2022 IDB-OECD Spending Review Survey

Welcome to the 2022 IDB-OECD Spending Review Survey!

Structure of Questionnaire:

PART I – General Features and Leadership: Questions 1 to 7

PART II - Design and conduct phase of spending reviews: Questions 8 and 9

PART III - Implementation and Monitoring of spending review decisions: Questions 12 to 14

There are 47 questions in this survey.

Introduction

Survey background and objectives

Since 2003, the OECD has carried out regular surveys on budgeting practices and procedures. The general objective of such surveys is to provide publicly available data sets on budgeting practices that support international comparative analysis, benchmarking of good budgeting practices, and to monitor changes overtime. Since 2013, these surveys have been adapted and applied to the LAC together with the IDB.

More specifically, this survey focuses on spending review practices in your country and/or plans for future developments. Where spending review practices are in place, this survey aims at gaining better understanding of the design of this practice, its implementation, and the remaining challenges.

The overarching objective of the survey is to provide a publicly available and internationally comparable set of data that will allow for the analysis and benchmarking of good budgeting practices over time in the LAC region and compared to the OECD countries. The results will be included in the 2023 edition of Government at a Glance: Latin America and Caribbean.

Definitions of key terms

This survey builds on the following definition of spending reviews:

Spending reviews are tools for developing, assessing, recommending and adopting policy options by analysing the government's existing expenditure within defined areas. They link these options to the budget process. The purposes of a spending review include:

- Enabling the government to manage the aggregate level of expenditure.
- Aligning expenditure according to the priorities of the government.
- Improving effectiveness within programmes and policies.

The questionnaire is accompanied by a Glossary of Key Terms which provides information on the terminology used.

The terminology applied in this questionnaire may not match exactly or be applicable to the particular context in your country. In such cases, please use the comments section at the end of each section to specify the terminology used in your country and clarify your choice of response. This additional clarification will enhance comparability and data quality.

Scope of questionnaire

Respondents are asked to provide information and/or data on the policies and practices in place in central/federal government. While this limits the scope of the responses and will not fully capture the activities of sub-national governments (which account for a large proportion of expenditures within some countries), it

ensures data comparability across all responding countries. Respondents are not representing their personal views but those of their national administration.

Respondents are asked to report information with regard to spending review practices under implementation as of **31st December 2021.**

Data collection

Please note that the PDF document attached to the e-mail invitation provides an overall outline of the survey questions, but is intended for reference only to help plan your responses and coordinate with colleagues/other respondents. We request that **responses be submitted via the online questionnaire using the link provided**.

The online questionnaire tool allows respondents to start and stop the questionnaire at your convenience (answers can be saved by clicking the “Resume later” button), and to share the responsibility of responding with other officials/experts (please make sure not to access the survey tool simultaneously). All questions marked with an asterisk are mandatory and cannot stay empty. You may not be presented all survey questions as some questions are conditional, based on responses to prior questions. The “Question Index” function allows navigating through the different parts of the questionnaire. After submitting your completed survey form, you will receive an acknowledgement email sent to the addresses that you provided in the respondent’s contact information.

Respondents of questionnaire

LAC Senior Budget Officers delegates are asked to kindly nominate a primary respondent. As spending review practices often involve multiple stakeholders across government working together, the primary respondent is welcome to share this questionnaire with colleagues to provide a more comprehensive picture. However, please notice that there is only **one survey submission per country**, so all respondents are expected to maintain close coordination throughout the process. The primary respondent is responsible for the validation and accuracy of the final submission of data. He/she will liaise with the OECD and IDB after final submission, should any further clarification or verification be needed.

Timeline: Responses to the survey are requested by **June 24th, 2022.**

In case of any further questions or comments, please do not hesitate to contact us at EncuestaBID-OCDE@oecd.org (mailto:EncuestaBID-OCDE@oecd.org)

RESPONDENT INFORMATION

Please provide the contact information for the primary person responsible for responding to this questionnaire. This information will be used by the OECD in case follow-up is needed to clarify responses and enhance data comparability across countries. If you would like to list additional contacts, you can enter the information for the additional staff at the

end of this page.

PRIMARY RESPONDENT CONTACT INFORMATION

Please provide the contact information for the primary person responsible for responding to this questionnaire. This information will be used by the OECD and the IDB in case follow-up is needed to clarify responses and enhance data comparability across countries. If you would like to list additional contacts, you can enter the information for the additional staff at the end of this page.

Are there any additional respondent(s) to this survey?

Please choose **only one** of the following:

- ◯ No
- ◯ 1
- ◯ 2
- ◯ 3

Please select the number of additional respondents.

Additional respondent 1

Additional respondent 2

Additional respondent 3

{TOKEN:ATTRIBUTE_1} *

PART I - General Features and Leadership

1. Does your country currently conduct, or has in the past conducted spending reviews of all or part of government spending?

*

Please choose **only one** of the following:

- ◯ Yes, it is an annual exercise
- ◯ Yes, but it is not carried out every year
- ◯ No, but it is under consideration
- ◯ No, and it is not currently under consideration

Please select one.

1.1 Please provide details (e.g. when is the introduction planned, rational for SR introduction, pilot projects or full roll-out) *

Please write your answer here:

1.2 Do you have a centralised spending review unit?

Please choose **only one** of the following:

◯
Yes, please speficy: name, organisational attachment (Ministry/institution), size (number of staff in full-time equivalent) and web link, if applicable.

◯ No, please specify in Q1.2.5: how and by whom spending reviews are organised and coordinated (apart from Steering Group and Working Group,).

Please select one.

1.2.5 Please specify how and by whom spending reviews are organised and coordinated (apart from Steering Group and Working Group).

Please write your answer here:

Please specify for the centralised spending review unit:

1.3 Do you have a Steering Group (overseeing the process) for each spending review project?

Please choose **only one** of the following:

◯ a. Yes, please provide details on the composition, e.g. which actors are usually represented.

◯ b. No

Please select one.

1.3.1 Please provide details on the composition of the Steering Group, e.g. which actors are usually represented:

Please write your answer here:

1.4 Do you have a Working Group (managing the day-to-day operation of the spending review) for each spending review project?

Please choose **only one** of the following:

◯ a. Yes, please provide details on the composition, e.g. which actors are usually represented, and what is (on average) the importance of each actor (adding up to 100%).

◯ b. No

Please select one.

1.4.1 Please provide details on the composition of the Working Group, e.g. which actors are usually represented, and what is (on average) the importance of each actor (adding up to 100%): *

Please write your answer here:

1.5 If you have no Steering Group and/or Working Group, please describe shortly the institutional arrangement for conducting and overseeing the spending reviews.

Please write your answer here:

PART I – General Features and Leadership (continued)

2. How many spending reviews have been started in the period FY 2017-2021 (irrespective if finished or not) and what is their relative size?

	2.1 Number of SR started. ***Please reflect number.***
FY 2017	
FY 2018	
FY 2019	
FY 2020	
FY 2021	

2.2. (If 2.1 greater than 0) Size of SR (% of total government expenditures covered) *Please select one.*

Please choose the appropriate response for each item:

	small (approximately 0-5% of total government expenditures)	**medium (approximately 5-20% of total government expenditures)**	**large (approximately 20-100% of total government expenditures)**
	○	○	○
	○	○	○
	○	○	○
	○	○	○
	○	○	○

2.3 Please provide examples of main topics or areas of spending reviews conducted in the period FY 2017-2021 - if any.

Please write your answer here:

2.4. If spending reviews are published, please provide the link to the website:

Please write your answer here:

3. What has been the scope of the spending reviews in the period 2017-2021 (irrespective if finished or not)?

Please choose the appropriate response for each item:

	never	sometimes	always
3.1 Activities of an agency/department	◯	◯	◯
3.2 Activities overspanning several agencies/departments	◯	◯	◯
3.3 A certain expenditure type in several or all government entities	◯	◯	◯
3.4 Spending Review targeting a programme or policy	◯	◯	◯
3.5 Spending Review targeting several programmes or policies	◯	◯	◯

Please select the frequency for each scope.

4. What is the legal and methodological basis for the conduct of spending reviews?

Please choose **all** that apply:

☐ a. There is a specific law on spending reviews

☐ b. Provision for spending reviews is included in the basic/organic budget law

☐ c. Spending reviews are mandated in subsidiary legislation e.g. regulation or standing instructions for preparation of annual budget

☐ d. Authority for spending review is given by ministerial order

☐ e. Spending review methodology

☐ f. General guidelines

☐ g. Other, please specify: _____

Please select all that apply.

4.1 Please specify details and provide link and upload relevant document, if applicable, for the legal and methodological basis selected in Q4.

Kindly attach the aforementioned documents along with the survey

5. What were the existing main objectives of spending reviews during the last three years?

Please choose **all** that apply:

☐ a. Control the level of total expenditure.

☐ b. Align expenditure to priorities of the government.

☐ c. Improvee effectiveness within programmes and policies.

Please select all that apply.

6. Please indicate which actors are primarily responsible for decision-making of the following spending review procedures.

	a) Cabinet/President/Prime Minister's Office	b) Minister of Finance	c) Spending review unit	d) Minister of Finance and Line Minister (jointly)	e) Steering Group	f) Other, please specify in Q6.1	g) Not applicable
6.1 Determining spending review methodology	☐	☐	☐	☐	☐	☐	☐
6.2 Approval of spending review topics	☐	☐	☐	☐	☐	☐	☐
6.3 Appointment of Steering Group	☐	☐	☐	☐	☐	☐	☐
6.4 Approval of ToR	☐	☐	☐	☐	☐	☐	☐
6.5 Final decision-making on Spending Review Report	☐	☐	☐	☐	☐	☐	☐

Please select all that apply or indicate "Not applicable".

6.1 Please specify here the other actor responsible for decision-making of the spending review procedures selected in Q6.

Please write your answer here:

Should you have more than one other actor, you can also indicate this here. In this case, please also specify the relevant spending review procedures here.

7. Comments on PART I - General Features and Leadership

Please write your answer here:

Please provide additional comments that are relevant to general features and leadership of spending reviews in your country, but that may not have been addressed by the questions in this section.

PART II - Design and conduct phase of spending reviews

8. What have been the main challenges to effectively conducting spending reviews? For the main challenges identified, please indicate the level of challenge.

Please choose the appropriate response for each item:

	Lack of framework (e.g. clear legal or methodological basis)	Lack of capacity (e.g. staff)	Inadequate guidance/guidelines	Lack of capability (e.g. technical expertise, skills)	Lack of capacity (e.g. project management, skills)	Quality of data	Lack of linking spending with control processes	Lack of notification of the date the spending review will take place	Insufficient coordination between entities	Lack of ownership of the spending review	Lack of political support (executive)	Lack of support (senior civil servants)	Lack of information	Poor quality of performance data	Lack of ICT support	Other, please specify	No data
1st	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○
2nd	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○
3rd	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○
4th	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○
5th	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○	○

Please select one per row.

If you selected Other in Q8, please specify:

Please write your answer here:

9. Comments on PART II - Design and conduct phase of spending reviews

Please write your answer here:

Please provide additional comments that are relevant to the design and conduct phase of spending reviews in your country, but that may not have been addressed by the questions in this section.

Part III - Implementation and Monitoring of spending review decisions

10. What have been the main challenges in ensuring that the results/recommendations of spending reviews are implemented? For the main challenges identified, please indicate the level of challenge.

Please choose the appropriate response for each item:

	Lack of framework (e.g. clear legal or methodological basis)	Lack of capacity (e.g. staff)	Lack of capacity (e.g. technical expertise, project management skills)	Lack of capacity (e.g. time)	Lack of change management skills	Linking with budget	Lack of attention from senior entities	Insufficient cooperation from other entities	Insufficient ownership of political support (executive)	Lack of political support (legislative)	Lack of support from senior management	Lack of ICT	Other, please specify	No challenge
1st	○	○	○	○	○	○	○	○	○	○	○	○	○	○
2nd	○	○	○	○	○	○	○	○	○	○	○	○	○	○
3rd	○	○	○	○	○	○	○	○	○	○	○	○	○	○
4th	○	○	○	○	○	○	○	○	○	○	○	○	○	○
5th	○	○	○	○	○	○	○	○	○	○	○	○	○	○

Please select one per row.

If you selected "other" in Q10, please specify:

Please write your answer here:

11. Please indicate which actors are involved in the following spending review procedures.

	Cabinet/President/Prime Minister's Office	Ministry of Finance	Line Minister	Spending review unit	Other entity within MoF	Administration being reviewed	Other entity within Line Ministry	Other, please specify in Q11.1	Not applicable
11.1 Implementation of spending review decisions	☐	☐	☐	☐	☐	☐	☐	☐	☐
11.2 Monitoring and follow-up	☐	☐	☐	☐	☐	☐	☐	☐	☐
11.3 Training or organising trainings for the administrative staff directly concerned by the spending review	☐	☐	☐	☐	☐	☐	☐	☐	☐

Please select all that apply.

12. How do spending review results feed back into the budget process?

Please choose the appropriate response for each item:

	Yes, for all or most cases	Yes, for selective cases only	No
12.1 Internal use in Line Ministries to prepare budget proposals	◯	◯	◯
12.2 Decision on SR are considered in the annual budget process (negotiations)	◯	◯	◯
12.3 Decision on SR leads directly to insertion in annual budget	◯	◯	◯
12.4 Decision on SR leads directly to insertion in multi-annual budget (MTEF)	◯	◯	◯
Not clear	◯	◯	◯
Other: please specify	◯	◯	◯
	◯	◯	◯

Please select the frequency per row.

11.1 Please specify here the other actor involved in the spending review procedures selected in Q11.

Please write your answer here:

Should you have more than one other actor, you can also indicate this here. In this case, please also specify the relevant spending review procedures here.

13. Based on self-assessment, to what extent has the objective of controlling the level of total expenditure, aligning expenditures to the priorities of the government, or improving effectiveness have been met in the last three years (2019-2021)?

Please choose **only one** of the following:

- ◯ Objectives met in full
- ◯ Objectives substantially met
- ◯ Objectives largely unmet
- ◯ Objectives not met at all
- ◯ Not assessed
- ◯ Not applicable (e.g. it is not a SR objective)

Por favor, seleccione una respuesta por fila.

13.1. Please explain why the objectives related to controlling the level of total expenditure were or were not met

Please write your answer here:

13.2 Did the alignment lead to reallocations during the last three years (2019-2021)?

Please choose **all** that apply:

- [ ] Yes, the reallocations have been within the same programme
- [ ] Yes, the reallocations have not been within the same programme, but within the remit of the same minister
- [ ] Yes, the reallocations have been from one minster's budget to another minister's budget
- [ ] No

14. Comments on PART III - Implementation and Monitoring of spending review decisions

Please write your answer here:

Please provide additional comments that are relevant to the implementation and monitoring of spending review decisions in your country, but that may not have been addressed by the questions in this section.

Part IV - Fiscal rules during the COVID-19 pandemic

15. Does the government have in place any fiscal rules that place limits on fiscal policy?

Please choose **all** that apply:

- [ ] No
- [ ] Yes, expenditure rule
- [ ] Yes, revenue rule
- [ ] Yes, budget balance (surplus/deficit) rule
- [ ] Yes, debt rule
- [ ] Other: _____

15.1 If expenditure rules exist, please indicate their target:

Please choose **all** that apply:

- [ ] The rule targets a nominal expenditure ceiling
- [ ] The rule targets a real expenditure ceiling
- [ ] The rule targets a nominal expenditure growth rate
- [ ] The rule targets a real expenditure growth rate
- [ ] The rule targets a specific expenditure to GDP ratio
- [ ] Other: _____

15.1.1 For each of the selected expenditure rule (s), please indicate which is the legal basis:

Only answer this question for the items you selected in question Q15SQ1 ('15.1 If expenditure rules exist, please indicate their target:')
Only answer this question for the items you did not select in question Q15SQ1 ('15.1 If expenditure rules exist, please indicate their target:')

	If you selected other, please specify:
The rule targets a nominal expenditure ceiling	
The rule targets a real expenditure ceiling	
The rule targets a nominal expenditure growth rate	
The rule targets a real expenditure growth rate	
The rule targets a specific expenditure to GDP ratio	

Legal basis

Only answer this question for the items you selected in question Q15SQ1 ('15.1 If expenditure rules exist, please indicate their target:')
Only answer this question for the items you did not select in question Q15SQ1 ('15.1 If expenditure rules exist, please indicate their target:')

	Constitution	Primary legislation	Secondary legislation	Internal rules/policies	International treaty	Other
The rule targets a nominal expenditure ceiling	☐	☐	☐	☐	☐	☐
The rule targets a real expenditure ceiling	☐	☐	☐	☐	☐	☐
The rule targets a nominal expenditure growth rate	☐	☐	☐	☐	☐	☐
The rule targets a real expenditure growth rate	☐	☐	☐	☐	☐	☐
The rule targets a specific expenditure to GDP ratio	☐	☐	☐	☐	☐	☐

15.2 Do the rules allow for flexibility during crises (e.g. allow for interim stimulative budget policies that breach the rule)?

Please choose **only one** of the following:

- ◯ Yes (please explain which rule and what type of flexibility)
- ◯ No

Make a comment on your choice here:

15.3 Have the rules been relaxed during the COVID-19 pandemic?

Please choose **only one** of the following:

- ◯ Yes (please explain what rule, how it was relaxed, etc)
- ◯ No

Make a comment on your choice here:

Dear {RESP_FIRSTNAME},

Thank you for completing the 2022 IDB-OECD Spending Review Survey on behalf of {TOKEN:ATTRIBUTE_1}.

You will receive an automated e-mail with your responses, and you can also click on the button below to print them.

If you have any questions, please email your queries to: EncuestaBID-OCDE@oecd.org (mailto:EncuestaBID-OCDE@oecd.org)

Submit your survey.
Thank you for completing this survey.