  |  |
| Developing and maintaining ICT system for performance information |  |  |  |  |  |  |  |  |
| Allocation and/or reallocation of funds based explicitly on performance information (excluding Spending Reviews) |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

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**21.** Estimate how frequently each indicator is applied in the various sectors:

*Overlap between functions is possible, so please estimate to the best of your ability.*

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Activities** | **Outputs** | **Outcomes** |
| Functions | | | |
| General public services |  |  |  |
| Defence |  |  |  |
| Public order and safety |  |  |  |
| Economic affairs |  |  |  |
| Environmental protection |  |  |  |
| Housing |  |  |  |
| Health |  |  |  |
| Recreation, culture, religion |  |  |  |
| Education |  |  |  |
| Social protection |  |  |  |
| Alternatively defined functional areas | | | |
| Direct service delivery |  |  |  |
| Transfers to individuals |  |  |  |
| Transfers to other organisations (incl. other levels of govt) |  |  |  |
| Revenue administration |  |  |  |
| Internal operations |  |  |  |
| Inclusiveness |  |  |  |
| Trust in government |  |  |  |
| Gender equality |  |  |  |

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**22. Policy rationale:** Please indicate the relative importance of the listed factors for introducing performance budgeting measures in your country.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Relative importance** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Promoting the general principle of transparency in policy aims and impacts |  |  |  |  |  |  |
| Promoting the general principle of accountability for the effective use of resources by public bodies |  |  |  |  |  |  |
| Informing the allocation and prioritisation of resources by the executive in the annual budget |  |  |  |  |  |  |
| Informing parliamentary scrutiny of the annual budget |  |  |  |  |  |  |
| Setting service delivery targets which are directly linked to resources allocated to public bodies |  |  |  |  |  |  |
| Promoting a culture of performance and delivery within public bodies and management |  |  |  |  |  |  |
| Facilitating the conduct of evaluations and value-for-money studies within public bodies |  |  |  |  |  |  |
| Meeting legal compliance requirements e.g. regarding clear delegation / assignment of objectives |  |  |  |  |  |  |
| Promoting the coordination and achievement of government-wide strategic objectives |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**23. Policy impact:** Please indicate the relative effectiveness of the performance budgeting system in advancing the considerations listed below.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Relative effectiveness** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Promoting the general principle of transparency in policy aims and impacts |  |  |  |  |  |  |
| Promoting the general principle of accountability for the effective use of resources by public bodies |  |  |  |  |  |  |
| Informing the allocation and prioritisation of resources by the executive in the annual budget |  |  |  |  |  |  |
| Informing parliamentary scrutiny of the annual budget |  |  |  |  |  |  |
| Setting service delivery targets which are directly linked to resources allocated to public bodies |  |  |  |  |  |  |
| Promoting a culture of performance and delivery within public bodies and management |  |  |  |  |  |  |
| Facilitating the conduct of evaluations and value-for-money studies within public bodies |  |  |  |  |  |  |
| Meeting legal compliance requirements e.g. regarding clear delegation / assignment of objectives |  |  |  |  |  |  |
| Promoting the coordination and achievement of government-wide strategic objectives |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

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**24.** Does your government set performance targets?

|  |  |
| --- | --- |
|  | Yes, for all programmes |
|  | Yes, for most programmes |
|  | Yes, for only priority programmes |
|  | No |

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**25.** When setting performance targets, against what benchmark(s) are they generally set against?

*Check all that appl*y

|  |  |
| --- | --- |
|  | Relative to the programme's past performance |
|  | Relative to the performance of a similar programme |
|  | Relative to international benchmarks of similar programmes |
|  | According to the performance objectives of the programme |
|  | Other: |

**26.** Since January 1, 2012 have any of the following trends occurred regarding performance targets?

*Select all that apply*

|  |  |
| --- | --- |
|  | Generally increased number of targets |
|  | Generally decreased number of targets |
|  | Increasingly being moved from core Budget document to appendices/supplemental information accompanying the Budget |
|  | Increasingly being moved from supplemental information accompanying the Budget into the core Budget document itself |
|  | Performance targets have become more flexible |
|  | Performance targets have become more precise |
|  | Performance against targets is being tracked more regularly |
|  | Performance against targets is being tracked less regularly |
|  | Performance targets being used more where data is available |
|  | Performance targets being used less where data is available |
|  | Other: |

**27.** Between 2012 and today, roughly how many of the government's performance targets have been revised or replaced?

|  |  |
| --- | --- |
|  | None |
|  | Few (0-20%) |
|  | Some (20-40%) |
|  | Many (40-60%) |
|  | Most (60-80%) |
|  | All, or nearly all (80-100%) |
|  | Other: |

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**28.** If performance targets are not met by Line Ministries/Agencies, how likely is it that any of the following consequences are triggered?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Frequency** | | | | | |
| N/A | Never | Rarely | Occasionally | Usually | Always |
| No changes |  |  |  |  |  |  |
| Programme eliminated |  |  |  |  |  |  |
| More intense monitoring of organisation and/or programme in the future |  |  |  |  |  |  |
| Budget freezes |  |  |  |  |  |  |
| Budget decreases |  |  |  |  |  |  |
| Budget increases |  |  |  |  |  |  |
| Pay cut for head of programme/organisation |  |  |  |  |  |  |
| Negative consequences for performance evaluations of individuals responsible for programme/organisation |  |  |  |  |  |  |
| Organisational or programme’s poor performance made public |  |  |  |  |  |  |
| More staff assigned to programme/organisation |  |  |  |  |  |  |
| More training provided to staff assigned to programme/organisation |  |  |  |  |  |  |
| Programme transferred to other Ministry/Department or Agency |  |  |  |  |  |  |
| New leadership brought in to manage/oversee programme/organisation |  |  |  |  |  |  |
| Leads to a spending review or evaluation |  |  |  |  |  |  |

**29.** If performance targets are met by Line Ministries/Agencies, how likely is it that any of the following consequences are triggered?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Frequency** | | | | | |
| N/A | Never | Rarely | Occasionally | Usually | Always |
| No changes |  |  |  |  |  |  |
| Budget increase (beyond what would have been a regular increase despite of performance) |  |  |  |  |  |  |
| Remaining budget allowed to be carried over to next fiscal year |  |  |  |  |  |  |
| Line Ministry/Agency allowed to transfer any remaining budget to other programme/organisation |  |  |  |  |  |  |
| Organisational and/or programme’s positive results made public |  |  |  |  |  |  |
| Requirements for reporting back on performance are lessened/reduced |  |  |  |  |  |  |
| Senior Civil servants receive pay raise to performance variable portion of pay or bonus |  |  |  |  |  |  |
| Special recognition of senior civil servants responsible for organisation/programme/policy |  |  |  |  |  |  |
| Staff reduction/transfers |  |  |  |  |  |  |
| Leadership moved to other programmes/organisations so as to “re-create” good performance |  |  |  |  |  |  |
| Leadership/staff asked to train others and/or share their practices/lessons with other civil servants |  |  |  |  |  |  |

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**30.** Generally speaking, how often do the Central Budget Authority (CBA) and line ministries utilise the following kinds of performance information in their budget negotiations?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Frequency** | | | |
| Never | Rarely | Occasionally | Usually | Always |
| Line Ministries'/Agencies' financial data |  |  |  |  |  |
| Line Ministries’/ Agencies’ operational data and performance reports |  |  |  |  |  |
| Line Ministries’/Agencies’ performance evaluations |  |  |  |  |  |
| Spending Reviews (evaluation conducted with explicit purpose of identifying savings or funds for reallocation) |  |  |  |  |  |
| Independent performance information (of organisations, programmes or policies, not commissioned or conducted by government) |  |  |  |  |  |
| Statistical information (harmonised/standardised data which allow for comparisons over time or across sectors/organisations, official data produced) |  |  |  |  |  |

**31.** Generally speaking, how often do agencies and line ministries utilise the following kinds of performance information in their budget negotiations?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Frequency** | | | | |
| Never | Rarely | Occasionally | Usually | Always |
| Line Ministries’/ Agencies’ financial data |  |  |  |  |  |
| Line Ministries’/ Agencies’ operational data and performance reports |  |  |  |  |  |
| Line Ministries’/Agencies’ performance evaluations |  |  |  |  |  |
| Spending Reviews (evaluation conducted with explicit purpose of identifying savings or funds for reallocation) |  |  |  |  |  |
| Independent performance information (of organisations, programmes or policies, not commissioned or conducted by government) |  |  |  |  |  |
| Statistical information (harmonised/standardised data which allow for comparisons over time or across sectors/organisations, official data produced) |  |  |  |  |  |

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**32.** Rate each of the following potential challenges to effectively implementing performance budgeting:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Difficulty** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Lack of accurate and timely data to serve as input for performance measures |  |  |  |  |  |  |
| Programme eliminated |  |  |  |  |  |  |
| More intense monitoring of organisation and/or programme in the future |  |  |  |  |  |  |
| Unclear policy/programme objectives make it difficult to set performance measures/targets |  |  |  |  |  |  |
| Lack of leadership/commitment in promoting performance-based approach to budgeting |  |  |  |  |  |  |
| Gaming- whereby selection of performance targets chosen deliberately in ways that bias results |  |  |  |  |  |  |
| Unclear what role, if any, performance information presented in budget has played in allocation decisions |  |  |  |  |  |  |
| Performance information provided not relevant for budgetary decision-making |  |  |  |  |  |  |
| Focus on performance decreases once funds have been allocated |  |  |  |  |  |  |
| Horizontal working and cooperation across central govt. organisations has decreased due to greater competition for funds or to show ownership over activities |  |  |  |  |  |  |
| Performance measures do not provide information on efficiency or cost-effectiveness |  |  |  |  |  |  |
| Lack of capacity/training for staff/civil servants with regards to performance measurement |  |  |  |  |  |  |
| Lack of resources (time, staff, operating funds) to devote to performance evaluations |  |  |  |  |  |  |
| Lack of culture of “performance” |  |  |  |  |  |  |
| Lack of framework/guidance on performance-budgeting |  |  |  |  |  |  |
| Information overload—too much information is presented and not always clear which are most adequate for decision-making |  |  |  |  |  |  |
| Performance budgeting procedures too bureaucratic/lengthy/complicated |  |  |  |  |  |  |
| Inconsistencies/duplication between PB practices and procedures of CBAs and Line Ministries/Agencies |  |  |  |  |  |  |
| Lack of adequate ICT |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

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**33.** How would you rate the impact performance information has had on influencing budget decisions in each sector?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Impact** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Functions of government | | | | | | |
| General public services |  |  |  |  |  |  |
| Defence |  |  |  |  |  |  |
| Economic affairs |  |  |  |  |  |  |
| Education |  |  |  |  |  |  |
| Environmental protection |  |  |  |  |  |  |
| Housing |  |  |  |  |  |  |
| Health |  |  |  |  |  |  |
| Public order and safety |  |  |  |  |  |  |
| Recreation, culture, religion |  |  |  |  |  |  |
| Social protection |  |  |  |  |  |  |
| Alternatively defined functional areas | | | | | | |
| Inclusiveness |  |  |  |  |  |  |
| Trust in government |  |  |  |  |  |  |
| Direct service delivery |  |  |  |  |  |  |
| Transfers to individuals |  |  |  |  |  |  |
| Transfers to other organisations (incl. other levels of govt) |  |  |  |  |  |  |
| Revenue administration |  |  |  |  |  |  |
| Internal operations |  |  |  |  |  |  |
| Gender equality |  |  |  |  |  |  |

**34. Please provide an example for the two policy areas in which the impact has been greatest.**  
  
Example 1

*Please provide explanations for successes, wherever possible*



**35.** Example 2

*Please provide explanations for successes, wherever possible*



**36.** To what degree are common or government-wide information technology (IT) systems in place for:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Availability/frequency** | | | | | **Publicly available? (Y/N)** | |
| Never | Rarely | Occasionally | Usually | Always | Yes | No |
| Line ministries / agencies to input performance information |  |  |  |  |  |  |  |
| Central authority responsible for performance information to collect performance information |  |  |  |  |  |  |  |
| Performance data management |  |  |  |  |  |  |  |
| Production / presentation of performance information to end-users |  |  |  |  |  |  |  |

**37.** Have performance budgeting systems and processes contributed to improved quality of public finances in your country?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Indicate level of agreement** | | | | |
| Strongly disagree | Somewhat disagree | Neither agree nor disagree | Somewhat agree | Strongly agree |
| Yes, quantifiable improvements |  |  |  |  |  |
| Yes, non-quantifiable improvements |  |  |  |  |  |
| No perceptible improvements to date |  |  |  |  |  |

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**38.** The performance budgeting system(s) in your country generally…

*Please indicate whether you generally agree or disagree with the following statements regarding EU-funded programmes, by reference to your country experience:*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Choices** | | | | | |
| 1: Strongly agree | 2: Somewhat agree | 3: Neither agree nor disagree | 4: Somewhat disagree | 5: Strongly disagree | N/A |
| … are effective in promoting high levels of legal and financial compliance |  |  |  |  |  |  |
| … are effective in promoting transparency about programme objectives |  |  |  |  |  |  |
| … are effective in promoting the achievement of programme objectives |  |  |  |  |  |  |
| … include sufficient guidance about the design and use of performance information |  |  |  |  |  |  |
| … are closely compatible or integrated with the national performance framework |  |  |  |  |  |  |
| … should be more closely aligned or integrated with the national performance framework |  |  |  |  |  |  |
| … have been influential in the design and development of domestic public sector management practices more generally |  |  |  |  |  |  |
| … involve high administrative burden relative to benefits |  |  |  |  |  |  |
| … are overly concerned with legal/financial compliance as distinct from achievement of programme objectives |  |  |  |  |  |  |
| … generally lead to improved programme performance |  |  |  |  |  |  |

**39.** Please provide additional comments that are relevant to performance budgeting in your country, but may not have been addressed in Section II: Performance Budgeting.



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**Section III** *Evaluation*

**40.** Does your government issue central guidance on evaluation?

|  |  |
| --- | --- |
|  | Yes |
|  | No |

**41.** Are there legally binding requirements for evaluation (ex-ante or ex-post)?

|  |  |
| --- | --- |
|  | Yes |
|  | No |

**42.** Which organisations are responsible for conducting evaluations?

*Select all that apply*

|  |  |  |
| --- | --- | --- |
|  | **Evaluation type** | |
| Ex-ante | Ex-post |
| CBA |  |  |
| Line Ministries / Agencies |  |  |
| Legislature |  |  |
| Supreme Audit Institution |  |  |
| Other external body |  |  |
| Government evaluation service(s) |  |  |

**43.** Which organisations are responsible for deciding what will be evaluated?

*Check if responsible for deciding on ex-post, ex-ante evaluation or both*

|  |  |
| --- | --- |
|  | President/Prime Minister's Office |
|  | CBA |
|  | Line Ministry/Agency |
|  | Legislature |
|  | Supreme Audit Institution |
|  | Other: |

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**44.** (A) What elements are included in regulations and/or formal policy guidelines governing performance evaluations?  
*and*  
(B) What percentage of performance evaluations commissioned and/or conducted by your government would you estimate abide by each regulation/policy guideline in practice?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **(A) Guidelines *Choose one*** | | | **(B) % conforming to guidelines** |
| Required | Suggested | Neither | |  |  |  |  |  | | --- | --- | --- | --- | --- | | 0 | 20 | 40 | 60 | 80100 | |
| Terms of Reference |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |
| Advisory committee is formed |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |
| External stakeholders must be involved |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |
| Results must be made publically available |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |
| Consultation on results required |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) |

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**45.** How frequently are the following elements included in evaluations?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **(A) Guidelines *Choose one*** | | | **(B) % conforming** | | |
| Required | Suggested | Neither | |  |  |  |  |  | | --- | --- | --- | --- | --- | | 0 | 20 | 40 | 60 | 80100 | | | |
| **Ex-ante** | | | |  |  |  | |  |
| Efficiency |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Economy |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Effectiveness |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Alignment with government objectives |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Operational improvements |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Income distribution impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Gender impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Environmental impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Counterfactual impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Ex-post | | | |  |  |  | |  |
| Efficiency |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Economy |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Effectiveness |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Alignment with government objectives |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Operational improvements |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Income distribution impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Gender impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Environmental impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Counterfactual impacts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |

**46.** What types of ex-post evaluations are being done? And by whom? Please exclude spending reviews.

*Indicate the average number of evaluations conducted per year since 2011*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Evaluations (yes/no)** | **Small scope (<0.1% of total spend)** | **Medium scope (between 0.1% and 1% of total spend)** | **Large scope (>1% of total spend)** |
| Yes |
| CBA |  |  |  |  |
| Line Ministries / Agencies |  |  |  |  |
| Supreme Audit |  |  |  |  |
| External body |  |  |  |  |
| Government evaluation service(s) |  |  |  |  |

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**47.** What have been the greatest challenges to ensuring evaluations are used in budgeting?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Difficulty** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Lack of capacity (e.g. available staff) |  |  |  |  |  |  |
| Lack of capability (e.g. technical expertise in terms of analysis or methodological skills) |  |  |  |  |  |  |
| Lack of performance information/data |  |  |  |  |  |  |
| Poor quality of performance information/data |  |  |  |  |  |  |
| Lack of time (e.g. short time frame for implementation) |  |  |  |  |  |  |
| Lack of political support |  |  |  |  |  |  |
| Lack of framework |  |  |  |  |  |  |
| Gaming |  |  |  |  |  |  |
| Lack of ICT |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**48.** How impactful is information generated through the following types of ex post evaluation on budget decisions?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Impact** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| CBA-led evaluation |  |  |  |  |  |  |
| Line Ministries / Agencies self-evaluation |  |  |  |  |  |  |
| Supreme Audit performance audit |  |  |  |  |  |  |
| Commission or external group-led evaluation |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**49.** Please provide additional comments that are relevant to evaluation in your country, but may not have been addressed in Section III: Evaluation.



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**Section IV** *Spending Review*

**50.** Does, or has, your country conduct(ed) spending review?

|  |  |
| --- | --- |
|  | Yes |
|  | No, but under consideration |
|  | No, and not currently under consideration |

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**51.** How frequently are the following elements included in spending reviews?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **(A) Guidelines *Choose one*** | | | **(B) % conforming to guidelines** | | |
| Required | Suggested | Neither | |  |  |  |  |  | | --- | --- | --- | --- | --- | | 0 | 20 | 40 | 60 | 80100 | | | |
| Ex-ante | | | |  |  |  |  |
| Efficiency |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Economy |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Effectiveness |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Alignment with government objectives |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Operational improvements |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Budget cuts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Ex-post | | | |  |  |  |  |
| Efficiency |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Economy |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Effectiveness |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Alignment with government objectives |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Operational improvements |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |
| Budget cuts |  |  |  | [**false**](http://survey.oecd.org/Forms/Surveys/preview.aspx?print=default&s=7351&loc=EN-US) | | |

**52.** How are spending reviews linked to the wider national/federal budgeting process?

*Choose all that apply*

|  |  |
| --- | --- |
|  | Spending reviews are part of the budget process |
|  | Spending review recommendations are adopted through the political process |
|  | Spending review recommendations are adopted in the legislative approval and amendment phase of the budget and/or for legislative changes to authorising legislation |
|  | Unknown |
|  | Other: |

**53.** What were the savings measures adopted by the last round of spending reviews?

*Rank in priority order*

Operational efficiency measures

Adjustment of programme

Reduction of service levels provided while maintaining the programme

Elimination of programme

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**54.** Please indicate which government actors are primarily responsible for the following spending review procedures

*Select all that apply*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Please indicate which government actors are primarily responsible for the following spending review procedures** | | | | | | |
| Determining methodology | Selecting review scope | Providing guidance / steering | Preparing reports | Supervision & review of reports | Final decision-making | Monitoring and follow-up |
| President/Prime Minister's Office |  |  |  |  |  |  |  |
| CBA |  |  |  |  |  |  |  |
| Line ministries |  |  |  |  |  |  |  |
| Committee, commission |  |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |  |

**55.** In which years has your government conducted a spending review?

*Select all that apply. Categorize as the year in which the review was concluded.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1999 and earlier |  | 2004 |  | 2009 |  | 2014 |
|  | 2000 |  | 2005 |  | 2010 |  | 2015 |
|  | 2001 |  | 2006 |  | 2011 |  | 2016 |
|  | 2002 |  | 2007 |  | 2012 |  |  |
|  | 2003 |  | 2008 |  | 2013 |  |  |

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**56.** For each spending review selected in the question above, what was the approximate review scope:

*Note: This form is conditional. If a review year does not appear, please confirm it is selected in the previous question.*

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Review scope** | | |
| Narrow (0-5% of total government spending) | Broad (5-20% of total government spending) | Comprehensive (20-100% of total government spending) |
| 1999 and earlier |  |  |  |
| 2000 |  |  |  |
| 2001 |  |  |  |
| 2002 |  |  |  |
| 2003 |  |  |  |
| 2004 |  |  |  |
| 2005 |  |  |  |
| 2006 |  |  |  |
| 2007 |  |  |  |
| 2008 |  |  |  |
| 2009 |  |  |  |
| 2010 |  |  |  |
| 2011 |  |  |  |
| 2012 |  |  |  |
| 2013 |  |  |  |
| 2014 |  |  |  |
| 2015 |  |  |  |
| 2016 |  |  |  |

**57.** For roughly what percentage spending reviewed in the the 2011-2014 period, have:

|  |  |
| --- | --- |
|  | **% of reviewed spending** |
| Fiscal objectives been met? |  |
| Outputs and outcome obectives been met? |  |
| Cannot be assessed at this time |  |

**58.** What have been the greatest challenges to ensuring the results/recommendations of spending reviews are realised?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Difficulty** | | | | | |
| N/A | Low | Low-medium | Medium | Medium-high | High |
| Lack of capacity (e.g. available staff) |  |  |  |  |  |  |
| Lack of capability (e.g. technical expertise in terms of analysis or methodological skills) |  |  |  |  |  |  |
| Lack of performance information/data |  |  |  |  |  |  |
| Poor quality of performance information/data |  |  |  |  |  |  |
| Lack of time (e.g. short time frame for implementation) |  |  |  |  |  |  |
| Lack of political support (executive) |  |  |  |  |  |  |
| Lack of political support (legislative) |  |  |  |  |  |  |
| Lack of support (senior civil service) |  |  |  |  |  |  |
| Lack of framework |  |  |  |  |  |  |
| Lack of attention on implementation/execution |  |  |  |  |  |  |
| Lack of ICT |  |  |  |  |  |  |
| Gaming |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

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**59.** What are the causal factors for not introducing a spending review process?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Degree of influence 1 = very influential 5 = not at all influential** | | | | |  |
|  |  | | |  |  |
| 1 | 2 | 3 | 4 | 5 | n/a |
| Existing evaluation is sufficient |  |  |  |  |  |  |
| Low political desire for a review |  |  |  |  |  |  |
| Low capacity at CBA |  |  |  |  |  |  |
| Low capacity at line ministries / agencies |  |  |  |  |  |  |
| Other budget tools are sufficient |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**60.** Please provide additional comments that are relevant to spending review in your country, but may not have been addressed in Section IV: Spending Review.



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**Section V**  
*Statistics on Performance Budgeting Functions*

**61.** What was the approximate total expenditure in 2015 for:

*in billions of local currency*

|  |  |
| --- | --- |
|  |  |
| Central government |  |
| Central Budget Authority |  |
| Performance budgeting functions (all government) |  |
| Performance budgeting (CBA) |  |

**62.** What were the estimated total human resources in 2015 for:

*in thousands of full-time equivalents*

|  |  |
| --- | --- |
|  |  |
| Central government |  |
| Central Budget Authority |  |
| Performance budgeting functions (all government) |  |
| Performance budgeting (CBA) |  |

**63.** What were the estimated total human resources in 2015 for performance for the following organisations

*in thousands of full-time equivalents*

|  |  |
| --- | --- |
|  |  |
| President/Prime Minister's Office |  |
| Central Budget Authority |  |
| Line Ministries |  |
| Agencies |  |
| Legislature |  |
| Supreme Audit |  |
| Internal Audit |  |

**64.** Please provide the following information to the best of your knowledge

|  |  |
| --- | --- |
|  |  |
| Total number of government programmes |  |
| What % of budget expenditures are covered by programmes? |  |
| What is the average number of programs per budget holder/user? |  |

**65.** General comments/clarifications on *Statistics on Performance Budgeting Functions* in your country.



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**80. End of survey**

Please provide additional comments that are relevant to performance budgeting, evaluation and spending review in your country, but may not have been addressed in this survey.



Click *'next'* to review your completed responses before submitting them.  
  
Thank you for your cooperation. If you have any questions, please contact:  
Trevor Shaw  
Trevor.Shaw@oecd.org  
<http://www.oecd.org/gov/budgeting/>

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